Business F736
Ethics and Professional Practice in Finance
Fall 2026 Course Outline

Finance and Business Economics
DeGroote School of Business
McMaster University

COURSE OBJECTIVE

This course introduces students to the practices and codes of conduct involved in the finance function. The course covers ethical issues and the roles of the corporate financial manager, other stakeholders and other participants in the investment industry. Cases and videos will be employed to bring a real-world perspective to the classroom.

This course introduces students to the conflicts of interest faced by finance professionals. In addition, students are introduced to the codes of conduct, rules, regulations, and practices required of finance professionals by the CFA Institute. In particular, we look at the rationales for these standards. We also look at the role of ethics in personal financial planning and management decision-making.

This course is valuable to anyone who plans to manage their own finances. This course is also valuable to any student who intends to pursue a career as a Finance professional. Potential careers that come under this heading include: Compliance Officer, Financial Advisor, Corporate Financial Manager, Director or other officer, Money or Investment Manager, Banking and Insurance or Investment Banking Professional, Lawyer specializing in the fiduciary relationship, and/or public sector Finance Manager, to name a few.

INSTRUCTOR AND CONTACT INFORMATION

Section C01: Monday (11:30 am – 2:20 pm)
Class Location: (ON MOSAIC)

Sumit Bose, MBA CFP FMA CIWM FCSI
Instructor
sbose@mcmaster.ca
Office: RJC/TBA
Office Hours: by appointment

Course Website: http://avenue.mcmaster.ca

Course prerequisites: N/A

Course antirequisites: N/A

COURSE ELEMENTS

Credit Value:	3	Leadership:	Yes	IT skills:	No	Global view:	Yes
Avenue:	Yes	Ethics:	Yes	Numeracy:	Yes	Written skills:	Yes
Participation:	Yes	Innovation:	Yes	Group work:	Yes	Oral skills:	Yes
Evidence-based:	Yes	Experiential:	No	Final Exam:	No	Guest speaker(s):	No

COURSE DESCRIPTION

This course introduces students to the practices and codes of conduct involved in the finance function. The course covers ethical issues and the roles of the corporate financial manager, other stakeholders and other participants in the investment industry. Readings and regulations from both academia and practice will be used to illustrate theory. Cases and speakers will be employed to bring a real-world perspective to the classroom.

There is a great need in practice for knowledgeable finance professionals in the fields of conduct, practices, and ethics. Practical finance designations (such as the CFA) now reserve up to twenty-five percent of their materials for financial ethics. Many firms that employ finance professionals have lengthy training programs designed to familiarize and instill in their staff a sense of professional responsibility.

LEARNING OUTCOMES

Upon completion of this course, students will be able to complete the following key tasks:

- Recognize the principal conflicts of interests faced by those working in the Financial Services industry
- Recognize the principal conflicts of interest faced by anyone involved in managing their own finances
- Recognize the principal conflicts of interest faced by government and non-regulatory agencies in regulating the Financial Services sector
- Understand why government, non-regulatory agencies, and Financial Service participants do not always attempt or sincerely attempt to minimize these conflicts of interest
- Begin to think about ways to minimize these conflicts of interest that would appeal to the various parties to the process
- Understand some of the rules and regulations that govern behaviour in the Financial Services industry

REQUIRED COURSE MATERIALS AND READINGS

Avenue registration for course content, readings and case materials

- http://avenue.mcmaster.ca $ FREE

EVALUATION

A combination of lectures, discussion and problem solving. Students will be encouraged to think, analyze, evaluate, and problem-solve, not memorize. Students are expected to come to class on time and be prepared for the class, i.e., to have read the assigned reading and to have done the assigned problems. All work will be evaluated on an individual basis except in certain cases where group work is expected. In these cases, group members will share the same grade. Your final grade will be calculated as follows:

Components and Weights

EVALUATIONS	WEIGHT	DESCRIPTION
Participation	10%	Attendance In-Class Contribution (individual)
Assignment 1	15%	Assignment on Avenue to Learn (Group)
Assignment 2	15%	Assignment on Avenue to Learn (Group)
Case Study	25%	Business News Article Analysis (Individual)
Exam	35%	Multiple-choice, short-answer and Case Exam (Closed book)

NOTE: The use of a McMaster standard calculator is allowed during examinations in this course. See McMaster calculator policy at the following URL:

www.mcmaster.ca/policy/Students-AcademicStudies/UndergraduateExaminationsPolicy.pdf

