

# 最新UAE-Financial-Rules-and-Regulations題庫資源，UAE-Financial-Rules-and-Regulations考試大綱



BONUS!!! 免費下載NewDumps UAE-Financial-Rules-and-Regulations考試題庫的完整版: [https://drive.google.com/open?id=1OTKIR5\\_Eb2bcBOU\\_NTWb9u2fgciAI8cc](https://drive.google.com/open?id=1OTKIR5_Eb2bcBOU_NTWb9u2fgciAI8cc)

用一下NewDumps的UAE-Financial-Rules-and-Regulations考古題怎麼樣？這個考古題可以說是與UAE-Financial-Rules-and-Regulations考試相關的所有參考資料中最優秀的資料。為什麼呢？有以下四個理由。第一，NewDumps的考古題是IT專家們運用他們多年的經驗研究出來的資料，可以準確地劃出考試出題的範圍。第二，NewDumps的考古題包含了可能出現在實際考試中的所有試題。第三，NewDumps的考古題保證考生一次就通過考試，如果考生考試失敗則全額退款。第四，NewDumps的考古題分為PDF版和軟體版兩個版本。利用這兩個版本的考古題，考生可以更輕鬆地準備考試。

在如今人才濟濟的社會中，CISI專業人士是很受歡迎的，但競爭也很大。所以很多CISI專業人士通過一些比較難的權威的UAE-Financial-Rules-and-Regulations認證考試來穩固自己，而我們NewDumps是專門為參加UAE-Financial-Rules-and-Regulations認證考試的考生提供便利的。

>> 最新 UAE-Financial-Rules-and-Regulations題庫資源 <<

## 最新版的最新UAE-Financial-Rules-and-Regulations題庫資源，真實還原CISI UAE-Financial-Rules-and-Regulations考試內容

選擇使用NewDumps提供的產品，你踏上了IT行業巔峰的第一步，離你的夢想更近了一步。NewDumps為你提供的測試資料不僅能幫你通過CISI UAE-Financial-Rules-and-Regulations認證考試和鞏固你的專業知識，而且還能給你提供一年的免費更新服務。

## 最新的 Investment Operations Certificate (IOC) UAE-Financial-Rules-and-Regulations 免費考試真題 (Q100-Q105):

### 問題 #100

In which circumstances might lawyers, notary publics, other legal stakeholders and independent legal auditors be exempt from

suspicious transaction reporting requirements?

- A. When providing legal opinion with regards to legal proceedings
- B. When advising on financial transactions for politically exposed persons
- C. When providing services relating to beneficiaries of insurance policies
- D. When conducting real estate transactions within the UAE

答案： A

解題說明：

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, lawyers, notary publics, and other legal professionals may be exempt from suspicious transaction reporting requirements when providing legal opinions related to legal proceedings. This exemption recognizes the privileged nature of legal advice and the confidentiality inherent in legal representation. However, when these professionals engage in financial or transactional activities outside the scope of legal proceedings, such as advising on financial transactions or real estate deals, they must comply with reporting obligations to prevent money laundering. The exemption balances legal professional privilege with AML/CTF requirements.

Reference: CISI UAE Financial Rules and Regulations - AML Exemptions for Legal Professionals, Section 8.3.1 (2023).

#### 問題 #101

What does the Authority usually do before deciding to delist a company's shares?

- A. Consult with the relevant market
- B. Issue a fine for payment within 30 days
- C. Consult with the relevant firm
- D. Issue an improvement notice of 30 days

答案： D

解題說明：

Before deciding to delist a company's shares, the regulatory authority typically follows a procedure designed to ensure that the company has an opportunity to rectify any issues. According to the CISI UAE Financial Rules and Regulations, the Authority usually issues an improvement notice of 30 days to the company. This notice outlines the deficiencies or non-compliance issues that the company needs to address in order to avoid delisting. The 30-day period allows the company time to correct the issues, such as failure to meet financial reporting requirements, governance standards, or other operational obligations. This approach ensures fairness and transparency before taking any drastic actions like delisting.

Reference: CISI UAE Financial Rules and Regulations - Delisting Procedures, Section 2.5.3 (2023).

#### 問題 #102

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- B. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- C. The Chair and Board of Directors should notify the Authority and tender their resignations
- D. Notify the concerned entity at the Authority or any of the capital market institutions immediately

答案： D

解題說明：

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately. According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

#### 問題 #103

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. issued shares in a public offer in the last six months
- B. is formally classed as an insurance company
- C. was incorporated in the last three years
- D. has been designated a company of State importance

答案：A

解題說明：

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

#### 問題 #104

The approved job for conducting securities dealing is:

- A. Category Manager
- B. Broker Representative
- C. Operations Manager
- D. Trading Manager

答案：B

解題說明：

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

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

#### 問題 #105

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你現在正在為尋找CISI的UAE-Financial-Rules-and-Regulations認證考試的優秀的資料而苦惱嗎？不用再擔心了，這裏就有你最想要的東西。應大家的要求，NewDumps為參加UAE-Financial-Rules-and-Regulations考試的考生專門研發出了一種高效率的學習方法。大家都是一邊工作一邊準備考試，這樣很費心費力吧？為了避免你在準備考試時浪費太多的時間，NewDumps為你提供了只需要經過很短時間的學習就可以通過考試的UAE-Financial-Rules-and-Regulations考古題。這個考古題包含了實際考試中一切可能出現的問題。所以，只要你好好學習這個考古題，那麼通過UAE-Financial-Rules-and-Regulations考試就不再是難題了。

**UAE-Financial-Rules-and-Regulations考試大綱：**<https://www.newdumpspdf.com/UAE-Financial-Rules-and-Regulations-exam-new-dumps.html>

這是當下很多考生用來準備UAE-Financial-Rules-and-Regulations考試的主要方式，CISI 最新UAE-Financial-Rules-and-Regulations題庫資源 只要您堅定地踏出第一步，後面的九十九步我們都會為您走好，你想要成功的人生嗎，我們擁有超過十年的IT認證經驗，在我們的支援下，您可以順利的CISI UAE-Financial-Rules-and-Regulations考試，CISI 最新UAE-Financial-Rules-and-Regulations題庫資源 但是，如果只是機械式的做題，並不能加強我們對知識點本身的理解，其次，我們的練習方向也得不到正確的指引，練習重點脫離了UAE-Financial-Rules-and-Regulations考試本身，在最終的UAE-Financial-Rules-and-Regulations考試中很可能就會考試失敗，選擇NewDumps UAE-Financial-Rules-and-Regulations 考試大綱就是選擇成功，考試過程很輕鬆。

還是上天安排童小顏來他身邊，折磨他，七星黑光刀重重地砍在年輕將軍的左手腕上，這是當下很多考生用來準備UAE-Financial-Rules-and-Regulations考試的主要方式，只要您堅定地踏出第一步，後面的九十九步我們都會為您走好，你想要成功的人生嗎？

最新的CISI UAE-Financial-Rules-and-Regulations認證考試題庫

我們擁有超多年代的IT認證經驗，在我們的支援下，您可以順利的CISI UAE-Financial-Rules-and-Regulations考試，但是，如果只是機械式的做題，並不能加強我們對知識點本身的理解。

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