



### FI420 Ethics and Financial Services (Postgraduate) (Online)

<b>Instructor Information</b>	<p>Gui Ren Home Institution: Shanghai University Email: 1776606818@qq.com Office Hours: Determined by Instructor</p>		
<b>Term</b>	June 27, 2022 - July 22, 2022	<b>Credits</b>	4 units
<b>Course Delivery</b>	<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>		
<b>Required Texts (with ISBN)</b>	<p>Boatright, John R., Ethics in Finance, 3rd Ed., Wiley Blackwell, 2014, ISBN-10: 1118615824 / ISBN-13: 978-1118615829 Hartman L., DesJardins J, Business Ethics: Decision making for personal integrity &amp; social responsibility, China Machine Press ISBN number: 978 -7-111-5110 – 014 Financing Sustainable Development: Key Challenges and Prospects, Edited by Magdalena Ziolo · Bruno S. Sergi, , Ed Palgrave Studies in Impact Finance ISBN 978-3-030-16521-5 ISBN 978-3-030-16522-2 (eBook)</p>		
<b>Prerequisite</b>	N/A		



## Course Overview

This course aims to develop skills related to business ethics at the workplace, frameworks and methodologies to analyse and solve complex ethical issues. In particular, the financial services industry will be used extensively during this course to discuss ethical issues from multi-level perspective: individual, organizational, industry-level and global perspective. From the business ethics, including the foundations of business ethics series which explain and assess the foundation of the motivate interest of main subjects of current research.

Furthermore, a general introduction to financial ethics, like the overview of fundamentals of Finance moral which cover key ethical issues in marketing, accounting, management and computing, give the instructors much flexibility for their lectures notes and reading materials, both in the depth of scope and the focus on discipline based financial courses. Start off fundamentals, finance moral issues, professional fundamentals, ethics in not only finance market but the investment area, then cover the management, and how to make decision by the commonsense of financial ethics.

1. An Overview Introduction of Finance Ethics
2. Fundamentals theory background
3. Case of Retail Customer and Ethics
4. Investment Ethics in Financial Area
5. Financial Markets Moral
6. Management and Financial services Ethics
7. Ethical Decision Making:
8. Philosophical Ethics and Business and Corporate Governance
9. The Corporate Culture
11. Ethical Decision Making:
12. Ethical Decision Making:
13. Ethics and Marketing:
14. Business and Environmental Sustainability:
15. Ethical Decision Making:
16. Sustainability in Finance and Economics
17. Socially Responsible Financial Markets & Company Performance
18. Institutional Investments and Responsible Investing
19. Sustainable Capital Market
20. Green Finance Concept: Framework and Consumerism

## Learning Outcomes

The course objective is to provide students with a broad view on ethics in finance, ethical and professional standards **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. Standards of Practice Handbook
2. Financial Moral Fundamental Issues
3. Conflict interest and duties to clients
4. Investment industry Moral Issues
5. Financial Markets Moral
6. Management and Financial services Ethics
7. Integrity of Capital Markets
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

Attendance & Participation	20%
Group Presentation	30%
Final examination	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