



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.



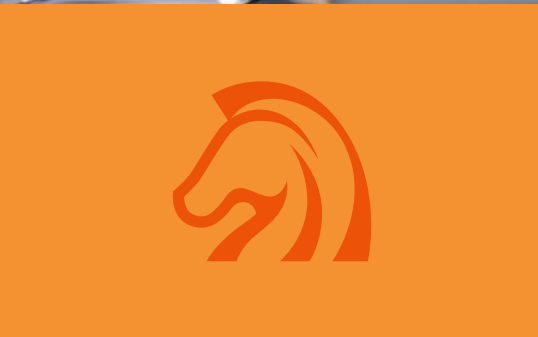
STC Interactive Online Tracking and Reporting

- 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.



Current Catalog Topics

	MINUTES
Advising Senior Investors	17
Anti-Bribery Legislation	19
Anti-Money Laundering	5
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DUE DILIGENCE AND HIGH-RISK ACCOUNTS	
Anti-Money Laundering Customer Identification	20
Anti-Money Laundering: Potential Red Flags	9
Business Entertainment	8
The Components of a Bond	11
Corporate Culture and Supervision	18
Custody Rules for Investment Advisers	10
Deferred Variable Annuities	18
E-mail: Important Compliance Considerations	10
Exchange-Traded Funds	17
Financial Exploitation of Vulnerable Adults	16
FINRA Suitability Rules (Rule 2090 and 2111)	24
Gifts and Gratuities	8
Identity Theft	18
Monitoring Investments for Seniors	5
Municipal Bonds	34
Mutual Fund Concepts	9
Mutual Fund Sales Charges and Fee Waivers	18
Outside Business Activities/Conflicts of Interest	4
Professional Designations	15
Protection Under SIPC	7
Protecting Your Customer and Yourself Against Fraud	12
FINANCIAL PROFESSIONAL	
Record Creation and Retention for the	24
Regulation Crowdfunding	15
Regulation D Offerings and Private Placements	16
Regulation SHO	14
REITs – Structure, Suitability and Supervision	10
Selling Away	1
Selling Away Your Career	5
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Structured CDs	10
Suitability of Investments and Requirements	8
Suitability of Share Classes	13
Trade Reporting	43
Types of Mutual Funds	13
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Using Stop Orders in a Volatile Market	29