



The Patten Group, Inc.

Form ADV Part 2A – Disclosure Brochure

Effective: September 4, 2019

This Form ADV Part 2A (“Disclosure Brochure”) provides information about the qualifications and business practices of The Patten Group, Inc. (“TPG” or the “Advisor”). If you have any questions about the contents of this Disclosure Brochure, please contact us at (423) 531-0360.

TPG is a registered investment advisor with the U.S. Securities and Exchange Commission (“SEC”). The information in this Disclosure Brochure has not been approved or verified by the SEC or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Disclosure Brochure provides information through TPG to assist you in determining whether to retain the Advisor.

Additional information about TPG and its Advisory Persons is available on the SEC’s website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 168255.

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Item 2 – Material Changes

Form ADV 2 is divided into two parts: *Part 2A (the "Disclosure Brochure")* and *Part 2B (the "Brochure Supplement")*. The Disclosure Brochure provides information about a variety of topics relating to an Advisor's business practices and conflicts of interest. The Brochure Supplement provides information about Advisory Persons of TPG. For convenience, we have combined these documents into a single disclosure document.

TPG believes that communication and transparency are the foundation of its relationship with Clients and will continually strive to provide its Clients with complete and accurate information. TPG encourages all current and prospective Clients to read this Disclosure Brochure and discuss any questions you may have with us. And of course, we always welcome your feedback.

Material Changes

The following material changes have been made to this Disclosure Brochure since the last filing and distribution to Clients:

- The Advisor has terminated its relationship with a back office service provider.
- The Advisor offers reporting-only and stand-alone financial planning services. Please see Item 4 and 5.

Future Changes

From time to time, we may amend this Disclosure Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by the securities regulators. This complete Disclosure Brochure or a Summary of Material Changes shall be provided to each Client annually and if a material change occurs.

At any time, you may view the current Disclosure Brochure on-line at the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 168255. You may also request a copy of this Disclosure Brochure at any time, by contacting us at (423) 531-0360.

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Item 4 – Advisory Services

A. Firm Information

The Patten Group, Inc. (“TPG” or the “Advisor”) is a registered investment advisor with the U.S. Securities and Exchange Commission (“SEC”), which is organized as a corporation under the laws of the State of Tennessee. TPG was founded in March 2014 and is owned and operated by Z. Cartter Patten, III (Chief Executive Officer). This Disclosure Brochure provides information regarding the qualifications, business practices, and the advisory services provided by TPG.

B. Advisory Services Offered

TPG provides investment management services to individuals, high net worth individuals, families, trusts, estates, pension and profit sharing plans, endowments, foundations, charitable organizations, corporations and small businesses (each referred to as a “Client”).

The Advisor serves as a fiduciary to Clients, which means the Advisor has a fundamental obligation to act in the best interests of Clients and to provide investment advice in Clients’ best interests. As a fiduciary, the Advisor upholds a duty of loyalty, fairness and good faith towards each Client and seeks to mitigate potential conflicts of interest. Our fiduciary commitment is further described in our Code of Ethics. For more information regarding our Code of Ethics, please see Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading.

Wealth Management Services

TPG provides Clients with customized wealth advisory solutions and tailors its advisory services to the individual needs of the Client based on the goals, risk and return objectives, size and complexity of the Client’s financial situation. As part of these services, the Advisor may provide financial planning services in addition to investment management services as part of a comprehensive wealth management solution.

Investment Management Services – TPG provides customized investment advisory solutions for its Clients either as a component of wealth management or pursuant to a stand-alone investment management agreement. Typically, Clients engage TPG for investment management services on a discretionary basis. Discretionary management is a form of investment management where decisions to buy and/or sell securities in a Client’s portfolio are made without Client consent for each transaction. On a limited basis, the Advisor may accept investment management relationships on a non-discretionary basis.

TPG continuously seeks to ensure that client portfolios are managed in a manner consistent with their respective investment profiles. TPG consults with the Client at first signing of the investment management agreement during the initial onboarding process as well as on a continuous basis to determine the Client’s specific risk tolerance, time horizon, liquidity constraints and other qualitative factors relevant to the management of the Client’s portfolio. Clients are advised to promptly notify the Advisor if there are any changes in their financial situation or if they wish to place any limitations on the management of their portfolios. Clients may impose reasonable restrictions or mandates on the management of their account[s] if TPG determines, in their sole discretion, the conditions would not materially impact the performance of a management strategy or prove overly burdensome to the Advisor’s management efforts.

TPG will typically construct investment portfolios utilizing individual equity securities, individual fixed income securities, mutual funds, exchange traded funds (“ETFs”), and options. TPG may utilize other types of investments as appropriate for a particular Client.

In addition, TPG may utilize various investment models for Client portfolios depending on their financial circumstances and investment needs. The models will utilize the same types of securities that are used in constructing Client investment portfolios.

TPG also advises Clients on certain investment products that are not maintained at the primary Custodian, such as assets included in an employer-sponsored retirement plan (i.e. 401k plans and 403(b) plans), qualified tuition

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plan (i.e. 529 plan), and/or variable life insurance and annuity products. For these held-away assets, TPG directs or recommends the allocation of Client assets among the available investment options. The Advisor will typically have the discretionary authority to place trades, rebalance and allocate contributions within these accounts. As such, TPG is deemed to have custody of these assets. Please see Item 15 for additional information.

TPG's investment strategy is primarily long-term focused, but the Advisor may buy, sell or re-allocate positions that have been held less than one year to meet the objectives of the Client or due to market conditions. TPG will construct, implement and monitor the portfolio to ensure it meets the goals, objectives, circumstances, and risk tolerance agreed to by the Client. Each Client will have the opportunity to place reasonable restrictions on the types of investments to be held in their respective portfolio, subject to acceptance by the Advisor.

TPG evaluates and selects investments for inclusion in Client portfolios only after applying its internal due diligence process. Trading client portfolios occurs for strategic and tactical reasons. Portfolio positions may be rebalanced to more appropriately diversify risk or lower the security concentration of certain positions. Conversely, TPG may recommend specific positions to increase sector or asset class weightings. The Advisor may recommend employing cash positions as a possible hedge against market volatility, which could adversely affect the portfolio. TPG may recommend selling positions for reasons that include, but are not limited to, harvesting capital gains or losses, mitigating business or sector risk exposures to a specific security or class of securities, adjusting overvaluation or overweighting of the position[s] in the portfolio, accommodating changes in risk tolerance of the Client, generating cash to meet Client needs, or responding to any risk deemed unacceptable for the Client's risk tolerance.

All Client assets will be managed within their designated account[s] at the Custodian, pursuant to the terms of the Client investment management agreement. Please see item 12 – Brokerage Practices.

Use of Independent Managers - TPG has the ability and maintains the option to recommend to Clients that a portion of their portfolio be implemented by utilizing one or more unaffiliated money managers (herein "Independent Manager[s]"). The terms and agreements with the Independent Manager[s] will differ and are set forth in each agreement between a Client and the Independent Manager. The Independent Manager[s] will have investment discretion over the Client's account[s], but may allow the Client to impose reasonable investment restrictions. The Advisor will assist and advise the Client in establishing investment objectives for their account[s], the selection of the Independent Manager[s], and defining any restrictions on the account[s]. TPG will continue to provide oversight of the Client's account[s] and ongoing monitoring of the activities of the Independent Manager[s].

TPG only receives its investment advisory fee when utilizing services of these Independent Manager[s], as described in Item 5 below, and does not receive any additional compensation from the Independent Manager[s]. The Client, prior to entering into an agreement with an Independent Manager, will be provided with the Independent Manager's Form ADV Part 2A – Disclosure Brochure (or a brochure that makes the appropriate disclosures) and the prospectus or description of the investment strategy.

Financial Planning and Consulting Services - TPG may provide a variety of financial planning services to individuals and families. Financial planning services are offered in several areas of a Client's financial situation depending on their goals, objectives and financial circumstances. Determination of goals and objectives is based on consultation with the Client. Financial planning may encompass one or more areas of need, including, but not limited to investment planning, retirement planning, budget planning, budget development, personal savings, education savings and other areas of financial problem solving. Financial planning and consulting is offered either as a component of wealth management or pursuant to a stand-alone financial planning agreement.

