



FIN 4270

Wealth Management Seminar

Spring 2025

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 #: 001

Course Title: Wealth Management Seminar

Credits: 3

Course Description

This course is designed as an advanced wealth management seminar. A brief review of investment principles and theory will be followed by an in-depth discussion of the wealth management process by the class and with professionals from the industry. Text and reading materials will consist of CFP and CFA recommended reading as well as current events and relevant academic research.

Upon successful completion of this course, students should be able to:

1. Apply basic investment principles to the process of client centered wealth management
 2. Understand the practical and theoretical basis of portfolio creation. Create an efficient portfolio based on individual risk tolerance
 3. Learn the process of wealth management and apply principles of behavioral finance to a long-term planning scenario
 4. Apply learning outcomes 1-3 to case studies and real-life scenarios
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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.*

Instructor Information

Instructor Name: Scott Stratton,

Student Learning Outcomes

The expected learning outcomes for the course will be assessed through: an exam, participation, labs & assignments, along with final case. The class will be conducted in a lecture/discussion format. Be prepared to discuss and ask questions about the material assigned for each class period. This will require that you read the material prior to the class period during which it will be discussed. Although many of the issues covered in the readings will be discussed in class, all the areas covered in the readings will not be part of class discussion. You are required to participate in class. Participation is based on class attendance, preparedness, and exhibiting a positive attitude, as demonstrated by attentive, courteous, and respectful behavior at all times. The nature of this course encourages an interactive forum, and everyone has something valuable to contribute. Disruptive or rude behavior includes side conversations and using technology as a distraction. Any such action will not be tolerated.

Upon successful completion of this course, students should be able to:

1. Apply basic investment principles to the process of client centered wealth management.
2. Understand the practical and theoretical basis of portfolio creation. Create an efficient portfolio based on individual risk tolerance.
3. Learn the process of wealth management and apply principles of behavioral finance to a long-term planning scenario. Create an IPS for a client.

Apply learning outcomes 1-3 to case studies and real life scenarios

Course Materials and Texts

Required: The New Wealth Management, *Evensky, Harold; Horan, Stephen; Robinson, Thomas*. Wiley Publishing. (2011).

Investments Principles of Portfolio and Equity Analysis, *McMillan, Pinto, Pirie, Van de Venter*. Wiley Publishing. (2011).

Additional readings and articles on Canvas

Elective: *Basic Investments textbook for reference– whichever one you want (I recommend Basic Investments by Mayo)*

7 Twelve, *Israelsen, Craig*. (2009).

Selling the Invisible, *Beckwith, Harry*. Warner Books. (1997).

Principles of Finance with Excel, *Benninga, Simon*. Oxford University Press. (2011).

Materials: Texas Instruments BAI Plus is recommended. But, any CFP Board approved calculator will do (<http://www.cfp.net/become/exam.asp>). Bring your financial calculator to class every day.

Excel or equivalent spreadsheet software for investment and portfolio analysis.



Course Requirements

Course Assignments, Assessments, and Grading Policy

Merely attending class does not, in any way, earn you a grade and not attending class will easily earn you a failing grade. It is the expectation and part of your grade the you participate. This course is difficult and requires you to invest time in order to master the material. You may be learning new skills with spreadsheets as you learn to apply the principles of investments and portfolio analysis. Grades of “A are reserved for those students demonstrating a mastery of material and a high level of performance and participation in class.

Weights for Grade Calculations:
ADD PROFESSIONAL POINTS
ADD QUIZZES FROM INVESTMENTS TEXT
REDUCE EXCEL WORK FOR EASIER GRADING & ADD PPTS

Professional Points and Activities	5%
Attendance, Engagement and Speaker Analysis	25%
Reading & Discussion & Quizzes	10%
Excel Assignments & Labs	25%
Investments Exam	10%
Final Case Project & Presentation	25%
TOTAL POINTS:	1000 = 100%

Final Grades will be determined by the following schedule:

A: 930 to 1,000	B: 830 to 869.9	C: 730 to 769.9	D: 630 to 669.9
A-: 900 to 929.9	B-: 800 to 829.9	C-: 700 to 729.9	D-: 600 to 629.9
B+: 870 to 899.9	C+: 770 to 799.9	D+: 670 to 699.9	F: below 600

Grades of "I" (incomplete) will not be given to students who merely do not come to class, have failed to satisfactorily complete the course. Refer to the University's policy regarding incompletes for further information.

