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800-640-8668 (toll free) • office@wyse-sec.com

Dear Customer,

SEC Rule 17a-3 and 17a-4 require that you to be informed of changes made to your investment account with Wyse Securities carried by Southwest Securities, Inc. Due to the amount of information printed, this letter continues on the second page.

Listed below is the information that needs to be updated. Please review the fields carefully. Indicate if there are any changes to the account and provide the updated information. Once completed, please return the forms to us by mail, email or fax.

Account Number: _____

Invest Objectives – All accounts, except joint accounts, may rank wo objectives. Joint accounts may have only one objective. **(See objective definition below):**

Primary Investment Objective

- Capital Preservation
- Income
- Growth
- Speculation

Secondary Investment Objective

- Capital Preservation
- Income
- Growth
- Speculation

Investment Objective Definitions:

- **Capital Preservation:** Preserving the value of your existing assets by investing in securities with a smaller degree of risk of loss of principal. May include investment in government bonds or certificates of deposit.
- **Income:** Generating current income by investing in securities with a lower degree of risk of loss of principal. May include investing in investment grade corporate bonds, bond funds or unit investment trusts.
- **Growth:** Generating capital appreciation by investing in securities with a higher degree of volatility and risk of loss of principal. May include investin in stocks or mutual funds.
- **Speculation:** Trading volatile securities with a higher than average possibility of loss of principal with the hope of achieving commernsurate gains. May include investing in low priced securities, options, non-rated bonds or non-investment grade bonds.

Account Informaton for Primary Account Holder:

	<u>Changes Yes or No</u>	<u>Write New Information Here</u>
Name:		_____
Telephone number:		_____
Occupation:		_____
Annual Income:		_____
Net Worth (Exclude Home):		_____
Employed by brokerage firm:		

Account Informaton for Joint Account Holder (if applicable):

	<u>Changes Yes or No</u>	<u>Write New Information Here</u>
Name:		_____
Telephone number:		_____
Occupation:		_____
Annual Income:		_____
Net Worth (Exclude Home):		_____
Employed by brokerage firm:		

If your address has changed, please complete the following:

New Address: _____

Email Address: _____

*** Please provide a copy of the driver's license or passport (foreign accounts). If address differs on the driver's license, please provide a copy of proof of new address such as phone or utilities bill.

Please remember it is your responsibility to notify us of any changes to the above referenced information.

Thank you for your business.

Sincerely,
Wyse Securities