

The Hong Kong Polytechnic University

Subject Description Form

Subject Code	AMA3300
Subject Title	Professionalism and Ethics in Finance Analytics and Technology
Credit Value	2
Level	3
Pre-requisite/ Co-requisite/ Exclusion	Nil
Objectives	<p>The objective of this subject is to:</p> <ol style="list-style-type: none"> 1) equip students with a deep understanding of professional ethics, conduct standards, and best practices relevant to finance analytics and financial technology industry; 2) enable students to apply ethical frameworks to address complex, real-world financial decision-making scenarios; 3) encourage students to foster a strong culture of professionalism, accountability, and integrity within the evolving finance industry; 4) help students understand the roles, responsibilities, and oversight functions of regulatory authorities governing financial institutions in Hong Kong.
Intended Learning Outcomes	<p>Upon completion of the subject, students will be able to:</p> <ol style="list-style-type: none"> a) discuss, recognize and apply professional standards and codes of ethics in the practices and professional settings of the finance analytics and financial technology industry; b) demonstrate a thorough understanding of regulatory frameworks governing financial institutions in Hong Kong and major international markets; c) identify and distinguish between ethical dilemmas and legal compliance issues in financial practices; d) critically analyze real-world financial scenarios using ethical principles and industry standards; e) explain how finance analytics professionals approach and solve complex problems, while upholding social responsibility and accountability.
Subject Synopsis/ Indicative Syllabus	<p>Code of Ethics and Professional Standards</p> <ul style="list-style-type: none"> • Core principles of professionalism and integrity within the capital markets • Responsibilities and duties owed to clients and employers <p>Ethical Decision-Making</p> <ul style="list-style-type: none"> • Structured framework for making ethical decisions in complex scenarios • Investment analysis, recommendations, and the importance of diligence and a reasonable basis • Best practices for compliance and managing conflicts of interest

	<p>Legal Aspects</p> <ul style="list-style-type: none">• Laws designed to combat financial crimes, fraud, and corruption• Implications of personal data protection and privacy ordinances <p>Regulatory Bodies in Hong Kong</p> <ul style="list-style-type: none">• Roles and responsibilities of key regulatory bodies in Hong Kong, including the Hong Kong Monetary Authority (HKMA), Securities and Futures Commission (SFC), and the Independent Commission Against Corruption (ICAC)• Listing rules and regulations issued by Hong Kong Exchanges and Clearing Limited (HKEX).																																															
Teaching/Learning Methodology	<p>The lectures are designed to introduce and explore the fundamental concepts of ethical and professional standards, specifically tailored for application in financial practices. To enrich the learning experience, guest lectures will feature insights and experiences shared by professionals from the finance industry and regulatory bodies.</p> <p>The tutorials will center around case studies that highlight ethical issues encountered in real-world financial scenarios. These sessions will foster active discussion and interaction among students, encouraging them to engage critically with the material. Additionally, students will have the opportunity to deliver presentations, enhancing their understanding and communication skills.</p>																																															
Assessment Methods in Alignment with Intended Learning Outcomes	<table><tr><th rowspan="2">Specific assessment methods/tasks</th><th rowspan="2">% weighting</th><th colspan="5">Intended subject learning outcomes to be assessed (Please tick as appropriate)</th></tr><tr><th>a</th><th>b</th><th>c</th><th>d</th><th>e</th></tr><tr><td>1. Class participation</td><td>10%</td><td>✓</td><td></td><td>✓</td><td>✓</td><td>✓</td></tr><tr><td>2. Presentation</td><td>20%</td><td>✓</td><td></td><td>✓</td><td>✓</td><td>✓</td></tr><tr><td>3. Project / paper</td><td>40%</td><td>✓</td><td>✓</td><td>✓</td><td>✓</td><td></td></tr><tr><td>4. Exam</td><td>30%</td><td>✓</td><td>✓</td><td>✓</td><td>✓</td><td>✓</td></tr><tr><td>Total</td><td>100 %</td><td colspan="5"></td></tr></table> <p>Explanation of the appropriateness of the assessment methods in assessing the intended learning outcomes:</p> <p><u>Class participation and presentation:</u> In the tutorial, students will be given some financial scenarios for case study. They will be formed into groups for group discussion. Class participation will be assessed based on their contribution. After the group discussion, representatives from each group will make presentation of the case and members’ opinion, which will also be assessed based on presentation skills and content.</p> <p><u>Project / paper:</u> Students will be asked to choose a topic relevant to ethical issue and professional standard in the context of finance industry. They have to make comprehensive analysis of the case and write a project report or term paper, describing the background, ethical issues, relevant of professional standard, laws violated potentially, decision making, how regulatory bodies can be involved.</p>	Specific assessment methods/tasks	% weighting	Intended subject learning outcomes to be assessed (Please tick as appropriate)					a	b	c	d	e	1. Class participation	10%	✓		✓	✓	✓	2. Presentation	20%	✓		✓	✓	✓	3. Project / paper	40%	✓	✓	✓	✓		4. Exam	30%	✓	✓	✓	✓	✓	Total	100 %					
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	<u>Exam</u> Written exam will be given in the form of but not limited to multiple-choice questions, short questions, long questions, or essay questions. Students will be assessed their understanding of the code of ethics and professional standards in the finance industry, relevant legal knowledge, as well as their application in decision making.	
Student Study Effort Expected	Class contact:	
	▪ Lecture / Tutorial / Seminar	26 Hrs.
	Other student study effort:	
	▪ Self-learning from reference materials	20 Hrs.
	▪ Reading and research for the case study	24 Hrs.
	Total student study effort	70 Hrs.
Reading List and References	<ol style="list-style-type: none"> 1. CFA Institute, <i>Standards of Practice Handbook</i>, 12-th edition, 2024. 2. CFA Institute, <i>Ethics in Practice: Ethics in Investment Management Casebook</i>, second edition, 2019. 3. J.R. Boatright, <i>Ethics in Finance</i>, third edition, John Wiley, 2014. 4. Soppe, <i>New Financial Ethics: A Normative Approach</i>, Routledge, 2017. 5. Supervisory Policy Manual, Hong Kong Monetary Authority. 6. Codes and guidelines, Securities and Futures Commission. 	