Instructor Name: **Dr. Chialing Hsieh** (Pronounce: Charlene Shay)
Office Location: Business Bldg Room 137
Office Phone: 903-566-7213
Email Address: chsieh@uttyler.edu (Best Contact Method)

Office Hours: 11:30 am–12:15 pm, 1:15 pm-2 pm on Monday and Wednesday or by appointment. Contact will be also 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: Business Bldg Room 104

Class Meeting Days & Times: Monday, Wednesday 12:20 pm to 1:15 pm – Face to face  
Friday - Online

Prerequisites: ECON 2301 or ECON 2302, and ACCT 2301


Recommended Text and References: Financial Calculator - BA II PLUS by Texas Instruments is recommended.

**COURSE OBJECTIVES:**

1. **KNOWLEDGE OBJECTIVES OF THIS COURSE INCLUDE:**
   1. To develop analytical skills relevant to valuation of equity and fixed-income securities.
   2. To learn to combine various securities in order to meet specific investment objectives.

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: Not demonstrated in this class.
      D. DATABASE MANIPULATION: Required for equity data analysis.
      E. INTERNET SEARCH SKILLS: Required for project and stock research.

2. **COMMUNICATION SKILLS:**
   A. WRITTEN
      a. REPORT ORGANIZATION: Required for project reports.
      b. REFERENCING: Required project reports.
   B. ORAL: Not demonstrated in this class.

3. **INTERPERSONAL SKILLS:**
   A. TEAM-BASED ABILITIES – INTRA-GROUP AND INTER-GROUP COOPERATION: Not demonstrated in this class.
   B. LEADERSHIP: Not demonstrated in this class.
   C. CONFLICT RESOLUTION: Not demonstrated in this class.

4. **PROBLEM SOLVING (CRITICAL THINKING):**
A. CONCEPTUAL THINKING: Required in class discussion dynamics.
B. GATHERING AND ANALYZING DATA: Required for projects.
C. QUANTITATIVE/STATISTICAL SKILLS: Demonstrated in investment analysis.
D. CREATIVITY AND INNOVATION: Demonstrated in simulation and term-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 and accounting functions into investment decision making.
   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

Course Structure:
To achieve course goals, students will be required to:

1. Read Powerpoint course slides and textbook chapters.
2. Attend Classes
3. Take every test and quiz.
4. Visit course on Canvas regularly.

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

1. Four tests: The lowest test score will be dropped from the computation of your course grade.

*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 noon 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. If you cannot finish a test because of factors outside of your control such as a blackout or computer crash, you may ask the instructor for **only one other** chance to take the test **only** if fewer than 50% of the questions have been answered. For all other cases, including situations where the instructor is not able to re-set your test (because the request came too close to the deadline) your grade will be prorated based on your performance on the portion of the test completed. As an example, if you manage to complete 60% of the test when something prevents you from going any further and you got 70% on the questions you answered, your score will be 70% on the entire test. All material covered in readings, slides are considered fair game for tests.

2. **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.

3. **Extra Credit:** Students may be given opportunities to earn extra credit at the instructor’s discretion. Some possible sources of extra credit include online bonus quizzes to be announced on Canvas.

**Exam 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.**

**Grading Matrix:**

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Value (points or percentages)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 Tests</td>
<td>4 tests with 100 points each (one may be dropped)</td>
<td>300</td>
</tr>
<tr>
<td>Assignments and Quizzes</td>
<td></td>
<td>50</td>
</tr>
<tr>
<td>Bonus Quizzes</td>
<td>50 bonus points</td>
<td></td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td></td>
<td><strong>350</strong></td>
</tr>
</tbody>
</table>

**Grade Determination:**

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

To determine your course grade percentage, take the total number of points that you earned (including 3 highest Tests, Assignments, Quizzes, and Bonus quizzes), then divide that number by the number of total possible points, i.e. 350.
Canvas Access
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.

Course Outline
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.

