# Scope & Sequence

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| Course Name: Securities and Investments **TSDS PEIMS Code:** 13016400 | | | **Course Credit:** 1.0  **Course Requirements:** Grade Placement 10-12.  **Prerequisites:** None.  **Recommended Prerequisites:** Principles of Business, Marketing, and Finance. |
| **Course Description:**In Securities and Investments, students will understand the laws and regulations to manage business operations and transactions in the securities industry. | | | |
| **NOTE:** This is a suggested scope and sequence for the course content. This content will work with any textbook or instructional materials. If locally adapted, make sure all TEKS are covered. | | | |
| **Total Number of Periods**  **Total Number of Minutes**  **Total Number of Hours** | 175 Periods  7875 Minutes  131.25 Hours\* | \*Schedule calculations based on 175/180 calendar days. For 0.5 credit courses, schedule is calculated out of 88/90 days. Scope and sequence allows additional time for guest speakers, student presentations, field trips, remediation, extended learning activities, etc. | |
| **Unit Number, Title, and Brief Description** | **# of Class Periods\***  (assumes 45-minute periods)  Total minutes per unit | **TEKS Covered**  **130.184. (c) Knowledge and skills** | |
| **Unit 1: Professional Standards**  Students will begin the course by learning and discussing appropriate communication, professional standards, legal and ethical considerations in business, customer service, and business etiquette. Students will demonstrate their understanding of ethical and legal decision-making issues in business, business etiquette, customer service, resolving complaints, and building customer relationships as they participate in classroom activities, discussions, and/or in workplace vignettes/scenarios. Students will continue to develop and demonstrate appropriate communication and business etiquette skills throughout the course. As a culminating activity for the unit, students/teams will discuss, describe, and/or present summaries of effective communication and customer service skills, business etiquette, and instructor expectations regarding classroom rules, schedules, and task completion. | 5 periods  225 minutes | (1) The student demonstrates professional standards/employability skills as required by business and industry. The student is expected to:  (A) demonstrate an understanding of appropriate communication with customers, employers, and coworkers through verbal, nonverbal, and digital means;  (B) demonstrate an understanding of the use of business etiquette;  (C) demonstrate an understanding of appropriate customer service such as building customer relationships and resolving customer complaints; and  (D) demonstrate an understanding of ethical and legal issues in business. | |
| **Unit 2: Laws, Regulations, and Ethics**  Students will learn and demonstrate an understanding of the legal and ethical considerations in buying and selling securities as well as laws and regulations of the securities and investments industry. Students will be given opportunities to learn, discuss, and explain regulation of the securities and investment industries, including the role the Securities and Exchange Commission. | 20 periods  900 minutes | (2) The student describes laws and regulations in order to manage personal and business operations and transactions in the securities and investments industry. The student is expected to:  (A) explain regulation of the securities and investments industry, including the role of the Securities and Exchange Commission;  (B) understand the legal and ethical considerations in buying and selling securities; and  (C) understand the state regulation of the securities and investments industry. | |
| **Unit 3: Investment Analysis and Selection Processes**  Students will learn, discuss, and explain investment analysis and selection processes as well as the terminology and theories associated with the field. Students will create and/or use graphs, diagrams, text, and/or other representations to explain and describe types of investment objectives, risks, diversification strategies, theories, and factors to consider when selecting investments. Students will also be given opportunities to examine and interpret financial statements, annual reports, a prospectus, and performance measures. | 25 periods  1,125 minutes | (3) The student describes investment analysis and selection processes. The student is expected to:  (A) describe types of investment objectives;  (B) consider the nature of investment risk;  (C) analyze diversification strategies;  (D) understand factors to consider when selecting investments;  (E) analyze information that can be obtained from financial statements and annual reports;  (F) examine a mutual fund prospectus;  (G) interpret analysis used in making investment decisions;  (H) discuss strategies for selecting investments;  (I) identify performance measurements for venture capital; and  (J) describe investment analysis and selection theory such as the Modern Portfolio Theory, the Capital Asset Pricing Model, and the Arbitrage Pricing Theory. | |
| **Unit 4: Values and Calculations**  Students will learn, discuss, calculate, and interpret financial ratios, stock-related values, and bond values. Students will create and/or use graphs, diagrams, text and/or other representations to identify and select investments based on financial analysis. Students will be given multiple opportunities to learn and discuss these topics and to demonstrate their understanding in classroom activities, discussions, projects, and/or presentations. | 20 periods  900 minutes | (4) The student identifies investments. The student is expected to:  (A) interpret financial ratios significant to investors, including price earnings ratio;  (B) calculate stock-related values such as the value of a constant growth stock, the expected value of future dividends, and the expected rate of return;  (C) calculate bond-related values such as the price of a bond given its yield to maturity, the coupon interest payment for a bond, and the effects of interest rates on the price of a bond;  (D) calculate bond present value and future value; and  (E) select investments based on financial analysis such as financial ratios. | |
