

Pathway Assessment Blueprint

Financial and Investment Planning



Specific Competencies and Skills Tested in this Assessment:

General Finance Technical Skills

- Use accounting procedures in a financial environment
- Employ marketing procedures to forward organizational goals
- Utilize customer service skills to work effectively with customers
- Perform accounting functions with computers and related software

Financial and Investment Planning Technical Skills

- Display knowledge of financial and investment products and services
- Review and research federal and state regulatory requirements as applied to financial and investment planning
- Assist clients in developing financial plans including retirement planning, estate planning, and budgets
- Develop procedures to adhere to compliance plans and manage client records

Academic Foundations

- Apply reading skills in a financial career environment
- Apply writing skills in a financial career environment
- Apply mathematical skills in a financial career environment
- Apply economic knowledge in a financial career environment



Specific Competencies and Skills continued:

Systems

- Interpret financial elements such as economic conditions to determine impact on consumer behavior
- Interpret laws and regulations to determine the role of government in the financial industry

Ethics and Legal Responsibilities

- Identify and practice ethical behavior in the workplace
- Analyze practices of the financial industry to determine ethics and social responsibilities

Communication

- Locate, organize, and reference written information from reliable sources to communicate with coworkers and clients
- Develop and deliver formal and informal presentations using appropriate media to engage and inform audiences
- Apply listening skills and interpret verbal and nonverbal behaviors to enhance communication with coworkers and clients
- Interpret and use tables, charts, and figures to support written and oral communication

Information Technology Applications

- Use computers and software to increase work efficiency
- Utilize a database to manage general information

Problem Solving, Critical Thinking, and Decision Making

- Use problem solving and critical thinking skills to locate good sources of information about problems and determine appropriate methods for investigating causes
- Use problem solving and critical thinking skills to determine root causes of problems and suggest solutions
- Use decision making skills to solve problems and evaluate solutions

Specific Competencies and Skills continued:

Leadership and Teamwork

- Exhibit leadership practices to improve the quality of work and the work environment
- Work effectively in a team environment to improve the quality of work and the work environment

