

FINANCIAL LEARNING EXPERIENCE (FLEX) LEARNER USER GUIDE

Version 1.3

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Introduction

Financial Learning Experience™ (FLEX™) is a centralized continuing education (CE) platform that provides e-learning content that firms have the option to leverage for their Firm Element or other training needs.

Financial Learning Experience (FLEX) Platform Overview

The FLEX platform offers Firm Element courses. To access the environment, a link is available in Financial Professional Gateway (FinPro Gateway™). The link to FLEX will appear once a Learner's firm approves the assignments.

1. Log into FinPro Gateway.
2. Locate and click the Firm Assigned CE (FLEX) link under My Tasks area.
3. Click on the "Go to My Plan" or "Launch CE" link to access your assigned training on the FLEX platform.

| 2025 Assignments (3) | Firm | Due Date | Status | Completion Date | Action |
|---|-----------------------------------|------------|-------------|-----------------|---------------------------|
| Foreign Corrupt Practices Act: Avoiding Improper Payments | WEDBUSH SECURITIES INC... | 11/11/2025 | In Progress | - | Launch CE |
| Detecting Financial Crimes: Money Laundering | RAYMOND JAMES & ASSOCIATES, IN... | 12/25/2025 | In Progress | - | Launch CE |
| Retail Branch Office Supervisor: Understanding Supervisory Responsibilities | RAYMOND JAMES & ASSOCIATES, IN... | 12/25/2025 | In Progress | - | Launch CE |


Accessing Firm Element Training

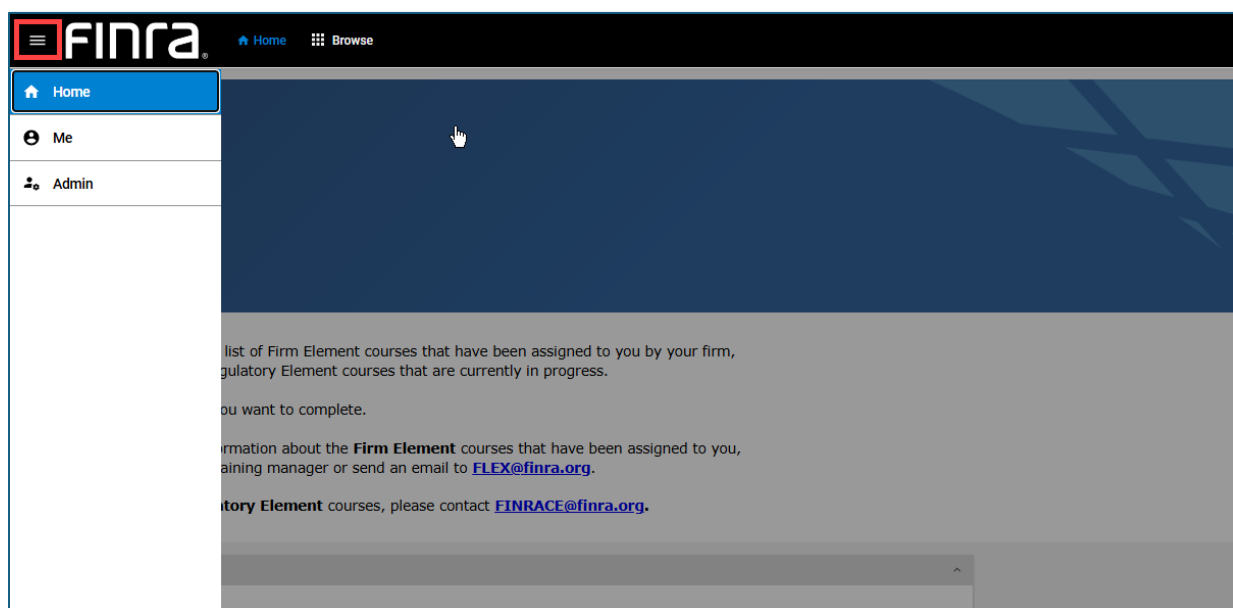
Selecting the **Firm Assigned CE (FLEX)** link in FinPro Gateway directs to the learning platform to access Firm Element training. There are two main areas within the FLEX platform.

- The **Home** page provides a quick breakdown of assigned and in-progress training.
- The **Me** page provides curated resources for administrators and learners.

Home Page Overview

The **Home** page also displays important announcements regarding the items listed on the home page or updates about the platform, as well as contact information if you have either a FLEX, Regulatory or Practical Element course question.

