

**Form ADV  
Part 2B Brochure Supplement**

**March 24, 2025**

**Individuals covered by this supplement include:**

Gene Ka  
Steven A. Schumaker

**Office Location:**  
50 W. San Fernando Street  
Suite 405  
San Jose, CA, 95113  
(408) 558-1660

**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)

## Table of Contents

<b>GENE KA, CPWA® .....</b>	<b>3</b>
<b>STEVEN A. SCHUMAKER.....</b>	<b>5</b>

# GENE KA, CPWA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Gene Ka, CPWA®, Partner, Managing Director, b. 1965

*Education:*

BS, Finance, Purdue University

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, 2021-Present

Registered Representative, APW Capital Inc., 2010-Present

Managing Partner, Wealth Advisor, Financial Planner, Wealth Design, LLC, 1996-2021

### Professional Designations

Gene Ka holds the following professional designation:

*Certified Private Wealth Advisor*

The CPWA designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on management topics and strategies for high-net-worth clients. Prerequisites for the CPWA designation are: a Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC® or CPA license; acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements; five years of professional client-centered experience in financial services or a related industry; and two letters of reference from an IMCA member, professional supervisor, or currently licensed professional in financial services or a related industry. CPWA designees must complete a six-month pre-class educational component and a five-day classroom education program through The University of Chicago Booth School of Business. CPWA designees are required to adhere to IMCA's Code of Professional Responsibility and Rules and Guidelines for Use of the Marks. CPWA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA®).

## ITEM 3 - DISCIPLINARY INFORMATION

Gene Ka has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

Gene Ka spends a portion of his time as a registered representative of APW Capital Inc., a non-affiliated registered broker-dealer. In this capacity, Gene Ka 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 APW Capital for products held by BPA's advisory clients. Receipt of this type of transaction-related compensation is a conflict of interest as it gives Gene Ka 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 Gene Ka 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 Gene Ka receives.

## **ITEM 5 - ADDITIONAL COMPENSATION**

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

## **ITEM 6 – SUPERVISION**

As a Partner, Managing Director, Gene Ka oversees the investment advice provided from Beacon Pointe Advisors, LLC's, San Jose, California 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 Gene Ka. She can be reached by calling 949-718-1600.

# STEVEN A. SCHUMAKER

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Steven A. Schumaker**, Partner, Senior Wealth Advisor, b. 1967

### *Education:*

MBA, Pepperdine University's Graziadio Business School  
BS, Biology, University of California, Santa Cruz

### *Business Background:*

Partner, Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2025-Present  
Agent, Beacon Pointe Insurance Services, 2025-Present  
VP, CCO, Secretary, Pruneyard Financial Group Inc., 2002-2025

## ITEM 3 - DISCIPLINARY INFORMATION

Steven Schumaker has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

In addition to his regular salary and ownership of Beacon Pointe Advisors, LLC, Steven Schumaker is eligible to receive variable compensation based on the number of assets/clients he brings into Beacon Pointe. The additional compensation that Steven Schumaker is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

## ITEM 6 – SUPERVISION

Gene Ka, Partner, Managing Director, is responsible for supervising Steven Schumaker's activities. Gene Ka monitors the advice provided by Steven Schumaker for consistency with client objectives and Beacon Pointe Advisors, LLC's policies. Gene Ka can be reached by calling 408-558-1660.