1. Catalog Description of the Course. [Follow accepted catalog format.]

Prefix FIN  Course#  413  Title INVESTMENT ANALYSIS  Units (3)
3 hours lecture per week
hours blank per week
☑ Prerequisites FIN300
☐ Corequisites

Description
Introduction to different investment strategies along with the securities available to the investor. Institutional features such as types of markets, market indicators, investment banking, types of orders and securities markets regulation are covered.

Gen Ed   CR/NC   Repeatable for up to units
Categories
Lab Fee Required   A - F   Total Completions Allowed
Optional (Student’s choice)   Multiple Enrollment in same semester
Title V Section 40404: Government US Constitution US History

2. Mode of Instruction.

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<tr>
<th>Unit</th>
<th>Lecture</th>
<th>Seminar</th>
<th>Laboratory</th>
<th>Activity</th>
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Graded Component
☑

CS & HEGIS #
(filled in by Dean)

3. Justification and Learning Objectives for the Course. (Indicate whether required or elective, and whether it meets University Writing, and/or Language requirements) [Use as much space as necessary]

This is a required course for the Finance Emphasis.
Upon successful completion of the course, students should be able to:
(1) explain the concept of valuation of securities through risk-return tradeoffs,
(2) evaluate hybrid and derivative securities,
(3) distinguish among efficient market hypotheses, technical analyses, fundamental analyses and random walk theory,
(4) analyze the essentials of portfolio management,
This course does not meet university writing, and/or language requirements.

4. Is this a General Education Course       YES ☐       NO ☒

If Yes, indicate GE category and attach GE Criteria Form:

A (English Language, Communication, Critical Thinking)
A-1 Oral Communication
A-2 English Writing
A-3 Critical Thinking

B (Mathematics, Sciences & Technology)
B-1 Physical Sciences
B-2 Life Sciences – Biology
B-3 Mathematics – Mathematics and Applications
B-4 Computers and Information Technology

C (Fine Arts, Literature, Languages & Cultures)
C-1 Art
C-2 Literature Courses
C-3a Language
C-3b Multicultural
5. **Course Content in Outline Form.** *Be as brief as possible, but use as much space as necessary*

1. Introduction to Investments
2. Securities Markets and Securities Trading
3. Economic Analysis and Industry Analysis
4. Valuation of the Individual Firm
5. Technical Analyses
6. Efficient Market Hypothesis
7. Bond Valuation
8. Duration and Reinvestment Concepts
9. Convertible Bonds
10. Warrants, Options and Futures
11. Portfolio Management and Capital Asset Pricing Model
12. Portfolio Performance

Does this course overlap a course offered in your academic program? YES ☐ NO ☒
If YES, what course(s) and provide a justification of the overlap?

Does this course overlap a course offered in another academic area? YES ☐ NO ☒
If YES, what course(s) and provide a justification of the overlap?
Signature of Academic Chair(s) of the other academic area(s) is required on the signature sheet below.

6. **Cross-listed Courses (Please fill out separate form for each PREFIX)**
List Cross-listed Courses

Signature of Academic Chair(s) of the other academic area(s) is required on the signature sheet below.

Department responsible for staffing:

7. **References.** *Provide 3 - 5 references on which this course is based and/or support it.*

Fundamentals of Investment Management, Hirt and Block, McGraw-Hill/Irwin
Investments Analysis and Management, Charles Jones, John Wiley & Sons
Fundamentals of Investing, Gitman & Joehnk, Harper Collins
Fundamentals of Investments, Alexander, Sharpe and Bailey, Prentice Hall
Investments, Levy, ITP publishers

8. **List Faculty Qualified to Teach This Course.**

Pricilla Liang, PhD, and other Smith School faculty

9. **Effective Date and Frequency.**
   a. Projected semesters to be offered: Fall ☒ Spring ☒ Summer ☐
   b. First semester offered: 2007
10. New Resources Required. YES ☑ NO ☐
   If YES, list the resources needed and obtain signatures from the appropriate programs/units on the sheet below.
   
   a. Computer (data processing), audio visual, broadcasting needs, other equipment
   
   b. Library needs
   
   c. Facility/space needs

11. Will this new course alter any degree, credential, certificate, or minor in your program? YES ☑ NO ☐
   If, YES attach a program modification form for all programs affected.

   Priscilla Liang 10/23/2006
   Proposer of Course Date
### Approval Sheet

**Program/Course:**

<table>
<thead>
<tr>
<th>Position</th>
<th>Signatory</th>
<th>Date</th>
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<tbody>
<tr>
<td>Program Chair(s)</td>
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<td>General Education Chair(s)</td>
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<td>Curriculum Committee Chair(s)</td>
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<td>Dean of Faculty</td>
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