

SOUTHWEST SECURITIES, INC.
RIA CLEARING –ELECTION FORM

Plan or Client Name: _____ **Account No(s):** _____
SS No./Tax ID No.: _____
Address: _____

Advisor Name: _____ **Person ID:** _____
Advisor Phone No.: _____ **Office No.:** _____
SABIL Login: _____ **Person ID to Pay:** _____
E-mail Address: _____

SERVICES REQUESTED (✓ selections): PLEASE CHECK THE SCHEDULE AND SERVICE REQUESTED

Check One: **Schedule 1: With Ticket Charges**
 Schedule 2 : Without Ticket Charges

- Performance Reports** - Be sure to complete a Cost Basis Tally Sheet for each of the account's current positions (i.e., total cost & purchase date for each tax lot). The Investment Management Group (IMG) does not provide cost basis existing positions.
- Advisory Fee Billing** - IMG can provide advisory fee quarterly billing in advance to your clients on your behalf. In order to provide this service, IMG requires an LOA or other client authorization. **Important: IMG will not process advisory fees without the customer approval.** Please indicate the agreed upon **annual** rate at which the client will be billed. Please select one of the following choices below:
 - Flat Rate _____%
 - Fee Schedule Attached

(All accounts are billed the 1st month of each quarter based on the previous quarter end market value.)

***Please note it takes a full 30 days on our performance reporting system to generate accurate performance.
The first reports will be produced at the end of the month in which this 30-day period ends.***

The reports are updated to SABIL and MyView by the 10th business day of each month.

For smaller accounts, a minimum fee may apply. Minimum fees are expressed in annual amounts, but are determined and assessed based on the account asset value at the beginning of each quarter. For example, if an account has a \$100 minimum annual Fee, advisor will be assessed a minimum of \$25 every quarter.

Therefore, if a client has large asset inflows or outflows during the year that cross the minimum asset value threshold, it is possible for an account to be assessed a minimum fee for a particular quarter even if at the end of the year a look back over the account's average balance for the entire year would have placed it above the minimum asset value threshold.

Advisor Signature: _____

Branch Manager Signature: _____

Date: _____

Investment Management Group
(214) 859-6735
(214) 859-5639 Fax