

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

Ethics II (5AF2011)

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 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

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. Current Issues.

Forme de l'évaluation

2-hour final written exam (100%) during the last lecture of the semester.
Reexamination session: 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 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) http://www.cfapubs.org/doi/pdf/10.2469/cpb.v2016.n21
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