Hilltop Securities Inc. Required Account Documentation

Below is a list of accounts and their required documentation for opening these accounts at Hilltop Securities Inc. **All required documents must be received within 30 days of opening the account, a restriction will be placed on the account if the paperwork is not received.**

Account Type	Documentation Required
Individual	▪ New Account Application that includes W-9.
Joint (JTWROS/TENCOM)	▪ New Account Application that includes W-9.
Account with Power of Attorney (POA)	▪ Copy of Power of Attorney - Provided by Client ▪ Certification- Durable Power of Attorney by Agent ▪ New Account Addendum
Profit Sharing Plan/ Pension Plan	▪ Certification of Qualified Plan by Trustee ▪ New Account Application which includes the W-9 **** ▪ New Account Addendum for Trustees
401(k)	▪ Certification of Qualified Plan by Trustee ▪ New Account Application which includes the W-9 **** ▪ New Account Addendum for Trustees
IRA	One of the following retirement application and agreements: ▪ Traditional Agreement which includes the W-9 ▪ Roth Agreement which includes the W-9 ▪ SIMPLE Agreement which includes the W-9 -Prototype Simple Retirement Plan Adoption Agreement ▪ SEP Agreement which includes the W-9 -Prototype SEP IRA Adoption Agreement ▪ Coverdell Savings Account Agreement which includes the W-9 ▪ Health Savings Account Agreement which includes the W-9 ****

IRA Continued	▪ Beneficiary IRA Account Agreement which includes the W-9 **** -Copy of Death Certificate
Trust	▪ Certification of Trustees (Both include the Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Trustees
Custodial (UGMA *or* UTMA)	▪ New Account Application (includes W-9, must have minor's SSN and DOB. All other information applies to the Custodian.) No MARGIN
Corporation (Inc./Ltd/Corp/Co)	▪ Articles of Incorporation/ Certificate of Incorporation* ▪ Corporate Resolution (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Officers ▪ Beneficial Owner Form
General Partnership (GP)	▪ General Partnership Agreement* ▪ General Partnership Account Agreement (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Partners ▪ Beneficial Owner Form
Limited Partnership (LP)	▪ Limited Partnership Agreement/ Certificate of Limited Partnership* ▪ Limited Partnership Account Agreement (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Partners ▪ Beneficial Owner Form

Limited Liability Partnership (LLP)	▪ Limited Liability Partnership Agreement* ▪ Limited Liability Partnership Account Agreement (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Partners ▪ Beneficial Owner Form
Limited Liability Company (LLC)	▪ Limited Liability Company Agreement/ Articles* ▪ Limited Liability Company Account Agreement ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Officers ▪ Beneficial Owner Form
Sole Proprietorship (DBA)	▪ Organizational Document* ▪ Sole Proprietorship Certification (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ Beneficial Owner Form
Investment Club	▪ Organizational Document* ▪ Investment Club Account Agreement (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ Beneficial Owner Form
Estate	▪ Letters of Testamentary/Certificate of Appointment* ▪ Affidavit of Domicile ▪ Death Certificate* ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Executors

Non-Corporate/ Non-Profit Organization	▪ Organizational Document* ▪ Non-Incorporated Association Resolution (Trading Authorization) ▪ New Account Application which includes the W-9 ▪ New Account Addendum for Officers
Guardianship/Conservatorship	▪ Guardian Documentation/Certificate of Appointment* ▪ New Account Application which includes the W-9
Retail Prime Broker (RPB)	▪ New Account Application which includes the W-9 ▪ Any other documents which may be required by the specific account type, i.e. Corporate Resolution, Partnership Agreement, etc. ▪ Hilltop Securities Letter of Understanding for Prime Broker Customers ▪ Form 1 to Schedule A (Between HTS and Executing Brokers) ▪ Organizational Document or Intermediary AML Attestation (Foreign Only) ***
Institutional (DVP/RVP)	▪ Institutional New Account Application ▪ Organizational Document or Intermediary AML Attestation (Foreign Only) ***
Institutional (EPB)	▪ Institutional New Account Application ▪ Executing Prime Broker Clearing Agreement (SIFMA Form 151) (Jane Watkins) ▪ Form 1 to Schedule A (Between HTS and Prime Broker) (Jane Watkins) ▪ Organizational Document or Intermediary AML Attestation (Foreign Only) ***

- *Forms that the client can provide.

- The following accounts require a New Account team member to open the account: Allocation, Inventory, Broker and Box Accounts. Simply open a case through the HTS Service Cloud.
- Collateral and Pledge Accounts require a Collateral & Pledge Agreement from your Financial Institution. The Collateral & Pledge Agreement **MUST** be submitted to our Legal team prior to the account opening.
- A New Account Addendum must be supplied for any additional holders that have authorization on the account. This includes Trading Authorization and any Power of Attorney.
- An ACH (Automated Clearing House) Form requires a voided check with the name on the customer's account, current bank statement or an official letter from the financial institution.
- An answer is required for the Mandatory Question on Transfer of Death form on all IRA accounts openings.
- **** Accounts that cannot be opened in the New Account Module or IFS. Documentation must be completed before being submitted through the HTS Service Center or faxed to 214-859-6030.

A member of the New Accounts team will open the account for you. More importantly, all supporting documentation must be signed by all parties.

PenServ documents must be approved by the IRA department to open.

Equity Trust accounts must be approved by Equity Trust first before the account can be opened. New Accounts will send the documentation to Equity Trust.