

Capital University of Economics and Business

Overseas Chinese College

Course Syllabus

Year and Semester	Spring 2026						
Course Name	Ethics and Professional Standards						
Course Code	CFA307						
Course Type	<input type="checkbox"/> General Education (Required) <input type="checkbox"/> General Education (Elective) <input type="checkbox"/> Basic Disciplinary Course <input type="checkbox"/> Professional Course (Required) <input type="checkbox"/> Professional Course (Elective) <input type="checkbox"/> Professional Course (Expanded) <input checked="" type="checkbox"/> Professional Course (Advanced)						
Course Credits	2						
Course Hours	Total Hours	Class	32	Lecture Hours	32	Experiment (Computer) Hours	0
Applicable object	<input type="checkbox"/> Freshman <input checked="" type="checkbox"/> Sophomore <input type="checkbox"/> Junior <input type="checkbox"/> Senior <input type="checkbox"/> Business Administration (Accounting) <input checked="" type="checkbox"/> Information Management and Information Systems (Finance)						
Prerequisites	N/A						
Instructor	Qin Xiaoshu						
Contact Information	Office: C203						
	Tele: 010 8395 1085						
	Email: xiaoshumt@126.com						
Office Hour	T11:35-12:20/15:25-17:00 W11:35-12:20 F11:35-12:20/15:25-16:10						
Learning Centre	W9:55-11:30 TH18:00-20:00(Online)						
Grade/Section	2024CFA						
Course Time/Place	F 13:30-15:05						
Textbook	Schweser Notes, 2025 Level I CFA, Kaplan Inc. USA						

Reference Book

1. CFA Institute, CFA Program Curriculum, 2025, Wiley Press, USA
2. CFA Ethical & Professional Standards 2024 Handbook & Notes

Course Description

This course is designed for students to understand the importance of ethical behavior in the investment industry. Its core objective is to help students to apply the Code of Ethics and Standards of Professional Conduct to situations involving issues of professional integrity; as well as identifying practices and procedures designed to prevent violations of the Code of Ethics and Standards of Professional Conduct. It covers the Standards of Professional Conduct, which are fundamental to the values of CFA Institute. As candidates in the CFA Program, students are both expected and required to meet high ethical standards.

The ideological and political elements of this course include the integration of core professional ethics concepts and national financial development requirements (abiding by professional integrity, adhering to fair and impartial professional conduct, safeguarding the legitimate rights and interests of investors, and practicing the concept that the financial sector serves the real economy). These elements are closely incorporated into the professional

knowledge points, including ethical standards for investment professionals, professional conduct obligations, and fiduciary duties. It helps students understand the important role of professional ethics in promoting the healthy development of the financial industry and serving national economic construction. It still helps students cultivate high-quality financial talents who have solid professional competence, and have a strong sense of social responsibility and sincere patriotism.

Student Learning Objectives

On successful completion of this exam, candidates should be able to:

Knowledge	<ul style="list-style-type: none"> ◆ 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	<ul style="list-style-type: none"> ◆ 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
Mindset	<ul style="list-style-type: none"> ◆ 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 ◆ The ethical standards could serve the real economy, prevent and control financial risks.

Website Sources

1. <http://www.cffex.com.cn/> China Financial Futures Exchange
2. <http://www.shfe.com.cn/> Shanghai Futures Exchange
3. www.chinabond.com.cn
4. www.chinamoney.com.cn

Teaching Methods

This course contains lectures, class discussions, homework, quizzes, presentation and exams. Textbook content will be introduced first. Then real case and practice questions will be delivered to students as a way to test their understanding of the knowledge. This will require individual or group assignment in or after class.

Grade Criterion

Component	Weight	Description
Final Exam	20%	A cumulative final examination will be given based on all of the contents of the class. The exam paper will be composed of CFA-style multiple-choice questions and/or short answer questions. Students should

		rely primarily on homework assignments 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 class. The test paper will be composed of CFA-style multiple-choice questions and/or short answer questions.
Homework	15%	Most of the assigned homework is taken from the Exercises in the textbook. Assignments will be collected at the clearly stated date. Late assignments will not be accepted. In general, each assignment should be complete in appropriate software and submit by Xuexitong App. The graded will be published on the app.
Quizzes	10%	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	15%	The students will be divided into several groups to prepare a presentation. Each student is required to be involved in the presentation. Each member of the group will receive the group grade with certain weight of his/her contribution. The topics can be selected from the textbook or lectures or course related materials. Each group needs to finish a PPT related to the topic which is given, and hand in the related resources to the teacher before the presentation.
Participation	10%	Individuals will be asked to participate individually in a question and answer at least 5 times during the semester. The performances should be counted in their participation.
Attendance	10%	Refer to attendance policy listed below
Total	100%	

Detailed Grade Computation

	Before Midterm	After Midterm
Attendance	5%	5%
Participation	5%	5%
Homework	5%	10%
Quizzes	5%	5%
Presentation		15%
Mid-Term Test	20%	
Final exam		20%
Total	40%	60%

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 their 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

Because the course covers a great deal of material, 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. Half of participation grade is determined by their presentation in class. 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

Students must bring the textbook to class.

