SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–106460; File No. SR–NYSE–2026–44]

Self-Regulatory Organizations; New York Stock Exchange LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Amend NYSE Rule 1210

September 22, 2026.

Pursuant to Section 19(b)(1)[1] of the Securities Exchange Act of 1934 (''Act'')[2] and Rule 19b–4 thereunder,[3] notice is hereby given that on September 10, 2026, New York Stock Exchange LLC (''NYSE'' or the ''Exchange'') filed with the Securities and Exchange Commission (the ''Commission'') the proposed rule change as described in Items I, II, and III below, which Items have been prepared by the self-regulatory organization. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to amend NYSE Rule 1210 (Registration Requirements) applicable to member organizations[4] to align with a recent amendment by the Financial Industry Regulatory Authority, Inc. (''FINRA''). The proposed rule change is available on the Exchange's website at *www.nyse.com* and at the principal office of the Exchange.

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the self-regulatory organization included statements concerning the purpose of, and basis for, the proposed rule change and discussed any comments it received on the proposed rule change. The text of those statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant parts of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and the Statutory Basis for, the Proposed Rule Change

1. Purpose

The Exchange proposes to amend NYSE Rule 1210 (Registration Requirements). More specifically, the Exchange proposes to reduce the waiting periods for retaking FINRA qualification examinations as provided in Commentary .05 to NYSE Rule 1210 (Waiting Periods for Retaking a Failed Examination) to align with a recent amendment to FINRA Rule 1210, Supplementary Material .06.[5]

NYSE Rule 1210 requires each person engaged in the investment banking or securities business of a member organization to be registered with the Exchange as a representative or principal in each category of registration appropriate to his or her functions and responsibilities as specified in Rule 1220 (Registration Categories), unless exempt from registration pursuant to Rule 1230 (Associated Persons Exempt from Registration). Pursuant to Commentary .02 to NYSE Rule 1210 (Qualification Examinations and Waivers of Examinations), before a person can be registered with the Exchange, he or she must pass the appropriate qualification examinations or obtain a waiver of the qualification examination requirement. If a person fails a qualification examination, Commentary .05 to NYSE Rule 1210 (Waiting Periods for Retaking a Failed Examination) sets forth the time the person must wait before he or she can retake that qualification examination.

For the first and second failed attempts, the person must currently wait 30 calendar days to retake the qualification examination. A person who fails a qualification examination three or more times in succession within a two-year period must currently wait 180 calendar days before he or she can retake that examination. These waiting periods apply to the Securities Industry Essentials (''SIE'') examination and the representative and principal examinations specified under NYSE Rule 1220.

FINRA amended its Rule 1210, Supplementary Material .06, to shorten the required qualification examination retake waiting periods to 15 calendar days after the first and second failed attempts, and 60 calendar days after the third and all subsequent failed attempts that occur within a two-year period.[6] As described in the FINRA Rule Change, since the current waiting periods were adopted in 1989, FINRA's qualification program has undergone significant changes that have shifted the principal risks that originally informed the rule. FINRA noted in the FINRA Rule Change that today's high-volume FINRA qualification examinations use extensive question banks that contain thousands of questions, with each test taker receiving only a small subset of questions per attempt, which reduces both the likelihood that repeat test takers will depend on memorized questions from prior attempts and the risk of content being disseminated to others. Additionally, FINRA noted in the FINRA Rule Change that it employs data forensics and advanced technology to identify misconduct and compromised examination content, taking appropriate corrective action when such incidents occur. Moreover, these enhanced detection capabilities help to ensure that the shortened waiting periods would not compromise FINRA's ability to conduct timely investigations into possible cheating or other violations of examination rules of conduct.[7] Over the past several years, FINRA noted it has received input from various industry channels about the burden that the current qualification examination waiting periods place on individuals seeking to enter the securities industry.[8] Similar feedback regarding these challenges was received by FINRA in response to its request for comment on modernizing FINRA rules, guidance, and processes for the organization and operation of member workplaces.[9] Given this consistent input and the changes to the qualification program described above, FINRA determined that shortening the waiting periods would lessen the burden on individuals while continuing to protect investors by maintaining appropriate program integrity.

At this time, NYSE proposes to amend Rule 1210, Commentary .05, to conform to FINRA Rule 1210, Supplementary

[1] 15 U.S.C. 78s(b)(1).

[2] 15 U.S.C. 78a.

[3] 17 CFR 240.19b–4.

[4] In general, the term ''member organization'' means a registered broker or dealer (unless exempt pursuant to the Securities Exchange Act of 1934), including sole proprietors, partnerships, limited liability partnerships, corporations, and limited liability corporations, approved by the Exchange pursuant to NYSE Rule 311. A registered broker or dealer must also be approved by the Exchange and authorized to designate an associated natural person to effect transactions on the floor of the Exchange or any facility thereof. *See* Rule 2(b)(i). The term ''member organization'' also includes any registered broker or dealer which does not own a trading license and agrees to be regulated by the Exchange as a member organization and which the Exchange has agreed to regulate, including Limited Underwriting Members as defined herein. *See* Rule 2(b)(ii). For a complete definition of the term ''member organization,'' *see* Rules 2(b)(i), 2(b)(ii) and 2(b)(iii).

[5] *See* Securities Exchange Act Release No. 105885 (July 13, 2026), 91 FR 43678 (July 16, 2026) (SR–FINRA–2026–014) (''FINRA Rule Change'').

[6] *Id.*

[7] *Id.*

[8] *Id.*

[9] *See* FINRA Regulatory Notice 25–07 (April 2025).

Material .06. Specifically, the Exchange proposes to reduce the waiting period after the first and second failed attempts from 30 to 15 calendar days, and to reduce the waiting period after the third and all subsequent failed attempts within a two-year period from 180 to 60 calendar days. The Exchange believes that conforming its rules to FINRA's amended requirements will promote consistency and reduce potential confusion for member organizations and their associated persons. Because member organizations and their associated persons are also subject to FINRA's registration and qualification requirements, maintaining uniform waiting periods across both rule sets ensures that individuals experience a coherent and predictable regulatory framework.

In the FINRA Rule Change, FINRA noted it would announce the implementation date of its rule change in a Regulatory Notice. The Exchange will likewise announce the implementation date of this proposed rule change via a Regulatory Memo on or around the same time as the Regulatory Notice published by FINRA.

2. Statutory Basis

The proposed rule change is consistent with Section 6(b) of the Securities Exchange Act of 1934 (the "Act"),[10] in general, and furthers the objectives of Section 6(b)(5),[11] in particular, because it is designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, to foster cooperation and coordination with persons engaged in facilitating transactions in securities, to remove impediments to, and perfect the mechanism of, a free and open market and a national market system and, in general, to protect investors and the public interest, by reducing the waiting periods for retaking FINRA qualification examinations to align with FINRA Rule 1210, Supplementary Material .06. Specifically, the Exchange believes that the proposed rule change protects investors and the public interest by conforming the Exchange's qualification examination waiting periods to FINRA's amended requirements, thereby promoting consistency across the regulatory framework and reducing potential confusion for member organizations and their associated persons. As described in detail in the FINRA Rule Change, changes to the FINRA qualification program have reduced the risks that originally informed the current waiting periods, and the shortened periods continue to provide sufficient time for the maintenance of examination integrity and the investigation of potential misconduct. The proposed rule change also fosters cooperation and coordination with persons engaged in regulating transactions in securities by aligning the Exchange's qualification examination requirements with those of FINRA. Further, the proposed rule change removes impediments to and perfects the mechanism of a free and open market by reducing unnecessary barriers to entry for individuals seeking to register to work in the securities industry.

