

2021 CFA SOCIETY WINNIPEG ETHICS CHALLENGE

PRAIRIES REGION

Event Overview
February 13, 2021



**CFA Society
Winnipeg**



WELCOME!

CFA Society Winnipeg is excited to host the 5th annual local competition with university teams participating from Manitoba and Saskatchewan.

This challenge embodies the mission of CFA Institute by promoting “the highest standard of ethics, education, and professional excellence.”

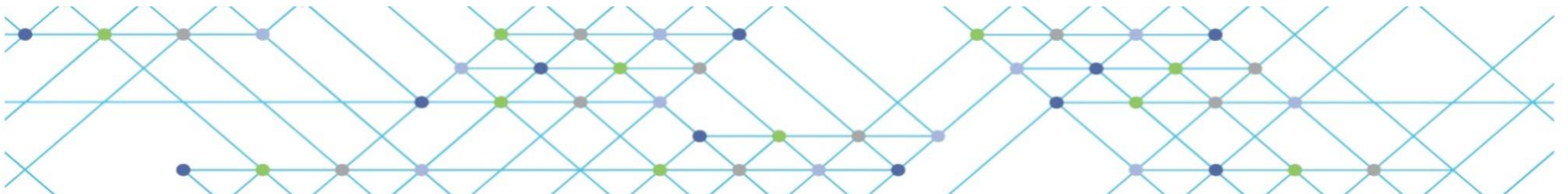
We will be using Zoom to host our virtual competition.

Guest Observers are welcome to register for this free event.



Register Today

#CFAEthicsChallenge



AGENDA

Overview and Logistics

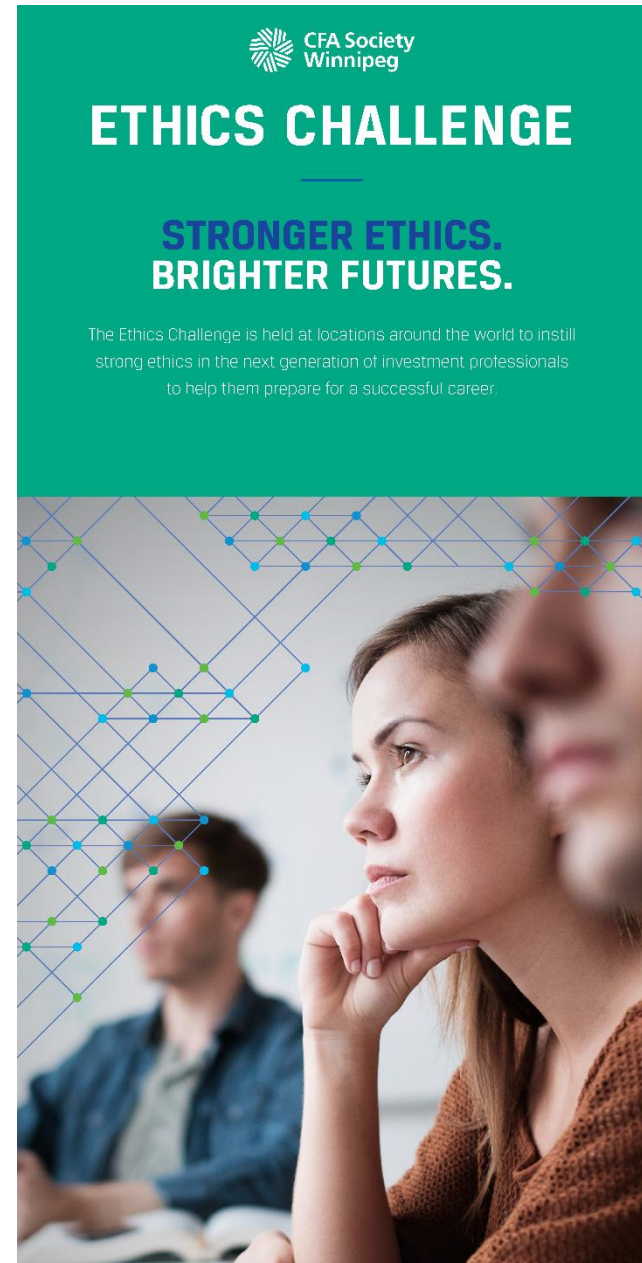
- What is the Ethics Challenge?
- Attendees
- Schedule

Competition Structure & Scoring

- Case Overview
- Presentation Timing & Reminders
- Scoring

Host & Sponsors

- Local Competitions
- Participating Teams
- Winning Team Awards
- National Round
- Host Contact



