



Texas State Securities Board
P.O. Box 13167
Austin, Texas 78711-3167

Request for Reduced Fees for Certain Persons Registered in Multiple Capacities

Name: _____

Address: _____

Telephone: _____ Date of Birth: _____

CRD Number: _____

Applicant's Dealer or name under which applicant will conduct business as a sole proprietor Dealer: _____

Applicant's Investment Adviser or name under which applicant will conduct business as a sole proprietor Investment Adviser: _____

The undersigned certifies that he or she is currently registered in Texas as either an agent of the above named dealer or as the above named sole proprietor dealer and that he/she is seeking to be or currently is registered in Texas as either an investment adviser representative of the above named investment adviser which has less than five investment adviser representatives or as the above named sole proprietor investment adviser who has less than five investment adviser representatives. The undersigned hereby requests that the Securities Commissioner, pursuant to §115.8 and §116.8, grant a reduction in my registration fees. The undersigned further certifies that he/she will notify the Securities Commissioner, within 30 days, of any cessation of dual registration or if any of the criteria enumerated in these Board Rules cease to be applicable.

The undersigned acknowledges that making a false or misleading statement in a document filed with the Securities Commissioner or submitting false or misleading information or omitting pertinent or material information in connection with any document filed with the Commissioner may constitute a violation of The Texas Securities Act, be grounds for discipline under The Texas Securities Act, and may subject the undersigned to other legal sanctions, including administrative, civil or criminal penalties, including being deemed guilty of a felony of a third degree as provided in Section 29.E of The Texas Securities Act.

I represent that I have read this form, that I understand it and am familiar with its contents, and that the information and statements contained in this form filed, are current, true and complete to the best of my knowledge, information and belief and that any documents submitted with this form

Form
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are true copies of the originals. I further represent that to the extent any information previously submitted with this form is not amended, such information is accurate and complete.

I declare under penalty of perjury under the laws of Texas that the foregoing is true and correct.

Executed the ___ day of _____, 20 ____.

Signature

Printed name

Title