

Number of ECTS credits : 3

Course Language : English

Course responsible : SAMBROOK Timothy

Teachers : DEMETRIADES Elias

≡ COURSE DESCRIPTION

- The course presents a framework for ethical conduct in the investment profession by focussing on the CFA Institute Code of Ethics and Standards of Professional Conduct
- The course is designed to give the students all the necessary tools to pass levels 1 and 2 of the CFA exams

≡ COURSE OBJECTIVES

- Students will be able to explain the ethical responsibilities required by the CFA, in particular the Code of Ethics and the Standards of Professional Conduct
- Students will be able to demonstrate the application of the Code and the Standards, identify violations and make appropriate corrective measures.
- Students will also be able to demonstrate an understanding of Global Investment Performance Standards.

≡ LEARNING GOALS

LO01 - Analyse : Développer un esprit critique

LO06 - Action : Agir dans une langue étrangère dans un contexte professionnel

LO10 - RSO : Identifier et comprendre les enjeux des parties prenantes

LO11 - RSO : Discerner les enjeux éthiques et agir selon des considérations éthiques

LO15 - Coopération : Faire preuve d'agilité : adaptation, curiosité, proactivité

≡ TACKLED CONCEPTS

Code of Ethics - Why ethics matters

Standards

- Professionalism
- Integrity
- Duties of Clients
- Duties of Employers
- Investment Recommendations and Actions
- Conflict of Interests
- Responsibilities as a CFA member

Global Investment Performance Standards

≡ LEARNING GOALS

- Lectures
- Case studies
- In class tutorials and practical exercises
- Home assignments and group work

≡ ASSIGNMENTS

- Reading and Exercises

≡ BIBLIOGRAPHY

- CFA program curriculum level 1 volume 1 (Wiley)
- CFA program curriculum level 2 volume 1 (Wiley)

≡ EVALUATION METHODS

70 % : Examen

30 % : Contrôle continu

≡ SESSIONS

1

Code of Ethics and standards of Professional Conduct

BRIEFING : 03h00

2

Guidance for standards 1-7

BRIEFING : 03h00

3

Global Investment Performance Standards

BRIEFING : 03h00

4

Fair dealing and disclosure

BRIEFING : 03h00

5

Prudent Investor Rules

BRIEFING : 03h00

6

CFA Institute Soft dollar standards and research objectivity standards

BRIEFING : 03h00
