

From: [Smith, Randy](#)
To: [Loibl, Caezilia](#)
Cc: [Sutherland, Sue](#); [Herrmann, Samantha](#); [Smith, Randy](#); [Griffiths, Rob](#); [Reed, Katie](#); [Miriti, Maria](#); [Duffy, Lisa](#); [Hunt, Ryan](#); [Porfeli, Erik](#); [Locascio, Pete](#); [Snyder, Anastasia](#)
Subject: Proposal to establish a Financial Planning Micro credential
Date: Thursday, October 23, 2025 11:52:41 AM
Attachments: [image001.png](#)

Caezilia:

The proposal from the Department of Human Sciences to establish a Financial Planning Micro credential was approved by the Council on Academic Affairs at its meeting on October 22, 2025. Thank you for attending the meeting to respond to questions/comments.

No additional level of internal review/approval is necessary. This action will be included in the Council's next Annual Activities Report to the University Senate (July 2026).

The Office of the University Registrar will work you with any implementation issues.

Proposing and implementing micro credentials remains a work in progress for the Council, and so we will ask for a brief update report in Spring 2026. You will hear more from me as we get closer to that date. Please contact me if you have any questions about this.

Please keep a copy of this message for your file on the proposal and I will do the same for the file in the Office of Academic Affairs.

More broadly, If you have any questions/comments about this Council action please contact the Chair of the Council, Professor Sue Sutherland (.43), or me.

I wish you success with this important program development.

Randy



W. Randy Smith, Ph.D.

Vice Provost for Academic Programs

Office of Academic Affairs

University Square South, 15 E. 15th Avenue, Columbus, OH 43201

614-292-5881 Office

smith.70@osu.edu

Assisted by:

Katie Reed

Executive Assistant

(614) 292-5672

From: [Miriti, Maria](#)
To: [Reed, Katie](#); [Griffiths, Rob](#)
Cc: [Kowalsky, Lisa](#)
Subject: Re: CAA proposal question
Date: Friday, September 5, 2025 10:55:53 AM
Attachments: [image.png](#)

Hi Katie and Rob,

I have reviewed the EHE proposal for a Financial Planning Microcredential, Department of Human Sciences, and am forwarding it for CAA approval.

Maria



Dr. Maria N. Miriti
Professor, Dept. of Evolution, Ecology, and Organismal Biology

Associate Dean for Academic Excellence, Graduate School

614-292-6997 Office
miriti.1@osu.edu

From: Reed, Katie <reed.901@osu.edu>
Sent: Friday, September 5, 2025 9:15 AM
To: Griffiths, Rob <griffiths.44@osu.edu>
Cc: Kowalsky, Lisa <kowalsky.10@osu.edu>; Miriti, Maria <miriti.1@osu.edu>
Subject: RE: CAA proposal question

Hi Rob,

Since the proposal has a graduate component to it, we sent it to the Graduate School for their review (see attached). I have copied Lisa Kowalsky and Maria Miriti on this email to get a status update.

Thanks,
Katie

From: Griffiths, Rob <griffiths.44@osu.edu>

Sent: Friday, September 5, 2025 8:13 AM

To: Reed, Katie <reed.901@osu.edu>

Subject: CAA proposal question

Hi Katie,

Caezilia Loibl (EHE) shared with me she submitted her Financial Planning micro credential proposal to CAA after it was approved by EHE in May.

I don't recall seeing it come through or listed in the CAA Teams space. Do you know its status?

Thanks,
Rob

Robert Griffiths, PhD

AVP, Workforce Development and Innovation

Office of Academic Affairs

University Square South

614-292-5901 Office

griffiths.44@osu.edu / oaa.osu.edu



THE OHIO STATE UNIVERSITY

COLLEGE OF
EDUCATION AND HUMAN ECOLOGY

EHE Office of Undergraduate Education

College of Education and Human Ecology
A100 PAES Building
305 Annie & John Glenn Ave
Columbus, OH 43210

Memo

July 31, 2025

To: Randy Smith, Vice Provost of Academic Programs
Katie Reed, Executive Assistant

From: Pete Locascio, Executive Director of Undergraduate Education, EHE

RE: NEW PROGRAM REQUEST: **Financial Planning Microcredential**, Department of Human Sciences

Please find materials included for a program revision request to establish a microcredential in Financial Planning.

EHE Curriculum Committee approved this proposal on May 8, 2025. If there are any questions, please contact me at Locascio.7@osu.edu.



PAES Building, First Floor
305 Annie & John Glenn Avenue
Columbus, OH 43210

614-688-1444 Phone
614-292-7229 Fax

go.osu.edu/HS

Consumer Sciences
262 Campbell Hall
1787 Neil Avenue
614-292-4389 Phone
614-688-8133 Fax

**Human Development
and Family Science**
135 Campbell Hall
1787 Neil Avenue

Human Nutrition
325 Campbell Hall
1787 Neil Avenue

Kinesiology
PAES Building, First Floor
305 Annie & John Glenn Ave

April 24, 2025

Dr. Sue Sutherland
Chair, Undergraduate Studies Committee
Department of Human Sciences, College of Education and Human Ecology
A266 PAES Building, 305 Annie & John Glenn Avenue
Columbus, OH 43210

Dear Sue,

The CFFS faculty plans to introduce Financial Planning Microcredentials, comprising three 1-credit courses: CSCFFS 5150 – FINRA Securities Industry Essentials (SIE®) Exam Preparation, CSCFFS 5160 – Series 65 Uniform Investment Adviser Law Exam, and CSCFFS 5170 – Financial Planning Software (under review). This Microcredential aims to attract undergraduate students eager to pass industry exams, as well as professionals looking to accelerate their careers.

The attached proposal was reviewed and approved by the CS faculty on April 23, 2025. If you have any questions or comments, please don't hesitate to contact me at yilmazer.2@osu.edu. Thank you for your time and consideration.

Sincerely,

Tansel Yilmazer
Professor
CFFS Undergraduate Curriculum Chair

Proposal Overview

Working name of the micro-credential:

Financial Planning Microcredential

Type of micro-credential:

This proposal is seeking approval for two microcredential options: for-credit (less than 12 credit hours) and non-credit.

For-Credit:

- Credit completion-based
 - Completion of 3, 1-credit-hour courses with an “S” (70%+) passing grade.
 - CSCFFS 5150 – FINRA Securities Industry Essentials (SIE®) Exam Preparation
 - CSCFFS 5160 – Series 65 Uniform Investment Adviser Law Exam
 - CSCFFS 5170 – Financial Planning Software (course was approved at the sub-program and program level; is currently under review at the department curriculum level)

Non-Credit:

- Skills-based
 - Satisfactorily completing courses and passing each industry exam associated with Certified Financial Planning.
 - FINRA Securities Industry Essentials (SIE®) Exam
 - Series 65 Uniform Investment Adviser Law Exam
 - eMoney Fundamentals Certification course
 - Holistiplan 2.0 Certification course

Mode(s) of delivery for micro-credential:

Online, asynchronous

- The FINRA SIE and Series 65 exams may be completed online or in-person at Prometric, a testing center with offices across the nation; the local testing site is in Worthington
- The eMoney and Holistiplan certification courses are provided by their respective certification bodies and are taken online.

Anticipated first enrollment term and year:

For-Credit:

- First academic term after approval, minimum 20 undergraduate enrollments to offer.
 - AU25 (earliest); SP26; SU26
 - Follow academic calendar

- Offered Autumn and Spring semesters; trying summer semester in 2025.
- Donation funding for learning software fee and/or exam fee for FINRA SIE and Series 65 (eMoney and Holistiplan certifications are free of charge)
- Enrollment numbers that cover costs are about 20 for-credit students for every 1 credit hour offering from the unit in the for-credit; non-credit is open

Non-Credit:

- Align to for-credit schedule
- First academic term after approval (AU25)
- No financial support provided for FINRA SIE and Series 65 learning software and exam fees.

Rationale for Development

Upon review with Ohio State Online, the market analysis revealed Ohio State should explore alternatives for financial planning professions from a traditional major or minor degree to add to the “Financial Planning” track at Ohio State essential industry licensures and certificates. It will increase the job market success of undergraduate students and attract career-changers for whom a full degree is not necessary.

Research demonstrated a non-traditional pathway for financial advisors would afford Education and Human Ecology to capitalize on the greatly expanding job market in financial advising while also providing a cost-effective pathway to launching new program offerings in related academic areas.

In Ohio, the North American Securities Administrators Association’s Series 65 Exam is required for individuals to work as investment advisors unless they hold the Certified Financial Planner® (CFP®) designation.

The Financial Industry Regulatory Authority’s (FINRA) SIE® Exam is the baseline exam for a host of top-up exams in the securities industry, which, in turn, qualify individuals to buy and sell investments in different industries, such as financial advising, banking, brokerage, and insurance.

Further, recertification exams are required within 4 years if a learner does not obtain employment in the securities industry.

Who is the intended audience and what value will the micro-credential bring them? Include in the description specific competencies or skills gained at completion.

There are two key audiences being addressed, which is prompting the proposal for a for-credit and non-credit option—both of whom are targeting job opportunities in financial

advising and the broader financial services industry. The microcredential prepares individuals to obtain or maintain employment in the financial advising field.

The for-credit microcredential is providing a clear pathway designation to support our enrolled undergraduate degree seeking students who are seeking preparation for industry-standard certifying exams to become professional financial advisors. These learners may be from Education and Human Ecology but are also likely to come from adjacent program areas at the university, such as Fisher College of Business, the College of Arts and Sciences, the College of Engineering, and others.

The non-credit microcredential audience is geared toward non-matriculated learners who trend toward young, early professionals in business or other industries seeking career changes or to round out their undergraduate degrees to become recognized professionals in financial advising.

Explain the evidence of need for the micro-credential based on market assessment and related data, including any collaboration with employers.

According to the Bureau of Labor Statistics, financial advisors enjoy a 1.3% unemployment rate and made a median salary of \$99,580 in 2023 (Top Quartile: \$169,910; Bottom Quartile: \$65,320).

