

The University of Texas at Tyler
Soules College of Business
Spring 2026

| FINA 4330.001 Securities Analysis & Portfolio Management | |
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| FINA 5330.001 Investment Portfolio Management | |
| Instructor Name: | <i>Dr. Chialing Hsieh (Pronounce: Charlene Shay)</i> |
| Office Location: | Soules College of Business 350.03 |
| Email Address: | chsieh@uttyler.edu (Best Contact Method) |
| Office Hours: | The instructor will conduct Office hours: Tuesdays: 9:20am-12:30pm and 1:50pm-3:30pm; Thursdays: 9:20am-12:30pm and 1:50pm-3:50pm. A personal meeting may be scheduled by appointment. Contact will also be via e-mail. You can expect a response within 24 hours except for those sent on Saturday and Sunday as well as those sent after 5 pm on Friday, when you can expect a response within 48 hours. |
| Classroom Location: | Soules College of Business 203 |
| Class Meeting Days & Times: | Tu 3:30PM - 4:50PM |
| Prerequisites: | For FINA 4330: FINA 3330 (Investments) For FINA 5330: FINA 5320 (Advanced Financial Management) |
| Required Text: | Bodie, Z., Kane, A., and Marcus, A.J. <i>Essentials of Investments</i> , 12th edition, 2023. Irwin: McGraw Hill. ISBN10: 1260772160 |
| Required Supplement: | Financial Calculator - BA II PLUS by Texas Instruments is recommended. |

COURSE DESCRIPTION:

A scrutiny of alternative techniques for the valuation of securities. An examination of the process of establishment of investment objectives and construction of portfolios to suit the individual needs of institutional and individual investors.

COURSE OBJECTIVES:

1. KNOWLEDGE OBJECTIVES OF THIS COURSE INCLUDE:

1. To develop analytical skills relevant to valuation of equity, fixed-income and derivative securities.
2. To learn to combine various securities in order to meet specific investment objectives.
3. To optimize portfolios subject to investor and market constraints.

2. COMPETENCIES TO BE DEMONSTRATED IN THIS COURSE INCLUDE:

1. COMPUTER-BASED SKILLS:

- A. WORD PROCESSING: Required for producing project reports.
- B. SPREADSHEET: Required for data entry and data analysis.
- C. PRESENTATION SOFTWARE: Required for project presentations.
- D. DATABASE MANIPULATION: Required for equity data analysis.
- E. INTERNET SEARCH SKILLS: Required for project and stock simulation research.

2. COMMUNICATION SKILLS:

- A. WRITTEN
 - a. REPORT ORGANIZATION: Required for project reports.
 - b. REFERENCING: Required project reports.
- B. ORAL: Required for case and project presentations.
- 3. INTERPERSONAL SKILLS:
 - A. TEAM-BASED ABILITIES – INTRA-GROUP AND INTER-GROUP COOPERATION: Required for group project.
 - B. LEADERSHIP: Required for group project.
 - C. CONFLICT RESOLUTION: Required for group project.
- 4. PROBLEM SOLVING (CRITICAL THINKING):
 - A. CONCEPTUAL THINKING: Required in class discussion dynamics.
 - B. GATHERING AND ANALYZING DATA: Required for cases and projects.
 - C. QUANTITATIVE/STATISTICAL SKILLS: Demonstrated in investment analysis.
 - D. CREATIVITY AND INNOVATION: Demonstrated in portfolio management and stock simulation project for the course.
- 5. ETHICAL ISSUES IN DECISION MAKING AND BEHAVIORS: Demonstrated in class discussions regarding fiduciary responsibilities of investment analysts.
- 6. PERSONAL ACCOUNTABILITY FOR ACHIEVEMENT:
 - A. MEETING DEADLINES: Evaluated by instructor.
 - B. QUALITY OF WORK PERFORMED: Evaluated via graded outcomes of student work and exam scores.
- 7. COMPETENCE IN BASIC BUSINESS PRINCIPLES:
 - A. COMPETENCE IN MAJOR FIELD AND GROUNDING IN OTHER MAJOR CORE AREAS: Course content integrates economics, accounting, and management functions into portfolio management decisions.
 - B. AWARENESS OF INTERNATIONAL AS WELL AS DOMESTIC IMPLICATIONS OF BUSINESS DECISIONS: Course content examines international political and foreign exchange risk in context of investment decisions.
 - C. UNDERSTANDING AND APPRECIATION OF STRATEGIC IMPACT OF BUSINESS DECISIONS: Course includes content discussion which ties prudent investment decisions to successful strategic outcomes for the firm.

3. OUTCOMES FOR STUDENTS TO SUCCESSFULLY COMPLETE THIS COURSE INCLUDE:

- 1. Understand the securities valuation process using appropriate valuation techniques under appropriate circumstances
- 2. Be able to form portfolios based on investor risk preferences and other constraints.
- 3. Be familiar with the fiduciary responsibility to the client as an investment analyst
- 4. Be able to evaluate portfolio performance and attribute performance to chance or managerial skill

Course Structure:

To achieve course goals, students will be required to:

- 1. Read Powerpoint course slides and textbook chapters.
- 2. Take every test and quiz.
- 3. Complete StockTrak trading simulation reports.
- 4. Complete Portfolio Management project.
- 5. Visit course on Canvas regularly.