Grade Conversion

At the end of the course your overall percentage grade will be converted to your letter grade in accordance with the following conversion scheme:

LETTER GRADE	PERCENT	POINTS
A+	90-100	12
A	85-89	11
A-	80-84	10
B+	77-79	9
B	73-76	8
B-	70-72	7
F	00-69	0

COURSE DELIVERY AND TOOLS

LEARNING ACTIVITIES	DELIVERY	DESCRIPTION	TOOL(S)
In-person Class	Synch	Live sessions led by your instructor	**In Class**
Class Case Discussions	Synch	Participation Cases discussed during in-person Class	**In Class**

COURSE DELIVERABLES

GROUP ASSIGNMENTS

The two group assignments are worth a total of **30%** of your final grade and group members will share the same grade. The group assignment report **must** be typed (double space) maximum **six pages**.

They can be completed in groups of **3 to 5** students. All group members will be assigned identical grades for group work. A representative of your group should submit the assignment (only one submission for each group) of your group's answer to the **Assignments Dropbox** on Avenue**.** Make sure all contributing group members' names are on the assignment. Each group member is expected to contribute to the assignment.

Your mark will be first based on content, and second, on presentation. Presentation includes effective and correct use of the English language. More details of the format, structure, and content coverage will be provided during the course of the term.

The written assignments are due by 9:00 am ET on the due date indicated on the class schedule section of the course outline. Late assignments will not be accepted unless the student and the professor have made prior arrangements.

INDIVIDUAL BUSINESS NEWS ARTICLE

This assignment is worth **25%** of your final grade and will be marked individually. For the individual business news article analysis and presentation, you are to pick a current event business story and analyze it in detail, given the theory we have discussed in class. This analysis should be maximum 15 pages in length, double spaced and must be **type written in proper English**, and grammar and spelling will be checked.

You are free to pick any event that has occurred from January 2025 to November 2026. The article should be long enough to allow for some detailed analysis about the topic, i.e., that summarizes what the conflict of interest is, why you think that it is happening, and what can be done about it. Note that the article you select cannot be a previously solved case study.

Your report should include a copy of the article that appeared in the business media during the term. You may refer to various sources such as the *Globe and Mail*, the *National Post*, the *Wall Street Journal*, the *Economist, Barron's, Business Week, Canadian Business*, or various websites.

Each report must include an executive summary (maximum length of one page) outlining key issues and conclusion. Figures and tables should be put in an appendix at the end of the report. All tables and figures must be numbered and all pages (including pages with tables and figures) must also be numbered. Please include a bibliography with your references (in-text citation is optional). Any citation style would be acceptable.

Your analysis will be graded in terms of clarity of writing, your synthesis of the material (i.e., how well you draw together the relevant course material and relate it to the issue discussed in the article), your critique of the author's thesis, your analysis of the issue, and the style of writing (including spelling and grammar). The more sophisticated your analysis and synthesis, the higher the grade.

The analysis must be submitted online to the **Assignments Dropbox** on Avenue **and is due by 9:00 am ET on the due date indicated on the class schedule section of the course outline**. Late assignments will not be accepted unless the student and the professor have made prior arrangements.

EXAM

The Exam is **Mandatory and cannot be re-weighted with another assignment**. The Exam will be cumulative. It accounts for **35%** of your final grade. It will be closed book & multiple choice and case. The exam will cover material from the readings on Avenue, lectures and class discussions.

PARTICIPATION / CLASS CONTRIBUTION

Class Participation is worth **10%** of your final grade.

It is imperative that students prepare for every class. No class attendance results in zero mark.

Name cards and class pictures are used to help give credit for your participation. You must have a name card with your full first and last name clearly written and displayed in front of you for every class.

Your contribution is an essential component in the overall education process. Contribution takes place in many forms: asking informed questions in class, making intelligent comments, reading the case and being prepared to discuss the issues, actively listening to your peers and working with others. Please remember that quantity is no substitute for quality.

There will be ample opportunity to contribute to the class. The format of the in-class discussions of cases may take a variety of forms including: group analysis of single case issues during class, presentation of issues and leading discussions of the case issues.

