

HILLTOP SECURITIES INC
717 N HARWOOD STREET, SUITE 3400
DALLAS, TX 75201

DATE: 02/08/2023

CLIENT NAME/ADDRESS LINE 1
CLIENT NAME/ADDRESS LINE 2
CLIENT NAME/ADDRESS LINE 3
CLIENT NAME/ADDRESS LINE 4
CLIENT NAME/ADDRESS LINE 5
CLIENT NAME/ADDRESS LINE 6

BROKER NAME
BROKER PHONE

OFFICE CODE: **
Rep Code: *****

Account 99999999

**Your 1099 information will be processed at the beginning of March
and is scheduled to be mailed prior to the March 18, 2024 postmark deadline.**

Hilltop Securities Inc. (HTS) is responsible for preparing and issuing certain tax reporting forms related to your investment account(s), per the IRS. The timing of delivery of these documents is based on the holdings in your account(s) which may have late corrections.

While HTS strives to limit the number of corrections issued, there are circumstances beyond our control that require late corrections based on the type of investments held. You are receiving this letter because your account(s) held one or more of the following investments known to result in a corrected 1099 during the 2023 tax year.

- A security identified as subject to income reallocation that has not been received by HTS from the issuer
- A Regulated Investment Company (RIC) or Real Estate Investment Trust (REIT) identified as receiving a reallocation
- A Real Estate Mortgage Investment Conduit (REMIC)/Collateralized Mortgage Obligation (CMO), Collateralized Debt Obligations (CDO), Widely Held Mortgage Trust (WHMT) and Unit Investment Trusts (UIT) pending additional detailed information from the issuer
- Other situations where HTS has identified your account as potentially receiving a corrected tax form

Your 1099 information will be processed on the first mail cycle after *ALL* reporting information for your specific account has been received or by the March 18th deadline. Additional mailings are currently scheduled to be processed by March 1, 2024 and the March 18, 2024 postmark deadline. This delay in reporting was approved by the IRS and allows HTS to capture more accurate and complete information from the issuers and may allow you to file your tax return in a more efficient manner. If you have any additional questions, please contact your Financial Professional listed above.

Your satisfaction is paramount as we strive to provide superior service and we appreciate the continued opportunity to serve you, our valued customer.

Sincerely,

Hilltop Securities Inc. (HTS)

Hilltop Securities Inc. (HTS) is a registered broker-dealer, registered investment adviser and municipal advisor firm that does not provide tax or legal advice. The firm is a wholly owned subsidiary of Hilltop Holdings, Inc (NYSE: HTH). Member NYSE/FINRA/SIPC