



16801 Addison Rd., Suite 430 Addison, TX 75001
Ph: 800-230-8415 Fax: 972-331-5679
Southwest Securities, Inc. and/or
Broker/Dealers for which it clears
Southwest Securities, Inc. Member NYSE/FINRA/SIPC

FOR BROKER USE ONLY SWS to SWS Transfer ONLY Broker Change ONLY
CO=Corporate EI=Ed. IRA JT=Joint SI=Simple IRA ACAT
CT=Co-Trustee ES=Estate OT=Other SN=Single Non-ACAT
CU=Custodian HSA QP=Qual/PS/Pen/Plan TR=Trust Partial
DR=Direct Rollover IR=IRA RI=Roth IRA

Account Transfer Form

Use a separate form for each account you transfer. To roll over from an employer-sponsored retirement plan, see your employer for specific details.

1. SWST Account Information. (Attach your completed new account application if for a new account.)

Name as it appears on your SWST account: _____ Primary SS/Tax ID #: _____

SWST Account Number (if applicable): _____ Secondary SS#: _____

2. Transferring Account Information. (Refer to your statement for the following information.)

Name as it appears on transferring account* _____ Transferring Account Number _____

Name of Transferring Firm _____ Firm Phone Number _____ Delivering Broker Number _____

Transferring Firm's Address _____ City _____ State/Province _____ Country _____ Zip _____

*If your SWST account is not the same type of account as the one you are transferring, you must complete the Letter of Authorization on the back of this form.

What types of assets are held in your transferring account?* (Check ALL that apply.)

- Common Stocks Options Cash Margin Debit Balance \$
Mutual Funds Government Securities Corporate Bonds Foreign Securities (May be assessed an additional charge.)

* SWST will not accept limited partnerships or private placements.

3. Transfer Instructions. (Please complete section A, B or C.)

A. Transfer my ENTIRE account. (This is a total transfer which includes all assets held in your account.)

B. Transfer only PART of my account. (Please specify the assets you wish to transfer.)

Table with 4 columns: Asset Description, Transfer (select one), Asset Description, Transfer (select one). Includes checkboxes for All and # of Shares.

C. Mutual Fund Company Transfer. (Use a separate form for each mutual fund company.)

Name of Fund Company: _____

Table with 5 columns: Name of Fund, Fund Account #, Registration (select one), Dividend (select one), Capital Gains (select one). Includes checkboxes for Liquidate, Transfer, Reinvest, and Pay in Cash.

4. Attach a Copy of Your Most Recent Statement for the Transferring Account.

Please be sure to attach a copy of your most recent statement for the account you are transferring to Southwest Securities, Inc.

5. Please Read and Sign this Section.

If this account is a qualified retirement account, I have amended the applicable plan so that it names Southwest Securities, Inc. ("SWST") as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to SWST. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the timeframes required by NYSE Rule 412 or similar rule of the NASD or other designated examining authority. Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. If requesting a transfer of a retirement plan I acknowledge that I understand and meet all necessary requirements for the transfer.

X Applicant's Signature _____ Date _____

X Co-Applicant's Signature _____ Date _____

Delivering Agents - Please refer to the reverse side of this form for delivery instructions.

Signature Guaranteed By:
Medallion Signature Guarantee Program (if applicable)

Letter of Acceptance - To the prior trustee: Please be advised that Southwest Securities, Inc. does hereby accept appointment as successor custodian.

X Successor Custodian Authorized Signature _____ Date _____ Investment Representative's Name _____ Rep # _____ Office # _____

Letter of Authorization

Please complete if the type of account in Section 1 is different than that in Section 2.

To Southwest Securities, Inc.:

I hereby authorize the following transfer of assets:

TRANSFER FROM:

Delivering Firm: _____

Account Number: _____

Account Title: _____

TRANSFER TO:

SWST Account Number: _____

Account Title: _____

Investment Representative's Name: _____ Office #: _____ Rep #: _____

I understand this transfer constitutes a change in the ownership of the assets and that the new registered account holders will have exclusive rights to the assets.

All authorized signers on the account being transferred are required to sign.

Sincerely,

X _____

Applicant's Signature

Date

X _____

Co-Applicant's Signature

Date

IMPORTANT: Completion of this form does not guarantee acceptance by delivering firm. Please contact the firm you are transferring your account from as indicated in Section 2 to confirm acceptance of the Letter of Authorization.

! Did You . . .

- Include a copy of your most recent transferring account statement with your account name clearly shown?
- Complete Sections 1 and 2 in full?
- Make sure that the type of account in Section 1 matches the type of account in Section 2? (If not, please fill out the Letter of Authorization.)
- Complete the appropriate boxes in Section 3?
- Sign in Section 5 if you are an account holder or trustee?
- Know to allow 3-6 weeks for your transfer to be completed. Time required to complete your transfer is influenced by industry rules and regulations.

FOR BROKER USE ONLY

Receiving Firm Information

Name and Address
Southwest Securities, Inc.
1201 Elm Street, Suite 3500
Dallas, TX 75270-2180

Tax ID Number
75-1382137

Fax Number
(214) 859-1828

Delivery Instructions

All deliveries MUST include client name and SWS account number.

Depository Trust Company

DTC Clearing Number: 0279

Dividend Reinvestment or Close-End Mutual Funds

Transfer all full shares. Liquidate Fractions and send a check.

Option Instructions

OCC# 0279

ACAT Physical Delivery of Securities

NSCC Window #279 or
Southwest Securities, Inc.
Attn: Dealer Department
100 Broadway, 9th Floor
New York, NY 10005

Foreign Clearance Instructions

Merrill Lynch FAO Southwest Securities, Inc. # 64U80279

Fed Wired Funds

JP Morgan Chase Bank, N.A.
601 Travis St., 18th Floor, TX2-C095
Houston, TX 77002

ABA # 021000021

Southwest Securities, Inc.

A/C 08805076955

FFC: Name & AC# _____

Attention: _____

Checks

Southwest Securities, Inc.
Attn: Receipts Department
REF: Account Number
1201 Elm Street, Suite 3500
Dallas, TX 75270

Physical Delivery of Securities

Southwest Securities, Inc.
Attn: Stock Transfer Department
REF: AC# _____
1201 Elm Street, Suite 3500
Dallas, TX 75270-2180

International Wires

Same Above Instructions and add
SWIFT address: CHASUS33TEX

Mutual Funds Registration

Southwest Securities, Inc.
FBO AC# _____
P. O. Box 509002
Dallas, TX 75250

Fed-Entry Securities

JPMCHASE/SOUTHWEST
ABA #021000021

Letter of Acceptance

To the prior trustee: Please be advised that Southwest Securities, Inc. does hereby accept appointment as successor custodian.

X _____

Successor Custodian Authorized Signature

Date

Investment Representative's Name

Rep #

Office #