

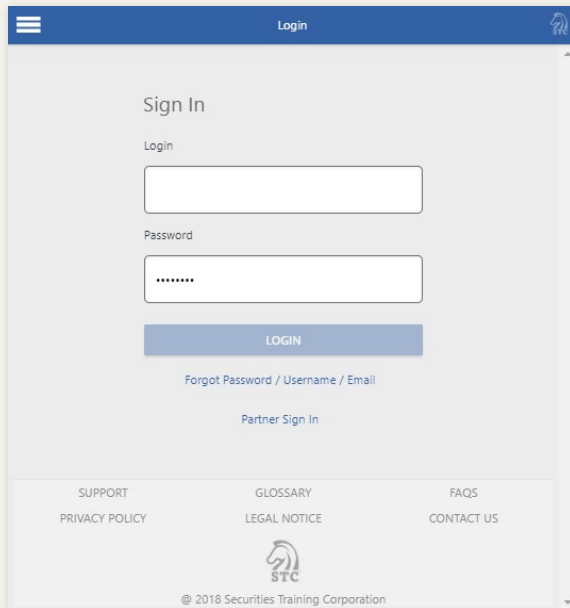
Securities Training Corporation (STC) overview

Participants guide to using
my.stcusa.com

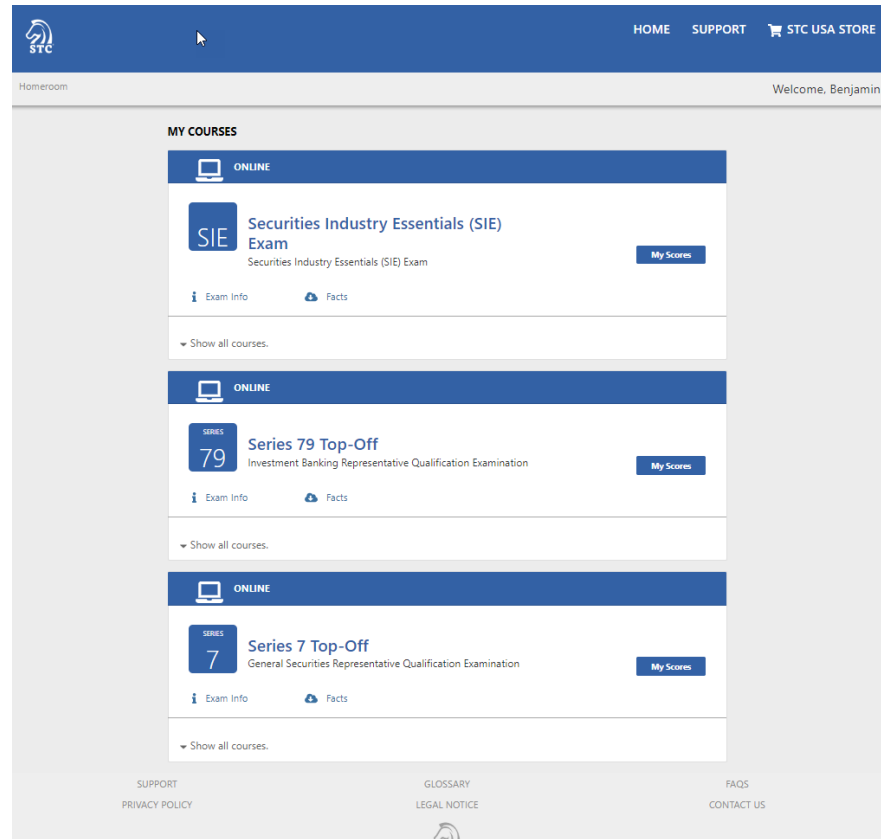


Getting started – accessing your Homeroom

1. **Access** the site
my.stcusa.com
2. **Enter** your username and
password to begin



The screenshot shows the login page for the STC Homeroom. At the top, there is a blue header with the STC logo and the word "Login". Below the header, the text "Sign In" is displayed. There are two input fields: "Login" and "Password". The password field contains several dots. A blue "LOGIN" button is positioned below the fields. Below the button, there is a link for "Forgot Password / Username / Email" and a link for "Partner Sign In". At the bottom of the page, there are links for "SUPPORT", "GLOSSARY", and "FAQS", along with "PRIVACY POLICY", "LEGAL NOTICE", and "CONTACT US". The STC logo and the copyright notice "@ 2018 Securities Training Corporation" are at the very bottom.



