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FILED
Jun 05 1997 8:00am
Secretary of State

PROFIT
CORPORATION
ANNUAL REPORT
1997



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

DOCUMENT # F95000001585 (7)

1. Corporation Name

SOUTHWEST SECURITIES, INC.

Principal Place of Business

1201 ELM ST.
SUITE 4300
DALLAS TX 75270

Mailing Address

1201 ELM ST.
SUITE 4300
DALLAS TX 75270-2108



2. Principal Place of Business
21 1201 Elm Street
Suite, Apt. #, etc.
22 Suite 3500
City & State
23 Dallas, TX
Zip
24 75270
Country
25 USA

2a. Mailing Address
26 1201 Elm Street
Suite, Apt. #, etc.
27 Suite 3500
City & State
28 Dallas, TX
Zip
29 75270
Country
30 USA

3. Date Incorporated or Qualified

04/03/1995

3a. Date of Last Report

07/17/1996

4. FEI Number

75-1382137

Applied For

Not Applicable

5. Certificate of Status Desired

☐ \$8.75 Additional
Fee Required

6. Election Campaign Financing
Trust Fund Contribution

☐ \$5.00 May Be
Added to Fees

8. This corporation has liability for intangible tax under s. 199.032,
Florida Statutes

☐ Yes ☒ No

9. Name and Address of Current Registered Agent

C T CORPORATION SYSTEM
1200 S. PINE ISLAND RD.
PLANTATION FL 33324

10. Name and Address of New Registered Agent

B1 Name

B2 Street Address (P.O. Box Number is Not Acceptable)

B3

B4 City

FL

B5 Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable

(NOTE: Registered Agent signature required when re-stating)

DATE

12. OFFICERS AND DIRECTORS

TITLE	C	☐ DELETE
NAME	BUCHHOLZ, DON A	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	
TITLE	CEO	☐ DELETE
NAME	WOOLDRIDGE, RAYMOND E	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	
TITLE	CFO	☒ DELETE
NAME	GILLET, BARBARA P	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	
TITLE	V	☒ DELETE
NAME	ALMON, DAN A	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	
TITLE	V	☒ DELETE
NAME	JOHNSON, LAURENCE S	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	
TITLE	ST	☐ DELETE
NAME	HART, BARBARA	
STREET ADDRESS	1201 ELM ST.	
CITY-ST-ZIP	DALLAS TX 75270	

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

1.1 TITLE	☐ Change ☐ Addition
1.2 NAME	
1.3 STREET ADDRESS	
1.4 CITY-ST-ZIP	
2.1 TITLE	VC ☒ Change ☐ Addition
2.2 NAME	
2.3 STREET ADDRESS	
2.4 CITY-ST-ZIP	
3.1 TITLE	CEO ☐ Change ☒ Addition
3.2 NAME	Glatstein, David
3.3 STREET ADDRESS	1201 Elm Street
3.4 CITY-ST-ZIP	Dallas, TX 75270
4.1 TITLE	CFO ☐ Change ☒ Addition
4.2 NAME	Hanks, Kenneth R,
4.3 STREET ADDRESS	1201 Elm Street
4.4 CITY-ST-ZIP	Dallas, TX 75270
5.1 TITLE	CIO ☐ Change ☒ Addition
5.2 NAME	Thompson, Norman W.
5.3 STREET ADDRESS	1201 Elm Street
5.4 CITY-ST-ZIP	Dallas, TX 75270
6.1 TITLE	☐ Change ☐ Addition
6.2 NAME	
6.3 STREET ADDRESS	
6.4 CITY-ST-ZIP	

14. I do hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this annual report or supplemental annual report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 12 or Block 13 if changed, or on an attachment with an address.

SIGNATURE:

Sandra B. Mortham

5/28/97

214-150-9342

CR2E034 (9/96)