

Annexe A: New/Revised Course Content in OBTL+ Format

Course Overview

The sections shown on this interface are based on the templates [UG OBTL+](#) or [PG OBTL+](#)

If you are revising/duplicating an existing course and do not see the pre-filled contents you expect in the subsequent sections e.g. Course Aims, Intended Learning Outcomes etc. please refer to [Data Transformation Status](#) for more information.

Expected Implementation in Academic Year	
Semester/Trimester/Others (specify approx. Start/End date)	
Course Author * Faculty proposing/revising the course	Tao Chen
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Course Title	Ethics in the Investment Profession
Course Code	BF2100
Academic Units	0
Contact Hours	0
Research Experience Components	

Course Requisites (if applicable)

Pre-requisites	
Co-requisites	
Pre-requisite to	
Mutually exclusive to	
Replacement course to	
Remarks (if any)	

Course Aims

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.

Course's Intended Learning Outcomes (ILOs)

Upon the successful completion of this course, you (student) would be able to:

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

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, 30th January to Wednesday, 1st March 2023 (recess week). Component (ii): Pass the online CFA Ethics Quiz (please click on the link available on Wednesday, 1st March 2023). • You must take the online Ethics Quiz scheduled on Wednesday, 1st March 2023 available from 12.30 pm to 2.30 pm. The quiz comprises 20 multiple-choice questions 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.

Reading and References (if applicable)

Study all the online lectures.

Planned Schedule

Week or Session	Topics or Themes	ILO	Readings	Delivery Mode	Activities
1	CFA Ethics online Lectures (Week 4 onwards)	1,2,3	Study/view all the CFA online Ethics lectures		
2	CFA Ethics online Quiz (Week 8)	1,2,3	Pass the CFA online Ethics Quiz		

Learning and Teaching Approach

Approach	How does this approach support you in achieving the learning outcomes?
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.

Assessment Structure

Assessment Components (includes both continuous and summative assessment)

No.	Component	ILO	Related PLO or Accreditation	Weightage	Team/Individual	Rubrics	Level of Understanding
1	Continuous Assessment (CA): Others([quiz/test] Online CFA Ethics Quiz (individual))	ILO1, ILO2, ILO3_x000D_	Critical Thinking, Acquisition of knowledge, Ethical Reasoning_x000D_	100			

Description of Assessment Components (if applicable)

You will be notified whether you have passed or failed once you complete the online quiz

Formative Feedback

NTU Graduate Attributes/Competency Mapping

This course intends to develop the following graduate attributes and competencies (maximum 5 most relevant)

Attributes/Competency	Level
Ethical Reasoning	Intermediate
Value Creation	Intermediate
Critical Thinking	Intermediate

Course Policy

Policy (Academic Integrity)

Policy (General)

Policy (Absenteeism)

Policy (Others, if applicable)

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.

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