



Correspondent ClientEXP and eDelivery Enrollment Request

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Clearing services provided by Hilltop Securities, Inc. Member: NYSE/FINRA/SIPC

Correspondent ClientEXP Online Access and eDelivery Enrollment

Use this form to request online access for your clients' account(s) if they are not the primary account holder, and/or to grant Non-Account Holder online viewing access. This form may also be used to enroll in electronic delivery (eDelivery) of account statements, trade confirmations, and tax documents (Account Documents). DO NOT use this form to register the primary tax holder of the account for ClientEXP and eDelivery services. Visit <https://clientexp.hilltopsecurities.com> to self-register for access.

Request type (check all that apply):

New User Request Add Account(s) to Existing User Add eDelivery Add Order Entry*

1. Account Owner Information

Account Name: _____ Email: _____

Logon ID (if existing user): _____

2. ClientEXP User Information

Is the ClientEXP User a Registered Account Owner: Yes No

**Order Entry is only available for Registered Account Owners*

If the ClientEXP User is not the Registered Account Owner, indicate the user's relationship to the Registered Account Owner below (check one):

Relative: Name _____ Email: _____

Other*: Name _____ Email: _____

*If "Other", describe relationship: _____

3. Accounts to Access

- The person above will have complete online access to the accounts listed below
- If electing eDelivery, please indicate which Account Documents the User wishes to receive electronically.

List Accounts for Online Access

Select for eDelivery

Account # _____	SSN/TIN (last 4 digits: _____)	<input type="checkbox"/> Statements	<input type="checkbox"/> Confirms	<input type="checkbox"/> Tax Docs
Account # _____	SSN/TIN (last 4 digits: _____)	<input type="checkbox"/> Statements	<input type="checkbox"/> Confirms	<input type="checkbox"/> Tax Docs
Account # _____	SSN/TIN (last 4 digits: _____)	<input type="checkbox"/> Statements	<input type="checkbox"/> Confirms	<input type="checkbox"/> Tax Docs
Account # _____	SSN/TIN (last 4 digits: _____)	<input type="checkbox"/> Statements	<input type="checkbox"/> Confirms	<input type="checkbox"/> Tax Docs
Account # _____	SSN/TIN (last 4 digits: _____)	<input type="checkbox"/> Statements	<input type="checkbox"/> Confirms	<input type="checkbox"/> Tax Docs

4. Authorization

I hereby agree to the ClientEXP Terms and Conditions, Online Usage Agreement, and the eDelivery Agreement, if applicable, either provided to me or accessed by me on the ClientEXP website at <https://clientexp.hilltopsecurities.com>. My use of the ClientEXP website constitutes my agreement to all such terms, conditions, agreements and notices. Hilltop Securities Inc. may at any time change or modify the terms and conditions applicable to my use of the ClientEXP website, or to any aspect or feature of the ClientEXP website itself.

For the non-account holder listed in Section 2, I hereby request HilltopSecurities to establish a ClientEXP logon ID and grant View-Only access to the accounts listed in Section 3. I acknowledge that granting this access gives the non-account holder access to my personal and confidential information. I acknowledge and agree that it is my sole responsibility to promptly notify HilltopSecurities in writing of any change to the information provided in Section 2 or to revoke the non-account holder's access.

_____	X _____	
Account Owner's Printed Name	Account Owner's Signature	Date
_____	X _____	
Account Owner's Printed Name	Account Owner's Signature	Date
_____	X _____	
Principal/Authorized Requestor Name	Principal/Authorized Requestor Signature	Date

Submit this request via the HTS Service Center using Department "Back Office Access" and Request Category "ClientEXP". **Attach this page only.**

ClientEXP Terms of Use and Usage Agreement

This website is offered to you, the user, conditioned on your acceptance without modification of the terms, conditions and notices contained herein. Your use of this website constitutes your agreement to all such terms, conditions and notices. Hilltop Securities Inc. may at any time change or modify the terms and conditions applicable to your use of this Web site, or may modify or alter any aspect or feature of the Web site itself.

