

Please ensure both sections on the last page are completed and signed

ACCOUNT TITLE(S):	NAF NUMBER(S):
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I. PREDISPUTE ARBITRATION CLAUSE AND OTHER DISCLOSURES:

ARBITRATION DISCLOSURES: THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. BY SIGNING THIS AGREEMENT THE PARTIES AGREE AS FOLLOWS:

- 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.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration awards very limited.
- The parties' ability to obtain documents, witness statements and other discovery is generally more limited in arbitration than court proceedings.
- The arbitrators do not have to explain the reason(s) for their award.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- 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.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement
- 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 a member of 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; (ii) the class is decertified; (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.

II. ACKNOWLEDGEMENT OF PRIOR INVESTMENT(S) NOT PURCHASED THROUGH FIRST ALLIED SECURITIES, INC.

The above-referenced and undersigned client (" Client") has purchased securities or other investments (" Investment(s)") through broker-dealer other than First Allied Securities, Inc. (" First Allied"). Client desires to have First Allied named as broker-dealer of record with respect to Investment(s) and by executing this form in the space provided at the end of this document hereby acknowledges that First Allied was not responsible for the recommendation to purchase Investment(s) and that First Allied does not have liability for past or future developments and/or Client's continued holding or sale of Investment(s).

III. ELECTRONIC NOTIFICATION AND DELIVERY AGREEMENT

This Electronic Notification and Delivery Agreement sets forth the terms and conditions pursuant to which the undersigned client (" Client" or " you") shall receive communications through electronic delivery for all First Allied accounts that you or anyone in your statement household have now, as well as any accounts that you may have in the future (" Accounts"). By Executing this agreement, you are agreeing to receive electronic delivery of account communications as outlined below, and you will no longer receive paper copies via postal mail.

- First Allied may occasionally offer written communications through electronic delivery initiated by First Allied or its agents, including but not limited to the following: Tax statements including 1099s and other tax related documents, account statements, trade confirmations and notices, shareholder communications (including fund reports), prospectuses (including preliminary prospectuses), proxy materials, advisory account documents, including Form ADV disclosure brochures, manager profiles, asset allocations, performance reports and other disclosures, reports and notices related to advisory accounts, quarterly performance reports, tax reporting documents, client and account information documents, agreements and disclosures relating to the accounts, features and services we offer, margin calls or other notices relating to extension of credit, and other firm documents that may be available now or in the future. If you do not consent to receive tax statements electronically, paper copies will be provided. You may obtain a paper copy of your tax statements at any time by printing them from your e-mail or requesting a copy from your financial advisor.
- A valid e-mail address is required for our electronic delivery services. You are responsible for notifying First Allied promptly when your e-mail address changes. Generally, when your document is ready, we will send an e-mail to the e-mail address you provide, which will contain an electronic document as an attachment or a hyperlink to an internet website containing documents. You may update your desired e-mail address at any time, either by contacting the home office at edelivery@firstallied.com or calling 619-702-9600 and asking for the Client Service Desk or by contacting your financial consultant to update your information. To receive proxy communications via e-delivery, you must choose a four-digit PIN and write this number in the space provided at the end of this form.
- Your enrollment in electronic delivery is effective immediately upon our receipt of this agreement and establishment of your electronic delivery set up. Your enrollment will remain in effect until you cancel or revoke it. With respect to tax statements, your enrollment applies to every year that the tax statements are furnished. You may revoke or cancel your enrollment at any time, either by contacting the home office at edelivery@firstallied.com or 619-702-9600 and asking for the Client Service Desk or by contacting your financial consultant to update your information. Your enrollment or disenrollment will be effective within a reasonable time after we receive your instructions.
- You may request paper copies of any document that First Allied is required to deliver to you at any time for no additional fee through any of the following means: a) contacting your financial consultant and requesting your account be updated b) sending a request via e-mail to First Allied at edelivery@firstallied.com c) mailing a written request to First Allied at 655 W. Broadway, 11th Floor, San Diego, CA 92101, Attention: New Business – eDelivery d) sending a request via fax to (619) 881-1937; or e) calling First Allied at (619) 702-9600 and asking for the Client Service Desk
- In the event of an e-mail notification failure as defined by the issuing agent First Allied will terminate this arrangement and you will revert to receiving paper documents until such time that you re-enroll.
- To ensure that electronic delivery services are appropriate for you, you agree and represent that you own or have access to the necessary equipment, including without limitation, (i) a computer with appropriate browser software and e-mail software as well as Internet access, (ii) a printer or other device to print or save documents you may wish to retain, and (iii) to view documents provided in Portable Document Format (PDF), you must have Adobe Acrobat Reader software. This reader is available for download, free-of-charge, from www.adobe.com.
- First Allied does not charge a fee for electronic delivery, but your own Internet access and telephone charges may apply.
- Electronic delivery of account statements includes any inserts and notices typically delivered with account statements or mailed directly to you, such as amendments to account agreements, disclosures and other documents First Allied may choose to or be required to send to you.
- If you have Advisory accounts, electronic delivery also includes all Advisory account documents, including Form ADV disclosure brochures, manager profiles, asset allocations, performance reports and other disclosures, reports and notices related to Advisory accounts.
- If certain materials are not made available electronically, you will receive the standard printed materials by regular mail or other method of delivery and may not receive a communication by e-mail.
- First Allied and its affiliates do not control any information appearing in the electronic communications prepared by others, and are not liable for the completeness or accuracy of any information presented in such communications.



