

UK Syllabus Template for a Distance Learning Course

FIN 410

C O U R S E T I T L E

Semester/Term: Fall 2022

Credit Hours: 3

Meeting Days M & W 12:30-1:45 Room 271

Instructor Information

Instructor: Peter Trager

Office Building & Room Number: Gatton 349

Email: peter.trager@uky.edu

Office Phone: (859) 562-3305

Office Hours: Mon & Wed 3:15 – 4:45 or by appointment

Preferred Method of Communication: email

Course Description

An introduction to the basic principles, concepts, and analytical tools in finance. Includes managing a portfolio of assets and researching the effects on global issues to the markets

Course Prerequisites

ACC 301, ACC 302, Eco 391, and a grade of C or better in FIN 300

Skill Requirements

Knowledge of Financial Calculator

Student Learning Outcomes

Learning outcomes are a description of what a student will be able to do upon completion of the course. See the appendix for an overview of Bloom's Taxonomy of Cognitive Learning for examples of active verbs associated with the various levels of cognition.

After completing this course, the student will be able to:

1. Construct a diversified portfolio
2. Analyze market conditions
3. Present an investment plan publicly
4. Understand Global Capital Markets
5. Analyze world events and their effects on the Capital Markets

Required Materials

Fundamentals of Investments Ninth Edition by Jordan, Miller and Dolvin

Access to Connect thru McGraw Hill to take the exams, HW and LS

Stock Trak Registration: <https://www.stocktrak.com:443/members/register?session=FINFall2022>

[Discount code JMD-621 \(gets you \\$5 off\) when you register for Stock Trak](#)

[You are taking the Class for Professor Trager and the Class Name is FinFall22. Sign up for the Silver level which is \\$29.95 then you will get \\$5 off.](#)

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Tentative Course Schedule

A linear listing of topics, assignment due dates, and examination dates.

Aug 22nd & 24th Intro of class & Setup trading simulation

Trading Starts Sept. 1st

Aug 29 & 31 Ch. 2 Investment Process & Ch. 3 Security Types

Sept.7 & 12 Currencies & Futures

Sept 14 Stock Track Exercises

Sept. 19 & 21 Chapter 5 Stock Market and Venture Capital & Camden Booker (Castellan Group)

Sept 26 & 28 Haley Zeldes (Barclays)

John Cheshire (Asio Capital)

Oct 3 & 5 Chapter 4 Mutual Funds & Frank Parker (Wells Fargo)

Oct 10 FX Speakers (Chris Hatton Credit Suisse, Greg Fiori & JC Deutsche Bank, Mike Orefice and Matt Sweeney, Fifth Third Bank)

Oct 12 Test 1

Journals (DUE Oct 17.)

17 & 19 Students Present Portfolios (5 minutes per presentation)

(Papers DUE Oct.19)

Oct 26 Technical Analysis

Oct 31 & Nov 2 Keith Raphael (President, Cross Currents Alternative Investments. & Options

Nov 7 & 9 Stinson Dean (Lumber Trader) & Chapter 9 Interest Rates (sec 1-3 & 5) & 10 Bonds

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Nov 14 & Nov 16	John Morris (Head of Fixed Income, Fortitude Reinsurance & Stock Trak Exercise)
Nov 21	Test 2
Nov 28 & Nov 30	No class on 28th & Bill Sindel (Head of Products Anchorage Digital)
Dec 5 & 7	Students Present Portfolios (5 minutes per presentation) (Trading Ends Dec 2nd) (Journals due Dec 5th) (Papers due Dec 7th)

Final Paper Due:

Dec 7

Course Grading

Course Assignments and Total Points per exam/assignment

(all assignments will be done via Connect except Stock Trak HW and all are due before the chapter is covered in class)

Test 1	65
Test 2	65
HW (Textbook)	45
Stock Track HW	25 (first HW is worth 20 points)
Class Participation	60 (10 points per quality question asked. You need to ask 6 questions of 9 speakers)
Attendance	42 (1.5 points per class attended)
Group Presentations	20 (Each group presents 2 market updates)

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Portfolio	130
Paper	48
Total	500

Grades:

A= 447.5 points or more

B= 397.5 – 447.4

C= 347.5 – 397.4

D= 297.5-347.4

E= 297.4 or below

Grading scale for undergraduates:	89.5 – 100% = A
	79.5 – 89.4% = B
	69.5 – 74.9% = C
	59.5 – 69.4% = D
	Below 59.5% = E

When managing your portfolio, you will be expected to include assets from each of the following categories: Stocks, Bonds, Currencies & Commodities. You will be required to turn over parts of your portfolio thru the semester and document all your holdings in a journal and explain in detail your reasons for including the assets in your portfolio and for exiting trades. You will submit your journal at both the half-way mark of class and then again at the end of the semester. You will also be required to present to the class once during the semester on your portfolio.

