

Date: XX/XX/21

<<HTS address>>

<<Customer Name>>

<<Customer Address Line 1>>

<<Customer City, State Zip>>

<<Customer Address Line 2>>

Financial Professional

<<Financial Advisor's Name>>

<<Financial Advisor's phone #>>

**RE:** Your Hilltop Securities Inc. Account Ending in XXXX

**Your 1099 information will be processed at the beginning of March  
and is scheduled to be mailed prior to the March 17, 2021 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 2020 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 15<sup>th</sup> deadline. Additional mailings are currently scheduled to be processed by March 1, 2021 and the March 15, 2021 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)**