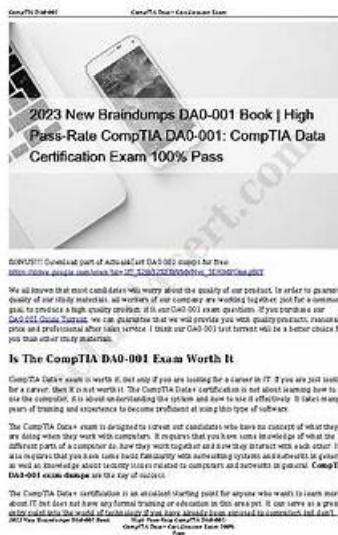


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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q62-Q67):

#### NEW QUESTION # 62

If the mid-point is used to determine the theoretical auction price for a pre-closing session of the DFM, it is:

- A. rounded to two decimal places
- B. rounded to one decimal place
- C. rounded up to the nearest price tick
- D. rounded down to the nearest price tick

#### Answer: C

Explanation:

The Dubai Financial Market (DFM) utilizes precise rules to calculate the theoretical auction price during pre-closing sessions to ensure market transparency and fairness. According to the CISI UAE Financial Rules and Regulations and DFM official trading manuals, when the mid-point price is used in price determination, it is rounded up to the nearest price tick. This rounding mechanism ensures consistency in pricing and avoids fractional pricing issues that could disrupt the matching of buy and sell orders. The concept of a price tick is a minimum price movement allowed in trading, defined by the market's tick size schedule. By rounding up, the market supports price stability and protects sellers during the auction process. This is explicitly stated in DFM's trading rules section regarding auction price calculation and tick size adjustments.

Reference: CISI UAE Financial Rules and Regulations - Dubai Financial Market Rules, Auction Price Determination, Section 5.2.3 (2023).

#### NEW QUESTION # 63

Where a brokerage firm on the DFM has a client with a debit balance, the regulations prevent the firm from:

- A. providing investment advice to the client
- B. paying any cash to the client
- C. accepting new orders from the client
- D. selling securities on the client's behalf

#### Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, if a client holds a debit balance with a brokerage firm on the Dubai Financial Market (DFM), the firm is prevented from accepting new orders from that client until the debit balance is cleared. This measure protects both the brokerage firm and market integrity by ensuring that clients do not accumulate unpaid debts from trading activities, thereby reducing credit risk. The restriction applies specifically to new orders; other services such as providing advice or selling securities may continue under certain conditions.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Debit Balance Controls, Section 4.4.12 (2023).

#### NEW QUESTION # 64

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 # 65**

The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

- A. AED 200
- B. AED 300
- C. AED 100
- D. AED 500

**Answer: B**

Explanation:

According to the Corporate Governance Guide for public joint-stock companies, board members are automatically allowed to accept gifts up to a maximum value of AED 300. This limit is set to ensure that the acceptance of gifts does not raise concerns about conflicts of interest or unethical conduct. By establishing a cap on the value of acceptable gifts, the guide aims to promote transparency and prevent any undue influence on the decision-making process of board members. This helps maintain the integrity of the corporate governance framework and fosters trust among stakeholders.

Reference: CISI UAE Financial Rules and Regulations - Corporate Governance and Gift Acceptance, Section 10.4.5 (2023).

#### **NEW QUESTION # 66**

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

- A. Bank for International Settlements
- B. United Nations Office on Drugs and Crime
- C. World Bank
- 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 # 67

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