

UAE-Financial-Rules-and-Regulations인증시험자료완벽한시험대비인증덤프



2026 Itcertkr 최신 UAE-Financial-Rules-and-Regulations PDF 버전 시험 문제집과 UAE-Financial-Rules-and-Regulations 시험 문제 및 답변 무료 공유: https://drive.google.com/open?id=1nkCADqLbIXuEBuSO_4vnoe4zhV5EMNVF

만약 시험만 응시하고 싶으시다면 우리의 최신CISI UAE-Financial-Rules-and-Regulations자료로 시험 패스하실 수 있습니다. Itcertkr 의 학습가이드에는CISI UAE-Financial-Rules-and-Regulations인증시험의 예상문제, 시험문제와 답 임으로 100% 시험을 패스할 수 있습니다.우리의CISI UAE-Financial-Rules-and-Regulations시험자료로 충분한 시험준비하는것이 좋을것 같습니다. 그리고 우리는 일년무료 업데이트를 제공합니다.

지금 같은 상황에서 몇년간CISI UAE-Financial-Rules-and-Regulations시험자격증만 소지한다면 일상생활에서많은 도움이 될것입니다. 하지만 문제는 어떻게CISI UAE-Financial-Rules-and-Regulations시험을 간단하게 많은 공을 들이지 않고 시험을 패스할것인가이다? 우리Itcertkr는 여러분의 이러한 문제들을 언제든지 해결해드리겠습니다. 우리의UAE-Financial-Rules-and-Regulations시험마스터방법은 바로IT전문가들이제공한 시험관련 최신연구자료들입니다. 우리Itcertkr 여러분은UAE-Financial-Rules-and-Regulations시험관련 최신버전자료들을 얻을 수 있습니다. Itcertkr을 선택함으로써 여러분은 성공도 선택한것이라고 볼수 있습니다.

>> UAE-Financial-Rules-and-Regulations인증시험자료 <<

UAE-Financial-Rules-and-Regulations합격보장 가능 덤프공부, UAE-Financial-Rules-and-Regulations완벽한 덤프문제

Itcertkr는CISI UAE-Financial-Rules-and-Regulations인증시험을 아주 쉽게 패스할 수 있도록 도와드리는 사이트입니다. Itcertkr의 엘리트한 전문가가 끈임 없는 노력으로 최고의CISI UAE-Financial-Rules-and-Regulations자료를 만들었습니다. 이 자료로 여러분은 100%CISI의UAE-Financial-Rules-and-Regulations인증시험을 패스할 수 있으며, Itcertkr을 선택함으로 성공을 선택한 것입니다. Itcertkr가 제공하는 시험가이드로 효과적인 학습으로 많은 분들이 모두 인증시험을 패스하였습니다. 이걸 모두 Itcertkr 인증시험덤프로 공부하였기 때문입니다. 그 중CISI UAE-Financial-Rules-and-Regulations인증시험을 패스한 분들도 모두 Itcertkr인증시험덤프를 사용하였기 때문입니다.

최신 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 무료샘플문제 (Q65-Q70):

질문 # 65

The minimum paid-up capital requirement for ranking and advice firms is:

- A. AED 5 million
- B. AED 30 million
- C. AED 50 million
- D. none

정답: A

설명:

Under CISI UAE Financial Rules and Regulations, firms offering ranking and advisory services in the financial sector must meet a minimum paid-up capital requirement of AED 5 million. This capital threshold ensures that such firms have sufficient financial resources to maintain operational stability, manage risks, and fulfill regulatory obligations. It also reflects the level of responsibility these firms carry in providing investment advice and rankings that impact market participants. Higher capital requirements apply to more systemically significant entities, but the AED 5 million benchmark balances accessibility and prudence for ranking and advice firms.

Reference: CISI UAE Financial Rules and Regulations - Licensing Capital Requirements, Section 3.2.5 (2023).

질문 # 66

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 2 days
- **B. 5 days**
- C. 10 days
- D. 30 days

정답: B

설명:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

질문 # 67

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- **A. Notify the concerned entity at the Authority or any of the capital market institutions immediately**
- B. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- C. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- D. The Chair and Board of Directors should notify the Authority and tender their resignations

정답: A

설명:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately. According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

질문 # 68

When promoting private funds, related materials must:

- **A. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority**
- B. advise that the funds cannot be transferred to a third party
- C. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media
- D. receive prior approval of the content from the Authority

정답: A

설명:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

질문 # 69

Why would the Authority board resolve temporarily to halt trading in the shares of any company?

- A. A threat to the proper and regular working of that market arises
- B. A written complaint is made relating to a market activity
- C. It does not have the technical equipment necessary to conduct its activity electronically
- D. It transpires that the spouse of a board member is a director of that entity

정답: A

설명:

The Authority board may decide to temporarily halt trading in the shares of a company if a threat to the proper and regular working of that market arises. This action is taken to ensure the integrity of the market and protect investors from any disruption caused by irregularities or unexpected events. Such threats could include issues like system failures, significant market manipulation, or events that might cause unfair trading conditions.

Halting trading is a precautionary measure that aims to stabilize the market, allowing time for the issue to be resolved before trading resumes.

Reference: CISI UAE Financial Rules and Regulations - Trading Halts and Market Integrity, Section 3.4.2 (2023).

질문 # 70

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UAE-Financial-Rules-and-Regulations합격보장 가능 덤프공부 : https://www.itcertkr.com/UAE-Financial-Rules-and-Regulations_exam.html

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그러는 과정에서 주문의 운율은 더욱 더 격해져 갔다, 엄마의 손목을 따라 흘러내린 피가UAE-Financial-Rules-and-Regulations바닥으로 한 방울, 두 방울 떨어졌다, 경쟁이 이와같이 치열한 환경속에서 누구도 대체할수 없는 자기만의 자리를 찾으려면 IT인증자격증취득은 무조건 해야 하는것이 아닌가 싶습니다.

최근 인기시험 UAE-Financial-Rules-and-Regulations인증 시험자료 덤프데모문제

UAE-Financial-Rules-and-Regulations덤프구매후 시험에서 불합격 받으신다면 덤프비용을 환불해드립니다, 우리

Itcertkr 에는 최신의CISI UAE-Financial-Rules-and-Regulations학습가이드가 있습니다, CISI UAE-Financial-Rules-and-Regulations시험은 인기 자격증을 필수 시험과목인데CISI UAE-Financial-Rules-and-Regulations시험부터 자격증 취득에 도전해보지 않으실래요?

결코 꿈은 이루어질것입니다.

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