

SECURITIES INDUSTRY ESSENTIALS, CERTIFICATE OF COMPLETION



Certificate of Completion: CCL 5907

16 Credits

Program Contacts

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Program Description

The Certificate of Completion (CCL) in Securities Industry Essentials builds the industry knowledge and skills for individuals to prepare for careers in Financial Services. This CCL will introduce students new to or interested in financial services to the fundamental concepts of capital markets, types of products and their risks, trading, customer accounts, prohibited activities, and regulatory agencies and their functions. Students with the requisite experience in the field who complete this CCL can pursue employment in a variety of security industry jobs. This CCL also helps to prepare students for the Financial Industry Regulatory Authority (FINRA) Securities Industry Essentials (SIE). A Certificate of Completion (CCL) and Associate in Applied Science (AAS) in Banking and Finance are also available.

Program Notes

Students must earn a grade of "C" or better for all courses in the program. Overall program minimum GPA = 2.00.

This Certificate of Completion (CCL) is intended for current or prospective securities industry professionals who are interested in expanding their knowledge in the area of financial securities to enhance their employment opportunities.

++ indicates any suffixed course may be selected.

Program Requirements

Program Prerequisites: None

Code	Title	Credits	Semester
Required Courses			
GBS120	Workplace Communication Skills	3	_____
GBS151	Introduction to Business	3	_____
GBS261	Investments I	3	_____
GBS261LL	Securities Industry Essentials (SIE) Exam Prep	1	_____

MGT126	Customer Service Skills and Strategies	3	_____
MKT267	Principles of Sales ¹	3	_____
	or MKT271 Principles of Marketing		_____
Total Credits		16	_____

¹ Recommend MKT267 Principles of Sales if career goal in the field of finance is sales