

Hilltop Securities Inc. and/or Broker/Dealers for which it clears
Hilltop Securities Inc. Member NYSE/FINRA/SIPC

Automated Clearing House (ACH) Authorization

Use this form to make on-demand fund transfers between your Hilltop Securities Inc. (HTS) and bank accounts and to set up recurring monthly transfers either to or from your HTS account. Please allow 2 weeks for this feature to be set up for your account. After the ACH is set up, funds can be transferred within 1 business day. Note: Your bank account must be cleared through a financial institution in the United States and the check must be payable in U.S. dollars.

1. HTS Account Information.

Name: _____ Social Security Number: _____
 HTS Account Number (if available): _____ Home Phone Number: _____
 Type of ACH Request (Check ONE): New ACH Request Change to Existing ACH Request Add Additional Bank

2. Bank Account Information. (Refer to your bank statement for the following information.)

Name as it appears on your Bank Account: _____
 Bank Name: _____ Bank Account Type (Check ONE): Checking OR Savings
 Bank Routing Number: _____ Bank Account Number: _____

3. On-Demand Transfers.

By signing this form, you elect to make transfers on-demand back and forth between your HTS and bank accounts. In addition to being able to make on-demand transfers, you can have the account set up for recurring types of transfers by completing section 4.

4. Recurring Transfers. (Check all that apply, if these additional options are desired.)

- Recurring transfer of dividends/interest and/or principal pay downs from HTS account to my bank account (Check ONE):
 - Transfer dividends/interest only **FROM HTS ACCOUNT** to my bank account.
 - Transfer dividends/interest & principal pay downs **FROM HTS ACCOUNT** to my bank account.
- Recurring monthly transfer between HTS & my bank account (Check ONE):
 - Recurring monthly transfer **FROM HTS ACCOUNT** to my bank account:*
 Amount: \$ _____ Day of the Month: _____ Expiration: _____
 - Recurring monthly transfer **FROM MY BANK ACCOUNT** to HTS account:
 Amount: \$ _____ Day of the Month: _____ Expiration: _____

***Important Note:** In order to distribute money FROM an IRA account, you must complete an IRA Distribution Request Form.

5. Please Read and Sign.

I/we authorize HTS to transfer funds between my/our securities account and my/our bank account via automated funds transfer. In the event an entry is incorrect, HTS reserves the right to submit correcting entries. Attached is a voided check so that you have my/our necessary bank routing information. I/we understand that it takes approximately 14 days from receipt of this form for this feature to be activated. This authorization remains in full force and effect until HTS receives written notification of its termination or alteration. I/we acknowledge that the origination of ACH transactions to my account must comply with the provisions of U.S. law.

X _____ **X** _____
 Applicant's Signature Date Co-Applicant's Signature Date

Firm Representative (Initials) _____ Verbal Verification Obtained From _____ Date _____

6. Attach Voided Check.

