



E.K. Riley Investments, LLC  
1420 5<sup>th</sup> Avenue, Suite 3300  
Seattle, WA 98101  
206-832-1520  
Web Address: [www.ekriley.com](http://www.ekriley.com)

Part 2B of Form ADV: Brochure Supplement for

**Daniel Homer Burr, CRD 1280957**  
**1420 5<sup>th</sup> Avenue, Suite 3300**  
**Seattle, WA 98101**  
**206-832-1632**

February 2012

This brochure supplement provides information about Daniel Homer Burr 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 Daniel Homer Burr 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:** Daniel Homer Burr

**Born:** 1936

### **Education**

- Bachelor of Arts, International Business/Marketing; San Francisco State University, 1964

### **Business Experience**

- E.K. Riley Investments, LLC; Investment Advisor Representative; 2/08-Present
- E.K. Riley Investments, LLC; Registered Representative; 7/05-Present
- E.K. Riley Advisors, LLC; Investment Adviser Representative; 7/05-12/07
- RBC Dain Rauscher Inc.; Registered Representative; 3/98-7/05
- RBC Dain Rauscher Inc.; Investment Adviser Representative; 9/96-7/05

## **Item 3 Disciplinary Information**

In 1999, while employed at Dain Rauscher a complaint was filed against Dan Burr. Although the account was profitable, allegations were made regarding the number of trades in the account, suitability of investments and whether Dan had met his fiduciary responsibility. The complaint was denied and closed. No monetary compensation was paid. Further information regarding Dan Burr can be found via the BrokerCheck link ([www.finra.org/brokercheck](http://www.finra.org/brokercheck)).

## **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. Dan Burr 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.

Dan Burr is a registered representative of E.K. Riley's broker-dealer. As a registered representative, Dan Burr earns commissions, 12b-1 fees, trailers and other sales-related forms of compensation. This presents a conflict of interest to the extent that Dan Burr 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.

2. Because Dan Burr receives commissions, bonuses or other compensation on the sale of securities 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. Investment-Related Activities**

Dan Burr is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

### **Item 5 Additional Compensation**

Dan Burr 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.