

FIN102 课程大纲

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|------------------------|-------|
| 1、2019 秋季学期——2022 秋季学期 | 2-10 |
| 2、2023 秋季学期起 | 11-19 |

课程详述

COURSE SPECIFICATION

以下课程信息可能根据实际授课需要或在课程检讨之后产生变动。如对课程有任何疑问，请联系授课教师。

The course information as follows may be subject to change, either during the session because of unforeseen circumstances, or following review of the course at the end of the session. Queries about the course should be directed to the course instructor.

1.	课程名称 Course Title	金融学 Finance
2.	授课院系 Originating Department	金融系 Department of Finance
3.	课程编号 Course Code	FIN102
4.	课程学分 Credit Value	3
5.	课程类别 Course Type	专业选修课 Major Elective Courses
6.	授课学期 Semester	秋季 Fall
7.	授课语言 Teaching Language	中英双语 English & Chinese
8.	授课教师、所属学系、联系方式 (如属团队授课, 请列明其他授课教师) Instructor(s), Affiliation & Contact (For team teaching, please list all instructors)	Jerry Yang 杨旭宁 Email: yangxn@sustc.edu.cn Office: Huiyuan 3-325#

9.	实验员/助教、所属学系、联系方式 Tutor/TA(s), Contact	待公布 To be announced				
10.	选课人数限额(可不填) Maximum Enrolment (Optional)					
11.	授课方式 Delivery Method	讲授 Lectures	习题/辅导/讨论 Tutorials	实验/实习 Lab/Practical	其它(请具体注明) Other (Please specify)	总学时 Total
	学时数 Credit Hours	48				48
12.	先修课程、其它学习要求 Pre-requisites or Other Academic Requirements	无 None				
13.	后续课程、其它学习规划 Courses for which this course is a pre-requisite	财务会计 Financial Accounting/微观经济学 Micro Economics/宏观经济学 Macro Economics/公司金融 Corporate Finance/金融经济学 Financial Economics/固定收益 Fixed Income/金融市场与风险管理 Financial Market and Risk Management/货币金融学 The Economic of Money, Banking and Financial Market				
14.	其它要求修读本课程的学系 Cross-listing Dept.					

教学大纲及教学日历 SYLLABUS

15. 教学目标 Course Objectives

本课程为新生提供金融学系的引导和一般性介绍。本课程以基础金融理论、金融机构和市场、金融产品、金融法律环境和监管、金融资产管理等内容为基础，强调对金融知识的全面理解和学习。同时本课程将帮助学生学习财经新闻解读、金融主要文献期刊搜索和研究，了解金融专业的分类，为学生的下一步学习奠定坚实的基础。

This course provides freshmen with guidance and general financial studies. This course emphasizes the comprehensive understanding and acquisition of knowledge about the financial field, based on basic financial theory, financial institutions and markets, financial products, financial legal environment and supervision, financial asset management and so on. At the same time, it introduces financial news interpretation, financial major literature journals and searching, financial majors' classification, etc., laying a solid foundation for students' next learning.

16. 预达学习成果 Learning Outcomes

通过金融学学习，学生可以建立起金融学科的基本框架，增强未来学习的主动意识和针对性，减少学习的盲目性，进一步激发其对专业课程进一步学习的兴趣。

By studying Finance, students can establish the basic framework of the financial discipline, enhance the pertinence and consciousness of future learning, reduce the blindness of learning, and stimulate further interest in further study of professional courses.

17. 课程内容及教学日历（如授课语言以英文为主，则课程内容介绍可以用英文；如团队教学或模块教学，教学日历须注明主讲人）

Course Contents (in Parts/Chapters/Sections/Weeks. Please notify name of instructor for course section(s), if this is a team teaching or module course.)

第一讲：金融学介绍（3学时）

本讲重点介绍本课程的主要涵盖内容，各知识点之间的关联，以及金融学发展的历史，主要的知识架构，包括宏观金融学（货币银行学和财政学）与微观金融学（公司金融）等内容，以期学生对于金融专业的未来学习有一个较为全面的理解与掌握。

Lecture 1: Introduction to Finance (3 Hours)

This lecture focuses on the main content of the course, the links between knowledge points, the history of financial development and the main knowledge structures include macro finance (money banking and finance) and micro finance (corporate finance), etc., in order to make students have a more comprehensive understanding and mastery of the future of finance.

