



FI320 Ethics and Financial Services (Online)

Instructor Information	<p>Gui Ren Home Institution: Shanghai University Email: 1776606818@qq.com Office Hours: Determined by Instructor</p>		
Term	<p>June 27, 2022 - July 22, 2022</p>	Credits	<p>4 units</p>
Course Delivery	<p>The class will be delivered in the format of online. Other than recorded lecture videos, the instructor will arrange 2 hours' real-time interactions with students per week (via discussion forum, zoom meeting, and WeChat). The workload students are expected to complete to properly pass this course is about 20 hours per week.</p>		
Required Texts (with ISBN)	<p>Ethics in Finance, 3rd Ed., Wiley Blackwell, 2014, ISBN-10: 1118615824 / ISBN-13: 978-1118615829</p> <p>Hartman L., DesJardins J, Business Ethics: Decision making for personal integrity & social responsibility, China Machine Press ISBN number: 978 -7-111-5110 – 014</p>		
Prerequisite	<p>No</p>		



Course Overview

In this course, you will experience various ethical issues in the finance area which have been dealing with legal rules, regulations, as long as some industry and firm regulations. You will be able to describe the reasons behind ethical principles lie from the perspective of regulatory reform. Through guided hands-on tutorials, you will become familiar with techniques using regulation debate to understand the issues. This course provides techniques to extract value from existing untapped study materials and discovering new learning sources relating to moral and ethics.

For example, misconduct may damage the interests of company in financial department, hence raising novel conflicts in ethics. Students will find extensively financial crisis since the great depression era in the courses materials. Some chapters may be different from the old and new version, but most of the chapters remains same, and study materials actually have been substantially organized by more clarity and sequences. No matter is agents or fiduciaries, the reorganized parts address the financial services, markets, and even management in finance area.

Some other areas like credit cards, mortgages, macro finance and microfinance, the derivatives, and high frequency trading products, and financial risk management are also be included into the whole chapters.

Learning Outcomes

The course objective is to provide students with a broad view on ethics in finance, **definitions, concepts and theories for ethical decision- making**, including practical frameworks and tools to help resolve ethical issues in banking institutions, as well as some history on economics, markets and finance at least from the following area:

1. Introduction of Finance Ethics
2. Finance Ethics Fundamentals
3. Moral and Conflicts interests
4. Investment Ethics in Finance
5. Financial Markets Ethics
6. Financial Management Moral
7. Ethical Decision Making: Personal and Professional Contexts
8. Philosophical Ethics and Business

Assessment Type

Achievement of learning outcomes will be assessed through group coursework (case study) and a final (closed book) examination. In addition, students will prepare an oral presentation of around 15- 20 minutes to present their case study on business ethics.

Students will prepare the case study in groups of 5-6 students. Each group will do an oral presentation during the class and will also write a case study report.



Grading Policy

Assignment	20%
Group Presentation	30%
Final Exam	50%

Grading Scale is as follows

Number grade	Letter grade	GPA
90-100	A	4.0
85-89	A-	3.7
80-84	B+	3.3
75-79	B	3.0
70-74	B-	2.7
67-69	C+	2.3
65-66	C	2.0
62-64	C-	1.7
60-61	D	1.0
≤59	F (Failure)	0



Class Schedule

Date	Lecture	Readings	Online Teaching Arrangement
Day 1	Introduction to Business Ethics (Part 1)	Chapter 1 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 2	Theoretical Perspectives in Finance	Chapter 2 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 3	Ethical issues in Financial Services	Chapter 3 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 4	Ethical issues in Investment Decisions	Chapter 4 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 5	Ethical issues in Financial Markets	Chapter 5 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 6	Ethical issues in Financial Management	Chapter 6 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 7	Theoretical Perspectives in Finance	Chapter 6 of Boatright 'Ethics in Finance' study book	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 8	<i>Preparation of group coursework</i> Students will be working in groups with the help of teaching assistant		Approximately 120 minutes Online Interaction
Day 9	<i>Preparation of group coursework</i> Students will be working in groups with the help of teaching assistant		Approximately 120 minutes Online Interaction
Day 10	<i>Preparation of group coursework</i> Students will be working in groups with the help of teaching assistant		Approximately 120 minutes Online Interaction
Day 11	Sustainability in Finance and Economics	Financing Sustainable Development, Chapt 2	Approximately 90 minutes recorded video lecture plus online materials, about 30



			minutes fruition
Day 12	Sustainable Development Versus Green Banking:	Financing Sustainable Development, Chapt 3	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 13	Sustainability, Innovation, and Efficiency	Financing Sustainable Development, Chapt 4	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 14	Socially Responsible Financial Markets	Financing Sustainable Development, Chapt 5	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 15	Institutional Investments and Responsibility	Financing Sustainable Development, Chapt 6	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 16	Sustainable Public Finance and Debt Management	Financing Sustainable Development, Chapt 9	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 17	Environmental, Social and Governance Risk Company Performance	Financing Sustainable Development, Chapt 10	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 18	Sustainable Financial Systems	Financing Sustainable Development, Chapt 11	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 19	Green Finance Concept: Framework and Consumerism	Financing Sustainable Development, Chapt 12	Approximately 90 minutes recorded video lecture plus online materials, about 30 minutes fruition
Day 20	Final Examination& Course Summary		Approximately 120 minutes Online Interaction