



**NATIONAL UNIVERSITY OF SINGAPORE**  
Department of Finance



FIN3135/FIN3721:  
Consumer Banking Wealth Management  
(Semester I, 2020/2021)

**Instructors:** Assoc Prof YEO Wee Yong (NUS)\*  
Mr. Wee Yan Hann (DBS)  
Ms. Grace Lin (DBS)  
Mr. Norman Uan (DBS)

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**Class Hours:** Thursday 3 pm to 6 pm

**Consultation:** Please email to arrange

**Prerequisites:** FIN2004

**Course Objective:**

The objective of this module is to introduce students to the consumer banking wealth management industry. Students will be introduced to the wealth management industry in terms of understanding the global political environment, Singapore's regulatory framework, and how the industry works. They will learn how to help clients to understand their financial health and make good informed investment decisions to meet their financial objectives.

Wealth management is an integral part of the financial industry. Singapore has a strong reputation as a wealth management center and is looking to further develop and strengthen its position. The importance of working with industry players to develop courses on wealth management cannot be overstated. DBS is one of the biggest player in this area. Hence, this module is in collaboration with DBS trainers. The trainers from DBS will be the main instructors for the module, while the NUS professor facilitates the classes.

### **Class Arrangement:**

Classes by the DBS trainers will be conducted via the DBS Webex platform. Students **HAVE TO ENSURE** that the devices they used have functioning video (webcam) capabilities and the video (webcam) be turned on at all time.

Classes by the NUS professor will be conducted in a normal face-to-face (F2F) classroom setting. Students who are not able to join the F2F classes due to “Stay Home Notice”, being in quarantine, and the likes, will join the class via Zoom instead. Likewise, students **HAVE TO ENSURE** that their video (webcam) be **turned on at all time**.

### **Assessment: This is a 100% CA course**

Class participation	30
Term project	30
Individual Assignment	20
Term Test	20
<b>Total</b>	<b>100</b>

### **Class participation:**

Although the classes will be conducted mostly online, students are expected to participate actively during classes. There will be class activities during the class sessions and students will be graded during these activities.

### **Term project:**

The term project is a group project and consists of a presentation and a written report. The written report is due (uploaded to LumiNUS) on **October 3** and the presentation on **October 15**.

### **Individual Assignment:**

Each student will choose a wealth management product and a target clientele and video record a 10 minutes sale pitch. The video recording is due on **October 31**.

### **Term Test:**

**Date: November 12 (In class)**

This term test will be a 60-minute test. Students are to make sure that they are available to sit for the test.

### Points to Note:

1. **Attendance:** Students must not miss more than 2 classes (not including absence due to medical (accompanied by medical certificates) or compassionate reasons). **Violators will be heavily penalized.**
2. CA Attendance: Students who miss a CA component will receive zero marks for that particular component. Absentees due to medical (accompanied by medical certificates) or compassionate reasons may be given a substitute form of assessment.
3. Students are encouraged to always feedback to the professor comments and suggestions that may help the class to learn better.
4. Students are to check the LumiNUS weekly for announcements.
5. Forum in LumiNUS exclusively for students' discussions in topics pertaining to finance
6. Please use NUS e-mail for e-mail communications.

### **SPECIAL NOTE FROM THE BBA OFFICE: ACADEMIC HONESTY & PLAGIARISM**

Academic integrity and honesty is essential for the pursuit and acquisition of knowledge. The University and School expect every student to uphold academic integrity & honesty at all times. Academic dishonesty is any misrepresentation with the intent to deceive, or failure to acknowledge the source, or falsification of information, or inaccuracy of statements, or cheating at examinations/tests, or inappropriate use of resources.

Plagiarism is 'the practice of taking someone else's work or ideas and passing them off as one's own' (The New Oxford Dictionary of English). The University and School will not condone plagiarism. Students should adopt this rule - You have the obligation to make clear to the assessor which is your own work, and which is the work of others. Otherwise, your assessor is entitled to assume that everything being presented for assessment is being presented as entirely your own work. This is a minimum standard. **In case of any doubts, you should consult your instructor.**

Additional guidance is available at:

<http://www.nus.edu.sg/registrar/adminpolicy/acceptance.html#NUSCodeofStudentConduct>

Online Module on Plagiarism:

<http://emodule.nus.edu.sg/ac/>

**Lesson Schedule (Tentative):**

<b>Week</b>	<b>Date</b>	<b>Topic and Activity</b>	<b>Instructor (Venue)</b>
1	Aug 13	Introduction	*Yeo W.Y. (MRB 02-02)
2	Aug 20	Wealth Management Industry & financial market (Day 1)	Wee Yan Hann (online)
3	Aug 27	Wealth Management Industry & financial market (Day 2)	Wee Yan Hann (online)
4	Sept 3	Wealth Management Industry & financial market (Day 3)	Wee Yan Hann (online)
5	Sept 10	Case Discussion	*Yeo W.Y. (MRB 02-02)
6	Sept 17	Portfolio Advisory (Day 1)	Norman Uan (online)
		<b>Term Break</b>	
7	Oct 1	Portfolio Advisory (Day 2)	Norman Uan (online)
8	Oct 8	Portfolio Advisory (Day 3)	Norman Uan (online)
9	Oct 15	<b>Project Presentations</b>	*Yeo W.Y. (MRB 02-02)
10	Oct 22	Financial planning (Day 1)	Grace Lin (online)
11	Oct 29	Financial planning (Day 2)	Grace Lin (online)
12	Nov 5	Financial planning (Day 3)	Grace Lin (online)
13	Nov 12	<b>Term test</b>	*Yeo W.Y. (MRB 02-02)