



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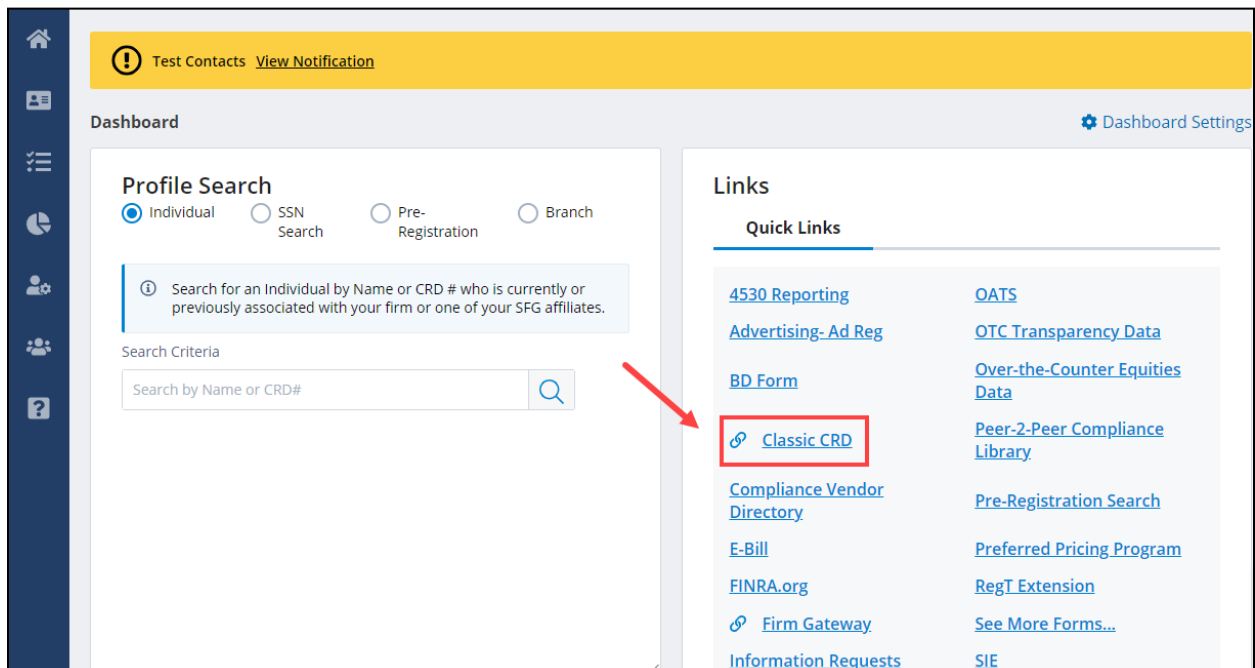
Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 a.m. - 8 p.m., Eastern Time, Monday - Friday

Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](#). 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.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is the "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections: "Profile Search" and "Links".

The "Profile Search" section includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria box with the text "Search by Name or CRD#" and a search icon.

The "Links" section is titled "Quick Links" and contains a grid of links. A red box highlights the "Classic CRD" link, and a red arrow points to it from the search criteria box.

Quick Links	
4530 Reporting	OATS
Advertising- Ad Reg	OTC Transparency Data
BD Form	Over-the-Counter Equities Data
Classic CRD	Peer-2-Peer Compliance Library
Compliance Vendor Directory	Pre-Registration Search
E-Bill	Preferred Pricing Program
FINRA.org	RegT Extension
Firm Gateway	See More Forms...
Information Requests	SIE

Submitting an LEP Request

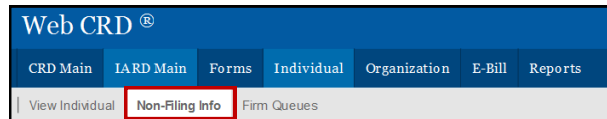
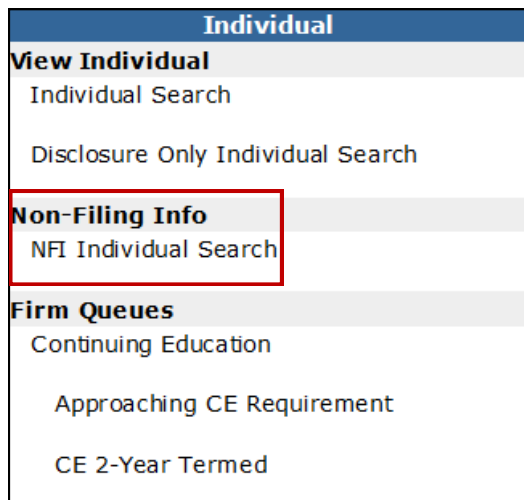
Use the following steps to access the **LEP** functionality in CRD:

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 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: <input style="width: 150px;" type="text"/>	First Name: <input style="width: 150px;" type="text"/>
Middle Name: <input style="width: 150px;" type="text"/>	Perform "sounds-like" search <input type="checkbox"/>

Firm CRD Number: <input style="width: 150px;" type="text"/>	Firm Name: <input style="width: 150px;" type="text"/>
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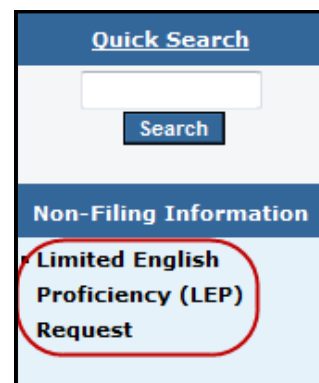
Available States		Selected State(s)
Alabama Alaska Arizona Arkansas California	>> <<	

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.



- 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 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 Information

RR Registered: Yes
 RA Registered: No
 Billing Code:

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"/>	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

- Select **Continue**.

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.

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 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
RA Registered:	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
Select All <input type="checkbox"/>										
<input type="checkbox"/>	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 Enr

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

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RA Registered:	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"/>	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.