

# Free PDF UAE-Financial-Rules-and-Regulations - CISI

## UAE Financial Rules and Regulations Exam

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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q33-Q38):

### NEW QUESTION # 33

If the perpetrator of a money laundering crime is a repeat offender, what impact does this have on the minimum fine compared to a first offence?

- A. It is tripled
- **B. It is doubled**
- C. It is quadrupled
- D. It is increased by 50%

**Answer: B**

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, if a person convicted of a money laundering offence is a repeat offender, the minimum fine imposed is doubled compared to the first offence. This increased penalty reflects the heightened regulatory and punitive response to repeated non-compliance, emphasizing deterrence and the protection of the financial system. Repeat offenders face more severe consequences to underscore the seriousness of continued illegal activity and to promote adherence to AML laws.

Reference: CISI UAE Financial Rules and Regulations - AML Penalties and Repeat Offences, Section 8.4.6 (2023).

### NEW QUESTION # 34

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 1,000,000 and no more than AED 10,000,000
- **B. no less than AED 100,000 and no more than AED 5,000,000**
- C. no less than AED 100,000 and no more than AED 1,000,000
- D. no less than AED 50,000 and no more than AED 1,000,000

**Answer: B**

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

### NEW QUESTION # 35

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. identify potential money laundering
- **C. manage conflicts of interest**
- D. deal with succession planning

**Answer: C**

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

#### NEW QUESTION # 36

What does the Authority usually do before deciding to delist a company's shares?

- A. Issue a fine for payment within 30 days
- **B. Issue an improvement notice of 30 days**
- C. Consult with the relevant firm
- D. Consult with the relevant market

**Answer: B**

Explanation:

Before deciding to delist a company's shares, the regulatory authority typically follows a procedure designed to ensure that the company has an opportunity to rectify any issues. According to the CISI UAE Financial Rules and Regulations, the Authority usually issues an improvement notice of 30 days to the company. This notice outlines the deficiencies or non-compliance issues that the company needs to address in order to avoid delisting. The 30-day period allows the company time to correct the issues, such as failure to meet financial reporting requirements, governance standards, or other operational obligations. This approach ensures fairness and transparency before taking any drastic actions like delisting.

Reference: CISI UAE Financial Rules and Regulations - Delisting Procedures, Section 2.5.3 (2023).

#### NEW QUESTION # 37

When updating their money laundering compliance framework, firms involved in crypto assets are required to take into account the recommendations of which body?

- A. World Bank
- B. United Nations Office on Drugs and Crime
- C. Bank for International Settlements
- **D. Financial Action Task Force**

**Answer: D**

Explanation:

Under the UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) framework, firms, including those involved in crypto assets, are required to align their compliance practices with international standards. The Financial Action Task Force (FATF) provides the global framework and recommendations to combat money laundering and terrorism financing. Firms must adhere to these recommendations to update and maintain their AML compliance programs effectively, ensuring that they remain in line with the best global practices and avoid involvement in illicit activities. The FATF's guidelines specifically address the risks posed by crypto assets and set standards for monitoring, reporting, and controlling potential misuse of such assets for money laundering purposes.

Reference: CISI UAE Financial Rules and Regulations - Anti-Money Laundering Framework and Crypto Assets, Section 9.2.4 (2023).

#### NEW QUESTION # 38

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