

UAE-Financial-Rules-and-Regulations퍼펙트덤프최신샘플 & UAE-Financial-Rules-and-Regulations인기자격증 시험대비공부자료



그 외, Pass4Test UAE-Financial-Rules-and-Regulations 시험 문제집 일부가 지금은 무료입니다:
<https://drive.google.com/open?id=1uCYCpfpCISsH9G0XndK2y-DUGGiadtto>

여러분이 우리CISI UAE-Financial-Rules-and-Regulations문제와 답을 체험하는 동시에 우리Pass4Test를 선택여부에 대하여 답이 나올 것입니다. 우리는 백프로 여러분들한테 편리함과 통과 율은 보장 드립니다. 여러분이 안전하게CISI UAE-Financial-Rules-and-Regulations시험을 패스할 수 있는 곳은 바로 Pass4Test입니다.

CISI인증사에서 주체하는 UAE-Financial-Rules-and-Regulations시험은 IT업계에 종사하는 분이시라면 모두 패스하여 자격증을 취득하고 싶으리라 믿습니다. Pass4Test에서는 여러분이 IT인증자격증을 편하게 취득할수 있게 도와드리 는 IT자격증 시험대비시험자료를 제공해드리는 전문 사이트입니다. Pass4Test덤프로 자격증취득의 꿈을 이루세요.

>> UAE-Financial-Rules-and-Regulations퍼펙트 덤프 최신 샘플 <<

UAE-Financial-Rules-and-Regulations인기자격증 시험대비 공부자료 & UAE-Financial-Rules-and-Regulations자격증참고서

Pass4Test는CISI UAE-Financial-Rules-and-Regulations인증시험의 촉매제 같은 사이트입니다.CISI UAE-Financial-Rules-and-Regulations인증시험 관련 덤프가 우리Pass4Test에서 출시되었습니다. 여러분이CISI UAE-Financial-Rules-and-Regulations인증시험으로 나 자신과 자기만의 뛰어난 지식 면을 증명하고 싶으시다면 우리 Pass4Test의CISI UAE-Financial-Rules-and-Regulations덤프자료가 많은 도움이 될 것입니다.

최신 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 무료샘플문제 (Q78-Q83):

질문 # 78

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

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

정답: C

설명:

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).

질문 # 79

If an issuer provides its shareholders with bonus shares, then the CSD Department will deposit the bonus shares issued in the account and will register them as a whole, round number. What happens in the case that there are fractions of shares?

- A. These are also added to the shareholder's account
- B. They are totalled up and put in a suspense account
- C. The issuing company must sell them within 45 days
- D. The issuing company must sell them within 30 days

정답: B

설명:

When bonus shares are issued, the Central Securities Depository (CSD) registers shares in whole numbers only. Any fractions of shares that result from the bonus share calculation cannot be credited to individual shareholder accounts. According to CISI UAE Financial Rules and Regulations, these fractional shares are aggregated and placed into a suspense account by the CSD. The suspense account holds these fractional shares collectively until such time as they can be properly managed, such as by being sold off and the proceeds distributed to shareholders in proportion to their holdings. This process prevents fractional shares from being credited inaccurately, ensuring operational clarity and market integrity. The issuing company is not immediately responsible for selling these fractions, but regulatory oversight governs their eventual disposal.

Reference: CISI UAE Financial Rules and Regulations - Securities Issuance and Registration, Section 5.3.6 (2023).

질문 # 80

In order for the contents of a financial promotion which quotes yield figures to satisfy the clear, fair, and not misleading rule, it should:

- A. give a balanced impression of both short and long term prospects
- B. make the promotion available simultaneously in printed form and online
- C. ensure all monetary examples are calculated to at least two decimal places
- D. always assume the communication is intended for a retail client

정답: A

설명:

For a financial promotion that quotes yield figures to comply with the clear, fair, and not misleading rule, it must give a balanced impression of both short and long term prospects. This ensures that the promotion does not mislead the client by focusing too heavily on short-term returns or exaggerating long-term performance. A balanced presentation of both short and long-term outcomes is essential for providing a full, accurate picture of the investment, allowing clients to make informed decisions. This approach aligns with the principles of transparency and fairness that underpin financial regulation.

Reference: CISI UAE Financial Rules and Regulations - Financial Promotions and Yield Quotes, Section 5.2.3 (2023).

질문 # 81

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Client agreements, selling orders and accounts
- B. Selling orders and accounts only
- C. Client agreements and selling orders only
- D. Accounts and client agreements only

정답: A

설명:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

질문 # 82

Membership of an Authority regulated market is obligatory for which of the following entities?

- A. Licensed brokers
- B. Listed joint-stock companies and licensed brokers
- C. Listed joint-stock companies, licensed brokers and any other type of business entity
- D. Listed joint-stock companies, licensed brokers and other listed entities

정답: D

설명:

Under the UAE regulatory framework, membership of an Authority-regulated market is obligatory for listed joint-stock companies, licensed brokers, and other listed entities. This requirement ensures that all entities involved in public trading or listed on the market adhere to the regulatory standards set by the market's governing body. It provides a structured environment for trading and market oversight, promoting transparency and fairness. The inclusion of licensed brokers and other listed entities ensures that all market participants are subject to the same rules, helping to maintain integrity and stability in the market.

Reference: CISI UAE Financial Rules and Regulations - Market Membership Requirements, Section 3.1.4 (2023).

질문 # 83

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CISI UAE-Financial-Rules-and-Regulations인증시험도 어려울 뿐만 아니라 신청 또한 어렵습니다. CISI UAE-Financial-Rules-and-Regulations시험은 IT업계에서도 권위가 있고 직위가 있으신 분들이 응시할 수 있는 시험이라고 알고 있습니다. 우리 Pass4Test에서는 CISI UAE-Financial-Rules-and-Regulations관련 학습가이드를 제공합니다. Pass4Test는 우리만의 IT전문가들이 만들어낸 CISI UAE-Financial-Rules-and-Regulations관련 최신, 최고의 자료와 학습가이드를 준비하고 있습니다. 여러분의 편리하게 CISI UAE-Financial-Rules-and-Regulations응시하는데 많은 도움이 될 것입니다.

UAE-Financial-Rules-and-Regulations인기자격증 시험대비 공부자료 : <https://www.pass4test.net/UAE-Financial-Rules-and-Regulations.html>

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안녕, 보라야, 정확히 여기가 어딘지는 모르겠지만, 대충 강을 거슬러 올 UAE-Financial-Rules-and-Regulations라가다

보면 수색대를 만나게 될지도 모른다, 아주 신기한 효과가 있을 것입니다, 왜냐면 우리의 전문가들은 매일 최신버전을 갱신하고 있기 때문입니다.

UAE-Financial-Rules-and-Regulations퍼펙트 덤프 최신 샘플 시험공부

CISI인증 UAE-Financial-Rules-and-Regulations시험을 준비하고 계시는 분들은Pass4Test의CISI인증 UAE-Financial-Rules-and-Regulations덤프로 시험준비를 해보세요, 거침없이 발전해나가는 IT업계에서 자신만의 자리를 중요하지 않고 단단히 지킬려면CISI인증 UAE-Financial-Rules-and-Regulations시험은 무조건 패스해야 합니다.

CISI 인증UAE-Financial-Rules-and-Regulations덤프는 IT업계전문가들이 끊임없는 노력과 지금까지의 경험으로 연구하여 만들어낸 제일 정확한 시험문제와 답들로 만들어졌습니다.

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