



39015 Bel Air Drive
Cathedral City, CA 92234
213-596-8399

Form ADV, Part 2B
Firm Brochure Supplement

March 12, 2019

www.WinslowDrake.com
CRD # 286638

Susan B. Reilly
CRD # 5813561

This **Brochure Supplement** has been prepared by Haddon B. Libby DBA Winslow Drake (hereinafter referred to as the "Company") on March 12, 2019 for Susan B. Reilly.

This Brochure supplement provides information about Susan B. Reilly that supplements the Winslow Drake brochure. You should have received a copy of that brochure. Please contact us at 213-596-8399, HLibby@WinslowDrake.com or 39015 Bel Air Dr., Cathedral City, CA 92234 if you did not receive Winslow Drake's brochure or if you have any questions about the contents of this supplement.

Additional information about Susan B. Reilly is available on the SEC's website at www.adviserinfo.sec.gov and www.WinslowDrake.com.

Item 2 - Educational Background and Business Experience

Susan B. Reilly, 62, joined Winslow Drake in March 2017 as Managing Director. Ms. Reilly has been a Certified Treasury Professional since 1992.

With more than thirty years of finance industry experience, Ms. Reilly has a diversified financial background working in a variety of industries from banks and financial services such as East West Bank, Western Bancorp and Ministry Partners, to fortune 500 companies in Real Estate development, Big Box retail, and restaurant concepts, where she has served as the Chief Financial Officer, Treasurer or Assistant Treasurer. She also has experience consulting for various fortune 500 companies such as Honda Finance and Valeant Pharmaceuticals.

Ms. Reilly received her Series 7, 24, 27, 99 when she worked for Ministry Partners as their Senior Vice President Chief Financial Officer of both the securities broker and the parent company which was a CUSO (Credit Union Service Organization). She also holds her Health and Life Insurance licenses.

Ms. Reilly formed an insurance agency under on May 18, 2018 with California Department of Insurance on May 18, 2018.

Ms. Reilly also provides consulting services to businesses with services that include accounting and treasury department operations.

Ms. Reilly graduated from University of California - Riverside with a Bachelor of Science degree in Economics. She has also taken post graduate classes in Finance at California State University Fullerton. While at East West Bank, she attended University of Southern California, Marshall School of Business - Executive Leadership program in 2006.

Ms. Reilly is a Board member of Financial Executives' International's Orange County Chapter and chairs the Sponsorship committee. She is also a member of the National Association of Corporate Directors.

Ms. Reilly has taken the Series 65 examination in order to operate as a state-registered investment advisor.

It should be noted that passing any Series examination does not mean that such individual is registered or licensed.

Item 3 - Disciplinary Information

Susan Reilly has never had any legal or disciplinary actions taken against him. Please go to FINRA's BrokerCheck link at www.finra.org/brokercheck for more information. Additional information can also be found in the Firm Brochure for Winslow Drake.

More specifically, Susan Reilly (hereafter referred to as "supervised person") has never been party to:

- A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses. The supervised person has never been the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses; was found to have been involved in a violation of an investment-related statute or regulation; or was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person was found to have caused an investment-related business to lose its authorization to do business; or was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending the supervised person's association with an investment-related business; (c) otherwise significantly limiting the supervised person's investment-related activities; or (d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. A self-regulatory organization (SRO) proceeding in which the supervised person was found to have caused an investment-related business to lose its authorization to do business; or was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.00.
- D. Any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. The supervised person has never resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment).

Item 4 - Other Business Activities

Susan B. Reilly is a Certified Treasury Professional and is a Board member of Financial Executive Internationals' Orange County Chapter. This requires approximately 2 hours per month. Additionally, Ms. Reilly works as a consultant for compensation from time to time and is in the process of starting an insurance practice. All told, Ms. Reilly is involved in Outside Business Interests that can consume up to 160 hours a month.

Ms. Reilly receives compensation from Other Business Activities as discussed in Item 5.

Item 5 - Additional Compensation

In addition to her work at Winslow Drake, Susan Reilly works as a consultant for compensation. Consulting contracts are unrelated to Winslow Drake or clients with assets at Winslow Drake.

Item 6 - Supervision

Haddon Libby supervises the work of Susan Reilly. Please refer to Item 11 of Form ADV Part 2A as it relates to our Code of Ethics. In short, we have a fiduciary duty to clients and conduct our financial affairs to avoid putting our personal interests ahead of our clients. As a fiduciary, we must act in a clients' best interests at all times.

All client funds are held by third party custodians such as TD Ameritrade Institutional, Paychex Retirement Services, Pentegra Retirement Services, John Hancock Distributors, Fidelity Investments as well as other service providers that may be required from time to time.

Item 7 - Requirements for State-Registered Advisers

Susan Reilly has never had or paid an award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500, involving 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.

Susan Reilly has never had or paid an award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving 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.

Susan Reilly has never been the subject of a bankruptcy petition.

