

Scott, Rhonda

From: Williams, Kathy
Sent: Friday, June 12, 2026 8:44 AM
To: Scott, Rhonda
Cc: Diaz, Lindsey; Reeves, Mande
Subject: FW: Cambridge Form for Luke Ford
Attachments: Security Benefit_ Cambridge Letter Signed 6.11.26.pdf; Security Benefit Agent of Record 6.10.26.pdf

Rhonda,

Please place the following item on the agenda for Court on June 22nd.

Discuss, consider, and/or take action to ratify the signing of the Cambridge Client Information and Suitability Form – Group Retirement Plan. This form recognizes the change in the broker/dealer relationship for Luke Ford as Lubbock County’s Financial Advisor for Security Benefit.

*Thanks!
Kathy*

[Schedule Budget Workshop](#)

Kathy Williams

County Auditor

Lubbock County

WK 806.775.1097

FAX 806.775.7917

Email kwilliams@lubbockcounty.gov



From: Reeves, Mande <mnreeves@lubbockcounty.gov>
Sent: Thursday, June 11, 2026 11:07 PM
To: Williams, Kathy <KWilliams@lubbockcounty.gov>
Subject: Re: Cambridge Form for Luke Ford

Discuss, consider and/or take action to ratify the signing of...(title of document).
Sent from my iPad

On Jun 11, 2026, at 8:56 PM, Williams, Kathy <KWilliams@lubbockcounty.gov> wrote:

Mande,

Will you provide me with the language that is used to say the Judge is signing something and ratifying it at the next Court?

*Thanks!
Kathy*

Schedule Budget Workshop

Kathy Williams
County Auditor
Lubbock County
WK 806.775.1097
FAX 806.775.7917
Email kwilliams@lubbockcounty.gov



From: Williams, Kathy
Sent: Thursday, June 11, 2026 1:59 PM
To: Diaz, Lindsey <LDiaz@lubbockcounty.gov>
Subject: Cambridge Form for Luke Ford
Importance: High

Good afternoon, Lindsey,

I'm needing the language that you use to say the Judge is signing something and ratifying it at the next Court. Will you please provide me with the language that you like to use? Also, this form that the Judge and I signed, I need to discuss how to submit it. It contains our personnel information. Please advise.

*Thanks!
Kathy*

Kathy Williams
County Auditor
Lubbock County
WK 806.775.1097
FAX 806.775.7917
Email kwilliams@lubbockcounty.gov

LUBBOCK COUNTY

Kathy Williams
County Auditor

Rhonda Scott
First Assistant Auditor



P.O. Box 10536 916
Main, Suite 700
Lubbock, Texas 79408-3536
Phone: (806) 775-1097
Fax: (806) 775-7917

June 11, 2026

Security Benefit
Retirement Plan Services
P.O. Box 219141
Kansas City, MO 64121-9141

Fax: 816-701-7626

Re: Lubbock County 457 Plan

Dear Sir or Madam,

I am requesting a Broker/Dealer change to Cambridge Investment Research, Inc. and that Lucas Ford remain the assigned advisor for our 457 plan.

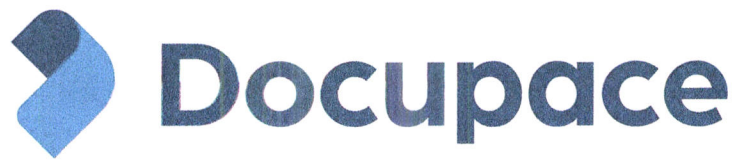
Plan ID: 613295000
Lucas Ford rep code: 1FQ

Please let me know if any additional information is needed to process this request. We appreciate your assistance.

Sincerely,

A handwritten signature in blue ink that reads "Kathy Williams".

Kathy Williams
County Auditor



Document Coversheet

Workitem ID: 829922

Document ID: 4594109

Document Type: New Account

Form Name: CLIENT INFORMATION AND SUITABILITY - GRP

Client Name: WILLIAMS KATHY

Account Registration: Deferred Comp/457 - Non ERISA

Account #: 613295000



DOC 4594109



DOMAIN 111



LS 209 829922

Note: This coversheet will update document image only.
It will not perform any auto-indexing.

Client Information and Suitability Form – Group Retirement Plan

Please print, preferably in capital letters and black ink. All information requested is **required** unless *optional* is indicated.

Plan's Tax ID (EIN for SIMPLE plan) Plan number (1b) Plan establishment date (mm/dd/yyyy) CLIC Trade Key # FP code

1 – PLAN REGISTRATION

Line 1 Lubbock County Deferred Comp/457 - Non ERISA Line 2 _____
 Line 3 _____

2 - PLAN INFORMATION

NFS Pershing Direct/Other (custodian/outside platform/third party money manager) SECURITY BENEFIT LIFE

Are you (financial professional) or your lineal family member (parent, child or spouse) the Responsible Plan Fiduciary or Authorized Signer on this plan?

