

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 December 31, 2009

Securities Listed on New York Stock Exchange

Summary Statistics :

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	73.89%
Limit orders as percentage of total non-directed orders	15.43%
Other orders as percentage of total non-directed orders	10.69%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Knight Capital Markets, L.L.C.	37.00%
2. UBS Securities, L.L.C.	15.81%
3. Automated Trading Desk Financial Services, L.L.C.	14.32%
4. Citadel Derivatives Group LLC	11.67%
5. National Financial Services, L.L.C.	10.65%
6. Citigroup Global Markets, Inc.	3.71%
7. Financial West Group	3.07%
8. Seaboard Securities, Inc.	1.71%
9. Goldman, Sachs & Co.	0.59%
10. BATS Trading, Inc.	0.47%

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	34.64%
Limit orders as percentage of total limit orders	37.26%
Other orders as percentage of total other orders	52.93%

2. UBS Securities, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	16.32%
Limit orders as percentage of total limit orders	15.24%
Other orders as percentage of total other orders	13.08%

3. Automated Trading Desk Financial Services, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	11.58%
	Limit orders as percentage of total limit orders	15.66%
	Other orders as percentage of total other orders	31.30%
4. Citadel Derivatives Group LLC		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	12.32%
	Limit orders as percentage of total limit orders	14.73%
	Other orders as percentage of total other orders	2.69%
5. National Financial Services, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	12.45%
	Limit orders as percentage of total limit orders	9.40%
	Other orders as percentage of total other orders	0.00%
6. Citigroup Global Markets, Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	4.86%
	Limit orders as percentage of total limit orders	0.76%
	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	4.15%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
8. Seaboard Securities, Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	2.32%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
9. Goldman, Sachs & Co.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	0.80%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
10. BATS Trading, Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	0.04%
	Limit orders as percentage of total limit orders	2.88%
	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	58.40%
Limit orders as percentage of total non-directed orders	22.04%
Other orders as percentage of total non-directed orders	19.56%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Knight Equity Markets, L.P.	34.21%
2. UBS Securities, L.L.C.	22.19%
3. Citadel Derivatives Group LLC	15.25%
4. Automated Trading Desk Financial Services, L.L.C.	9.15%
5. National Financial Services, L.L.C.	8.92%
6. Financial West Group	2.62%
7. Citigroup Global Markets, Inc.	2.57%
8. Seaboard Securities, Inc.	1.87%
9. NYSE Arca	1.43%
10. BATS Trading, Inc.	0.80%

Information Concerning Significant Venues :

1. Knight Equity Markets, L.P.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	29.09%
Limit orders as percentage of total limit orders	27.46%
Other orders as percentage of total other orders	57.08%

2. UBS Securities, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	20.89%
Limit orders as percentage of total limit orders	23.29%
Other orders as percentage of total other orders	24.81%

3. Citadel Derivatives Group LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	19.24%
Limit orders as percentage of total limit orders	17.19%
Other orders as percentage of total other orders	1.17%

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

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.81%
Limit orders as percentage of total limit orders	5.80%
Other orders as percentage of total other orders	16.93%

5. National Financial Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.94%
Limit orders as percentage of total limit orders	14.14%
Other orders as percentage of total other orders	0.00%

6. Financial West Group

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.49%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.99%
Limit orders as percentage of total limit orders	1.12%
Other orders as percentage of total other orders	0.00%

8. Seaboard Securities, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.20%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. 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	6.47%
Other orders as percentage of total other orders	0.00%

10. BATS Trading, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.06%
Limit orders as percentage of total limit orders	3.50%
Other orders as percentage of total other orders	0.00%

Securities Listed on NYSE Amex 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	53.54%
Limit orders as percentage of total non-directed orders	21.65%
Other orders as percentage of total non-directed orders	24.81%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Knight Capital Markets, L.L.C.	35.19%
2. UBS Securities, L.L.C.	22.95%
3. Automated Trading Desk Financial Services, L.L.C.	18.11%
4. Citadel Derivatives Group LLC	11.68%
5. National Financial Services, L.L.C.	7.47%
6. Citigroup Global Markets, Inc.	1.26%
7. Financial West Group	0.95%
8. BATS Trading, Inc.	0.88%
9. NYSE Arca	0.53%
10. Seaboard Securities, Inc.	0.49%

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	26.80%
Limit orders as percentage of total limit orders	43.92%
Other orders as percentage of total other orders	45.69%

2. UBS Securities, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	30.34%
Limit orders as percentage of total limit orders	18.15%
Other orders as percentage of total other orders	11.17%

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

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	16.12%
Limit orders as percentage of total limit orders	11.35%
Other orders as percentage of total other orders	28.29%

4. Citadel Derivatives Group LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	12.32%
Limit orders as percentage of total limit orders	6.48%
Other orders as percentage of total other orders	14.85%

5. National Financial Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	10.55%
Limit orders as percentage of total limit orders	8.43%
Other orders as percentage of total other orders	0.00%

6. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.52%
Limit orders as percentage of total limit orders	4.54%
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	1.77%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

8. BATS Trading, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	4.05%
Other orders as percentage of total other orders	0.00%

9. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.13%
Limit orders as percentage of total limit orders	2.11%
Other orders as percentage of total other orders	0.00%

10. Seaboard Securities, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.92%
Limit orders as percentage of total limit orders	0.00%
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	35.52%
Limit orders as percentage of total non-directed orders	64.35%
Other orders as percentage of total non-directed orders	0.13%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. The Chicago Board Options Exchange	40.50%
2. NASDAQ OMX PHLX	16.52%
3. The International Securities Exchange	15.86%
4. NYSE Arca Options	12.24%
5. NYSE Amex Options	8.79%
6. Nasdaq Execution Services, L.L.C.	3.74%
7. The Boston Option Exchange	1.46%
8. Other	0.82%
9. National Financial Services, L.L.C.	0.06%

Information Concerning Significant Venues :

1. The Chicago Board Options Exchange	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	39.82%
Limit orders as percentage of total limit orders	40.76%
Other orders as percentage of total other orders	100.00%
2. NASDAQ OMX PHLX	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	12.59%
Limit orders as percentage of total limit orders	18.73%
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	13.04%
Limit orders as percentage of total limit orders	17.45%
Other orders as percentage of total other orders	0.00%
4. NYSE Arca Options	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	6.88%
Limit orders as percentage of total limit orders	15.23%
Other orders as percentage of total other orders	0.00%
5. NYSE Amex Options	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	14.73%
Limit orders as percentage of total limit orders	5.52%
Other orders as percentage of total other orders	0.00%

6. Nasdaq Execution Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.75%
Limit orders as percentage of total limit orders	0.99%
Other orders as percentage of total other orders	0.00%

7. The Boston Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.95%
Limit orders as percentage of total limit orders	0.64%
Other orders as percentage of total other orders	0.00%

8. Other

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.07%
Limit orders as percentage of total limit orders	0.69%
Other orders as percentage of total other orders	0.00%

9. National Financial Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.18%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%