



## Form ADV Part 2B Brochure Supplement

May 18, 2023

### Individuals covered by this supplement include:

Charles E. Carrick

William B. Mann

Sheryl W. Austin

Brendan G. Stringer

Charles G. Carrick

Jennifer M. Windsor

Jeffrey W. Hwang

#### Located At:

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(949) 718-1600

This brochure supplement provides information about the above listed individuals that supplements the Beacon Pointe Advisors, LLC brochure. You should have already received a copy of that brochure. Please contact us at 949-718-1600 if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about the above listed individuals is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

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# CHARLES E. CARRICK, CFP®, ChFC®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Charles E. Carrick, CFP®, ChFC®, Partner, Managing Director, b. 1959

### *Education:*

BS, Administrative Science, Minor in Accounting, Guilford College

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2021-Present

Agent, Beacon Pointe Insurance Services, LLC, 2021-Present

Managing Partner, DMJ Wealth Advisors, LLC, 2001-2021

Registered Representative, ProEquities, Inc, 2000-2019

## Professional Designations

Charles Carrick holds the following professional designations:

### *Certified Financial Planner*

The CERTIFIED FINANCIAL PLANNER™ and CFP® (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. The CFP® is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. CFP® certificate holders are bound by CFP® Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

### *Chartered Financial Consultant*

The ChFC® designation has been a mark of excellence for financial planners for almost thirty years and currently requires more courses than any other financial planning credential. The curriculum covers extensive education and application training in all aspects of financial planning, income taxation, investments, and estate and retirement planning.

To attain the right to use the ChFC® marks, take a proctored exam for each course of study, have 3 years of full-time, relevant business experience within the five years preceding the awarding of the designation, and complete a minimum of 30 hours continuing education every two years. More

information regarding the ChFC® can be found at <https://www.theamericancollege.edu/designations-degrees/ChFC>.

### **ITEM 3 - DISCIPLINARY INFORMATION**

Charles Carrick has no disciplinary history to disclose.

### **ITEM 4 - OTHER BUSINESS ACTIVITIES**

In addition to his role with Beacon Pointe Advisors, LLC, Charles Carrick is a licensed insurance agent for Beacon Pointe Insurance Services, LLC (“BPIS”). Beacon Pointe Advisors, LLC is affiliated with BPIS. BPIS is a licensed insurance agency. BPIS receives commissions on insurance products client purchase, and Charles Carrick is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Charles Carrick an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. Clients are not obligated to act on any insurance recommendations or place any transactions through Charles Carrick or BPIS if they decide to follow Mr. Carrick’s recommendations.

Charles Carrick serves as Partner for DMJ Properties, an entity which owns property which is leased by DMJ entities. These activities account for a de minimis amount of Mr. Carrick’s time.

### **ITEM 5 - ADDITIONAL COMPENSATION**

Charles Carrick’s compensation comes from his regular salary and ownership of Beacon Pointe Advisors, LLC. The additional compensation that Charles Carrick is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Charles Carrick may receive profit allocated from his interest as a Partner of DMJ Properties, an entity which owns property which is leased by DMJ entities.

### **ITEM 6 - SUPERVISION**

Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer monitors the advice provided by Charles E. Carrick for consistency with client objectives and Beacon Pointe Advisors, LLC’s policies. She can be reached at 949-718-1600.

# JEFFERY W. HWANG, CFP®, CRPC®,

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Jeffery W. Hwang, CFP®, CRPC®,** Partner, Managing Director b. 1976

### *Education:*

BA, Music Composition, Davidson College

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors LLC, 2021-Present

Agent, Beacon Pointe Insurance Services, LLC, 2021-Present

Partner, DMJ Wealth Advisors, 2009-2021

Registered Representative, ProEquities, Inc, 2009-2019

## Professional Designations

Jeff W. Hwang holds the following professional designations:

### *Certified Financial Planner*

The CERTIFIED FINANCIAL PLANNER™ and CFP® (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. The CFP® is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. CFP® certificate holders are bound by CFP® Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

### *Chartered Retirement Planning Counselor<sup>SM</sup>*

The CRPC® designation is a retirement planning credential awarded by the College for Financial Planning® to individuals who meet its educational, examination and ethical requirements. To earn a CRPC® designation, candidates are required to have completed the CRPC® Designation Program, a self-taught educational program focused on various pre- and post- retirement needs of individuals. Recipients are further required to have successfully passed a multiple-choice examination addressing a range of retirement-related matters, such as estate planning and asset management. On an ongoing basis, CRPC® designees are also required to affirm their adherence to the applicable Code of Ethics and complete at least 16 hours of continuing education every two years.

