



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

Waiver or Refund Request by a Military Service Member or Military Spouse for a Renewal Fee
(§115.18(h) or §116.18(h))

1. Name of Applicant: _____

2. Application Type (check all that apply):

- Dealer (sole proprietor) Agent
- Investment Adviser (sole proprietor) Investment Adviser Representative

3. Applicant CRD No. (if applicable): _____

4. Name of Employer: _____
CRD or IARD No. of the Employer, if applicable: _____

5. I, the Applicant: (check all that apply)

- am a military service member
 military spouse
as those terms are defined in §115.18(a) or §116.18(a).

- hold a current registration issued by another state, the District of Columbia, or a territory of the United States. Please list all such jurisdictions where the applicant holds a comparable current registration: _____

6. I, the Applicant, am requesting: (check all that apply)

- WAIVER of the renewal fee.
- REFUND of the renewal fee. A refund request must be made within four years from the date the fee was collected or received by the Texas State Securities Board (Agency).

Please provide the following information to assist in processing the request for refund:

- a. Person who tendered the fee (Original Payee). This may be different from the Applicant if the fee was paid by a third party (usually an employer) on the Applicant's behalf. State law and procedures require that payment refunds be processed for repayment to the original payee.

- b. Date the fee was collected or received by the Agency: _____
- c. Amount of the fee: _____
- d. If the Applicant is not the Original Payee, please provide the following information for the Original Payee:
Name of Correspondent for the Original Payee: _____
Correspondent telephone number: _____
Correspondent email: _____
Address of the Original Payee: _____

- e. Please provide the Texas Identification Number for the Original Payee: _____
If not providing a Texas Identification Number, the Original Payee will need to complete Form AP-152 Application for Texas Identification Number (available on the Texas Comptroller's website: comptroller.texas.gov) and submit it to the Agency with this refund request.

The undersigned affirms that to the best of his or her knowledge, information, and belief the statements made on this form are current, true, and complete.

Executed the _____ day of _____, 20_____.

Signature

Printed name



Texas State Securities Board
P.O. Box 13167
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**Request for Recognition of Out-Of-State License or Registration
Pursuant to Occupations Code §55.0041
(§115.18(h) or §116.18(h))**

1. Name of Applicant: _____

2. Capacity (check all that apply):

- Dealer (sole proprietor)
- Investment Adviser (sole proprietor)
- Agent
- Investment Adviser Representative

3. CRD No. of Applicant (if applicable): _____

4. Name of Employer: _____

Employer CRD or IARD No. (if applicable): _____

5. I, the Applicant: (check all that apply)

- am a military service member military spouse
as those terms are defined in §115.18(a) or §116.18(a).

- hold a current registration issued by another state, the District of Columbia, or a territory of the United States. Please list all such jurisdictions where the applicant holds a comparable current registration: _____

6. Please attach proof of residency in Texas and provide a copy of your military identification card.

I acknowledge that, before I will engage in business in the State of Texas in the capacity designated above, I must first receive confirmation from the Texas State Securities Board that I am authorized to engage in such activity in accordance with Occupations Code, Section 55.0041, and Board Rule 115.18(h) (if capacity is as a dealer or agent) or Board Rule 116.18(h) (if capacity is as an investment adviser or investment adviser representative). As required by Occupations Code, Section 55.0041(c), I shall comply with all other laws and regulations applicable to persons registered in the designated capacity in this state. If recognized in the capacity of a dealer or investment adviser, this includes being subject to inspection pursuant to §4007.105 (formerly Section 13-1) of the Texas Securities Act. I will notify the Securities Commissioner within 30 days if I become ineligible under Occupations Code, Section 55.0041, and Board Rule 115.18 or 116.19 to engage in business in Texas without registration.

The undersigned affirms that to the best of his or her knowledge, information, and belief the statements made on this form are current, true, and complete.

Executed the _____ day of _____, 20_____.

Signature

Printed name

PROPOSED