

New York Life STC Securities Prep Materials

January 2021



STC/XCEL Designated Support Team



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Agenda

- Agent Enrollment Process
 - SIE Exam
 - All other Securities Exams
- Agent Materials & Study Best Practices
- Partner & General Office Reports
- Q&A
- Next Steps



Agent Enrollment Process: SIE Exam & Other Securities Exams



SIE Exam – Registration Process

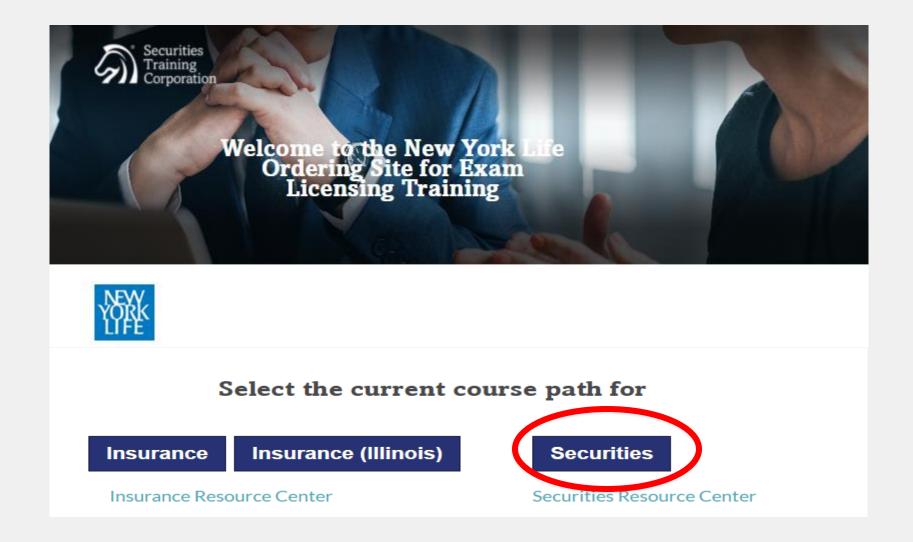
- **Step 1:** Agent is interested in getting Registered and gets permission from MP to open their SIE window
- **Step 2:** Agent works with GO Field Service Professional (FSP) to fill out SIE Reg Form (FSP fills out form & less than 5 minutes to complete)
- **Step 3:** Agent receives email from <u>offsite training@newyorklife.com</u> that contains:
 - NYL voucher
 - Instructions on how to open SIE window
 - Instructions on how to Schedule exam

In addition, the Agent will also receive:

- An email from STC that automatically provides STC access to SIE materials, resources & live training sessions
- Outlook invitation for SIE kick-off best practices training session (offered weekly Fridays at 2pm ET)
- Step 4: Agent opens SIE window, schedules SIE exam and starts studying while Partner/DM receives weekly progress reports
- **Step 5:** Agent takes and passes SIE Exam
- **Step 6:** Agent works with Field Service Professional to start U4 process to open S6TO and registers with STC for S6TO materials



Agent Enrollment Process





Agent Enrollment Process



Welcome to the New York Life Securities Enrollment Site

Having the right training makes you more capable and confident. STC has the right tools and resources to help you succeed.

If you need additional assistance, please contact **NYL Triage Inbox** at nyl@colibrigroup.com, STC Customer Service (800)782-1223.

Select The Training That Fits You

See Schedule

Looking for SIE Materials?

For those that are interested in SIE materials (upon MP approval) should contact their GO's Field Service Team to initiate the SIE process. Field Service Team members have been appointed to complete a SIE request form for agents and employees. Within 2 business days following form completion, you will receive the following items via email:

- Instructions on how to open your SIE window
- NYL Voucher (which covers the cost of the exam)
- Instructions on how to schedule your Exam (online or testing center)
- Email automatically enrolling in SIE study materials (from STC)

For any other questions regarding the SIE process, please contact: offsite_training@newyorklife.com

Select Your Course(s) GO Code* Please Select First Name* Last Name* Email Address* sample@ft.newyorklife.com NY Life Series Selections* □ Series 6 Top-Off □Series 63 □Series 65 □ Series 7 Top-Off □Series 66 □Series 24 □Series 26 Calendar Length Selection* Please Select SUBMIT



Agent Confirmation Email



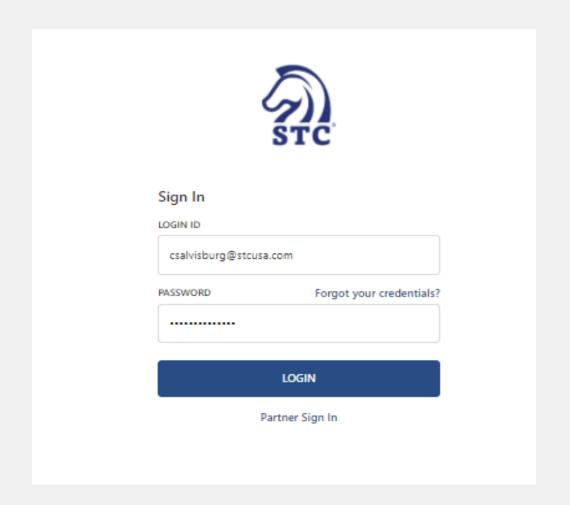
Agents will receive an email from the STC Customer Service team, customerservice@stcusa.com.

