



DATE: June 8, 2026

TO: All Members of Texas Stock Exchange LLC (TXSE)

FROM: TXSE Regulation

SUBJECT: CRD Registration Reminder for TXSE

Approved Firms and their associated persons are reminded of their obligation to register with Texas Stock Exchange LLC (“TXSE” or the “Exchange”) through FINRA’s Central Registration Depository (“CRD”) system.

Registration via CRD for both Form BD and Form U4 applicants opened January 31, 2026. Broker-dealer firms must designate TXSE on their Form BD filings, and associated persons must submit Form U4 through CRD to request registration with the Exchange. All amendments, updates, and terminations of registration must also be filed electronically through CRD.

Firms may elect to have FINRA automatically register member personnel in applicable TXSE registration categories (GS, TD, MT, GP, TP, FN, CR, FI) for their registered personnel who hold the corresponding FINRA registrations.

To participate, member firms must notify marketops@txse.com no later than **June 30, 2026**. For firms that opt in, FINRA will systematically apply the applicable registrations immediately prior to TXSE commencing trading the following week.

Members of the Exchange are required to:

- Register their Firm with TXSE on Form BD.
- Unless opting-in as noted above, register individuals in accordance with the Exchange’s Rulebook, including but not limited to:
 - **Associated persons and designated principals** pursuant to Interpretation and Policies .01 and .03 to TXSE Rule 2.005;
 - **Executive officers, directors, principal shareholders, and general partners** pursuant to TXSE Rule 2.006(g);

- **Authorized Traders** pursuant to TXSE Rule 11.004.

The corresponding qualification examinations and registration codes can be found below:

Category of Registration	Registration Code	Qualification Exam	Alternative Acceptable Qualifications
General Security Representative	GS	Series 7 and SIE	N/A
Securities Trader	TD/MT	Series 57 and SIE	N/A
General Securities Principal	GP	Series 7 and Series 24	Compliance Officer Examination (Series 14) ⁱ
Securities Trader Principal	TP	Series 57 and Series 24	Compliance Officer Examination (Series 14) ⁱ
Financial/Operations Principal	FN	Series 27	Other examination acceptable to DEA ⁱⁱ
Introducing Broker Financial/Operations Principal	FI	Series 28	N/A

For more information, please refer to the [TXSE Rulebook](#).

Additional Information:

- For questions or inquiries regarding regulatory matters, contact: regulation@txse.com
- To submit a tip or complaint related to a potential violation of TXSE rules, send an email to: tipsandcomplaints@txse.com

ⁱ The Exchange will only permit the Series 14 for those designated as Chief Compliance Officers (CR) on Schedule A of Form BD.

ⁱⁱ If a Member has satisfied the financial and operational requirements of its DEA applicable to registration, the Exchange waives the requirements of Interpretation and Policies .01(e) of TXSE Rule 2.005.