

# FINA 4650 – Securities Industry Essentials (SIE) Test Prep

## Instructor Contact

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**Communication Expectations:** Email is my primary method of communication. Make sure FIPL 4210 is included in the subject line to ensure it goes into the course inbox.

I will respond within 24 hours (Monday-Friday). Emails sent after 1 pm on Friday will be responded to on the following Monday.

Tips for online communication: [Online Communication Tips](https://clear.unt.edu/online-communication-tips) (<https://clear.unt.edu/online-communication-tips>)

## Welcome to UNT!

As members of the UNT community, we have all made a commitment to be part of an institution that respects and values the identities of the students and employees with whom we interact. UNT does not tolerate identity-based discrimination, harassment, and retaliation. UNT's full Non-Discrimination Policy can be found in the UNT Policies section of the syllabus.

## Course Description

This course is designed to prepare students to take the Securities Industry Essentials (SIE) Exam

## Course Structure

Face-to-face in **Denton, Business Leadership Building Room 060** from **6:30 PM – 9:20 PM** on **Tuesdays**. All assignments will be submitted in the Pass Perfect system. The course is composed of reading, videos, practice quizzes, and exams. **There are 4 sections with a total of 16 different chapters supporting your learning.** See calendar on the course schedule for due dates. See grades for the grading policy.

## Course Prerequisites or Other Restrictions

FINA 2770 or 3770 with a C or better. FINA 4200 – Investments or previous experience in investments is recommended, but not required.

## Course Materials Required

- Pass Perfect – [unt.learn.cerifi.com](http://unt.learn.cerifi.com) is the web address. You will gain access to it the first class using your UNT email address.
- Fidelity Abode Access

## Teaching Philosophy

*“Study without desire spoils the memory and it retains nothing that it that’s in.” – Leonardo da Vinci*

No matter what area of finance your career takes, there is a good chance that you will need to pass a FINRA securities license. The SIE exam is the gateway to unlock all the other exams that are required to work in the investment and securities industry. Hopefully, you have signed up for this course because you desire to learn about the securities industry, specifically what is needed to pass the SIE test as precursor to the FINRA Series licenses.

This is a collegiate course where you, the student, are responsible for your own learning. The instructor will present materials along with the readings, videos, case studies, and assessments. Assessments in the form of homework assignments, quizzes, and exams are designed to give you feedback on your learning progress. Your success is up to you. The instructor is your guide in the learning process.

## About the SIE Exam

- Number of graded questions: 75 + 10 ungraded items for 85 total questions.
- Passing Score: Around 70% (Aim for 75% to be sure)
- Time Limit: 105 minutes

## Course Requirements/ Schedule:

*Tentative course schedule. Content, dates, and topics may change as situations throughout the semester warrant.*

Class	Dates	Topics for Discussion	Modules
<b>Welcome</b>			
1	Jan 13	Introduction to the course. Pass Perfect Setup and Walk Through – Fidelity Abode. Get use to system, begin studying	Ch 1, 2, 3, 4, 5
2	Jan 20 – in person	Fidelity Meet and Greet in Person Go through Equities, Debt, Bonds, Munis & Money Markets	Ch 1, 2, 3, 4, 5
3	Jan 27 – in person	<b>In Person - Final Exam # 1 to see where you are</b> Exam Simulation: (1 hr 45 mins)	Ch 1, 2, 3, 4, 5
		<b>Complete Mastery Exam I before class</b> Packaged Products, Trading, Trade Processes & Settlement	Ch 6, 7, 8
4	Feb 3 Remote/hybrid	<b>Complete Mastery Exam II</b>	Ch 6, 7, 8
		Begin Options, Customer Accounts, Suitability, Account Types, Retirement Plans/Vas	Ch 9, 10 ,11, 12
5	Feb 10 Room open	Finish Options, Customer Accounts, Suitability, Account Types, Retirement Plans/Vas	Ch 9, 10 ,11, 12
6	Feb 17 Room open for studying	<b>Complete Mastery Exam III</b>	Ch 9, 10 ,11, 12
		Begin Primary Market, Act of 1934, SROs, Economic Analysis, Tax Rules	Ch 13, 14, 15 ,16
7	Feb 24 Room open for study time	Finish Primary Market, Act of 1934, SROs, Economic Analysis, Tax Rules <b>Complete Mastery Exam IV</b>	Ch 13, 14, 15 ,16

<b>Final Day – Exam Simulator</b>			
8	March 3 In person 6:30 - 8:30 No study time	Exam Simulation: (1 hr 45 mins FINRA time) <b>Final Exam</b> (2 or 3) If you pass with 75%+ request Fidelity Voucher register and take SIE exam	All
9	March 17 Room open for study time	Review course materials and Take Final Exam 4 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
10	March 24 Room open for study time	If necessary. Review course materials and Take Final Exam 5 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
11	March 31 Room open for study time	If necessary. Review course materials and Take Final Exam 6 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
12	April 7 Room open for study time	If necessary. Review course materials and Take Final Exam 7 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
13	April 14 Room open for study time	If necessary. Review course materials and Take Final Exam 8 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
14	April 21 Room open for study time	If necessary. Review course materials and Take Final Exam 9 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	
15	April 28	If necessary. Review course materials and Take Final Exam 10 to prepare. If pass with 75%+, request voucher, sign up and take the actual SIE Exam	

## Grading

<b>Grade Point Scale:</b>	
<b>Percentage Ranges:</b>	<b>Letter Grade:</b>
75% or higher	A
70 % - 74.99 %	B
65% - 69.99 %	C
60% - 64.99 %	D
Under 60%	F

<b>Grade Determination:</b>		
<b>Learning Opportunities:</b>		Percentage
<b>Evaluations:</b>		
Final Exam (#2 through # 10 highest)		100%
<b>Total Possible Points</b>		<b>100%</b>

## Attendance

The majority of this course is “on your own” type format. This means Videos, Readings, and Practice quizzes and exams. The room will be open for study sessions.

We have 3 mandatory sessions. Jan 20<sup>th</sup> – Fidelity visit, Jan 27<sup>th</sup> – Pre-Exam and March 3<sup>rd</sup> – Final Exam

## Course Technology & Skills

### Minimum Technology Requirements

- Computer
- Reliable internet access
- Speakers
- Microphone
- Plug-ins
- Microsoft Office Suite
- [Canvas Technical Requirements](https://clear.unt.edu/supported-technologies/canvas/requirements) (https://clear.unt.edu/supported-technologies/canvas/requirements)

### Computer Skills & Digital Literacy

- Using Canvas
- Using email with attachments
- Downloading and installing software
- Using spreadsheet programs
- Using presentation and graphics programs

### Technical Assistance

Part of working in the online environment involves dealing with the inconveniences and frustration that can arise when technology breaks down or does not perform as expected. Here at UNT we have a Student Help Desk that you can contact for help with Canvas or other technology issues.

**UIT Help Desk:** [UIT Student Help Desk site](#)

**Email:** [helpdesk@unt.edu](mailto:helpdesk@unt.edu)

**Phone:** 940-565-2324

**In Person:** Sage Hall, Room 130

**Walk-In Availability:** 8am-9pm

**Telephone Availability:**

- Sunday: noon-midnight
- Monday-Thursday: 8am-midnight
- Friday: 8am-8pm
- Saturday: 9am-5pm

**Laptop Checkout:** 8am-7pm

For additional support, visit [Canvas Technical Help](#)