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Class participation will be measured by your preparedness for our guest speakers and the quality & quantity of questions and conversations you engage in with these speakers as well as classmates during the normal class time. Asking a speaker what academic club you should join at Gatton to make you better at a career like theirs is not considered a quality question. You will earn 5 points per speaker for a potential of 50 points if you ask a quality question. The other 10 points will be awarded based on your participation in class for a potential total of 60 points for class participation. **Attendance for this class is mandatory and your grade will suffer if you do not attend. If coming to an 8:00am class is not for you then I would suggest you switch into one of the other three FIN 410 classes. Everyone gets 1 absence from class and for each class after that you miss it will cost you 5 points towards your attendance grade which is a possible 30 points. If you have a medical that will be excused and not count towards point deductions.**

There are 9 Learn Smart HW's that you will be expected to complete before I go over the subject in class and they come from the corresponding readings in the book. I have noted in the Syllabus for certain chapters which sections you should read as I will not include all the material from every chapter. Each HW is worth 5 points. There will also be two Stock Trak HW's to complete. The first one which is due before trading starts on August 30th is worth 15 points and the 2nd which is due Oct. 25th is worth 5 points.

The Group presentation grade will come from your group's presentations to the class twice during the semester commenting on global market events. Each presentation will be worth 12.5 points and I expect the presentations to include power point slides.

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In addition, each group will be required to write a four to six- page paper on a current market event, asset class or trading strategy. This must be preapproved by me and will be **due on December 9th**.

Attendance Policy

As mentioned above in class attendance is expected and for each unexcused absence after the first one there will be a 5- point deduction from your grade.

Classroom Behavior Policies

Use of cell phones and talking during the lectures are prohibited.

MASK MANDATE:

All individuals, regardless of vaccination status, must wear masks in indoor spaces on campus where people gather... Individuals in their own offices should instruct others to wear masks before entering their private offices.

“Classrooms are considered common areas. As such, masks are required for all people, irrespective of vaccination status. Faculty who are vaccinated may remove their masks if they are standing behind plexiglass. However, if they move away from the plexiglass, they should wear a mask.

Technology Information and Requirements

Technology Requirements

Minimum technical requirements for UK courses and suggested hardware, software, and internet connections are available at [ITS Student Hardware & Software Guidelines](#).

Share any additional technology requirements, such as required software, and your preferred procedure for resolving technical complaints for each service or software used in the course.

Technical Support

For account help, contact UK's [Information Technology Customer Services online](#), by [email](#), or by phone at 859-218-HELP (4357).

Summary Description of Course Assignments

Provide a short summary of the different components of your assignments, such as exams, homework, etc. Students should be able to determine the requirements for assignments based on the description in the syllabus. The greater the percentage of the grade, the more detailed the description of the assignment needs to be.

If applicable, describe how individual students are assessed in group work.

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If participation/interactions are graded, clarify the meaning of "participation

Midterm Grades for Undergraduate Students (Senate Rules 6.1.3.1)

Mid-term grades will be posted in myUK by the deadline established in the [Academic Calendar](#).

Excused Absences (Senate Rules 5.2.4.2)

Senate Rules 5.2.4.2 defines the following as acceptable reasons for excused absences: (a) significant illness, (b) death of a family member, (c) trips for members of student organizations sponsored by an educational unit, trips for University classes, and trips for participation in intercollegiate athletic events, (d) major religious holidays, (e) interviews for graduate/professional school or full-time employment post-graduation, and (f) other circumstances found to fit "reasonable cause for nonattendance" by the instructor of record. Students should notify the professor of absences prior to class when possible.