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TPG offers a comprehensive range of financial planning and consulting services, which include:

- Multi-Generational Wealth Transfer
- Estate Planning
- Risk Management
- Employee Stock Ownership Plans
- College Funding
- Charitable Giving and Philanthropy
- Credit Sourcing

A financial plan developed for or financial consultation rendered to the Client will usually include general recommendations for a course of activity or specific actions to be taken by the Client. For example, recommendations may be made that the Client start or revise their investment programs, commence or alter retirement savings, establish education savings and/or establish charitable giving programs. TPG may also refer Clients to an accountant, attorney or other specialist, as appropriate for their unique situation. For certain financial planning engagements, the Advisor will provide a written summary of Client's financial situation, observations, and recommendations. For consulting or ad-hoc engagements, the Advisor may not provide a written summary. Stand alone plans or consultations are typically completed within six months of the contract date, assuming all information and documents requested are provided promptly.

Financial planning and consulting recommendations may pose a potential conflict between the interests of the Advisor and the interests of the Client. For example, a recommendation to engage the Advisor for investment management services or to increase the level of investment assets with the Advisor would pose a conflict, as it would increase the fees paid to the Advisor. Clients are not obligated to implement any recommendations made by the Advisor or maintain an ongoing relationship with the Advisor. If the Client elects to act on any of the recommendations made by the Advisor, the Client is under no obligation to implement the transaction through the Advisor.

Reporting only Services

TPG may provide Clients with reporting only services which includes periodic evaluation reports of Client accounts which may details the performance and asset allocation. TPG receives its information from account custodians, tax accountants, Independent Managers and other third parties. TPG will consider the asset classes of investments that are not managed by the Advisor for asset allocation purposes and will report the performance of those investments relative to an appropriate benchmark but will not otherwise provide due diligence or monitoring services on such assets. Including outside investments in performance reports does not constitute investment advice or a recommendation or endorsement by TPG. To the extent that erroneous information is provided due to inaccurate data from a third-party, the Advisor is not responsible for any inaccuracies which are contained in the report.

Retirement Plan Advisory Services

Plan Sponsors may engage TPG to serve as a 3(38) Fiduciary to their company retirement plan (the "Plan") and assume investment discretion over the Plan. In such instances, the Plan Sponsor shall authorize this discretion to select and implement the Plan investment options. Services generally include:

- Vendor Analysis
- Plan Participant Enrollment and Education Tracking
- Investment Policy Statement ("IPS") Design and Monitoring
- Discretionary Investment Management
- Performance Reporting
- Ongoing Investment Recommendation and Assistance

Retirement plan advisory services are provided by TPG serving in the capacity as a fiduciary under the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). In accordance with ERISA Section

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408(b)(2), the Plan Sponsor is provided with a written description of TPG's fiduciary status, the specific services to be rendered and all direct and indirect compensation the Advisor reasonably expects under the engagement.

C. Client Account Management

Prior to engaging TPG to provide investment management services, each Client is required to enter into one or more agreements with the Advisor that define the terms, conditions, authority and responsibilities of the Advisor and the Client. These services may include:

- Establishing an Investment Strategy – TPG, in conjunction with the Client, will develop a strategy that seeks to achieve the Client's investment goals and objectives.
- Asset Allocation – TPG will develop a strategic asset allocation targeted to meet the investment objectives, time horizon, financial situation and tolerance of risk for each Client.
- Portfolio Construction – TPG will develop a portfolio for the Client that is intended to meet the stated goals and objectives of the Client.
- Investment Management and Supervision – TPG will provide investment management and ongoing oversight of the Client's investment portfolio in order to meet the goals and objectives of the Client.

D. Wrap Fee Programs

TPG does not manage or place Client assets into a wrap fee program. Investment management services are provided directly by TPG.

E. Assets Under Management

As of December 31, 2018, TPG manages the following assets:

Discretionary Assets	\$340,788,377
Non-Discretionary Assets	3,211,798
Total Assets Under Management	\$344,000,175

Clients may request more current information at any time by contacting the Advisor.

Item 5 – Fees and Compensation

The following paragraphs detail the fee structure and compensation methodology for services provided by the Advisor. Each Client shall enter into one or more agreements that detail the responsibilities of TPG and the Client.

A. Fees for Advisory Services

Investment Management Services

Investment management fees are paid quarterly, at the end of each calendar quarter, pursuant to the terms of the investment management agreement. Investment management fees are based on the average market value of assets under management at the beginning and end of the respective quarter. Investment management fees range from 0.25% to 1.00% depending on the size and complexity of the Client relationship and the scope of the services to be provided. Client relationships with financial and retirement planning components, multiple account objectives, portfolio restrictions, directed brokerage relationships, special administrative requirements, custom reporting needs and other complexities may be charged a higher fee.

The investment management fee in the first quarter of service is prorated from the inception date of the account[s] to the end of the first quarter. Fees may be negotiable at the sole discretion of the Advisor. The Client's fee will take into consideration the aggregate assets under management with the Advisor or Plan services to be provided. Certain existing Clients may have fee schedules that differ from the range of fees described above.

Clients may make additions to and withdrawals from their account[s] at any time, subject to TPG's right to terminate a relationship. Additions may be in cash or securities, provided that the Advisor reserves the right to liquidate any

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transferred securities or decline to accept particular securities into a Client's account[s]. Clients may withdraw account assets upon notice to TPG, subject to the usual and customary securities settlement procedures. However, TPG designs its portfolios as long-term investments and the withdrawal of assets may impair the achievement of a Client's investment objectives. TPG may consult with its Clients about the options and implications of such transactions. Clients are advised that when transferred securities are liquidated, they may be subject to tax ramifications, transaction fees, and/or fees assessed at the mutual fund level (i.e. contingent deferred sales charge).

The Advisor's fee is exclusive of, and in addition to, brokerage fees, transaction fees, and other related costs and expenses, which may be incurred by the Client. However, the Advisor does not receive any portion of these commissions, fees, and costs.

Use of Independent Managers - For Client account[s] implemented through an Independent Manager, the Client's fee will not include the Advisor's investment advisory fee. The Advisor will bill its fee separately.

Reporting Only Services

Fees for reporting only services are paid quarterly, at the end of each calendar quarter, pursuant to the terms of the advisory agreement. Reporting only fees are billed at a rate of 0.02% based on the market value of assets reported on at the end of each quarter.

Financial Planning and Consulting Services

TPG offers financial planning or consulting services at an hourly rate ranging from \$75 to \$300 per hour or on a fixed fee basis. Fees are negotiable and determined based on the complexity of services requested, the experience of the resources to provide such services and the overall relationship with the Advisor. Fixed fee engagements are also derived based on the estimated time and effort to complete the engagement deliverables at the negotiated hourly rate. An estimate for total hours and/or costs will be provided to the Client prior to establishing the advisory relationship. TPG, in its sole discretion, may offset all or a portion of its planning fees if the Client engages the Advisor for investment management services.

Retirement Plan Advisory Services

TPG is compensated for its retirement plan advisory services quarterly, at end of each calendar quarter, pursuant to the terms of the retirement plan advisory agreement. Fees for retirement plan advisory services are charged an annual asset-based fee of up to 1.00%. Fees may be negotiable depending on the size and complexity of the Plan.

B. Fee Billing

Investment Management Services

Investment management fees will be calculated by the Advisor or its delegate on a quarterly basis in arrears. The amount due is calculated by applying the average of the beginning and ending assets under management for each calendar quarter times the quarterly rate, as outlined in the investment management agreement. All securities held in accounts managed by TPG will be independently valued by the Custodian. TPG will not have the authority or responsibility to value portfolio securities.

