



JR SHAW SCHOOL OF BUSINESS

"Having the Canadian Securities Course and the Certified Financial Planner prerequisites completed by the time you graduate was a huge bonus for me. I appreciated having the option to write the exams straightaway and jump directly into the workforce. The course material was relevant in today's job market and the teachers were excellent."

LINDSAY LEONG
Investment Advisor Assistant, CIBC
Wood Gundy

ACCREDITATION

In being responsive and relevant, JR Shaw School of Business Finance Programs offer courses for five accreditations:

- Certified Financial Planner Designation (CFP)
- Canadian Securities Course (CSC) to obtain an investment license
- Life License Qualification Program (LLQP) to become a life insurance agent
- Chartered Financial Analyst (CFA) University Recognition Program
- Professional Risk Manager Designation (PRM)

CERTIFIED FINANCIAL PLANNER (CFP)

Courses in the following programs can lead to exams to achieve this designation

- Bachelor of Business Administration (BBA)
- Open Studies

STEPS YOU NEED TO TAKE TO BECOME A CFP

1. Complete the following courses
 - FNCE1125 Introduction to Finance
 - FNCE2280 Investments
 - FNCE3313 Insurance
 - FNCE3314 Retirement and Estate Planning
 - FNCE4450 Advanced Financial Planning
 - TAXX3312 Taxation for Financial Planning
2. Complete the "Introduction to Professional Ethics" through FP Canada.
3. Complete a FP Canada-Approved "Advanced Curriculum Program."

4. Complete the "CFP Professional Education Program" through FP Canada.
5. Pass the CFP Examination.
6. Apply for the CFP Designation.

CANADIAN SECURITIES COURSE (CSC)

Courses in the following programs can help you prepare for the national exams

- Business Administration - Finance diploma
- Open studies
- The following two courses help students prepare for the national exams
 - FNCE3336 Canadian Securities Course I
 - FNCE3337 Canadian Securities Course II

STEPS YOU NEED TO TAKE TO SELL SECURITIES IN CANADA

1. Register with the Canadian Securities Institute – you will be required to pay a registration fee. You will then receive your course material, access to online materials and the opportunity to challenge the CSC I & II exams
2. Pass the national exams CSC I and CSC II within 1 year of registration
3. Find a financial institution to sponsor license

If you are not working for an Investment Industry Regulatory Organization of Canada (IIROC) member firm and not currently enrolled in the IIROC Voluntary CE Program, the validity of your CSC is three years.

LIFE LICENSE QUALIFICATION PROGRAM (LLQP)

Courses in the following programs will help you prepare for provincial exams

- Bachelor of Business Administration (BBA)
- Open studies

STEPS YOU NEED TO TAKE TO BECOME A LIFE INSURANCE AGENT

1. Complete the following course
 - FNCE 3313 Insurance

After you complete this course, you have 1 year to complete the remaining steps.

2. Pass the provincial exam.
3. Join an insurance provider who will sponsor your license.
4. Apply for your license — you will need to pay a fee, and acquire a clear background check. Your employer may help with this.

PROFESSIONAL RISK MANAGEMENT DESIGNATION (PRM)

Four computer based exams are required FNCE4487 covers the content of both exams III & IV.

Exam	Exam Topic	Weighting
I	Finance Theory, Financial Instruments and Markets	30%
II	Mathematical Foundations of Risk Measurement	20%
III	Risk Management Practices	30%
IV	Case Studies, PRMIA Standards of Best Practice, Conduct and Ethics, Bylaws	20%

CHARTERED FINANCIAL ANALYST (CFA) UNIVERSITY RECOGNITION PROGRAM

NAIT's BBA finance emphasis has been accepted into the CFA Institute University Recognition Program. This status is granted to institutions whose degree programs incorporate at least 70% of the CFA Program Candidate Body of Knowledge (CBOK), which provide students with a solid grounding in the CBOK and positions them well to sit for the CFA exams.

Courses in the following programs are available to students to help them challenge the CFA level 1 exam

- Bachelor of Business Administration (BBA)
- Open studies

Students are encouraged to take the following courses and their pre-requisites prior to challenging the CFA level 1 exam

- FNCE4484 Behavioural Finance
- FNCE4482 Considerations in Wealth Management
- FNCE4475 Advanced Securities Trading
- FNCE4432 Advanced Finance
- FNCE4471 Advanced Portfolio Theory
- FNCE4477 Derivatives and Risk Management
- FNCE3381 Securities Valuation

STEPS TO BECOMING A CFA CHARTER HOLDER

The CFA Institute requires these steps to become a CFA Charter holder

1. Pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct.
2. Complete the CFA Program administered by the CFA Institute.
3. Have four years of qualified investment work experience.
4. Become a regular member of CFA Institute and apply for membership in a local CFA member society.

SCHOLARSHIP OPPORTUNITIES

As an institution recognized by the CFA Institute, NAIT can award several scholarships to top students pursuing the CFA designation. These scholarships can be put toward the cost of tuition and fees for the CFA exam and are intended to encourage students to pursue the credential.