FINA5340-001: Financial Applications (3 Credit Hours)  
Spring 2019

Instructor: Yibing Du, PhD, FRM

Office Number: College of Business (COB) 628

Office Telephone Number: 817-272-3705

Email Address: yibing.du2@uta.edu (Email is preferred for communication)

Faculty Profile: https://www.uta.edu/profiles/yibing%20-du

Office Hours: Monday 10:00-11:30AM, Tuesday 10:00-11:30AM, or by appointments

Section Information: FINA5340-001 Financial Applications emphasizes analysis of financial problems of business concerns, presented in case materials. It considers determination of capital needs, choosing among alternative capital investments, planning methods of financing new capital expenditures, and planning recapitalizations, mergers, and reorganizations. Prerequisite: FINA 5311.

Time and Place of Class Meetings: COBA241, Tuesday 7:00-9:50PM

Description of Course Content: Financial Applications is a graduate level capstone course. The course addresses analysis of typical financial problems of business organizations, presented in case materials. The top management, board directors and financial professionals in a business organization who are involved in making critical financial decisions are faced with problems such as measuring health and performance of the business, making right investment decisions and financing decisions, understanding the risks, financial forecasting and planning, and mergers and acquisitions. These topics will be covered in lectures during the first half of the semester so as to form a basis for the case analysis. In the second half of the semester students will do case study and present the case analysis.

Student Learning Outcomes: By taking this course students should acquire the knowledge and skills of performing independent financial analysis and making appropriate financial decisions in a business organization: 1) Assessing the financial health of the firm and evaluating financial performance; 2) Financial forecasting, financial planning and managing growth; 3) Understanding financial instruments and financial markets, making financing decisions and cost of capital analysis; 4) Evaluating investment opportunities and risk analysis investment decisions; 5) Pricing and business valuation techniques, and merger and acquisition analysis.

Required Textbooks and Other Course Materials:
4. Technical Requirements: Calculators: TI BAII (Plus)/Professional or HP 12C financial calculators, Laptop, Microsoft Office, Computer Lab or Internet Connections.

Descriptions of major assignments and examinations: 
1. Exams: one mid-term exam and one comprehensive final exam. 
2. Spreadsheet Exercise: For each chapter to be covered during the semester end-of-chapter questions will be assigned. Students are expected to apply the knowledge and skills learned from the class and
answer questions/or do analysis. Please refer to the course schedule for expected posting and due date of end-of-chapter homework assignment.

3. Case Brief and Presentation: The presentation team may take the first 30 minutes for the case presentation, followed by 30 minutes for the comment team; the balance time for the case being spent on questions, answers and open discussions. Both teams, as well as the rest of the class, are expected to prepare their cases independently. A typed written case brief (approximately 4 pages text excluding figures and tables) and presentation slides should be prepared by the presentation team. A suggested format for the briefs may be as follows:

1. Facts and Assumptions 20% approximately;
2. Statement of the problem 15% approximately;
3. Analysis 50% approximately; and
4. Recommendations 15% approximately;

One organized copy of all-important material used in the presentation shall be provided to the instructor prior to the presentation. Hard copies of the case brief will be due in-class at the beginning of the class period as specified on the course calendar. All relevant files or soft copies of the case brief and slides (references, analysis charts and tables, etc.) should be placed in a folder and emailed before submitting the hard copy. Further instructions will be provided in class.

4. Case Comments: The case commenting team and case presentation team will work on the same cases. After the case presentation, the commenting team needs to make comments on the case. Unlike presentation team, the commenting team will focus on the questions and suggestions, such as assumptions change, how to improve or conclusion rebuttal.

5. Attendance and class participation: Attendance and class participation are components of the final grade. Class participation is highly encouraged for everyone.