The screenshot shows the STC Homeroom dashboard. At the top, there is a blue header with the STC logo and navigation links for "HOME", "SUPPORT", and "STC USA STORE". Below the header, the text "Homeroom" and "Welcome, Benjamin" are visible. The main content area is titled "MY COURSES" and lists three online courses:

- Securities Industry Essentials (SIE) Exam**: Securities Industry Essentials (SIE) Exam. Includes "Exam Info" and "Facts" links, and a "My Scores" button.
- Series 79 Top-Off**: Investment Banking Representative Qualification Examination. Includes "Exam Info" and "Facts" links, and a "My Scores" button.
- Series 7 Top-Off**: General Securities Representative Qualification Examination. Includes "Exam Info" and "Facts" links, and a "My Scores" button.

Each course entry has a "Show all courses" link below it. At the bottom of the dashboard, there are links for "SUPPORT", "GLOSSARY", and "FAQS", along with "PRIVACY POLICY", "LEGAL NOTICE", and "CONTACT US".

Helpful Hint: Your user ID will be emailed to you directly from STC along with a link to set up your password.

Current courses

Available courses
are viewable in your
Homeroom

The screenshot shows the STC Homeroom interface. At the top, there is a navigation bar with the STC logo, a home icon, and links for HOME, SUPPORT, and STC USA STORE. Below the navigation bar, the user is greeted with "Welcome, Benjamin". The main content area is titled "MY COURSES" and features three course cards, each with an "ONLINE" label and a "My Scores" button. The first card is for the "Securities Industry Essentials (SIE) Exam", the second for "Series 79 Top-Off" (Investment Banking Representative Qualification Examination), and the third for "Series 7 Top-Off" (General Securities Representative Qualification Examination). A dashed blue line highlights the "Show all courses" link under the Series 7 Top-Off card, which points to a detailed view of the course.

Available learning tools
are automatically
assigned within your
course card(s)

The screenshot shows the detailed view of the "Series 7 Top-Off" course card. The card is titled "Series 7 Top-Off" and "General Securities Representative Qualification Examination". It includes a "My Scores" button and links for "Exam Info" and "Facts". Below the course title, there is a list of learning tools, each with a "View" button and a status indicator:

Learning Tool	Course	Status	Action
Study Manual	Series 7 Top-Off Study Manual	Not Started	View
On Demands	Series 7 Top-Off On-Demand Lecture	Not Started	View
Flashcards	Series 7 Top-Off Flashcards	Not Started	View
Progress Exams	Series 7 Top-Off Progress Exams	33.33%	View
Final Exams	Series 7 Top-Off Final Exams	12.5%	View

At the bottom of the card, there is a "Hide all courses" link.

Recommended path to success

Enhance and effectively manage your study time

- Use the appropriate study calendar to help keep your study time on track
- Leverage your learnings from My Scores to understand your strengths and weaknesses
- Utilize My Scores in your weekly progress discussion with your manager

***Helpful Hint:** Use flashcards or on-demand lectures to reinforce areas that need extra study time*



On-demand lectures

Once activated, on-demand lectures must be completed within 180 days

The screenshot displays a user interface for on-demand lectures. At the top, a header bar includes a play button icon, the text "On Demands", "Expires: 03-10-19", "Series 7 Top-Off On-Demand Lecture", "Not Started", and a "View" button. Below this, a "Select a Video" section contains a list of 20 chapters, each with a checkmark and a right-pointing arrow. The first chapter, "Chapter 01: Building An Investor Profile", is highlighted. To the right, a video player window shows the title "Chapter 01: Building An Investor Profile" and a video player with a pause button and a progress bar at 0:29 / 39:13.

Chapter	Status	Action
Chapter 01: Building An Investor Profile	✓	▶
Chapter 02: Customer Accounts	✓	▶
Chapter 03: Customer Communications	✓	▶
Chapter 04: Books	✓	▶
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 Annuities	✓	▶
Chapter 11: Alternative Assets	✓	▶
Chapter 12: Options	✓	▶
Chapter 13: Hedging	✓	▶
Chapter 14: Investment Risk: Return and Volatility	✓	▶
Chapter 15: Bonds and Market Risks	✓	▶
Chapter 16: Performance Analysis	✓	▶
Chapter 17: Orders and Trade Execution	✓	▶
Chapter 18: Margin	✓	▶
Chapter 19: Settlement and Regulatory Reporting	✓	▶
Chapter 20: Pending Disputes	✓	▶

