

# Northview Asset Management, LLC

12117 FM 2244

Building III, Suite 280

Austin, TX 78738

512-381-6900

[www.Northviewam.com](http://www.Northviewam.com)

## Form ADV Part 2B Brochure Supplement

March 23, 2020

Richard B. Williams, AIFA®

President & Chief Investment Officer

This Brochure Supplement provides information about Richard B. Williams (CRD# 2703540) that supplements the Northview Asset Management, LLC Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at 512-381-6900 or [rwilliams@northviewam.com](mailto:rwilliams@northviewam.com) if you did not receive Northview's Brochure or if you have any questions about the contents of this supplement.

### Item 2 - Educational Background and Business Experience

Mr. Williams, born in 1966, graduated from Southern Methodist University in 1989 with a B.B.A. in Accounting and Finance and in 2001 from St. Edward's University with an MBA in Finance. Mr. Williams' employment history is listed below.

|  |                    |
|--|--------------------|
| Northview Asset Management, LLC                                | 01/2014 to Present |
| Sage Advisory Services Ltd., Co., Principal, Managing Director | 10/1998 to 06/2013 |
| Tejas Securities Group, Inc., Financial Operations Principal   | 10/1995 to 10/1998 |

**Item 3 - Disciplinary Information**

Mr. Williams does not have any disciplinary information to report.

However, we do encourage you to independently view the background of Mr. Williams on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter 2703540 in the field labeled "Individual CRD Number".

**Item 4 - Other Business Activities**

Mr. Williams does not have any other business activities.

**Item 5 - Additional Compensation**

Mr. Williams does not have any additional compensation.

**Item 6 – Supervision**

Northview has a continuing responsibility to adhere to the Advisors Act, including the supervision of, and the responsibility for, portfolio managers and anyone acting on behalf of Northview to read, understand and attest to comply with the policies and procedures located within Northview's Compliance Policies and Procedures Manual.

Mr. Williams is supervised by the Northview Asset Management, LLC Board of Directors.

**Item 7 – Requirements for State Registered Advisers**

Mr. Williams does not have any additional information to disclose.

## Northview Asset Management, LLC

12117 FM 2244

Building III, Suite 280

Austin, TX 78738

512-381-6900

[www.Northviewam.com](http://www.Northviewam.com)

### Form ADV Part 2B Brochure Supplement

March 23, 2020

Michael D. Janak

Managing Director, Marketing

This Brochure Supplement provides information about Michael D. Janak (CRD# 2570868) that supplements the Northview Asset Management, LLC Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at 512-381-6900 or [williams@northviewam.com](mailto:williams@northviewam.com) if you did not receive Northview's Brochure or if you have any questions about the contents of this supplement.

#### Item 2 - Educational Background and Business Experience

Mr. Janak, born in 1965, graduated from Texas A&M University in 1987 with a B.S. in Chemical Engineering. Mr. Janak's employment is listed below.

|   |                    |
|---|--------------------|
| Northview Asset Management, LLC                               | 03/2014 to Present |
| Sanctuary Securities, Inc., Registered Representative         | 11/2019 to Present |
| World Equity Group, Inc., Registered Representative           | 03/2014 to 10/2019 |
| International Assets Advisory, LLC, Registered Representative | 04/2012 to 02/2014 |
| Woodstock Financial Group Inc., Registered Representative     | 08/2010 to 03/2012 |
| APS Financial Corporation, Registered Representative          | 08/1998 to 07/2010 |

**Item 3 - Disciplinary Information**

Mr. Janak does not have any disciplinary information to report.

However, we do encourage you to independently view the background of Mr. Janak on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter 2570868 in the field labeled "Individual CRD Number".

**Item 4 - Other Business Activities**

Mr. Janak is a registered representative of Sanctuary Securities, Inc. which is a registered broker-dealer, member FINRA, SIPC (CRD No. 205). In order to minimize any potential conflict of interest, we will not receive, directly or indirectly, any compensation for securities transactions in any client account executed through Sanctuary Securities, Inc., other than the advisory fees noted above in Item 5 Fees and Compensation in Form ADV Part 2A.

**Item 5 - Additional Compensation**

Mr. Janak does not have any additional compensation.

**Item 6 – Supervision**

Northview has a continuing responsibility to adhere to the Advisors Act, including the supervision of, and the responsibility for, portfolio managers and anyone acting on behalf of Northview to read, understand and attest to comply with the policies and procedures located within Northview's Compliance Policies and Procedures Manual.

Mr. Janak is supervised by Mr. Richard B. Williams. Mr. Williams can be reached at 512-381-6900.

**Item 7 – Requirements for State Registered Advisers**

Mr. Janak does not have any additional information to disclose.

## Northview Asset Management, LLC

12117 FM 2244

Building III, Suite 280

Austin, TX 78738

512-381-6900

[www.Northviewam.com](http://www.Northviewam.com)

### Form ADV Part 2B Brochure Supplement

March 23, 2020

Steven P. Sutton

Managing Director, Trading

This Brochure Supplement provides information about Steven Sutton (CRD# 2209120) that supplements the Northview Asset Management, LLC Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at 512-381-6900 or [williams@northviewam.com](mailto:williams@northviewam.com) if you did not receive Northview's Brochure or if you have any questions about the contents of this supplement.

