University of Missouri–St. Louis

College of Business Administration

Spring 2021 Syllabus

Course Instructor: Tim Dombrowski
Office: 232 Anheuser-Busch Hall
Office Hours: Tuesdays from 2:30PM – 3:30PM, or by appointment
Email: tdombrowski@umsl.edu
Meeting Location: Anheuser-Busch Hall – 00004
Meeting Schedule: Tuesdays from 3:30PM – 4:20PM

Course Description: This one credit hour course aims to prepare students for the Securities Industry Essentials (SIE) Exam.

Prerequisites: Minimum campus GPA of 2.0 and approval by the supervising professor and the Area Coordinator.

Required Materials: Securities Industry Essentials (SIE) Premier Package by the Securities Training Corporation (STC). This consists of:

- SIE Printed Study Manual
- SIE Final and Custom Exams-1st Edition
- SIE Progress and Greenlight Exams-1st Edition
- SIE On-Demand Lecture-1st Edition (MP4)
- SIE Flashcards-1st Edition

Course Objectives: Students will be expected to review the study manual and exam details prior to coordinating an individualized study plan with the instructor. Students will then be expected to follow this plan and aim to take the SIE Exam upon completion of the course. Topics covered include knowledge of financial markets, understanding products and their risks, understanding trading, customer accounts and prohibited activities, and overview of regulatory framework.

Grading: Students will be expected to make substantial progress towards completing the exam prep materials. Final grades will be determined by a variety of factors, including performance on the Final Exams, Greenlight Exams, and other resources provided on the STC platform.
Resources/Support: Additional student support resources include:

- Academic Support
- Student Resources
- Technical Support

Academic Integrity:

- You are responsible for being attentive to and observant of University policies about academic honesty as stated in the University’s Campus Policies and Code of Student Conduct found in the UMSL Bulletin.

- Academic dishonesty is a serious offense that may lead to probation, suspension, or dismissal from the University. One form of academic dishonesty is plagiarism – the use of an author’s ideas, statements, or approaches without crediting the source. Academic dishonesty also includes such acts as cheating by using any unauthorized sources of information and providing or receiving unauthorized assistance on any form of academic work or engaging in any behavior specifically prohibited by the faculty member (e.g., copying someone else’s answers on tests and quizzes). Unauthorized possession or distribution of academic materials is another type of academic misconduct. It includes the unauthorized use, selling or purchasing of examinations or other academic work, using or stealing another student’s work, unauthorized entry or use of material in a computer file, and using information from or possessing exams that an instructor did not authorize for release to students. Falsification is any untruth, either verbal or written, in one’s academic work. Facilitation is knowingly assisting another to commit an act of academic misconduct. **Plagiarism, cheating, and falsification are not acceptable.**

- All instances of academic dishonesty will be reported to the Office of Academic Affairs who will determine whether you will appear before the Student Conduct Committee for possible administrative sanctions such as dismissal from the university. The instructor will make an academic judgment about the student’s grade on that work in this course. The campus process regarding academic dishonesty is described in the Policies section of the Academic Affairs website.
Mandatory Reporting: Under Title IX, all UMSL faculty, staff, and administrators (with limited exception) are obligated to report any incidents of sexual harassment, sexual misconduct, sexual assault, or gender discrimination to the Student Affairs office and/or other University officials. This ensures that all parties are protected from further abuses and that victim(s) are supported by trained counselors and professionals. Note: There are several offices at UMSL (e.g., Counseling Services, Health Services, Community Psychological Service, Center for Trauma Recovery, and Student Social Services) whose staff are exempt from Title IX mandated reporting, when the information is learned in the course of a confidential communication.
Online Netiquette

- **Be self-reflective** before you post an emotional response and reread what you have written to be sure it is positive. Think of your comments as printed in the newspaper. Your online comments will be seen, heard and remembered by others in the class.

- **Use effective communication.**
  
  – Avoid the use of all caps or multiple punctuation elements (!!, ??? etc).
  – Be polite, understate rather than overstate your point, and use positive language.
  – If you are using acronyms, jargon or uncommon terms, be sure to explain them so everyone can understand and participate in the discussion.

- **Ask for clarification** to a point if you feel emotional from a classmate’s post. It is likely that you misunderstood his/her point. This strategy will also help you step away from the intensity of the moment to allow for more reflection.

- **Sign your name.** It is easier to build a classroom community when you know to whom you are responding.

- **Foster community.** Share your great ideas and contribute to ongoing discussions. Consider each comment you make as one that is adding to, or detracting from, a positive learning environment for you and your classmates.

- **Be constructive.** You can challenge ideas and the course content, but avoid becoming negative online. When you disagree politely, you stimulate and encourage great discussion. You also maintain positive relationships with others with whom you may disagree on a certain point.

- **Keep the conversation on topic** by responding to questions, adding thoughtful comments about the topics at hand. Online dialogue is like conversation. If there is a certain dialogue going on, please add to it, but if you have something new to say, please post it in another thread.

- **Define your terms.** When using acronyms or terms that are particular to your field (or new to our course), please define them for others.
# Tentative Course Schedule

| Week 1 (1/18–24) |  • Review Syllabus  
|                  |  • Chapter 1  |
| Week 2 (1/25–31) |  • Chapter 2  |
| Week 3 (2/1–7)   |  • Chapters 3–4  |
| Week 4 (2/8–14)  |  • Chapter 5  
|                  |  • Progress Exams 1 A and B  |
| Week 5 (2/15–21) |  • Chapter 6–7  |
| Week 6 (2/22–28) |  • Chapters 8–9  |
| Week 7 (3/1–7)   |  • Chapter 10  
|                  |  • Progress Exams 2 A and B  |
| Week 8 (3/8–15)  |  • Chapters 11–12  |
| Week 9 (3/15–21) |  • Chapters 13–14  |
| Week 10 (3/22–28)|  • Chapter 15  
|                  |  • Progress Exams 3 A and B  |
| Week 11 (3/29–4/4)|  • Spring Break!  |
| Week 12 (4/5–11) |  • Chapter 16–17  |
| Week 13 (4/12–18)|  • Chapter 18–19  |
| Week 14 (4/19–25)|  • Chapter 20  
|                  |  • Progress Exams 4 A and B  |
| Week 15 (4/26–5/2)|  • Final Exams 1–4  |
| Week 16 (5/3–9)  |  • Final Exams 5–8  
*Classes End 5/8 @5:00PM
| Week 17 (5/10–16)  
*Semester Ends 5/15 EOD | • Greenlight Exams 1–2 |