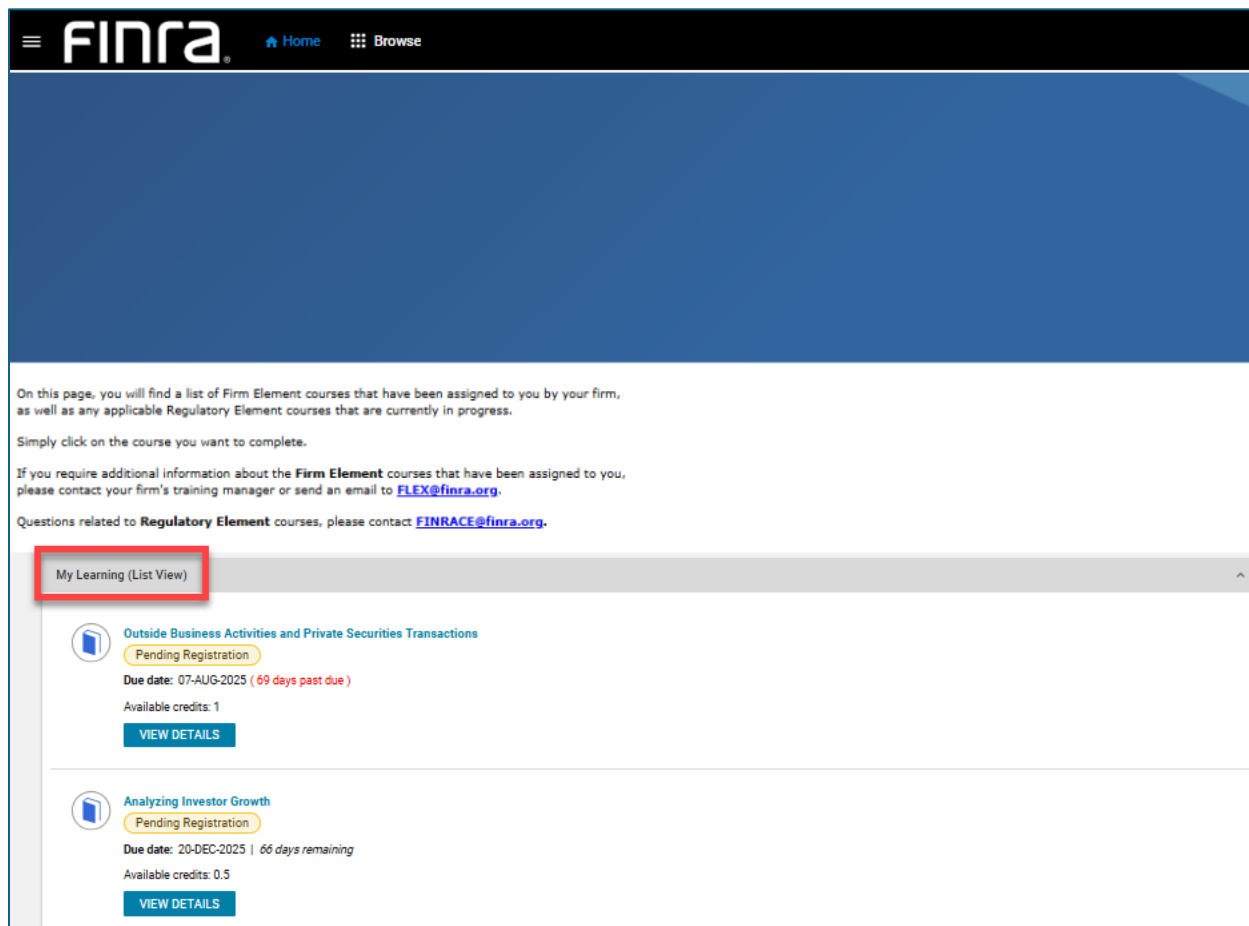
1. Access the Home page by clicking on the three-line menu icon  in the upper left-hand side.
2. Select Home.



Under the **My Learning** (List View) area, assignments are listed in following order:

1. Overdue courses – Courses that were not completed by the due date are considered Overdue. The overdue course also is listed with the number of days past the due date (in red font).

2. Active Assigned courses – Courses that are assigned and are not considered Overdue. The due date is identified, as well as the number of days before the due date.
3. In Progress courses – Courses with no due date that have been started but not successfully completed.
4. Surveys – Any outstanding surveys associated with course that are optional to complete.



Me Section Overview

The Me page lists assigned, in progress and completed courses. The Me page provides the ability to view the assigned and in-progress courses as well as completed courses.

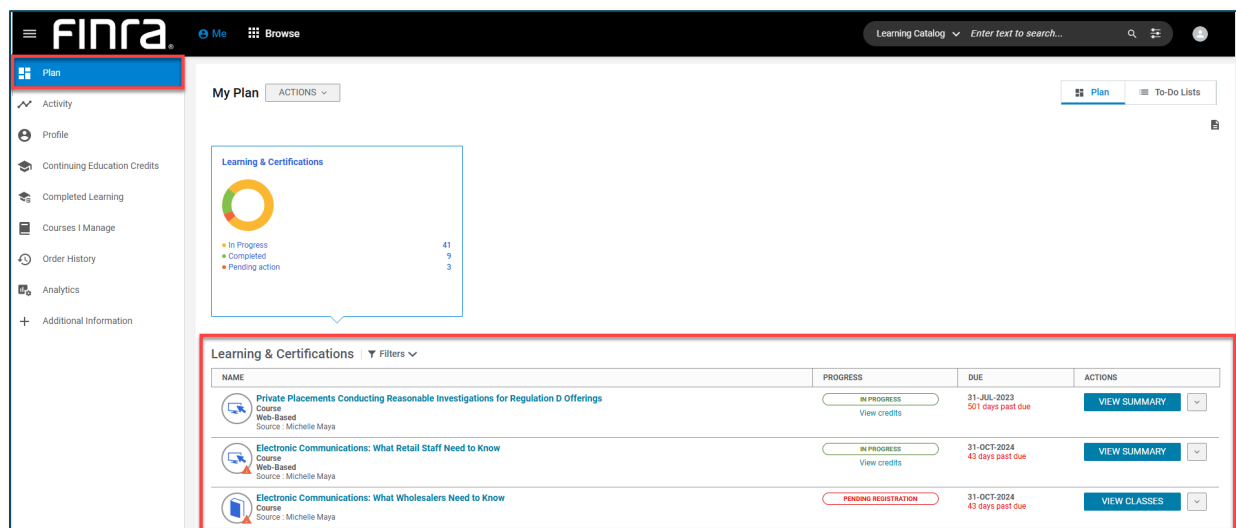
Access the Me section by selecting the collapsed menu, located in the upper left-hand corner under the FINRA logo.