For purposes of this Online Usage Agreement, “you” refers to the owner, co-owner(s) or authorized individual(s) of an account or accounts with HTS and/or a Broker/Dealer for which it clears (“Correspondent”). “HTS”, “we”, “us” and “ours” shall mean Hilltop Securities Inc. and its affiliates, and their officers, directors, partners, agents, advisors and employees. The “Web site” shall mean the Web site of Hilltop Securities Inc. available to the public located at www.hilltopsecurities.com and select other domains.

Monitoring by HTS. Your use of the products and services on the Web site may be monitored by HTS, and the resultant information may be used by HTS for its internal business purposes or in accordance with the rules of any applicable regulatory or self-regulatory organization.

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No Warranties Made as to Security. HTS makes no warranty whatsoever to you, express or implied, regarding the security of the site, including with respect to the ability of unauthorized persons to intercept or access information transmitted by you through this service.

Responsibility for Logon and Password. You acknowledge that you are the sole and exclusive owner and the only authorized user of any logon and password (such as Username, login password and/or trading password) you have or may receive during the course of this Agreement which provides access to your account. You accept sole responsibility for the confidentiality, protection and user of such logon and password as well as for all orders and information changes entered into your account(s) using your password(s). You acknowledge and agree that you will be solely responsible for all third party access to your account(s) which you authorize, orders, information changes, and other transactions entered into the Web site using your password(s) or by any third party authorized by you, and that HTS will deem all orders and transactions so received to have been received from you.

System Outages, Slowdowns, and Capacity Limitations/Delays in Order Routing, Executions, and Trade Reports. As a result of high internet traffic, transmission problems, system capacity limitations, and other problems, you may at times experience difficulty accessing the Web site or communicating with HTS through the internet or other electronic and wireless services. Any computer system or other electronic device, whether it is yours, an Internet Service Provider's, or HTS's, can experience unanticipated outages or slowdowns or have capacity limitations.

Orders. You acknowledge and agree that not all trades will be executed concurrently with the orders placed, and that you will receive the price at which your order executes in the marketplace, which may be different from the price at which the security was trading when you entered your order.

Content Not To Be Construed as a Solicitation or Recommendation. This material has been prepared for informational purposes only without regard to any particular user's investment objectives, financial situation, or means, and HTS is not soliciting any action based upon it. This material is not to be construed as a recommendation; or an offer to buy or sell; or the solicitation of an offer to buy or sell any security, financial product, or instrument; or to participate in any particular trading strategy in any jurisdiction in which such an offer or solicitation, or trading strategy would be illegal. Certain transactions, including those involving options, give rise to substantial risk and are not suitable for all investors. Although this material is based upon information that HTS considers reliable and endeavors to keep current, HTS has not verified this information and does not represent that this material is accurate, current, or complete and it should not be relied upon as such.

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General. If any provision of this Agreement is held to be invalid, void or unenforceable due to any law, rule, administrative order or judicial decision, that determination shall not affect the validity of the remaining provisions of this Agreement. Except as specifically

provided herein, no provision of this Agreement can be, nor be deemed to be, waived, altered, modified or amended unless agreed to in writing by an authorized officer of HTS. This Agreement, together with all other written agreements between you and HTS related to your account(s) and terms contained on statements and confirmation sent to you, contains the entire understanding and agreement between you and HTS concerning the subject matter of this Agreement. The heading of each provision of this Agreement is for descriptive purposes only, and shall not be deemed to modify or qualify any of the rights or obligations set forth in such provision. This Agreement shall be construed in accordance with the substantive laws of the State of Texas, without reference to the choice of law provisions thereof. Some states do not allow certain limitations on implied warranties, or the exclusion or limitation of incidental, consequential, or other damages, so that these disclaimers and limitations may not apply to you. The information provided is intended for U.S. residents only.

Electronic Delivery Agreement

Electronic Delivery (“eDelivery”) can offer significant advantages in terms of speed and convenience. Your consent to receive any paperless documents will be effective for all transactions and security holdings in the specified account(s) on an ongoing basis, unless you cancel or modify your enrollments or are otherwise notified by HTS.

This eDelivery Agreement (“Agreement”) describes the terms and conditions of your enrollment in and use of a website based service providing eDelivery of documents (the “Service”) for your accounts as described in the Agreement. This Agreement is an amendment to the HTS Customer Information Brochure, Customer Account Agreement, Online Account Agreement and Electronic Delivery Agreement. Unless specifically stated, all terms of the Customer Information Brochure are still binding and valid.

