



## Form ADV Part 2B Brochure Supplement

August 22, 2022

### Individuals covered by this supplement include:

David M. Emmes II  
Heidi H. Benavidez  
Cal D. Dickman

#### Office Location:

610 Newport Center Drive, Suite 830  
Newport Beach, CA, 92660  
(949) 718-4527

#### 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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# DAVID M. EMMES II

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**David M. Emmes II**, Partner, Managing Director, b. 1960

*Education:*

MBA, Master of Business Administration, California State University, Long Beach  
BS, Business Administration & Finance, California State University, Long Beach

*Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2021-Present  
Managing Partner & Investment Advisor, Pacific Edge Advisors, LLC, 2016-2021  
U.S. Markets President, BNY Mellon, 2000-2016

## ITEM 3 - DISCIPLINARY INFORMATION

David Emmes has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

In addition to David Emmes' role with Beacon Pointe Advisors, LLC, he serves as a trustee for the Orange County Museum of Art ("OCMA"). In his capacity as a trustee, he attends regularly scheduled Board meetings, chairs or participates in Board committees, and provides oversight and guidance to museum staff.

## ITEM 5 - ADDITIONAL COMPENSATION

David Emmes' compensation comes from his regular salary and ownership of Beacon Pointe Advisors, LLC. He 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 a Partner, Managing Director at Beacon Pointe Advisors, LLC, David Emmes oversees the investment advice provided from Beacon Pointe Advisors' Newport Beach, CA, 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 is the supervisor of David Emmes. She can be reached by calling 949-718-1600.

# HEIDI H. BENAVIDEZ, CFA

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Heidi H. Benavidez, CFA**, Partner, Managing Director, b. 1982

*Education:*

BS, Business Administration: Finance, Real Estate & Law, California State University, Long Beach

*Business Background:*

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

Managing Partner, Chief Compliance Officer & Investment Advisor, Pacific Edge Advisors, LLC, 2016-2021

Senior Wealth Manager, BNY Mellon, 2006-2016

Personal Financial Representative, Washington Mutual Investments, 2005-2006

### Professional Designations

Heidi Benavidez holds the following professional designation:

*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/>

## ITEM 3 - DISCIPLINARY INFORMATION

Heidi Benavidez has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

In addition to Heidi Benavidez’s role with Beacon Pointe Advisors, LLC, she serves as a trustee for the Friends of the Girls Scouts Trust (“FOGST”). In her capacity as a trustee, she is responsible for overseeing and insuring compliance with the IPS; however, she does not implement any investment recommendations. In order to mitigate the conflict of Ms. Benavidez serving as a trustee for a firm client, Ms. Benavidez does not have access to FOGST information in her role as a Beacon Pointe employee. Ms. Benavidez is not compensated for her role as a trustee, and she spends less than 10% of her time in this capacity. The Firm has put certain controls in place to mitigate this conflict including use of disclosures, internal policies, and procedures to monitor Ms. Benavidez’s activities.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Heidi Benavidez's compensation comes from her regular salary and ownership of Beacon Pointe Advisors, LLC. She 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 a Partner, Managing Director at Beacon Pointe Advisors, LLC, Heidi Benavidez oversees the investment advice provided from Beacon Pointe Advisors' Newport Beach, CA, office. Her advice is not monitored by any other individual. She is however bound by Beacon Pointe's Code of Ethics.

Shannon Eusey, Chief Executive Officer and Chief Compliance Officer is the supervisor of Heidi Benavidez. She can be reached by calling 949-718-1600.

# CAL D. DICKMAN, CFA, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Cal D. Dickman, CFA, CFP®, Wealth Advisor, b. 1981

### *Education:*

BA, Mathematics, Gustavus Adolphus College

### *Business Background:*

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

Wealth Advisor, First Foundation Advisors, 2015-2022

Private Client Investment Assistant, JP Morgan Securities LLC, 2013-2015

Fixed Income Liaison, Wedbush Morgan Securities, 2008-2013

## Professional Designations

Cal Dickman 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**

Cal Dickman has no disciplinary history to disclose.

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

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

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

Cal Dickman'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.

Cal Dickman 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**

Heidi Benavidez, Partner, Managing Director, is responsible for supervising Cal Dickman's activities. Heidi Benavidez monitors the advice provided by Cal Dickman for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Heidi Benavidez can be reached by calling (949) 718-4527.