

Limited English Proficiency (LEP) Attestation Form

Firms must complete and retain LEP Attestation Forms for their records and produce them upon regulatory request. Extra time for LEP should be submitted via CRD. FINRA processes LEP requests for Securities Industry Essentials (SIE) exam candidates and unsponsored qualification exam candidates. Please contact your registration/compliance officer for more details.

CANDIDATE INFORMATION AND ATTESTATION

Name: _____
 Residential Mailing Address: _____
 City: _____ State: _____ Zip Code: _____
 Employer Address: _____
 City: _____ State: _____ Zip Code: _____
 Email Address: _____ Telephone: _____
 CRD # or FINRA ID #: _____ Exam/Series #(s): _____

I hereby request additional time to complete the SIE or qualification exam(s) 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 organizations or state or bank regulators, as appropriate.

Signature: _____ **Date:** _____

FINRA MEMBER FIRM * OR SPONSORING ORGANIZATION INFORMATION AND ATTESTATION

Select the 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 organizations or state or bank regulators, 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.

Sponsored CRD Candidates – Your firm must request additional time for LEP via CRD for qualification exams. FINRA will only process LEP requests for sponsored, CRD candidates taking the SIE exam.

Un-sponsored Candidates and SIE Exam Takers – submit your LEP request online at [Web-based LEP Request Form](#)