



## FIN 3400.601 Syllabus

For additional course information, including prerequisites, corequisites, and course fees, please refer to the Catalog: <https://catalog.uvu.edu/>

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**Semester:** Spring

**Course Prefix:** FIN

**Course Title:** Investment Management

**Year:** 2025

**Course and Section #:** 3400-601

**Credits:** 3

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### *Course Description*

Overviews the field of investments. Introduces stocks, bonds, put and call options, and financial futures. Emphasizes both theory and practical aspects of investment management. Includes security valuation, market hypothesis, capital asset pricing, strategies of portfolio construction, performance measures, and risk/return relationships.

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### *Course Attributes*

This course has the following attributes:

- General Education Requirements
- Global/Intercultural Graduation Requirements
- Writing Enriched Graduation Requirements
- Discipline Core Requirements in Program
- Elective Core Requirements in Program
- Open Elective

Other: *Click here to enter text.*

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### *Instructor Information*

**Instructor Name:** Hung L. Chan

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### *Student Learning Outcomes*

1 -	Develop the necessary skill set to become professional investment managers;
2 -	Describe alternative investment instrument vocabulary and concepts;
3 -	Describe the processes necessary to effectively manage investment and security instruments;
4 -	Evaluate the application of concepts to become professional and successful in the industry.

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### *Course Materials and Texts*

*Fundamentals of Investment Analysis: An Empirical Approach 2<sup>nd</sup> Edition*, Leo H Chan, 2024 (This is a free e-textbook from me. The materials will be separated into 13 chapters and distributed within each related module.)

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## **Course Requirements**

### **Course Assignments, Assessments, and Grading Policy**

There will be 3 exams, 2 midterms plus the final exam. There will also be weekly homework assignments. All problems for the assignments are from the materials in the textbook provided and/or tutorial videos on Canvas. Solutions to the problems will be provided once the assignment is completed. There will also be quizzes, a simulated portfolio assignment and a final trading report. Homework assignments and stock trading reports are graded based on level of effort and completeness. The grade distribution is as follow:

Homework and Excel Assignments -- 20%   Exam I--15%   Exam II--15%   Final -- 25%  
Quizzes – 15%   Portfolio Assignments and Discussions – 10%

The grading scale is as follow: A: 93% (or higher) of the total possible points   A- 90-93, B+ 87-89, B 84-87, B- 80-83, C+ 77-79, C 73 – 76, C- 72 – 69, D+ 65-68, D 61-64, D- 56- 60   E: less than 55%.

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### **Required or Recommended Reading Assignments**

*Fundamentals of Investment Analysis: An Empirical Approach 2<sup>nd</sup> Edition*, Leo H Chan, 2024 (This is a free e-textbook from me.

1. *The Essays of Warren Buffett: Lessons for Corporate America*, 5<sup>th</sup> Edition, Edited by Lawrence Cunningham.
2. *One Up On Wall Street*, by Peter Lynch
3. *Contrarian Investment Strategy: A Psychological Edge*, by David Dreman

Other reading materials (research articles, newspaper articles) will be distributed on Canvas when appropriate. You are also encouraged to read business newspapers, magazines and online materials related to financial markets from around the world.

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### **General Description of the Subject Matter of Each Lecture or Discussion**

I: Introduction:

1. Behavioral Finance and the Psychology of Investing (Module 1)
2. Brief History of Risk and Return (Module 2)
3. Trading mechanism (Module 3)
4. Financial Instruments (Module 4)
5. Mutual Funds (Module 5)
6. The Stock Market (Module 6)

II: Fundamental Analysis

7. Common Stock Valuation (Module 8)
8. Analysis of Financial Statement and Relative Valuation (Module 9)

- 9. Projecting Cash Flow and Earnings (Module 10)
- 10. Bond Market and Valuation (Module 11)

### III: Market Efficiency Hypothesis and Modern Portfolio Theory

- 11. Diversification and Modern Portfolio Theory (Module 13)
- 12. Capital Asset Pricing Model the Security Market Line (Module 14)
- 13. Technical Analysis and Market Efficiency Hypothesis (Module 15)

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## ***Required Course Syllabus Statements***

### **Generative AI**

GAI is a powerful tool that will be an essential part of business and life for all of us. The use of GAI as a study aide is encouraged. I will show you how to get the most out of GAI through out the course. I will also show you the limit of GAI, and why it will change what you should learn and how you should study.