Course Schedule: This schedule is subject to change by the instructor. 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 Canvas, and/or Canvas email to students.

| TOPICS | TIMELINE |
|--|----------------------------|
| Introduction and syllabus Modern Portfolio Theory (MPT) (Ch. 5, 6, 7, 8) | Week 1: 01/12/2026 |
| Lecture for Portfolio Management Project (Ch. 5, 6, 7, 8) | Week 2: 01/19/2026 |
| Lecture for Portfolio Management Project (Ch. 5, 6, 7, 8) Portfolio Management Project due on Sunday, February 1st at midnight <i>Complete registration for Stocktrak™ simulation (Registration will open on 1/26)</i> | Week 3: 01/26/2026 |
| Stocktrak Trading (Investment Strategies, Options Trading Strategies) Stocktrak Trading will begin on Monday, February 2 | Week 4: 02/02/2026 |
| Stocktrak Trading and Security Analysis | Week 5: 02/09/2026 |
| Chapter 9: Behavioral Finance and Technical Analysis | Week 6: 02/16/2026 |
| Chapter 16: Option Valuation | Week 7: 02/23/2026 |
| Test 1: Chapters 9, 16 | Week 8: 03/02/2026 |
| <i>Spring break</i> | Week 9: 03/09/2026 |
| Chapter 17: Futures Markets and Risk Management | Week 10: 03/16/2026 |
| Chapter 18: Evaluating Investment Performance Stocktrak Trading will end on Friday, March 27 | Week 11: 03/23/2026 |
| Test 2: Chapters 17, 18 | Week 12: 03/30/2026 |
| Group Security Analysis & StockTrak Trading Presentation | Week 13: 04/06/2026 |
| Group Security Analysis & StockTrak Trading Presentation | Week 14: 04/13/2026 |
| Group Security Analysis and Stock Trading Report due at midnight on Wednesday, April 22 | Week 15: 04/20/2026 |
| FINA 5330 Test A and Test B due at midnight on Thursday, April 30 No test for FINA 4330 | Week 16: 04/27/2026 |

Course Evaluation Methods

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

1. Tests:

For FINA 4330 students: Two tests

Tests will be designed to measure students' knowledge and understanding of course material. Tests will generally cover the topics discussed or presented in class, however, other material may be identified as exam material when appropriate. All material covered in class, readings, slides are considered fair game for tests.

For FINA 5330 students: Four tests

In addition to the two tests listed on the course schedule above, FINA 5330 students will take two additional tests:

- **FINA 5330 Test A** covers Chapters 5, 6, and 7, **due on Thursday, April 30 at midnight**
- **FINA 5330 Test B** covers Chapters 3, 4, and 15, **due on Thursday, April 30 at midnight**

***In-class tests** will consist of written tests designed to measure students' knowledge and understanding of course material. Exam questions will consist of primarily of short-answer questions and include some problems and essay-type questions.

***Online tests** will be designed to measure students' knowledge and understanding of course material. Tests will generally cover the topics discussed or presented in class, however, other material may be identified as exam material when appropriate.

Once you begin a test, you will be given a certain amount of time, depending on its length, to complete it. You can take the test at any time during the test period. Note that you are allowed only **ONE** attempt per test so please make sure you study the module material thoroughly before you begin and can devote sufficient time to complete the test. **Unless specified otherwise, each test period generally begins at midnight on Sunday and ends at midnight on Thursday.** Please note that each test will be only available for a limited time so check the course calendar and plan accordingly.

2. Individual project: Portfolio Management Project: There will be one project on the application of portfolio theory. **Due time is Sunday, February 1st at midnight. See more details in the Portfolio Management Project handout.**

3. Group project: Security Analysis and Stocktrak Trading (Active Management Portfolio)

Students will be grouped into teams of 3 to 5 members. You play with fake money but real stocks at STOCKTRAK simulation. Start trading and have fun! You can check on your performance, transaction history and your team ranking as compared to other players of the game at any time.

Trading will begin on Monday, February 2nd and end on Friday, March 27.

See more details in the Guidelines for Security Analysis and StockTrak Trading Active Management Portfolio document.

4. Assignments and Quizzes: At the discretion of the instructor, there may be various pop-quizzes, homework assignments. These activities are intended to supplement and reinforce course material. A student may be responsible for completing an activity in or outside of class.

Exam & Assignment policy:

Exams and quizzes should be taken as schedule; assignments should be submitted by the due date.

No makeup examinations, quizzes, or assignments will be allowed except for documented emergencies (*official evidence documents are required*). The student should make every effort to contact the instructor prior to the exam. All requests for make-up or accommodation made **after** the due date for an assignment or deadline for a test will be **rejected without any further consideration**.

WARNING:

Attempts to change your grade at the end of the semester by asking the instructor to “round up” or by asking for further extra credit **will be ignored**.

