



## 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:**

SWS 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** \_\_\_\_\_ **X** \_\_\_\_\_  
Applicant's Signature Date 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.

**Checks**

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

**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**

Chase Bank of Texas  
Attn: Transfer of Accounts  
ABA # 113000609  
FAO: Southwest Securities, Inc.  
A/C 08805076955  
FFC: AC# \_\_\_\_\_

**Mutual Funds Registration**

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

**Physical Delivery of Securities**

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

**Option Instructions**

OCC# 0279

**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 #