Agent Enrollment Email will include:

- Course Details
- Study Best Practice Video
- Student Username
- Temporary Password



Agent Log-In Screen



- Once Candidate has received their Enrollment email, they will be prompted to Log-In.
- https://my.stcusa.com/#/login
- Candidates can also download the STC Mobile App.



Agent Materials & Study Best Practices

Agent Support

Technical Support

800 STC-1223 *Press 5*24/7

New York Life STC/XCEL Inbox nyl@colibrigroup.com

Instructor Support Email:

instructors@stcusa.com

Instructor Hotline:

Monday - Friday 9:00am - 5:00pm EST 800 782-3926





STC Platform - Powering the Program



STC Platform



Student

Homeroom

- Interactive Study and Testing Platform
- Learning Methods
- Textbooks
- On-Demand Videos
- Online Practice Tests
- Question Response Visibility with Explanation
- Targeted Study Tools

How to Study for your Exam

Step 1: Review SIE Class Schedule and Register for Live Class

Step 2 Watch On-Demand Video Lectures for Chapter 1

Step 3: Read Chapter 1 of Online Study Manual

Step 4: Review Online Flashcards for Chapter 1

Create Custom Exam for Chapter 1 (10 Questions)

Step 5:

Repeat Steps 1 Through 4 for Each Chapter

Step 6: Complete Progress Exams (per schedule)

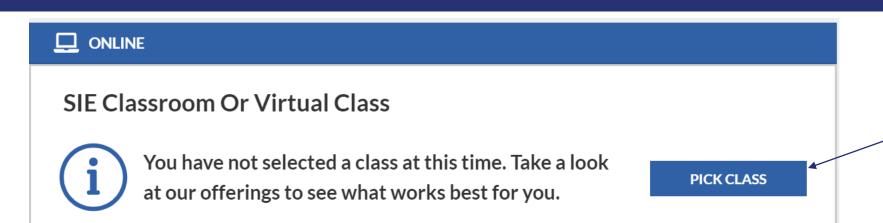
Step 7: Once Chapters are Completed, Begin Final Exams

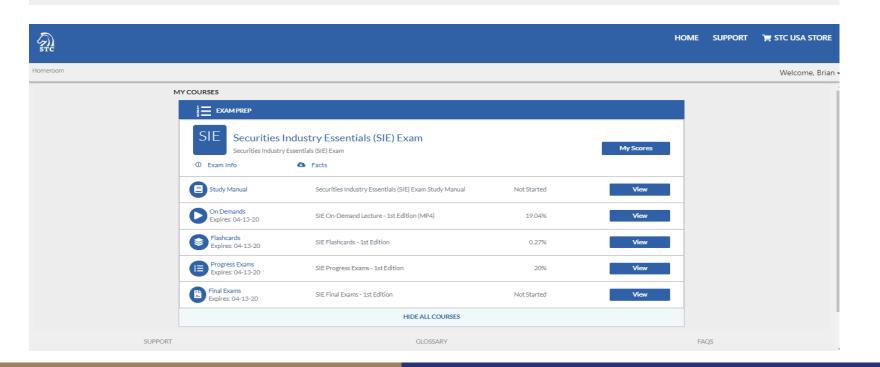
Step 8: Halfway Through Final Exams, Take Greenlight Exam 1

Step 9: After Greenlight Exam 1, Attend Live Review Class and Complete Final Exams

Step 10 Complete Greenlight Exam 2, Sit for Exam

Step 1 – Selecting a Review Class





Available courses are viewable in your Homeroom

- You will be able to select a specific class from your Homeroom
- □ Click "Pick Class" and you will be able to view class options and select a specific class
- You will attend this class in Step 9 toward the end of your studies.

