

# FINANCE (FIN)

## FIN 3010 - Principles of Finance

3 Credits

This course is an introduction to financial decision-making in the firm, with a focus on how firms raise and invest funds. The central concept of the course is valuation. After the tools and techniques of valuation are applied to bonds and stocks, the course focuses on how managers choose among competing investment projects with the goal of maximizing the value of their firm's common stock. Finally, the course examines the concepts of risk and diversification and how they relate to expected returns on assets. Throughout, applications of these concepts to personal financial planning are also discussed.

**Prerequisite(s):** (ACCT 2220\*, OPM 2070, and ECON 1900)

\* Concurrent enrollment allowed.

**Attributes:** Business Common Body Knowledge

## FIN 3140 - Insurance

3 Credits

Survey of the nature of risk, insurance contracts, property and casualty coverages, life and health insurance, insurance carriers and markets, governmental regulations; functions of underwriting, sales, rate-making and financial operation of carriers; risk exposure, loss prevention, combating of risks and insurance administration.

**Prerequisite(s):** FIN 3330\* and FIN 3630\*

\* Concurrent enrollment allowed.

**Attributes:** Finance Major Standard Elec

## FIN 3330 - Fixed Income Securities and Markets

3 Credits

The course examines the characteristics of various fixed income instruments, the factors that influence their value and the markets that they trade in. Securities studied include, but are not limited to, municipal, treasury, corporate, convertible and mortgage-backed bonds. The role of financial institutions in the fixed income markets is also covered.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Requirement, Finance Minor Requirement

## FIN 3630 - Equity Securities and Markets

3 Credits

Principles of investing in equity securities; types of investments; analysis of securities' markets and the mechanics of trading; principles of diversification and portfolio analysis; and security analysis and equity valuation, including economy, industry and company analysis.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Requirement, Finance Minor Requirement

## FIN 3930 - Special Topics

3 Credits (Repeatable for credit)

## FIN 3980 - Independent Study

1 or 3 Credits (Repeatable for credit)

Permission of the department chair.

## FIN 4130 - Real Estate

3 Credits

Study of real estate concepts, practices, institutions; specific attention given to legal aspects, appraisal, market analysis, mortgage financing, realty investment, government influences and programs, housing and urban problems.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Standard Elec, Finance Major Real Estate Req, Entreprnshp Major Breadth Req

## FIN 4160 - Commercial Real Estate

3 Credits

This course is a study of risks and returns associated with financing and investing in commercial real estate. Topics include real estate markets, income producing real estate valuation and financing, financing corporate real estate, investment analysis of real estate development projects and alternative real estate investments.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Standard Elec, Finance Major Real Estate Req

## FIN 4170 - Cases in Commercial Real Estate

3 Credits

This course builds on the conceptual commercial real estate knowledge and applies it to real-life situations through the use of cases. Decision situations involve purchase, development or corporate real estate transactions across major property types (multi-family residential, office, retail, and industrial) as well as indirect and institutional real estate investments.

**Prerequisite(s):** FIN 4160

## FIN 4230 - Financial Management

3 Credits

The study of principles of corporate finance and application of those principles to a variety of financial management problems; applications include capital budgeting, working capital management, capital acquisition and other aspects of financial management.

**Prerequisite(s):** FIN 3330; FIN 3630

**Attributes:** Finance Major Requirement, Finance Minor Requirement

## FIN 4250 - International Financial Management

3 Credits

Study of international finance with emphasis in international management for the firm, international financial institutions and markets, international finance systems and foreign investments and securities.

**Prerequisite(s):** (FIN 3330\* and FIN 3630)

\* Concurrent enrollment allowed.

**Attributes:** Finance Major Standard Elec, Int Bus Major Breadth Elective

## FIN 4330 - Financial Modeling and Analysis

3 Credits

This course is an applied, project-oriented course with emphasis on building financial models to solve real-world problems. Students will develop a solid understanding of financial analysis with applications of financial management and investment concepts through Excel and data visualization skills. They will also gain experience in statistical inference in finance, time series modeling and event study analysis while working with financial data. Topics include: time value of money and DCF modeling, asset valuation, equity analysis, risk and return, portfolio optimization, lease and buy decision, capital budgeting and financial planning etc.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Standard Elec

**FIN 4440 - Personal Financial Planning**

3 Credits

This course is designed for students who are targeting careers in financial planning and wealth management. We will study the financial planning process: determining a client's financial objectives, considering alternative methods for meeting those objectives, selecting the method best suited for a client's circumstances, implementing and periodically assessing/revising the plan. Particular focus will be on retirement planning and 'big picture' issues in investing in equities, bonds and alternative investments.