TPG's standard procedure for fee receipt is direct deduction from the Client's account[s] at the Custodian. Payment of investment management fees via check or other method of payment must be pre-approved by management. The Advisor or its delegate shall send an invoice or upload a management fee file to the Custodian indicating the amount of the fees to be deducted from the Client's account[s] at the respective quarter-end date.

Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment management fee. It is the responsibility of the Client to verify the accuracy of these fees as listed on the Custodian's brokerage statement as the Custodian does not assume this responsibility. Clients provide written authorization permitting TPG to be paid directly from their accounts held by the Custodian as part of the investment management agreement and separate account forms provided by the Custodian.

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Held Away Assets - Fees for held away assets are either invoiced directly to a Client for payment or debited from a Client's taxable account[s], based on the Client's direction.

Use of Independent Managers - Client account[s] utilizing Independent Manager[s] will be billed in accordance to the separate agreement[s] with the respective parties. The Advisor's fee will be billed in accordance with their investment management agreement with the Client.

Reporting Only Services

Advisory fees for reporting only services are invoiced quarterly based on the agreed upon rate and are due upon receipt.

Financial Planning and Consulting Services

Financial planning and consulting fees for stand alone services are invoiced up to fifty percent (50%) upon execution of the agreement. The balance shall be invoiced upon completion of the agreed upon deliverable[s]. The Advisor does not bill in advance for services that will be completed six months or more in the future.

Retirement Plan Advisory Services

Fees may be directly invoiced to the Plan Sponsor or deducted from the assets of the Plan, depending on the terms of the retirement plan advisory agreement.

C. Other Fees and Expenses

Clients could incur certain fees or charges imposed by third parties, other than TPG, in connection with investments made on behalf of the Client's account[s]. The Client is responsible for all custody and securities execution fees charged by the Custodian and/or executing broker-dealer. The fees charged by TPG are separate and distinct from these custody and execution fees. Aside from trade execution fees, the most common third-party fee is the prime brokerage trade away fee discussed in Item 12- Prime Brokerage (below).

In addition, TPG management fees are separate and distinct from the expenses charged by mutual funds, ETFs, and private placement to their shareholders, if applicable. These fees and expenses are described in each fund's prospectus. Within the fund, these fees and expenses will generally be used to pay management fees for the funds, other fund expenses, account administration (e.g., custody, brokerage and account reporting), and a possible 12b-1 distribution fee.

A Client may be able to invest in these products directly, without the services of TPG, but would not receive the services provided by TPG which are designed, among other things, to assist the Client in determining which products or services are most appropriate for each Client's financial situation and objectives. Accordingly, the Client should review both the fees charged by the fund[s] and the fees charged by TPG to fully understand the total fees to be paid. Please refer to Item 12 – Brokerage Practices for additional information.

D. Fees and Termination

Investment Management Services

Either TPG or the Client may terminate their investment management agreement, at any time, by providing written notice to the other party. The Client shall be responsible for fees up to and including the effective date of termination. TPG is compensated for its services at the end of the quarter, after investment management services are rendered. If a Client transfers their account[s] prior to deduction of advisory fees, the Advisor will directly invoice the Client.

The Client's investment management agreement with the Advisor is non-transferable without the Client's prior consent.

Use of Independent Managers - In the event that a Client should wish to terminate their relationship with an Independent Manager, the terms and fees for termination will be set forth in the respective agreements between the Client and that manager. TPG will assist the Client with the termination and transition as appropriate.

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Reporting Only Services

Either party may terminate the reporting only advisory agreement, at any time, by providing written notice to the other party. The Client shall be responsible for advisory fees up to and including the effective date of termination. TPG is compensated for its reporting only advisory services at the end of the quarter, after services are rendered.

The Client's reporting only advisory agreement with the Advisor is non-transferable without the Client's prior consent.

Financial Planning and Consulting Services

TPG may require an advance deposit of up to 50% as described above. Either party may terminate the financial planning agreement, at any time, by providing advance written notice to the other party. Upon termination, the Client shall be billed for actual hours logged on the planning project times the contractual hourly rate or in the case of a fixed fee engagement, the percentage of the engagement scope completed by the Advisor. Any surplus in the Advisor's possession as the result of collecting a deposit at the time of signing the financial planning agreement will be returned to the Client within 5 business days of cancellation on a pro rata basis.

The Client's financial planning and consulting agreement with the Advisor is non-transferable without the Client's prior consent.

Retirement Plan Advisory Services

Either party may terminate their retirement plan advisory agreement, at any time, by providing written notice to the other party. Upon termination, the Client shall be responsible for investment advisory fees up to and including the effective date of termination. TPG is compensated for its retirement plan advisory services at the end of the quarter, after retirement plan advisory services are rendered.

The Client's retirement plan advisory agreement with the Advisor is non-transferable without the Client's prior consent.

E. Compensation for Sales of Securities

TPG does not receive any compensation for securities transactions in any Client account, other than the investment advisory fees paid directly by Clients and noted above.

Item 6 – Performance-Based Fees and Side-By-Side Management

TPG does not charge performance-based fees for its investment advisory services. The fees charged by TPG are as described in Item 5 above and are not based upon the capital appreciation of the funds or securities held by any Client.

TPG does not manage any proprietary investment funds or limited partnerships (for example, a mutual fund or a hedge fund). TPG has no financial incentive to recommend any particular investment option to its Clients.

Item 7 – Types of Clients

TPG provides investment advisory services to individuals, high net worth individuals, families, trusts, estates, pensions, profit sharing plans, endowments, foundations, charitable organizations, corporations and small businesses. The amount of each type of Client is available on the Advisor's Form ADV Part 1A. These amounts may change over time and are updated at least annually by the Advisor. TPG generally requires a minimum annual fee of \$2,000, which may be reduced at the sole discretion of the Advisor. TPG's minimum fee could make TPG's services cost prohibitive for Clients with smaller investment portfolios.

Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss

A. Methods of Analysis

TPG primarily employs fundamental and technical analysis in developing investment strategies for its Clients. Research and analysis are derived from numerous sources including SEC filings and corporate investor relations

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documents, such as webcasts, annual reports, prospectuses, press releases and company presentations. Third party sources include financial media companies, industry data sources, sector and company analyst reports, and government websites.

Fundamental analysis utilizes economic and business indicators as investment selection criteria. These criteria are generally ratios and trends that may indicate the overall strength and financial viability of the entity being analyzed. Assets are deemed suitable if they meet certain criteria to indicate that they are a strong investment with a value discounted by the market. While this type of analysis helps the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized in the fundamental analysis may lose value and may have negative investment performance. The Advisor monitors these indicators to determine if adjustments to strategic allocations are appropriate.

Technical analysis involves the examination of past market data rather than specific issuer information in determining the recommendations made to Clients. Technical analysis may involve the use of mathematical based indicators and charts, such as moving averages and price correlations, to identify market patterns and trends which may be based on investor sentiment rather than the fundamentals of the company. A substantial risk in relying upon technical analysis is that spotting historical trends may not help to predict such trends in the future. Even if the trend will eventually reoccur, there is no guarantee that TPG will be able to accurately predict such a reoccurrence.

As noted above, TPG generally employs a long-term investment strategy for its Clients, as consistent with their financial goals. TPG will typically hold all or a portion of a security for more than a year, but may hold for shorter periods for the purpose of rebalancing a portfolio or meeting the cash needs of Clients. At times, TPG may also buy and sell positions that are more short-term in nature, depending on the goals of the Client and/or the fundamentals of the security, sector or asset class.

B. Risk of Loss

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. TPG will assist Clients in determining an appropriate strategy based on their tolerance for risk and other factors noted above. There is no guarantee that a Client will meet their investment goals.

While the methods of analysis help the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized in these methods of analysis may lose value and may have negative investment performance. The Advisor monitors these economic indicators to determine if adjustments to strategic allocations are appropriate. More details on the Advisor's review process are included below in Item 13 – Review of Accounts.

