

**Note: Financial West Group sends certain equity orders to market centers during normal business hours. Certain market centers may provide payment to Financial West Group depending upon the characteristics.**

**KWA**  
**FINANCIAL WEST GROUP**  
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**SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2008**

**Securities Listed on NYSE Euronext**

**Summary Statistics:**

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	70.42%
Limit orders as percentage of total non-directed orders	22.75%
Other orders as percentage of total non-directed orders	6.83%

**Venues Receiving Significant Percentage of Total Non-Directed Orders :**

1. Knight Capital Markets, L.L.C.	57.16%
2. Automated Trading Desk Financial Services, L.L.C.	15.97%
3. Citadel Derivatives Group, L.L.C.	8.82%
4. Madoff (Bernard L.) Investment Securities, L.L.C.	6.72%
5. UBS Securities, L.L.C.	5.16%
6. NYSE Euronext	2.68%
7. Park Financial Group, Inc.	1.50%
8. National Financial Services L.L.C.	1.23%
9. Financial West Group	0.71%
10. The Chicago Board Options Exchange	0.01%

**Information Concerning Significant Venues :**

1. Knight Capital Markets, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	57.83%
Limit orders as percentage of total limit orders	49.78%
Other orders as percentage of total other orders	74.76%

2. Automated Trading Desk Financial Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	15.74%
Limit orders as percentage of total limit orders	16.64%
Other orders as percentage of total other orders	16.08%

3. Citadel Derivatives Group, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	9.19%
	Limit orders as percentage of total limit orders	8.88%
	Other orders as percentage of total other orders	4.82%
4. Madoff (Bernard L.) Investment Securities, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	5.61%
	Limit orders as percentage of total limit orders	11.43%
	Other orders as percentage of total other orders	2.41%
5. UBS Securities, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	5.03%
	Limit orders as percentage of total limit orders	6.51%
	Other orders as percentage of total other orders	1.93%
6. NYSE Euronext		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	1.93%
	Limit orders as percentage of total limit orders	5.79%
	Other orders as percentage of total other orders	0.00%
7. Park Financial Group, Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	2.13%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
8. National Financial Services L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	1.45%
	Limit orders as percentage of total limit orders	0.92%
	Other orders as percentage of total other orders	0.00%
9. Financial West Group		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	1.01%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
10. The Chicago Board Options Exchange		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	0.02%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%

## Securities Listed on The Nasdaq Stock Market

### Summary Statistics :

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	67.81%
Limit orders as percentage of total non-directed orders	25.04%
Other orders as percentage of total non-directed orders	7.15%

### Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Knight Equity Markets, L.P.	29.41%
2. Automated Trading Desk Financial Services, L.L.C.	23.02%
3. UBS Securities, L.L.C.	21.97%
4. Citadel Derivatives Group, L.L.C.	14.44%
5. Madoff (Bernard L.) Investment Securities, L.L.C.	4.46%
6. Citigroup Global Markets, Inc.	2.13%
7. National Financial Services L.L.C.	1.43%
8. Financial West Group	1.30%
9. Park Financial Group, Inc.	0.90%
10. Natixis Bleichroeder, Inc.	0.81%

### Information Concerning Significant Venues :

#### 1. Knight Equity Markets, L.P.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	26.05%
Limit orders as percentage of total limit orders	29.99%
Other orders as percentage of total other orders	59.25%

#### 2. Automated Trading Desk Financial Services, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	26.64%
Limit orders as percentage of total limit orders	14.59%
Other orders as percentage of total other orders	18.18%

#### 3. UBS Securities, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	17.75%
Limit orders as percentage of total limit orders	34.38%
Other orders as percentage of total other orders	18.50%

#### 4. Citadel Derivatives Group, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	15.80%
Limit orders as percentage of total limit orders	13.79%
Other orders as percentage of total other orders	3.76%

#### 5. Madoff (Bernard L.) Investment Securities, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.29%
Limit orders as percentage of total limit orders	3.40%
Other orders as percentage of total other orders	0.31%

6. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.71%
Limit orders as percentage of total limit orders	1.16%
Other orders as percentage of total other orders	0.00%

7. National Financial Services L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.98%
Limit orders as percentage of total limit orders	0.36%
Other orders as percentage of total other orders	0.00%