<table>
<thead>
<tr>
<th>TOPICS</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Syllabus and Introduction</td>
<td>Week 1: 08/28/17</td>
</tr>
<tr>
<td>Chapter 1: Investments: Background and Issues</td>
<td></td>
</tr>
<tr>
<td>Chapter 1: Investments: Background and Issues (continued)</td>
<td>Week 2: 09/04/17</td>
</tr>
<tr>
<td>Chapter 2: Asset Classes and Financial Instruments</td>
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</tr>
<tr>
<td>Time Value of Money</td>
<td>Week 3: 09/11/17</td>
</tr>
<tr>
<td>Chapter 3: Securities Markets</td>
<td>Week 4: 09/18/17</td>
</tr>
<tr>
<td>Test 1: Chapters 1, 2, 3 &amp; Time Value of Money</td>
<td>Week 5: 09/25/17</td>
</tr>
<tr>
<td>Chapter 4: Mutual Funds and Other Investment Companies</td>
<td>Week 6: 10/02/17</td>
</tr>
<tr>
<td>Chapter 5: Risk and Return: Past and Prologue</td>
<td>Week 7: 10/09/17</td>
</tr>
<tr>
<td>Chapter 6: Efficient Diversification</td>
<td>Week 8: 10/16/17</td>
</tr>
<tr>
<td>Test 2: Chapters 4, 5, 6</td>
<td>Week 9: 10/23/17</td>
</tr>
</tbody>
</table>
Chapter 7: Capital Asset Pricing and Arbitrage Pricing Theory  
Week 10: 10/30/17

Chapter 10: Bond Prices and Yield  
Week 11: 11/06/17

Test 3: Chapter 7 and Chapter 10  
Week 12: 11/13/17

Thanksgiving Holiday  
Week 13: 11/20/17

Chapter 13: Equity Valuation  
Week 14: 11/27/17

Chapter 15: Options Markets  
Week 15: 12/04/17

Test 4: Chapter 13 and Chapter 15  
Week 16: 12/11/17

UNIVERSITY POLICIES AND ADDITIONAL INFORMATION THAT MUST APPEAR IN EACH COURSE SYLLABUS

UT Tyler Honor Code
Every member of the UT Tyler community joins together to embrace: Honor and integrity that will not allow me to lie, cheat, or steal, nor to accept the actions of those who do.

Students Rights and Responsibilities
To know and understand the policies that affect your rights and responsibilities as a student at UT Tyler, please follow this link: http://www.uttyler.edu/wellness/rightsresponsibilities.php

Campus Carry
We respect the right and privacy of students 21 and over who are duly licensed to carry concealed weapons in this class. License holders are expected to behave responsibly and keep a handgun secure and concealed. More information is available at http://www.uttyler.edu/about/campus-carry/index.php

UT Tyler a Tobacco-Free University
All forms of tobacco will not be permitted on the UT Tyler main campus, branch campuses, and any property owned by UT Tyler. This applies to all members of the University community, including students, faculty, staff, University affiliates, contractors, and visitors.
Forms of tobacco not permitted include cigarettes, cigars, pipes, water pipes (hookah), bidis, kreteks, electronic cigarettes, smokeless tobacco, snuff, chewing tobacco, and all other tobacco products.
There are several cessation programs available to students looking to quit smoking, including counseling, quitlines, and group support. For more information on cessation programs please visit www.uttyler.edu/tobacco-free.

Grade Replacement/Forgiveness and Census Date Policies
Students repeating a course for grade forgiveness (grade replacement) must file a Grade Replacement Contract with the Enrollment Services Center (ADM 230) on or before the Census Date of the semester in which the course will be repeated. (For Fall, the Census Date is Sept. 12.) Grade Replacement Contracts are available in the Enrollment Services Center or at http://www.uttyler.edu/registrar. Each semester’s Census Date can be found on the Contract itself, on the Academic Calendar, or in the information pamphlets published each semester by the Office of the Registrar.
Failure to file a Grade Replacement Contract will result in both the original and repeated grade being used to calculate your overall grade point average. Undergraduates are eligible to exercise grade replacement for only three course repeats during their career at UT Tyler; graduates are eligible for two grade replacements. Full policy details are printed on each Grade Replacement Contract.
The Census Date (Sept. 12th) is the deadline for many forms and enrollment actions of which students need to be aware. These include:
- Submitting Grade Replacement Contracts, Transient Forms, requests to withhold directory information, approvals for taking courses as Audit, Pass/Fail or Credit/No Credit.
- Receiving 100% refunds for partial withdrawals. (There is no refund for these after the Census Date)
- Schedule adjustments (section changes, adding a new class, dropping without a “W” grade)
State-Mandated Course Drop Policy
Texas law prohibits a student who began college for the first time in Fall 2007 or thereafter from dropping more than six courses during their entire undergraduate career. This includes courses dropped at another 2-year or 4-year Texas public college or university. For purposes of this rule, a dropped course is any course that is dropped after the census date (See Academic Calendar for the specific date).
Exceptions to the 6-drop rule may be found in the catalog. Petitions for exemptions must be submitted to the Enrollment Services Center and must be accompanied by documentation of the extenuating circumstance. Please contact the Enrollment Services Center if you have any questions.

