Learning Management System (LMS)

Dispute Resolution LMS User Guide

FINRA offers subject-specific online training modules to help you maintain your skills and stay current on developments in FINRA's dispute resolution program.

The FINRA Learning Management System (LMS) allows users to purchase and access e-learning courses, take post-course assessments and track completion status. This guide provides an overview of the FINRA LMS system functionality.

If you have any questions, contact FINRA at (800) 321-6273 or email education@finra.org.

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**Web Browser Requirements**

The following are the minimum Web browser requirements to access FINRA’s Learning Management System:

- Microsoft Internet Explorer 7
- Microsoft Internet Explorer 8 (recommended Internet Explorer version)
- Firefox 3.6
- Chrome 4
- Safari 4 (2H 2012)

In addition, the pop-up blocker should be disabled on your browser. To disable your pop-up blocker:

If you use Internet Explorer:
1. Click **Tools > Internet Options**.
2. Click on the **Privacy** tab at the top of the window.
3. Uncheck the **Turn on Pop-up Blocker** box to disable the pop-up blocker.

If you use Firefox:
1. Click **Settings**.
2. Click on **Content** icon at the top of the window.
3. Uncheck the box **Block pop-up windows** box to disable the pop-up blocker.

If you use Chrome:
1. Click the Chrome menu on the browser toolbar.
2. Select **Settings**.
3. Click Show advanced settings.
4. In the "Privacy" section, click the Content settings button.
5. In the "Pop-ups" section, click Manage exceptions.
6. Add **learn.com** in the hostname pattern field.

If you use Safari (for Mac users):
1. Click **Safari > Preferences**.
2. Click on **Security** at the top of the window.
3. Uncheck the box **Block pop-up windows** to disable the pop-up blocker.
## Common Terminology

In this section, you will find common terms used throughout FINRA’s Learning Management System.

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment</td>
<td>A true/false or multiple-choice exam taken upon completion of an online course. Assessments are designed to help the user review material and evaluate knowledge retention.</td>
</tr>
<tr>
<td>Category</td>
<td>A category is used to arrange training items in the LMS and can be used as a filter when searching for online courses in the Catalog.</td>
</tr>
<tr>
<td>Course</td>
<td>A Web-based training module.</td>
</tr>
<tr>
<td>Learning Plan</td>
<td>A Learning Plan in the LMS is a method of packaging and assigning training to users. All online courses in the LMS are packaged as Learning Plans. In order for a user to launch a course from the Catalog, the user must first map themselves to the Learning Plan. All Learning Plans mapped to a user will display on that user’s Current Learning page.</td>
</tr>
</tbody>
</table>
| License Expiration Date | **Dispute Resolution courses do not have an expiration date. The expiration date applies only to purchased courses.**  
Courses are available for access for 365 days from the date of purchase. After 365 days, a new license will need to be purchased to regain access to the course. |
| License Key           | A number that is generated for all course purchases. Group users will need to enter this number (provided by their group training supervisor) before launching a course. |
| Mapping               | Mapping is a concept in the LMS that refers to connecting courses and users in the LMS. Mapping a user to a Learning Plan is the equivalent of assigning a course to a user. Once the user is mapped to the Learning Plan the course will display on the user’s Current Learning page. |
Log into the Learning Management System

1. Access the LMS at https://finra.learn.com/disputeresolution

2. If you have an existing LMS account, enter your username. The initial password is Welcome.

3. You will be prompted to change your password in accordance with the following requirements.

   **Passwords must include all of the following:**
   - An uppercase character
   - A lowercase character
   - A number

4. The first time you log into the LMS, you will be required to create three security questions and answers. These questions will be used for the password recovery process should you forget your password.
   - Enter your three questions and corresponding answers.
   - Click the Save button.
**Log into the Learning Management System (Continued)**

**Self-Registration**

1. If you do not have an existing LMS account, select the **click here to register now** hyperlink.

![Register page](image)

2. Enter the required information marked with a red asterisk * and click the **Next** button.
Log into the Learning Management System (Continued)

After you enter your security questions, you will be directed to the LMS home page.

Welcome to the FINRA Learning Management System

Feature

If you are completing your Basic Arbitrator Training Program requirements and need to register for an onsite or live video training, please visit FINRA’s training pages on FINRA.org to view the schedules.
The FINRA LMS has five main areas: Home, Current Learning, Learning History, Course Catalog and My Account.

About the Home Page

1. Click the “Current Learning” button or tab to view courses purchased and/or courses currently assigned to you.

2. Click the “Learning History” button or tab to view a list of courses you have completed.

3. Click the “Course Catalog” button or tab to view a list of DR courses to add to your Current Learning or other courses offered for purchase in the LMS.

4. View announcements about FINRA e-learning courses.

5. Click the My Account tab to change your password or modify your security questions. You may also edit previously entered contact information.
Access the Dispute Resolution Courses

1. From the LMS home page, click the **Course Catalog** button or tab.

   The Dispute Resolution Courses display under the Learning Plans section.

2. Click the button to map yourself to this course. Mapping yourself to a course associates the course with you as the user and allows you to launch the course. The page will take a moment to refresh. Upon refresh, the selected course can be launched directly from the catalog and will also be added to your Current Learning page.
Access the Dispute Resolution Courses (Continued)

1. Click the plus sign to open the learning plan details.
2. Click the course name hyperlink to launch the course or assessment. You should review the coursework prior to launching the assessment.

Course Catalog

To add a Dispute Resolution Learning Plan to your Current Learning, click on the green plus sign.