#### Item 2 - Educational Background and Business Experience

Mr. Sutton, born in 1961, attended Northern Michigan University and the University of Houston. Mr. Sutton's employment history is listed below.

|   |                    |
|---|--------------------|
| Northview Asset Management, LLC                               | 03/2014 to Present |
| Sanctuary Securities, Inc., Registered Representative         | 11/2019 to Present |
| World Equity Group, Inc., Registered Representative           | 03/2014 to 10/2019 |
| International Assets Advisory, LLC, Registered Representative | 04/2012 to 03/2014 |
| Woodstock Financial Group, Inc., Registered Representative    | 09/2010 to 04/2012 |
| Crescent Securities, Registered Representative                | 08/2010 to 09/2010 |
| APS Financial Corporation, Registered Representative          | 03/1997 to 08/2010 |

**Item 3 - Disciplinary Information**

Mr. Sutton does not have any disciplinary information to report.

However, we do encourage you to independently view the background of Mr. Sutton on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter 2209120 in the field labeled "Individual CRD Number".

**Item 4 - Other Business Activities**

Mr. Sutton is a registered representative of Sanctuary Securities, Inc. which is a registered broker-dealer, member FINRA, SIPC (CRD No. 205). In order to minimize any potential conflict of interest, we will not receive, directly or indirectly, any compensation for securities transactions in any client account executed through Sanctuary Securities, Inc., other than the advisory fees noted above in Item 5 Fees and Compensation in Form ADV Part 2A.

**Item 5 - Additional Compensation**

Mr. Sutton does not have any additional compensation.

**Item 6 – Supervision**

Northview has a continuing responsibility to adhere to the Advisors Act, including the supervision of, and the responsibility for, portfolio managers and anyone acting on behalf of Northview to read, understand and attest to comply with the policies and procedures located within Northview's Compliance Policies and Procedures Manual.

Mr. Sutton is supervised by Mr. Richard B. Williams. Mr. Williams can be reached at 512-381-6900.

**Item 7 – Requirements for State Registered Advisers**

Mr. Sutton does not have any additional information to disclose.

## Northview Asset Management, LLC

12117 FM 2244

Building III, Suite 280

Austin, TX 78738

512-381-6900

[www.Northviewam.com](http://www.Northviewam.com)

### Form ADV Part 2B Brochure Supplement

March 23, 2020

Jeffrey L. Skarren

Managing Director, Investment Accounting and Operations

This Brochure Supplement provides information about Jeffrey L. Skarren (CRD# 2389283) that supplements the Northview Asset Management, LLC Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at 512-381-6900 or [williams@northviewam.com](mailto:williams@northviewam.com) if you did not receive Northview's Brochure or if you have any questions about the contents of this supplement.

#### Item 2 - Educational Background and Business Experience

Mr. Skarren, born in 1972, attended University of Phoenix. Mr. Skarren's employment history is listed below.

|   |                    |
|---|--------------------|
| Northview Asset Management, LLC                               | 02/2007 to Present |
| Sanctuary Securities, Inc., Registered Representative         | 11/2019 to Present |
| World Equity Group, Inc., Registered Representative           | 03/2014 to 10/2019 |
| International Assets Advisory, LLC, Registered Representative | 04/2012 to 02/2014 |
| Woodstock Financial Group Inc., Registered Representative     | 08/2010 to 03/2012 |
| APS Financial Corporation, Registered Representative          | 02/2007 to 07/2010 |
| Unemployed  | 09/2006 to 01/2007 |
| Tejas Securities Group, Inc., Registered Representative       | 02/2003 to 08/2006 |

**Item 3 - Disciplinary Information**

Mr. Skarren does not have any disciplinary information to report.

However, we do encourage you to independently view the background of Mr. Skarren on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter 2389283 in the field labeled "Individual CRD Number".

**Item 4 - Other Business Activities**

Mr. Skarren is a registered representative of Sanctuary Securities, Inc. which is a registered broker-dealer, member FINRA, SIPC (CRD No. 205). In order to minimize any potential conflict of interest, we will not receive, directly or indirectly, any compensation for securities transactions in any client account executed through Sanctuary Securities, Inc., other than the advisory fees noted above in Item 5 Fees and Compensation in Form ADV Part 2A.

**Item 5 - Additional Compensation**

Mr. Skarren does not have any additional compensation.

**Item 6 – Supervision**

Northview has a continuing responsibility to adhere to the Advisors Act, including the supervision of, and the responsibility for, portfolio managers and anyone acting on behalf of Northview to read, understand and attest to comply with the policies and procedures located within Northview's Compliance Policies and Procedures Manual.

Mr. Skarren is supervised by Mr. Richard B. Williams. Mr. Williams can be reached at 512-381-6900.

**Item 7 – Requirements for State Registered Advisers**

Mr. Skarren does not have any additional information to disclose.



## Summary of Professional Designations

### **AIFA® - Accredited Investment Fiduciary Analyst**

The AIFA® designation is issued by the Center for Fiduciary Studies. In order to earn and maintain the AIFA® designation, candidates must score 6 or more points on the following table and meet other prerequisite requirements for the designation.

#### Education:

Bachelors (1 point)  
Master's (2 points)  
Doctorate/JD (3 points)

#### Professional Development:

Tier 1 Securities license Series 7, Series 63 and/or Series 66 (1-point max)  
Tier 2 Credentials of AAMS, CRPS, PPC or comparable (1-point each)  
Tier 3 Credentials of CFA, CFP®, CIMA®, CPA, CLU, ChFC (2-points each)

#### Relevant Industry Experience:

Less than 2 years (0 points)  
2-4 years (1 point)  
5-7 years (2 points)  
8-10 years (3 points)  
11-13 years (4 points)  
14 or more years (5 points)

#### Auditing Experience:

Includes financial audits, fiduciary assessments, IOS audits or comparable auditing experience for 2 or more years (2 points)

#### Examination:

Complete the AFIA® certification examination

#### Continuing Education:

Annually complete 10 hours of continuing education