



Financial
West
Group

Disclosure Document SEC Form ADV, Part II

All registered investment advisors are required to file Form ADV, Part II with the Securities and Exchange Commission (SEC). The SEC requires each Registered Investment Advisor (RIA) to disclose the information from the form ADV Part II to the investor.

This is the most recent update of our Form ADV, Part II. This document is to inform you of all material aspects of our organization, programs offered, fees and services. This form is not only provided to all new clients, but is also offered to all existing clients annually.

Financial West
Investment Group Inc.
4510 E. Thousand Oaks Blvd.
Westlake Village, CA 91362

As of November 1, 2009

Uniform Application for Investment Adviser Registration

Part II - Page 1

Name of Investment Adviser:

FINANCIAL WEST INVESTMENT GROUP, INC. DBA Financial West Group

Address: (Number and Street)

4510 E. Thousand Oaks Blvd.

(City)

Westlake Village

(State)

CA

(Zip Code)

91362

Area Code: Telephone number:

(805) 497-9222

This part of Form ADV gives information about the investment adviser and its business for the use of clients. The information has not been approved or verified by any governmental authority.

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

1. **A. Advisory Services and Fees.** (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instructions below.)

Applicant:

<input checked="" type="checkbox"/>	(1)	Provides investment supervisory services	<u>50 %</u>
<input checked="" type="checkbox"/>	(2)	Manages investment advisory accounts not involving investment supervisory services	<u>30 %</u>
<input checked="" type="checkbox"/>	(3)	Furnishes investment advice through consultations not included in either service described above	<u>10 %</u>
<input type="checkbox"/>	(4)	Issues periodicals about securities by subscription	<u> %</u>
<input type="checkbox"/>	(5)	Issues special reports about securities not included in any service described above	<u> %</u>
<input type="checkbox"/>	(6)	Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities	<u> %</u>
<input checked="" type="checkbox"/>	(7)	On more than an occasional basis, furnishes advice to clients on matters not involving securities	<u>10 %</u>
<input type="checkbox"/>	(8)	Provides a timing service	<u> %</u>
<input type="checkbox"/>	(9)	Furnishes advice about securities in any manner not described above	<u> %</u>

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term? Yes No

C. Applicant offers investment advisory services for: (check all that apply)

- | | |
|--|---|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input checked="" type="checkbox"/> (2) Hourly charges | <input checked="" type="checkbox"/> (5) Commissions |
| <input checked="" type="checkbox"/> (3) Fixed Fees (not including subscription fees) | <input type="checkbox"/> (6) Other |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. **Types of clients** - Applicant generally provides investment advice to: (check those that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> A. Individuals | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations |
| <input type="checkbox"/> B. Banks or thrift institutions | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input checked="" type="checkbox"/> C. Investment companies | <input type="checkbox"/> G. Other (describe on Schedule F) |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

3. **Types of Investments.** Applicant offers advice on the following: (check those that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | I. Options contracts on: |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input checked="" type="checkbox"/> (1) securities |
| <input checked="" type="checkbox"/> (3) foreign issuers | <input type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> E. Certificates of deposit | K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities | <input checked="" type="checkbox"/> (1) real estate |
| G. Investment company securities: | <input checked="" type="checkbox"/> (2) oil and gas interests |
| <input checked="" type="checkbox"/> (1) variable life insurance | <input checked="" type="checkbox"/> (3) other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (2) variable annuities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

4. **Methods of Analysis, Sources of Information, and Investment Strategies.**

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting | (4) <input checked="" type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input type="checkbox"/> Timing services |
| (2) <input type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (8) <input type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options, uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input checked="" type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?

Yes No

(If yes, describe these standards on Schedule F.)

