

Classic CRD

Limited English Proficiency (LEP) Request

FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete FINRA-administered qualification exams that certify an individual for registration with FINRA or to engage in securities business.

Candidates with LEP are persons who do not speak English as their primary language and have limited ability to read, speak, write or understand English. Refer to <u>FINRA's LEP Web</u> <u>page</u> for additional details.

IMPORTANT NOTE:

All classic CRD features should now be accessed through <u>FINRA Gateway</u>, the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact <u>FeedbackFINRAGateway@finra.org</u>.

Securities Industry Essentials[©] (SIE[©]) Exam

As of October 16, 2023, extra time for LEP candidates is available for the SIE exam. SIE test takers must complete a web-based LEP Request Form.

Retaking an Exam and Subsequent Exams

If a candidate does not successfully complete an exam and needs to retake it, FINRA will reapply LEP time to the new enrollment period within five business days. Candidates should not schedule a testing appointment until they have been notified via email that extra time for LEP has been added to the enrollment(s).

FINRA will reapply previously approved LEP time to subsequent exams that are opened within 5 years of the initial LEP approval date. Therefore, firms do not need to submit additional requests.

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Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699 8 a.m. - 8 p.m., Eastern Time, Monday - Friday

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Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new <u>FINRA Gateway</u>. To access FINRA Gateway:

- 1. Go to https://gateway.finra.org, and
- 2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

*	Test Contacts View Notification		
2=	Dashboard		Dashboard Settings
≋ €	Profile Search Individual Search Search Pre- Branch Branch Registration	Links Quick Links	
20	③ Search for an Individual by Name or CRD # who is currently or previously associated with your firm or one of your SFG affiliates.	4530 Reporting	OATS
***	Search Criteria	Advertising- Ad Reg	Over the Counter Equities
2	Search by Name or CRD#	BD Form	Data
		8 <u>Classic CRD</u>	<u>Peer-2-Peer Compliance</u> Library
		<u>Compliance Vendor</u> <u>Directory</u>	Pre-Registration Search
		E-Bill	Preferred Pricing Program
		FINRA.org	RegT Extension
		Section Firm Gateway	See More Forms
		Information Requests	SIE

Submitting an LEP Request

Use the following steps to access the LEP functionality in CRD:

NOTE: Be sure your Account Administrator has entitled you to the Web CRD Manage Limited English Proficiency (LEP) Requests.

1. From the Individual section of the 1. Click the **Individual** tab on the Web OR Web CRD site map, click NFI CRD toolbar. 1a. Click on Non-Filing Info from the sub-Individual Search. menu. Individual View Individual Individual Search Web CRD ® Disclosure Only Individual Search CRD Main IARD Main Forms Individual Organization E-Bill Reports View Individual Non-Filing Info Firm Queues Non-Filing Info NFI Individual Search Firm Queues Continuing Education Approaching CE Requirement CE 2-Year Termed

2. Enter a combination of the Individual's CRD#, SSN, Name, Firm Name, Firm CRD Number and/or States and click the Search button.

		NFI Individu	al Search Criteria	? 🎒 Printer Friendly					
Search by CRD Nu	umber								
CRD Number :									
Search by Social S	Security	Number							
SSN (xxx-xx-xxxx	() :								
Search by Name									
Last Name:									
Middle Name:			Perform "sounds-like" search						
Firm CRD Number	r:		Firm Name:						
 	Alabama Alaska Arizona Arkansas California	Available States	Selected State(s) >> <<						
Select Number of Rows									
Number of Rows p	per Page	e: 25							
			Search						

2.a. If needed, select **Limited English Proficiency (LEP) Request** from the navigation bar on the left. Then perform the search using the instructions above.

NOTE: If **LEP** is your only entitlement under NFI, then the system will automatically default to the **LEP** screen.



3. Click the **LEP Flag** for the appropriate **Exam**. If you are requesting LEP for multiple enrollments, click the **LEP Select All** button. Click Submit.

