

# ETHICS IN THE FINANCIAL INDUSTRY (1 HR)



## DETAILED MODULE LEARNING OBJECTIVES

MODULE	OBJECTIVES & OUTCOMES
<b>Ethics in the Financial Industry</b>	<p>At the end of the module, participants will be able to:</p> <ul style="list-style-type: none"><li>• Recognise ethical standards and their impact in the financial industry.</li><li>• Gain the requisite knowledge of ethics in business, including role of ethics in organizational leadership, code of ethics standards, ethical behaviour, ethics implementation, Conflicts of Interest, ethical decision-making process and reporting.</li><li>• Be kept abreast of ethical issues relating to the provision of financial services.</li></ul>

## TOPICS COVERED IN THE MODULE

1. Basics of Ethics
2. Personal Ethical behavior
3. Role of Ethics in Organizational Leadership
4. Ethics in Business
5. Ethical Behavior in Financial industry
6. Code of Ethics Standards
7. IMAS Code of Ethics & Standards of Professional Conduct
8. Fit and Proper
9. Ethics Implementation
10. Dealing with Conflicts
11. Fiduciary Duty
12. Conflicts of Interest (with cases)
13. Personal conflicts
14. Transactions with related parties (with cases)
15. Dealing with client assets
16. Employees conflicts of interest
17. Managing Conflicts
18. Ethical Decision-Making Process Framework
19. Key Controls to prevent conflicts
20. Ethics and Compliance
21. Board and senior management responsibilities
22. Market conduct safeguards
23. Bribery and Corruption
24. Prevention of Corruption Act ["PCA"]
25. Business Entertainment and Gifts
26. Reporting gift / entertainment (with cases)
27. Corruption & Business
28. Consequences of corruption
29. Punishment and Penalties
30. Reporting Corruption