12. When you use the electronic delivery service, we cannot determine when and if you have received an electronic communication, nor can we guarantee message receipt and delivery times. First Allied is not liable for any damages (including, but not limited to, missed trading opportunities or margin calls) you may incur due to a delay in, or non-delivery of, a message through an electronic delivery service.

13. By using the electronic delivery service you are requesting that information be transmitted about you and your Accounts through unsecured and unencrypted media, via the Internet, to your e-mail address. There are risks associated with the transmission of account information over the Internet, including password theft and system outages and delays. First Allied is not liable for any damages incurred by you that are related to the unauthorized use or misappropriation of information transmitted over the Internet.

14. Electronic communications may include newsletters and research reports for informational purposes only. First Allied believes the information in these reports is reliable, but cannot guarantee the accuracy, timeliness or completeness of this information. This information is not meant as a solicitation or recommendation by First Allied or your Financial Consultant. Contact your Financial Consultant with questions about this information.

15. Certain electronic communications may include information updating the status of your investments, for informational purposes only. These messages include, without limitation, information about maturing securities, expiring options, and re-evaluations of certain investments held by you. This information is not meant as a solicitation or a recommendation by First Allied or your Financial Consultant. Please contact your Financial Consultant if you have any questions about this information.

We may change our agreement with you upon notice. Your continued use of the electronic delivery service constitutes acceptance of the change. In our discretion, we may discontinue or change the electronic delivery services or suspend your access to all or any part of the services for any reason and without prior notice. In the event of such changes, suspension or termination, First Allied, its affiliates and their respective directors, officers, employees, agents, and providers shall have no liability to you.

IV. EDELIVERY ELECTION - if a selection is not chosen, you will not be enrolled in electronic delivery

YES, I want to receive electronic delivery of Account Communications **NO, I do not want electronic delivery**

PREFERRED USER ID (if available – 15 character maximum) _____

CLIENT E-MAIL ADDRESS: _____ MOTHER' S MAIDEN NAME: _____

4-DIGIT PIN NUMBER (If you wish to receive proxy materials via electronic delivery) _____

V. SIGNATURES

ARBITRATION AGREEMENT: The undersigned hereby agree that controversies arising between the undersigned and First Allied Securities, Inc. shall be determined by arbitration in accordance with the rules then in effect, of the Financial Industry Regulatory Authority, Inc. and the undersigned hereby consents to such jurisdiction. All awards rendered by the arbitrators shall be binding and final, and judgment upon the award may be entered in any court of competent jurisdiction.



ACKNOWLEDGEMENT OF PRIOR INVESTMENT(S) NOT PURCHASED THROUGH FIRST ALLIED SECURITIES, INC.: The undersigned hereby (i) acknowledge that First Allied did not recommend and was not responsible for the purchase of any investment purchased through another broker-dealer, is not responsible for the continued holding of such investment(s), some of which have limited or no liquidity, and (ii) release, waive, indemnify and hold First Allied harmless from and against any and all claims to the contrary.

TAPED CONVERSATIONS: The undersigned hereby agree that conversations may be tape recorded and client waives objection to the admissibility of such recordings in a dispute concerning clients account(s).

NOTICE PROCEDURES: ANY NOTICE FIRST ALLIED SENDS TO ONE ACCOUNT HOLDER WILL BE DEEMED TO BE NOTICE TO ALL ACCOUNT HOLDERS.

I acknowledge this form contains a predispute arbitration clause located in Section I entitled Predispute Arbitration Clause and Other Disclosures. My signature below evidences my informed agreement and consent to all of the contents of this Agreement. If you have chosen to receive account communications electronically, by signing below you represent that you have read and understand Section III Electronic Notification & Delivery Agreement.

If the account is for a minor, the custodian, guardian or trustee should sign. If the account is for a trust, the trustees should sign. If the account is for an entity (corporation, LLC, partnership, etc.) the authorized signatories should sign.

	PRINT PRIMARY CLIENT NAME:	CLIENT SIGNATURE:	DATE:
	PRINT ADDITIONAL CLIENT NAME:	CLIENT SIGNATURE:	DATE:

W-9

Part I Taxpayer Identification Number (TIN)

Check appropriate box for federal tax classification (required):

Individual/Sole proprietor C Corporation S Corporation Partnership Trust/Estate

Limited Liability Company. Enter the tax classification (C= C corporation, S= S corporation, P=partnership): _____

Other _____

Exempt Payee

TAXPAYER IDENTIFICATION NUMBER (TIN)

Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). For other entities, this is your taxpayer identification number. **If you are a foreign person, do not complete this form;** instead, please submit a Form W-8 (BEN, ECI or EXP) with this Agreement.


_____ **Social Security Number (SSN)** **Taxpayer ID Number (TIN)**

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number, and
- I am not subject to backup withholding because:
 - I am exempt from backup withholding, or
 - I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (including a U.S. resident alien).

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

	PRINT PRIMARY CLIENT NAME:	CLIENT SIGNATURE:	DATE:
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