

BRUCE C. STOLTENBERG, JD, CFP®

This brochure provides supplemental information about Bruce C. Stoltenberg (“Investment Advisor Representative”, “IAR” or “Employee”) that supplements the SoundView Advisors, P.S. dba SoundView Advisors’ (“SoundView Advisors” “SoundView”, “Advisor” or “Firm”) brochure, which should have also been provided to you. Please contact Bruce C. Stoltenberg at SoundView Advisors if you need the Soundview brochure or if you have any questions.

Additional information about SoundView Advisors is also available at the SEC’s website www.adviserinfo.sec.gov (under “investment adviser firm” and type in our firm name).

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ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Bruce C. Stoltenberg, JD, CFP®

Year Born: 1950

Educational Background:

B.S., – Oregon State University (1971)

J.D., – University of Oregon School of Law (1974)

Business Background:

01/2007 – Present: *CEO, Chief Compliance Officer, Vice President*, SoundView Advisors, P.S. dba SoundView Advisors

05/2001 – 01/2007: *Owner & Financial Planner*, Stoltenberg & Associates

06/1998 – 05/2001: *Owner & Financial Planner*, Bruce C. Stoltenberg, JD, CFP

Professional Qualification(s):

Series 7, General Securities Representative Examination (1993)

Series 63, Uniform Securities Agent Laws (1993)

Series 65, Uniform Investment Adviser Law Examination (1992)

Professional Designations:

Certified Financial Planner (CFP®)


Explanation of Designation:

CFP®: (Certified Financial Planner)

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold a CFP® certification.

To attain the right to use the CFP® designation, 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

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- 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);
 - 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 ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks. This requires 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 renewal of 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.

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

Bruce C. Stoltenberg, JD has no legal or disciplinary events that are material to a Client's or prospective Client's evaluation of this advisory business.

ITEM 4 - OTHER BUSINESS ACTIVITIES

The principal business is that of a Registered Investment Advisor (RIA) and provider of financial planning services.



ITEM 5 - ADDITIONAL COMPENSATION

Other than work with SoundView Advisors and any disclosures made in Items 2 and 4 above, Bruce C. Stoltenberg, JD receives no additional compensation related to outside business activities.

ITEM 6 – SUPERVISION

Bruce C. Stoltenberg, JD, is a partner of SoundView Advisors with Kevin L. Slater and Kevin M. Rigg. As such Bruce C. Stoltenberg, JD, is not supervised, but works closely with the other partners in the firm. Any may be contacted at the address or phone number on the cover page of this document.

ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS

State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.

Bruce C. Stoltenberg, JD, has never been found liable in arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Bruce C. Stoltenberg, JD, has never been the subject of a bankruptcy petition.