第二讲：金融学与经济学（3学时）

本讲介绍经济学与金融学之间的联系与差异。金融学脱胎于经济学，自上世纪 50 年底现代金融学理论诞生于美国之后，随着金融产品与金融市场的发展，金融学已经成为一门独立的学科。金融历史上经历了三次革命：资产组合理论与 CAPM、期权定价理论与应用、金融科技的发展。通过实例比较二者的异同，让学生进一步清晰未来需要学习的重点课程。

Lecture 2: Finance and Economics (3 Hours)

This lecture introduces the connections and differences between economics and finance. Finance is born out of economics. Since the birth of modern finance theory in the United States at the end of the last century, with the development of financial products and financial markets, finance has become an independent discipline. In the history of finance, it has experienced three revolutions: asset portfolio theory and CAPM, option pricing theory and application, and the development of financial technology. Through examples to compare the similarities and differences between the two, to make students further clear the key courses that need to be learned in the future.

第三讲：金融专业发展方向（3学时）

本讲介绍金融专业的学生在未来可能选择的职业方向，以此为导向细分为本科阶段需要做好的准备。通过案例介绍，帮助学生了解教学研究与企业两个方向，并分析不同发展方向的异同。课堂上可采取随机选择学生，基于其思考与兴趣爱好，结合其自身的特点，确定发展方向，制定出初步的发展计划的教学方式。重点教会学生如何思考分析符合自身特点的职业

发展方向。

Lecture 3: Development Direction of Finance (3 Hours)

This lecture introduces the career direction of finance may choose in the future and teach how to prepare in the undergraduate stage. Through case introduction, help students understand the two directions of teaching research and industry, and analyse the similarities and differences of different development directions. Students will be randomly selected in the classroom, based on their thinking and hobbies, combined with their own characteristics, determine the direction of development, and develop a preliminary development plan. The key is to teach students how to think and analyse the career development direction that suits their own characteristics.

第四讲：行为金融学（3 学时）

本讲关注最近 20 年金融学领域的最新研究成果，以行为金融学为中心，进一步拓展学生的思维。介绍行为金融学的前景理论、羊群效应、过度反应与反应不足、过度自信与乐观主义等内容，让学生能够辩证思考问题，进一步建立金融学理论的框架。主要通过案例教学。

Lecture 4: Behavioural Finance (3 Hours)

This lecture focuses on the latest research results in the field of finance in the past 20 years and focuses on behavioural finance to further expand students' thinking. Introducing the prospect theory, herding effect, overreaction and lack of response, overconfidence and optimism, so that students can dialectically think about problems and further establish the framework of financial theory. Mainly through case teaching.

第五讲：金融学主要课程（3 学时）

本讲帮助学生对主要的金融课程有全面的了解。包括：微观经济学、宏观经济学、财务会计、公司金融、金融衍生品、固定收益、金融机构与市场、中国金融、金融实证学、金融经济学、基础数学、计算机科学等。帮助学生认识数学、计算机科学、金融学三者之间的关系与影响等。学习完本讲之后，学生能够对具体专业的选择有清晰的认识。本讲主要通过案例分析进行。

Lecture 5: Major Courses in Finance (3 Hours)

This lecture helps students have a comprehensive understanding of major financial courses. Including: microeconomics, macroeconomics, financial accounting, corporate finance, financial derivatives, fixed income, financial institutions and markets, Chinese finance, financial positivism, financial economics, basic mathematics, computer science, etc. Help students understand the relationship and influence between mathematics, computer science and finance. After completing this lecture, students will have a clear understanding of the specific profession choices. This lecture is mainly conducted through case studies.

第六讲：金融机构与市场-银行（3 学时）

本讲介绍银行在金融体系中的重要作用，以国家开发银行、中国工商银行、中国邮储银行、招商银行和北京银行为代表，讲解中央银行、三大政策性银行、六大国有银行、股份制银行、地方城商行构成的金融体系。同时，讲解银行的发展演变史、中外银行的差异等内容。学完本讲后，学生对占我国金融资产 80% 的银行体系有全面的了解。

Lecture 6: Financial Institutions and Markets - Banks (3 Hours)

This lecture introduces the important role of banks in the financial system. The National Development Bank, Industrial and Commercial Bank of China, China Postal Savings Bank, China Merchants Bank and Bank of Beijing are used as examples to explain the financial system formed by the Central Bank, the three major policy banks, the six major state-owned banks, and the shareholding banks, the financial system banks and local city commercial banks. At the same time, explain the history of the bank's development and the differences between Chinese and foreign banks. After completing this lecture, students will have a comprehensive understanding of the banking system that accounts for 80% of China's financial assets.

