初段のUAE-Financial-Rules-and-Regulations日本語学習内容 &保証するCISI UAE-Financial-Rules-and-Regulations人気のある試験の成功UAE-Financial-Rules-and-Regulations復習時間

BONUS！！！ Xhs1991 UAE-Financial-Rules-and-Regulationsダンプの一部を無料でダウンロード：https://drive.google.com/open?id=1yq9INMB1Zyp_l6g5cxK7B3-JcE5L8PCC

IT業界で働いているあなたにとってのCISIのUAE-Financial-Rules-and-Regulations試験の重要性を知っていますから、我々はあなたを助けられるCISIのUAE-Financial-Rules-and-Regulationsソフトを開発しました。我々はあなたにすべての資料を探して科学的に分析しました。これらをするのはあなたのCISIのUAE-Financial-Rules-and-Regulations試験を準備する圧力を減少するためです。

CISI UAE-Financial-Rules-and-Regulations Exam Syllabus Topics:

Section	Weight	Objectives
Markets	10%	- UAE exchanges: DFM, ADX, NASDAQ Dubai - Trading and settlement rules - Listing and admission requirements
Associated Market and Securities Legislation and Practice	6%	- Securities laws and regulations - Legal obligations of market participants - Market operation rules
Market Conduct Legislation and Regulation	28%	- Insider dealing and market abuse - Disclosure and transparency obligations - Financial crime, AML and CFT regulations
The Regulatory Infrastructure	10%	- Legislative framework and regulatory objectives - Roles and powers of regulators - Regulatory bodies: SCA, CBUAE, DFSA, FSRA
Client Protection	20%	- Client assets and money protection - Client identification and classification - Communications, reporting and complaints handling
Trading	20%	- Reporting and compliance requirements - Market integrity and surveillance - Trading rules and mechanisms
Authorised Persons	6%	- Obligations of authorized firms and individuals - Conduct of business rules - Licensing and authorization requirements

>> UAE-Financial-Rules-and-Regulations日本語学習内容 <<

高品質-権威のあるUAE-Financial-Rules-and-Regulations日本語学習内容試験-試験の準備方法UAE-Financial-Rules-and-Regulations復習時間

実際、私たちはUAE-Financial-Rules-and-Regulations試験参考書に関するサービスとお客様に対する忠実がずっと続いています。だから、UAE-Financial-Rules-and-Regulations試験参考書に関連して、何か質問がありましたら、遠慮無く私たちとご連絡致します。私たちのサービスは２４時間で、短い時間で回答できます。 私たちのUAE-Financial-Rules-and-Regulations試験参考書は、あなたがUAE-Financial-Rules-and-Regulations試験に合格する前に最高のサービスを提供することを保証します。 これは確かに大きなチャンスです。絶対見逃さないです。

CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-Rules-and-Regulations 試験問題 (Q162-Q167):

質問 # 162
In which of the following circumstances is a brokerage company, which is both a trading and clearing member, allowed to freeze a client's securities?

- A. The client's account has been inactive for over two years
- B. The client no longer has a permanent residence inside the State
- C. The action is taken in accordance with the market procedures
- D. The company has reasonable grounds to suspect money laundering

正解：C

解説：
The DFM rules impose strict restrictions on trading and clearing members concerning control over securities belonging to clients. A brokerage firm must not undertake an action that freezes a client's securities or otherwise prevents the client from using or disposing of those securities unless a recognised legal or regulatory basis exists. The CISI study material identifies three such bases: a court ruling, procedures applicable in the DFM, or resolutions issued by the Authority. Therefore, where the freezing action is taken in accordance with established market procedures, it is permissible under the regulatory framework. An inactive account, loss of UAE residence, or the brokerage firm's own suspicion concerning money laundering does not, by itself, grant the firm an unrestricted power to freeze securities under this particular DFM rule.
Suspected money laundering is subject to separate AML reporting and control requirements. The question specifically tests the DFM restriction on brokerage firms interfering with client securities. Accordingly, option D is the correct regulatory condition.

質問 # 163
When establishing a local investment fund, how much are the founders required to subscribe?