From recent occupational trends report from [Lightcast](#) data, Ohio sees a 13.6% job growth through 2033 and nationally a 17.6% increase (above the adjusted national average of 10.3%). There is an estimated 55,000 new jobs to be created through 2033.

A report on Feb 10 by [McKinsey](#) stated an advisor shortage in U.S. wealth management because 100,000 financial advisors will retire in the next 10 years. At the same time, [Cerulli anticipates](#) a larger than ever wealth transfer of \$124 trillion in the next 25 years, with \$46 trillion being transferred to Millennials, \$31 trillion to women, and \$15 trillion to Gen Z and younger – increasing the demand for financial advice for women and next-generation investors.

According to the US News overview of Financial Advisors, the career is considered the second best business and thirteenth best overall for pay, career advancement, and work-life balance.

What other institutions (academic or otherwise) offer similar programs?

Several entities offer similar programs:

- SIE Exam Prep Course
 - [Kaplan Financial](#): Three “packages” ranging in price from \$229 to \$99
 - [Securities Institute of America](#) offers an SIE Exam Prep Course for \$124.95
- Series 65 Uniform Investment Adviser Law Exam Prep Course
 - [Kaplan Financial](#): Three “packages” ranging in price from \$319 to \$159

- NASAA (North American Securities Administration Association): has a place to advertise vendors who produce study guides

In 2021, the [American College of Financial Services](#) realized approximately 3,000 completions, making up about 94% of the market. This institution is designed to serve financial practitioners and prepare them for many professional certifications. Starting in 2022, they no longer reported conferrals to IPEDS.

Students participating in these programs (such as the ones offered by the American College of Financial Services) are enjoying [above-average CFP pass rates](#) with [total tuition costs less than \\$5,250](#). Top financial services companies, like Northwestern Mutual, offer employees \$5,250/year in tuition reimbursement. Successful programs are tailored toward the working professional.

Learning Outcomes

Upon completion of the micro-credential, learners will be better prepared to:

1. Develop proficiency with the leading financial planning technology and software in financial advising (over 30% market penetration).
2. Obtain the knowledge tested in the Series 65 Investment Advisor Exam and to sit for and pass the Series 65 Investment Advisor Exam.
3. Obtain the knowledge tested in the FINRA SIE Exam and to sit for and pass the FINRA SIE Exam.

Assessment Plan

Describe how the learning outcomes will be assessed.

Learning outcomes will be assessed throughout the three-course experience, whether for-credit or non-credit. This is through scaffolded quizzes or exams after each topical area; section exams covering multiple, connected concepts; and final exams that review the course outcomes and industry exam preparations.

To earn the for-credit microcredential, students must pass 70%+ of the course to earn an “S” passing grade.

To earn the non-credit microcredential, learners must pass each industry recognized certification exam.

Course Syllabi:

- [CSCFFS 5160 Series 65 Syllabus SP25.pdf](#)
- [CSCFFS 5150 FINRA SIE Syllabus SP25.pdf](#)
- [CSCFFS 5170 Financial Planning Software Syllabus SP25.pdf](#) [DRAFT: In Development]

Describe how the learning outcomes information will be used.

Data collected from students and learners are geared toward understanding how well they are obtaining the knowledge and skills necessary to prepare for and successfully pass the Series 65 Exam, FINRA SIE Exam, and Software tools exams. Currently, 60-75% of for-credit learners successfully complete these exams.

Looking at course analytics and qualitative feedback will help focus continuous improvement efforts in topical areas that are least successful.

Plans are to survey learners at 6 months, 12 months. Ongoing engagement with microcredential participants are needed since completers need to have a job within 4 years after taking exams or else it expires.

Provide a timeline for implementing the assessment plan.

Learning outcomes assessments are scaffolded and baked into the 3-course sequence through comprehension checks and ultimately the passing of an industry-recognized examination. Assessment of course work begins immediately upon the first comprehension check. Assessment of long-term, post participation success begins through surveys and discussions starting 6 months after earning the microcredential.

Contact Information

First Name:

Caezilia

Last Name:

Loibl

Ohio State Username (name.#):

loibl.3

Unit name:

Education and Human Ecology—Human Sciences

Additional Resources

Proposal

- [CAA proposal resources](#) [CAA member access and key microcredential pilot stakeholders access only]
- [EHE and PCE proposal development resources](#) [Ohio State log-in access expires June 30, 2025]

University Context

- [Ohio State's Strategic Plan Framework](#)
- [Ohio State's Alternative Credential Framework](#) [2022]
 - [CAA proposal seeking endorsement of Alternative Credential Framework](#) [2022]

Academic Advising

- EHE academic advising team will be informed that students who complete the three courses earn a microcredential, so advisors can tell students about their options and what a microcredential can be received.
- Academic advisors of undergraduate students will be alerted that students may take CSCFFS 5150 FINRA Securities Industry Essentials (SIE®) Exam and CSCFFS 5170 Financial Planning Software without having completed other financial planning coursework because the content of these courses is foundational and targeted to individuals without prior knowledge. CSCFFS 5160 Series 65 Uniform Investment Adviser Law Exam is a more difficult exam and students benefit from having taken investment courses, such as BUSFIN/CSCFFS 3222 or BUSFIN 4221.

Ohio State's Workforce Development Evolution

- Workforce Development Committee Originating Documents
 - [Framing and Defining Workforce Development at Ohio State](#) [2020]
 - [Workforce Development Implement Plan Framework for Ohio State](#) [2020]
 - [Workforce Development Credit and Non-Credit Categories](#) [2021]
 - [CAA Workforce Development progress update](#) [2024]

Initial Proforma Development Considerations

- Costs include
 - CSCFFS 5160 – Series 65 Uniform Investment Adviser Law Exam
 - Course Fees:
 - \$199 for eTextbook
 - \$187 Exam Fee (can be done online or at a test center)
 - \$149-200 based on comp study courses available from Kaplan
 - FINRA Kaplan course cost: \$99-\$229 depending on package selected
 - Series 65 course cost: \$159-\$319 depending on package selected
 - CSCFFS 5150 – FINRA Securities Industry Essentials (SIE®) Exam Preparation
 - FINRA: \$99 for eBook and \$80 for Exam Fee
 - SIE Pass Plus study guide: \$99
 - SIE: \$199 for textbook and \$187 for exam fee
 - CSCFFS 5170 – Financial Planning Software-- Course registration is provided to students at the beginning of the semester/course
 - eMoney Fundamentals
 - Holistiplan 2.0
- It takes \$46.50/student (minimum 20 students, or \$930 per course) to Education and Human Ecology to break even.



CSCFFS 5150 – FINRA Securities Industry Essentials (SIE®) Exam Preparation

TERM 2024, 1 CREDIT HOUR, UG/G

Instructor: Căzilia Loibl

Email: loibl.3@osu.edu

Drop-in help: Please make an appointment by email for a Zoom meeting

Prerequisite: JR or SR standing; or Grad Standing

Recommended: BUSFIN 4265 Financial Institutions

Mode of delivery: Online, asynchronous

Date: July 25, 2023

1. Course Description and Goals

This course prepares students for the FINRA Security Industry Essentials® (SIE®) Exam. The overall goal of the course is twofold, first to prepare for the FINRA Security Industry Essentials® Exam with the help of interactive e-book modules and, second, to successfully pass the FINRA Security Industry Essentials® Exam.

The specific course goals and learning objectives are in line with the goals of the Consumer and Family Financial Services program and the Certified Financial Planner™ (CFP®) track in preparing students for a career in the financial services industry.

FINRA is a government-authorized not-for-profit organization that oversees U.S. broker-dealers. The exam is an introductory-level exam that assesses a candidate's knowledge of basic securities industry information including concepts fundamental to working in the industry, such as types of products and their risks; the structure of the securities industry markets, regulatory agencies and their functions; and prohibited practices.

Course Goals	Learning Objectives
1. Students obtain the knowledge tested in the FINRA Security Industry Essentials® Exam	1. Knowledge of capital markets 2. Understanding financial products and their risks 3. Understanding trading, consumer accounts and prohibited activities 4. Overview of the regulatory framework
2. Students sit for and pass the FINRA Security Industry Essentials® Exam	1. Select and register at a proctored exam facility 2. Successfully take the FINRA Security Industry Essentials® Exam

2. Course Schedule

Week	Chapter and Topic	Due dates
1	- Semester-start class meeting (date to be announced by email; will be recorded) - Access code to Pass Perfect ebook is emailed to students - Chapter 1: Equities - Chapter 2: Debt Fundamentals	Chapter 1 test due: 8/24/2023 Chapter 2 test due: 8/24/2023
2	- Chapter 3: Additional Bond Features and Risk - Chapter 4: Corporate and U.S. Government Debt	Chapter 3 test due: 8/31/2023 Chapter 4 test due: 8/31/2023
3	- Chapter 5: Municipal Debt and Money Market Instruments - Mastery Exam I	Chapter 5 test due: 9/7/2023 Mastery Exam I due: 9/7/2023
4	- Chapter 6: Packaged Products - Chapter 7: Trading Market - FINRA SIE Exam scheduled by student between 11/6/2023 and 11/9/2023	Chapter 6 test due: 9/14/2023 Chapter 7 test due: 9/14/2023 FINRA Exam scheduled: 9/14/2023
5	- Chapter 8: Trade Processing and Settlement - Mastery Exam II	Chapter 8 test due: 9/21/2023 Mastery Exam II due: 9/21/2023
6	- Chapter 9: Options - Chapter 10: Individual Customer Accounts and Suitability	Chapter 9 test due: 9/28/2023 Chapter 10 test due: 9/28/2023
7	- Chapter 11: Other Account Types - Chapter 12: Retirement Plans, Variable Annuities, and Municipal Fund Securities	Chapter 11 test due: 10/5/2023 Chapter 12 test due: 10/5/2023
8	- Mastery Exam III - Chapter 13: Primary Market	Mastery Exam III due: 10/12/2023 Chapter 13 test due: 10/12/2023
9	- Chapter 14: Act of 1934 and Other Federal and State Regulations - Chapter 15: Self-Regulatory Organization Rules	Chapter 14 test due: 10/19/2023 Chapter 15 test due: 10/19/2023
10	- Chapter 16: Economic Analysis and Tax Rules - Mastery Exam IV	Chapter 16 test due: 10/26/2023 Mastery Exam IV due: 10/26/2023
11	- Final Exam 1 in Pass Perfect - Final Exam 2 in Pass Perfect - Final Exam 3 in Pass Perfect	Final Exam 1, 2, and 3 due: 11/2/2023
12	- FINRA Practice Test on the FINRA website - FINRA SIE Exam (Attempt 1)	FINRA Practice Test due: 11/9/2023 FINRA Exam due: on or before 11/9/2023
13	No assignment for those who passed the exam Non-passers repeat tests and exams	No assignment
14	No assignment for those who passed the exam Non-passers repeat tests and exams	No assignment
15	No assignment for those who passed the exam Non-passers repeat tests and exams	No assignment
16	No assignment for those who passed the exam Non-passers repeat tests and exams	No assignment
17	FINRA SIE Exam (Attempt 2 if Attempt 1 failed)	FINRA Exam due: 12/12/2023

3. Assignments

The course is based on weekly assignments.

