



E.K. Riley Investments, LLC  
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Seattle, WA 98101  
206-832-1520  
Web Address: [www.ekriley.com](http://www.ekriley.com)

Part 2B of Form ADV: Brochure Supplement for

**Taeya Christina Lauer, CRD 2375835**  
**1420 5<sup>th</sup> Avenue, Suite 3300**  
**Seattle, WA 98101**  
**206-832-1659**

February 2012

This brochure supplement provides information about Taeya Christina Lauer that supplements the E.K. Riley Investments, LLC brochure. You should have received a copy of that brochure. Please contact Alexis Vanden Bos, CCO ([alexis.vandenbos@ekriley.com](mailto:alexis.vandenbos@ekriley.com)) if you did not receive E.K. Riley Investments, LLC's brochure or if you have any questions about the contents of this supplement.

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

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

**Full Legal Name:** Taeya Christina Lauer      **Born:** 1971

### **Education**

- Bachelor of Arts, Business/Finance; Western Washington University, 1993

### **Business Experience**

- E.K. Riley Investments, LLC; Investment Advisor Representative; 9/10-Present
- E.K. Riley Investments, LLC; Registered Representative; 9/10-Present
- D.A. Davidson & Co.; Financial Consultant; 8/97-9/10
- D.A. Davidson & Co.; Registered Representative; 7/99-9/10
- D.A. Davidson & Co.; Investment Advisor Representative; 9/02-9/10
- Davidson Investment Advisors, Inc.; Investment Advisor Representative; 9/02-11/09

## **Item 3 Disciplinary Information**

Taeya Lauer has no legal or disciplinary events that would impact a client's or prospective client's evaluation of her. Further information regarding Taeya Lauer can be found via the BrokerCheck link ([www.finra.org/brokercheck](http://www.finra.org/brokercheck)) and the IAPD link ([www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)).

## **Item 4 Other Business Activities**

E.K. Riley Investments, LLC is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients.

### **A. Investment-Related Activities**

1. Taeya Lauer is also engaged in the following investment-related activities:

#### **Registered representative of a broker-dealer**

E.K. Riley Investments, LLC is dually registered as both a broker-dealer and a registered investment adviser.

Taeya Lauer is a registered representative of E.K. Riley's broker-dealer. As a registered representative, Taeya Lauer earns commissions, 12b-1 fees, trailers and other sales-related forms of compensation. This presents a conflict of interest to the extent that Taeya Lauer recommends that a client invest in a security which results in a commission being paid to him, and in particular when commissions may be in addition to or higher than advisory fees.

#### **Licensed to sell insurance products**

E.K. Riley Investments, LLC is a licensed insurance agency and although Taeya Lauer's insurance license is currently inactive, she has previously been licensed as an insurance producer. As an insurance producer,

Taeya Lauer earns commissions, trailers and other sales-related forms of compensation. This presents a conflict of interest to the extent that Taeya Lauer recommends that a client purchase an insurance product which results in a commission being paid to him, and in particular when commissions may be in addition to or higher than advisory fees.

2. Because Taeya Lauer receives commissions, bonuses or other compensation on the sale of securities, insurance or other investment products this practice provides an incentive to recommend products based on the compensation received, rather than on the client's needs. The implementation of any or all recommendations by a registered representative or insurance producer is solely at the discretion of the client.

## **B. Non Investment-Related Activities**

Taeya Lauer is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of her time.

### **Item 5 Additional Compensation**

Taeya Lauer does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** Edward Riley

**Title:** Chairman & CEO

**Phone Number:** 206.832.1520

Upon the opening of each advisory account, the client's investment objectives and strategy are reviewed for consistency with the advisory program's guidelines.

Trading activity in client accounts is reviewed on a next day basis reviewing for suitability of transactions.

Subsequently, accounts are reviewed on a monthly, quarterly or annual basis. The frequency and nature of the review is dependent on a number of factors and situations, such as: whether the account is managed on a discretionary basis, the particular advisory program, the level of activity, and the investment objective of the account.