Step 2 – Watch On-Demand Video Lectures

By Chapter

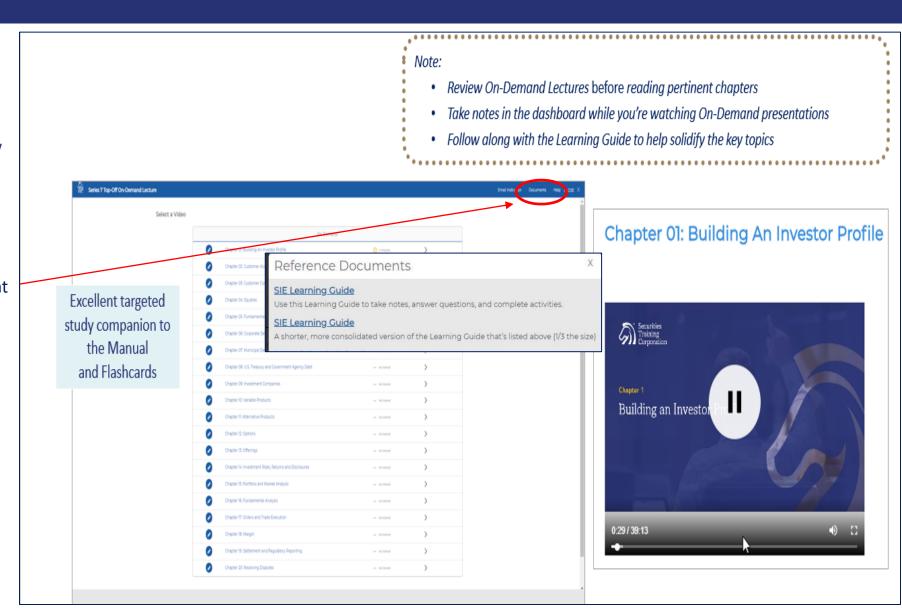
- Each video allows students to pause and/or rewind
- Designed to provide a broad overview of the material
- Activities mentioned in On-Demand Video Lectures through out the On-Demand Lecture, as well as Learning Guide which are found in the On-Demand Lecture Section – Upper Right Documents Tab upper right

Watch for Content and Concept

- Pay attention to language
- Instructor will pinpoint key takeaways

Why Watch the Video First?

- · Watching will speed up your reading
- Students can learn the information contextually
- Many students are auditory/visual learners



Step 3 – Read Virtual or Print Study Manual

Read for Content and Concept

 It's not necessary to read an entire chapter multiple times

Use the Create Custom Exams (by chapter) to gauge reading comprehension and retention

Use the Calendar to monitor Progress

- Contact your supervisor or STC if you're falling behind
- More extensive review of the material will come later in the study process

Securities Industry Essentials (SIE)

General Knowledge Examination Study Manual – 1st Edition

The Final Exams are a *critical* part of your training. Logon to <u>MY.STCUSA.com</u> to access your Online Materials.

Visit **www.STCUSA.com** for more information, our Course Updates page and supplemental online products.

DISCLAIMER STC students are provided with both a print and online study manual. If discrepancies are discovered between these two manuals, please consider the online study manual to be the most current since it is updated in real-time.

STC Customer Service

800 782-1223 • info@stcusa.com

CHAPTER 1

Overview of Market Participation and Market Structure

Key Topics:

- Types of Issuers
- How Firms Function
- Types of Investors
- Primary vs. Secondary Markets
- Clearing and Settlement



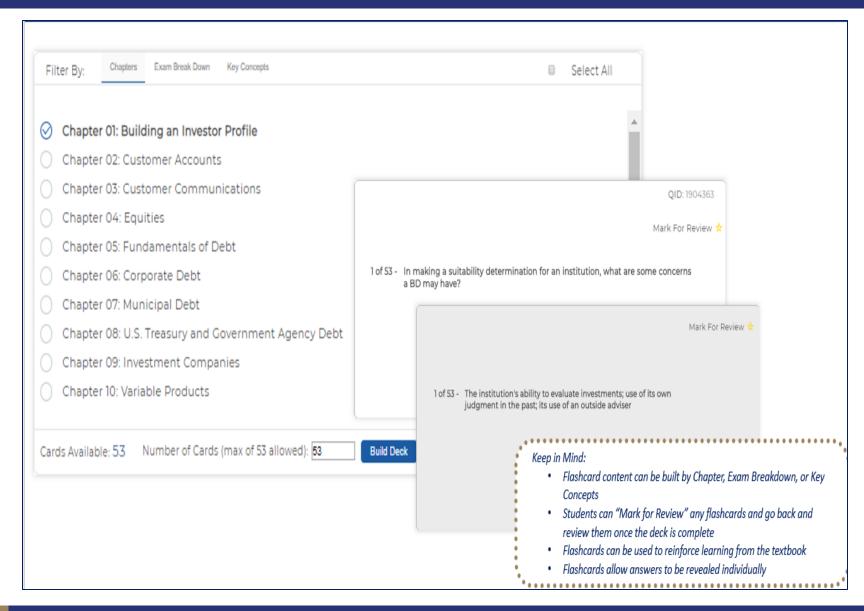
Step 4 – Review Online Flashcards

Sort Flashcards by Chapter

- Build custom deck after reading each chapter
- Flashcards are an easy way to memorize rote facts

