



Syllabus for Course Reference # 11117 Spring 2020
FIN 4514 – Security Analysis

General Course Information

Course Title **Security Analysis**

Description An advanced and comprehensive coverage of investment topics including bond analysis, equity valuation and analysis, stock options, commodities, futures contracts, options on futures contracts, portfolio analysis and management, and security market efficiency.

College Business
Division Finance
Subject Area FIN-Finance
Course Number FIN 4514
Credit Hours 3

Meeting Info: **Jan 6 – Apr 29, 2020**
Wednesday 4:30 to 7:15 pm in LH 1203

Prerequisites FIN 3504 (with a minimum grade of C)

Distance Learning/Off Campus Course Information: No, it is an on-campus course.

Instructor’s Information

Instructor: Thomas Mathews, CFA
E-Mail: tmathews@fgcu.edu
Phone: 239.590.7311
Office: LH 3358
Office Hours: To be posted outside office, or by appointment.

To ensure availability, please contact me via email prior to stopping by my office.

Teaching Philosophy:

A review of material prior to class, class attendance and active participation are keys to understanding and becoming fluent with the concepts and securing a good grade. To assist you in focusing, the use of cell phones and/or any other electronic communication is prohibited in class.

IT IS YOUR JOB TO LEARN; IT IS OUR JOB TO HELP YOU TO LEARN.

Course Materials

Required:

TEXTBOOK(s):

- “Essentials of Investments” (McGraw-Hill Education, by Bodie, Kane, and Marcus: “BKM”), 10th Edition

CALCULATOR: Texas Instruments BAII Plus or BAII Plus Professional

TESTING MATERIALS:

- To be determined

CANVAS: will be used to distribute assignments

- Please stay current with financial news by reading the WSJ or similar financial news publications several times a week.

Course Policies, Learning Objectives, and Agenda:

Attendance: Attend all class sessions, and be prepared to participate actively. If you must miss a session, you should obtain notes from a classmate. You are responsible for knowing all material covered in class; that includes new material, assignments, quizzes, guest speakers, exams, and changes to the syllabus. Although attendance is not taken formally, habitual absences have an adverse impact on your performance in the course.

Exams: Class attendance is mandatory for the exam dates. It is the STUDENT's responsibility to notify the instructor prior to missing a scheduled exam period. Missing an exam for ANY reason will result in the weight of that missed exam being added to the final exam. You may miss ONE exam, but not both. Failure to appear for the final exam without prior approval from the instructor will result in a grade of zero. The final will be administered during the time scheduled by the University, as posted on *Gullfline*.

Excel-focused assignments: Details will be discussed in class. These will count toward your grade (see below). Any assignment not completed/turned in by the due date will receive a zero.

Cases/Presentations: You will have group cases and presentation assignments on the course material throughout the term. More about these cases and presentations will be discussed in class. These will count toward your Case/Presentations grade (see below). Any assignment not completed/turned in by the due date will receive a zero.

Peer Evaluation of Cases: You may be required to attend, listen, participate, and evaluate case presentations of groups throughout the term. These evaluations may be completed through Canvas. You must complete these evaluations (there are no right or wrong answers) to receive credit for this portion of the course. You may miss one of these presentations/evaluations without penalty (i.e. you can miss one class period, where students are presenting).

The **Course Grade** will be determined as follows:

Cases/Presentations & Excel.....	30%
Exam 1.....	20%
Exam 2.....	20%
Comprehensive Final Exam.....	30%

- A = 90% or better
- B = 80 - 89%
- C = 70 - 79%
- D = 60 - 69%
- F = less than 60%

DO NOT ANTICIPATE ANY SCALING OF GRADES!
THERE MAY NOT BE EXTRA CREDIT WORK!

Learning Objective		Assessment Strategy
1.) Understand the theory and mathematics of modern portfolio theory (MPT)	➔	1.) Exams, Quizzes, Assignments
2.) Understand the importance of asset allocation, rebalancing, and use of derivatives in portfolio management	➔	2.) Exams, Quizzes, Assignments
3.) Understand the concepts of ethics in finance and the investment profession	➔	3.) Exams, Quizzes, Assignments
4.) Understand international investing and the importance of this in today's investment environment.	➔	4.) Exams, Quizzes, Assignments
5.) Understand bonds and management of bond portfolios.	➔	5.) Exams, Quizzes, Assignments

University Statements

Academic Dishonesty/Cheating Policy:

All students are expected to demonstrate honesty in their academic pursuits. The university policies regarding issues of honesty can be found in the FGCU Student Guidebook under the Student Code of Conduct and Policies and Procedures sections. All students are expected to study this document which outlines their responsibilities and consequences for violations of the policy. The FGCU Student Guidebook is available online at <http://studentservices.fgcu.edu/judicialaffairs/new.html>.

University Nondiscrimination Statement:

Florida Gulf Coast University is committed to ensuring equity and fairness for all University employees, students, visitors, vendors, contractors and other third parties. As such, the University prohibits discrimination on the bases of race, color, national origin, ethnicity, religion, age, disability, sex (including sexual harassment/assault), gender identity/expression, marital status, sexual orientation, veteran status or genetic predisposition with regard to admissions, employment, programs or other activities operated by the University. This prohibition extends to enforcement of Title IX of the Education Amendments of 1972. Questions or complaints should be directed to the Office of Institutional Equity and Compliance (OIEC). The OIEC's phone number is (239)745-4366; the OIEC email address is OIEC@fgcu.edu.