By your acceptance of this Agreement, you indicate your authorization and your informed and affirmative consent to the email or other electronic notice (“eDelivery Notice”) of the availability for your electronic access to review and download account statements, trade confirmations, and/or certain Internal Revenue Service (“IRS”) forms related to your account or account activity or your business relationship with us regarding your Designated Accounts (“Transaction Records”), through an HTS or another party website (“Website”), as described herein.

Consent to the Service. By executing this Agreement, you represent and warrant that you are an owner or legal representative authorized to enter into this Agreement for the Designated Accounts. HTS may, in its sole discretion, accept or deny applications for the Service. In the event that HTS implements a system for electronic signature, you may or may not be allowed to consent to the terms and conditions of this Agreement electronically (“Online Consent”).

Your Records will be posted on the Internet. Once HTS accepts and processes your completed and properly executed Consent Form, the Transaction Records selected for your Designated Accounts will be electronically posted on a website either accessible through the Internet at ClientEXP or other Internet location as HTS may advise or for shareholder communications (described herein) through a Third Party Website disclosed in the eDelivery Notice. You represent and warrant that you have and will continue to maintain access to the website in a manner that gives you continuous ability to access, review, download, retain, act upon, and print your Transaction Records. Maintaining such access to the website is solely your responsibility.

eDelivery Notice. You will receive eDelivery Notice that your transaction records have been posted on the Web site. The eDelivery Notice is sent to your current email address used for the Service as described herein. Your current email address used for the Service will be the most recent email address designated by you on ClientEXP and associated with your logon or user name. You understand and agree that only one Designated Email will be used per ClientEXP logon for eDelivery.

You understand and agree that this eDelivery Notice will be the only notice you will receive and that no other notice will be sent. Any and all eDelivery Notices or other notice described herein delivered by HTS or its service provider to the Designated Email or to you by mail, facsimile, messenger, or otherwise, will constitute sufficient delivery and notice to you and all other owners; effective delivery to you of information contained in your Transaction Records whether or not you access or review the eDelivery Notice, website, applicable email or specific Transaction Record; and shall be deemed to have been delivered to you personally, whether actually received or not. You represent and warrant that you have and will continue to maintain the continuous ability to receive and access all eDelivery Notices sent to you at the Designated Email. Keeping the Designated Email current and activated is solely your responsibility. You understand and agree that all electronically delivered documents, notices, statements, confirms records, and all

other communications through this Service may be electronically available through the website for only a limited period as required under applicable law, rule or regulation. This limitation may also apply to tax reporting documents.

Transaction Records Selected for eDelivery Service

Statements, Notices and Other Information. If you select “Statements”, you consent to eDelivery through the Service of all periodic account statements for the Designated Account (“Statement” or “Account Statements”) and some notices, legal and otherwise, and other information that would appear on or be included with paper copies of such Account Statements. You also consent to eDelivery of notices, legal and otherwise, and other information required or permitted to be delivered to you in connection with your Account Statements or your relationship with HTS, its affiliates, subsidiaries or Correspondents that can be delivered by HTS as deemed appropriate by HTS through the Service in electronic form (“Notices and Other Information”). Notice and Other Information potentially includes but is not limited to Individual Retirement Account (“IRA”) and Employee Retirement Income Security Act (“ERISA”) notices, amendments and plan documents, account opening, verification, or maintenance notices and information requests. If an electronic version of an Account Statement, Notice and Other Information is not available or not delivered electronically, you may receive a printed non-electronic copy by mail or otherwise and an eDelivery Notice may not be made.

Trade Confirmations. If you select “Trade Confirmations”, you consent to eDelivery through the Service of trade confirmations for transactions in the Designated Account (“Confirmation” or “Trade Confirmations”). By selecting eDelivery of Trade Confirmations, you also consent to eDelivery through the Service of certain Notices and Other Information required under applicable law to be sent in connection with the transactions described on Trade Confirmations that can be electronically delivered through the Service. If an electronic version of a Trade Confirmation or Notice is not delivered electronically, you may receive a printed non-electronic Trade Confirmation and related Notice and Other Information by mail or otherwise and an eDelivery Notice may not be made.