6. Education and Business Background

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- year of birth
- formal education after high school
- business background for the preceding five years

7. Other Business Activities. (check those that apply)

- A. Applicant is actively engaged in a business other than giving investment advice.
- B. Applicant sells products or services other than investment advice to clients.
- C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
 - (1) broker-dealer
 - (2) investment company
 - (3) other investment adviser
 - (4) financial planning firm
 - (5) commodity pool operator, commodity trading advisor or futures commission merchant
 - (6) banking or thrift institution
 - (7) accounting firm
 - (8) law firm
 - (9) insurance company or agency
 - (10) pension consultant
 - (11) real estate broker or dealer
 - (12) entity that creates or packages limited partnerships

(For each checked in box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? Yes No

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- A. As principal, buys securities for itself from or sells securities it owns to any client.
- B. As broker or agent effects securities transactions for compensation for any client.
- C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

10. Conditions for Managing Accounts. Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services and impose a minimum dollar value of assets or other conditions for starting or maintaining an account?

Yes No

(If yes, describe on Schedule F)

11. Review of Accounts. If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

A. Describe below the reviews and reviewers of the accounts. For reviews, include their frequency, different levels, and triggering factors. For reviewers, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

If a client has requested applicant to provide financial planning consultation services or to prepare a financial plan, applicant will not perform any reviews of client accounts unless requested to do so by client. Such reviews will be charged to client on an hourly basis not to exceed \$200 per hour as part of financial planning consulting services.

If a client has requested applicant to provide asset allocation services, the client's assets will be reviewed quarterly at the end of each calendar quarter. If appropriate, applicant will recommend changes in the client's portfolio.

B. Describe below the nature and frequency of regular reports to clients on their accounts.

If a client has requested applicant to financial planning consultation services or to prepare a financial plan, applicant will not provide any regular reports. If a client has requested applicant to provide asset allocation services, applicant will provide the client with quarterly and annual performance reports.

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

12. Investment or Brokerage Discretion.

- A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:
- | | | |
|--|-------------------------------------|-------------------------------------|
| | Yes | No |
| (1) securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (2) amount of the securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| (4) commission rates paid? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

- B. Does applicant or a related person suggest brokers to clients? Yes No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|---|--|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities; or
 - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- Has applicant provided a Schedule G balance sheet? Yes No

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

Schedule F of

Form ADV
Continuation Sheet for Form
ADV Part II

Applicant:	SEC File Number:	Date:
Financial West Investment Group, Inc.	801- 57393	November 1, 2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Financial West Investment Group, Inc. DBA Financial West Group	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer
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Item 1 Advisory Services and Fees

SERVICES PROVIDED:
Financial West Investment Group, Inc., doing business under the name Financial West Group (“FWG”), is a registered securities broker-dealer and investment adviser providing a full range of financial products and services to clients. FWG offers personalized investment strategies to its investment advisory clients under FWG’s investment advisory services agreement, which allows each client to select one or more of several investment programs.

Opening an Advisory Account: When an advisory account is opened for a new client, a registered advisory representative of FWG (the “Advisory Representative”) will obtain financial data from the client and discuss the client’s individual circumstances and investment goals. Using this information, the Advisory Representative will assist the client to determine the appropriate investment strategies for the client. The client will sign FWG’s advisory services agreement, and will designate in the agreement the investment strategies that the client has selected. The client will then deposit the funds or securities to be used for investment in a custodial account with a qualified independent custodian (as discussed further below), and the Advisory Representative will proceed to implement the client’s investment strategies using the implementation method(s) that the client has selected.

Selecting Investment Programs: FWG offers several investment programs from which clients can select to implement their investment strategy. The following paragraphs describe each of the investment programs offered by FWG:

1. Third Party Money Manager Program. In this program, the FWG Advisory Representative will assist the client in determining the appropriate allocation of the client’s account among different asset classes, and FWG will make recommendations of independent money managers who specialize in each of those asset classes. The client will receive the Form ADV Part II of each money manager and will enter into a separate agreement with each money manager selected by the client. The client’s FWG Advisory Representative will monitor the performance of each money manager selected by the client, and advise the client periodically of any changes that the Advisory Representative believes should be made in either the asset allocation or the money managers who are managing those assets. In most cases, FWG will charge the client a fee for FWG’s advisory services, in the amount provided in FWG’s agreement with the client, and each money manager will charge the client a separate fee in the amount provided in the separate agreement between that money manager and the client. FWG’s fees for this program range from .60% to 1.5% of the value of assets held in the account. In addition, FWG has revenue sharing arrangements with certain independent money managers to whom it refers its clients, under which the independent money manager agrees to share a portion of its fee to FWG in return for FWG marketing the independent money manager’s programs and services. In other cases, FWG acts as a referring adviser, and receives a referral fee from the money manager rather than from the client directly. In those cases, FWG will deliver a separate disclosure statement to the client advising the client of the amount of the referral fee that will be paid to FWG. Unless otherwise disclosed to the client in the disclosure statement, the client will pay no more in advisory fees than the client would pay without the referral.

2. FWG In-House Managed Accounts Programs. FWG offers three managed trading strategies to clients, each of which follows specific trading guidelines as described below:

a. Alpha Optimization Portfolio (AOP). This program is actively managed by Robert Kelsey, an Advisory Representative of FWG, using investment models that follow a strict buy and sell discipline. Individual equity securities are purchased when they exhibit both a strong relative strength and good relative value. Clients may also choose the socially-screened version of the Alpha Optimized Portfolio

Complete amended pages in full, circle amended items and file with execution page (page 1).

Schedule F of

Form ADV
Continuation Sheet for Form
ADV Part II

Applicant:	SEC File Number:	Date:
Financial West Investment Group, Inc.	801- 57393	November 1, 2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Financial West Investment Group, Inc. DBA Financial West Group	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer								
	<p>using PAM's social screening methodology.</p> <p>b. <u>Progressive Track Investment Portfolio™ (PTI)</u>. This program is managed by Progressive Asset Management, Inc. ("PAM"), a division of FWG that specializes in socially responsible investing. The program consists of a suite of portfolios, each of which tracks index benchmarks in the following asset classes: Large Cap Growth, Large Cap Value, Mid Cap Growth, Mid Cap Value, Small Cap Growth, Small Cap Value and International. Clients in this program select the portfolios in which they wish to participate based on their asset allocation choices. Each portfolio consists of no more than 150 publicly-traded equity securities, designed using a portfolio optimization process to track as closely as possible the performance of an established equity index. The holdings in each portfolio are reassessed regularly and rebalanced periodically by PAM in order to cause the portfolio to track as closely as possible the index benchmark for that portfolio.</p> <p>c. <u>High Impact Portfolio</u>. This program is managed by Thomas Moser, and is designed to provide a customized approach to investing in companies that address the urgent problems of our day, namely those associated with energy use, water quality, food and nutrition, proactive healthcare and sustainable development. All individual equities selected for this portfolio are screened to target a price earnings ratio to earnings per share growth ratio of less than two to one, and a revenue growth rate equal to or greater than the price earnings ratio or greater, or a significant potential for revenue acceleration over the next two years. In addition, the portfolio manager seeks companies whose management is actively buying, rather than selling the company's stock. The portfolio manager conducts a personal review of each company selected for the portfolio, including meetings with management and due diligence inspections of production facilities. Companies that meet the financial criteria are then carefully researched and selected for the effectiveness of their social "footprint," allowing the client to invest in specific industries that endeavor to build a more sustainable future.</p> <p>The minimum account size for the AOP and PTI FWG In-House Managed Programs is \$25,000 for accounts custodied at FOLIOfn, and \$50,000 for AOP and High Impact accounts custodied at NFS. The client may make cash additions to the account at any time and may withdraw assets after providing notice to the Advisory Representative. In the event that client withdrawals cause the account asset value to fall below the applicable account minimum, the account may be subject to termination.</p> <p>The maximum annual fees charged by FWG for each of the FWG In-House Managed Programs are based upon the following asset levels, and are subject to negotiation:</p> <table border="1"> <thead> <tr> <th><u>Account Size</u></th> <th><u>Maximum Annual Advisory Fee</u></th> </tr> </thead> <tbody> <tr> <td>\$25,000 to \$500,000</td> <td>3.00%</td> </tr> <tr> <td>\$500,000 to \$1,000,000</td> <td>2.50%</td> </tr> <tr> <td>Over \$1,000,000</td> <td>2.00%</td> </tr> </tbody> </table> <p>The AOP Accounts at NFS will also be subject to transaction charges not to exceed the following, subject to negotiation: \$14.95 for equity trades, \$25 for government bond trades; \$14.95 for municipal bond trades, \$25 for option trades up to 10 contracts, \$35 for option trades between 11 and 25 contracts, \$50 for option trades in excess of 25 contracts, and \$75 per trade for foreign securities. The Himpact Accounts are part of an asset</p>	<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>	\$25,000 to \$500,000	3.00%	\$500,000 to \$1,000,000	2.50%	Over \$1,000,000	2.00%
<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>								
\$25,000 to \$500,000	3.00%								
\$500,000 to \$1,000,000	2.50%								
Over \$1,000,000	2.00%								

