



Please provide as much information as possible in order for Hilltop Securities Inc to determine how to best service your Broker-Dealer. Please fax the completed form to Correspondent Clearing at 214-859-6026.

Company Information			
Company Legal Name			CRD Registration Number
Registered Trade Name (If Applicable)			
Street Address			
City	State/Prov. (If Applicable)	Post Code	Primary Contact
Individual Completing Form		Email Address	
Telephone Number	Fax Number	Web Site Address	
Type of Ownership Public <input type="checkbox"/> Private <input type="checkbox"/>	State/Prov (If Applicable)	Date of Inc. (mm/dd/yy)	
MPID	Trading Symbol (If Public)	Fiscal Year End	
Number of Registered Representatives (Series 7) (Series 6)	Parent Company	Number of Branches	

Contact Information			
Primary Contact	Phone	Email	CRD
CEO	Phone	Email	CRD
COO	Phone	Email	CRD

Firm Profile	
Business Lines:	
<input type="checkbox"/> General Securities (Retail) <input type="checkbox"/> General Securities (Advisory) <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Other <input type="checkbox"/> Discount (Internet) <input type="checkbox"/> Active Trading <input type="checkbox"/> Institutional	
If Other Please Describe	
Is the Firm a Market Maker <input type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, What Security Types (Please provide a list of securities in which the firm makes a market) Listed - <input type="checkbox"/> Yes <input type="checkbox"/> No OTC - <input type="checkbox"/> Yes <input type="checkbox"/> No Pink/BB - <input type="checkbox"/> Yes <input type="checkbox"/> No
Does your firm underwrite or participate in Initial Public Offerings (IPO's)? <input type="checkbox"/> Yes <input type="checkbox"/> No	How Many Annually

Customer/Firm Account Profile

Name of Current Money Market Fund(s) 1) 2)	Money Fund Balance(s) 1) 2)	State Specific Funds Req.
Proprietary Account Debits	Proprietary Account Credits	Current Clearing Deposit
Firm Inventory Account Debits	Firm Inventory Credit	Total Customer Margin Debits
Total Number of Accounts	Number of Active Accounts	Total Number of IRA Accounts
Does Your Firm Have Foreign Accounts <input type="checkbox"/> Yes <input type="checkbox"/> No		If Yes, How Many (please provide a list of countries)

Securities Volume - Please Provide Previous 3 Months Average

Retail Transactions

Equities Per Month Orders	Equities Average Exec. Per Order Executions	Equities Average Shares Per Order Shares
Options Per Month Orders	Options Average Exec. Per Order Executions	Options Average Contracts Per Order Contracts
Inventory Trades (Street Side) Average Trades per Month	Muni Bonds (Customer) Trades Avg. Size	Corporate Debt (Customer) Trades Avg. Size
Govt. Bonds (Customer) Trades Avg. Size	CMO/CDO (Customer) Trades Avg. Size	Mutual Funds Trades Avg. Size
UITs Trades Avg. Size	Please List All Other Security Types:	Security Type Trades Avg. Size

Institutional Transactions

Equities Per Month Orders	Equities Average Exec. Per Order Executions	Equities Average Shares Per Order Shares
Inventory Trades (Street Side) Average Trades per Month	Muni Bonds (Customer) Trades Avg. Size	Corporate Debt (Customer) Trades Avg. Size
Govt. Bonds (Customer) Trades Avg. Size	CMO/CDO (Customer) Trades Avg. Size	Number of DVP Transactions

Proprietary Transactions

Proprietary Trades (Street Side) Average Trades per Month	Muni Bonds Trades Avg. Size	Corporate Debt Trades Avg. Size
Govt. Bonds Trades Avg. Size	CMO/CDO Trades Avg. Size	Money Market Instruments Trades Avg. Size
Equities Per Month Orders	Equities Average Exec. Per Order Executions	Equities Average Shares Per Order Shares

System Requirements		
Current Clearing Firm(s) 1) 2)	Quote Vendor	Number of Terminals
Electronic order entry? <input type="checkbox"/> Yes <input type="checkbox"/> No	Order Entry System(s)	
Portfolio Management System	Broker Workstation	Reporting System
Internet Access for Clients <input type="checkbox"/> Yes <input type="checkbox"/> No	Internet Order Entry for Clients <input type="checkbox"/> Yes <input type="checkbox"/> No	Number of Current Client Users

Additional Services Requirements
Please list any additional services requirements: