



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

**Transfer on Death Addendum**

Use this form to designate a beneficiary who will receive the assets in your account upon your death (TOD Registration not valid in LA, NC, NY & TX).

**1. Account Information.**

Name: \_\_\_\_\_ Account Number: \_\_\_\_\_

**2. Beneficiary Designation.**

Full Name of Beneficiary (First, Middle, Last) \_\_\_\_\_ Social Security # \_\_\_\_\_ Date of Birth \_\_\_\_\_

Home Address (P.O. Box unacceptable) \_\_\_\_\_ City \_\_\_\_\_ State/Province \_\_\_\_\_ Country \_\_\_\_\_ Zip \_\_\_\_\_

**Note:** If the beneficiary is a minor, you must attach a notarized letter designating the minor's custodian. Additionally, certain instances may require the appointment of a guardian or conservator as a condition of any distribution.

**3. Spousal Consent.**

**Not necessary in all states. Required if you are married, live in a community property state and the designated beneficiary is not your spouse.**

As the spouse of the participant in the above-named Plan, I acknowledge that I understand my rights to be named the Primary Beneficiary of my spouse's account balance. I hereby consent to the designation made by my spouse to have the death benefit paid to the beneficiary(ies) named on my spouse's most current Beneficiary Designation instead of to me. I further acknowledge that I understand that the effect of my consent may be to forfeit benefits which I would be entitled to receive upon my spouse's death; that my spouse may not name a non-spouse beneficiary unless I consent to it; that the trustees may or may not permit me to revoke my consent to waiver at a later date; and that my spouse may not change beneficiary(ies) to anyone other than myself without my consent.

**X** \_\_\_\_\_  
Spouse's Signature \_\_\_\_\_ Date \_\_\_\_\_

**4. Agreement. (Please read and sign.)**

By designating the account specified above as a Transfer on Death (TOD) account, such that:  
Money or other benefits theretofore due to, controlled, or owned by you shall be paid after your death to a person designated by you in either the instrument or a separate writing, including a will, executed at the same time as the instrument or subsequently.  
Any money due or to become due under the instrument shall cease to be payable in event of the death of the promisee or the promissor before payment or demand: or  
Any property which is the subject of the instrument shall pass to a person designated by you in either the instrument or a separate writing, including a will, executed at the same time as the instrument or subsequently.  
Only individuals whose registration of an individual's security that shows sole ownership by one individual, may obtain registration in TOD beneficiary form. Southwest Securities may, but is not required to, offer or to accept a request for security registration in beneficiary form.  
By opening an account in beneficiary form, you agree that Southwest Securities will be discharged from all claims to a security in the account by your estate, creditors, heirs, or devisees of a deceased owner if it registers a transfer on the security in accordance with your instructions and does so in good faith reliance (i) on the registration and (ii) on information provided to it by affidavit of the personal representative of the deceased owner, or by the surviving beneficiary or by the surviving beneficiary's representatives, or other information available to the registering entity.

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

**5. Notary Public's Information.**

Before me this day personally appeared \_\_\_\_\_, known to be the person whose signature appears above, who states that the above statement is true and correct.

Sworn before me in the County of \_\_\_\_\_ in the State of \_\_\_\_\_ on this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

**X** \_\_\_\_\_  
Notary Public's Signature \_\_\_\_\_  
Commission Expires: \_\_\_\_\_

