

**Kaye Riggs & Associates**

5530 Greens Road

Houston, TX 77032

800-832-9682

**800-832-9682**

Form ADV Part 2B – Brochure Supplement

*For*

**Kaye Riggs**

Sole Proprietor and Chief Compliance Officer

Dated September 17, 2013

This brochure supplement provides information about Kaye Riggs that supplements the Kaye Riggs & Associates brochure. A copy of that brochure precedes this supplement. Please contact Mr. Riggs if the Kaye Riggs & Associates brochure is not included with this supplement or if you have any questions about the contents of this supplement.

Additional information about Kaye Riggs is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

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**Kaye Riggs**

Born: 1954

### **Educational Background**

Kaye Riggs attended National University from 1981 to 1984 with a concentration in both Business and English. He also accumulated approximately three years of collegiate credit through the College Board's College-Level Examination Program®, police academy attendance, and classes at Pasadena City College and Mt. San Antonio College.

### **Business Experience**

- 2013 – Present, Kaye Riggs & Associates, Sole Proprietor and Chief Compliance Officer
- 2010 – 2013, PKS Advisory Services, LLC – Investment Adviser Representative
- 1987 – 2009, Continental Airlines, Inc. – Captain & Airline Pilot

## Item 3: Disciplinary Information

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Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

## Item 4: Other Business Activities

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Mr. Riggs is not involved in any other business activities.

## Item 5: Additional Compensation

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Other than salary, annual bonuses, or regular bonuses, Mr. Riggs does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Kaye Riggs & Associates.

## Item 6: Supervision

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Mr. Riggs is Sole Proprietor and as Chief Compliance Officer of Kaye Riggs & Associates is responsible for supervision. He may be contacted at the phone number on this brochure supplement.

## Item 7: Requirements for State Registered Advisers

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1. Mr. Riggs has NOT been involved in any of the events listed below.
  - a. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - i. An investment or an investment-related business or activity;
    - ii. Fraud, false statements, or omissions;
    - iii. Theft, embezzlement, or other wrongful taking of property;
    - iv. Bribery, forgery, counterfeiting, or extortion; or
    - v. Dishonest, unfair, or unethical practices.
  - b. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - i. An investment or an investment-related business or activity;
    - ii. Fraud, false statements, or omissions;
    - iii. Theft, embezzlement, or other wrongful taking of property;
    - iv. Bribery, forgery, counterfeiting, or extortion; or
    - v. Dishonest, unfair, or unethical practices.
2. Mr. Kaye has been the subject of a bankruptcy petition. On February 12, 2008, Mr. Riggs filed for bankruptcy. He is currently making the required payments to the bankruptcy trustee.