Complete amended pages in full, circle amended items and file with execution page (page 1).

Schedule F of

Form ADV
Continuation Sheet for Form
ADV Part II

Applicant: Financial West Investment Group, Inc.	SEC File Number: 801- 57393	Date: November 1, 2009
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Financial West Investment Group, Inc. DBA Financial West Group	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer								
	<p>based pricing structure up to 40 trades per account per year. Should trading exceed the 40 trade threshold per account per year, transaction fees in the amount of \$14.95 will apply to each incremental trade and will be charged to the client. There is also a minimum platform fee of \$700.00 per year per account (\$175.00 per quarter). Fees are subject to change. A portion of the transaction charges may be shared with FWG, but the FWG Advisory Representative does not benefit from any of these charges.</p> <p>3. <u>Advisor Managed Account Program.</u> In this program, the FWG Advisory Representative will assist the client in determining the appropriate allocation of the client's account among different asset classes, and FWG Advisory Representative will directly manage the investment portfolio selected for the client, on a discretionary or non-discretionary basis, as selected by the client. Accounts in this program may include no load or load-waived mutual funds, stocks, investment grade bonds and other securities individually approved by FWG, which may include covered call options and hedged put options. The minimum account size for accounts in this program is \$25,000, which may be waived by FWG under certain circumstances. The maximum annual fees for this program are based upon the following asset levels, and are subject to negotiation:</p> <table border="1"> <thead> <tr> <th><u>Account Size</u></th> <th><u>Maximum Annual Advisory Fee</u></th> </tr> </thead> <tbody> <tr> <td>\$25,000 to \$500,000</td> <td>3.00%</td> </tr> <tr> <td>\$500,000 to \$1,000,000</td> <td>2.50%</td> </tr> <tr> <td>Over \$1,000,000</td> <td>2.00%</td> </tr> </tbody> </table> <p>FWG will act as the introducing broker for securities transactions made for the client's account. Accounts in this program will be custodied at NFS, for accounts containing individual equity securities and other securities, and Charles Schwab, for accounts containing only mutual funds. Accounts will also be subject to transaction charges not to exceed the following, subject to negotiation: \$10.00 for mutual fund trades, \$18.95 for equity trades, \$25 for government bond trades, \$14.95 for municipal bond trades, \$25.00 for option trades up to 10 contracts, \$35 for option trades between 11 and 25 contracts, \$50 for option trades in excess of 25 contracts, and an additional \$75 foreign surcharge per trade for foreign securities. Clients in this program with accounts custodied at NFS also have the option of selecting asset-based pricing from NFS, under which the client pays a single fee to NFS based on the value of assets in the account which includes up to 80 transactions per year. The only additional transaction charges are for any transactions that exceed 80 trades in any year, at the rates described in this paragraph above. Fees are subject to change and a portion of such transaction charges may be shared with FWG, but the FWG Advisory Representative does not benefit from any of these charges.</p> <p>Some mutual funds that may be purchased for the account pay annual distribution charges to broker-dealers, sometimes referred to a "12b-1 fees" and these 12b-1 fees may be paid to FWG and be partially re-allocated to the client's FWG Advisory Representative. Mutual funds also pay management fees and other fund expenses to the mutual fund manager and other third parties, all of which fees and expenses are described in each mutual fund's prospectus.</p> <p>4. <u>Financial Planning and Consulting Services.</u> In this program, the FWG Advisory Representative will provide financial planning or investment consulting services. The nature and scope of services are subject to negotiation between the Advisory Representative and the client, and may include any of the</p>	<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>	\$25,000 to \$500,000	3.00%	\$500,000 to \$1,000,000	2.50%	Over \$1,000,000	2.00%
<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>								
\$25,000 to \$500,000	3.00%								
\$500,000 to \$1,000,000	2.50%								
Over \$1,000,000	2.00%								

