

ADVANCING
PARTNERSHIP
IN THE
MARKETPLACE



YOU'RE MORE THAN A TRANSACTION

We work to understand the ever-changing needs of entrepreneurial broker-dealers and RIAs. Why?

To provide you with tailored solutions that can help grow your business and enhance your relationships with your clients. Our continual approach to cultivating partnerships with introducing firms is the reason we're trusted as one of the nation's largest clearing firms.

A PARTNER FOR THE LONG-TERM

As one of the largest clearing firms in the nation,¹ we provide the services, real-time trading tools, and industry insights broker-dealers and RIAs need to reduce costs, increase operational efficiency, and create growth.

Plus, as a pioneer in the fully disclosed securities clearing business, we stand behind the accuracy and efficiency of our tailored clearing solutions. We have earned our reputation as an industry leader by nurturing long-term relationships built on trust.

In fact, nearly 65 percent of our current correspondents have partnered with us for more than a decade. They depend on us to deliver the highest level of service tailored to their individual business. From our comprehensive on-boarding and transition services to evolving technology enhancements and training, HilltopSecurities is committed to exceeding our partners' expectations.

We customize our suite of execution, clearing, custody, and processing services to meet your needs—regardless of your business mix. Whether it's traditional brokerage, institutional business, advisory services, or underwriting, we work with you to develop a tailored back-office infrastructure so you can focus on growth, not day-to-day operations.

And as a wholly owned subsidiary of Hilltop Holdings (NYSE: HTH), a Texas-based diversified financial holdings company, we have the financial strength and stability your business deserves.

MOMENTUM ADVISOR

Our advisor/middle-office platform, MOmentum Advisor, provides you with web-accessible order entry functions, access to view your client account information at a book of business, household or individual account level, and on-demand reporting tools—all through a robust single data source. MOmentum features include:

- Dashboard views including top accounts and positions, firm/market news, research, quick quotes, and more
- Equity, Option, Mutual Fund, Fixed Income, UIT and Block Order entry
- On-demand and exportable reporting portal
- Gain/loss tools, tax-lot accounting/order entry, and income tools
- Firm settlement reporting aggregated daily throughout the production month
- Advisor production calculated and reported using your firm's specific payout grid
- Downloadable client statements, confirmations, tax documents, client agreements, letters, and forms
- Secured access to HilltopSecurities' operational workflow engine
- Clients receive access to MOmentum Client and MOmentum Mobile, which offer much of this functionality in a consistent layout



TRADITIONAL BROKERAGE

Our robust platform includes access to back office information, vital reporting, gain and loss, and projected cash flows. Other features include:

- Online account opening and lookup, including electronic signature
- Easy mutual fund order entry
- Householding
- Tax-lot accounting
- Block, automated fixed income, and multi-leg trading options
- Dividend and periodic reinvestment programs
- IRAs capable of holding most private investments
- Real-time market data, quotes, and news
- Customizable data feeds and reports
- E-delivery statements and confirmations

YOUR OWN TECHNOLOGY

In addition to the tools HilltopSecurities delivers, you may have some technology relationships of your own. We are prepared to support those tools with standard data extract files that are delivered via SFTP or communicated with from our APIs. HilltopSecurities integrates with dozens

of trading platforms and third-party vendors including TAMPs, financial planning, payroll, CRM, compliance support and others.

Some available platforms include:

- | | |
|-----------------------|-----------------------|
| ◦ Bloomberg TOMS | ◦ Protegent Interface |
| ◦ Sterling Trader Pro | ◦ Artisan Interface |
| ◦ RealTick | ◦ Orion |
| ◦ DAS | ◦ Advent |
| ◦ ETNA Trader | ◦ Zia |
| ◦ Fabkom | |

FIXED INCOME SUPPORT

As one of the nation's leading municipal investment banks,² we maintain a fixed income distribution network served by underwriting, trading, and sales professionals in major markets throughout the country. Through BondPro, retail and institutional investors have access to all available fixed income products in every market. We also accept trade uploads from Bloomberg, Zia, Fabkom, and CapeLogic, among other trading platforms.

ADVISORY SERVICES

Through our comprehensive advisory platform powered by Envestnet, HilltopSecurities provides RIA and Hybrid firms access to portfolio management and rebalancing capabilities, performance reporting, aggregation, and billing services.

We support Fund Strategist Programs (FSP), Separately Managed Accounts (SMA), Uniform Managed Accounts (UMA), and Advisor as Portfolio Manager (APM)-Integration with MoneyGuide Pro and My Blocks planning tools.

CONTACT US

Find out how our suite of execution, clearing, custody, and processing services can advance your business. Contact us today.

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HTSCLEARING.COM



1. Based on reported number of broker-dealer clients as of Aug. 17, 2019, according to Investment News. 2. Based on number of issues for the ten-year period ending Dec. 31, 2023. Ipreo MuniAnalytics.

Hilltop Securities Inc. delivers forthright advice and tailored solutions to municipal issuers, institutions, broker-dealers, and individuals. The full-service municipal investment bank and registered investment adviser is headquartered in Dallas, Texas, with offices across the United States. Areas of focus include public finance; municipal and taxable fixed income underwriting, sales, and trading; retail brokerage services; securities clearing; structured finance; and securities lending. A wholly owned subsidiary of Hilltop Holdings Inc. (NYSE: HTH), HilltopSecurities' affiliates include Momentum Independent Network, PlainsCapital Bank, and PrimeLending.



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