



COURSE OUTLINE

2024/2025

COURSE NAME: Advising for Finance Professionals

COURSE CODE: FNCE3360

COURSE DESCRIPTION

Finance Professionals are tasked with fostering strong relationships with clients, achieving client financial goals, expanding their client portfolio, all while elevating their professional practice. Students will learn the importance of creating valuable relationships with their clients and strategies to enhance and excel in their chosen profession.

Course Credits: 3.00

Pre-requisites: [FNCE2280 and FNCE2252] or [FNCE2280 and FIN-P2] or [FNCE2280 and COOP-FINP2]

LEARNING OUTCOMES

OUTCOME	Upon successful completion of this course, you will be able to
1	<p>Demonstrate customer service skills to assist clients to identify their financial needs.</p> <p>The following concepts, skills, and issues are used to support this Outcome:</p> <ul style="list-style-type: none">• Establish rapport with diverse clients to assist them with their financial needs.• Use the Relationship Building Chart to demonstrate effective client communication in assessing client needs.• Demonstrates confidence and assurance to build customer trust.• Communicate confidently and professionally in person and in virtual interactions.
2	<p>Demonstrate interpersonal skills and industry-standard conduct in a business environment.</p> <p>The following concepts, skills, and issues are used to support this Outcome:</p> <ul style="list-style-type: none">• Explain the requirements to prepare for a client meeting.• Advise clients, prioritizing their needs above what is in the interest of the Financial professional representative or their employer.• Reflect on a client's diverse needs and how it impacts their decision-making process.• Demonstrate ability to provide and incorporate constructive feedback to enhance personal and team performance.
3	<p>Recommend appropriate solutions based on client profile and goals, and existing options.</p> <p>The following concepts, skills, and issues are used to support this Outcome:</p> <ul style="list-style-type: none">• Demonstrate the ability to recognize and manage client concerns or objections.• Demonstrate effective cross-selling of financial products and services.• Explain the risk-return relationship of financial products and services.

4	<p>Identify the requirements of the successful progression of one's career in the finance industry.</p> <p>The following concepts, skills, and issues are used to support this Outcome:</p> <ul style="list-style-type: none"> ▪ Document interactions and summarize follow-up activities for future client meetings. ▪ Identity opportunities to cultivate and grow one's book of business. ▪ Create a career development plan for one's professional practice. ▪ Use relationship-building skills to foster client and colleague connections to improve one's practice.
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STUDENT EVALUATION

OUTCOME	ACTIVITY DESCRIPTION	MARK DISTRIBUTION
2 and 4	Individual Project	25%
1, 2 and 3	Roleplay activities	35%
1 and 3	Presentation(s)	15%
1, 2, 3 and 4	Activities/Assignments	25%
TOTAL		100%

COURSE COMPLETION REQUIREMENTS

The minimum passing grade for this course is grade point of 1.0 (50% or D). Higher grades may be required to use the course for transfer credit or to satisfy professional designation criteria. Please refer to the Grades Procedure AD 2.2 for more details on your calculation requirements to determine the grading level required to maintain satisfactory academic standing, for progression and graduation.

STUDENT EQUIPMENT AND SUPPLIES

NAITLAB Financial Simulation application to be used during class activities and projects.

All JR Shaw School of Business students are required to possess a computing device, either a desktop or laptop, that will meet the minimum technology requirements. This will enable you to engage in our digital learning environment and to participate in online assessments. In addition to the minimum technology requirements, your computing device must also support both audio and video streaming technologies and, as a result, must include hardware (either internal or external) such as a microphone and webcam. A broadband (high speed) internet connection is also required.

Your computing device must meet the following minimum technology requirements:

Windows:

- Windows 10
- Processor: Intel i Series 4th Gen or Better or AMD Ryzen Series
- Memory: 4 GB RAM minimum, 8 GB RAM recommended
- Solid State Drive recommended or Hard Drive (minimum free space 15 GB)
- Display resolution: 1366 x 768 minimum, 1920 x 1080 recommended
- Wi-Fi connection: Wireless N, AC or better
- Antivirus Protection: Windows Defender and Windows Firewall are recommended to protect your device and are pre-installed on your Windows computer

Apple:

- Mac Hardware Requirements:
 - MacBook (Late 2009 or newer)
 - MacBook Pro (Mid 2010 or newer)
 - MacBook Air (Late 2010 or newer)
- MacOS High Sierra (10.13) or later
- Memory: 4 GB RAM minimum, 8 GB recommended
- Solid State Drive recommended or Hard Drive (minimum free space 15 GB)
- Antivirus Protection: No additional software is needed. Built-in firewall and security software available in System Preferences

Note: while tablets can support your learning, they are not recommended as a main device.

DELIVERY METHOD

This course will be taught using a variety of delivery methods which may include face-to-face, online, or blended teaching platforms. Collaborative exercises/assignments, seminars, labs, discussion, audio/visual presentations, case studies, and other such activities may be used to support learning.

ADDITIONAL INFORMATION

In-class work will require students to bring their computing device.

STUDENT RESPONSIBILITY

It is expected that students will be responsible citizens of the Institute by following the Student Rights and Responsibilities Policy (SR 1.0). As such, each student will assist in the preservation of Institute property, and assume responsibility for their education by staying informed of and abiding by academic requirements and policies; demonstrating respect toward others; and meet expectations concerning attendance, assignments, deadlines, and appointments.

EQUITY AND INCLUSION STATEMENT

NAIT is committed to advancing equity and to actively and intentionally creating learning environments that promote a sense of belonging and dignity that ensure all people are safe, respected and valued. Acknowledging that every member of the NAIT community has a role in and responsibility to this work, NAIT provides the resources and support necessary for programs, departments and individuals to champion equity, diversity and inclusion and address barriers in meaningful ways.

TERRITORIAL ACKNOWLEDGEMENT

At NAIT, we honour and acknowledge that the land on which we learn, work and live is Treaty Six territory. We seek to learn from history and the lessons that have come before us, and to draw on the wisdom of the First Peoples in Canada. Only through learning can we move forward in truth and reconciliation, and to a better future together.

Leadership Review Date: May 10, 2024

Changes to This Course Outline: Every effort has been made to ensure that information in this course outline is accurate at the time of publication. The Institute reserves the right to change courses if it becomes necessary so that course content remains relevant. In such cases, the instructor will give the students clear and timely notice of the changes.

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