CFA SOCIETY WINNIPEG ETHICS CHALLENGE

About the Ethics Challenge

- The first Ethics Challenge was started by a CFA Society Toronto volunteer in 2014.
- Summons students to analyze a situation with a “grey” area where right or wrong may not be apparent
- Student teams are given a case study with an ethical dilemma and present their recommendations to a panel of senior charterholders
- A question-and-answer period follows, and a champion is later announced
- 10-minute presentation, 10-minute Q&A

[#CFAEthicsChallenge](#)



ATTENDEES

- Teams will not be allowed to watch other presentations.
- Teams put significant effort into their presentations and want to present in front of an audience.
- Invited guests may include Society members, University officials, Classmates or Family members

[#CFAEthicsChallenge](#)



ZOOM INSTRUCTIONS

Registered Guest Observers will receive the zoom link via email 24 hours prior to event start.

Connection Instructions for Guest Observers

- Click the Zoom URL.
- Download and run Zoom or join from your browser.
- Join without Video.
- Click on the “X” on the computer audio screen.
- Continue without audio.

PLEASE STAY OFF CAMERA AND MUTED DURING PRESENTATIONS
USE THE CHAT FEATURE TO ADDRESS ADMINISTRATOR

SCHEDULE

Time (CST)	Who	Activity	Room
9:15 AM – 9:30 AM	Teams, Observers & Judges	Log onto Zoom	Main Room
9:30 AM – 9:40 AM	Ying Zhang, CFA	Overview/Housekeeping items, set up & instructions	Main Room
9:40 AM – 9:55 AM	Nick Rawluk, CFA	Welcome Remarks	Main Room
9:55 AM – 10:00 AM	All Teams	Separate all teams	Team Breakout Rooms
10:00 AM – 10:30 AM	Team A	10 minute presentation, 10 minute Q&A	Main Room
10:30 AM – 11:00 AM	Team B	10 minute presentation, 10 minute Q&A	Main Room
11:00 AM – 11:30 AM	Team C	10 minute presentation, 10 minute Q&A	Main Room
11:30 AM – 12:00 PM	Judges	Judges Deliberate	Judge Breakout Room
	Networking Break	Guest Observers	Main Room
12:00 PM – 12:15 PM	Nick Rawluk, CFA	Winners Announced & Closing Remarks	Main Room
12:15 PM – 12:30 PM	Winners	Photos & follow-up items	Main Room

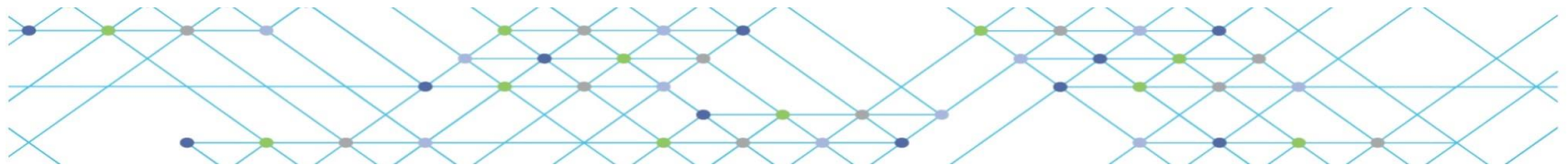
CASE OVERVIEW

The mission of CFA Institute is to lead the investment profession globally by promoting the highest standards of ethics, education, and professional excellence for the ultimate benefit of society. The Ethics Challenge fulfills this mission by promoting best practices in the investment profession and preparing students for the ethical dilemmas they may face in their careers.

The case is the central tenant of the Ethics Challenge. The case is developed by the society in conjunction with CFA Institute and incorporates common ethical issues and the application of the CFA Institute Code of Ethics and Standards of Professional Conduct. The purpose of the competition is to prepare students for “real life” ethical dilemmas they may face when entering the investment profession in their region or locale. Teams of three to five undergraduate and/or graduate students create a presentation based on their analysis and present it to a panel of judges. The presentation primarily focuses on violations of the CFA Institute Code of Ethics and Standards of Professional Conduct and recommendations about how these violations should be addressed.

This case was written by CFA Society United Kingdom Ethics Committee and Michael G. McMillan, PhD, CFA, CPA, CCEP, Director of Ethics Education and Professional Standards, CFA Institute.

