



Form ADV Part 2B Brochure Supplement

March 2026

www.beaconpointe.com

Office Locations:

1100 Larkspur Landing Circle, Suite 300
Larkspur, CA 94939
415-461-8999

1676 North California Boulevard, Suite 200
Walnut Creek, CA 94596
925-254-8999

9909 Clayton Road, Suite 100
St. Louis, MO 63124
314-300-1055

Corporate Office:

24 Corporate Plaza Drive, Suite 150
Newport Beach, CA 92660
949-718-1600

This brochure supplement provides information about the individuals listed in the Table of Contents who are supervised persons of Beacon Pointe Advisors, LLC. 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

Table of Contents

ANTHONY L. GUERRERIO, MBA.....	3
CHRISTOPHER C. WHEATON, CFP®	5
CRAIG B. KELLER, MBA, CFA®	7
JARED W. NOLAND, MBA, CFA®, CFP®	9
JASON J. SIEDLE	11
JOHN M. BAXMAN, CFP®	12
LESLIE E. CANNAN, AIF®, CDFA®, CFP®, CPWA®	14
MONICA B. MUÑOZ, CFP®	17
PETER M. SOUSA, CFP®, CIMA®	19

ANTHONY L. GUERRERIO, MBA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Anthony “Tony” Guerrero, MBA, Partner, Managing Director, b. 1948

Education:

MBA, Business, Harvard University

BS, Engineering, United States Military Academy West Point

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Senior Investment Advisor, Litman Gregory Wealth Management, LLC, 2023-2026

Chief Executive Officer, Wedgewood Partners, Inc., 1988-2023

ITEM 3 – DISCIPLINARY INFORMATION

Tony Guerrero has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to Tony Guerrero’s role with Beacon Pointe Advisors, LLC, he serves as a Strategic Advisor of Wedgewood Partners, Inc., where he has ownership interest. This activity accounts for a de minimis amount of Tony Guerrero’s time and income. This activity is unrelated to Beacon Pointe Advisors, LLC’s advisory business. Beacon Pointe Advisors, LLC, does not believe it presents a conflict of interest.

ITEM 5 - ADDITIONAL COMPENSATION

Tony Guerrero is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Tony Guerrero is an equity owner in the parent company of the firm. Mr. Guerrero does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients. The additional compensation that Tony Guerrero 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, Tony Guerrero oversees the investment advisory services provided by Beacon Pointe Advisors’ St. Louis, Missouri office. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm’s compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

CHRISTOPHER C. WHEATON, CFP®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Christopher C. Wheaton, CFP®, Partner, Managing Director, b. 1963

Education:

BS, Accountancy, University of Illinois

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Senior Advisor, Managing Director, Litman Gregory Wealth Management, LLC, 1997-2026

Professional Designations

Christopher Wheaton holds the following professional designation:

Certified Financial Planner (CFP®)

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 the 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 about the CFP® is available at <http://www.cfp.net/default.asp>.

ITEM 3 – DISCIPLINARY INFORMATION

Christopher Wheaton has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Christopher Wheaton is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Christopher Wheaton is an equity owner in the parent company of the firm. Mr. Wheaton does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Christopher Wheaton oversees the investment advisory services provided by Beacon Pointe Advisors' Larkspur, California office. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

CRAIG B. KELLER, MBA, CFA®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Craig B. Keller, MBA, CFA®, Partner, Managing Director, b. 1967

Education:

MBA, Business Administration, University of British Columbia

BPE, Physical Education, University of British Columbia

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Managing Director, Litman Gregory Wealth Management, LLC, 2003-2026

Professional Designations

Craig Keller holds the following professional designations:

Chartered Financial Analyst (CFA®)

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

Craig Keller has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Craig Keller is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Craig Keller is an equity owner in the parent company of the firm. Mr. Keller does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Craig Keller oversees the investment advisory services provided by Beacon Pointe Advisors' Larkspur, California office. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

JARED W. NOLAND, MBA, CFA®, CFP®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Jared W. Noland, MBA, CFA®, CFP®, Senior Associate Wealth Advisor, b. 1981

Education:

MBA, Business Administration, University of San Francisco

BS, Business Administration, California Polytechnic State University, San Luis Obispo

Business Background:

Senior Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present

SVP – Advisory Services, Litman Gregory Wealth Management, LLC, 2015-2026

Professional Designations

Jared Noland holds the following professional designations:

Chartered Financial Analyst (CFA®)

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 (CFP®)

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 the 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 about the CFP® is available at <http://www.cfp.net/default.asp>.

