

# CFAspace

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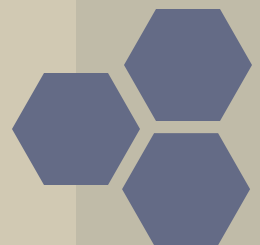
**Academy of Professional Finance 专业金融学院**

## CFA Level I

**SS 1 Ethical & Professional Standards**

**Lecture 1 Introduction to the Course**

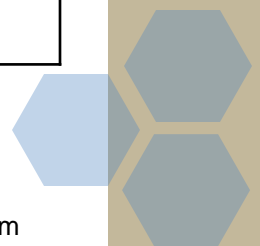
**CFA Lecturer: Hongfeng Xu**





# CFA一级考试各门课程分值分布

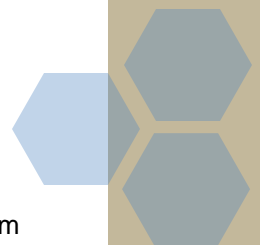
课程	考题数量
Ethical and Professional Standards	18
Quantitative Methods	14
Economics	12
Financial Statement Analysis	24
Corporate Finance	10
Equity Investments	12
Derivative Investments	6
Fixed Income Investments	12
Alternative Investments	6
Portfolio Investments	6
总计	120





# 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**

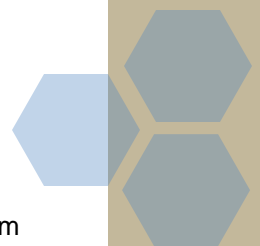
## **Standard VI: Conflicts of Interest**

- 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.



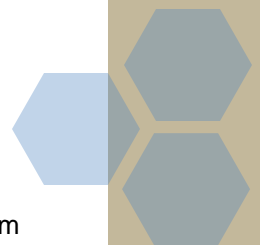
# 课堂结构安排

- 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!

