

firstallied

PRIVACY POLICY

WHAT FIRST ALLIED DOES WITH YOUR PERSONAL INFORMATION

WHY?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all, sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

WHAT?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Account number, address, Social Security number, birth date
- Net worth, assets, income, investment experience
- Account balances, trading history, payment history
- Transactions or credit relationships with nonaffiliated third parties
- Medical information (if applying for insurance)

HOW?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the categories of firms and people with whom First Allied shares and the reasons why First Allied does so. On the next page is more information about limiting our sharing.

REASONS WE MAY SHARE YOUR PERSONAL INFORMATION

For our everyday business purposes: to process transactions and maintain your accounts (for example, we may share with our third-party service providers that perform services on our behalf or on your behalf, such as accountants, attorneys, consultants, clearing and custodial firms, mail houses, technology companies, and product sponsors such as mutual fund and insurance companies), and to satisfy legal requirements (e.g., respond to court orders or legal or regulatory inquiries) or report to credit bureaus, and otherwise as allowed by law.

For our marketing purposes: to offer new products and services to you

For joint marketing with other financial companies: to offer products and services to you

For our affiliates' everyday business purposes: information about your transactions and experiences

For our affiliates to market to you: to offer new products or services to you

For your advisor's purposes: we may share with your advisor and your advisor's affiliates to conduct business for you and to market products and services to you

If your advisor leaves First Allied: if the advisor servicing your account(s) leaves First Allied to join another firm, he or she may be permitted to retain copies of your information and share it with his or her new firm in order to continue to provide products and services to you through the new firm. In doing so, your advisor is otherwise required to keep confidential the personal information obtained from you while the advisor was affiliated with First Allied, and he or she may use it only to service your account(s). **If you do not want your advisor to retain your information in this manner, please contact us to opt out as indicated on the following page. Certain states require affirmative consent to allow this type of sharing.**

First Allied Securities, Inc. Member FINRA/SIPC
FAS-3002/Revised November 2015

MAIL-IN FORM

Name

Phone

Address

City, State, Zip

Account No.

- Do not allow your affiliates or nonaffiliates to market to me.
- Do not allow my advisor to share my information with his/her new firm upon leaving First Allied.
- Apply my choices only to me. (If you have a joint account, your choice(s) will apply to everyone on your account unless you select this option.)

WHO WE ARE

Who is providing this notice? This privacy policy applies to the following First Allied affiliated entities: First Allied Securities, Inc.; First Allied Advisory Services, Inc.; First Allied Wealth Management, Inc.; FASI Insurance Services, Inc.; First Allied Retirement Services, Inc.; and Associates In Excellence, Inc.

WHAT WE DO

How does First Allied protect your personal information? To prevent unauthorized access to the information we collect, we use security measures that comply with federal law. We have physical and electronic safeguards in place to ensure that we comply with our own policy, industry practices, and federal and state regulations. Our employees are trained in the proper handling of sensitive information.

How does First Allied collect my personal information? We collect your personal information, for example, when you: open an account or deposit money; direct us to buy securities or insurance; give us your contact information; seek advice about your investments and insurance; or enter into an investment advisory contract. We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing? Federal law gives you the right to limit:

- Sharing for affiliates' everyday business purposes – information about your creditworthiness
- Affiliates from using your information to market to you
- Sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

DEFINITIONS

Affiliates: Companies related by common ownership or control. They can be financial and nonfinancial companies.

Nonaffiliates: Companies not related by common ownership or control. They can be financial and nonfinancial companies.

Joint Marketing: A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

OTHER IMPORTANT INFORMATION

- The policies described in this notice apply to current and former customers.
- We also comply with more restrictive state laws to the extent that they apply. For example, certain states require that you affirmatively opt in to the sharing of your information with our affiliates for marketing purposes, or with your advisor's new firm should he/she leave First Allied. If you live in an opt-in state, where we are required to obtain your affirmative consent to share your nonpublic personal information with unaffiliated third parties who do not currently assist us in servicing your account or conducting our business, your advisor is required to obtain your consent before your advisor can share your information with his or her new firm should your advisor leave First Allied.
- Please note: If you are a new customer, we may begin sharing your information 30 days from the date we provided you with this notice.
- **To limit our sharing:** Please utilize the mail-in form.
- **Questions?** Call 800-499-5489 and ask for the Compliance Department, or write to us at: First Allied, 655 W. Broadway, 12th Floor, San Diego, CA 92101.

Complete the reverse side of this form and mail to:

First Allied
ATTN: Compliance Department
655 W. Broadway, 12th Floor
San Diego, CA 92101