



Course Specification

— (Bachelor)

Course Title: **Corporate Governance and Ethics in Finance**

Course Code: **Fin 435**

Program: **B.Sc. in Finance**

Department: **Economic and Finance**

College: **College of Business Administration**

Institution: **University of Ha'il**

Version: **2024**

Last Revision Date: **10-02-2024**

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A. General information about the course:

1. Course Identification

1. Credit hours: (03)

2. Course type

A. ☐ University ☐ College ☒ Department ☐ Track ☐ Others
B. ☒ Required ☐ Elective

3. Level/year at which this course is offered: (4th level, 2nd year)

4. Course general Description:

One important consideration is the financial industry's ethical conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct introduces students to the concept of morality and ethical conduct since ethical concerns in the investment industry have the potential to impact all parties involved. The CFA principles provide a worldwide norm for ethical conduct among investment professionals. Every market participant contributes to enhancing the reliability and smooth functioning of the financial markets. It will address the following topics: professionalism, the integrity of the capital markets, duties to clients and employers, investment analysis, recommendations and actions, conflicts of interest, and responsibilities. In addition, lessons from the most recent financial crisis were analyzed, including recognizing, assessing, and debating moral dilemmas with financial institutions nationally and worldwide. Finally, by mapping with Vision 2030, students learn about the regulations surrounding KSA Fintech, cryptocurrency, and the guidelines for participating in microfinance activities.

5. Pre-requirements for this course (if any):

FIN 317
LAW 245
EDUC 115

6. Co-requirements for this course (if any):

None

7. Course Main Objective(s):

The purpose of the course is to help students to understand some basic practices related to ethics in finance.



2. Teaching mode (mark all that apply)

No	Mode of Instruction	Contact Hours	Percentage
1	Traditional classroom	45	100%
2	E-learning	0	0%
3	Hybrid <ul style="list-style-type: none"> Traditional classroom E-learning 		
4	Distance learning	0	0%

3. Contact Hours (based on the academic semester)

No	Activity	Contact Hours
1.	Lectures	45
2.	Laboratory/Studio	0
3.	Field	0
4.	Tutorial	0
5.	Others (specify)	0
Total		45

B. Course Learning Outcomes (CLOs), Teaching Strategies and Assessment Methods

Code	Course Learning Outcomes	Code of CLOs aligned with program	Teaching Strategies	Assessment Methods
1.0	Knowledge and understanding			
1.1	Explain the function of the Standards of Professional Conduct and the Code of Ethics in the investing industry.	K3	Lectures Discussion	1-Direct Midterm Exam Final Exam 2. indirect Course evaluation by students
1.2	Explain the laws governing microfinance in the Kingdom of Saudi Arabia, including those pertaining to fintech and cryptocurrency.	K3	Lectures Discussion	1-Direct Midterm Exam Final Exam Short Exam (Quiz)





Code	Course Learning Outcomes	Code of CLOs aligned with program	Teaching Strategies	Assessment Methods
1.3	Explain the major causes behind recent financial crises.	K3	Lectures Discussion	1-Direct Midterm Exam Final Exam Short Exam (Quiz) 2. indirect Course evaluation by students
2.0	Skills			
2.1	Demonstrate students' ability to communicate effectively about following the guidelines and codes in finance.	S2	Lectures, Discussion, Problem-solving	Discussion Final Exam Quiz 2. indirect Course evaluation by students
2.2	Evaluate the CFA Institute's Standards of Professional Conduct and suggest policies and processes to stop unethical and improper behavior.	S5	Lectures, Case study	1-Direct Midterm Exam Final Exam 2. indirect Course evaluation by students
3.1	Apply the different aspects of ethical issues related to information asymmetry, competition, and rewards.	V1	Lectures, Discussion, Case Study extracurricular activities	1-Direct Midterm Exam Classwork 2. indirect Course evaluation by students

information asymmetry, or competition for rewards



C. Course Content

No	List of Topics	Contact Hours
1.	Chapter 1: Overview of the course	2
2.	Chapter 2: CFA Institute Code of Ethics and Standards of Professional Conduct	31
	CFA 6 standards Professionalism, The integrity of Capital Markets, Duties to Clients and Prospective Clients, Duties to Employers, Investment Analysis, Recommendations, and Action, Conflicts of Interest	
3	Chapter 3: Presentation of Performance Results	4
4	Chapter 4: Cases of Recent financial crises and ethical implication	4
5	Chapter 5: KSA Fintech and Cryptocurrency regulation & rules of engaging in Microfinance Activity in KSA	4
Total		45

D. Students Assessment Activities

No	Assessment Activities *	Assessment timing (in week no)	Percentage of Total Assessment Score
1.	, Discussion	1-7&10-14 week	5%
2.	(Quiz 1)	7 th week	5%
3.	Midterm Exam	8 th week	30%
4.	(Quiz 2)	14 th week	5%
5	Final Exam	16 th week	50%
6	Participation in extracurricular activities	All the semester	5%

*Assessment Activities (i.e., Written test, oral test, oral presentation, group project, essay, etc.).

E. Learning Resources and Facilities

1. References and Learning Resources

Essential References	1. Hendry J. Frontmatter. In: <i>Ethics and Finance: An Introduction</i> . Cambridge Applied Ethics. Cambridge University Press; 2013:i-iv.
Supportive References	McDonald, G. (2014). <i>Business Ethics: A Contemporary Approach</i> . Cambridge: Cambridge University Press.





Electronic Materials	https://www.cfainstitute.org/en/ethics-standards
Other Learning Materials	https://analystprep.com/cfa-level-1-exam/ethical-and-professional-standards/code-of-ethics-and-standards-of-professional-conduct/

2. Required Facilities and equipment

Items	Resources
facilities (Classrooms, laboratories, exhibition rooms, simulation rooms, etc.)	Classrooms are available
Technology equipment (projector, smart board, software)	Smart Board Wi-Fi /Internet
Other equipment (depending on the nature of the specialty)	None

F. Assessment of Course Quality

Assessors (Students, Faculty, Program Leaders, Peer Reviewers, Others (specify))

Assessment Methods (Direct, Indirect)

Assessment Areas/Issues	Assessor	Assessment Methods
Effectiveness of teaching	Chairman & Peers (PAAAP) Class observation (using class observation form). Students course evaluation survey (CES)	Direct. Indirect
Effectiveness of student's assessment	Review (faculty from the same department) Reviewing the exam paper Co-signing the grades. Unified mid-term/final exams	Direct direct direct
Quality of learning resources	Students course evaluation survey (CES)	Indirect



Assessment Areas/Issues	Assessor	Assessment Methods
The extent to which CLOs have been achieved	Instructor direct method (CLOs assessment form for all assessment methods)	Direct
	Students CLOs assessment survey	Indirect
Other	None	None

G. Specification Approval

COUNCIL /COMMITTEE	Department Council
REFERENCE NO.	No.4 /1441-1442
DATE	10/02/2024