Topical Course Outline (original)

Week	Topics	Homework
1	<ul style="list-style-type: none"> ● Syllabus ● Introduction to Ethics Discussion	
2	<ul style="list-style-type: none"> ● Standard I: Professionalism I(A): Knowledge of the Law I(B): Independence and Objectivity Discussion & Exercises	
3	<ul style="list-style-type: none"> ● Standard I: Professionalism I(C): Misrepresentation I(D): Misconduct Discussion & Exercises * Standard I aims to cultivate the professional qualities of students in "knowing, understanding, abiding by, and applying the law".	

4	<ul style="list-style-type: none"> ● Standard II: Integrity of Capital Markets II(A): Material Nonpublic Information II(B): Market Manipulation Discussion & Exercises * Standard II strengthens the risk awareness, prioritize the proactive prevention and resolution of financial risks. 	
5	<ul style="list-style-type: none"> ● Standard III: Duty to Clients III(A): Loyalty, Prudence and Care III(B): Fair Dealing III(C): Suitability Discussion & Exercises 	
6	<ul style="list-style-type: none"> ● Standard III: Duty to Clients III(D): Performance Presentation III(E): Preservation of Confidentiality Discussion & Exercises * Standard III emphasizes the investor protection and financial fairness, guiding students to understand social responsibility in financial market. 	
7	<ul style="list-style-type: none"> ● Standard IV: Duty to Employers IV(A): Loyalty IV(B): Additional Compensation Arrangements Discussion & Exercises 	
8	<ul style="list-style-type: none"> ● Standard IV: Duty to Employers IV(C): Responsibilities of Supervisors Discussion & Exercises * Standard IV guides students to establish professional values of dedication to work, loyalty to institutions, integrity in practice, and proactive accountability. 	
9	<ul style="list-style-type: none"> ● Midterm Test 	
10	<ul style="list-style-type: none"> ● Standard V: Investment Analysis, Recommendations, Actions V(A): Diligence and Reasonable Basis V(B): Communication with Clients & Prospective Clients Discussion & Exercises 	
11	<ul style="list-style-type: none"> ● Standard V: Investment Analysis, Recommendations, Actions V(C): Record Retention ● Standard VI: Conflicts of Interest VI(A): Avoid and Disclose Conflicts Discussion & Exercises 	
12	<ul style="list-style-type: none"> ● Standard VI: Conflicts of Interest VI(B): Priority of Transactions VI(C): Referral Fees Discussion & Exercises * Standard VI emphasizes the investor protection and financial fairness, guiding students to understand social responsibility in financial market. 	
13	<ul style="list-style-type: none"> ● 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 Discussion & Exercises 	
14	<ul style="list-style-type: none"> ● Code of Ethics ● Global Investment Performance Standards (GIPS) 	
15	<ul style="list-style-type: none"> ● Presentation 	

16	Presentation	
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Note: Some sections may leave for self-study, this is the students' duty to learn and understand, they may also be included in the quizzes or exams. A review in Chinese may be held during L.C. and O.H. in the semester.

Teacher's Office Hour

- ♦The instructor's office hour is shown in the front of the office door.
- ♦Students are suggested to use the instructor's office hour and learning center to ask questions or talk with the instructor once at least 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 is not tolerated. Any student caught cheating on a quiz; test or exam will be given a mark of zero (0) for the particular work. At the beginning of the semester the definition of plagiarism will be carefully explained, when any thoughts or writings of another person are used, they must be clearly identified (usually one uses quotation marks) and the source notes. **If any student is caught cheating on any homework assignment, the highest score the student can earn in that course is a "C".**

Important Dates

Midterm Test	Week 9 or 10
Final Exam	Week 18 or 20 (Refer to the notice of the Academic Affairs Office)

Note: This syllabus is tentative and may be changed or modified throughout the semester. All students will be notified and a new syllabus will be given.

Instructor: Qin Xiaoshu **Department Head: _____**