Chapter Tests in Pass Perfect

Chapter tests are due on Thursday of each week, 11:59 pm. Students review the materials in the Pass Perfect module, take the sub-chapter quizzes, and the chapter tests. The chapter tests have unlimited attempts. The chapter tests earn 1 point toward the final grade if a score of 70% or higher is obtained. The sub-chapter quizzes do not count toward the grade. The instructor checks the chapter test score in the Pass Perfect learning software on the Friday after the due date, to grant the points.

Mastery Exams in Pass Perfect

Four mastery exams are due during the semester. Mastery exams test the knowledge of three to five modules. Mastery exams earn 2 points each toward the final grade if a score of 70% or higher is obtained for each mastery exam. The mastery exams have unlimited attempts. The instructor will check the mastery exam score in the Pass Perfect learning software on the Friday after the due date, to grant the two points.

Final exams in Pass Perfect and FINRA Practice Test on the FINRA website

Comprehensive final/practice exams are required prior to the FINRA SIE Exam.

1. Final exams in Pass Perfect

The final exams in Pass Perfect mirrors the FINRA SIE exam. Students complete final exams 1 to 3. The final exams earn 4 points toward the final grade if a score of 70% or higher is obtained. The final exams have unlimited attempts. The instructor will check the final exam scores in the Pass Perfect learning software on the day after the due date, to grant the points.

2. FINRA Practice test on the FINRA website

The Practice Test on the FINRA website, which also mirrors the FINRA SIE exam:

<https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam/practice-test>

The FINRA Practice Test earns 4 points toward the final grade if a score of 70% or higher is obtained. The FINRA Practice Test can be repeated free of charge. Students are required to upload to the Carmen website a screen shot of their score by the deadline.

FINRA SIE Exam at Prometric Test Center (online or in person)

Students register for the FINRA SIE exam in semester-week 4 at a Prometric Test Center. Documentation of the exam registration is uploaded into the course Carmen website. Students take the FINRA SIE exam either online or in person at the test center by 11/9/2023.

Below is a list of test center sites. Passing the FINRA SIE exam earns 40 points toward the course grade. Students upload the FINRA issued report with their exam result into the Carmen course software.

If a student fails the first attempt of the FINRA SIE exam, a 30-day waiting period starts. Students take the FINRA SIE exam a second time by 12/12/2023 to pass the course.

4. S/U Course Grading

The class is graded Satisfactory (S) / Unsatisfactory (U) (S/U). A student receives a satisfactory grade and earns 1 credit hour if they earn 56 points, which is 70% of the 80 points in this class

Grading	Components	Points
Chapter tests in Pass Perfect	16 chapters	1 point each / 16 points
Mastery exams in Pass Perfect	4 exams	2 point each / 8 points
3 Final exams in Pass Perfect FINRA Practice Test on the FINRA website	4 exams	4 points each / 16 points
FINRA SIE Exam at Prometric Test Center (online or in person)	1 exam	40 points
Total points		80 points

Further information about the FINRA Security Industry Essentials® Exam:

- The content outline of this course is available here:
https://www.finra.org/sites/default/files/SIE_Content_Outline.pdf
- Information on how to enroll in the SIE Exam, please visit: <https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam>
- Information specific to college students taking the SIE Exam, please visit: <https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam/for-students>

5. Course e-Book (\$99) and Exam Fee (\$80)

Course e-textbook

We use the Pass Perfect's SMART SIE interactive e-textbook for this course. The e-textbook's website is here:
<https://www.passperfect.com/sie>

Please note: A donation from New York Life Insurance provides all students in this class with a complementary access code to the e-book. Students receive the **access codes by email** within the first week of the semester. Access codes are emailed directly to students from the e-textbook provider Pass Perfect.

Exam fee

\$80 for taking the SIE Exam online or at an approved test center during the semester. This fee is paid by students.

6. Interactive e-book modules

Course materials will be covered through the Pass Perfect's SMART SIE interactive e-textbook modules. The e-book modules contain the full study text covering all topics tested on the FINRA Security Industry Essentials® Exam. The course is divided into 10 chapters that are arranged into three study modules.

Background information on Pass Perfect's SMART SIE interactive e-book modules is available here:
<https://www.passperfect.com/sie>

7. Technology and Transportation Requirement

Successful completion of this course requires semester-long access to the Internet and the use of a standard, up-to-date web browser, such as Firefox or Chrome to access the online course. Technical skills for this class include the skills necessary to navigate an online training program.

Online FINRA Security Industry Essentials® Exam

FINRA offers the online delivery of the Securities Industry Essentials (SIE) exam. Students who would like to test online should review all of the information provided at the following website to prepare their environments for their online testing session:

<https://www.finra.org/registration-exams-ce/qualification-exams/testonline>

Prometric Test Center

Students can also take the FINRA Security Industry Essentials® Exam at a Prometric Test Center. The Prometric Test Centers are located outside the campuses of The Ohio State University. The Ohio locations of the Prometric Test Centers are listed below. The locations outside of Ohio are available on the Prometric Test Center's website:

<https://www.prometric.com/>

Communication between students and professor:

The instructor meets with the class at the beginning of the semester in a live Zoom meeting. The instructor is available to answer questions during Zoom drop-in help hours and by email and phone throughout the semester.

CarmenZoom online video class meetings:

Class meetings are conducted at the beginning of the semester with the help of the online video call service CarmenZoom. Prior to joining the first CarmenZoom meeting, students will be prompted to download CarmenZoom software. CarmenZoom access information will be provided by the instructor. A stable internet connection is required for the CarmenZoom class meetings.

Helpful information about CarmenZoom is available on the following websites:

<https://resourcecenter.odee.osu.edu/carmenzoom> and <https://osu.zoom.us/>

Technical support:

Technical support for any problems that may occur can be obtained by the Ohio State IT Service Desk. It offers 24-hour support, seven days a week, visit their website <https://ocio.osu.edu/help>, email them at ServiceDesk@osu.edu, or call 614-688-4357 (HELP).

8. Prometric Test Centers in Ohio

Students can take the FINRA Security Industry Essentials® Exam online from their homes or at an approved test center site. FINRA collaborates with Prometric to offer the SIE exam. The Prometric website is here: <https://www.prometric.com/>

Columbus - Worthington

Phone: (614) 431-2083, Test Center Code: 1409

450 W. Wilson Bridge Rd, Suite 210, Worthington, OH 43085

Akron, OH

Phone: 234-466-0494, Test Center Code: 1402

1000 S. Cleveland Massillon Rd, Suite 104, Akron, OH 44333

Cincinnati - Reed Hartman Highway

Phone: (513) 671-7030, Test Center Code: 0007

11353 REED HARTMAN HWY, SUITE LL50, CINCINNATI, OH 45241

Cleveland - Mentor

Phone: (440)255-0055, Test Center Code: 1427

8880 Mentor Ave., co-located w/Sylvan Learning Center, Mentor, OH 44060

Cleveland - Middleburg Heights

Phone: 440-260-0883, Test Center Code: 1411

7261 Engle Road, Suite 203, Middleburg Heights, OH 44130

Dayton - Fairborn OH

Phone: 937-320-5478, Test Center Code: 3419

2600 Paramount Place, Suite 190, Fairborn, OH 45324

Mansfield, OH

Phone: 419-775-1219, Test Center Code: 1416

625 Lexington Ave, Suite 6, Mansfield, OH 44907

Toledo - Maumee

Phone: 419-482-0508, Test Center Code: 5808

1745 INDIAN WOOD CIRCLE, SUITE 110, MAUMEE, OH 43537

Toledo - Monroe Street
Phone: (877) 879-2531, Test Center Code: 1414
5151 Monroe Street, Suite 208, Toledo, OH 43623

Youngstown - Niles
Phone: 330-652-1886, Test Center Code: 1420
950 Youngstown Warren Rd., Square One Center Suite D, Niles, OH 44446

9. Student Resources

Technology:

[EHE Tech Help](#)

[OSU Tech Support](#)

Academics:

[EHE Homepage](#)

[EHE Advising](#)

[OSU Advising](#)

[OSU Library](#)

[Dennis Learning Center](#)

[EHE Office of Research](#)

[OSU Office of Research](#)

Student Life:

[OSU Student Health Services](#)

[EHE Undergraduate Student Services](#)

[OSU Student Life](#)

[OSU Student Advocacy Center](#)

[OSU Student Financial Aid](#)

[EHE Career Services](#)

[OSU Career Counseling and Support Services](#)

[OSU Office of Diversity and Inclusion](#)

[EHE Office of Diversity, Inclusion, and Community Engagement](#)

10. Institutional Policies

Academic Integrity

Academic integrity is essential to maintaining an environment that fosters excellence in teaching, research, and other educational and scholarly activities. Thus, The Ohio State University and the Committee on Academic Misconduct (COAM) expect that all students have read and understand the University's *Code of Student Conduct*, and that all students will complete all academic and scholarly assignments with fairness and honesty. Students must recognize that failure to follow the rules and guidelines established in the University's *Code of Student Conduct* and this syllabus may constitute "Academic Misconduct."

