



## Form ADV Part 2B Brochure Supplement

March 1, 2024

### Individuals covered by this supplement include:

**Grant E. Hartvigson**

James R. Simone  
Kimberly A. Arnesen  
Petra Ljubic-Lane  
Bo Y. Lee

**Located At:**

5001 25<sup>th</sup> Ave NE, Suite 201E  
Seattle, WA 98105  
206-417-5600

**Corporate Office:**

24 Corporate Plaza Drive, Suite 150  
Newport Beach, CA 92660  
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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# GRANT E. HARTVIGSON, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Grant E. Hartvigson, CFP®, Partner, Managing Director, b. 1974

### *Education:*

B.A, Business Finance, University of Washington, 1996

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, 2021-Present

Registered Representative, Purshe Kaplan Sterling Investments, 2021-Present

Registered Representative, LPL Financial, 2002-2021

Investment Advisor, Rainier Financial Group, Inc., 2003-2021

## Professional Designations

Grant Hartvigson holds the following professional designation:

### *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>.

## ITEM 3 - DISCIPLINARY INFORMATION

Grant Hartvigson has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Grant Hartvigson 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

Grant Hartvigson is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Grant Hartvigson 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 Grant Hartvigson or BPIS if they decide to follow Mr. Hartvigson's recommendations.

Grant Hartvigson spends a portion of his time as a registered representative of Purshe Kaplan Sterling Investments, a non-affiliated registered broker-dealer. In this capacity, Grant Hartvigson may make security recommendations, offer investment products and/or effect securities transactions. When effecting transactions, he is eligible to receive compensation, commissions and/or trailing 12b-1 fees from Purshe Kaplan Sterling Investments for products held by BPA's advisory clients. Receipt of this type of transaction-related compensation is a conflict of interest as it gives Grant Hartvigson an incentive to recommend investment products based on the additional compensation received. BPA will not charge advisory fees on the portion of the client's portfolio that includes investment products for which Grant Hartvigson receives commissions and/or trailing 12b-1 fees. In all instances, BPA will ensure that BPA clients are provided with a disclosure that outlines the commissions and/or trailing 12b-1 fees that Grant Hartvigson receives.

## **ITEM 5 - ADDITIONAL COMPENSATION**

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

## **ITEM 6 - SUPERVISION**

As a Partner, Managing Director, at Beacon Pointe Advisors, LLC, Grant Hartvigson oversees the investment advice provided from Beacon Pointe's Seattle, WA office. His advice is not monitored by any other individual. He is, however, bound by Beacon Pointe's Code of Ethics.

Grant Hartvigson is supervised by Shannon Eusey, Chief Executive Officer and Chief Compliance Officer. She can be reached by calling 949-718-1600.

# JAMES R. SIMONE, CFA, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**James R. Simone, CFA, CFP®**, Senior Wealth Advisor, b. 1966

### *Education:*

B.A., English and American Literature, Brown University, 1988

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, 2021-Present

Registered Representative, Purshe Kaplan Sterling Investments, 2021-Present

Financial Advisor, Rainier Financial Group, Inc., 2018-2021

Registered Representative, LPL Financial, 2018-2021

Financial Advisor, Ameriprise Financial Services, 2017-2018

Director of Research/Portfolio Manager, WHV Investments, Inc., 2006-2016

## Professional Designations

James Simone holds the following professional designations:

### Chartered Financial Analyst

The Chartered Financial Analyst (“CFA®”) designation is sponsored by CFA Institute. To earn a CFA charter, candidates must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. The three proctored course exams correspond to three 250-hour self-study levels. Completing the Program takes most candidates between two and five years. More information regarding the CFA is available at <https://www.cfainstitute.org>.

### 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>.

### ITEM 3 - DISCIPLINARY INFORMATION

James Simone has no disciplinary history to disclose.

### ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, James Simone 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 James Simone is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives James Simone 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 James Simone or BPIS if they decide to follow Mr. Simone’s recommendations.

James Simone spends a portion of his time as a registered representative of Purshe Kaplan Sterling Investments, a non-affiliated registered broker-dealer. In this capacity, James Simone may make security recommendations, offer investment products and/or effect securities transactions. When effecting transactions, he is eligible to receive compensation, commissions and/or trailing 12b-1 fees from Purshe Kaplan Sterling Investments for products held by BPA’s advisory clients. Receipt of this type of transaction-related compensation is a conflict of interest as it gives James Simone an incentive to recommend investment products based on the additional compensation received. BPA will not charge advisory fees on the portion of the client’s portfolio that includes investment products for which James Simone receives commissions and/or trailing 12b-1 fees. In all instances, BPA will ensure that BPA clients are provided with a disclosure that outlines the commissions and/or trailing 12b-1 fees that James Simone receives.

