



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

IRA Rollover Certification Form

1. SWST Account Information.

SWST Account Number (if available): _____

Name: _____ Social Security Number: _____

2. Rollover Information.

Rollover from: Qualified Plan Traditional SEP Simple

Cash Amount*: \$ _____ Pre tax After tax

If you are rolling over securities, please describe below. (Please provide the number of shares. We cannot process the request based on a dollar amount.)

Asset Description	Quantity

Asset Description	Quantity

***Note:** Please make checks payable to Southwest Securities, Inc.

3. Rollover Requirements.

- The funds or securities deposited into the IRA or Qualified Plan must be deposited within 60 days of receipt;
- Rollover deposits cannot include any distributions which are a part of a series of substantially equal periodic payments;
- Rollover deposits may include any distributions which represent a required minimum distribution;
- Rollover deposits must consist of the same assets originally distributed;
- In an IRA to IRA rollover, the assets cannot have been involved in a rollover in the past 12 months;
- Rollovers from Qualified Plans may consist of the proceeds from the sale of distributed property;
- Rollovers from Qualified Plans can consist only of tax deferred funds;
- Rollover deposits to a SIMPLE IRA can consist only of funds or securities distributed from a SIMPLE IRA

4. Please Read and Sign.

I certify that this deposit has met all of the above rollover eligibility requirements and assume full responsibility for any adverse tax consequences arising from this rollover. I further understand that rollover contributions have important tax implications and I have been advised to seek guidance from a tax professional.

X _____
Applicant's Signature Date

FOR BROKER USE ONLY

X _____
Authorized Signature of Custodian Date