The Ohio State University's *Code of Student Conduct* (Section 3335-23-04) defines academic misconduct as: "Any activity that tends to compromise the academic integrity of the University, or subvert the educational process." Examples of academic misconduct include (but are not limited to) plagiarism, collusion (unauthorized collaboration), copying the work of another student, and possession of unauthorized materials during an examination. Ignorance of the University's *Code of Student Conduct* is never considered an "excuse" for academic misconduct, so I recommend that you review the *Code of Student Conduct* and, specifically, the sections dealing with academic misconduct.

If I suspect that a student has committed academic misconduct in this course, I am obligated by University Rules to report my suspicions to the Committee on Academic Misconduct. If COAM determines that you have violated the University's *Code of Student Conduct* (i.e., committed academic misconduct), the sanctions for the misconduct could include a failing grade in this course and suspension or dismissal from the University.

If you have any questions about the above policy or what constitutes academic misconduct in this course, please contact me. Other sources of information on academic misconduct (integrity) to which you can refer include:

- The Committee on Academic Misconduct web pages ([COAM Home](#))
- Ten Suggestions for Preserving Academic Integrity ([Ten Suggestions](#))
- Eight Cardinal Rules of Academic Integrity (www.northwestern.edu/uacc/8cards.htm)

Accessibility Accommodations

The university strives to maintain a healthy and accessible environment to support student learning in and out of the classroom. If you anticipate or experience academic barriers based on your disability (including mental health, chronic, or temporary medical conditions), please let me know immediately so that we can privately discuss options. To establish reasonable accommodations, I may request that you register with [Student Life Disability Services](#). After registration, make arrangements with me as soon as possible to discuss your accommodations so that they may be implemented in a timely fashion.

If you are isolating while waiting for a COVID-19 test result, please let me know immediately. Those testing positive for COVID-19 should refer to the [Safe and Healthy Buckeyes site](#) for resources. Beyond five days of the required COVID-19 isolation period, I may rely on Student Life Disability Services to establish further reasonable accommodations. You can connect with them at slds@osu.edu; 614-292-3307; 098 Baker Hall, 113 W. 12th Avenue.

Grievances

According to University Policies, available from the Division of Student Affairs, if you have a problem with this class, “You should seek to resolve a grievance concerning a grade or academic practice by *speaking first with the instructor or professor*. Then, if necessary, with the department chairperson, college dean, and provost, in that order. Specific procedures are outlines in Faculty Rule 3335-7-23, which is available from the Office of Student Life, 208 Ohio Union.”

Copyright Disclaimer

The materials used in connection with this course may be subject to copyright protection and are only for the use of students officially enrolled in the course for the educational purposes associated with the course. Copyright law must be considered before copying, retaining, or disseminating materials outside of the course.

- Course Audio and Video Recording: Video or audio recording of classes without the explicit written permission of the instructor/professor is a violation of the Code of Student Conduct or Students who wish to record their classes must first obtain written permission of the instructor/professor. Otherwise, such recording constitutes a violation of the Code of Student Conduct.
- Student Generated materials: Any materials generated by a student(s) is copyrighted. Permission must be obtained to use these materials other than the intended purpose inside the course.
- Course materials: These materials are copyrighted and are owned by the author. Copyrights have been secured or they are considered fair use inside/for the course but this does not apply to uses outside of the course.

Mental Health Statement

As a student you may experience a range of issues that can cause barriers to learning such as: strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance or reduce a student's ability to participate in daily activities. The Ohio State University offers services to assist you with addressing these and other concerns you may be experiencing.

If you or someone you know are suffering from any of the aforementioned conditions, you can learn more about the broad range of confidential mental health services available on campus via the [Office of Student Life's Counseling and Consultation Service](#) (CCS) or calling 614-292-5766. CCS is located on the 4th floor of

the Younkin Success Center and 10th floor of Lincoln Tower. **You can reach an on-call counselor when CCS is closed at 614-292-5766- and 24-hour emergency help is also available 24.7 by dialing 988 to reach the Suicide and Crisis Lifeline.**

Diversity Statement

The College of Education and Human Ecology affirms the importance and value of diversity in the student body. Our programs and curricula reflect our multicultural society and global economy and seek to provide opportunities for students to learn more about persons who are different, as discrimination on the basis of age, color, disability, gender identity or expression, national origin, race, religion, sex, sexual orientation, or veteran status, is prohibited.

The College of Education and Human Ecology is committed to maintaining a community that recognizes and values the inherent worth and dignity of every person; fosters sensitivity, understanding, and mutual respect among its members; and encourages everyone to strive to reach their own potential. In pursuit of its goal of academic excellence, the College seeks to develop and nurture diversity, believing that it strengthens the organization, stimulates creativity, promotes the exchange of ideas, and enriches the University's community on the basis of race, religion, color, sex, age, national origin or ancestry, marital status, parental status, gender identity, sexual orientation, ability status, health status, or veteran status.

Statement on Title IX: Title IX makes it clear that violence and harassment based on sex and gender are Civil Rights offenses subject to the same kinds of accountability and the same kinds of support applied to offenses against other protected categories (e.g., race). If you or someone you know has been sexually harassed or assaulted, you may find the appropriate resources by visiting the [Title IX Office of Institutional Equity](#) website or calling the Title IX Coordinator at titleix@osu.edu.

The Office of Diversity and Inclusion provides holistic support for qualifying student parents enrolled at Ohio State. To learn more, contact the "Child Care Access Means Parents in School" (CCAMPIS) Program at 614-247-7092, email lewis.40@osu.edu, or visit www.odi.osu.edu/ccampis.

Religious Accommodations

It is Ohio State's policy to reasonably accommodate the sincerely held religious beliefs and practices of all students. The policy permits a student to be absent for up to three days each academic semester for reasons of faith or religious or spiritual belief.

Students planning to use religious beliefs or practices accommodations for course requirements must inform the instructor in writing no later than 14 days after the course begins. The instructor is then responsible for scheduling an alternative time and date for the course requirement, which may be before or after the original time and date of the course requirement. These alternative accommodations will remain confidential. It is the student's responsibility to ensure that all course assignments are completed.

Weather or Other Short-Term Closing

Unless otherwise announced by the university, online or distance-learning classes will occur as scheduled.

CSCFFS 5160 – Series 65 Uniform Investment Adviser Law Exam

Spring 2025, 1 credit hour, Undergraduate

Instructor: George Rooney, PHD

Email: rooney.60@osu.edu

Office Hours: Please make an appointment by email for a Zoom meeting

Course Information

Course time and location: No required scheduled meetings; course instruction occurs in Carmen

Mode of delivery: Distance Learning (asynchronous)

Course Overview

Description/Rationale

This course prepares students for the Series 65 Uniform Investment Adviser Law Exam. This exam evaluates an individual's understanding of financial economics and analysis, investment vehicles and recommendations, and securities law. The Series 65 Uniform Investment Adviser exam qualifies an individual to be an "Investment Adviser" in each state, which means they will be able to provide investment advice. In Ohio, the Series 65 Exam is required for financial advisors unless they hold the Certified Financial Planner™ (CFP®) designation.

The overall goal of the course is twofold, first to prepare for the Series 65 Exam with the help of interactive e-book modules and, second, to successfully pass the Series 65 Exam. The specific course goals and learning objectives are in line with the goals of the Consumer and Family Financial Services program and the Certified Financial Planner™ (CFP®) track in preparing students for a career in the financial services industry.

FINRA is a government-authorized not-for-profit organization that oversees U.S. broker-dealers. FINRA administers the [Series 65 exam](#) on behalf of the North American Securities Administrators Association (NASAA). Some states require continuing education (CE) for [Investment Advisor Representatives](#) (IARs, those who pass the Series 65 exam), but Ohio does not. Follow the link to see which states require CE.

Relation to other courses: Finance and Investment courses, Business Law, Economics, Accounting, Public Policy

Prerequisites: Jr or Sr standing

Course Goals/Learning Objectives

Course Goals	Course Learning Objectives
Goal 1: Students will obtain the knowledge and skills necessary to prepare for the Series 65 Exam.	By the end of this course, students will: • gain knowledge of security regulations. • learn to read securities performance charts. • understand a variety of investment products. • recognize which investment products are most appropriate for individual situations. • be able to provide sound investment recommendations.
Goal 2: Students will sit for the Series 65 Exam.	By the end of this course, students will: • register for the Series 65 exam at a proctored exam facility. • sit for the FINRA Series 65 exam.

Course Materials

Required

Course e-Textbook (\$199)

We use Pass Perfect's "Pass Plus" Series 65 learning modules. You can purchase the online text here:

<https://www.passperfect.com/series-65>. The e-textbook stays active for 12 months after the date of purchase.

Exam fee (\$187)

The exam fee of \$187 for taking the Series 65 Exam online or at an approved test center during the semester. A grant from the Charles Schwab Foundation is providing the funding to reimburse students fully or partially (depending on enrollment) for the Exam fee for the calendar years 2024 to 2028.

Supplemental/Optional

Course materials will be covered through Pass Perfect's Series 65 interactive e-textbook modules. The e-book modules contain the full study text covering all topics tested on the Series 65 Exam. The course is divided into 4 chapters.

Background information on Pass Perfect's Series 65 interactive e-book modules is available here:

<https://www.passperfect.com/series-65>

Course Requirements/Evaluation

Grades

Assignments	Points	Total Points
Check Your Understanding Test	1 point each x 23 tests	23
Chapter Test	2 points each x 4 tests	8
Mastery Exam	3 points each x 2 exams	6
Fixed Final Exam and Final Exam	7 points each x 4 exams	28
Register and sit for the Series 65 Exam at Prometric Test Center	35 points each x 1 exam	35
TOTAL POINTS		100 points

Further information about the Series 65 Exam:

- [Study help and an overview of the Exam Content](#)
- [Information on how to enroll in the Series 65 Exam](#)

Late Assignments

Assignments are expected to be met by the syllabus schedule subject, to any extension agreed upon with the instructor.

