

Capital University of Economics and Business

Overseas Chinese College

Course Syllabus

Year and Semester 2022 Spring (February 28, 2022-July17, 2022)

Course Name Ethical & Professional Standards

Course Code CFA303

Course Type

- General Education (Required)
- General Education (Elective)
- Professional Course (Required)
- Professional Course (Elective)
- Basic Disciplinary Course

Course Credits 2

Course Hours 32

Instructor Prof. Emily Chen

Contact Information
 Office: C203
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Office Hour M: 13:30-14:15, T: 15:25-17:00,
 W: 08:00-09:35, F: 13:30-14:15

Learning Centre T: 18:00-20:00
 W: 9:55-11:30

<u>Course</u>	<u>Grade/Section</u>	<u>Place</u>	<u>Time</u>
	2019CFA/Y01	5#208	9:55-12:20

Textbook
 CFA Ethical & Professional Standards 2022 Handbook & Notes

Course Description

This course presents a framework for ethical conduct in the investment profession by focusing on the CFA Institute Code of Ethics and Standards of Professional Conduct as well as the Global Investment Performance Standards(GIPS).

Student Learning Objectives

After completing this course, students will be able to:

Knowledge:

- Understand and memorize standards and rules of ethics
- Describe the ethical responsibilities
- Be familiar with the questions of ethics in CFA exam
- Master the question making skills of ethics in CFA exam
- Be able to establish the relationship between standards, scenarios and behaviors

Capability:

- Have the understanding of the background of moral norms and logical thinking
- Distinguish right from wrong as financial analysts
- Apply the code of ethics in combination with the characteristics of the work scene

Value:

- Cultivate students' professional, integrity, diligence, integrity, fairness and other excellent professional ethics, and provide excellent financial analysts for the society
- Maintain the healthy and sustainable development of the capital market through talent construction

Teaching Methods

This course contains live streaming and offline lectures, class discussions, homework, quizzes, presentation, and exams.

Grade Criterion

Component	Weight	Description
Final Exam	20%	A final examination will be given based on all of the contents of the course. The exam paper may be composed of multiple-choice questions, short answer questions, essay questions, and calculation problems. Students should rely primarily on homework assignments and quizzes to give them a sense of what they may see for material on exams.
Mid-Term Test	20%	A cumulative midterm test will be given based on all of the contents that have been taught in the course. The test paper may be composed of multiple-choice questions, short answer questions, essay questions, and calculation problems.
Homework	10%	Most of the assigned homework is taken from the exercises in the textbook. Assignments will be collected on the date indicated. Late assignments will not be accepted. Graded assignments will be kept by the tutor for reference and won't be returned to students.
Quizzes	20%	There will be at least 2 quizzes during the semester. Quizzes may or may not be announced in advance. It may also be used as a way to check the attendance. Quizzes will test your knowledge of both concepts and the application of those concepts.
Presentation	10%	The students will be divided into several groups to prepare a presentation. Each student is required to be involved in the presentation. The topics can be selected from the textbook or lectures. Each group needs to finish a PPT related to their topic and hand in the

		related resources to the teacher before the presentation.
Participation	10%	Group discussions of the course material are an important part of the learning process in this course. Students are expected to make a meaningful contribution to the class, whether by asking questions, responding to questions, delivering presentations or contributing in other ways to class discussion.
Attendance	10%	Refer to attendance policy listed below
Total	100%	

Detailed Grade Computation

	Before Midterm	After Midterm
Attendance	5%	5%
Participation	5%	5%
Homework		10%
Quizzes	10%	10%
Presentation		10%
Midterm test	20%	
Final exam		20%
Total	40%	60%

Grading Policy

A+ 97-100	A 93-96	A- 90-92	B+ 87-89	B 83-86
B- 80-82	C+ 75-79	C 70-74	C- 67-69	D+ 63-66
D 62-60	F 0- 59			

Exam Schedule

Midterm Test: April 26 – April 30, 2021

Final Exam: June 21 – June 25, 2021

Assessment of Student Performance

☞ Self-Study and Reading ability Practice

Instructor will give out the chapters or the reference books to read and use class hours to have discussion; students should be able to show a proactive attitude and ability for self-study and reading. Knowledge and oral English will be elements of homework or presentation score.

☞ Homework

Students should finish marked homework by themselves. Copying from others will be treated as cheating and the homework scores will be lowered. Students should hand in all assignments on time. Late assignments will be accepted at the discretion of the instructor (i.e., when the student was ill or had an excused absence). Late assignments without reasonable proof will be reduced in score by 50%.

☞ Attendance

The course covers a great deal of material, so attending every class session is very important for performing well.