Three Ways to Build Custom Deck

- Build by Chapter
- Build by Exam Breakdown
- Build by Key Concepts



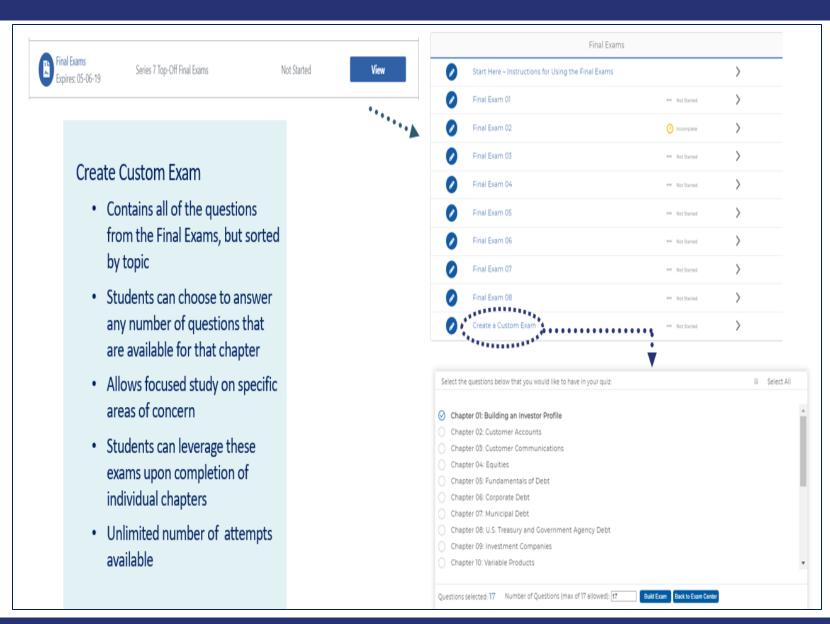
Step 5 – Custom Exams

After each chapter, create a 10-question custom exam

CUSTOM EXAMS ARE FOUND WITHIN THE FINAL EXAM SECTION OF THE STUDENT HOMEROOM

Log in to https://my.stcusa.com

- From the Dashboard, select Final Exams, then scroll down and select Create a Custom Exam
- Now, select the appropriate chapter number and, at the bottom of the screen, enter 10 in the *Number of Questions* box, and then select *Build Exam*.
 - You can choose Show Explanations to have explanations appear after each question is answered.



Step 6 – Progress Exams

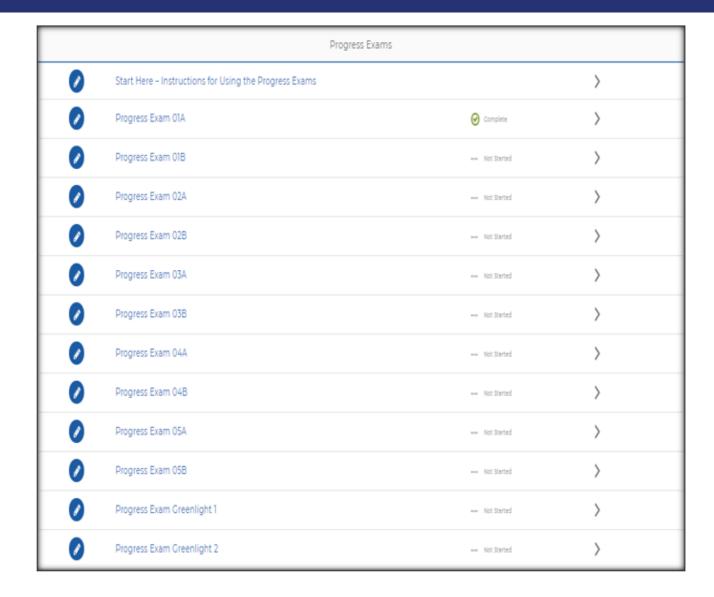
A/B-Version Quizzes

- Each quiz covers specific chapters
- Designed to test a student's understanding in a section before moving on
- Chapter remediation is provided
 - These exams can only be taken once!

Two Cumulative Greenlight Exams (save these for Steps 9 and 10 at the end of your studies

Greenlight 1 – To be completed half way through the final exams

- Must be taken as timed exam
- Answers and explanations are provided upon completion
- Greenlight 2 To be completed after all Final Exams
 - Must be taken as timed exam
 - Answers and explanations are provided upon completion



Chapters Covered in Progress Exams

SIE								
Progress Exam	Covers Chapters							
1A and 1B	1 through 5							
2A and 2B	6 through 10							
3A and 3B	11 through 15							
4A and 4B	16 through 20							

FAQ's:

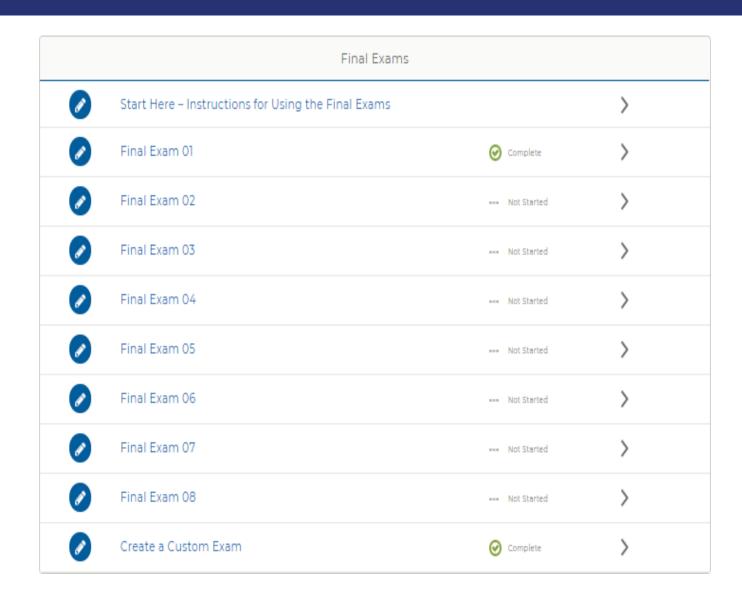
Q – How do the Progress Exams work?