第七讲：金融机构与市场-证券公司（3 学时）

本讲讲解作为重要金融中介的证券公司的发展历史与在金融市场与体系中的角色与作用，依据经济业务、投行业务、资产管理三部分业务进行讲解。学生学习之后了解各个金融机构之间的相互合作关系，如何共同对经济发展起到各自的作用。教学过程中会讲解 2 个小案例。

Lecture 7: Financial Institutions and Markets - Securities Companies (3 Hours)

This lecture explains the development history of securities companies as important financial intermediaries and their roles in financial markets and systems, and explains the business based on economic business, investment banking and asset management. Students will learn about the cooperation between financial institutions and how they can play a role in economic development. Two small cases will be explained during the teaching process.

第八讲：金融机构与市场-保险（3 学时）

本讲讲解世界与中国保险行业的发展演变历史，在金融体系中的角色与功能，从保险种类（包括财产保险、人寿保险、再保险）入手，帮助学生了解保险产品与其他金融产品的异同及其重要特点等。学习之后学生对保险行业有初步的认知。教学过程中会讲解 2 个小案例。

Lecture 8: Financial Institutions and Markets - Insurance (3 Hours)

This lecture explains the history of the evolution of the world and China's insurance industry, and the role and function of insurance in the financial system. Starting with insurance types (including property insurance, life insurance, reinsurance), help students understand the similarities and differences between insurance products and other financial products and their important features. After the study, students will have a preliminary understanding of the insurance industry. Two small cases will be explained during the teaching process.

第九讲：金融机构与市场-信托、公募基金、PE/VC 私募基金等（3 学时）

本讲介绍信托、公募基金、PE/VC 私募基金的发展历史与各自在金融体系中的角色与作用，各自发挥作用的条件与各自的优势。每类机构以一个案例为代表进行讲解。

Lecture 9: Financial Institutions and Markets -Trusts, Public Funds, PE / VC, etc. (3 Hours)

This lecture introduces the development history of trusts, public funds, PE/VC and their respective roles in the financial system, their respective conditions and respective advantages. Each organization is introduced by a case.

第十讲：金融机构与市场（3 学时）

本讲介绍各个金融机构如何相互协作，与金融产品与交易规则一起共同构成金融市场。包括金融市场运行的效率，金融监管的现状与未来发展趋势，重点介绍各金融机构的相互影响，货币侦测、财政政策如何通过金融机构与市场来发挥作用，并促进经济发展与繁荣。比较主要国家金融市场的异同，总结我国金融市场的特点，特别强调香港在我国金融体系中的独特作用。

Lecture 10: Financial Institutions and Markets (3 Hours)

This lecture introduces how financial institutions work together to form financial markets together with financial products and trading rules. Including the efficiency of financial market operations, the status quo and future development trend of financial supervision, focusing on the mutual influence of financial institutions, how currency detection and fiscal policy can play a role through financial institutions and markets to promote economic development and prosperity. Compare the similarities and differences of financial markets in major countries, summarize the characteristics of China's financial market, and especially emphasize the unique and important role of Hong Kong in China's financial system.

第十一讲：金融产品-固定收益类（3 学时）

本讲介绍固定收益类产品，包括国债、地方政府债与公司债，固定利率与浮动利率，普通债券与可转换债券等各类市场上主要的债券类型的特点。债券市场、债券交易也是本讲的内容之一。本讲主要以案例为主，让学生初步掌握债券的主要特点。

Lecture 11: Financial Products - Fixed Income (3 Hours)

This lecture introduces the characteristics of fixed-income products, including government bonds, local government bonds and corporate bonds, fixed-rate and floating-rate, common bonds and convertible bonds, and other major types of bonds in various markets. Bond market and bond trading are also important to introduce. This lecture is mainly based on cases, allowing students to initially grasp the main features of the bond.

第十二讲：金融产品-权益类与其他（3 学时）

本讲以股票、优先股讲解为主要对象，介绍股票的发行、定价、一级市场、二级市场，回购与股利的作用等。学习之后学生对股票等权益类产品的定价机理，发行与交易机制，股票的回购与股利等有初步的认知，为进一步深入学习做好准备。

Lecture 12: Financial Products - Equity and Others (3 Hours)

This lecture focuses on stocks and preferred stocks, and introduces the issue of stocks, pricing, primary market, secondary market, repurchase and dividends. After the study, students will have a preliminary understanding of the pricing mechanism of stocks and other equity products, distribution and trading mechanisms, stock repurchases and dividends, and prepare well for further study.