If a course syllabus requires specific interactions (e.g., with the instructor or other students), in situations where a student's total EXCUSED absences exceed 1/5 (or 20%) of the required interactions for the course, the student shall have the right to request and receive a "W," or the Instructor of Record may award an "I" for the course if the student declines a "W." (Senate Rules 5.2.4.2.1)

(If an attendance/interaction policy is not stated in the course syllabus or the policy does not include a penalty to the student, the Instructor cannot penalize the student for any unexcused absences.)

Verification of Absences (Senate Rules 5.2.4.2.1 - 6)

Students may be asked to verify their absences in order for them to be considered excused. *Senate Rule 5.2.4.2* states that faculty have the right to request appropriate verification when students claim an excused absence due to: significant illness; death in the household, trips for classes, trips sponsored by an educational unit and trips for participation related to intercollegiate athletic events; and interviews for full-time job opportunities after graduation and interviews for graduate and professional school. (Appropriate notification of absences due to University-related trips is required prior to the absence when feasible and in no case more than one week after the absence.)

Religious Observances (Senate Rules 5.2.4.2.1.4)

Students anticipating an absence for a major religious holiday are responsible for notifying the instructor in writing of anticipated absences due to their observance of such holidays. Please check the course syllabus for the notification requirement. If no requirement is specified, two weeks prior to the absence is reasonable and should not be given any later. Information regarding major religious holidays may be obtained through [the Ombud's website](#) or calling 859-257-3737.

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Make-Up Work (Senate Rule 5.2.4.2.2)

Students missing any graded work due to an excused absence are responsible: for informing the Instructor of Record about their excused absence within one week following the period of the excused absence (except where prior notification is required); and for making up the missed work. The instructor must give the student an opportunity to make up the work and/or the exams missed due to the excused absence, and shall do so, if feasible, during the semester in which the absence occurred. The instructor shall provide the student with an opportunity to make up the graded work and may not simply calculate the student's grade on the basis of the other course requirements, unless the student agrees in writing.

Excused Absences and W/I, All Students (Senate Rule 5.2.4.2.3.1)

If a student has excused absences for more than one-fifth of the required interactions for a course, the student can request a "W." If the student declines a "W," the Instructor of Record may award an "I" for the course.

Excused Absences Due to Military Duties (Senate Rule 5.2.4.2.3.1)

If a student must be absent for one-fifth or less of the required course interactions (e.g., class meetings) due to military duties, the following procedure apply:

1. Once a student is aware of a call to duty, the student shall provide a copy of the military orders to the Director of the Veterans Resource Center. The student shall also provide the Director with a list of her/his courses and instructors.
2. The Director will verify the orders with the appropriate military authority and on behalf of the military student, notify each Instructor of Record via Department Letterhead as to the known extent of the absence.
3. The Instructor of Record shall not penalize the student's absence in any way and shall provide accommodations and timeframes so that the student can make up missed assignments, quizzes, and tests in a mutually agreed upon manner.

Accommodations Due to Disability

If you have a documented disability that requires academic accommodations, please see me as soon as possible during scheduled office hours. In order to receive accommodations in this course, you must provide me with a Letter of Accommodation from the Disability Resource Center (DRC). The DRC coordinates campus disability services available to students with disabilities. Visit the [DRC website](#), [email the DRC](#), contact them by phone at (859) 257-2754, or visit their office on the corner of Rose Street and Huguelet Drive in the Multidisciplinary Science Building, Suite 407.

Non-Discrimination Statement and Title IX Information

UK is committed to providing a safe learning, living, and working environment for all members of the University community. The University maintains a comprehensive program which protects all members from discrimination, harassment, and sexual misconduct. For complete information about UK's prohibition on discrimination and harassment on aspects such as race, color, ethnic origin, national origin, creed, religion, political belief, sex, and sexual orientation, please see [the electronic version of UK's Administrative Regulation 6:1 \("Policy on Discrimination and Harassment"\)](#). In accordance with Title IX of the Education Amendments of 1972, the University prohibits discrimination and harassment on the basis of sex in academics, employment, and all of its programs and activities. Sexual misconduct is a form of sexual harassment in which one act is severe enough to create a hostile environment based on sex and is prohibited between members

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of the University community and shall not be tolerated. For more details, please see [the electronic version of Administrative Regulations 6:2 \(“Policy and Procedures for Addressing and Resolving Allegations of Sexual Assault, Stalking, Dating Violence, Domestic Violence, and Sexual Exploitation”\)](#). Complaints regarding violations of University policies on discrimination, harassment, and sexual misconduct are handled by the Office of Institutional Equity and Equal Opportunity (IEEO), which is located in 13 Main Building and can be reached by phone at (859) 257-8927. You can also visit [the IEEO’s website](#).

