

University of North Texas at Dallas
Spring 2016
SYLLABUS

Version 2.0 1/11/15

FINA 4200 - Fundamentals of Investments (Section 011) 3 Hrs	
School of Business	
Instructor Name:	D. J. Wozniak, MBA
Office Location:	100% Remote for this semester
Office Phone:	(972) 492-9644
Email Address:	David.Wozniak@untdallas.edu
Office Hours:	I do not have campus office hours this semester.
Virtual Office Hours:	With advance notice via Skype: David-Wozniak
Classroom Location:	Internet
Class Meeting Days & Times:	None
Course Catalog Description:	First course for the individual investor. Idea of investment value; necessary prerequisites for an investment program; policies; economic and industry factors; introduction to security analysis and valuation; operation of security markets; security laws.
Prerequisites:	FINA 3770 and ACCT 2010 and ACCT 2020 or equivalent with grades of C or better.
Co-requisites:	None
Required Text:	Fundamentals of Investing, 12th Edition, Smart, Gitman, Joehnk. Pearson (Prentice Hall). Note: There are also loose-leaf and e-book options for the textbook. I do not require the use of MyFinanceLab access card/code but strongly suggest using it as a supplemental tool. -Book-only ISBN-13: 9780133075359 (with NO MyFinanceLab Access Card); -Book with MyFinanceLab Access Card ISBN-13: 9780133423945; -eBook with MyFinance Lab Access Card ISBN-13: 9780133079029
Recommended Text, Tools, and References:	Financial Calculator - BA II PLUS by Texas Instruments is recommended. Have by week 2 of class. Wall Street Journal. Financial Times. Economist.
Access to Learning Resources:	UNT Dallas Library: phone: (972) 780-3625; web: http://www.unt.edu/unt-dallas/library.htm UNT Dallas Bookstore: phone: (972) 780-3652; e-mail: 1012mgr@fhcg.follett.com web: http://untdallas.bkstr.com Blackboard (E-campus): http://learn.unt.edu
Course Goals or Overview:	
	To develop an understanding of financial markets, institutions and various types of financial assets. To learn and apply the basic tools of valuation and portfolio management and to recognize their theoretical and practical limitations. Topics include measures of security risk, stock and bond valuation, measurement of portfolio risk and return, portfolio performance, asset pricing models, security analysis, and the structure and operation of the various capital markets.
Learning Objectives/Outcomes: Upon completion of the course a student should have acquired the basic financial tools and knowledge necessary to understand and evaluate:	
1	Features and mechanism of financial markets and instruments
2	Types of trades and transactions
3	Basic valuation of financial assets
4	Formulating portfolio, diversification and evaluation.

5	Calculation of the present and future value of cash flows, will value financial assets using discounted cash flow models, and will explain how risk and return are measured and how they are correlated.
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Course Outline

This schedule is tentative subject to change by the professor. Over the course of the semester, activities and items may be added, removed, or rescheduled in order to provide more information, improve accuracy, enhance learning, or correct errors. Any changes to this schedule will be communicated by instructions in class, announcements in Blackboard, and/or Blackboard email to students. Note: There is a separate schedule PDF and due dates summary in eCampus. You should see and use those separate items as the primary source throughout the semester subject to changes communicated per the methods above (as applicable).

Schedule for FINA 4200 Fundamentals of Investments - Format: Online Only

Version 1.1 2016-01-12

>> Be sure to see the Due Dates Summary PDF for exact due dates. This schedule is a guideline only.

