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

## Trading Authorization Agreement

Use this form to establish Trading Authorization.

### 1. Trading Authorization Agreement.

I hereby authorize \_\_\_\_\_, (whose signature appears below) as my authorized ("Agent") to buy, sell (including short sales) and trade in stocks, bonds, put and call options and any other securities and/or contracts relating to the same on margin or otherwise in accordance with HTS's terms and conditions and risk profile for my account. I hereby agree to indemnify and hold HTS harmless from and to pay HTS promptly on demand for any and all losses arising therefrom HTS.

My Agent is authorized to act for me and on my behalf in the same manner and with the same force and effect as I might or could do with respect to purchases, sales or trades.

I hereby ratify and confirm any and all transactions with HTS heretofore or hereafter made by my Agent or for my account.

This authorization and indemnity is in addition to (and in no way limits or restricts) any rights which HTS may have under any other agreement or agreements between me and HTS.

This authorization and indemnity shall remain in full force and effect until revoked by me by a written notice addressed to HTS and delivered to 1201 Elm Street, Suite 3500, Dallas, TX 75270. Such revocation shall not affect any liability in any way resulting from transactions initiated prior to such revocation. This authorization and indemnity shall inure to the benefit of HTS and of any successor firm or firms.

### 2. Authorized Agent Signature.

Authorized Agent Printed Name	<b>X</b> Authorized Agent Signature <span style="float: right;">Date</span>
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### 3. Customer Signature.

Customer Account Number	<b>X</b> Customer Signature <span style="float: right;">Date</span>
Customer Printed Name	

## AUTHORIZED AGENT INFORMATION

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

**Agent Name:** \_\_\_\_\_ **Relationship:** \_\_\_\_\_

**Social Security Number:** \_\_\_\_\_

**Date of Birth:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
\_\_\_\_\_

**Home Phone:** \_\_\_\_\_ **Cell Phone:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_

**U. S. Citizen:**                      **Yes**                      **No**

**If no, what country?** \_\_\_\_\_ **Passport #** \_\_\_\_\_

**Driver's License #** \_\_\_\_\_ **Issuer** \_\_\_\_\_

**Date of Issuance** \_\_\_\_\_ **Date of Expiration** \_\_\_\_\_

### EMPLOYMENT INFORMATION

**Name of Company:** \_\_\_\_\_

**Position:** \_\_\_\_\_

Do you or the owner of this account work for or are affiliated with a securities firm, bank insurance or trust company? If yes, please specify \_\_\_\_\_

Are you or the owner of this account a director, officer, or 10% shareholder on any publicly owned company? If yes, please specify \_\_\_\_\_

- | <b>Investment Experience</b><br><i>(Include Years of Experience)</i> | <b>Annual Income</b><br><i>(From all Sources)</i> | <b>Net Worth</b><br><i>(Exclusive of Residence)</i> | <b>Liquid Net Worth</b><br><i>(Cash, Securities, etc.)</i> |
|--|---|---|--|
| <input type="checkbox"/> Stocks _____                                | <input type="checkbox"/> Under \$25,000           | <input type="checkbox"/> Under \$50,000             | <input type="checkbox"/> Under \$50,000                    |
| <input type="checkbox"/> Bonds _____                                 | <input type="checkbox"/> \$25,000-\$49,999        | <input type="checkbox"/> \$50,000-\$99,999          | <input type="checkbox"/> \$50,000-\$99,999                 |
| <input type="checkbox"/> Options _____                               | <input type="checkbox"/> \$50,000-\$99,999        | <input type="checkbox"/> \$100,000-\$249,999        | <input type="checkbox"/> \$100,000-\$249,999               |
| <input type="checkbox"/> Commodities _____                           | <input type="checkbox"/> \$100,000-\$249,999      | <input type="checkbox"/> \$250,000-\$499,999        | <input type="checkbox"/> \$250,000-\$499,999               |
| <input type="checkbox"/> Futures _____                               | <input type="checkbox"/> \$250,000-\$499,999      | <input type="checkbox"/> \$500,000-\$999,999        | <input type="checkbox"/> \$500,000-\$999,999               |
| <input type="checkbox"/> Mutual Funds _____                          | <input type="checkbox"/> \$500,000-\$999,999      | <input type="checkbox"/> \$1,000,000-\$3,000,000    | <input type="checkbox"/> \$1,000,000-\$3,000,000           |
| <input type="checkbox"/> Other <i>(List)</i> _____                   | <input type="checkbox"/> \$1,000,000-\$3,000,000  | <input type="checkbox"/> Over \$3,000,000           | <input type="checkbox"/> Over \$3,000,000                  |
|  | <input type="checkbox"/> Over \$3,000,000         |   |  |

\_\_\_\_\_  
Trading Agent Printed Name

\_\_\_\_\_  
Trading Agent Signature

\_\_\_\_\_  
Date