



## Patrick J. Walsh

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2B Supplemental Brochure

The Brochure Supplement provides information about Patrick Walsh that supplements Siena Capital, LLC, DBA Oxford Financial Partners, LLC's Brochure. You should have received a copy of the Brochure. Please contact Patrick J. Walsh, Chief Compliance Officer, if you did not receive Oxford Financial Partners, LLC's brochure or if you have any questions about the contents of this supplement. Mr. Walsh can be reached at 513-469-7014 or [pat@oxfordfp.com](mailto:pat@oxfordfp.com).

Additional information about Patrick Walsh is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Information can be accessed by using CRD# 5412738.

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Patrick Walsh

Born: 1984

Post-Secondary Education:

- Miami University – Finance Degree (2007)
- Successfully completed the Investment Company Products/Variable Contracts Representative (Series 6), General Securities Representative (Series 7), and Uniform Combined State Law Examination (Series 66)
- Insurance Licenses: Life, Accident, Health, Variable Annuities
- Certified Financial Planner (CFP®)

\*Minimum Qualifications for the Certified Financial Planner (CFP®) Designation

Accredited by the National Commission for Certifying Agencies, this designation is issued by the Certified Financial Planner Board of Standards, Inc. (CFPBS) and is granted to individuals who meet the following prerequisites: (1) meet the education requirement, (2) possess a bachelor's degree from an accredited college or university, (3) pass the CFP® Certification Examination, (4) have at least three years of full-time work experience in personal financial planning, and (5) pass the CFPBS Fitness Standards for Candidates and Registrants and Background Check. The education requirement can be met by completing a CFPBS registered education program or by applying for challenge status based on certain degrees or credentials. Once the initial CFP® designation is issued, the CFP® holder is required to complete 30 hours of continuing education every two years and must meet other standards administered by the CFPBS.

Recent Business Experience:

- 2010-present – Oxford Financial Partners, Associate Planner, Investment Adviser Representative
- 2010-2016 – Lincoln Financial Advisors Corp, Registered Representative

## ITEM 3 - DISCIPLINARY INFORMATION

Mr. Walsh has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mr. Walsh to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Mr. Walsh that is not included in this brochure supplement. (<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

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#### ITEM 4 - OTHER BUSINESS ACTIVITIES

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Mr. Walsh holds an insurance license and will continue to keep his insurance licenses, and keep up with insurance Continuing Education. However, he no longer accepts commissions on insurance or annuities. This applies to both future and existing cases. All insurance cases will be outsourced.

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#### ITEM 5 - ADDITIONAL COMPENSATION

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Mr. Walsh does not receive any economic benefit for providing advisory services beyond the scope of Oxford Financial Partners, LLC.

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#### ITEM 6 - SUPERVISION

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Mr. Walsh is supervised by Mr. Erik Christman. The Oxford Financial Partners' compliance program is designed to prevent and detect violations of the federal and state securities laws. Mr. Walsh is the Chief Compliance Officer who is responsible for administering the policies and procedures. Mr. Walsh reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

**For further information, please contact:**

Mr. Erik Christman  
513-469-7014  
[erik@oxfordfp.com](mailto:erik@oxfordfp.com)