

UAE-Financial-Rules-and-Regulations認證資料，UAE-Financial-Rules-and-Regulations題庫分享



BONUS!!! 免費下載VCESoft UAE-Financial-Rules-and-Regulations考試題庫的完整版：<https://drive.google.com/open?id=1uqf0cMNwe40ZlgXD1AmJicyfAkILNWoe>

如果你仍然在努力學習為通過CISI的UAE-Financial-Rules-and-Regulations考試認證，我們VCESoft為你實現你的夢想。我們為你提供CISI的UAE-Financial-Rules-and-Regulations考試考古題，通過了實踐的檢驗，CISI的UAE-Financial-Rules-and-Regulations教程及任何其他相關材料，最好的品質，以幫助你通過CISI的UAE-Financial-Rules-and-Regulations考試認證，成為一個實力雄厚的IT專家。

儘管當時在市場上有許多 CISI 方面的書籍，但沒有一本是百分之百介紹實際操作的。許多關於 CISI 配置方面的書也只包括配置的某些部分，並不提供足夠的信息使讀者能完整地建立和測試配置。而 VCESoft 的 UAE-Financial-Rules-and-Regulations 考題助您一次輕鬆通過 CISI 考試。我們提供的 UAE-Financial-Rules-and-Regulations 考古題含蓋了當前最新的真實考題，並且全部附有正確答案。如果您正在準備考試，它將是最佳的學習助手，是您通過考試取得 UAE-Financial-Rules-and-Regulations 認證的捷徑。

>> UAE-Financial-Rules-and-Regulations認證資料 <<

UAE-Financial-Rules-and-Regulations題庫分享 & UAE-Financial-Rules-and-Regulations考證

當你進入VCESoft網站，你看到每天進入VCESoft網站的人那麼多，不禁感到意外。其實這很正常的，我們VCESoft網站每天給不同的考生提供培訓資料數不勝數，他們都是利用了我們的培訓資料才順利通過考試的，說明我們的CISI的UAE-Financial-Rules-and-Regulations考試認證培訓資料真起到了作用，如果你也想購買，那就不要錯過我們VCESoft網站，你一定會非常滿意的。

最新的 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 免費考試真題 (Q44-Q49):

問題 #44

The DFM's Professional Code of Conduct requires brokerage firms to take reasonable steps to determine the identity of their clients. For natural persons, this should include:

- A. nature of the entity, its legal form, type and capital
- B. profession, exact address, PO Box and phone number
- C. commercial register number and commercial licence
- D. full name of portfolio manager

答案: B

解題說明:

The Dubai Financial Market (DFM) Professional Code of Conduct mandates that brokerage firms perform thorough customer due diligence to confirm client identities. For natural persons, this includes obtaining detailed personal information such as profession, exact residential address, PO Box, and phone number. This comprehensive identification requirement supports anti-money laundering (AML) and know-your-customer (KYC) policies by enabling firms to verify clients accurately and assess their risk profiles effectively.

Commercial registration details and legal entity information apply to corporate clients, not individuals.

Collecting detailed contact and occupational data also facilitates ongoing monitoring and communication, fulfilling regulatory obligations to maintain transparent client records.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and DFM Professional Code of Conduct, Section 4.1.3 (2023).

問題 #45

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. 2 days
- B. 5 days
- C. 30 days
- D. 10 days

答案: B

解題說明:

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).

問題 #46

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- A. can appoint a deputy during an unplanned absence
- B. is able to suspend operations in an emergency
- C. has access to sufficient resources
- D. can report confidentially to the regulator

答案: C

解題說明:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance

enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

問題 #47

In order to be authorised to deal in investments, which of the following professional roles would the Authority expect to see within the firm?

- A. Operations Manager
- B. Trading Manager
- **C. Broker Representative**
- D. Compliance Officer

答案: C

解題說明:

The Authority expects licensed firms authorised to deal in investments to include a Broker Representative within their professional staff. The Broker Representative is the role licensed and trained to execute investment transactions on behalf of clients, adhering to regulatory standards. While other roles like Trading Manager, Compliance Officer, and Operations Manager are vital for the firm's overall functioning and compliance, the Broker Representative is specifically required for dealing activities, ensuring qualified and responsible conduct in investment execution.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles for Investment Dealing, Section 3.1.9 (2023).

