

# Family Related Accounts

(Sign and Return)



Your cooperation is requested in complying with FINRA Rule 3110(d) for “Covered Accounts.” This rule requires a list of all family related accounts for you and any account that meets the following criteria: (i) the spouse of a person associated with First Asset Financial Inc. (FAF); (ii) a child of the person associated with FAF or such person’s spouse, provided that the child resides in the same household as or is financially dependent upon the person associated with the member; (iii) any other related individual over whose account the person associated with FAF has control; or (iv) any other individual over whose account the associated person of FAF has control and to whose financial support such person materially contributes.

This **does not** include mutual fund accounts held at the Fund, but would include them if held at in a brokerage account.

Please list the accounts covered by the Rule in the space below. If you have none, simply mark the box below. **Sign and date** the form in either case and return to us with the other items to be returned.

Initial:

*I have no “Covered Accounts” or “family related” brokerage accounts as of the date written below with my signature. (Remember that you are always required to notify FAF prior to opening any "outside" brokerage accounts and to sign at the bottom of the page.)*

<b>Full Registration title on Account(s):</b>	<b>Name of Brokerage Firm &amp; List Account Number(s)</b> <b>(DO NOT List Mutual Fund accounts that are held at a Fund Family)</b>	<b>Do You Have Financial Interest In This Account?</b> <b>(circle one)</b>
---	--	---

		Yes No
		Yes No
		Yes No
		Yes No
		Yes No
<b>Sign Here:</b>	Print Last Name:	Date:

(use additional pages as necessary)