

### Best Execution Review Schedule 2017

Quarter	Audit Date	Total Trades	Audited Trades	Date Conducted	Auditors Initials	Compliance
1st	3/24/2017	7	5	3/27/2017	CRS	CRS
2nd	6/20/2017	5	5	7/4/2017	CRS	CRS
3rd	09/26/16	13	5	10/3/2017	CRS	CRS
4th						

Random Time and Sales Report (Hilltop)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
368354843	B	2,000	ECA	MKT	9/26/2017 15:27	9/26/2017 15:27	11.5290

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:27:47 PM					N		11.52	N	11.53	355 X 63	BBO
9/26/2017	3:27:47 PM					N		11.52	N	11.53	354 X 63	BBO
9/26/2017	3:27:47 PM					N		11.52	N	11.53	353 X 63	BBO
9/26/2017	3:27:47 PM					N		11.52	N	11.53	352 X 63	BBO
9/26/2017	3:27:47 PM					N		11.52	N	11.53	351 X 63	BBO
9/26/2017	3:27:47 PM	OX		100	11.53							Y F
9/26/2017	3:27:46 PM	OX		100	11.53							
9/26/2017	3:27:46 PM	P		100	11.53							
9/26/2017	3:27:46 PM	I		100	11.53							Y F
9/26/2017	3:27:46 PM					N		11.52	N	11.53	350 X 63	BBO
9/26/2017	3:27:46 PM	D	O	2000	11.529							
9/26/2017	3:27:46 PM					N		11.52	N	11.53	365 X 63	BBO

Random Time and Sales Report (Hilltop)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
368385565	B	1,500	BAC	MKT	9/26/2017 15:12	9/26/2017 15:12	24.839

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:12:08 PM	N			100	24.83						
9/26/2017	3:12:08 PM						N	24.83	P	24.84	70 X 482	BBO
9/26/2017	3:12:07 PM	D	O		400	24.8399						
9/26/2017	3:12:07 PM						N	24.83	P	24.84	71 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	70 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	69 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	68 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	68 X 571	BBO
9/26/2017	3:12:06 PM						I	24.83	P	24.84	63 X 571	BBO
9/26/2017	3:12:06 PM	N			300	24.83						
9/26/2017	3:12:06 PM						P	24.83	P	24.84	68 X 571	BBO
9/26/2017	3:12:06 PM						P	24.83	P	24.84	68 X 581	BBO
9/26/2017	3:12:06 PM						O	24.83	P	24.84	77 X 581	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	84 X 581	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	88 X 581	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	91 X 581	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	119 X 581	BBO
9/26/2017	3:12:06 PM	UA			100	24.83						
9/26/2017	3:12:06 PM						N	24.83	P	24.84	142 X 581	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	142 X 571	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	142 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	141 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	140 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	139 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	135 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	132 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	100 X 482	BBO
9/26/2017	3:12:06 PM						I	24.83	P	24.84	81 X 482	BBO
9/26/2017	3:12:06 PM						I	24.83	P	24.84	80 X 482	BBO
9/26/2017	3:12:06 PM						I	24.83	P	24.84	78 X 482	BBO
9/26/2017	3:12:06 PM						N	24.83	P	24.84	72 X 482	BBO
9/26/2017	3:12:06 PM	D	O		1500	24.839						

Random Time and Sales Report (Hilltop)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
678068298	B	600	INTC	MKT	9/26/2017 15:59	9/26/2017 15:59	34.4890

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:59:04 PM	UA		296	37.48							
9/26/2017	3:59:04 PM	UA		100	37.48							
9/26/2017	3:59:04 PM	OX		100	37.48							
9/26/2017	3:59:04 PM	J		200	37.48						Y	F
9/26/2017	3:59:04 PM	J		401	37.48						Y	F
9/26/2017	3:59:04 PM	X		100	37.48						Y	F
9/26/2017	3:59:04 PM	O		396	37.48						Y	F
9/26/2017	3:59:04 PM	P		665	37.485							
9/26/2017	3:59:04 PM	OX		500	37.48							
9/26/2017	3:59:04 PM	J		25	37.48						Y	F I
9/26/2017	3:59:04 PM	J		640	37.48						Y	F
9/26/2017	3:59:04 PM	F		300	37.48							
9/26/2017	3:59:04 PM	D	O	100	37.48							
9/26/2017	3:59:04 PM					O		37.48	O	37.49	69 X 98	BBO
9/26/2017	3:59:04 PM	D	O	300	37.48							
9/26/2017	3:59:04 PM					O		37.48	O	37.49	70 X 98	BBO
9/26/2017	3:59:04 PM	D	O	300	37.48							
9/26/2017	3:59:04 PM	D	O	2700	37.48							
9/26/2017	3:59:04 PM	D	O	300	37.48							
9/26/2017	3:59:04 PM	D	O	4	37.4899							I
9/26/2017	3:59:04 PM	D	O	100	37.49							
9/26/2017	3:59:04 PM					O		37.48	O	37.49	70 X 97	BBO
9/26/2017	3:59:04 PM	P		200	37.485							
9/26/2017	3:59:04 PM	P		100	37.485							
9/26/2017	3:59:04 PM	P		200	37.485							
9/26/2017	3:59:04 PM	P		500	37.485							
9/26/2017	3:59:04 PM					O		37.48	O	37.49	70 X 98	BBO
9/26/2017	3:59:04 PM	P		100	37.485							
9/26/2017	3:59:04 PM	OX		160	37.48							
9/26/2017	3:59:04 PM	J		160	37.48						Y	F
9/26/2017	3:59:04 PM					O		37.48	O	37.49	70 X 97	BBO
9/26/2017	3:59:04 PM					O		37.48	O	37.49	70 X 98	BBO
9/26/2017	3:59:04 PM					O		37.48	O	37.49	78 X 98	BBO

