



Syllabus

SCHOOL OF BUSINESS AND MANAGEMENT **FIN 557: Ethics and Portfolio Management**

3 Credits
Effective: Spring 2020

*Access to the Internet is required.
All written assignments must be in Microsoft-Word-compatible formats.
See the library's APA Style Guide tutorial for a list of resources that can help you use APA style.*

FACULTY

Faculty Name: FACULTY NAME

Contact Information: CONTACT INFORMATION

[INSTRUCTOR MAY INSERT PERSONAL MESSAGE IF DESIRED]

COURSE DESCRIPTION

This is the fourth course in a series of four that will introduce topics relevant to finance and at the same time, prepare students to sit for the Chartered Financial Analyst (CFA) Level I exam. In this course, students will learn about the code of ethics and trust in the investment profession, global investment performance standards (GIPS), portfolio management, including portfolio risk and return, as well as technical analysis and topics around fintech investment management.

COURSE RESOURCES

Required and recommended resources to complete coursework and assignments are found on the course [Reading List](#). Access is provided through the Reading List link in your online course as well as from the library homepage (“Find Your Reading List” button).

Note: Required resources that must be purchased by the student are tagged “Purchase from a vendor of your choosing.” Required resources with a direct link, “Available through CityU Library”, are available electronically at no cost to students.

Students in Canada may purchase course resources from the [Canada Bookstore](#), and students outside the U.S. and Canada should contact their advisor or textbook coordinator for additional information.

COURSE OUTCOMES

In this course, learners:

- Explain the Code of Ethics and Standards of Professional Conduct.
- Explain the purpose of ethics and trust in the investment profession.
- Summarize the Global Investment Performance Standards (GIPS).
- Describe the Guidance of Standards I-VII for portfolio planning.
- Produce a strategy of portfolio management to assess a holistic picture in a corporation.
- Outline the process of portfolio planning and construction.
- Examine the purpose of risk and returns within companies.
- Apply risk management strategies with ethical and legal decision making.
- Provide an overview of technicalities within portfolio management for a company.

OVERVIEW OF COURSE GRADING

The grades earned for the course will be derived using City University of Seattle's decimal grading system, based on the following:

<i>Overview of Required Assignments</i>	<i>% of Final Grade</i>
Instructor Determined Assignments and Activities	24%
Ethics and Portfolio Management Project	30%
Weekly Quizzes (8)	16%
Comprehensive Final Exam	30%
TOTAL	100%

SPECIFICS OF COURSE ASSIGNMENTS

The instructor will provide grading rubrics with more detail as to how this assignment will be graded.

Instructor Determined Assignments and Activities

Whether in class, online, or in a mixed mode setting, students will be graded on their participation in classroom discussions; ability to present, explain, or defend alternative viewpoints; and the degree to which they have mastered the concepts and principles inherent in the study of business management. Written work will be assessed not only on relevance to the subject presented, but also on adherence to good written form, APA style, and professional presentation. The instructor may also choose to create additional activities to support learning in the classroom or online.

<i>Components</i>	<i>% of Grade</i>
Quality of Responses	50%
Quantity of Responses	30%
Timeliness	20%
TOTAL	100%

Ethics and Portfolio Management Project

Please see the Ethics and Portfolio Management Report Instructions for further details on the course project. Referenced articles must be from the last five years.

<i>Components</i>	<i>% of Grade</i>
Ethics and Portfolio Management Concepts	55%
APA style (citations/reference list)	15%
Style and Mechanics	10%
Resource Analysis and Use	20%
TOTAL	100%

Weekly Quizzes (8)

Students will complete weekly quizzes modeled after the CFA Level 1 Exam. Students will have 2 attempts for each quiz. Students will receive a random selection of 20 questions for each attempt. Students have 60 minutes to complete each quiz and must complete at once.

<i>Components</i>	<i>% of Grade</i>
Accuracy of Solutions	80%
Timeliness	20%
TOTAL	100%

Comprehensive Final Exam

Students will complete a comprehensive assessment at the end of the course that covers each course outcome. Students are responsible for all material covered in the course. The assessment will consist of about 60 multiple-choice questions. Students will have 2 attempts, with 4 hours to complete the assessment. Assessment must be completed at once.

<i>Components</i>	<i>% of Grade</i>
Accuracy of Solutions	100%
TOTAL	100%

COURSE POLICIES

Late Assignments

A critical aspect of management is to meet predefined deadlines. Therefore, all assignments are expected to be submitted when due. No late assignments are accepted. Life-situations do occur. When an issue arises coordinate with the instructor prior to the assignment's due date and the due date may be adjusted. It is in the best interest of the student to ensure that all assignments are submitted on time.

Participation

Class participation will be evaluated during class. Participation includes being prepared for class discussions and contributing meaningful content when appropriate. It also includes individual effort contributed to the team project.

Professional Writing

Assignments require error-free writing that uses standard English conventions and logical flow of organization to address topics clearly, completely, and concisely. CityU requires the use of APA style.