第十三讲：金融法与监管（3 学时）

本讲内容包括金融法、金融调控与监管法、金融机构组织法、金融业务管理法、涉外金融法等基本内容，涵盖金融法学的基本原理、金融监管调控体制机制、金融机构组织运作、金融业务交易活动等法律制度。以 2008 年金融危机为案例，分析金融法与金融监管的趋势。

Lecture 13: Financial Law and Supervision (3 Hours)

This lecture includes basic principles such as financial law, financial regulation and supervision law, financial institution organization law, financial business management law, foreign-related financial law, covering the legal system such as the basic principles of financial law, financial supervision and control system, financial organization operation, and financial trading activity. Taking the 2008 financial crisis as a case, analyse the trend of financial law and financial supervision.

第十四讲：金融泡沫与金融危机（3 学时）

本讲介绍金融史上最著名的几次金融泡沫与金融危机，包括英国南海泡沫、荷兰郁金香、1929 美国大萧条、日本房地产泡沫、2000 年互联网泡沫、2007 年中国股市疯狂、2008 年美国次债危机等内容，学生学习之后对金融泡沫与金融危机有初步的认知与了解。全部以案例为主讲解。

Lecture 14: Financial Bubbles and Financial Crisis (3 Hours)

This lecture introduces the most famous financial bubbles and financial crises in the history of finance, including the South Sea Bubble, Dutch tulips, the 1929 Great Depression, the Japanese real estate bubble, the Internet bubble in 2000, the Chinese stock market madness in 2007, and the US subprime mortgage crisis in 2008. Students will have a preliminary understanding of the financial bubble and the financial crisis after the class. All of them are based on case studies.

第十五讲：金融类考试与证书（3 学时）

本讲主要介绍国际知名的六大金融类资格证书的特点与主要考试内容与时间，具体为金融风险管理师(FRM)、北美保险精算师(SOA)、注册国际投资分析师(CIIA)、国际数量金融工程认证(CQF)、注册金融分析师(CFA)、注册金融策划师(CFP)。国内主要的三大证书：证券从业人员资格证、基金从业人员资格证、期货从业人员资格证的特点与主要考试内容与时间。

Lecture 15: Financial Examinations and Certificates (3 Hours)

This lecture mainly introduces the characteristics of the six internationally recognized financial qualification certificates and the content and time of the main examinations, specifically Financial Risk Manager (FRM), North American Insurance Actuary (SOA), Registered International Investment Analyst (CIIA), International Quantity Financial Engineering Certification (CQF), Certified Financial Analyst (CFA), and Certified Financial Planner (CFP). It also introduces the three major domestic certificates: the qualifications of securities practitioners, the qualifications of fund practitioners, the qualifications of futures practitioners.

第十六讲：金融信息获取渠道与财经新闻解读-微信/APP/网站/期刊（3 学时）

本讲主要帮助学生了解如何获取最前沿的金融研究成果、最新发生的财经新闻，学会用金融思维对其进行解读和思考，不断深化个人对金融的理解和认知，同时为之后的学习和工作打下坚实的基础。主要通过案例演示为主讲解。

Lecture 16: Financial Information Acquisition Channels and Financial News Interpretation - WeChat / APP / Website / Journal (3 Hours)

This lecture is mainly to help students understand how to obtain the most cutting-edge financial research results, the latest financial news, learn to interpret and think with financial thinking, and deepen their understanding and understanding of finance, to lay a solid foundation for the learning and working in the future. Mainly through the case

demonstration to explain.

18. 教材及其它参考资料 **Textbook and Supplementary Readings**

《金融学》，第2版，兹维·博迪 (Zvi Bodie)，罗伯特·C·默顿 (Robert C.Merton)，戴维·L·克利顿 (David L.Cleeton) 著，曹辉 等译，中国人民大学出版社

课程评估 **ASSESSMENT**

19. 评估形式 Type Assessment	评估时间 of Time	占考试总成绩百分比 % of final score	违纪处罚 Penalty	备注 Notes
出勤 Attendance		10		
课堂表现 Class Performance				
小测验 Quiz				
课程项目 Projects				
平时作业 Assignments		20		
期中考试 Mid-Term Test				
期末考试 Final Exam				
期末报告 Final Presentation		60		
其它 (可根据需要 改写以上评估方式) Others (The above may be modified as necessary)		10		微信(WeChat)

