

# FACTS

## WE DO NOT SELL YOUR PERSONAL INFORMATION. WHAT DOES PACIFIC WEST DO WITH YOUR PERSONAL INFORMATION?

<b>Why?</b>	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.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>▪ Social Security number and income</li> <li>▪ account balances and payment history</li> <li>▪ credit history and credit scores</li> </ul>
<b>How?</b>	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Pacific West chooses to share; and whether you can limit this sharing.

Reasons we can share your information	Does Pacific West share?	Can you limit this sharing?
<b>For our everyday business purposes</b> – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	<b>Yes</b>	<b>No</b>
<b>For our marketing purposes</b> – to offer our products and services to you	<b>Yes</b>	<b>No</b>
<b>For joint marketing with other financial companies</b>	<b>No</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> – information about your transactions and experience	<b>Yes</b>	<b>No</b>
<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	<b>Yes</b>	<b>Yes</b>
<b>For our affiliates to market to you</b>	<b>Yes</b>	<b>Yes</b>
<b>For your representative's nonaffiliated business to market to you</b>	<b>Yes</b>	<b>Yes</b>
<b>For other nonaffiliates to market to you</b>	<b>No</b>	<b>We don't share</b>
<b>When Pacific West and your representative terminate their relationship</b> – we allow your representative to retain your information and share it with his/her new firm	<b>Yes</b>	<b>Yes</b>

<b>To limit our sharing</b>	Call (888) 236-7979 <b>Please note:</b> When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. You can contact us at any time to limit sharing.
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<b>Questions?</b>	Call (888) 236-7979
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<b>Who we are</b>	
<b>Who is providing this notice?</b>	Pacific West – see definition of <i>Affiliates</i> below
<b>What we do</b>	
<b>How does Pacific West protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
<b>How does Pacific West collect my personal information?</b>	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>▪ open an account or enter into an investment advisory contract</li> <li>▪ tell us about your investment or retirement portfolio</li> <li>▪ direct us to buy securities or direct us to sell securities</li> </ul>
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>▪ sharing with affiliates' for everyday business purposes – information about your credit worthiness</li> <li>▪ sharing for affiliates &amp; nonaffiliates to market to you</li> <li>▪ sharing for your representative if their relationship with Pacific West is terminated</li> </ul> We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account.
<b>Definitions</b>	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <i>Our affiliates include Pacific West Securities, Inc., Pacific West Financial Consultants, Inc., Pacific West Insurance Agency, Inc., and Pacific West Investment Services, Inc. and are collectively referred to in this notice as "Pacific West".</i></li> </ul>
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <i>If your representative owns or is employed in a business not affiliated with Pacific West, such as tax preparation or insurance practice, then Pacific West shares with that nonaffiliated business. Pacific West does not share with any other nonaffiliates so they can market to you.</i></li> </ul>
<b>Joint Marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>▪ <i>Pacific West doesn't jointly market.</i></li> </ul>