

COMPLIANCE AT FIRST ASSET

First Asset and our representatives are subject to numerous rules and regulations set by federal agencies, such as the SEC and the FINRA, as well as by each individual state. One of the key roles of the broker/dealer is to supervise the securities-related activities of our representatives in order to ensure that each element of the business is run in a manner consistent with both the spirit and the letter of the securities laws and regulations.

The Compliance department at First Asset functions as your business partner, providing guidance on how the various rules and regulations apply to the business, monitoring and protecting the interests of your customers, and working to proactively help you avoid potential problems.

Key functions:

In the current dynamic regulatory environment, communication is essential. We keep up a constant stream of communication with you about rules, regulations, guidelines, and changing regulatory expectations. This includes online manuals and checklists, e-mail communications, and educational sessions at conferences.

Compliance has a face and a name. Within a few weeks of joining the firm, each representative receives a call from a member of Compliance to introduce you to the firm's compliance program and requirements. Books and records, client communications requirements, sales practice policies, and certain operational procedures are covered to ensure that you get off on the right foot.

An ounce of prevention is worth a pound of enforcement. Paperwork and books and records are a fact of life in the securities business. One of the key elements to First Asset's proactive compliance program is the annual branch office visit, where a compliance advisor conducts a detailed review of your branch office books and records, as well as your sales practices. These visits provide a great training opportunity for both you and your support staff.

Out of respect for your busy schedules, we set up most annual branch visits in advance, although we are required to conduct some surprise audits per year.

When something goes wrong. We look into the matter and help you prepare a defense, if necessary. Experienced management can assist with direction and data in the process and advise you on negotiation.

COMPLIANCE for YOU

It is important to have a broker/dealer who helps manage Compliance requirements and works proactively to help you avoid potential problems. We understand that it can be difficult keeping up with industry regulations, record keeping requirements, and annual reporting. We provide:

- Easily Accessible Written Supervisory Procedures
- Set Up and Archiving of Electronic Correspondence
- Central Registration and Depository (CRD) Registration and Licensing
- Anti-Money Laundering (AML) Screening

We Work FOR Our Registered Reps/Advisors

We understand that changing from one broker-dealer to another can interrupt your normal course of business. We will help you plan out a personalized strategy to make your transition as easy and efficient as possible.

Call **Bob Hamman** today at **800-825-5511**

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