



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

John Randolph Bender, CRD # 1986860
1420 5th Avenue, Suite 3300
Seattle, WA 98101
206-832-1662

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This brochure supplement provides information about John Randolph Bender that supplements the E.K. Riley Investments, LLC brochure. You should have received a copy of that brochure. Please contact Alexis Vanden Bos 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 John Randolph Bender is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Educational, Background and Business Experience

Full Legal Name: John Randolph Bender

Born: 1958

Education

- Bachelor of Arts, Economics/Finance; University of Puget Sound, 1981

Business Experience

- E.K. Riley Investments, LLC; SVP, Executive Managing Director, Financial Services Group; 10/10-Present
- E.K. Riley Investments, LLC; Investment Advisor Representative; 10/10-Present
- E.K. Riley Investments, LLC; Registered Representative; 10/10-Present
- D.A. Davidson & Co.; SVP, Branch Manager, Financial Consultant; 12/04-9/10
- D.A. Davidson & Co.; Registered Representative; 9/98-10/10
- D.A. Davidson & Co.; Investment Advisor Representative; 7/02-10/10
- Davidson Investment Advisors, Inc.; Investment Advisor Representative; 1/02-11/09

Item 3 Disciplinary Information

John Bender has no reportable disciplinary history.

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. John Bender 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.

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

John Bender is a Director for Solid State Cooling, Inc. in Pleasant Valley, NY. He is also a business consultant to the company and has helped them raise money. He began in 1994 and may spend up to 4 hours per quarter in this activity. He is paid \$1500 for each Board meeting he attends. Solid State Cooling, Inc. is a privately held company providing cooling equipment to various industries. John does own shares in the company.

Item 5 Additional Compensation

John Bender 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.