

UAE-Financial-Rules-and-Regulations시험합격 - UAE-Financial-Rules-and-Regulations최신버전시험대비자료



BONUS!!! DumpTOP UAE-Financial-Rules-and-Regulations 시험 문제집 전체 버전을 무료로 다운로드하세요:
<https://drive.google.com/open?id=1B3U-q37OmhlrfOMwX7ZcPEN5WkWCwgKU>

DumpTOP의 CISI인증 UAE-Financial-Rules-and-Regulations시험덤프자료는 IT인사들의 많은 찬양을 받아왔습니다. 이는 DumpTOP의 CISI인증 UAE-Financial-Rules-and-Regulations덤프가 신뢰성을 다시 한번 인증해주는 것입니다. CISI인증 UAE-Financial-Rules-and-Regulations시험덤프의 인기는 이 시험과목이 얼마나 중요한지를 증명해줍니다. DumpTOP의 CISI인증 UAE-Financial-Rules-and-Regulations덤프로 이 중요한 IT인증시험을 준비하시면 우수한 성적으로 시험을 통과하여 인정받는 IT전문가로 될 것입니다.

네트워크 전성기에 있는 지금 인터넷에서CISI 인증UAE-Financial-Rules-and-Regulations시험자료를 많이 검색할수 있습니다. 하지만 왜DumpTOP덤프자료만을 믿어야 할가요? DumpTOP덤프자료는 실제시험문제의 모든 유형에 근거하여 예상문제를 묶어둔 문제은행입니다. 시험적중율이 거의 100%에 달하여CISI 인증UAE-Financial-Rules-and-Regulations시험을 한방에 통과하도록 도와드립니다.

>> UAE-Financial-Rules-and-Regulations시험합격 <<

시험준비에 가장 좋은 UAE-Financial-Rules-and-Regulations시험합격 덤프 데모문제

여러분은CISI UAE-Financial-Rules-and-Regulations인증시험을 패스함으로 IT업계관련 직업을 찾고자하는 분들에게는 아주 큰 가산점이 될수 있으며, 성당한 IT업계사업자와 한걸음 가까와 집니다.

최신 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 무료샘플문제 (Q30-Q35):

질문 # 30

A joint-stock company applying for a licence to conduct clearing activities in a commodity market recently appointed a new chairman and a new CEO. Why did this lead to the application being refused?

- A. They were supported by just three other board members
- B. Only the chairman held a tranche of the company's shares
- C. They had been employed by the company during the previous year
- D. Only the CEO's compensation had been approved by the Authority

정답: C

설명:

According to CISI UAE Financial Rules and Regulations, applications for licences to conduct clearing activities require that key senior officers such as the chairman and CEO meet certain tenure and independence criteria. The application was refused because both the newly appointed chairman and CEO had been employed by the company during the previous year, which raises concerns about independence and potential conflicts of interest. Regulators require sufficient separation and stability in leadership to ensure effective governance and risk management in critical market infrastructure roles like clearing. The recent employment history suggested insufficient cooling-off periods or independence safeguards.

Reference: CISI UAE Financial Rules and Regulations - Licensing Requirements for Clearing Firms, Section 7.1.3 (2023).

질문 # 31

When licence applicants submit behaviour regulations including a professional code of ethics, this falls under the category of:

- A. governance regulation
- B. employee regulation
- C. administration regulation
- D. technical system

정답: A

설명:

Behaviour regulations submitted by license applicants, such as a professional code of ethics, are classified under governance regulations within the CISI UAE Financial Rules and Regulations framework. Governance regulations encompass policies, standards, and codes that guide the ethical conduct, integrity, and responsibilities of licensed entities and their employees. They are designed to promote accountability, compliance, and good corporate citizenship within the financial industry. Unlike technical systems, which relate to operational infrastructure, or employee regulations focused on HR and workplace rules, governance regulations provide the overarching ethical and procedural guidelines essential for sustaining market confidence and protecting stakeholders. The inclusion of a professional code of ethics ensures license applicants demonstrate commitment to the principles of fairness, transparency, and fiduciary duty, which are fundamental requirements by the Securities and Commodities Authority (SCA) for licensing approval.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Governance, Section 3.1.4 (2023).

질문 # 32

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. is formally classed as an insurance company
- B. was incorporated in the last three years
- C. has been designated a company of State importance
- D. issued shares in a public offer in the last six months

정답: D

설명:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

질문 # 33

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The new director had less than 5 years' experience
- **B. The obligor failed to also notify the market**
- C. The new director held a foreign passport
- D. The obligor failed to give 14 days' notice

정답: B

설명:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach. Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

질문 # 34

If a listed company faces accumulated losses of 50% or more of capital, what is required to happen?

- **A. It is moved from a first category listing to a second category of listing**
- B. It is required to be audited more frequently
- C. It is moved from a second category listing to a first category of listing
- D. Its shares are suspended for at least six months

정답: A

설명:

If a listed company faces accumulated losses of 50% or more of its capital, the company is required to be moved from a first category listing to a second category of listing. This measure is designed to protect investors by ensuring that only financially stable companies remain in the primary listing category, which is subject to stricter regulatory oversight and higher investor expectations. The second category listing provides a lower level of visibility, which reflects the increased financial risks associated with such companies. This helps mitigate the potential impact on other market participants.

Reference: CISI UAE Financial Rules and Regulations - Listing Categories and Financial Health, Section 2.5.1 (2023).

질문 # 35

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UAE-Financial-Rules-and-Regulations최신버전 시험대비자료: <https://www.dumptop.com/CISI/UAE-Financial-Rules-and-Regulations-dump.html>

DumpTOP 에서 제공해드리는 CISI인증UAE-Financial-Rules-and-Regulations시험덤프자료를 구입하시면 완벽한 구매후 서비스를 약속드립니다, CISI UAE-Financial-Rules-and-Regulations시험합격 멋진 IT전문가로 거듭나는 것이 꿈 이라고요, CISI UAE-Financial-Rules-and-Regulations 시험적중률 높은 덤프로 시험패스하세요, DumpTOP는 여러분께 CISI UAE-Financial-Rules-and-Regulations시험패스의 편리를 드릴 수 있다고 굳게 믿고 있습니다, DumpTOP는UAE-Financial-Rules-and-Regulations시험문제가 변경되면UAE-Financial-Rules-and-Regulations덤프업데이트를 시도합니다, DumpTOP UAE-Financial-Rules-and-Regulations최신버전 시험대비자료덤프를 사용하여 시험에서 통과하신 분이 전해 주신 희소식이 DumpTOP UAE-Financial-Rules-and-Regulations최신버전 시험대비자료 덤프품질을 증명해드립니다.

숨을 고르고서 머리를 더 차갑게 식혀갔다, 준영의 싸늘한 말에 수아가 물끄러미 그를 바라봤다, DumpTOP 에서 제공해드리는 CISI인증UAE-Financial-Rules-and-Regulations시험덤프자료를 구입하시면 완벽한 구매후 서비스를 약

속드립니다.

최신 UAE-Financial-Rules-and-Regulations 시험합격 인증덤프 샘플문제 체 험하기

멋진 IT전문가로 거듭나는 것이 꿈이라구요, CISI UAE-Financial-Rules-and-Regulations 시험적중률 높은 덤프로 시험 패스하세요, DumpTOP는 여러분께CISI UAE-Financial-Rules-and-Regulations시험패스의 편리를 드릴 수 있다고 굳게 믿고 있습니다, DumpTOP는UAE-Financial-Rules-and-Regulations시험문제가 변경되면UAE-Financial-Rules-and-Regulations덤프업데이트를 시도합니다.

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