



# Letter of Authorization

Please complete if the type of account in Section 1 is different than that in Section 2.

## To Hilltop Securities Inc.:

I hereby authorize the following transfer of assets:

### TRANSFER FROM:

Delivering Firm: \_\_\_\_\_

Account Number: \_\_\_\_\_

Account Title: \_\_\_\_\_

### TRANSFER TO:

HTS Account Number: \_\_\_\_\_

Account Title: \_\_\_\_\_

Financial Advisor's Name: \_\_\_\_\_ Office #: \_\_\_\_\_ Rep #: \_\_\_\_\_

I understand this transfer constitutes a change in the ownership of the assets and that the new registered account holders will have exclusive rights to the assets.

All authorized signers on the account being transferred are required to sign.

Sincerely,

**X** \_\_\_\_\_

Applicant's Signature

Date

**X** \_\_\_\_\_

Co-Applicant's Signature

Date

### IMPORTANT:

Completion of this form does not guarantee acceptance by delivering firm. Please contact the firm you are transferring your account from as indicated in Section 2 to confirm acceptance of the Letter of Authorization.

## **! Did You . . .**

- Include a copy of your most recent transferring account statement with your account name clearly shown?
- Complete Sections 1 and 2 in full?
- Make sure that the type of account in Section 1 matches the type of account in Section 2? (If not, please fill out the Letter of Authorization.)
- Complete the appropriate boxes in Section 3?
- Sign in Section 5 if you are an account holder or trustee?
- Know to allow 3-6 weeks for your transfer to be completed. Time required to complete your transfer is influenced by industry rules and regulations.

## FOR BROKER USE ONLY

### Receiving Firm Information

#### Name and Address

Hilltop Securities Inc.  
1201 Elm Street, Suite 3500  
Dallas, TX 75270-2180

#### Tax ID Number

75-1382137

#### Fax Number

(214) 859-1828

### Delivery Instructions

All deliveries MUST include client name and HTS account number.

#### Depository Trust Company

DTC Clearing Number: 0279

#### Dividend Reinvestment or Close-End Mutual Funds

Transfer all full shares. Liquidate Fractions and send a check.

#### Option Instructions

OCC# 0279

#### ACAT Physical Delivery of Securities

Physical Delivery- 0279 NY Envelope, NSCC/SIAC  
[Dealersphvclear@hilltopsecurities.com](mailto:Dealersphvclear@hilltopsecurities.com)

#### Foreign Custody

Canadian Local Market: CUID: RBCT Account#: T12213111  
JPM Chase FAO: Southwest Securities  
Euro clear: Client Ref: Hilltop Securities Inc. A/C: 78032  
Email: [DealersEuroclear@hilltopsecurities.com](mailto:DealersEuroclear@hilltopsecurities.com)  
Global Custodian BIC: MGTCBEBE

#### Checks

Hilltop Securities Inc.  
Attn: Receipts Department  
REF: Account Number  
1201 Elm Street, Suite 3500  
Dallas, TX 75270

#### Physical Delivery of Securities

Hilltop Securities Inc.  
Attn: Stock Transfer Department  
REF: Account Number  
1201 Elm Street, Suite 3500  
Dallas, TX 75270-2180

#### Fed Wired Funds

JP Morgan Chase Bank, N.A.  
270 Park Avenue  
New York, NY 10017-2070  
ABA # 021000021  
Hilltop Securities Inc.  
A/C 08805076955  
FFC: Name & Account Number @ Hilltop  
Attention: Settlement Dept.

#### Mutual Funds Registration

Hilltop Securities Inc.  
FBO: Name & Account Number  
P. O. Box 509002  
Dallas, TX 75250

#### International Wires

Same Above Instructions and add  
SWIFT address: CHASUS33

#### Fed-Entry Securities

BK OF NYC/HILLTOP  
ABA #021000018  
[FedDealers@hilltopsecurities.com](mailto:FedDealers@hilltopsecurities.com)

## Letter of Acceptance

To the prior trustee: Please be advised that Hilltop Securities Inc. does hereby accept appointment as successor custodian.

**X** \_\_\_\_\_

Successor Custodian Authorized Signature

Date

Financial Advisor's Name

Rep #

Office #