



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

Foreign Business Corporation
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2016

1. Corporate ID No. 001657867

2. Name of Corporation Hilltop Securities Inc.

3. Street Address Principal Business Office:

No. and Street: 1201 ELM STREET, SUITE 3500

City or Town: DALLAS

State: TX Zip: 75270 Country: USA

4. Business Phone No.

214-859-1800

5. State of Incorporation

State: DE

6. Brief Description of the Character of Business Conducted in Rhode Island

BROKER/DEALER SERVICES

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	ROBERT W. PETERSON	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
TREASURER	LAURA LEVENTHAL	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
SECRETARY	ALLEN R TUBB	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	HILL A. FEINBERG	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	LAURA LEVENTHAL	1201 ELM STREET, SUITE 3500

		DALLAS, TX 75270 USA
DIRECTOR	ROBERT W. PETERSON	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	J. MICHAEL EDGE	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	JOHN R. MUSCHALEK	1201 ELM STREET, SUITE 3500 DALLAS, TX 75270 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP	A	\$1.0000	10,000.00	0
CWP	B	\$1.0000	10,000.00	0
PWP		\$20.0000	100,000.00	0

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 29 Day of January, 2016 at 12:46:13 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By ALLEN R. TUBB
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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