



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

Notice Filing for Third Party Brokerage Arrangements on Financial Entity Premises
(§139.20)

1. Name of Financial Entity: _____

2. Address of Financial Entity: _____

3. Designated Officer/Contact Person: _____

Email: _____

4. Name of Registered General Dealer Providing Services: _____

5. Is the financial entity currently the subject of any litigation or arbitration relating in any way to the offer or sale of securities? Yes No

6. Please Attach the Following Fees:
 Financial Entity (Same as dealer registration fee)
 Designated Officer (Contact person) (Same as agent registration fee)
Checks should be made payable to the Texas State Securities Board.

Executed the ____ day of _____, 20____.

By: _____
Signature

Printed name

Title