



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

## Customer Sweep Authorization

For more information concerning your account type and sweep options, please contact your Financial Professional. For complete sweep account disclosures, please see the Customer Information Brochure.

### 1. Customer Information.

Customer Name/Account Registration: \_\_\_\_\_

SSN/Taxpayer ID#: \_\_\_\_\_

Joint Customer Name: \_\_\_\_\_

SSN/Taxpayer ID#: \_\_\_\_\_

Customer Account Number(s):	Account Type (Individual, IRA, etc.):	<u>Instructions:</u>
_____	_____	<b>If an account number has not yet been assigned, please enter "pending" in the account number column and provide an accurate description of the account type such as Individual Investment Account, Joint Account, IRA Account, Trust Account, etc.</b>
_____	_____	
_____	_____	
_____	_____	
_____	_____	

### 2. Sweep Instructions for IRAs and Qualified Retirement Plans. (For all other types of accounts, skip this section and complete Section 3 or 4 below.)

IRAs and Qualified Retirement Accounts may not retain excess cash balances in Credit Interest Pending (CIP) account. Excess cash balances must sweep to one of the funds or Bank Insured Deposit options below.

#### Dreyfus Funds:

- Sweep to Federated Hermes Prime Oblig. (Automated)-PTAXX
- Sweep to Dreyfus Government Cash Mgmt. (Investor)-DGVXX
- Sweep to Dreyfus National Municipal (Wealth)-GTMXX

#### FDIC Insured Deposit Account:

- Sweep to Bank Insured Deposit (FDIC Insured Deposit Account)

Please refer to the money market fund prospectus for more complete information, including terms, management fees, prevailing rates and expenses. The Bank Insured Deposit is a program which involves a series of FDIC-insured bank accounts maintained at various participant banks, including PlainsCapital Bank, an affiliate of Hilltop Securities Inc. (HTS). I acknowledge that I am aware that if I elect or otherwise have cash swept to the Bank Insured Deposit, the terms and conditions document will be mailed to me. Information regarding FDIC coverage is available at [www.fdic.gov](http://www.fdic.gov). Cash balances invested in the Bank Insured Deposit are not covered by SIPC or excess-SIPC coverage. Additional information regarding SIPC coverage is available at [www.sipc.org](http://www.sipc.org). Please consult your Financial Professional, as certain types of accounts may not be eligible to invest in the Bank Insured Deposit. HTS and your Financial Professional may receive a fee or compensation with respect to the Bank Insured Deposit. For more information concerning your account options, please contact your Financial Professional. For complete sweep account disclosures please see the Customer Information Brochure.

### 3. Sweep Instructions for Entities Only. (Accounts owned by an entity, for example, Corporation, LLC, Non-profit organization, Partnership, Corporate Trustee)

The following are the only sweep instructions available for accounts owned by an entity:

- Sweep to Bank Insured Deposit (FDIC Insured Deposit Account)
- Sweep to Dreyfus Government Cash Mgmt. (Investor)-DGVXX

### 4. Sweep Instructions for All Other Types of Accounts.

#### Sweep Instructions (Required-Select only ONE):

- Sweep to Bank Insured Deposit (FDIC Insured Deposit Account)
- Sweep to Federated Hermes Prime Oblig. (Automated)-PTAXX
- Sweep to Dreyfus National Municipal (Wealth)-GTMXX
- Sweep to Dreyfus Government Cash Mgmt. (Investor)-DGVXX
- Sweep to Dreyfus Treasury Securities Cash Mgmt. (Investor)-DVRXX
- Sweep to Federated Hermes California Municipal Cash Trust (Service)-CACXX

- Sweep to Federated Hermes New York Municipal Cash Trust (Wealth)-NISXX
- Credit Interest, Sweep Declined

**Optional Payout Instructions:**

**Dividend /Interest Instructions:** (If you choose to make a selection, you may select only ONE):

- Send Dividends and Interest via Check, Hold Principal in Account
- Send ACH (For Dividends Only)

**Money Instructions** (If you choose to make a selection, only one option is available)

- Send Sales Proceeds via Check

If your account is ineligible, excess cash balances will be retained in an interest-bearing SIPC insured credit investment pending (CIP) account held at HTS. Please refer to the money market fund prospectus for more complete information, including terms, management fees, prevailing rates and expenses. The Bank Insured Deposit is a program which involves a series of FDIC-insured bank accounts maintained at various participant banks, including PlainsCapital Bank, an affiliate of HTS. You acknowledge that you are aware that if you elect or otherwise have cash swept to the Bank Insured Deposit, the terms and conditions document will be mailed to you. Information regarding FDIC coverage is available at [www.fdic.gov](http://www.fdic.gov). Cash balances invested in the Bank Insured Deposit are not covered by SIPC or excess-SIPC coverage. Additional information regarding SIPC coverage is available at [www.sipc.org](http://www.sipc.org). Please consult your Financial Professional, as certain types of accounts may not be eligible to invest in the Bank Insured Deposit. HTS and your Financial Professional may receive a fee or compensation with respect to the Bank Insured Deposit. For more information concerning your cash account options, please contact your Financial Professional. For complete sweep account disclosures please see the Customer Information Brochure.

**5. Customer Acknowledgement and Signature.**

By signing this Application below, you authorize and provide affirmative consent to HTS to invest, transfer or sweep on an ongoing basis any excess cash balances to another account or institution as per the sweep account option you have selected or, alternatively, to retain any excess cash balances in CIP, except for IRAs or Qualified Retirement Plans, should you either decline a sweep account option or have an ineligible account. You also acknowledge that you have been notified of the general terms and conditions of the products available in the sweep program and that you have read, understand, and agree to be bound by all terms as contained in the Customer Information Brochure relating to sweep accounts and otherwise. You agree to notify your Financial Professional should you wish to change your sweep account selection or decline participation in a sweep account option, if allowable, for the account type. You also authorize HTS to transfer your interest in the selected sweep option to another product in the sweep account program upon 30 days written notice.

**X** \_\_\_\_\_  
Customer's Signature Date

**X** \_\_\_\_\_  
Joint Customer's Signature Date

**X** \_\_\_\_\_  
Financial Professional's Signature Date