



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

**Request for Removal of Worthless Securities with Irrevocable Stock or Bond Power**

I, the undersigned, am currently the owner of worthless securities which are on deposit with Hilltop Securities Inc. For zero dollars (\$0.00) but other good and valuable consideration, I wish to remove the worthless securities I have listed below in Section 2 from my account by selling, assigning, and transferring the positions to Hilltop Securities Inc. Please effect my sale, assignment and transfer which will generate a trade confirmation. I understand this action will be irreversible.

**1. Customer and Account Information.**

Account Holder/Account Name \_\_\_\_\_

Account Number \_\_\_\_\_

Co-Account Holder's Name \_\_\_\_\_

**2. Security Information.**

For zero dollars (\$0.00) but other good and valuable consideration, I hereby sell, assign, and transfer to Southwest Securities, Inc. the worthless securities listed below.

Number of Shares	Symbol	Security Name/Description

**3. Irrevocable Stock or Bond Power.**

I hereby irrevocably constitute and appoint Hilltop Securities Inc. my attorney to transfer the worthless securities listed above in Section 2 and on the books of said company, with full power of substitution in the premises.

**Important Note:** Your signature below must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular way without alteration.

**4. Read and Sign.**

By signing below, I affirm that the following conditions have been read, understood, and agreed to:

- I understand and acknowledge that as of the date set forth below, there is no available bid/market to sell the worthless securities listed in Section 2 above.
- I agree to sell, assign, and transfer each worthless security listed in Section 2 above for zero dollars (\$0.00) but other good and valuable consideration to Southwest Securities, Inc., which will generate a trade confirmation.
- I understand that Hilltop Securities Inc. will be the recipient, assignee, and owner of these worthless securities, and it makes no representation regarding the value, if any, of the above listed worthless securities.
- I understand this sale, assignment and transfer to Hilltop Securities Inc. is irreversible.
- I understand the sale, assignment and transfer of these worthless securities to Hilltop Securities Inc. for zero dollars (\$0.00) but other good and valuable consideration will not be reported to the IRS but will be displayed on the cost basis section of the 1099COMP with the appropriate Form 8949 filing code.
- I agree to indemnify, defend, and hold harmless Hilltop Securities Inc. and its directors, officers, employees, agents, subsidiaries, assigns, and successors in interest, from, including but not limited to, any and all claims, demands, losses, liabilities, expenses, attorney's fees, or damages resulting from or arising out of this transaction.

Account Holder's Printed Name \_\_\_\_\_

Co- Account Holder's Printed Name (if applicable) \_\_\_\_\_

**X** \_\_\_\_\_  
 Account Holder's Signature Date

**X** \_\_\_\_\_  
 Co- Account Holder's Signature (if applicable) Date