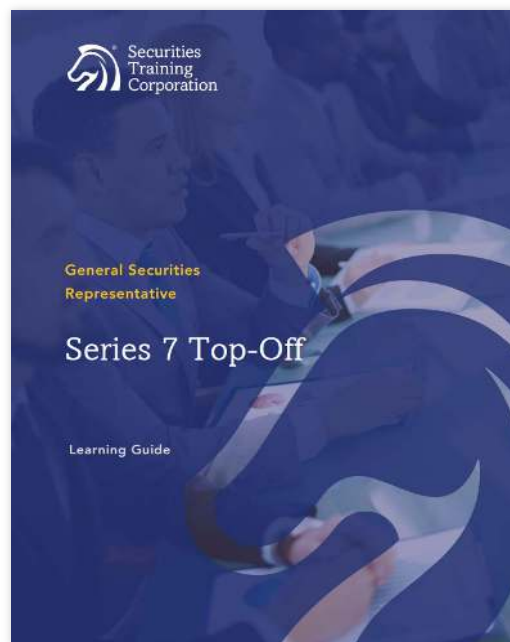
Helpful Hints:

- Review *On-Demand Lectures* **before** reading pertinent chapters
- Take notes in the dashboard while you are watching on-demand presentations
- Follow along with the *Learners Guide* to help solidify the key topics
- Utilize the *STC Instructor hotline (1-800-782-3926)* when additional context or support is needed

Learning Guide

The Learning Guide is found within the On Demand course under the **Documents** link at the top of the page. It walks students through the presentation, is a great place to take notes, and has activities that increase student engagement.

On Demand		
	Chapter 01: Building An Investor Profile	In Progress >
	Chapter 02: Customer Accounts	Not Started >



General Securities Representative: Series 7.

How to Use This Learning Guide

As the instructor presents the material, use this Learning Guide to take notes, answer questions, and complete activities. Upon completion, you can use it as an ongoing resource. Each topic has an image of the related slide in the PowerPoint deck, so you know where you are at all times. You can print this Learning Guide in full color or in grayscale.

Chapter 1: Building an Investor Profile

Key Topics

1 Financial Factors Learn about the financial concerns when developing a client investment profile.	2 Personal Characteristics Learn about how an investor's age, risk tolerance, and investment objectives will be used to develop the investment portfolio.	3 Financial Objectives and Goals Learn about what types of investments may be used to achieve various investment goals.	4 Know Your Customer Learn about the importance of suitability and FINRA's rules for an RR's obligations.
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Know Your Customer

Since every customer is unique, it's imperative to gather the necessary information and develop a complete profile of the customer in order to recommend a suitable portfolio.

Financial Factors

- Income
 - Earned
 - Investment
 - Retirement

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Exams

The Exam Center includes **four types** of exams:

1. Final Exams

Posed in the same multiple-choice format used in the actual examination.

2. Custom Exams



This option provides you with the ability to focus on topics that you find the most challenging.




















3. Progress Exams


























These measure your performance as you move through the program.

4. Greenlight Exams

End-of-course exams designed to help you determine your readiness for the exam.

	Progress Exams Expires: 03-11-19	Series 7 Top-Off Progress Exams	33.33%	View
	Final Exams Expires: 03-11-19	Series 7 Top-Off Final Exams	12.5%	View

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 >


Progress Exams		
	Start Here - Instructions for Using the Progress Exams	>
	Progress Exam 00A	 Complete >
	Progress Exam 01B	 Not Started >
	Progress Exam 02C	 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 >



Question format

Exam question sample

- Each question is presented individually, with multiple choice answers, similar to the actual FINRA exams
- You can “Mark for Review” any question and go back and review them once the exam is complete.
- Note the question code (e.g. 72702) for additional assistance when contacting the STC Instructor Hotline (1-800-782-3926)
- Provides immediate feedback by showing both the correct answer and a full description
- Presented in the same multiple-choice format as a FINRA/NASAA/MSRB examination

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 

 GO bond
B Double-barreled bond
C Special assessment bond
 Special tax bond

EXPLANATION:

