

COURSE OUTLINE			
TERM: Fall 2025		COURSE NO: LGST 126	
INSTRUCTOR:		COURSE TITLE: Basic Securities Procedures	
OFFICE: LOCAL:		SECTION NO(S):	CREDITS: 1.5
E-MAIL: @capilanou.ca			
OFFICE HOURS:			
COURSE WEBSITE:			

Capilano University is named after Chief Joe Capilano (1854–1910), an important leader of the Skwxwú7mesh (Squamish) Nation of the Coast Salish Peoples. We respectfully acknowledge that our campuses are located on the unceded territories of the səliłwətał (Tsleil-Waututh), shíshálh (Sechelt), Skwxwú7mesh (Squamish), and xʷməθkʷəy̓əm (Musqueam) Nations.

### COURSE FORMAT

This course will be offered in a synchronous or asynchronous online format or a synchronous in-person format, with ninety minutes of class time, plus an additional 30 minutes delivered through on-line or other activities, for a 15-week semester, which includes two weeks for final exams.

### COURSE PREREQUISITES/CO-REQUISITES

None

### CALENDAR DESCRIPTION

This course provides students with a basic knowledge of securities regulation in Canada with a focus on British Columbia securities legislation, securities procedures and the preparation of basic securities documents.

### REQUIRED TEXTS AND/OR RESOURCES

Instructor's supplemental materials and resources posted on eLearn.

### COURSE STUDENT LEARNING OUTCOMES

**On successful completion of this course, students will be able to do the following:**

- Describe securities law and related terminology in British Columbia and Canada
- Prepare documents required for routine filings with the British Columbia Securities Commission
- Describe prospectus, registration and continuous disclosure requirements of public companies in Canada

- Work in groups to learn how to access information about a public company and explain the procedures necessary to complete securities documentation
- Discuss current events concerning public corporations and the stakeholders involved with the corporations.

## COURSE CONTENT

Week	Content
1	Overview of the Stock Market
2 - 3	Introduction to Securities Law and Regulation in Canada Introduction to Self Regulatory Organizations and Stock Exchanges Introduction to Prospectus Registration and Continuous Disclosure Requirements
4 - 5	The “Closed System” Private Placements
6	Presentations
7	Midterm Exam
8 - 12	Continuous Disclosure
13	Review
14-15	Final Exam Period

## EVALUATION PROFILE

Assessment	% of Final Grade
Midterm Exam	20% -30%
Final Exam (Cumulative)	30%
Assignments*	30% - 40%
In-Class Activity (minimum 1)	10%
TOTAL	100%

\* No one assignment will be assessed at more than 35% of the total course evaluation.

**GRADING PROFILE**

A+ = 90-100	B+ = 77-79	C+ = 67-69	D = 50-59
A = 85-89	B = 73-76	C = 63-66	F = 0-49
A- = 80-84	B- = 70-72	C- = 60-62	

**Incomplete Grades**

Grades of Incomplete "I" are assigned only in exceptional circumstances when a student requests extra time to complete their coursework. Such agreements are made only at the request of the student, who is responsible to determine from the instructor the outstanding requirements of the course.

**Late Assignments**

Assignments are due at the start of class on the due date unless otherwise advised by your instructor. Late assignments will only be accepted if prior approval for a late submission date has been given by the instructor.

**Missed Exams/Quizzes/Labs etc.**

Make-up exams, quizzes and/or tests are given at the discretion of the instructor. They are generally given only in medical emergencies or severe personal crises. Some missed labs or other activities may not be able to be accommodated. Please consult with your instructor. \* Accommodations can be made to honour community needs and traditional practices.

**Attendance**

Regular attendance and punctuality are both essential and expected due to the nature and format of the course materials.

**English Usage**

Students are expected to proofread all written work for any grammatical, spelling and stylistic errors. Instructors may deduct marks for incorrect grammar and spelling in written assignments.