- A. At least 5 million dirhams
- B. At least 10 million dirhams
- C. At least 20 million dirhams
- D. At least 1 million dirhams

正解：B

解説：
When establishing a local investment fund in the UAE, the founders are required to subscribe a minimum amount to demonstrate commitment and to comply with the legal and financial requirements set by the Securities and Commodities Authority (SCA). The minimum required subscription is at least 10 million dirhams. This ensures that the fund has a solid financial base, contributing to its credibility and ability to cover initial operational and management expenses. The founders' subscription also serves to align their interests with those of potential investors and provides an assurance of the fund's viability and long-term sustainability.
Reference: CISI UAE Financial Rules and Regulations - Fund Formation Requirements, Section 6.1.2 (2023).

質問 # 164
DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to deal with clients or on their behalf
- B. are employed to operate an electronic trading or clearing system
- C. are new to the company or the industry

- D. are on full-time or substantial part-time contracts

正解：A

解説：
DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.
Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

質問 # 165
Unless otherwise agreed, a broker must submit to the client a statement of account that outlines the client's balance of securities and cash, and all transactions executed every:

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

正解：C

解説：
Under the CISI UAE Financial Rules and Regulations, brokers are required to submit regular statements of account to clients. These statements must include the client's balance of securities and cash, as well as details of all transactions executed. The statement must be submitted on a monthly basis, unless a different arrangement is specifically agreed upon between the broker and the client. This ensures transparency, allowing clients to stay informed about their investment portfolios and the status of their accounts. Regular monthly reporting is a fundamental requirement for protecting client interests and ensuring that financial institutions operate with the highest standards of accountability and client service.
Reference: CISI UAE Financial Rules and Regulations - Client Account Statements, Section 4.5.2 (2023).

質問 # 166
Each licence applicant must provide a guide regulating the internal audit processes that includes:

- A. The mechanisms required to enable the responsible officer to have access to sufficient resources in order to perform the tasks and work independently
- B. Development and implementation of policies and procedures for managing risk so that advice can be provided to the board of directors and senior management
- C. The mechanism for informing the financial auditor immediately of any matter that may affect the financial position of the licensed body
- D. The responsible officer shall have access to most records and to the board of directors and senior management with only limited restrictions

正解：C

解説：
Licence applicants must maintain separate regulatory frameworks for risk management, compliance and internal audit, and this question distinguishes the requirements belonging specifically to internal audit. The internal audit guide must contain procedures allowing the internal auditor to act independently without interference or incompatible duties; procedures ensuring access to relevant records and information; arrangements for access to the board, senior officer or relevant board committee when necessary; and a mechanism for informing the financial auditor immediately about any matter that may affect the licensed body's financial position. It must also document the structure, responsibilities and procedures of the internal audit function. Option A belongs to the risk-management framework rather than internal audit. Option B resembles the requirement for the compliance officer to have adequate resources. Option D is also incorrectly worded because the relevant regulatory roles require appropriate access rather than access subject to arbitrary limited restrictions. Option C reproduces a specific internal-audit requirement and is therefore the correct answer.

質問 # 167

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UAE-Financial-Rules-and-Regulations認定はこの分野で大きな効果があり、将来的にもあなたのキャリアに影響を与える可能性があります。 UAE-Financial-Rules-and-Regulations実際の質問ファイルはプロフェッショナルで高い合格率であるため、ユーザーは最初の試行で試験に合格できます。高品質と合格率により、私たちは有名になり、より速く成長しています。多くの受験者は、UAE-Financial-Rules-and-Regulations学習ガイド資料が資格試験に最適なアシスタントであり、学習するために他のトレーニングコースや書籍を購入する必要がなく、試験の前にUAE-Financial-Rules-and-Regulations Investment Operations Certificate (IOC)試験ブレーンダンプを実践する、彼らは簡単に短時間で試験に合格することができます。

UAE-Financial-Rules-and-Regulations復習時間: https://www.xhs1991.com/UAE-Financial-Rules-and-Regulations.html link.woomy.me, myportal.utt.edu.tt, www.stes.tyc.edu.tw, Disposable vapes

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