



ETHICAL LEADERSHIP PROGRAMME

CFA UK's Ethical Leadership Programme brings together current and future leaders of the investment profession to explore professionalism, culture and conduct. Facilitation is conducted by CFA UK and Duke Corporate Education, the global leaders in executive education.

In partnership with

Duke^{CE}

www.cfauk.org

Improving ethical behaviour in the investment profession

The CFA UK Ethical Leadership Programme is run using Duke Corporate Education's tried and tested philosophy of 'learning by doing', whereby participants can act their way into a new way of thinking and doing. Complex scenarios are presented for examination, analysed and then worked through. These situations are reviewed within and across groups, with input from current leaders in the investment profession.

The culture of an investment firm is important to its stakeholders, clients and to the regulators. It also influences a firm's ability to attract and retain leading investment professionals. The way that a firm addresses ethical issues – how these are identified, managed and understood – is a major cultural indicator and can have a direct impact on the bottom line.

This is a unique opportunity for current and future leaders of the investment profession to work together to build ethical competencies and enhance the profession's capacity to serve its stakeholders.

Key dates

Module 1

1st & 2nd May 2018

Brewers Hall, Aldermanbury Square, London EC2V 7HR

Day 1: 9am–6pm; Day 2: 8.30am–6pm

Module 2

5th & 6th June 2018

Brewers Hall, Aldermanbury Square, London EC2V 7HR

Day 1: 9am–6pm; Day 2: 8.30am–6pm

Graduation

19th September 2018

Brewers Hall, Aldermanbury Square, London EC2V 7HR

6–8pm

Price

£6,400* per participant excluding VAT (£7,680 incl VAT)

*early bird rate until 31st December 2017, then £6,900

Key objectives

- To develop each participant's critical ethical leadership qualities
- Participants to become champions of ethical learning via case study training
- To build a robust cohort of future leaders with a common ethical understanding for the benefit of the participants, their firms and the profession as a whole

Programme design

Pre-reading

Working with ambiguity

- Immersion into 'Dangerous Opportunities' case studies
- Explore themes: culture, political savvy and influencing
- Identify key leadership skills and see how small misjudgements can snowball and highlighting awareness

Interession

- Team case study creation

Building the Response

- Putting the profession on trial 'At Court' exposes issues across the whole investment chain which are then examined in more detail with mind-mapping
- Team case studies are showcased via multimedia during the 'Trade Fair'
- Participants pledge their personal commitment to ethical leadership

Post-programme

- 2018 graduation ceremony and follow-up with firms
- Graduates to form the steering group for the 2019 Ethical Leadership Programme

Programme structure

The design offers three critical integrating themes around which the programme is structured:

- Understanding, practising and 'pressure testing' critical ethical leadership qualities and skills
- Building relationships to generate a strong, problem-solving alumni as an enduring resource for the profession
- Understanding how to share the learned ethical skills to the benefit of participants' firms

Programme summary

The programme will help participants understand their individual and collective orthodoxies, challenge their behaviours, and establish a new set of skills and practices. The programme will create a powerful alumni network of ethically skilled and aware leaders to sustain and develop the profession into the future. As participants explore themes together, the common understanding which emerges will reinforce the foundation for best practice in ethics across the investment profession.

Educational Training ethos

- 'Learn by doing' with full engagement throughout the programme
- Bringing together a diverse group of participants from across the investment chain with a variety of roles and experiences
- Designed for leaders of the future, who care about improving and implementing ethical principles



Participant criteria

- Up to two participants from each investment firm
- Priority given to firms who participated in the inaugural programme. Participants do not need to be CFA UK members
- Participants to be investment professionals with over 15 years' experience who have been identified as leaders or potential leaders within their firms
- Typical job titles would include: Deputy CIO, Head of Investment, Desk Head or Head of Product Development

Alumni network

Participants will benefit from access to online and live alumni resources:

- Access to advice from CFA UK and Duke CE experts relating to ethical leadership
- Invitations to CFA UK events on ethical leadership exclusively for alumni and their sponsors
- LinkedIn private group for ethical leadership alumni members

The alumni network benefits firms and the profession as heightened ethical awareness expedites and facilitates cultural development.

Programme provider credentials

CFA UK: Not-for-profit association of investment professionals, FCA accredited body and Ofqual awarding body for the IMC qualification. Largest global CFA member society, with over 12,000 members.

Duke CE: Global leader in customised executive education, ranked #1 by the Financial Times (12th May 2014) for the 12th consecutive year
Educators: Nick Holley Owner NHA Ltd, Director, Centre for HR Excellence
Henley Business School; Adam Pacifico Managing Director, Duke Corporate Education

Join the CFA UK's Ethical Leadership Programme
Email elp@cfauk.org

More information

-  020 7648 6200  www.cfauk.org/ethical-leadership
 info@cfauk.org  @cfauk

Why choose the CFA UK Ethical Leadership Programme?

A growing cohort of leaders from leading global investment firms have joined us on their journey to ethical leadership - here are what some of them had to say about the programme and their learning experience.

"Collaborative and innovative; looking at all the different ethical dilemmas in a informal workshop environment that really challenges those grey areas of ethical dilemmas of decision making with a wide range of market participants from different backgrounds who have different challenges."

Bill Street, EMEA CIO & Head of Investment, SSGA

"The focus on ethical behaviour and encouragement to engage my slow brain means I will stop and think, and work with people to resolve ethical problems for the benefit of our clients, shareholders and the wider stakeholder community."

Rod MacRae, Group Head of Risk, Aberdeen Asset Management

"This has really been an excellent course, I found it very interesting, I've learnt a lot. So I would definitely recommend this course to people."

Simon Gergel, CIO UK Equities, Allianz Global Investors

"What has been absolutely great about this programme, what's held it together, is the amount of fun that participants have had. Something like this where you are challenged, taken out of your comfort zone, made to think very hard about complex issues, wouldn't work unless everybody was having fun together."

Eoin Murray, Head of the Investment Office, Hermes

"I can't think of a better way to make an ethical leadership programme more exciting and invigorating. The interaction and experiential nature of the activities has really been wonderful. The thing I will take away most is how important it is for all of us to be ethical leaders."

Alex Haggard, CFA,MD, EMEA Consultant Relations, Blackrock

"What I really got out of the course is that ethics is really about culture and leadership is all about building that culture. Strong leadership is crucial – its all about setting the agenda and leading by example."

Alex Schoenfeldt, Head of Alternative Assets and Private Equity, BA Pensions

More information



020 7648 6200



www.cfauk.org/ethical-leadership



info@cfauk.org



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Supporting firms

The CFA UK Ethical Leadership Programme has been supported by:



Is the programme right for me?

Previous participants of the CFA UK Ethical Leadership Programme have been from the following roles:

- Head of Investment Management
- CIO UK Equities
- Head of Emerging Market Equities
- Deputy CIO
- Head of Alternative Assets
- Head of Responsible Investment
- Group Head of Risk
- Head of Conduct
- Head of Dealing – Equities
- COO
- Head of European Sales

Request a call back

If you would like to find out more about the CFA UK Ethical Leadership Programme email elp@cfauk.org and we will get back in touch with you as soon as possible.