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Classroom & Code: via ZOOM [CRN 78621]
Class Hours: Wednesdays, 6:00 – 8:45 PM
Office Hours: Wednesdays 14:00 – 16:30 by appointment
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REQUIRED TEXTS AND COURSE MATERIALS:

1. Dalton, M. A., and J. F. Dalton and K. F. Oakley, *Cases in Financial Planning: Analysis and Presentation*, Money Education, 4th Edition.
2. CFP Board, Student-Centered Learning Objectives based upon CFP Board Principal Topics, 2015. A copy can be found on class Laulima site under “CFP Board Resources”.
3. CFP Board of Standards. A copy can be found in class Laulima site under “CFP Board Resources”.
4. Class materials including PPTs and resources will be available on Laulima.
5. Textbooks from the pre-requisite courses will be used throughout the class.
6. Students should check pertinent CFP Board Certification exam information on the CFP Board website: www.cfp.net. By now, you should already have an email account with CFP Board. If not, set up one ASAP.
7. Financial Calculator (Suggested model: Texas Instruments BA II Plus)
8. Wiley CFP Review

COURSE DESCRIPTION:

FIN 467 is a capstone course for the Financial Services & Planning track. This course will require students to integrate concepts and material from the pre-requisite courses to apply to financial planning situations. This course intends to provide students with opportunities to analyze financial problems, evaluate potential solutions, develop and present financial plans through case analysis. Mentors will provide students with practical knowledge and experience to complement their academic preparation in financial planning. In addition, this course will assist students in preparing for the CFP® exam.

COURSE OBJECTIVES:

The purpose of this class is to prepare the student for a career in financial planning and prepare them to pass the Certified Financial Planner® exam. All cases, exercises, quizzes and practice exams are leading up to the CFP certification exam preparation.

Upon successful completion of this course, the student will be able to:

1. Demonstrate a comprehensive understanding of content found within the financial planning curriculum (e.g. 72 topics).
2. Demonstrate the ability to effectively apply and integrate the financial planning curriculum in the formulation of a plan:
 - Effectively communicate the financial plan, both orally and in writing, including information based on research, peer, colleague or simulated client interaction and/or results emanating from synthesis of material;
 - Collect all necessary and relevant qualitative and quantitative information required to develop a financial plan;
 - Analyze personal financial situations, evaluating clients’ objectives, needs, and values to develop an appropriate strategy within the financial plan;
 - Demonstrate logic and reasoning to identify the strengths and weaknesses of various approaches to a specific problem;
 - Evaluate the impact of economic, political, and regulatory issues with regard to the financial plan;
 - Apply the CFP Board Financial Planning Practice Standards to the financial planning process.

PRE-REQUISITE COURSES:

- FIN 311;
- FIN 301; and
- Three of the following four courses: INS300, ACC401, FIN490E, FIN490F

Note: Courses may be taken concurrently with this course with permission of the instructor

COURSE FORMAT:

This class will be structured as a case-studies class, affording students the opportunity to integrate the concepts of financial planning by analyzing case studies and preparing comprehensive financial plans for application including gathering client data, analyzing and evaluating client current financial status, developing and presenting financial planning recommendations and designing a plan for follow-up and monitoring of the plan.

GRADING POLICY:

The final letter grade will be determined based on the following course requirements: case analysis, integration of CFP 72 topics and is computed as follows:

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| • Report on CFP Principal Knowledge Topics | 30% |
| • Applying CFP Code of Ethics and Standard of Conducts and FP Practice Standards | 15% |
| • Mini-case preparation and presentation | 25% |
| ○ Discovery and collection of data | |
| ○ Analysis and synthesis | |
| ○ Evaluating external factors | |
| ○ Oral communication | |
| ○ Written communication | |
| • Final comprehensive case presentation and detailed report | 30% |

(1) CFP Principal Knowledge Topics

- When preparing the cases, the students are expected to incorporate all the relevant information related to the specific planning topics. The topics will be included as part of the class discussions.
- In addition, students are required to prepare their analyses based on the CFP Learning Objective Resource (2015). By doing so, students will conduct a more in-depth case analysis and at the same understanding the principal topics.

