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此外，這些VCESoft UAE-Financial-Rules-and-Regulations考試題庫的部分內容現在是免費的：https://drive.google.com/open?id=1TdJ3I-5mGbBW2A-1Z9_aZ0kCjlrRMNU

VCESoft CISI的UAE-Financial-Rules-and-Regulations考試認證培訓資料是互聯網裏最好的培訓資料，在所有的培訓資料裏是佼佼者。它不僅可以幫助你順利通過考試，還可以提高你的知識和技能，也有助於你的職業生涯在不同的條件下都可以發揮你的優勢，所有的國家一視同仁。

不需要大量的時間和金錢，僅需30個小時左右的特殊培訓，你就能輕鬆通過你的第一次參加的CISI UAE-Financial-Rules-and-Regulations 認證考試。VCESoft能為你提供與真實的考試題目有緊密相似性的考試練習題。

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對於 CISI 的 UAE-Financial-Rules-and-Regulations 考試一般都需要花費大量的時間和精力來復習備考，那怎麼辦？可以嘗試用 VCESoft 網站的 UAE-Financial-Rules-and-Regulations 最新題庫學習資料，它能讓你瞭解更多有關考試的資訊，有效掌握考試知識點。UAE-Financial-Rules-and-Regulations 考古題是考試知識點的完美組合，覆蓋率高。只要使用本站的題庫學習資料參加 UAE-Financial-Rules-and-Regulations 考試，將有效的提高你的學習效率，降低考試成本。

最新的 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 免費考試真題 (Q32-Q37):

問題 #32

If a Special Purpose Acquisition Company fails to complete a business combination, measures to return the funds to investors must be taken within what maximum number of business days?

- A. 0

- B. 1
- C. 2
- **D. 3**

答案： D

解題說明：

Under CISI UAE Financial Rules and Regulations, if a Special Purpose Acquisition Company (SPAC) does not complete a business combination within the stipulated timeframe, it must initiate measures to return the funds to investors within a maximum of 20 business days. This safeguard ensures that investors are not indefinitely exposed to risks related to unutilized capital in the SPAC, maintaining market discipline and investor protection. The regulations mandate clear timelines for fund returns to prevent misuse or undue delay, aligning with international SPAC best practices. Timely fund returns uphold investor confidence and market integrity, essential in the UAE's evolving financial landscape.

Reference: CISI UAE Financial Rules and Regulations - SPAC Regulations, Investor Protection and Fund Return, Section 6.3.8 (2023).

問題 #33

When updating their money laundering compliance framework, firms involved in crypto assets are required to take into account the recommendations of which body?

- A. World Bank
- B. United Nations Office on Drugs and Crime
- **C. Financial Action Task Force**
- D. Bank for International Settlements

答案： C

解題說明：

Under the UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) framework, firms, including those involved in crypto assets, are required to align their compliance practices with international standards. The Financial Action Task Force (FATF) provides the global framework and recommendations to combat money laundering and terrorism financing. Firms must adhere to these recommendations to update and maintain their AML compliance programs effectively, ensuring that they remain in line with the best global practices and avoid involvement in illicit activities. The FATF's guidelines specifically address the risks posed by crypto assets and set standards for monitoring, reporting, and controlling potential misuse of such assets for money laundering purposes.

Reference: CISI UAE Financial Rules and Regulations - Anti-Money Laundering Framework and Crypto Assets, Section 9.2.4 (2023).

問題 #34

The approved job for conducting securities dealing is:

- A. Operations Manager
- B. Category Manager
- **C. Broker Representative**
- D. Trading Manager

答案： C

解題說明：

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles, Section 3.1.9 (2023).

問題 #35

The DFM's Professional Code of Conduct requires brokerage firms to take reasonable steps to determine the identity of their clients. For natural persons, this should include:

- A. profession, exact address, PO Box and phone number
- B. commercial register number and commercial licence
- C. nature of the entity, its legal form, type and capital
- D. full name of portfolio manager

答案： A

解題說明：

The Dubai Financial Market (DFM) Professional Code of Conduct mandates that brokerage firms perform thorough customer due diligence to confirm client identities. For natural persons, this includes obtaining detailed personal information such as profession, exact residential address, PO Box, and phone number. This comprehensive identification requirement supports anti-money laundering (AML) and know-your-customer (KYC) policies by enabling firms to verify clients accurately and assess their risk profiles effectively.

Commercial registration details and legal entity information apply to corporate clients, not individuals.

Collecting detailed contact and occupational data also facilitates ongoing monitoring and communication, fulfilling regulatory obligations to maintain transparent client records.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and DFM Professional Code of Conduct, Section 4.1.3 (2023).

問題 #36

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Only if it is licensed to do so
- B. Under no circumstances
- C. Only if the client proactively requests one
- D. Only if no recommendations are made

答案： A

解題說明：

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

問題 #37

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你還在猶豫什麼，機不可失，失不再來。現在你就可以獲得CISI的UAE-Financial-Rules-and-Regulations考題的完整本，只要你進VCESoft網站就能滿足你這個小小的欲望。你找到了最好的UAE-Financial-Rules-and-Regulations考試培訓資料，請你放心使用我們的考題及答案，你一定會通過的。

UAE-Financial-Rules-and-Regulations題庫下載: <https://www.vcesoft.com/UAE-Financial-Rules-and-Regulations-pdf.html>

我們VCESoft可以為你的IT認證保駕護航，是目前網路上最受歡迎的最可行的培訓資料網站，UAE-Financial-Rules-and-Regulations考試是你職業生涯中的一個里程碑，在這種競爭激烈的世界裏，它比以往任何時候都顯得比較重要，我們保證讓你一次輕鬆的通過考試，也讓你以後的工作及日常工作變得有滋有味，CISI UAE-Financial-Rules-and-Regulations題庫更新資訊 如果你發現我們提供的考試練習題和答案與實際考試練習題和答案有差別，不能使你通過考試，我們會立刻100%全額退款，我們CISI UAE-Financial-Rules-and-Regulations考古題是考試原題的完美組合，答案由多位專業資深講師原版破解得出，正確率100%，通過CISI UAE-Financial-Rules-and-Regulations認證考試是有一定的難度的，需要過硬的IT知識和經驗，因為畢竟CISI UAE-Financial-Rules-and-Regulations認證考試是權威的檢驗IT專業知識的考試，在這個什麼都不斷上漲除了工資不上漲的年代裏，難道你不想突破自己嗎，讓工資翻倍，這也不是不可能，只要通過CISI的UAE-Financial-Rules-and-Regulations考試認證，你將會得到你想要的，而

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