



**Hilltop Securities Inc. and/or Broker/Dealers for which it clears**  
Hilltop Securities Inc. - Member: NYSE/ FINRA/ SIPC

- New Account  
 Account Update

## New Account Application Addendum

A New Account Application Addendum(s) must be completed, if there are (1) more than two account applicants, (2) additional persons with trading authority, or (3) for foreign entities having additional beneficial owners with an interest of 10% or more. Please use a separate Addendum for each such person or entity.

### 1. Account Applicant Not Listed on Primary Application

Account Name on Primary New Account Application: \_\_\_\_\_

Individual's Capacity with Account/ Entity (i.e. Trustee, Partner, Officer Title, Director, Shareholder, etc.): \_\_\_\_\_

Percentage of Account/Entity Ownership Interest: \_\_\_\_\_

### 2. Customer Information

Name of Applicant/ Custodian (First, Middle, Last) or Business/ Trust/ Entity Name      Social Security #/ Tax ID #      Date of Birth (Month/Day/Year)

Physical/ Home Address (P.O. Box is not acceptable)      City      State/ Province      Country      Zip      Years at Residence

Mailing Address (P.O. Box is acceptable if physical address provided above)      City      State/ Province      Country      Zip

Home Phone Number      Cell Phone Number      Fax Number      Email Address

### 3. Customer Identification

#### USA PATRIOT Act - Important Information About Opening A New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means to you: When you open an account, we will require your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

Driver's License     Passport/Visa     Other \_\_\_\_\_

Issuer: \_\_\_\_\_ ID Number: \_\_\_\_\_

Date of Issuance (If applicable): \_\_\_\_\_ Date of Expiration (If applicable): \_\_\_\_\_

### 4. Customer Profile

Marital Status:     Single     Married     Divorced     Widowed      Number of Dependents: \_\_\_\_\_

Citizenship Status:     U.S. Citizen     Resident Alien     Non-Resident Alien (If a Non-Resident Alien, you must provide a valid government-issued photo ID and a completed W-8BEN)      Country of Citizenship if Non-U.S.: \_\_\_\_\_

Employer (If self-employed or retired, specify type of business.)      Occupation/Job Title      Business Telephone

Employer's Address      City      State/Province      Country      Zip

Estimated Net Worth: \$ \_\_\_\_\_ Annual Income: \$ \_\_\_\_\_

### 5. Customer Affiliations and Disclosures

Indicate the affiliation of yourself, your spouse, or any other immediate family members (i.e. parents, siblings, children or in-laws) with the following (Please include name and relationship as is applicable):		Self	Family Member
A. Employed by or associated with the securities industry or a financial regulatory agency? (If yes, please specify the entity name and address to which duplicate account mailings should be sent, as well as including a letter from employer approving this account.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
B. An officer, director or 10% (or more) shareholder in a publicly-owned company? (If yes, please specify company name and trading symbol.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
C. A senior military, governmental or political official in either the U.S. or a foreign jurisdiction? (If yes, identify the name of the official, office held, and country.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
D. Are you an accredited investor as defined in SEC Rule 501 of Regulation D?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes

X \_\_\_\_\_  
Applicant's Signature      Date

X \_\_\_\_\_  
Applicant's Printed Name