Limited English Proficiency (LEP) Request												
Individual CRD#: 1111111 Individual Name: DOE, JOHN												
FINRA provic English as the A firm may re examination. that this cano	les candie eir prima equest ad A firm m lidate has	dates with Limite ry language and l Iditional time bas Iay use the Select s LEP must be ma	ed English Profici have limited abili ed on LEP for thi t All button to rea intained by the f	ency (LEP) addi ty to read, spea s candidate for a juest additional irm and produce	tional ti k, write any ope time for ed upon	ne to complete a FII or understand Engli enrollments that de all eligible enrollme request.	NRA-administer sh. Refer to FIM o not reflect an ents. An LEP Re	ed qualification o IRA's LEP webpa appointment sta qũౖest Form exect	examination. Candidates u ge for additional details. tus of "Scheduled" by sel- uted by this candidate and	with LEP are persons who ecting the check box for th I a principal/officer of the	do not speak e appropriate firm attesting	
Individual Information												
RR Registered	1:					Yes						
RA Registered	l:					No						
Billing Code:												
Exams												
LEP Flag Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor		Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date	
	S7	36835529								08/11/2018	12/09/2018	
	S24	36835530								08/11/2018	12/09/2018	
	S63	36835531								08/11/2018	12/09/2018	
						Sub	mit					

4. Select Continue.

Exams No Exam Enr	By clicking the Continue button below, I certify that the firm maintains and will produce upon request a properly executed LEP Request Form for this submission.									
CE LEP Flag S	CONTINUE CANCEL									
	10	Status	Date		Number	Center 1D				

NOTES:

- CRD will display the enrollments that are currently open.
- The enrollment cannot have a scheduled appointment.
- LEP can only be requested for qualification exam enrollments without a Special Accommodation approval on file.

After clicking on the **Continue** button, a message at the top of the screen will reflect that your request has been saved.

(i) Your red	i Your request for additional time based on LEP and accompanying certification has been successfully submitted. You may now schedule an appointment for the candidate.													
Limited English Proficiency (LEP) Request														
Individual CRD#: 1111111 Individual Name: DOE, JOHN														
FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete a FINRA-administered qualification examination. Candidates with LEP are persons who do not speak English as their primary language and have limited ability to read, speak, write or understand English. Refer to FINRA's LEP webpage for additional details. A firm may request additional time based on LEP for this candidate for any open enrollments that do not reflect an appointment status of "Scheduled" by selecting the check box for the appropriate examination. A firm may use the Select All button to request additional time for all eligible enrollments. An LEP Request Form executed by this candidate and a principal/officer of the firm attesting that this candidate has LEP must be maintained by the firm and produced upon request.														
Individual In	formatio	n												
RR Registered	1:					Yes								
RA Registered	1:					No								
Billing Code:														
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LEP Flag Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendo	,	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date			
	S7	36835529								08/11/2018	12/09/2018			
~	S24	36835530								08/11/2018	12/09/2018			
	S63	36835531								08/11/2018	12/09/2018			
						Su	bmit							

OR

4a. If the firm does not agree to the certification statement, select **Cancel.**

Exams No Exam Enr	By clicking the Continue button below, I certify that the firm maintains and will produce upon request a properly executed LEP Request Form for this submission.										
CE LEP Flag S	1D	310105	Date	CONTINUE		Center 10					

If you select 'Cancel':

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- The screen will reflect that **Changes have not been saved**. You will need to go through the process again and select **Continue** on the **Certification** •

⚠ • Changes have not been saved.													
Limited English Proficiency (LEP) Request													
Individual CRD#: 1111111 In						ame: DOE, JOHN							
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Individual Inf	ormation												
RR Registered	:					Yes							
RA Registered	:					No							
Billing Code:													
_													
Exams	_			-									
Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	ID	Location	Window Begin Date	Window End Date			
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	S24	36835530							08/11/2018	12/09/2018			
	S63	36835531							08/11/2018	12/09/2018			
						Submit							

5. Once the LEP request has been successfully submitted, the candidate can schedule the appointment with the extra time through the testing vendor, Prometric.