

Letter of Authorization

Please complete if the type of account in Section 1 is different than that in Section 2.

To Hilltop Securities Inc.:

I hereby authorize the following transfer of assets:

TRANSFER FROM:

Delivering Firm: _____

Account Number: _____

Account Title: _____

TRANSFER TO:

HTS Account Number: _____

Account Title: _____

Financial Advisor's Name: _____ Office #: _____ Rep #: _____

I understand this transfer constitutes a change in the ownership of the assets and that the new registered account holders will have exclusive rights to the assets.

All authorized signers on the account being transferred are required to sign.

Sincerely,

X _____

Applicant's Signature

Date

X _____

Co-Applicant's Signature

Date

IMPORTANT:

Completion of this form does not guarantee acceptance by delivering firm. Please contact the firm you are transferring your account from as indicated in Section 2 to confirm acceptance of the Letter of Authorization.

! Did You . . .

- Include a copy of your most recent transferring account statement with your account name clearly shown?
- Complete Sections 1 and 2 in full?
- Make sure that the type of account in Section 1 matches the type of account in Section 2? (If not, please fill out the Letter of Authorization.)
- Complete the appropriate boxes in Section 3?
- Sign in Section 5 if you are an account holder or trustee?
- Know to allow 3-6 weeks for your transfer to be completed. Time required to complete your transfer is influenced by industry rules and regulations.

FOR BROKER USE ONLY

Receiving Firm Information

Name and Address

Hilltop Securities Inc.
1201 Elm Street, Suite 3500
Dallas, TX 75270-2180

Tax ID Number

75-1382137

Fax Number

(214) 859-1828

Delivery Instructions

All deliveries MUST include client name and HTS account number.

Depository Trust Company

DTC Clearing Number: 0279

Dividend Reinvestment or Close-End Mutual Funds

Transfer all full shares. Liquidate Fractions and send a check.

Option Instructions

OCC# 0279

ACAT Physical Delivery of Securities

Physical Delivery- 0279 NY Envelope, NSCC/SIAC
Dealersphvclear@hilltopsecurities.com

Foreign Custody

Canadian Local Market: CUID: RBCT Account#: T12213111
JPM Chase FAO: Southwest Securities
Euro clear: Client Ref: Hilltop Securities Inc. A/C: 78032
Email: DealersEuroclear@hilltopsecurities.com
Global Custodian BIC: MGTCBEBE

Checks

Hilltop Securities Inc.
Attn: Receipts Department
REF: Account Number
1201 Elm Street, Suite 3500
Dallas, TX 75270

Physical Delivery of Securities

Hilltop Securities Inc.
Attn: Stock Transfer Department
REF: Account Number
1201 Elm Street, Suite 3500
Dallas, TX 75270-2180

Fed Wired Funds

JP Morgan Chase Bank, N.A.
270 Park Avenue
New York, NY 10017-2070
ABA # 021000021
Hilltop Securities Inc.
A/C 08805076955
FFC: Name & Account Number @ Hilltop
Attention: Settlement Dept.

Mutual Funds Registration

Hilltop Securities Inc.
FBO: Name & Account Number
P. O. Box 509002
Dallas, TX 75250

International Wires

Same Above Instructions and add
SWIFT address: CHASUS33

Fed-Entry Securities

BK OF NYC/HILLTOP
ABA #021000018
FedDealers@hilltopsecurities.com

Letter of Acceptance

To the prior trustee: Please be advised that Hilltop Securities Inc. does hereby accept appointment as successor custodian.

X _____

Successor Custodian Authorized Signature

Date

Financial Advisor's Name

Rep #

Office #