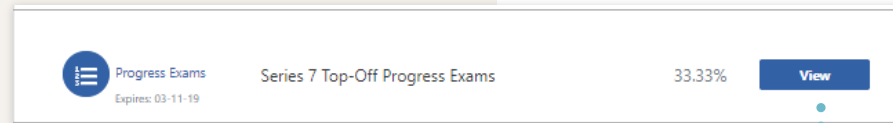
INCORRECT ANSWER CHOSEN

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)

Progress exams















- **Progress Exams** are best used during the first few weeks of study
- Each Progress Exam has two versions (A and B after every few chapters)
 - Each exam covers specific chapters
 - Designed to test understanding in a section before moving on
 - Chapter corrections are provided
- Progress Exams each contain 20-25 questions and can be taken only once
 - Chapter performance is provided through My Scores
 - Analyzing results from your progress exams will highlight knowledge gaps
- **Greenlight Exams** are “end of course” exams used to assess readiness
 - These should be the last practice exams taken before sitting for the actual exam



Progress Exams Series 7 Top-Off Progress Exams 33.33% View

Expires: 03-11-19

The header bar features a blue circular icon with three horizontal lines on the left. To its right, the text 'Progress Exams' is displayed above 'Expires: 03-11-19'. Further right, 'Series 7 Top-Off Progress Exams' is shown, followed by a progress indicator '33.33%' and a blue 'View' button. A vertical arrow points from the 'View' button down to the table below.

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	>

Final Exams

Complete final exams

Final Examinations

- Each final covers all material – Cumulative Exams
- Complete 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
 - All questions and explanations may be reviewed upon completion
- Scores on the final exams are the most accurate predictor of test success

The screenshot shows the 'Final Exams' section of a learning management system. At the top, there is a header with a 'Final Exams' icon, the text 'Series 7 Top-Off Final Exams', a progress indicator '12.5%', and a 'View' button. Below this is a table listing individual exams and their completion status.

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 >

Helpful Hint: You are allowed to complete activities in the Final Exams section up to 8 times.

Final Exams – Custom

- **Create Custom Exam** contains all the questions from the Final Exams, but sorted by topic
- You can choose to answer any number of questions that are available for that chapter
- Allows focused study on specific areas of concern
- You can leverage these exams upon completion of individual chapters as you complete them
- Unlimited attempts are available

ONLINE

6 Series 6 Top-Off
Investment Company and Variable Contracts Products Representative Qualification Examination

My Score

Exam Info | Tools

Final Exam	Series 6 Top-Off Final Exams	Not Started	View
Progressions	Series 6 Top-Off Progressions	Not Started	View

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 >

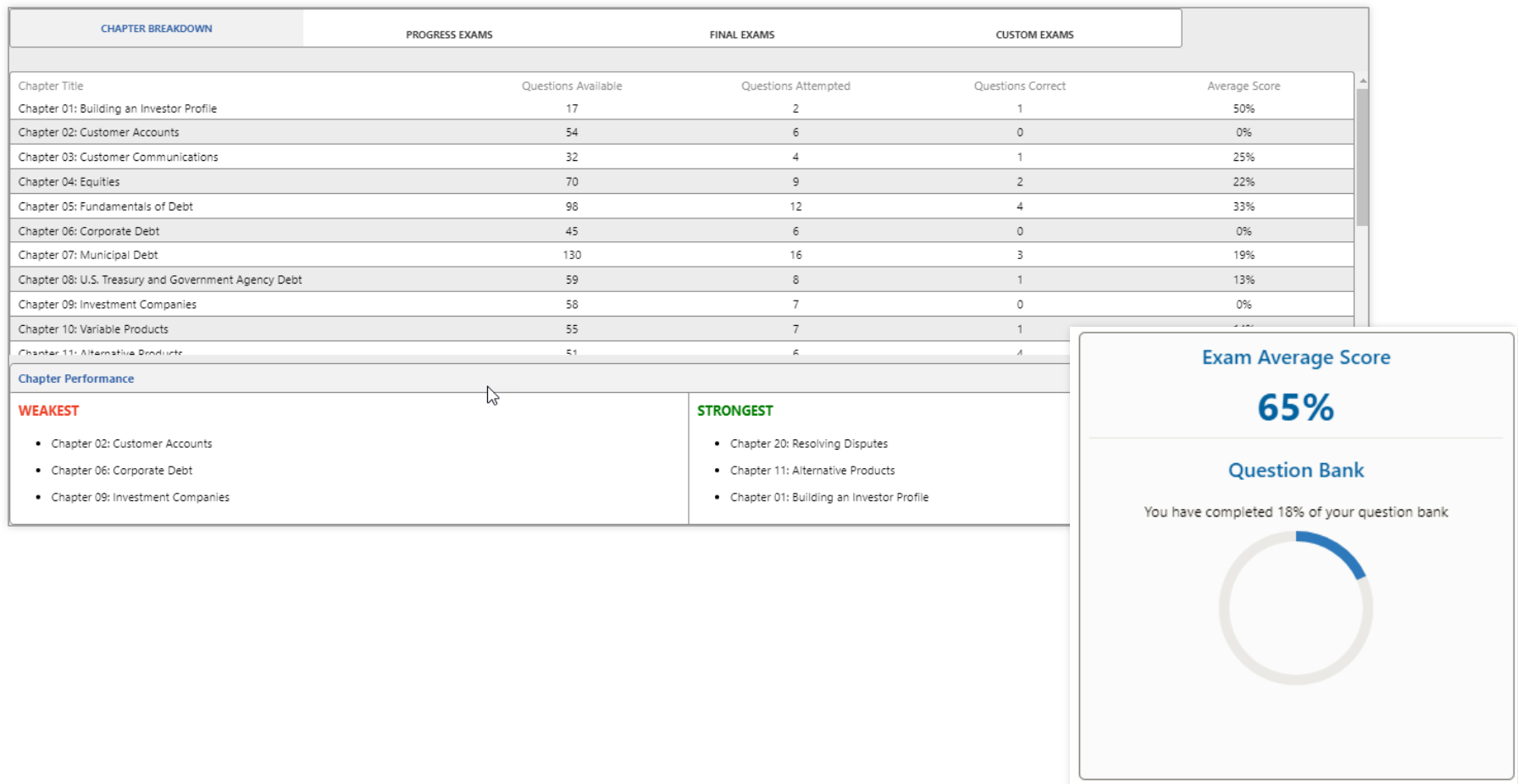
Select the questions below that you would like to have in your quiz: Select All

