**Ethical and Professional Standards**

**April 2023 Examination**

**1**. **Arohi has just resigned from her position as a portfolio manager at Parkers and Spence Assets Inc. to start her own independent practice. To save time, Arohi makes use of the computer models she made at Parkers and Spence Assets Inc. that were saved on her computer and also used public directories to contact her former clients whose names she can recall. Has Arohi violated the Code and Standards? Kindly justify your answer with the relevant standard**. **(10 Marks)**

**Ans 1.**

**Introduction**

The computing profession changes the movements of businesses and promotes world growth. A company's portfolio managers mainly look at the general business increase and set the enterprise's profile according to offerings provided by the company. Moreover, supporting organizations and dealing with the code of professional and ethical conduct helps to express the best professional conscience. Furthermore, business code helps layout, manual, and inspire enterprise moral behavior to power the critical function of managers to carry out the pleasant computing expert hobby. The professional activity related to computing and

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**2. Toshak Jain, CFA, diligently manages large-cap equity portfolios for his clients. However, recently due to a recession, the performance of large-cap equity markets could be better. Considering the situation, Toshak reduces the equity exposure of his clients and invests in low-risk, fixed-income investments. Toshak most likely violated the CFA Institute Standards of Professional Conduct regarding:**

**A. Diligence and reasonable basis.**

**B. Misrepresentation.**

**C. Suitability.**

**Kindly justify the answer by selecting one of the options from above relating to the relevant Standard.** **(10 Marks)**

**Ans 2.**

**Introduction**

The standard of business misconduct is not engaged in the conduct of professionals that includes deceit, dishonesty, and dedication to reflect the adverse changes on their professional integrity and reputations in business competencies. Furthermore, the business requirements help deal with the member's and expert duties to comply with and govern the different applicable laws in professional activities. The business conduct reflects professional integrity, competence, and good reputations to lay out the first-rate marketplace abilities. The

**3. Kaizen Shaikh is a portfolio manager for Shell Inc., an investment advisory and brokerage firm. He reports to Juliet Francis, CFA, who is the CFO of Shell.** **Daley is in charge of an aggressive growth equity fund and Cross Retirement Plan, a defined contribution plan for the employees of Shell. Kaizen sometimes places purchase and sale orders with a Commodity Index without completing an internal transaction form. No written operating procedures or compliance manual concerning commodity trades exists.**

**a. Has Juliet violated the CFA Institute Code of Ethics and Standards of Professional Conduct relating to? Explain**

**A. Disclosure of Conflicts**

**B. Misconduct**

**C. Responsibilities of Supervisors** (**5 Marks)**

**Ans 3a.**

**Introduction**

The CFA institute code, standards, and ethics force the fundamental values to achieve the mission and lead the acceptable professional price by promoting the maximum ethics standards. The business code requirements and expert conduct can be discussed related to the criteria. But, the CFA institute has evolved practical techniques and tools to manual the best

**b. What should be the appropriate approach for this situation? Justify (5 Marks)**

**Ans 3b.**

**Introduction**

The appropriate business strategy is practical business guidelines for a company to comply with powerful rules and rules ensuing in effective business increase. Furthermore, the proper strategy and approach are composed of a good vision, challenge, and layout to adjust the effective business. This phase will discuss the proper manner