Each Client engagement will entail a review of the Client's investment goals, financial situation, time horizon, tolerance for risk and other factors to develop an appropriate strategy for managing Client assets. Client participation in this process, including full and accurate disclosure of requested information, is essential for the comprehensive analysis of Client's account[s] & financial situation. The Advisor shall rely on the financial and other information provided by the Client or their designees without the duty or obligation to validate the accuracy and completeness of the provided information. It is the responsibility of the Client to inform the Advisor of any changes in financial condition, goals or other factors that may affect this analysis. More details on the Advisor's review process are included below in Item 13 – Review of Accounts.

In the capital markets, risk and return generally display positive correlation meaning that assets with higher expected returns have greater perceived risk. The Advisor will work with each Client to determine their tolerance for risk as part of the portfolio construction process. As part of this assessment process, TPG recommends asset allocations and reviews the risk and return dynamics for each investment category.

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Following are some of the risks associated with the Advisor's strategies:

Market Risks

The value of a Client's holdings may fluctuate in response to events specific to companies or markets, as well as economic, political, or social events in the U.S. and abroad. This risk is linked to the performance of the overall financial markets.

ETF Risks

The performance of ETFs is subject to market risk, including the possible loss of principal. The price of the ETFs will fluctuate with the price of the underlying securities that comprise the funds. ETFs can lose their cost efficiency if the ETFs are traded actively due to the trading fees imposed by the broker dealer and/or custodian. In addition, liquidity risk exists if the ETFs has a large bid-ask spread and low trading volume. The price of an ETF fluctuates based upon the market movements and may dissociate from the index being tracked by the ETF or the price of the underlying investments. An ETF purchased or sold at one point in the day may have a different price than the same ETF purchased or sold a short time later.

Mutual Fund Risks

The performance of mutual funds is subject to market risk, including the possible loss of principal. The price of the mutual funds will fluctuate with the value of the underlying securities that make up the funds. The price of a mutual fund is set daily therefore a mutual fund purchased at one point in the day will typically have the same price as a mutual fund purchased later that same day.

Options Contracts

To engage in option trading, the Client's account[s] must qualify and be approved by the Custodian on an account by account basis. The Custodians require an additional authorization for trading options contracts. The Advisor may utilize options strategies to hedge risk in Client account[s] if such strategies are consistent with the goals and objectives of the Client. Speculative or uncovered options strategies are not used by the Advisor. Investments in options contracts have the risk of losing value in a relatively short period of time. Option contracts are leveraged instruments that allow the holder of a single contract to control many shares of an underlying stock. This leverage can compound gains or losses.

Real Estate Investment Trusts (REITs)

TPG may recommend an investment in, or allocate assets among, various real estate investment trusts ("REITs"). REITs are collective investment vehicles with portfolios comprised primarily of real estate and mortgage related holdings. Many REITs hold heavy concentrations of investments tied to commercial and/or residential developments, which inherently subject REIT investors to the risks associated with a downturn in the real estate market. Investments linked to certain regions that experience greater volatility in the local real estate market may give rise to large fluctuations in the value of the vehicle's shares. Mortgage related holdings may give rise to additional concerns pertaining to interest rates, inflation, liquidity and counterparty risk.

Alternative Investments (Limited Partnerships)

The performance of alternative investments (limited partnerships) can be volatile and may have limited liquidity. An investor could lose all or a portion of their investment. Such investments often have concentrated positions and investments that may carry higher risks. Client should only have a portion of their assets in these investments.

Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor.

Item 9 – Disciplinary Information

There are no legal, regulatory or disciplinary events involving TPG or any of its Supervised Persons. TPG values the trust Clients place in us. As we advise all Clients, we encourage Clients to perform the requisite due diligence on any advisor or service provider with whom you partner. Our backgrounds are available on the

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Item 10 – Other Financial Industry Activities and Affiliations

TPG does not maintain any affiliations with other firms, except as noted below. TPG does contract with other financial service providers to assist with the administration of the Client account[s].

Other Investment Advisors

While not under common control, certain Advisory Persons of TPG, in their individual capacities, are also Advisory Persons of either Ashlee Patten Group, LLC. (“APG”) and/or Jacobs Investment Management, LLC (“JIM”). In their separate capacity, an Advisory Person may recommend, on a fully-disclosed basis, the investment advisory services of APG or JIM. A conflict of interest exists to the extent that Advisory Persons recommend the services of APG or JIM to Clients of TPG. Clients of TPG are under no obligation to accept the recommendation of TPG to engage with APG or JIM for services.

Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

A. Code of Ethics

TPG has implemented a Code of Ethics (the “Code”) that defines our fiduciary commitment to each Client. This Code of Ethics applies to all persons associated with TPG (our “Supervised Persons”). The Code was developed to provide general ethical guidelines and specific instructions regarding our duties to you, our Client. TPG and its Supervised Persons owe a duty of loyalty, fairness and good faith towards each Client. It is the obligation of TPG Supervised Persons to adhere not only to the specific provisions of the Code, but also to the core principles of the Code. The Code covers a range of topics that address Supervised Person ethics and conflicts of interest. To request a copy of our Code, please contact us at (423) 531-0360.

B. Personal Trading with Material Interest

TPG allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients. TPG does not act as principal in any transactions. In addition, the Advisor does not act as the general partner of a fund or advise an investment company. TPG does not have a material interest in any securities traded in Client accounts.

C. Personal Trading in Same Securities as Clients

TPG allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients. Owning the same securities that TPG may recommend (purchase or sell) to Clients presents a potential conflict of interest that, as fiduciaries, TPG must disclose to you and mitigate through policies and procedures.

As noted above, TPG has adopted, consistent with Section 204A of the Investment Advisers Act of 1940, a Code of Ethics, which addresses insider trading (material non-public information controls) and personal securities reporting procedures. When trading for personal accounts, Supervised Persons of TPG may have a conflict of interest if trading in the same securities. The fiduciary duty to act in the best interest of its Clients can potentially be violated if personal trades are made with more advantageous terms than Client trades, or by trading based on material non-public information. This risk is mitigated by TPG requiring reporting of personal securities trades by its Supervised Persons with access to client trade information (our “Access Persons”) for review by the Access Person’s supervisor or the Chief Compliance Officer (“CCO”). TPG has also adopted written policies and procedures to detect the misuse of material, non-public information.

D. Personal Trading at Same Time as Client

While TPG allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients, such trades are typically aggregated with Client orders or traded afterwards. **At no time will TPG, or any Supervised Person of TPG, transact in any security to the detriment of any Client.**

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Item 12 – Brokerage Practices

A. Recommendation of Custodian[s]

TPG does not custody assets nor does the Advisor have discretionary authority to select the broker dealer/custodian (herein the "Custodian") to safeguard Client assets. TPG is authorized by the Client to direct trades to the Custodian as agreed upon in the investment management agreement through a limited power of attorney. The Client may also grant the Advisor limited authority to place trades away from the Custodian. Please see Prime Brokerage Authorization below.

Where TPG does not exercise discretion over the selection of the Custodian, it may recommend the Custodian[s] to Clients for custody and execution services. Clients are not obligated to use the Custodian recommended by the Advisor. TPG will not impose additional fees if the Client uses a Custodian not recommended by TPG. However, the Advisor may be limited in the services it can provide if the recommended Custodian is not engaged. TPG may recommend the Custodian based on criteria such as, but not limited to, reasonableness of commissions charged to the Client, services made available to the Client, its reputation, and/or the location of the Custodian's offices. TPG maintains institutional relationships with multiple Custodians, namely Charles Schwab & Co., Inc. ("Schwab"), Pershing, LLC ("Pershing") and Bank of America Merrill Lynch ("Merrill") each a FINRA-registered broker-dealer and member SIPC. TPG generally recommends that Clients establish their account[s] at Schwab, Pershing or Merrill. Neither Schwab, Pershing nor Merrill compensate TPG with research services or other products in a manner that results in the Client paying commissions higher than those obtainable through other Custodians. Due to the institutional relationship with these three Custodians, however, TPG may receive other economic benefits. For additional information, please see Item 14- Client Referrals and Other Compensation below.