Complete amended pages in full, circle amended items and file with execution page (page 1).

Schedule F of

Form ADV
Continuation Sheet for Form
ADV Part II

Applicant:	SEC File Number:	Date:
Financial West Investment Group, Inc.	801- 57393	November 1, 2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Financial West Investment Group, Inc. DBA Financial West Group	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer								
	<p>following: financial planning and analysis, tax planning analysis, personal risk management review, estate asset coordination and planning, cash flow analysis, retirement planning, education planning and asset allocation. To the extent that a recommendation is made to implement a financial plan through other products or services offered by FWG, a conflict of interest may exist between the interests of FWG and the interests of the client. However, the client is under no obligation to act upon FWG's recommendations, or to implement any recommendations through FWG. Consulting services are generally provided on an hourly basis, at a rate up to \$350.00 per hour, subject to negotiation, or on a fixed fee basis, or a percentage of assets managed, as negotiated with the client.</p> <p>5. <u>Private Investment Fund Program</u>. In this program, the FWG Advisory Representative will assist the client in identifying and investing in various private investment funds, including hedge funds and private equity funds ("private funds") that employ a variety of investment strategies. The FWG Advisory Representative will assist the client in determining the appropriateness of each private investment fund for the client based on the client's personal circumstances, conduct due diligence on the managers of the private funds included within this advisory program, and monitor the results of each private fund. The client will receive copies of all offering materials of each private fund, and will subscribe directly for shares in the private fund. The maximum annual fees payable to FWG for the private fund program are based upon the following asset levels, and are subject to negotiation:</p> <table border="1"> <thead> <tr> <th><u>Account Size</u></th> <th><u>Maximum Annual Advisory Fee</u></th> </tr> </thead> <tbody> <tr> <td>\$25,000 to \$500,000</td> <td>1.50%</td> </tr> <tr> <td>\$500,000 to \$1,000,000</td> <td>1.25%</td> </tr> <tr> <td>Over \$1,000,000</td> <td>1.00%</td> </tr> </tbody> </table> <p>In addition to the advisory fee charged by FWG, clients will be subject to additional fees and expenses charged by each private fund in which they invest. Managers of private funds often charge higher fees than public mutual funds. The fees and expenses paid by each private fund are disclosed in each fund's offering documents. The Client should thoroughly review the offering documents of each private fund before investing to understand all risks that apply to an investment in each private fund</p> <p>6. <u>Financial West Group's Managed Account Solutions Program</u> This program offers invaluable elements to the client's ongoing investment planning and management by providing the client with the appropriate investment resources and options. The client will have access to a full range of investment solutions that deliver a customized portfolio that leverage the expertise of premier asset managers as well as defined asset allocation strategies, and ongoing investment manager research and portfolio monitoring. For more details on this program please refer to FWG's Schedule H.</p> <p><u>Additional Terms of Advisory Services Agreement</u>. The Advisory Services Agreement between FWG and the client will specify the investment program(s) or services selected by the client, whether an investment account will be managed on a discretionary or non-discretionary basis, and the management fees agreed to between FWG and the client.</p> <p>Account fees will generally be payable quarterly in advance, or monthly in advance for accounts custodied at FOLIOfn. The initial account fee will be deducted upon execution of the agreement on a prorated basis.</p>	<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>	\$25,000 to \$500,000	1.50%	\$500,000 to \$1,000,000	1.25%	Over \$1,000,000	1.00%
<u>Account Size</u>	<u>Maximum Annual Advisory Fee</u>								
\$25,000 to \$500,000	1.50%								
\$500,000 to \$1,000,000	1.25%								
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Complete amended pages in full, circle amended items and file with execution page (page 1).

