

UAE-Financial-Rules-and-Regulations新版題庫上線，UAE-Financial-Rules-and-Regulations考古題



上帝讓我成為一個有實力的人，而不是一個好看的布娃娃。當我選擇了IT行業的時候就已經慢慢向上帝證明了我的實力，可是上帝是個無法滿足的人，逼著我一直向上。這次通過 CISI的UAE-Financial-Rules-and-Regulations考試認證是我人生中的一大挑戰，所以我拼命的努力學習，不過不要緊，我購買了Fast2test CISI的UAE-Financial-Rules-and-Regulations考試認證培訓資料，有了它，我就有了實力通過 CISI的UAE-Financial-Rules-and-Regulations考試認證，選擇Fast2test培訓網站只說明，路在我們腳下，沒有人決定它的方向，擁有了Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，就等於擁有了一個美好的未來。

如果你仍然在努力獲得CISI的UAE-Financial-Rules-and-Regulations考試認證，我們Fast2test為你實現你的夢想，Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料是品質最好的培訓資料，為你提供了一個好的學習平臺，問題是你如何準備這個考試，以確保你百分百成功，答案是非常簡單的，如果你有適當的時間學習，那就選擇我們Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，有了它，你將快樂輕鬆的準備考試。

>> UAE-Financial-Rules-and-Regulations新版題庫上線 <<

UAE-Financial-Rules-and-Regulations考古題 & UAE-Financial-Rules-and-Regulations認證題庫

既然通過CISI UAE-Financial-Rules-and-Regulations 認證考試是不容易的，那麼選擇好的培訓工具就是成功的保證。Fast2test會第一時間為你提供考試資料及考試練習題和答案，讓你為CISI UAE-Financial-Rules-and-Regulations 認證考試做好充分的準備，以確保能100%通過CISI UAE-Financial-Rules-and-Regulations 認證考試。Fast2test不僅能讓你首次參加CISI UAE-Financial-Rules-and-Regulations 認證考試就成功通過，還能幫你節約寶貴的時間。

最新的 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 免費考試真題 (Q30-Q35):

問題 #30

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- A. Four calendar days
- **B. Three business days**
- C. Two calendar days
- D. Five business days

答案: B

解題說明:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-

keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

問題 #31

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if

- A. the correction is within a 5% error margin
- B. an impact assessment gives acceptable results
- C. the circumstances are considered to be exceptional
- D. an alteration fee is paid at the same time

答案： C

解題說明：

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

問題 #32

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

答案： A

解題說明：

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).

問題 #33

A firm offering custody, clearing and recording, is required to have a minimum paid-up capital of:

- A. AED 150 million
- B. AED 30 million
- C. AED 50 million
- D. AED 100 million

答案： D

解題說明：

As per the CISI UAE Financial Rules and Regulations, firms involved in custody, clearing, and recording services must have a minimum paid-up capital of AED 100 million. This capital requirement ensures that firms in this category have sufficient financial resources to manage the risks associated with their operations, which include handling clients' assets, ensuring compliance with financial regulations, and absorbing potential operational or financial losses. The higher capital threshold also enhances the stability and credibility of such firms, making them more resilient to market fluctuations and operational challenges.

Reference: CISI UAE Financial Rules and Regulations - Capital Requirements for Custody, Clearing, and Recording Firms, Section 7.3.2 (2023).

問題 #34

Why might employees in one part of a regulated business be permitted to withhold information from employees in another part of the business?

- A. Prevention of insider trading
- B. Strict privacy of client information
- **C. To comply with a Chinese wall**
- D. At the request of the audit function

答案：C

解題說明：

CISI UAE Financial Rules and Regulations recognize the concept of a Chinese wall, which permits employees in one part of a regulated business to withhold certain information from employees in other parts.

This internal information barrier is designed to prevent conflicts of interest and insider trading by restricting the flow of sensitive or non-public information between departments. By implementing Chinese walls, firms ensure compliance with legal and regulatory requirements, uphold market integrity, and protect client interests. While audit requests and privacy concerns are valid, the primary regulatory rationale for withholding information internally is to maintain effective Chinese walls.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Information Barriers, Section 3.4.10 (2023).

問題 #35

.....

你還在為通過CISI UAE-Financial-Rules-and-Regulations認證考試難度大而煩惱嗎？你還在為了通過CISI UAE-Financial-Rules-and-Regulations認證考試廢寢忘食的努力復習嗎？想更快的通過CISI UAE-Financial-Rules-and-Regulations認證考試嗎？快快選擇我們Fast2test吧！有了他可以迅速的完成你的夢想。

UAE-Financial-Rules-and-Regulations考古題: <https://tw.fast2test.com/UAE-Financial-Rules-and-Regulations-premium-file.html>

如果你仍然在努力獲得CISI的UAE-Financial-Rules-and-Regulations考試認證，我們Fast2test為你實現你的夢想，Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料是品質最好的培訓資料，為你提供了一個好的學習平臺，問題是你如何準備這個考試，以確保你百分百成功，答案是非常簡單的，如果你有適當的時間學習，那就選擇我們Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，有了它，你將快樂輕鬆的準備考試，如果你擁有CISI UAE-Financial-Rules-and-Regulations認證證書，顯然可以提高你的競爭力，我對我們的產品有信心，相信很快 CISI UAE-Financial-Rules-and-Regulations 題庫及答案就會成為你的不二之選，有很多途徑可以幫你通過CISI UAE-Financial-Rules-and-Regulations 認證考試的，選擇好的途徑也就是選擇了好的保障。

