

**Practicum in Personal Financial Planning**  
**FINA 4353**  
**Spring Semester 2018**

Instructor: John C. Lopez  
Office: The Starbucks in Melcher Hall  
Office Hours: Before and after each class or by appointment  
Email: Through Blackboard Message  
Textbook: 1) **Personal Financial Planning Series: Theory and Practice, 9th Edition**  
ISBN: 9781475440867  
2) **Personal Financial Planning Series: Cases and Applications, 10th Edition**  
ISBN: 9781475431251  
3) Financial Planning Magazine  
(Provided by Instructor)

This material can be purchased directly from Kaplan utilizing the UH/Kaplan Portal:

<https://portal.kaplanfinancial.com/partner/HoustonCFP>

If you've not set up an account with Kaplan do so by clicking Login and then Create Account.

## **COURSE DESCRIPTION**

This Capstone Course is for students pursuing the Personal Financial Planning Track.

This is a case-based course modeled under the Certified Financial Planning Board of Standards Principal Topics (72 Topics) in which students develop comprehensive financial plans by deeply explore topics introduced in FINA 4352- Personal Financial Planning and other required courses in the Financial Planning Track.

## **LEARNING OBJECTIVES:**

Students will be able to analyze a client's personal financial situation in detail and make appropriate observations and recommendations on how this client would obtain their stated financial objectives by:

1. Demonstrating a comprehensive understanding of the content found within the Personal Financial Planning curriculum and applying this information in the formulation of a financial plan.
2. Effectively communicating the financial plan, both orally and in writing.
3. Collecting all necessary and relevant qualitative and quantitative information required to develop a financial plan.
4. Analyzing personal financial situations, evaluating clients' objectives, needs, and values.
5. Demonstrating logic and reasoning to identify the strengths and weaknesses of various approaches to a specific problem.
6. Evaluating the impact of economic, political, and regulatory issues.
7. Applying the CFP Board Financial Planning Practice Standards to the financial planning process.

Topics reviewed and applied will include:

General Principles of Financial Planning  
Professional Conduct and Fiduciary Responsibility  
Interpersonal Communication  
Insurance Planning  
Investment Planning  
Income Tax Planning  
Retirement Planning  
Estate Planning

Students will write and present financial plans which assist the case family in reaching their financial goals.

### **WRITTEN FINANCIAL PLANS**

For each case, each team will write a comprehensive financial plan analyzing the client's personal financial situation, evaluate the objectives and needs of the client and develop and recommend a strategy to meet the client's goals utilizing and applying the topics in the Financial Planning curriculum.

## **TEAM PRESENTATIONS:**

For each case there will be a team of students who will present recommendations based on the fact patterns of the case. Your team may be asked to present more than one case.

## **PRE-SEMESTER ACTIVITIES:**

1) Please create a name tent which shows the name you prefer to be called. I will ask you to place this name tent in front of you during class.

2) **Purchase the textbooks; we will be using them!**

**We will be using the Cases and Applications text in the latter part of the semester.**

3) **Purchase TurningPoint clicker.**

## **GRADING:**

Rubrics will be used to grade the components of Written Financial Plans and Team Presentations. The grading rubrics are available in Blackboard Rubrics Section.

Grading will consist of the following elements:

Clicker Questions - 20%

Written Financial Plans - 45%

Team Presentations - 20%

Peer Reviews – 15%

**Grading Scale:**

95%+ = A

90%+ = A-

85%+ = B+

80%+ = B-

75%+ = C+

70%+ = C-

65%+ = D+

60%+ = D-

<60% = F

ARCHIVE