Grade Determination:

A = 90% or better

B = 80 – 89.99 %

C = 70 – 79.99 %

D = 60 – 69.99 %

F = less than 60%

Grading Matrix for FINA 4330:

| Instrument | Value (points or percentages) | Total |
|---|-------------------------------|------------|
| 2 Tests | 2 tests with 100 points each | 200 |
| Individual-Portfolio Management Project | | 100 |
| Quizzes | 4 quizzes with 20 points each | 80 |
| Group-Security Analysis and Stocktrak Trading Presentation and Report (Active Management Portfolio) | | 100 |
| Total possible points: | | 480 |

To determine your course grade percentage, take the total number of points that you earned (including 2 tests, Portfolio Management project, Quizzes, Group Security Analysis and Stocktrak trading presentation and report - Active Management Portfolio, and bonus points), then divide that number by the number of total possible points, i.e. 480.

Grading Matrix for FINA 5330:

| Instrument | Value (points or percentages) | Total |
|---|-------------------------------|------------|
| 4 Tests | 4 tests with 100 points each | 400 |
| Individual-Portfolio Management Project | | 100 |
| Quizzes | 4 quizzes with 20 points each | 80 |
| Group-Security Analysis and Stocktrak Trading Presentation and Report (Active Management Portfolio) | | 100 |
| Total possible points: | | 680 |

To determine your course grade percentage, take the total number of points that you earned (including 4 tests, Individual Portfolio Management project, Quizzes, Group Security Analysis and Stocktrak Trading presentation and report - Active Management Portfolio, and bonus points), then divide that number by the number of total possible points, i.e. 680.

Grade Determination:

A = 90% or better
B = 80 – 89.99 %
C = 70 – 79.99 %
D = 60 – 69.99 %
F = less than 60%

Canvas Access and Online Test Policy

All class materials, course grades, and class announcements will be posted by Canvas. *To access our course, visit uttyler.edu/canvas. You are encouraged to participate in [Canvas 101](#), a practice course designed specifically for UT Tyler students to learn and refine Canvas skills. You can practice submitting assignments, participating in quizzes, customize your profile and notifications, plus get collaboration and Canvas tips.*

Important points when using Canvas:

1. *Login using UT Tyler credentials. Contact itsupport@uttyler.edu for login assistance.*
2. *Use the HELP button at the bottom left corner of Canvas if you need assistance 24/7.*
3. *Reference your [Student Canvas Guide](#) for additional resources.*

If you have issues with Canvas access that may hinder your completion of course assignments or quizzes, you must contact UT Tyler’s IT Support staff immediately (even on weekends) and get a ticket number. You must also inform the instructor of the issue BEFORE the due date for the assignment or quiz. Claims of Canvas access problems without a ticket number or ones reported to the instructor after the passing of the deadline will be dismissed without any further consideration. Deadlines may be extended only in case of Canvas system-wide issues reported by the university. All other Canvas-related issues are regarded as personal-level access issues and you must get them resolved without letting them interfere with your coursework. Personal-level access issues are not valid reasons to ask for deadline extension.

Ensure a stable internet connection before starting online test. Have a backup plan ready, such as access to a secondary internet source (e.g., a mobile hotspot). If Wi-Fi or technical issues occur during the test: If the platform allows, attempt to re-enter the test immediately. Take a screenshot or photo of the error message or issue, ensuring that a timestamp is included. Notify the instructor via email or the course communication platform within 30 minutes of the issue. Provide documentation, such as screenshots or internet outage reports, as these are required for consideration. The instructor reserves the right to evaluate the validity of reported issues and determine the appropriate course of action. Tests disrupted due to technical issues may be administered in a different format (e.g., in-person exam or alternate questions).

University Policies & Student Resources:

University policies and student resources are available on the University website and in Canvas under “Syllabus” on the course homepage.

About this course:

UT Tyler is committed to exploring and using artificial intelligence (AI) tools as appropriate for the discipline and task undertaken. We encourage discussing AI tools' ethical, societal, philosophical, and disciplinary implications. All uses of AI should be acknowledged as this aligns with our commitment to honor and integrity, as noted in UT Tyler's Honor Code. Faculty and students must not use protected information, data, or copyrighted materials when using any AI tool. Additionally, users should be aware that AI tools rely on predictive models to generate content that may appear correct but is sometimes shown to be incomplete, inaccurate, taken without attribution from other sources, and/or biased. Consequently, an AI tool should not be considered a substitute for traditional approaches to research. You are ultimately responsible for the quality and content of the information you submit. Misusing AI tools that violate the guidelines specified for this course (see below) is considered a breach of academic integrity. The student will be subject to disciplinary actions as outlined in UT Tyler's Academic Integrity Policy.

For this course, AI is permitted only for specific assignments or situations, and appropriate acknowledgment is required. During some class assignments, we may leverage AI tools to support your learning, allow you to explore how AI tools can be used, and/or better understand their benefits and limitations. Learning how to use AI is an emerging skill, and we will work through the limitations of these evolving systems together. However, AI will be limited to assignments where AI is a critical component of the learning activity. I will always indicate when and where the use of AI tools for this course is appropriate.