

UAE-Financial-Rules-and-Regulationsリンクグローバル、UAE-Financial-Rules-and-Regulations日本語対策



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>> UAE-Financial-Rules-and-Regulationsリンクグローバル <<

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CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-Rules-and-Regulations 試験問題 (Q20-Q25):

質問 # 20

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

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

正解: A

解説:

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).

質問 # 21

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. after 5 working days
- B. immediately
- C. within a maximum of 72 hours
- D. within a maximum of 48 hours

正解: C

解説:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

質問 # 22

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

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

正解: D

解説:

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).

質問 # 23

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. manage conflicts of interest
- B. identify potential money laundering
- C. reduce the risk to investors
- D. deal with succession planning

正解: A

解説:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

質問 # 24

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. receive prior approval of the content from the Authority
- C. advise that the funds cannot be transferred to a third party
- D. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media

正解: A

解説:

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).

質問 # 25

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