

COURSE CODE: BUAD 464

COURSE TITLE: Wealth Management

Calendar Description

This course integrates the skills of a wealth management advisor, working with individuals and families, including the processes of acquiring clients, evaluating investments, constructing investment portfolios, preparing retirement planning analysis, and estate planning. Students will apply these skills through case studies, simulated trading environments and scenario-based problems.

Prerequisite(s): BUAD350 – Capital Markets

Co-requisite(s): None

Prerequisite For: None

Substitutable Courses: None

Graduation Requirement: Elective

Transfer Credit: N/A

Special Notes: N/A

Credits: 3

Hours per Week: 3

Originally Developed:

EDCO Approval:

CHAIR'S APPROVAL:



Learning Outcomes

Outcome	Upon completion of this course students will be able to:
1	Explain the functions of a Wealth Manager including sales, operations, investing, and client service.
2	Complete a know your client process to identify and understand client needs for the purpose of creating a personalized approach to advising.
3	Evaluate equity, debt, derivative instruments and alternatives for the inclusion in a client's portfolio of assets.
4	Evaluate the performance of a portfolio of invested assets.
5	Recommend specific financial and life planning products based on client needs.
6	Perform financial scenario analysis for the purpose of assisting in client financial planning.
7	Complete simulated client meetings including handling difficult and sensitive issues.

Professors

Name	Phone Number	Office	Email
Mike Hazen	n/a	C103	mhazen@okanagan.bc.ca

Evaluation Procedure

Individual Component:	LO Evaluation	Weighting
Simulated client meetings	1, 4, 7	20%
Case based portfolio construction project	2, 3, 4, 5	15%
Case based retirement planning project	1, 5, 6	15%
Midterm Exam	1, 2, 5	20%
Final Exam	2, 3, 4, 5, 6	30%
Total		100%

Course Policy on the Use of Generative AI

Students are permitted to use AI tools for formative work such as gathering information or brainstorming but may not use them for any assessed work or final submission. Whenever generative AI tools are used, they must be appropriately cited. (See [How to cite ChatGPT \(apa.org\)](#))

Students can use AI tools to assist in proofreading, grammar checking, and language refinement for written assignments where the student has composed the first draft. Students should keep in mind that AI revisions are only suggestions and that they are ultimately responsible for the quality of their submissions. Students may be asked by their instructor how they interacted with AI tools and be prepared to explain and justify their process.

Required Materials

All will be provided on moodle, there is no text to buy for this course.

Course Schedule

(Subject to change at the discretion of the professor)

Important Dates:		<p>Wed, Sep 3 - Classes begin Fri, Sep 12 - Add/drop date - Last day to register for a course and last day to receive a refund for course drop Tue, Sep 30 - Statutory Holiday (no classes) Mon, Oct 13 - Statutory Holiday (no classes) Fri, Oct 24 - Last day to withdraw from a course without academic penalty Mon, Nov 10 - No classes Tue, Nov 11 - Statutory Holiday (no classes) Fri, Dec 5 - Last day of regularly scheduled classes Tue, Dec 9 - Thu, Dec 18 - Final exam period – see policy.</p>	** Bold indicates assignment/tasks due
2025 Class of:		Topic & Readings & Learning Activities	Tasks
Sept	8	Introduction and Module 1 – The Modern Wealth Manager	Read Module 1
	15	Module 2 – Client Communications	Read Module 2
	22	Module 3 – Know Your Client	Read Module 3
	29	Module 4 – Making Recommendations	Read Module 4
Oct	6	Midterm (Modules 1 - 4)	Midterm Exam
	20	Simulated Client Meeting #1 and Introduction to the Retirement Case	Client Meeting #1
	27	Module 5 – Evaluating Asset Classes and Retirement Case Presentations	Read Module 5 Retirement Case Presentations
Nov	3	Retirement Case Debrief and Module 6 – Evaluating Portfolio Performance	Read Module 6 Prepare Case Debrief
	17	Simulated Client Meeting #2 and Introduction to the Portfolio Case	Client Meeting #2
	24	Module 7 – Scenario Analysis and Portfolio Case Presentations	Read Module 7 Portfolio Case Presentations
Dec	1	Simulated Client Meeting #3 and Portfolio Case Debrief	Client Meeting #3 Prepare Case Debrief

Skills Across the Business Curriculum

The School of Business promotes core skills across the curriculum. These skills include reading, written and oral communications, computers, small business, and academic standards of ethics, honesty and integrity.