Yes No If yes, you may not receive compensation for this plan.

A. Plan Information

1. Group 401(k) Group 403(b) Group 403(b)(7) SIMPLE employer
 Money purchase pension plan Deferred compensation/457 plan Profit sharing plan 401(a) employer
 Roth Group 401(k) Roth Group 401(k) conversion Defined benefit pension plan 415(m) plan
 Group HSA (Direct Only)
2. ERISA qualification ERISA Non-ERISA
3. Number of plan participants Owner(s) only 1-25 26-100 101-300 300+
4. Recordkeeper Security Benefit
5. Third-party administrator (if applicable) _____
6. Investment directed by Participant Trustee Participant and trustee Omnibus

B. NFS/Pershing Accounts Only

Clearing account number (prefix required)

1. Cost basis Alternative Disposal Methods (ADMs) – For a list of Cost basis ADMs and definitions, please see Section 16 of the Client Agreement. Choosing one of the Cost basis ADMs will reset the account default. Please specify alternative disposal method.
2. Plan Document: Prototype - Ascensus Adoption Agreement (Ascensus will be the third-party administrator)
 Non-Prototype - Third-Party Administrator (must be listed in 2A(5) above) (Requires TCIP Form for NFS and TCIPR Form for Pershing)
3. Core Transaction Account - I/we understand that I/we may elect to have any funds deposited for or held in anticipation of securities purchases, any income and distributions from investments, and any proceeds from the sale of securities held in my/our Account ("Cash Sweep Balance") swept into an FDIC eligible bank deposit sweep program (the "Program"). The Program is the default and only core account investment vehicle for all eligible accounts, including all brokerage accounts and advisory accounts custodied at NFS or Pershing. If you choose not to participate in the Program, discuss other options with your financial professional. Such options may include sweeping credit balances to uninvested cash, if eligible, investing in other cash equivalent vehicles held outside the Program, or investing in other investment options.
 Yes, I choose to participate in the Program
 No, I do not choose to participate in the Program

*In the absence of any direction from you or by checking neither box above, your choice will automatically default to an election to utilize the Program for Cash Sweep Balances.

Please see Section 23 of the Client Agreement below for authorizations, representations, information, and disclosures. If for any reason the the cash sweep product you have chosen is not available, or becomes unavailable then I/we grant affirmative consent to Cambridge to transfer the Cash Sweep Balance to another product in the Program, if available and as determined by Cambridge, per the terms of the Client Agreement.

4. Unless otherwise specified below, you agree to the following instructions: Sales – hold in account; Purchases – hold certificates in street name; Dividends and capital gains – reinvest mutual fund dividends and capital gains, pay equity dividends in cash and sweep any uninvested funds into the cash sweep product or remain as uninvested cash balance depending on your selection.

Sales	Dividends and Capital Gains (transferred positions may default to previous instructions)	
	Mutual funds	Equities
<input type="checkbox"/> Hold in account	Reinvest <input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Send proceeds	Credit sweep vehicle <input type="checkbox"/>	<input type="checkbox"/>
	Pay income monthly <input type="checkbox"/>	<input type="checkbox"/> (complete separate form for pay income options)

Not all securities are eligible for reinvestment. Pershing: Equity and mutual fund reinvestment coding is established for each position by the financial professional on NetX360®/Holdings.

3 - PLAN SPONSOR INFORMATION

Country of Legal Establishment (Choose one) United States Other

Lubbock County

Plan Sponsor Name

Legal U.S. Address (required - no P.O. Box)

904 Broadway

Address 1

Address 2

LUBBOCK TX 79401

City, state, zip

806-775-1097

Business phone

75-6001056

Plan Sponsor EIN

Mailing Address (optional - P.O. Box permitted)

Address 1

Address 2

City, state, zip

Email address (optional) - I agree that Cambridge may send communications by email.

4A - AUTHORIZED SIGNER INFORMATION

Please provide the information for the persons authorized to sign on behalf of the Plan; for ERISA plans, at least one authorized signer must be the Responsible Plan Fiduciary (RPF). All individuals authorized to sign on behalf of the Plan must be noted on this Client Information and Suitability Form. If the Plan has more than two authorized signers, additional signers must complete a Client Information and Suitability Form - Group Retirement Plan Additional Signers Form.