It is your responsibility to ensure that you take an active role in class. If this is a problem for you, I urge you to talk to me to discuss ways that you can make a contribution. The grading for the class contribution in each class is as follows:

Grade	Student Contribution
0	Does not show up for class.
1	Attends class but says very little.
2	Makes a **significant** contribution to the class by making important points with a significant element of originality or demonstrating mastery of difficult theoretical issues or concepts; is always prepared having read and analyzed prior to class, the various aspects of the problems and issues involved, shares in class presentations, contributes to in-class group work.

Note that there is no partial (non-integer) participation grade awarded for a class. Students may be asked to share their detailed analysis with, or otherwise present their solutions to, the class in order for their contribution to be qualified as significant.

COMMUNICATING WITH YOUR INSTRUCTOR:

Communicating with Your Instructor:

During the course, your instructor will interact with you on various course matters on the course website using the following ways of communication:

- **Announcements:** The instructor will use **Announcements** on the **Avenue Course Home page** to provide you with course reminders and updates. Please check this section frequently for course updates from your instructor.
- **Email:** If you have a conflict that prevents you from completing course requirements, or have a question concerning a personal matter, you can send your instructor a private message by email. The instructor will respond to your email within 24 to 48 hours. Make sure to add '**F736'** in the subject line of email.
- **Zoom Meetings: In Case of classes moving to an online format**, Online Virtual classes will be held via Zoom meeting. The link to register for the online class will be posted on Avenue. Students are required to join the online lectures with their full names for participation and attendance.

COMMUNICATION AND FEEDBACK

Students that are uncomfortable in directly approaching an instructor regarding a course concern may send a confidential and anonymous email to the respective Area Chair or Associate Dean:

http://mbastudent.degroote.mcmaster.ca/contact/anonymous/

Students who wish to correspond with instructors or TAs directly via email must send messages that originate from their official McMaster University email account. This protects the confidentiality and sensitivity of information as well as confirms the identity of the student. Emails regarding course issues should NOT be sent to the Administrative Assistant.

Instructors are encouraged to conduct an informal course review with students by Week #4 to allow time for modifications in curriculum delivery. Instructors should provide evaluation feedback for at least 10% of the final grade to students prior to Week #8 in the term.

ACADEMIC INTEGRITY

You are expected to exhibit honesty and use ethical behaviour in all aspects of the learning process. Academic credentials you earn are rooted in principles of honesty and academic integrity.

Academic dishonesty is to knowingly act or fail to act in a way that results or could result in unearned academic credit or advantage. This behaviour can result in serious consequences, e.g. the grade of zero on an assignment, loss of credit with a notation on the transcript (notation reads: "Grade of F assigned for academic dishonesty"), and/or suspension or expulsion from the university.

It is your responsibility to understand what constitutes academic dishonesty. For information on the various types of academic dishonesty please refer to the Academic Integrity Policy, located at:

www.mcmaster.ca/academicintegrity

Students are responsible for being aware of and demonstrating behaviour that is honest and ethical in their academic work. Such behaviour includes:

- following the expectations articulated by instructors for referencing sources of information and for group work;
- asking for clarification of expectations as necessary;
- identifying testing situations that may allow copying;
- preventing their work from being used by others (e.g., protecting access to computer files); and
- adhering to the principles of academic integrity when conducting and reporting research.
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AUTHENTICITY/PLAGIARISM DETECTION

Some courses may use a web-based service (Turnitin.com) to reveal authenticity and ownership of student submitted work. For courses using such software, students will be expected to submit their work electronically either directly to Turnitin.com or via an online learning platform (e.g. A2L, etc.) using plagiarism detection (a service supported by Turnitin.com) so it can be checked for academic dishonesty.

Students who do not wish their work to be submitted through the plagiarism detection software must inform the Instructor before the assignment is due. No penalty will be assigned to a student who does not submit work to the plagiarism detection software.

All submitted work is subject to normal verification that standards of academic integrity have been upheld (e.g., on-line search, other software, etc.). For more details about McMaster's use of Turnitin.com please go to www.mcmaster.ca/academicintegrity.

COURSES WITH AN ONLINE ELEMENT

All courses use some online elements (e.g. e-mail, Avenue to Learn (A2L), LearnLink, web pages, capa, Moodle, ThinkingCap, etc.). Students should be aware that, when they access the electronic components of a course using these elements, private information such as first and last names, user names for the McMaster e-mail accounts, and program affiliation may become apparent to all other students in the same course.

Students may be required to use the Respondus LockDown Browser and Respondus Monitor. The Respondus LockDown Browser is a downloadable program that allows a student to take an Avenue to Learn quiz in a secure environment. Quizzes can be set to use LockDown Browser or LockDown Browser.

