



## FINANCIAL WEST GROUP NOTICE OF PRIVACY POLICY AND FINRA PUBLIC DISCLOSURE STATEMENT

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Dear Valued Client:

Financial West Group considers the confidentiality of client information a top priority. At this time, we want you to know how we protect personal information we obtain from you or other sources in the course of providing you with investment products and services.

Most, if not all, the personal information that we have about you comes directly from you. Your Representative records information that you provide, such as your name and address, financial information, investment experience, occupation and address of employer, birth date, social security number, e-mail address, phone number, etc. We also keep and maintain records of your account history. We may also collect personal information from outside sources, including consumer reporting agencies and CRD (Central Registration Depository) if you are, or were, associated with the securities industry.

It is our policy not to disclose any personal information to non-affiliates who might use your personal information to contact you about their own products and services. We educate our employees to protect your personal information. At Financial West Group, your personal information is available only to those individuals who are involved in servicing your financial needs or in supervisory activities. Your Representative will use your personal information to help evaluate your financial situation and establish appropriate investment objectives. In addition, Financial West Group maintains physical, electronic, and procedural safeguards that comply with applicable laws and regulations to protect your personal information.

Under certain circumstances, we may, as permitted by law, provide personal information to our service providers, regulatory or governmental entities, or other entities at your instruction, such as National Financial Services LLC, our clearing firm. A copy of their privacy policy may be found at <http://www.nationalfinancial.com>. In all circumstances, Financial West Group will take reasonable measures to ensure the privacy of your personal information.

Finally, should your relationship with Financial West Group end, your personal information will remain protected in accordance with our privacy policies as outlined in this notice.

You may ask to see or obtain a copy of any personal information we have in our records. If any of the information is believed to be incomplete or inaccurate, you may request that we make any necessary and appropriate changes. Please send any requests to:

Financial West Group  
Attn: Privacy Policy Department  
P.O. Box 5123  
Thousand Oaks, CA 91359-5123

We hope that you have found this information helpful. If you have any questions or would like more information, please don't hesitate to contact your Representative.

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**Client Complaints** - To help the service we provide, we are interested in hearing your feedback. If you have general comments or complaints, Please write us at:

Financial West Group  
Attn: Compliance  
P.O. Box 5123  
Thousand Oaks, CA 91359-5123

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In accordance with the Financial Industry Regulatory Authority (FINRA) Investor Education and Protection Rule, we are providing the following information:

- The FINRA Public Disclosure Hotline telephone number is (800)289-9999
- The FINRA Internet Web site address is <http://www.finra.org>

A copy of an investor brochure that includes information concerning the FINRA Public Disclosure Program can be obtained by calling the Public Disclosure Hotline or keying in on the FINRA Web site.

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**Securities Investor Protection Corporation (SIPC)** - You may obtain information about SIPC, including the SIPC brochure, by contacting SIPC by either of the following two methods:

- SIPC's Web Site: [www.sipc.org](http://www.sipc.org) OR
- SIPC's telephone number: (202) 371-8300