



## Privacy Policy – October 2011

First Asset Financial Inc. is committed to protecting the confidentiality and security of your private investment records and personal information. Our policies and procedures are designed to safeguard your information and to permit only appropriate and authorized access to and use of this information.

In order to carry out the functions necessary to service your investment account, we collect certain nonpublic personal information from you from the following sources:

- Information we receive from you over the telephone, electronic mail and other forms (*e.g.*, your name social security number and address); and
- Information about your portfolio transactions.

We restrict access to your personal and account information to those First Asset Financial Inc. employees and service providers and their employees who need to know that information to service your account. We, along with our service providers, maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

You can be assured that First Asset Financial Inc. considers your data to be private and confidential, and we will not disclose any nonpublic personal information about you to any unaffiliated third parties, except as permitted or required by law or to a firm to which your assigned registered representative is transferring. You are not required to transfer your account to another brokerage firm, but will have the option to do so, if you desire. In order to make such optional transfer as convenient for you as possible, we will share all of the necessary data for account transfer, unless you chose to “opt out” of this service by writing us a note that you do not wish to provide such information to another firm. If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

If you have any questions or comments about our privacy practice, please call us at (785) 825-5050 or email us at [FAF@firstassetfinancial.com](mailto:FAF@firstassetfinancial.com)

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### Notice of SIPC information:

If you desire a copy of the SIPC (Securities Investor Protection Corporation) consumer brochure, you may obtain it:

1. By calling (202) 371-8300
- or
2. From SIPC’s web address at [www.sipc.org](http://www.sipc.org)

**The Financial Industry Regulatory Authority (FINRA) publishes an investor brochure that describes FINRA BrokerCheck, additionally:**

1. The FINRA website address is <http://www.finra.org>
2. The BrokerCheck Hotline Number is (800) 289-9999