



eDelivery Enrollment Guide

Welcome to HilltopSecurities' eDelivery service! Our clients can now save time and paper by choosing to be notified electronically when their account documents are available for viewing.

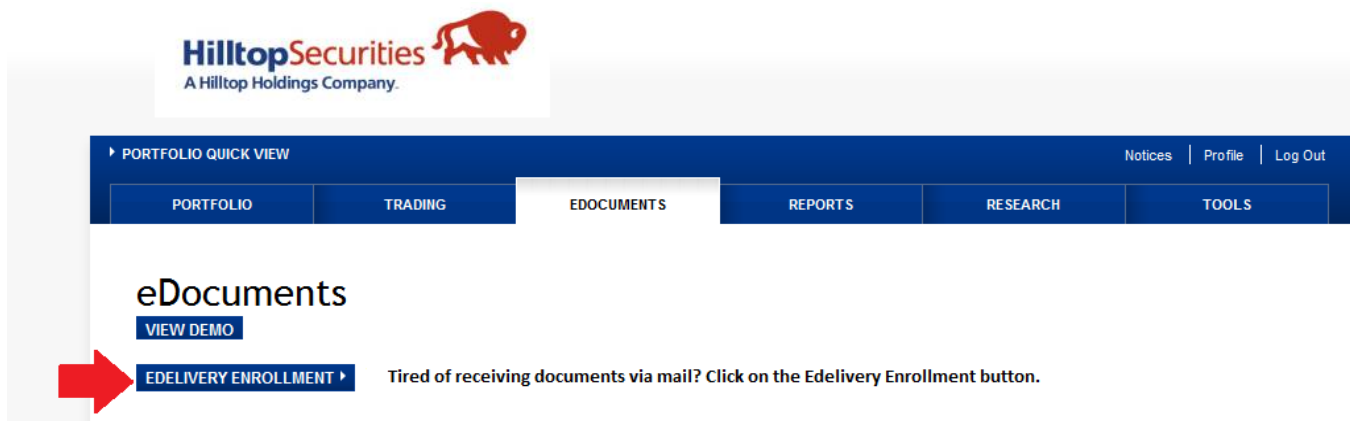
To enroll in our eDelivery service, choose which user category best describes you:

1. Primary Account Holder or Non Account Holder who already has a ClientEXP Logon ID
2. Primary Account Holder who does not have a ClientEXP Logon ID
3. Non Account Holder or related Interested Party who does not have a ClientEXP Logon ID

1. Primary Account Holder and Non Account Holders who already has a ClientEXP Logon ID:

If you already have a logon and password to our customer website, ClientEXP, then simply login and follow the steps below:

1. Click on <https://clientexp.hilltopsecurities.com>
2. Logon with your ClientEXP Logon ID
3. Click on eDocuments
4. Click on eDelivery Enrollment



The screenshot shows the HilltopSecurities logo at the top left. Below it is a navigation bar with the following tabs: PORTFOLIO QUICK VIEW, PORTFOLIO, TRADING, EDOCUMENTS (highlighted), REPORTS, RESEARCH, and TOOLS. In the top right corner of the navigation bar are links for Notices, Profile, and Log Out. Below the navigation bar, the page title is "eDocuments". Underneath the title is a "VIEW DEMO" button. A red arrow points to the "EDELIVERY ENROLLMENT" button, which has a small downward arrow next to it. To the right of this button is the text: "Tired of receiving documents via mail? Click on the Edelivery Enrollment button."

5. Click on Enroll in EDelivery and confirm that the email address associated with your ClientEXP logon is where you would like to receive notices when your account documents are available

PORTFOLIO QUICK VIEW

PORTFOLIO TRADING EDOCUMENTS REPORTS

Profile

INFORMATION USER PREFERENCES SECURITY ACCOUNTS

EMAIL ADDRESS

JohnDoe@email.com ✕

This email address will be used for eDelivery notifications as well as logon assistance.

For example: name@service.com

Site language preference

English

eDelivery Enrollment

ENROLL IN EDELIVERY

UPDATE

- Click on the blue arrows to expand the document categories. You will do this process one category at a time. Once you can see the account(s) associated with your ClientEXP logon, use the check boxes to select the accounts for which you would like to enroll for eDelivery. Please note that at the bottom of the screen you have another opportunity to review and/or update your email address. Once done, click "Next".

HilltopSecurities
A Hilltop Holdings Company

eDelivery Enrollment

Select Documents

Please select the account(s) and document(s) for which you would like to receive e-delivery.

- ▶ Statements
- ▶ Confirms
- ▶ Tax Documents
- ▶ Proxy
- ▶ Prospectus

Email Address

JohnDoe@email.com x This email address will be used for eDelivery notifications as well as logon assistance.

For example: name@service.com

CANCEL **NEXT**

Available: 152894478 Revwin W&C

7. Click on the document types and accounts you would like to enroll (you can click on Select All to select all accounts for that document type)

eDelivery Enrollment

Select Documents

Please select the account(s) and document(s) for which you would like to receive e-delivery.

