uCertify

Course Outline

Rice Securities Industry Essentials Exam 2023-2024

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1. Course Objective

The Rice Securities Industry Essentials (SIE) Exam 2023-2024 course is your key to unlocking opportunities in the dynamic world of securities, commodities, and financial services. This comprehensive course guides you through the essential concepts, regulations, and practices required to excel in the securities industry. Our course is designed to cover the entire spectrum of topics included in the Securities Industry Essentials (SIE) Exam. From regulatory frameworks to industry practices, you'll gain a holistic understanding of the securities industry landscape.

2. Pre-Assessment

Pre-Assessment lets you identify the areas for improvement before you start your prep. It determines what students know about a topic before it is taught and identifies areas for improvement with question assessment before beginning the course.

3. Exercises

There is no limit to the number of times learners can attempt these. Exercises come with detailed remediation, which ensures that learners are confident on the topic before proceeding.

4. Quiz

Quizzes test your knowledge on the topics of the exam when you go through the course material. There is no limit to the number of times you can attempt it.

5. Expert Instructor-Led Training

uCertify uses the content from the finest publishers and only the IT industry's finest instructors. They have a minimum of 15 years real-world experience and are subject matter experts in their fields. Unlike a live class, you can study at your own pace. This creates a personal learning experience and gives you all the benefit of hands-on training with the flexibility of doing it around your schedule 24/7.

6. ADA Compliant & JAWS Compatible Platform

uCertify course and labs are ADA (Americans with Disability Act) compliant. It is now more accessible to students with features such as:

- Change the font, size, and color of the content of the course
- Text-to-speech, reads the text into spoken words
- Interactive videos, how-tos videos come with transcripts and voice-over
- Interactive transcripts, each word is clickable. Students can clip a specific part of the video by clicking on a word or a portion of the text.

JAWS (Job Access with Speech) is a computer screen reader program for Microsoft Windows that reads the screen either with a text-to-speech output or by a Refreshable Braille display. Student can easily navigate uCertify course using JAWS shortcut keys.

7. State of the Art Educator Tools

uCertify knows the importance of instructors and provide tools to help them do their job effectively. Instructors are able to clone and customize course. Do ability grouping. Create sections. Design grade scale and grade formula. Create and schedule assessments. Educators can also move a student from self-paced to mentor-guided to instructor-led mode in three clicks.

8. Award Winning Learning Platform (LMS)

uCertify has developed an award winning, highly interactive yet simple to use platform. The SIIA CODiE Awards is the only peer-reviewed program to showcase business and education technology's finest products and services. Since 1986, thousands of products, services and solutions have been recognized for achieving excellence. uCertify has won CODiE awards consecutively for last 7 years:

- **2014**
    1. Best Postsecondary Learning Solution

- **2015**
    1. Best Education Solution
    2. Best Virtual Learning Solution
    3. Best Student Assessment Solution
    4. Best Postsecondary Learning Solution
    5. Best Career and Workforce Readiness Solution
    6. Best Instructional Solution in Other Curriculum Areas
    7. Best Corporate Learning/Workforce Development Solution

- **2016**
    1. Best Virtual Learning Solution
    2. Best Education Cloud-based Solution
    3. Best College and Career Readiness Solution
    4. Best Corporate / Workforce Learning Solution
    5. Best Postsecondary Learning Content Solution
    6. Best Postsecondary LMS or Learning Platform
    7. Best Learning Relationship Management Solution

- **2017**
    1. Best Overall Education Solution
    2. Best Student Assessment Solution
    3. Best Corporate/Workforce Learning Solution
    4. Best Higher Education LMS or Learning Platform

- **2018**
    1. Best Higher Education LMS or Learning Platform
    2. Best Instructional Solution in Other Curriculum Areas
    3. Best Learning Relationship Management Solution

- **2019**
    1. Best Virtual Learning Solution
    2. Best Content Authoring Development or Curation Solution
    3. Best Higher Education Learning Management Solution (LMS)

- **2020**
    1. Best College and Career Readiness Solution
    2. Best Cross-Curricular Solution
    3. Best Virtual Learning Solution

9. Chapter & Lessons

uCertify brings these textbooks to life. It is full of interactive activities that keeps the learner engaged. uCertify brings all available learning resources for a topic in one place so that the learner can efficiently learn without going to multiple places. Challenge questions are also embedded in the chapters so learners can attempt those while they are learning about that particular topic. This helps them grasp the concepts better because they can go over it again right away which improves learning.

Learners can do Flashcards, Exercises, Quizzes and Labs related to each chapter. At the end of every lesson, uCertify courses guide the learners on the path they should follow.

Syllabus

Chapter 1: Introduction

- About This Course
- Icons Used in This Course
- Where to Go from Here

Chapter 2: Introducing the SIE (Securities Industry Essentials) Exam

- What Is the SIE Exam, Anyway?
- Profiling the SIE Exam-Taker
- One’s Not Enough: Tackling the CoRequisite Exams
- Signing Up
- Taking a Peek at the Tested Topics
- Understanding the Exam Format and Other Exam Details

Chapter 3: Preparing for the SIE Exam

- Courses and Training Materials: Determining the Best Way to Study
- Managing Your Study Time Wisely
- Exploring Study Strategies
- Developing Solid Test-Taking Skills

- Knowing When You’re Ready

Chapter 4: Examining and Mastering Question Types

- Familiarizing Yourself with Question Formats
- Shredding the Questions: Tips and Tricks

