

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.

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.

PRIVACY POLICY

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 below.

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:
 1-877-702-9600.
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