



FINS-322 – Securities Analysis

Business

Effective Term & Year: Fall 2023

Course Outline Review Date: 2028-03-01

Program Area: Business Management

Description:

The objective of this course is to provide the student with a basic understanding of the fundamental components of security analysis and the process of portfolio construction leading ultimately to wealth management. Topics include investment theory, valuation of equity, bonds, money market and derivative instruments, concepts of risk and return and portfolio diversification.

Program Information:

This course is a core course in the Business Management – Financial Services Diploma Program. This course can be used as Business elective in several Business and University Studies Programs. Refer to the College Program Guide for additional information.

Delivery Methods: On-campus (Face-to-Face), Online

Credit Type: College of the Rockies Credits

Credits: 3

Course type/s: Business Management

Instructional Activity and Hours:

Activity	Hours
Classroom, Directed Studies or Online Instruction	45
Seminar/Tutorials	
Laboratory/Studio	

Practicum/Field Experience

Co-op/Work Experience

Other

Total 45

Course Requisites:

- Complete all of the following
 - Earned a minimum grade of C- (55%) in each of the following:
 - ENGL100 – English Composition (3)
 - COMC101 – Technical and Professional Writing (3)
 - Earned a minimum grade of C- (55%) in each of the following:
 - STAT106 – Statistics (3)
 - FINS215 – Personal Financial Planning (3)
 - Earned a minimum grade of C- (55%) in at least 1 of the following:
 - MATH111 – Business Mathematics (3)
 - MATH101 – Finite Mathematics 1 (3)
 - MATH103 – Differential Calculus (3)

Flexible Assessment: Yes

In some cases students may be able to apply for recognition of prior learning outside the classroom. This flexible assessment process provides equivalent course credit. It is a rigorous process that may include external evaluation, worksite assessment, demonstration, standardized test, self-assessment, interview, products/portfolio, and challenge exam, or other measures as appropriate. Tuition fees apply. Contact an education advisor for more information.

Course Transfer Credit:

For information about receiving transfer credit for courses taken at either British Columbia or Alberta institutions, please see <https://www.bctransferguide.ca/> or <https://transferalberta.alberta.ca> . For more transfer credit information, please visit <https://www.cotr.bc.ca/Transfer>

All requests for course transfer credit from institutions in British Columbia or elsewhere should go to the College of the Rockies Enrolment Services office.

Textbook Resources:

Textbook selection varies by instructor and may change from year to year. At the Course Outline Effective Date the following textbooks were in use:

Reilly, F. K., Brown, K. C., & Leeds, S. J., (2019). *Investment Analysis and Portfolio Management*. Cengage Publishers 11th edition.

Please see the instructor's syllabus or check COTR's online text calculator <https://textbook.cotr.bc.ca/> for a complete list of the currently required textbooks.

Learning Outcomes:

Upon the successful completion of this course, students will be able to:

- describe the components and the operation of financial markets, and also identify relevant financial instruments;
 - explain the investment setting, organization and functioning of the securities market;
 - apply portfolio management principles including asset allocation, risk and return trade off, fundamental and technical analysis;
 - analyze portfolio theories including CAPM, APT, Efficient Market Hypothesis; and
 - formulate and apply portfolio management strategies, and evaluate portfolio performance.
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Course Topics:

- The Investment Setting
- Organization and Functioning of Securities Markets
- Equity Valuation
- Bond Fundamentals and Valuation
- An Introduction to Derivative Markets and Securities
- Asset Allocation and Security Selection
- Efficient Capital Markets, Behavioral Finance and Technical Analysis
- An introduction to Portfolio Management
- Asset Pricing Models
- The Top-Down Approach to Market, Industry, and Company Analysis
- The Practice of Fundamental Investing
- Equity Portfolio Management Strategies
- Bond Analysis and Portfolio Management Strategies
- Evaluation of Portfolio Performance

See instructor's syllabus for the detailed outline of weekly readings, activities and assignments.

Evaluation and Assessments

Assessment Type: On-Campus (face-to-face)

Assessment Type	% of Total Grade
Portfolio Construction Project (Individual)	20%
Midterm 1	20%
Midterm 2	20%
Final Exam	40%
Total	100%

Assessment Type: Online

Assessment Type	% of Total Grade
Portfolio Construction Project (Individual)	15%
Midterm 1	15%
Midterms 2	15%
Weekly learning activities	15%
Final Exam	40%
Total	100%

Grade Scheme

A+	A	A-	B+	B	B-	C+	C	C-	D	F
>=90	89-85	84-80	79-76	75-72	71-68	67-64	63-60	59-55	54-50	<50

Pass requirements: None

Evaluation Notes: Certificate and diploma students are required to maintain a minimum course grade of C- (55%) in all program courses. BBA students are required to maintain a minimum course grade of C (60%) and an average course grade of C+ in all program courses that contribute to the BBA.

Exam Attendance:

Students must attend all scheduled exams at the appointed time and place. Instructors may approve an alternate exam to accommodate an illness or personal crisis. Department heads will consider other written requests. Any student who misses a scheduled exam without prior approval will receive a "0" on the exam.

Academic Policies:

College of the Rockies policies related to courses can be found at <https://cotr.bc.ca/about-us/college-policies/> and include the following:

- Policy 2.4.3 Students with Documented Disabilities
- Policy 2.4.4 Student Conduct (plagiarism, other cheating, behavioral misconduct)

- Policy 2.5.8 Academic Performance
 - Policy 2.5.3 Grade Appeal
 - Policy 2.4.9 Student Concerns Re Faculty
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Course Changes:

The College of the Rockies updates course outlines regularly to meet changing educational, employment and marketing needs. The instructor will notify students in writing of any updates to this outline during the semester. The instructor reserves the right to revise, add or delete material while meeting the learning outcomes of this course outline.