

- Faculté des sciences économiques
- www.unine.ch/seco

Ethics II (5AF2011)

Filières concernées	Nombre d'heures	Validation	Crédits ECTS
Master en finance	Cours: 2 ph	cont. continu	3

ph=période hebdomadaire, pg=période globale, j=jour, dj=demi-jour, h=heure, min=minute

Période d'enseignement:

- Semestre Automne

Equipe enseignante:

Elaine Kassanos, CFA
Institute of Financial Analysis
Rue A.-L. Breguet 2
CH-2000 Neuchâtel
Tel. +41 32 718 1350 Email: elaine.kassanos@unine.ch

Objectifs:

Preparation for Ethics section of the CFA Examinations (Level II and I).

Contenu:

(with emphasis on Recommended Procedures for Compliance)

- I. CFA Institute Code of Ethics
- II. CFA Institute Standards of Professional Conduct
 - A. Professionalism
 - B. Integrity of Capital Markets
 - C. Duties to Clients
 - D. Duties to Employers
 - E. Investment Analysis, Recommendations, and Action
 - F. Conflicts of Interest
 - G. Responsibilities as CFA Institute member or CFA candidate
- III. CFA Institute Research Objectivity Standards and Soft Dollar Standards
- IV. Current Issues.

Forme de l'évaluation:

2-hour final written exam during the last lecture of the semester (100%).
Reexamination session (August-September): 2-hour written exam (100%).

Documentation:

Standards of Practice Handbook (The Code of Ethics and The Standards of Professional Conduct) CFA Institute, 2010. (www.cfainstitute.org, CFA Program, Candidate Resources, Study Sessions, Level II Session I, Readings (PDF); Study Session II available in Library.
Various readings, CFA Institute and other sources.

Pré-requis:

None.

Forme de l'enseignement:

Lectures: 2 hours per week.