20. 记分方式 **GRADING SYSTEM**

- A. 十三级等级制 **Letter Grading**
 B. 二级记分制 (通过/不通过) **Pass/Fail Grading**

课程审批 **REVIEW AND APPROVAL**

21. 本课程设置已经过以下责任人/委员会审议通过

This Course has been approved by the following person or committee of authority

课程详述

COURSE SPECIFICATION

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2.	授课院系 Originating Department	金融系 Department of Finance
3.	课程编号 Course Code	FIN102
4.	课程学分 Credit Value	3
5.	课程类别 Course Type	专业选修课 Major Elective Courses
6.	授课学期 Semester	秋季 Fall
7.	授课语言 Teaching Language	中英双语 English & Chinese
8.	授课教师、所属学系、联系方式 (如属团队授课, 请列明其他授课教师) Instructor(s), Affiliation & Contact (For team teaching, please list all instructors)	Jerry Yang 杨旭宁 Email: yangxn@sustc.edu.cn Office: Huiyuan 3-325#

9.	实验员/助教、所属学系、联系方式 Tutor/TA(s), Contact	待公布 To be announced				
10.	选课人数限额(可不填) Maximum Enrolment (Optional)					
11.	授课方式 Delivery Method	讲授 Lectures	习题/辅导/讨论 Tutorials	实验/实习 Lab/Practical	其它(请具体注明) Other (Please specify)	总学时 Total
	学时数 Credit Hours	48				48
12.	先修课程、其它学习要求 Pre-requisites or Other Academic Requirements	无 None				
13.	后续课程、其它学习规划 Courses for which this course is a pre-requisite	财务会计 Financial Accounting/微观经济学 Micro Economics/宏观经济学 Macro Economics/公司金融 Corporate Finance/金融经济学 Financial Economics/固定收益 Fixed Income/金融市场与风险管理 Financial Market and Risk Management/货币金融学 The Economic of Money, Banking and Financial Market				
14.	其它要求修读本课程的学系 Cross-listing Dept.					

教学大纲及教学日历 SYLLABUS

15. 教学目标 **Course Objectives**

本课程为新生提供金融学系的引导和一般性介绍。本课程以基础金融理论、金融机构和市场、金融产品、金融法律环境和监管、金融资产管理等内容为基础，强调对金融知识的全面理解和学习。同时本课程将帮助学生在学习财经新闻解读、金融主要文献期刊搜索和研究，了解金融专业的分类，为学生的下一步学习奠定坚实的基础。

This course provides freshmen with guidance and general financial studies. This course emphasizes the comprehensive understanding and acquisition of knowledge about the financial field, based on basic financial theory, financial institutions and markets, financial products, financial legal environment and supervision, financial asset management and so on. At the same time, it introduces financial news interpretation, financial major literature journals and searching, financial majors' classification, etc., laying a solid foundation for students' next learning.

16. 预达学习成果 **Learning Outcomes**

通过金融学学习，学生可以建立起金融学科的基本框架，增强未来学习的主动意识和针对性，减少学习的盲目性，进一步激发其对专业课程进一步学习的兴趣。

By studying Finance, students can establish the basic framework of the financial discipline, enhance the pertinence and consciousness of future learning, reduce the blindness of learning, and stimulate further interest in further study of professional courses.

17. 课程内容及教学日历（如授课语言以英文为主，则课程内容介绍可以用英文；如团队教学或模块教学，教学日历须注明主讲人）

Course Contents (in Parts/Chapters/Sections/Weeks. Please notify name of instructor for course section(s), if this is a team teaching or module course.)

第一讲：金融学介绍（3 学时）

本讲重点介绍本课程的主要涵盖内容，各知识点之间的关联，以及金融学发展的历史，主要的知识架构，包括宏观金融学（货币银行学和财政学）与微观金融学（公司金融）等内容，以期学生对于金融专业的未来学习有一个较为全面的理解与掌握。

Lecture 1: Introduction to Finance (3 Hours)

This lecture focuses on the main content of the course, the links between knowledge points, the history of financial development and the main knowledge structures include macro finance (money banking and finance) and micro finance (corporate finance), etc., in order to make students have a more comprehensive understanding and mastery of the future of finance.

