



Instructor: Dr. Chung Baek
Dates: October 15, 2007 – December 16, 2008
Class Time: TTH 5:30-7:45 pm, Malone Hall Room M106
Office: Malone Hall Room 217
Phone: 334-983-6556 ext. 1259
Office Hours: TTH 9:30 – 12:00pm, 3:30 - 5:00pm
W 11:00am – 12:00pm and 3:00 – 4:00pm and by appointment
E-mail: cbaek@troy.edu

Course Description

Introduction and comprehensive overview of securities analysis. Topics include stocks, bonds, mutual funds, taxes, annuities, new issues, IPOs, OTC, exchanges, options, margin trading, short selling, laws and regulations, and fundamental, technical, and modern security and portfolio analysis techniques.

Course Objective

Students should be able to:

1. Describe capital market equity, debt, and money market instruments.
2. Explain mutual funds, exchange-traded funds, and depository receipts.
3. Describe municipal securities, annuities, insurance, pension plans, and limited partnerships.
4. Analyze the market for primary and secondary offerings of securities.
5. List and describe the exchange and the over-the-counter securities markets.
6. List and discuss options, futures, cash accounts, and margin accounts.
7. List and explain various investment strategies, including buying on margin.
8. Apply fundamental, technical, and modern portfolio analysis to analyze securities and portfolios.
9. List and discuss the taxation of securities as it relates to securities analysis and investment management.
10. List and discuss federal law, state laws, and association and self-regulatory organization rules and regulations as they pertain to the investment and securities industry.

Textbook

Investment Analysis and Portfolio Management 8th edition by Reilly and Brown,
ISBN 0324289030

Calculator

A financial calculator is required for this course. Texas Instruments BAIL Plus is recommendable, but the other financial calculators are also available. In-class examples will be based on BAIL Plus. It is the student's responsibilities to learn how to use calculators other than BAIL Plus. Make sure to bring your calculator to every lecture and exams.

Student's Responsibility

Students are responsible for all materials presented in class and homework assignments. Please read the sections before coming to class. I will plan the class activities based on the assumption that students have read the materials. Students must do the homework assignments on their own. Homework assignments will be given with an announcement. If there is any change on the schedule, it will be announced in class.

Exams, Quizzes, and Attendance

There are three exams. All the exams consist of multiple choices or problems. Every in-class exam permits the use of a formula card (3x5). The bonus quizzes will be given randomly in class.

Assignments	25%
Exams	75% (25/25/25)
Total	100%
<u>Bonus Quizzes</u>	<u>5%</u>
Possible Max.	105%

Make-Up Exams

Students must take exams at the scheduled date. Only when there is a reasonable excuse, a make-up exam will be given. Please make sure you have no conflict with the exam schedule.

Grading Policy

<u>Average</u>	<u>Grade</u>
90% - 100%	A
80% - 89.99%	B
70% - 79.99%	C
60% - 69.99%	D
0 - 59.99%	F

Grades Appeal

All grade appeals must be in writing. No late appeals will be accepted after one week of exams or quizzes.

Academic dishonesty policy

Academic dishonesty in any form, including but not limited to cheating on examinations or assignments, will not be tolerated. Cheating, plagiarism, or knowingly furnishing false information to the university constitutes academic misconduct, and disciplinary procedures specified in the Student Handbook will be followed. In addition, your work may be submitted to an on-line plagiarism detection service.

American with Disabilities Act (ADA)

It is the policy of Troy University Dothan to provide accessible programs, services, and activities, reasonable accommodations, and a disability harassment-free environment for any student or employee with a documented disability as defined by section 504 of the Rehabilitation Act of 1973, as amended, and by the Americans with Disabilities Act of 1990. Any students who has or may be dealing with a disability or learning difficulty and whose disability falls within ADA guidelines should inform the instructor at the beginning of the term of any special accommodations or equipment needs necessary to accomplish the requirements for this course and should contact the Disability Services Coordinator. If you have any questions, contact the Disability Services Coordinator located at: TUD Malone Hall room M120, telephone: 334) 983-6556 ext. 1-221, e-mail: counseling@troy.edu. Students must register documentation with the Disability Services Coordinator. Since campus elevators are subject to power outages and mechanical breakdowns beyond our control, students who have difficulty negotiating stairs and are attending classrooms above ground level should notify the instructor during the first week of class. Consideration will be given to relocating the classroom or making other arrangements.

SCOB Mission Statement: Through operations that span the State of Alabama, the United States, and the world, Sorrell College of Business equips our students with the knowledge, skills, abilities and competencies to become organizational and community leaders who make a difference in the global village and global economy. Through this endeavor, we serve students, employers, faculty, and Troy University at large as well as the local and global communities.

SCOB Vision Statement: Sorrell College of Business will be the first choice for higher business education students in their quest to succeed in a dynamic and global economy. Sorrell College of Business will create the model for 21st century business education and community service.

Troy University Mission Statement: Troy University is a public institution comprised of a network of campuses throughout Alabama and worldwide. International in scope, Troy University provides a variety of educational programs at the undergraduate and graduate levels for a diverse student body in traditional, nontraditional and emerging electronic formats. Academic programs are supported by a variety of student services which promote the welfare of the individual student. Troy University's dedicated faculty and staff promote discovery and exploration of knowledge and its application to life-long success through effective teaching, service, creative partnerships, scholarship and research.

TENTATIVE COURSE OUTLINE

	Date	Chapter	Homework / Practice Problems
1	10/16 (TH)	Introduction & Chapter 1	
2	10/21 (T)	Chapter 2 & 3	
3	10/23 (TH)	Chapter 3 & 4	
4	10/28 (T)	Chapter 6	
5	10/30 (TH)	Exam 1 (Ch 1,2,3,4,6,)	
6	11/4 (T)	Chapter 11	
7	11/6 (TH)	Chapter 11 & 12	
8	11/11 (T)	Veterans Day (No Class)	
9	11/13 (TH)	Chapter 12	
10	11/18 (T)	Chapter 14	
11	11/20 (TH)	Chapter 14	
12	11/25 (T)	Chapter 15 & 16	
13	11/27 (TH)	Thanksgiving Holiday (No Class)	
14	12/2 (T)	Exam 2 (Ch 11, 12, 14)	
15	12/4 (TH)	Chapter 16	
16	12/9 (T)	Chapter 20 & 23	
17	12/11 (TH)	Exam 3 (Ch 15, 16, 20, 23)	

*This schedule is subject to change, which will be announced in class. It is important that you keep up with the materials as they are presented.