

**TRADEMARK ASSIGNMENT**

Electronic Version v1.1  
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
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NATURE OF CONVEYANCE:	CHANGE OF NAME
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CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
Southwest Securities Group, Inc.		11/08/2001	CORPORATION: DELAWARE

RECEIVING PARTY DATA	
Name:	SWS Group, Inc.
Street Address:	1201 Elm Street
Internal Address:	Suite 3500
City:	Dallas
State/Country:	TEXAS
Postal Code:	75270
Entity Type:	CORPORATION: DELAWARE

PROPERTY NUMBERS Total: 2		
Property Type	Number	Word Mark
Registration Number:	2208954	WESTWOOD TRUST
Registration Number:	2209239	WESTWOOD MANAGEMENT CORPORATION

CORRESPONDENCE DATA	
Fax Number:	(214)978-3099
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	214.978.3064
Email:	roxanne.edwards@bakernet.com
Correspondent Name:	S. Roxanne Edwards c/o Baker & McKenzie
Address Line 1:	2001 Ross Avenue
Address Line 2:	2300 Trammell Crow Center
Address Line 4:	Dallas, TEXAS 75201

ATTORNEY DOCKET NUMBER:	WESTWOOD- NAME CHANGE
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NAME OF SUBMITTER:	S. Roxanne Edwards
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Total Attachments: 2  
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STATE OF DELAWARE  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS  
FILED 05:30 PM 11/08/2001  
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16:07

CT CORPORATION

214 754 0922 P.02/02

**CERTIFICATE OF AMENDMENT  
TO THE  
CERTIFICATE OF INCORPORATION  
OF  
SOUTHWEST SECURITIES GROUP, INC.**

Pursuant to the provisions of Section 242 of the General Corporation Law of the State of Delaware, Southwest Securities Group, Inc., a corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware (the "Corporation"), does hereby certify:

**FIRST:** That at a meeting of the Board of Directors of the Corporation resolutions were duly adopted setting forth a proposed amendment of the Certificate of Incorporation of the Corporation, declaring said amendment to be advisable and calling a meeting of the stockholders of said Corporation for consideration thereof. The resolution setting forth the proposed amendment is as follows:

**RESOLVED**, that the Certificate of Incorporation of this corporation be amended by changing the Article thereof numbered "1" so that, as amended, said Article shall be and read as follows:

**"The name of the corporation is SWS Group, Inc."**

**SECOND:** That thereafter, pursuant to resolution of the Board of Directors, an annual meeting of the stockholders of said Corporation was duly called and held upon notice in accordance with Section 222 of the General Corporation Law of the State of Delaware, at which meeting the necessary number of shares as required by statute were voted in favor of the amendment.

**THIRD:** That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

**FOURTH:** That this Certificate of Amendment shall be effective upon the filing hereof.

IN WITNESS WHEREOF, the Corporation has caused this Amendment to its Certificate of Incorporation to be signed by Allen R. Tubb its Secretary, this 8<sup>th</sup> day of November, 2001.

  
Allen R. Tubb, Secretary

TOTAL P.02

*State of Delaware*  
*Office of the Secretary of State* PAGE 1

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I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "SOUTHWEST SECURITIES GROUP, INC.", CHANGING ITS NAME FROM "SOUTHWEST SECURITIES GROUP, INC." TO "SWS GROUP, INC.", FILED IN THIS OFFICE ON THE EIGHTH DAY OF NOVEMBER, A.D. 2001, AT 5:30 O'CLOCK P.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



*Harriet Smith Windsor*  
*Harriet Smith Windsor, Secretary of State*

2270205 8100

AUTHENTICATION: 1437375

010566700

DATE: 11-09-01