



New York Life STC Securities Prep Materials

January 2021



STC/XCEL Designated Support Team



Callie Salvisburg Castles
Customer Success Manager



Keith Fealey
*Executive Vice President
Curriculum & Training*





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 offsite_training@newyorklife.com 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



**Welcome to the New York Life
Ordering Site for Exam
Licensing Training**



Select the current course path for

Insurance	Insurance (Illinois)	Securities
Insurance Resource Center		Securities Resource Center



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



Dear Callie,

Thank you for choosing Securities Training Corporation in preparing for your regulatory examination.

To access any of your courses please visit
[YOUR ACCOUNT](#) 24/7.

User Name: csalvisburg@stcusa.com


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



Sign In

LOGIN ID

PASSWORD [Forgot your credentials?](#)

LOGIN

[Partner Sign In](#)

- 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

Step 5: Create Custom Exam for Chapter 1 (10 Questions)

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

 ONLINE



SIE Classroom Or Virtual Class



You have not selected a class at this time. Take a look at our offerings to see what works best for you.


PICK CLASS


Available courses are viewable in your Homeroom

 HOME SUPPORT  STC USA STORE

Homeroom>Welcome, Brian

MY COURSES






 EXAMPREP

 **SIE**

Securities Industry Essentials (SIE) Exam
Securities Industry Essentials (SIE) Exam

[Exam Info](#) [Facts](#)

[My Scores](#)

	Study Manual	Securities Industry Essentials (SIE) Exam Study Manual	Not Started	View
	On Demands Expires: 04-13-20	SIE On-Demand Lecture - 1st Edition (MP4)	19.04%	View
	Flashcards Expires: 04-13-20	SIE Flashcards - 1st Edition	0.27%	View
	Progress Exams Expires: 04-13-20	SIE Progress Exams - 1st Edition	20%	View
	Final Exams Expires: 04-13-20	SIE Final Exams - 1st Edition	Not Started	View

HIDE ALL COURSES

[SUPPORT](#) [GLOSSARY](#) [FAQS](#)

- ☐ 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

Note:

- Review On-Demand Lectures before reading pertinent chapters
- Take notes in the dashboard while you're watching On-Demand presentations
- Follow along with the Learning Guide to help solidify the key topics

Series 7 Top-Off On-Demand Lecture

Select a Video

Reference Documents

[SIE Learning Guide](#)
Use this Learning Guide to take notes, answer questions, and complete activities.

[SIE Learning Guide](#)
A shorter, more consolidated version of the Learning Guide that's listed above (1/3 the size)

Excellent targeted study companion to the Manual and Flashcards

Chapter 01: Building An Investor Profile



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 [MY.STCUSA.com](https://www.stcusa.com) to access your Online Materials.

Visit [www.STCUSA.com](https://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

The screenshot displays a web interface for creating a custom flashcard deck. At the top, there are three tabs: 'Chapters', 'Exam Break Down', and 'Key Concepts'. The 'Chapters' tab is selected. Below the tabs, a list of chapters is shown, each with a radio button. 'Chapter 01: Building an Investor Profile' is selected. The list includes chapters 01 through 10. At the bottom of the list, it says 'Cards Available: 53' and 'Number of Cards (max of 53 allowed): 53'. A blue 'Build Deck' button is next to the number. Two sample flashcards are overlaid on the right. The first card has the ID 'QID: 1904363' and the question '1 of 53 - In making a suitability determination for an institution, what are some concerns a BD may have?'. It has a 'Mark For Review' button with a star icon. The second card has the ID '1 of 53 - The institution's ability to evaluate investments; use of its own judgment in the past; its use of an outside adviser' and also has a 'Mark For Review' button. A callout box in the bottom right corner titled 'Keep in Mind:' contains three bullet points: 'Flashcard content can be built by Chapter, Exam Breakdown, or Key Concepts', 'Students can "Mark for Review" any flashcards and go back and review them once the deck is complete', and 'Flashcards can be used to reinforce learning from the textbook'. A fourth bullet point states 'Flashcards allow answers to be revealed individually'.

Filter By: **Chapters** Exam Break Down Key Concepts Select All

- ☒ Chapter 01: Building an Investor Profile
- ☐ Chapter 02: Customer Accounts
- ☐ Chapter 03: Customer Communications
- ☐ Chapter 04: Equities
- ☐ Chapter 05: Fundamentals of Debt
- ☐ Chapter 06: Corporate Debt
- ☐ Chapter 07: Municipal Debt
- ☐ Chapter 08: U.S. Treasury and Government Agency Debt
- ☐ Chapter 09: Investment Companies
- ☐ Chapter 10: Variable Products

Cards Available: 53 Number of Cards (max of 53 allowed): **Build Deck**

QID: 1904363
Mark For Review ★

1 of 53 - In making a suitability determination for an institution, what are some concerns a BD may have?

