



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

## IRA Distribution Request Form

### 1. SWS Account Information.

SWS Account Number: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name (First, Middle, Last) \_\_\_\_\_ SSN/Taxpayer ID # \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State/Province \_\_\_\_\_ Country \_\_\_\_\_ Zip \_\_\_\_\_

### 2. Type of IRA. (Check ONE)

1. Traditional     
  2. Roth     
  3. SEP     
  4. SIMPLE (Check ONE:  >2 years OR  <2 years)

### 3. Type of Distribution. (Check ONE)

1. Normal Distribution (Over age 59½)     
  5. IRA to Qualified Plan (Attach a letter of acceptance)  
 2. Death (Attach certified copy of the death certificate)     
  6. Substantially Equal Payments  
 3. Divorce (Attach copy of divorce decree)     
  7. Early-Under age 59½ (Exceptions to 10% penalty must be filed on Form 5329)  
 4. Disability     
  8. Removal of Excess Contribution for Year \_\_\_\_\_

### 4. Distribution Type. (Check ONE)

- A. Distribute my entire account and close my account. (Note: There is a \$25 closing fee.)  
 B. Distribute cash from my account:  
 Gross Amount: \$ \_\_\_\_\_ Net Amount: \$ \_\_\_\_\_ (after tax withholding)

### C. Distribute the following securities.

Asset Description	Quantity	Asset Description	Quantity

### 5. Distribution Method. (Check ONE)

1. Check     
  5. Wire (Fill in the following & note that there is a \$15 wiring fee.)  
 2. Transfer to SWS account # : Bank name: \_\_\_\_\_  
 3. Stock Certificate     
 Routing #: \_\_\_\_\_ Account #: \_\_\_\_\_  
 4. ACH (Must also complete the ACH Form on back)

### 6. Frequency of Distribution. (Check ONE)

1. One time     
  2. Annually     
  3. Quarterly     
  4. Monthly (If monthly, make payment on:  1st OR  15th)

### 7. Tax Withholding – Form W-4P/OMP No. 1545-0415. (Check ONE)

The Tax Equity and Fiscal Responsibility Act of 1982 requires withholding of Federal Income Taxes from distributions beginning on January 1, 1983, unless the recipient elects not to have withholding apply. You may elect out of this withholding by checking the appropriate box below. IF NO ELECTION IS MADE, THE CUSTODIAN MUST WITHHOLD TAXES AT THE REQUIRED RATE (10%). Penalties may be incurred under the estimated tax rules if your withholding and/or estimated tax payments are not sufficient.

- I elect to have no income tax withheld from my Retirement Account Distribution.  
 I want the following percentage withheld \_\_\_\_\_ % (not less than 10%) from each payment.

### 8. For Participants Over 70 ½ Years Old.

I understand there is a minimum annual distribution requirement based on life expectancy and there is a penalty for not complying.

### 9. Please Sign and Date.

**X** \_\_\_\_\_  
 Signature Date

## Automated Clearing House (ACH) Authorization

Use this form to make on-demand fund transfers between your Southwest Securities, Inc. ("SWS") and bank accounts and to set up recurring monthly transfers either to or from your SWS account. Please allow 2 weeks for this feature to be set up for your account. After the ACH is set up, funds can be transferred within 1 business day. Note: Your bank account must be cleared through a financial institution in the United States and the check must be payable in U.S. dollars.

### 1. SWS Account Information.

Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_  
 SWS Account Number (if available): \_\_\_\_\_ Home Phone Number: \_\_\_\_\_  
 Type of ACH Request (*Check ONE*):  New ACH Request **OR**  Change to Existing ACH Request

### 2. Bank Account Information. (Refer to your bank statement for the following information.)

Name as it appears on your Bank Account: \_\_\_\_\_  
 Bank Name: \_\_\_\_\_ Bank Account Type (*Check ONE*):  Checking **OR**  Savings  
 Bank Routing Number: \_\_\_\_\_ Bank Account Number: \_\_\_\_\_

### 3. On-Demand Transfers.

By signing this form, you elect to make transfers on-demand back and forth between your SWS and bank accounts. In addition to being able to make on-demand transfers, you can have the account set up for recurring types of transfers by completing section 4.

### 4. Recurring Transfers. (Check all that apply, if these additional options are desired.)

- Recurring transfer of dividends/interest and/or principal pay downs from SWS account to my bank account (*Check ONE*):
  - Transfer dividends/interest only **FROM SWS ACCOUNT** to my bank account.
  - Transfer dividends/interest & principal pay downs **FROM SWS ACCOUNT** to my bank account.
- Recurring monthly transfer between SWS & my bank account (*Check ONE*):
  - Recurring monthly transfer **FROM SWS ACCOUNT** to my bank account:\*  
 Amount: \$ \_\_\_\_\_ Day of the Month: \_\_\_\_\_ Expiration: \_\_\_\_\_
  - Recurring monthly transfer **FROM MY BANK ACCOUNT** to SWS account:  
 Amount: \$ \_\_\_\_\_ Day of the Month: \_\_\_\_\_ Expiration: \_\_\_\_\_

**\*Important Note:** In order to distribute money FROM an IRA account, you must complete an IRA Distribution Request Form.

### 4. Please Read and Sign.

I/we authorize SWS to transfer funds between my/our securities account and my/our bank account via automated funds transfer. In the event an entry is incorrect, SWS reserves the right to submit correcting entries. Attached is a voided check so that you have my/our necessary bank routing information. I/we understand that it takes approximately 14 days from receipt of this form for this feature to be activated. This authorization remains in full force and effect until SWS receives written notification of its termination or alteration. I/we acknowledge that the origination of ACH transactions to my account must comply with the provisions of U.S. law.

**X** \_\_\_\_\_ **X** \_\_\_\_\_  
 Applicant's Signature Date Co-Applicant's Signature Date

### 5. Attach Voided Check.