Attendance: At The University of Texas at Arlington, taking attendance is not required but attendance is a critical indicator in student success. Each faculty member is free to develop his or her own methods of evaluating students’ academic performance, which includes establishing course-specific policies on attendance. As the instructor of this section, I have established following attendance policy: Students enrolled in this course are expected to attend each class with homework and reading assignments completed. Any student who must miss a class is responsible for securing all class materials and assignments for coursework missed. Students are required to maintain class attendance at least at an acceptable level. Class roll will be randomly called during class meetings.

Course Policy: 1. During class meetings non-class activities are refrained in the classroom. These may include, but are not limited to, silencing cell phones, etc.
2. Students are encouraged to participate in interactive discussions and ask questions;
3. In case the instructor is late for more than 15 minutes, please leave the classroom quietly;
4. Students should check your UTA e-mail account for any important updates from the instructor.
5. All exams are mandatory with closed book and notes
6. UTA IDs must be in front of the students at all times during exams.
7. Formula sheet will be provided for exams by instructor.
8. Students must bring their own Scantron form 882-ES and financial calculators. Programming-enhanced calculators are not allowed in the exam.
9. The instructor may relocate students in the exam room.
10. Academic honesty is a must in this course. Any misconducts or dishonesties might result in an automatic F and/ or appropriate disciplinary action.

Grading: Class performance is evaluated by a weighted average of exams, homework assignments, spreadsheet exercises, finance tutorial, and class attendance and participation. Extra credits: Bonus questions will be offered on exams and assignments.

<table>
<thead>
<tr>
<th>GPA Composition</th>
<th>Weights</th>
<th>Score Range</th>
<th>Letter Grade</th>
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<tbody>
<tr>
<td>Mid-term Exams</td>
<td>30%</td>
<td>89.50-100.0</td>
<td>A</td>
</tr>
<tr>
<td>Final Exam (Comprehensive)</td>
<td>35%</td>
<td>79.50-89.49</td>
<td>B</td>
</tr>
<tr>
<td>Spreadsheet Exercises</td>
<td>10%</td>
<td>69.50-79.49</td>
<td>C</td>
</tr>
</tbody>
</table>


Case Analysis 15%  59.50-69.49  D  
Case Presentation 5%  0-59.49  F  
Case Comments/Participation 5%

Make-up Exams:  Make-up exams could be arranged for two mid-term exams if students contact the instructor at least one week prior to the scheduled exam date with a valid reason. No make-up exam will be provided for final exam and no late submission of the last MCQ homework and the last end-of-chapter homework assignment.

Expectations for Out-of-Class Study:  Beyond the time required to attend each class meeting, students enrolled in this course should expect to spend at least 6 hours per week on course related activities, including reading required materials, completing assignments, preparing for exams, working on projects, etc.

Grade Grievances:  Any appeal of a grade in this course must follow the procedures and deadlines for grade-related grievances as published in the current University Catalog. For undergraduate courses, see [http://catalog.uta.edu/academicregulations/grades/#undergraduatetext](http://catalog.uta.edu/academicregulations/grades/#undergraduatetext); for graduate courses, see [http://catalog.uta.edu/academicregulations/grades/#graduatetext](http://catalog.uta.edu/academicregulations/grades/#graduatetext). For student complaints, see [http://www.uta.edu/deanofstudents/student-complaints/index.php](http://www.uta.edu/deanofstudents/student-complaints/index.php).

Drop Policy:  Students may drop or swap (adding and dropping a class concurrently) classes through self-service in MyMav from the beginning of the registration period through the late registration period. After the late registration period, students must see their academic advisor to drop a class or withdraw. Undeclared students must see an advisor in the University Advising Center. Drops can continue through a point two-thirds of the way through the term or session. It is the student's responsibility to officially withdraw if they do not plan to attend after registering. Students will not be automatically dropped for non-attendance. Repayment of certain types of financial aid administered through the University may be required as the result of dropping classes or withdrawing. For more information, contact the Office of Financial Aid and Scholarships ([http://www.uta.edu/aao/fao/](http://www.uta.edu/aao/fao)).

