

HilltopSecurities Selects Broadridge to Provide Regulatory and Customer Communications Processing and Help Deliver A Differentiated Experience For Investors and Advisors

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A better digital experience for regulatory and transactional communications

NEW YORK, May 17, 2023 /PRNewswire/ -- **Hilltop Securities Inc.** has selected global Fintech leader, **Broadridge Financial Solutions, Inc.** (NYSE: BR), to provide new regulatory communications tools, expanded market coverage, and solutions to help transform the communications experience for advisors, correspondents, and investors while driving engagement and greater digital adoption.

"We are always looking for new capabilities that help our advisors and correspondents grow their business, differentiate themselves in the market, and enhance client relationships," said David Holleran, HilltopSecurities COO. "Broadridge is a leader in transforming regulatory and customer communications and helping firms drive digital adoption by providing an improved experience for advisors and wealth management firms."

HilltopSecurities is focused on transforming their communications to deliver a more engaging and interactive digital experience for customers while ensuring they are meeting evolving regulatory requirements. The partnership provides a holistic and consistent multi-channel user experience across the full spectrum of investor communications including comprehensive event coverage and processing of regulatory communications like proxies (for US and EU based Issuers), fund disclosures, post-sale prospectus, voluntary corporate actions; as well as statements, trade confirmations, and tax documents.

"We are excited to have HilltopSecurities back with Broadridge, working with them to provide the best in market

communication tools and a better and stronger advisor and investor communications experience," said Doug DeSchutter, Broadridge President, Bank Broker-Dealer and Customer Communications. "Broadridge's multi-channel communication solutions will provide HilltopSecurities' advisors, correspondents and clients leading edge technology to drive adoption to digital channels. Our ability to support regulatory and transactional communications under one roof is unmatched, HilltopSecurities customers will have similar client experience options across statements, confirms, tax forms, prospectus and proxies, including voting proxies via the only mobile app in the market."

About HilltopSecurities

Hilltop Securities Inc. is a full-service municipal investment bank and wealth advisory firm providing a full suite of financial services for public entities, institutional investors, housing finance agencies, broker-dealers, and individual investors. Founded in 1946, its primary areas of focus include public finance, capital markets, structured finance, retail brokerage, clearing services, and securities lending. Hilltop Securities Inc.'s goal is to build long-term relationships to help communities, businesses, and individuals thrive. A wholly owned subsidiary of Hilltop Holdings Inc. (NYSE: HTH), HilltopSecurities' affiliates include Momentum Independent Network, PlainsCapital Bank, and PrimeLending. Member: NYSE/FINRA/SIPC

About Broadridge

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with more than \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies.

Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 14,000 associates in 21 countries.

For more information about us and what we can do for you, please visit www.broadridge.com.

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