

# First Asset Financial Inc

## PROCEDURES FOR OPENING A NEW ACCOUNT Southwest Securities Inc.

### Filling out the FAF & Southwest Securities New Account Applications:

New Accounts can be opened online at the the Southwest Securities website with the exception of Estates and Trusts. It is necessary to fax or mail these applications to Southwest for establishment. If you open a new account on line, be sure to print a copy for your client's signature.

New Account Application is required for every new client and new account registration.

1. Be sure to answer ALL questions completely.

Areas Frequently Forgotten are as follows:

Social Security Number

Tax Status (tax bracket)

Bank Reference (only name, city, & state needed)

Birthdate

Employer (past employer if retired)

Employer's Address

ALL Financial Questions must be answered, including Investment Experience, Investment Knowledge and Investment Objectives.

Date Options Disclosure Document Mailed or Given to Customer

2. Client(s) Signature(s) on the appropriate line(s)

3. Your Signature where it says R.R.

4.

5. If the client is opening a margin and/or option account, the Southwest Securities "Margin Disclosure Document" and "Margin Disclosure Handbook" and/or Option Handbook will be provided to the client.