(2) Case analysis and presentation

- Students will be assigned individual cases to prepare and present to the class throughout the course. A detailed analysis of the client situation including weaknesses and strengths, analysis of current situations, financial planning recommendations will be required.
- In addition to the textbook cases, the student will prepare a comprehensive financial plan with the help of industry mentors. Once your mentor has been identified, please contact him or her and plan to meet on a regular basis.

DISABILITY ACCESS:

Students with disabilities are encouraged to contact the KOKUA Program for information and services. Services are confidential and students are not charged for them. Contact KOKUA at 956-7511 (voice/text), kokua@hawaii.edu, or Student Services Center, Room 13.

ACADEMIC DISHONESTY:

Instances of academic dishonesty, as defined by the University Student Conduct Code

(<http://www.hawaii.edu/student/conduct>), will not be tolerated and any instance of academic dishonesty may result in a grade of "F." Further disciplinary sanctions may also be imposed by the Dean of Students in accordance with the fore-mentioned Student Conduct Code.

COURSE SCHEDULE: SUBJECT TO CHANGE AT INSTRUCTOR'S DISCRETION

Date	Topic	Assignments
8/26	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum Introduce case analysis Mentor Meeting #1 	<ul style="list-style-type: none"> Active review of exam topic material A1 – A7: Professional Conduct & Regulation Chapters 1, 2
9/2	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum Financial statement analysis 	<ul style="list-style-type: none"> Active review of exam topic material B8 – B16: General Principles of Financial Planning & Financial Statement Analysis Chapters 3
9/9	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum & case analysis 	<ul style="list-style-type: none"> Active review of exam topic material and quiz C17 – C21: Education Planning Mini case #1 – William & Lucy Hayes
9/16	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum & case analysis 	<ul style="list-style-type: none"> Mini case #2 – Ryan & Tiffany Pierce Mini case #3 – William and Kate Windsor
9/23	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum & case analysis 	<ul style="list-style-type: none"> Active review of exam topic material and quiz D22 – D32: Risk Management & Insurance Planning Mini case #4 – Uday Gupta Mini case #5 – Charles & Charlotte Rangle
9/30	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum & case analysis 	<ul style="list-style-type: none"> Active review of exam material topics and quiz E33 – E41: Investment Planning Mini case #6 – Larry & Kay Mullen
10/7	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum Developing a comprehensive case analysis 	<ul style="list-style-type: none"> Active review of exam material topics and quiz F42 – F51: Tax Planning Mini case #7 – Tommy & Kristine Kraft
10/14	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum + case analysis 	<ul style="list-style-type: none"> Active review of exam material topics and quiz G52 – G62: Retirement Savings and Income Planning Mini case #8 – Chase & Janet Fisher Mini case #9 – Alan & Angel Young
10/21	<ul style="list-style-type: none"> Review of content found within the Financial Planning curriculum + case analysis Mentor meeting #2 	<ul style="list-style-type: none"> Active review of exam material topics and quiz F63 – F72: Estate Planning
10/28 & 11/4	Comprehensive financial planning case	Sample Comprehensive Case Burke <ul style="list-style-type: none"> Gather and organize data from case story Interviewing “clients” to gather additional information as needed Working session to analyze and organize own case Case presentations with peer and instructor feedback
11/11 & 11/18	Comprehensive financial planning case	<ul style="list-style-type: none"> Comprehensive case: #4: Argo and Marie Merritt Case presentations with peer and instructor feedback.
11/25	Thanksgiving break	NO CLASS
12/2 & 12/9	Mentor meetings #3 & 4: Presentation of comprehensive financial plan	<ul style="list-style-type: none"> Oral Presentations Written Presentations