

RISE Investment Management, LLC
Part 2B of Form ADV: *Brochure Supplement*
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Thomas Van Spankeren, CFA®, CFP®
(708) 860-4112
thomas@riseinvestmentsusa.com



134 N LaSalle St., STE 1760
Chicago, Illinois 60602
<https://riseinvestmentsusa.com/>

This brochure supplement provides information about Thomas Van Spankeren that supplements the RISE Investment Management, LLC Firm Brochure. You should have received a copy of that Firm Brochure. Please contact Vincent DeCrow if you did not receive RISE Investment Management, LLC's Firm Brochure or if you have any questions about the contents of this supplement.

Additional information about Thomas Van Spankeren is available on the SEC's website at www.adviserinfo.sec.gov or RISE Investment Management, LLC's website at www.riseinvestmentsusa.com.



Item 2. Educational Background and Business Experience

Name

Thomas Van Spankeren

Year of Birth

1992

Formal Education After High School

University of Illinois Urbana-Champaign, Bachelor of Science, May 2015

- Finance

Business Background

RISE Investment Management, LLC

- Principal
- 2024 – Present

Bank of America Private Bank (f.k.a U.S. Trust)

- Portfolio Manager II: 2022 - 2024
- Portfolio Manager I: 2020 – 2022
- Portfolio Manager Associate: 2017-2020

Duff & Phelps, LLC

- Senior Associate, Valuation Advisory
- 2015 – 2017

Exams, Licenses & Other Professional Designations

Certified Financial Planner, CFP®

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services
- Attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university)
- Pass the comprehensive CFP® Certification Examination
- Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP® Board's Standards of Professional Conduct.

Individuals who become certified must complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial industry and renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

Chartered Financial Analyst, CFA®

The CFA Charter is a globally recognized designation that attests to success in a rigorous and comprehensive study program in the investment management and research industry and a commitment



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to ethical conduct. As a CFA Charterholder, Thomas is held to a standard of loyalty, prudence, and care in all his interactions with clients and must act for the benefit of our clients and place our clients' interests above our own. Thomas is bound to comply with any legally required fiduciary duty.

Item 3. Disciplinary Information

Neither RISE Investment Management, LLC, or Thomas Van Spankeren have any material legal or disciplinary events to disclose.

Item 4. Other Business Activities

Thomas Van Spankeren does not have any outside business activities to report.

Item 5. Additional Compensation

Neither RISE Investment Management, LLC or Thomas Van Spankeren receive any economic benefit for providing advisory services other than those described in RISE Investment Management LLC's Form ADV Part 2A.

Item 6. Supervision

Vincent DeCrow is the Chief Compliance Officer of RISE Investment Management, LLC. As such, he is responsible for all advice provided to clients and supervision over Thomas Van Spankeren. His contact information is as follows:

*Vincent DeCrow
RISE Investment Management, LLC
134 N LaSalle St., STE 1760
Chicago, Illinois 60602
440.655.8807*

Item 7. Requirements for State-Registered Advisors

Arbitration Claims and Proceedings

Neither RISE Investment Management, LLC or Thomas Van Spankeren have been involved or found liable in an arbitration claim alleging damages in excess of \$2,500 involving any of the following:

- An investment or an investment-related business or activity;
- Fraud, false statement(s), or omissions;
- Theft, embezzlement, or other wrongful taking of property;
- Bribery, forgery, counterfeiting, or extortion; or
- Dishonest, unfair, or unethical practices.



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Neither RISE Investment Management, LLC or Thomas Van Spankeren have been involved in or found liable in civil, self-regulatory organization, or administrative proceedings involving any of the following:

- An investment or an investment-related business or activity;
- Fraud, false statement(s), or omissions;
- Theft, embezzlement, or other wrongful taking of property;
- Bribery, forgery, counterfeiting, or extortion; or
- Dishonest, unfair, or unethical practices.

Bankruptcy Petitions

Neither RISE Investment Management, LLC or Thomas Van Spankeren have been the subject of any bankruptcy petitions.