Kathy Williams

Name (first, MI, last)

Legal U.S. Residence Address (required - no P.O. Box)

904 Broadway

Address 1

Address 2

LUBBOCK TX 79401

City, state, zip

Mailing Address (optional - P.O. Box permitted)

904 Broadway

Address 1

Address 2

LUBBOCK TX 79401

City, state, zip

Daytime/Work phone

806-775-1097

Evening/Home phone

Cell phone

KWilliams@lubbockcounty.gov

Email address

Authorized Signer Information required for non-ERISA plans only

Social Security number

Date of birth (mm/dd/yyyy)

Exempt payee code (if any)

Driver's license Passport State issued ID Other: _____

Alien registration card - required for all resident aliens

Non-documentary - (subject to non-documentary procedures)

Document number

State/Country issued

Expiration date (mm/dd/yyyy)

Date issued (mm/dd/yyyy)

Reason ID Documentation Not Required:

Documentation already on file with Cambridge Exempt or entity

Citizenship

(questionnaire required for resident alien, non-resident, or U.S. citizen living abroad)

U.S. citizen Resident alien Non-resident alien

Country of origin (for resident and non-resident aliens only)

CURTIS A. PARRISH

Name (first, MI, last)

Legal U.S. Residence Address (required - no P.O. Box)

904 BROADWAY

Address 1

Address 2

LUBBOCK, TX 79401

City, state, zip

Mailing Address (optional - P.O. Box permitted)

904 BROADWAY

Address 1

Address 2

LUBBOCK, TX 79401

City, state, zip

Daytime/Work phone

806 775 1679

Evening/Home phone

Cell phone

CPARRISH@LUBBOCKCOUNTY.GOV

Email address

Additional Signer Information required for non-ERISA plans only

Social Security number

Date of birth (mm/dd/yyyy)

Exempt payee code (if any)

Driver's license Passport State issued ID Other: _____

Alien registration card - required for all resident aliens

Non-documentary - (subject to non-documentary procedures)

Document number

State/Country issued

Expiration date (mm/dd/yyyy)

Date issued (mm/dd/yyyy)

Reason ID Documentation Not Required:

Documentation already on file with Cambridge Exempt or entity

Citizenship

(questionnaire required for resident alien, non-resident, or U.S. citizen living abroad)

U.S. citizen Resident alien Non-resident alien

Country of origin (for resident and non-resident aliens only)

continued next page

22. Risk Tolerance Definitions:

Conservative – Investor is seeking to preserve principal in their account with minimal risk. These investors are willing to accept lower income or returns, and their account may not keep pace with inflation.

Moderate-Conservative – Investor is willing to accept low risk to their initial principal, including low volatility, to seek a modest level of portfolio returns.

Moderate – Investor is willing to accept some risk to their initial principal and tolerate some volatility to seek higher returns. These investors understand money invested could be lost due to market fluctuation.

Moderate-Aggressive – Investor is willing to accept significant risk to their initial principal, including high volatility, to seek higher returns over long-term investing. These investors may endure large losses in favor of potentially higher long-term returns.

Aggressive – Investor is willing to accept maximum risk to their initial principal to aggressively seek maximum returns. These investors understand that most, or all, of the money invested potentially could be lost.

23. FDIC Cash Sweep Program Information:

The Cash Sweep Program is offered to help you manage uninvested cash in your account. Uninvested cash may consist of any funds deposited for or held in anticipation of securities purchases, any income and distributions from investments held in your account, and any proceeds from the sale of securities ("Cash Sweep Balance"). If you choose the Cash Sweep Program, typically, Cash Sweep Balances are automatically swept into the FDIC Insurance eligible deposit account if available to you based on your Account Registration type noted in Sections 1 and applicable subsections of Section 2, of the Client Information and Suitability Form. If, for reasons beyond Cambridge's control your Cash Sweep Balance cannot be swept into or maintained in the cash sweep product you have chosen, then you agree that Cambridge may transfer your Cash Sweep Balance to another cash sweep product, selected by Cambridge and available to Cambridge at the time the FDIC insured product ceases to be available. Should such an occurrence arise, Cambridge will provide a written, 30-day advance notice to you. If and when the FDIC insured product you previously chose becomes available again, Cambridge will, depending on regulatory requirements and clearing firm procedures, sweep all future Cash Sweep Balances to your initial cash sweep option.

FDIC Insured Cash Sweep Product: The FDIC insured cash sweep product (the "Product") is designed to allow you to take advantage of the insurance provided through the Federal Deposit Insurance Corporation (FDIC). The Product is available to individuals, certain non-profit organizations, certain fiduciaries and trusts, and business entities including corporations, limited liability companies, and partnerships. Certain custodial individual retirement accounts may also be eligible for the Product. Eligibility for the Product is subject to the limitations described in the Product terms and conditions documents. We reserve the right to amend the Product eligibility requirements at any time. Please check with your financial professional if you have questions about the eligibility of your account. FDIC insurance is available on the Cash Sweep Balance in your account only, and does not apply to investment products held in your account. For more information about the FDIC, please visit www.fdic.gov.

