Course Description
A study of the financial markets, security evaluation, efficiency of markets, investment goals, and portfolio selection. Professional investment management techniques are examined in the context of modern portfolio theory. A unified systems approach is adopted for investment selection and control.

Learning Objectives
Students will be able to understand and apply findings from selected research on:
1. Mutual funds
2. Asset allocation and portfolio management
3. Tax issues related to mutual funds and wealth accumulation
4. Consumer choice in investment and retirement accumulation

Major Course Prerequisites
FINA 5320

Required Materials
1. Copies of articles listed
2. Access to Internet, word processing, and spreadsheet programs.

Websites:
Black Board: https://bb9.tamucc.edu/webapps/login/
Supplemental Course Materials: http://faculty.tamucc.edu/sfriday/wordpress/

List of Supplies
1. Financial Calculator
2. Notebook Computer
3. Access to Internet, word processing, and spreadsheet programs

State Adopted Proficiencies/TExES competencies (COE)

Course Policies
Academic Integrity/Plagiarism.
University students are expected to conduct themselves in accordance with the highest standards of academic honesty. Academic misconduct for which a student is subject to penalty includes all forms of cheating, such as illicit possession of examinations or examination materials, falsification, forgery, complicity or plagiarism. (Plagiarism is the presentation of the work of another as one’s own work.) In this class, academic misconduct or complicity in an act of academic misconduct on an assignment or test will result in FAILURE and Censure.

Dropping a Class
I hope that you never find it necessary to drop this or any other class. However, events can sometimes occur that make dropping a course necessary or wise. Please consult with me before you decide to drop to be sure it is the
best thing to do. Should dropping the course be the best course of action, you must initiate the process to drop the course by going to the Student Services Center and filling out a course drop form. Just stopping attendance and participation WILL NOT automatically result in your being dropped from the class. November 7th, 2014 is the last day to drop a class with an automatic grade of “W” this term.

Preferred methods of scholarly citations - APA/MLA

Classroom/professional behavior
Texas A&M University-Corpus Christi, as an academic community, requires that each individual respect the needs of others to study and learn in a peaceful atmosphere. Under Article III of the Student Code of Conduct, classroom behavior that interferes with either (a) the instructor's ability to conduct the class or (b) the ability of other students to profit from the instructional program may be considered a breach of the peace and is subject to disciplinary sanction outlined in article VII of the Student Code of Conduct. Students engaging in unacceptable behavior may be instructed to leave the classroom. This prohibition applies to all instructional forums, including classrooms, electronic classrooms, labs, discussion groups, field trips, etc.

Statement of Civility (can be in place of classroom/professional behavior)
Texas A&M University-Corpus Christi has a diverse student population that represents the population of the state. Our goal is to provide you with a high quality educational experience that is free from repression. You are responsible for following the rules of the University, city, state and federal government. We expect that you will behave in a manner that is dignified, respectful and courteous to all people, regardless of sex, ethnic/racial origin, religious background, sexual orientation or disability. Behaviors that infringe on the rights of another individual will not be tolerated.

Grade Appeals*
As stated in University Procedure 13.02.99.C2.01, Student Grade Appeal Procedures, a student who believes that he or she has not been held to appropriate academic standards as outlined in the class syllabus, equitable evaluation procedures, or appropriate grading, may appeal the final grade given in the course. The burden of proof is upon the student to demonstrate the appropriateness of the appeal. A student with a complaint about a grade is encouraged to first discuss the matter with the instructor. For complete details, including the responsibilities of the parties involved in the process and the number of days allowed for completing the steps in the process, see University Procedure 13.02.99.C2.01, Student Grade Appeal Procedures. These documents are accessible through the University Rules Web site at http://www.tamucc.edu/provost/university_rules/index.html. For assistance and/or guidance in the grade appeal process, students may contact the Dean's office in the college in which the course is taught or the Office of the Provost.

Disabilities Accommodations*
The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please call or visit Disability Services at (361) 825-5816 in Corpus Christi Hall 116.

If you are a returning veteran and are experiencing cognitive and/or physical access issues in the classroom or on campus, please contact the Disability Services office for assistance at (361) 825-5816.

Statement of Academic Continuity
In the event of an unforeseen adverse event, such as a major hurricane and classes could not be held on the campus of Texas A&M University–Corpus Christi; this course would continue through the use of Blackboard and/or email. In addition, the syllabus and class activities may be modified to allow continuation of the course. Ideally, University facilities (i.e., emails, web sites, and Blackboard) will be operational within two days of the closing of the physical campus. However, students need to make certain that the course instructor has a primary and a secondary means of contacting each student.
**Relationship to Other Coursework:**
This course provides an introduction to investment management issues, which complement the broader financial management issues discussed in FINA 5320. An understanding of the investment concepts is also useful for understanding related finance concepts including corporate finance, international finance, financial statement analysis and life in general.

**Instructional Methodologies:**
Instructional techniques include lectures, student presentations, invited lectures, videotape, computer applications, class discussion, real-time securities trading, and use of electronic databases.

**Performance Evaluation, Grading, and Course Policies:**
Student success in this course is a function of their willingness to work. Those students that take the initiative to attend class on a regular basis, do all required assignments, and study a reasonable length of time for exams will do very well.

