

PRIVACY POLICY

CALIFORNIA: IMPORTANT PRIVACY CHOICES FOR CONSUMERS

You have the right to control whether we share some of your personal information. Please read the following information carefully before you make your choices.

It is the policy of First Allied to maintain the privacy of the personal non-public information we collect about our clients, including current clients, former clients, prospective clients, and former prospective clients. You entrust us with personal and financial information and at First Allied we take that trust very seriously. This Privacy Policy applies to the following First Allied entities, referred to collectively herein as "First Allied": First Allied Securities, Inc., First Allied Advisory Services, Inc., First Allied Asset Management, Inc., First Allied Wealth Management, Inc., FASI Insurance Services, Inc., First Allied Retirement Services, Inc., and Associates In Excellence, Inc.

first allied

First Allied Securities, Inc. Member FINRA/SIPC

You have the right to control whether we share some of your personal information. Please read the following information carefully before you make your choices.

YOUR RIGHTS

You have the following rights to restrict the sharing of personal and financial information with our affiliates and outside companies that we do business with. Nothing in this form prohibits the sharing of information necessary for us to follow the law, as permitted by law, or to give you the best service on your accounts with us. This includes sending you information about other products or services.

IT IS YOUR CHOICE

- A. Restrict Information Sharing With Affiliated Companies: Unless you say "No," we may share personal and financial information about you with our affiliated companies.
- No, please do not share personal and financial information with your affiliated companies without my consent.
- B. Restrict Information Sharing With Other Companies We Do Business With To Provide Financial Products And Services: Unless you say "No," we may share personal and financial information about you with outside companies we contract to provide products and services to you.

() No, please do not share personal and financial information to outside companies you contract with to provide financial products and services without my consent.

TIME-SENSITIVE REPLY

You may make your privacy choice(s) at any time. The choice(s) you mark on this form will remain unless you state otherwise. However, if we do not hear from you, we may share some of your information with affiliated companies, and other companies with whom we have contracts to provide products and services.

Account or Policy Numbers (please list below):

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____

Representative Name

Client Name

Signature

Date

To exercise your choices, do one of the following:

- 1. Fill out, sign and send back this form to us by using the envelope provided** *(You may want to make a copy for your records)*
- 2. Reply by e-mail at privacypolicy@firstallied.com**
- 3. Reply via toll-free fax number 1-888-663-0250.**
- 4. Provide written notice to us at the address below:**
First Allied Securities, Inc.
P.O. Box 85549
San Diego, CA 92186
Attn: Privacy Policy Reply/Compliance Department

655 W. Broadway, 12th Floor
San Diego, CA 92101
e-mail: privacypolicy@firstallied.com
fax: 888-663-0250
Attn: Compliance Department
1-800-499-5489