Grading Scale

This class is graded Satisfactory (S) / Unsatisfactory (U) (S/U). A student receives a satisfactory grade and earns 1 credit hour if they earn at least 70 points, which is 70% of the 100 points in this class.

Course Outline

Chapter 1: Economics and Analysis

1. Fundamental analysis – Check your understanding
2. Basic Economics – Check your understanding
3. Portfolio Basics – Check your understanding
4. Fixed Income Basics – Check your understanding
5. Technical Analysis – Check your understanding

Economics and Analysis - Chapter test

Chapter 2 Investment vehicles

1. Equities – Check your understanding
2. Corporate debt – Check your understanding
3. U.S. Government debt – Check your understanding
4. Municipal debt - Check your understanding
5. Money Market Debt - Check your understanding
6. Management Companies - Check your understanding
7. Insurance-Based Products - Check your understanding
8. Other Investments - Check your understanding

Investment vehicles – Chapter test

Economics and Analysis, Investment Vehicles – Mastery Exam 1

Chapter 3: Investment Recommendations

1. Financial Profile of a Client – Check your understanding
2. Portfolio Management Styles and Techniques – Check your understanding
3. Retirement plans – Check your understanding
4. Trading Basics – Check your understanding

Investment Recommendations – Chapter test

Chapter 4: Legal Guidelines

1. Uniform Securities Act – Registration and Licensing – Check your understanding
2. Uniform Securities Act – Securities Registration – Check your understanding
3. Uniform Securities Act – Business Practices – Check your understanding
4. Uniform Securities Act – Administrative Procedures – Check your understanding
5. Federal Securities Acts – Check your understanding
6. SEC Investment Advisor Releases IA-770/IA-1092 – Check your understanding

Legal Guidelines – Chapter test

Investment Recommendations and Legal Guidelines – Mastery Exam 2

Final Exams

Fixed Final Exam 1 (same questions every time you take the exam)

Fixed Final Exam 2 (same questions every time you take the exam)

Fixed Final Exam 3 (same questions every time you take the exam)

Final Exam (random questions across chapters every time you take the exam)

Series 65 Exam

Assignment Descriptions

The course is based on weekly assignments.

Check Your Understanding Tests: (23 points)

Chapter exams are due on Thursday of each week, 11:59 pm. Students study the materials in the Pass Perfect module and take the Check Your Understanding tests. There are 23 Check Your Understanding tests. The Check Your Understanding tests have unlimited attempts. The Check Your Understanding tests earn 1 point toward the final grade if a score of 70% or higher is obtained. The instructor checks the Check Your Understanding test scores in the Pass Perfect learning software on the Friday after the due date, to grant the points.

Chapter Tests: (8 points)

Chapter Tests are due on Thursdays, 11:59 pm, at the end of each of the 4 chapters. The 4 Chapter Tests have unlimited attempts. The chapter exams earn 2 points toward the final grade if a score of 70% or higher is obtained. The instructor checks the Chapter Test scores in the Pass Perfect learning software on the Friday after the due date, to grant the points.

Mastery Exams: (6 points)

Mastery Exams are due on Thursdays, 11:59 pm and are provided after two Chapters. The 2 Mastery Exams have unlimited attempts. The Mastery Exams earn 6 points toward the final grade if a score of 70% or higher is obtained. The instructor checks the Mastery Exams scores in the Pass Perfect learning software on the Friday after the due date, to grant the points.

Fixed Final Exams and Final Exam: (28 points)

Comprehensive final exams are required prior to taking the Series 65 Exam. The Fixed Final Exams in Pass Perfect mirror the Series 65 exam. The “Fixed” Final Exams have the same questions when taken repeatedly; the “Final Exam” is a random set of questions at every attempt.

Students complete Fixed Final Exams 1 to 3 and the Final Exam. Each Exam earns 7 points toward the final grade if a score of 70% or higher is obtained. The Final Exams have unlimited attempts. The instructor will check the Final Exam scores in the Pass Perfect learning software on the day after the due date, to grant the points.

Series 65 Exam at Prometric Test Center: (35 points)

Students are asked to register for the Series 65 exam in week 4 of the semester at a Prometric Test Center. Documentation of the exam registration is uploaded into the course Carmen website. Students take the Series 65 Exam either online or in person at the test center by DATE.

You will find a list of test center sites at the end of the syllabus. Registering and sitting for the Series 65 exam earns 35 points toward the course's final grade. Students upload the Prometric-issued Exam report with their Exam results into the Carmen course software.

Passing the Exam is not required. If a student fails the first attempt of the Series 65 exam, a 30-day waiting period starts. Students will repeat the Series 65 Exam a second time by DATE.

Weekly Course Schedule

Week	Chapter and Topic	Due Dates
1	– Semester-start class meeting: DATE – Access code to Pass Perfect ebook is emailed to students <u>Chapter 1: Economics and Analysis</u> – Chapter 1 Section 1: Fundamental analysis – Check your understanding test – Chapter 1 Section 2: Basic Economics – Check your understanding test – Chapter 1 Section 3: Portfolio Basics – Check your understanding test	Class meeting: DATE Due date for Check Your Understanding tests: Monday, MM/DD/YYYY, 11:59 pm
2	<u>Chapter 1: Economics and Analysis continued</u> – Section 4: Fixed Income Basics – Check your understanding test – Section 5: Technical Analysis – Check your understanding test – Economics and Analysis - Chapter test	Due date for Check Your Understanding tests & Chapter test: Thursday, MM/DD/YYYY, 11:59 pm
3	<u>Chapter 2 Investment Vehicles</u> – Section 1: Equities – Check your understanding test – Section 2: Corporate debt – Check your understanding test – Section 3: U.S. Government debt – Check your understanding test	Due date for Check Your Understanding tests: Thursday, MM/DD/YYYY, 11:59 pm
4	<u>Chapter 2 Investment Vehicles continued</u> – Section 4: Municipal debt - Check your understanding – Section 5: Money Market Debt - Check your understanding – Section 6: Management Companies - Check your understanding test – Series 65 Exam registration due	Due date for Check Your Understanding tests and Exam Registration: Thursday, MM/DD/YYYY, 11:59 pm
5	<u>Chapter 2 Investment Vehicles continued</u> – Section 7: Insurance-Based Products - Check your understanding test – Section 8: Other Investments - Check your understanding test – Investment vehicles – Chapter test	Due date for Check Your Understanding tests & Chapter test: Thursday, MM/DD/YYYY, 11:59 pm
6	– Economics and Analysis, Investment Vehicles – Mastery Exam 1 <u>Chapter 3: Investment Recommendations</u> – Section 1: Financial Profile of a Client – Check your understanding test – Section 2: Portfolio Management Styles and Techniques – Check your understanding test	Due date for Check Your Understanding tests & Mastery Exam 1: Thursday, MM/DD/YYYY, 11:59 pm
7	<u>Chapter 3: Investment Recommendations, continued</u> – Section 3: Retirement plans – Check your understanding test – Section 4: Trading Basics – Check your understanding test – Investment Recommendations – Chapter test	Due date for Check Your Understanding tests: Thursday, MM/DD/YYYY, 11:59 pm

Week	Chapter and Topics	Due Dates
8	<u>Chapter 4: Legal Guidelines</u> – Section 1: Uniform Securities Act – Registration and Licensing – Check your understanding test – Section 2: Uniform Securities Act – Securities Registration – Check your understanding test – Section 3: Uniform Securities Act – Business Practices – Check your understanding test	Due date for Check Your Understanding tests: Thursday, MM/DD/YYYY, 11:59 pm
9	<u>Chapter 4: Legal Guidelines, continued</u> – Section 4: Uniform Securities Act – Administrative Procedures – Check your understanding test – Section 5: Federal Securities Acts – Check your understanding test – Section 6: SEC Investment Advisor Releases IA-770/IA-1092 – Check your understanding test	Due date for Check Your Understanding tests: Thursday, MM/DD/YYYY, 11:59 pm
10	– Legal Guidelines – Chapter test – Investment Recommendations and Legal Guidelines – Mastery Exam 2	Due date for Chapter test & Mastery Exam 2: Thursday, MM/DD/YYYY, 11:59 pm
11	<u>Final Exams & Exam week</u> – Fixed Final Exam 1 in Pass Perfect – Fixed Final Exam 2 in Pass Perfect – Fixed Final Exam 3 in Pass Perfect – Final Exam in Pass Perfect Series 65 Exam (Attempt 1)	Fixed Final Exams 1-4 due: DATE Final Exam due: DATE Exam 1st attempt due: DATE
12	No assignment for those who passed the exam <u>Non-passers:</u> – Economics and Analysis - Chapter test – Investment vehicles – Chapter test	30-day waiting period if 1 st attempt failed Due date for Chapter tests: Thursday, MM/DD/YYYY, 11:59 pm
13	No assignment for those who passed the exam <u>Non-passers:</u> – Investment Recommendations – Chapter test – Legal Guidelines – Chapter test	30-day waiting period if 1 st attempt failed Due date for Chapter tests: Thursday, MM/DD/YYYY, 11:59 pm
14	No assignment for those who passed the exam <u>Non-passers:</u> – Economics and Analysis, Investment Vehicles – Mastery Exam 1 – Investment Recommendations and Legal Guidelines – Mastery Exam 2	30-day waiting period if 1 st attempt failed Due date for Mastery Exams: Thursday, MM/DD/YYYY, 11:59 pm
15	No assignment for those who passed the exam <u>Non-passers:</u> – Fixed Final 1 in Pass Perfect – Fixed Final 2 in Pass Perfect – Fixed Final 3 in Pass Perfect	30-day waiting period if 1 st attempt failed Due date for Final Exams: Thursday, MM/DD/YYYY, 11:59 pm
16	No assignment for those who passed the exam <u>Non-passers:</u> – Final Exam in Pass Perfect – Series 65 Exam (Attempt 2 if Attempt 1 failed)	Exam 2nd attempt due: DATE

Prometric Test Center

Students must take the FINRA Series 65 Exam at a Prometric Test Center. The Prometric Test Centers are located outside the campuses of The Ohio State University. The Ohio locations of the Prometric Test Centers are listed below.

