

- 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	Voir ci-dessous	3
Master in General Management	Cours: 2 ph	Voir ci-dessous	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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Contenu

- I. The Code of Ethics
 - A. Ethics and Trust in the Investment Profession
 - 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 (100%) during the last lecture of the semester.
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, 2019 Level I Study Sessions, Ethical and Professional Standards, Study Session 1/Readings 1-5, PDF. (Free access).

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

Pré-requis

None.

Forme de l'enseignement

Lectures: 2 hours per week.

Objectifs d'apprentissage

URLs	1) http://www.cfapubs.org/doi/pdf/10.2469/cpb.v2016.n1.1
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Au terme de la formation l'étudiant-e doit être capable de :

- Identify correct answers to the questions (Applications and Practice Problems) in the Readings
- Illustrate the differences between correct conduct and violations
- Establish exceptions/special cases in which Guidance changes
- Apply the Standard of IIIA Suitability (an inquiry into a client's situation)
- Explain the reasons for selecting answers
- Discuss questions when wording is not clear, situations are ambiguous, etc.
- Restate the CFA Institute Code of Ethics and Standards of Conduct
- Indicate key items from the Introduction of GIPS (Global Investment Performance Standards)
- Evaluate the Standards with regard to diverse questions and situations
- Review current new topics that are relevant to the material
- Anticipate real-world problems in the workplace
- Explore the decisions and conduct of White-Collar Criminals

Compétences transférables

- Work in an international context
- Decision making
- Act on the basis of an ethical reasoning
- Apply knowledge to new situations