FIN 483R.001 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 #: 483r-001
Course Title: Financial Planning Colloquium
Credits: 1

Course Description

The Financial Planning colloquium class helps introduce the students to a number of firms from a variety of different corners in the financial services industry. In addition to networking, it allows students to see the differences that exist between different employers in the same industry. Operationally, culturally, structurally, etc.

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: Luke Dean

Student Learning Outcomes

COURSE OBJECTIVE: To prepare students to understand the differences in responsibilities and expectations between various financial planning firms and positions within firms. The knowledge regarding these differences will help students to self-select into successful internships, jobs, and/or careers in financial planning where there is a better fit between the students desires and the firms needs.

Each week we will be having a guest speaker or visiting a firm. They will talk about how they reached this point in their careers, and they will discuss their practice, how it functions, and how they serve clients, and how they are compensated.

Course Materials and Texts

No required text or calculator. But students will need to research a lot of firm websites, Form ADV pages, FINRA brokercheck, LinkedIn, and other prominent podcasts/blogs/publications in financial planning.

Course Requirements

Course Assignments, Assessments, and Grading Policy
GRADING:
Grades for the course will be computed by combining the points for attendance, participation, and pre-class research. The anticipated points breakdown for a site visit are:

BEFORE CLASS:
4 PTS _____ 10-15 minutes researching the firm on their site and others
3 PTS _____ Reading professional profiles of guest speakers (site, LinkedIn)
3 PTS _____ Checking FINRA BrokerCheck and SEC Form ADV of firm/advisor
10 PTS _____ TOTAL POINTS for Site Visit (you summarize what you learned & submit)

DURING CLASS:
10 PTS _____ On time, physically & mentally present the entire hour, stay til end of class. Camera on you for the entire class, entire semester when joining remotely.
10 PTS _____ TOTAL POINTS for Site Visit

Other possible make-up work assignments for missed classes, limited amount of makeup allowed unless you have permission in advance from professor:
10 PTS for lunch with a professional
10 PTS for site tour at a real firm
10 PTS for Resume assignment.
10 PTS for Cover Letter assignment.
10 PTS for Mock Interview.
20 PTS for going through Caleb Brown's process @ New Planner Recruiting

REQUIRED ADDITIONAL ASSIGNMENTS:
10 PTS for Creating an account with the CFP® Board
10 PTS for Writing Thank you Notes to the 3-4 firms/professionals that resonated with you the most.
20 PTS for attending the PFP Banquet and/or Speed Networking Event

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Required or Recommended Reading Assignments
Listed in projected course calendar.

General Description of the Subject Matter of Each Lecture or Discussion
Listed in projected course calendar.

Projected Schedule/Course Calendar. (Likely to change as semester progresses.)

PROJECTED SCHEDULE

(Schedule will adjust throughout semester, firms will fill in dates as we schedule them).

DATE			LOCATION
1/6	**Part 1: Student and Professor Intros**	**Syllabus, Form ADV & FINRA Broker Check (any Intro's missed)**	**Resume, Mock Interview. Create CFP® Board account**
1/13	**Peterson Wealth Advisors (Orem, UT)**	**Alek Johnson & Alex Call**	**In Person KB 405 + food**
1/20	**MLK Jr HOLIDAY**	**NO CLASS**	NO CLASS
1/27	**Vanguard**	Fedora Hunsaker, Davis Beazer, Braden Bailey	**Livestream on Teams**
2/3			Livestream on Teams
2/10	**12 Tribes of Financial Planning**	Luke Dean	Livestream on Teams
2/17	**PRESIDENTS DAY**	NO CLASS	NO CLASS
2/24			Livestream on Teams
3/3			Livestream on Teams
3/10			Livestream on Teams
3/17			Livestream on Teams
3/24			Livestream on Teams
3/27	Class this week will be March 27th PFP Spring Banquet		3/27 Interviews Speed Networking. Smart students arrive early and linger longer!
3/31			
4/7			
4/14			
4/21	**THANKSGIVING BREAK**	NO CLASS	**NO CLASS**
4/28			Livestream on Teams
			Livestream on Teams
			Livestream on Teams
	Follow major writer in PFP. Assign sites to follow: NewPlannerRecruiting, Nerds Eye View blog, Bob Veres Inside Information, "Youre a Planner Now What", "The Reformed		Livestream + virtual assignment

	Broker", "The Retirement Researcher", or XY Planning Network. Look at them and decide which fits you best. Sign up for it. Learn.		
12/9	**FINAL EXAM**		
12/9	**Final Exam**		

CFP® Board Career Path Guide research (online study at home) [guide-to-careers-in-financial-planning.pdf (cfp.net)]	**Look at author list at end of guide (notice any UVU PFP faculty?)**	**Virtual study assignment**

Required Course Syllabus Statements

Generative AI
For this course, you are allowed a broad use of AI with proper attribution when it is used.

Guidelines:

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.

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

What is 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.

