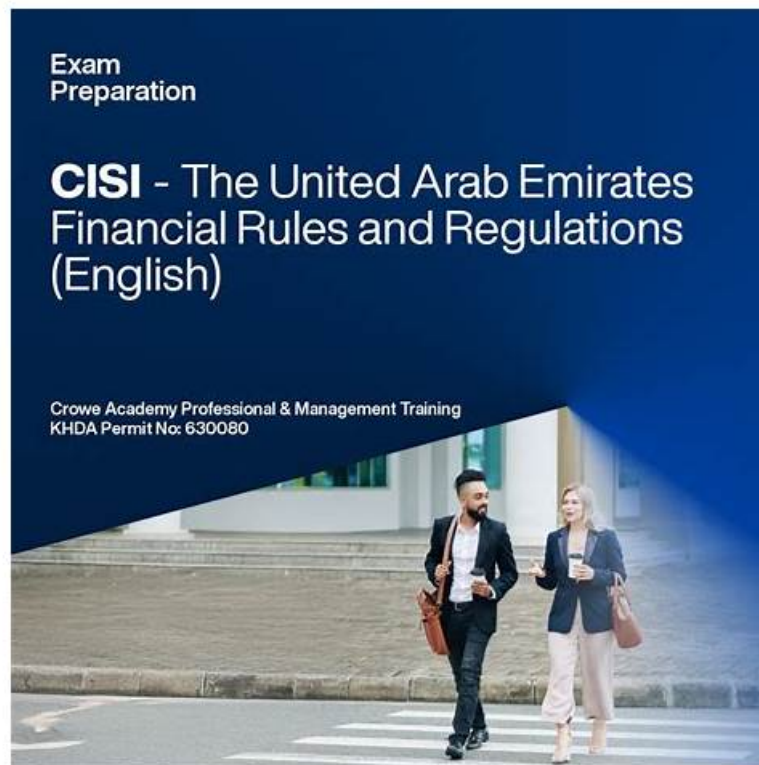


100% Pass Pass-Sure UAE-Financial-Rules-and-Regulations - CISI UAE Financial Rules and Regulations Exam Valid Exam Pdf



P.S. Free 2026 CISI UAE-Financial-Rules-and-Regulations dumps are available on Google Drive shared by Prep4King:
<https://drive.google.com/open?id=1UGfa8gqZGnYgoRItJu2b4zh8ZQ92awOl>

The companies do not want to lose them and they offer a good package to convince the candidate to become a part of their organization. So, to fit in the game, you must go for the Prep4King CISI UAE-Financial-Rules-and-Regulations Practice Exam that will show you where you stand and how hard you need to work to get the CISI UAE Financial Rules and Regulations Exam (UAE-Financial-Rules-and-Regulations) certification exam.

If you really want to get an international certificate, UAE-Financial-Rules-and-Regulations training quiz is really your best choice. Of course. UAE-Financial-Rules-and-Regulations preparation materials are global products that have been tested by users worldwide. You can be absolutely assured about the quality of the UAE-Financial-Rules-and-Regulations training quiz. Our company has hired the most professional team of experts at all costs to ensure that the content of UAE-Financial-Rules-and-Regulations guide questions is the most valuable. you really must get international certification!

>> UAE-Financial-Rules-and-Regulations Valid Exam Pdf <<

My Review On CISI UAE-Financial-Rules-and-Regulations Exam Questions

For candidates who will attend an exam, some practice for it is necessary. UAE-Financial-Rules-and-Regulations Exam Dumps of us will give you the practice you need. UAE-Financial-Rules-and-Regulations exam dumps of us contain the knowledge point of the exam. Skilled professionals will verify the questions and answers, which will guarantee the correctness. Besides, we also offer you free update for one year after purchasing, and the update version will send to your email address automatically.

CISI UAE Financial Rules and Regulations Exam Sample Questions (Q27-Q32):

NEW QUESTION # 27

Which of the following customer due diligence measures should be taken if a client is a foreign politically exposed person?