Faculty members are obligated to forward any report made by a student related to IEEO matters to the Office of Institutional Equity and Equal Opportunity. Students can *confidentially* report alleged incidences through the Violence Intervention and Prevention Center, Counseling Center, or University Health Services.

Academic Integrity– Prohibition on Plagiarism (Senate Rules 6.3.1)

Per University policy, students shall not plagiarize, cheat, or falsify or misuse academic records. Students are expected to adhere to University policy on cheating and plagiarism in all courses. The minimum penalty for a first offense is a zero on the assignment on which the offense occurred. If the offense is considered severe or the student has other academic offenses on their record, more serious penalties, up to suspension from the University may be imposed.

Plagiarism and cheating are serious breaches of academic conduct. Each student is advised to become familiar with the various forms of academic dishonesty as explained in the [Code of Student Rights and Responsibilities](#). Complete information can be found on the [Academic Ombud](#) page. A plea of ignorance is not acceptable as a defense against the charge of academic dishonesty. It is important that you review this information as all ideas borrowed from others need to be properly credited.

Senate Rule 6.3.1 (see current [Senate Rules](#)) states that all academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording, or content from another source without appropriate acknowledgment of the fact, the students are guilty of plagiarism.

Plagiarism includes reproducing someone else's work (including, but not limited to a published article, a book, a website, computer code, or a paper from a friend) without clear attribution. Plagiarism also includes the practice of employing or allowing another person to alter or revise the work which a student submits as his/her own, whoever that other person may be, except under specific circumstances (e.g. Writing Center review or peer review) allowed by the Instructor of Record or that person’s designee. Plagiarism may also include double submission, self-plagiarism, or unauthorized resubmission of one’s own work, as defined by the instructor.

Students may discuss assignments among themselves or with an instructor or tutor, except where prohibited by the Instructor of Record (e.g. individual take-home exams). However, the

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actual work must be done by the student, and the student alone, unless collaboration is allowed by the Instructor of Record (e.g. group projects).

When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how he/she has employed them. If the words of someone else are used, the student must put quotation marks around the passage in question and add an appropriate indication of its origin. Making simple changes while leaving the organization, content, and phraseology intact is plagiaristic. However, nothing in these Rules shall apply to those ideas, which are so generally and freely circulated as to be a part of the public domain.

Please note: Any assignment you turn in may be submitted to an electronic database to check for plagiarism.

Academic Integrity – Prohibition on Cheating (Senate Rules 6.3.2)

Cheating is defined by its general usage. It includes, but is not limited to, the wrongfully giving, taking, or presenting any information or material by a student with the intent of aiding himself/herself or another on any academic work which is considered in any way in the determination of the final grade. The fact that a student could not have benefited from an action is not by itself proof that the action does not constitute cheating. Any question of definition shall be referred to the University Appeals Board.

Academic Integrity – Prohibition on Falsification/Misuse of Academic Records (SR 6.3.3)

Maintaining the integrity, accuracy, and appropriate privacy of student academic records is an essential administrative function of the University and a basic protection of all students. Accordingly, the actual or attempted falsification, theft, misrepresentation or other alteration or misuse of any official academic record of the University, specifically including knowingly having unauthorized access to such records or the unauthorized disclosure of information contained in such records, is a serious academic offense. As used in this context, "academic record" includes all paper and electronic versions of the partial or complete permanent academic record, all official and unofficial academic transcripts, application documents and admission credentials, and all academic record transaction documents. The minimum sanction for falsification, including the omission of information, or attempted falsification or other misuse of academic records as described in this section is suspension for one semester.

Course Material Copyright Statement

Materials distributed or made available to students in connection with this course may be copyright protected. They are intended for use only by students registered and enrolled in this course and only for the instructional activities associated with and for the duration of this course. They may not be converted to or retained in another medium or disseminated further.

Bias Incident Support Services

Bias Incident Support Services (BISS) provides confidential support and advocacy for any student, staff, or faculty member impacted by bias, hatred, and/or an act of identity-based violence. BISS staff aid impacted parties in accessing campus and community resources, including the Bias

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Incident Response Team, the University's official reporting system for acts that negatively impact a sense of belonging. Campus and community consultation and educational opportunities centered on inclusion, diversity, equity and belonging is a resource also provided by BISS. For more detailed information please visit the [BISS website](#) or contact them [via email](#).

