July 2019

R01: Financial services, regulation and ethics study text, 2019–20 edition

This edition of the study text is based on the 2019–20 examination syllabus and forms the study material for exams to be sat from 1 September 2019 until 31 August 2020.

Updates and amendments have been made throughout the text; where relevant, web updates issued for the 2018–19 edition have been included.

A summary of where the principal changes have been made is given below:

**Chapter 1:** section A2; new section B created and subsequent sections renumbered; now found in sections B and C, with edits throughout; section D throughout; sections E1, E2B, E2C and E3.

**Chapter 2:** introduction, section A removed and subsequent sections reordered; sections A2, B3, B4, B5, C4B, C5, C6, E1, E3A, F1, F2, F3C, F3F, F3G, G1 and G2.

**Chapter 3:** sections A1, B1, B1A, E1, E4B, F2, F3, G1A, G2 and H2.

**Chapter 4:** introduction, sections A, B6, C, C2, C3, D3, E1 and E3B.

**Chapter 5.1:** sections A1D, B, C1A, D1, D2, D2A, D2D, E1 and E2.

**Chapter 5.2:** sections F1E, G1, H3D, H3E, H4B, I1, L1 and L2.

**Chapter 6:** introduction, sections A4, A5, B, B1, C2A and C2B; sections E and H renamed.

**Chapter 7:** section A updated throughout; sections B1, B3, B3D, B6 and C1.

**Chapter 8:** section A renumbered; sections B1A, B1B, B1C, C1 and D.

**Chapter 9:** sections C, C1 and C2.

**Chapter 10:** sections A1, A2 and B2A.

**Questions/answers, websites, key terms/points, cases, legislation and index:** amended where relevant.

We hope this information is helpful to you.

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