



E.K. Riley Investments, LLC  
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Part 2B of Form ADV: Brochure Supplement for

**Alexis Leigh Vanden Bos**  
**1420 5<sup>th</sup> Avenue, Suite 3300**  
**Seattle, WA 98101**  
**206-832-1625**

June 2012

This brochure supplement provides information about Alexis Leigh Vanden Bos that supplements the E.K. Riley Investments, LLC brochure. You should have received a copy of that brochure. Please contact Edward Riley, CEO ([edward.riley@ekriley.com](mailto:edward.riley@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 Alexis Leigh Vanden Bos 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:** Alexis Leigh Vanden Bos      **Born:** 1952

### **Education**

- Highline Community College
- Cornish College of the Arts
- University of Washington

### **Business Experience**

- E.K. Riley Investments, LLC; Chief Compliance Officer; 2/09-Present
- E.K. Riley Investments, LLC; Supervisor; 1/07-2/09
- E.K. Riley Investments, LLC; Investment Adviser Representative; 6/03-Present
- E.K. Riley Investments, LLC; Registered Representative; 6/03-Present

## **Item 3 Disciplinary Information**

Alexis Vanden Bos has no legal or disciplinary events that would impact a client's or prospective client's evaluation of him. Further information regarding Alexis Vanden Bos 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. Alexis Vanden Bos 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.

Alexis Vanden Bos is a registered representative of E.K. Riley's broker-dealer. As a registered representative, Alexis Vanden Bos earns commissions, 12b-1 fees, trailers and other sales-related forms of compensation. This presents a conflict of interest to the extent that Alexis Vanden Bos 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 Alexis Vanden Bos is licensed as an insurance producer. As an insurance producer, Alexis Vanden Bos earns commissions, trailers and other

sales-related forms of compensation. This presents a conflict of interest to the extent that Alexis Vanden Bos 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 Alexis Vanden Bos 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**

Alexis Vanden Bos 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**

Alexis Vanden Bos 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.