Following are additional details regarding the brokerage practices of the Advisor:

1. Soft Dollars - Soft dollars are revenue programs offered by broker-dealers/custodians whereby an advisor enters into an agreement to place security trades with a broker-dealer/custodian in exchange for research and other services. As noted above, TPG may recommend a Custodian for which TPG has an institutional relationship. TPG selects unaffiliated parties that it believes offer the best overall value in supporting the Client. TPG may receive indirect, economic benefits from these institutional relationships. The Client is not charged higher fees or transaction costs as a result of TPG's institutional relationships nor is TPG required or incented to trade in any Client account[s] to continue to receive benefits. Please see Item 14 for additional details.

2. Brokerage Referrals - TPG does not receive any compensation from any third party in connection with the recommendation for establishing an account.

3. Directed Brokerage – All Clients are serviced on a "directed brokerage basis", where TPG will place trades within the established account[s] at the Custodian as directed by the Client. Further, all Client accounts are traded within their respective account[s]. The Advisor will not engage in any principal transactions (i.e., trade of any security from or to the Advisor's own account) or cross transactions with other Client accounts (i.e., purchase of a security into one Client account from another Client's account[s]). Because of this directed brokerage, TPG will not be obligated to select competitive bids on securities transactions and does not have an obligation to seek the lowest available transaction costs. These costs are determined by the Custodian.

4. Prime Brokerage - The Advisor may execute securities transactions either through the Custodian or through another unaffiliated broker-dealer in connection with a prime brokerage relationship established with the Custodian. Should a Client's account[s] make use of prime brokerage, the Client is required to execute additional agreement[s] with the Custodian authorizing the Advisor to trade-away from and settle to the Client's established account[s] at the Custodian. The Custodian will charge an additional trade-away fee for these transactions in addition to the normal securities transaction costs.

B. Aggregating and Allocating Trades

The primary objective in placing orders for the purchase and sale of securities for Client accounts is to obtain the most favorable net results taking into account such factors as 1) price, 2) size of order, 3) difficulty of execution,

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4) confidentiality and 5) skill required of the Custodian. TPG will execute its transactions through the Custodian as directed by the Client, unless otherwise authorized by the Client through a trade-away agreement. TPG may aggregate orders in a block trade or trades when securities are purchased or sold through the same broker-dealer/custodian for multiple (discretionary) accounts. If a block trade cannot be executed in full at the same price or time, the securities actually purchased or sold by the close of each business day must be allocated in a manner that is consistent with the initial pre-allocation or other written statement. This must be done in a way that does not consistently advantage or disadvantage particular Client account[s].

Item 13 – Review of Accounts

A. Frequency of Reviews

Securities in Client accounts are monitored on a regular and continuous basis by Z. Cartter Patten, III. (Chief Executive Officer, President and Portfolio Manager), Ashlee Patten (Chief Investment Officer and Portfolio Manager), William E. Jacobs (Director of Research and Portfolio Manager), David C. Dubose (Portfolio Manager) and/or Adrienne Zingrich (Chief Compliance Officer). Formal investment reviews are conducted at least quarterly or more frequently depending on the needs and expectations of the Client.

B. Causes for Reviews

In addition to the investment monitoring noted in Item 13.A., each Client account shall be reviewed at least annually. Reviews may be conducted more frequently at the Client's request. Accounts may be reviewed as a result of major changes in economic conditions, known changes in the Client's financial situation, and/or large deposits or withdrawals in the Client's account[s]. The Client is encouraged to notify TPG if changes occur in the Client's personal financial situation that might adversely affect the Client's investment plan. Additional reviews may be triggered by material market, economic or political events.

C. Review Reports

The Client will receive brokerage statements no less than quarterly from the Custodian. These brokerage statements are sent directly from the Custodian to the Client. The Client may also establish electronic access to the Custodian's website so that the Client may view these reports and their account activity. Client brokerage statements will include all positions, transactions and fees relating to the Client's account[s]. The Advisor also provides Clients with periodic reports regarding their holdings, allocations, and performance.

Item 14 – Client Referrals and Other Compensation

A. Compensation Received by TPG

TPG may receive non-compensated referrals of new Clients from various third parties. Furthermore, TPG is a fee-based advisory firm, who is compensated solely by the Client and not from any investment product. TPG does not receive commissions or other compensation from product sponsors, broker-dealers or any un-related third party. TPG may refer Clients to various unaffiliated, non-advisory professionals (e.g. attorneys, accountants, estate planners) to provide ancillary services necessary to meet the goals of its Clients.

Participation in Institutional Advisor Platform

TPG has established an institutional relationship with the Custodians through the respective institutional advisor divisions. As a registered investment advisor participating on the Custodian platform[s], TPG receives access to software and related support without cost because the Advisor renders investment management services to Clients that maintain assets at the Custodians. Services provided by the institutional platform benefit the Advisor and many, but not all services provided by institutional platform will benefit the Clients. In fulfilling its duties to its Clients, the Advisor endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits from a Custodian creates a potential conflict of interest since these benefits may influence the Advisor's recommendation of this Custodian over one that does not furnish similar software, systems support, or services.

Services that Benefit the Client – The Custodians' institutional brokerage services include access to a broad range of investment products, execution of securities transactions, and custody of Client's funds and securities. Through

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the Custodians, the Advisor may be able to access certain investments and asset classes that the Client would not be able to obtain directly or through other sources. Further, the Advisor may be able to invest in certain mutual funds and other investments without having to adhere to investment minimums that might be required if the Client were to directly access the investments.

Services that May Indirectly Benefit the Client – The Custodians provide participating advisors with access to technology, research, discounts and other services. In addition, the Advisor receives duplicate statements for Client accounts, the ability to deduct fees, trading tools, and back office support services as part of its relationship. These services are intended to assist the Advisor in effectively managing accounts for its Clients, but may not directly benefit all Clients.

Services that May Only Benefit the Advisor – The Custodians also offer other services and financial support to TPG that may not benefit the Client, including: educational conferences and events, consulting services and discounts for various service providers. Access to these services creates a financial incentive for the Advisor to recommend Schwab, Pershing and Merrill Lynch, which results in a potential conflict of interest. TPG believes, however, that the selected Custodian[s] remains in the best interests of its Clients.

B. Client Referrals from Solicitors

TPG does not engage paid solicitors for Client referrals.

Item 15 – Custody

Custody is defined as holding, directly or indirectly, client funds or securities, or having any authority to obtain possession of them. TPG does not accept or maintain custody of any Client accounts. Clients are required to engage a “qualified custodian” to retain their funds and securities and direct TPG to utilize that Custodian for the Client’s security transactions. Clients should review statements provided by the Custodian and compare to any reports provided by TPG to ensure accuracy, as the Custodian does not perform this review. For more information about custodians and brokerage practices, see Item 12 - Brokerage Practices.

While TPG does not serve as a “qualified custodian”, TPG is deemed to have custody under the following situations: authorized deduction of the Advisor’s fee, certain situations where a Supervised Person of TPG may serve as Trustee, Power of Attorney, Conservator to the Client’s account, where the Advisor has online access to a Client’s held-away account and Standing Letters of Instruction to Third Parties authorized by the Client. Due to these situations, the Advisor is subject to a surprise annual examination by an independent public accounting firm.

If the Client gives the Advisor authority to move money from one account to another account, the Advisor may have custody of those assets. In order to avoid additional regulatory requirements in these cases, the Custodian and the Advisor have adopted safeguards to ensure that the money movements are completed in accordance with the Client’s instructions.

Item 16 – Investment Discretion

TPG generally has discretion over the selection and amount of securities to be bought or sold in Client accounts without obtaining prior consent or approval from the Client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the Client and agreed to by TPG. The granting of such discretionary authority will be evidenced by the Client’s execution of an investment management agreement containing all applicable limitations to such authority. All discretionary trades made by TPG will be in accordance with each Client’s investment objectives and goals.

Item 17 – Voting Client Securities

TPG does not accept proxy-voting responsibility for any Client. Clients will receive proxy statements directly from the Custodian. The Advisor will assist in answering questions relating to the logistics of proxy filing, however, the

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Client retains the sole responsibility for proxy decisions and voting.