For more details about McMaster's use of Respondus Lockdown Browser please go to https://avenuehelp.mcmaster.ca/exec/respondus-lockdown-browser-and-respondus-monitor/

The available information is dependent on the technology used. Continuation in a course that uses online elements will be deemed consent to this disclosure. If you have any questions or concerns about such disclosure, please discuss this with the course instructor.

ONLINE PROCTORING

Some courses may use online proctoring software for tests and exams. This software may require students to turn on their video camera, present identification, monitor and record their computer activities, and/or lock/restrict their browser or other applications/software during tests or exams. This software may be required to be installed before the test/exam begins.

CONDUCT EXPECTATIONS

As a McMaster student, you have the right to experience, and the responsibility to demonstrate, respectful and dignified interactions within all of our living, learning and working communities. These expectations are described in the *Code of Student Rights & Responsibilities* (the "Code"). All students share the responsibility of maintaining a positive environment for the academic and personal growth of all McMaster community members, **whether in person or online**.

It is essential that students be mindful of their interactions online, as the Code remains in effect in virtual learning environments. The Code applies to any interactions that adversely affect, disrupt, or interfere with reasonable participation in University activities. Student disruptions or behaviours that interfere with university functions on online platforms (e.g. use of Avenue 2 Learn, WebEx, Teams, or Zoom for delivery), will be taken very seriously and will be investigated. Outcomes may include restriction or removal of the involved students' access to these platforms.

ATTENDANCE

Arriving late or missing class disrupts the learning experience for both you and your peers. Punctuality and attendance are crucial to maintaining a respectful, professional and productive environment for everyone, including our faculty.

Instructors may use Top Hat in their course in a variety of ways, including to capture attendance in their classes. Attendance is recorded by submitting a unique 4-digit code displayed in your physical classroom using your personal device.

MISSED ACADEMIC WORK

Missed Mid-Term Examinations / Tests / Class Participation

Please do not use the online McMaster Student Absence Form (MSAF) as this is for Undergraduate students only. The MBA program will not accept an MSAF.

When students miss regularly scheduled term work which contributes 10% or more to the final grade, for legitimate reasons as determined by the DSB Student Services – Academic Office (DSSAO (DSB Student Services Academic Office)), the activity necessary to compensate for the missed work will be determined by the course instructor. The compensatory activities assigned will vary with the nature of the course and the missed requirement. They include, but are not restricted to, an alternative assignment, a rescheduled midterm exam, or re-weighting the marks for the missed component to other mark components. Documentation explaining such missed work must be provided to the DSSAO (DSB Student Services Academic Office) **within five (5) working days** of the scheduled date for completion of the work.

Acceptable reasons for missed work, along with the Petition for Missed Term Work and the MBA Student McMaster University Student Health Certificate, can be found on the DeGroote MBA Student website (mbastudent.degroote.mcmaster.ca). Please direct any questions about acceptable documentation to the MBA Academic Advisors (askmba@mcmaster.ca).

University policy states that a student may submit a **maximum of three** (3) Petition for Missed Term Work per academic year, after which the student must meet with the Director of the program.

If term work is missed without an approved reason, students will receive a grade of zero (0) for that component.

Missed Final Examinations

Students must be available for the duration of the posted exam period regardless of their personal exam schedule. This is to ensure student availability throughout the entire exam period in the event that an exam must be rescheduled due to unforeseen circumstances (university closure, power outage, storm policy, etc.). A student who misses a final examination without valid reason will receive a mark of 0 on the examination.

Students who have missed a final exam for a valid reason can apply to the DSSAO (DSB Student Services Academic Office) to write a deferred examination by submitting an Application for Deferring a Final Exam with supporting documentation. The application must be made **within five days** of the scheduled exam.

The Application for Deferring a Final Exam and the MBA Student McMaster University Student Health Certificate can be found on the DeGroote MBA Current Student website (mbastudent.degroote.mcmaster.ca)

Deferred examination privileges, if granted, are normally satisfied during the deferred examination period as set by the Office of the Registrar.

Requests for a second deferral or rescheduling of a deferred examination will not be considered.