- 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](#)

My Scores Tool

- Utilize the **My Scores** tool to view your progress with your manager on a weekly basis
- Provides the ability to drill down results by chapter to see where opportunities exist



My Scores Tool

- Utilize the **Progress Exams** tab to track your scores as you read the study manual. Click on a specific exam to view detailed results, including missed questions.
- Utilize the **Final Exam** tab to track your scores and measure your understanding of the entire course. Click on a specific exam to view detailed results, including missed questions.
- Utilize the **Custom Exams** tab to track your scores from exam to exam. Click on a specific exam to view detailed results, including missed questions.

CHAPTER BREAKDOWN	PROGRESS EXAMS	FINAL EXAMS	CUSTOM EXAMS	
Exam Title ↓	Date Started	Date Finished	Total Time	Score
Progress Exam 01A ▶	09/11/2018 04:20 PM	09/12/2018 02:10 PM	a few seconds	20%
Progress Exam 02A ▶	09/11/2018 04:21 PM	09/12/2018 02:10 PM	a few seconds	15%
Progress Exam 03A ▶	09/12/2018 02:11 PM	09/12/2018 02:11 PM	a few seconds	20%
Progress Exam 04A ▶	09/12/2018 02:11 PM	09/12/2018 02:11 PM	a few seconds	20%
Exam Details				
Average Score		Total Time Spent		
19%		1 minute		

CHAPTER BREAKDOWN	PROGRESS EXAMS	FINAL EXAMS	CUSTOM EXAMS	
Exam Title ↓	Date Started	Date Finished	Total Time	Score
Final Exam 01 ▶	09/11/2018 03:06 PM	09/12/2018 02:08 PM	11 minutes	23%
Exam Details				
Average of First Attempts		Total Time Spent		
23%		11 minutes		

CHAPTER BREAKDOWN	PROGRESS EXAMS	FINAL EXAMS	CUSTOM EXAMS	
Exam Title ↓	Date Started	Date Finished	Total Time	Score
Final Custom Exam ▶	09/11/2018 06:58 PM	09/12/2018 02:09 PM	a few seconds	29%
Exam Details				
Average Score		Total Time Spent		
29%		a few seconds		

