

About

“Ethics in Finance” will address the professional intersection where financial theory meets practice and where the concept of ethical behavior crosses from the abstract to the concrete. High ethical principles and professional standards are essential to positive outcomes; rules and regulations, while necessary, are not sufficient by themselves.

In addition to exploring the theories of rational ethics and current best practice, the class features a series of real-life examples of ethical issues, in addition to general cases involving dilemmas that investment professionals may typically encounter. Participants will apply their knowledge of ethical principles to develop solutions to resolve these dilemmas. Group discussion provides an opportunity to share insights, and develop a deeper understanding and appreciation of ethical principles and more importantly, individual ethical behavior.

Course Objectives

Upon completion of this course, you will

- know of the main moral tension fields and ethical approaches related to finance
- heighten your awareness of ethical issues and commitment to norms and values in the area of finance (recognize conflicts of interest, understand fiduciary duty)
- increase your skills, knowledge and attitudes that will enable you to resolve ethical situations or problems in an appropriate manner
- understand how to apply CFA Institute’s Code of Ethics and Professional Standards of Practice
- gain an informed sense that ethical behavior is in an organization’s as well as your own best interest

Key Concepts

- Most common classical and modern ethical theories
- Practical application of ethical decision-making framework
- Behavioral and situational impacts affecting ethical decision-making
- Application of CFA Institute’s Standards of Professional Conduct
- Conflicts of Interest, Fiduciary Duty, Limitations of Regulation

Faculty

Susan Spinner, CFA, is the Managing Director of the CFA Society Germany, the largest association for investment professionals in Germany. Susan has over 20 years of professional experience in capital markets and asset management, in both Germany and the USA. She has provided ethics trainings for students at Goethe University, the European Business School and the Frankfurt School of Finance in the Rhine Main region, in addition to speaking on this topic to investment practitioners nationally.

Susan Spinner champions the topics of professional development, transparency and integrity in financial markets.

Course format

This course is offered in the part-time Master in Finance program and may be attended on a “**no credit**” basis by individuals not enrolled in the program. Course participants are visitors who are not responsible for assignments and do not take an exam or earn academic credits. As the number of seats in the course is limited, we recommend to [register online](#) early.

Course materials

Course materials except books will be provided in electronic form.

Language

English

Course schedule

Date	Sessions
Fri., Mar 29, 2019	18:00-20:00
Sat., Mar 30, 2019	09:00-11:00 11:30-13:30
Fri., Apr 12, 2019	12:00-14:00 14:30-16:30
Sat., Apr 13, 2019	14:30-16:30

Course fee*

€ 950 (fee is exempt from VAT). Goethe Business School students and alumni receive a **20% discount** off the regular fee.

Certificate of participation

A Goethe Business School certificate of participation is awarded upon completion of the course.

Venue

House of Finance (Room tba), Goethe University, Theodor-W.-Adorno-Platz 3, 60323 Frankfurt am Main.

***Withdrawal and fee refund**

In case the course withdrawal request is received two weeks prior to the start of classes, we will retain a withdrawal fee of EUR 50. In case the course withdrawal request is received less than two weeks prior to the start of classes, we will retain 50% of the payment made.

Contact

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