A – Progress exams cover several
chapters at a time.
The number of chapters covered
differs per Series.

Step 7 – Begin Final Exams

Final Examinations

- Each final covers all chapters of the course.
- Each final has different questions
- Final Exams should be taken after all of the Progress Exam have been completed.
- Complete all of the exams sequentially before retaking
- Diagnostic review pinpoints areas for additional study
- Two methods of testing:
 - Explanations On
 - Read the question, select an answer
 - Receive immediate feedback and explanation of the correct answer
 - Explanations Off
 - Take entire exam; receive grade at the end
 - No feedback on performance while testing



Step 8 – Complete Greenlight Exam 1

Greenlight Exam 1

- To be completed half way through the final exams
 - Must be taken as timed exam.
 - Answers and explanations are provided upon completion

SIE Progress and Greenlight Exams-1st Edition Progress Exam 02A Progress Exam 02B Progress Exam 03A Progress Exam 03B Progress Exam 04A Progress Exam 04B Progress Exam Greenlight 1

Progress Exam Greenlight 2

Step 9 – Attend Live Review Class

□ Attend the class that you selected in Step 1□ A link to the class schedule is below

STC Class Schedules

SIE 9:00am - 5:00pm ET lanuary 26 & 27 February 23 & 24 **SIE** 10:00am – 6:00pm ET March 23 & 24 SIE 1:00pm - 5:00pm ET February 9, 11, 16 & 18 April 12, 14, 19 & 21 SIE 5:00pm - 9:00pm ET January 5, 7, 12 & 14 March 8, 10, 15 & 17 February 9 Series 3 Day 1 9:30am - 4:30pm & Day 2 9:30am - 2:00pm ET lanuary 11 & 12 February 15 & 16 March 8 & 9 April 12 & 13 Series 6 10:00am - 5:00pm ET lanuary 13 February 10 March 10 January 7 Series 6 1:00pm - 5:00pm ET March II March 22 & 23 Series 7 9:00am - 5:00pm ET January 21 January 5 - 7 February 9 - 11 March 25 March 9 - 11 Series 7 11:00am - 7:00pm ET January 19 - 21 February 23 - 25 March 23 - 25

Series 7 1:00pm - 5:00pm ET

Series 7 5:30pm - 8:30pm ET

T/Thu: January 5, 7, 12, 14, 19 & 21

T/Thu: February 2, 4, 9, 11, 16 & 18 M/W: March 1, 3, 8, 10, 15 & 17

January 19, 20, 21, 26, 27 & 28

March 22, 23, 24, 29, 30 & 31

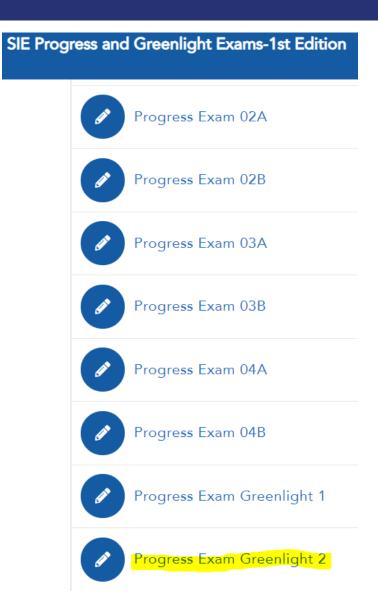
January - April 2021 **Series 24** 9:00am – 5:00pm ET lanuary 12 & 13 March 9 & 10 Series 24 10:00am - 6:00pm ET February 9 & 10 Series 24 1:00pm - 5:00pm ET January 19, 21, 26, 28 February 16, 18, 23, 25 March 16, 18, 23, 25 Series 27 9:30am - 5:00pm ET Series 54 1:00pm - 5:00pm ET February 23 & 24 Series 57 1:00pm - 5:00pm ET January 12 & 13 March 9 & 10 Series 63 9:00am - 1:00pm ET February 11 Series 63 1:00pm - 5:00pm ET February 25 **Series 65** 1:00pm – 4:30pm ET January 12, 14, 19 & 21 February 9, 11, 16 & 18 March 16, 18, 23 & 25 Series 66 10:00am - 5:00pm ET January 6 & 7 February 3 & 4 March 3 & 4 Series 66 1:00pm - 5:00pm ET January 19 - 21 February 16 - 18 March 23 - 25

Series 79 1:00pm - 5:00pm FT

Step 10 – Complete Greenlight Exam 2, Sit for Exam

Greenlight Exam 2

- To be completed after all Final Exams
 - Must be taken as timed exam.
 - Answers and explanations are provided upon completion