**Prerequisite(s):** FIN 3010; CORE 1500\*; (CORE 1000 or UUC Ignite Seminar Waiver with a minimum score of S)

\* Concurrent enrollment allowed.

**Restrictions:**

Enrollment is limited to students with a major in Finance.

**Attributes:** Finance Major Standard Elec, UUC:Reflection-in-Action

**FIN 4450 - Retirement & Estate Planning**

3 Credits

This course offers undergraduates a foundational understanding of retirement planning, emphasizing employee benefits, estate planning, and trusts. It covers corporate pensions, IRAs, annuities, health insurance, and Social Security while also exploring estate planning essentials like wills, trusts, gifting, tax strategies, and fiduciary roles. Students will gain practical insights through lectures, case studies, and guest speakers, equipping them to guide informed decisions in retirement and estate planning.

**Prerequisite(s):** FIN 3010

**Restrictions:**

Students in the Schl for Professional Studies college may **not** enroll.

**Attributes:** Finance Major Standard Elec

**FIN 4630 - Applied Portfolio Management**

3 Credits

The objective of this course is to provide students with hands-on experience in evaluating common stocks as investments and in the fiduciary management of investment assets. Students will manage an allocation from SLU's endowment funds. Students will be responsible for recommending a portfolio of common stocks, sales of existing portfolio assets and recommending replacement assets. While the performance of the portfolio will be a primary focus of the course, and will be reviewed on an ongoing basis, it is not presumed that the students will be able to beat the market on a consistent basis. Rather, the goal will be to deliver high quality practical education in an area of considerable interest to students and employers alike. In addition, the course will cover advanced topics in investments beyond those offered in FIN 3630. Admitted by application only.

**Prerequisite(s):** FIN 3330; FIN 3630

**Attributes:** Finance Major Standard Elec, Finance Major Fin Analysis Req

**FIN 4650 - Derivative Securities and Markets**

3 Credits

The course examines the various types of derivative securities that exist, their uses in investment and risk management, the market in which they are traded and the arbitrage models used to estimate their market values.

**Prerequisite(s):** FIN 3330; FIN 3630

**Attributes:** Finance Major Requirement, Finance Minor Requirement

**FIN 4810 - Introduction to Blockchain and Cryptocurrency**

3 Credits

This course introduces students to the world of blockchain technology —explaining what blockchain is, how it works, and why it's revolutionary. After this course, students will understand the recent developments in blockchain technologies and their impact on different industries. Students will learn about various categories of crypto assets and how they are transacted on the blockchain.

**Prerequisite(s):** FIN 3010

**Attributes:** Finance Major Standard Elec

**FIN 4910 - Finance Internship**

1-3 Credits (Repeatable for credit)

This course can only be used as general elective credit. Participants will have the opportunity to develop new skills through experiential learning under the direction of a skilled practitioner. The arrangements for the working relationship must be established prior to the assignment.

**Prerequisite(s):** FIN 3330; FIN 3630; BIZ 3000; (CORE 1000 or UUC Ignite Seminar Waiver with a minimum score of S); CORE 1500\*

\* Concurrent enrollment allowed.

**Restrictions:**

Enrollment limited to students with a classification of Junior or Senior.

**Attributes:** UUC:Reflection-in-Action

**FIN 4911 - Financial Analysis Track Internship**

3 Credits

This course can only be used as general elective credit. The study of topics related to the Financial Analysis concentration in conjunction with a concurrent internship experience in the same field. The objective of the course is to exploit the connection between theory and practice and will be reflected in the scholarly work required to earn credit. Additional prerequisite requirements for the course at least six hours is the advanced (3000) level.

**Prerequisite(s):** FIN 3330 with a grade of B- or higher; Minimum Earned Credits of 60; CORE 1500\*; FIN 3630 with a grade of B- or higher; (CORE 1000 or UUC Ignite Seminar Waiver with a minimum score of S)

\* Concurrent enrollment allowed.

**Restrictions:**

Enrollment limited to students with a classification of Junior or Senior.

**Attributes:** UUC:Reflection-in-Action

**FIN 4930 - Special Topics**

3 Credits (Repeatable for credit)

**Attributes:** Finance Major Standard Elec

**FIN 4980 - Advanced Independent Study in Finance**

1-3 Credits (Repeatable for credit)

Permission of the department chair.

**FIN 5910 - Finance Internship**

1-3 Credits (Repeatable for credit)

**Restrictions:**

Enrollment is limited to students with a major in Applied Financial Economics.

Enrollment limited to students in the MS Applied Financial Economics program.

