

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

Ethics I (5AF2006)

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

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

Période d'enseignement:

- Semestre Printemps

Equipe enseignante:

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Objectifs:

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

Contenu:

- I. The Code of Ethics
- II. 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. Global Investment Performance Standards
- IV. Current Issues.

Forme de l'évaluation:

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

Neither documents nor connected devices are permitted during the exams.

In case of violation of these rules, the students are in a situation of fraud and the unauthorized items will be removed. The exam could be deemed as failed.

Documentation:

www.cfainstitute.org, CFA Program, Course of Study, Study Sessions, 2017 Level I Study Sessions, Ethical and Professional Standards, Study Session 1/Readings 1-5, PDF. (Free access).

Pré-requis:

None.

Forme de l'enseignement:

Lectures: 2 hours per week.

URLs	1) http://www.cfapubs.org/doi/pdf/10.2469/cpb.v2016.n1.1
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