The course grade is a function of:
1. Exam 1 25%
2. Exam 2 25%
3. Attendance, Presentations, Participation and Quizzes 20%
4. Semester Project – Group 30%

The standard alphabetical grading scale is employed where:
- A: 90 – 100
- B: 80 – 89.9
- C: 70 – 79.9
- D: 60 – 69.9
- F: 0 – 59.9

I expect everyone to follow all rules of common courtesy during classroom lecture and discussion. The usage of cell phones and pagers along with disruptive items or actions are prohibited in the classroom. If a pattern of disruptive behavior persists, action will be taken to have the disruptive party removed from the course.

**Oral and Written Communication Requirements:**
Students are required to prepare formal written projects and oral presentations for the semester. Effective written communication is also necessary for exams. Students are expected to participate actively in class discussion of the topics and issues covered in the course, and will be rewarded through their class participation grade for doing so.

**Technological Applications:**
Students are required to use computer applications, computer databases, and online information services for this course. Written presentations must be prepared with word processing software and the use of computer graphics and computer-based visuals is encouraged. The semester project requires that students use computer databases and online information services.

**Ethical Perspectives:**
Securities analysis and trading may present ethical problems for both dealers and investors. While this course does not deal with securities law in depth, we will discuss such topics as insider trading, securities manipulation and fiduciary responsibilities.

**Global Perspectives:**
Securities analysis and trading is a global activity. This course considers international diversification, foreign equity and debt and derivative securities markets, foreign currency trading, and international risk management.

**Diversity:**
Career opportunities for students of all ethnic backgrounds and genders are explored.

**Political, Social, Legal, Regulatory, and Environmental Perspectives:**
The course will consider the structure and regulation of securities markets to include the SEC, CFTC, and NASD.

**Attendance Policy:**
Class attendance is mandatory and will be recorded. Students will be rewarded through their class participation score. Every absence over 2 absences for night courses will result in a 3 point reduction in the final grade.

**Order of Topic Presentation:**
The course packet contains the articles to be reviewed and read for course presentation. The class may move at a faster or slower pace depending on how the presentations and discussion progress.

**Academic Honesty:**
University students are expected to conduct themselves in accordance with the highest standards of academic honesty. Academic misconduct for which a student is subject to penalty includes all forms of cheating, such as illicit possession of examinations or examination materials, forgery, or plagiarism (the presentation of the work of another as one’s own work). The University policy of scholastic dishonesty will be strictly followed with no exceptions.

This course, and all other courses offered by the College of Business (COB), requires all of its students to abide by the COB Student Code of Ethics (available online at [www.cob.tamucc.edu](http://www.cob.tamucc.edu)). Provisions and stipulations in the code are applicable to all students taking College of Business courses regardless of whether or not they are pursuing a degree awarded by the COB.

*Required by SACS or HB2504

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**FALL 2014 Important Dates**

<table>
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<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>Wednesday, August 20, 2014</td>
<td>Classes begin</td>
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<tr>
<td>Monday, September 1, 2014</td>
<td>Labor day Holiday</td>
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<tr>
<td>Wednesday, September 3, 2014</td>
<td>Last day to late register or add a class</td>
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<tr>
<td>Friday, November 7, 2014</td>
<td>Last day to drop a class</td>
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<td>Thursday-Friday 11/7-11/8</td>
<td>Thanksgiving Holidays</td>
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<tr>
<td>Monday, December 1, 2014</td>
<td>Last day to withdraw from the University</td>
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<td>Tuesday, December 2, 2014</td>
<td>Last day of classes</td>
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<td>Wednesday, September 3, 2014</td>
<td>Wednesday Reading Day</td>
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<td>Thursday-Friday 12/4-12/5</td>
<td>Final examinations</td>
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<td>Tuesday, December 9, 2014</td>
<td>Last day to apply for December 2014 graduation</td>
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<td>Saturday, December 13, 2014</td>
<td>Fall Commencement</td>
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<tr>
<td>PART I</td>
<td>Topics</td>
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<tr>
<td>1</td>
<td>Overview of syllabus and course outline</td>
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<td>2</td>
<td>Introduction to mutual funds and selected readings</td>
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<td>3</td>
<td>Selected readings on mutual funds</td>
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<td>4</td>
<td>Selected readings on mutual funds</td>
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<td>5</td>
<td>Introduction to asset allocation and selected readings</td>
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<td>6</td>
<td>Selected readings on asset allocation</td>
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<td>**EXAM 1 ***</td>
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<td>PART II</td>
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<td>7</td>
<td>Selected readings on asset allocation</td>
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<td>8</td>
<td>Presentation of semester project progress</td>
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<td>Selected readings on mutual fund tax issues</td>
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<td>Selected readings on consumer choice</td>
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<td>PART III</td>
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<td>Presentation of semester projects</td>
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<td>Presentation of semester projects results</td>
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<td>14</td>
<td>Presentation of semester projects and review for Exam 2</td>
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<td>15</td>
<td>**EXAM 2 ***</td>
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<td><strong>Total Hours</strong></td>
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