Mark For Review ★

1 of 53 - The institution's ability to evaluate investments; use of its own judgment in the past; its use of an outside adviser

Keep in Mind:

- Flashcard content can be built by Chapter, Exam Breakdown, or Key Concepts
- Students can "Mark for Review" any flashcards and go back and review them once the deck is complete
- Flashcards can be used to reinforce learning from the textbook
- Flashcards allow answers to be revealed individually

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.

Final Exams
Expires: 05-06-19
Series 7 Top-Off Final Exams
Not Started
[View](#)

Create Custom Exam

- Contains all of the questions from the Final Exams, but sorted by topic
- Students can choose to answer any number of questions that are available for that chapter
- Allows focused study on specific areas of concern
- Students can leverage these exams upon completion of individual chapters
- Unlimited number of attempts available

Final Exams

Exam Name	Status	Action
Start Here – Instructions for Using the Final Exams		>
Final Exam 01	Not Started	>
Final Exam 02	Incomplete	>
Final Exam 03	Not Started	>
Final Exam 04	Not Started	>
Final Exam 05	Not Started	>
Final Exam 06	Not Started	>
Final Exam 07	Not Started	>
Final Exam 08	Not Started	>
Create a Custom Exam	Not Started	>

Select the questions below that you would like to have in your quiz: [Select All](#)

- ☒ Chapter 01: Building an Investor Profile
- ☐ Chapter 02: Customer Accounts
- ☐ Chapter 03: Customer Communications
- ☐ Chapter 04: Equities
- ☐ Chapter 05: Fundamentals of Debt
- ☐ Chapter 06: Corporate Debt
- ☐ Chapter 07: Municipal Debt
- ☐ Chapter 08: U.S. Treasury and Government Agency Debt
- ☐ Chapter 09: Investment Companies
- ☐ Chapter 10: Variable Products

Questions selected: 17 Number of Questions (max of 17 allowed): [Build Exam](#) [Back to Exam Center](#)

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

Progress Exams			
	Start Here – Instructions for Using the Progress Exams		>
	Progress Exam 01A	 Complete	>
	Progress Exam 01B	--- Not Started	>
	Progress Exam 02A	--- Not Started	>
	Progress Exam 02B	--- Not Started	>
	Progress Exam 03A	--- Not Started	>
	Progress Exam 03B	--- Not Started	>
	Progress Exam 04A	--- Not Started	>
	Progress Exam 04B	--- Not Started	>
	Progress Exam 05A	--- Not Started	>
	Progress Exam 05B	--- Not Started	>
	Progress Exam Greenlight 1	--- Not Started	>
	Progress Exam Greenlight 2	--- Not Started	>

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

Final Exams			
	Start Here – Instructions for Using the Final Exams		>
	Final Exam 01	 Complete	>
	Final Exam 02	 Not Started	>
	Final Exam 03	 Not Started	>
	Final Exam 04	 Not Started	>
	Final Exam 05	 Not Started	>
	Final Exam 06	 Not Started	>
	Final Exam 07	 Not Started	>
	Final Exam 08	 Not Started	>
	Create a Custom Exam	 Complete	>

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
January 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

Series 3 Day 1 9:30am – 4:30pm & Day 2 9:30am – 2:00pm ET
January 11 & 12 February 15 & 16
March 8 & 9 April 12 & 13

Series 6 10:00am – 5:00pm ET
January 13 February 10
March 10

Series 6 1:00pm – 5:00pm ET
March 22 & 23

Series 7 9:00am – 5:00pm ET
January 5 – 7 February 9 – 11
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
January 19, 20, 21, 26, 27 & 28
March 22, 23, 24, 29, 30 & 31

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 – April 2021

Series 24 9:00am – 5:00pm ET
January 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
February 9

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
January 7 February 11
March 11

Series 63 1:00pm – 5:00pm ET
January 21 February 25
March 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 ET

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

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



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.

1 of 135 - What type of bond would MOST likely be secured by an excise tax, cigarette tax, or gasoline tax? QID: 1891958

Mark For Review ☆

<input checked="" type="radio"/>	GO bond
<input type="radio"/>	B Double-barreled bond
<input type="radio"/>	C Special assessment bond
<input checked="" type="radio"/>	Special tax bond

EXPLANATION:

INCORRECT ANSWER CHOSEN

A special tax bond is a type of revenue bond and is usually financed by a tax on certain items such as cigarettes, liquor, or gasoline (excise taxes).