Additional Student Homeroom Tools





Student Homeroom – My Scores – Question Format

Exam Question Sample

- Each question is presented individually with multiple choice answers; similar to the actual FINRA/NASAA/MSRB exams
- Students can "Mark for Review" any question and go back and review it once the exam is complete
- When contacting the STC Instructor Hotline (1-800-782-3926) for additional assistance on a question, reference the question code (e.g., 72962)
- The system provides immediate feedback by showing both the correct answer and a full description

FAQ's

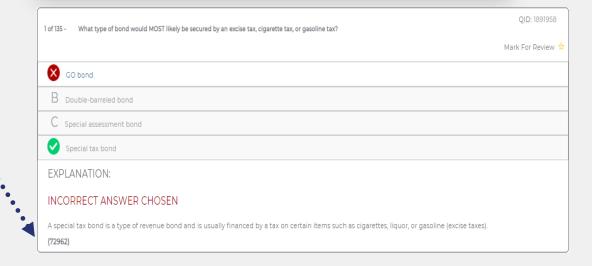
Q – Progress exams cover several chapters. Is a student required to wait until the end of these chapters to take an exam?

A – No, the student can create a custom exam at the end of every chapter to begin taking exams prior to the progress exams.

Q – Retakers – Can the Student drill down to missing questions for Custom Exam Creation?

A – Custom Exams are created by chapter questions –

Q – Are the custom exam questions counts weighted? A – Yes.





Student Homeroom – My Scores – Targeted Study

Students can utilize the "My Scores" tool to review their progress.

Provides the ability to drill down results by chapter to identify opportunities for improvement through targeted study

CHAPTER BREAKDOWN	PROGRESS EXAMS	FINAL EXAMS	CUSTOM EXAMS		
Chapter Title	Questions Available	Questions Attempted	Questions Correct	Average Score	
Chapter 01: Building an Investor Profile	17	2	1	50%	
Chapter 02: Customer Accounts	54	6	0	0%	
Chapter 03: Customer Communications	32	4	1	25%	
Chapter 04: Equities	70	9	2	22%	
Chapter 05: Fundamentals of Debt	98	12	4	33%	
Chapter 06: Corporate Debt	45	6	0	0%	
Chapter 07: Municipal Debt	130	16	3	19%	
Chapter 08: U.S. Treasury and Government Agency Debt	59	8	1	13%	
Chapter 09: Investment Companies	58	7	1	Exam Average Score	
Chapter 10: Variable Products	55	7		65%	
Chanter 11: Alternative Draducte	ч	4	,	Question Bank	
Chapter Performance	Λ.		You have	e completed 18% of your question bank	
WEAKEST	A.	STRONGEST			
Chapter 02: Customer Accounts		Chapter 20: Resolving Disputes			
Chapter 06: Corporate Debt		Chapter 11: Alternative Products			
Chapter 09: Investment Companies		Chapter 01: Building an Investor Pro	ofile		



Student Homeroom – My Scores – Targeted Study

FAQ's:

Q – How long is the student's access? A – Six months from date of access.

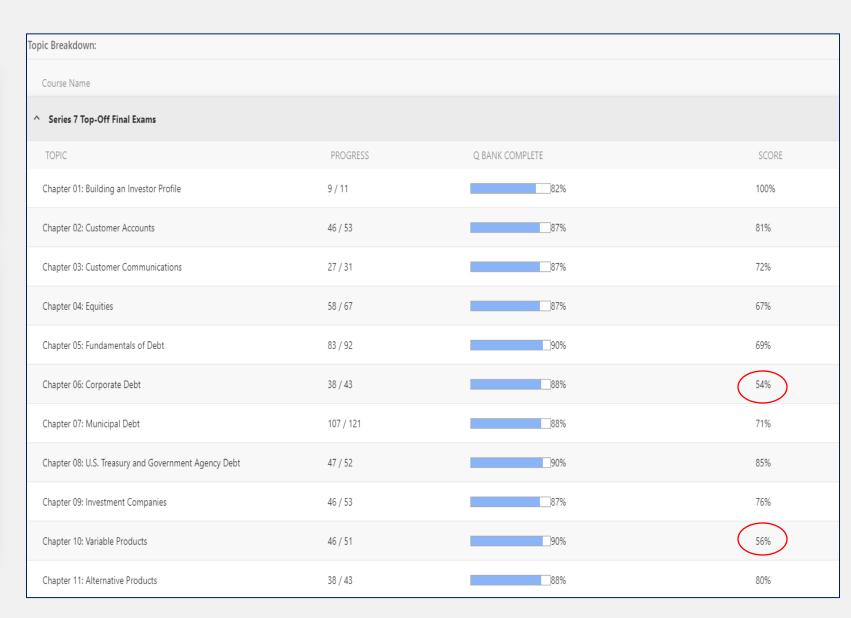
Q – When does the access clock start running? A – When the student clicks on a specific product.

Know when you're ready to take the exam.

 Using chapter breakdown, associates will know their strongest and weakest subjects for targeted study.

Review:

- Chapter Breakdown
- Progress Exams
- Final Exams
- Custom exams





Targeted Study – Crunch Time Facts

The Crunch Time Facts represent a detailed summary of the "must-know" facts and are broken down by the chapters in STC's Study Manual.