Disability Accommodations:  UT Arlington is on record as being committed to both the spirit and letter of all federal equal opportunity legislation, including The Americans with Disabilities Act (ADA), The Americans with Disabilities Amendments Act (ADAAA), and Section 504 of the Rehabilitation Act. All instructors at UT Arlington are required by law to provide “reasonable accommodations” to students with disabilities, so as not to discriminate on the basis of disability. Students are responsible for providing the instructor with official notification in the form of a letter certified by the Office for Students with Disabilities (OSD). Only those students who have officially documented a need for an accommodation will have their request honored. Students experiencing a range of conditions (Physical, Learning, Chronic Health, Mental Health, and Sensory) that may cause diminished academic performance or other barriers to learning may seek services and/or accommodations by contacting: The Office for Students with Disabilities, (OSD) [www.uta.edu/disability](http://www.uta.edu/disability) or calling 817-272-3364. Information regarding diagnostic criteria and policies for obtaining disability-based academic accommodations can be found at [www.uta.edu/disability](http://www.uta.edu/disability).

Counseling and Psychological Services, (CAPS) [www.uta.edu/caps](http://www.uta.edu/caps/) or calling 817-272-3671 is also available to all students to help increase their understanding of personal issues, address mental and behavioral health problems and make positive changes in their lives.

Non-Discrimination Policy: The University of Texas at Arlington does not discriminate on the basis of race, color, national origin, religion, age, gender, sexual orientation, disabilities, genetic information, and/or veteran status in its educational programs or activities it operates. For more information, visit [uta.edu/eos](http://uta.edu/eos).

Title IX Policy: The University of Texas at Arlington (“University”) is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the
Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. For information regarding Title IX, visit www.uta.edu/titleIX or contact Ms. Jean Hood, Vice President and Title IX Coordinator at (817) 272-7091 or jmhood@uta.edu.

Academic Integrity: Students enrolled all UT Arlington courses are expected to adhere to the UT Arlington Honor Code:

I pledge, on my honor, to uphold UT Arlington’s tradition of academic integrity, a tradition that values hard work and honest effort in the pursuit of academic excellence.

I promise that I will submit only work that I personally create or contribute to group collaborations, and I will appropriately reference any work from other sources. I will follow the highest standards of integrity and uphold the spirit of the Honor Code.

UT Arlington faculty members may employ the Honor Code in their courses by having students acknowledge the honor code as part of an examination or requiring students to incorporate the honor code into any work submitted. Per UT System Regents’ Rule 50101, §2.2, suspected violations of university’s standards for academic integrity (including the Honor Code) will be referred to the Office of Student Conduct. Violators will be disciplined in accordance with University policy, which may result in the student’s suspension or expulsion from the University. Additional information is available at https://www.uta.edu/conduct/.

Electronic Communication: UT Arlington has adopted MavMail as its official means to communicate with students about important deadlines and events, as well as to transact university-related business regarding financial aid, tuition, grades, graduation, etc. All students are assigned a MavMail account and are responsible for checking the inbox regularly. There is no additional charge to students for using this account, which remains active even after graduation. Information about activating and using MavMail is available at http://www.uta.edu/oit/cs/email/mavmail.php.

Campus Carry: Effective August 1, 2016, the Campus Carry law (Senate Bill 11) allows those licensed individuals to carry a concealed handgun in buildings on public university campuses, except in locations the University establishes as prohibited. Under the new law, openly carrying handguns is not allowed on college campuses. For more information, visit http://www.uta.edu/news/info/campus-carry/.

Student Feedback Survey: At the end of each term, students enrolled in face-to-face and online classes categorized as “lecture,” “seminar,” or “laboratory” are directed to complete an online Student Feedback Survey (SFS). Instructions on how to access the SFS for this course will be sent directly to each student through MavMail approximately 10 days before the end of the term. Each student’s feedback via the SFS database is aggregated with that of other students enrolled in the course. Students’ anonymity will be protected to the extent that the law allows. UT Arlington’s effort to solicit, gather, tabulate, and publish student feedback is required by state law and aggregate results are posted online. Data from SFS is also used for faculty and program evaluations. For more information, visit http://www.uta.edu/sfs.

