



## Limited English Proficiency (LEP) Frequently Asked Questions (FAQ)

1. *Who is considered a candidate with limited English proficiency or "LEP"?*

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. [See [FINRA Information Notice 8/1/12](#).]

2. *How does a candidate request extra time to complete a qualification examination or Regulatory Element Continuing Education (CE) session based on LEP?*

Candidates must open the appropriate enrollment window in the Central Registration Depository (CRD®). For an examination, this is accomplished by requesting the examination via Form U4 (Uniform Application for Securities Industry Registration or Transfer) in the CRD system. A CE session enrollment window automatically opens in the CRD system based on the anniversary of the individual's initial securities registration. Candidates must then submit a completed [LEP Request Form](#) to FINRA's LEP Support Services Team. The candidate will receive confirmation from FINRA once the LEP Request Form has been processed. See FINRA's [LEP Web page](#) for complete details.

The process is different for an individual who is not employed by or associated with a FINRA member firm and is required by another regulatory authority to qualify by a FINRA-administered examination. These individuals must submit a Form U10 (Uniform Examination Request for non-FINRA candidates) and, after receiving an enrollment notification from FINRA, submit the LEP Request Form. Once the individual receives confirmation from FINRA that the LEP Request Form has been processed, the individual may then schedule the examination.

3. *How much extra time will be granted to LEP candidates who receive confirmation from FINRA that the LEP Request Form has been processed?*

LEP candidates will receive an additional 30 minutes for an examination that is up to two hours in length, an additional 60 minutes for an examination over two hours in length, and an additional 60 minutes for any CE session. See the [Qualifications Web page](#) for a list of examinations, applicable costs, number of questions and time allotted to complete the examination.

4. *How does a candidate submit an LEP Request Form?*

Candidates must submit a completed LEP Request Form to FINRA's LEP Support Services Team via email (PDF format only) to [LEPRequest@finra.org](mailto:LEPRequest@finra.org) or fax to 202-689-3487.

5. *How long will it take for an LEP candidate's request to be processed?*

In general, FINRA will provide notification via email that an LEP Request Form is complete and has been processed, or that further information is required, within 10 business days of receipt. Once FINRA processes a candidate's completed LEP Request Form, FINRA will notify its test delivery vendors that the candidate with LEP should be provided additional time to complete the examination or CE session.

6. *How can a candidate check the status of a submitted LEP Request Form?*

If a candidate does not receive an email notification from FINRA within 10 business days after submitting the LEP Request Form, the candidate can check the status of the request by contacting FINRA's Field Support Services Team at 800-999-6647, Option 3.

7. *Can a candidate schedule an appointment before submitting the LEP Request Form?*

No. Candidates must receive notification from FINRA that their request has been processed prior to scheduling any appointments. If an appointment is scheduled prior to requesting additional time based on LEP, FINRA will not process the LEP Request Form until the appointment is cancelled.

8. *How does a candidate schedule an examination after FINRA confirms by email that the request was processed?*

Candidates must schedule the examination or CE session appointment via telephone with one of FINRA's test delivery vendors:

- Pearson VUE's National Registration Center: (toll-free) (866) 396-6273
- Prometric's National Call Center: (toll-free) (800) 578-6273

9. *Is a candidate required to present at the testing center a letter from his/her firm requesting additional time based on LEP?*

No. Candidates must follow the procedures outlined at [LEP Web page](#). Test delivery vendor personnel will not accept such letters and are no longer authorized to provide additional time to LEP-eligible candidates without prior notification from FINRA.

10. *Does a candidate have to submit an LEP Request Form for each examination/CE session he/she plans to take?*

No. The request for additional time will apply to all of the examinations/CE sessions that are included on the LEP Request Form and that have an open enrollment window.

11. *If a candidate fails an exam and needs to retake it, will he/she have to submit a new LEP Request Form?*

Yes. Each subsequent enrollment will require a new form.