



Shanghai Jiao Tong University

FI420 Ethics and Financial services

Instructor:	Dr Eswaran Velayutham	Email:	Eswaran.Velayutham@usq.edu.au
Instructor's Home Institution:	University of Southern Queensland	Office:	TBD
Office Hours:	TBD		
Term:	December 16, 2019- January 7, 2020	Credits:	4 units
Classroom:	TBD	Teaching Assistant(s):	TBD
Class Hours:	Monday through Friday, 160 mins per teaching day		
Discussion Sessions:	2 hours each week, conducted by teaching assistant(s)		
Total Contact Hours:	64 contact hours (1 contact hour = 45 mins, 2880 mins in total)		
Required Texts (with ISBN):	Principles of Ethics and corporate governance in Financial services by Thomsen, Steen; Coryon, Martin; Dellaporti, Steven BN: 9780071012393		
Prerequisite:			



Course Overview

This course promotes understanding of the importance of ethical conduct in a business environment particular in financial services. A Range of ethical related theories help encourage the participant to provide the skills with which to understand and solve the problem ethical way. The ethical factors influencing the performance in financial service encourage the participants learn more ethical related issues that affect financial services' performance.

Learning Outcomes / Course Goals

On successful completion of the course, the students should be able to

- define, explain and illustrate the theoretical foundation of ethics in financial services
- re-examine their understanding of business concepts from an ethical perspectives
- solve the ethical problems in their workplaces and
- using the learnt concept the participants will be able to communicate effectively in an ethical way in financial services.

Grading Policy

Written Assignment	20%
Mid-term exam	30%
Final exam	50%

Grading Scale is as follows:

Number grade	Letter grade	GPA
90-100	A	4
85-89	A-	3.7
80-84	B+	3.3
75-79	B	3
70-74	B-	2.7
67-69	C+	2.3
65-66	C	2
62-64	C-	1.7
60-61	D	1
≤59	F (Failure)	0



Class Schedule

Date	Lecture	Chapter
Day 1	Introduction to Ethics	Chapter 2
Day 2	Ethical decision making Models	Chapter 3
Day 3	Corporate governance, agency theory and Major corporate collapses	Major corporate collapses
Day 4	Role of ethics in financial services/ Code of ethics in financial services	Code of ethics in financial services
Day 5	Self-regulation and codes of professional ethics	Chapter 5
Day 6	Ethical factors that influence the performance of financial services	Ethical factors
Day 7	Ethical issues and conflict of interest in the financial services	Chapter 6
Day 8	Ethics in corporate environment	Chapter 7
Day 9	Mid-term examination	
Day 10	Cross culture ethics	Cross culture ethics
Day 11	Business and economic crime	Chapter 8
Day 12	Corporate social responsibility as a tool to divert the stakeholders	Managerial rent seeking
Day 13	Corporate governance and ethics in the Asia-pacific region	Journal articles
Day 14	Term break	
Day 15	Exam	