

Finance 2800 Financial Services Capstone Spring 2021

Text Book: *Fundamentals of Investing* 12th Edition by Smart, Gitman & Joehnk

Office Hours: By appointment Business Building Room 302C

Course Description: Projected as the 4th fastest growing occupation in Utah, Personal Financial Advisors represent an attractive opportunity for employment with competitive median wages. The Financial Services Capstone course unites investment concepts acquired throughout the Financial Services AAS curriculum and prepares students for FINRA's SIE® Exam.

Lesson Plan:

Week	Topic	Assignment
1	Time Value of Money	
2	Financial Planning	
3	Allocating Investments	Module 1 Quiz (100 pts.)
4	Mutual Funds and ETFs	IPQ (30 pts.)
5	Fixed Income Securities	Mutual Fund Picks (100 pts.)
6	Common Stocks	Bond Duration Calculator (50 pts.)
7	Options & Futures	Bond Ladder (100 pts.)
8	Retirement Accounts	Module 2 Quiz (200 pts.)
9	Life Events	Options Math Worksheet (50 pts.)
10	SIE Prep: Suitability	Module 3 Quiz (70 pts.)
11	SIE Prep: Regulatory Agencies	
12	SIE Prep: Security Markets Structure	
13	SIE Prep: Prohibited Practices	
14	SIE Prep: Practice Exam	
15	SIE/Final Exam	SIE Exam (250 pts.)

Grade Breakdown (Total 1000 points):

Assignments (330 points) 33%

Module Quizzes (370 points) 37%

Attendance (50 points) 5%

SIE/Final Exam (250 points) 25%

Course Student Learning Outcomes mapped to [SLCC College-Wide & General Education Student Learning Outcomes](#).

1. Acquire substantive knowledge
2. Communicate effectively
3. Develop quantitative literacies
4. Think critically & creatively
5. Become a community engaged learner
6. Work in a professional & constructive manner
7. Develop computer & information literacy
8. Develop lifelong wellness

Course Learning Outcomes	SLCC CWSLO #
Select Securities for Investment	1, 3, 4, 7
Identify, describe and analyze various types of investments.	1, 2, 3, 4, 7
Relate types of securities to their associated risks	1, 3, 4
Identify the structure of securities markets and how that impacts trade execution	1, 3, 4, 6, 7
Describe the role of regulatory entities in financial services	1, 6
Recognize prohibited practices in the financial service industry	1, 5, 6
Identify and value option contracts	1, 3, 4, 7
Prepare for the SIE exam	1, 3, 6, 7
Communicate effectively using appropriate investing terminology.	1, 2, 6

See [SLCC Assessment webpage](#) for additional details about College-Wide Student Learning Outcomes

SLCC Syllabus Statement on Face Coverings

Salt Lake Community College is committed to face coverings as a way to protect everyone on campus. Until further notice, SLCC [policy](#) requires everyone to wear face coverings in shared public spaces on campus, including the classroom. When we wear face coverings, we're protecting ourselves and others. Reusable cloth masks are available at campus information desks (one per person). Students who forget a face covering will be asked to retrieve it, or they will be provided with a disposable mask. Students refusing to wear a face covering will be dismissed from class. Additionally, a referral will be made to the Dean of Students for a possible violation of the Code of Student Rights and Responsibilities. Students who choose not to wear a face covering are encouraged to take [Online or Broadcast/Internet Lecture](#) courses.

Note that some students may qualify for accommodations through the Americans with Disabilities Act (ADA). If you think you meet these criteria and desire an exception to the face covering policy, contact the [Disability Resource Center](#) (DRC).

Important Information for Students

General Education regardless of your major, General Education courses build a foundation of broad knowledge and skills that help you in your further career and life.

<http://www.slcc.edu/gened>

General Learning Support & Tutoring Services provide support for SLCC students enrolled in any class at the College. All resources are provided free-of-charge. Ask your instructor about discipline-specific learning support and tutoring services.

The Tutoring and Learning Centers provide free assistance in Math, Science, Accounting, CSIS and Allied Health Classes at 6 campus locations. <https://www.slcc.edu/tutoring>

The Student Writing Center provides in-person and online feedback on all writing assignments. <http://www.slcc.edu/swc>

The Academic Literacy Center provides tutoring in reading and conversation.

<https://www.slcc.edu/english/academic-literacy-center.aspx>

Library Services provides research help, print and online resources, computers and study space. libweb.slcc.edu

The ePortfolio Lab provides drop-in assistance for all ePortfolio questions.

<http://eportresource.weebly.com/>

eLearning Support provides support for navigating online and hybrid classes:

<https://slcc.instructure.com/courses/297606>

The Business Resource and Innovation Center provides tutors and a study space for students in Business and CSIS courses. Located in BB 226 on Taylorsville-Redwood Campus.

Advising and Counseling Support Services provide support for students enrolled in any class at the college.

The Center for Health and Counseling provides health care, mental health counseling, massage therapy services and healthy lifestyle programs.

<http://www.slcc.edu/chc/index.aspx>

Veterans' Services assists hundreds of students in using their VA education benefits each semester. <http://www.slcc.edu/veterans>

Academic and Career Advising helps students plan, explore, make decisions, access resources and evaluate their academic and career goals. And the Academic Achievement Center helps students achieve GPA requirements for graduation.