**FIN 5930 - Special Topics**

3 Credits (Repeatable for credit)

**FIN 5980 - Graduate Independent Study in Finance**

1-3 Credits

**FIN 6000 - Finance for Managers**

3 Credits

The course examines the financial concepts that are relevant to the function of a manager serving in a non-financial capacity. Topics include financial analysis, the time value of money, valuation of securities, and capital budgeting, as well as the study of financial institutions and the capital markets. Credit is not available for students in the MACC or MS-AFE programs.

**Prerequisite(s):** ACCT 5010 and ECON 5010**Attributes:** MBA Breadth**FIN 6090 - Real Estate Finance**

3 Credits

Lecture and discussion series focusing on real estate concepts, practices, and institutions. Specific attention is given to legal aspects of real estate ownership, appraisal, market analysis, mortgage financing, analysis of complex real estate projects and the financing and securitization thereof. Competence in financial evaluation techniques to include net present value and internal rate of return is assumed.

**FIN 6150 - Finance Theory and Application**

3 Credits

The course covers the theory of finance and applications to corporate policy and empirical studies. Topics include valuation methods for primary and derivative securities, basic and advanced capital budgeting techniques, portfolio theory, asset pricing, capital acquisition and risk management. Required for all MS-AFE students and for part time MBA students who seek to earn a concentration in finance.

**Prerequisite(s):** ((ACCT 5010 and ECON 5010) or (HMP 5030 and HMP 5700))**Attributes:** MBA Finance Conc, MPH-Health Management & Policy**FIN 6160 - Investment Theory and Practice**

3 Credits

Study the essentials of investment process and modern portfolio theory. Students learn asset allocation, risk diversification, portfolio optimization, and performance measurement using empirical asset pricing models and the Efficient Market Hypothesis (EMH). Students will learn ethics for the investment management profession through the CFA Institute Code of Ethics and Standards of Professional Conduct. Course emphasizes portfolio construction rather than security selection and valuation (which is emphasized in FIN 6750).

**Prerequisite(s):** FIN 6000\*

\* Concurrent enrollment allowed.

**Restrictions:**Students in the Schl for Professional Studies college may **not** enroll.**Attributes:** Applied Fin Econ Elective, MS in Finance - Required**FIN 6210 - Fixed Income Securities and Markets**

3 Credits

Study of various fixed income securities and markets, including Treasuries, municipal securities, commercial papers, medium term notes, corporate bonds, mortgage-backed securities and interest rate derivatives. Focus on developing analytical and quantitative skills for valuation of fixed income securities and management of fixed income portfolios.

**Prerequisite(s):** (FIN 6150 or FIN 6000)**Attributes:** Applied Fin Econ Elective, MBA Finance Conc**FIN 6360 - Private Equity and Venture Capital**

3 Credits

The Private Equity/Venture Capital (PE/VC) course explores the forms and methods of equity investment in new and growing businesses. Private equity represents conventional investments, typically in established and growing businesses across a wide range of industries. Venture capital involves high-risk, high-potential-return investments, typically in technology based firms. Topics include the equity investment process, investment vehicles including conventional equity investment and venture capital, the creation of private placement memos, the evaluation of equity investment opportunities, and the structuring of investment groups and deal structure and negotiation.

**Prerequisite(s):** (FIN 6150 or FIN 6000)**FIN 6380 - Derivative Securities and Markets**

3 Credits

This course shows how financial managers can use capital markets technology to create value. It explores how derivatives can be used to manage financial risks and position firms to exploit strategic opportunities, reduce financing costs, and structure incentives. Students learn the mechanics of options, forwards, futures, and swaps, and then study uses of these instruments through a series of case studies.

**Prerequisite(s):** (FIN 6000 or FIN 6150)**Attributes:** Applied Fin Econ Elective**FIN 6430 - Real Estate Analysis**

3 Credits

Study of real estate concepts, practices, institutions; specific attention given to legal aspects, appraisal, market analysis, mortgage financing, realty investment, property development and marketing, government influences and programs, housing and urban problems.

**Prerequisite(s):** FIN 6000 and FIN 6150**FIN 6460 - Commercial Real Estate Decision Making**

3 Credits

This course is a study of risks and returns associated with financing and investing in commercial real estate. Topics include real estate markets, income producing real estate valuation and financing, financing corporate real estate, investment analysis of real estate development projects, financing land development, secondary mortgage market instruments, and Real Estate Investment Trusts.

**Prerequisite(s):** FIN 6000 and FIN 6150**FIN 6530 - Financial Modeling and Analysis**

3 Credits

This course is an applied, project-oriented course with emphasis on building financial models to solve real-world problems. Students will develop a solid understanding of financial analysis with applications of financial management and investments concepts through Excel and data visualization skills. They will also gain experience in statistical inference in finance, time series modeling and event study analysis while working with financial data. Topics include: time value of money and DCF modeling, asset valuation, equity analysis, risk and return, portfolio optimization, lease and buy decision, capital budgeting and financial planning.

