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# James C. Pinney

Pinney & Scofield, Inc.

Brochure Supplement Dated 3/31/2014

Contact: James C. Pinney, Chief Compliance Officer 22 Hilliard Street Cambridge, MA 02138 www.pinneyandscofield.com

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This Brochure Supplement provides information about James C. Pinney that supplements the Pinney & Scofield, Inc. Brochure; you should have received a copy of that Brochure. Please contact James C. Pinney, Chief Compliance Officer, if you did *not* receive Pinney & Scofield, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about James C. Pinney is available on the SEC's website at <a href="https://www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>

### **Item 2 Education Background and Business Experience**

James C. Pinney was born in 1944. Mr. Pinney graduated from Harvard College in 1967, with a degree in General Studies. Mr. Pinney has been employed by Pinney & Scofield, Inc. since December of 1984, most recently as the Chief Compliance Officer.

Mr. Pinney has held the designation of Certified Financial Planner (CFP®) since 1985. The CFP® designation identifies individuals who have completed the mandatory examination, education, experience, and ethics requirements mandated by the CFP Board. Candidates must have at least three years of qualifying work experience that relates to financial planning. Candidates are required to hold a bachelors degree from an accredited university. CFP® candidates must pass an examination that covers over 100 financial planning topics, which broadly include: general principles of financial planning, insurance planning and risk

management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning. Finally, candidates have ongoing ethics requirements and oversight by the CFP Board.

Mr. Pinney has been a CFA® Charter Holder since 1995. CFA® designates an international professional certificate that is offered by the CFA Institute. Candidates that pursue the certification have in-depth knowledge of securities types and investment vehicles. In order to qualify for a CFA® Charter Holder designation, candidates must meet standards for examination, education, experience, and ethics. First, candidates must possess a bachelor's degree from an accredited school, or its equivalent. Second, candidates must have completed 48 months of qualified professional work experience, generally related to evaluating or applying financial, economic, and/or statistical data as part of the investment decision-making process involving securities or similar investment. Third, candidates must pass a series of three six-hour exams that covers ethics, quantitative methods, economics, corporate finance, financial reporting and analysis, security analysis, and portfolio management. Finally, candidates must meet and continue to adhere to a strict Code of Ethics and Standards governing their professional conduct, as reviewed by the CFA Institute.

## **Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, James C. Pinney, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Pinney at (617) 492-6223.

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# John Robert Goddard

Pinney & Scofield, Inc.

Brochure Supplement
Dated 3/31/2014

Contact: James C. Pinney, Chief Compliance Officer
22 Hilliard Street
Cambridge, MA 02138
www.pinneyandscofield.com

B.

This Brochure Supplement provides information about John Robert Goddard that supplements the Pinney & Scofield, Inc. Brochure; you should have received a copy of that Brochure. Please contact James C. Pinney, Chief Compliance Officer, if you did *not* receive Pinney & Scofield, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about John Robert Goddard is available on the SEC's website at www.adviserinfo.sec.gov

# **Item 2 Education Background and Business Experience**

John Robert Goddard was born in 1973. Mr. Goddard graduated from Bentley College in 1996, with a degree in Economics-Finance. Mr. Goddard has been with Pinney & Scofield, Inc. since May of 2007, most recently as the Firm's Treasurer and a relationship manager. From January of 2004 to May of 2007 Mr. Goddard was a paraplanner of Ameriprise Financial Services, Inc.

Mr. Goddard has held the designation of CERTIFIED FINANCIAL PLANNER™ professional (CFP®) since November of 2004. The CFP® designation identifies individuals who have completed the mandatory examination, education, experience, and ethics requirements mandated by the CFP Board. Candidates must have at least three years of qualifying work experience that relates to financial planning. Candidates are required to hold a bachelors degree from an accredited university. CFP® candidates must pass an examination that covers over 100 financial planning topics, which broadly include: general principles of financial planning, insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning. Finally, candidates have ongoing ethics requirements and oversight by the CFP Board.

## **Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

# **Item 5 Additional Compensation**

None.

# **Item 6 Supervision**

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# Richard A. Seeley

Pinney & Scofield, Inc.

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Cambridge, MA 02138
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This Brochure Supplement provides information about Richard A. Seeley that supplements the Pinney & Scofield, Inc. Brochure; you should have received a copy of that Brochure. Please contact James C. Pinney, Chief Compliance Officer, if you did *not* receive Pinney & Scofield, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about Richard A. Seeley is available on the SEC's website at www.adviserinfo.sec.gov

### **Item 2 Education Background and Business Experience**

Richard A. in 1962. Seeley was born Mr. Seeley graduated from Rensselaer Polytechnic Institute in 1984, with a Bachelor of Science degree in Engineering and from the University of West Florida in 1990 with a Master of Business Administration degree. Mr. Seeley has been an investment adviser representative of Pinney & Scofield, Inc. since July of 2013. From December of 2009 to August of 2013, Mr. Seeley was the Executive Vice President of ARC Investment Planning & Management Inc. and the Executive Vice President of WS

Securities, Inc. From November of 2001 to November of 2009, Mr. Seeley was the Senior Vice President, Secretary, and CFO of American Investment services, Inc.

## **Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

# **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, James C. Pinney, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Pinney at (617) 492-6223.