

FIRST ASSET FINANCIAL INC

BROKER-DEALER REGISTERED STATES

As of 1-1-16

The following lists states where First Asset Financial, Inc is registered as a broker-dealer. You may **NOT write or solicit** business in any state(s) other than where you are registered as a registered representative. If you have questions regarding a state you are registered in, please call our offices **BEFORE** you solicit or write business in that state.

California

Colorado

District of Columbia

Florida

Georgia

Illinois

Kansas

Maine

Michigan

Mississippi

Missouri

Nebraska

North Carolina

Ohio

Oklahoma

Tennessee

Texas

Utah

Virginia

Wisconsin

State Licensing:

You are required to be registered in the state in which your customer resides if First Asset is registered in that state.

If First Asset is NOT registered in that state you may check with the home office to determine if any special "exemptions" exist that you may take advantage of.

FINRA checks to see if FAF and its brokers are properly licensed to do business in the states where the customer reside during the routine examinations. If any broker performs trades where he/she is not licensed, the representatives are individually responsible for any fines or problems with FINRA.