- ◆ Being late for 15 minutes or more is considered an absence.
- ◆ Five hours or above of unexcused absences will result in the lower level of the final grade by one grade band (e.g. from C – to D +). Any excused absence must be discussed directly with the teacher.
- ◆ Absence which is more than 1/3 of the total teaching hours will cause an F (a failing grade) directly but students are welcome to continue attending classes.
- ◆ An incomplete grade (I) will be considered in case of medical or family emergencies.

☞ Participation

- ◆ Students should participate in classes actively. They are encouraged to ask questions relevant to the subject and express their own opinions. Every student should respect the ideas, opinions, and questions of their classmates.
- ◆ Students should also use office hours to ask questions or talk with the instructor for good communication and effective learning.
- ◆ Frequent visiting the instructor and chatting in English during office hours is highly recommended.
- ◆ Any misbehavior and non-class related activities in class will result in the lower level of the participation grade, including ringing cell phones.
- ◆ All above behaviors will be solely evaluated by the instructor for scoring.

☞ Textbook and Calculator

Students must bring the textbook to class.

Course Outline

Week	Date	Schedule
1	28 Feb 2022	Introduction: to answer 3 questions: why, what and how to learn
2	7 March 2022	Standard I: Professionalism I A: Knowledge of the Law I B: Independence and Objectivity Quiz
3	14 March 2022	Standard I: Professionalism I C: Misrepresentation I D: Misconduct Standard II: Integrity of Capital Markets II A: Material Nonpublic Information II B: Market Manipulation Quiz
4	21 March 2022	Standard III: Duty to Clients III A: Loyalty, Prudence, and Care III B: Fair Dealing III C: Suitability III D: Performance Presentation III E: Preservation of Confidentiality Quiz
5	28 March 2022	Standard IV: Duty to Employers IV A: Loyalty IV B: Additional Compensation Arrangements IV C: Responsibilities of Supervisors Quiz
6	4 April 2022	Qing Ming Festival
7	11 April 2022	Standard V: Investment Analysis, Recommendations, Actions V A: Diligence and Reasonable Basis V B: Communication with Clients & Prospective Clients V C: Record Retention Standard VI: Conflicts of Interest VI A: Disclosure of Conflicts VI B: Priority of Transactions VI C: Referral Fees Quiz
8	18 April 2022	Review
9	25 April 2022	Midterm Test
10	2 May 2022	Labor Day
11	9 May 2022	Standard VII: Responsibilities as a CFA Institute Member or CFA Candidate VII A: Conduct as Participants in CFA Institute Programs VII B: Reference to CFA Institute, the CFA Designation, and the CFA Program

		Code of Ethics Global Investment Performance Standards (GIPS) Quiz
12	16 May 2022	Review
13	23 May 2022	Presentation

Note:

During the first three online teaching weeks, I will be the main platform to deliver the prerecorded lectures, attendance checking and organize online discussions, Wechat group will also available to be used as an immediate and urgent communication tool between the students and lecturer. After the online class is switch back to school, both platform that mentioned above will be used continuously to support lecturer's other teaching activities, such as teaching material sharing and course work assigning and collecting.

Some chapters or sections may be left for self-study, which are the students' duty to learn and understand, they may also be included in the quizzes or exams.

Teacher's Office Hour

- ◆ The instructor's office hours are shown on the front of the office door.
- ◆ Students should use the instructor's office hours and learning center to ask questions or talk with the instructor once per week for good communication and effective learning, which is recorded in the students' participation.
- ◆ The time can be scheduled by instructors or students, or both.

Cheating and Plagiarism

Cheating and plagiarism are not tolerated. If any thoughts or writings of another person are used in a relevant assessment, they must be clearly identified (usually using quotation marks) and the source noted. Any student caught cheating or engaging in plagiarism on a relevant assessment will be given a mark of zero (0) for the particular work, and will be subject to disciplinary action in accordance with university policy.

Important Dates

Spring Semester, 2021	Feb 28, 2021— July 18, 2021
Feb. 27	Registration
Feb. 28	Classes Begin
Apr. 5(6 th week)	Qing Ming Festival
Apr.22(8 th week)	Spring Sports
Apr.26 & Apr. 29 (9)	Midterm Test (tentative)
May 1(10 th week)	Labor Day
June 3(14 th week)	Dragon-Boat Festival
June 20-24	Final Exams for Sophomores and Juniors
June 27-July17	Social Practice for Sophomores and Juniors (tentative)
July 11-15	Revision and final exam period (Freshmen)
July 18	Summer Vacation Begins

Note: This syllabus is tentative and may be changed or modified throughout the semester. All students will be notified of any changes.

Instructor: Zhe Chen

Department Head: _____