



DICLOSURE FORM

Regarding the non-participation of First Asset Financial Inc. in any manner for--

(name of policy, service or product)-_____

Sales Person's name: _____

Entity Sales Person is Representing: Sole Proprietor Partnership Corporation LLC Other

Dear First Asset Financial Inc.:

I/we understand that this Representative is currently registered to sell securities through First Asset Financial Inc., but performs other functions and participates in other activities other than selling securities outside the supervision of First Asset. I/we recognize that this particular service/product/policy offered by the above referenced person and/or business entity is NOT offered by First Asset Financial Inc. (FAF) and NOT supervised by FAF, but considered sold through the Representative's alternative business (outside business activity) and FAF has no responsibility for those products/services/policies. Any product sold by this Representative other than those registered with the State or Federal Regulators as a security should **not** be construed as offered through FAF. I/We fully understand that the person offering this product or service is representing himself/herself and his/her own business entity as marked above and **NOT FAF** in dealing with me/us in this transaction and hold FAF harmless of any liability regarding this transaction. Any representations or opinions expressed by this person are his/her own and not those of FAF and should not be construed as such, but those of the above named person only.

Should any problem or dispute develop regarding this product, service, or policy, I/we agree not to file any legal action or arbitration against First Asset Financial Inc., as we recognize that this transaction does not involve First Asset Financial Inc. in any way whatsoever, but will involve only the parties that are specifically related to the transaction.

X

Signed Name of Purchaser

Date Signed

X

Signed Name of Co-Purchaser

Date Signed

Printed Name of Purchaser: _____

For Salesman Use:

If not representing yourself as a Sole Proprietor, what is the name of the entity that are you representing?

Name of Entity: _____

Are any of the persons above also securities customers of First Asset Financial Inc.?

YES NO