If your account is enrolled in the Product, an additional letter summarizing the Product, rates of interest, and the various banks participating in the Product will be mailed to your address of record. For a listing of banks in the Product, interest rates or for more information on eligibility for the Program, please visit the "Information for Investors" section on www.cir2.com. If you wish to opt out of a particular bank in order to maximize your FDIC insurance coverage, please contact your financial professional or call Cambridge Partner Support directly at 888-245-0452.

For Pershing accounts only: If your account is not eligible for the Insured Bank Deposit Program or uninvested cash, then the U.S. Treasury Obligations Fund (TCSXX) is the only available cash sweep option.

For NFS accounts only: If your account is not eligible for the Insured Bank Deposit Program or uninvested cash, the Fidelity Treasury fund (FZFX) is the only available cash sweep option.

24. Liquidity Needs:

Annual expenses - might include mortgage payments, rent, long-term debts, utilities, alimony or child support payments, etc.

Special expenses - might include a home purchase, remodeling a home, a car purchase, education, medical expenses, etc.

25. Trusted Contact: If we are unable to reach you or have concerns about your health, you authorize us, but not require us, to contact the person listed on page 3, section 4, and to disclose information about you in order to confirm the specifics of your current contact information, health status, and the identity of any legal guardian, executor, trustee, or holder of a power of attorney.

FACTS	WHAT DOES CAMBRIDGE DO WITH YOUR PERSONAL INFORMATION?
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all, sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	<p>The types of personal information we collect and share depend on the product or service you have with us. This financial information can include, but is not limited to, the following:</p> <ul style="list-style-type: none"> • Social Security Number • Investment experience • Assets • Account numbers • Income • Account transactions • Contact information • Account balance <p>When you are no longer our customer, we continue to share your information as described in this notice.</p>
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information, the reasons Cambridge chooses to share, and whether you can limit this sharing.

Reasons we can share your personal information:	Does Cambridge Share?	Can you limit this sharing?
For our everyday business purposes – Such as to process your transaction, provide certain services, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes – To offer our products and services to you	Yes	No
For joint marketing with other financial companies	Yes	No
For our affiliates' everyday business purposes – Information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – Information about your creditworthiness	No	We don't share
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you – Only if your financial professional leaves Cambridge, retires or sells his or her practice	Yes	Yes

To limit our sharing	<p>Call 888-245-0452 or visit JoinCambridge.com.</p> <p>Please note: If you are a new customer, we can begin sharing information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
Questions?	Call 888-245-0452 or visit JoinCambridge.com .

Who we are	
Who is providing this notice?	This notice is being provided on behalf of Cambridge Investment Research, Inc. and its affiliates: Cambridge Investment Research Advisors, Inc., Continuity Management Group, LLC. and TBS Agency, Inc. ("Cambridge").
What we do	
How does Cambridge protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. Cambridge trains its associates on the proper handling of personal information and requires companies that help provide services to you to protect the confidentiality of personal information they receive.
How does Cambridge collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> • Open an account • Direct us to buy securities • Give us your contact information • Seek advice about your investments • Enter into an investment advisory contract We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can't I limit all sharing?	Federal law gives you the right to limit only: <ul style="list-style-type: none"> • Sharing for affiliates' everyday business purposes – information about your creditworthiness • Affiliates from using your information to market to you • Sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choice will apply to everyone on your account – unless you tell us otherwise.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>Nonaffiliates may include your financial professional's company and investment advisor firm, your financial professional's new broker-dealer, and investment advisor firm if your financial professional chooses to leave Cambridge, and other broker-dealers and investment advisor firm designated by your financial professional if he or she leaves Cambridge, retires, or sells his or her practice.</i>
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>Our joint marketing partners include banks, credit unions, retirement plans, and other financial institution programs.</i>
Other important information	
<p>We also comply with more restrictive state laws to the extent they apply. For example, if you reside in Vermont or California, we will automatically opt you out of sharing your information with nonaffiliates for marketing purposes unless you have provided Cambridge with written authorization to opt you in to such sharing. Further, if you reside in California, you have the right to know what personal information is being collected, whether that information is sold or disclosed and to whom, and the right to stop the sale of your personal information. For additional information, please refer to the table detailing your rights under California law at JoinCambridge.com.</p>	

SMS Disclosure Statement

SMS opt-in and phone numbers collected for SMS communication purposes will not be shared with any third party or affiliate for marketing purposes. If you consent to receive SMS from Cambridge, you agree to receive promotional SMS communication from us. Reply STOP to opt-out; Reply HELP for support; Message & data rates may apply; Messaging frequency may vary. Visit <https://www.joincambridge.com/legal/privacy/privacy-policy> to see our privacy policy and terms and conditions.