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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q19-Q24):

NEW QUESTION # 19

Firms providing investment management services must provide periodic statements to retail clients, in normal circumstances at least every:

- A. 3 months
- **B. 6 months**
- C. month
- D. 12 months

Answer: B

Explanation:

The CISI UAE Financial Rules and Regulations require that firms offering investment management services deliver periodic statements to retail clients at least every 6 months under normal circumstances. This frequency strikes a balance between providing clients with timely updates on their investments and operational practicality for firms. The statements include performance, transaction details, fees, and holdings, enabling retail clients to monitor their portfolios and make informed decisions. More frequent reporting may be required in special situations, but semi-annual reporting is the standard minimum.

Reference: CISI UAE Financial Rules and Regulations - Client Reporting Requirements, Section 4.5.3 (2023).

NEW QUESTION # 20

The effectiveness of a financial institution's internal policies, controls and procedures to combat money laundering must be tested by:

- A. regular operational resilience exercises
- **B. an independent audit function**
- C. external consultants
- D. the audit committee

Answer: B

Explanation:

Under the UAE Anti-Money Laundering (AML) laws and regulations, financial institutions are required to periodically test the effectiveness of their internal policies, controls, and procedures designed to combat money laundering. The independent audit function is specifically responsible for testing and evaluating these AML frameworks. The independent auditor must assess whether the institution's systems and procedures effectively detect, prevent, and report suspicious transactions and activities. This audit ensures that the policies are up-to-date, comprehensive, and compliant with both local and international standards. Regular audits provide an additional layer of scrutiny, ensuring that financial institutions can demonstrate their commitment to preventing money laundering and terrorist financing.

Reference: CISI UAE Financial Rules and Regulations - AML Testing and Audits, Section 9.5.2 (2023).

NEW QUESTION # 21

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- A. Five business days
- B. Four calendar days
- **C. Three business days**
- D. Two calendar days

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

NEW QUESTION # 22

When collecting data from official authorities, evaluators of investment fund in-kind shares are required to abide by the principles of honesty, justice and:

- A. governance
- B. equality
- C. confidentiality
- D. prudence

Answer: C

Explanation:

Evaluators of in-kind shares for investment funds must adhere to key ethical principles including honesty, justice, and confidentiality when collecting data from official authorities. Confidentiality ensures sensitive information obtained during valuation processes is protected against unauthorized disclosure, preserving trust and compliance with legal requirements. This principle complements honesty and justice by maintaining the integrity of the evaluation process and protecting the interests of the fund and its investors. Governance, equality, and prudence are important but not the specifically mandated principles in this context.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Valuation and Ethical Standards, Section 6.2.9 (2023).

NEW QUESTION # 23

Why might employees in one part of a regulated business be permitted to withhold information from employees in another part of the business?

- A. At the request of the audit function
- B. To comply with a Chinese wall
- C. Strict privacy of client information
- D. Prevention of insider trading

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations recognize the concept of a Chinese wall, which permits employees in one part of a regulated business to withhold certain information from employees in other parts.

This internal information barrier is designed to prevent conflicts of interest and insider trading by restricting the flow of sensitive or non-public information between departments. By implementing Chinese walls, firms ensure compliance with legal and regulatory requirements, uphold market integrity, and protect client interests. While audit requests and privacy concerns are valid, the primary regulatory rationale for withholding information internally is to maintain effective Chinese walls.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Information Barriers, Section 3.4.10 (2023).

NEW QUESTION # 24

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