

**Syllabus for Course Reference #**  
***FIN 4934/6930 – Student Managed Investment Fund***

**General Course Information**

**Course Title** Student Managed Investment Fund (aka *Eagle Fund*)

**Description** A seminar in security analysis and portfolio management. Students will experience the actual investment management process by analyzing and investing designated funds into a variety of securities. The primary purpose of the course is to give students practical experience in the selection and management of an actual securities portfolio. It is not to maximize gains within the current semester.  
*This course may not be Audited.*

**College** Business  
**Division** Business  
**Subject Area** FIN-Finance  
**Course Number** FIN 4934 / FIN 6930  
**Credit Hours** 3

**Meeting Info.** Mondays: 5:30pm–8:15pm in LH 1205

**Prerequisites** FIN 3504 (or equivalent MBA course)

**Distance Learning/Off Campus Course Information**

No, it is an on-campus course.

**Instructor Information**

<b>Instructors:</b>	Dr. Travis Jones		Ronald Mushock
<b>E-Mail:</b>	<a href="mailto:tljones@fgcu.edu">tljones@fgcu.edu</a>		<a href="mailto:rmushock@fgcu.edu">rmushock@fgcu.edu</a>
<b>Phone:</b>	239-590-7167		239-280-1280
<b>Office:</b>	LH 2305		

**Teaching Philosophy:**

Our philosophy for this class is to be the "guide on the side," rather than the "sage on the stage." That is, students must take ownership and initiative in this class, learning from actual experience the process of analyzing individual securities, managing portfolios of assets, and making buy and sell decisions in a dynamic economy. We will help and encourage the class, but expect students, working individually and in groups, to ultimately determine the strategies used and actions taken to invest and manage the funds allocated in a manner that is consistent with fiduciary responsibility.

**Note:** All students are required to wear an appropriate mask that covers their mouth and nose while in the classroom. Students must also maintain appropriate physical/social distancing from their classmates and adhere to additional expectations communicated by the instructor or posted in the classroom. Note: FGCU procedure dictates that, during the COVID-19 pandemic, an instructor cannot begin class until all students are wearing a mask properly. If a student is non-compliant with the masking policy and refuses to leave the classroom promptly when requested, the instructor is required to cancel class. Students responsible for class cancellation for these reasons will be referred to the Dean of Students office, and the student will be unable to attend class until they meet with the Dean of Students. The student's action will be treated as a Student conduct violation and may be subject to disciplinary action which could include being dropped from the course or being expelled from the University.

## Course Materials

### Textbooks:

- *A Random Walk Down Wall Street* (by Burton Malkiel) – please purchase
- *Trading and Money Management in a Student-Managed Portfolio* (by Bruce and Greene, ISBN: 978-0123747556) – available in “Eagle Fund Library”, no need to purchase
- *Essentials of Investments* (by Bodie, Kane, and Marcus) – available in “Eagle Fund Library”, no need to purchase

**Other Materials:** Bloomberg – available in LH 1205  
 Wall Street Journal and/or other finance news sources.  
 You are encouraged to bring a laptop computer, iPad, etc. to class, if you so choose.

## Course Policies, Learning Objectives, and Agenda:

The **Course Grade** will be determined as follows:

Class Participation & Attendance.....	20%
Group Security Analysis Reports and Class Assignments .....	20%
Individual Security/Portfolio Analysis reports .....	20%
Professional Practitioner Interview and Report.....	20%
Bloomberg Market Concepts ( <i>email Dr. Jones certificate</i> ) .....	10%
Required Readings.....	10%

Due dates for reports and assignments will be determined on an individual basis.

**Attendance:** Attendance (in-person or online) is very important in this course. Therefore, missing more than two class periods will result in a one letter grade reduction from your final average.

Note: FIN 6930 students are required to lead the efforts in presenting to community and the FGCU Foundation Board, including creating Power Point presentations and speaking. They are also required to do more thorough analysis work, and assist in entering trades for the portfolio, as needed.

Learning Objective	Assessment Strategy
1.) Gain experience in quantitative analysis, fundamental research, and portfolio management.	1.) Involvement with stock and bond screening, strategy backtesting, portfolio construction, position monitoring, risk controls, and sell discipline. Perform fundamental research analysis, produce written research reports, and ultimately recommend securities for inclusion in the student management investment fund.
2.) Gain exposure to industry professionals	2.) Professional practitioner interview, guest speakers including prominent Wall Street experts, interaction with FGCU foundation finance committee
3.) Improve written and oral communication skills	3.) Group and individual security reports, in class presentations, professional practitioner interview, report to FGCU foundation finance committee
4.) Become proficient in the use of the Bloomberg terminal.	4.) Earn the Bloomberg Market Concepts certificate. Utilize the Bloomberg terminal in all aspects of security analysis and portfolio management.

