



**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 # (U10 #): \_\_\_\_\_ 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: \_\_\_\_\_

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**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: \_\_\_\_\_

<sup>^</sup>Note for FINRA Member Firms: The authorized representative signing this form must be a registered principal or officer of the firm.

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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.

Un-sponsored (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](mailto:LEPRequest@finra.org); or (2) facsimile to (202) 689-3487.