

Upper Iowa University
Independent Study Program
BA 343-09 Investments

The following information provides guidance and instructions that must be followed for completing the course. It is important that you read and follow all instructions carefully before starting the course.

COURSE DESCRIPTION:

An exploration of investing in stocks, bonds, and other financial instruments; securities exchanges; financial planning; technical and fundamental analysis and market indicators. Prerequisite: BA 341. Three semester credits.

COURSE OBJECTIVES:

1. Identify the forms of investment management and the market environment.
2. Discuss economic activity and the business cycle and its impact on investment information.
3. Identify basic valuation and forecasting concepts
4. Describe the relationship between technical analysis and market efficiency and their effects in special situations
5. Identify the features of secured and unsecured bonds, convertible securities, and warrants discussing the advantages/ disadvantages of each
6. Describe the options market, derivatives, and types of commodities and exchanges.
7. Identify other investment vehicles such as real estate, mutual funds, and international securities.
8. Describe the basics of portfolio management and risk

COURSE SKILLS:

At the completion of this course, conscientious students will be equipped with the necessary skills to management investments in the real world. Students who choose to sit for the NASD series 63 license should be able to do so successfully. The text and course content approach financial analysis from the perspective of how it is done by practitioners and not solely from an academic point of view. Students are taught skills that should make them highly effective at an entry level in the financial or investment industry.

Appropriate writing skills of good grammar, appropriate punctuation, sentence structure, and paragraph development are expected in all written work, quizzes and exams. All research must be cited in APA style.

REQUIRED COURSE MATERIALS:

1. Text: Fundamentals of investment Management, Hirt, Geoffrey, A. and Stanley B. Block; McGraw-Hill; Edition: 9th

2. Syllabus

Optional: The student manual is not required for this course; however, you may find it very helpful.

You may purchase your textbook through MBS Direct by calling their toll free number at: 800-325-3252 or through the UIU homepage: www.uiu.edu. Click on the link for current students then select order textbooks from the options in the left hand column. Follow the link and select External Degree for your location.

WRITING PROFICIENCY:

It is recommended that all papers and research are done in the APA style. We expect appropriate writing skills of proper grammar, punctuation, sentence structure, paragraph development, and logical sequence of thought in all written work, and exams.

It is recommended that all students purchase the APA guide/manual listed on the UIU website. *Publication Manual of the American Psychological Association*. \$27.00 new.

CITATION:

Encyclopedias of any kind, including the very popular Wikipedia, are not primary sources and should not be cited or used in constructing academic papers at the graduate or undergraduate level. They can, however, be useful to help gather some background information and to point the way to more reliable sources.

COURSE OVERVIEW:

This course is design to provide the student with the knowledge and understanding of the investment process. Students will begin with an exposure to several key concepts such as capital markets, commodity markets and exchanges. These concepts will form the foundation upon which investments instruments will be introduced and later analyze in terms of risk and their potential return. Students will learn to evaluate investment instruments such as bonds, stocks, mutual funds, options, derivatives, and hedges. The course ends with looking at the various options available for entering the international investment arena. Please note that exams are not returned to students. They are kept on file at UIU for record keeping for a period of time. Results of the examinations will **be provided to you by email or on the coversheet attached to the exam.**

COURSE WORK:

The course is divided into four units of five chapters. In addition, two proctored exams (mid-term and final) must be taken at the appropriate time.

Discussion Questions (Open Book): Discussion questions are selected to provide the student with an opportunity to reinforce his/her understanding of the range of issues and concepts that

are particular to the field of investment. Students should answer all questions assigned to the chapters in each unit. The points for each question are proportional to the number of questions for each unit.

Problems (Open Book): A sample of problems will be selected from each chapter to be solved by the student. The difficulty will vary according to the topic that is being covered. Learners should address all questions listed in the case. The points for each reading are proportional to the number of cases for each unit.

Web Exercises & or Investment advisor Problem (Open Book): These exercises make use of real companies, in real time to provide perspective of how the real world of finance actually works. These exercises will sharpen your analytical skills and broadens your conceptual understanding of the subject matter.

Exams: The midterm should be scheduled after the completion of unit 2. The Final exam should be scheduled after completing unit 4. Both exams are proctored and closed book.

