

素敵なCISI UAE-Financial-Rules-and-Regulations: CISI UAE Financial Rules and Regulations Exam問題例 - 100%パステートFast2test UAE-Financial-Rules-and-Regulations合格率書籍

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

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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:

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時間とお金の集まりより正しい方法がもっと大切です。UAE-Financial-Rules-and-Regulations試験のために勉強していますなら、我々の提供するUAE-Financial-Rules-and-Regulations試験ソフトはあなたの選びの最高です。信じられないなら、デモをご覧ください。我々も返金保障があります。180日以内、お客様はUAE-Financial-Rules-and-Regulations試験に失敗したら、我々はおお客様の支払った金額をお客様に戻すことができます。

安全で信頼できるウェブサイトとして、あなたの個人情報の隠しとお支払いの安全性を保障していますから、弊社のCISIのUAE-Financial-Rules-and-Regulations試験ソフトを安心にお買いください。我々は一番全面的な問題集を提供しています。Fast2testのサイトで探したり、弊社の係員に問い合わせたりすることができます。我々は試験の合格を保証することができます。

>> UAE-Financial-Rules-and-Regulations問題例 <<

UAE-Financial-Rules-and-Regulations合格率書籍 & UAE-Financial-Rules-and-Regulations日本語受験教科書

多くの時間とお金がいらなくて20時間だけあって楽に一回にCISIのUAE-Financial-Rules-and-Regulations認定試験を合格できます。Fast2testが提供したCISIのUAE-Financial-Rules-and-Regulations試験問題と解答が真実の試験の練習問題と解答は最高の相似性があります。

CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-Rules-and-Regulations 試験問題 (Q68-Q73):

質問 # 68

Where a private equity fund is to be incorporated, the incorporation agreement must include a statement indicating:

- A. who bears main responsibility for regulatory compliance
- B. whether the investment management will be outsourced
- C. who will be appointed auditor for the fund
- D. whether the limited partners can influence investment management

正解: A

解説:

The CISI UAE Financial Rules and Regulations stipulate that the incorporation agreement for a private equity fund must clearly specify who bears main responsibility for regulatory compliance. This is essential to delineate accountability and ensure the fund operates within the legal framework set by UAE regulators.

Establishing regulatory responsibility clarifies oversight roles, risk management, and adherence to licensing and reporting obligations. While other elements such as auditor appointments or investment management arrangements are important, the regulatory framework specifically mandates the explicit allocation of compliance responsibility in the incorporation agreement to prevent ambiguity and promote sound governance. This ensures protection of investors and maintains fund integrity.

Reference: CISI UAE Financial Rules and Regulations - Private Equity Funds Incorporation, Section 6.1.9 (2023).

質問 # 69

Why would a transaction to purchase securities be declared null and void?

- A. The investor has a conviction of an offence of dishonour
- B. It was the result of a rumour being spread
- C. The Authority has levied a penalty for delay of payment
- D. The individual is a former employee

正解: B

解説:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

質問 # 70

What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 300,000
- B. AED 250,000
- C. AED 150,000
- D. AED 200,000

正解: C

解説:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE

treats the crime of funding illegal or terrorist entities.

Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.

These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

質問 # 71

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

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

正解: B

解説:

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).

質問 # 72

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. 3 months
- C. 6 months
- **D. month**

正解: D

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 # 73

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CISIのUAE-Financial-Rules-and-Regulations試験のために不安なのですか。弊社のソフトは買うたるかどうかもまだ疑問がありますか。そうであれば、無料で弊社の提供するCISIのUAE-Financial-Rules-and-Regulationsのデモをダウンロードしてみよう。我々提供する資料はあなたの需要だと知られています。あなたのCISIのUAE-Financial-Rules-and-Regulations試験に参加する圧力を減ってあなたの効率を高めるのは我々の使命だと思います。

UAE-Financial-Rules-and-Regulations合格率書籍: <https://jp.fast2test.com/UAE-Financial-Rules-and-Regulations-premium-file.html>

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