This digital "cheat sheet" is perfect as a final review in the days leading up to the regulatory exam.



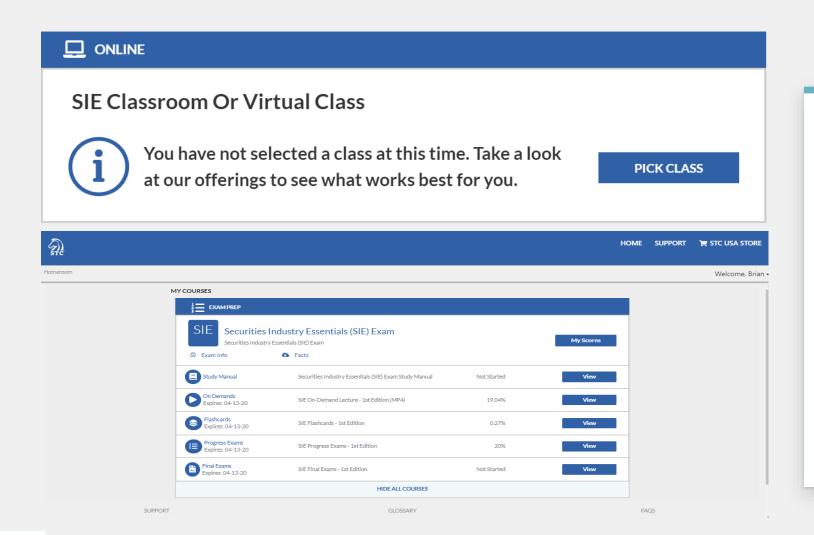
Contents

Chapter 1	Building an Investor Profile	1
Chapter 2	Customer Accounts	1
Chapter 3	Customer Communications	1
Chapter 4	Equities	2
Chapter 5	Fundamentals of Debt	2
Chapter 6	Corporate Debt	3
Chapter 7	Municipal Debt	3
Chapter 8	U.S. Treasury and Government Agency Debt	4
Chapter 9	Investment Companies	4
Chapter 10	Variable Products	5
Chapter 11	Alternative Products	5
Chapter 12	Options	5
Chapter 13	Offerings	6
Chapter 14	Investment Risks, Returns and Disclosures	7
Chapter 15	Portfolio and Market Analysis	7
Chapter 16	Fundamental Analysis	8
Chapter 17	Orders and Trade Executions	8
Chapter 18	Margin	8
Chapter 19	Settlement and Regulatory Reporting	9
Chapter 20	Resolving Disputes	9

C Securities Training Corporation. All rights reserved



Student Homeroom- Selecting a Class



In the Student Homeroom,
Students will be able to Enroll in a
Virtual Live Class:

- Log-in to Student
 Homeroom
- "Pick Class"
- Review Virtual Class Dates/Time
- Enroll in Class



Partner and Managing Partner Reporting



Key to a Successful Program

Passing is dependent on three primary factors:

1. Completion of the study process (calendar compliance)

- Understand the various study tools
- Understand how to effectively use them (best practices)
- Utilize proper pacing to ensure completion (study calendar)

2. Mastery of the material (targeted study)

- Key performance measurements (final exams versus progress exams)
- Scores that indicate mastery

3. Early and actionable reporting

- Early intervention
- Corrective action





Student Readiness Report

Custom Student At-Risk Auto-Delivery Report with Remediation Recommendation

Calendar Compliance	Targeted Study
This recommendation is made if a student's activity is not aligned to course calendar	If student activity is aligned to course calendar, but exam scores are below 65%, Targeted Study is recommended
 Effectively preparing for a securities exam can take many weeks. The key to success is breaking tasks into daily steps rather than waiting until the last minute. One of the most important points that a mentor will stress to candidates to help them succeed is to stay on-calendar. The first few days are the hardest, but once momentum builds, it becomes easier. 	 Use the MyScores chapter breakdown to identify the lowest scoring chapters (it's much easier to raise a 40% to 50% than to raise a 60% to 70% and its overall value is the same). Use the Flashcards, On-Demand lectures, and Custom Exams to increase performance on lower scoring chapters. Remember that STC instructors are available to answer questions.



Student Homeroom – My Scores – Targeted Study

Student At-Risk Report

- Auto-Email Delivery
- Summary Page for Fast At-Risk Student Identification
- Detail Page for At-Risk KPI Visibility
- At-Risk Remediation Recommendations
- Customize and Update KPIs with student pass rates data

Student Names

Course	At Risk	Remediation Recommendation					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Targeted Study, Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Targeted Study					
SIE	Υ	Targeted Study, Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Calendar Compliance					
SIE	Υ	Targeted Study					
SIE	Υ	Calendar Compliance					
SIE	N						
SIE	N						
SIE	N						
SIE	N						
SIE	N						
SIE	N						
SIE	N						

Keep in Mind:

 STC's Readiness Report measures performance and course calendar pace. In the event the student is pacing behind, the readiness report identifies them as "At-Risk."



