FOR PROFIT CORPORATION
UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # F9900000570l

1. Entity Name

SWS FINANCIAL SERVICES, INC.

DO NOT WRITE IN THIS SPACE

44045912

2. Principal Place of Business	3. Mailing Address
1201 ELM STREET	1201 ELM STREET
Suite, Apt. #, etc.	Suite, Apt. #, etc.
SUITE 3500	SUITE 3500
City & State	City & State
DALLAS, TX	DALLAS, TX

DO NOT WRITE IN THIS SPACE

Zip	Country	Zip	Country
75270	US	75270	US

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

7. Name and Address of Current Registered Agent

Name CT CORPORATION SYSTEM

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

1200 SOUTH PINE ISLAND ROAD

City PLANTATION   FL   Zip Code 33324

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE _____
Signature, typed or printed name of registered agent and title if applicable.   (NOTE: Registered Agent signature required when reinstating)   DATE

January 1 - May 1 Fee is $150.00
After May 1, Fee is $550.00
Amended UBR is $61.25
Make Check Payable to Florida Department of State

9. Election Campaign Financing Trust Fund Contribution. ☐ **$5.00** May Be Added to Fees

10. OFFICERS AND DIRECTORS

	TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP		TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP
TITLE	P	TITLE	
NAME	ROBERT M. GIOIA	NAME	
STREET ADDRESS	1201 Elm St., Ste. 3500, Dallas, TX 75270	STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	
TITLE	VP	TITLE	
NAME	KENNETH E. SHADE	NAME	
STREET ADDRESS	1201 Elm St., Ste. 3500, Dallas, TX 75270	STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	
TITLE	CEO	TITLE	
NAME	DANIEL LELAND	NAME	
STREET ADDRESS	1201 Elm St., Ste. 3500, Dallas, TX 75270	STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	DO NOT WRITE
TITLE	T	TITLE	
NAME	STACY HODGES	NAME	IN THIS SPACE
STREET ADDRESS	1201 Elm St., Ste. 3500, Dallas, TX 75270	STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	
TITLE	S	TITLE	
NAME	ALLEN R. TUBB	NAME	
STREET ADDRESS	1201 Elm St., Ste. 3500, Dallas, TX 75270	STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	
TITLE		TITLE	
NAME		NAME	
STREET ADDRESS		STREET ADDRESS	
CITY-ST-ZIP		CITY-ST-ZIP	

12. 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 10 or on an attachment with an address, with all other like empowered.

SIGNATURE: _Allen R. Tubb_   05/19/04   214-859-6629
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR   Date   Daytime Phone #

CR2F034R (12/02)