第二讲：金融学与经济学（3 学时）

本讲介绍经济学与金融学之间的联系与差异。金融学脱胎于经济学，自上世纪 50 年底现代金融学理论诞生于美国之后，随着金融产品与金融市场的发展，金融学已经成为一门独立的学科。金融历史上经历了三次革命：资产组合理论与 CAPM、期权定价理论与应用、金融科技的发展。通过实例比较二者的异同，让学生进一步清晰未来需要学习的重点课程。

Lecture 2: Finance and Economics (3 Hours)

This lecture introduces the connections and differences between economics and finance. Finance is born out of economics. Since the birth of modern finance theory in the United States at the end of the last century, with the development of financial products and financial markets, finance has become an independent discipline. In the history of finance, it has experienced three revolutions: asset portfolio theory and CAPM, option pricing theory and application, and the development of financial technology. Through examples to compare the similarities and differences between the two, to make students further clear the key courses that need to be learned in the future.

第三讲：金融专业发展方向（3 学时）

本讲介绍金融专业的学生在未来可能选择的职业方向，以此为导向细分为本科阶段需要做好的准备。通过案例介绍，帮助学生了解教学研究与业界两个方向，并分析不同发展方向的异同。课堂上可采取随机选择学生，基于其思考与兴趣爱好，结合其自身的特点，确定发展方向，制定出初步的发展计划的教学方式。重点教会学生如何思考分析符合自身特点的职业

发展方向。

Lecture 3: Development Direction of Finance (3 Hours)

This lecture introduces the career direction of finance may choose in the future and teach how to prepare in the undergraduate stage. Through case introduction, help students understand the two directions of teaching research and industry, and analyse the similarities and differences of different development directions. Students will be randomly selected in the classroom, based on their thinking and hobbies, combined with their own characteristics, determine the direction of development, and develop a preliminary development plan. The key is to teach students how to think and analyse the career development direction that suits their own characteristics.

第四讲：行为金融学（3 学时）

本讲关注最近 20 年金融学领域的最新研究成果，以行为金融学为中心，进一步拓展学生的思维。介绍行为金融学的前景理论、羊群效应、过度反应与反应不足、过度自信与乐观主义等内容，让学生能够辩证思考问题，进一步建立金融学理论的框架。主要通过案例教学。

Lecture 4: Behavioural Finance (3 Hours)

This lecture focuses on the latest research results in the field of finance in the past 20 years and focuses on behavioural finance to further expand students' thinking. Introducing the prospect theory, herding effect, overreaction and lack of response, overconfidence and optimism, so that students can dialectically think about problems and further establish the framework of financial theory. Mainly through case teaching.

第五讲：金融学主要课程（3 学时）

本讲帮助学生对主要的金融课程有全面的了解。包括：微观经济学、宏观经济学、财务会计、公司金融、金融衍生品、固定收益、金融机构与市场、中国金融、金融实证学、金融经济学、基础数学、计算机科学等。帮助学生认识数学、计算机科学、金融学三者之间的关系与影响等。学习完本讲之后，学生能够对具体专业的选择有清晰的认识。本讲主要通过案例分析进行。

Lecture 5: Major Courses in Finance (3 Hours)

This lecture helps students have a comprehensive understanding of major financial courses. Including: microeconomics, macroeconomics, financial accounting, corporate finance, financial derivatives, fixed income, financial institutions and markets, Chinese finance, financial positivism, financial economics, basic mathematics, computer science, etc. Help students understand the relationship and influence between mathematics, computer science and finance. After completing this lecture, students will have a clear understanding of the specific profession choices. This lecture is mainly conducted through case studies.

第六讲：金融机构与市场-银行（3 学时）

本讲介绍银行在金融体系中的重要作用，以国家开发银行、中国工商银行、中国邮储银行、招商银行和北京银行为代表，讲解中央银行、三大政策性银行、六大国有银行、股份制银行、地方城商行构成的金融体系。同时，讲解银行的发展演变史、中外银行的差异等内容。学完本讲后，学生对占我国金融资产 80% 的银行体系有全面的了解。

Lecture 6: Financial Institutions and Markets - Banks (3 Hours)

This lecture introduces the important role of banks in the financial system. The National Development Bank, Industrial and Commercial Bank of China, China Postal Savings Bank, China Merchants Bank and Bank of Beijing are used as examples to explain the financial system formed by the Central Bank, the three major policy banks, the six major state-owned banks, and the shareholding banks, the financial system banks and local city commercial banks. At the same time, explain the history of the bank's development and the differences between Chinese and foreign banks. After completing this lecture, students will have a comprehensive understanding of the banking system that accounts for 80% of China's financial assets.