Random Time and Sales Report (Hilltop)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
678068298	B	500	VZ	MKT	9/26/2017 15:57	9/26/2017 15:57	49.5050

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:58:00 PM	J			50	49.505						I
9/26/2017	3:57:59 PM	J			11	49.51						I
9/26/2017	3:57:59 PM	D	O		100	49.5099						
9/26/2017	3:57:59 PM	OX			115	49.51						
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 123		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 122		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 122		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 134 X 122		BBO
9/26/2017	3:57:59 PM	P			80	49.51						I
9/26/2017	3:57:59 PM	P			13	49.51						I
9/26/2017	3:57:59 PM	OX			19	49.51						I
9/26/2017	3:57:59 PM	OX			88	49.51						I
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 122		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 124		BBO
9/26/2017	3:57:59 PM	OX		272	49.51							
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 131		BBO
9/26/2017	3:57:59 PM	J			228	49.51						
9/26/2017	3:57:59 PM	J			100	49.51						
9/26/2017	3:57:59 PM						N	49.5	N	49.51 134 X 131		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 134 X 133		BBO
9/26/2017	3:57:59 PM	J			100	49.51						
9/26/2017	3:57:59 PM	OX			140	49.51						
9/26/2017	3:57:59 PM	OX			60	49.51						I
9/26/2017	3:57:59 PM	OX			100	49.51						
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 133		BBO
9/26/2017	3:57:59 PM	N			100	49.51					Y	F
9/26/2017	3:57:59 PM						N	49.5	N	49.51 131 X 134		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 133 X 134		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 133 X 136		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 134 X 136		BBO
9/26/2017	3:57:59 PM						N	49.5	N	49.51 134 X 137		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 134 X 138		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 134 X 137		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 136 X 137		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 136 X 138		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 137 X 138		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 137 X 137		BBO
9/26/2017	3:57:58 PM						N	49.5	N	49.51 137 X 135		BBO
9/26/2017	3:57:58 PM	D	O		100	49.505						
9/26/2017	3:57:58 PM						N	49.5	N	49.51 137 X 133		BBO
9/26/2017	3:57:58 PM	D	O		100	49.505						
9/26/2017	3:57:57 PM						N	49.5	N	49.51 137 X 132		BBO
9/26/2017	3:57:57 PM						N	49.5	N	49.51 134 X 132		BBO
9/26/2017	3:57:57 PM						N	49.5	N	49.51 134 X 124		BBO
9/26/2017	3:57:57 PM	D	O		1	49.501						I
9/26/2017	3:57:57 PM						N	49.5	N	49.51 134 X 116		BBO
9/26/2017	3:57:57 PM						N	49.5	N	49.51 136 X 116		BBO

Random Time and Sales Report (Hilltop)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
368385565	B	1,000	GT	MKT	9/26/2017 15:11	9/26/2017 15:11	33.119

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:11:22 PM					O	33.11	O	33.12	9 X 11		BBO
9/26/2017	3:11:22 PM					O	33.11	P	33.12	9 X 12		BBO
9/26/2017	3:11:22 PM	OX		100	33.11							
9/26/2017	3:11:20 PM					O	33.11	O	33.12	9 X 11		BBO
9/26/2017	3:11:20 PM					I	33.11	O	33.12	9 X 11		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 11		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 10		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 11		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 10		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 10		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 9		BBO
9/26/2017	3:11:20 PM					O	33.11	P	33.12	10 X 10		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 9		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 10		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 9		BBO
9/26/2017	3:11:20 PM					O	33.11	O	33.12	10 X 8		BBO
9/26/2017	3:11:18 PM					O	33.11	O	33.12	11 X 8		BBO
9/26/2017	3:11:18 PM					O	33.11	O	33.12	12 X 8		BBO
9/26/2017	3:11:18 PM					O	33.11	O	33.12	11 X 8		BBO
9/26/2017	3:11:18 PM					O	33.11	O	33.12	11 X 8		BBO
9/26/2017	3:11:18 PM					O	33.11	O	33.12	12 X 8		BBO
9/26/2017	3:11:17 PM					O	33.11	O	33.12	11 X 8		BBO
9/26/2017	3:11:16 PM					O	33.11	O	33.12	10 X 8		BBO
9/26/2017	3:11:16 PM					O	33.11	O	33.12	10 X 9		BBO
9/26/2017	3:11:16 PM					O	33.11	O	33.12	10 X 8		BBO
9/26/2017	3:11:15 PM					O	33.11	O	33.12	10 X 7		BBO
9/26/2017	3:11:15 PM					O	33.11	O	33.12	9 X 7		BBO
9/26/2017	3:11:14 PM					O	33.11	O	33.12	10 X 7		BBO
9/26/2017	3:11:14 PM	D	O	1000	33.119							