

# Post-Baccalaureate Certificate in Financial Regulatory Compliance

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## Program Requirements

LSTU 551	Compliance Skills: Auditing, Investigation & Reporting	4.0
LSTU 554	Risk Assessment and Management	4.0
Choose three from the list below:		12.0
LSTU 649	Foundations of Financial Regulation	
LSTU 650	Legal Regulation of Global Financial Crimes	
LSTU 651	Legal Regulation of Investment Advisers	
LSTU 652	Legal Regulation of Investment Companies	
LSTU 653	Broker/Dealer Regulation	
LSTU 654	Banking Law	
<b>Total Credits</b>		<b>20.0</b>

## Sample Plan of Study

### First Year (Part-Time)

Fall	Credits Winter	Credits Spring	Credits Summer	Credits
LSTU 551	4.0 LSTU 554	4.0 LSTU 649	4.0 VACATION	
	4	4	4	0

### Second Year (Part-Time)

Fall	Credits Winter	Credits
LSTU 650	4.0 LSTU 651	4.0
	4	4

**Total Credits 20**