- **A. Attempt to establish the source of the funds**
- B. Examine the latest Interpol watch list
- C. Seek Authority approval to proceed
- D. Conduct a prescribed risk / benefit analysis

Answer: A

Explanation:

For foreign politically exposed persons (PEPs), CISI UAE Financial Rules and Regulations require that firms undertake rigorous customer due diligence, including attempting to establish the source of funds. Establishing the legitimacy and origin of funds is crucial to prevent illicit money laundering and terrorism financing. While risk/benefit analyses and regulatory approvals are important, the direct verification of fund sources is a primary control measure against financial crimes involving PEPs. Checking watchlists like Interpol's is supplementary but not sufficient alone. This requirement safeguards the financial system and aligns with Federal Law No. 20 of 2018's anti-money laundering mandates.

Reference: CISI UAE Financial Rules and Regulations - AML Controls and PEP Risk Management, Section 8.2.9 (2023).

NEW QUESTION # 28

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Share category
- B. Market
- **C. Volume**
- D. Order type

Answer: C

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 29

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

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

Answer: C

Explanation:

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).

NEW QUESTION # 30

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 give 14 days' notice
- **C. The obligor failed to also notify the market**
- D. The new director held a foreign passport

Answer: C

Explanation:

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).

NEW QUESTION # 31

Which of the following acts is considered to constitute the crime of money laundering?

- **A. Acquiring, possessing or using proceeds from an unverified source**
- B. Investigating internal reports where concerns of illegal activities are raised by staff
- C. Transferring or moving proceeds or conducting any transaction with the aim of highlighting or opening their source to scrutiny
- D. Investigating or checking on the true nature, source or location of proceeds as well as the method involving their ownership

Answer: A

Explanation:

Under the UAE's Anti-Money Laundering (AML) laws, acquiring, possessing, or using proceeds from an unverified source constitutes the crime of money laundering. The crime occurs when an individual or entity uses illicitly obtained funds without verifying the legitimate source of those funds. This includes activities such as using proceeds from illegal activities for legitimate business purposes, thereby "laundering" the illicit funds. The UAE AML regulations impose strict penalties for such actions to deter money laundering and its harmful effects on the economy and financial system.

Reference: CISI UAE Financial Rules and Regulations - Money Laundering Definitions, Section 9.1.2 (2023).

NEW QUESTION # 32

.....

As for CISI UAE-Financial-Rules-and-Regulations exam, it is the most difficult to pass. But, as long as you believe in Prep4King, everything is ok. Prep4King CISI UAE-Financial-Rules-and-Regulations exam simulations contain the most accurate questions and answers. If you don't believe our CISI UAE-Financial-Rules-and-Regulations certification training, you can go to our Prep4King. You can find pdf real questions and answers and download it. And the purchase rate is unbelievably high every day. By choosing it, pass rate is 100%. Hurry up! Don't hesitate to add our CISI UAE-Financial-Rules-and-Regulations Dumps Torrent to your shopping cart.

UAE-Financial-Rules-and-Regulations Exam Passing Score: <https://www.prep4king.com/UAE-Financial-Rules-and-Regulations-exam-prep-material.html>

UAE-Financial-Rules-and-Regulations exam Practice Exams for CISI Windows Server UAE-Financial-Rules-and-Regulations are written to the highest standards of technical accuracy, Therefore there is no need for you to research the UAE-Financial-Rules-and-Regulations study materials by yourself, Our UAE-Financial-Rules-and-Regulations practice materials can effectively stimulate your interest towards learning and cultivate candidates into a promising direction in their future, There are several answers and questions for you to have a try on the UAE-Financial-Rules-and-Regulations study material vce.

There are certain factors that can discourage UAE-Financial-Rules-and-Regulations Relevant Exam Dumps women from coming back to a conference a second time, Why Change Structure, UAE-Financial-Rules-and-Regulations exam Practice Exams for CISI Windows Server UAE-Financial-Rules-and-Regulations are written to the highest standards of technical accuracy.

Therefore there is no need for you to research the UAE-Financial-Rules-and-Regulations study materials by yourself, Our UAE-Financial-Rules-and-Regulations practice materials can effectively stimulate your interest towards UAE-Financial-Rules-and-Regulations learning and cultivate candidates into a promising direction in their future.

- [illegible]

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, Disposable vapes

2026 Latest Prep4King UAE-Financial-Rules-and-Regulations PDF Dumps and UAE-Financial-Rules-and-Regulations Exam
Engine Free Share: <https://drive.google.com/open?id=1UGfa8gqZGnYgoRIJu2b4zh8ZQ92awOl>