第七讲：金融机构与市场-证券公司（3 学时）

本讲讲解作为重要金融中介的证券公司的发展历史与在金融市场与体系中的角色与作用，依据经济业务、投行业务、资产管理三部分业务进行讲解。学生学习之后了解各个金融机构之间的相互合作关系，如何共同对经济发展起到各自的作用。教学过程中会讲解 2 个小案例。

Lecture 7: Financial Institutions and Markets - Securities Companies (3 Hours)

This lecture explains the development history of securities companies as important financial intermediaries and their roles in financial markets and systems, and explains the business based on economic business, investment banking and asset management. Students will learn about the cooperation between financial institutions and how they can play a role in economic development. Two small cases will be explained during the teaching process.

第八讲：金融机构与市场-保险（3 学时）

本讲讲解世界与中国保险行业的发展演变历史，在金融体系中的角色与功能，从保险种类（包括财产保险、人寿保险、再保险）入手，帮助学生了解保险产品与其他金融产品的异同及其重要特点等。学习之后学生对保险行业有初步的认知。教学过程中会讲解 2 个小案例。

Lecture 8: Financial Institutions and Markets - Insurance (3 Hours)

This lecture explains the history of the evolution of the world and China's insurance industry, and the role and function of insurance in the financial system. Starting with insurance types (including property insurance, life insurance, reinsurance), help students understand the similarities and differences between insurance products and other financial products and their important features. After the study, students will have a preliminary understanding of the insurance industry. Two small cases will be explained during the teaching process.

第九讲：金融机构与市场-信托、公募基金、PE/VC 私募基金等（3 学时）

本讲介绍信托、公募基金、PE/VC 私募基金的发展历史与各自在金融体系中的角色与作用，各自发挥作用的条件与各自的优势。每类机构以一个案例为代表进行讲解。

Lecture 9: Financial Institutions and Markets -Trusts, Public Funds, PE / VC, etc. (3 Hours)

This lecture introduces the development history of trusts, public funds, PE/VC and their respective roles in the financial system, their respective conditions and respective advantages. Each organization is introduced by a case.

第十讲：金融机构与市场（3 学时）

本讲介绍各个金融机构如何相互协作，与金融产品与交易规则一起共同构成金融市场。包括金融市场运行的效率，金融监管的现状与未来发展趋势，重点介绍各金融机构的相互影响，货币侦测、财政政策如何通过金融机构与市场来发挥作用，并促进经济发展与繁荣。比较主要国家金融市场的异同，总结我国金融市场的特点，特别强调香港在我国金融体系中的独特作用。

Lecture 10: Financial Institutions and Markets (3 Hours)

This lecture introduces how financial institutions work together to form financial markets together with financial products and trading rules. Including the efficiency of financial market operations, the status quo and future development trend of financial supervision, focusing on the mutual influence of financial institutions, how currency detection and fiscal policy can play a role through financial institutions and markets to promote economic development and prosperity. Compare the similarities and differences of financial markets in major countries, summarize the characteristics of China's financial market, and especially emphasize the unique and important role of Hong Kong in China's financial system.

第十一讲：金融产品-固定收益类（3 学时）

本讲介绍固定收益类产品，包括国债、地方政府债与公司债，固定利率与浮动利率，普通债券与可转换债券等各类市场上主要的债券类型的特点。债券市场、债券交易也是本讲的内容之一。本讲主要以案例为主，让学生初步掌握债券的主要特点。

Lecture 11: Financial Products - Fixed Income (3 Hours)

This lecture introduces the characteristics of fixed-income products, including government bonds, local government bonds and corporate bonds, fixed-rate and floating-rate, common bonds and convertible bonds, and other major types of bonds in various markets. Bond market and bond trading are also important to introduce. This lecture is mainly based on cases, allowing students to initially grasp the main features of the bond.

第十二讲：金融产品-权益类与其他（3 学时）

本讲以股票、优先股讲解为主要对象，介绍股票的发行、定价、一级市场、二级市场，回购与股利的作用等。学习之后学生对股票等权益类产品的定价机理，发行与交易机制，股票的回购与股利等有初步的认知，为进一步深入学习做好准备。

Lecture 12: Financial Products - Equity and Others (3 Hours)

This lecture focuses on stocks and preferred stocks, and introduces the issue of stocks, pricing, primary market, secondary market, repurchase and dividends. After the study, students will have a preliminary understanding of the pricing mechanism of stocks and other equity products, distribution and trading mechanisms, stock repurchases and dividends, and prepare well for further study.