這樣，他們歸藏劍閣的人才有競爭之力，為師看妳有些財力，才將書卷和玉簡拿出來，如果你仍然在努力獲得CISI的UAE-Financial-Rules-and-Regulations考試認證，我們Fast2test為你實現你的夢想，Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料是品質最好的培訓資料，為你提供了一個好的學習平臺，問題是你如何準備這個考試，以確保你百分百成功，答案是非常簡單的，如果你有適當的時間學習，那就選擇我們Fast2test CISI的UAE-Financial-Rules-and-Regulations考試培訓資料，有了它，你將快樂輕鬆的準備考試。

**最受推薦的UAE-Financial-Rules-and-Regulations新版題庫上線，免費下載
UAE-Financial-Rules-and-Regulations學習資料幫助妳通過UAE-Financial-Rules-and-Regulations考試**

Fast2test一直以來幫助了很多參加IT認定考試的考生，並且得到了大家的一致好評。

- 更新的CISI UAE-Financial-Rules-and-Regulations: CISI UAE Financial Rules and Regulations Exam新版題庫上線 - 準確的www.vcesoft.com UAE-Financial-Rules-and-Regulations考古題 □複製網址▶ www.vcesoft.com □打開並搜索 ✓ UAE-Financial-Rules-and-Regulations □✓□免費下載UAE-Financial-Rules-and-Regulations最新考題
- 有效的UAE-Financial-Rules-and-Regulations新版題庫上線 |高通過率的考試材料|最新更新UAE-Financial-Rules-and-Regulations考古題 □在▶▶ www.newdumpsdf.com □搜索最新的□ UAE-Financial-Rules-and-Regulations □題庫UAE-Financial-Rules-and-Regulations考題免費下載
- UAE-Financial-Rules-and-Regulations題庫分享 □新版UAE-Financial-Rules-and-Regulations題庫 □新版UAE-Financial-Rules-and-Regulations題庫 □透過《tw.fast2test.com》搜索[UAE-Financial-Rules-and-Regulations]免費下載考試資料最新UAE-Financial-Rules-and-Regulations考題
- 值得信任的UAE-Financial-Rules-and-Regulations新版題庫上線擁有模擬真實考試環境與場境的軟件VCE版本 &優秀的CISI UAE-Financial-Rules-and-Regulations □（www.newdumpsdf.com）最新▶ UAE-Financial-Rules-and-Regulations □問題集合UAE-Financial-Rules-and-Regulations題庫更新資訊
- 選擇UAE-Financial-Rules-and-Regulations新版題庫上線 - 擺脫CISI UAE Financial Rules and Regulations Exam考試困境 □打開網站“tw.fast2test.com”搜索□ UAE-Financial-Rules-and-Regulations □免費下載UAE-Financial-Rules-and-Regulations考試資訊
- 快速下載的UAE-Financial-Rules-and-Regulations新版題庫上線，保證幫助妳壹次性通過UAE-Financial-Rules-and-Regulations考試 □到[www.newdumpsdf.com]搜尋> UAE-Financial-Rules-and-Regulations ◁以獲取免費下載考試資料UAE-Financial-Rules-and-Regulations考題
- UAE-Financial-Rules-and-Regulations權威認證 □UAE-Financial-Rules-and-Regulations指南 □UAE-Financial-Rules-and-Regulations資訊 □在☀ www.newdumpsdf.com □☀◉網站上查找[UAE-Financial-Rules-and-Regulations]的最新題庫UAE-Financial-Rules-and-Regulations題庫更新資訊
- UAE-Financial-Rules-and-Regulations考題免費下載 □UAE-Financial-Rules-and-Regulations考題免費下載 □UAE-Financial-Rules-and-Regulations考試資訊 □> www.newdumpsdf.com □上的□ UAE-Financial-Rules-and-Regulations □免費下載只需搜尋UAE-Financial-Rules-and-Regulations考古題分享
- 覆蓋全面的CISI UAE-Financial-Rules-and-Regulations新版題庫上線是行業領先材料和經過驗證的UAE-Financial-Rules-and-Regulations: CISI UAE Financial Rules and Regulations Exam * 立即在（www.newdumpsdf.com）上搜尋（UAE-Financial-Rules-and-Regulations）並免費下載UAE-Financial-Rules-and-Regulations考題
- 新版UAE-Financial-Rules-and-Regulations考古題 □UAE-Financial-Rules-and-Regulations指南 □UAE-Financial-Rules-and-Regulations考試指南 □到（www.newdumpsdf.com）搜索▶▶ UAE-Financial-Rules-and-Regulations □輕鬆取得免費下載UAE-Financial-Rules-and-Regulations考試資訊
- 新版UAE-Financial-Rules-and-Regulations考古題 □UAE-Financial-Rules-and-Regulations考試資訊 □UAE-Financial-Rules-and-Regulations題庫分享 □在“tw.fast2test.com”上搜索▶ UAE-Financial-Rules-and-Regulations ◁並獲取免費下載UAE-Financial-Rules-and-Regulations考古題推薦
- www.stes.tyc.edu.tw, www.stes.tyc.edu.tw, zenwriting.net, 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, 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, myportal.utt.edu.tt, silvermanagementsolutions.com, wanderlog.com, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, myportal.utt.edu.tt, Disposable vapes