



Fundamentals of the Securities Industry - Online

This online curriculum provides a broad perspective of the workings of Wall Street and the securities industry. It focuses on the products, markets, vocabulary, and players, the primary and secondary markets for securities including investment banking, the stock exchanges and over-the-counter transactions, margin, settling, clearing, and industry regulations. Essential for newcomers to the securities industry, this course is also helpful to industry employees facing increased responsibilities.

Please note that this is a curriculum of individual course modules. You will need to pass each module exam in order to qualify for a certificate of completion.

This is an asynchronous eLearning program that can be accessed 24/7 from any internet enabled computer. Access is for 91 days.

Targeted Audience

Newcomers to the securities industry, traders, salespeople, back office professionals, staff assistants, compliance staff, auditors and IT professionals.

Advance Preparation

No advance preparation required.

Prerequisites

None

Learning Objectives

Students will be able to:

- . Gain a basic understanding of the investment world and the Securities Industry
- . Understand the role of Primary and Secondary Markets

- . Understand the process of a Public Offering
- . Identify the basic characteristics of common stock.
- . Read and comprehend stock quotations.
- . Identify the characteristics and types of preferred stock.
- . Identify various Equity-linked products.
- . Identify the basic features of corporate, U.S. government, and municipal bonds.
- . Read and comprehend bond credit ratings and yields.
- . Identify different government securities.
- . Understand the difference between exchange and OTC markets.
- . Identify the types of orders available to market participants.
- . Understand the complex investment strategies.
- . Understand the processing and approval procedures
- . Identify the functions of back office departments
- . Understand the key dates in a settlement

Alumni Comments

"The quality of the material was easy to follow and very helpful. The audio helped a great deal understanding the material. This amount of knowledge will be very important in understanding how the financial market operates."

"I retained alot of the information I learned from your course. It was very helpful for someone who did not have a lot experience with the subject. I am looking forward to taking more classes. Thank You Pearson and New York Institute of Finance!!"

"The module was well-presented, clear & understandable. It is clear to me now how money & investments work! Before, it was hard for me to understand using other sources (ie. books, etc) - too technical for a layman to understand - but this class was JUST RIGHT!"

"The course content was very useful and the interactive elements were great for keeping me engaged."

"The content of the course was very thorough. It was very direct and overall, I learned a lot."

Follow-Up Courses

Introducing The City - Online

Reading the Financial Times

Money & Banking - Online

Equities - Online

Fixed Income Securities - Online

Level: Basic

CPE Credits: 8

Instructional Method: Self-Study

Detailed Outline

Introduction to the Securities Industry

Topics covered include:

- . Gain a basic understanding of the investment world and the Securities Industry
- . Understand the role of Primary and Secondary Markets
- . Understand the process of a Public Offering

Duration: 1 hour

Introduction to Equity Securities

Topics covered include:

- . Identify the basic characteristics of common stock
- . Read and comprehend stock quotations
- . Identify the characteristics and types of preferred stock
- . Identify various Equity-linked products

Duration: 2 hours

Introduction to Debt Securities

Topics covered include:

- . Identify the basic features of corporate, U.S. government, and municipal bonds

Trading Securities in the Secondary Markets

Topics covered include:

- . Understand the difference between

- . Read and comprehend bond credit ratings and yields

- . Identify different government securities

Duration: 2 hours

exchange and OTC markets

- . Identify the types of orders available to market participants

- . Understand the complex investment strategies

Duration: 2 hours

Processing Securities Transactions

Topics covered include:

- . Understand the processing and approval procedures

- . Identify the functions of back office departments

- . Understand the key dates in a settlement

Duration: 1 hour

Powered by NYIF

For more information regarding administrative policies such as complaints and refunds, please contact our offices at 212-641-6616.