

Automated Clearing House (ACH) Authorization

Use this form to make on-demand fund transfers between your Southwest Securities, Inc. ("SWST") and bank accounts and to set up recurring monthly transfers either to or from your SWST 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. SWST Account Information.

Name: _____ Social Security Number: _____

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

5. Please Read and Sign.

I/we authorize SWST to transfer funds between my/our securities account and my/our bank account via automated funds transfer. In the event an entry is incorrect, SWST 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 SWST 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 _____

Applicant's Signature

Date

X _____

Co-Applicant's Signature

Date

6. Attach Voided Check.

