

2001 UNIFORM BUSINESS REPORT (UBR)**DOCUMENT # F99000005701**

1. Entity Name

SWS FINANCIAL SERVICES, INC.**FILED**
Jul 31, 2001 8:00 am
Secretary of State

07-31-2001 90002 026 ***550.00

Principal Place of Business

**7001 PRESTON ROAD, SUITE 300, LB 30
DALLAS TX 75205**

Mailing Address

**7001 PRESTON ROAD, SUITE 300, LB 30
DALLAS TX 75205**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

NOT APPLICABLE

Applied For

Not Applicable

5. Certificate of Status Desired ☐**\$8.75** Additional
Fee Required

DO NOT WRITE IN THIS SPACE



6. Name and Address of Current Registered Agent

**LOWE, KENNETH JR
1434 WEST FAIRBANKS AVENUE
WINTER PARK FL 32789**

7. Name and Address of New Registered Agent

Name

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

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☐**FILE NOW!!! FEE IS \$550.00**
After September 12, 2001 Fee will be \$750.00
Make Check Payable to Department of State10. Election Campaign Financing
Trust Fund Contribution. ☐**\$5.00** May Be
Added to Fees

11. OFFICERS AND DIRECTORS

TITLE **D** ☒ Delete
NAME **PEDEN, SUE**
STREET ADDRESS **7001 PRESTON ROAD, SUITE 300, LB 30**
CITY-ST-ZIP **DALLAS TX 75205**TITLE **D** ☐ Delete
NAME **GLADSTEIN, DAVID**
STREET ADDRESS **1201 ELM STREET, SUITE 3500**
CITY-ST-ZIP **DALLAS TX 75270**TITLE **D** ☐ Delete
NAME **FELDER, WILLIAM**
STREET ADDRESS **1201 ELM STREET, SUITE 3500**
CITY-ST-ZIP **DALLAS TX 75270**TITLE **P** ☒ Delete
NAME **BOSWELL, DIANA**
STREET ADDRESS **7001 PRESTON ROAD, SUITE 300, LB 30**
CITY-ST-ZIP **DALLAS TX 75205**TITLE **V** ☒ Delete
NAME **SCOTT, DIANE**
STREET ADDRESS **7001 PRESTON ROAD, SUITE 300, LB 30**
CITY-ST-ZIP **DALLAS TX 75205**TITLE **ST** ☒ Delete
NAME **HART, BARBARA**
STREET ADDRESS **1201 ELM STREET, SUITE 3500**
CITY-ST-ZIP **DALLAS TX 75270**

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE **TE** ☐ Change ☒ Addition
NAME **Stacy Hodges**
STREET ADDRESS **1201 Elm Street, Suite 3500**
CITY-ST-ZIP **Dallas, TX 75270**TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIPTITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIPTITLE **CEO** ☐ Change ☒ Addition
NAME **Kerry Mark Rigdon**
STREET ADDRESS **1201 Elm Street, Suite 3500**
CITY-ST-ZIP **Dallas, TX 75270**TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIPTITLE **S** ☐ Change ☒ Addition
NAME **Allen R. Tubb**
STREET ADDRESS **1201 Elm Street, Suite 3500**
CITY-ST-ZIP **Dallas, TX 75270**

13. I 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 report or supplemental 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 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

SIGNATURE REQUIRED
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

7-18-01 214-859-1810

0130974 AT

CR2E034 (5/01)