COMPOSITION OF GRADE:

Unit	Chapters	Short Answers Points	Problems Points	Web Exercise Points & or Investment Advisor Problems	Total Unit Points
I	1,2,3, 4 & 5	200	100	100	400
II	6,7, 8,9 &10	200	100	100	400
MID-TERM			MID-TERM		200
III	11,12,13,14 & 15	200	100	100	400
IV	16,17,18,19 & 20	200	100	100	400
FINAL			FINAL		200
TOTAL					2000

	Points	Percentage
A	1800 - 2000	90% - 100%
B	1600 - 1799	80% - 89%
C	1400 - 1599	70% - 79%
D	1200 - 1399	60% - 69%
F	Below 1199	59% and below

NOTE: In order to pass this course, you must get a passing grade (“D” or better), in one of the two exams and have enough cumulative points to earn a passing grade.

Upper Iowa University uses a standard grading system

A= All work is excellent, shows exceptional understanding of materials; logical, clear, and insightful written and oral work, incorporates knowledge from other sources and moves easily to the next level of understanding, works well beyond minimum requirements.

B= Understanding material is good to very good, demonstrates good grasp of material, good oral and written skills, produces more than the minimum requirements, quality of all work is high.

C= Satisfactory understanding of the material, submits only minimum requirements, communicates adequately in oral and written formats, display an adequate understanding of all basic concepts.

D= Quality and quantity of work is below average and barely acceptable.

F= Quality and quantity of written and oral work is unacceptable.

ADDITIONAL INFORMATION:

1. Do not delay in getting started.
2. Do the case and reading first. This will help you integrate the concepts covered in the chapter and better prepare and organize your thinking for the critical exercises.
3. Do not hesitate to contact me if you need help. I have made it a point to respond to all emails within 24 hours.

LIBRARY RESOURCES:

As a student of Upper Iowa University, you have access to the resources of the Henderson-Wilder Library on the Fayette campus. If travel to the campus is not feasible, you can access the library through the University’s website. Go to: www.uiu.edu and click on the Library option located on the left side of the home page. If you would like to use InfoTrac, please contact the UIU Library staff at library@uiu.edu.

CHEATING, ACADEMIC DISHONESTY AND PLAGIARISM:

Because cheating, academic dishonesty and plagiarism are affronts to the University community as a whole and a denial of the offender’s own integrity, they will not be tolerated. Cheating includes but is not limited to:

- the use of unauthorized books, notes or other sources in the giving or securing of help in an examination or other course assignments,
- the copying of other students’ work or allowing others to copy your work,
- the submission of work that is not your own or allowing others to submit your work as theirs,
- the submission of the same work for two or more classes without the approval of any instructors involved.

Academic dishonesty includes, but is not limited to:

- sharing academic materials knowing they will be used inappropriately,

- having access to another person's work without permission,
- providing false or incomplete information on an academic document,
- changing student records without approval.
- obtaining and using texts intended for instructor use only.

Plagiarism includes, but is not limited to:

- the presentation of another's published or unpublished work as one's own,
- taking words or ideas of another and either copying them or paraphrasing them without proper citation of the source,
- using charts, graphs, statistics or tables without proper citation.

Detected cheating, academic dishonesty, or plagiarism will result in consequences that may, at the instructor's discretion, include course failure. In addition, an offender may be reported to the Senior Vice President for the Extended University, the Dean of the Extended University, or designee for possible disciplinary action, which may include suspension or dismissal from the University. Upper Iowa University may make use of various plagiarism detection services. Individuals, by enrolling in courses offered by the University, consent to submission by the University of course-related assignments to such services and the retention of a copy of such assignments by the service.

Cheating, academic dishonesty and plagiarism infractions are tracked by the Dean of the Extended University, and cumulative evidence collected from multiple incidents will be considered when making suspension or dismissal decisions.

Extended University Catalog 2008/09 page 98.

http://www.uiu.edu/catalogs/eu/policies_1.html#conduct

ATTENDANCE:

Even though a student does not attend a regular classroom in the traditional sense and keep up with a set schedule of assignments, it should be pointed out how important it is to keep yourself on a regular timely schedule if possible to complete and send in units. It is too easy to set work aside and decide to do it later. Suddenly, the need to complete assignments and get them in by deadlines can become stressful and, at times, impossible. The key would be to set time aside on a regular basis and submit work in a timely manner.

WITHDRAWAL:

If you wish to withdraw prior to the last day of the enrollment period you must contact the External Degree office by phone or in writing. After your original six month enrollment period you no longer have the option to withdraw from the course. You must finish the course or have a final grade assigned based on the coursework submitted.

SPECIAL NEEDS:

If you require accommodation for special needs, please provide documentation to: Academic Advising Coordinator.

This syllabus is tentative and subject to change.