

Instructions for sending stock certificates to Southwest Securities Inc.

Please complete the following steps to get your stock certificate to the firm that handles certificates on behalf of First Asset Financial which is “Southwest Securities.” Unfortunately, regulations do not permit your First Asset broker to send in certificates for you, so here are the steps you need to take to get your certificate delivered for sale:

1. You can obtain a “stock power” by clicking the box at the end of this section (you will need “Adobe Acrobat Reader” to get this form & it is free on the previous web page). Please print it out and complete the Southwest Securities *Irrevocable Stock or Bond Power* by filling out Section 1 with (a) your account number, (b) your name (and co-account holder if applicable) and (c) Social Security Number(s). Please leave Section 2 & 3 blank. The registered owner(s) of the stock certificate must sign and date in Section 4. Note that the account holders name(s) & signatures must match **exactly** what is on the front of the stock certificate. If you have more than one certificate, please make a stock power for each.

DO NOT WRITE ANYTHING OR SIGN ON THE BACK OF THE CERTIFICATE ITSELF.

2. You should make photocopies of your certificate(s) for your records. Be sure to write “copy” on the front of the photocopy.

3. Put your account number in the upper right hand corner of the stock certificate and attach the *Irrevocable Stock and Bond Power* to it.

DO NOT WRITE ANYTHING ON THE BACK OR SIGN ON THE BACK OF THE CERTIFICATE ITSELF!

The only writing on the certificate itself should be on the FRONT right hand corner with your account number.

4. Place both the certificate and completed *Irrevocable Stock and Bond Power* into an envelope and address it to:

Southwest Securities Inc.
Attn: Stock Receipts Dept.
1201 Elm Street
Dallas, TX 75270

Note: We always encourage clients to leave their stock certificates “on deposit” in their account. That eliminates the cumbersome process of mailing them in when you sell and prevents the opportunity of losing the certificate!
--

5. Mail your envelope. You have the option to insure the certificate for 5% of the value to cover the cost of replacing the stock certificate if it were to get lost. Please note that the certificate is not First Asset or Southwest Securities’ responsibility UNTIL it is delivered to Southwest in Dallas, so it is your responsibility, so you may want to insure it. Factually, there has not been one lost yet from a First Asset client, but there is always a “first time.” Another option is to also send it certified so that you get a signed delivery receipt as proof of delivery. Check with your post office to determine which choices you may wish to make, but don’t let them talk you into insuring the certificate(s) for full face value (as they won’t pay that amount-ever!).