

Contents

	Page
About the Authors	vi
Foreword	vii
Preface	viii
Part 1: Commentary	
Chapter 1 — Overview	3
Chapter 2 — The Financial Service Providers Act: registration and dispute resolution	35
Chapter 3 — Financial service and financial product	59
Chapter 4 — Disclosure obligations	77
Chapter 5 — Conduct obligations	109
Chapter 6 — Offences	137
Chapter 7 — Enforcement powers of the Commission	153
Part 2: Legislation	
Financial Service Providers (Registration and Dispute Resolution) Act 2008	181
Financial Service Providers (Registration) Regulations 2010	235
Financial Service Providers (Fees and Levy) Regulations 2010	241
Financial Service Providers and Financial Advisers Transitional Regulations 2010	243
Financial Advisers Act 2008	245
Financial Advisers (Fees) Regulations 2010	387
Part 3: Code	
Code of Professional Conduct for Authorised Financial Advisers	391
Case Table	413
Legislation Finding List	415
Index	419