Securities Training Corporation

Best Practices for the SIE Exam
# Securities Industry Essentials (SIE) Exam

**SIE Exam**

| 75 multiple-choice questions  
+ 10 unscored questions (85 total) |
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1 hour and 45 minutes allotted</td>
</tr>
<tr>
<td>70% minimum required passing score</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sections, Concepts, and Chapter Locations</th>
<th># of Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Knowledge of Capital Markets</td>
<td>12</td>
</tr>
<tr>
<td>(Chapters 1, 2, 11, and 19)</td>
<td>(16% of exam)</td>
</tr>
<tr>
<td><strong>2.</strong> Understanding Products and their Risks</td>
<td>33</td>
</tr>
<tr>
<td>(Chapters 3, 4, 5, 7, 8, 9, 10, and 20)</td>
<td>(44% of exam)</td>
</tr>
<tr>
<td><strong>3.</strong> Understanding Trading, Customer Accounts and Prohibited Activities</td>
<td>23</td>
</tr>
<tr>
<td>(Chapters 6, 12, 13, 14, 15, and 16)</td>
<td>(31% of exam)</td>
</tr>
<tr>
<td><strong>4.</strong> Overview of the Regulatory Framework</td>
<td>7</td>
</tr>
<tr>
<td>(Chapters 17 and 18)</td>
<td>(9% of exam)</td>
</tr>
</tbody>
</table>

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The STC Study Process

Step 1: Watch On-Demand Video Lectures for Chapter 1
Step 2: Read Chapter 1 of Online Study Manual
Step 3: Review Online Flashcards for Chapter 1
Step 4: Create Custom Exam for Chapter 1 (10 Questions)

*Repeat Steps 1 Through 4 for Each Chapter*

Step 5: Complete Progress Exams (per schedule)
Step 6: Complete Final Exams
From my.stcusa.com, available learning tools are automatically assigned within your course.

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**EXAM PREP**

**Securities Industry Essentials (SIE) Exam**

**Study Manual**
- Securities Industry Essentials (SIE) Exam Study Manual
- Not Started

**On Demands**
- SIE On-Demand Lecture-1st Edition (MP4)
- 4.76%

**On Demands**
- SIE Virtual Class Recording
- Not Started

**Flashcards**
- SIE Flashcards-1st Edition
- Not Started

**Progress Exams**
- SIE Progress and Greenlight Exams-1st Edition
- Not Started

**Final Exams**
- SIE Final and Custom Exams-1st Edition
- 25%
Step 1 – 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 included in On-Demand Video Lectures can be completed using the Learning Guide which is found in the On-Demand Lecture Section – in the Documents Tab (upper right corner)

Why Watch the Video First?
- Watching will speed up your reading
- Students can learn the information contextually
- Many students are auditory/visual learners
## On-Demand Chapters – Run-Times

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Run-Time</th>
<th>Chapter</th>
<th>Run-Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intro</td>
<td>16:47</td>
<td>11</td>
<td>1:43:56</td>
</tr>
<tr>
<td>1</td>
<td>54:47</td>
<td>12</td>
<td>52:03</td>
</tr>
<tr>
<td>2</td>
<td>49:39</td>
<td>13</td>
<td>49:03</td>
</tr>
<tr>
<td>3</td>
<td>1:00:48</td>
<td>14</td>
<td>1:17:38</td>
</tr>
<tr>
<td>4</td>
<td>1:30:56</td>
<td>15</td>
<td>58:27</td>
</tr>
<tr>
<td>5</td>
<td>1:35:27</td>
<td>16</td>
<td>1:18:17</td>
</tr>
<tr>
<td>6</td>
<td>1:00:16</td>
<td>17</td>
<td>37:18</td>
</tr>
<tr>
<td>7</td>
<td>1:41:06</td>
<td>18</td>
<td>42:40</td>
</tr>
<tr>
<td>8</td>
<td>57:10</td>
<td>19</td>
<td>47:14</td>
</tr>
<tr>
<td>9</td>
<td>43:23</td>
<td>20</td>
<td>41:17</td>
</tr>
<tr>
<td>10</td>
<td>1:47:35</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Step 2 – 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 feature (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

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

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Step 3 – 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
1. By Chapter
2. By Exam Breakdown
3. By Key Concepts
Step 4 – 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

Contains all of the questions from the Final Exams, but sorted by topic.

You can choose to answer any number of questions that are available for a chapter.
Step 5 – 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
  - Exams can only be taken once!

