

1. General Information

1a. Submitted by the College of: BUSINESS AND ECONOMICS

Date Submitted: 4/30/2013

1b. Department/Division: Dept of Finance & Quantitative Methods

1c. Contact Person

Name: Mark Liu

Email: hlliu2@email.uky.edu

Phone: 859-2579842

Responsible Faculty ID (if different from Contact)

Name:

Email:

Phone:

1d. Requested Effective Date: Semester following approval

1e. Should this course be a UK Core Course? No

2. Designation and Description of Proposed Course

2a. Will this course also be offered through Distance Learning?: No

2b. Prefix and Number: FIN 740

2c. Full Title: Seminar in Theoretical Corporate Finance

2d. Transcript Title:

2e. Cross-listing:

2f. Meeting Patterns

SEMINAR: 3

2g. Grading System: Letter (A, B, C, etc.)

2h. Number of credit hours: 3

2i. Is this course repeatable for additional credit? No

If Yes: Maximum number of credit hours:

If Yes: Will this course allow multiple registrations during the same semester?

- 2j. Course Description for Bulletin: This is an introduction course in theoretical corporate finance for Ph.D. students. This course has the objective of introducing doctoral students to theoretical research in corporate finance. The emphasis will be on incomplete information models, though a few models driven by other considerations will also be studied. The first part of the course will examine the fundamentals of corporate finance theory (e.g., the theory of the firm's choice of its capital structure and dividend policy under alternative assumptions), as well as various tool areas in corporate finance (e.g., the notion of moral hazard and agency problems, adverse selection and signaling, various aspects of non-cooperative games with and without incomplete information, and the equilibrium concepts in such games). The second part of the course will focus on a couple of important related topics which are the focus of recent research in corporate finance.
- 2k. Prerequisites, if any: FIN 600 and 650, or equivalent, or permission of instructor.
- 2l. Supplementary Teaching Component:
3. Will this course taught off campus? No
If YES, enter the off campus address:
4. Frequency of Course Offering: Fall,
Will the course be offered every year?: No
If No, explain: Doctoral seminars are offered every other year
5. Are facilities and personnel necessary for the proposed new course available?: Yes
If No, explain:
6. What enrollment (per section per semester) may reasonably be expected?: 6
7. Anticipated Student Demand
Will this course serve students primarily within the degree program?: Yes
Will it be of interest to a significant number of students outside the degree pgm?: No
If Yes, explain: [var7InterestExplain]
8. Check the category most applicable to this course: Traditional – Offered in Corresponding Departments at Universities Elsewhere,
If No, explain:
9. Course Relationship to Program(s).
a. Is this course part of a proposed new program?: No
If YES, name the proposed new program:
b. Will this course be a new requirement for ANY program?: No
If YES, list affected programs:
10. Information to be Placed on Syllabus.
a. Is the course 400G or 500?: No

b. The syllabus, including course description, student learning outcomes, and grading policies (and 400G-/500-level grading differentiation if applicable, from 10.a above) are attached: Yes

Distance Learning Form

Instructor Name:

Instructor Email:

Internet/Web-based: No

Interactive Video: No

Hybrid: No

1. How does this course provide for timely and appropriate interaction between students and faculty and among students? Does the course syllabus conform to University Senate Syllabus Guidelines, specifically the Distance Learning Considerations?

2. How do you ensure that the experience for a DL student is comparable to that of a classroom-based student's experience? Aspects to explore: textbooks, course goals, assessment of student learning outcomes, etc.

3. How is the integrity of student work ensured? Please speak to aspects such as password-protected course portals, proctors for exams at interactive video sites; academic offense policy; etc.

4. Will offering this course via DL result in at least 25% or at least 50% (based on total credit hours required for completion) of a degree program being offered via any form of DL, as defined above?

If yes, which percentage, and which program(s)?

5. How are students taking the course via DL assured of equivalent access to student services, similar to that of a student taking the class in a traditional classroom setting?

6. How do course requirements ensure that students make appropriate use of learning resources?

7. Please explain specifically how access is provided to laboratories, facilities, and equipment appropriate to the course or program.

8. How are students informed of procedures for resolving technical complaints? Does the syllabus list the entities available to offer technical help with the delivery and/or receipt of the course, such as the Information Technology Customer Service Center (<http://www.uky.edu/UKIT/>)?

9. Will the course be delivered via services available through the Distance Learning Program (DLP) and the Academic Technology Group (ATL)? NO

If no, explain how student enrolled in DL courses are able to use the technology employed, as well as how students will be provided with assistance in using said technology.

10. Does the syllabus contain all the required components? NO

11. I, the instructor of record, have read and understood all of the university-level statements regarding DL.

Instructor Name:

SIGNATURE|BJORDAN|Bradford D Jordan|Dept approval for ZCOURSE_NEW FIN 740|20121121
SIGNATURE|MKT210|Steven J Skinner|College approval for ZCOURSE_NEW FIN 740|20121121
SIGNATURE|ZNNIKO0|Roshan N Nikou|Graduate Council approval for ZCOURSE_NEW FIN 740|20130124
SIGNATURE|MKT210|Steven J Skinner|Approval resent to college for ZCOURSE_NEW FIN 740|20130131
SIGNATURE|ZNNIKO0|Roshan N Nikou|Graduate Council approval for ZCOURSE_NEW FIN 740|20130205
SIGNATURE|MKT210|Steven J Skinner|Approval resent to college for ZCOURSE_NEW FIN 740|20130409
SIGNATURE|ZNNIKO0|Roshan N Nikou|Graduate Council approval for ZCOURSE_NEW FIN 740|20130410
SIGNATURE|JEL224|Janie S Ellis|Senate Council approval for ZCOURSE_NEW FIN 740|20130418
SIGNATURE|WF-BATCH|Batch User|Subworkflow for college notifications|20130424
SIGNATURE|MKT210|Steven J Skinner|Approval resent to approvers for ZCOURSE_NEW FIN 740|20130424

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Courses	Request Tracking
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New Course Form

<https://myuk.uky.edu/sap/bc/soap/rfc?services=>

[Open in full window to print or save](#)

Generate F

Attachments:

Upload File

	ID	Attachment
Delete	1687	syllabusFIN740Fall2012.doc

First 1 Last

Select saved project to retrieve...