Topics	Timeline	Week Begin
E-Campus Welcome Area, Syllabus, other Introduction Items (e.g. Intro Discussion #0, Student Info Sheet submission).	Week 1	Monday, January 18, 2016
MODULE 1 - PREPARING TO INVEST (Chs. 1-3) Ch. 1 - The Investment Environment (Begin & Finish)*		<i>(1/18 is a holiday technically so actual start is 1/19)</i>
Ch. 2 - Securities Markets and Transactions (Begin & Finish)* Ch. 3 - Investment Information and Securities Transactions (Begin)*	Week 2	Monday, January 25, 2016
Ch. 3 - Investment Information and Securities Transactions (Finish)* MODULE 2 - IMPORTANT CONCEPTUAL TOOLS (Chs. 4, 4A, 5) Ch. 4 - Return and Risk (Begin)*	Week 3	Monday, February 01, 2016
Ch. 4 - Return and Risk (Finish)* Ch. 4A - The Time Value of Money (Begin & Finish)*	Week 4	Monday, February 08, 2016
Ch. 5 - Modern Portfolio Concepts (Begin & Finish)* MODULES 1 & 2 EXAM (Chs. 1-5, and 4A) & Group Case Assignment #1 + Discussion #1	Week 5	Monday, February 15, 2016
MODULE 3 - INVESTING IN COMMON STOCKS (Chs. 6-9) Ch. 6 - Common Stocks (Begin & Finish)*	Week 6	Monday, February 22, 2016
Ch. 7 - Analyzing Common Stocks (Begin & Finish)*	Week 7	Monday, February 29, 2016
Ch. 8 - Stock Valuation (Begin & Finish)*	Week 8	Monday, March 07, 2016
Spring Break (No Classes)		Monday, March 14, 2016
Ch. 9 - Market Efficiency and Behavioral Finance (Begin & Finish)* MODULE 4 - INVESTING IN FIXED-INCOME SECURITIES (Chs. 10-11) Ch. 10 - Fixed-Income Securities (Begin)*	Week 9	Monday, March 21, 2016
Ch. 10 - Fixed-Income Securities (Finish)* Ch. 11 - Bond Valuation (Begin)*	Week 10	Monday, March 28, 2016
Ch. 11 - Bond Valuation (Finish)* MODULES 3 & 4 EXAM (Chs. 6-11) & Group Case Assignment #2 + Discussion #2	Week 11	Monday, April 04, 2016
MODULE 5 - PORTFOLIO MANAGEMENT (Chs. 12-13) Ch. 12 - Mutual Funds and Exchange-Traded Funds (Begin & Finish)*	Week 12	Monday, April 11, 2016
Ch. 13 - Managing Your Own Portfolio (Begin & Finish)* Stock Report Project	Week 13	Monday, April 18, 2016
MODULE 6 - DERIVATIVE SECURITIES (Ch. 14 only)	Week 14	Monday, April 25, 2016

Group Case Assignment #3 + Discussion #3

Review Time + Ch. 15 may be made extra credit! Confirm!

Week 15

Monday, May 02, 2016

MODULES 5 & 6 EXAM (Chs. 12-14)

Week 16

Wednesday, May 11, 2016

*Full Definitions of "Begin" and "Finish" for Our Course:

Begin means budgeting time for reading the chapter completely, using the various Concepts-In-Review boxes in the chapter to review as you progress, doing practice problems in the textbook that you select (or are suggested), going to eCampus to review chapter PowerPoint slides, and using the Chapter Resources area of MyFinanceLab (if you elected to purchase it) to view its videos, supplemental weblinks, Excel spreadsheets, and practice with its sample test for each chapter.

Finish means to complete the chapter quiz (in eCampus) enough times to earn a 70% or higher grade.

This course will utilize the following instruments to determine student grades and proficiency of the learning outcomes for the course.

Quizzes & Exams: Both quiz and exam questions will consist of primarily of multiple-choice and true/false questions from the same random pool. Each chapter will have its own quiz of 18 questions, three on each of the six learning objectives in the chapter. Module exams will have from 35-50 questions (depending on the number of chapters within the module: more chapters, more questions).

Assignments: There will be several discussion board postings, article and case summaries. These activities are intended to supplement and reinforce course material. See the Assignment/Task Description heading in the table below for a summary of assignments in addition to the exams and quizzes show too.

FINA 4200 Course Grade Cut-Points 2016-Spring

Course Letter Grade Cut Points*				
	From	Down To	Grade	%
	1000	900	A	90%
<	900	800	B	80%
<	800	700	C	70%
<	700	600	D	60%
<	600	0	F	<60%

Assignment/Task Description	Qty	Points Each	Point Subtotal	% of Whole Course Grade	Category	% of Course Grade (Exams, Quiz, Other)
Exam 1: Modules 1 & 2 - [5½ Chapters] - 50 Questions	1	140	140	14%		
Exam 2: Modules 3 & 4 - [6 Chapters] - 50 Questions	1	140	140	14%		
Exam 3: Modules 5 & 6 - [3 Chapters] - 35 Questions	1	80	80	8%	36%	Exams
Chapter Quizzes	14	24	336	34%		
Appendix 4A Quiz	1	14	14	1%	35%	Quizzes
Student Info Sheet Assignment	1	5	5	1%		
Introduction Discussion Post	1	5	5	1%		
Group Case Assignments with Discussion Posts	3	50	150	15%		
Individual Responses to Group Case Discussion Posts	6	5	30	3%		
Stock/Bond Portfolio Project Report	1	100	100	10%	29%	Other
		Max Pts:	1,000	100%	100%	

* Grades at 89.75%+, 79.75%+, 69.75%+ (but not 59.75%) will be rounded up to the next higher letter grade provided that ALL assignments have been completed (there are no zero grades).

Professor Policies

Assignment Policy:

All papers are expected to use college-level professional writing and use standard MLA format (for example, be double-spaced, standard margins, etc.) Please be sure to follow the instructions provided for given class work and homework. Late work loses one full letter grade per class day late if permitted to be turned in late. You must submit your work in E-Campus; I do not accept work by email without giving advance permission.

