



## FIN 4290.001 Technology Applications in PFP

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

**Year:** 2025

**Course Prefix:** FIN

**Course and Section #:** 4290-001

**Course Title:** Technology Applications in PFP

**Credits:** 3

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### ***Course Description***

This course will provide an overview of various financial planning software packages used in a modern financial planning firm. We have partnered with major software companies in the U.S. to create this course. Students will study in a self-motivated environment to become proficient (or certified) in the requisite number of software packages. For available certifications, students will complete training requirements as outlined by each software company.

Students will be assessed in the course using the following methods (descriptions are included in the following sections:

- Completion of assignments or certification in software packages chosen from the list of available software (packages may occasionally be unavailable due to changes by the vendors).
  - Completion of an integration project at the end of the course.
  - Completion of quizzes related to the course reading material.
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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:** Qianwen (Rachel) Bi

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### ***Student Learning Outcomes***

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

1. Understand the integration of software packages into a business model for financial advisory firms and describe the current technology options available to firms.

2. Describe the general purpose of each of the five major software categories (Financial Planning, Client Relationship Management, Office Support, Portfolio Management, and Research & Specialty) and demonstrate a base level of proficiency in each category.
  3. Acquire certification in software packages where the software provider has an established certification program.
  4. Explain the purpose of software integration among the firm's software platform.
  5. Explain the strengths and weaknesses of various software packages based upon attributes of different financial advisory firms.
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## ***Course Materials and Texts***

**Textbook:** None. There will be assigned reading materials and quizzes associated with them.

- All required financial industry software will be provided or available for download at no cost to the student, unless the student chooses an optional program that requires a fee.
  - Some assignments require reports to be written so students will need access to word processing and spreadsheet software, preferably Microsoft Office or equivalent products.
  - Students may need to use a personal computer to use the software for this course. It is preferable that students use a Windows 7 or higher computer since most of the software is optimized for Windows-based computers and Microsoft Internet Explorer (IE) software. Apple computers are not recommended for this class and the inoperability of the software on an Apple computer will not be accepted as an excuse for any reason in this course.
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## ***Course Requirements***

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

- Attendance/Participation:

Students are expected to come prepared for class each day especially assigned reading material. Students are also responsible for understanding and following the syllabus. Students are allowed to have one absence for the semester. Coming late or leaving earlier will be counted as absence. I will take roll on presentation/demo and guest lecture days. Students are expected to act professionally especially for guest lecture days. Students, who consistently come late, are disruptive in class, and/or generally decrease the quality of the course for others may be docked at the instructor's discretion. While occasional mishaps are understandable, patterns of consistent disruption and underperformance will result in a steep point reduction or failing grade. Any student who is disruptive or inattentive (includes non-course related material up on a computer screen) during a guest lecture will be excused and receive a point reduction (up to 50 points).

Note: When teaching live stream, students are required to turn on their cameras during the class to get attendance and participation points.

- Professional Points:

Students will need to attend out-of-class professional events or participate in activities over the course of the semester. These events include: Resume review at the career center (10 points each, 10 points max.), mock interview at the career center (10 points each, 10 points max.), conducting interviews with a non-relative professional (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., FPA, AICPA PFP, 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 good quality 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>"

- **Software/Homework:**

All homework assignments and projects must be uploaded as Microsoft Word, Excel or PDF documents through Canvas. Except when directed to do so, no handwritten work will be accepted. Make sure your name appears on the first page of your assignments. Students are expected to turn in their own work. Students caught copying others' work (even work from a previous semester) will receive a zero for the assignment and/or an "F" for the course at my discretion. Assignments are most often due at the beginning of class or as outlined on the course outline. There will be a 10% reduction in points for each day the assignment is late. No assignments will be accepted more than one week late.

