

- 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%).

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](http://www.cfainstitute.org), CFA Program, Course of Study, Study Sessions, 2017 Level II Study Sessions, Ethical and Professional Standards, Study Session 1,2, Study Session 1/Readings 1-3, PDF. (Free access). Explanation re: Study Session 2 provided in class.

### Pré-requis:

None.

### Forme de l'enseignement:

Lectures: 2 hours per week.

URLs	1) <a href="http://www.cfapubs.org/doi/pdf/10.2469/cpb.v2016.n21">http://www.cfapubs.org/doi/pdf/10.2469/cpb.v2016.n21</a>
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