Flashcards

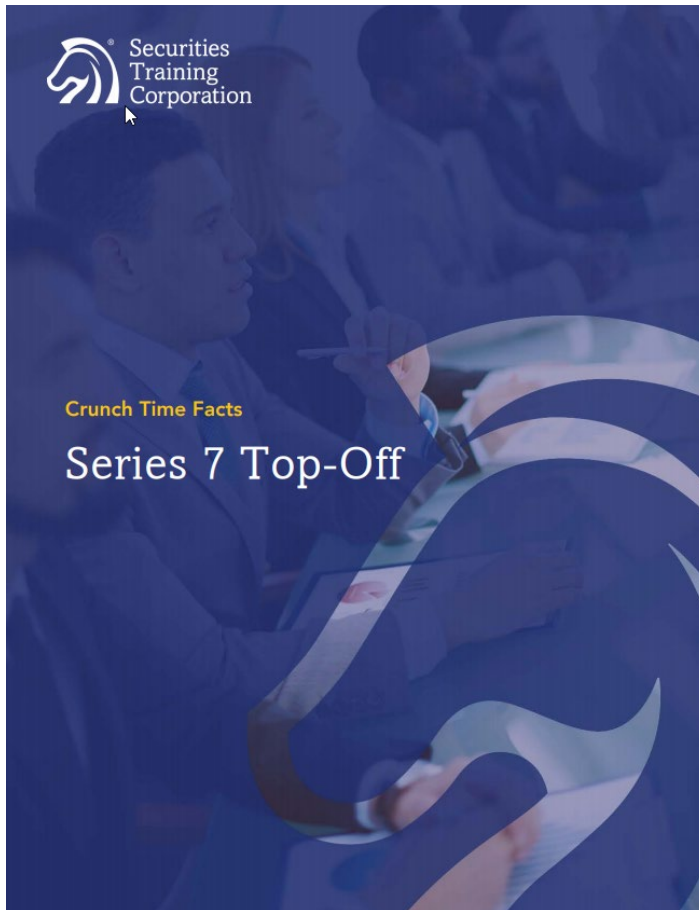
The screenshot displays a web-based flashcard application. At the top, there are filter options: "Filter By:", "Chapters", "Exam Break Down", and "Key Concepts". A "Select All" button is visible in the top right. Below the filters is a list of chapters, with "Chapter 01: Building an Investor Profile" 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)". Two overlapping flashcard cards are shown. The top card is white and contains the text "1 of 53 - In making a suitability determination for an institution, what are some concerns a BD may have?" with a "Mark For Review" button and a star icon. The bottom card is grey and contains the text "1 of 53 - The institution's ability to evaluate investments; use of its own judgment in the past; its use of an outside adviser" with a "Mark For Review" button and a star icon. A small white square is in the bottom right corner of the grey card.

Helpful Hints:

- Flashcard content can be built by **Chapter**, **Exam Break Down** or **Key Concepts**
- You can "Mark for Review" any flashcard 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

Crunch Time Facts

A detailed summary of all the “must-know” facts by chapter from STC’s Study Manual. This digital “cheat sheet” is perfect for final review in the days leading up to your 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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Best practices – for all STC exams

Consider creating a notebook

- ✓ Create a per topic list of missed facts from exams
- ✓ Note difficult concepts for review in class or hotline help
- ✓ Writing information doubles student retention
- ✓ Use the notebook to help create game day white board “cheat sheet”

Use your resources

- ✓ If you’re struggling with a topic, reach out to the STC Instructor Hotline
- ✓ Consider study groups with peers – talking about concepts helps
- ✓ Don’t forget to review the **Crunch Time Facts** prior to your exam
- ✓ Review the Glossary if you’re new to the industry to better understand the concepts being tested

Best practices

- ✓ STC's exams can be more difficult than the actual exam, to better prepare you for the real exam
- ✓ Successful students stick to a proven study methodology – STAY ON TRACK
- ✓ Watch the On Demand videos for a general understanding – leverage the learning guide for note taking and test preparation
- ✓ Next read the study manual – as progress exams are recommended, take them
- ✓ Review your Strengths and Weaknesses in the My Scores tool
- ✓ Leverage the flashcards in areas you have weaknesses
- ✓ Complete all Final Exams sequentially prior to any second attempts
- ✓ Review your scores and progress in the My Scores tool
- ✓ If needed, go back and review subjects that you are weak in (Use the On Demand, Flashcards, Custom Exams, and the Manual)
- ✓ Take the Greenlight Exams
- ✓ Your goal is to score an average of 80% on all exams (second attempt)
- ✓ Review the Crunch Time Facts and your notes the days leading up to your exam

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