- **Service-Learning Integration project:**

Students will be responsible for completing an analysis of a financial planning firm's technology platform during the semester. Two assignments will be related to this analysis: First, the students will work individually on this report describing what they have discovered on the company's technology platform for the assigned tasks from their groups. The purpose of this report is to make sure that they contribute their effort in the group project (Worth 20 points). Second, the students will complete an integration report building on the analysis of the firm's current technology platform. Details on the content and format of the project will be provided in the course. Students will be allowed to work in small teams to complete the final executive summary and the final presentation in front of the company representative. (Worth 80 points). The report with recommendations must be completed by the required due date as indicated in the schedule. Serving as the final project for this class, students are required to participate in the integration project for passing the class.

You will be graded on your presentation skills and a written plan that you will submit to the firm. The objective of this final project is to apply your new-found technological expertise in a way that will benefit your future employers. Assessment will be based on the grading rubrics (found on Canvas) and the in-class lecture & discussion on presentation skills. If you do not come on the day of the final you will receive no points. Those who are excessively late will receive a severe deduction. Additional details will be discussed in class and are available on Canvas. This project will take more than 20 hours of working load for each student. Please be prepared to work on it based on the course schedule.

- **Quizzes:**

Three quizzes are assigned predominantly based on the knowledge students gained from guided research on Financial Planning Software, CRM, and Portfolio Management Software. See Canvas for detailed assignment instruction.

- **Communication with the Instructor:**

I will communicate with class members through e-mail. All e-mail will be sent through the University e-mail system or through Canvas. Students will be held responsible for all e-mail sent to their Canvas or University e-mail account (regardless of whether or not it was forwarded to another account). I'll do my best to answer your e-mails or post a message to the discussion board as soon as possible.

- **Communication with the Software Providers:**

DO NOT contact the software providers without permission from the instructor or teaching assistant. The software providers have allocated time and resources to help us build this course. Bombarding them with duplicate questions may put our carefully crafted relationships in jeopardy (and we don't want that to happen). All communication with the software providers must happen through or with

permission from the instructors. Any unapproved contact by students with the software companies will result in the student being banned from using that software toward earning a grade in the class.

## Grading

Your course grade is based on the following weights and scale:

	<u>Weight</u>				
Attendance/Participation	5%	<b>A</b>	[93 – 100]	<b>C</b>	[73 – 77]
Professional Points	5%	<b>A-</b>	[90– 93)	<b>C-</b>	[70 – 73)
Quizzes	5%	<b>B+</b>	[87 – 90)	<b>D+</b>	[67 – 70)
Integration Project	15%	<b>B</b>	[83 – 87)	<b>D</b>	[63 – 67)
Software Packages	70%	<b>B-</b>	[80 – 83)	<b>D-</b>	[60 – 63)
<b>Total</b>	<b>100%</b>	<b>C+</b>	<b>[77 – 80)</b>	<b>E</b>	<b>[0 – 60)</b>

## Required or Recommended Reading Assignments

- Fundamentals of FINANCIAL PLANNING, Money Education. 3rd edition
- Drucker, D. and Bruckenstein, J., Technology Tools for Today’s High Margin Practice, 2013. ISBN: 978-1-118-43476-5

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

### PFP Technology Software Packages:

<u>Planning Software:</u>	<i>Max pts. possible</i>
<b>MoneyGuidePro (MGP)</b>	<b>100</b>
<b>eMoney</b>	<b>100</b>
RightCapital*	75
Naviplan	75
MoneyTree*	75
Advyzon	75

### Client Relationship Management (CRM):

<b>Advisor Engine CRM</b>	<b>75</b>
Salesforce*	75
Redtail Technology*	75
Wealthbox	75

### Portfolio Management:

<b>MorningStar Office</b>	<b>100</b>
<b>The E-valuator</b>	<b>75</b>

### Research & Specialty:

<b>Bloomberg Certificate</b>	<b>100</b>
AdvisorPeak	75
Holistiplan	75
Riskalyze	75
NetDocuments*	50
Social Media	25

*Bold packages are required*

*\* Recommended packages for self-pick*

## Schedule

“Students who need accommodations because of a disability may contact the UVU Accessibility Services Department (ASD), located on the Orem Campus in LC 312. To schedule an appointment or to speak with a counselor, call the ASD office at 801-863-8747. Deaf/Hard of Hearing individuals, email [nicole.hemmingsen@uvu.edu](mailto:nicole.hemmingsen@uvu.edu) or text 385-208-2677.”