Final Review Week: for semester-long courses, a period of five class days prior to the first day of final examinations in the long sessions shall be designated as Final Review Week. The purpose of this week is to allow students sufficient time to prepare for final examinations. During this week, there shall be no scheduled activities such as required field trips or performances; and no instructor shall assign any themes, research problems or exercises of similar scope that have a completion date during or following this week unless specified in the class syllabus. During Final Review Week, an instructor shall not give any examinations constituting 10% or more of the final grade, except makeup tests and laboratory examinations. In addition, no instructor shall give any portion of the final examination during Final Review Week. During this week, classes are held as scheduled. In addition, instructors are not required to limit content to topics that have been previously covered; they may introduce new concepts as appropriate.
**Emergency Exit Procedures**: Should we experience an emergency event that requires us to vacate the building, students should exit the room and move toward the nearest exit. When exiting the building during an emergency, one should never take an elevator but should use the stairwells. Faculty members and instructional staff will assist students in selecting the safest route for evacuation and will make arrangements to assist individuals with disabilities. Evacuation plans may be found at http://www.uta.edu/campus-ops/ehs/fire/Evac_Maps_Buildings.php.

In the event of an evacuation of the College of Business building, when the fire alarm sounds, everyone must leave the building by the stairs. All those in the North tower side of the building should proceed to the fire escape stairs located on the East and West sides of that wing. With the current fire alarm system, the elevators will all go to the first floor and stay there until the system is turned off. For Disabled Persons: Please go to the Northeast fire stairs. There is an evacuate track chair located on the 6th floor stairwell. There are people trained in the use of this chair and there will be someone who will go to the 6th floor to get the chair and bring it to any lower floor stairwell to assist disabled persons. Should this be a real emergency, the Arlington Fire Department and UTA Police will also be here to help.

Students should also be encouraged to subscribe to the MavAlert system that will send information in case of an emergency to their cell phones or email accounts. Anyone can subscribe at https://mavalert.uta.edu/ or https://mavalert.uta.edu/register.php.

**Student Support Services**: UT Arlington provides a variety of resources and programs designed to help students develop academic skills, deal with personal situations, and better understand concepts and information related to their courses. Resources include tutoring, major-based learning centers, developmental education, advising and mentoring, personal counseling, and federally funded programs. For individualized referrals, students may visit the reception desk at University College (Ransom Hall), call the Maverick Resource Hotline at 817-272-6107, send a message to resources@uta.edu, or view the information at http://www.uta.edu/universitycollege/resources/index.php.

**University Tutorial & Supplemental Instruction** (Ransom Hall 205): UTSI offers a variety of academic support services for undergraduate students, including: 60 minute one-on-one tutoring sessions, Start Strong Freshman tutoring program, and Supplemental Instruction. Office hours are Monday-Friday 8:00am-5:00pm. For more information visit www.uta.edu/utsi or call 817-272-2617.

**The IDEAS Center** ([2nd Floor of Central Library](http://library.uta.edu/academic-plaza)) offers FREE tutoring to all students with a focus on transfer students, sophomores, veterans and others undergoing a transition to UT Arlington. Students can drop in, or check the schedule of available peer tutors at www.uta.edu/IDEAS, or call (817) 272-6593.

**The English Writing Center ([411LIBR](http://library.uta.edu/academic-plaza))**: The Writing Center offers FREE tutoring in 15-, 30-, 45-, and 60-minute face-to-face and online sessions to all UTA students on any phase of their UTA coursework. Register and make appointments online at https://uta.mywconline.com. Classroom visits, workshops, and specialized services for graduate students and faculty are also available. Please see [www.uta.edu/owl](http://library.uta.edu/academic-plaza) for detailed information on all our programs and services.

