

2009 FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# F99000005701

FILED
Apr 28, 2009
Secretary of State

Entity Name: SWS FINANCIAL SERVICES, INC.

Current Principal Place of Business:

1201 ELM STREET
SUITE 3500
DALLAS, TX 75270

New Principal Place of Business:

Current Mailing Address:

1201 ELM STREET
SUITE 3500
DALLAS, TX 75270

New Mailing Address:

FEI Number: 75-1653811

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

CT CORPORATION SYSTEM
1200 SOUTH PINE ISLAND RD
PLANTATION, FL 33324 US

Name and Address of New Registered Agent:

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:

Electronic Signature of Registered Agent

Date

Election Campaign Financing Trust Fund Contribution ().

OFFICERS AND DIRECTORS:

Title: TVP () Delete
Name: HODGES, STACY M
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: D () Delete
Name: ROSS, JAMES H
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: SD () Delete
Name: TUBB, ALLEN R
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: D () Delete
Name: ROSS, JAMES H
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: VP () Delete
Name: HODGES, DOUG
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: VP (X) Delete
Name: PHYLLIS, KNOWLES
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS:

Title: T (X) Change () Addition
Name: HODGES, STACY M
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: P (X) Change () Addition
Name: TATE, LARRY
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: D (X) Change () Addition
Name: HANKS, KENNETH
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270 US

Title: () Change () Addition
Name:
Address:
City-St-Zip:

I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Chapter 119, Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with an address, with all other like empowered.

SIGNATURE: ALLEN R. TUBB

SD

04/28/2009

Electronic Signature of Signing Officer or Director

Date