

REQUIREMENTS FOR THE CERTIFICATE IN FINANCIAL MARKETS COMPLIANCE

The certificate in Financial Markets Compliance requires a minimum of sixteen credits in the field, and will expose students to all of the most important aspects of compliance. The courses for the Compliance certificate would include:

REQUIRED:

Business Organizations (4)

Securities Regulation (3)

Futures and Derivatives Regulation (2 or 3 credits)

Banking Regulation (3) or Consumer Banking Regulation (2)

Capstone Compliance Course (3)

OPTIONAL (to fulfill the 16 credit hours needed)

Hedge Funds (2) or Investment Funds (3)

Regulation of Securities and Commodities Professionals

Enforcement and Litigation of Securities and Commodities Professionals

EXPERIENCE:

Students will also be required to have at least twelve weeks of work experience related to compliance. This may be fulfilled through an internship, externship, or paid work.

WRITTEN:

In addition, students will be required to write a paper on some topic of compliance. This requirement can be fulfilled through an independent study, seminar paper, law review note, or taking the On-line compliance course.

A student who is interested in the certificate program may enroll by contacting Prof. Felice Batlan. If a student enrolls but does not complete the certificate, there is no penalty.