8. Financial West Group

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.92%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Park Financial Group, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.32%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. Natixis Bleichroeder, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.33%
Limit orders as percentage of total limit orders	2.33%
Other orders as percentage of total other orders	0.00%

## Securities Listed on The American Stock Exchange or Regional Exchanges

### Summary Statistics :

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	60.67%
Limit orders as percentage of total non-directed orders	33.86%
Other orders as percentage of total non-directed orders	5.46%

### Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Knight Capital Markets, L.L.C.	50.79%
2. Citadel Derivatives Group, L.L.C.	13.25%
3. UBS Securities, L.L.C.	9.72%
4. Automated Trading Desk Financial Services, L.L.C.	8.87%
5. Madoff (Bernard L.) Investment Securities, L.L.C.	6.43%
6. Archipelago Trading Services, Inc.	6.35%
7. Financial West Group	1.63%
8. American Stock Exchange	1.12%
9. Park Financial Group, Inc.	0.74%
10. NYSE ARCA	0.46%

### Information Concerning Significant Venues :

#### 1. Knight Capital Markets, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	44.00%
Limit orders as percentage of total limit orders	60.98%
Other orders as percentage of total other orders	63.12%

#### 2. Citadel Derivatives Group, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	16.35%
Limit orders as percentage of total limit orders	7.32%
Other orders as percentage of total other orders	15.60%

#### 3. UBS Securities, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.03%
Limit orders as percentage of total limit orders	4.00%
Other orders as percentage of total other orders	8.51%

#### 4. Automated Trading Desk Financial Services, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.83%
Limit orders as percentage of total limit orders	17.62%
Other orders as percentage of total other orders	10.64%

#### 5. Madoff (Bernard L.) Investment Securities, L.L.C.

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.92%
Limit orders as percentage of total limit orders	4.69%
Other orders as percentage of total other orders	0.71%

6. Archipelago Trading Services, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.71%
Limit orders as percentage of total limit orders	1.37%
Other orders as percentage of total other orders	0.00%

7. Financial West Group

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.68%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

8. American Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.45%
Limit orders as percentage of total limit orders	2.29%
Other orders as percentage of total other orders	1.42%

9. Park Financial Group, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.21%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. NYSE ARCA

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	1.37%
Other orders as percentage of total other orders	0.00%

## Exchange - Listed Options

### Summary Statistics :

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	33.07%
Limit orders as percentage of total non-directed orders	66.86%
Other orders as percentage of total non-directed orders	0.07%

### Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. The Chicago Board Options Exchange	40.01%
2. The Philadelphia Stock Exchange	29.48%
3. The International Securities Exchange	16.98%
4. NYSE ARCA	6.76%
5. The Boston Option Exchange	3.11%
6. Goldman, Sachs & Co.	2.29%
7. American Stock Exchange	0.65%
8. Nasdaq Options Market	0.51%
9. Citigroup Global Markets, Inc.	0.10%
10. Nasdaq Execution Services, L.L.C.	0.07%

### Information Concerning Significant Venues :

#### 1. The Chicago Board Options Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	43.49%
Limit orders as percentage of total limit orders	38.22%
Other orders as percentage of total other orders	100.00%

#### 2. The Philadelphia Stock Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	28.10%
Limit orders as percentage of total limit orders	30.20%
Other orders as percentage of total other orders	0.00%

#### 3. The International Securities Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	10.64%
Limit orders as percentage of total limit orders	20.13%
Other orders as percentage of total other orders	0.00%

#### 4. NYSE ARCA

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.79%
Limit orders as percentage of total limit orders	7.26%
Other orders as percentage of total other orders	0.00%

#### 5. The Boston Option Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.27%
Limit orders as percentage of total limit orders	2.04%
Other orders as percentage of total other orders	0.00%

6. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.93%
Limit orders as percentage of total limit orders	1.48%
Other orders as percentage of total other orders	0.00%

7. American Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.45%
Limit orders as percentage of total limit orders	0.26%
Other orders as percentage of total other orders	0.00%

8. Nasdaq Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.24%
Limit orders as percentage of total limit orders	0.15%
Other orders as percentage of total other orders	0.00%

9. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.10%
Limit orders as percentage of total limit orders	0.10%
Other orders as percentage of total other orders	0.00%

10. Nasdaq Execution Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	0.10%
Other orders as percentage of total other orders	0.00%