

UAE-Financial-Rules-and-Regulations日本語版テキスト 内容 & UAE-Financial-Rules-and-Regulationsテストトレーニング



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>> UAE-Financial-Rules-and-Regulations日本語版テキスト内容 <<

UAE-Financial-Rules-and-Regulations試験の準備方法 | ハイパスレートの UAE-Financial-Rules-and-Regulations日本語版テキスト内容試験 | 素敵な CISI UAE Financial Rules and Regulations Examテストトレーニング

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CISI UAE Financial Rules and Regulations Exam認定 UAE-Financial-Rules-and-Regulations試験問題 (Q21-Q26):

質問 #21

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 5 days
- B. 10 days

- C. 2 days
- D. 30 days

正解: A

解説:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

質問 #22

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. Comparison with the same sector
- B. An operational risk matrix
- C. SWOT analysis
- D. A stress testing exercise

正解: C

解説:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

質問 #23

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are on full-time or substantial part-time contracts
- B. are new to the company or the industry
- C. are employed to operate an electronic trading or clearing system
- D. are employed to deal with clients or on their behalf

正解: D

解説:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

質問 #24

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

- A. governance regulation
- B. administration regulation

- C. employee regulation
- D. technical system

正解: A

解説:

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).

質問 # 25

Where an applicant for a financial activities licence uses a cloud-based server, they must set out provisions to ensure the outsourced party can operate with zero data loss for what stated period?

- A. Seven years
- B. Five years
- C. Ten years
- D. Three years

正解: B

解説:

According to CISI UAE Financial Rules and Regulations, applicants utilizing cloud-based servers must demonstrate that their outsourced service providers have provisions in place to guarantee zero data loss for a minimum of five years. This requirement protects the integrity and availability of critical financial data over the regulatory retention period. The five-year timeframe aligns with data retention standards for audit, compliance, and operational continuity in the UAE financial sector, ensuring that regulatory bodies and firms can access historical information for supervisory purposes.

Reference: CISI UAE Financial Rules and Regulations - IT and Data Management Requirements, Section 3.5.7 (2023).

質問 # 26

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UAE-Financial-Rules-and-Regulations テストトレーニング: <https://www.certjukken.com/UAE-Financial-Rules-and-Regulations-exam.html>

最初のステップは、UAE-Financial-Rules-and-Regulations 試験に合格することです、CISI UAE-Financial-Rules-and-Regulations 日本語版テキスト内容したがって、これらの難しい質問の対処方法を見つけた後、それらの小さな問題はすべて簡単に解決されます、他人の気付かないときに、だんだん UAE-Financial-Rules-and-Regulations 認定試験に成功したいのですか、弊社 CertJukken UAE-Financial-Rules-and-Regulations テストトレーニングの資料を使用すると、最短で UAE-Financial-Rules-and-Regulations テストトレーニング - CISI UAE Financial Rules and Regulations Exam の最高の質問トレントを習得し、他のことを完了するための時間とエネルギーを節約できます、認定資格でキャリアパスを強化するには、有効かつ最新の UAE-Financial-Rules-and-Regulations 試験ガイドを使用して成功を支援する必要があります、CertJukken UAE-Financial-Rules-and-Regulations テストトレーニングを選択したら、成功が遠くではありません。

ふたたびポカンとしていると、譲さんがスッと俺にキスをしてきた、夏の午後にシUAE-Financial-Rules-and-Regulationsエリー酒を少し飲み、ソファに横になって知らないうちに眠ってしまって、そのまま二度と起きなければと青豆もグラスを手にとって、シェリー酒を少しだけ飲んだ。

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弊社CertJukenの資料を使用すると、最短でCISI UAE Financial Rules and Regulations Examの最高の質問トレントを習得し、他のことを完了するための時間とエネルギーを節約できます、認定資格でキャリアパスを強化するには、有効かつ最新のUAE-Financial-Rules-and-Regulations試験ガイドを使用して成功を支援する必要があります。

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