



Classic CRD

Limited English Proficiency (LEP) Request

FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete a FINRA-administered qualification exams that certify a individual for registration with FINRA or to engage in securities business. LEP is not available for candidates taking the Securities Industry Essentials (SIE) exam.

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.



IMPORTANT NOTE:

All classic CRD features should now be accessed through [FINRA Gateway](#), 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 FeedbackFINRAGateway@finra.org.

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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

Logging in Through FINRA Gateway

Beginning in Summer 2020, the new [FINRA Gateway](https://gateway.finra.org) will become the primary method for accessing FINRA systems. 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** menu on the lower-left. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

The screenshot shows the FINRA Gateway interface. On the left is a dark blue sidebar with icons for Home, Profiles, Requests, Reports, and Support. The main area has a 'Search' section at the top with a 'Type' dropdown set to 'Individual' and a 'Search Criteria' input field. Below this is a 'Requests' section with a 'Lists' dropdown set to 'All (307)'. A table of requests is displayed with columns: Request Type, Details, Created, Due, and Category. A red box highlights the 'Quick Links' icon (a blue circle with a white link icon) in the sidebar, and a red arrow points from it to the 'Quick Links' menu in the next screenshot.

Request Type	Details	Created	Due	Category
Find out response time to complete		06/19/2020	06/19/2020	
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for J...	12/31/2015	02/24/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Jan...	01/31/2016	02/29/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Feb...	02/29/2016	03/29/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for F...	01/31/2016	03/23/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for ...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - Custody Quarterly	Custody Quarterly FOCUS Filing f...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Mar...	03/31/2016	04/28/2016	Financial / Operational

The screenshot shows the 'Quick Links' menu. At the top are two buttons: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'CLASSIC CRD' button is highlighted with a red box, and a red arrow points to it from the sidebar in the previous screenshot. Below these buttons are two columns of links:

Quick Links	
FIRM GATEWAY	CLASSIC CRD
Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

Submitting an LEP Request

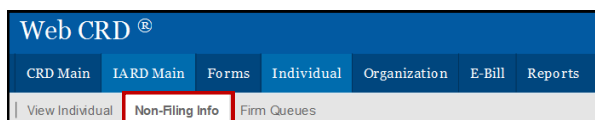
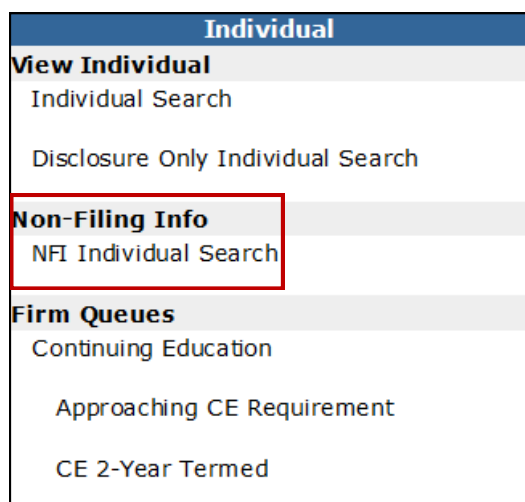
Use the following steps to access the **LEP** functionality in CRD:

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 Web CRD site map, click **NFI Individual Search**.

OR

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



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

  Printer Friendly

NFI Individual Search Criteria

Search by CRD Number

CRD Number :

Search by Social Security Number

SSN (xxx-xx-xxxx):

[Search by Name](#)

Last Name:

First Name:

Middle Name:

Perform "sounds-like" search ☐

Firm CRD Number:

Firm Name:

Available States

Alabama
▲

Alaska
≡

Arizona

Arkansas

California
▼

>>
<<

Selected State(s)

Select Number of Rows
Number of Rows per Page:

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.

[Quick Search](#)

Non-Filing Information

**Limited English
Proficiency (LEP)
Request**

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																																																					
<p>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.</p> <p>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.</p>																																																							
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<p>Exams</p> <table border="1"> <thead> <tr> <th>LEP Flag Select All <input type="checkbox"/></th> <th>Exam</th> <th>Enrollment ID</th> <th>Appointment Status</th> <th>Appointment Date</th> <th>Vendor</th> <th>Confirmation Number</th> <th>Vendor Center ID</th> <th>Location</th> <th>Window Begin Date</th> <th>Window End Date</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>S7</td> <td>36835529</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>08/11/2018</td> <td>12/09/2018</td> </tr> <tr> <td><input type="checkbox"/></td> <td>S24</td> <td>36835530</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>08/11/2018</td> <td>12/09/2018</td> </tr> <tr> <td><input type="checkbox"/></td> <td>S63</td> <td>36835531</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>08/11/2018</td> <td>12/09/2018</td> </tr> </tbody> </table>												LEP Flag Select All <input type="checkbox"/>	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date	<input type="checkbox"/>	S7	36835529							08/11/2018	12/09/2018	<input type="checkbox"/>	S24	36835530							08/11/2018	12/09/2018	<input type="checkbox"/>	S63	36835531							08/11/2018	12/09/2018
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<input type="button" value="Submit"/>																																																							

4. Select **Continue**.

<p>Exams</p> <p>No Exam Enr</p> <p>CE</p> <p>LEP Flag</p>	<p>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.</p> <p style="text-align: center;"> <input type="button" value="CONTINUE"/> <input type="button" value="CANCEL"/> </p>
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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.

Information 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

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Individual Information

RR Registered: ☐ Yes ☒ No

RA Registered: ☐ Yes ☒ No

Billing Code:

Exams

LEP Flag	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
<input type="checkbox"/> Select All	S7	36835529							08/11/2018	12/09/2018
<input checked="" type="checkbox"/>	S24	36835530							08/11/2018	12/09/2018
<input type="checkbox"/>	S63	36835531							08/11/2018	12/09/2018

OR

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

Exams

No Exam Enrollment


CE

LEP Flag

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.

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**

 Changes have not been saved.

Limited English Proficiency (LEP) Request

Individual CRD #: [1111111](#) Individual Name: DOE, JOHN

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Individual Information

RR Registered:	Yes
RA Registered:	No
Billing Code:	

Exams

LEP Flag <small>Select All</small> <input type="checkbox"/>	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
<input type="checkbox"/>	S7	36835529							08/11/2018	12/09/2018
<input type="checkbox"/>	S24	36835530							08/11/2018	12/09/2018
<input type="checkbox"/>	S63	36835531							08/11/2018	12/09/2018

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