



**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: 2019

1. Corporate ID No. 001657867

2. Name of Corporation Hilltop Securities Inc.

3. Street Address Principal Business Office:

No. and Street: 1201 MAIN STREET
SUITE 3500

City or Town: DALLAS State: TX Zip: 75270 Country: USA

4. Business Phone No.

214-953-4000

5. State of Incorporation

State: DE

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523120

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

SECURITIES BROKER-DEALER INVESTMENTS BANK

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
TREASURER	LAURA LEVENTHAL	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA

SECRETARY	BRIAN WITTNEBEN	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
PRESIDENT/CEO	HILL A. FEINBERG	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	LAURA ALEXANDER	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	DAVID K. MEDANICH	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	MICHAEL J. MARZ	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	ROBERT W. PETERSON	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	JOHN MUSCHALEK	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	J. MICHAEL EDGE	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	LAURA LEVENTHAL	1201 MAIN STREET SUITE 3500 DALLAS, TX 75270 USA
DIRECTOR	HILL A. FEINBERG	1201 MAIN 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	2820
CWP	B	\$1.0000	10,000.00	0
PWP		\$20.0000	100,000.00	2820

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 30 Day of January, 2019 at 8:22:12 AM. *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 SARAH REVELLE
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