ACADEMIC ACCOMMODATION FOR STUDENTS WITH DISABILITIES

Student Accessibility Services (SAS) offers various support services for students with disabilities. Students must activate their accommodation(s) (e.g., extra-time, alone room, etc.) via mySAS portal at the beginning of each term, normally, within the first three (3) weeks of classes. If a student with a disability chooses NOT to take advantage of an SAS accommodation and chooses to sit for a regular exam, a petition for relief may not be filed after the examination is complete. The SAS website is:

http://sas.mcmaster.ca

Use of Test Accommodations at McMaster University Burlington Campus Ron Joyce Centre

Whereas Student Accessibility Services (SAS), on Main Campus, determines all MBA student accommodations, the MBA Faculty Office manages the coordination of accommodations for tests, midterms, and exams at the Ron Joyce Centre in Burlington.

Process for Students

- Student Accessibility Services (SAS) now uses the online mySAS Portal for graduate students to share accommodation letters with their instructors and Faculty/Program. Students are responsible for activating their accommodations each term through the mySAS Portal. Once activated, an approved accommodation letter will be automatically sent to the instructors associated with the student's enrolled courses for that term.

- Students must engage the DSSAO (DSB Student Services Academic Office) to implement their accommodation(s) (e.g., extra-time, alone room, etc.) for each upcoming test, midterm, or exam, at **least two weeks in advance**. Students can do this by emailing DeGroote MBA SAS scheduling office at DSBSAS@mcmaster.ca or completing the Accommodation Implementation form. If a student cannot meet this deadline, they should contact

DSBSAS@mcmaster.ca to discuss alternative arrangements. The program is committed to exploring flexibilities where possible to support students.

- All tests, midterms, and exams are booked synchronously with the class's start time. Any deviations from the start time (e.g. start earlier than the class to enable completion at the same end time) requires a discussion with their instructor on protocol at the time of accommodation activation.

- Students will leverage the accommodation (e.g., extra-time, alone room, etc.), in a designated testing room. Rooms will be booked according to the student's SAS accommodation. Unless the accommodation states otherwise, students should expect that they will be writing in a room with other students. One or more invigilators will always be in the room.

- Following the request to implement the accommodation(s), dsbsas@mcmaster.ca will reach out to the student with their test, midterm, or exam details, including the date, time, and room number. As there may be other students writing tests in the room, we ask that students enter the room quietly and leave all personal items at the front of the room.

All policies and procedures, including restroom access, how extra-time is allocated for assessments under Universal Design, and the submission of memory aids in advance, are consistent with those of SAS on Main Campus. The only variance in procedure is communication around, and physical location of, assessment. There is not a dedicated testing space at RJC. Existing classrooms and lecture halls will be used for most testing. All SAS-approved accommodations will be honoured by our staff; however, core testing elements are not eliminated in alternative testing formats. Students should expect and plan for invigilation, incidental noise, and other potential distractions.

Academic Accommodation for Religious, Indigenous or Spiritual Observances (RISO)

Students requiring academic accommodation based on religious, indigenous or spiritual observances should follow the procedures set out in the RISO policy. Students should submit their request to the SEAO (Student Experience Academic Office) ***normally within 10 working days*** of the beginning of term in which they anticipate a need for accommodation. Students should also contact their instructors as soon as possible to make alternative arrangements for classes, assignments, and tests.

Copyright and Recording

Students are advised that lectures, demonstrations, performances, and any other course material provided by an instructor include copyright protected works. The Copyright Act and copyright law protect every original literary, dramatic, musical and artistic work, **including lectures** by University instructors.

The recording of lectures, tutorials, or other methods of instruction may occur during a course. Recording may be done by either the instructor for the purpose of authorized distribution, or by a student for the purpose of personal study. Students should be aware that their voice and/or image may be recorded by others during the class. Please speak with the instructor if this is a concern for you.

POTENTIAL MODIFICATION TO THE COURSE

The instructor and university reserve the right to modify elements of the course during the term. The university may change the dates and deadlines for any or all courses in extreme circumstances. If either type of modification becomes necessary, reasonable notice and communication with the students will be given with explanation and the opportunity to comment on changes. It is the responsibility of the student to check their McMaster email and course websites weekly during the term and to note any changes.

ACKNOWLEDGEMENT OF COURSE POLICIES

Your registration and continuous participation (e.g. on A2L, in the classroom, etc.) to the various learning activities of **MBA F736** will be considered to be an implicit acknowledgement of the course policies outlined above, or of any other that may be announced during lecture and/or on A2L. **It is your responsibility to read this course outline, to familiarize yourself with the course policies and to act accordingly.**

Lack of awareness of the course policies **cannot be invoked** at any point during this course for failure to meet them. It is your responsibility to ask for clarification on any policies that you do not understand.