(72962)



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		
Chapter 10: Variable Products	55	7		
Chapter 11: Alternative Products	51	6		
Chapter Performance				
WEAKEST		STRONGEST		
<ul style="list-style-type: none">Chapter 02: Customer AccountsChapter 06: Corporate DebtChapter 09: Investment Companies		<ul style="list-style-type: none">Chapter 20: Resolving DisputesChapter 11: Alternative ProductsChapter 01: Building an Investor Profile		

Exam Average Score

65%

Question Bank

You have completed 18% of your question bank



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

Topic Breakdown:			
Course Name			
^ Series 7 Top-Off Final Exams			
TOPIC	PROGRESS	Q BANK COMPLETE	SCORE
Chapter 01: Building an Investor Profile	9 / 11	<div><div></div></div> 82%	100%
Chapter 02: Customer Accounts	46 / 53	<div><div></div></div> 87%	81%
Chapter 03: Customer Communications	27 / 31	<div><div></div></div> 87%	72%
Chapter 04: Equities	58 / 67	<div><div></div></div> 87%	67%
Chapter 05: Fundamentals of Debt	83 / 92	<div><div></div></div> 90%	69%
Chapter 06: Corporate Debt	38 / 43	<div><div></div></div> 88%	54%
Chapter 07: Municipal Debt	107 / 121	<div><div></div></div> 88%	71%
Chapter 08: U.S. Treasury and Government Agency Debt	47 / 52	<div><div></div></div> 90%	85%
Chapter 09: Investment Companies	46 / 53	<div><div></div></div> 87%	76%
Chapter 10: Variable Products	46 / 51	<div><div></div></div> 90%	56%
Chapter 11: Alternative Products	38 / 43	<div><div></div></div> 88%	80%



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


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Student Homeroom- Selecting a Class



 ONLINE

SIE Classroom Or Virtual Class




You have not selected a class at this time. Take a look at our offerings to see what works best for you.


[PICK CLASS](#)

 HOME SUPPORT  STC USA STORE

Homeroom>Welcome, Brian

MY COURSES

 EXAMPREP








Securities Industry Essentials (SIE) Exam

Securities Industry Essentials (SIE) Exam

[Exam Info](#)[Facts](#)

[My Scores](#)

	Securities Industry Essentials (SIE) Exam Study Manual	Not Started	View
	SIE On-Demand Lecture - 1st Edition (MP4)	19.04%	View
	SIE Flashcards - 1st Edition	0.27%	View
	SIE Progress Exams - 1st Edition	20%	View
	SIE Final Exams - 1st Edition	Not Started	View

[HIDE ALL COURSES](#)

[SUPPORT](#)[GLOSSARY](#)[FAQS](#)

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
<p>This recommendation is made if a student's activity is not aligned to course calendar</p>	<p>If student activity is aligned to course calendar, but exam scores are below 65%, <i>Targeted Study</i> is recommended</p>
<ul style="list-style-type: none">▪ 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.	<ul style="list-style-type: none">▪ 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	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Targeted Study, Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Targeted Study
SIE	Y	Targeted Study, Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Calendar Compliance
SIE	Y	Targeted Study
SIE	Y	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
Student Name	SIE	Y	6/27/2019	2 of 10	65	0 of 9		2 of 19	65	0	45	Calendar Compliance
	SIE	Y	7/25/2019	0 of 10		0 of 9		0 of 19		4	51	Calendar Compliance
	SIE	Y	7/19/2019	0 of 10		1 of 9	65	1 of 19	65	17	22	Calendar Compliance
	SIE	Y	7/15/2019	2 of 10	85	1 of 9	85	3 of 19	85	5	73	Calendar Compliance
	SIE	Y	7/15/2019	4 of 10	65	2 of 9	67	6 of 19	66	38	107	Calendar Compliance
	SIE	Y	7/15/2019	0 of 10		0 of 9		0 of 19		27	415	Targeted Study, Calendar Compliance
	SIE	Y	7/2/2019	2 of 10	62	0 of 9		2 of 19	62	9	28	Calendar Compliance
	SIE	Y	7/2/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Y	6/10/2019	0 of 10		0 of 9		0 of 19		5	77	Calendar Compliance
	SIE	Y	6/5/2019	0 of 10		8 of 9	86	8 of 19	86	100	40	Calendar Compliance
	SIE	Y	4/30/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Y	6/26/2019	0 of 10		0 of 9		0 of 19		0		Calendar Compliance
	SIE	Y	5/9/2019	2 of 10	67	0 of 9		2 of 19	67	8	89	Calendar Compliance
	SIE	Y	5/7/2019	2 of 10	80	8 of 9	82	10 of 19	82	19	49	Calendar Compliance
	SIE	Y	2/26/2019	4 of 10	75	1 of 9	69	5 of 19	74	7	38	Calendar Compliance
	SIE	Y	3/1/2019	1 of 10	60	7 of 9	74	8 of 19	72	19	26	Calendar Compliance
	SIE	Y	3/6/2019	10 of 10	45	8 of 9	59	18 of 19	51	4	76	Targeted Study
	SIE	Y	7/25/2019	1 of 10	50	0 of 9		1 of 19	50	2	136	Targeted Study, Calendar Compliance
	SIE	Y	2/26/2019	4 of 10	86	2 of 9	81	6 of 19	84	0	53	Calendar Compliance
	SIE	Y	4/1/2019	4 of 10	58	8 of 9	71	12 of 19	67	25	41	Calendar Compliance
	SIE	Y	8/6/2019	1 of 10	60	0 of 9		1 of 19	60	5	42	Calendar Compliance
	SIE	Y	3/7/2019	6 of 10	60	0 of 9		6 of 19	60	0	592	Targeted Study
	SIE	Y	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