Schedule F of

Form ADV
Continuation Sheet for Form
ADV Part II

Applicant:	SEC File Number:	Date:
Financial West Investment Group, Inc.	801- 57393	November 1, 2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Financial West Investment Group, Inc. DBA Financial West Group	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer
	<p>Subsequent account fee payments will be due and assessed at the beginning of each quarter based on the reasonable market value of the assets (securities, cash and cash equivalents) in the account as of the close of business on the last business day of the preceding quarter. The value of assets will be determined by an independent pricing service, where available, or otherwise in good faith by FWG. If assets are deposited into the account after the inception of a quarter, the account fee payable with respect to those assets will be prorated based on the number of days remaining in the quarter. Account fees and other charges payable to FWG may be higher or lower than fees charged by other advisers performing similar services.</p> <p>The agreement may be terminated by either FWG or the client at any time upon 30 days written notice without penalty. Any prepaid and unearned fees will be refunded to the client upon termination.</p> <p>An Advisory Representative may choose to manage transactions in the same securities purchased by multiple clients by "bunching" or aggregating trade orders. Aggregating trade orders may be advantageous for clients. Where trade orders are aggregated, each client pays the average price on all orders executed on behalf of all clients in the same securities, so that every client pays the same price and no client is favored over any other client. Prior to entering an aggregated order, a written aggregation statement is prepared, specifying the participating client accounts and method of allocation among accounts. Partially filled orders will be allocated pro rata based on the written aggregation statement. If an order must be allocated in a manner different from that in the written aggregation statement, all clients must receive fair and equitable treatment and the written rationale for the departure must be approved by the Advisory Representative's compliance officer. FWG's books and records will separately reflect securities held by, or bought or sold for, all client accounts that participate in aggregated trades.</p> <p>FWG will not accept authority to vote any proxies for securities held in a client account.</p>
ITEM 5 Education and Business Standards	<p>EDUCATION AND BUSINESS STANDARDS</p> <p>Each state has its own qualification requirements that apply to persons engaged in providing financial advisory services, which include examinations or professional designations. All FWG Advisory Representatives are required to comply with these requirements for each state in which they do business.</p>
ITEM 6 Education and Business Background	<p>EDUCATION AND BUSINESS BACKGROUND:</p> <p>The following persons are the executive officers of FWG and the supervisors of all persons who provide investment advice to clients:</p> <p>Todd Melillo, President Year of Birth - 1959 Business Background: 2005 – Present: Financial West Group, President 1990– Present: Financial West Group, Director of Trading</p> <p>Alexandra Franks, Chief Financial Officer Year of Birth - 1960 Education - University of California Santa Barbara, BA Business Background: 2002 -2005: Financial West Group, G/L Accountant 2000 -2002: Wholesale Bakery, Accounting Manager</p>

