



Pacific West Financial Group *at a glance*

Pacific West In the News:

Investment Advisor,
June 2011

- Ranked 8th for Friendliness to RIAs with 15.9% Reps with their RIA

Investment Advisor,
June 2011

- CFPs in Total Rep Force 25.7%

Financial Planning (FP50),
June 2010

- Pacific West Financial Group ranked 9th in the "Up-and-Comers" category

InvestmentNews,
April 2010

- Top Independent Broker-Dealers ranked by Gross Revenue – Listed 50th

Financial Planning (FP50),
June 2009

- Pacific West Financial Group ranked 12th out of 40 in the "Up-and-Comers" category for average top 20% production at \$502,863

Investment Advisor,
May 2008

- Pacific West Financial - Consultants ranked fifth in fastest growing RIAs. Percentage of growth: 257% over five years

Our Culture

Pacific West's strategic objective, our *Commitment to Excellence*, embraces our vision: to be **the premier independent financial services firm** in the nation. This document was carefully constructed to communicate what guides our business decisions and the principles we adhere to - integrity, a deep commitment to family culture, a friendly, valued and well-trained staff, and an understanding that **our financial professionals are our clients**, and we must earn their business each and every day.

A League of Our Own

- Pacific West places an emphasis on **strong due diligence**. Specialty areas of due diligence are on our Third Party Managers and on alternative investments, such as REITs, real estate-based investments, managed futures funds, energy and leasing programs.
- Our **ASK360**® program. The Pacific West system dedicated to continual improvement. By frequently asking our investment professionals for feedback, we are quick to provide a plan of action on items that require that next step.
 - **Ask** for feedback
 - **Analyze** the responses given
 - **Report** the changes being implemented based on feedback
 - **Implement** the changes
 - **Monitor** the results



PACIFIC WEST
FINANCIAL GROUP

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PACIFIC WEST SECURITIES, INC.
Member FINRA/SIPC
PACIFIC WEST FINANCIAL CONSULTANTS, INC.
Registered Investment Advisor
PACIFIC WEST INSURANCE AGENCY, INC.



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Ease of Doing Business

Pacific West pays commissions and fees weekly. All business in by Wednesday is paid on Friday.

All business submitted by 2:30 p.m. will be reviewed the same day.

Compliance's advertising e-mail program ensures a prompt response.

"One of the best decisions I have made professionally was joining Pacific West. The size Pacific West has grown to has made the whole organization a force within the industry, and yet the family atmosphere has been maintained. I am very pleased with the culture, staff and services."

– Ed Panfili, affiliated since 1984

Company Facts

- Pacific West currently has more than **300 financial professionals** located throughout the nation.
- Pacific West is **privately owned**, with all three owners working from the corporate location.
- Pacific West is **registered in all 50 states**.
- We offer **corporate hours** to efficiently serve each time zone: Monday – Friday 6:00 a.m. to 4:00 p.m. Pacific Time.
- We offer home office expertise, our average **home office tenure is 7 years and industry experience of more than 15**.
- We currently maintain a **7-to-1 representative-to-staff ratio**.
- Pacific West offers **Albridge Solutions** for account aggregation and reporting, and integrated best-of-breed technology to manage your practice.
- We are committed to answering the phone during business hours with a **live voice**.
- Brokerage clearing choice of **Pershing and National Financial Services (NFS)**.
- **Advisory custodian choice** of Pershing, National Financial and TD Ameritrade.
- Pacific West is an active **member of the Financial Services - Institute (FSI)**, an advocacy and membership organization for independent broker/dealers and financial advisors.



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