NOCTI
Foundational Credential Blueprint

Financial and Investment Planning

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General Assessment Information

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Test Type: The Financial and Investment Planning industry-based credential is included in NOCTI's Foundational assessment battery. Foundational assessments measure occupational awareness and fundamental competencies within a specific field, providing insight into a learner's progress toward job readiness. Foundational assessments include a written component only and can be used at the secondary and post-secondary levels. Foundational assessments can be delivered in an online or paper/pencil format.

Revision Team: The assessment content is based on input from secondary, post-secondary, and business/industry representatives from the states of Georgia, Missouri, and Oregon.

Content Review: A content review is an independent, comprehensive review by Subject Matter Experts to evaluate content accuracy, the currency of technical material, and relevance to current industry practices.

CIP Code

52.0804-Financial Planning Services

Learning that works for America CTE™

Career Cluster - Finance

Association for Career and Technical Education ACTE®

The Association for Career and Technical Education (ACTE), the leading professional organization for career and technical educators, commends all students who participate in career and technical education programs and choose to validate their educational attainment through rigorous technical assessments. In taking this assessment you demonstrate to your school, your parents and guardians, your future employers and yourself that you understand the concepts and knowledge needed to succeed in the workplace. Good Luck!

MBA Research & Curriculum Center

MBAResearch believes that "proof of learning" is the first step toward a future career. Students who successfully complete a research-based assessment put themselves a step ahead of their competitors--for college admission and for beginning substantive careers in business. MBAResearch is proud to be the primary source of industry-validated standards and curriculum for business careers, for many high school and community college business administration curricula, and for many assessments offered here.

NATIONAL COLLEGE CREDIT RECOMMENDATION SERVICE
University of the State of New York - Regents Research Fund

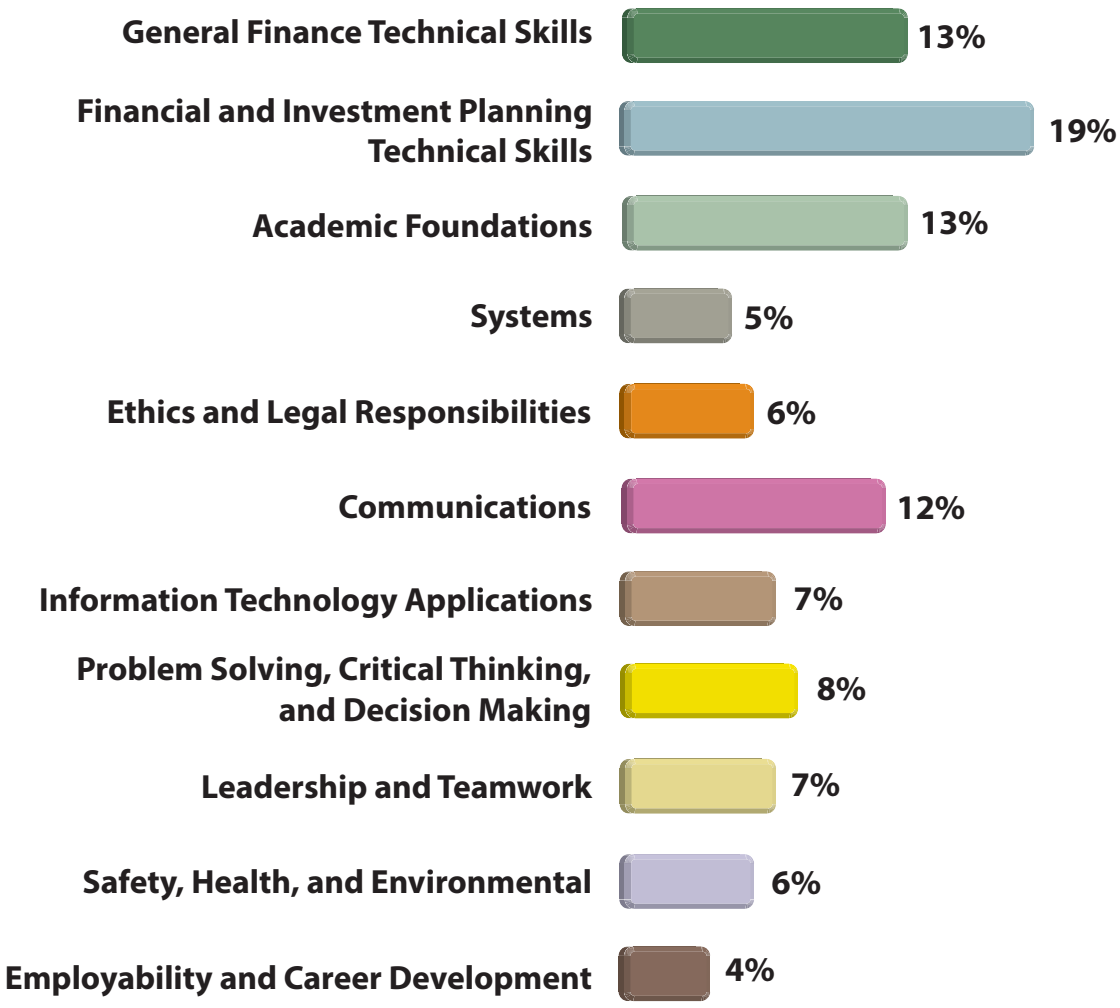
In the lower division baccalaureate/associate degree category, 3 semester hours in Financial Planning and Investment

Written Assessment

NOCTI written assessments consist of questions to measure an individual's factual theoretical knowledge.

Administration Time: 2 hours
Number of Questions: 106
Number of Sessions: This assessment may be administered in one, two, or three sessions.

Areas Covered



Specific Standards and Competencies Included 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

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

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Specific Standards and Competencies (continued)

Ethics and Legal Responsibilities

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

Communications

- 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

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Specific Standards and Competencies (continued)

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

Leadership and Teamwork

- Exhibit leadership qualities 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 a work environment including ergonomics
- Respond appropriately in emergency situations 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

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

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Sample Questions (continued)

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)

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 the 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

Notes