The locations outside of Ohio are available on the Prometric Test Center's website.

The Prometric website is here: <https://www.prometric.com/>

Worthington, OH (Columbus): Test Center Code 1409 Phone: 614-431-2083 450 W. Wilson Bridge Rd (Suite 210) Worthington, OH 43085	Dayton, OH (Fairborn): Test Center Code 3419 Phone: 937-320-5478 2600 Paramount Place (Suite 190) Fairborn, OH 45324
Akron, OH: Test Center Code 1402 Phone: 234-466-0494, 1000 S. Cleveland Massillon Rd (Suite 104) Akron, OH 44333	Mansfield, OH: Test Center Code 1416 Phone: 419-775-1219 625 Lexington Ave (Suite 6) Mansfield, OH 44907
Cincinnati, OH: Test Center Code 0007 Phone: 513-671-7030 11353 Reed Hartman HWY (Suite LL50) Cincinnati, OH 45241	Toledo, OH (Maumee): Test Center Code 5808 Phone: 419-482-0508 1745 Indian Wood Circle (Suite 110) Maumee, OH 43537
Cleveland, OH (Mentor): Test Center Code 1427 Phone: 440-255-0055 8880 Mentor Ave., co-located w/Sylvan Learning Center Mentor, OH 44060	Toledo, OH: Test Center Code 1414 Phone: 877-879-2531 5151 Monroe Street (Suite 208) Toledo, OH 43623
Cleveland, OH (Middleburg Heights): Test Center Code: 1411 Phone: 440-260-0883 7261 Engle Road (Suite 203) Middleburg Heights, OH 44130	Youngstown, OH (Niles): Test Center Code 1420 Phone: 330-652-1886 950 Youngstown Warren Rd. (Square One Center Suite D) Niles, OH 44446

Course Policies

Communication The instructor meets with the class in a live Zoom meeting at the beginning of the semester. The instructor is available to answer questions during Zoom drop-in help hours and by email and phone throughout the semester.

CarmenZoom online video class meetings: Class meetings are conducted at the beginning of the semester with the help of the online video call service CarmenZoom. Prior to joining the first CarmenZoom meeting, students will be prompted to download CarmenZoom software. CarmenZoom access information will be provided by the instructor. A stable internet connection is required for the CarmenZoom class meetings.

As a member of a community of learners, it is your responsibility to exhibit professional behavior and decorum in all modes of communication. The following communication and discussion guidelines help improve the readability of your messages, keeps conversations focused, increases trust, and creates a more positive experience for all participants.

The following are my expectations for how we should communicate as a class. Above all, please remember to be respectful and thoughtful.

- **Tone and civility:** Let's maintain a supportive learning community where everyone feels safe and where people can disagree amicably. Be professional and do not use language that is considered foul or abusive. Be careful when using sarcasm or humor, a remark meant to be humorous could come across as offensive or hurtful, especially in written form.

- Respectful dialogue: Respond to peers honestly, thoughtfully, respectfully, and constructively. Address the ideas, not the person, when responding to others. Honor people's rights to their opinions; respect the right for people to disagree.

Response Times: I am providing the following list to give you an idea of my intended availability throughout the course. Remember you can call 614-688-HELP or use 8help@osu.edu at any time if you have a technical problem.

Grading and Feedback: For large weekly assignments, you can generally expect feedback within 7 days.

Email: I will reply to emails within 24 hours on school days.

Netiquette As a member of a community of learners, it is your responsibility to exhibit professional behavior and decorum in all modes of communication. Following the rules of etiquette on the Internet (netiquette) helps improve the readability of your messages, keeps conversations focused, increases trust, and creates a more positive experience for all participants. Netiquette includes, but is not limited to, the following guidelines:

- Honor people's rights to their opinion; respect the right for people to disagree.
- Be professional; use language that is not considered foul or abusive.
- Respond to peers honestly but thoughtfully, respectfully, and constructively.
- Avoid writing in all caps – it conveys shouting and anger.
- Avoid font styles, colors like yellow and green, and sizes that are difficult to read for accessibility reasons.
- Address ideas, not the person, when responding to messages or discussions.
- Be careful when using sarcasm or humor – without social cues like facial expressions or body language, a remark meant to be humorous could come across as offensive or hurtful.
- Do not distribute copyrighted materials, such as articles and images; most things online are not licensed as “fair use.” Share links to those materials instead and be sure to properly cite all sources to avoid unintentional plagiarism.

Technology For help with your password, university e-mail, Carmen, or any other technology issues, questions, or requests, contact the OSU IT Service Desk. Standard support hours are available at <https://ocio.osu.edu/help/hours>, and support for urgent issues is available 24x7.

- Self-Service and Chat support: <http://ocio.osu.edu/selfservice>
- Phone: 614-688-HELP (4357)
- Email: 8help@osu.edu
- TTY: 614-688-8743

Technology necessary for this course:

Successful completion of this course requires semester-long access to the Internet and the use of a standard, up-to-date web browser, such as Firefox or Chrome to access the online course. Technical skills for this class include the skills necessary to navigate an online training program.

Student Resources

TECHNOLOGY

[EHE Tech Help](#)

ACADEMICS

[EHE Homepage](#)

[OSU Advising](#)

[Dennis Learning Center](#)

[OSU Office of Research](#)

[OSU Tech Support](#)

[EHE Advising Resource Guide](#)

[OSU Thompson Library](#)

[EHE Office of Research](#)

STUDENT LIFE

[OSU Student Health Services](#)

[OSU Student Life](#)

[OSU Student Financial Aid](#)

[EHE Office of Diversity, Inclusion, and Community Engagement](#)

[OSU Career Counseling and Support Services](#)

[EHE Office of Undergraduate Education](#)

[OSU Student Advocacy Center](#)

[EHE Career Services](#)

[OSU Office of Diversity and Inclusion](#)

Institutional Policies

Academic Integrity

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If I suspect that a student has committed academic misconduct in this course, I am obligated by University Rules to report my suspicions to the Committee on Academic Misconduct. If COAM determines that you have violated the University's *Code of Student Conduct* (i.e., committed academic misconduct), the sanctions for the misconduct could include a failing grade in this course and suspension or dismissal from the University.

If you have any questions about the above policy or what constitutes as academic misconduct in this course, please contact me. Other sources of information on academic misconduct (integrity) to which you can refer include:

- [COAM: The Committee on Academic Misconduct](#)
- [Ten Suggestions for Preserving Academic Integrity](#)
- [Eight Cardinal Rules of Academic Integrity](#)

Artificial Intelligence and Academic Integrity

All students have important obligations under the [Code of Student Conduct](#) to complete all academic and scholarly activities with fairness and honesty. Our professional students also have the responsibility to uphold the professional and ethical standards found in their respective academic honor codes. Specifically, students are not to use unauthorized assistance in the laboratory, on field work, in scholarship or on a course assignment unless such assistance has been authorized specifically by the course instructor. In addition, students are not to submit their work without acknowledging any word-for-word use and/or paraphrasing of writing, ideas or other work that is not your own. These requirements apply to all students undergraduate, graduate, and professional.

To maintain a culture of integrity and respect, these generative AI tools should not be used in the completion of course assignments unless an instructor for a given course specifically authorizes their use. Some instructors may approve of using generative AI tools in the academic setting for specific goals. However, these tools should be used only with the explicit and clear permission of each individual instructor, and then only in the ways allowed by the instructor.

Accessibility Accommodations

The university strives to maintain a healthy and accessible environment to support student learning in and out of the classroom. If you anticipate or experience academic barriers based on your disability (including mental health, chronic, or temporary medical conditions), please let me know immediately so that we can privately discuss options. To establish reasonable accommodations, I may request that you register with [Student Life Disability Services](#). After registration, make arrangements with me as soon as possible to discuss your accommodations so that they may be implemented in a timely fashion.

If you are isolating while waiting for a COVID-19 test result, please let me know immediately. Those testing positive for COVID-19 should refer to the [Safe and Healthy Buckeyes site](#) for resources. Beyond five days of the required COVID-19 isolation period, I may rely on Student Life Disability Services to establish further reasonable accommodations. You can connect with them at slds@osu.edu; 614-292-3307; slds.osu.edu; 098 Baker Hall, 113 W. 12th Avenue.

Accessibility of course technology

This course may use approved EHE digital technologies such as Hypothesis, H5P, and ThingLink as a part of course requirements. If you encounter an issue with access to these tools, please contact your instructor at their OSU email address and EHE-Accessibility@osu.edu. Accommodation and assistance will be arranged for you to complete any work required with this tool free of penalty.

Grievances

According to University Policies, if you have a problem with this class, you should seek to resolve the grievance concerning a grade or academic practice by speaking first with the instructor or professor. Then, if necessary, take your case to the department chairperson, college dean or associate dean, and to the provost, in that order. Specific procedures are outlined in Faculty Rule 3335-8-23. Grievances against graduate, research, and teaching assistants should be submitted first to the supervising instructor, then to the chairperson of the assistant's department.

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If you or someone you know are suffering from any of the aforementioned conditions, you can learn more about the broad range of confidential mental health services available on campus via the [Office of Student Life's Counseling and Consultation Service](#) (CCS) or calling 614-292-5766. CCS is located on the 4th floor of the Younkman Success Center and 10th

floor of Lincoln Tower. **You can reach an on-call counselor when CCS is closed at 614-292-5766- and 24-hour emergency help is also available 24.7 by dialing 988 to reach the Suicide and Crisis Lifeline.**

Diversity Statement

The College of Education and Human Ecology affirms the importance and value of diversity in the student body. Our programs and curricula reflect our multicultural society and global economy and seek to provide opportunities for students to learn more about persons who are different, as discrimination on the basis of age, color, disability, gender identity or expression, national origin, race, religion, sex, sexual orientation, or veteran status, is prohibited.

