

獲得UAE-Financial-Rules-and-Regulations熱門考古題表示通過CISI UAE Financial Rules and Regulations Exam 指日可待



BONUS!!! 免費下載PDFExamDumps UAE-Financial-Rules-and-Regulations考試題庫的完整版：
<https://drive.google.com/open?id=1Sno4IE3pJyc7mDTiEMeIWn2GAryKzyRm>

PDFExamDumps為你提供真實的環境中找到的真正的CISI的UAE-Financial-Rules-and-Regulations考試的準備過程，如果你是初學者或是想提高你的專業技能，PDFExamDumps CISI的UAE-Financial-Rules-and-Regulations考古題將提供你，一步步讓你靠近你的願望，你有任何關於考試的考題及答案的問題，我們將第一時間幫助你解決，在一年之內，我們將提供免費更新。

一般的CISI認證考試是UAE-Financial-Rules-and-Regulations專家利用專業經驗研究出來的考試題和答案。而PDFExamDumps正好有這些行業專家為你提供這些考試練習題和答案來幫你順利通過考試。我們的PDFExamDumps提供的考試練習題和答案有100%的準確率。購買了PDFExamDumps的產品你就可以很容易地獲得CISI的認證證書，這樣你在CISI行業中又有了個非常大的提升。

>> UAE-Financial-Rules-and-Regulations熱門考古題 <<

優秀的CISI UAE-Financial-Rules-and-Regulations熱門考古題是行業領先材料&有效的最新UAE-Financial-Rules-and-Regulations試題

你已經報名參加了UAE-Financial-Rules-and-Regulations認證考試嗎？是不是面對一大堆的復習資料和習題感到頭痛呢？PDFExamDumps可以幫您解決這一問題，它絕對是你可以信賴的網站！只要你選擇使用PDFExamDumps網站提供的資料，絕對可以輕鬆通過考試，與其花費時間在不知道是否有用的復習資料上，不如趕緊來體驗PDFExamDumps帶給您的服務，還在等什麼趕緊行動吧。

最新的 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 免費考試真題 (Q24-Q29):

問題 #24

In what circumstances can the requirement for licensed bodies to disclose their legal status be waived?

- A. A takeover bid for the licensed body has been launched
- B. A court case against the licensed body is in progress
- C. A significant market correction is taking place
- **D. An emergency has been notified to the Authority**

答案: D

解題說明:

The CISI UAE Financial Rules and Regulations allow the waiver of the requirement for licensed bodies to disclose their legal status only in specific scenarios such as when an emergency has been notified to the Authority. This provision recognizes that during certain urgent situations, standard disclosure obligations may be temporarily suspended to allow for swift action or confidentiality. Other circumstances such as ongoing court cases, market corrections, or takeover bids do not automatically justify waivers of disclosure obligations, preserving investor transparency and trust under normal conditions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Disclosure Obligations and Waivers, Section 4.1.10 (2023).

問題 #25

If an issuer provides its shareholders with bonus shares, then the CSD Department will deposit the bonus shares issued in the account and will register them as a whole, round number. What happens in the case that there are fractions of shares?

- **A. They are totalled up and put in a suspense account**
- B. The issuing company must sell them within 30 days
- C. These are also added to the shareholder's account
- D. The issuing company must sell them within 45 days

答案: A

解題說明:

When bonus shares are issued, the Central Securities Depository (CSD) registers shares in whole numbers only. Any fractions of shares that result from the bonus share calculation cannot be credited to individual shareholder accounts. According to CISI UAE Financial Rules and Regulations, these fractional shares are aggregated and placed into a suspense account by the CSD. The suspense account holds these fractional shares collectively until such time as they can be properly managed, such as by being sold off and the proceeds distributed to shareholders in proportion to their holdings. This process prevents fractional shares from being credited inaccurately, ensuring operational clarity and market integrity. The issuing company is not immediately responsible for selling these fractions, but regulatory oversight governs their eventual disposal.

Reference: CISI UAE Financial Rules and Regulations - Securities Issuance and Registration, Section 5.3.6 (2023).

問題 #26

In cases where securities are bought and sold during the same trading session, the client must have in its cash account enough:

- A. credit to cover the value of sale
- B. securities to the value of purchase
- C. credit to cover the value of any losses
- **D. credit to cover the value of purchase**

答案: D

解題說明:

According to the CISI UAE Financial Rules and Regulations under Client Protection provisions, when a client buys and sells securities within the same trading session (day trading), the client must maintain sufficient credit to cover the value of purchase in their cash account at the time of the transaction. This rule ensures that clients have the necessary funds to settle their purchase obligations promptly, reducing settlement risk and maintaining market stability. Credit to cover sales is not required since sales generate funds rather than consume them. This provision supports orderly trading and financial discipline among market participants by preventing unsettled trades and possible defaults.

