

In the event that your Broker/Dealer experiences a significant business interruption and cannot be reached, Southwest Securities, Inc. (Southwest) may be contacted directly to process limited security transactions, transfers, and cash disbursements.

Southwest requires that these requests be submitted to us in writing, signed and transmitted via facsimile or U.S. Mail as follows:

Southwest Securities, Inc.
1201 Elm Street, Suite 3500
Attn: Special Projects, Operations
Dallas, TX 75270
Fax: (214) 859-6095

The fax number above is for the receipt of business interruption requests only, and should not be used for any other purposes including, but not limited to, change of address changes, account transfers, and credit inquiries. Information received on this fax that is unrelated to business interruption issues will not be processed. For additional information about how to request funds and securities when your financial organization cannot be contacted due to a significant business interruption, please refer to the information below or call 866-SWS-5BCP (866-797-5227) for recorded instructions.

The specific transactions Southwest will perform for the clients of our introducing broker-dealers, and the required information in order for these requests, are as follows:

Trades

SWST will process the following closing security transactions as **market orders only**∗:

1. Sale of a security position held long in the client's account
2. Buy of a security to close-out a short security position

∗SWST will process the above closing security transactions only upon receipt of written instructions that include the following information:

1. Client's Southwest account number
2. Client's name (as listed on your Southwest account)
3. Client's phone number
4. Security description, including symbol or CUSIP® number
5. Number of shares

Securities Transfers

Southwest will process security transfer requests upon written instructions that should include the following information:

1. Client's Southwest account number
2. Client's name (as listed on your Southwest account)
3. Client's phone number
4. Description of security or securities to be transferred, including symbol(s) and/or CUSIP® number(s)
5. Quantity to be transferred
6. Receiving account information for securities, as follows:

a) Transfer to another brokerage account at Southwest

Provide receiving Southwest account number (Securities will only be transferred between accounts of like name)

b) Transfer to another financial institution

Name of the receiving financial organization
DTC number (if the receiving financial organization is a registered broker-dealer)
Client's account number at the receiving financial institution (Securities will only be transferred between accounts of like name)

Cash Disbursements

Southwest will process cash disbursements upon receipt of signed written instructions that include the following information:

1. Client's Southwest account number
2. Client's name (as listed on your Southwest account)
3. Client's phone number
4. Exact amount to be disbursed
5. Indicate method of disbursement (as follows) and provide the information indicated:
 - a) Check (Checks will only be mailed to the client's Address of Record)
 - b) Fed Funds Wire—(Wires will only be sent to accounts of like name) and should include the following instructions in addition to the items listed above:

Name of Receiving bank
ABA Number
Account number at Receiving bank
Account name at Receiving bank

- c) If account is an IRA account, a distribution form is required and the withholding election section must be filled out.