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January 25, 2022

RE: Annual notice of compliance with the Investment Adviser Act of 1940

To Whom it May Concern:

As you are aware, Rule 206(4)-3 of the Investment Advisers Act of 1940 (the “Cash Solicitation Rule”), requires that all firms and their associated persons who are compensated for introducing clients to The Pacific Financial Group, Inc. (“TPFG”), be registered under the Act, provide services pursuant to a written agreement, and remain in good standing, free of any disqualifications.

In addition, firms such as yours have a duty to supervise its associated persons to ensure among other things, that the services provided to its clients are in accordance with the adviser’s fiduciary duty, firm policy, and the Advisers Act. These obligations include confirming at least annually that the services provided are appropriate based on the adviser’s knowledge and understanding of the client’s investment needs and objectives.

To further evaluate its compliance with the Cash Solicitation Rule, TPFG is requesting you provide any information pertaining to any pending or foreseeable events that could otherwise prohibit or impede our ability to work with your firm. Please respond within 30 days of the date of this letter with any information that TPFG should be aware of. If we do not receive a response, we will assume you are in compliance with the Act. Additionally, please complete the attached contact form to ensure that our contact information for your firm is up to date. Please return the contact form and any reportable information to:

Email: nationalaccounts@tpfg.com
Mail: The Pacific Financial Group, Inc.
ATTN: Compliance
11624 SE 5th St
Suite 100
Bellevue, WA 98005

For additional information about TPFG to include its most recent ADV, please follow this link (<https://www.tpfg.com/due-diligence-library>) to our Due Diligence materials.

TPFG appreciates our continued partnership and the privilege to provide investment solutions to your clients. Should you have any questions about this correspondence, please contact the undersigned or email nationalaccounts@tpfg.com.

Sincerely,

Priscilla Awad
Compliance Officer