

**Part 2B of Form ADV: *Brochure Supplement***

**Richard E. Hamilton, Jr.**

**Alan D. Bates II**

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**This brochure supplement provides information about Richard E. Hamilton, Jr. and Alan D. Bates II that supplements the Hamilton-Bates Investment Research Inc brochure. You should have received a copy of that brochure. Please contact Richard E. Hamilton, Jr. or Alan D. Bates II if you did not receive Hamilton-Bates Investment Research Inc's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Richard E. Hamilton, Jr. and Alan D. Bates II is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for Richard E. Hamilton, Jr. is 2080587 and the CRD number for Alan D. Bates II is 2137050.**

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

### **Alan D. Bates II, CMT**

Alan Bates is a 1991 graduate of Villanova University in Villanova Pa., where he received a Bachelor of Arts degree in Economics.

Upon graduation he worked in the financial services industry as a registered representative and financial consultant.

In 1992 he took a position with Clark Capital Management Group (CCMG) in the operations department. From there he moved to Marketing then Investment Management. There he served on the portfolio management team and was part of the group responsible for investment management and strategy development.

In 1996 he left to form Bates Capital Advisors, a consulting firm that worked with financial institutions to develop investment programs and acted as sub-advisor managing client assets.

In 1998 Alan co-founded Hamilton-Bates Investment Research with Richard Hamilton. Currently Alan is Investment Officer for Hamilton-Bates.

Alan passed the series 7 and 65 exams, and is a holder of the Chartered Market Technician designation. Alan is also a member of the Market Technician's Association.

### **Richard E. Hamilton Jr.**

Richard Hamilton is a 1984 graduate of Villanova University. He received a Bachelor of Science degree in Operations Management.

Upon graduation Mr. Hamilton leased a seat on the Philadelphia Stock Exchange through member firm, Crompton Froehlich Inc. He traded equity options from 1985-1990.

In 1990 he took a position with Clark Capital Management Group (CCMG) in their Finance Department. Mr. Hamilton served as the controller of CCMG from 1991-1996, at which point he took a position with Star Paper Company.

Mr. Hamilton served as CFO for Star. He also implemented and assisted in the design of cieTrade, an operational solution for pulp and paper brokerage operations. Mr. Hamilton served in this capacity through 1998.

Currently, Mr. Hamilton is President and CEO of Hamilton-Bates Investment Research Incorporated (HBIR), a Registered Investment Advisor.

### **Item 3 Disciplinary Information**

#### **Alan D. Bates II, CMT**

There have been no disciplinary actions against this person by any regulatory agency, nor does the individual have a criminal record.

#### **Richard E. Hamilton Jr.**

There have been no disciplinary actions against this person by any regulatory agency, nor does the individual have a criminal record.

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

#### **Alan D. Bates II, CMT**

There are no other outside business activities by this person.

#### **Richard E. Hamilton Jr.**

There are no other outside business activities by this person.

### **Item 5 Additional Compensation**

#### **Alan D. Bates II, CMT**

Compensation is a fixed salary for this person.

#### **Richard E. Hamilton Jr.**

Compensation is a fixed salary for this person.

### **Item 6 Supervision**

Hamilton-Bates depends on cross-supervision by investment persons, as well as external Regulatory supervision and assistance with compliance matters through an outside paid consultant.

### **Item 7. Requirements for State-Registered Advisers**

#### **Alan D. Bates II, CMT**

Mr. Bates has never been the subject of a bankruptcy petition nor has he ever been involved in any of the following events:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - (a) an investment or an investment-related business or activity;
  - (b) fraud, false statement(s), or omissions;
  - (c) theft, embezzlement, or other wrongful taking of property;
  - (d) bribery, forgery, counterfeiting, or extortion; or
  - (e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - (a) an investment or an investment-related business or activity;
  - (b) fraud, false statement(s), or omissions;
  - (c) theft, embezzlement, or other wrongful taking of property;
  - (d) bribery, forgery, counterfeiting, or extortion; or
  - (e) dishonest, unfair, or unethical practices.

**Richard E. Hamilton Jr.**

Mr. Hamilton has never been the subject of a bankruptcy petition nor has he ever been involved in any of the following events:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - (a) an investment or an investment-related business or activity;
  - (b) fraud, false statement(s), or omissions;
  - (c) theft, embezzlement, or other wrongful taking of property;
  - (d) bribery, forgery, counterfeiting, or extortion; or
  - (e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - (a) an investment or an investment-related business or activity;
  - (b) fraud, false statement(s), or omissions;
  - (c) theft, embezzlement, or other wrongful taking of property;
  - (d) bribery, forgery, counterfeiting, or extortion; or
  - (e) dishonest, unfair, or unethical practices.