

PLA Credit Recommendation Guide

Evaluation Summary for FINRA Qualification Exams

The University of Arizona Global Campus (UAGC) recognizes the uniqueness of each student's experience and realizes learning takes place in a variety of environments. The UAGC Prior Learning Assessment (PLA) program provides a means for awarding credit to students who bring college-level learning experiences acquired outside of a traditional university classroom setting, and which do not carry national testing program, American Council on Education (ACE), and/or National College Credit Recommendation Service (NCCRS) credit recommendation(s).

Specific FINRA Qualification Exams trainings have been evaluated by the PLA Department and credit recommendations have been determined. These recommendations are based on the training as taught when this guide was developed and do not constitute a guarantee that credit will be awarded. Students must follow the Sponsored Professional Training submission process and request an official review. Faculty provide final approval for any transferrable credit. Previous/future versions of each training may carry different credit recommendations.

Students may pursue their academic and professional goals through a variety of degree programs at UAGC. For additional information on UAGC degree programs, please visit [our website](#).

All FINRA qualifications must be active to be considered for credit. No credit will be given for retired qualifications/exams when more than 2 years have passed with active broker-dealer registration.

FINRA QUALIFICATION EXAM TITLE	THE UNIVERSITY OF ARIZONA GLOBAL CAMPUS AREA OF RECOMMENDATION	SEMESTER CREDIT RECOMMENDATION
SECURITIES INDUSTRY EXAM (SIE)	ELECTIVE	2 UD
SERIES 3 NATIONAL COMMODITIES FUTURES EXAM	ELECTIVE	2 UD
SERIES 4 REGISTERED OPTIONS PRINCIPAL	ELECTIVE	2 UD
SERIES 6 INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCTS REPRESENTATIVE	ELECTIVE	1 UD
SERIES 7 GENERAL SECURITIES REPRESENTATIVE EXAMINATION	BUS 215 PERSONAL FINANCIAL MANAGEMENT; AND BUS 405 PRINCIPLES OF INVESTMENTS	3 LD 3 UD (TOTAL CREDITS: 6)
SERIES 9 GENERAL SECURITIES SALES SUPERVISOR	NO CREDIT GIVEN	NCG
SERIES 10 GENERAL SECURITIES SALES SUPERVISOR	ELECTIVE	1 UD
SERIES 14 COMPLIANCE OFFICIAL EXAM	ELECTIVE	2 UD
SERIES 16 SUPERVISORY ANALYST EXAM TWO PARTS	ELECTIVE	2 UD
SERIES 22 DIRECT PARTICIPATION REPRESENTATIVE	ELECTIVE	1 UD
SERIES 23 GENERAL SECURITIES PRINCIPAL EXAM - SALES SUPERVISOR MODULE	NO CREDIT GIVEN	NCG
SERIES 24 GENERAL SECURITIES PRINCIPAL	NO CREDIT GIVEN	NCG
SERIES 26 INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCT PRINCIPAL	NO CREDIT GIVEN	NCG

FINRA QUALIFICATION EXAM TITLE	THE UNIVERSITY OF ARIZONA GLOBAL CAMPUS AREA OF RECOMMENDATION	SEMESTER CREDIT RECOMMENDATION
SERIES 27 FINANCIAL AND OPERATIONS PRINCIPAL EXAM	ELECTIVE	2 UD
SERIES 28 INTRODUCING BROKER-DEALER FINANCIAL AND OPERATIONS PRINCIPAL EXAM	ELECTIVE	1 UD
SERIES 30 NFA BRANCH MANAGERS EXAM	NO CREDIT GIVEN	NCG
SERIES 31 FUTURES MANAGED FUNDS EXAM	NO CREDIT GIVEN	NCG
SERIES 32 LIMITED FUTURES EXAM – REGULATIONS	NO CREDIT GIVEN	NCG
SERIES 34 RETAIL OFF-EXCHANGE FOREX EXAM	ELECTIVE	2 UD
SERIES 39 DIRECT PARTICIPATION PROGRAMS PRINCIPAL EXAM	ELECTIVE	1 UD
SERIES 50 MUNICIPAL ADVISOR REPRESENTATIVE EXAM	ELECTIVE	2 UD
SERIES 51 MUNICIPAL FUND SECURITIES LIMITED PRINCIPAL EXAM	ELECTIVE	1 UD
SERIES 52 MUNICIPAL SECURITIES REPRESENTATIVE EXAM	ELECTIVE	2 UD
SERIES 53 MUNICIPAL SECURITIES PRINCIPAL EXAM	ELECTIVE	2 UD
SERIES 54 MUNICIPAL ADVISOR PRINCIPAL EXAM	ELECTIVE	1 UD
SERIES 57 SECURITIES TRADER REPRESENTATIVE	ELECTIVE	2 UD
SERIES 63 UNIFORM SECURITIES STATE LAW EXAMINATION	ELECTIVE	1 UD
SERIES 65 NASAA INVESTMENT ADVISORS LAW EXAMINATION	ELECTIVE	2 UD
SERIES 66 NASAA UNIFORM COMBINED STATE LAW EXAMINATION	ELECTIVE	2 UD
SERIES 79 INVESTMENT BANKING REPRESENTATIVE EXAM	ELECTIVE	3 UD
SERIES 82 PRIVATE SECURITIES OFFERINGS REPRESENTATIVE EXAM	NO CREDIT GIVEN	NCG
SERIES 86 RESEARCH ANALYST EXAM	ELECTIVE	3 UD
SERIES 87 RESEARCH ANALYST EXAM	ELECTIVE	1 UD
SERIES 99 OPERATIONS PROFESSIONAL EXAM	ELECTIVE	2 UD

UD = Upper Division, LD = Lower Division

Credit recommendation shown is the maximum number of credits students may apply for, when PLA credit may fulfill a remaining requirement for graduation.

Credit may only be applied to the same degree level (undergraduate, graduate) as the credit recommendation.

Student Eligibility for PLA

Students are eligible to apply for PLA credit upon full admission into a UAGC undergraduate or eligible master's degree program. PLA credit may only be pursued when approval of PLA credits will fulfill unique remaining requirement(s) for graduation for the student.

Students are responsible for:

- Discussing PLA with their Academic Advisor.
- Reviewing the PLA Information Center located in the Student Portal.
- Submitting the required documentation.
- Submitting a PLA Sponsored Professional Training Credit Review Application.

Transfer Provisions

The transferability of credits is subject to the University of Arizona Global Campus transfer credit policies and requires the submission of official transcripts. The official transcripts will be evaluated by the Office of the Registrar to determine the credits that will officially apply toward a UAGC degree program. PLA credit may be pursued once the official transcript evaluation is complete. Credits must be earned at the same degree level in order to be applied. The PLA option is not available to non-degree seeking students or to students in specific graduate degree programs. Additional restrictions may apply. See the UAGC Academic Catalog for full undergraduate and graduate transfer policies. For additional information on UAGC transfer options, please visit: <https://www.uagc.edu/admissions/transferring>.