### ITEM 3 - DISCIPLINARY INFORMATION

Jeffery Hwang has no disciplinary history to disclose.

### ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Jeffrey Hwang is a licensed insurance agent for Beacon Pointe Insurance Services, LLC (“BPIS”). Beacon Pointe Advisors, LLC is affiliated with BPIS. BPIS is a licensed insurance agency. BPIS receives commissions on insurance products client purchase, and Jeffrey Hwang is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Jeffrey Hwang an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. Clients are not obligated to act on any insurance recommendations or place any transactions through Jeffrey Hwang or BPIS if they decide to follow Mr. Hwang’s recommendations.

Jeffrey Hwang serves as Partner for DMJ Properties, an entity which owns property which is leased by DMJ entities. Additionally, he is serving in a governing group for SEI Registered Investment Advisor Community. These activities account for a de minimis amount of Mr. Hwang’s time.

### ITEM 5 - ADDITIONAL COMPENSATION

Jeffery Hwang’s compensation comes from his regular salary and ownership of Beacon Pointe Advisors, LLC. The additional compensation that Jeffrey Hwang is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Jeffrey Hwang may receive profit allocated from his interest as a Partner of DMJ Properties, an entity which owns property which is leased by DMJ entities.

### ITEM 6 - SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Jeffrey Hwang is supervised by Shannon Eusey, Chief Executive Officer and Chief Compliance Officer. She can be reached by calling 949-718-1600.

# SHERYL W. AUSTIN, CFP®, ChFC®, CLU

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Sheryl W. Austin, CFP®, ChFC®, CLU**, Partner, Managing Director, b. 1957

### *Education:*

Sheryl Austin has not received any higher education degrees after high school.

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2021-Present

Agent, Beacon Pointe Insurance Services, LLC, 2021-Present

Partner, DMJ Wealth Advisors, LLC, 2005-2021

Registered Representative, ProEquities, Inc, 2001-2019

## **Professional Designations**

Sheryl Austin holds the following professional designations:

### *Certified Financial Planner*

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To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

### *Chartered Financial Consultant*

The ChFC® designation has been a mark of excellence for financial planners for almost thirty years and currently requires more courses than any other financial planning credential. The curriculum covers extensive education and application training in all aspects of financial planning, income taxation, investments, and estate and retirement planning.

To attain the right to use the ChFC® marks, take a proctored exam for each course of study, have 3 years of full-time, relevant business experience within the five years preceding the awarding of the designation, and complete a minimum of 30 hours continuing education every two years. More

information regarding the ChFC® can be found at <https://www.theamericancollege.edu/designations-degrees/ChFC>.

### Chartered Life Underwriter

The CLU designation is conferred by The American College. To earn the credential, each CLU candidate must take a proctored exam for each course of study, have 3 years of full-time business experience within the five years preceding the awarding of the designation, and complete a minimum of 30 hours of continuing education every two years. More information regarding the CLU can be found at <http://www.cluhigheststandard.com/>.

## ITEM 3 - DISCIPLINARY INFORMATION

Sheryl Austin has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to her role with Beacon Pointe Advisors, LLC, Sheryl Austin is a licensed insurance agent for Beacon Pointe Insurance Services, LLC (“BPIS”). Beacon Pointe Advisors, LLC is affiliated with BPIS. BPIS is a licensed insurance agency. BPIS receives commissions on insurance products client purchase, and Sheryl Austin is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Sheryl Austin an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. Clients are not obligated to act on any insurance recommendations or place any transactions through Sheryl Austin or BPIS if they decide to follow Ms. Austin’s recommendations.

