

IB9KB-15 Ethics, Financial Regulation and Corporate Governance

26/27

Department

Warwick Business School

Level

Taught Postgraduate Level

Module leader

John Thanassoulis

Credit value

15

Module duration

24 weeks

Assessment

30% coursework, 70% exam

Study location

University of Warwick main campus, Coventry

Description

Introductory description

This module will be split into three parts to cover financial ethics, financial regulation, and environmental, social and governance issues.

[Module web page](#)

Module aims

The first objective of this course is to introduce the concept of ethics and how it relates to the work that is done by finance professionals within financial institutions and companies. The second part will discuss the role of financial regulators who aim to make financial markets work well so that consumers get a fair deal, to enhance financial market integrity and to promote competition. The third part will focus on environmental, social and governance issues from an investor point of view.

Outline syllabus

This is an indicative module outline only to give an indication of the sort of topics that may be covered. Actual sessions held may differ.

Ethics and ethical expression finance

-Dual mode of ethical reasoning

Competition and misconduct

- Dilemmas and Current scandals in finance ethics
Sustainability and ESG
- Market reaction to ESG firm actions and carbon footprint
Financial Regulation and Ethics
- market integrity, competition and conduct
- CFA code of conduct

Learning outcomes

By the end of the module, students should be able to:

- Identify and explain the legal and professional consequences of misconduct, for example (not all covered), whistleblowing, fraud, bribery and corruption, money laundering and data protection laws. carbon footprint or lack of sustainability.
- Appreciate the market reaction to ESG/sustainability.
- Demonstrate a comprehensive understanding of fundamental concepts in finance ethics including utilitarianism, deontology, and virtue.
- Critically evaluate and apply theoretical models, concepts, and tools shared throughout the course

Indicative reading list

[Reading lists can be found in Talis](#)

Subject specific skills

Analyse and evaluate the role in society of banks, other financial institutions, and the impact of financial regulation on corporate behaviour.

Analyse and evaluate the role of financial regulation in managing misconduct

Transferable skills

Express and understand how humans render ethical decisions

Study

Study time

Type	Required
Lectures	18 sessions of 1 hour (12%)
Seminars	6 sessions of 1 hour (4%)
Practical classes	4 sessions of 1 hour (3%)
Supervised practical classes	(0%)
Private study	48 hours (32%)
Assessment	74 hours (49%)
Total	150 hours

Private study description

Private study to include preparation for lectures and practical classes.

Costs

No further costs have been identified for this module.

Assessment

You do not need to pass all assessment components to pass the module.

Assessment group D3

Assessment component	Weighting	Study time	Eligible for self-certification
Individual Assignment	15%	11 hours	Yes (extension)
Reassessment component is the same			
Assessment component			
Group presentation Group presentation and/or presentation slides on equity ESG valuation	15%	11 hours	No
Reassessment component			
Individual assignment			Yes (extension)

Assessment component	Weighting	Study time	Eligible for self-certification
Centrally-timetabled examination (On-campus) Written Exam 2 hour	70%	52 hours	No

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- Answerbook Pink (12 page)

Reassessment component is the same

Feedback on assessment

Students will receive verbal formative feedback throughout the module. Summative feedback will be given on each assignment.

[Past exam papers for IB9KB](#)

Availability

Courses

Course availability information is based on the current academic year, so it may change. This module is Core for:

- Year 1 of TIBS-N300 MSc in Finance
- Year 1 of TIBS-LN1J Postgraduate Taught Finance and Economics