

- 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> | Voir ci-dessous | 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](mailto: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
- 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, 2018 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.

The PDF link will be updated when the CFA Institute provides it.

### 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> |
|------|--|

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

**Ethics II (5AF2011)**