Professional points are made up of You will need 50 points from the following professional activities: Students will need to attend out-of-class professional events or participate in activities over the course of the semester. These events include: conducting interviews with a non-relative professional (10 points each, 10 points max.), attending the career fair (10 points each, 10 points max), PFP guest speakers in a class in which you are not enrolled (10 Points each, 10 points max), local professional meetings such as Utah FPA meetings or FSP meetings in SLC) (20 points each, 40 points max.), attending Student Financial Planning Association meetings (10 points each, 20 points max.), attending a national event sponsored by PFFA (e.g., Schwab Impact, TD Ameritrade, T3 Technology Conference, NAPFA) (40 points max). From time to time in class, other meetings and event will be announced that will also fulfill this assignment. Students must prepare a one-page (double-spaced) summary of each event attended for credit explaining what they learned and how it influenced your perspective of profession. A current listing of major scheduled events are located on UVU's PFP website <http://www.uvu.edu/woodbury/personal-financial-planning/events/index.php>.

Required or Recommended Reading Assignments

Course Outline

Date	Topic	Reading/Discussion	Due Dates, etc.
Week 1 Jan 8	<u>Online: Canvas Into Module and class recording on Indices</u> Syllabus, Course Outline Security Market Indices	Investments 2	Into Discussion
Week 2 Jan 15	<u>Meet Live in Classroom KB 446</u> Market Organization and Structure	Investments 1	Investments Discussion Ch1&2 Quiz #2
Week 3 Jan 22	<u>Meet Live in Classroom KB 446</u> Market Efficiency	Investments 3	
Week 4 Jan 29	<u>Online: Watch Class Recording on Canvas or MS Teams</u> Portfolio Management: An Overview	Investments 4	Quiz #1 Investments Discussion Ch 3&4
Week 5 Feb 5	<u>Meet Live in Classroom KB 446</u> Portfolio Risk and Return: Part I	Investments 5	
Week 6 Feb 12	<u>Meet Live in Classroom KB 446</u> Portfolio Risk and Return: Part II	Investments 6	Investments Discussion 5&6 Quiz #3
Week 7 Feb 19	<u>Meet Live in Classroom KB 446</u> Investments Exam Wealth Management Process Introduce Labs, Discuss MF Lab 1 work on Labs – Work on MF Lab1	NWM CH. 1	Wealth Mgt Discussion #1
Week 8 Feb 26	<u>Meet Live in Classroom KB 446</u> Wealth Management Process Fiduciary & Professional Standards Alternative Investments (Guest Speaker: Jeni Connors)	NWM CH. 2 &3	Lab: MF Lab 1

Week 9 Mar 5	<u>Online: Meet Live on MS Teams</u> Client Goals & Constraints Risk (measurement) (Guest Speaker: Craig Rollins)	NWM CH. 4	Wealth Mgt Discussion #2
Week 10 Mar 12	Spring Break!!! No Classes!!!		
Week 11 Mar 19	<u>Meet Live in Classroom KB 446</u> **(Guest Speaker: Possible)** Morning Star, Other Investment Searches, Discuss Lab Status and Initial Portfolio Creation Discussion along with Final Portfolios and Presentations	NWM CH. 8	Lab: MF Optimization
Week 12 March 26	<u>Meet Live in Classroom KB 446</u> The journey of an Investment Advisor (Guest Speaker: CJ Harrison)	NWM CH. 10	Wealth Mgt Discussion #3
Week 13 April 2	<u>Meet Live in Classroom KB 446</u> Asset Allocation (Guest Speaker: Craig Israelsen)	NWM CH. 9	Lab: M-star Fund Selection
Week 14 April 9	<u>Meet Live in Classroom KB 446</u> (Guest Speaker: TBD) **Work on Portfolios**	NWM CH. 11 NWM CH. 13	Wealth Mgt Discussion #4
Week 15 April 16	<u>Meet Live in Classroom KB 446</u> Additional class discussion on Final Portfolios and Presentations as needed. Portfolio Management Performance Appraisal & Evaluation Discussion on IPS	NWM CH. 14 & 15	Lab: Portfolio Creation Wealth Mgt Discussion #5
Week 16 April 23	Last day of Classes Spring semester is April 22 This is a UVU Interim Day		
April 24- April 30	FINAL – Presentations & Submit Final Portfolio and Risk Adj Portfolio Allocation Analysis		Final Portfolio

Dates are subject to change with advanced notice.

General Description of the Subject Matter of Each Lecture or Discussion

*See course outline above

Required Course Syllabus Statements

Generative AI

Use of AI with Proper Attribution

Why use: Dive into the digital age of learning by integrating AI tools seamlessly into your academic journey, while acknowledging their influence.

Guidelines:

Embrace Tech: You're free to use AI tools across your coursework to enhance and refine your work; except, as otherwise specified in the course.

Citation is Crucial: When drawing insights, data, or content from AI, you must cite the tool used, similar to how you would reference a textbook or research paper.

Maintain Originality: Your submissions should contain a balance of original thought and AI-assisted content. Your unique perspective and voice should always be dominant.

Feedback Loop: Engage with your instructors about your use of AI. Their insights can help you utilize these tools in a more enriching way.

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.