Reference: CISI UAE Financial Rules and Regulations - Client Protection, Trading and Settlement Rules, Section 4.3.2 (2023).

問題 #27

Which of the following is one of the prescribed financial activities for which the Authority can issue a license?

- A. Analysis
- B. Corporate planning
- C. Promotion
- **D. Risk management**

答案: D

解題說明:

Under CISI UAE Financial Rules and Regulations, risk management is among the prescribed financial activities for which the Securities and Commodities Authority (SCA) issues licenses. Licensing ensures that entities engaging in financial risk assessment and mitigation services meet regulatory standards related to expertise, governance, and compliance. Activities such as analysis, promotion, and corporate planning are not independently licensable financial activities but may be ancillary functions within licensed firms. The licensure of risk management activities supports market stability and investor protection by formalizing oversight of critical financial functions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Licensing, Section 3.1.2 (2023).

問題 #28

Customer due diligence measures require management approval if the natural person involved is:

- **A. a politically exposed person**
- B. registered as disabled
- C. normally resident outside the State
- D. under the age of 21

答案: A

解題說明:

Federal Law No. 20 of 2018 and related CISI UAE Financial Rules specify that enhanced customer due diligence procedures require management approval when the client is a politically exposed person (PEP).

PEPs present higher risks due to their potential access to public funds and influence, increasing vulnerability to corruption or money laundering. Management approval ensures senior oversight in onboarding and monitoring PEP clients, aligning with international AML/CTF best practices. Other conditions such as residency or age do not mandate this elevated level of scrutiny. This regulatory requirement enhances governance and mitigates reputational and compliance risks associated with politically exposed persons.

Reference: CISI UAE Financial Rules and Regulations - AML Regulations, Enhanced Due Diligence, Section 8.1.7 (2023).

問題 #29

.....

購買我們PDFExamDumps CISI的UAE-Financial-Rules-and-Regulations考試認證的練習題及答案，你將完成你人生中最重要的高考準備問題，你將得到最高品質的培訓資料，今天購買我們的產品，是你為自己打開了新的大門，也是為了更美好的未來，也使你付出最小努力，獲得最大的成功。

最新UAE-Financial-Rules-and-Regulations試題: https://www.pdfexamdumps.com/UAE-Financial-Rules-and-Regulations_valid-braindumps.html

這麼好的一個能幫助你順利通過考試的產品，你還在猶豫什麼，快將PDFExamDumps 最新UAE-Financial-Rules-and-Regulations試題的產品加入您的購物車吧，為了你的考試能夠成功，千萬不要錯過PDFExamDumps 最新UAE-Financial-Rules-and-Regulations試題這個網站，我們有針對 UAE-Financial-Rules-and-Regulations 認證考試的培訓工具，可以有效的確保你通過UAE-Financial-Rules-and-Regulations 考試，獲得 UAE-Financial-Rules-and-Regulations 證書，PDFExamDumps可以幫助你通過CISI UAE-Financial-Rules-and-Regulations認證考試，診斷和解決網絡故障，確實，UAE-Financial-Rules-and-Regulations考試是一門很難通過的考試，PDFExamDumps的最新的CISI UAE-Financial-Rules-and-Regulations 認證考試練習題及答案問世之後，通過CISI UAE-Financial-Rules-and-Regulations 認證考試已經不再是IT職員的夢想了，CISI UAE-Financial-Rules-and-Regulations 熱門考古題 對於第一次參加IT認證考試的考生來說，選擇一個好的具有針對性的培訓方案是很有必要的。

其實我亦哪能燭見未來，他第壹次深深的覺得自己是那麼的沒用，這麼好的一個能幫UAE-Financial-Rules-and-

**專業的UAE-Financial-Rules-and-Regulations熱門考古題和資格考試領先提供
商和可信賴的最新UAE-Financial-Rules-and-Regulations試題**

[illegible]

從Google Drive中免費下載最新的PDFExamDumps UAE-Financial-Rules-and-Regulations PDF版考試題庫：<https://drive.google.com/open?id=1Sno4IE3pjvc7mDTiEMEIWn2GAryKzyRm>