Item 18 – Financial Information

Neither TPG, nor its management have any adverse financial situations that would reasonably impair the ability of TPG to meet all obligations to its Clients. Neither TPG, nor any of its Advisory Persons have been subject to a bankruptcy or financial compromise. TPG is not required to deliver a balance sheet along with this Disclosure Brochure because the Advisor does not collect fees of \$1,200 or more for services to be performed six months or more in advance.

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Form ADV Part 2B – Brochure Supplement

for

**Z. Cartter Patten, III. CFA, CIC
CEO & Principal**

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Zeboim Cartter Patten, III. (CRD# **4347041**) in addition to the information contained in The Patten Group, Inc. (“TPG” or the “Advisor”) (CRD # **168255**) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Mr. Patten is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD#4347041.

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Item 2 – Educational Background and Business Experience

Z. Cartter Patten, III., born in 1940, is dedicated to advising Clients of TPG as the President and CEO. Mr. Patten earned an AB in History from Princeton University in 1962. Additional information regarding Mr. Patten's employment history is included below.

Employment History:

CEO & Principal, The Patten Group, Inc.	03/2014 to Present
Chairman and Portfolio Manager, Patten and Patten, Inc.	01/1976 to 03/2014

Chartered Financial Analyst ("CFA")

The Chartered Financial Analyst ("CFA") charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

Chartered Investment Counselor ("CIC")

The Chartered Investment Counselor (CIC) charter is a professional designation established in 1975 and awarded by the Investment Adviser Association (IAA). The Charter was designed to recognize the special qualifications of person employed by IAA member firms whose primary duties involve investment counseling and portfolio management.

A key education component of the program is the requirement that candidates hold the Chartered Financial Analyst (CFA) designation, administered by the CFA institute. In addition to successful completion of the CFA program, the CIC designation requires candidates to demonstrate significant experience (at least five (5) cumulative years) in a position performing investment counseling and portfolio management responsibilities. At the time the charter is awarded, candidates must be employed by an IAA member firm in such a position, must provide work and character references, must endorse the IAA's Standards of Practice, and must provide professional ethical information.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Patten. Mr. Patten has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Patten.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Patten.***

However, we do encourage you to independently view the background of Mr. Patten on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or Individual CRD# 4347041.

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Item 4 – Other Business Activities

Personal Investments

Mr. Patten also serves as a director of a local car dealership and as a partner in two investment-related entities: Grandview and Wild Blue Yonder. Mr. Patten spends less than 5% of his time on these positions. Mr. Patten does not provide these as investments to Clients of TPG.

Volunteer Positions

Southern Alliance for Clean Energy- Mr. Patten serves as Treasurer for the Southern Alliance for Clean Energy, helping to set policies and assist with tax and investment matters. Mr. Patten does not receive compensation for this activity and spends less than 10% of his time on this activity.

Board of Directors - Mr. Patten is a Director for the American Chestnut Foundation, a charitable organization. Mr. Patten, in a separate capacity, serves on the Board of Directors for Forest Hills Cemetery in Chattanooga, TN as well as Friends of Walker Pond in Brooksville, ME. Mr. Patten does not receive compensation for these activities and spends less than 10% of his time on this activities.

Mr. Patten does not provide these services to Clients of TPG.

Item 5 – Additional Compensation

Mr. Patten has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Patten serves as the President and CEO of TPG and is supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document, that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement

for

**Ashlee B. Patten, CFA
Chief Investment Officer & Portfolio Manager**

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Ashlee B. Patten (CRD# 6208041) in addition to the information contained in The Patten Group (“TPG” or the “Advisor”) (CRD # 168255) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Ms. Patten is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6208041.

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Item 2 – Educational Background and Business Experience

Ashlee B. Patten, born in 1967, is dedicated to advising Clients of TPG in her role as the Chief Investment Officer and Portfolio Manager. Ms. Patten earned a Masters in Exercise Science from Smith College in 2000 and her Bachelor of Arts in History and American Studies from Princeton University in 1990. Additional information regarding Ms. Patten’s employment history is included below.

Employment History:

Chief Investment Officer & Portfolio Manager, The Patten Group, Inc.	03/2014 to Present
Managing Member & Chief Executive Officer, Ashlee Patten Group, LLC	12/2014 to Present
Portfolio Manager and Research Analyst, Patten and Patten, Inc.	01/2001 to 03/2014

Chartered Financial Analyst (“CFA”)

The Chartered Financial Analyst (“CFA”) charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Ms. Patten. Ms. Patten has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Patten.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Patten.**

However, we do encourage you to independently view the background of Ms. Patten on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6208041.

Item 4 – Other Business Activities

Other Investment Advisor

While not under common control, Ms. Patten in her individual capacity, is also an Investment Advisor Representative and the Chief Executive Officer of Ashlee Patten Group, LLC. (“APG”) and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG. A conflict of interest exists to the extent that Ms. Patten recommends the services of APG to Clients of TPG. Clients are under no obligation to implement any recommendations made by Ms. Patten or the Advisor.

Personal Investments

Ms. Patten also serves as a partner of a car dealership and as a partner in Wild Blue Yonder. Ms. Patten spends less than 5% of her time on these positions. Ms. Patten does not provide these services to Clients of TPG.

Volunteer Position

Ms. Patten serves in several capacities within the University of Chattanooga Foundation, as a Trustee, a member of the Executive & Nominating Committees, and as Chairman of the Endowment Committee. These are

volunteer positions. Ms. Patten spends less than 5% of her time on responsibilities with the University of Chattanooga Foundation.

Item 5 – Additional Compensation

Ms. Patten has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Ms. Patten serves as the Chief Investment Officer and a Portfolio Manager of TPG and is also supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement

for

**Adrienne L. Zingrich, CFP®
Chief Compliance Officer & Chief Operations Officer**

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Adrienne L. Zingrich (CRD# 5364434) in addition to the information contained in the The Patten Group, LLC (“TPG” or the “Advisor”) (CRD # 168255) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Ms. Zingrich is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 5364434.

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Item 2 – Educational Background and Business Experience

Adrienne L. Zingrich, born in 1985, is dedicated to advising Clients of TPG in her role as the Chief Compliance Officer and Chief Operations Officer. Ms. Zingrich earned a Bachelor of Arts in Economics and Organizational Management from Agnes Scott College in 2008. Additional information regarding Ms. Zingrich's employment history is included below.

Employment History:

Chief Compliance Officer & Chief Operations Officer, The Patten Group, Inc.	01/2016 to Present
Chief Compliance Officer & Chief Operations Officer, Ashlee Patten Group, LLC	12/2014 to Present
Investment Advisor Representative, The Patten Group, Inc.	10/2014 to 12/2015
Associate, The Patten Group, Inc.	08/2014 to 10/2014
Portfolio Administrator, Patten and Patten, Inc.	12/2008 to 02/2011

Certified Financial Planner™ ("CFP®")

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP® Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- *Education* – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- *Examination* – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- *Experience* – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- *Ethics* – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- *Continuing Education* – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- *Ethics* – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Ms. Zingrich. Ms. Zingrich has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Zingrich.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Zingrich.***

However, we do encourage you to independently view the background of Ms. Zingrich on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 5364434.

Item 4 – Other Business Activities

Other Investment Advisor

While not under common control, Ms. Zingrich in her individual capacity, is also an Investment Advisor Representative and the Chief Compliance Officer for Ashlee Patten Group (“APG”) and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG. A conflict of interest exists to the extent that Ms. Zingrich recommends the services of APG to Clients of TPG. Clients are under no obligation to implement any recommendations made by Ms. Zingrich or the Advisor.

Volunteer Positions

Ms. Zingrich serves as a member of the Chattanooga Area Food Bank’s Associate Board, a charitable organization. Ms. Zingrich does not receive compensation for this activity and spends less than 10% of her time on this activity. Ms. Zingrich does not provide these services to Clients of TPG.