### SCHEDULE

Week	Date	Assigned Reading and Topic in-class	Assignments
1	1/7	<b>Syllabus</b> <b>Course Outline</b> <b>Case Introduction</b> <b>Financial Planning Software Overview</b> Reading: Case Study Quiz: Financial Planning Software	
2	1/14	<b>MGP Intro</b> Reading: Case Study Quiz: Financial Planning Software	
3	1/21	<b>MGP Intro</b> Reading: Financial Planning Software Quiz: Financial Planning Software	Quiz – Financial Planning Software Due
4	1/28	<b>Portfolio Management Overview</b> <b>Morningstar Office Intro</b> Reading: Financial Planning Software Quiz: Portfolio Management Software	MGP Assignment Due
5	2/4	<b>Morningstar Intro</b> Reading: Financial Planning Software Quiz: Portfolio Management Software	
6	2/11	<b>E-Valuator Intro</b> Reading: Financial Planning Software Quiz: Portfolio Management Software	Morningstar Office Assignment Due Quiz: Portfolio Management Software Due
7	2/18	<b>CRM Software Overview</b> <b>Advisor Engine CRM Intro</b> Reading: Portfolio Management Software Quiz: CRM Software	
8	2/25	<b>Advisor Engine CRM Intro</b> Reading: Portfolio Management Software Quiz: CRM Software	E-Valuator Assignment Due Quiz: CRM Software Due
9	3/4	<b>eMoney Certificate (Online)</b>	Advisor Engine CRM Software Due
10	3/18	<b>Integration Project Overview</b> <b>Company Intro (TBD)</b> Reading: Company Facts Sheet & Integration Project Instruction	
11	3/25	<b>Bloomberg Certificate Intro (in the Bloomberg Lab)</b>	eMoney Certificate Due
12	4/1	<b>Redtail CRM Intro</b>	Self-pick Assignment List Due
13	4/8	<b>Integration Project Group Work</b> <b>All Assignments Q&amp;A</b>	
14	4/15	<b>Integration Project Group Discussion Q&amp;A</b>	Integration Project Individual Progress Report Due
15	4/22	<b>Integration Project Presentation I (Group 1-2)</b>	Integration Project Group Executive Report Due (All Groups)
Final	4/24 1 pm – 2:50 pm	<b>Integration Project Presentation II (Group 4-7)</b>	Bloomberg Certificate Due Self-pick Assignments Due Professional Points Due SRI Due

**Note:** The instructor reserves the right to make changes to this syllabus during the semester.  
Any changes will be announced in class and posted in Canvas.

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

### **Generative AI**

Generative AI is a subset of artificial intelligence models capable of generating new content, be it text, images, music, or other forms of data. By learning patterns from existing large amounts of data, these models can produce novel outputs that were not part of their training set, mimicking the style and structure of the learned data.

### ***General Guidelines for AI Use***

**Data Protection** – You should not enter confidential data into publicly-accessible generative AI platforms. Information relayed to generative AI platforms under standard configurations lacks confidentiality and may reveal crucial or protected information to unintended recipients.

**AI Limitation** – Content produced by AI can be imprecise, deceptive, or wholly fabricated (often termed "illusions") or might encompass copyrighted elements. You hold accountability for any content you disseminate that incorporates material generated by AI.

**Transparency & Disclosure** – If you use AI-generated content in your work, proper citation is required. Review your syllabus carefully, if not clear, communicate with your instructor on how much AI-generated work is allowed to use in each assignment.

### **Guidelines for this course:**

**Embrace Tech:** You're free to use AI tools across your coursework to enhance and refine your work.

**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.

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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.

## ***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.