ARTIFICIAL INTELLIGENCE

Students are **not permitted to use generative AI** in this course. In alignment with McMaster academic integrity policy, it "shall be an offence knowingly to … submit academic work for assessment that was purchased or acquired from another source". This includes work created by generative AI tools. Also state in the policy is the following, "Contract Cheating is the act of "outsourcing of student work to third parties" (Lancaster & Clarke, 2016, p. 639) with or without payment." Using Generative AI tools is a form of contract cheating. Charges of academic dishonesty will be brought forward to the Office of Academic Integrity.

COURSE EVALUATIONS

A course evaluation will be conducted near the end of the term. Students are asked to participate in this evaluation

COURSE SCHEDULE

Business F736
Ethics and Professional Practice in Finance
Fall 2026 Course Schedule

Dates	Schedule
Week 1: Code of Ethics and Standards of Professional Conduct	

Monday, Sept 14 (11:30 am – 2:20 pm)	• **Readings 1 &2:** Code of Ethics and Standards of Professional Conduct
	• **Participation:** Review Cases:
	  ○ Susan Pickard
	  ○ Analyst's Dilemma
	• **Group Assignment:** Make groups of 3-5 students for group assignments

Week 2: Corporate Governance and Stakeholder Analysis	
Monday, Sept 21 (11:30 am – 2:20 pm)	• Corporate Governance • **Participation:** Review Cases: ○ WorldCom • **Group Assignment: Group leader to email** list of group members to instructor
Week 3: Standard I. Professionalism	
Monday, Sept 28 (11:30 am – 2:20 pm)	• **Reading 3:** Standard I. Professionalism • **Participation:** ○ (Video Case in class)

Dates	Schedule
Week 4: Standard II. Integrity of Capital Markets + Group Assignment #1 Due	
Monday, Oct 5 **(11:30 am – 2:20 pm)**	• **Reading 3:** Standard II. Integrity of Capital Markets • **Participation:** ○ Acertado/Boswin & (Video Case in class) **Group Assignment #1 (Due 9:00 am)**
WEEK 5: OCT 12 - THANKSGIVING HOLIDAY (NO CLASS)	
Week 6: Case Studies	
Monday, Oct 19 **(11:30 am – 2:20 pm)**	• **Participation:** ○ (Video Case in class)
Week 7: Standard III. Duties to Clients	
Monday, Oct 26 **(11:30 am – 2:20 pm)**	• **Readings 3:** Standard III. Duties to Clients • **Participation:** ○ Samuel Telline ○ (Video Case in class)
Week 8: Standard IV. Duties to Employers	
Monday, Nov 2 **(11:30 am – 2:20 pm)**	• **Readings 3:** Standard IV. Duties to Employers • **Participation:** Review Cases: ○ Voser ○ (Video Case)
Week 9: Standard V. Investment Analysis, Recommendations, and Actions	
Monday, Nov 9 **(11:30 am – 2:20 pm)**	• **Readings 3:** Standard V. Investment Analysis, Recommendations, and Actions • **Participation:** Review Cases: ○ Harvest Financial ○ Apfelbaum Kapital **Group Assignment 2 (due 9:00 am)**

Dates	Schedule
Week 10: Standard VI. Conflicts of Interest	

Monday, Nov 16 (11:30 am – 2:20 pm)	• **Readings 3:** Standard VI. Conflicts of Interest
	• **Participation:** Review Cases:
	  ○ Omega Financial
	  ○ (Video Case)

Week 11: Standard VII. Responsibilities as CFA Institute Member or CFA Candidate	

Monday, Nov 23 (11:30 am – 2:20 pm)	• **Readings 3:** Standard VII. Responsibilities as CFA Institute Member or CFA Candidate
	• **Participation:** Review Cases:
	  ○ Sebastian Riser
	  ○ Khadri and Vinken
	Course Evaluations

Week 12: Exam	
Monday, Nov 30 (11:30 am – 2:20 pm)	***Exam – Cumulative – in class***
Week 13: Assignment Due	
Monday, Dec 7 (11:30 am – 2:20 pm)	• ***Individual Newspaper Article Analysis Assignment (Due 9:00 am)*** • **Course Evaluations** • ***Career Planning (Online via Zoom)***