

UAE-Financial-Rules-and-Regulations資格認証攻略 & UAE-Financial-Rules-and-Regulations資格認定



P.S. JpexamがGoogle Driveで共有している無料かつ新しいUAE-Financial-Rules-and-Regulationsダウンロード: <https://drive.google.com/open?id=1C4HxeLDL0IGRdMoEWjNHyb8QoT0qfdtm>

数年間でのIT認定試験資料向けの研究分析によって、我々社はこの業界のリーダーにだんだんなっています。弊社のチームは開発される問題集はとてとても全面で、受験生をCISI UAE-Financial-Rules-and-Regulations試験に合格するのを良く助けます。周知のように、CISI UAE-Financial-Rules-and-Regulations資格認定があれば、IT業界での発展はより簡単になります。

CISIのUAE-Financial-Rules-and-Regulations認定試験に受かるためにがんばって勉強していれば、Jpexamはあなたにヘルプを与えます。Jpexamが提供したCISIのUAE-Financial-Rules-and-Regulations問題集は実践の検査に合格したもので、最も良い品質であなたがCISIのUAE-Financial-Rules-and-Regulations認定試験に合格することを保証します。

>> UAE-Financial-Rules-and-Regulations資格認証攻略 <<

UAE-Financial-Rules-and-Regulations資格認定、UAE-Financial-Rules-and-Regulationsテスト対策書

たぶん、あなたは苦しく準備してCISIのUAE-Financial-Rules-and-Regulations試験に合格できないのを心配しています。おそらくあなたはお金がかかって買ったソフトが役に立たないのを心配しています。我々Jpexamのあなたに開発するCISIのUAE-Financial-Rules-and-Regulationsソフトはあなたの問題を解決することができます。最初の保障はあなたに安心させる高い通過率で、第二の保護手段は、あなたは弊社のソフトを利用してCISIのUAE-Financial-Rules-and-Regulations試験に合格しないなら、我々はあなたのすべての支払を払い戻します。あなたが安心して試験のために準備すればいいです。

CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-Rules-and-Regulations 試験問題 (Q20-Q25):

質問 # 20

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation
- C. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation
- **D. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation**

正解: D

解説:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

質問 # 21

When promoting private funds, related materials must:

- **A. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority**
- B. advise that the funds cannot be transferred to a third party
- C. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media
- D. receive prior approval of the content from the Authority

正解: A

解説:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

質問 # 22

The contract size for an MSCI India Index Futures (INR) contract is:

- **A. 50 index points x price**
- B. 5 index points x price
- C. 25 index points x price
- D. 20 index points x price

正解: A

解説:

The contract size for the MSCI India Index Futures (INR) contract is defined as 50 index points x price. This means that each contract is linked to the movement of 50 index points, and the value of each index point is multiplied by the price of the index. The contract size reflects the amount of exposure an investor takes on when trading in this futures contract, and the multiplier is set to provide a manageable level of risk and exposure to market fluctuations. This standardization allows traders to gauge the value of their positions and facilitates liquidity in the futures market.

Reference: CISI UAE Financial Rules and Regulations - MSCI Index Futures Contract Specifications, Section 7.2.1 (2023).

質問 # 23

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. protecting the reporting employee
- B. ensuring all staff have a named reporting contact
- C. disciplining staff proven to have breached rules
- D. escalating any reports to board level

正解: A

解説:

The CISI UAE Financial Rules and Regulations require that the whistleblowing policy submitted by licence applicants incorporates a clear mechanism for protecting the reporting employee. This protection includes confidentiality safeguards, protection against retaliation, and secure channels for raising concerns. Ensuring the safety and anonymity of whistleblowers is fundamental to encouraging the reporting of unethical or illegal conduct, thereby enhancing regulatory compliance and corporate governance. Other aspects such as escalation procedures and disciplinary measures are important but secondary; the central pillar of effective whistleblowing policy is the protection of the individual who reports wrongdoing.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Whistleblowing, Section 3.4.2 (2023).

質問 # 24

During a trading session, if an order is not fully executed, then:

- A. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- B. the order will be dealt with at the next trading session
- C. the remaining unexecuted volume stays on the trading system, at the last executed price
- D. the transaction is executed at the price set on the other side of the transaction

正解: C

解説:

In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.

Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

質問 # 25

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時代の発展に伴い、人間的な文明が発展し、Jpexamも発展しています。Jpexamは君の早くCISIのUAE-Financial-Rules-and-Regulations認定試験に合格するために、きみのもっと輝い未来のために、君の他人に羨ましいほど給料のために、ずっと努力しています。長年の努力を通じて、JpexamのCISIのUAE-Financial-Rules-and-Regulations認定試験の合格率が100パーセントになっていました。Jpexamを選ぶなら、成功を選ぶのに等しいです。

UAE-Financial-Rules-and-Regulations資格認定: https://www.jpexam.com/UAE-Financial-Rules-and-Regulations_exam.html

したがって、絶え間ない努力により、UAE-Financial-Rules-and-Regulationsの実際の質問の合格率は98%~100%です、Simulate UAE-Financial-Rules-and-Regulations試験ガイドから多くを取得し、簡単に認定を取得できます、あなたは必要とするのは弊社の提供されるUAE-Financial-Rules-and-Regulations資格認定 - CISI UAE Financial Rules and Regulations Exam最新オンラインエンジンのオペレーションシステムに従って何度も練習することだけです、あなたはもうCISI UAE Financial Rules and Regulations Exam資格認定試験を申し込んでいましたか、いまのあなたは山となるUAE-Financial-Rules-and-Regulations復習教材と練習問題に面して頭が痛いと感じますか、一方、私たちが投資したお金は有意義なものであり、UAE-Financial-Rules-and-Regulations試験の新しい学習スタイルを刷新するのに役立ちます、Jpexam UAE-Financial-Rules-and-Regulations資格認定は一番よい、一番実用的な、一番完全な試験トレーニング資料を提供していますから、受験生たちが試験を準備することに重要な助けになります。

実は、知り合ったのは最近でさよよし、さっそく作戦が効いているようだ、財布の中の金はほとんど減っていない、したがって、絶え間ない努力により、UAE-Financial-Rules-and-Regulationsの実際の質問の合格率は98%~100%です、Simulate UAE-Financial-Rules-and-Regulations試験ガイドから多くを取得し、簡単に認定を取得できます。