The Library’s [2nd floor Academic Plaza](http://library.uta.edu/academic-plaza) offers students a central hub of support services, including IDEAS Center, University Advising Services, Transfer UTA and various college/school advising hours. Services are available during the library’s hours of operation. http://library.uta.edu/academic-plaza

### Course Schedule (Tentative)

<table>
<thead>
<tr>
<th>Week</th>
<th>Date</th>
<th>Weekday</th>
<th>Important dates</th>
<th>Lecture Topics</th>
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</thead>
<tbody>
<tr>
<td>Week1</td>
<td>1/15/2019</td>
<td>T</td>
<td>First day of class</td>
<td>First Day of Class; Syllabus</td>
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<tr>
<td></td>
<td>1/22/2019</td>
<td>T</td>
<td>CH1 Interpreting Financial Statements/CH1 HW Assignment</td>
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<tr>
<td>Week3</td>
<td>1/29/2019</td>
<td>T</td>
<td>CH2 Evaluating Financial Performance/CH2 HW Assignment</td>
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<tr>
<td></td>
<td>1/30/2019</td>
<td></td>
<td>Census date</td>
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<tr>
<td>Week</td>
<td>Date</td>
<td>Professor Time</td>
<td>Topic</td>
<td>Assignment</td>
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<tr>
<td>Week4</td>
<td>2/5/2019</td>
<td>T</td>
<td>CH3 Financial Forecasting/CH3 Homework Assignment</td>
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<tr>
<td>Week5</td>
<td>2/12/2019</td>
<td>T</td>
<td>CH4 Managing Growth/CH4 Homework Assignment</td>
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<tr>
<td>Week6</td>
<td>2/19/2019</td>
<td>T</td>
<td>Practice Question 1 Posted CH5 Financial Instruments and Markets/CH5 Homework Assignment</td>
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<td>CH6 The Financing Decision/CH6 Homework Assignment Review</td>
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<tr>
<td>Week7</td>
<td>2/26/2019</td>
<td>T</td>
<td></td>
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<tr>
<td>Week8</td>
<td>3/5/2019</td>
<td>T</td>
<td>Mid-term Exam CH1,2,3,4,5 Spreadsheet exercises due</td>
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<tr>
<td>Week9</td>
<td>3/12/2019</td>
<td>T</td>
<td>Spring Break no class</td>
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<tr>
<td>Week10</td>
<td>3/19/2019</td>
<td>T</td>
<td>CH7 Discounted Cash Flow Techniques/CH7 Homework Assignment</td>
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<td>CH8 Risk Analysis in Investment Decisions</td>
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<tr>
<td>Week11</td>
<td>3/26/2019</td>
<td>T</td>
<td>CH8 Risk Analysis in Investment Decisions/CH8 Homework Assignment</td>
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<tr>
<td></td>
<td>3/29/2019</td>
<td></td>
<td>Last day to drop</td>
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<tr>
<td>Week12</td>
<td>4/2/2019</td>
<td>T</td>
<td>CH9 Business Valuation and Corporate Restructuring/CH9 Homework Assignment</td>
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<tr>
<td>Week13</td>
<td>4/9/2019</td>
<td>T</td>
<td>Presentation</td>
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<tr>
<td>Week14</td>
<td>4/16/2019</td>
<td>T</td>
<td>Presentation</td>
<td></td>
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<tr>
<td>Week15</td>
<td>4/23/2019</td>
<td>T</td>
<td>Practice Question 2 Posted Presentation</td>
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<tr>
<td>Week16</td>
<td>4/30/2019</td>
<td>T</td>
<td>Last day of class</td>
<td>Case study report due; Case study comments due CH6,7,8,9 Spreadsheet exercises due</td>
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<tr>
<td>Week17</td>
<td>5/7/2019</td>
<td>T</td>
<td>Final Exam May 7, 2019 Tuesday 8:15pm - 10:45pm</td>
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**Emergency Phone Numbers:** In case of an on-campus emergency, call the UT Arlington Police Department at 817-272-3003 (non-campus phone), 2-3003 (campus phone). You may also dial 911. Non-emergency number 817-272-3381