



**FIRST ASSET
FINANCIAL Inc.**
Member SIPC ♦ FINRA

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Special Notice

To All FAF Brokers

Due to activity in low priced stocks, this is a reminder to FAF representatives that firm policies do not allow the solicitation of so called “penny stocks.” There are severe restrictions and very special paperwork that is required if a firm does “penny stock” business. You may be aware also, that Edward Jones & Co., AG Edwards and Co., and most other larger firms do not allow ANY penny stock trading. FAF has been flexible enough to allow for some exceptions to penny stocks and allow certain transactions. If volume continues to be high, firm policy will be changed to not allow penny stock transactions, except liquidations.

A “penny stock” is defined by FINRA to be a stock below \$5 per share and not listed on the NYSE, AMEX, NASDAQ, Mid-West Stock Exchange, Philadelphia Stock Exchange, Cincinnati Stock Exchange, Pacific Stock Exchange, Boston Stock Exchange, National Market System, or an option. (Note: The FINRA “Bulletin Board” is not included in this list)

If you have a client ask you to buy a penny stock, then the form on the back must be completed at the time of the purchase. Orders that are not accompanied by this letter will be reversed out, with any losses paid for by the broker of record.

Do not solicit penny stock purchases from customers.