

Ethics in Finance 金融倫理學

Instructor: Tzu-Ling, Lin

E-mail: tzuling@ccu.edu.tw

Objectives

The course will address ethical issues in financial markets and activities. Each student will be expected to understand the key ethical frameworks and ideas in finance and the current ethical challenges facing employees in financial institutions or financial officers in an organization, identify ethical conflicts/dilemmas in financial activities, and then make financial decisions in an ethical manner.

AACSB Competency 5: Business Ethics

5.1 Understand business ethical issues.

5.2 Illustrate fair course of action.

Textbooks

1. John R. Boatright, Ethics in Finance, 2nd edition, 滄海圖書.
2. 謝易宏主編，貪婪夢醒—經典財經案例選粹，五南出版社。(案例出處)
3. 謝易宏主編，紙醉金迷—經典財經案例選粹，五南出版社。(案例出處)
4. 謝易宏主編，繁華落盡—經典財經案例選粹，五南出版社。(案例出處)

Grading

Final exam (35%); final-term report and presentation (40%); grading report (25%).

Topics

I. Lectures

1. Financial ethics: an overview;
2. Theoretical perspective in finance;
3. Ethical issues in financial services;
4. Ethical issues in investment decisions;
5. Ethics in financial markets.

II. References cases

- E1. 貪婪的代價—力霸、嘉食化掏空案;
- E2. 茶壺中的循私風暴—開發金併金鼎證案;
- E3. 破除不倒神話—國華產險案;
- E4. 民不與官鬥?官不與民鬥?—論 2004 年開發金董監改選案;
- E5. 揭開結構債之神秘面紗—中信金控插旗兆豐金控案;

- E6. 追求真愛，嫁個好人家—花旗集團併購華僑銀行案；
 E7. 舉棋不定的金融誓約?—台新金併彰銀案；
 E8. 魔鬼的誘惑—渣打銀併竹商銀案；
 E9. 水能載舟，亦能覆舟—ECB? Executing Corporate Bailout?茂德紓困案；
 E10. 一失足成千古恨! ?—歌林重整案；
 E11. 世事難料! ?搶到金母雞還是掉進錢坑?—富邦金控併購 ING 安泰人壽案；
 E12. The Day After Tomorrow—由雷曼兄弟風暴看金融監理。

III. Movies

Schedule

Week	Date	Topics
1	9/8	OFF*
2	9/15	Ch1
3	9/22	Ch1
4	9/29	Ch2, Movie I
5	10/6	OFF
6	10/13	Ch2
7	10/20	Ch3, Movie III
8	10/27	Ch3
9	11/3	Ch4, Movie IV
10	11/10	Ch4
11	11/17	Ch5
12	11/24	Final Exam
13	12/1	Report presentation 1-3
14	12/8	Report presentation 4-6
15	12/15	Report presentation 7-9
16	12/22	Report presentation 10-12
17	12/29	Report presentation 13-15
18	1/5	彈性教學

*教師公假出國,另擇期補課