



## Form ADV Part 2B Brochure Supplement

April 13, 2022

### Individuals covered by this supplement include:

Eric R. Witte  
James "Bo" Ward  
Timothy J. Hoffman  
Samuel D. Mitchell  
David P. Suess

Henry G. Lande  
Nicholas W. English  
Daniel R. Saur  
Michael S. Welch  
Haley R. Rodriques

#### Located At:

5810 Tennyson Parkway, Suite 525  
Plano, TX 75024  
214-306-9752

#### 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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# ERIC R. WITTE, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Eric R. Witte, CFP®**, Partner, Managing Director, b. 1969

### *Education:*

BS, Business Administration, Finance, Oklahoma State University

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present

Managing Director, Partner, Beacon Pointe Wealth Advisors, LLC, 2016-2020

Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2016-2020

Agent, Beacon Pointe Insurance Services, LLC, 2016-Present

Managing Partner & Chief Operating Officer, Ironmark Advisors, LLC, 2006-2017

## Professional Designation

Eric Witte 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 the 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

Eric Witte has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Eric Witte 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 clients purchase, and

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

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

Eric Witte does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

As Partner, Managing Director, Eric Witte oversees the investment advice provided from Beacon Pointe Advisors' Plano, Texas office. His advice is not monitored by any other individual. He is however bound by Beacon Pointe's Code of Ethics.

Shannon Eusey, Chief Executive Officer and Chief Compliance Officer, Beacon Pointe Advisors, LLC, is the supervisor of Eric Witte. She can be reached at 949-718-1600.

# JAMES “BO” WARD, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

James “Bo” Ward, CFP®, Partner, Managing Director, b. 1971

### *Education:*

BA, Psychology, Texas A&M University

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present  
Managing Director, Partner, Beacon Pointe Wealth Advisors, LLC, 2016-2020  
Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2016-2020  
Agent, Beacon Pointe Insurance Services, LLC, 2016-Present  
Managing Partner, Ironmark Advisors, LLC, 2006-2017

## Professional Designation

Bo Ward 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 the 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

Bo Ward has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Bo Ward 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 clients purchase, and

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

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

Bo Ward does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

As Partner, Managing Director, Bo Ward oversees the investment advice provided from Beacon Pointe Advisors' Plano, Texas office. His advice is not monitored by any other individual. He is however bound by Beacon Pointe's Code of Ethics.

Shannon Eusey, Chief Executive Officer and Chief Compliance Officer, Beacon Pointe Advisors, LLC, is the supervisor of Bo Ward. She can be reached at 949-718-1600.

# TIMOTHY J. HOFFMAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Timothy J. Hoffman**, Regional Director, b. 1973

*Education:*

MBA, Business Administration and Management, University of North Texas  
BS, Business and Aviation, University of Minnesota

*Business Background:*

Regional Director, Beacon Pointe Advisors, LLC, 2022-Present  
Vice President, Personal Capital Advisors, 2019-2022  
Vice President, Fisher Investments, 2018-2019  
Wealth Advisor, David A. Noyes & Company, 2017-2018  
VP Private Client Advisor, J.P. Morgan Securities, LLC, 2016-2017  
Investment Consultant, Fidelity Brokerage Services, Inc., 2011-2016  
Investment Advisor Representative, Fidelity Brokerage Services, Inc., 2000-2010

## ITEM 3 - DISCIPLINARY INFORMATION

Timothy Hoffman has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Timothy Hoffman'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.

Timothy Hoffman does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## ITEM 6 - SUPERVISION

James "Bo" Ward, Partner, Managing Director, is responsible for supervising Timothy Hoffman's activities. James "Bo" Ward monitors the advice provided by Timothy Hoffman for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. James "Bo" Ward can be reached by calling 214-306-9755.

# **SAMUEL D. MITCHELL, CFP®**

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

**Samuel D. Mitchell, CFP®**, Senior Wealth Advisor, b. 1977

### *Education:*

MBA, Marketing and Finance, Midwestern State University, Texas

BBA, Marketing, Midwestern State University, Texas

### *Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present

Senior Wealth Advisor, Beacon Pointe Wealth Advisors, LLC, 2016-2020

Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2016-2020

Agent, Beacon Pointe Insurance Services, LLC, 2016-present

Senior Advisor, Chief Compliance Officer, Ironmark Advisors, LLC, 2010-2017

## **Professional Designation**

Samuel Mitchell 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 the 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**

Samuel Mitchell has no disciplinary history to disclose.

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

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Samuel Mitchell'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. The additional compensation that Samuel Mitchell is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

Samuel Mitchell does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

Eric Witte, Partner, Managing Director, is responsible for supervising Samuel Mitchell's activities. Eric Witte monitors the advice provided by Samuel Mitchell for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.

# DAVID P. SUESS, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

David P. Suess, CFP®, Senior Wealth Advisor, b. 1972

### *Education:*

MA, Liberal Arts, Texas Christian University

BA, History, Texas Christian University

### *Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present

Senior Wealth Advisor, Beacon Pointe Wealth Advisors, LLC, 2019-2020

Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2019-2020

Agent, Beacon Pointe Insurance Services, LLC, 2019-Present

Financial Professional, The Prudential Insurance Company of America, 2017-2019

Financial Planner, Spectrum Strategies, LLC, 2011-2017

## Professional Designations

David Suess 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.

