



Investor Information:

Last Name: _____

Cell Phone #: _____

E-Mail Address: _____@ONONE

Home Office:
 110 East Iron Ave. (785) 825-5050
 Salina, KS 67401 (785) 823-9207 FAX
 Email: FAF@firstassetfinancial.com

Supplemental Account Form

(must accompany a Hilltop Securities Inc. account form)

▼Mark All of Your Previous Investment Experience Below ▼

| | | | | |
|--|--|--|---|--|
| <input type="checkbox"/> None | <input type="checkbox"/> Options | <input type="checkbox"/> Commodities | <input type="checkbox"/> Precious Metals | <input type="checkbox"/> 401K at work |
| <input type="checkbox"/> CDs | <input type="checkbox"/> Indexed Annuities | <input type="checkbox"/> Oil Well Drilling | <input type="checkbox"/> Variable Annuities | <input type="checkbox"/> Real Estate-----other than your own residence |
| <input type="checkbox"/> Stocks | <input type="checkbox"/> Penny Stocks | <input type="checkbox"/> Municipal Bonds | <input type="checkbox"/> Own Business | <input type="checkbox"/> Limited Partnerships |
| <input type="checkbox"/> Antiques/Collectibles | <input type="checkbox"/> Private Placement | <input type="checkbox"/> MUTUAL FUNDS | <input type="checkbox"/> Fixed Annuities | <input type="checkbox"/> Other _____ |

I/We have access to a computer and are willing to accept a prospectus or disclosure information via:

- the internet (web) from a web address supplied by my representative or other FAF source
- an e-mail document to me/us in PDF format or from a CD

In addition to affirming the above, my/our signature below affirms the following statements also:

-Under the previous item of "Investment Objectives" on the Hilltop Securities Inc. form, under the items listed under the "Income" objective, I/we accept dividend paying stocks as a part of this objective.

-I/we understand that FAF may add amounts to fees described in "Schedule A" of the Hilltop Securities Inc. *Customer Information Brochure* for local costs, so that such fees may be greater than those quoted on "Schedule A" of the "Customer Information Brochure" provided by Hilltop Securities Inc. and, by signing below, we agree to pay the fees as charged. Agreed upon research or administrative fees may be billed and deducted and I/we agree to have such fees deducted from our SWS account.

-**Calls:** (a.) Even though my/our name(s) may appear on a state or federal "Do Not Call" list, my/our signature(s) below indicated permission for any representative of FAF to call me/us on any phone numbers without regard to such list. My/Our relationship is of a nature that I /we desire to be called. (b.) Due to the nature of FAF's business, telephone calls to FAF or FAF representatives may be recorded for verification purposes and consent to such recordings is hereby given.

-I/We understand that the representative originating this account **may** offer products, services, or policies **not offered by nor under the supervision of** First Asset Financial Inc. (FAF). Any product sold or service offered by this person other than those defined by a State or Federal regulators as a security should NOT be construed as offered through FAF and **I/we will not hold FAF, its supervisors, officers, or directors liable for any such non-security products or services.**

THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. BY SIGNING BELOW, I/WE HAVE READ AND AGREE TO THE CONDITIONS SET FORTH IN THIS PRE-DISPUTE ARBITRATION TERMS AND CONDITIONS ON PAGE 1 IN THIS AGREEMENT.

Terms and conditions set forth on page 1 are an important part of this form and concurrence with them is indicated by my/our signature below:

X

 Signature of Account Holder

 Date

X

 Signature of Co-Account Holder

 Date

Note: If a Joint Account, BOTH HOLDERS MUST SIGN!



Investor's Last Name(s): _____

DISCLOSURE STATEMENT verified by customer signature(s) on Page 1 of this document

It is agreed that any controversy between us arising out of your business or this agreement shall be submitted to arbitration conducted before the Financial Industry Regulatory Authority and in accordance with its rules or other agreed upon arbitration forum. Arbitration must be commenced by service upon the other party of a written demand for arbitration or a written notice of intention to arbitrate. Other fora may be used, if mutually agreed upon, however if no mutual agreement is reached, the FINRA arbitration forum will be used.

By signing at the bottom of the *Supplemental Account Form* under an arbitration agreement the parties agree as follows:

- (A) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- (B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- (C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- (D) The arbitrators do not have to explain the reason(s) for their award.
- (E) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- (F) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- (G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.
- (H) No person shall bring a putative or certified class-action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class-action; or who is member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

Any action brought under laws, regulations or statutes other than securities laws, regulations or statutes (e.g. statute of limitation, consumer protection statutes, etc.) shall be brought before a FINRA arbitration panel or another agreed upon third arbitrator.

FIRST ASSET FINANCIAL Inc. PRIVACY STATEMENT:

First Asset Financial Inc. (FAF) is committed to protecting the confidentiality and security of your private investment records and personal information. Our policies and procedures are designed to safeguard your information and to permit only appropriate and authorized access to and use of this information.

In order to carry out the functions necessary to service your investment account, we collect certain nonpublic personal information from you from the following sources:

- Information we receive from you over the telephone, electronic mail and other forms (e.g., you name, social security number and address) and
- Information about your portfolio transactions.

We restrict access to your personal and account information to those FAF employees and service providers and their employees who need to know that information to service your account. We, along with our service providers, maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

You can be assured that First Asset Financial Inc. considers your data to be private and confidential, and we will not disclose any nonpublic personal information about you to any unaffiliated third parties, except as permitted or required by law. If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice with the exception of transferring to another broker dealer with your current representative, we or our current representative will share your information with that broker dealer to enable the transfer to take place.

BUSINESS CONTINUITY PLAN:

First Asset Financial Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 785-825-5050 or by email FAF@firstassetfinancial.com or call our alternative numbers for Bob Hamman of 785-819-1231. Alternatively, call Southwest Securities at 214-859-6624.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our various mutual fund and variable annuity companies and our clearing firm, Southwest Securities, Inc., back up your important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our various mutual fund, variable annuity companies, and Southwest Securities, Inc. that their objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within a reasonable amount of time. Your orders and requests could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover within 24 hours and resume business within the next business day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 72 hours. In either situation, we plan to continue in business and notify you through our web site or our customer emergency number, 785-827-4540, 231-941-4447, or 816-364-5050. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 785-825-5050 or by email FAF@firstassetfinancial.com.