

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Aug 25, 2003 8:00 am
Secretary of State

08-25-2003 90103 029 ***150.00

0144376 AT

DOCUMENT # F99000005701

1. Entity Name
SWS FINANCIAL SERVICES, INC.



Principal Place of Business
1201 ELM STREET
SUITE 3500
DALLAS TX 75270

Mailing Address
1201 ELM STREET
SUITE 3500
DALLAS TX 75270



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

☐ CHECK HERE IF MAKING CHANGES

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

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

CT Corporation System
Street Address (P.O. Box Number is Not Acceptable)
1200 South Pine Island Rd
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

FILE NOW!!! FEE IS \$550.00
After September 10, 2003 Fee will be \$750.00
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

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP	T HODGES, STACY 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D GLADSTEIN, DAVID DELETE 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D FELDER, WILLIAM 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEO RIGDON, KERRY M 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S TUBB, ALLEN R 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP HUIE, RAY P 1201 ELM STREET, SUITE 3500 DALLAS TX 75270	<input checked="" type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP Shade, Kenneth E. 1201 Elm Street, Suite 3500 DALLAS, TX 75270	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEO Leland, Daniel R 1201 Elm Street, Suite 3500 DALLAS, TX 75270	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PRESIDENT Gioia, Robert M. 1201 Elm Street, Suite 3500 DALLAS, TX 75270	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition

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 Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

08/13/03 214-859-6629

Date

Daytime Phone #

CR2E034 (4/03)

Lori J. Floyd
Registration Administrator



SWS
FINANCIAL
SERVICES

ATTACHMENT
P95000020986

80140171

DD: (214) 859-1721
FAX: (214) 859-6497

lfloyd@swst.com

July 31, 2003

Florida Department of State
Division of Corporations
409 East Gaines Street
Tallahassee, FL 32399

Re: Document Number: F99000005701
Uniform Business Report

Dear Sir or Madam:

SWS Financial Services is requesting a waiver for the \$400.00 late fee for the Uniform Business Report due to the fact that our firm did not receive the original invoice for \$150.00. Please find attached a check in the amount of \$150.00 along with the 2003 Uniform Business Report reflecting all necessary changes.

If you have any questions please call me at 214-859-1721.

Sincerely yours,

Lori J. Floyd
Registration Administrator

Enclosure

RECEIVED
DIVISION OF CORPORATIONS
FLORIDA DEPARTMENT OF STATE
TALLAHASSEE, FL 32399
JUL 31 2003