<https://www.slcc.edu/academicadvising>

<https://www.slcc.edu/academic-achievement-center/index.aspx>

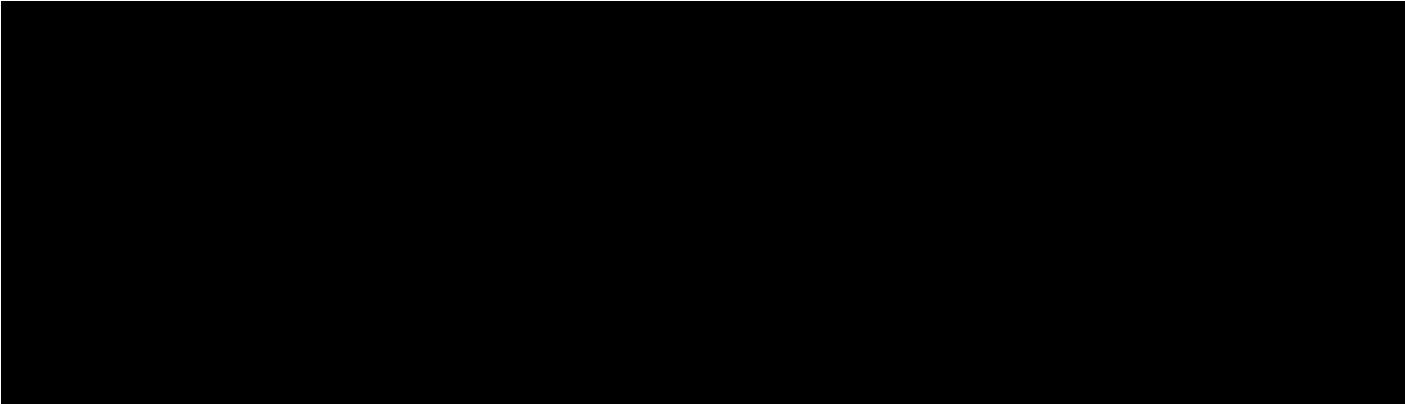
Student Code of Conduct: http://www.slcc.edu/policies/docs/Student_Code_of_Conduct.pdf

Disability Resource Center:

SLCC values inclusive learning environments and strives to make all aspects of the College accessible to our students. If you have a disability and believe you need accommodations to improve access to learning materials or the learning environment, please contact the Disability Resource Center: (phone) 801-957-4659; (email) drc@slcc.edu; (website) www.slcc.edu/drc.

Title IX:

Title IX of the Educational Amendments of 1972 prohibits discrimination based on sex in any educational institution that receives federal funding. Salt Lake Community College does not tolerate sex discrimination of any kind including: sexual misconduct; sexual harassment; relationship/sexual violence and stalking. These incidents may interfere with or limit an individual's ability to benefit from or participate in the College's educational programs or activities. If you have questions or concerns regarding your rights or responsibilities, or if you would like to file a Title IX complaint please contact:



Online Reporting Form: <http://www.slcc.edu/eo/title-ix/complaint.aspx>

Students may also report incidents to an SLCC faculty or staff member, who are required by law to notify the Title IX Coordinator. If a student wishes to keep the information confidential, the student may speak with staff members of the Center for Health and Counseling, (801) 957-4268. For more information about Title IX, go to: <http://www.slcc.edu/eo/title-ix/index.aspx>

SLCC's Learning Outcomes:

Students communicate effectively. This includes developing critical literacies—reading, writing, speaking, listening, visual understanding—that they can apply in various contexts; organizing and presenting ideas and information visually, orally, and in writing according to standard usage; understanding and using the elements of effective communication in interpersonal, small group, and mass settings.

Students develop quantitative literacies necessary for their chosen field of study. This includes approaching practical problems by choosing and applying appropriate mathematical techniques; using information represented as data, graphs, tables, and schematics in a variety of disciplines; applying mathematical theory, concepts, and methods of inquiry appropriate to program-specific problems.

Students think critically and creatively. This includes reasoning effectively from available evidence; demonstrating effective problem solving; engaging in creative thinking, expression, and application; engaging in reflective thinking and expression; demonstrating higher-order skills such as analysis, synthesis, and evaluation; making connections across disciplines; applying scientific methods to the inquiry process.

Students develop civic literacy and the capacity to be community-engaged learners who act in mutually beneficial ways with community partners. This includes producing learning artifacts indicating understanding of the political, historical, economic or sociological aspects of social change and continuity; thinking critically about—and weighing the evidence surrounding—issues important to local, national, or global communities; participating in a broad range of community-engagement and/or service-learning courses for community building and an enhanced academic experience.

Students develop the knowledge and skills to work with others in a professional and constructive manner. This includes engaging with a diverse set of others to produce professional work; interacting competently across cultures; understanding and appreciating human differences; understanding and acting on standards of professionalism and civility, including the SLCC Student Code of Conduct.

Students develop computer and information literacy. This includes using contemporary computer hardware and software to effectively complete college-level assignments; gathering and analyzing information using technology, library resources, and other modalities; understanding and acting upon ethical and security principles with respect to computer technology and to information acquisition and distribution; distinguishing between credible and non-credible sources of information, and using the former in their work in an appropriately documented fashion.

Students develop the attitudes and skills for lifelong wellness. This includes understanding the importance of physical activity and its connection to lifelong wellness; learning how participation in a fitness, sport or leisure activity results in daily benefits including stress reduction, endorphin release, and a sense of well-being.

ePortfolio Support Site for Students: <http://eportresource.weebly.com/learning-outcomes.html>