

# Compliance Meetings On-Demand

## Training and Compliance Solutions

In 2006, FINRA ruled that firms may now use On-Demand Webcast technology to deliver their Annual Compliance Meeting (ACM), without using a live facilitator. Securities Training Corporation has taken advantage of the FINRA rule by making it easier for firms to deliver their ACM. Our technology allows compliance officers to come off the road and provide us with their own audio, video, or slides, which we develop into a customized ACM. STC's On-Demand Compliance Training makes it easy to deliver your Annual Compliance Meeting that complies with FINRA requirements. We provide consulting to develop content and presentations.

## STC Interactive Online Tracking and Reporting

- Includes a mandatory final attestation of completion
- Allows attendees to ask questions at any time, with firm control over question responses and archiving
- Provides a report tracking attendee activity i.e., completion attestations and questions
- Allows for E-mail announcements using a unique username and password system that makes it accessible only to registered participants

## Custom Topics -

### Annual Compliance Meetings

STC can assist you in customizing your Annual Compliance Meetings through a variety of methods.

- Choose content from our existing Firm Element topics to coincide with the specific business practices of your firm.
- Combine your firm's proprietary content with our existing Firm Element/ Annual Compliance Meeting content.
- Let us post your firm's proprietary content to PowerPoint and convert this data to an Annual Compliance Meeting.

ALL COURSES ARE NARRATED WITH  
STREAMING AUDIO

## For Pricing or a Demo

Contact Mike Fayne at: [mfayne@stcusa.com](mailto:mfayne@stcusa.com)  
for more information

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