B. Self-Regulatory Organization's Statement on Burden on Competition

The Exchange does not believe that the proposed rule change will impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act. The proposed rule change does not impose any undue burden on competition; rather, it conforms the Exchange's qualification examination waiting periods to FINRA's amended requirements and does not impose any new obligations or restrictions on member organizations. The proposed rule change may benefit all member organizations by allowing them to more quickly make personnel decisions regarding their associated persons' qualification examination retake timing.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received From Members, Participants, or Others

No written comments were solicited or received with respect to the proposed rule change.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

The Exchange has filed the proposed rule change pursuant to Section 19(b)(3)(A)(iii) of the Act[12] and Rule 19b–4(f)(6) thereunder.[13] Because the proposed rule change does not: (i) significantly affect the protection of investors or the public interest; (ii) impose any significant burden on competition; and (iii) become operative prior to 30 days from the date on which it was filed, or such shorter time as the Commission may designate, if consistent with the protection of investors and the public interest, the proposed rule change has become effective pursuant to Section 19(b)(3)(A) of the Act and Rule 19b–4(f)(6)(iii) thereunder.

A proposed rule change filed under Rule 19b–4(f)(6)[14] normally does not become operative prior to 30 days after the date of the filing. However, pursuant to Rule 19b–4(f)(6)(iii),[15] the Commission may designate a shorter time if such action is consistent with the protection of investors and the public interest.

At any time within 60 days of the filing of such proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings under Section 19(b)(2)(B)[16] of the Act to determine whether the proposed rule change should be approved or disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments

- Use the Commission's internet comment form (*https://www.sec.gov/rules/sro.shtml*); or
- Send an email to *rule-comments@sec.gov*. Please include file number SR–NYSE–2026–44 on the subject line.

Paper Comments

- Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549–1090.

All submissions should refer to file number SR–NYSE–2026–44. This file number should be included on the subject line if email is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's internet website (*https://www.sec.gov/rules/sro.shtml*). Copies of the filing will be available for inspection and copying at the principal office of the Exchange. Do not include personal identifiable information in submissions; you should

[10] 15 U.S.C. 78f(b).

[11] 15 U.S.C. 78f(b)(5).

[12] 15 U.S.C. 78s(b)(3)(A)(iii).

[13] 17 CFR 240.19b–4(f)(6).

[14] 17 CFR 240.19b–4(f)(6).

[15] 17 CFR 240.19b–4(f)(6)(iii).

[16] 15 U.S.C. 78s(b)(2)(B).

submit only information that you wish to make available publicly. We may redact in part or withhold entirely from publication submitted material that is obscene or subject to copyright protection. All submissions should refer to file number SR–NYSE–2026–44 and should be submitted on or before October 16, 2026.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.[17]

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–19634 Filed 9–24–26; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0031]

Agency Information Collection Activities; Submission for OMB Review; Comment Request; Extension: Rule 17f–2(e)

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of FOIA Services, 100 F Street NE, Washington, DC 20549–2736

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission (''SEC'' or ''Commission'') is submitting to the Office of Management and Budget (''OMB'') this request for extension of the proposed collection of information provided for in Rule 17f–2(e) (17 CFR 240.17f–2(e)), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*).