- ▶ Statements
- ▶ Confirms
- ▶ Tax Documents
- ▶ Proxy
- ▼ Prospectus

FOR THESE ACCOUNTS

- Select all account(s)
-
-
-
-

Notice: Thank you for choosing to receive your prospectus through eDelivery. While your preferences are being updated, you may continue to receive printed prospectus delivered by U.S. mail. Electronic delivery of prospectus materials may be available for certain registered investments and other products offered. Please contact your financial services firm for details regarding the availability of these documents.

Email Address

This email address will be used for eDelivery notifications as well as logon assistance.

For example: name@service.com


CANCEL **NEXT**

8. Accept the Terms and Conditions of service by checking the box at the bottom of the screen and clicking "Submit."

eDelivery Enrollment

Terms and Conditions

Please read and agree to the following terms and conditions to complete the enrollment for e-delivery.



Electronic Delivery Agreement

HTS, a Member Firm of the New York Stock Exchange ("NYSE"), the Financial Industry Regulatory Authority ("FINRA"), and the Securities Investor Protection Corporation ("SIPC"), is a full-service brokerage firm providing customers with execution services on all major exchanges and access to all major markets.

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 enrollment 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 account 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.

HTS and applicable affiliates ("Firm," "we," "us," "our") through ClientEXP shall arrange through this Agreement for you, other account owners, your or their authorized representatives ("you," "your" or "Owners") of accounts designated by you ("Designated Accounts") in the online enrollment process or paper enrollment and consent form(s) (collectively "Consent Form"), and other third parties authorized by you to use the Service.

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, certain offering communications, confirmations, prospectus, shareholder information, proxy materials, account records, legal notices, certain Internal Revenue Service ("IRS") forms, correspondence, other communications, information and account documents related to your account or account activity or your business.


relationship with us regarding your Designated Accounts ("Transaction Records"), through us HTS or another party website ("Website"), as described herein.

- 1. 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 Account. HTS may, in its sole discretion, accept or deny applications for the Service. In the event that HTS implements a system for electronic signatures, you may or may not be allowed to consent to the terms and conditions of this Agreement electronically ("Online Consent").
- 2. Your Records will be posted on the Internet**
In the event that HTS accepts and processes your completed and properly executed Consent Form, the Transaction Records selected for your Designated Account will be electronically posted on a website either accessible through the Internet at ClientEXP or other Internet location as HTS may advise or for sharable 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.
- 3. You will receive eDelivery Notice that your Transaction Records have been posted**
 - a) The notice advising you that Transaction Records have been posted to the website will be an eDelivery Notice 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 login, user name, password or other security code(s) on the website and accepted by us for use through several authorized channels, including but not limited to: your registration or other updates on the website, and/or your most recent Consent Form ("Designated Email"). You understand and agree that only one Designated Email will be used per ClientEXP login for eDelivery. The Designated Email used for the Transaction Records for all Owners will be the last Designated Email entered by any one Owner and accepted by us immediately prior to the time when the Designated Email is processed by us for use in the Service.
 - b) If you have previously enrolled in the Service for other Transaction Records, any update or change to the Designated Email will become the new Designated Email for all eDelivery Notices and all other email communications to you for your Transaction Records, as well as any other ClientEXP service(s) or electronic communication between us and you unless you are otherwise advised by HTS.

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I agree to the terms and conditions for eDocuments.

Documents must be viewed using Adobe Reader. Click on the icon to get the latest version now.



9. Lastly, you will be able to view your selections on the enrollment confirmation screen. Click “Close” when done.

eDelivery Enrollment

Confirmation

The below account(s) has been enrolled for e-delivery of the specified document(s). An email confirmation has been sent to your email address on file.

Statements

For These Accounts
Statements

Confirms

For These Accounts
Confirms

Tax Documents


For These Accounts
Tax Documents

Proxy

For These Accounts
Proxy

Prospectus

For These Accounts
Prospectus

CLOSE 

2. Primary Account Holder who does not have a ClientEXP Logon ID:

If you do not have a ClientEXP Logon ID, please follow these simple steps:

1. Click on <https://clientexp.hilltopsecurities.com>
2. Click on Register for Access and follow the instructions.
3. Click on View Demo to watch training video
4. After registration, click on eDelivery Enrollment under eDocuments to enroll in the electronic delivery of trade confirmations

Note: Please contact your Financial Advisor directly for Trust, Corporations and Partnerships Accounts

3. Non Account Holder or related Interested Party who does not have a ClientEXP Logon ID:

1. Obtain written approval of the account holder: First, request that the primary account holder contact their financial advisor in order to request 3rd party or interested party access on your behalf. The primary account holder will need to submit documentation on your behalf for access to be granted
2. Once the request document has been submitted, you will receive your logon and be able to login to ClientEXP and register for eDelivery (please go to Primary Account Holder or Non Account Holder who already has a ClientEXP Logon ID as outlined)

Note: Please contact your Financial Advisor directly for Trust, Corporations and Partnerships Accounts