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## ITEM 3 - DISCIPLINARY INFORMATION

David Suess has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

David Suess’ 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. The additional compensation that David Suess is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

David Suess does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## ITEM 6 - SUPERVISION

Eric Witte, Partner, Managing Director, is responsible for supervising David Suess’s activities. Eric Witte monitors the advice provided by David Suess for consistency with client objectives and Beacon Pointe Advisors, LLC’s policies. Eric Witte can be reached by calling 214-306-9750.

# HENRY G. LANDE, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Henry G. Lande, CFP®, Wealth Advisor, b. 1992

### *Education:*

BS, Finance & Real Estate, Texas A&M University

### *Business Background:*

Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present

Wealth Advisor, Beacon Pointe Wealth Advisors, LLC, 2019-2020

Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2019-2020

Agent, Beacon Pointe Insurance Services, LLC, 2019-Present

Associate Wealth Advisor, Beacon Pointe Wealth Advisors, LLC, 2017-2019

Commercial Real Estate Underwriter, BBVA Compass, 2014-2017

## Professional Designation

Henry Lande holds the following professional designation:

### *Certified Financial Planner*

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## ITEM 3 - DISCIPLINARY INFORMATION

Henry Lande has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Henry Lande'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. The additional compensation that Henry Lande is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Henry Lande does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

Eric Witte, Partner, Managing Director, is responsible for supervising Henry Lande's activities. Eric Witte monitors the advice provided by Henry Lande for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.

# NICHOLAS W. ENGLISH

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Nicholas W. English**, Senior Wealth Advisor, b. 1976

*Education:*

MBA, Finance, University of Dallas

BBA, Marketing, Loyola University of Maryland

*Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present

Senior Wealth Advisor, Beacon Pointe Wealth Advisors, LLC, 2019-2020

Investment Adviser Representative, Beacon Pointe Advisors, LLC, 2019-2020

Partner Advisor, Advice Period, 2019

Vice President, Private Wealth Advisor, Westwood Wealth Management, 2006-2019

## ITEM 3 - DISCIPLINARY INFORMATION

Nicholas English has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Nicholas English's compensation comes from Beacon Pointe Advisors, LLC. He receives variable compensation that is based the number of assets/clients he brings into Beacon Pointe.

Nicholas English does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## ITEM 6 - SUPERVISION

Eric Witte, Partner, Managing Director, is responsible for supervising Nicholas English's activities. Eric Witte monitors the advice provided by Nicholas English for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.

# DANIEL R. SAUR

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Daniel R. Saur**, Senior Wealth Advisor, b. 1963

*Education:*

BAAS, Stephen F. Austin State University

Th.M., Dallas Theological Seminary

*Business Background:*

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

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

Chief Executive Officer, D.R. Saur Financial, Inc., 1993-2021

Registered Representative, Kalos Capital Inc., 2008-2019

## ITEM 3 - DISCIPLINARY INFORMATION

Daniel Saur was involved in a customer complaint in which the customer alleged inadequate due diligence and unsuitable recommendations. While Mr. Saur denies these allegations, the complaint was settled.

Mr. Saur was involved in a customer complaint in which the customer alleged the sale of non-registered securities products. Mr. Saur denies the customer's claim as federal and state law unequivocally stated, at the time of the sale, that the product was not a security, and thus properly characterized as an outside business activity under NASD Rule 3030. The complaint was settled.

For additional information visit <https://adviserinfo.sec.gov/>.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Daniel Saur'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. The additional compensation that Daniel Saur is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Daniel Saur does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

Eric Witte, Partner, Managing Director, is responsible for supervising Daniel Saur's activities. Eric Witte monitors the advice provided by Daniel Saur for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.



# MICHAEL S. WELCH, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Michael S. Welch, CFP®, Senior Wealth Advisor, b. 1968

### *Education:*

MBA, University of North Texas

BA, Computer Science, Baylor University

### *Business Background:*

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

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

Vice President, D.R. Saur Financial, Inc., 2006-2021

## Professional Designation

Michael Welch 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.

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## ITEM 3 - DISCIPLINARY INFORMATION

Michael Welch has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC., Michael Welch 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 clients purchase, and Michael Welch is eligible to receive a portion of these commissions. Clients pay separate fees for

advisory services and insurance products or services. This practice gives Michael Welch 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 Michael Welch or BPIS if they decide to follow Mr. Welch's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Michael Welch'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. The additional compensation that Michael Welch is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

Michael Welch does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

Eric Witte, Partner, Managing Director, is responsible for supervising Michael Welch's activities. Eric Witte monitors the advice provided by Michael Welch for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.

# HALEY R. RODRIQUES, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

HALEY R. RODRIQUES, CFP®, Relationship Manager, b. 1986

### *Education:*

MS, Personal Financial Planning, Texas Tech University

BS, Personal Financial Planning, Texas Tech University

### *Business Background:*

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

Director of Practice Operations, D.R. Saur Financial, Inc., 2012-2021

## Professional Designation

Haley Rodriques 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

Haley Rodriques has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Haley Rodriques 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, Haley Rodriques is eligible to receive compensation for referring new clients to Beacon Pointe Advisors, LLC.

Haley Rodriques does not receive economic benefits from any person or entity other than Beacon Pointe in connection with the provision of investment advice to clients.

## **ITEM 6 - SUPERVISION**

Eric Witte, Partner, Managing Director, is responsible for supervising Haley Rodriques' activities. Eric Witte monitors the advice provided by Haley Rodriques for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Eric Witte can be reached by calling 214-306-9750.