

Information Notice

Revised Process for Candidates Whose Primary Language Is Not English to Receive Additional Time to Complete a Qualification Examination or Continuing Education Session

Effective: September 8, 2014

Executive Summary

FINRA is enhancing the process for candidates with limited English proficiency (LEP) to receive additional time to complete a qualification examination or Regulatory Element Continuing Education session (CE session). Effective September 8, 2014, firms must submit through the Central Registration Depository (CRD®) all requests for candidates with LEP to receive additional time to complete a qualification examination or CE session. Detailed information on the revised process is available on [FINRA's website](#).

Questions about this *Notice* may be directed to FINRA's Gateway Call Center at (301) 590-6500.

Discussion

FINRA provides individuals with LEP additional time to complete a FINRA-administered qualification examination or CE session. Individuals with LEP are persons who (1) do not speak English as their primary language; *and* (2) have limited ability to read, speak, write and understand the English language. The current process requires firms to (1) open an appropriate enrollment window in the CRD system, (2) send a completed hardcopy LEP Request Form via email or facsimile to FINRA, and (3) schedule the examination or CE session after being advised that the LEP Request Form has been processed.¹

July 10, 2014

Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Legal
- ▶ Operations
- ▶ Registered Representatives
- ▶ Registration
- ▶ Senior Management

Key Topics

- ▶ Continuing Education
- ▶ Limited English Proficiency
- ▶ Qualification Examinations

Referenced Rules & Notices

- ▶ Information Notice 8/1/12

Effective September 8, 2014, firms that request examinations and CE sessions through the CRD system and are seeking additional time for a person with LEP to complete an examination or CE session must submit electronically such requests directly through the CRD system. FINRA will no longer accept hardcopy LEP Request Forms from firms that use the CRD system.² In this new process, a firm will submit the LEP request for a candidate after selecting the appropriate qualification examinations and CE sessions in the CRD system, and certifying that it has and will produce on request a properly executed LEP Request Form for the submission. Firms may then schedule qualification examinations and CE sessions immediately after submitting the LEP request via the CRD system.

Note: FINRA will continue to require a candidate who is requesting additional time to complete a FINRA-administered qualification examination or CE session as a result of LEP and an authorized representative of that candidate's firm to complete the hardcopy [LEP Request Form](#) and attest to the representations on the form regarding the candidate's LEP status. FINRA also will continue to require that a firm retain a copy of the completed LEP Form and produce the form upon request.

FINRA will entitle firm Super Account Administrators (SAAs) to the LEP functionality in the CRD system by September 8, 2014. SAAs will then be able to entitle themselves and appropriate firm users to submit LEP requests through the CRD system. FINRA will publish on the [LEP webpage](#) a training guide on how to complete the LEP request process through the CRD system.

Endnotes

1. See [Information Notice 8/1/12](#).
2. The process for candidates who are employed or associated with a firm that does not use the CRD system to schedule examinations or CE sessions and who are required to take a FINRA-administered examination will not change. Such candidates will continue to submit hard copy LEP Request Forms to FINRA.