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	<p>Rob Creaser, Chief Compliance Officer Year of Birth - 1957 Education – California State University Northridge, BA Business Background: 2005 - Present: Financial West Group, Chief Compliance Officer 2004 - 2005: Morgan Peabody Inc., Senior Compliance Officer 2001 - 2004: UnionBanc Investment Services, Inc., Senior Compliance Officer 1998 - 2001: Morgan Peabody, Inc., Chief Compliance Officer</p> <p>Jill Jaglowski, RIA Department Manager Year of Birth - 1972 Education - California Lutheran University, BA Business Background: 1996 – 1997: Securities America – Sales Assistant 1997 – 2005: Financial West Group – Sales Assistant / Advisory Services Administrator / Supervisor 2005 – Present: Financial West Group, RIA Department Manager</p> <p>OTHER BUSINESS ACTIVITIES FWG's is a securities broker-dealer, and as such sells securities and insurance products.</p>
ITEM 7 Other Business Activities	<p>OTHER FINANCIAL ACTIVITIES AND AFFILIATIONS FWG has an agreement with National Financial Services (NFS), a fully guaranteed subsidiary of Fidelity Investments, under which NFS shares with FWG a portion of the transaction fees paid by clients in FWG advisory accounts, but FWG Advisory Representatives do not receive any portion of those transaction fees. A potential conflict of interest exists in situations where FWG, suggests or recommends to a client the use of NFS as the clearing broker and custodian.</p>
ITEM 8 Other Financial Activities or Affiliations	<p>In certain situations, and due to FWG's role as an investment adviser and broker-dealer, FWG may from time to time act as a principal in connection with sales of securities, primarily fixed income securities, to accounts of advisory clients. In such transactions, FWG will purchase or sell the security in its own name through an open auction process and or an inter-dealer negotiated market to ensure the transaction is executed at the best current market price. Although FWG will not charge your account a commission on the purchase or sale of the security, FWG will receive a mark-up/mark-down from the price at which FWG purchased or sold the security for your account.</p> <p>In addition, if a New Issue fixed income transaction is placed in your fee based account, there is a built in sales concession (sales credit) on most New Issues given that Syndicate rules state the trade must be priced at par. The concession will be credited back to the client by reducing the advisory fee by the sales credit amount within the following quarter's fee calculation.</p> <p>Principal transactions have the potential for conflicts of interest in that FWG may determine the price at which the security is sold (or bought and what securities to sell (or buy). FWG has implemented procedures to provide the client with written disclosures and obtain client's consent either before each principal transaction is executed or before it is settled.</p>

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	<p>FWG may execute purchase and sale transaction between two clients (referred to as “agency cross transactions”), provided such transactions comply with these procedures and Rule 206(3)-2 under the Investment Advisers Act of 1940, as amended. FWG may have a conflicting duty of loyalty to both of the clients for whom it conducts agency cross transactions. Therefore, FWG has adopted agency cross transaction procedures that are designed to promote fairness among the client accounts managed by FWG and to conform to applicable regulatory principles. FWG will only conduct agency cross transactions if a client has consented in advance to the conduct of such transactions, either in the client’s account agreement or in a separate written consent. Each agency cross transaction shall be effected at the independent current market price of the security. FWG will send to both clients participating in the agency cross transaction a written confirmation at or before the completion of each transaction containing: (i) a statement of the nature of such transaction; (ii) the date such transaction took place; (iii) an offer to furnish upon request, the time when such transaction took place; and (iv) the source and amount of any compensation or other remuneration received or to be received by FWG. FWG will also send an annual summary of all agency cross transactions. A client’s written consent authorizing FWG to effect agency cross transactions on his or her behalf may be revoked at any time by the client by means of written notice.</p> <p>FWG Advisory Representatives may recommend the purchase or sale of shares of Pacific Global Mutual Funds, a family of funds in which FWG or related persons have some financial interest.</p> <p>CODE OF ETHICS: FWG’s code of ethics is based on the principle that access persons of FWG owe a fiduciary duty to its clients. This duty includes the obligation to conduct their personal securities transactions in a manner that does not interfere with the transactions of any client or otherwise to take unfair advantage of their relationship with clients.</p> <p>In furtherance of these goals, FWG has adopted several policies and procedures governing personal securities transactions by persons who have knowledge of pending securities transactions for FWG client accounts (“access persons”). These policies are designed to ensure that clients of FWG are treated fairly and equitable, and that FWG upholds its obligations to its clients. Each access person must receive prior approval for opening a personal securities account and report securities transactions to the firm on a monthly basis. Prior to making an equity securities trade, an access person generally must clear the trade with the firm. Certain securities trades made by access persons may not be made until after all pending FWG client transactions in the same security have been completed. Access persons are required to direct broker-dealers where they maintain accounts to send duplicate confirmations and account statements to FWG.</p> <p>FWG periodically reviews the trades of access persons and takes other actions seeking to detect any violations of FWG’s code of ethics and insider trading policies and procedures. Employees who commit violations are subject to a variety of sanctions, including monetary penalties, suspension or termination.</p> <p>FWG has also adopted procedures designed to prevent employees from committing prohibited insider trading. Employees in possession of material, nonpublic information may not trade in securities to which the information relates or tip such information to others. In certain instances, the firm will employ information blocking devices (e.g., "Chinese Walls"), watch lists, and restricted lists as a means of preventing illegal insider trading.</p> <p>Employees of FWG may invest in the same securities as clients of FWG, including related securities such as options and derivatives. In addition, employees may have an interest or position in certain securities that may</p>

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ITEM 11 Review of Accounts	<p>also be recommended to a client. Such positions present a conflict of interest between personnel of FWG and clients. FWG addresses this conflict through the procedures described above, which are designed to ensure that no client is disadvantaged in any way by trades of FWG.</p> <p>FWG's philosophy behind our code of ethics is to emphasize the importance of the firm's reputation, as well as principals of honesty, integrity, and professionalism, which include our overarching fiduciary duty to clients and the obligation of firm personnel to uphold that fundamental duty.</p> <p>Financial West Group will provide a copy of the code of ethics to any client or prospective client upon request.</p> <p>REVIEW OF ACCOUNTS Advisory Representatives of FWG are required to contact their clients at least quarterly and meet with them at least annually to review the performance of the client's advisory account and any changes in the client's financial goals or profile. Clients receive confirmations of all transactions and account statements from their respective clearing firms. Clients will receive performance statements from FWG at least annually. Advisory Representatives or home office personnel at FWG are available during business hours to answer questions or other inquiries of clients.</p>
ITEM 13 Additional Compensation	<p>ADDITIONAL COMPENSATION FWG receives referral fees from certain independent money managers to whom FWG refers its clients. In addition, FWG has revenue sharing arrangements with certain independent money managers to whom it refers its clients, under which the independent money manager agrees to share a portion of its fee to FWG. All referral arrangements are made under written agreements with each party involved, and every client who is referred from or to FWG will receive a disclosure statement regarding the referral and the amount of the referral fee.</p> <p>PRIVACY POLICY: FWG has adopted a privacy policy designed to protect its client's non-public personal and financial information. The privacy policy explains the manner in which FWG and its affiliates collect, utilize and maintain nonpublic personal information about its clients, as required by federal regulation.</p> <p>FWG collects personal information about its clients through a variety of sources. Neither FWG or its affiliates will sell, license or rent client information. Non-public client information will not be disclosed to unaffiliated third parties or to affiliated entities, except as permitted by law or as necessary to perform its obligations to its client. For example, FWG or an affiliate may share nonpublic personal information in the following situations:</p> <ul style="list-style-type: none"> • To service providers in connection with the administration and servicing of the client's advisory account(s); • To respond to a subpoena or court order, judicial process or regulatory authorities; • To protect against fraud, unauthorized transactions (such as money laundering), claims or other liabilities; and • Upon consent of a client to release such information, including authorization to disclose such information to persons acting in a fiduciary or representative capacity on behalf of the client.

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	<p>FWG maintains safeguards designed to protect client information. FWG and its affiliates restrict access to the personal and account information of clients to those employees who need to know that information in the course of their job responsibilities. Third parties with whom FWG share client information, including Outside Advisers, must agree to follow appropriate standards of security and confidentiality. FWG will not make any changes to its privacy policy affecting clients without providing advance notice to its clients.</p>

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