

CII R01 - Financial Services Regulation and Ethics Practice Test Questions and Answers

1. What is TCF Outcome 5?

- A) Consumers receive suitable advice
- B) Consumers are provided with products that perform as firms have led them to expect, and the associated service is of an acceptable standard
- C) Consumers can be confident about the firm's culture
- D) Consumers face no post-sale barriers

2. What is TCF Outcome 6?

- A) Products are designed for identified groups
- B) Consumers do not face unreasonable post-sale barriers imposed by firms to change product, switch provider, submit a claim, or make a complaint
- C) Consumers receive clear information
- D) Firms have a fair corporate culture

3. What is TCF Outcome 3?

- A) Products perform as consumers expect
- B) Consumers are provided with clear information and kept appropriately informed before, during, and after the point of sale
- C) Consumers receive suitable advice
- D) Consumers face no unreasonable barriers to changing products

4. What is TCF Outcome 1?

- A) Products perform as consumers are led to expect
- B) Consumers can be confident they are dealing with firms where fair treatment is central to the corporate culture
- C) Consumers are provided with clear information
- D) Consumers receive suitable advice

Answers: 1-B 2-B 3-B 4-B

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