Tax Documents. If you select eDelivery service for Tax Documents, you consent to eDelivery through the Service of tax information reported on IRS forms for your Designated Account including but not limited to: a.) tax information reported on IRS Forms 1099-INT, 1099-DIV, 1099-OID, 1099-MISC, 1099-B, 1099-C and certain tax information on Forms 1099-R and 5498 as permitted by applicable law, rule or regulation; b.) corrections to tax information on such IRS forms if any as made available through the Service by HTS; c.) tax information on IRS Forms 1099-SA, 5498-SA, 1042-S and other forms and certain tax information on Forms 1099-R and 5498 (other than that noted above) when and if such forms and information reported thereon are permitted to be delivered under applicable law, rule or regulation and are made available through the Service by HTS at its sole discretion; and d.) related information and material as determined applicable or necessary by HTS (“Form 1099” or “IRS Form 1099”). If an electronic version of a IRS Form 1099 and/or other tax reporting document is not available or delivered electronically, you may receive a printed non-electronic version of these documents by mail or otherwise and an eDelivery Notice may not be made.

You agree that upon eDelivery of a Form 1099 exclusively through the Service, you are solely responsible to print your Form 1099 and attach it to your Federal, State, or local income tax return if required under applicable law, rule or regulation or as advised by your tax adviser. You understand and agree that the Form 1099 may be electronically available on the website for only a limited period as required under applicable law, rule or regulation. In some cases, electronic availability could be only a limited number of days depending in part upon when you choose to access your Form 1099. After such period has expired, you may be required to obtain paper copies of the Transaction Record through your Financial Advisor.

Global Consent. As for all Transaction Records, this consent is a “global” and “universal” consent, which means that it extends to the eDelivery of an unlimited number of Transaction Records. If an electronic version of a Transaction Record is not available or delivered, you may receive a printed non-electronic Transaction Record by mail or otherwise and an eDelivery Notice may not be made.

Using this Service stops delivery of paper Transaction Records. By using this Service, you terminate delivery of paper copies of those Transaction Records you agree to receive via eDelivery for your Designated Account. Specific Transaction Records not selected for eDelivery will continue to be delivered in paper form.

You understand and agree that even though you have requested and consented to eDelivery of selected Transaction Records through the Service, HTS at its discretion may continue to deliver such Transaction Records in paper form to your last mailing address of record including but not limited to (i) Trade Confirmations, related to your purchase of equities, bonds or mutual funds, (ii) Account Statements, (iii) Form 1099. If an electronic version of a Transaction Record is not available or delivered through the Service, you may

receive a printed non-electronic copy by mail or otherwise and an eDelivery Notice may not be made. Such paper copies will constitute your record of such information.

Electronic access to consolidated records for multiple accounts. For other Owners in the household to receive selected Transaction Records for their Designated Accounts exclusively in electronic form and terminate delivery of paper copies, such Owners or their authorized representatives can execute and submit a completed Consent Form subject to our acceptance and approval. Upon receipt and acceptance of a properly completed and executed Consent Form, selected Transaction Records for Designated Accounts within the household will be electronically delivered through the Service and paper copies will no longer be sent unless HTS, at its discretion, continues to deliver such Transaction Records.

Revocation or Termination of eDelivery Instructions. Any account Owner or authorized person may revoke this authorization and consent to the Service for the owner's own Designated Accounts ("Revocation") at any time for any or all Transaction Records by un-enrolling on the ClientEXP Web site. In addition, HTS may terminate the Service at its own discretion.

Paper copies of Transaction Records. HTS will send a paper copy of your Transaction Record previously delivered through the Service at your request. A fee may apply for any additional paper copies of Transaction Records. Paper copies of Transaction Records can be requested by contacting your Financial Advisor. A request for a paper copy does not cause Revocation of the Service. A paper copy of Transaction Records can be obtained until the copy is no longer required to be maintained as a record for the Designated Account under applicable law, rule or regulation.

You may incur additional costs for using the Service. You understand and agree that accessing Transaction Records through the website and receiving eDelivery Notices by email or other electronic means may incur certain costs associated with email, electronic access, downloading, online time and subscription costs associated with Internet service providers and telecommunications providers, paper and printing costs, and equipment or software upgrades if necessary. You agree that you will and are able to meet all such costs and expenses for the Service.