Disability Accommodations Services:

Florida Gulf Coast University, in accordance with the Americans with Disabilities Act and the university's guiding principles, will provide classroom and academic accommodations to students with documented disabilities. If you need to request an accommodation in this class due to a disability, or you suspect that your academic performance is affected by a disability, please see me or contact the Office of Adaptive Services. The Office of Adaptive Services is located in the Wellness Building. The phone number is 239-590-7956 or Video Phone (VP) 239-243-9453. In addition to classroom and campus accommodations, individuals with disabilities are encouraged to create their personal emergency evacuation plan and FGCU is committed to providing information on emergency notification procedures. You can find information on the emergency exits and Areas of Rescue Assistance for each building, as well as other emergency preparedness materials on the Environmental Health and Safety and University Police Department websites. If you will need assistance in the event of an emergency due to a disability, please contact Adaptive Services for available services and information.

Student Observance of Religious Holidays:

All students at Florida Gulf Coast University have a right to expect that the University will reasonably accommodate their religious observances, practices, and beliefs. Students, upon prior notification to their instructors, shall be excused from class or other scheduled academic activity to observe a religious holy day of their faith. Students shall be permitted a reasonable amount of time to make up the material or activities covered in their absence. Students shall not be penalized due to absence from class or other scheduled academic activity because of religious observances. Where practicable, major examinations, major assignments, and University ceremonies will not be scheduled on a major religious holy day. A student who is to be excused from class for a religious observance is not required to provide a second party certification of the reason for the absence.

Video and Audio Taping of Class Lectures:

Students are not allowed to audio tape or video tape class lectures, unless the student has a documented and disclosed disability and OAS determines that audio or video taping class lectures is the best reasonable accommodation.

Applicable University Resources:

1. FGCU Catalog: <http://www.fgcu.edu/catalog/>
2. FGCU Student Guide Book: <http://studentservices.fgcu.edu/JudicialAffairs/>
3. FGCU Code of Conduct: <http://studentservices.fgcu.edu/JudicialAffairs/>
4. Information on General Education program requirements is available online at: http://www.fgcu.edu/General_Education/index.html
5. Information on integrating service-learning into the course is available online at: <http://www.fgcu.edu/Connect/>
6. Information on distance learning courses is available online at: <http://itech.fgcu.edu/distance/>
7. Information on online tutorials to assist students is available online at: <http://www.fgcu.edu/support/Approved>
8. Information on Canvas is available online at <http://canvas.fgcu.edu/> and <https://fgcu.instructure.com/courses/7692>

Library Resources:

- Main page: <http://library.fgcu.edu/>
Tutorials & Handouts: <http://library.fgcu.edu/RSD/Instruction/tutorials.htm>
Research Guides: <http://fgcu.libguides.com/>
Faculty Support: http://library.fgcu.edu/faculty_index.html
Contact Us: <http://library.fgcu.edu/LBS/about/contactus.htm>

Center for Academic Achievement:

The Center for Academic Achievement (CAA) provides academic support services to all FGCU students. Students can take advantage of our free peer tutoring and Supplemental Instruction sessions for lower-level math and science courses, as well as workshops to facilitate the development of skills necessary for college success. If you would like to participate in any of our programs, learn about tutoring services, or meet with an Academic Retention Coordinator, please visit the CAA in Library 103, call at (239) 590-7906, or visit www.fgcu.edu/caa.

Respondus Monitor – Remote, Online Exam Monitoring

In order to protect the integrity of online assessments that are delivered to students off site in a non-proctored location, this course may employ Respondus Monitor technology that will allow for the web-enabled monitoring of exams and quizzes. Students must own a computer device and an associated webcam that meet the minimum requirements of the University's standard remote monitoring system. Additional information: Respondus Monitor overview: <http://respondus.com/products/monitor/>

Respondus LockDown Browser – Classroom and/or Remote Online Exams

In order to protect the integrity of classroom or remote online exams, this course may employ Respondus LockDown Browser technology that will allow for the student's temporary restriction to a designated online testing website, disabling the ability to print, copy, access other applications or move to any other URL for the duration of the assessment. This technology may be used on campus in University computer

classrooms or for remote delivery of quizzes and exams. [For online classes only: students must own a computer that meets the minimum requirements of the University's standard lock down browser application.] Additional information: Respondus LockDown Browser overview:

<http://respondus.com/products/lockdown-browser/>

Lecture Capture Technology/FGCU Capture - Classroom Recording ^[1]_[SEP]

This course may employ technology that will allow for audio and/or video recording of live classroom sessions. This lecture capture technology is utilized for the sole purpose of enhancing student learning. It may provide for supplemental student instruction via secure links to recorded session(s), the live stream of courses, presentations of off-site guest speakers and/or the delivery of course instruction utilizing "flipped classroom" methodologies. Student questions and/or comments may be included as a part of any session being recorded. See FGCU-CAPTURE for additional details <http://aets.fgcu.edu/fgcucapture.asp>

[CLASS SCHED S 2020 11117 4514W.xlsx](#)