### ITEM 5 - ADDITIONAL COMPENSATION

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

### ITEM 6 - SUPERVISION

Grant Hartvigson, Partner, Managing Director, is responsible for supervising James Simone’s activities. Grant Hartvigson monitors the advice provided by James Simone for consistency with client objectives and Beacon Pointe Advisors, LLC’s policies. Grant Hartvigson can be reached by calling 206-417-5600.

# **KIMBERLY A. ARNESEN, ChFC®**

## **ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

**Kimberly Arnesen, ChFC®**, Senior Wealth Advisor, b. 1984

*Education:*

Associate Degree, Shoreline Community College, 2005

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, 2021-Present

Registered Representative, Purshe Kaplan Sterling Investments, 2021-Present

Registered Representative, LPL Financial, 2018-2021

Operations Manager, Rainier Financial Group, Inc., 2009-2017

### **Professional Designations**

Kimberly Arnesen holds the following professional designation:

*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**

Kimberly Arnesen has no disciplinary history to disclose.

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

In addition to her role with Beacon Pointe Advisors, LLC, Kimberly Arnesen 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 Kimberly Arnesen is eligible to receive a portion of these commissions. Clients pay separate fees for advisory services and insurance products or services. This practice gives Kimberly Arnesen 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 Kimberly Arnesen or BPIS if they decide to follow Ms. Arnesen's recommendations.

Kimberly Arnesen spends a portion of her time as a registered representative of Purshe Kaplan Sterling Investments, a non-affiliated registered broker-dealer. In this capacity, Kimberly Arnesen may make security recommendations, offer investment products and/or effect securities transactions. When effecting transactions, she is eligible to receive compensation, commissions and/or trailing 12b-1 fees from Purshe Kaplan Sterling Investments for products held by BPA's advisory clients. Receipt of this type of transaction-related compensation is a conflict of interest as it gives Kimberly Arnesen an incentive to recommend investment products based on the additional compensation received. BPA will not charge advisory fees on the portion of the client's portfolio that includes investment products for which Kimberly Arnesen receives commissions and/or trailing 12b-1 fees. In all instances, BPA will ensure that BPA clients are provided with a disclosure that outlines the commissions and/or trailing 12b-1 fees that Kimberly Arnesen receives.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Kimberly Arnesen's compensation comes from Beacon Pointe Advisors, LLC. She receives variable compensation that is based on the number of assets/clients she brings into Beacon Pointe. The additional compensation that Kimberly Arnesen is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

## **ITEM 6 - SUPERVISION**

Grant Hartvigson, Partner, Managing Director, is responsible for supervising Kimberly Arnesen's activities. Grant Hartvigson monitors the advice provided by Kimberly Arnesen for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Grant Hartvigson can be reached by calling 206-417-5600.



# PETRA LJUBIC-LANE

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Petra Ljubic-Lane**, Senior Associate Wealth Advisor, b. 1975

*Education:*

BS, Economics, University of Ljubljana, Slovenia

Certificate, Personal Financial Planning, University of California, Los Angeles

*Business Background:*

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

Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-2023

Associate Planner, Columbia Pacific Wealth Management, LLC, 2015-2022

Investment Operations Specialist, Kibble & Prentice, 2011-2015

## ITEM 3 - DISCIPLINARY INFORMATION

Petra Ljubic-Lane has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Petra Ljubic-Lane 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, Petra Ljubic-Lane is eligible to receive compensation for referring new clients to Beacon Pointe Advisors, LLC.

## ITEM 6 - SUPERVISION

Grant Hartvigson, Partner, Managing Director, is responsible for supervising Petra Ljubic-Lane's activities. Grant Hartvigson monitors the advice provided by Petra Ljubic-Lane for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Grant Hartvigson can be reached by calling 206-417-5600.

# BO Y. LEE, CFWA

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Bo Y. Lee, CFWA®, Senior Wealth Advisor, b. 1977

*Education:*

BA, Economics, University of Washington

*Business Background:*

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

Senior Wealth Advisor/Market President, BNY Mellon Wealth Management, 2008-2023

### Professional Designations

Bo Lee holds the following professional designation:

*Certified Family Wealth Advisor (CFWA)*

The Certificate of Family Wealth Advising (CFWA) is offered by the FFI Global Education Network (GEN), an educational branch of the Family Firm Institute. The Certificate in Family Wealth Advising (CFWA) is designed for those who work with multi-generational families that are organized primarily around a portfolio of investments, a family office, philanthropic initiatives, etc. This program consists of three required courses and their accompanying webinar. More information regarding the CFWA is available at <https://www.ffigen.org/pages/program-overview>.

## ITEM 3 - DISCIPLINARY INFORMATION

Bo Lee has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Bo Lee 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, Bo Lee is eligible to receive variable compensation based on the number of assets/clients she brings into Beacon Pointe.

## ITEM 6 - SUPERVISION

Grant Hartvigson, Partner, Managing Director, is responsible for supervising Bo Lee's activities. Grant Hartvigson monitors the advice provided by Bo Lee for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Grant Hartvigson can be reached by calling 206-417-5600.