

**COURES OUTLINE: BF2100 Ethics in the Investment Profession**

<b>Academic Year</b>	2022/2023	<b>Semester</b>	2
<b>Course Coordinator</b>	Assoc Prof Tao Chen		
<b>Course Code</b>	BF2100		
<b>Course Title</b>	Ethics in the Investment Profession		
<b>Pre-requisites</b>	Nil		
<b>No of AUs</b>	1		
<b>Contact Hours</b>			

**A) Course Aims/Description**

The fairness and transparency is necessary for financial market to be efficient. This should not only be guaranteed by laws and regulations. Practitioners in the industry should comply necessary ethical foundation to make sure that the financial system is functioning well. Individuals with unethical behaviors damage investor trust and impair the capital markets as a whole. Unethical behaviors also have serious personal consequences on individuals themselves, this may range from job loss and reputational damage to fines and jails. This aim of this course is to train students with the basic understanding of the CFA Ethics code. It seeks to increase students' awareness of business ethics and improve their willingness to comply it. It will help students with their future career and contribute to the society. Moreover, it is also a component of the CFA exams. All NBS students with a Banking and Finance (BAF) specialization must complete a CFA Ethics course prior to graduation.

**B) Intended Learning Outcomes (ILO)/Objectives**

By the end of this course, you should be able to:

1. Recognize the importance of business ethics in the financial industry
2. Identify different aspects of business ethics
3. Differentiate appropriate behaviors from unethical ones in practice
4. Recognize ethical issues, and apply sound ethical reasoning

**C) Course Content**

There are two components:

**Component (i):** Study/view all the online CFA Ethics lecture links (links to be provided).

- Watch the online lectures entirely. The online lectures will be made available from **Monday, 30<sup>th</sup> January to Wednesday, 1<sup>st</sup> March 2023 (recess week)**.

**Component (ii):** Pass the online CFA Ethics Quiz (please click on the link available on Wednesday, 1<sup>st</sup> March 2023).

- You must take the online Ethics Quiz scheduled on **Wednesday, 1<sup>st</sup> March 2023** available from 12.30 pm to 2.30 pm. The quiz comprises 20 multiple-choice question to be completed within **30** minutes from the time of logging in. The minimum passing mark is **60%**. You are allowed another attempt should you fail in the first attempt immediately, i.e. up to **TWO (2)** attempts only.
- You must register using your NTU registered name, Matriculation Number and NTU email address only.

<b>D) Assessment</b>					
<b>Component</b>	<b>ILO Tested</b>	<b>NBS Learning Goal</b>	<b>Weightage</b>	<b>Team/Individual</b>	<b>Assessment Rubrics (attach rubrics in appendix)</b>
Online CFA Ethics Quiz	ILO1, ILO2, ILO3	Critical Thinking, Acquisition of knowledge, Ethical Reasoning	100%	Individual	N.A
<b>Total</b>			<b>100%</b>		
You will be notified whether you have passed or failed once you complete the online quiz					
<b>E) Learning and Teaching approach</b>					
Online Lectures	The online lectures will equip you with basic knowledge about business ethics. Through careful studying of the materials delivered by the online lectures, you will get the necessary knowledge and good understanding of business ethics.				
<b>F) Reading and References</b>					
Study all the online lectures.					
<b>G) Course Policies and Student Responsibilities</b>					
You are expected to study all the online lectures carefully. You should make sure you understand them well. Finally you will participate an online quiz which you will either pass or fail.					
<b>H) Academic Integrity</b>					
<p>Good academic work depends on honesty and ethical behaviour. The quality of your work as a student relies on adhering to the principles of academic integrity and to the NTU Honour Code, a set of values shared by the whole university community. Truth, Trust and Justice are at the core of NTU's shared values.</p> <p>As a student, it is important that you recognize your responsibilities in understanding and applying the principles of academic integrity in all the work you do at NTU. Not knowing what is involved in maintaining academic integrity does not excuse academic dishonesty. You need to actively equip yourself with strategies to avoid all forms of academic dishonesty, including plagiarism, academic fraud, collusion and cheating. If you are uncertain of the definitions of any of these terms, you should go to the <a href="#">academic integrity website</a> for more information. Consult your instructor(s) if you need any clarification about the requirements of academic integrity in the course.</p>					
<b>I) Course Coordinator</b>					
<b>Coordinator</b>	<b>Office Location</b>	<b>Phone</b>	<b>Email</b>	<b>Consultation Hours</b>	
Tao Chen	S3-B1A-08	67905785	jtchen@ntu.edu.sg	N/A	

<b>J) Planned Weekly Schedule</b>			
<b>Week</b>	<b>Topic</b>	<b>ILO</b>	<b>Readings/ Activities</b>
Week 4 onwards	CFA Ethics online Lectures	ILO1, ILO2, ILO3	Study/view all the CFA online Ethics lectures
Week 8	CFA Ethics online Quiz	ILO1, ILO2, ILO3	Pass the CFA online Ethics Quiz