Item 5 – Additional Compensation

Ms. Zingrich has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Ms. Zingrich serves as the Chief Compliance Officer and Chief Operations Officer of TPG. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

William E. Jacobs, CFP[®], CFA, CDFATM
Director of Research & Portfolio Manager

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of William E. Jacobs (CRD# **2070775**) in addition to the information contained in the The Patten Group, Inc. (“TPG” or the “Advisor”) (CRD # **168255**) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Mr. Jacobs is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2070775.

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Item 2 – Educational Background and Business Experience

William E. Jacobs, born in 1966, is dedicated to advising Clients of TPG in his role as the Director of Research and Portfolio Manager. Mr. Jacobs earned an MBA in Finance from Northwestern University - Kellogg School of Management in 1993. Mr. Jacobs earned a Bachelor of Science in Economics from the University of Pennsylvania in 1989. Additional information regarding Mr. Jacobs' employment history is included below.

Employment History:

Director of Research & Portfolio Manager, The Patten Group, Inc.	04/2014 to Present
Director of Research & Portfolio Manager, Ashlee Patten Group, LLC	12/2014 to Present
President, Chief Manager, Jacobs Investment Management, LLC	07/2006 to Present
Partner, Portfolio Manager, Harris Associates, L.P.	08/1993 to 04/2006

Certified Financial Planner™ ("CFP®")

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP® Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- *Education* – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- *Examination* – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- *Experience* – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- *Ethics* – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- *Continuing Education* – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- *Ethics* – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Chartered Financial Analyst ("CFA")

The Chartered Financial Analyst ("CFA") charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

Certified Divorce Financial Analyst ("CDFA™")

The Certified Divorce Financial Analyst™, (CDFA™) is a professional certification granted in the United States and Canada by the Institute for Divorce Financial Analysts™ (IDFA™). To attain the right to use the CDFA™ (Certified Divorce Financial Analyst™) certification, an individual must satisfactorily fulfill the following requirements:

- Education – Professionals must develop their theoretical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the IDFA™;
- Examination – Practitioners must pass a four-part (in the USA) or three-part (in Canada) Certification Examination that tests their understanding and knowledge of the financial aspects of divorce. In addition, the practitioner must demonstrate the practical application of this knowledge in the divorce process;
- Experience – Individuals must have a minimum of three years' experience in a financial or legal capacity prior to earning the right to use the CDFA™ certification mark; and
- Ethics – Practitioners agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility," which sets forth their ethical responsibilities to the public, clients, employers and other professionals. The IDFA™ may perform a background check during this process, and each candidate for CDFA™ certification must disclose any investigations or legal proceedings relating to his or her professional or business conduct.

Individuals who become certified must complete the following ongoing education requirements in order to maintain the right to continue to use the CDFA™ designation:

- Continuing Education – Complete a minimum of fifteen (15) hours of continuing education every two years, that are specifically related to the field of divorce, and
- Ethics – Practitioners must voluntarily disclose any public, civil, criminal, or disciplinary actions that may have been taken against them during the past two years as part of the renewal process. If a complaint has been brought against a CDFA™ by another professional or member of the general public, the CDFA™ must be examined and cleared by IDFA's Ethics Committee to maintain their designation.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Jacobs. Mr. Jacobs has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Jacobs.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Jacobs.***

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However, we do encourage you to independently view the background of Mr. Jacobs on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2070775.

Item 4 – Other Business Activities

Other Investment Advisors

While not under common control, Mr. Jacobs, in his individual capacities, is also an Investment Advisor Representative, Director of Research and a Portfolio Manager for Ashlee Patten Group, LLC (“APG”) and Jacobs Investment Management, LLC (“JIM”) and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG or JIM. A conflict of interest exists to the extent that Mr. Jacobs recommends the services of APG or JIM to Clients of TPG. Clients are under no obligation to implement any recommendations made by Mr. Jacobs or the Advisor.

Item 5 – Additional Compensation

Mr. Jacobs has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Jacobs serves as the Director of Research and Portfolio Manager of TPG and is supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement

for

**Jennifer Litton, CDFTM
Investment Advisor Representative**

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Jennifer Litton (CRD# **6465549**) in addition to the information contained in the The Patten Group, Inc. (“TPG” or the “Advisor”) (CRD # **168255**) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Ms. Litton is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6465549.

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Item 2 – Educational Background and Business Experience

Jennifer Litton, born in 1981, is dedicated to advising Clients of TPG as an Investment Advisor Representative. Ms. Litton earned a MBA-Masters of Business Administration from University of Tennessee-Chattanooga in 2016. Ms. Litton earned a M.A. Masters of Art: English from University of Tennessee-Chattanooga in 2011. Ms. Litton earned a B.A. Bachelors of Art: English from University of Tennessee-Chattanooga in 2009 and a BSW Bachelors of Social Work from University of Tennessee-Chattanooga in 2004.

Additional information regarding Ms. Litton's employment history is included below.

Employment History:

Investment Advisor Representative, The Patten Group, Inc.	11/2015 to Present
Investment Advisor Representative, Ashlee Patten Group, LLC.	01/2016 to Present
Contractor, The Patten Group, Inc.	05/2015 to 11/2015
English Adjunct Professor, University of Tennessee-Chattanooga	08/2011 to 05/2014
English Adjunct Professor, Chattanooga State Community College	01/2011 to 05/2014
Graduate Assistant-Interior Design, University of Tennessee-Chattanooga	01/2014 to 05/2015
Graduate Assistant-English Department, University of Tennessee-Chattanooga	08/2010 to 12/2011
Academic Specialist-English, University of Tennessee-Chattanooga Athletic Dept	01/2009 to 08/2011
Book seller, Barnes and Noble University Bookstore	01/2009 to 01/2015

Certified Divorce Financial Analyst ("CDFA™")

The Certified Divorce Financial Analyst™, (CDFA™) is a professional certification granted in the United States and Canada by the Institute for Divorce Financial Analysts™ (IDFA™). To attain the right to use the CDFA™ (Certified Divorce Financial Analyst™) certification, an individual must satisfactorily fulfill the following requirements:

- Education – Professionals must develop their theoretical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the IDFA™;
- Examination – Practitioners must pass a four-part (in the USA) or three-part (in Canada) Certification Examination that tests their understanding and knowledge of the financial aspects of divorce. In addition, the practitioner must demonstrate the practical application of this knowledge in the divorce process;
- Experience – Individuals must have a minimum of three years' experience in a financial or legal capacity prior to earning the right to use the CDFA™ certification mark; and
- Ethics – Practitioners agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility," which sets forth their ethical responsibilities to the public, clients, employers and other professionals. The IDFA™ may perform a background check during this process, and each candidate for CDFA™ certification must disclose any investigations or legal proceedings relating to his or her professional or business conduct.

Individuals who become certified must complete the following ongoing education requirements in order to maintain the right to continue to use the CDFA™ designation:

- Continuing Education – Complete a minimum of fifteen (15) hours of continuing education every two years, that are specifically related to the field of divorce, and
- Ethics – Practitioners must voluntarily disclose any public, civil, criminal, or disciplinary actions that may have been taken against them during the past two years as part of the renewal process. If a complaint has been brought against a CDFA™ by another professional or member of the general public, the CDFA™ must be examined and cleared by IDFA's Ethics Committee to maintain their designation.

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Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Ms. Litton. Ms. Litton has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Litton.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Litton.***

However, we do encourage you to independently view the background of Ms. Litton on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6465549.

Item 4 – Other Business Activities

Other Investment Advisor

While not under common control, Ms. Litton, in her individual capacity, is also an Investment Advisor Representative with Ashlee Patten Group, LLC (“APG”) and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG. A conflict of interest exists to the extent that Ms. Litton recommends the services of APG to Clients of TPG. Clients are under no obligation to implement any recommendations made by Ms. Litton or the Advisor.