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PRESENTATION GENERAL

Duration	Activity
2 minutes	<ul style="list-style-type: none">• Competitors enter the Zoom Presentation room• Powerpoint presentation will be shared on screen, team conducts brief test• Competitors turn on camera and un-mute audio
10 Minutes	<ul style="list-style-type: none">• Presentation (recorded)• Judges turn off camera and mute audio
10 Minutes	<ul style="list-style-type: none">• Question & Answer Period (recorded)• Judges turn on camera and un-mute audio
5 – 10 minutes	<ul style="list-style-type: none">• Competitors exit the room• Judging panel completes scorecards• Break as needed

For both Presentation & Q&A Period:

- Timer will start when the first person speaks (timekeeper will prompt the team)
- 1-minute remaining verbal warning will be given
- Timekeeper says, “Time” at the end of 10 minutes

REMINDERS



- Teams are forbidden from identifying their school identity at any point during the presentation. Please do not ask the competitors which school they are from (or any personal questions) at any point throughout the judging process
- Power off all mobile devices before the presentations begin

JUDGES

All judges will score using a standard scorecard, marking each team out of 100 possible points.

- Judges are asked to develop their own baseline and **ensure fairness and accuracy** in their scoring.



Mark Smith-Windsor, CPA, CMA, CFA
Industrial Alliance Securities Inc.

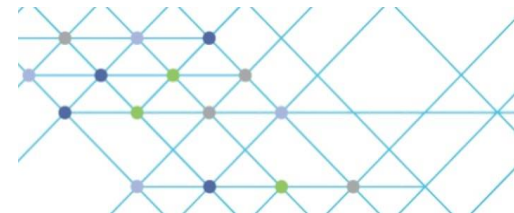
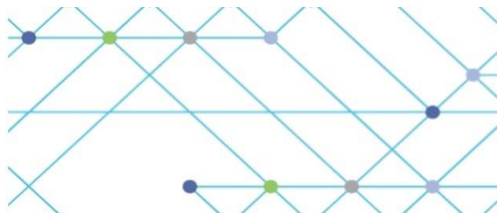
Julia A. McDonough, JD
CFA Institute

Brett Tessler, CFA
Teachers' Retirement Allowances Fund

After the event

- Teams will also be provided with a copy of their video

CANADA'S #FUTUREOFFINANCE ARE PUTTING THEIR #INVESTMENT KNOWLEDGE TO PRACTICE AT THIS YEAR'S #CFAETHICSCHALLENGE



LOCAL COMPETITIONS

Local Competition	Participating Societies
Alberta	Calgary, Edmonton
Atlantic Canada	Atlantic Canada
British Columbia	Vancouver, Victoria, Okanagan
Prairies	Saskatchewan, Winnipeg
Quebec	Québec, Montréal
Ontario	Toronto, Ottawa

- 100+ students from 26 Universities across Canada compete in Local Competitions (late Jan – mid Feb)
- One ethics case used across the country
- Students have 4 weeks to prepare
- One winner from each Local Competition will advance to the National Round

PARTICIPATING TEAMS

UNIVERSITY OF MANITOBA

Stephen Mather

Aman Mir

Shyam Narayan Moorthi

Shixiang (Shannon) Wang

Alemeh Yazdanian

Faculty Advisor: Howard Harmatz

UNIVERSITY OF REGINA

Isaac Choboter

Po Yee Leung

Dimitri Hadjistavropoulos

Jordan Tholl

Faculty Advisor: Zhou Zhang, CFA

UNIVERSITY OF SASKATCHEWAN

Jaydon Beuker

Ethan Fisher

Sidney Meyer

Faculty Advisor: Brian Lane, CFA

EVENT SPONSOR

Wiley Efficient Learning

The logo for Wiley, consisting of the word "WILEY" in a bold, serif, all-caps font.

Complimentary Ethics Review – 2021 Registration Information

Open to all Students & Candidates.

Students will be able to access the course by following the instructions below.

1. Go to <http://efficientlearning.com/ucfa>
2. Select Wiley University / Society Finance Course and click Add to Cart
3. Enter the discount code:
 - **Discount code: CSW3014**
 - **Price: \$0**
4. Completing the check out and account creation
5. Review Welcome Email
6. Once set up, you will access the course by logging into: <https://www.efficientlearning.com/login/> and launching the course
7. If asked to “merge accounts” choose “NO”

PRIZE AWARDED TO WINNING TEAM



Team Trophy



WILEY

Congratulations to the winning Team.

Each team member will receive complementary access to:

Wiley's Level 1
CFA® Program **PLATINUM**
Review Course

- Including E-Book version
- Valued at \$1395 usd.

2021 Partner Sponsors



BlackRock

S&P Global
Market Intelligence

CANADIAN NATIONAL ROUND

WHEN: May 7, 2021

WHERE: Virtually – Zoom



QUICK FACTS:

- Teams are given a brand-new case the day before and have just 23 hours to prepare their presentation
- Judges will determine the national champion!

PRIZE:

- Winning team will each receive \$500;
- A personalized award; and
- Will be featured in a national press release

CONTACT INFORMATION

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**CFA Society
Winnipeg**