



**Southwest Securities, Inc. and/or Broker/Dealers for which it clears**  
Southwest Securities, Inc. Member NYSE/NASD/SIPC

## **Account Transfer Form Instructions**

**(PLEASE NOTE: Your most recent account statement must be attached in order for this form to be processed.)**

### **General Instructions.**

An ACAT (Automated Customer Account Transfer) involves a transfer of accounts from one firm to another firm. To initiate this type of transfer, please follow the directions below.

Other than money market funds, if you wish to liquidate any securities at your current brokerage firm, these securities must be sold prior to submitting this transfer form to Southwest Securities, Inc. In general, money market funds will be liquidated when effecting an ACAT transfer.

**If transferring from a bank, credit union or a savings and loan:** The client will be responsible for calling the financial institution and requesting any liquidations and/or cash transfers and for requesting that the financial institution issue a check payable to Southwest Securities, Inc. FBO the Client.

**If transferring from an insurance company:** When liquidating an annuity, you must include a Letter of Authorization (on ACAT form) as well as a Corporate Resolution and Letter of Acceptance from Southwest Securities, Inc. (please contact your broker for these forms). The client will be responsible for calling the insurance company and requesting any liquidations and/or cash transfers and for requesting that the insurance company issue a check payable to Southwest Securities, Inc. FBO the Client.

**If transferring from a mutual fund:** Liquidation requests should be sent directly to the mutual fund company. A separate transfer form is required for each different fund company. The client will be responsible for calling the mutual fund company and requesting any liquidations and/or cash transfers and for requesting that the mutual fund company issue a check payable to Southwest Securities, Inc. FBO the Client. Most of the time, rollovers from any 401(k) or 403(b) or other qualified employer sponsored retirement plans held at the mutual fund company will require their own rollover/distribution forms. ***Mutual fund companies may re-designate the shares to be held by Southwest Securities, Inc.***

**If the transfer is a direct rollover:** Please make sure to include the proper direct rollover/distribution forms from the transferring employer-sponsored retirement plan.

Please complete the following numbered sections accordingly (please print or type the information):

### **1. SWS Account Information.**

Please enter the name as it appears on your Southwest Securities, Inc. account along with the account number and your social security number (or tax identification number).

### **2. Transferring Account Information.**

Please enter the name of the account being transferred along with the account number, the name of the transferring firm, their phone number and address.

If your account is not the same type of account as the one you are transferring, you must complete a Letter of Authorization (on page two of the ACAT form). **Completion of this form does not guarantee acceptance by the 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.**

Please make sure to check the applicable box(es) describing the contents of the transferring account.

Please note that **Southwest Securities, Inc. will not accept transfers of limited partnerships or private placements.**

### **3. Transfer Instructions.**

If transferring the entire account, please check "Box A".  
If transferring part of your account, please check "Box B". **Make sure to specify the assets you wish to transfer.**  
If transferring from a mutual fund company, please check "Box C". **You must use a separate form for each mutual fund company.**

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

### **5. Please read and sign the transfer form.**