The College of Education and Human Ecology is committed to maintaining a community that recognizes and values the inherent worth and dignity of every person; fosters sensitivity, understanding, and mutual respect among its members; and encourages everyone to strive to reach their own potential. In pursuit of its goal of academic excellence, the College seeks to develop and nurture diversity, believing that it strengthens the organization, stimulates creativity, promotes the exchange of ideas, and enriches the University's community on the basis of race, religion, color, sex, age, national origin or ancestry, marital status, parental status, gender identity, sexual orientation, ability status, health status, or veteran status.

Statement on Title IX: Title IX makes it clear that violence and harassment based on sex and gender are Civil Rights offenses subject to the same kinds of accountability and the same kinds of support applied to offenses against other protected categories (e.g., race). If you or someone you know has been sexually harassed or assaulted, you may find the appropriate resources by visiting the [Title IX Office of Institutional Equity](https://titleix.osu.edu) website or calling the Title IX Coordinator at titleix@osu.edu.

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CSCFFS 5170 – Financial Planning Software

AUTUMN / SPRING, 1 CREDIT HOURS, UG/G

Instructor:

Căzilia Loibl, Ph.D. CFP®

George Rooney, Ph.D., licensed Investment Advisor by the North American Securities Administrators Association (NASAA), as administered by FINRA (Series 65)

Email: loibl.3@osu.edu & rooney.60@osu.edu

Phone: 614-292-4226

Office Hours: to be determined

Course Information

Course times and location: Two information sessions by Zoom are offered at semester start and mid-semester. The date and time of the two information sessions will be shared at semester start. The two information sessions will be recorded and posted to CarmenCanvas for students who cannot attend.

- Semester-start information meeting: Certain time, online
- Mid-semester information meeting: Certain time, online

Mode of delivery: Distance Learning (asynchronous online)

Course Overview

Description / Rationale

This course prepares students to become certified in two widely-used professional software packages in financial planning, eMoney Fundamentals and Holistiplan 2.0. eMoney is the most widely-used comprehensive financial planning software package in the United States with 30% market share and the highest user rating for comprehensive financial planning packages. Holistiplan is a widely-used software package that financial planners use for tax planning with a 30% market share. It has the highest user rating among tax planning software packages.

Both eMoney and Holistiplan have developed certification programs for undergraduate students with no prior knowledge of financial planning or tax planning. The certification programs provide state-of-the-art videos, readings, quizzes, certification exam, and certification certificates. The eMoney and the Holistiplan certification programs are free of charge. Each requires about 20 hours of work. Students will complete the eMoney Fundamentals Certificate in the first half of the semester and the Holistiplan Academic Certificate in the second half of the semester.

Relation to Other Courses

The specific course goals and learning objectives are in line with the goals of the Consumer and Family Financial Services program and the CERTIFIED FINANCIAL PLANNER® (CFP®) track in preparing undergraduate students for careers in the financial services industry.

Prerequisites: CSCFFS 2260 Healthy Finance

Prerequisite Knowledge: Ability to apply the basic concepts of economics, financial literacy, and personal finance.

Learning Objectives

By the end of this course, students will be able to:

1. Develop proficiency with widely used financial planning technology and software.
2. Deepen knowledge and understanding of the connection between core concepts of financial planning and the software implementation for use with clients.
3. Develop proficiency with tax planning technology and software.
4. Develop understanding tax planning opportunities for clients in the overall financial planning context.

Course Materials

Required

Registration for the eMoney Fundamentals Course and Holistiplan 2.0 Course is provided to students at the beginning of the semester by the instructor. The registrations are free of charge.

Access to eMoney Fundamentals Certification

Introductory video:

- Click [HERE](#) to watch a quick introduction video to get started!
- Video link: <https://cdn.jwplayer.com/previews/H9iff9gg-ljXVSIQY>

Access to the eMoney Platform:

- Website: <https://wealth.emaplan.com/ema/osu> (bookmark for access)
- Username: Your email address
- Password: Welcome1!

Upon initial login, students are required to create a permanent password and sign off on the eMoney educational Terms of Service. Student credentials will last until the end of the term, at which point student access to the platform will expire. Make sure to bookmarking the website for easy access into eMoney. Please reference the Financial Feed area of the Advisor Dashboard to learn how to access the eMoney Certification.

Access the eMoney Certification document:

After signing into the eMoney Platform go to the Help Menu >> eMoney Certification >> Accept Service Agreement >> Click on Register under My Learning Assignments >> Start Activity.

Access to the Holistiplan Platform:

- Website: <https://app.holistiplan.com/academia/qM7i1jzl> (bookmark for access)
- Username: Your email address
- Password: Create a password

Students enter their information (first name, last name, email address) and be prompted to accept the Terms and Conditions. Next, students see a training version of the Holistiplan Dashboard page, where the tax return provided by Holistiplan will appear.

Student credentials will last until they pass the Holistiplan certification, at which point student access to the platform will expire. Make sure to bookmarking the website for easy access to Holistiplan.

To start the Holistiplan certification, students click on the “Get Certified” button on the right side of their Dashboard screen to enter the learning management system.

Course CarmenCanvas Page

The course website is located on Carmen.osu.edu. It contains all course information, including syllabus, lecture materials, case study assignments, and grade roster. Only students who are registered for the course can access the course website.

The main course website lists the course content in the form of weekly “modules”. Each weekly module gives access to lecture notes and assignments. The course website also contains the gradebook for the weekly assignments and the two certification exams in eMoney (Week 9) and Holistiplan (Week 15).

Course Requirements/Evaluation

Grades

Assignment / Category	Percent %
eMoney asynchronous class meeting follow-up quiz (5 pts)	6%
eMoney account activation (5 pts)	6%
eMoney Prerequisite (5 pts)	6%
eMoney 12 Lesson quizzes (1 pt per quiz / 12 pts total)	15%
eMoney final certification exam (20 pts)	25%
Holistiplan asynchronous class meeting follow-up quiz (5 pts)	6%
Holistiplan account activation (5 pts)	6%
Holistiplan 5 Section quizzes (5 pts per quiz / 25 pts total)	30%
TOTAL	100%

See below for assignment descriptions and due dates.

Late Assignments

No late assignments are accepted and a grade of zero will be given. Examinations must be taken on the assigned day, unless a written medical excuse is provided.

Grading Scale

The class is graded Satisfactory (S) / Unsatisfactory (U) (S/U). A student receives a satisfactory grade and earns 1 credit hour if they earn 58 points, which is 70% of the 82 points in this class.

Assignment Descriptions

eMoney Weekly Homework Assignments (12 * 1 point = 12 points)

The course is based on weekly assignments. In eMoney, students complete 12 lessons with subparts within each lesson. Each lesson ends with a 10-question quiz to test students’ knowledge of the concepts. An 80% correct score is needed to pass each lesson quiz. Students have unlimited attempts at each quiz.

eMoney Final Exam (20 points)

To show mastery and become eMoney Fundamentals certified, students take a comprehensive final exam that consists of 15 questions. An 80% correct score is needed to pass the final exam. Three attempts are provided. If all three attempts are failed, the student has to start from the beginning of the program again.

Holistiplan Weekly Homework Assignments (5 * 5 points = 25 points)

In Holistiplan, students complete 5 sections with subsections within each section. Students earn 25 points for completing the 5 quizzes. Students have unlimited attempts at each quiz. Holistiplan does not conduct a comprehensive final exam.

Outline of eMoney Financial Planning Certificate Training

Advisor Platform Part 1-4

1. Home Page and Navigational Overview
2. Connections and Integrations
3. Alerts, Tasks and Settings
4. The Vault and Help Options

Client Site Part 1-2

1. Client Site Set Up and Overview
2. Client On-boarding and Lead Capture

Planning Part 1-6

1. Basic Facts and Needs Analysis
2. Foundational Planning
3. Advanced Facts and Assumptions
4. Cash Flow and Simulation Basics
5. Advanced Planning and Reports
6. Interactive Planning Tools

Comprehensive Final Exam

Readings are available in the eMoney Platform

"Recommended Resources For Students"

Outline of Holistiplan Tax Planning Certificate Training

Section 1: Household

Section 2: Tax Returns

Section 3: Tax Report

Section 4: Scenario Analysis

Section 5: Solve for Min/Max Tools and Range Calculator Function

Course Schedule

WEEK/ UNIT	DATE	TOPICS	LEARNING OBJECTIVE	READINGS & ACTIVITIES	ASSIGNMENTS & ASSESSMENTS
1		eMoney Fundamentals Certificate: - Semester-start class meeting - Prerequisite Learning Platform Best Practices and Troubleshooting Course	LO 1, 2	Class meeting by Zoom Prerequisite Module	Due date: TBD Account active Prerequisite completed
2		eMoney Fundamentals Certificate: - Certification Introduction - Advisor Platform Part 1 - Advisor Platform Part 2	LO 1, 2	Lessons 2, 3, 4	Due date: TBD Lesson 3 Quiz Lesson 4 Quiz
3		eMoney Fundamentals Certificate: - Advisor Platform Part 3 - Advisor Platform Part 4	LO 1, 2	Lessons 5, 6	Due date: TBD Lesson 5 Quiz Lesson 6 Quiz
4		eMoney Fundamentals Certificate: - eMoney Client Site Part 1 - eMoney Client Site Part 2	LO 1, 2	Lessons 7, 8	Due date: TBD Lesson 7 Quiz Lesson 8 Quiz
5		eMoney Fundamentals Certificate: - eMoney Planning Part 1 - eMoney Planning Part 2	LO 1, 2	Lessons 9, 10	Due date: TBD Lesson 9 Quiz Lesson 10 Quiz
6		eMoney Fundamentals Certificate: - eMoney Planning Part 3 - eMoney Planning Part 4	LO 1, 2	Lessons 11, 12	Due date: TBD Lesson 11 Quiz Lesson 12 Quiz
7		eMoney Fundamentals Certificate: - eMoney Planning Part 5 - eMoney Planning Part 6	LO 1, 2	Lessons 13, 14	Due date: TBD Lesson 13 Quiz Lesson 14 Quiz
8		eMoney Fundamentals Certificate: - Exam Review - Recommended Resources For Students	LO 1, 2		
9		eMoney Fundamentals Certification Exam	LO 1, 2		Due date: TBD Certification Exam
10		SPRING BREAK			

11		Holistiplan Tax Planning Certificate: - Holistiplan class meeting - Households	LO 3, 4	Section 1	Due date: TBD Section 1 Quiz
12		Holistiplan Tax Planning Certificate: Tax Returns	LO 3, 4	Section 2	Due date: TBD Section 2 Quiz
13		Holistiplan Tax Planning Certificate: Tax Report	LO 3, 4	Section 3	Due date: TBD Section 3 Quiz
14		Holistiplan Tax Planning Certificate: Scenario Analysis	LO 3, 4	Section 4	Due date: TBD Section 4 Quiz
15		Holistiplan Tax Planning Certificate: Solve for Min/Max Tools and Range Calculator Functions	LO 3, 4	Section 5	Due date: TBD Section 5 Quiz

The schedule above is subject to change based on course and participant needs. Any changes in schedule will be posted in Carmen (or in class).