Dispute Resolution Courses

<table>
<thead>
<tr>
<th>Learning Plan Name</th>
<th>Learning Plan Description</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Dispute Resolution: Basic Arbitrator Training</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>2 Dispute Resolution: Chairperson Training</td>
<td></td>
<td>+</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Course Name</th>
<th>Course Description</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment: DR-Chairperson Training</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Chairperson Training</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Civility in Arbitration</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Direct Communication Rule</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Discovery - Abuses and Sanctions</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Expungement</td>
<td></td>
<td>+</td>
</tr>
<tr>
<td>Dispute Resolution: Understanding the Prehearing</td>
<td></td>
<td>+</td>
</tr>
</tbody>
</table>
Current Learning

On the Current Learning page, you can view courses currently mapped to you via a Learning Plan, courses in progress and any FINRA e-learning courses purchased from the Course Catalog:

1. **Learning Plans** displays courses that are mapped to you. If you have purchased a course, the course will display in both the **Your Purchased Courses** and the **Learning Plans** sections.

2. **Your Courses in Progress** displays a list of online courses you have started but not yet completed. Click the course title hyperlink to re-launch and continue taking the online course. The system will bookmark where you left off and you may resume the course from that point next time you log in. To print the course, open the PDF version by selecting the printer icon on the title page of the online module.

3. **Purchased Courses** displays a list of courses you have purchased from the Course Catalog.
Learning History

On the Learning History page, you can view completed online courses, assessments and evaluations.

1. The Dispute Resolution Courses table displays all completed Dispute Resolution Learning Plans. The Learning Plans are considered completed once the assessment is completed.

2. Your Courses Completed displays all online courses you have completed and allows you to re-launch a completed course in Preview mode or begin a new attempt.

If you have completed a course and wish to simply review the course, select Preview Course. Previewing a course will not track a new course completion. Selecting New Attempt will track a new course completion for the previously completed course. The LMS will take you to the beginning of the course.

2. Assessments and Evaluations displays all completed assessments and evaluations associated with an online course.

3. To view and print out your course completion certificate, click on the Display Completion Certificate icon under “Actions.”
**Purchase a Course or Library**

FINRA also offers other industry-related courses for sale as well as the entire library of all e-learning courses or industry scenarios.

1. On the Course Catalog screen, scroll down to the **Courses for Purchase** section.

2. Click on the product name or the **Add to Cart** hyperlink to add a course to your shopping cart.

To purchase the entire library of e-learning courses or scenarios, select the products named *E-Learning Library or *Scenarios Library.

<table>
<thead>
<tr>
<th>Product Name</th>
<th>Price</th>
<th>Valid License</th>
<th>License Expiration</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Library</td>
<td>$45.00</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>629 College Savings Plans Sales Practices</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Compliance Suspicious Activity Surveillance Part 1</td>
<td>$12.50</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>AML Compliance Suspicious Activity Surveillance Part 2</td>
<td>$12.50</td>
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<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Independent Understanding Your Compliance Obligations</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Customer Identification Procedures</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Due Diligence for Foreign Correspondent Accounts</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Exploring New Risks</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Identification and Reporting Issues</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
<tr>
<td>AML Institutional Recognizing Red Flags</td>
<td>$12.50</td>
<td></td>
<td></td>
<td>![Add to cart]</td>
</tr>
</tbody>
</table>
Purchase a Course or Library (Continued)

3. Click the red X to remove an item from your shopping cart.

If purchasing a course for yourself, skip steps 3-4. If purchasing multiple copies of a course for users other than yourself (i.e., a group purchase):

4. Update the **Quantity** of licenses you wish to purchase and select the **Purchasing for other user** checkbox. Only select this checkbox if all copies of the course are being purchased for other users. If one of the licenses is for yourself, update the quantity and leave the checkbox deselected.

5. Select the **Update Cart** button.

6. Select the **Checkout** button.
Purchase a Course or Library (Continued)

7. Enter the billing information for your credit card.
8. Click the **Continue** button.
9. Enter your credit card information (Card Number, Card Type and Expiration Date).

10. Click the **Continue** button.

Once the transaction is processed, you will receive an email confirmation of the purchase.

If you purchased courses on behalf of another user(s), the **License Key provided in the confirmation email must be provided to the other users in order for them to access the online course(s).**

The License Key will also display in the **Courses Purchased** section of your LMS Current Learning page for purchases made for yourself.
Activate a License Key

License key activation is not required for courses purchased for yourself. If you purchase a course for yourself, the course will be immediately available for viewing.

If a course is purchased for users other than yourself (i.e., you selected the Purchasing for other user checkbox during checkout), the license key for that course (product) must be activated for the other user to access the course.

The license keys must be provided to each user by the purchaser. A license key cannot be activated on behalf of another user by the purchaser. License keys are unique to each product, and must be activated for the appropriate product.

For example, if a user purchases 10 copies of the *Library product. The purchaser is given one license key, which must be provided via e-mail or other method to all 10 individuals you wish to provide access to the library.

Purchasers must keep track of license key distribution. The LMS does not display the number of used/unused licenses. If you need assistance with determining the number of used/unused licenses for a course, contact FINRA.

To activate a license key, you must be logged in to the LMS.

1. Access the Current Learning page
2. Click on the Have a license? Click here to activate hyperlink.

![Current Learning](image-url)
Activate a License Key (Continue)

3. Enter the license key.

4. Click the **Activate License** button.

5. Click the course name hyperlink to launch the course.

**Note:** The course will now display on your Current Learning page under Purchased/Licensed Courses.