

# Latest CISI UAE Financial Rules and Regulations Exam exam pdf, UAE-Financial-Rules-and-Regulations practice exam

## CISI.UAE-Financial-Rules-and-Regulations.v2025-12-25.q35

Exam Code:	UAE-Financial-Rules-and-Regulations
Exam Name:	CISI UAE Financial Rules and Regulations Exam
Certification Provider:	CISI
Free Question Number:	35
Version:	v2025-12-25
# of views:	107
# of Questions views:	350
<a href="https://www.exam-tests.com/UAE-Financial-Rules-and-Regulations-exam/CISI-UAE-Financial-Rules-and-Regulations.v2025-12-25.q35.html">https://www.exam-tests.com/UAE-Financial-Rules-and-Regulations-exam/CISI UAE-Financial-Rules-and-Regulations.v2025-12-25.q35.html</a>	

### NEW QUESTION: 1

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

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

**Answer: D (LEAVE A REPLY)**

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).

### NEW QUESTION: 2

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

BONUS!!! Download part of Itcertmaster UAE-Financial-Rules-and-Regulations dumps for free: <https://drive.google.com/open?id=19cOud6jrhBrMZwPIdFhmZq3VS16q2wBK>

we believe that all students who have purchased UAE-Financial-Rules-and-Regulations practice materials will be able to successfully pass the professional UAE-Financial-Rules-and-Regulations qualification exam as long as they follow the content provided by our UAE-Financial-Rules-and-Regulations study materials, study it on a daily basis, and conduct regular self-examination through mock exams. Of course, before you buy, our UAE-Financial-Rules-and-Regulations Study Materials offer you a free trial service, as long as you log on our website, you can download our trial questions bank for free. I believe that after you try UAE-Financial-Rules-and-Regulations test engine, you will love them.

Do you want to find a good job which brings you high income? Do you want to be an excellent talent? The UAE-Financial-Rules-and-Regulations certification can help you realize your dream which you long for because the UAE-Financial-Rules-and-Regulations test prep can prove that you own obvious advantages when you seek jobs and you can handle the job very well. So our UAE-Financial-Rules-and-Regulations Exam Preparation can be conducive to helping you pass the UAE-Financial-Rules-and-Regulations exam and find a good job. What are you waiting for? Just come and buy our UAE-Financial-Rules-and-Regulations exam questions!

>> Exam UAE-Financial-Rules-and-Regulations Fees <<

**UAE-Financial-Rules-and-Regulations latest testking & UAE-Financial-**

## Rules-and-Regulations prep vce & UAE-Financial-Rules-and-Regulations exam practice

Our company is professional brand established for compiling UAE-Financial-Rules-and-Regulations exam materials for candidates, and we aim to help you to pass the examination as well as getting the related certification in a more efficient and easier way. Owing to the superior quality and reasonable price of our UAE-Financial-Rules-and-Regulations Exam Materials, our company has become a top-notch one in the international market. Our UAE-Financial-Rules-and-Regulations exam torrents are not only superior in price than other makers in the international field, but also are distinctly superior in the following respects.

### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q23-Q28):

#### NEW QUESTION # 23

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 5,000,000
- B. no less than AED 1,000,000 and no more than AED 10,000,000
- C. no less than AED 50,000 and no more than AED 1,000,000
- D. no less than AED 100,000 and no more than AED 1,000,000

**Answer: A**

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 # 24

Firms providing investment management services must provide periodic statements to retail clients, in normal circumstances at least every:

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

**Answer: C**

Explanation:

The CISI UAE Financial Rules and Regulations require that firms offering investment management services deliver periodic statements to retail clients at least every 6 months under normal circumstances. This frequency strikes a balance between providing clients with timely updates on their investments and operational practicality for firms. The statements include performance, transaction details, fees, and holdings, enabling retail clients to monitor their portfolios and make informed decisions. More frequent reporting may be required in special situations, but semi-annual reporting is the standard minimum.

Reference: CISI UAE Financial Rules and Regulations - Client Reporting Requirements, Section 4.5.3 (2023).

#### NEW QUESTION # 25

The last trading day for an India Gold Quanto Futures contract is:

- A. one business day prior to the last business day of the delivery month
- B. the 25th calendar day of the delivery month
- C. four business days prior to the 25th calendar day of the delivery month
- D. two business days prior to the last business day of the delivery month

**Answer: D**

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

#### **NEW QUESTION # 26**

Why might employees in one part of a regulated business be permitted to withhold information from employees in another part of the business?

- A. Strict privacy of client information
- B. At the request of the audit function
- **C. To comply with a Chinese wall**
- D. Prevention of insider trading

**Answer: C**

Explanation:

CISI UAE Financial Rules and Regulations recognize the concept of a Chinese wall, which permits employees in one part of a regulated business to withhold certain information from employees in other parts.

This internal information barrier is designed to prevent conflicts of interest and insider trading by restricting the flow of sensitive or non-public information between departments. By implementing Chinese walls, firms ensure compliance with legal and regulatory requirements, uphold market integrity, and protect client interests. While audit requests and privacy concerns are valid, the primary regulatory rationale for withholding information internally is to maintain effective Chinese walls.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Information Barriers, Section 3.4.10 (2023).

#### **NEW QUESTION # 27**

The statement in a suitability report giving reasons for the recommendation must also indicate:

- A. whether or not the client has accepted this guidance
- B. why the next best product or service was disregarded
- **C. the client's ability to bear any risks and losses**
- D. the extent to which the author is qualified to make this judgement

**Answer: C**

Explanation:

In CISI UAE Financial Rules and Regulations, suitability reports must include a clear statement addressing the client's ability to bear any risks and losses associated with the recommended financial product or service.

This disclosure ensures that recommendations are made with a full understanding of the client's financial capacity and risk tolerance, protecting clients from unsuitable advice. While explanations about alternative products, client acceptance, and author qualifications are relevant, the ability to bear risk is essential to justify the recommendation and meet regulatory standards for investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Reporting, Section 4.3.11 (2023).

#### **NEW QUESTION # 28**

.....

Buying any product should choose a trustworthy company. Our Itcertmaster can give you the promise of the highest pass rate of UAE-Financial-Rules-and-Regulations exam, we can give you a promise to try our UAE-Financial-Rules-and-Regulations software for free, and the promise of free updates within a year after purchase. To resolve your doubts, we assure you that if you regrettably fail the UAE-Financial-Rules-and-Regulations Exam, we will full refund all the cost you buy our study materials. Itcertmaster is your best partners in your preparation for UAE-Financial-Rules-and-Regulations exam.



myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, www.stes.tyc.edu.tw, mysocialfeeder.com, delilahjhz448710.blog-kids.com, isaiahruxq646256.wikilinksnews.com, deannaknia961120.blogvivi.com, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, socialrator.com, bbsocialclub.com, www.stes.tyc.edu.tw, Disposable vapes

BONUS!!! Download part of Itcertmaster UAE-Financial-Rules-and-Regulations dumps for free: <https://drive.google.com/open?id=19cOud6jrHBrMZwPIdFhmZq3VS16q2wBK>