FINANCE (FIN)

FIN 3010 - Principles of Finance
Credit(s): 3 Credits
Introduction to financial decision-making in the firm, with focus on choices and decision criteria for sources and use of funds. Emphasis on financial analysis and investment decisions: ratios, relevance of accounting statement data, use of debt and equity, investment theory and practice, and firm’s market capitalization. A grade of B- or higher required in FIN 3010 prior to enrolling in all other FIN courses.
Prerequisite(s): (ACCT 2200; ACCT 2220; OPM 2070; ECON 1900)
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 3140 - Insurance
Credit(s): 3 Credits
Survey of the nature of risk, insurance contracts, property and casualty coverage, 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
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 3160 - Real Estate
Credit(s): 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 3330 and FIN 3630
Restrictions:
Enrollment limited to students with a semester level of Junior or Senior.
Students in the Schl for Professional Studies college may not enroll.

FIN 3330 - Fixed Income Securities & Markets
Credit(s): 3 Credits
The course examines the characteristics of various fixed income instruments, the factors that influence their value and the markets 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 with a grade of B- or higher
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 3630 - Equity Securities & Markets
Credit(s): 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 with a grade of B- or higher
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 3930 - Special Topics
Credit(s): 3 Credits (Repeatable for credit)

FIN 3980 - Independent Study
Credit(s): 1 or 3 Credits (Repeatable for credit)

FIN 4160 - Commercial Real Estate
Credit(s): 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. (Offered every Fall)
Prerequisite(s): FIN 3160

FIN 4170 - Cases in Commercial Real Estate
Credit(s): 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
Credit(s): 3 Credits
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
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4250 - International Financial Management
Credit(s): 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. Co-requisites: FIN 3330 and FIN 3630; or permission of the department chair.
Prerequisite(s): (FIN 3330 and FIN 3630)
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4330 - Financial Analysis and Modeling
Credit(s): 3 Credits
Develop a solid understanding of financial analysis using electronic spreadsheets, and the ability to integrate an electronic spreadsheet into the identification, analysis, and solution stages of a financial problem. This course will focus on the electronic spreadsheet skills needed to aid in the solution of financial problems, as well as practical financial applications using Microsoft Excel.
Prerequisite(s): FIN 3330 and FIN 3630
Restrictions:
Students in the Schl for Professional Studies college may not enroll.
FIN 4440 - Financial Planning
Credit(s): 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 3330; FIN 3630

FIN 4530 - Advanced Financial Mgt
Credit(s): 3 Credits
In-depth study of finance topics applicable to the firm and attention to financial decision-making affecting the firm's investment, financing, market strategies, and dividend policies; areas of emphasis will be financial objectives of the firm, shareholder value, capital budgeting, risk and uncertainty, cost-of-capital, optimum capital structures and fund flows.
Prerequisite(s): FIN 3330*, FIN 3630*, and FIN 4230
Concurrent enrollment allowed.
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4630 - Applied Portfolio Management
Credit(s): 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 initial allocation of $250,000-$500,000 in SLU 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.
Prerequisite(s): FIN 3330; FIN 3630
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4650 - Derivative Securities and Markets
Credit(s): 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 3010 with a grade of B- or higher; FIN 3330; FIN 3630
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4730 - Financial Markets and Institutions
Credit(s): 3 Credits
Study of both the banking system and bank management, with particular emphasis on the latter; encompasses management of bank assistance, bank lending, and investment practices and policies, trust services, bank equity and profitability, and international banking.
Prerequisite(s): FIN 3330* and FIN 3630
Concurrent enrollment allowed.
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4910 - Finance Internship
Credit(s): 1-3 Credits (Repeatable for credit)
This course can be used as elective credit or as concentration 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 and FIN 3630
Restrictions:
Enrollment limited to students with a semester level of Junior or Senior.
Students in the Schl for Professional Studies college may not enroll.

FIN 4911 - Financial Analysis Track Internship
Credit(s): 3 Credits
The study of topics related to the Financial Analysis track 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. The prerequisite requirements for the course are: (1) junior standing; (2) completion of FIN-3330 and FIN-3630 with a grade of at least a “B-” in each; and (3) successful completion of twelve hours of accounting, with at least six hours at the advanced (3000) level.
Prerequisite(s): FIN 3330 with a grade of B- or higher; FIN 3630 with a grade of B- or higher
Restrictions:
Enrollment limited to students with a semester level of Junior or Senior.

