

PACIFIC WEST

# COMMITMENT *to* EXCELLENCE

PACIFIC WEST SECURITIES, INC. MEMBER FINRA/SIPC • PACIFIC WEST FINANCIAL CONSULTANTS, INC. REGISTERED INVESTMENT ADVISOR • PACIFIC WEST INSURANCE AGENCY, INC.

**P**acific West Financial Group has a vision to be the premier independent financial services firm in the nation. Our aim is not to be the biggest broker-dealer, but the best, and in a league of our own.

By understanding the need to earn our representatives' business each and every day, we remain focused on what is most important – you.

We partner with experienced investment professionals throughout the nation who are dedicated to the financial services industry and demonstrate the highest level of care for their clients. We are dedicated to the independent model, and we uphold this commitment. Our company is privately owned with each owner located onsite and actively involved in the business, creating the ability to be responsive to opportunities and to the needs of our advisors.

At Pacific West, our philosophy is based on ethics and integrity. We foster a professional environment within a wrapper of warmth and personality. Honoring our roots, we maintain a family culture throughout the firm by forming relationships built on trust and communication. We enjoy doing the little things that make a big difference.

Pacific West contributes to the success of our financial professionals by offering quality products and services delivered in a friendly, respectful and timely manner.

**THIS IS WHAT WE PROMISE,  
THIS IS WHAT WE DO.**



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SECURITIES OFFERED THROUGH PACIFIC WEST SECURITIES, INC.,  
MEMBER FINRA/SIPC  
ADVISORY SERVICES PROVIDED THROUGH PACIFIC WEST FINANCIAL  
CONSULTANTS, INC., A REGISTERED INVESTMENT ADVISOR

**PRODUCTS AND PLATFORMS:** We offer a broad base of brokerage and advisory platforms, products and services to support our investment professionals and their vision within the traditional commission and fee-based environments. Our unique mix of products and services gives advisors the tools to offer clients a sophisticated approach to investment planning and portfolio management.

**DUE DILIGENCE:** Pacific West focuses firm resources on a strong due diligence program. With an emphasis on quality investments, we conduct thorough and in-depth product reviews. We communicate the essential information that helps our representatives understand and market approved products.

**OPERATIONS:** Our extensive Operations Department offers superb service by providing timely response to requests, processing business quickly and offering tools to assist representatives with their practices. Every call to the Operations Department is answered by someone within 10 seconds. This department is open from 6:00 a.m. to 5:00 p.m. Pacific Time. The average tenure of our Operations team exceeds 15 years in the financial industry.

**COMMISSIONS/FEES:** Our commission and fee processing is conducted accurately and efficiently. All checks received up to two days prior to pay day are processed and paid weekly. Representatives can view their pending commissions and fees online anytime.

**PRACTICE MANAGEMENT:** Pacific West offers programs to guide representatives through the daily management of their business, including high level topics such as wealth management solutions, succession and advisory planning. We continue to develop courses to assist representatives through many aspects of running their own business.

**ADVISORY SERVICES:** We offer an extensive advisory platform giving advisors the option to outsource advisory services, such as billing and portfolio management, or to provide the services themselves. For advisors who choose to use Third Party Managers, we offer a broad selection that encompasses many different management styles.



“We want our professionals to have a lasting feeling of partnering with a firm that values them and their business.”

– Shanon Ford, President

**MARKETING:** We are dedicated to providing educational opportunities, productive events and high quality materials to lift your practice to the next level. Our team has traditional marketing experience and advanced education in the financial industry, offering a great resource for investment professionals embarking on a marketing effort.

**COMPLIANCE:** The goal of compliance is to protect the investor, our representatives and the firm. Our Compliance team offers comprehensive information and assistance in a friendly manner. Using an open-door policy that emphasizes a strong partnership, our aim is that representatives are comfortable seeking advice and are equipped to maintain a compliant practice.

**TECHNOLOGY:** We are committed to technology that strengthens services and efficiency. We offer tools to support professionals’ efforts to be more productive in managing their practice and serving clients. Our technology program reviews many of the industry’s best-of-breed software providers, compares the products and services they offer and introduces available discounts and trainings.

**TRANSITION:** We recognize the critical importance of a seamless transition and have implemented a personalized approach to meet an individual’s needs. Our systems are designed to minimize the inherent challenge in making the transition to a new firm.

**OUR TEAM:** Members of our Home Office team are recognized and rewarded for their efforts and for being a vital element in carrying out our Strategic Objective (a document of our guiding foundation and direction). Ideas are heard and valued, and employees prosper in a rewarding environment with commitments to support their education, professional growth and skill set. They are active in industry organizations, participate in conferences and continually pursue improvement. The staff is treated as individuals in a supportive atmosphere based on teamwork. They encourage and support one another in their daily projects and goals.

Our success depends on the success of each financial professional. Our goal is that each department within Pacific West is the best of its kind in the industry and that our professionals have a lasting feeling of partnering with a firm that values them and their business.



**PACIFIC WEST<sup>®</sup>**  
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