IAPD Report

PATRICK STEPHEN WILLIAMS

CRD# 1217117

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

PATRICK STEPHEN WILLIAMS (CRD# 1217117)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	01/03/2006
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	05/11/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	ING FINANCIAL PARTNERS, INC.	2882	WINDSOR, CT	12/03/2002 - 12/31/2005
B	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN	08/23/1990 - 12/02/2002
B	C.R.I. SECURITIES, INC.	22589	ST. PAUL, MN	09/21/1988 - 12/02/2002

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 283330

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	10/24/2018
IA	Minnesota	Investment Adviser Representative	Approved	05/11/2018

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
4440 PGA BLVD
#600
Palm Beach Gardens, FL 33410

KESTRA ADVISORY SERVICES, LLC
NORTH PALM BEACH, FL

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/03/2006
B	California	Agent	Approved	12/18/2009
B	Florida	Agent	Approved	04/09/2013
B	Michigan	Agent	Approved	04/16/2007

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	01/03/2006
B	New Hampshire	Agent	Approved	04/09/2013
B	Ohio	Agent	Approved	07/27/2010
B	Texas	Agent	Approved	05/19/2016

Branch Office Locations

NFP ADVISOR SERVICES, LLC
4440 PGA BLVD. #600
PALM BEACH GARDENS, FL 33410

NFP ADVISOR SERVICES, LLC
NORTH PALM BEACH, FL

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/11/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/03/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	12/03/2002 - 12/31/2005	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	08/23/1990 - 12/02/2002	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
B	09/21/1988 - 12/02/2002	C.R.I. SECURITIES, INC.	CRD# 22589	ST. PAUL, MN
B	09/12/1985 - 09/21/1988	CONSOLIDATED RESOURCES, INC.	CRD# 13747	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2017 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PALM BEACH GARDEN, FL, United States
01/2006 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDEN, FL, United States
12/2002 - Present	WASHINGTON SQUARE SECURITIES, INC	REGISTERED REP	Y	MINNETONKA, MN, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Business Name: Honda Ambassadors Investment Related: No Address: 631 US Hwy One Suite 410 North Palm Beach FL 33418 Nature of Business: Community/Charitable/Civic   Position, Title or Relationship: Member Start Date: 10/1/2014 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Financial contribution of $2,500 personally

Business Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC   Position, Title or Relationship: Investment Advisor Representative Start Date: 4/4/2016 Hours per month: Up to 100% (0 to 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory services

Business Name: Global PNF, Inc dba Williams Group Investment Related: Yes Address: 4440 PGA Blvd Suite 600 Palm Beach Gardens FL 33410 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: President Start Date: 1/1/2013 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: Marketing

Business Name: Cartoons for Sale Investment Related: No Address: 4440 Pga Blvd, Ste 600 Palm Beach Gardens FL 33410 Nature of Business: Other Other/None of the Above I create cartoons for marketing purposes Position, Title or Relationship: President Start Date: 10/14/2019 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: I create cartoons for marketing purposes

Business Name: OneVision Analytics, LLC Investment Related: No Address: 4440 Pga Blvd, Ste 600 Palm Beach Gardens FL 33410 Nature of Business: Consulting Position, Title or Relationship: Consultant/President Start Date: 9/30/2021 Hours per month: 41% - 50% (65 - 80 hours) Hours per month during trading hours: 41% - 50% (57 - 70 hours) Duties: Manage relationships, establish goals, manage process, create ecosystem,

Business Name: FIDUCIARY IN A BOX POSITION: Co Founder NATURE: SaaS Technology INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 10/16/2023 ADDRESS: 286 Broad Street, Red Bank NJ 07701 DESCRIPTION: Business development

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/24/2018
Docket/Case Number:	90251-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Kestra Advisory Services, LLC
Product Type:	No Product
Allegations:	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/24/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$25,000.00
Portion Levied against individual:	$25,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/24/2018
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On 10/24/2018, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Patrick S. Williams. Mr. Williams accepts, consents and agrees, prior to a hearing and without an adjudication of any issue of law or fact, to the findings of the Office. The Office found that Patrick S. Williams engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida, pursuant to section 517.12(4), F. S. Mr. Williams agreed to cease and desist from all present and future violations of Chapter 517, F. S. and the administrative rules thereunder; and to pay an administrative fine in the amount of $25,000. The Office agreed to approve Patrick S. Williams' application as an associated person (RA) with Kestra Advisory Services, LLC effective 10/24/2018.

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Florida, Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/24/2018
Docket/Case Number:	90251-SR
Employing firm when activity occurred which led to the regulatory action:	Kestra Advisory Services, LLC
Product Type:	No Product
Allegations:	Alleged violation of subsection 517.12 (4), Florida Statutes, by rendering investment advice from a location in the state, without being registered by the office as an associated person of a federal covered adviser.
Current Status:	Final
Resolution:	Stipulation and Consent and Approval for Application of Registration
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	10/24/2018
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$25,000.00
Portion Levied against individual:	$25,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/24/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I did not intentionally or knowingly provide investment advisory services in Florida without being registered. Rather, it was my good-faith belief that I was either properly registered in Florida at all relevant times, or that such additional registration was not required under the "grandfather" provisions of the registration rule following my relocation to Florida. My registered investment advisor, Kestra Advisory, acknowledged that my lack of Florida registration was due to an oversight on its part, and the firm paid the administrative fine without any contribution from me.

 Report about PATRICK STEPHEN WILLIAMS.

End of Report

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