Exam Policy:

Exams are to be taken as scheduled. Making up a missed examination requires a documented emergency (See Student Handbook).

E-Campus/Blackboard Learn System:

Our class is 100% online and E-Campus is crucial. Be sure to check the system before each class and over the weekend. You must use <http://learn.unt.edu> to access it. You may also install iOS and Android versions of the BlackBoard Learn mobile application ("app") to view content. Note that not all content is fully accessible using the mobile app and quizzes (and exams, if offered online) should never be attempted on the Bb mobile app. Quizzes (or exams) must only be accessed on a reliable desktop/portable computer (not a tablet) with a dependable connection to the internet.

Incomplete Grade:

Documented extraordinary circumstances (like pregnancy, surgery, etc.) may warrant assigning an incomplete (an "I") grade. This is done per university policy.

University Policies and Procedures

Students with Disabilities (ADA Compliance):

Chapter 7(7.004) Disability Accommodations for Students

The University of North Texas at Dallas makes reasonable academic accommodation for students with disabilities. Students seeking accommodations must first register with the Disability Services Office (DSO) to verify their eligibility. If a disability is verified, the DSO will provide you with an accommodation letter to be delivered to faculty to begin a private discussion regarding your specific needs in a course. You may request accommodations at any time, however, DSO notices of accommodation should be provided as early as possible in the semester to avoid any delay in implementation. Note that students must obtain a new letter of accommodation for every semester and must meet/communicate with each faculty member prior to implementation in each class. Students are strongly encouraged to deliver letters of accommodation during faculty office hours or by appointment. Faculty members have the authority to ask students to discuss such letters during their designated office hours to protect the privacy of the student. For additional information see the Disability Services Office website at <http://www.untDallas.edu/disability>. You may also contact them by phone at 972-338-1777; by email at UNTDdisability@untDallas.edu or at Building 2, room 204.

Blackboard Learn Accessibility Statement:

University of North Texas at Dallas is committed to ensuring its online and hybrid courses are usable by all students and faculty including those with disabilities. If you encounter any difficulties with technologies, please contact our ITSS Department. To better assist them, you would want to have the operating system, web browser and information on any assistive technology being used. Blackboard Learn course management system's accessibility statement is also provided: <http://www.blackboard.com/Platforms/Learn/Resources/Accessibility.aspx>

NOTE: Additional instructional technology tools, such as Turnitin, Respondus, Panopto, and publisher cartridge content (i.e. MyLab, Pearson, etc.) may NOT be fully ADA compliant. Please contact our Disability Office should you require additional assistance utilizing any of these tools.

Student Evaluation of Teaching Effectiveness Policy:

The Student Evaluation of Teaching Effectiveness (SETE) is a requirement for all organized classes at UNT Dallas. This short survey will be made available to you at the end of the semester, providing you a chance to comment on how this class is taught. I am very interested in the feedback I get from students, as I work to continually improve my teaching. I consider the SETE to be an important part of your participation in this class.

Academic Integrity:

Academic integrity is a hallmark of higher education. You are expected to abide by the University's code of conduct and Academic Dishonesty policy. Any person suspected of academic dishonesty (i.e., cheating or plagiarism) will be handled in accordance with the University's policies and procedures. Refer to the Student Code of Conduct at http://www.unt.edu/csrr/student_conduct/index.html for complete provisions of this code.

Bad Weather Policy:

On those days that present severe weather and driving conditions, a decision may be made to close the campus. In case of inclement weather, call UNT Dallas Campuses main voicemail number (972) 780-3600 or search postings on the campus website <http://dallas.unt.edu>. Students are encouraged to update their Eagle Alert contact information, so they will receive this information automatically.

Attendance and Participation Policy:

For this 100% online course, the University attendance policy is NOT effect for this course but expectations of full participation are in effect. Participation is expected because the class is designed as a shared learning experience.

Diversity/Tolerance Policy:

Students are encouraged to contribute their perspectives and insights to class discussions. However, offensive & inappropriate language (swearing) and remarks offensive to others of particular nationalities, ethnic groups, sexual orientations, religious groups, genders/gender identities, or other ascribed statuses will not be tolerated. Disruptions which violate the Code of Student Conduct will be referred to the Center for Student Rights and Responsibilities as I deem appropriate.

Eagle Connect Account:

All students should activate and regularly check their EagleConnect (email) account. EagleConnect is used for official communication from the University to students. Many important announcements for the University and College are sent to students via EagleConnect. For information about EagleConnect, including how to active an account and how to have EagleConnect forwarded to another e-mail address, visit <https://eagleconnect.unt.edu>