

# UAE-Financial-Rules-and-Regulations無料模擬試験 & UAE-Financial-Rules-and-Regulations認証資格



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>> UAE-Financial-Rules-and-Regulations無料模擬試験 <<

## UAE-Financial-Rules-and-Regulations試験の準備方法 | 完璧な UAE-Financial-Rules-and-Regulations無料模擬試験試験 | 100% 合格率の CISI UAE Financial Rules and Regulations Exam 認証資格

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## CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-Rules-and-Regulations 試験問題 (Q30-Q35):

### 質問 # 30

Which of the following financial activities comes under the fifth category licence?

- A. Dealing in securities
- **B. Credit rating agencies**
- C. Dealing in investments
- D. Arrangement and advice

正解: B

解説:

The fifth category licence under UAE financial regulations pertains specifically to credit rating agencies.

These entities assess the creditworthiness of issuers of debt, including governments and corporations, and their ratings are critical for investors and markets. The fifth category licence provides the legal framework for credit rating agencies to operate within the UAE's financial sector, ensuring they meet the regulatory standards and criteria set by the Securities and Commodities Authority (SCA). This helps ensure transparency, reliability, and trust in the credit ratings issued, which are vital for maintaining market stability and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - Financial Activities Licences, Section 4.2.1 (2023).

### 質問 # 31

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

- A. technical system
- B. employee regulation
- C. administration regulation
- **D. governance regulation**

正解: D

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 # 32

A licensed person who conducts financial activities related to security tokens is required to carry out a suitability check only if:

- **A. the client is not a qualified investor**
- B. the token falls into the high risk category
- C. the licensed person has less than 3 years' relevant experience
- D. the amount being invested exceeds AED 100,000

正解: A

解説:

According to CISI UAE Financial Rules and Regulations, a licensed person dealing with security tokens must conduct a suitability check when the client is not a qualified investor. This requirement protects less sophisticated investors by ensuring that the financial products offered match their investment knowledge, risk tolerance, and financial circumstances. Qualified investors are presumed to have sufficient expertise and resources, thus not mandating suitability checks. The nature of the token or amount invested is not the primary trigger; rather, client qualification status governs the obligation to perform suitability assessments.

This aligns with investor protection principles embedded in UAE financial regulations.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Checks, Section

4.3.9 (2023).

#### 質問 # 33

If an existing company wants to offer shares after conversion into a public joint-stock company, it must have released audited financial statements for what minimum number of fiscal years prior to the request to offer shares?

- A. Two
- B. Four
- C. Five
- **D. Three**

正解: D

解説:

For a company wishing to offer shares after converting into a public joint-stock company, it must have released audited financial statements for a minimum of three fiscal years prior to the request to offer shares.

This requirement ensures that the company has a solid track record of financial performance and transparency, which is essential for potential investors to evaluate the company's viability and financial health. The three- year period provides enough historical data to assess trends and make informed investment decisions, supporting market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Requirements for Public Offerings, Section 4.2.3 (2023).

#### 質問 # 34

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- A. Impose a financial fine of not more than AED 100,000
- B. Suspend the licensed body for a period of two years
- C. Suspend any financial activity practised during an investigation
- **D. Impose a financial fine of not less than AED 100,000**

正解: D

解説:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

#### 質問 # 35

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**UAE-Financial-Rules-and-Regulations認証資格:** [https://www.topexam.jp/UAE-Financial-Rules-and-Regulations\\_shiken.html](https://www.topexam.jp/UAE-Financial-Rules-and-Regulations_shiken.html)

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