

CLEARING SERVICES QUESTIONNAIRE

Confidential

In order for HilltopSecurities to determine how we can best service your broker-dealer, please provide as much information as possible. Once completed, please fax this 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	Website Address	
Type of Ownership <input type="checkbox"/> Public <input type="checkbox"/> Private	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

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Firm Profile

Business Lines:

☐ General Securities (Retail)☐ General Securities (Advisory)☐ Proprietary Trading☐ Other☐ Discount (Internet)☐ Active Trading☐ Institutional

If Other Please Describe

Is the firm a market maker?

☐ Yes ☐ No

If yes, what security types (please provide a list of securities in which the firm makes a market)?

Listed - ☐ Yes ☐ NoOTC - ☐ Yes ☐ NoPink/BB - ☐ Yes ☐ No

Does your firm underwrite or participate in initial public offerings (IPO's)?

☐ Yes ☐ 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?

☐ Yes ☐ No

If yes, how many (please provide a list of countries)?

Securities Volume - Please Provide Previous 3 Months Average Retail Transactions

Equities Per Month
OrdersEquities Average Exec. Per Order
ExecutionsEquities Average Shares Per Order
SharesOptions Per Month
OrdersOptions Average Exec. Per Order
ExecutionsOptions Average Contracts Per Order
ContractsInventory Trades (Street Side)
Average trades per monthMuni Bonds (Customer)
Trades Avg. SizeCorporate Debt (Customer)
Trades Avg. SizeGovt. Bonds (Customer)
Trades Avg. SizeCMO/CDO (Customer)
Trades Avg. SizeMutual Funds
Trades Avg. SizeUITs
Trades Avg. Size

Please List All Other Security Types

Security Type
Trades Avg. Size

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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:
