



# Pacific West Financial Group *at a glance*

## Pacific West In the News: 2007

*Financial Advisor,*  
June 2007

- Top Independent Broker-Dealers ranked by Gross Revenue – Listed 41<sup>st</sup>

*Financial Planning (FP50),*  
June 2007

- Pacific West Financial Group ranked fourth in the “Up-and-Comers” category for total revenue
- Pacific West Financial Consultant’s RIA grew 22.6 percent in 2006

*Investment Advisor,*  
May 2007

- Pacific West Financial Consultants ranked fourth in fastest growing RIAs.
- Percentage of growth over five years of 225 percent

## *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 representatives 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.

- Pacific West won TICA’s first ever A Champion of Excellence Award (broker-dealer category) in 2006 for our commitment to strong due diligence and sound marketing practices.

We are dedicated to **continual improvement**, frequently asking our reps for feedback, we are quick to provide a plan of action on items that require that next step.

Our 2008 **coaching program** encompasses three separate tracks:

- Success Systems: Our quarterly in-person sessions with industry’s leading coach, Dr. John Rhodes.
- Industry consultant Max Bolka webinar presentations scheduled frequently throughout the year.
- Business Development Days featuring a coaching workshop conducted by Focus Partners LLC.



**PACIFIC WEST**<sup>®</sup>  
FINANCIAL GROUP

CORPORATE OFFICE  
555 South Renton Village Place, Suite 700  
Renton, Washington 98057  
PO Box 860, Renton, Washington 98057  
Phone: 425.271.3550 Fax: 425.255.8567

PACIFIC WEST SECURITIES, INC.  
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PACIFIC WEST FINANCIAL CONSULTANTS, INC.  
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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 completed business submitted by 2:30 p.m. will be reviewed and processed 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 **350 registered representatives** and advisors, a 12 percent increase over the previous year.
- Pacific West is **privately owned**, with all three owners working from the corporate location.
- 2007 **revenues were approximately \$57 million**, up 21 percent from 2006.
- Pacific West's broker-dealer is **registered in all 50 states**.
- We offer **extended corporate hours** to efficiently serve each time zone: Mon – Fri 6 a.m. to 5 p.m. Pacific Time.
- We currently maintain a **5.8 representative-to-staff ratio** (one of the lowest in the industry).
- In 2005, Pacific West opened an **East Coast office** in Northern Virginia to help support our representatives nationwide.
- Pacific West offers **Albridge Solutions** for account aggregation and reporting.
- We are committed to answering the phone during business hours with a **live voice**.
- Brokerage clearing choice of **Pershing** and **National Financial**.
- **Advisory custodian choice** of Pershing, National Financial, Schwab and TD Ameritrade.



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