Risks. You understand that certain risks are associated with the transmission of confidential Transaction Records, eDelivery Notices, and Notices and Other Information through the Internet include but are not limited to unauthorized access, systems outages, delays, and disruptions in telecommunications services and the Internet. HTS cannot guarantee the uninterrupted operation of ClientEXP. Email is not private or secure. The eDelivery Notice sent to you by email is an unencrypted, automatic alert. Although such eDelivery Notice is not intended to contain non-public personal information ("NPPI"), it may contain in its design part or all of your name or any other identifier that could be seen or intercepted by others. You understand and agree that you will not respond to the eDelivery Notice by return email, or use it to request information, service, paper copies or other items or to revoke consent. HTS will not be responsible to act upon requests made in that manner. By using this Service to access Shareholder Communications through the Issuer's website you acknowledge and agree that you are leaving HTS's website and may be subject to different and less protective privacy, confidentiality and data use policies, practices and notices applicable to users of the Third-Party Website through which you access Shareholder Communications and others to which you may link through the Service. HTS is not responsible or liable to you or others for any confidentiality, privacy, security or other policies, practices, conditions, content or activity of such website or location.

Rejected Electronic Delivery Notices and Revocation of Service. If we attempt to send an eDelivery Notice to the Designated Email and receive a report from an email service provider or other source that the email is undeliverable ("Rejected Email report"), we will send a notice to the mailing address of record for the Designated Account or deliver such notice to an Owner of such account within 72 hours after the Rejected Email report that eDelivery documents have been posted to the website. If, after 180 calendar days from the date of the first Rejected Email report, we continue to receive Rejected Email reports for the Designated Email, the Service will be terminated for all owners and Designated Accounts attached to that Designated Email. HTS may choose to revoke any or all of the services mentioned herein, at any time, without notice.

Designated Email, Internet access, and review of Transaction Records. You must immediately advise us through your Financial Advisor of all changes or updates to the Designated Email used for this Service. You agree to immediately identify another Designated Email if the existing email address becomes inoperative or inactive. For Form 1099 and other Transaction Records, your Designated Email may be changed or updated for the Service by updating your Designated Email on the ClientEXP website. All owners agree to access and review their own Transaction Records for their own Designated Accounts upon receipt of an eDelivery Notice. It is each owner's sole responsibility whether the content of such eDelivery Notice is delivered by mail, electronic mail or other electronic means to access

and review their own Transaction Records. All terms in the Transaction Records for the Designated Accounts are binding on each owner of the Designated Account just as if they were delivered in paper form. Although Transaction Records may be available electronically for a finite period of time, you understand and agree that the Transaction Records are delivered in a manner to allow you immediate access to download and print the Transaction Records. You understand that you and other owners should download and print Transaction Records so that you may access or maintain them in your personal records or in the event that the website becomes temporarily or otherwise unavailable. All Transaction Records sent through the Service whether by mail, electronic mail, facsimile, messenger or otherwise shall be deemed to have been delivered to you and every other owner personally, whether actually received or not.

This Agreement amends and is in addition to all other Agreements with HTS. This Agreement constitutes an agreement by you to use the Service as described herein and may be modified or amended by HTS upon notice to you either in writing, by posting to the website, or by eDelivery Notice. Your continued use of the Service after such notification of change shall be understood as your agreement to be bound by all such changes. This Agreement is in addition to and part of the terms and conditions of the agreement governing your use of ClientEXP and is in addition to all other terms and conditions in agreements governing your accounts and relationship with us, and constitute an amendment of those agreements specifically where sections relate to delivery of selected Transaction Records for Designated Accounts. This Agreement supersedes all previous Consent Forms executed or otherwise agreed to by you concerning the Service or your Transaction Record.

Amendments to this Agreement. You understand and acknowledge that HTS may amend this Agreement at any time. We will provide advance notification of any amendment to this Agreement at least 15 days prior to the day the amendments become effective. Notification may be provided by eDelivery or on paper through the United States Postal Service or other physical delivery medium. You further understand that for the purposes of this Agreement, notification will be understood to have been provided as of the day it is submitted electronically, or submitted to the United States Postal Service or other physical delivery medium by HTS.

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