Two Cumulative Greenlight Exams (save these for the end)
- **Greenlight 1** – To be completed half way through the final exams
  - Must be taken as a timed exam
  - Answers and explanations are provided upon completion
- **Greenlight 2** – To be completed after all Final Exams
  - Must be taken as a timed exam
  - Answers and explanations are provided upon completion

## Progress Exams

<table>
<thead>
<tr>
<th>Progress Exam</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Here – Instructions for Using the Progress Exams</td>
<td></td>
</tr>
<tr>
<td>Progress Exam 01A</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 01B</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 02A</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 02B</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 03A</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 03B</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 04A</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam 04B</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam Greenlight 1</td>
<td>*** Not Started</td>
</tr>
<tr>
<td>Progress Exam Greenlight 2</td>
<td>*** Not Started</td>
</tr>
</tbody>
</table>
Chapters Covered in Progress Exams

<table>
<thead>
<tr>
<th>Progress Exam</th>
<th>Covers Chapters</th>
</tr>
</thead>
<tbody>
<tr>
<td>1A and 1B</td>
<td>1 through 5</td>
</tr>
<tr>
<td>2A and 2B</td>
<td>6 through 10</td>
</tr>
<tr>
<td>3A and 3B</td>
<td>11 through 15</td>
</tr>
<tr>
<td>4A and 4B</td>
<td>16 through 20</td>
</tr>
</tbody>
</table>
Step 6 – Complete Final Exams

Final Examinations
- Each final covers all of the chapters of the course
- Each final has different questions
- Final Exams should be taken after all of the Progress Exams have been completed
- Complete all of the Finals sequentially before retaking them
- Diagnostic review pinpoints areas for additional study
- Two methods of testing:
  1. Explanations **ON**
     - Read the question; select an answer
     - Receive immediate feedback and explanation of the correct answer
  2. Explanations **OFF**
     - Take the entire exam; receive score at the end
     - No feedback on performance while testing
Additional Student Homeroom Tools

STC Leading the Way
**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.
- Students can email instructors for help right from their homeroom. Please include QID in email (e.g., 1809065).
- When contacting the **FREE STC Instructor Hotline (1-800-782-3926)** for additional assistance on a question, again reference the QID.
- Instructor Hotline is open from 9:00 am to 5:00 pm EST (M-F).
Students can utilize the “My Scores” tool to review their progress.

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

### Topic Breakdown

<table>
<thead>
<tr>
<th>Chapter Title</th>
<th>Final Exams</th>
<th>Custom Exams</th>
<th>Progress Exams</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter 01: Overview of Market Participants and Market Structure</td>
<td>22</td>
<td>22</td>
<td>21</td>
</tr>
<tr>
<td>Chapter 02: Overview of Regulation</td>
<td>16</td>
<td>16</td>
<td>14</td>
</tr>
<tr>
<td>Chapter 03: Equity Securities</td>
<td>26</td>
<td>26</td>
<td>27</td>
</tr>
<tr>
<td>Chapter 04: Introduction to Debt Instruments</td>
<td>20</td>
<td>20</td>
<td>21</td>
</tr>
<tr>
<td>Chapter 05: Variable Contracts and Municipal Fund...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chapter 16: Prohibited Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chapter 15: Compliance Considerations</td>
<td></td>
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</tr>
</tbody>
</table>

**WEAKEST**
- Chapter 05: Variable Contracts and Municipal Fund...
- Chapter 16: Prohibited Activities
- Chapter 15: Compliance Considerations

**STRONGEST**
- Chapter 04: Introduction to Debt Instruments
- Chapter 03: Equity Securities
- Chapter 06: Investment Returns

**Exam Average Score**
- **44%**

**Question Bank**
- You have completed 100% of your question bank

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Students utilize the *Final Exam* tab to track their scores and measure their understanding of the entire course.

They can click on a specific exam to view detailed results, including missed questions.

<table>
<thead>
<tr>
<th>Exam</th>
<th>Date 1</th>
<th>Date 2</th>
<th>Time 1</th>
<th>Time 2</th>
<th>Duration</th>
<th>Score</th>
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</thead>
<tbody>
<tr>
<td>Final Exam 05</td>
<td>11/13/2018</td>
<td>11/13/2018</td>
<td>09:58 AM</td>
<td>10:03 AM</td>
<td>0.08 hours</td>
<td>34%</td>
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<td>Final Exam 06</td>
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<td>04:11 PM</td>
<td>1.08 hours</td>
<td>86%</td>
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<td>Final Exam 07</td>
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<td>07/03/2018</td>
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<td>12:16 PM</td>
<td>1.90 hours</td>
<td>84%</td>
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<td>Final Exam 08</td>
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<td>07/03/2018</td>
<td>12:59 PM</td>
<td>02:21 PM</td>
<td>1.37 hours</td>
<td>85%</td>
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**Exam Details**

<table>
<thead>
<tr>
<th>Average of First Attempts</th>
<th>Total Time Spent</th>
</tr>
</thead>
<tbody>
<tr>
<td>85%</td>
<td>14.18 hours</td>
</tr>
</tbody>
</table>
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.
Support

Technical Support
800-STC-1223 Press 5
24/7

Instructor Support Email:
instructors@stcusa.com

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

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Thank you,

We look forward to working with you!