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

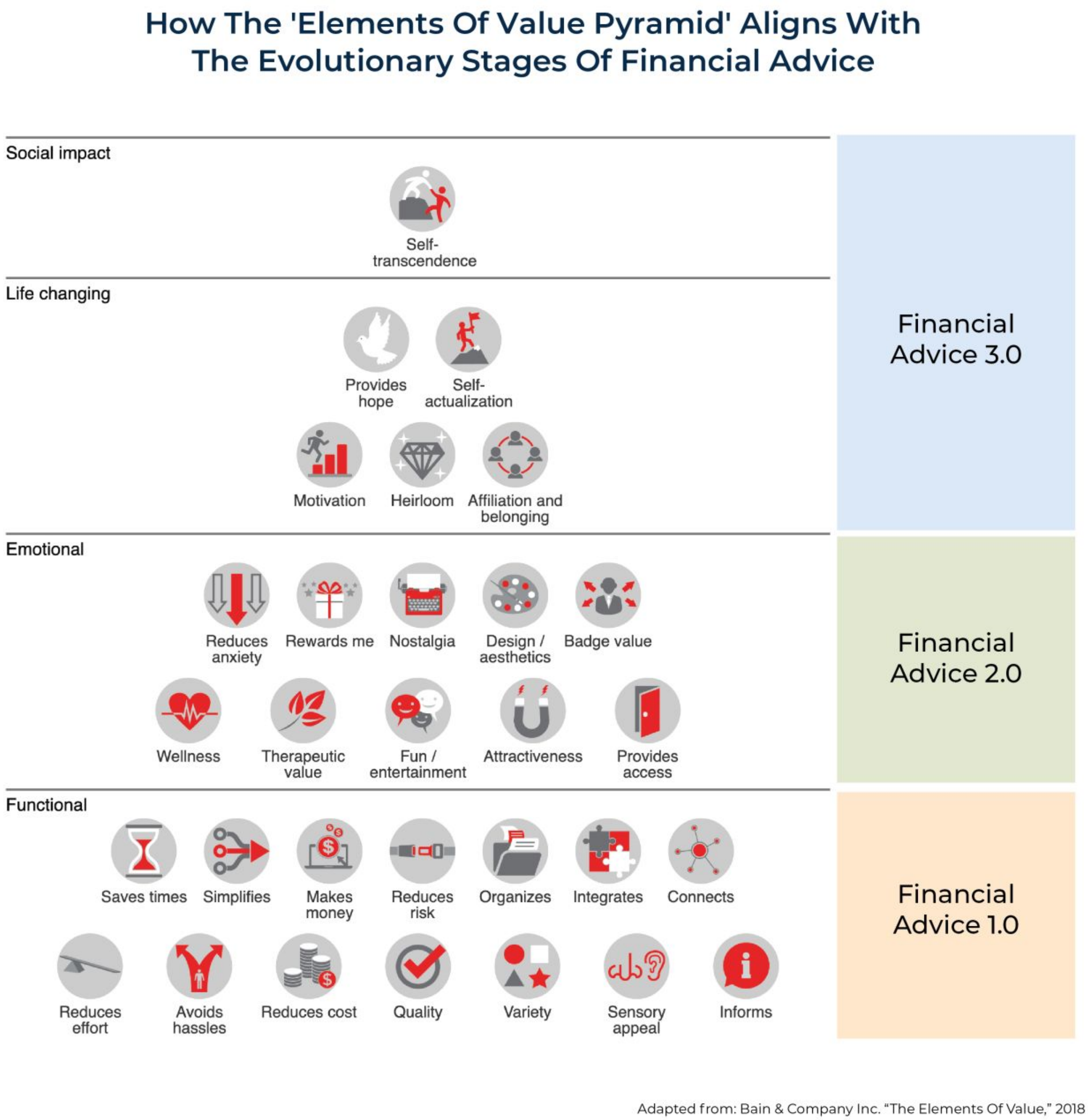
Utah Valley University does not discriminate on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age (40 and over), disability, veteran status, pregnancy, childbirth, or pregnancy-related conditions, citizenship, genetic information, or 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.



List of previous class speakers, use as reference for quiz on which firms you might want to meet this semester:
Zach Nelson @ Rock House
Marie Padiong @ Brighton Jones
Addepar Matthew Crabb