Course Policies

Communication Guidelines

As a member of a community of learners, it is your responsibility to exhibit professional behavior and decorum in all modes of communication. The following communication and discussion guidelines help improve the readability of your messages, keeps conversations focused, increases trust, and creates a more positive experience for all participants.

The following are my expectations for how we should communicate as a class. Above all, please remember to be respectful and thoughtful.

- **Tone and civility:** Let's maintain a supportive learning community where everyone feels safe and where people can disagree amicably. Be professional and do not use language that is considered foul or abusive. Be careful when using sarcasm or humor, a remark meant to be humorous could come across as offensive or hurtful especially in written form.
- **Respectful dialogue:** Respond to peers honestly but thoughtfully, respectfully, and constructively. Address the ideas, not the person, when responding to others. Honor people's rights to their opinions; respect the right for people to disagree.

Response Times: I am providing the following list to give you an idea of my intended availability throughout the course. Remember that you can call **614-688-HELP** or use 8help@osu.edu at any time if you have a technical problem.

- **Grading and feedback:** For large weekly assignments, you can generally expect feedback within **7 days**.
- **E-mail:** I will reply to e-mails within **24 hours on school days**.

Netiquette

As a member of a community of learners, it is your responsibility to exhibit professional behavior and decorum in all modes of communication. Following the rules of etiquette on the Internet (netiquette) helps improve the readability of your messages, keeps conversations focused, increases trust, and creates a more positive experience for all participants. Netiquette includes, but is not limited to, the following guidelines:

- Honor people's rights to their opinion; respect the right for people to disagree.
- Be professional; use language that is not considered foul or abusive.
- Respond to peers honestly but thoughtfully, respectfully, and constructively.
- Avoid writing in all caps – it conveys shouting and anger.
- Avoid font styles, colors like yellow and green, and sizes that are difficult to read for accessibility reasons.
- Address ideas, not the person, when responding to messages or discussions.
- Be careful when using sarcasm or humor – without social cues like facial expressions or body language, a remark meant to be humorous could come across as offensive or hurtful.
- Do not distribute copyrighted materials, such as articles and images; most things online are not licensed as "fair use." Share links to those materials instead and be sure to properly cite all sources to avoid unintentional plagiarism.

Course Assignments and Academic Integrity

In addition to Ohio State's Academic Integrity Policy, listed below, please review my course-specific policies:

Exams: You must complete the quizzes and final exam yourself, without any external help or communication.

Reusing past work: In general, you are prohibited in university courses from turning in work from a past class to your current class, even if you modify it. If you want to build on past research or revisit a topic you've explored in previous courses, please discuss the situation with me.

Technology

For help with your password, university e-mail, Carmen, or any other technology issues, questions, or requests, contact the OSU IT Service Desk. Standard support hours are available at <https://ocio.osu.edu/help/hours>, and support for urgent issues is available 24x7.

- **Self-Service and Chat support:** <http://ocio.osu.edu/selfservice>
- **Phone:** 614-688-HELP (4357)
- **Email:** 8help@osu.edu
- **TTY:** 614-688-8743

Baseline technical skills necessary for online/hybrid courses:

- Basic computer and web-browsing skills
- Navigating Carmen (Canvas)

Technology necessary for this course:

- **eMoney Technical Support for log-in issues:**

- If students wait 10 minutes, the system will unlock and students can re-enter credentials.
- If students cannot recall their password, please select “Forgot your password?” and follow the prompts to regain access.
- If students experience persisting issues, please contact eMoney Customer Support at 888-362-8482. eMoney Customer Support will only assist with password/login issues and will not provide any other assistance.

If students have questions about the eMoney application or training/certification courses, please use the Knowledge Base online option available in the Help Menu > Application Help.

If an answer to a question is not found in the Knowledge Base, please reach out to your instructor.

- **Holistiplan Technical Support:**

Holistiplan log-in issues:

- If students cannot recall their password, please select “Forgot your password?” and follow the prompts to regain access.
- If students experience persisting issues, please contact Holistiplan academic support at academia@holistiplan.com. Holistiplan academic support will only assist with password/login issues and will not provide any other assistance.

Student Resources

Technology:

[EHE Tech Help](#)

[OSU Tech Support](#)

Academics:

[EHE Homepage](#)

[EHE Advising](#)

[OSU Advising](#)

[OSU Library](#)

[Dennis Learning Center](#)

[EHE Office of Research](#)

[OSU Office of Research](#)

Student Life:

[OSU Student Health Services](#)

[EHE Undergraduate Student Services](#)

[OSU Student Life](#)

[OSU Student Advocacy Center](#)

[OSU Student Financial Aid](#)

[EHE Career Services](#)

[OSU Career Counseling and Support Services](#)

Institutional Policies

Academic Integrity

Academic integrity is essential to maintaining an environment that fosters excellence in teaching, research, and other educational and scholarly activities. Thus, The Ohio State University and the Committee on Academic Misconduct (COAM) expect that all students have read and understand the University's *Code of Student Conduct*, and that all students will complete all academic and scholarly assignments with fairness and honesty. Students must recognize that failure to follow the rules and guidelines established in the University's *Code of Student Conduct* and this syllabus may constitute "Academic Misconduct."

The Ohio State University's *Code of Student Conduct* (Section 3335-23-04) defines academic misconduct as: "Any activity that tends to compromise the academic integrity of the University, or subvert the educational process." Examples of academic misconduct include (but are not limited to) plagiarism, collusion (unauthorized collaboration), copying the work of another student, and possession of unauthorized materials during an examination. Ignorance of the University's *Code of Student Conduct* is never considered an "excuse" for academic misconduct, so I recommend that you review the *Code of Student Conduct* and, specifically, the sections dealing with academic misconduct.

If I suspect that a student has committed academic misconduct in this course, I am obligated by University Rules to report my suspicions to the Committee on Academic Misconduct. If COAM determines that you have violated the University's *Code of Student Conduct* (i.e., committed academic misconduct), the sanctions for the misconduct could include a failing grade in this course and suspension or dismissal from the University.

If you have any questions about the above policy or what constitutes academic misconduct in this course, please contact me. Other sources of information on academic misconduct (integrity) to which you can refer include:

- The Committee on Academic Misconduct web pages ([COAM Home](#))
- *Ten Suggestions for Preserving Academic Integrity* ([Ten Suggestions](#))
- *Eight Cardinal Rules of Academic Integrity* (www.northwestern.edu/uacc/8cards.htm)

Artificial Intelligence and Academic Integrity

All students have important obligations under the [Code of Student Conduct](#) to complete all academic and scholarly activities with fairness and honesty. Our professional students also have the responsibility to uphold the professional and ethical standards found in their respective academic honor codes. Specifically, students are not to use unauthorized assistance in the laboratory, on field work, in scholarship or on a course assignment unless such assistance has been authorized specifically by the course instructor. In addition, students are not to submit their work without acknowledging any word-for-word use and/or paraphrasing of writing, ideas or other work that is not your own. These requirements apply to all students undergraduate, graduate, and professional.

To maintain a culture of integrity and respect, these generative AI tools should not be used in the completion of course assignments unless an instructor for a given course specifically authorizes their use. Some instructors may approve of using generative AI tools in the academic setting for specific goals. However, these tools should be used only with the explicit and clear permission of each individual instructor, and then only in the ways allowed by the instructor.

Accessibility Accommodations

The university strives to make all learning experiences as accessible as possible. If you anticipate or experience academic barriers based on your disability including mental health, chronic or temporary medical conditions, please let me know immediately so that we can privately discuss options. To establish reasonable accommodations, I may request that you register with Student Life Disability Services (SLDS). After registration, make arrangements with me as soon as possible to discuss your accommodations so that they may be implemented in a timely fashion. *In light of the current pandemic, students seeking to request COVID-related accommodations may do so through the university's request process, managed by Student Life Disability Services.* **SLDS contact information:** slds@osu.edu; 614-292-3307; slds.osu.edu; 098 Baker Hall, 113 W. 12th Avenue.

This course requires use of Carmen (Ohio State's learning management system) and other online communication and multimedia tools. If you need additional services to use these technologies, please request accommodations with your instructor. Carmen (Canvas) accessibility documentation.

Accessibility of course technology

This course may use approved EHE digital technologies such as Hypothesis, H5P, and ThingLink as a part of course requirements. If you encounter an issue with access to these tools, please contact your instructor at their OSU email address and EHE-Accessibility@osu.edu. Accommodation and assistance will be arranged for you to complete any work required with this tool free of penalty

Grievances

According to University Policies, if you have a problem with this class, you should seek to resolve the grievance concerning a grade or academic practice by speaking first with the instructor or professor. Then, if necessary, take your case to the department chairperson, college dean or associate dean, and to the provost, in that order. Specific procedures are outlined in Faculty Rule 3335-8-23. Grievances against graduate, research, and teaching assistants should be submitted first to the supervising instructor, then to the chairperson of the assistant's department.

Copyright Disclaimer

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