

# Required Paperwork For Hilltop Securities Accounts

<b>Individual or Joint (JTWROS/TENCOM)</b>	<b>IRA</b>	<b>Trust</b>
<ul style="list-style-type: none"> <li>• HTS New Account Application</li> <li>• HTS Account Packet</li> <li>• HTS Transfer Form &amp; Acct Stmt (if applicable)</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>	<ul style="list-style-type: none"> <li>• HTS Retirement Application               <ul style="list-style-type: none"> <li>• Traditional IRA</li> <li>• SIMPLE IRA</li> <li>• SEP IRA</li> <li>• Beneficiary IRA</li> <li>• Roth IRA</li> <li>• Prototype Simple</li> <li>• Prototype SEP</li> </ul> </li> <li>• HTS Account Packet</li> <li>• HTS Transfer Form &amp; Acct Stmt (if applicable)</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>	<ul style="list-style-type: none"> <li>• HTS New Account Application</li> <li>• HTS Account Packet</li> <li>• Certificate of Trustee</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>
<b>Corporation</b>	<b>Estate</b>	<b>Profit Sharing Plan / Pension Plan</b>
<ul style="list-style-type: none"> <li>• HTS New Account Application</li> <li>• HTS Account Packet</li> <li>• Articles of Incorporation/Cert. of Incorp.</li> <li>• Corporate Resolution (Trading Authorization)</li> <li>• Beneficial Owner Form</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>	<ul style="list-style-type: none"> <li>• HTS New Account Application</li> <li>• HTS Account Packet</li> <li>• Letters of Testamentary/Cert. of Appt.</li> <li>• Affidavit of Domicile</li> <li>• Death Certificate</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>	<ul style="list-style-type: none"> <li>• HTS New Account Application</li> <li>• HTS Account Packet</li> <li>• Certification of Trustee</li> <li>• Form CRS Firm &amp; Reg BI Personal Info</li> <li>• Valid Government ID</li> </ul>