## External Resources

You will need to access external resources for your research on securities for this course. Below is a list of resources from the FGCU library and a few websites that are useful (this is *not* a comprehensive list – feel free to use any financial resource you have access to). In addition, see **Chapter 7** in *Trading and Money Management in a Student-Managed Portfolio* for more resources.

Bloomberg Terminal (located in LH 1205)

*FGCU Library Databases (access from the library website):*

S&P Net Advantage

Business & Company Resource Center

Mergent

[www.bloomberg.com](http://www.bloomberg.com)

[www.sec.gov](http://www.sec.gov)

[www.wsj.com](http://www.wsj.com)

[www.barrons.com](http://www.barrons.com)

[www.morningstar.com](http://www.morningstar.com)

[www.finance.yahoo.com](http://www.finance.yahoo.com)

[www.marketwatch.com](http://www.marketwatch.com)

[www.fidelity.com](http://www.fidelity.com)

[www.investinginbonds.com](http://www.investinginbonds.com)

[www.fitchratings.com](http://www.fitchratings.com)

[www.federalreserve.com](http://www.federalreserve.com)

CFA program  
[www.seekingalpha.com](http://www.seekingalpha.com)  
[www.cnbc.com](http://www.cnbc.com)

[www.cfainstitute.org](http://www.cfainstitute.org)

## University Statements

All students are required to wear an appropriate mask that covers their mouth and nose while in the classroom. Students must also maintain appropriate physical/social distancing from their classmates and adhere to additional expectations communicated by the instructor or posted in the classroom. Note: FGCU procedure dictates that, during the COVID-19 pandemic, an instructor cannot begin class until all students are wearing a mask properly. If a student is non-compliant with the masking policy and refuses to leave the classroom promptly when requested, the instructor is required to cancel class. Students responsible for class cancellation for these reasons will be referred to the Dean of Students office, and the student will be unable to attend class until they meet with the Dean of Students. The student's action will be treated as a Student conduct violation and may be subject to disciplinary action which could include being dropped from the course or being expelled from the University.

### Academic Dishonesty/Cheating Policy:

All students are expected to demonstrate honesty in their academic pursuits. The university policies regarding issues of honesty can be found in the FGCU Student Guidebook under the Student Code of Conduct and Policies and Procedures sections. All students are expected to study this document which outlines their responsibilities and consequences for violations of the policy. The FGCU Student Guidebook is available online at <http://studentservices.fgcu.edu/judicialaffairs/new.html>.

### University Nondiscrimination Statement:

Florida Gulf Coast University is committed to ensuring equity and fairness for all University employees, students, visitors, vendors, contractors and other third parties. As such, the University prohibits discrimination on the bases of race, color, national origin, ethnicity, religion, age, disability, sex (including sexual harassment/assault), gender identity/expression, marital status, sexual orientation, veteran status or genetic predisposition with regard to admissions, employment, programs or other activities operated by the University. This prohibition extends to enforcement of Title IX of the Education Amendments of 1972. Questions or complaints should be directed to the Office of Institutional Equity and Compliance (OIEC). The OIEC's phone number is (239)745-4366; the OIEC email address is [OIEC@fgcu.edu](mailto:OIEC@fgcu.edu).

### Disability Accommodations Services:

Florida Gulf Coast University, in accordance with the Americans with Disabilities Act and the university's guiding principles, will provide classroom and academic accommodations to students with documented disabilities. If you need to request an accommodation in this class due to a disability, or you suspect that your academic performance is affected by a disability, please see me or contact the Office of Adaptive Services. The Office of Adaptive Services is located in the Wellness Building. The phone number is 239-590-7956 or Video Phone (VP) 239-243-9453. In addition to classroom and campus accommodations, individuals with disabilities are encouraged to create their personal emergency evacuation plan and FGCU is committed to providing information on emergency notification procedures. You can find information on the emergency exits and Areas of Rescue Assistance for each building, as well as other emergency preparedness materials on the Environmental Health and Safety and University Police Department websites. If you will need assistance in the event of an emergency due to a disability, please contact Adaptive Services for available services and information.