Select the Me menu selection.



Plan

The Plan page lists all the assigned courses with the due date and day count before and after the due date. In the **Learning & Certification** area, courses are listed with overdue and upcoming mandatory assignments listed first. The due date includes a countdown of before and past due days. In-Progress courses are also listed in this section. You can launch the courses by clicking on the title or the View Summary button.



Completed Learning

You may access your completed FLEX courses from the Firm Assigned CE (FLEX) link in your FinPro Gateway account by clicking “Go to My Completed Learning.”

My Continuing Education

Continuing Education Status

Reg Element CE Required by 12/31/2025

Firm Assigned CE (FLEX) Required

Continuing Education Details

Current CE CE History CE Inactive History

Annual Regulatory Element CE 0 out of 5 complete Incomplete

Firm Assigned CE (FLEX) Required

View Program Details GO TO MY PLAN GO TO MY COMPLETED LEARNING

FINRA member firms must maintain continuing education programs for registered persons to enhance their securities knowledge, skills, and professionalism. Registered persons must participate as required.

| 2025 Assignments (1) | Firm | Due Date | Status | Completion Date | Action |
|----------------------|-----------------------------------|------------|-----------|-----------------|--------|
| CRYPTO-002 | RAYMOND JAMES & ASSOCIATES, IN... | 12/31/2025 | Completed | 11/05/2025 | - |

The Completed Learning area shows all the Regulatory, Practical and Firm Element completed courses. The completions are automatically listed by date, with newest completions listed first.

FINRA Me Browse Admin Enter text to search...

Plan Activity Profile Continuing Education Credits **Completed Learning** Courses I Manage Order History Analytics Additional Information

My Completed Learning

Learning Event Name Type to search Filters

| TITLE | PROGRESS | ACTION |
|--|---------------------------------------|-------------------|
| Detecting Financial Crimes: Cybercrimes Web-Based | SUCCESSFUL On: 17-OCT-2025 Score: 100 | PRINT CERTIFICATE |
| Broker-Dealer Crypto Asset Activities Web-Based | SUCCESSFUL On: 25-SEP-2025 Score: 0 | PRINT CERTIFICATE |
| Addressing and Reporting Financial Exploitation of Senior & Vulnerable Adult Investors Web-Based | SUCCESSFUL On: 25-JUN-2025 Score: 0 | PRINT CERTIFICATE |

Completion Certificate

From your Completed Learning page, you can also print your completion certificate.

The screenshot shows the 'My Completed Learning' page in the FINRA FLEX system. The left sidebar contains navigation links: Plan, Activity, Profile, Continuing Education Credits, **Completed Learning** (highlighted with a red box), Courses I Manage, Order History, Analytics, and Additional Information. The main content area is titled 'My Completed Learning' and includes a search bar and a table of completed events.

| TITLE | PROGRESS | ACTION |
|--|---|--------------------------|
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| Broker-Dealer Crypto Asset Activities Web-Based | SUCCESSFUL On: 25-SEP-2025 Score: 0 | PRINT CERTIFICATE |
| Addressing and Reporting Financial Exploitation of Senior & Vulnerable Adult Investors Web-Based | SUCCESSFUL On: 25-JUN-2025 Score: 0 | PRINT CERTIFICATE |

Print CE Transcript

You also have the option to print your CE transcript from the same Firm Assigned CE (FLEX) link in your FinPro Gateway account by clicking "Print CE Transcript."

The screenshot shows the 'My Continuing Education' page in the FINRA FLEX system. The left sidebar contains navigation links: Home, My Continuing Education, and a search icon. The main content area is titled 'My Continuing Education' and includes a 'PRINT CE TRANSCRIPT' button (highlighted with a red box). Below this, there are sections for 'Continuing Education Status' and 'Continuing Education Details'.

Continuing Education Status

Reg Element CE Required by 12/31/2025

Firm Assigned CE (FLEX) Required

Continuing Education Details

Current CE CE History CE Inactive History

Annual Regulatory Element CE 0 out of 5 complete Incomplete

Firm Assigned CE (FLEX) Required

View Program Details GO TO MY PLAN GO TO MY COMPLETED LEARNING

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