

First Asset Financial Inc.

PROCEDURES FOR OPENING A NEW ACCOUNT

Filling out the First Asset Financial Inc. New Account Application:

A First Asset New Account Application is required for every new client and new account registration including Mutual Funds, Variable Life and Variable Annuity Product. [If you are going to use a SWS account ONLY, then you may fill out the First Asset “Supplemental Form”]

1. Be sure to answer **ALL** questions completely.

Areas frequently forgotten are as follows:

- ✓ Number of dependents
- ✓ *Citizenship*
- ✓ Employer (past employer if retired, explain if self-employed)
- ✓ Employer’s Address
- ✓ Is the co-account holder the spouse of the account holder

It helps if you use the “fillable” copy on the First Asset Web Site. That way, it is more difficult to miss a blank or box. It also is looks professional and is readable.

2. ALL financial questions must be answered, including Investment Experience, Prior Trading and Investment Objectives. If you need “backup” regarding the information requested on the (new) account form, you can obtain an SEC publication stating that this information is required on our website under “Important Information” under ♦ [Why Broker Dealers Ask for Information From You](#)

3. By reviewing the customer(s) Driver’s License or you can complete information required on the back of the form

4. Client(s) Signature(s) on the bottom

5. **Your Signature** on the back where it says First Asset Rep Signature

6. **Give the client a copy of the form** after you have completed and signed it (both sides!)