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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q27-Q32):

NEW QUESTION # 27

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 100,000 and no more than AED 5,000,000**
- C. no less than AED 1,000,000 and no more than AED 10,000,000
- 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 # 28

A fund manager is considering investing in medium-term bonds, commercial papers, and deposit certificates. Under the regulations, which of these can be held under a cash investment fund?

- A. Deposit certificates and medium-term bonds only
- **B. Commercial papers and deposit certificates only**
- C. Medium-term bonds, commercial papers and deposit certificates
- D. Medium-term bonds and commercial papers only

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations define that cash investment funds may hold commercial papers and deposit certificates only. Medium-term bonds are typically excluded from cash funds as they have longer maturities and more interest rate risk, which conflicts with the liquidity and capital preservation objectives of cash funds. Commercial papers and deposit certificates, with their shorter maturities and high liquidity, are appropriate instruments for cash funds, providing stable, low-risk returns in line with regulatory requirements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Asset Eligibility, Section 6.4.3 (2023).

NEW QUESTION # 29

Why would a transaction to purchase securities be declared null and void?

- **A. It was the result of a rumour being spread**
- B. The individual is a former employee
- C. The Authority has levied a penalty for delay of payment
- D. The investor has a conviction of an offence of dishonour

Answer: A

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 30

If an offering person arranges the issuance of crypto assets for which funds have been subscribed by investors, controls must be set up to avoid:

- A. subscriptions being taken at excessive levels from non-qualified investors
- B. subscriptions being taken at different threshold levels
- C. prices being allowed to fluctuate during the opening offer period
- D. prices being determined at the discretion of the issuer

Answer: A

Explanation:

Under Federal Law No. 20 of 2018 and related CISI UAE Financial Rules and Regulations, issuers arranging crypto asset offerings must establish controls to prevent subscriptions being taken at excessive levels from non-qualified investors. This is a key investor protection and anti-money laundering measure designed to restrict high-risk investment exposure to those with adequate knowledge, resources, and risk appetite. By enforcing subscription limits for non-qualified investors, the regulations mitigate fraud, market manipulation, and financial losses while ensuring regulatory compliance. Controls over pricing discretion or fluctuations, while relevant, are not the central regulatory concern in this context.

Reference: CISI UAE Financial Rules and Regulations - AML and Crypto Asset Issuance Controls, Section 8.2.4 (2023).

NEW QUESTION # 31

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Market
- B. Share category
- C. Volume
- D. Order type

Answer: C

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 32

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