Chapter 5: Surviving Test Day

- Composing Yourself the Day Before
- Making the Most of the Morning
- Arriving on the Scene
- Tackling the SIE
- Revealing Your Results: Drumroll, Please…

Chapter 6: Securities Underwriting: The Process and the Team Players

- Bringing New Issues to the Market
- Getting Up to Speed on the Types of Securities Offerings
- Reviewing Exemptions

Chapter 7: Equity Securities: Corporate Ownership

- Beginning with the Basics: Common Stock
- Getting Preferential Treatment: Preferred Stock
- Securities with a Twist

Chapter 8: Debt Securities: Corporate and U.S. Government Loans

- Tackling Bond Terms, Types, and Traits
- Making Basic Bond Price and Yield Calculations
- Determining the Best Investment: Comparing Bonds
- Exploring U.S. Government Securities
- Playing It Safe: Short-Term Loans or Money Market Instruments

Chapter 9: Municipal Bonds: Local Government Securities

- General Obligation Bonds: Backing Bonds with Taxes
- Revenue Bonds: Raising Money for Utilities and Such
- The Primary Market: Bringing New Municipal Bonds to Market
- Examining Other Types of Municipal Bonds on the Test
- Taxing BABs: Taxable Municipal Bonds
- Municipal Notes: Securing Short-Term Financing
- Taking a Closer Look at Municipal Fund Securities

- Understanding the Taxes on Municipal Bonds
- Following Municipal Bond Rules
- Gathering Municipal Bond Info
- “G” That’s a Whole Lot of Rules

Chapter 10: Delivering Diversification with Packaged Securities

- Looking at Investment Company Registration
- Diversifying through Management Investment Companies
- Considering Other Investment Company Options
- Adding Annuities to a Portfolio
- Understanding the Investment Component of Variable Life Insurance Products

Chapter 11: Working with Direct Participation Programs and REITs

- Searching for Identity: What DPPs Are (and Aren’t)
- The DPP Characters: General and Limited Partners
- Pushing through Partnership Paperwork
- Passive Income and Losses: Looking at Taxes on Partnerships
- Evaluating DPPs

- Checking Out Types of Partnerships
- Reducing Real-Estate Risk with REITs

Chapter 12: Options: Understanding the Basics of Puts and Calls

- Brushing Up on Option Basics
- Incorporating Standard Option Math
- Gaining Additional Option Insight

Chapter 13: Customer Accounts: Doing the Right Thing

- Following Protocol When Opening Accounts
- Selecting the Appropriate Type of Account
- Working with Margin Accounts
- Obeying the Telephone Act of 1991

Chapter 14: Securities Analysis: Doing a Little Market Research

- Getting to Know Your Securities and Markets: Securities Analysis Basics
- Following the Green: Money Supply and Monetary Policy
- Reading Economic Indicators
- How Economic Factors Affect Securities

- Your Principal Economic Theory Primer

Chapter 15: Securities Markets: Taking Orders and Executing Trades

- Shopping at Primary and Secondary Markets
- Making the Trade
- Understanding the Role of a Broker–Dealer
- Receiving and Executing Customer Orders
- It Takes All Kinds: Recognizing Different Types of Investors

Chapter 16: Making Sure the IRS Gets Its Share

- Everything in Its Place: Checking Out Tax and Income Categories
- Noting Taxes on Investments
- Exploring Retirement Plan Tax Advantages

Chapter 17: Rules and Regulations: No Fooling Around

- Meeting the Market Watchdogs: Securities Regulatory Organizations
- FINRA Registration and Reporting Requirements
- Trading by the Course When the Account Is Open
- Committing Other Important Rules to Memory

- The Investor’s Bankruptcy Shield: FDIC and SIPC Coverage

Chapter 18: Ten SIE Exam Traps to Avoid

- Easing Up on the Studying
- Assuming the Question’s Intent
- Reading into the Question
- Becoming Distracted When Others Finish
- Not Dressing for Comfort
- Forgetting to Breathe
- Trying to Work Out Equations in Your Head Instead of Writing Them Down
- Spending Too Much Time on One Question
- Changing Your Answers for the Wrong Reasons
- Calculating Your Final Score Prematurely

Chapter 19: Ten Ways to Start Your Career Off Right

- Win at the Numbers Game
- Be an Apprentice
- Do Your Homework
- Treat the Minnow Like a Whale

- Smile When You Dial
- When a Security Falls, Don’t Be a Stranger
- Put In the Hours
- Broaden Your Horizons
- Pay Yourself First
- Set Some Goals: The Brass Ring

10. Practice Test

Here's what you get

74	2	74
PRE-ASSESSMENTS QUESTIONS	FULL LENGTH TESTS	POST-ASSESSMENTS QUESTIONS

Features

Each question comes with detailed remediation explaining not only why an answer option is correct but also why it is incorrect.

Unlimited Practice

Each test can be taken unlimited number of times until the learner feels they are prepared. Learner can review the test and read detailed remediation. Detailed test history is also available.

Each test set comes with learn, test and review modes. In learn mode, learners will attempt a question and will get immediate feedback and complete remediation as they move on to the next question. In test mode, learners can take a timed test simulating the actual exam conditions. In review mode, learners can read through one item at a time without attempting it.

11. Post-Assessment

After completion of the uCertify course Post-Assessments are given to students and often used in conjunction with a Pre-Assessment to measure their achievement and the effectiveness of the exam.

GET IN TOUCH:

3187 Independence Drive
Livermore, CA 94551,
United States

+1-415-763-6300

support@ucertify.com

www.ucertify.com