

- Faculté des sciences économiques
- [www.unine.ch/seco](http://www.unine.ch/seco)

## Ethics II (5AF2011)

Filières concernées	Nombre d'heures	Validation	Crédits ECTS
<b>Master en finance</b>	<b>Cours: 2 ph</b>	<b>écrit: 2 h</b>	<b>3</b>

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

### Période d'enseignement:

- Semestre Automne

### Equipe enseignante:

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### 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
- IV. Current Issues.

### Forme de l'évaluation:

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

### Documentation:

[www.cfainstitute.org](http://www.cfainstitute.org), Programs, CFA Programs, Study Sessions, 2016 Level II, Ethics and Professional Standards, Readings 1-3, PDF. Study Session II (explanation provided in class.)

### Pré-requis:

None.

### Forme de l'enseignement:

Lectures: 2 hours per week.