問題 #48

The Depository Centre must periodically report to the Authority on shareholders who hold more than what threshold percentage of equity in the Centre's capital?

- A. 10%
- B. 3%
- C. 15%
- **D. 5%**

答案: D

解題說明:

The Depository Centre is required to periodically report to the Authority on shareholders who hold more than 5% of equity in the Centre's capital. This threshold ensures that the Authority is informed about substantial holdings, which could influence corporate governance, voting rights, and overall control within the company.

The report helps maintain transparency regarding ownership structures, which is critical for monitoring potential conflicts of interest, shareholder influence, and market stability. Regular updates on these holdings contribute to the regulatory oversight of significant shareholders.

Reference: CISI UAE Financial Rules and Regulations - Reporting Requirements for Depository Centres, Section 7.1.2 (2023).

問題 #49

.....

你肯定聽說過VCESoft的UAE-Financial-Rules-and-Regulations考古題吧？但是，你用過嗎？我們經常會聽到“VCESoft的考古題真是好資料，多虧了它我才通過了考試”這樣的話。VCESoft從使用過考古題的人們那裏得到了很多的好評。這是因為它確實能幫助考生們節省很多時間，並保證大家順利通過考試。

UAE-Financial-Rules-and-Regulations題庫分享: <https://www.vcesoft.com/UAE-Financial-Rules-and-Regulations-pdf.html>

CISI UAE-Financial-Rules-and-Regulations認證資料 但是這並不代表不能獲得高分輕鬆通過考試，本系在師生的努力之下，目前已有多位考生取得UAE-Financial-Rules-and-Regulations證照，CISI UAE-Financial-Rules-and-Regulations認證資料 這是非常有價值的考試，肯定能幫助你實現你的願望，不需要太多的努力，你將獲得很高的分數，你選擇VCESoft CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，對你考試是非常有幫助的，如果您不知道如何更有效的通過 CISI UAE-Financial-Rules-and-Regulations 考試，我給您一個建議是選擇一個良好的培訓網站，這樣可以起到事半功倍的效果，客戶不必擔心購買CISI UAE-Financial-Rules-and-Regulations-CISI UAE Financial

Rules and Regulations Exam考古題付款後就會沒人解答您的疑惑和提供幫助，我們有24小時每週7天在線的客服服務，全天候全時段盡心解決客戶的任何問題，CISI UAE-Financial-Rules-and-Regulations考試軟體是VCESoft研究過去的真實的考題開發出來的。

如此出場才是大地本己的出場，如此出場的物才是大地性的物，而科學和技術對這一切都是盲視的，另壹老僧道：施主真的不害怕麼，但是這並不代表不能獲得高分輕鬆通過考試，本系在師生的努力之下，目前已有陳先生等四百位考生取得UAE-Financial-Rules-and-Regulations證照。

最近更新的UAE-Financial-Rules-and-Regulations認證資料，幫助你快速通過UAE-Financial-Rules-and-Regulations考試

這是非常有價值的考試，肯定能幫助你實現你的願望，不需要太多的努力，你將獲得很高的分數，你選擇VCESoft CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，對你考試是非常有幫助的，如果您不知道如何更有效的通過CISI UAE-Financial-Rules-and-Regulations考試，我給您一個建議是選擇一個良好的培訓網站，這樣可以起到事半功倍的效果。

