

Classic CRD

Limited English Proficiency (LEP) Request

FINRA provides candidates with Limited English Proficiency (LEP) additional time to complete FINRA-administered qualification exams that certify an individual for registration with FINRA or to engage in securities business.

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 <u>FINRA's LEP Web</u> <u>page</u> for additional details.

IMPORTANT NOTE:

All classic CRD features should now be accessed through <u>FINRA Gateway</u>, 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 <u>FeedbackFINRAGateway@finra.org</u>.

Securities Industry Essentials[©] (SIE[©]) Exam

As of October 16, 2023, extra time for LEP candidates is available for the SIE exam. SIE test takers must complete a web-based LEP Request Form.

Retaking an Exam and Subsequent Exams

If a candidate does not successfully complete an exam and needs to retake it, FINRA will reapply LEP time to the new enrollment period within five business days. Candidates should not schedule a testing appointment until they have been notified via email that extra time for LEP has been added to the enrollment(s).

FINRA will reapply previously approved LEP time to subsequent exams that are opened within 5 years of the initial LEP approval date. Therefore, firms do not need to submit additional requests.

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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

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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 <u>FINRA Gateway</u>. 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.

*	Test Contacts <u>View Notification</u>		
1	Dashboard		🌣 Dashboard Settings
) ()	Profile Search Individual SSN Search Registration	Links Quick Links	
20	 Search for an Individual by Name or CRD # who is currently or previously associated with your firm or one of your SFG affiliates. 	4530 Reporting Advertising- Ad Reg	OATS OTC Transparency Data
***	Search Criteria		Over-the-Counter Equities
2	Search by Name or CRD#	BD Form	Data
		8 Classic CRD	<u>Peer-2-Peer Compliance</u> Library
		<u>Compliance Vendor</u> <u>Directory</u>	Pre-Registration Search
		<u>E-Bill</u>	Preferred Pricing Program
		FINRA.org	RegT Extension
		🔗 <u>Firm Gateway</u>	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 1. Click the **Individual** tab on the Web OR Web CRD site map, click NFI CRD toolbar. 1a. Click on Non-Filing Info from the sub-Individual Search. menu. Individual View Individual Individual Search Web CRD ® Disclosure Only Individual Search CRD Main IARD Main Forms Individual Organization E-Bill Reports View Individual Non-Filing Info Firm Queues Non-Filing Info NFI Individual Search Firm Queues Continuing Education Approaching CE Requirement CE 2-Year Termed

2. Enter a combination of the Individual's CRD#, SSN, Name, Firm Name, Firm CRD Number and/or States and click the Search button.

		NFI Individu	al Search Criteria	🕐 🚑 Printer Friendly
Search by CRD N	umber			
CRD Number :]	
Search by Social	Security	v Number		
SSN (xxx-xx-xxx	x):			
Search by Name				
Last Name:	[First Name:	
Middle Name:			Perform "sounds-like" search	
Firm CRD Number	r:		Firm Name:	
	Alabama Alaska Arizona Arkansas California		Selected State(s) >> <<	
Select Number of	Rows			
Number of Rows	per Pag	e: 25		
			Search	

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.



3. Click the **LEP Flag** for the appropriate **Exam**. If you are requesting LEP for multiple enrollments, click the **LEP Select All** button. Click Submit.

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Individual CR	111 #: 111	<u>1111</u>		Indiv	idual Na	ne: DOE, JOHN					
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Individual In	formatio	n									
RR Registered						Yes					
RA Registered	1:					No					
Billing Code:											
Exams											
LEP Flag Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor		Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
	S 7	36835529								08/11/2018	12/09/2018
	524	36835530								08/11/2018	12/09/2018
	S63	36835531								08/11/2018	12/09/2018
						Su	bmit				

4. Select Continue.

Exams No Exam Enr	By clicking the Conti executed LEP Reque			at the firm maintains and	d will produce	upon request	a properly	
CE LEP Flag 🖇			C	CANCEL				
	10	Status	Date		Number	Center 1D		

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 rea	quest for	additional time ba	sed on LEP and a	ccompanying cer	tificatior	n has been successf	ully submitted. Yo	ou may now sched	ule an appointment for	r the candidate.				
				Lin	nited	English Prof	iciency (LE	P) Reques	t					
Individual CF	RD#: <u>111</u>	<u>1111</u>		Indiv	Individual Name: DOE, JOHN									
English as th A firm may r examination	eir prima equest ac . A firm n	ry language and dditional time bas	have limited abil ed on LEP for thi t All button to re	ity to read, spea is candidate for quest additional	k, write any ope time fo	e or understand Eng in enrollments that r all eligible enrolln	llish. Refer to FI) do not reflect an	NRA's LEP webpa appointment sta	ge for additional deta tus of "Scheduled" by	tes with LEP are persons who ils. selecting the check box for th and a principal/officer of the	e appropriate			
Individual In														
RR Registered	d:				Yes									
RA Registered	d:				No									
Billing Code:														
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LEP Flag Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendo	r	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date			
	S7	36835529								08/11/2018	12/09/2018			
v	S24	36835530								08/11/2018	12/09/2018			
	S63	36835531								08/11/2018	12/09/2018			
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OR

4a. If the firm does not agree to the certification statement, select **Cancel.**

Exams No Exam Enr	By clicking the Cont executed LEP Requ			t the firm maintains and	d will produce	upon request	a properly	
CE LEP Flag 🖇			co	ONTINUE CANCEL	>			
	10	Status	Date		матры	Center 1D		

If you select 'Cancel':

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- 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** •

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				LIN	ntea	glish Proficiency (L	EP) Reques	E .					
Individual CF	2D#: 111	1111		Indiv	idual Na	DOE, JOHN							
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LEP Flag Select All	Exam	Enrollment ID	Appointment Status	Appointment Date	Vendo	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date			
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	S24	36835530							08/11/2018	12/09/2018			
	S63	36835531							08/11/2018	12/09/2018			
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5. Once the LEP request has been successfully submitted, the candidate can schedule the appointment with the extra time through the testing vendor, Prometric.