For assignments, the use of GAI as an aide is acceptable if you cite the source. For quizzes and exams, the use of GAI is prohibited. In either case, the answer you get from GAI cannot be used as a support for when your answer is marked wrong or got a zero point for a certain exam questions.

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### **Using Remote Testing Software**

This course does not use remote testing software.

This course uses remote testing software. Remote test-takers may choose their remote testing locations. Please note, however, that the testing software used for this may conduct a brief scan of remote test-takers' immediate surroundings, may require use of a webcam while taking an exam, may require the microphone be on while taking an exam, or may require other practices to confirm academic honesty. Test-takers therefore shall have no expectation of privacy in their test-taking location during, or immediately preceding, remote testing. If a student strongly objects to using test-taking software, the student should contact the instructor at the beginning of the semester to determine whether alternative testing arrangements are feasible. Alternatives are not guaranteed.

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## ***Required University Syllabus Statements***

### **Accommodations/Students with Disabilities**

Students needing accommodations due to a permanent or temporary disability, pregnancy or pregnancy-related conditions may contact UVU [Accessibility Services](#) at [accessibilityservices@uvu.edu](mailto:accessibilityservices@uvu.edu) or 801-863-8747.

Accessibility Services is located on the Orem Campus in BA 110.

Deaf/Hard of Hearing students requesting ASL interpreters or transcribers can contact Accessibility Services to set up accommodations. Deaf/Hard of Hearing services can be contacted at [DHHservices@uvu.edu](mailto:DHHservices@uvu.edu)

DHH is located on the Orem Campus in BA 112.

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### **Academic Integrity**

At Utah Valley University, faculty and students operate in an atmosphere of mutual trust. Maintaining an atmosphere of academic integrity allows for free exchange of ideas and enables all members of the community to achieve their highest potential. Our goal is to foster an intellectual atmosphere that produces scholars of integrity and imaginative thought. In all academic work, the ideas and contributions of others must be appropriately acknowledged and UVU students are expected to produce their own original academic work.

Faculty and students share the responsibility of ensuring the honesty and fairness of the intellectual environment at UVU. Students have a responsibility to promote academic integrity at the university by not participating in or facilitating others' participation in any act of academic dishonesty. As members of the academic community, students must become familiar with their [rights and responsibilities](#). In each course, they are responsible for knowing the requirements and restrictions regarding research and writing, assessments, collaborative work, the use of study aids, the appropriateness of assistance, and other issues. Likewise, instructors are responsible to clearly state expectations and model best practices.

Further information on what constitutes academic dishonesty is detailed in [UVU Policy 541: Student Code of Conduct](#).

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### **Equity and Title IX**

Utah Valley University does not discriminate on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age (40 and over), disability, veteran status, pregnancy, childbirth, or pregnancy-related conditions, citizenship, genetic information, or other basis protected by applicable law, including Title IX and 34 C.F.R. Part 106, in employment, treatment, admission, access to educational programs and activities, or other University benefits or services. Inquiries about nondiscrimination at UVU may be directed to the U.S. Department of Education's Office for Civil Rights or UVU's Title IX Coordinator at 801-863-7999 – [TitleIX@uvu.edu](mailto:TitleIX@uvu.edu) – 800 W University Pkwy, Orem, 84058, Suite BA 203.

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### **Religious Accommodation**

UVU values and acknowledges the array of worldviews, faiths, and religions represented in our student body, and as such provides supportive accommodations for students. Religious belief or conscience broadly includes religious, non-religious, theistic, or non-theistic moral or ethical beliefs as well as participation in religious holidays, observances, or activities. Accommodations may include scheduling or due-date modifications or make-up assignments for missed class work.

To seek a religious accommodation, a student must provide written notice to the instructor and the Director of Accessibility Services at [accessibilityservices@uvu.edu](mailto:accessibilityservices@uvu.edu). If the accommodation relates to a scheduling conflict, the notice should include the date, time, and brief description of the difficulty posed by the conflict. Such requests should be made as soon as the student is aware of the prospective scheduling conflict.

While religious expression is welcome throughout campus, UVU also has a [specially dedicated space](#) for meditation, prayer, reflection, or other forms of religious expression.