- 只有最好的UAE-Financial-Rules-and-Regulations認證資料才能提供CISI UAE Financial Rules and Regulations Exam的最高通過率 □ 立即打開 □ tw.fast2test.com □ 並搜索 [UAE-Financial-Rules-and-Regulations] 以獲取免費下載UAE-Financial-Rules-and-Regulations證照考試
- 選擇UAE-Financial-Rules-and-Regulations認證資料表示您已通過CISI UAE Financial Rules and Regulations Exam指日可待 □ 到 ➡ www.newdumpspdf.com □ □ □ 搜索 ➡ UAE-Financial-Rules-and-Regulations □ □ □ 輕鬆取得免費下載 UAE-Financial-Rules-and-Regulations更新
- 高質量的UAE-Financial-Rules-and-Regulations認證資料，由CISI權威專家撰寫 □ 立即在 □ www.pdfexamdumps.com □ 上搜尋《 UAE-Financial-Rules-and-Regulations 》並免費下載UAE-Financial-Rules-and-Regulations熱門考古題
- UAE-Financial-Rules-and-Regulations最新試題 □ UAE-Financial-Rules-and-Regulations認證指南 □ UAE-Financial-Rules-and-Regulations考試證照綜述 □ 打開「 www.newdumpspdf.com 」搜尋 * UAE-Financial-Rules-and-Regulations □ * □ 以免費下載考試資料UAE-Financial-Rules-and-Regulations熱門考古題
- 免費獲得最新的UAE-Financial-Rules-and-Regulations考試題庫試題和答案 - 是最新和最完整的CISI UAE Financial Rules and Regulations Exam - UAE-Financial-Rules-and-Regulations題庫資料 □ 在 ➡ www.kaoguti.com □ 上搜尋 * UAE-Financial-Rules-and-Regulations □ * □ 並獲取免費下載UAE-Financial-Rules-and-Regulations熱門證照
- UAE-Financial-Rules-and-Regulations試題 □ 最新UAE-Financial-Rules-and-Regulations試題 □ UAE-Financial-Rules-and-Regulations證照考試 □ 免費下載 ➡ UAE-Financial-Rules-and-Regulations □ 只需在 □ www.newdumpspdf.com □ 上搜索UAE-Financial-Rules-and-Regulations證照考試
- UAE-Financial-Rules-and-Regulations考證 □ UAE-Financial-Rules-and-Regulations更新 □ UAE-Financial-Rules-and-Regulations試題 □ 透過 ➡ tw.fast2test.com ➡ 輕鬆獲取【 UAE-Financial-Rules-and-Regulations 】免費下載UAE-Financial-Rules-and-Regulations熱門題庫
- 完美的UAE-Financial-Rules-and-Regulations認證資料 | 高通過率的考試材料 | 高通過率的UAE-Financial-Rules-and-Regulations: CISI UAE Financial Rules and Regulations Exam □ 在 ➡ www.newdumpspdf.com □ 上搜尋 * UAE-Financial-Rules-and-Regulations □ * □ 並獲取免費下載最新UAE-Financial-Rules-and-Regulations題庫
- 新版UAE-Financial-Rules-and-Regulations考古題 □ 最新UAE-Financial-Rules-and-Regulations考題 □ UAE-Financial-Rules-and-Regulations認證指南 □ 立即打開“ www.newdumpspdf.com ”並搜索 [UAE-Financial-Rules-and-Regulations] 以獲取免費下載UAE-Financial-Rules-and-Regulations熱門考古題
- 準確的UAE-Financial-Rules-and-Regulations認證資料 | 高通過率的考試材料 | 免費下載UAE-Financial-Rules-and-Regulations: CISI UAE Financial Rules and Regulations Exam □ 立即在 ➡ www.newdumpspdf.com □ □ □ 上搜尋【 UAE-Financial-Rules-and-Regulations 】並免費下載UAE-Financial-Rules-and-Regulations學習資料
- 選擇UAE-Financial-Rules-and-Regulations認證資料表示您已通過CISI UAE Financial Rules and Regulations Exam指日可待 □ 在【 www.kaoguti.com 】上搜索 { UAE-Financial-Rules-and-Regulations } 並獲取免費下載新版UAE-Financial-Rules-and-Regulations考古題
- estar.jp, 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, www.stes.tyc.edu.tw, www.wcs.edu.eu, pt-ecourse.eurospeak.eu, www.campfirewriting.com, bbs.t-firefly.com, www.notebook.ai, wisdomvalleyedu.in, creadoresconscientes.online, Disposable vapes

順便提一下，可以從雲存儲中下載VCESoft UAE-Financial-Rules-and-Regulations考試題庫的完整版：<https://drive.google.com/open?id=1uqf0cMNwe40ZlgXD1AmJicyfAkILNWoe>