Counseling Center

The UK Counseling Center (UKCC) provides a range of confidential psychological services to students enrolled in 6 credit hours or more, psychoeducational outreach programming (including QPR suicide prevention), and consultation to members of the UK community (students, faculty, staff, administrators, parents, concerned others). Please visit the website <https://www.uky.edu/counselingcenter/> for more detailed information, or call 859.257.8701.

Martin Luther King Center

The Martin Luther King Center (MLKC) supports an inclusive learning environment where diversity and individual differences are understood, respected, and appreciated as a source of strength. The MLKC's year-round programs and activities that focus on the importance of cultural awareness and cross-cultural understanding support its three primary goals: 1) sponsoring cultural and educational programming; 2) offering opportunities for student support and development; and 3) through programmatic linkages with a wide variety of civic and community agencies, promoting community outreach, engagement, and collaboration. Students can reach the MLKC via phone at (859) 257-4130, by visiting them in Gatton Student Center Suite A230, [via email](#), and by visiting [the MLKC website](#).

Office of LGBTQ* Resources

UK is committed to supporting students and upholding the University's efforts to promote inclusion among our community. UK faculty and staff employees support inclusion and diversity throughout the University, including the ways in which faculty structure classroom conversations and manage those dynamics. To assist in these efforts, students are welcome to provide the names and pronouns they prefer. One easy way to do this is by using the pronoun feature of UK's Name Change Form. (More information about the form can be found on the [Office of LGBTQ's website](#).) Otherwise, students can provide this information to faculty members directly.*

Discrimination based on sexual orientation, gender expression, and gender identity is prohibited at UK. If you have questions about support, advocacy, and community-building services related to sexual orientation, gender expression, or gender identity, students are encouraged to visit the [website of the Office of LGBTQ Resources](#).*

Veteran's Resource Center & Protocol for Short-Term Military Absences

Being both a member of the military community and a student can bring some complexities. If you are a member of the military or a military veteran or dependent, please let me know when these challenges arise. Drill schedules, calls to active duty, mandatory training exercises, issues with GI Bill disbursement, etc. can complicate your academic life. Let me know if you experience complications and I will do my best to work with you.

The Veteran's Resource Center (VRC) is a great resource for members of our military family. If you have questions regarding your VA benefits or other related issues, the VRC has a full complement of staff to assist you. The VRC also provides study and lounge space, as well as free printing. Please

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visit the [VRC website](#), [email the VRC](#), visit them in the basement of Erikson Hall, or call the director, Colonel Tony Dotson, at (859) 257-1148.

If you are a military student serving in the National Guard or Reserve, it is in your best interest to let all of your professors know that immediately. You might also consider sharing a copy of your training schedule.

If you are a military student who is a member of the National Guard or Military Reserve and are called to duty for one-fifth or less of this semester, please help me help you! Once you become aware of the call to duty, provide a copy of your military orders to the Director of the Veterans Resource Center (contact information above). (Please also provide the Director with a list of all your current courses and instructors.) The Director will verify the orders with the appropriate military authority and on your behalf will notify me and your other instructors as to the known extent of the absence.

I will not penalize your absence in any way and will work with you to create reasonable accommodations for making up missed assignments, quizzes, and tests.

Violence Intervention and Prevention (VIP) Center

*If you experience an incident of sex- or gender-based discrimination or interpersonal violence, we encourage you to report it. While you may talk to a faculty member or TA/RA/GA, understand that as a "Responsible Employee" of the University these individuals MUST report any acts of violence (including verbal bullying and sexual harassment) to the University's Title IX Coordinator in the IEEO Office. If you would like to speak with someone who may be able to afford you confidentiality, you can visit the [Violence Intervention and Prevention \(VIP\) Center's website](#) (offices located in Frazee Hall, lower level; [email them](#); or call (859) 257-3574), [the Counseling Center's \(CC\) website](#) (106 Frazee Hall; (859)), and the [University Health Services \(UHS\) website](#); the VIP Center, CC, and UHS are confidential resources on campus. **The VIP Center accepts walk-in appointments.***

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