

CFAspace

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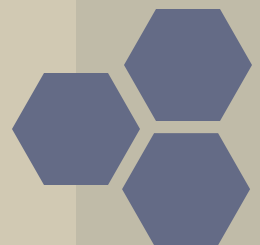
Academy of Professional Finance 专业金融学院

CFA Level I

SS 1 Ethical & Professional Standards

Lecture 1 Introduction to the Course

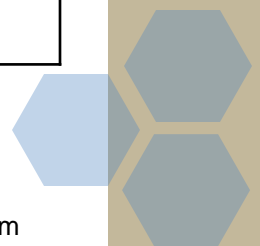
CFA Lecturer: Hongfeng Xu





CFA一级考试各门课程分值分布

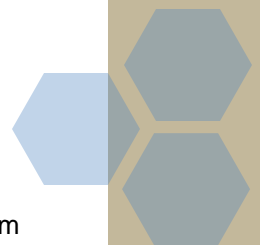
课程	考题数量
Ethical and Professional Standards	18
Quantitative Methods	14
Economics	12
Financial Statement Analysis	24
Corporate Finance	10
Equity Investments	12
Derivative Investments	6
Fixed Income Investments	12
Alternative Investments	6
Portfolio Investments	6
总计	120





CFA一级伦理道德考题特征

- 题量大
- 易丢分
- 题干长
- 对理解力的要求较高





课程内容及时安排

Standard I: Professionalism

- A. Knowledge of the Law **Lecture 2**
- B. Independence and Objectivity **Lecture 3**
- C. Misrepresentation **Lecture 4**
- D. Misconduct **Lecture 5**

Standard II: Integrity of Capital Markets

- A. Material Nonpublic Information..... **Lecture 6**
- B. Market Manipulation **Lecture 7**

Standard III: Duties to Clients

- A. Loyalty, Prudence, and Care **Lecture 8**
- B. Fair Dealing **Lecture 9**
- C. Suitability **Lecture 10**
- D. Performance Presentation **Lecture 11**
- E. Preservation of Confidentiality..... **Lecture 12**

Standard IV: Duties to Employers

- A. Loyalty **Lecture 13**
- B. Additional Compensation Arrangements..... **Lecture 14**
- C. Responsibilities of Supervisors..... **Lecture 15**





课程内容及时安排

Standard V: Investment Analysis, Recommendations, and Actions

- A. Diligence and Reasonable Basis **Lecture 16**
- B. Communication with Clients and Prospective Clients **Lecture 17**
- C. Record Retention **Lecture 18**

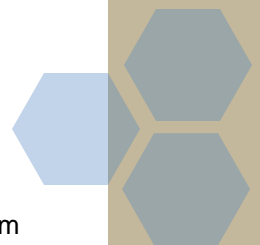
Standard VI: Conflicts of Interest

- A. Disclosure of Conflicts..... **Lecture 19**
- B. Priority of Transactions..... **Lecture 20**
- C. Referral Fees..... **Lecture 21**

Standard VII: Responsibilities as a CFA Institute Member or CFA Candidate

- A. Conduct as Participants in CFA Institute Programs **Lecture 22**
- B. Reference to CFA Institute, the CFA Designation,
and the CFA Program **Lecture 23**

The GIPS Standards Lecture 24





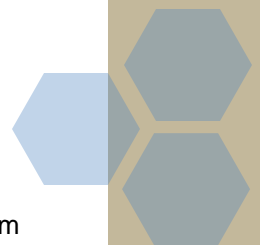
伦理道德课程学习目标

- Demonstrate the application of the Code of Ethics and Standards of Professional Conduct to situations involving issues of professional integrity;
- Distinguish between conduct that conforms to the Code and Standards and conduct that violates the Code and Standards;
- Recommend practices and procedures designed to prevent violations of the Code of Ethics and Standards of Professional Conduct.



课堂结构安排

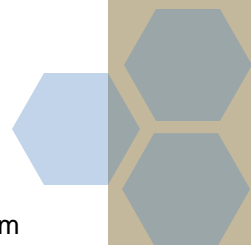
- 以考点梳理为课程核心
- 对解题技巧加以总结归纳
- 结合案例分析加深对知识点的理解
- 辅以真题解析进行实战模拟





启程前的寄语

- 希望您能对我们多一份包容
- 希望您能对我们的课程多提建议
- 希望您能多多提问
- 希望您能学有所成，早日实现心中的梦想！





Thank You!