Student Conduct

What is the Disruption of Instructional Activities?

At Okanagan College (OC), disruption of instructional activities includes student “conduct which interferes with examinations, lectures, seminars, tutorials, group meetings, other related activities, and with students using the study facilities of OC”, as well as conduct that leads to property damage, assault, discrimination, harassment and fraud. Penalties for disruption of instructional activities include a range of sanctions from a warning and/or a failing grade on an assignment, examination or course to suspension from OC.

Academic Honesty: Students have a responsibility to read the [OC Academic Integrity Policy](#).

What is Cheating?

“Cheating includes but is not limited to dishonest or attempted dishonest conduct during tests or examinations in which the use is made of books, notes, diagrams or other aids excluding those authorized by the examiner. It includes communicating with others for the purpose of obtaining information, copying from the work of others and purposely exposing or conveying information to other students who are taking the test or examination.”

Students must submit independently written work. Students may not write joint or collaborative assignments with other students unless the instructor approves it in advance as a group/team project. Students who share their work with other students are equally involved in cheating.

What is Plagiarism?

Plagiarism is defined as “the presentation of another person’s work or ideas without proper or complete acknowledgement.” It is the serious academic offence of reproducing someone else’s work, including words, ideas and media, without permission for course credit towards a certificate, diploma, degree and/or professional designation. The defining characteristic is that the work is not yours.

“Intentional plagiarism is the deliberate presentation of another’s work or ideas as one’s own.” Intentional plagiarism can be a copy of material from a journal article, a book chapter, data from the Internet, another student, work submitted for credit in another course or from other sources.”

“Unintentional plagiarism is the inadvertent presentation of another’s work or ideas without proper acknowledgement because of poor or inadequate practices. Unintentional plagiarism is a failure of scholarship; intentional plagiarism is an act of deceit.”

What are the Students’ Responsibilities to Avoid Plagiarism?

Students must acknowledge the sources of information used on all their assignments. This usually involves putting the authors’ name and the year of publication in parentheses after the sentence in which you used the material, then at the end of your paper, writing out the complete references in a Reference section.

“Students are responsible for learning and applying the proper scholarly practices for acknowledging the work and ideas of others. Students who are unsure of what constitutes plagiarism should refer to the UBC publication “*Plagiarism Avoided; Taking Responsibility for your Work*”. This guide is available in OC bookstores and libraries.

Students are expected to understand research and writing techniques and documentation styles. The School of Business requires the use of the APA or MLA style but suggests that students cite references using the APA guidelines (see Publication Manual of the American Psychological Association, 6th edition (2009). A copy of the APA manual is available in the reference section and available for circulation from OC libraries. The library website has access to these two major citing styles.

What are the Penalties for Plagiarism and Cheating?

The Okanagan School of Business does not tolerate plagiarism or cheating. All professors actively check for plagiarism and cheating and the Okanagan School of Business subscribes to an electronic plagiarism detection service. All incidents of plagiarism or cheating are reported and result in a formal letter of reprimand outlining the nature of the infraction, the evidence and the penalty. The Dean of the School of Business and the Registrar record and monitor all instances of plagiarism and cheating. Penalties for plagiarism and cheating reflect the seriousness and circumstances of the offence and the range of penalties includes suspension from OC.

Last Updated: April 7, 2025 (New Academic Integrity Policy Link)