
BACHELOR PROGRAM

MAJOR: FINANCE AND BANKING
CONCENTRATION: SECURITIES

SYLLABUS

1. Course Title: SECURITIES COMPANY’S OPERATION

2. Course Code:

3. Number of Credits: 3 credits

4. Level: *Third academic year*

5. Time Teaching Time Allocation: *credits for activities*

+ Attendance : 25 periods

+ Practice : 20 periods

+ Self-study : 15 periods

6. Pre-Requisites: *Financial market, securities market*

7. Course Aims & Learning Objectives:

- Course Aims: The course provides principles of key operations in securities companies as well as equip students professional skills and techniques to perform the operations.

- Course Objectives:

O1: Understand the overall issues associated with key operations in securities companies

O2: Understand the basics of brokerage skills and perform basic operations of brokerage skills

O3: Understand the basics of brokerage skills and perform basic operations of dealer skills

O4: Understand the basics of the guarantee skills

O5: Understand the consultancy skills

O6: Understand the basics of business support skills

O7: Understand the basic operations in the deposit, cash deposit, repo

O8: Understand the basic operations in the margin purchase and short sell

O9: Testing students in professional skills

8. Course description:

Brief description of course's content: This course equips students with general knowledge about the structure and operation of securities companies. In addition, this course also analyses the basic operations and support activities of securities companies thoroughly.

9. Student Learning Activities:

Participate in class, discuss and examine the current academic regulations of the university.

- Attendance: Full time
- Homework: full implementation of professional practices in the classroom and at home, tests, group essays and group discussion.
- Study materials: the computer with high-speed internet access (Fiber optic cable or 3G) and an installation of Java 6.0, Printer and Virtual printer.

10. Recommended Resources:

- Textbooks:
 - (1) "Securities company's operation" chapter in the Stock market textbook written by Associate Professor Yen Kim Bui and Dr. Thi Thu Thuy Than (2009)
 - (2) Lecture notes of lecturers

- Reference books:
Materials guides using software of company TTL, Vietnam Securities Law to practise skills of securities companies

11. Evaluation:

- Attendance: 05%
- Discussion: 15%
- Summary of discussion: 10%
- Mid-term exam: 20%
- Final exam: 50%

12. Course Grading Scale:

13. Learning Activities:

Day (Periods)	Teaching content (name of chapter, section, teaching methods)	Material(Chapter, Section)	Preparation of students (presentations, homeworks, case study solution ...)	Objective satisfaction
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Day 1 (4 Periods)	Chapter 1. Overview of a securities company	Securities market Curriculum (Chapter)	Reading materials in advance	O1
Day 2 (4 Periods)	Chapter 2. The brokerage skills	Securities market Curriculum (Chapter)	Reading materials, case study in advance	O1
Day 3 (4 Periods)	Chapter 2. The brokerage skills (Cont.)	Learning Material of Securities company's operation subject and securities market Curriculum, Software User Guide of TTL	Reading materials in advance, practicing in class and at home	O2
Day 4 (4 Periods)	Chapter 2. The brokerage skills (Cont.)	Software User Guide of TTL	Reading materials in advance, practicing in class and at home	O2
Day 5 (4 Periods)	Chapter 3. The securities self-employed skills	Learning Material of Securities company's operation subject and securities market subject	Reading materials in advance, doing group homework	O3
Day 6 (4 Periods)	Chapter 4. The guarantee skills for public offering of securities	Learning Material of Securities company's operation subject and securities market subject	Reading materials in advance, doing group essay	O4
Day 7 (4 Periods)	Chapter 5. The consultancy skills for securities investment	Learning Material of Securities company's operation subject and securities market subject	Reading materials in advance, presentation	O5
Day 8 (4 Periods)	Chapter 6. The support skills	Learning Material of Securities company's operation subject	Reading materials in advance, presentation	O6
Day 9 (4 Periods)	Chapter 6. The support skills - Deposit, repo	Software User Guide of TTL	Practice on laptop in class and at home in groups	O7
Day 10 (4 Periods)	Chapter 6. The support skills - Margin purchase, short sell ...	Software User Guide of TTL	Practice on laptop in class and at home in groups	O8
Day 11 (4 Periods)	Review and test		Practice on laptop	O9
Total: 45				

periods				
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Hochiminh city, 3 April 2013

COURSE COORDINATOR

LECTURER

Phan Thu Hien