



FIN 3400.X02 Syllabus

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

Semester: Spring

Year: 2025

Course Prefix: FIN

Course and Section #: 3400 X02

Course Title: Investment Management

Credits: 3.0

Course Description

This course overviews the field of investments; introduces stocks, bonds, put and call options, commodity and financial futures; emphasizes both theory and practical aspects of investment management; and includes security valuation, market hypothesis, capital asset pricing, strategies of portfolio construction, performance measures, and risk/return relationships.

This is a required course for all finance majors. Some upper-level finance elective courses require this course as a prerequisite.

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.*

Instructor Information

Instructor Name: Professor Tairsa Mathews

Student Learning Outcomes

Overviews the field of investments. Introduces stocks, bonds, put and call options, commodity 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.

Course Materials and Texts

Required materials, fees and technology

- *Fundamentals of Investment Analysis: An Empirical Approach* by Leo H Chan **You do not need to buy the textbook; it is in the course.**

- **High speed internet connection.** There are many videos you will need to watch as part of this course. You will benefit from a strong internet connection. If you do not have access to a high speed connection, you might consider using the internet on UVU campus.
- **Laptop or desktop computer.** A lot of the content in this course will work on a mobile device, however, for the best experience I recommend using a laptop or desktop computer that has a web browser installed.

Optional materials, fees and technology

For those of you who like to have a more structured textbook, I recommend the following textbook.

- *Fundamentals of Investments: Valuation and Management - 8th Edition* by Joron, Miller, and Dolvin

Course Requirements

Course Assignments, Assessments, and Grading Policy

Course Mode: Asynchronous Online

This is an online only course.

Description of How the Course Works:

This class will be run entirely through Canvas. Students should check the course website on Canvas daily during the course to see announcements, view lecture material, obtain information on changes to the class schedule, complete assignments, or for other matters.

Much of this class will be done online according to your own schedule. However, you will be expected to learn a set amount of material each week. Keeping up with the material is essential to doing well in the course. Most material can be accessed through the Modules section in our Canvas course.

For this three (3) credit-hour course students should expect to spend up to 9+ hours a week completing course activities.

Please note that homework and quizzes are due on Thursdays. Often online courses are set up to function as a Monday - Sunday week. Since this course's due dates are on Thursday, you may want to **see the course's weekly start as Friday.** The weekend would be the reading/prep time with questions for the instructor M-Th.

Student Responsibilities:

- *Start class the first week of the term.*
- *Be accountable by setting aside regular time each week to complete course activities and assignments on time as noted per the due dates.*
- *Learn how to use Canvas including communication tools (e.g. discussion, Canvas inbox, etc.). Learn how to use Microsoft Teams to hold video/voice meetings, post chats, and retrieve files. If you have technology-related problems contact the [Service DeskLinks to an external site.](#)*
- *Abide by ethical standards. Your work must be your own.*
- *Contact your instructor as early as possible if an emergency arises. Do NOT wait until the last minute to ask for an extension.*

Instructor Responsibilities:

- *Respond to messages within ONE business day. If multiple messages are received regarding the same question or concern, they may be responded to with an announcement to the entire class.*
- *Provide timely, meaningful and constructive feedback on assignments.*
- *Facilitate an effective learning experience.*
- *Refer students to appropriate services for issues that are non-course content specific. For instance, technical issue, writing labs, accessibility services, etc.*

- *Mentor students through the course.*

Inclusion Statement

“Come as you are. UVU has a place for you.”--President Tuminez.

Your experience in this class is important to me, and it is my intent to create an inclusive and equitable climate to foster a safe and successful learning environment. Please feel free to contact me if you would like to talk about any suggestions and/or concerns. If that feels uncomfortable to you, you can also contact the [Inclusion and Diversity Committee Links to an external site.](#) to ask for help and support.