Robert Davis EP Wealth
KaNeil Tucker Menlove Paragon
DMBA Gerika Ballard Espinoza
Decision Point CJ Harrison
VINCERE Jen Swindler
Blue Barn Wealth (on site visit) Hyrum Smith, Jeff Brimhall, Jacob Rich, etc.
Fidelity Sara Robbins
Perspective Wealth in Boise ID Travis Schaat, CPA
JP Morgan Skyler Payne
Mountain America Credit Union Stewart Campbell
Vanguard Davis Beazer, Brooks Gould
Peterson Wealth Alek Johnson, Alex Call
Fidelity Sara Robbins
Ameriprise McKenzie Kirkland, Breagan Webb
12 Tribes of Financial Planning + Luke Dean
Driven Investments Christian Williams, Brigham Ballard
TFO Phoenix (The Family Office) Emily Bolick, CPA, CFP®
Olympus Wealth Brad Curtis, Jordan Eyre
Mountain America Credit Union Stewart Campbell
Peterson Wealth Advisors Alex Call, CFP®
CAPITA in Sandy, UT Cassie Myers; Kelsey Dent; Melissa Jensen; Josh Scott
Blue Barn Wealth Hyrum Smith, CPA, CFP®, PhD
Ameriprise McKenzie Kirkland
Goldman Sachs Teresa Pond, Aaron Eddy
Alumni Panel w UVU PFP grads Seattle Farner & Sam Jones. Tyler Ehninger, Tom Rasmussen. Jen Swindler, Ben Andrews. Ben Andrews CFP®, and Matt Gatherum
CAPITA Kaitlin Collins, Kelsey, Melissa Gutke
Vanguard China Leonard; Ian English; Chris Tatton
DMBA in Salt Lake City, UT Shane Stewart; Gerika Espinosa
Fidelity Justin Cornwall, Ashley Powell
Aspiriant Maureen Gaare; Vanessa Franco; Jason Shemtob
EP Wealth Chuck Cutler, Scott Sayre
Zions Bancorporation Wealth Management Tami Tingey, Metta Driscoll
Vanguard Danielle Swancey; Allison Foster & Chadd Peachey; maybe Vince Gavigan
JP Morgan Chase Private Bank Austin Taylor
Vanguard FADP Jacob Partridge
Integrated Financial Group
South Jordan, UT James Davenport, Mikaila Curtis, Tyler Ehninger
Ameriprise David Bresler,CFP®, CRPC. McKenzie Kirkland
Zeiders – Andi Wrenn
Olympus Wealth Mgmt Brad Curtis, Jordan Eyre
Merrill Lynch Michael Convicer, VP Global Talent Acquisition
Facet Wealth Brent Weiss
ABG Rocky Mountain (retirement benefits planning) Chris Mautz, CEO
Mountain America Credit Union Stewart Campbell
E*Trade James Carbine
Dew Wealth in Scottsdale, AZ Clay Westover
Merrill Lynch Craig Young, Skyler Payne

Dentist Advisors Reese Harper
TFO Phoenix Emily Bolick, Tabitha Daly, Ryan Amy
Vanguard Daniel Sonntag
VANGUARD Vince Gavigan; Daniel Sonntag
Ameriprise – Kenneth Smith
Addepar – Colin Hardy
Cambridge Financial Advisors Keith Larsen
Allstate Camille Crowther
E*Trade Jim Carbine
Student Internship Panel
Alumni Panel
Alumni panel: Medicus and ProFi Kevin Michels & Brennon Bowen
Vanguard- - Joe Johnson
Zions Wealth Management -- Trina Eyring, Chad Dilley, Kristiane Koontz
Ameriprise Kenneth Smith, Breagan Webb
Moss Adams C.J. Stermetz
Moss Adams Kelsey Diem
Merrill Lynch Neil Hullinger
Dr. Carolyn McClanahan Carolyn McClanahan
12 Tribes of Financial Planning – Luke Dean
JP Morgan Chase - Nate Willardson
Brett Belliston of Andina Family Offices
Dale Yahnke of Dowling & Yahnke in San Diego
Clark Taylor of Soltis
Albion Financial – Devin Pope
StateFarm Regional Director
Shaini Lewis of Ameriprise
Goldman Sachs
Peterson Financial, 801-225-0000 (call Sarah or Scott Peterson in February to cement the exact date)
Mark Whitaker, CPA, PFS @ Hawkins Cloward & Simister in Orem
Michael Stoddard, CPA, CFP, PFS @ CPA Network in Provo]
Zions CEO Scott Anderson
Bear River CEO Don Adams
Norman Boone, MBA CFP of Mosaic in SF
Chris Morrill of Frandsen Morrill in Provo
Paul Binns of Farmers Financial Solutions
Curt Peterson of Edward Jones
James Moyes, MBA, CFP of Redstone Advisors in Lehi
Ronald Hada CFP/CPA
Nathan Parker & Chris Millburn of Fidelity
Andy Lovan of Wells Fargo Advisor Solutions
Stewart Campbell, CFP of MACU
Albert Chapman of USAA
Jessica Vandenberg of Moss Adams
LINKS Consulting
Lowell Crabb of
Lisa Crafford of Pershing Advisor Solutions

Brady Murray of MassMutual
Michael Pelo of Northwestern Mutual
Tim Christensen & Nathan Larsen of Squire
Paulina Walters of New Planner Recruiting
Dan Luke & Jenie Connors of Diversify
Brian Murphy of Portfolio Advisors in CT
Timi Jorgensen of UGA PFP Grad school
Melissa King of Dalton
Carl Richards, The Behavioral Gap
Sarah Wooster of Ameriprise Las Vegas
Troy Runnells & Cory Covington & Katie Gurr, UESP My529 plan
Paul Salisbury of The Insight Group
Mark Whitaker of Peterson Wealth Mgmt
CJ Harrison, Matt Daley, Scott Johnson of Decision Point