

# PRIVACY POLICY 2010

*advanced equities*<sup>®</sup>  
ASSET MANAGEMENT

*advanced equities*<sup>®</sup>  
INSURANCE SERVICES

*advanced equities*<sup>®</sup>  
PENSION SERVICES

*advanced equities*<sup>®</sup>  
WEALTH MANAGEMENT

**firstallied**  
Member FINRA/SIPC  
AN ADVANCED EQUITIES COMPANY

**firstallied**  
advisory services  
AN ADVANCED EQUITIES COMPANY

It is the policy of Advanced Equities Financial Corp. 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 Advanced Equities Financial Corp. we take that trust very seriously.

## First Allied Securities, Inc. Privacy Policy 2010

### Important information about protecting your private non-public information and procedures when opening a new account at First Allied Securities, Inc.

We collect and maintain personal information about you so we can provide financial services to you. Federal law also requires us to collect and maintain personal information about you to verify your identity, which helps the government fight the funding of terrorism and money laundering activities. The types and categories of information we collect and maintain include:

- Personal and financial information that you provide to us in opening and servicing your account, including your name, address, date of birth, and other identifying information. We may also ask to see your driver's license or other identifying documents.
- Information concerning your investment activity, such as your account statements and performance reports.
- Information that we may collect from third parties in connection with the services we may provide to you.

We may disclose all of the information that we collect in the manners described below:

### We do not share any non-public personal information about you except as follows:

- Among our affiliated companies who are each bound not to disclose this information to any third parties.
- With other parties as allowed or required by law, such as state and federal government regulators including the SEC, FINRA, state regulatory bodies, and federal, state and local law enforcement.

- With unaffiliated entities in connection with a proposed or actual sale, merger, transfer or exchange of all or a portion of our business.
- If the representative servicing your account leaves us to join another firm, the representative may be permitted to retain copies of your information and share it with his/her new firm in order to continue to service your account. If you do not want the representative to retain copies in this manner, please contact us as noted on the back of this pamphlet.

### We do not share any non-public personal information about you with any third-party service providers and joint marketers except as follows:

- With our third-party service providers that may perform services on our behalf, such as accountants and attorneys.
- With third parties when necessary to process a transaction or service your account, such as insurance companies, mutual fund companies, clearing brokers or custodians.

### Your individual Registered Representative may share non-public personal information with your consent as follows:

Your representative may share non-public personal information such as name, address, and information about your accounts with entities such as insurance companies that are not affiliated with us, but with which your representative is personally affiliated and serves as an agent or other non-financial services. Any information provided to these entities will be subject to their respective privacy policies.

If you prefer that we not disclose non-public personal information about you to non-affiliated third parties, you may opt out of those disclosures; that is, you may direct us not to make those disclosures (other than disclosures permitted by law). If you wish to opt out of disclosures to non-affiliated third parties, you may contact our Compliance department in one of three ways:

1. By writing to us at:  
First Allied Securities, Inc.  
655 W. Broadway • 12th Floor  
San Diego, CA 92101  
Attn: Privacy Policy Reply/Compliance Department
2. By e-mailing us at [privacypolicy@firstallied.com](mailto:privacypolicy@firstallied.com)
3. By calling us at 1-800-499-5489

We use best efforts, policies, and procedures to restrict access to non-public personal information about you to those employees who need to know the information to provide products or services to you. In addition, we maintain physical, electronic and procedural safeguards designed to guard the privacy of your information. Our outside service providers are also governed by law, restricting them from disclosing or reusing the information.