FIN 4930 - Special Topics
Credit(s): 3 Credits (Repeatable for credit)

FIN 4980 - Independent Study
Credit(s): 1-3 Credits (Repeatable for credit)
Permission of the Department Chair.
Restrictions:
Students in the Schl for Professional Studies college may not enroll.

FIN 4980 - Graduate Reading Course
Credit(s): 1-3 Credits
FIN 6000 - Finance for Managers  
Credit(s): 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. This course serves as a prerequisite for FIN 609 and FIN 610 only. Credit is not available for students in the MACC or MS-AFE programs.  
Prerequisite(s): ACCT 5010 and ECON 5010

FIN 6090 - Real Estate Finance  
Credit(s): 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 6100 - Investment Concepts  
Credit(s): 3 Credits  
This course is a survey of equities, fixed income securities and derivatives, and the markets in which these securities trade. The focus is on understanding these instruments, and how they are used in mutual funds and other managed portfolios, so that students can make intelligent choices about how to save for retirement and other personal financial goals. This course cannot be used for credit towards the Master of Science in Finance degree, or towards the Finance Concentration for the MBA degree. Prerequisite(s): FIN-6000.  
Prerequisite(s): FIN 6000

FIN 6150 - Finance Theory and Application  
Credit(s): 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))

FIN 6160 - Equity Securities and Markets  
Credit(s): 3 Credits  
Study of equity securities and the markets in which they trade. Basics of equity valuation and market efficiency; analysis of equity trading strategies, with an emphasis on what current finance research says about the likely success of these strategies.  
Prerequisite(s): (FIN 6000 or FIN 6150)

FIN 6200 - Securities Analysis  
Credit(s): 3 Credits  
This course explores the world of equities research and related stock selection. Students who successfully complete this course will be able to explain why it is difficult for the equities research analyst to select stocks that outperform relevant benchmarks, over time, and why, nonetheless, a given analyst's performance prospects are enhanced by dispassionate and exhaustive execution of a well-reasoned/value-added approach. Students will prepare a company analysis reflective of company and industry analysis and that also makes use of prospective valuation work in an historical context. Prerequisite(s): FIN-6000.  
Prerequisite(s): (FIN 6000 or FIN 6150)  
Restrictions: Students in the Schl for Professional Studies college may not enroll.

FIN 6210 - Fixed Income Securities and Markets  
Credit(s): 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, MBA 6360, or FIN 6000)

FIN 6220 - Financial Institution Management  
Credit(s): 3 Credits  
Examination of operations, management, and regulations of modern financial institutions, including depository institutions, investment banks, and insurance companies. Focus on the understanding of risks faced by financial institutions' managers and the methods and markets through which these risks are managed.  
Prerequisite(s): FIN 600

FIN 6250 - International Finance  
Credit(s): 3 Credits  
Study of international monetary environment and financial planning for corporations with overseas operations. Analysis of the effects of international financial planning on such factors as exchange rate fluctuations, currency restrictions and tax regulations. Examination of financial aspects of multinational business, including foreign investments, trade and transfer of funds.  
Prerequisite(s): FIN 6000

FIN 6340 - Financial Planning and Analysis  
Credit(s): 3 Credits  
The course focuses on financial management for corporate value creation and on techniques of financial planning and analysis in an applied setting. Case studies concern the role of financial administration in managing capital costs, capital budgeting, shareholder equity, corporate capital structure, and mergers and acquisitions among other topics.  
Prerequisite(s): FIN 6000

FIN 6350 - Advanced Corporate Finance  
Credit(s): 3 Credits  
Examination of sources of financing and corporate control issues. Coverage includes study of the underwriting process and alternate sources of capital; use of financial planning models and methods of short-term financing; motivation for mergers, acquisitions and bankruptcy reorganization. Recent studies from the finance literature provide overview of empirical evidence relating to the issues examined.  
Prerequisite(s): (FIN 6000 or FIN 6150)
FIN 6360 - Private Equity and Venture Capital  
Credit(s): 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, MBA 6360, or FIN 6000)  
**Restrictions:**  
Students in the Schl for Professional Studies college may not enroll.

FIN 6380 - Derivative Securities and Markets  
Credit(s): 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)

FIN 6930 - Special Topics  
Credit(s): 3 Credits (Repeatable for credit)

FIN 6980 - Independent Study  
Credit(s): 1 or 3 Credits (Repeatable for credit)