

Capital University of Economics and Business

Overseas Chinese College

Course Syllabus

Year and Semester	2024 Spring					
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 checked="" type="checkbox"/> Professional Course (Elective) <input type="checkbox"/> Professional Course (Expanded) <input type="checkbox"/> Professional Course (Advanced)					
Course Credits	2					
Course Hours	Total Class Hours	32	Lecture Hours	32	Experiment (Computer) Hours	0
Applicable object	<input type="checkbox"/> Freshman <input type="checkbox"/> Sophomore <input checked="" type="checkbox"/> Junior <input type="checkbox"/> Senior <input type="checkbox"/> Information Management and Information Systems (Finance)					
Prerequisites						
Instructor	Lemon Li					
Contact Information	Office: C217					
	Tele: (010)83951082					
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Office Hour						
Learning Centre						
Grade/Section	21CFA					
Course Time/Place	博学楼 206					
Textbook	CFA Ethical & Professional Standards SchweserNotes 2024					

Reference Book

CFA Ethical & Professional Standards 2024 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

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
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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

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 the contents of the class. The exam paper may be composed of multiple-choice questions, short answer questions, essay questions. Students should rely primarily on homework assignments and class exercise as reference for exams.
Mid-Term Test	20%	A cumulative midterm test will be given based on all the contents that have been taught in class. The content shows the results of the intermediate nodes of the project. It should be completed within 50 minutes in class.
Homework	10%	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(学习通) App. The graded will be published on the app.
Quizzes	10%	There will be at least 2 quizzes during the semester. It may also be used to check the attendance. Quizzes will test your theoretical knowledge and application ability.
Presentation	20%	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. Each group need to finish a code or report of the project, 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 question and answer at least 10 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%	5%
Quizzes	5%	5%
Presentation		20%
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	Platform	Homework
1	<ul style="list-style-type: none"> ● Syllabus ● Introduction to Ethics 	Classroom & Chaoxing	
	<ul style="list-style-type: none"> ● Discuss & Exercises 	Classroom & Chaoxing	
2	<i>Standard I: Professionalism</i> I A: Knowledge of the Law I B: Independence and Objectivity	Classroom & Chaoxing	
	<ul style="list-style-type: none"> ● Discuss & Exercises 	Classroom & Chaoxing	
3	<i>Standard I: Professionalism</i> I C: Misrepresentation I D: Misconduct	Classroom & Chaoxing	
	<ul style="list-style-type: none"> ● Discuss & Exercises 	Classroom & Chaoxing	
4	<i>Standard II: Integrity of Capital Markets</i> II A: Material Nonpublic Information II B: Market Manipulation	Classroom & Chaoxing	
	<ul style="list-style-type: none"> ● Discuss & Exercises 	Classroom & Chaoxing	
5	Standard III: Duty to Clients III A: Loyalty, Prudence, and Care	Classroom & Chaoxing	
	<ul style="list-style-type: none"> ● Discuss & Exercises 	Classroom & Chaoxing	

6	III B: Fair Dealing III C: Suitability	Classroom & Chaoxing	
7	● Midterm Test	Classroom & Chaoxing	
8	Standard III: Duty to Clients III D: Performance Presentation III E: Preservation of Confidentiality	Classroom & Chaoxing	
	● Discuss & Exercises	Classroom & Chaoxing	
9	Standard IV: Duty to Employers IV A: Loyalty	Classroom & Chaoxing	
	● Discuss & Exercises	Classroom & Chaoxing	Process pecification
10	IV B: Additional Compensation Arrangements		
11	Standard IV: Duty to Employers IV C: Responsibilities of Supervisors	Classroom & Chaoxing	
	● Discuss & Exercises	Classroom & Chaoxing	
12	<i>Standard V: Investment Analysis, Recommendations, Actions</i> VA: Diligence and Reasonable Basis VB: Communication with Clients & Prospective Clients		
	<i>Standard V: Investment Analysis, Recommendations, Actions</i> VC: Record Retention	Classroom & Chaoxing	
13	<i>Standard VI: Conflicts of Interest</i> VI A: Disclosure of Conflicts VI B: Priority of Transactions VI C: Referral Fees		
	● Discuss & Exercises	Classroom & Chaoxing	
14	VII A: Conduct as Participants in CFA Institute Programs VII B: Reference to CFA Institute, the CFA Designation, and the CFA Program Global Investment Performance Standards (GIPS)		
15	Quiz		
16	Presentation		

Note: In the first three weeks, Tencent Meeting, Mosoteach and the Wechat group will be used as the main teaching methods. The Wechat group will be mainly used to inform the students daily study activities and tasks. Tencent Meeting and Mosoteach will be used as the main study platform to teach and organize the

study activities When classes change back to school, Tencent Meeting will be stopped to use. Mosoteach will be mainly used to upload PPTS and release some learning materials. Some chapters or 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 17 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: Meng Li

Department Head: Jingning Li