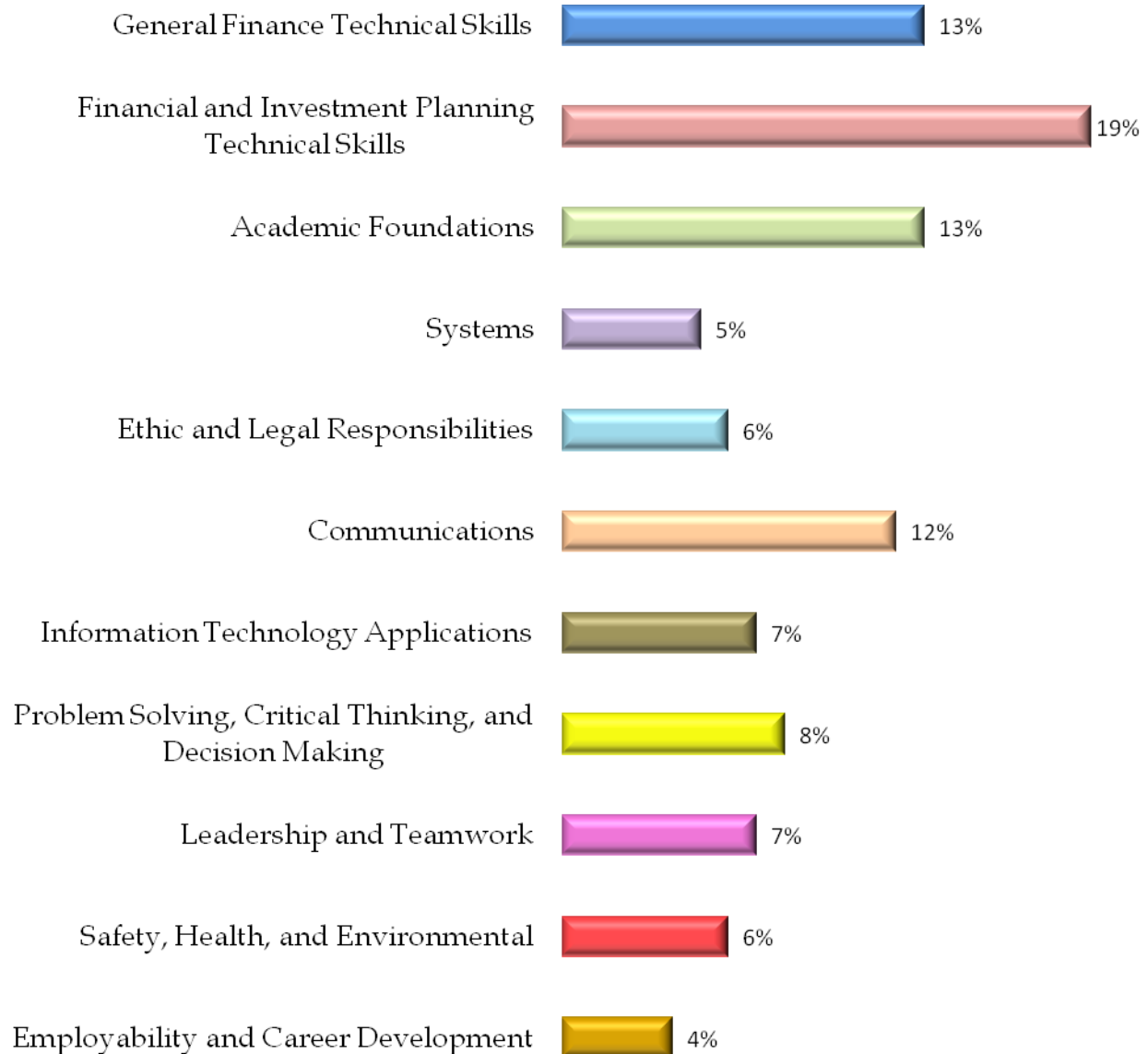
Safety, Health, and Environmental

- Practice safe behaviors in work environment including ergonomics
- Respond appropriately in emergency situation by locating emergency information and equipment

Employability and Career Development

- Demonstrate employability skills related to a career in finance
- Pursue career development skills to advance in the financial world



Written Assessment:**Administration Time:** 2 hours**Number of Questions:** 106**Areas Covered:**

Sample Questions:

In automated accounting, an audit

- A. checks the accuracy of processed information
- B. is generated on a yearly basis
- C. is always stored using electronic media
- D. corrects the data

Which of the following is a non-taxable source of income?

- A. interest earned on a savings account
- B. interest earned in a foreign bank
- C. child support payments
- D. tips and gratuities

Assume that the current currency exchange rate for US Dollars and Euros is 1 US Dollar = .736 Euros. Brad is making a purchase in Germany that costs 25 Euros. How much will this cost him in US Dollars?

- A. \$18.40
- B. \$25.74
- C. \$33.97
- D. \$42.50

Government regulations are generally designed to

- A. create jobs for government workers
- B. protect the public from harmful or unjust actions
- C. increase the number of political campaigns
- D. make people think before they vote

An emergency number to call for aid should be posted

- A. at the first aid station
- B. on the company's website
- C. next to, near, or on the phone
- D. near the nurse's station

A retirement plan in which both the employee and the employer contribute is called a

- A. Roth IRA
- B. traditional IRA
- C. SEP
- D. 401(k)

Sample Questions (continued)

The public records section of a credit report may contain information regarding

- A. criminal records
- B. checking account numbers
- C. delinquent accounts
- D. salary history

Energy prices, economic growth, advances in technology, and changes in weather patterns are factors which can impact

- A. home and automobile ownership
- B. inflation and interest rates
- C. energy supply and demand
- D. global warming and disaster relief

If a technical report is based on large amounts of data, a good way to include all data is in a/an

- A. glossary
- B. appendix
- C. index
- D. text box

An effective mentor is a person who

- A. has mastered the skills and experience an employee needs
- B. is a good friend of the employee
- C. is external to the employee's company
- D. has been given salary raises in the past