Disability/Accessibility Services
In accordance with Section 504 of the Rehabilitation Act, Americans with Disabilities Act (ADA) and the ADA Amendments Act (ADAAA) the University of Texas at Tyler offers accommodations to students with learning, physical and/or psychological disabilities. If you have a disability, including a non-visible diagnosis such as a learning disorder, chronic illness, TBI, PTSD, ADHD, or you have a history of modifications or accommodations in a previous educational environment, you are encouraged to visit https://hood.accessiblelearning.com/UTTyler and fill out the New Student application. The Student Accessibility and Resources (SAR) office will contact you when your application has been submitted and an appointment with Cynthia Lowery, Assistant Director of Student Services/ADA Coordinator. For more information, including filling out an application for services, please visit the SAR webpage at http://www.uttyler.edu/disabilityservices, the SAR office located in the University Center, #3150 or call 903.566.7079.

Student Absence due to Religious Observance
Students who anticipate being absent from class due to a religious observance are requested to inform the instructor of such absences by the second class meeting of the semester.

Student Absence for University-Sponsored Events and Activities
If you intend to be absent for a university-sponsored event or activity, you (or the event sponsor) must notify the instructor at least two weeks prior to the date of the planned absence. At that time the instructor will set a date and time when make-up assignments will be completed.

Social Security and FERPA Statement
It is the policy of The University of Texas at Tyler to protect the confidential nature of social security numbers. The University has changed its computer programming so that all students have an identification number. The electronic transmission of grades (e.g., via e-mail) risks violation of the Family Educational Rights and Privacy Act; grades will not be transmitted electronically.

Emergency Exits and Evacuation
Everyone is required to exit the building when a fire alarm goes off. Follow your instructor’s directions regarding the appropriate exit. If you require assistance during an evacuation, inform your instructor in the first week of class. Do not re-enter the building unless given permission by University Police, Fire department, or Fire Prevention Services.

Student Standards of Academic Conduct
Disciplinary proceedings may be initiated against any student who engages in scholastic dishonesty, including, but not limited to, cheating, plagiarism, collusion, the submission for credit of any work or materials that are attributable in whole or in part to another person, taking an examination for another person, any act designed to give unfair advantage to a student or the attempt to commit such acts.

i. “Cheating” includes, but is not limited to:
   - copying from another student’s test paper;
   - using, during a test, materials not authorized by the person giving the test;
   - failure to comply with instructions given by the person administering the test;
possession during a test of materials which are not authorized by the person giving the test, such as class notes or specifically designed “crib notes”. The presence of textbooks constitutes a violation if they have been specifically prohibited by the person administering the test;

• using, buying, stealing, transporting, or soliciting in whole or part the contents of an unadministered test, test key, homework solution, or computer program;

• collaborating with or seeking aid from another student during a test or other assignment without authority;

• discussing the contents of an examination with another student who will take the examination;

• divulging the contents of an examination, for the purpose of preserving questions for use by another, when the instructors has designated that the examination is not to be removed from the examination room or not to be returned or to be kept by the student;

• substituting for another person, or permitting another person to substitute for oneself to take a course, a test, or any course-related assignment;

• paying or offering money or other valuable thing to, or coercing another person to obtain an unadministered test, test key, homework solution, or computer program or information about an unadministered test, test key, homework solution or computer program;

• falsifying research data, laboratory reports, and/or other academic work offered for credit;

• taking, keeping, misplacing, or damaging the property of The University of Texas at Tyler, or of another, if the student knows or reasonably should know that an unfair academic advantage would be gained by such conduct; and

• misrepresenting facts, including providing false grades or resumes, for the purpose of obtaining an academic or financial benefit or injuring another student academically or financially.

i. “Plagiarism” includes, but is not limited to, the appropriation, buying, receiving as a gift, or obtaining by any means another’s work and the submission of it as one’s own academic work offered for credit.

ii. “Collusion” includes, but is not limited to, the unauthorized collaboration with another person in preparing academic assignments offered for credit or collaboration with another person to commit a violation of any section of the rules on scholastic dishonesty.

iv. All written work that is submitted will be subject to review by plagiarism software.

UT Tyler Resources for Students

• UT Tyler Writing Center (903.565.5995), writingcenter@uttyler.edu

• UT Tyler Tutoring Center (903.565.5964), tutoring@uttyler.edu

• The Mathematics Learning Center, RBN 4021, this is the open access computer lab for math students, with tutors on duty to assist students who are enrolled in early-career courses.

• UT Tyler Counseling Center (903.566.7254)