| **Unit 5: Operational Activities and Commissions**  Students will examine, identify, discuss, and explain security and investment operational activities, the operations of a securities and investment office, and the buy and sell functions of a brokerage firm. Students will learn, discuss, and demonstrate how to calculate commissions and participate in classroom activities and/or workplace vignettes/scenarios of operational activities and operations. | 25 periods  1125 minutes | (5) The student understands security and investment operations. The student is expected to:  (A) examine security and investment operational activities;  (B) discuss the operations of a securities and investment office;  (C) examine the buy and sell functions of a brokerage firm; and  (D) discuss and calculate commissions. | |
| **Unit 6: Investment Environments and Economic Relationships**  Students will identify, explain, and evaluate the environments in which security and investment services are operated, the causes of stock price fluctuations, the relationships between bond prices and yields, and the role of investment banking in the marketplace. Students will research, identify, and evaluate margin accounts, short sales, market timing, and international strategies, and investigate and discuss factors that affect the value of investments. Students will also create and/or use examples, diagrams, text, and/or other representations to summarize and explain the environments in which security and investment services are offered and the relationships between investments and the economy. | 20 periods  900 minutes | (7) The student understands investments and their relationships to the economy. The student is expected to:  (A) evaluate the environments in which security and investment services are offered, including securities sales agents, securities and investments firms, and securities markets;  (B) evaluate causes of stock price fluctuations;  (C) evaluate the relationship between bond prices and yields;  (D) evaluate the role of investment banking in the primary marketplace; and  (E) evaluate margin accounts, short sales, market timing, and international strategies. | |
| **Unit 7: Demonstrate Your Understanding of Securities and Investments**  Students will use course knowledge, skills, and ideas to demonstrate an understanding of securities and investment products and strategies. Students will identify, discuss, and/ or present assigned and/or selected course topics as well as use examples, diagrams, text, and/or other representations to summarize and explain the advantages and disadvantages of various securities and investment products from both issuer and investor perspectives. | 20 periods  900 minutes | (8) The student demonstrates an understanding of securities and investments products. The student is expected to evaluate securities and investments products such as stocks, dividends, stock splits, options strategies, hedge funds, futures, bonds, mutual funds, venture capital, real estate, retirement investment plans, and education savings and the advantages and disadvantages from an issuer and investor perspective. | |
| **Unit 8: Certification and Licensing**  Students will participate in classroom activities and use appropriate technology and/or other materials to research and explore postsecondary educational requirements and certification programs and opportunities. Students will research, identify, and explain professional designations and licensing programs as well as other certification, licensing, and career-related requirements in the securities and investments industries. Students will use diagrams, text, and/or other representations to compare and contrast the licensing exams required to sell securities and other financial products. | 20 periods  900 minutes | (6) The student explores security and investment licensing and certification programs. The student is expected to:  (A) explore educational requirements;  (B) compare and contrast the Series 6 and Series 7 licensing exams required to sell securities and other financial products; and  (C) explain professional designations in the securities and investments industry such as Certified Fund Specialist, Charted Financial Analyst, Board Certified in Asset Allocation, Board Certified in Securities, Certified Senior Consultant, and Certified Financial Planner. | |
| **Unit 9: Postsecondary Planning**  Students will participate in classroom activities and use appropriate technology and/or other materials to research and identify potential career interests and opportunities as well as postsecondary education and certification opportunities, costs, and requirements. Students will research, identify, and use graphs, diagrams, text, and/or other representations to compare beginning and expected future compensation/earnings of potential careers and the costs and requirements associated with postsecondary education. Students will create their postsecondary plans after analyzing and comparing current educational, military, and job opportunities. Plans will include resumes and cover letters, relevant application and testing deadlines, and a description of projected living expenses. If time permits, students will research, collaborate, and briefly discuss examples, opportunities, and benefits of Career and Technical Student Organizations (CTSO) and/or other extracurricular leadership and team-building student activities as a course culminating activity. | 20 periods  900 minutes | (9) The student demonstrates an understanding of a postsecondary plan. The student is expected to:  (A) understand educational, military, and current job opportunities; and  (B) create a postsecondary plan that includes topics such as application requirements; testing requirements; certification requirements; associated deadlines; associated costs, including living expenses; job prospects and opportunities; beginning earnings; expected future earnings; and resumes and cover letters. | |