

**E.K. RILEY**  
INVESTMENTS, LLC

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)  
SEC Filing # 801-78547

Part 2B of Form ADV: Brochure Supplement for Advisor:

**Nicholas Van Noort, CRD 6145851**  
**10120 South Eastern Avenue, Suite 236**  
**Henderson, NV 89052**  
**702-745-1800**

October 2019

**This Brochure Supplement provides information about your Advisor that supplements the E.K. Riley Investments, LLC brochure. You should have received a copy of that brochure. If you did not receive the E.K. Riley Investments, LLC brochure or if you have any questions about the contents of this supplemental brochure please contact the E.K. Riley Compliance Department at 206-832-1520.**

**Additional information about your Advisor and E.K. Riley Investments, LLC 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:** Nick Van Noort

**Born:** 1982

**Education:** Bachelor of Science – Business Administration, University of Phoenix 2015

### **Business Experience:**

- E.K. Riley Investments, LLC; Investment Advisor and Registered Representative; 2019-Present
- Personal Capital Advisors Corporation; Financial Advisor; 2017-2018
- Fidelity Brokerage Services, LLC; Investment Consultant; 2015-2017
- JP Morgan Securities, LLC; Licensed Banker; 2014-2015
- JPMorgan Chase Bank; Relationship Banker; 2014-2015

## Item 3 - Disciplinary Information

Advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of their services. Information regarding Mr. Van Noort 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

We are obligated to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with our advisory services.

### **Registered Representative of E.K. Riley Investments, LLC.**

As a registered representative, Mr. Van Noort may earn commissions, fees, trails or other forms of compensation for brokerage-related activities. This presents a potential conflict of interest to the extent that recommendations and charges to brokerage clients may differ from those related to advisory clients.

### **Other Activities**

Mr. Van Noort 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

Mr. Van Noort does not receive compensation for the advisory services that may be offered to you, from anyone other than E.K. Riley Investments, LLC.

## Item 6 - Supervision

E.K. Riley Investments, LLC has developed a Code of Conduct (the "Code") to support our value statement, protect the interests of our clients and reinforce our reputation for integrity. The Code summarizes the standards of conduct which we feel are critical. All associates are required to certify upon hire and annually thereafter that they have received a copy of the Code, that they have read and understand it and that they agree to comply with its terms.

Advisors are supervised by Joanne M. Salisbury, Chief Compliance Officer, at 206-832-1661.

Upon the opening of each advisory account, the client's investment objectives and strategy are reviewed for consistency with the advisory program's guidelines. Accounts, trades and fees may be reviewed on a monthly, quarterly or annual basis to determine that transactions align with the client's investment policy statement. 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.