

"Introduction to Shareholder Services"

Getting Started

Welcome
Course Instructions

The Securities Industry

Types of Securities
Bonds vs. Stocks
Going Public
The SEC
The Underwriter
Trading
How a Stock Is Bought and Sold
How to Read a Stock Table
The Stock Market – Stock Exchanges
Broker/Dealers
DTCC
Audio with Custodial Ownership Chart
Control of Corporations
Quiz

Equity Securities

Ownership Concepts
Common Stock
Preferred Stock
Treasury Stock
Certificates
Key Sections of Disney Certificate
Direct Registration
DRS Advice
Sample DRS FAQ Sheet
Dematerialization
Transfer of Ownership
Equity Agent Administration
Quiz

Debt Securities

Overview
Two Types of Debt Securities
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Municipal Bonds
Registered Bonds
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Principal Payments
Debt Agent Administration
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Transfer Function

Function of Transfer Agents
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Sample Stock Power
Substitute Form W-9
Paperless Legals Program
Medallion Guarantee
Specimen Medallion Imprint
Cancellation
Sample Reject Form
Uniform Securities Registration
Examples of Security Registrations
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Restricted Stock
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Transfer Agent Regulations



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Compliance
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Liability
Stop Orders and Reporting
X-17F-1A Form
Blanket Bond of Indemnity
Quiz

Registrar Function

Overview
Stock Registrar
Bond Registrar
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Paying Agent Function

Dividend Payments
Cash Dividends
Stock Dividends
Reinvested Dividends
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Federal Tax Reporting
Quiz

Record Keeping

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Tender Agent
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Bond or Preferred Stock Calls
Quiz

Glossary

Related Links

Course Evaluation

Post Test

Certificate of Completion

Eligible for 2.5 credits for CCTS and CSOP
Designations from ABA Institute of Certified Bankers