



## Limited English Proficiency (LEP) Frequently Asked Questions (FAQ)

1. *Who is considered a candidate with limited English proficiency or “LEP”?*

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. [See [FINRA Information Notice 8/1/12.](#)]

2. *How does a candidate request extra time to complete a qualification examination or Regulatory Element Continuing Education (CE) session based on LEP?*

FINRA has revised the LEP request process. Effective September 8, 2014, firms must submit requests for additional time based on LEP directly through the Web CRD system. FINRA no longer accepts hardcopy LEP Request forms from FINRA-registered firms or non-FINRA firms that use Web CRD to register candidates with other CRD participating regulators. **Note:** The process for unsponsored (U10) candidates has not changed. Details of both processes can be found on FINRA’s [LEP Web page](#).

3. *How much extra time will be granted to LEP-eligible candidates?*

LEP-eligible candidates will receive an additional 30 minutes for an examination or CE session that is up to two hours in length and an additional 60 minutes for an examination or CE session over two hours in length. See the [Qualifications Web page](#) for a list of examinations, applicable costs, number of questions, and time allotted to complete the examination.

4. *How long will it take for an LEP candidate’s request to be processed?*

LEP requests submitted via the Web CRD system are immediately processed and available for scheduling with a test delivery vendor.

For non-Web CRD filers (U10 candidates), FINRA will provide notification via email that an LEP Request Form has been processed, or that further information is required, within 10 business days of receipt. Once FINRA processes a candidate’s completed LEP Request Form, FINRA will notify its test delivery vendors that the candidate with LEP should be provided additional time to complete the examination or CE session.

5. *How can a candidate check the status of a submitted LEP Request?*

Web CRD provides immediate confirmation of the LEP request submission. Filing firms will see save confirmation language on the Web CRD screen at the time of submission as well as a checkbox noting the acceptance.

For non-Web CRD filers (U10 candidates), if a candidate does not receive an email notification from FINRA within 10 business days after submitting the LEP Request Form, the candidate can check the status of the request by contacting FINRA’s Candidate Services Team at 800-999-6647, Option 3.

6. *Can a candidate schedule an appointment before submitting the LEP Request?*

Candidates must receive notification from FINRA, either via Web CRD or email notification, that their request has been processed prior to scheduling any appointments. If an appointment is scheduled prior to requesting additional time based on LEP, neither Web CRD nor FINRA will have the ability to process the LEP Request Form until the appointment is cancelled.

7. *How does a candidate schedule an examination after FINRA confirms by Web CRD or email that the request was processed?*

Candidates must schedule the examination or CE session appointment with one of FINRA's test delivery vendors:

- Pearson VUE's National Registration Center: (toll-free) (866) 396-6273
- Prometric's website or National Call Center: [www.prometric.com/finra](http://www.prometric.com/finra) or (toll-free) (800) 578-6273

8. *Is a candidate required to present at the testing center a letter from his/her firm requesting additional time based on LEP?*

No. Candidates must follow the procedures outlined on the [LEP Web page](#). Test delivery vendor personnel will not accept such letters and are no longer authorized to provide additional time to LEP-eligible candidates without prior notification from FINRA.

9. *Does a candidate have to submit an LEP Request for each examination/CE session he/she plans to take?*

The request for additional time will apply to all of the examinations/CE sessions that are selected via Web CRD, or in the case of U10 candidates, included on the LEP Request Form, and that have an open enrollment window. However, the LEP request must be submitted for each subsequent examination/CE enrollment. For example, if the candidate fails an exam, a new LEP request must be submitted once a new enrollment period is established.

10. *If a candidate fails an exam and needs to retake it, will he/she have to submit a new LEP Request submission?*

Yes. Each subsequent enrollment will require a new request.