UNIVERSITY POLICIES

Students are responsible for understanding and adhering to all of City University of Seattle's academic policies. The most current versions of these policies can be found in the [University Catalog](#) that is linked from the CityU Web site.

Antidiscrimination

City University of Seattle and its staff and faculty are committed to supporting our students. We value equity, diversity, and inclusion as a way of life as well as the educational opportunities it provides. City U will not tolerate any form of discrimination based on race, color, ethnicity, sexual orientation, gender identification, socioeconomic status, or religious values. If you have experienced any discrimination based on any of the above, we encourage you to report this to the University. Please report this to your instructor. If you do not feel safe reporting this to your instructor, please report to the Provost or to the Vice President of Student Affairs.

Non-Discrimination & Prohibition of Sexual Harassment

City University of Seattle adheres to all federal, state, and local civil rights laws prohibiting discrimination in employment and education. The University is committed to ensuring that the education environment is bounded by standards of mutual respect and safety and is free from discriminatory practices.

In the U.S., the University is required by Title IX of the Education Amendments of 1972 to ensure that all of its education programs and activities do not discriminate on the basis of sex/gender. Sex include sex, sex stereotypes, gender identity, gender expression, sexual orientation, and pregnancy or parenting status. Sexual harassment, sexual assault, dating and domestic violence, and stalking are forms of sex discrimination, which are prohibited under Title IX and by City University of Seattle policy. City University of Seattle also prohibits retaliation against any person opposing discrimination or participating in any discrimination investigation or complaint process internal or external to the institution. Questions regarding Title IX, including its application and/or concerns about noncompliance, should be directed to the Title IX Coordinator. For a complete copy of the policy or for more information, visit <https://my.cityu.edu/titleix> or contact the Title IX Coordinator.

In Canada, in compliance with the British Columbia Human Rights Code, the Alberta Human Rights Act, WorksafeBC, and the Workers' Compensation Board of Alberta, the University believes that its environment should at all times be supportive and respectful of the dignity and self-esteem of individuals. Discrimination, harassment and bullying conduct, whether through person to person behaviour or via electronic communications such as email or social media is not acceptable and will not be tolerated. As an educational institution, it is our responsibility to cultivate an environment of excellence, equity, mutual respect and to recognize the value and potential of every individual. The University will take all necessary steps to meet or exceed the requirements of the law to prevent discrimination, harassment and bullying. The Respectful Workplace Policy for the prevention of discrimination, harassment and bullying policy and procedure can be found at <https://www.cityu.edu/discover-cityu/about-cityu/> under the Policies section or at <https://www.cityuniversity.ca/about/>.

Religious Accommodations

City University of Seattle has a policy for accommodation of student absences or significant hardship due to reasons of faith or conscience, or for organized religious activities. The University's policy, including more information about how to request an accommodation, is available in the University Catalog and on the my.cityu.edu student portal. Accommodations must be requested by the 20% mark of this course (e.g. day 14 of a ten-week course, day 7 of a 5-week course) using the Religious Accommodations Request Form found on the student dashboard in the my.cityu.edu student portal.

Academic Integrity

Academic integrity in students requires the pursuit of scholarly activity that is free from fraud, deception and unauthorized collaboration with other individuals. Students are responsible for understanding CityU's policy on academic integrity and adhering to its standards in meeting all course requirements. A complete copy of this policy can be found in the [University Catalog](#) under *Student Rights and Responsibilities* on the page titled *Academic Integrity Policy*.

Attendance

Students taking courses in any format at the University are expected to be diligent in their studies and to attend class regularly.

Regular class attendance is important in achieving learning outcomes in the course and may be a valid consideration in determining the final grade. For classes where a physical presence is required, a student has attended if they are present at any time during the class session. For online classes, a student has attended if they have posted or submitted an assignment. A complete copy of this policy can be in the [University Catalog](#) under *Student Rights and Responsibilities* on the page titled *Attendance*.

Final Assignment Due Date

Final assignments for each class at CityU must be due on or before the final date of the course as indicated in the university's course information system. Due dates that extend beyond the final date of the course may negatively impact tuition funding for students.

SUPPORT SERVICES

Disability Services Accommodations Statement

Students with a documented disability who wish to request academic accommodations are encouraged to contact Disability Support Services to discuss accommodation requests and eligibility requirements. Please contact Disability Support Services at disability@cityu.edu or 206.239.4752 or visit the [Disability Support Services](#) page in the my.cityu.edu portal. Confidentiality will be observed in all inquiries. Once approved, information about academic accommodations will be shared with course instructors.

Library Services

CityU librarians are available to help you find the resources and information you need to succeed in this course. Contact a CityU librarian through the [Ask a Librarian](#) service, or access [library resources and services online](#), 24 hours a day, seven days a week.

Smarthinking Tutoring

CityU students have access to free online tutoring offered through Smarthinking, including writing support, from certified tutors 24 hours a day, seven days a week. Contact CityU's Student Support Center at help@cityu.ed to request a user name and password.