**Electronic Devices**

Students may use electronic devices during class for note-taking only. The use of electronic tools such as calculators and cell phones, or other resources such as written materials, will not be permitted during quizzes and exams, unless expressly authorized by the instructor.

**On-line Communication**

Outside of the classroom, instructors will (if necessary) communicate with students using either their official Capilano University email or eLearn; please check both regularly. Official communication between Capilano University and students is delivered to students' Capilano University email addresses only.

## UNIVERSITY OPERATIONAL DETAILS

### Tools for Success

Many services are available to support student success for Capilano University students. A central navigation point for all services can be found at: <https://www.capilanou.ca/student-services/>

**Capilano University Security: download the [CapU Mobile Safety App](#)**

### Policy Statement (S2009-06)

Capilano University has policies on Academic Appeals (including appeal of final grade), Student Conduct, Academic Integrity, Academic Probation and other educational issues. These and other policies are available on the University website.

### Academic Integrity (S2017-05)

Any instance of academic dishonesty or breach of the standards of academic integrity is serious and students will be held accountable for their actions, whether acting alone or in a group. See policy and procedures S2017-05 Academic Integrity for more information:

<https://www.capilanou.ca/about-capu/governance/policies/>

Violations of academic integrity, including dishonesty in assignments, examinations, or other academic performances, are prohibited and will be handled in accordance with the Student Academic Integrity Procedures.

**Academic dishonesty** is any act that breaches one or more of the principles of academic integrity. Acts of academic dishonesty may include but are not limited to the following types:

**Cheating:** Using or providing unauthorized aids, assistance or materials while preparing or completing assessments, or when completing practical work (in clinical, practicum, or lab settings), including but not limited to the following:

- Copying or attempting to copy the work of another during an assessment;
- Communicating work to another student during an examination;
- Using unauthorized aids, notes, or electronic devices or means during an examination;
- Unauthorized possession of an assessment or answer key; and/or,
- Submitting of a substantially similar assessment by two or more students, except in the case where such submission is specifically authorized by the instructor.

**Fraud:** Creation or use of falsified documents.

**Misuse or misrepresentation of sources:** Presenting source material in such a way as to distort its original purpose or implication(s); misattributing words, ideas, etc. to someone other than the original source; misrepresenting or manipulating research findings or data; and/or suppressing aspects of findings or data in order to present conclusions in a light other than the research, taken as a whole, would support.

**Plagiarism:** Presenting or submitting, as one's own work, the research, words, ideas, artistic imagery, arguments, calculations, illustrations, or diagrams of another person or persons without explicit or accurate citation or credit.

**Self-Plagiarism:** Submitting one's own work for credit in more than one course without the permission of the instructors, or re-submitting work, in whole or in part, for which credit has already been granted without permission of the instructors.

**Prohibited Conduct:** The following are examples of other conduct specifically prohibited:

- Taking unauthorized possession of the work of another student (for example, intercepting and removing such work from a photocopier or printer, or collecting the graded work of another student from a stack of papers);
- Falsifying one's own and/or other students' attendance in a course;
- Impersonating or allowing the impersonation of an individual;
- Modifying a graded assessment then submitting it for re-grading; or,
- Assisting or attempting to assist another person to commit any breach of academic integrity.

### **Sexual Violence and Misconduct**

All Members of the University Community have the right to work, teach and study in an environment that is free from all forms of sexual violence and misconduct. Policy B401 defines sexual assault as follows:

Sexual assault is any form of sexual contact that occurs without ongoing and freely given consent, including the threat of sexual contact without consent. Sexual assault can be committed by a stranger, someone known to the survivor or an intimate partner.

Safety and security at the University are a priority and any form of sexual violence and misconduct will not be tolerated or condoned. The University expects all Students and Members of the University Community to abide by all laws and University policies, including B.401 Sexual Violence Policy and B.401.1 Sexual Violence Procedure (found on Policy page

<https://www.capilanou.ca/about-capu/governance/policies/>)

**Emergencies:** Students are expected to familiarise themselves with the emergency policies where appropriate and the emergency procedures posted on the wall of the classroom.