Item 5 – Additional Compensation

Ms. Litton has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Ms. Litton serves as an Investment Advisor Representative of TPG and is supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement

for

**Jeffery T. Farrow
Investment Advisor Representative**

Effective: September 4, 2019

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Jeffery T. Farrow (CRD# 6566912) in addition to the information contained in the The Patten Group, Inc. (“TPG” or the “Advisor”, CRD# 168255) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Mr. Farrow is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6566912.

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Item 2 – Educational Background and Business Experience

Jeffery T. Farrow, born in 1980, is an Investment Advisor Representative for The Patten Group, Inc. Mr. Farrow earned a A.A. Paralegal Studies from the Chattanooga State Community College in 2006. Mr. Farrow also earned a Bachelor of Arts in English Literature and Languages from the University of Tennessee at Chattanooga in 2008. Additional information regarding Mr. Farrow's employment history is included below.

Employment History:

Investment Advisor Representative, The Patten Group, Inc.	11/2017 to Present
Investment Advisor Representative, Ashlee Patten Group, LLC	11/2017 to Present
Associate, The Patten Group, Inc.	12/2014 to 11/2017
Associate, Ashlee Patten Group, LLC	12/2014 to 11/2017
Customer Service Representative, T-Mobile	01/2014 to 08/2014
Production Technician II, Calsonic Kansei	07/2011 to 02/2013
Legal Assistant, Melissa Thomas, Attorney at law	07/2009 to 07/2011

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Farrow. Mr. Farrow has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Farrow.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Farrow.**

However, we do encourage you to independently view the background of Mr. Farrow on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6566912.

Item 4 – Other Business Activities

Other Investment Advisors

While not under common control, Mr. Farrow, in his individual capacity, is also an Investment Advisor Representative for Ashlee Patten Group, LLC ("APG") and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG. A conflict of interest exists to the extent that Mr. Farrow recommends the services of APG to Clients of TPG. Clients are under no obligation to implement any recommendations made by Mr. Farrow or the Advisor.

Item 5 – Additional Compensation

Mr. Farrow has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Farrow serves as an Investment Advisor Representative of TPG and is supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically

update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement

for

**James R. Hill, CFA[®]
Senior Research Analyst**

Effective: September 4, 2019

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of James R. Hill, CFA[®] (CRD# **6920616**) in addition to the information contained in the The Patten Group, Inc. (“TPG” or the “Advisor”, CRD# **168255**) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the TPG Disclosure Brochure or this Brochure Supplement, please contact us at (423) 531-0360.

Additional information about Mr. Hill is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6920616.

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www.360patten.com

Item 2 – Educational Background and Business Experience

James R. Hill, born in 1976, advises Clients of TPG as a Senior Research Analyst. Mr. Hill earned a Bachelor of Science from Clemson University in 2001. Mr. Hill also earned a MBA from University of Georgia in 2009. Additional information regarding Mr. Hill's employment history is included below.

Employment History:

Senior Research Analyst, The Patten Group, Inc.	03/2018 to Present
Senior Research Analyst, Ashlee Patten Group, Inc.	03/2018 to Present
Vice President of Financial Structures, EnerG3	08/2016 to 02/2018
Investment Officer, Unum	09/2012 to 05/2016

Chartered Financial Analyst ("CFA[®]")

The Chartered Financial Analyst ("CFA") charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. CFA[®] is a trademark owned by CFA Institute.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Hill. Mr. Hill has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Hill.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Hill.***

However, we do encourage you to independently view the background of Mr. Hill on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6920616.

Item 4 – Other Business Activities

Other Investment Advisors

While not under common control, Mr. Hill, in his individual capacity, is also an Investment Advisor Representative and Senior Research Analyst with Ashlee Patten Group, LLC ("APG") and in such capacity, may recommend, on a fully-disclosed basis, the investment advisory services of APG. A conflict of interest exists to the extent that Mr. Hill recommends the services of APG to Clients of TPG. Clients are under no obligation to implement any recommendations made by Mr. Farrow or the Advisor.

Item 5 – Additional Compensation

Mr. Hill has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Hill serves as a Senior Research Analyst of TPG and is supervised by Adrienne Zingrich, the Chief Compliance Officer. Ms. Zingrich can be reached at (423) 531-0360.

TPG has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of TPG. Further, TPG is subject to regulatory oversight by various agencies. These agencies require registration by TPG and its Supervised Persons. As a registered entity, TPG is subject to examinations by regulators, which may be announced or unannounced. TPG is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Privacy Policy

Effective: September 4, 2019

Our Commitment to You

The Patten Group, Inc. ("TPG" or the "Advisor") is committed to safeguarding the use of personal information of our Clients (also referred to as "you" and "your") that we obtain as your Investment Advisor, as described here in our Privacy Policy ("Policy").

Our relationship with you is our most important asset. We understand that you have entrusted us with your private information, and we do everything that we can to maintain that trust. TPG (also referred to as "we", "our" and "us") protects the security and confidentiality of the personal information we have and implements controls to ensure that such information is used for proper business purposes in connection with the management or servicing of our relationship with you.

TPG does not sell your non-public personal information to anyone, nor do we provide such information to others except for discrete and reasonable business purposes in connection to the servicing and management of our relationship with you, as discussed below.

Details of our approach to privacy and how your personal non-public information is collected and used are set forth in this Policy.

Why you need to know?

Registered Investment Advisors ("RIAs") must share some of your personal information in the course of servicing your account. Federal and State laws give you the right to limit some of this sharing and require RIAs to disclose how we collect, share, and protect your personal information.

What information do we collect from you?

Social security or taxpayer identification number	Assets and liabilities
Name, address and phone number[s]	Income and expenses
E-mail address[es]	Investment activity
Account information (including other institutions)	Investment experience and goals

What Information do we collect from other sources?

Custody, brokerage and advisory agreements	Account applications and forms
Other advisory agreements and legal documents	Investment questionnaires and suitability documents
Transactional information with us or others	Other information needed to service account

How do we protect your information?

To safeguard your personal information from unauthorized access and use we maintain physical, procedural and electronic security measures. These include such safeguards as secure passwords, encrypted file storage and a secure office environment. Our technology vendors provide security and access control over personal information and have policies over the transmission of data. Our associates are trained on their responsibilities to protect Client's personal information.

We require third parties that assist in providing our services to you to protect the personal information they receive from us.

The Patten Group, Inc.

832 Georgia Avenue, Suite 360, Chattanooga, TN 37402

Phone: (423) 531-0360 * Fax: (423) 805-3920

www.360patten.com

How do we share your information?

An RIA shares Client personal information to effectively implement its services. In the section below, we list some reasons we may share your personal information.

Basis For Sharing	Do we share?	Can you limit?
Servicing our Clients We may share non-public personal information with non-affiliated third parties (such as administrators, brokers, Custodians, regulators, credit agencies, other financial institutions) as necessary for us to provide agreed upon services to you, consistent with applicable law, including but not limited to: processing transactions; general account maintenance; responding to regulators or legal investigations; and credit reporting.	Yes	No
Marketing Purposes TPG does not disclose, and does not intend to disclose, personal information with non-affiliated third parties to offer you services. Certain laws may give us the right to share your personal information with financial institutions where you are a customer and where TPG or the client has a formal agreement with the financial institution. We will only share information for purposes of servicing your accounts, not for marketing purposes.	No	Not Shared
Authorized Users Your non-public personal information may be disclosed to you and persons that we believe to be your authorized agent[s] or representative[s].	Yes	Yes
Information About Former Clients TPG does not disclose and does not intend to disclose, non-public personal information to non-affiliated third parties with respect to persons who are no longer our Clients.	No	Not Shared

Changes to our Privacy Policy

We will send you a copy of this Policy annually for as long as you maintain an ongoing relationship with us.

Periodically we may revise this Policy, and will provide you with a revised policy if the changes materially alter the previous Privacy Policy. We will not, however, revise our Privacy Policy to permit the sharing of non-public personal information other than as described in this notice unless we first notify you and provide you with an opportunity to prevent the information sharing.

Any Questions?

You may ask questions or voice any concerns, as well as obtain a copy of our current Privacy Policy by contacting us at (423) 531-0360.

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