**Prerequisite(s):** FIN 6000

**FIN 6540 - Financial Planning**

3 Credits

This course is designed for students who are targeting careers in financial planning and wealth management. We will study the financial planning process: determining a client's financial objectives, considering alternative methods for meeting those objectives, selecting the method best suited for a client's circumstances, implementing and periodically assessing/revising the plan. Particular focus will be on retirement planning and 'big picture' issues in investing in equities, bonds and alternative investments.

**Prerequisite(s):** FIN 6000

**FIN 6560 - Risk Management with Insurance**

3 Credits

This course is a study into the concepts of Risk Management and Insurance to include topics covering; legal principles, property and liability insurance, life and health insurance, social insurance, functional operations of insurers, insurance regulation, current insurance industry issues, and financial planning. The objective of this course is to introduce and acquaint students with these topics. A wide variety of financial products are discussed in detail to include discussions of the use of these products from both a business and personal perspective.

**Prerequisite(s):** FIN 6000

**FIN 6710 - Markets, Algorithmic Trading, and Fintech Innovations**

3 Credits

This is a course on Financial Markets, with a focus on current trading technology and fintech innovations. Students will learn how to design optimal trading strategies (for example, high frequency and algorithmic trading) given the latency and the platform design of stock exchanges and alternative trading venues. Students interested in trading securities and understanding the trading protocols, regulations and design of markets should find this course of practical relevance. Integrated into every topic will be the relevant fintech innovations that are ongoing in modern equity markets.

**Prerequisite(s):** FIN 6160 \*

\* Concurrent enrollment allowed.

**Restrictions:**

Students in the Schl for Professional Studies college may **not** enroll.

**Attributes:** MS in Finance - Required

**FIN 6720 - Financial Analytics: Alternative Data in Finance**

3 Credits

This course delves into the emerging role of alternative data sets in financial decision-making, addressing the shortcomings of traditional market metrics. It offers a balanced blend of theoretical frameworks and practical applications, featuring real-world portfolio examples. Designed for those eyeing roles in financial analytics or seeking to sharpen their market analysis toolkit, this course encompasses the latest research and practical applications of alternative datasets. Completion of the course equips students with advanced research techniques and enhances their data science capabilities in the financial domain.

**Prerequisite(s):** FIN 6160 \*

\* Concurrent enrollment allowed.

**Restrictions:**

Students in the Schl for Professional Studies college may **not** enroll.

**Attributes:** MS in Finance - Required

**FIN 6730 - Artificial Intelligence and Machine Learning in Finance**

3 Credits

Students will dive deep into the cutting-edge applications of artificial intelligence (AI) and machine learning in the finance sector, illuminating the ways in which modern analytics techniques tackle real-world challenges in asset management, corporate finance, and financial institutions. Throughout this course, students will: (i) Grasp the intricacies of machine learning methods like tree regression, neural networks, and textual analysis; (ii) Acquire hands-on programming experience in Python tailored for the application of these AI methods; (iii) Explore tools and techniques for web scraping and data visualization to harness the power of financial data.

**Restrictions:**

Students in the Schl for Professional Studies college may **not** enroll.

**Attributes:** MS in Finance - Required

**FIN 6750 - Security Valuation**

3 Credits

Students will apply rigorous models to estimate the fair value of the anticipated future streams of cash and earnings. Emphasis throughout the course is on using data drawn from actual financial reports to make decisions that professional analysts make under time and competitive pressures. Course emphasizes security selection and valuation rather than portfolio construction (which is emphasized in FIN 6160).

**Attributes:** MS in Finance - Elective

**FIN 6810 - Blockchain and Business Disruption**

3 Credits

Blockchain a transformative technology in finance and other businesses, including banking, payments, financing, securities exchanges, real estate, insurance, supply chains, healthcare, media, and other industries. This course provides an introduction to blockchain technology and its disruptive roles in business. Students will have hands-on and problem solving experiences that can be useful in blockchain applications and innovation. Topics may include but are not limited to: fundamentals of blockchain technology, applications and use cases of blockchain technologies in different industries, implications of blockchain on business practice and regulation, blockchain and cryptocurrencies, initial coin offerings, decentralized financing, blockchain platforms (Ethereum, Hyperledger, Quorum,

**FIN 6930 - Special Topics**

3 Credits (Repeatable for credit)

**FIN 6980 - Graduate Independent Study in Finance**

1 or 3 Credits (Repeatable for credit)