



Request for Additional Time Based on Limited English Proficiency (LEP)

Please print clearly and complete this form in its entirety. FINRA will not process an incomplete form.

CANDIDATE INFORMATION AND ATTESTATION

Name: _____

Residential Mailing Address: _____

City: _____ State: _____ Zip Code: _____

Employment Address: _____

City: _____ State: _____ Zip Code: _____

Email Address: _____ Telephone: () _____

CRD # or FINRA ID #: _____ Exam/CE Series #(s): _____

***FINRA will only process hard copy LEP forms for unsponsored U10 candidates. If you are a sponsored (CRD) candidate, your firm must submit your LEP Request via Web CRD. Please contact your registration/compliance officer for more details.**

I hereby request additional time to complete the qualification examination(s) or CE session referenced above because I do not speak English as my primary language *and* I have limited ability to read, speak, write and understand the English language. I understand that any misrepresentation with respect to my LEP eligibility or any of the information provided on this form may result in a disciplinary action or other proceeding by FINRA, other self-regulatory organization, or state or bank regulator, as appropriate.

Signature: _____ Date: _____

FINRA MEMBER FIRM* OR SPONSORING ORGANIZATION INFORMATION AND ATTESTATION

Select box if there is no FINRA Member Firm or Sponsoring Organization ☐

Firm/Organization Name: _____ Firm CRD # (if applicable): _____

Name/Title of Authorized Representative/FINRA registered principal or officer: _____
CRD # (if applicable): _____

Firm/Organization Address: _____

City: _____ State: _____ Zip Code: _____

Email Address: _____ Telephone: () _____

I represent and certify that, to the best of my knowledge, _____, the candidate identified above, has limited English proficiency. I understand that any misrepresentation with respect to this candidate's LEP status or any of the information provided on this form may result in a disciplinary action or other proceeding by FINRA, other self-regulatory organization, or state or bank regulator, as appropriate.

Signature: _____ Date: _____

*Note for FINRA Member Firms: The authorized representative signing this form must be a registered principal or officer of the firm.

Sponsored (CRD) Candidates – Your firm must submit your LEP Request via Web CRD. FINRA *will not* process a hard copy LEP form for sponsored, (CRD) candidates.

Unsponsored (U10) Candidates - Send the completed LEP Request to FINRA – Attention: LEP Support Services Team via:
(1) email (only PDF file format will be accepted) to LEPRequest@finra.org; or (2) facsimile to (202) 689-3487.