



Business Continuity Plan Disclosure

Financial West Group (FWG) is committed to safeguarding the interests of our clients and customers in the event of an emergency or significant business disruption. This Business Continuity Plan Disclosure (the “BCP”) summarizes Financial West Groups’ effort to mitigate risks inherent with unforeseen business interruptions. The Firm’s comprehensive business continuity strategy is designed to enable us to meet our existing obligations to our clients and customers even in the event of an emergency or significant business disruption. This BCP is intended to comply with the rules promulgated by the New York Stock Exchange (“NYSE”) and the Financial Industry Regulatory Authority (“FINRA”).

Overview

Financial West Group maintains one primary Corporate facility in Westlake Village, California to house the backbone of our trading, sales, operations and information technology. Further redundancy is provided by the fact that our independent representatives maintain their own offices, which are widely dispersed throughout the United States. Therefore if operations are interrupted at one location, operations with full accessibility to all systems can be used at another location in the same proximity. Offices of Supervisory Jurisdiction are also required to maintain copies of key data at their location.

Our clearing firm, National Financial Services (NFS) provides trade clearing, margin, money movement, and other operational services for the customer accounts of FWG. As a registered broker/dealer, NFS is subject to the rules and regulations of the Securities Exchange Commission, the New York Stock Exchange and Financial Industry Regulatory Authority and must also maintain their own contingency plan to safeguard the records and assets of our customers. In addition there is one additional site in Bethel Park, PA. which is the Executive Office for the CEO of FWG and our Information Technology support is located at this office. These facilities are located far enough apart to diminish risks posed by local disruptions. This separation is a key element of the Firm’s overall business continuity strategy. This separation allows us to plan for events at each location individually, since no one event should affect more than a single location simultaneously. The benefit of having widely dispersed locations means our response to an event will be the same whether the event is a firm-only business disruption, a disruption to a single building, a disruption to a business district or a citywide business disruption.

Communication with Our Employees in the Event of a Disruption

The safety and well being of our employees is a vital concern. In the event of an emergency or significant business disruption, the Firm will communicate with its employees in several different ways. We use a combination of general broadcast and

direct-targeted outreach. General information such as office closures and operating hours will be communicated on the Firm's internal email system, external websites and similar recorded updates will play around-the-clock on the voice telephone message of the affected locations.

In the event of a disaster the President or Chief Financial Officer will contact the Executive Office in Bethal Park, Pa. All Officers, Directors and Department Heads should contact the FWG President or CFO for further instructions, as circumstances dictate. All home and mobile telephone numbers have been disseminated to the Directors, Department Heads and Officers of FWG, who will then contact each person they are responsible for.

Redundancy of Mission Critical Information Technology Systems

Financial West Group has several information technology processing and backup sites that, collectively, provide the redundancy required to protect the firm's books and records, balance sheet and capital, and provide business continuity and client protection. On site at the 4510 E. Thousand Oaks office there is a backup system in place. On a daily basis (five days a week) a compressed backup is completed of client account data and users folder. FWG has both an on-site and off-site back up. On Fridays the servers mirror each other providing us with an off-site backup of our system. The server dedicated to the RIA Department is included in the backup procedure. Unlike many shared facilities that allocate computer capacity to several different clients on a first-come-first-serve basis, Financial West Group owns fully dedicated backup equipment located across the country from its primary Corporate location.

In addition, all account information is also backed up and saved by NFS at their two locations in New York and New Jersey.

FWG utilizes Investigo, Inc. (a third party provider) for alternate way business customer and account information. They also maintain through downloads Schwab and NFS account information and transaction activity. Investigo is internet based and provides recovery capabilities for customer alternate way business as well as it maintains its own BCP recovery plan.

Back-Up Trading, Sales and Operations Site

Financial West Group clears its securities business through National Financial Services and can process its trades directly to them from each of FWG's independent offices throughout the United States. In the event that we are unable to access one of our primary facilities or branch locations, it may be necessary to relocate certain personnel to the backup sites. The backup facilities are all operational offices. In other words, the site is fully operational at all times as they are other functional offices. They are equipped with workstations that have redundant computer network connectivity, telephones, printers, fax machines, market data feeds and all the other specialty equipment necessary for trading and operations. The functionality of the backup facilities are already operational offices and as such are routinely tested by sales, trading and operations personnel.

UpdatesAdditional emergency office space is available at the Regus Business Center located in Santa Monica, California. The facility has workstations and state of the art telephony and Internet communication capabilities.

Protection of Primary Facilities

Protecting the infrastructure of our primary facilities is a high priority because it will allow the firm to continue operations in the event of many disaster situations, by permitting our employees to have access to and use of our facilities during that situation.

Disclaimer

The Firm's comprehensive business continuity strategy is designed to enable us to meet our existing obligations to our clients and customers even in the event of an emergency or significant business disruption; however it is not infallible. The plan is designed to work in many different emergency situations; but these events are, by their nature, unpredictable and it is impossible to anticipate every scenario that could cause a business disruption. Furthermore, although we are confident in our own preparedness, Financial West Group has no control over the various entities that we must rely upon in the event of an emergency. This BCP is subject to change without notice. In the event that this BCP is modified, the updated document will be promptly posted on the Financial West Groups' internet website. Alternatively, customers may obtain an updated hard copy of the firm's BCP upon request. The information contained in this disclosure is provided by Financial West Group for informational purposes only. Nothing contained herein shall be construed to amend, supplement or otherwise modify any of the terms and conditions set forth in any customer agreement between you and Financial West Group

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