



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

Sole Proprietorship Certification

1. Applicant's Information.

Account #: _____

I, _____, being duly sworn, depose that I am engaged in business under the assumed name and location listed below.

Name of Company: _____

Address: _____

City, State, Zip, Country: _____

I am the sole proprietor of the business so conducted and no other person, firm or corporation has any ownership interest therein. All securities and other property held in the name of the company listed above belong to me and are my sole property. I agree that I will personally be responsible for any debts that arise in my Sole Proprietorship Account. If there is any change in the ownership, title or interest in this business, you will be immediately advised in writing. I hereby agree to indemnify Hilltop Securities Inc., its controlling persons, and successors and assigns (the "Indemnified Parties") harmless from and against, and pay promptly on demand, any damages, losses, claims and/or cost (including attorneys' fees which you and the Indemnified Parties may incur in complying with my instructions) relating to the above listed account at your firm.

STOP HERE! You must sign this document in front of a notary public.

X _____
Sole Proprietor's Signature Date

2. Notary Public's Information.

Before me this day personally appeared _____, known to be the person whose signature appears above, who states that the above statement is true and correct.

Sworn before me in the County of _____ in the State of _____

on this the ____ day of _____, 20 ____ .

X _____
Notary Public's Signature

Commission Expires: _____

Affix Notary Stamp Here