

Web CRD

Limited English Proficiency (LEP) Request

FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete a FINRA-administered gualification examination or Regulatory Element Continuing Education (CE) session.

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 Web page for additional details.

Accessing Web CRD

Web CRD can be accessed two ways:

- 1. FINRA Firm Gateway at -> <u>https://firms.finra.org</u>, or
- Directly at —> https://crd.finra.org

Enter your User ID and Password.

If you access via FINRA Firm Gateway, click on the Web CRD tab. Once you have accessed Web CRD, you may navigate through the system as needed.

Submitting an LEP Request

There are two ways to access the **LEP** functionality in Web 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 Web CRD site map, click NFI Individual Search.

Page 2 Initial for Schedule A/B

Approaching CE Requirement

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Release Notes

Certified FES Vendors



- 1. Click the **Individual** tab on the Web CRD toolbar.
- 1a. Click on Non-Filing Info from the submenu.



Disclosure Letters

CRD Main IARD Main Forms Individual Organization Accounting Reports View Individual Non-Filing Info Firm Queues

Questions on Web 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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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 Individ	ual Search Cri	teria	?	🞒 Printer Friendly			
Search by CRD N	lumber								
CRD Number :									
Search by Social	Security	y Number							
SSN (xxx-xx-xx)	xx):								
Search by Name	!								
Last Name:			First Name:						
Middle Name:			Perform "sound search	ds-like''					
Firm CRD Numbe	er:		Firm Name:						
	Alabama Alaska Arizona Arkansas California	Available States	Selected St	tate(s)					
Select Number of Rows									
Number of Rows	s per Pag	je: 25							
			Search						

NOTE: If more than one record displays, click on the line of the appropriate record.

2.a. If needed, select **Limited English Profi**ciency (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.



NOTES:

- CRD will display the enrollments that are currently open.
- The enrollment cannot have a scheduled appointment.
- LEP can only be requested for enrollments without a Special Accommodation approval on file.
- 3. Click the **LEP Flag** for the appropriate **Exam** and/or **CE Enrollment**. If you are requesting LEP for multiple enrollments, click the **LEP Select All** button. Click Submit.

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Limited English Proficiency (LEP) Request												
Individual CRD#: 1111111 Individual Name: DOF JOHN												
Individual CRD#: IIIIIII Individual Name: DOE, JOHN												
FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete a FINRA- administered qualification examination or Regulatory Element Continuing Education (CE) session. 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 or CE session. 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												
Individual Informati	ion		ceu upon re	quest.								
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RA Registered:		Ye	s									
Billing Code:												
Exams												
LEP Exam Enrollm Flag ID Select All	ent Appointment Status	Appointn Date	nent Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date				
S24 3423163	31						02/08/2014	06/08/2014				
CE												
No CE Enrollments Four	nd											
			Submit	D								

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	10	Status	CONTINUE CANCEL	матрет	Center 1D						

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

(i) Y	our req	uest for additi	ional time base	d on LE	P has b	een subn	nitted/ accepted	l. You ma	y now sch	edule an ap	pointment.
			Limited E	ngli	sh Pr	oficie	ncy (LEP)) Req	uest		
Indiv	idual C	RD#: <u>1111111</u>	I	ndivid	ual Nar	ne: DOE,	JOHN				
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A firm reflect	A provi nistere LEP are (, write n may i ct an ap ssion	des candida d qualificati e persons wh or understa request addi opointment s A firm may u m executed	tes with Limit on examinatio no do not spea and English. R tional time ba status of "Sch use the Select by this candi	ed Eng n or R k Engl efer to sed or eduled All bu	glish Pr egulato lish as f FINRA LEP fo I" by se tton to	oficienc ory Elem their pri \'s LEP w or this ca electing request	y (LEP) additions ent Continuing mary languag vebpage for an indidate for an the check box additional time officer of the f	onal tim g Educat e and ha dditiona ny open for the ne for all	e to comp tion (CE) ave limite I details. enrollme appropria eligible o sting that	plete a FIN session. Ca d ability to nts that do ate examin enrollment t this candi	not andidates read, not ation or s. An LEP
LEP n	iust be	maintained	by the firm a	nd pro	duced	upon ree	quest.	inin atte	sting that		uate has
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	S24	34231631								02/08/2014	06/08/2014
CE											
No CE	Enrollm	ents Found									
						Submit					

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

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

If you select 'Cancel':

- 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** screen if you want to submit the LEP request.

Changes have not been saved.													
Limited English Proficiency (LEP) Request													
Individual CRD#: 1111111 Individual Name: DOE, JOHN													
FINRA admin with L speak, A firm reflect CE ses Reque	FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete a FINRA- administered qualification examination or Regulatory Element Continuing Education (CE) session. 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 or CE session. 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												
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	S27	34240931								02/19/2014	06/19/2014		
CE No CE E	nrollm	ents Found				Submit							

5. When the LEP request has been submitted, you can schedule the appointment with the extra time with either testing vendor (Pearson VUE or Prometric).

NOTE: If FINRA is unable to process your LEP request to an enrollment, your firm and/or the representative will be contacted.