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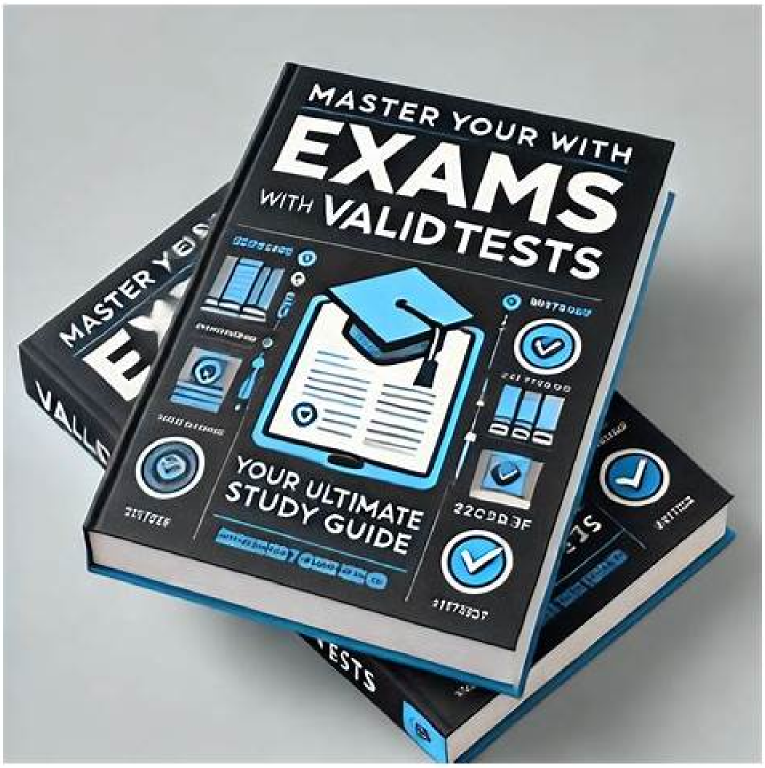

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q14-Q19):

NEW QUESTION # 14
During a trading session, if an order is not fully executed, then:

- A. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- B. the transaction is executed at the price set on the other side of the transaction
- C. the order will be dealt with at the next trading session
- D. the remaining unexecuted volume stays on the trading system, at the last executed price

Answer: D

Explanation:
In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.
Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

NEW QUESTION # 15
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 100,000 and no more than AED 1,000,000
- B. no less than AED 1,000,000 and no more than AED 10,000,000
- C. no less than AED 100,000 and no more than AED 5,000,000
- D. no less than AED 50,000 and no more than AED 1,000,000

Answer: C

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 # 16
Which of the following customer due diligence measures should be taken if a client is a foreign politically exposed person?

- A. Seek Authority approval to proceed
- B. Attempt to establish the source of the funds
- C. Conduct a prescribed risk / benefit analysis
- D. Examine the latest Interpol watch list

Answer: B

Explanation:
For foreign politically exposed persons (PEPs), CISI UAE Financial Rules and Regulations require that firms undertake rigorous customer due diligence, including attempting to establish the source of funds. Establishing the legitimacy and origin of funds is crucial to prevent illicit money laundering and terrorism financing. While risk/benefit analyses and regulatory approvals are important, the direct verification of fund sources is a primary control measure against financial crimes involving PEPs. Checking watchlists like Interpol's is supplementary but not sufficient alone. This requirement safeguards the financial system and aligns with Federal Law No. 20 of 2018's anti-money laundering mandates.
Reference: CISI UAE Financial Rules and Regulations - AML Controls and PEP Risk Management, Section 8.2.9 (2023).

NEW QUESTION # 17
If a listed company faces accumulated losses of 50% or more of capital, what is required to happen?

- A. It is moved from a first category listing to a second category of listing
- B. It is required to be audited more frequently
- C. It is moved from a second category listing to a first category of listing
- D. Its shares are suspended for at least six months

Answer: A

Explanation:
If a listed company faces accumulated losses of 50% or more of its capital, the company is required to be moved from a first category listing to a second category of listing. This measure is designed to protect investors by ensuring that only financially stable companies remain in the primary listing category, which is subject to stricter regulatory oversight and higher investor expectations. The second category listing provides a lower level of visibility, which reflects the increased financial risks associated with such companies. This helps mitigate the potential impact on other market participants.
Reference: CISI UAE Financial Rules and Regulations - Listing Categories and Financial Health, Section 2.5.1 (2023).

NEW QUESTION # 18
The Board of a securities market wished to suspend a rule relating to the operations of that market, why was it unable to do so?

- A. A 30-day notice was not provided
- B. An Authority penalty was pending
- C. It failed to seek permission from the Authority
- D. The majority of the board was not present

Answer: C

Explanation:
When the Board of a securities market wishes to suspend a rule related to the market's operations, it must first obtain permission from the regulatory Authority. According to the CISI UAE Financial Rules and Regulations, if permission is not sought from the Authority before attempting to suspend the rule, the suspension request will not be valid. This requirement ensures that the Authority has oversight over the market's operational changes and can assess whether suspending the rule aligns with regulatory goals such as market stability, fairness, and transparency. This helps prevent arbitrary or inconsistent rule changes that might undermine investor confidence or disrupt the smooth functioning of the market.
Reference: CISI UAE Financial Rules and Regulations - Market Rule Suspension Procedures, Section 2.4.7 (2023).

NEW QUESTION # 19
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