

UAE-Financial-Rules-and-Regulations資格取得 & UAE-Financial-Rules-and-Regulations再テスト



さらに、JPTestKing UAE-Financial-Rules-and-Regulationsダンプの一部が現在無料で提供されています：https://drive.google.com/open?id=1l8-wEY92_F5Ph44dEvO_PdRQo3PaoyUH

当社は長年にわたり、クライアントに最高のUAE-Financial-Rules-and-Regulations練習問題を提供し、テストUAE-Financial-Rules-and-Regulations認定試験にスムーズに合格できるように常に努めています。当社は、国内の有名な業界の専門家を募集し、優秀な人材をUAE-Financial-Rules-and-Regulations学習ガイドを編集し、お客様に心から奉仕するために最善を尽くしました。当社は、お客様が私たちの神であり、UAE-Financial-Rules-and-Regulationsトレーニング資料の品質に関する厳格な基準であるというサービス理念を設定しています。

ほとんどの人がUAE-Financial-Rules-and-Regulationsガイド急流を入手するのは容易ではありませんが、製品を選択する限り、資格UAE-Financial-Rules-and-Regulations証明書を簡単かつ効率的に取得できると思います。教材を選択したら、UAE-Financial-Rules-and-Regulationsガイドの質問から試験ポイントをマスターできます。その後、試験に合格するのに十分な自信があります。安全な環境と効果的な製品については、UAE-Financial-Rules-and-Regulationsの質問トレントを試してみてください。

>> UAE-Financial-Rules-and-Regulations資格取得 <<

UAE-Financial-Rules-and-Regulations再テスト & UAE-Financial-Rules-and-Regulations日本語関連対策

UAE-Financial-Rules-and-Regulations試験の質問を理解する限り、受験者にとってより簡単な運用システムが設定されていることがわかります。一度試してみると、UAE-Financial-Rules-and-Regulations学習教材の自然でシームレスなユーザーインターフェイスがより流暢になり、最新の開発状況に応じてUAE-Financial-Rules-and-Regulations学習教材を修正および更新したと感ずることができます。理論と実践だけでなく、シラバスの指導のガイダンスで、当社のUAE-Financial-Rules-and-Regulationsトレーニングガイドは、業界の傾向に従って高品質の試験資料を達成しました。

CISI UAE Financial Rules and Regulations Exam 認定 UAE-Financial-

Rules-and-Regulations 試験問題 (Q88-Q93):

質問 # 88

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The obligor failed to also notify the market
- B. The obligor failed to give 14 days' notice
- C. The new director held a foreign passport
- D. The new director had less than 5 years' experience

正解: A

解説:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach. Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

質問 # 89

Which of the following is one of the prescribed financial activities for which the Authority can issue a license?

- A. Analysis
- B. Corporate planning
- C. Promotion
- D. Risk management

正解: D

解説:

Under CISI UAE Financial Rules and Regulations, risk management is among the prescribed financial activities for which the Securities and Commodities Authority (SCA) issues licenses. Licensing ensures that entities engaging in financial risk assessment and mitigation services meet regulatory standards related to expertise, governance, and compliance. Activities such as analysis, promotion, and corporate planning are not independently licensable financial activities but may be ancillary functions within licensed firms. The licensure of risk management activities supports market stability and investor protection by formalizing oversight of critical financial functions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Licensing, Section 3.1.2 (2023).

質問 # 90

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- A. Signing of a guarantee undertaking
- B. Approval from the Authority or Central Bank
- C. Signing of a non-conflict disclaimer
- D. Approval from the firm's legal or compliance department

正解: D

解説:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory

requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.

Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

質問 #91

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

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

正解: A

解説:

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).

質問 #92

Which of the following acts is considered to constitute the crime of money laundering?

- A. Acquiring, possessing or using proceeds from an unverified source
- B. Transferring or moving proceeds or conducting any transaction with the aim of highlighting or opening their source to scrutiny
- C. Investigating internal reports where concerns of illegal activities are raised by staff
- D. Investigating or checking on the true nature, source or location of proceeds as well as the method involving their ownership

正解: A

解説:

Under the UAE's Anti-Money Laundering (AML) laws, acquiring, possessing, or using proceeds from an unverified source constitutes the crime of money laundering. The crime occurs when an individual or entity uses illicitly obtained funds without verifying the legitimate source of those funds. This includes activities such as using proceeds from illegal activities for legitimate business purposes, thereby "laundering" the illicit funds. The UAE AML regulations impose strict penalties for such actions to deter money laundering and its harmful effects on the economy and financial system.

Reference: CISI UAE Financial Rules and Regulations - Money Laundering Definitions, Section 9.1.2 (2023).

質問 #93

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JPTesKingはあなたが次のCISIのUAE-Financial-Rules-and-Regulations認定試験に合格するように最も信頼できるトレーニングツールを提供します。JPTesKingのCISIのUAE-Financial-Rules-and-Regulations勉強資料は問題と解答を含めています。それは実践の検査に合格したソフトですから、全ての関連するIT認証に満たすことができます。

UAE-Financial-Rules-and-Regulations再テスト: <https://www.jpctestking.com/UAE-Financial-Rules-and-Regulations-exam.html>

学習資料の権威あるプロバイダーとして、潜在顧客からより多くの注目を集めるために、常に同等のテストと比較してUAE-Financial-Rules-and-Regulations模擬テストの高い合格率を追求しています、豊富な練習資料はお客様のさまざまなニーズに対応でき、これらのUAE-Financial-Rules-and-Regulations模擬練習にはすべて、CISIテストに合格するために知っておく必要がある新しい情報が含まれています、したがって、CISI UAE Financial Rules and Regulations Exam試験を受ける準備ができれば、UAE-Financial-Rules-and-Regulations学習教材を利用できます、

JPTesKing UAE-Financial-Rules-and-Regulations再テストから大変助かりました、また、UAE-Financial-Rules-and-Regulations試験の重要な知識を個人的に統合し、カスタマイズされた学習スケジュールやCISI UAE Financial Rules and Regulations Examリストを毎日設計できます、弊社の専門家たちのUAE-Financial-Rules-and-Regulations問題集（CISI UAE Financial Rules and Regulations Exam）への研究は試験の高効率に保障があります。

白杵煎餅はあ、美味しそうですね 知八の横に座って、知八が畳の上においていた湯呑を鏡台の上に上げた、視線を感じたのか玲奈の顔が上がる、学習資料の権威あるプロバイダーとして、潜在顧客からより多くの注目を集めるために、常に同等のテストと比較してUAE-Financial-Rules-and-Regulations模擬テストの高い合格率を追求しています。

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豊富な練習資料はお客様のさまざまなニーズに対応でき、これらのUAE-Financial-Rules-and-Regulations模擬練習にはすべて、CISIテストに合格するために知っておく必要がある新しい情報が含まれています、したがって、CISI UAE Financial Rules and Regulations Exam試験を受ける準備ができれば、UAE-Financial-Rules-and-Regulations学習教材を利用できます。

JPTesKingから大変助かりました、また、UAE-Financial-Rules-and-Regulations試験の重要な知識を個人的に統合し、カスタマイズされた学習スケジュールやCISI UAE Financial Rules and Regulations Examリストを毎日設計できます。

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- P.S.JPTestKingがGoogle Driveで共有している無料の2026 CISI UAE-Financial-Rules-and-Regulationsダンプ: https://drive.google.com/open?id=1l8-wEY92_F5Ph44dEvO_PdRQo3PaoyUH

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