第十三讲：金融法与监管（3 学时）

本讲内容包括金融法、金融调控与监管法、金融机构组织法、金融业务管理法、涉外金融法等基本内容，涵盖金融法学的基本原理、金融监管调控体制机制、金融机构组织运作、金融业务交易活动等法律制度。以 2008 年金融危机为案例，分析金融法与金融监管的趋势。

Lecture 13: Financial Law and Supervision (3 Hours)

This lecture includes basic principles such as financial law, financial regulation and supervision law, financial institution organization law, financial business management law, foreign-related financial law, covering the legal system such as the basic principles of financial law, financial supervision and control system, financial organization operation, and financial trading activity. Taking the 2008 financial crisis as a case, analyse the trend of financial law and financial supervision.

第十四讲：金融泡沫与金融危机（3 学时）

本讲介绍金融史上最著名的几次金融泡沫与金融危机，包括英国南海泡沫、荷兰郁金香、1929 美国大萧条、日本房地产泡沫、2000 年互联网泡沫、2007 年中国股市疯狂、2008 年美国次债危机等内容，学生学习之后对金融泡沫与金融危机有初步的认知与了解。全部以案例为主讲解。

Lecture 14: Financial Bubbles and Financial Crisis (3 Hours)

This lecture introduces the most famous financial bubbles and financial crises in the history of finance, including the South Sea Bubble, Dutch tulips, the 1929 Great Depression, the Japanese real estate bubble, the Internet bubble in 2000, the Chinese stock market madness in 2007, and the US subprime mortgage crisis in 2008. Students will have a preliminary understanding of the financial bubble and the financial crisis after the class. All of them are based on case studies.

第十五讲：金融类考试与证书（3 学时）

本讲主要介绍国际知名的六大金融类资格证书的特点与主要考试内容与时间，具体为金融风险管理师(FRM)、北美保险精算师(SOA)、注册国际投资分析师(CIIA)、国际数量金融工程认证(CQF)、注册金融分析师(CFA)、注册金融策划师(CFP)。国内主要的三大证书：证券从业人员资格证、基金从业人员资格证、期货从业人员资格证的特点与主要考试内容与时间。

Lecture 15: Financial Examinations and Certificates (3 Hours)

This lecture mainly introduces the characteristics of the six internationally recognized financial qualification certificates and the content and time of the main examinations, specifically Financial Risk Manager (FRM), North American Insurance Actuary (SOA), Registered International Investment Analyst (CIIA), International Quantity Financial Engineering Certification (CQF), Certified Financial Analyst (CFA), and Certified Financial Planner (CFP). It also introduces the three major domestic certificates: the qualifications of securities practitioners, the qualifications of fund practitioners, the qualifications of futures practitioners.

第十六讲：金融信息获取渠道与财经新闻解读-微信/APP/网站/期刊（3 学时）

本讲主要帮助学生了解如何获取最前沿的金融研究成果、最新发生的财经新闻，学会用金融思维对其进行解读和思考，不断深化个人对金融的理解和认知，同时为之后的学习和工作打下坚实的基础。主要通过案例演示为主讲解。

Lecture 16: Financial Information Acquisition Channels and Financial News Interpretation - WeChat / APP / Website / Journal (3 Hours)

This lecture is mainly to help students understand how to obtain the most cutting-edge financial research results, the latest financial news, learn to interpret and think with financial thinking, and deepen their understanding and understanding of finance, to lay a solid foundation for the learning and working in the future. Mainly through the case

demonstration to explain.

18. 教材及其它参考资料 **Textbook and Supplementary Readings**

《金融学》，第2版，兹维·博迪（Zvi Bodie），罗伯特·C·默顿（Robert C.Merton），戴维·L·克利顿（David L.Cleeton）著，曹辉等译，中国人民大学出版社

课程评估 **ASSESSMENT**

19. 评估形式 Type Assessment	评估时间 of Time	占考试总成绩百分比 % of final score	违纪处罚 Penalty	备注 Notes
出勤 Attendance		10		
课堂表现 Class Performance				
小测验 Quiz				
课程项目 Projects				
平时作业 Assignments		20		
期中考试 Mid-Term Test				
期末考试 Final Exam		60		
期末报告 Final Presentation				
其它（可根据需要 改写以上评估方式） Others (The above may be modified as necessary)		10		微信(WeChat)

20. 记分方式 GRADING SYSTEM

- A. 十三级等级制 Letter Grading
 B. 二级记分制 (通过/不通过) Pass/Fail Grading

课程审批 REVIEW AND APPROVAL

21. 本课程设置已经过以下责任人/委员会审议通过

This Course has been approved by the following person or committee of authority

桂旭宁
王琳