(*denotes required fields)

1. General Information

- a. * Submitted by the College of: BUSINESS AND ECONOMICS Today's Date: 4/30/2013
- b. * Department/Division: Dept of Finance & Quantitative Methods
- c.
 - * Contact Person Name: Mark Liu Email: hlliu2@email.uky.edu Phone: 859-2579842
 - * Responsible Faculty ID (if different from Contact): Email: Phone:
- d. * Requested Effective Date: Semester following approval OR Specific Term/Year ¹
- e. Should this course be a UK Core Course? Yes No

If YES, check the areas that apply:

- Inquiry - Arts & Creativity Composition & Communications - II
- Inquiry - Humanities Quantitative Foundations
- Inquiry - Nat/Math/Phys Sci Statistical Inferential Reasoning
- Inquiry - Social Sciences U.S. Citizenship, Community, Diversity
- Composition & Communications - I Global Dynamics

2. Designation and Description of Proposed Course.

- a. * Will this course also be offered through Distance Learning? Yes ¹ No
- b. * Prefix and Number: FIN 740
- c. * Full Title: Seminar in Theoretical Corporate Finance
- d. Transcript Title (if full title is more than 40 characters):
- e. To be Cross-Listed ² with (Prefix and Number):
- f. * Courses must be described by at least one of the meeting patterns below. Include number of actual contact hours³ for each meeting pattern type.

Lecture	Laboratory ⁴	Recitation	Discussion
Indep. Study	Clinical	Colloquium	Practicum
Research	Residency	3 Seminar	Studio
Other	If Other, Please explain:		
- g. * Identify a grading system: Letter (A, B, C, etc.) Pass/Fail
- h. * Number of credits: 3
- i. * Is this course repeatable for additional credit? Yes No
 - If YES: Maximum number of credit hours:
 - If YES: Will this course allow multiple registrations during the same semester? Yes No

j. * Course Description for Bulletin:

This is an introduction course in theoretical corporate finance for Ph.D. students. This course has the objective of introducing doctoral students to theoretical research in corporate finance. The emphasis will be on incomplete information models, though a few models driven by other considerations will also be studied. The first part of the course will examine the fundamentals of corporate finance theory (e.g., the theory of the firm's choice of its capital structure and dividend policy under alternative assumptions), as well as various tool areas in corporate finance (e.g., the notion of moral hazard and agency problems, adverse selection and signaling, various aspects of non-cooperative games with and without incomplete information, and the equilibrium concepts in such games). The second part of the course will focus on a couple of important related topics which are the focus of recent research in corporate finance.

k. Prerequisites, if any:

FIN 600 and 650, or equivalent, or permission of instructor.

l. Supplementary teaching component, if any: Community-Based Experience Service Learning Both

3. * Will this course be taught off campus? Yes No

If YES, enter the off campus address:

4. Frequency of Course Offering.

a. * Course will be offered (check all that apply): Fall Spring Summer Winter

b. * Will the course be offered every year? Yes No

If No, explain: Doctoral seminars are offered every other year

5. * Are facilities and personnel necessary for the proposed new course available? Yes No

If No, explain:

6. * What enrollment (per section per semester) may reasonably be expected? 6

7. Anticipated Student Demand.

a. * Will this course serve students primarily within the degree program? Yes No

b. * Will it be of interest to a significant number of students outside the degree pgm? Yes No

If YES, explain:

8. * Check the category most applicable to this course:

- Traditional – Offered in Corresponding Departments at Universities Elsewhere
- Relatively New – Now Being Widely Established
- Not Yet Found in Many (or Any) Other Universities

9. Course Relationship to Program(s).

a. * Is this course part of a proposed new program? Yes No

If YES, name the proposed new program:

b. * Will this course be a new requirement⁵ for ANY program? Yes No

If YES⁵, list affected programs::

10. Information to be Placed on Syllabus.

a. * Is the course 400G or 500? Yes No

If YES, the differentiation for undergraduate and graduate students must be included in the information required in 10.b. You must include: (i) Ident additional assignments by the graduate students; and/or (ii) establishment of different grading criteria in the course for graduate students. (See SR

b. * The syllabus, including course description, student learning outcomes, and grading policies (and 400G-/500-level grading differentiation if appl 10.a above) are attached.

- Courses are typically made effective for the semester following approval. No course will be made effective until all approvals are received.
- The chair of the cross-listing department must sign off on the Signature Routing Log.
- In general, undergraduate courses are developed on the principle that one semester hour of credit represents one hour of classroom meeting per week for a semester, exclusive of any laboratory meeting. Laboratory meeting, generally, is two hours per week for a semester for one credit hour. (from SSR 6.2.1)
- You must also submit the Distance Learning Form in order for the proposed course to be considered for DL delivery.
- In order to change a program, a program change form must also be submitted.

Rev 8/09

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