Sheryl Austin serves as Partner for DMJ Properties, an entity which owns property which is leased by DMJ entities. She also serves as a board member on several boards including Earlier.org, Restoration Place Counseling, and March of Dimes Triad, and is an active member of the Greensboro Woman’s Club. Sheryl Austin does not receive any economic benefit for her service on these boards or organizations.

## ITEM 5 - ADDITIONAL COMPENSATION

Sheryl Austin’s compensation comes from her regular salary and ownership of Beacon Pointe Advisors, LLC. The additional compensation that Sheryl Austin is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Sheryl Austin may receive profit allocated from her interest as a Partner of DMJ Properties, an entity which owns property which is leased by DMJ entities.

## ITEM 6 - SUPERVISION

As Partner, Managing Director at Beacon Pointe Advisors, LLC, Sheryl Austin is supervised by Shannon Eusey, Chief Executive Officer and Chief Compliance Officer. She can be reached by calling 949-718-1600.



# WILLIAM BRADFORD “BRAD” MANN, QPFC

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**William Bradford “Brad” Mann, QPFC**, Senior Wealth Advisor, Retirement Plan Services, b. 1963

### *Education:*

JD, Law, West Virginia University  
BA, Economic, Denison University

### *Business Background:*

Senior Wealth Advisor, Retirement Plan Services, Beacon Pointe Advisors LLC, 2021-Present  
Agent, Beacon Pointe Insurance Services, LLC, 2021-Present  
Qualified Plan Specialist, DMJ Wealth Advisors, 2008-2021  
Registered Representative, ProEquities, Inc, 2008-2019

## Professional Designations

Brad Mann holds the following professional designation:

### QPFC – Qualified Plan Financial Consultant

Issued by the National Association of Plan Advisors, plan advisors who earn the QPFC demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities.

## ITEM 3 - DISCIPLINARY INFORMATION

Brad Mann has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Brad Mann is a licensed insurance agent for Beacon Pointe Insurance Services, LLC, (“BPIS”). BPIS is a licensed insurance agency. Brad Mann may offer insurance products to advisory clients, and Brad Mann may receive a portion of the commissions charged on insurance products. Clients pay separate fees for advisory services and insurance products or services. This practice gives Brad Mann an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. Clients are not obligated to act on any insurance recommendations or place any transactions through Brad Mann or BPIS if they decide to follow Mr. Mann’s recommendations.

## ITEM 5 - ADDITIONAL COMPENSATION

Brad Mann’s compensation comes from Beacon Pointe Advisors, LLC and is based on his activities providing investment advisory services to clients. The additional compensation that Brad Mann is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

## **ITEM 6 - SUPERVISION**

Charles E. Carrick, Partner, Managing Director, is responsible for supervising Brad Mann's activities. He monitors the advice provided by Brad Mann for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Mr. Carrick can be reached by calling 336-900-7086.

# CHARLES GREGORY “GREG” CARRICK, CFP®, CIMA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Charles Gregory “Greg” Carrick CFP®, CIMA®, Partner, Senior Wealth Advisor, b. 1986

### *Education:*

BS, Business Administration, University of North Carolina at Greensboro

### *Business Background:*

Partner, Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2021-Present

Agent, Beacon Pointe Insurance Services, LLC, 2021-Present

Wealth Advisor, DMJ Wealth Advisors, LLC, 2014-2021

Registered Representative, ProEquities, Inc, 2013-2019

## Professional Designations

Greg Carrick holds the following professional designations:

### *Certified Financial Planner*

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To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree, or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

### *Certified Investment Management Analyst (“CIMA”)*

The CIMA designation is issued by the Investments and Wealth Institute (formerly IMCA). To earn each certification, each CIMA candidate must complete a self-study program, attend a one-week classroom education program provided by an Association to Advance Collegiate Schools of Business (“AACSB”) accredited university business school, pass an online examination after self-study and an on-line comprehensive certification examination after meeting all requirements of a registered classroom education program and also complete a minimum of 30 hours of continuing education every two years. More information regarding the CIMA is available at [http://www.imca.org/main/do/CIMA\\_Home](http://www.imca.org/main/do/CIMA_Home).

### ITEM 3 - DISCIPLINARY INFORMATION

Greg Carrick has no disciplinary history to disclose.

### ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Greg Carrick is a licensed insurance agent for Beacon Pointe Insurance Services, LLC (“BPIS”). Beacon Pointe Advisors, LLC is affiliated with BPIS. BPIS is a licensed insurance agency. BPIS receives commissions on insurance products client purchase, and Greg Carrick is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Greg Carrick an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. Clients are not obligated to act on any insurance recommendations or place any transactions through Greg Carrick or BPIS if they decide to follow Mr. Carrick’s recommendations.

Greg Carrick serves as a Young Professional Board Member of Caring House in Durham, North Carolina. This activity accounts for a de minimis amount of Mr. Carrick’s time and he does not receive any economic benefit for his service on this Board.

### ITEM 5 - ADDITIONAL COMPENSATION

Greg Carrick’s compensation comes from Beacon Pointe Advisors, LLC. He receives variable compensation that is based on the number of assets/clients he brings into Beacon Pointe. Additionally, he is eligible to receive compensation from his minority ownership in Beacon Pointe Advisors, LLC. The additional compensation that Greg Carrick is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

### ITEM 6 - SUPERVISION

Charles E. Carrick, Partner, Managing Director, is responsible for supervising Greg Carrick’s activities. He monitors the advice provided by Greg Carrick for consistency with client objectives and Beacon Pointe Advisors, LLC’s policies. Mr. Carrick can be reached by calling 336-900-7086.

# BRENDAN GATES STRINGER, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Brendan G. Stringer, CFP®**, Associate Wealth Advisor, b. 1990

*Education:*

BS, Business Management, University of Colorado, Denver

*Business Background:*

Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-Present

Director, Client Relations, Claredon Wealth Management, 2018-2022

Registered Staff Member, Commonwealth Financial Network, 2018-2022

Registered Representative, Ameriprise Financial Services, Inc., 2017-2018

Trade Specialist, Ethos Financial Partners, 2016-2018

### Professional Designations

Brendan Stringer holds the following professional designation:

*Certified Financial Planner*

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To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree, or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

## ITEM 3 - DISCIPLINARY INFORMATION

Brendan Stringer has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Brendan Stringer is not engaged in any investment-related business or occupation other than providing advisory services through Beacon Pointe Advisors, LLC.

## **ITEM 5 - ADDITIONAL COMPENSATION**

In addition to his regular compensation from Beacon Pointe Advisors, LLC, Brendan Stringer is eligible to receive variable compensation based on the number of assets/clients he brings into Beacon Pointe.

## **ITEM 6 - SUPERVISION**

Jeffrey Hwang, Partner, Managing Director, is responsible for supervising Brendan Stringer's activities. He monitors the advice provided by Brendan Stringer for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Mr. Hwang can be reached by calling 336-900-7086.

# JENNIFER MCCOSLEY WINDSOR, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Jennifer McCosley Windsor, CFP®**, Senior Wealth Advisor, b. 1986

*Education:*

BBA, Business Administration, Campbell University

*Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-Present

VP, Senior Financial Advisor, Triad Financial Advisors, Inc., 2015-2023

Financial Advisor, Richardson Corporation, 2011-2015

### Professional Designations

Jennifer Windsor holds the following professional designation:

*Certified Financial Planner*

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To earn the credential, each CFP® candidate must have a bachelor’s degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree, or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

## ITEM 3 - DISCIPLINARY INFORMATION

Jennifer Windsor has no material disciplinary history requiring disclosure under this item. Please see [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) for additional information about Jennifer Windsor.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Jennifer Windsor is not engaged in any investment-related business or occupation other than providing advisory services through Beacon Pointe Advisors, LLC.

## **ITEM 5 - ADDITIONAL COMPENSATION**

In addition to her regular compensation from Beacon Pointe Advisors, LLC, Jennifer Windsor is eligible to receive variable compensation based on the number of assets/clients she brings into Beacon Pointe.

## **ITEM 6 - SUPERVISION**

Charles E. Carrick, Partner, Managing Director, is responsible for supervising Jennifer Windsor's activities. Charles E. Carrick monitors the advice provided by Jennifer Windsor for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Charles E. Carrick can be reached by calling 336-900-7086.