#### Student Observance of Religious Holidays:

All students at Florida Gulf Coast University have a right to expect that the University will reasonably accommodate their religious observances, practices, and beliefs. Students, upon prior notification to their instructors, shall be excused from class or other scheduled academic activity to observe a religious holy day of their faith. Students shall be permitted a reasonable amount of time to make up the material or activities covered in their absence. Students shall not be penalized due to absence from class or other scheduled academic activity because of religious observances. Where practicable, major examinations, major assignments, and University ceremonies will not be scheduled on a major religious holy day. A student who is to be excused from class for a religious observance is not required to provide a second party certification of the reason for the absence.

#### Video and Audio Taping of Class Lectures:

Students are not allowed to audio tape or video tape class lectures, unless the student has a documented and disclosed disability and OAS determines that audio or video taping class lectures is the best reasonable accommodation.

#### Applicable University Resources:

1. FGCU Catalog: <http://www.fgcu.edu/catalog/>
2. FGCU Student Guide Book: <http://studentservices.fgcu.edu/JudicialAffairs/>
3. FGCU Code of Conduct: <http://studentservices.fgcu.edu/JudicialAffairs/>
4. Information on General Education program requirements is available online at: [http://www.fgcu.edu/General\\_Education/index.html](http://www.fgcu.edu/General_Education/index.html)
5. Information on integrating service-learning into the course is available online at: <http://www.fgcu.edu/Connect/>
6. Information on distance learning courses is available online at: <http://itech.fgcu.edu/distance/>
7. Information on online tutorials to assist students is available online at: <http://www.fgcu.edu/support/Approved>
8. Information on Canvas is available online at <http://canvas.fgcu.edu/> and <https://fgcu.instructure.com/courses/7692>

#### Library Resources:

- Main page: <http://library.fgcu.edu/>  
Tutorials & Handouts: <http://library.fgcu.edu/RSD/Instruction/tutorials.htm>  
Research Guides: <http://fgcu.libguides.com/>  
Faculty Support: [http://library.fgcu.edu/faculty\\_index.html](http://library.fgcu.edu/faculty_index.html)  
Contact Us: <http://library.fgcu.edu/LBS/about/contactus.htm>

#### Center for Academic Achievement:

The Center for Academic Achievement (CAA) provides academic support services to all FGCU students. Students can take advantage of our free peer tutoring and Supplemental Instruction sessions for lower-level math and science courses, as well as workshops to facilitate the development of skills necessary for college success. If you would like to participate in any of our programs, learn about tutoring services, or meet with an Academic Retention Coordinator, please visit the CAA in Library 103, call at (239) 590-7906, or visit [www.fgcu.edu/caa](http://www.fgcu.edu/caa).

Counseling and Psychological Services (CAPS) provides free counseling and therapy services (including psychiatry) to all FGCU students. Please walk in to the second floor Howard Hall office any weekday between 8:30 and 4:30 to schedule an initial contact appointment. Visit the CAPS website at [www.fgcu.edu/caps](http://www.fgcu.edu/caps) for more information. CAPS offers a 24/7 Helpline at (239) 745-3277 (EARS).

#### Respondus Monitor – Remote, Online Exam Monitoring

In order to protect the integrity of online assessments that are delivered to students off site in a non-proctored location, this course may employ Respondus Monitor technology that will allow for the web-enabled monitoring of exams and quizzes. Students must own a computer device and an associated webcam that meet the minimum requirements of the University's standard remote monitoring system.

Additional information: Respondus Monitor overview: <http://respondus.com/products/monitor/>

#### Respondus LockDown Browser – Classroom and/or Remote Online Exams

In order to protect the integrity of classroom or remote online exams, this course may employ Respondus LockDown Browser technology that will allow for the student's temporary restriction to a designated online testing website, disabling the ability to print, copy, access other applications or move to any other URL for the duration of the assessment. This technology may be used on campus in University computer classrooms or for remote delivery of quizzes and exams. [For online classes only: students must own a computer that meets the minimum requirements of the University's standard lock down browser application.] Additional information: Respondus LockDown Browser overview:

<http://respondus.com/products/lockdown-browser/>

#### Lecture Capture Technology/FGCU Capture – Classroom Recording

This course may employ technology that will allow for audio and/or video recording of live classroom sessions. This lecture capture technology is utilized for the sole purpose of enhancing student learning. It may provide for supplemental student instruction via secure links to recorded session(s), the live stream of courses, presentations of off-site guest speakers and/or the delivery of course instruction utilizing "flipped classroom" methodologies. Student questions and/or comments may be included as a part of any session being recorded. See FGCU-CAPTURE for additional details <http://aets.fgcu.edu/fgcucapture.asp>