Section 17(f)(2) requires, in pertinent part, that every member of a national securities exchange, broker, dealer, registered transfer agent, and registered clearing agency (collectively, ''covered entities'') require that each of their partners, directors, officers, and employees be fingerprinted and submit (or cause to be submitted) such fingerprints to the U.S. Attorney General for identification and appropriate processing.[1] Section 17(f)(2) also authorizes the Commission, by rule, to exempt from the fingerprinting requirements of Section 17(f)(2) upon specified terms, conditions, and periods, any class of partners, directors, officers, and employees of a covered entity, if the Commission finds that such action is not inconsistent with the public interest or the protection of investors. Rule 17f–2 promulgated under Section 17(f)(2) provides for certain exemptions from the fingerprinting requirement of Section 17(f)(2).[2] Under Rule 17f–2, a covered entity may claim an exemption from the fingerprint requirements of Rule 17f–2 provided they make and keep current a statement entitled ''Notice Pursuant to Rule 17f–2'' containing the information specified in Rule 17f–2(e)(1) to support their claim of exemption (''Notice'').[3] Rule 17f–2(e)(2) requires covered entities to keep a copy of the Notice in an easily accessible place at the organization's principal office and at the office employing the persons for whom exemptions are claimed, and to make the Notice available for inspection upon request by the Commission, appropriate regulatory agency (if not the Commission), or other designated examining authority. Notices prepared pursuant to Rule 17f–2(e) must be maintained for different lengths of time depending on the type of entity maintaining the Notice. Under Rule 240.17a–1, every registered clearing agency must keep and preserve at least one copy of all documents made or received by it in the course of its business for a period of not less than five years. Under Rule 240.17a–4 certain members of national securities exchanges, brokers, and dealers must maintain the Notice during the life of their enterprise. Under Rule 240.17Ad–7, registered transfer agents must maintain the Notice in an easily accessible place. The recordkeeping requirement under Rule 17f–2(e) assists the Commission and other regulatory agencies with helping ensure compliance with Rule 17f–2.

Based on the Commission's experience with Rule 17f–2(e), we estimate that approximately 75 respondents will incur an average burden of 30 minutes per year to comply with this rule, which represents the time it takes for a staff person at a covered entity to properly document a claimed exemption from the fingerprinting requirements of Rule 17f–2 in the required Notice (0.4 hours, constituting a reporting type of burden) and to properly retain the Notice according to the entity's record retention policies and procedures (0.1 hours, constituting a recordkeeping type of burden). The estimated aggregate annual burden for all covered entities is approximately 38 hours (75 entities × 0.5 hours, rounded up).

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB Control Number.

The public may view and comment on this information collection request at: *https://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=202607-3235-008* or email comment to *MBX.OMB.OIRA.SEC_desk_officer@omb.eop.gov* within 30 days of the day after publication of this notice, by October 26, 2026.

Dated: September 22, 2026.

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–19614 Filed 9–24–26; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–106464; File No. SR–NYSETEX–2026–35]

Self-Regulatory Organizations; NYSE Texas, Inc.; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Amend NYSE Texas Article 6, Rule 13

September 22, 2026.

Pursuant to Section 19(b)(1)[1] of the Securities Exchange Act of 1934 (''Act'')[2] and Rule 19b-4 thereunder,[3] notice is hereby given that, on September 10, 2026, the NYSE Texas, Inc. (''NYSE Texas'' or the ''Exchange'') filed with the Securities and Exchange Commission (the ''Commission'') the proposed rule change as described in Items I, II, and III below, which Items have been prepared by the self-regulatory organization. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to amend NYSE Texas Article 6, Rule 13 (Registration Requirements) applicable to Participants[4] to align with a recent amendment by the Financial Industry Regulatory Authority, Inc. (''FINRA'').

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[17] 17 CFR 200.30–3(a)(12).

[1] 15 U.S.C. 78q(f)(2).

[2] 17 CFR 240.17f–2.

[3] 17 CFR 240.17f–2(e).

[1] 15 U.S.C. 78s(b)(1).

[2] 15 U.S.C. 78a.

[3] 17 CFR 240.19b–4.

[4] In general, the term ''Participant'' means any Participant Firm that holds a valid Trading Permit and any person associated with a Participant Firm who is registered with the Exchange under Articles 16 and 17 as a Market Maker Authorized Trader or Institutional Broker Representative, respectively. A Participant shall be considered a ''member'' of the Exchange for purposes of the Exchange Act. *See* Article 1, Rule 1(s). For a complete definition of the term ''Participant,'' *see* Article 1, Rule 1(s).