

**Mary L. Patch, QKA, CPFA**  
Managing Member/Chief Compliance Officer

**Williams Group, LLC**

4871 Camelot Dr.  
Dubuque, IA 52002

Phone: (563) 599-2666

**May 2, 2017**

**Form ADV Part 2B – Brochure Supplement**

This Brochure Supplement provides information about Mary L. Patch that supplements the Williams Group, LLC ("Williams Group") Brochure. You should have received a copy of that Brochure. Please contact our office at (563) 599-2666 if you did not receive Williams Group's Brochure or if you have any questions about the contents of this supplement.

Additional information about Mary L. Patch is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

### **Mary L. Patch, QKA, CPFA**

*Year of Birth:* 1966

*Formal Education after High School:*

- Loras College, Attended, 1989 – 1991.
- Loras College, B.A., History, 1989.

*Business Background for the Previous Five Years:*

- Williams Group, LLC, Managing Member/Chief Compliance Officer, 03/2017 – Present
- Patch Retirement Plan Solutions, LLC, Owner/Consultant, 10/2016 – Present
- Kestra Financial, Advisory Representative, 08/2014 – 03/2017
- Trademark Capital Management Inc., Advisory Representative, 01/2012 – 08/2014
- Steel Capital Management, Director, 07/200 – 01/2012

*Professional Designations:*

### **Qualified 401(k) Administrator (QKA)**

**Minimum qualification:** 2 years relevant experience and successfully passing 4 exams, some of which are open book, and others are proctored. Must also be a member of the ASPPA and provide letters of reference from any party confirming the relevant work experience was performed.

**Issuing institution:** American Society of Pension Professionals & Actuaries

**Issuing institution Website:** [www.asppa.org](http://www.asppa.org)

**Continuing Education Requirements:** 40 hours every 2 years and continued membership in the ASPPA.

### **Certified Plan Fiduciary Advisor (CPFA)**

**Minimum qualification:** Completion of the Certified Plan Fiduciary Advisor (CPFA) examination. Final certification exam is proctored, closed book. No specific experience level is required. Existing Qualified Plan Financial Consultant (QPFC) designation holders will be grandfathered to the CPFA credential.

**Issuing institution:** National Association of Plan Advisors

**Issuing institution Website:** [napacpfa.org](http://napacpfa.org)

**Continuing Education Requirements:** 20 CE credits every two-year cycle. Two (2) of the 20 CE credits must be on ethics/professionalism topics. For more information, visit <http://www.napa-net.org/education/continuingeducation>

## Item 3 - Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Ms. Patch and Williams Group. Ms. Patch has not been involved in any reportable disciplinary events.

## Item 4 - Other Business Activities

Ms. Patch is also the owner of Patch Retirement Plan Solutions, LLC, a consulting firm that assists advisors, consultants, and plan sponsors assess, improve, and enhance retirement plans. The services offered by and the

fees charged by Patch Retirement Plan Solutions, LLC are separate and distinct from the advisory services offered by and the advisory fees charged by Williams Group. Clients are not obligated to utilize the services of Patch Retirement Solutions, LLC and/or Williams Group. It is anticipated that certain clients of Patch Retirement Plan Solutions, LLC, may become clients of Williams Group and vice versa. Williams Group does not share in any fees paid to Patch Retirement Solutions, LLC or vice versa, but Ms. Patch has a financial incentive to recommend the services offered through affiliated entities. Comparable services may be available through unaffiliated firms for a higher or lower fee.

Ms. Patch anticipates spending approximately 50% of her professional time in her capacities with Patch Retirement Solutions, LLC and approximately 50% of her professional time in her capacities with Williams Group.

#### Item 5 - Additional Compensation

Please refer to the *Other Business Activities* section above for disclosures regarding Ms. Patch's receipt of additional compensation because of her other business activities. Apart from the receipt of additional compensation related to those activities, she does not receive additional compensation or economic benefits from third party sources in connection with her advisory activities.

#### Item 6 - Supervision

Ms. Patch, Managing Member and Chief Compliance Officer, is the sole investment adviser representative of Williams Group. In this role, she is responsible for making investment decisions for the firm and for monitoring investment portfolios.

Williams Group has implemented a Code of Ethics and an internal compliance program that guides each Associated Person in meeting their fiduciary obligations to clients. Ms. Patch adheres to Williams Group's Code of Ethics and compliance manual as mandated. Ms. Patch is also the Chief Compliance Officer of Williams Group and is responsible for the implementation of the firm's compliance program. Clients may contact Ms. Patch at the phone number listed on the cover of this Brochure Supplement to obtain a copy of Williams Group's Code of Ethics.

Additionally, Williams Group is subject to regulatory oversight by various agencies. These agencies require registration by Williams Group and certain individuals associated with Williams Group. As a registered entity, Williams Group is subject to examinations by regulators, which may be announced or unannounced. Williams Group is required to update periodically the information provided to these agencies and to provide various reports regarding firm business and assets under management.

#### Item 7 - Requirements for State-Registered Advisers

**This Item is not applicable because our firm is SEC registered.**