Readiness Report Detailed View

Student Name	Course	At Risk as of 25% of Course Calendar	First Session Date	Progress Exams Completed AR < 5	Progress Exams Average	Final Exams Completed	Final Exams Average	Total Exams Completed	Total Exam Average AR < 65%	Custom Exams Completed	Time Per Question Seconds AR > 120	Remediation Recommendation
	SIE	Υ	6/27/2019	2 of 10	65	0 of 9		2 of 19	65	0	45	Calendar Compliance
	SIE	Υ	7/25/2019	0 of 10		0 of 9		0 of 19		4	51	Calendar Compliance
	SIE	Υ	7/19/2019	0 of 10		1 of 9	65	1 of 19	65	17	22	Calendar Compliance
	SIE	Υ	7/15/2019	2 of 10	85	1 of 9	85	3 of 19	85	5	73	Calendar Compliance
	SIE	Υ	7/15/2019	4 of 10	65	2 of 9	67	6 of 19	66	38	107	Calendar Compliance
Student	SIE	Υ	7/15/2019	0 of 10		0 of 9		0 of 19		27	415	Targeted Study, Calendar Compliance
	SIE	Υ	7/2/2019	2 of 10	62	0 of 9		2 of 19	62	9	28	Calendar Compliance
Name	SIE	Υ	7/2/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Υ	6/10/2019	0 of 10		0 of 9		0 of 19		5	77	Calendar Compliance
	SIE	Υ	6/5/2019	0 of 10		8 of 9	86	8 of 19	86	100	40	Calendar Compliance
	SIE	Υ	4/30/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Υ	6/26/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Υ	5/9/2019	2 of 10	67	0 of 9		2 of 19	67	8	89	Calendar Compliance
	SIE	Υ	5/7/2019	2 of 10	80	8 of 9	82	10 of 19	82	19	49	Calendar Compliance
	SIE	Υ	2/26/2019	4 of 10	75	1 of 9	69	5 of 19	74	7	38	Calendar Compliance
	SIE	Υ	3/1/2019	1 of 10	60	7 of 9	74	8 of 19	72	19	26	Calendar Compliance
	SIE	Υ	3/6/2019	10 of 10	45	8 of 9	59	18 of 19	51	4	76	Targeted Study
	SIE	Υ	7/25/2019	1 of 10	50	0 of 9		1 of 19	50	2	136	Targeted Study, Calendar Compliance
	SIE	Υ	2/26/2019	4 of 10	86	2 of 9	81	6 of 19	84	0	53	Calendar Compliance
	SIE	Υ	4/1/2019	4 of 10	58	8 of 9	71	12 of 19	67	25	41	Calendar Compliance
	SIE	Υ	8/6/2019	1 of 10	60	0 of 9		1 of 19	60	5	42	Calendar Compliance
	SIE	Υ	3/7/2019	6 of 10	60	0 of 9		6 of 19	60	0	592	Targeted Study
	SIE	Υ	7/30/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	N	2/25/2019	6 of 10	56	8 of 9	85	14 of 19	73	69	48	
	SIE	N	7/17/2019	5 of 10	71	4 of 9	70	9 of 19	71	28	45	

Student At-Risk Report

- Summary Page for Fast, At-Risk Student Identification
- Detail Page for At-Risk KPI Visibility
- At-Risk Remediation Recommendations



STC Learning and Evaluation Exams

Learning Exams

- Final Examinations
 - Comprehensive exams covering all chapters
 - Show Explanations button may be turned ON or OFF
 - Final Exams can be taken 8 times each
 - "My Scores" shows Diagnostics by Chapter
- Create a Custom Exam feature
 - An unlimited number of Custom Exams can be taken

Evaluation Exams

- A/B Progress Exams
 - Each exam covers specific chapters
 - Explanations are provided upon completion
 - Progress Exams can only be taken once
- Greenlight Exams
 - Comprehensive exams used to gauge readiness
 - Explanations are provided upon completion
 - · Greenlight Exams can only be taken once

Targeted Study Tools

- On-Demand Videos
- Online Flashcards by Topic
- Custom Exams by Topic
- Exam Review by Response



Best Practices

- Review the history report with your new hire on a weekly basis.
- ✓ Utilize the STC Study Calendar to track the study progress of your new hires.
- ✓ Direct your new hires to the STC Instructor Hotline (1-800-782-3926) if additional guidance is needed on a specific topic.
- ✓ Encourage your new hires to answer all available practice questions and utilize the custom exams.
- Look for a passing score of at least 80% on the practice exams to ensure that your hires are fully prepared.
- ✓ To ensure availability, confirm with your new hires that they have scheduled their examination date well in advance.



Q&A

Agent Support

Technical Support

800 STC-1223 Press 5

24/7

New York Life STC/XCEL Inbox nyl@colibrigroup.com

Instructor Support Email:

instructors@stcusa.com

Instructor Hotline:

Monday - Friday 9:00am – 5:00pm EST

800 782-3926

SIE Questions?

offsite_training@newyorklife.com





Thank you