Financial Industry Regulatory Authority

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 #: _____ Exam/CE Series #(s): _____

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 or 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:** _____

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 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**: _____

*Note for FINRA Member Firms: The authorized representative signing this form must be a registered principal or officer of the firm.

Send the completed form to FINRA – Attention: LEP Support Services Team via: (1) email (only PDF file format will be accepted) to LEPRequest@finra.org; *or* (2) facsimile to (202) 689-3487.