Grading Scale:

The following grading standards will be used in this class:

Grade	Percent
A	94-100
A-	90-93
B+	87-89
B	83-86
B-	80-82
C+	77-79
C	73-76
C-	70-72
D+	67-69
D	63-66
D-	60-62

E	0-59
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Assignment Categories

Activity	Percent
Homework	15%
Participations	5%
Quizzes	15%
Exams	65%

Late Work Statement:

It is important that you keep up with the due dates for the assignments. If you don't do the assignments before attempting the quizzes or the exams, you will not be able to do well. For an online course, it would be impossible to catch up once you fall behind. As such, the policy for late work will be strict. **Unless you have documented excuses, no late work will be accepted without penalties.**

Assignments:

The majority of the assignments are quantitative problems. They're intended to give you the opportunity to test your understanding of the quantitative reasoning skills that is the most important component of this course.

Discussions:

The discussions are intended to help you understand current or major events/topics from the past related to the financial markets.

Discussions will be opportunities to explore topics together. Posts to the discussion should add significantly to the conversation and support your point of view. *Comments that do not add significantly to a discussion will receive **no credit**.* It is okay to disagree in a discussion. In fact, much learning happens when we disagree. However, we need to be respectful and keep our online classroom a safe place to learn.

Due dates for discussions correspond with the initial post date which is usually a **Thursday**. Follow-up comments are due by Sunday. Follow-up posts are expected to be after the due date and are not marked late. Discussions conclude by the **Sunday** following the due date. After this, posts will be marked late.

Assessments:

Quizzes and exams are on Canvas. There are weekly quizzes and two exams and a final.

The quiz and exam questions will be similar to those you should expect from professional certification/licensing exams. Due to the open book/note nature of these assessment tools, you should expect very few memorizations of terminologies. Instead, the quizzes and exams will assess your ability to complete financial math, financial products, and the pricing of these products. You're also expected to be able to recall the skills you've acquired from accounting, economics, and mathematics courses and apply them in this course. There will be very little (if any) review of these skills in this course and it is implicitly assumed that you have a good understanding of them. Please make sure that you brush up on those bits of knowledge if it has been a while since you've taken those courses.

Required or Recommended Reading Assignments

Fundamentals of Investment Analysis: An Empirical Approach by Leo H Chan **You do not need to buy the textbook; it is in the course.**

General Description of the Subject Matter of Each Lecture or Discussion

Module 1: Introduction and the History of Return and Risk

Module 2: Behavioral Finance and Investment Psychology

Module 3: Trading Mechanisms

Module 4: Financial Instruments

Module 5: The Stock Market

Module 6: Mutual Funds and EFTs

Module 7: Common Stock and Preferred Stock Valuation

Module 8: Financial Statement Analysis and Relative Valuation Methods

Module 9: The Bond Market: Pricing and Returns of Bonds

Module 10: Modern Portfolio Theory

Module 11: Capital Asset Pricing Model and Performance Evaluation

Module 12: Efficient Market Hypothesis and Technical Analysis

Required Course Syllabus Statements

Generative AI

AI programs are not a replacement for your human creativity, originality, and critical thinking. Writing, thinking, and researching are crafts that you must develop over time to develop your own individual voice. At the same time, you should learn how to use AI and in what instances AI can be helpful to you.

The use of generative AI tools (e.g. ChatGPT, Google Bard, etc.) is permitted in this course for the following activities:

- Brainstorming and refining your ideas;
- Finding information on your topic; and
- Checking grammar and style.

The use of generative AI tools is ***not permitted*** in this course for the following activities:

- Impersonating you in classroom contexts, such as by using the tool to compose discussion board prompts/responses assigned to you or content that you put into a Teams/Canvas chat.
- Writing a draft of a writing assignment.
- Writing entire sentences, paragraphs or papers to complete class assignments.

You are responsible for the information you submit based on an AI query (for instance, that it does not violate intellectual property laws, or contain misinformation or unethical content). Your use of AI tools must be properly documented and cited in order to stay within university policies on academic honesty. Any student work submitted using AI tools should clearly indicate what work is the student's work and what part is generated by the AI. In such cases, no more than 25% of the student work should be generated by AI. If any part of this is confusing or uncertain, please reach out to me for a conversation before submitting your work.

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.

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 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

DHH is located on the Orem Campus in BA 112.

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](#).

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 – 800 W University Pkwy, Orem, 84058, Suite BA 203.

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. 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.