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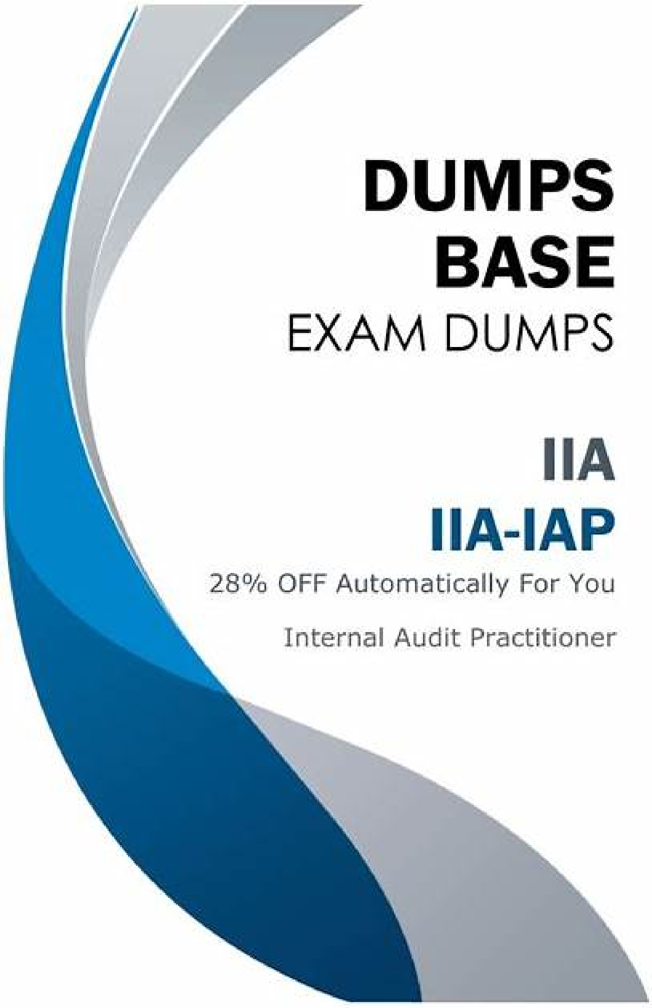

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q30-Q35):

NEW QUESTION # 30
A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. has been designated a company of State importance
- B. is formally classed as an insurance company
- C. was incorporated in the last three years
- D. issued shares in a public offer in the last six months

Answer: D

Explanation:
According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.
Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

NEW QUESTION # 31
The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

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

Answer: C

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 # 32
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 50,000 and no more than AED 1,000,000
- D. no less than AED 1,000,000 and no more than AED 10,000,000

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 # 33
What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 300,000
- B. AED 250,000
- C. AED 200,000
- D. AED 150,000

Answer: D

Explanation:
Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE treats the crime of funding illegal or terrorist entities.
Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.
These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.
Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

NEW QUESTION # 34
If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- A. Share providers
- B. Auditors
- C. Evaluators
- D. Founders

Answer: D

Explanation:
According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions.
Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.
Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 35
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