ITEM 3 – DISCIPLINARY INFORMATION

Jared Noland has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Jared Noland is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, he is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients he refers to the firm. Mr. Noland does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm’s compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements.

Jennifer Ceccarelli, Managing Director, is generally responsible for supervising Jared Noland’s day-to-day advisory activities. Ms. Ceccarelli can be reached by calling 415-461-8999.

JASON J. SIEDLE

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Jason J. Siedle, Operations Manager, b. 1984

Education:

BS, Accounting, Southern Illinois University of Edwardsville

Business Background:

Operations Manager, Beacon Pointe Advisors, LLC, 2026-Present

VP - Operations, Litman Gregory Wealth Management, LLC, 2023-2026

Operations/Trading, Wedgewood Partners, Inc., 2007-2023

ITEM 3 – DISCIPLINARY INFORMATION

Jason Siedle has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Jason Siedle is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, he is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients he refers to the firm. Mr. Siedle does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements.

Jennifer Ceccarelli, Managing Director, is generally responsible for supervising Jason Siedle's day-to-day advisory activities. Ms. Ceccarelli can be reached by calling 415-461-8999.

JOHN M. BAXMAN, CFP®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

John M. Baxman, CFP®, Partner, Managing Director, b. 1973

Education:

BS, Finance, Sonoma State University

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Investment Advisor Representative, Litman Gregory Wealth Management, LLC, 2009-2026

Professional Designations

John Baxman holds the following professional designation:

Certified Financial Planner (CFP®)

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 the 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 about the CFP® is available at <http://www.cfp.net/default.asp>.

ITEM 3 – DISCIPLINARY INFORMATION

John Baxman has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

John Baxman is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. John Baxman is an equity owner in the parent company of the firm. Mr. Baxman does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, John Baxman oversees the investment advisory services provided by Beacon Pointe Advisors’ Larkspur, California office. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm’s compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm’s compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

LESLIE E. CANNAN, AIF®, CDFA®, CFP®, CPWA®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Leslie E. Cannan, AIF®, CDFA®, CFP®, CPWA®, Partner, Managing Director, b. 1973

Education:

BA, Liberal Studies, University of Montana

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Investment Advisor Representative, Litman Gregory Wealth Management, LLC, 2012-2026

Professional Designations

Leslie Cannan holds the following professional designations:

Accredited Investment Fiduciary (AIF®)

The AIF® designation is issued by the Center for Fiduciary Studies. To earn the designation, each AIF® candidate must complete either a web-based or capstone program, pass a final certification exam, and complete a minimum of 6 hours of continuing education per year. AIF® designees must also sign and agree to abide by a code of ethics. More information about the AIF® is available at <https://www.fi360.com/>.

Certified Divorce Financial Analyst (CDFA®)

The designation is issued by the Institute for Divorce Financial Analysts. The candidate is required to develop their theoretical and practical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study. The candidate must also have two years' minimum experience in a financial or legal capacity. The candidate must complete a four-part exam and demonstrate the practical application of this knowledge. Continuing education of 30 hours every two years is required to maintain the designation. More information about the CDFA® can be found at: <https://www.institutedfa.com/>

Certified Financial Planner (CFP®)

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 the 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 about the CFP® is available at <http://www.cfp.net/default.asp>.

Certified Private Wealth Advisor (CPWA®)

The Certified Private Wealth Advisor (CPWA®) designation is issued by the Investments and Wealth Institute (formerly IMCA). 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®, RMA®, 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 successfully complete a comprehensive background check. 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 the Investments & Wealth Institute's *Code of Professional Responsibility* and the appropriate use of certification marks. CPWA® designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. More information regarding the CPWA is available at <https://investmentsandwealth.org/>.

ITEM 3 – DISCIPLINARY INFORMATION

Leslie Cannan has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Leslie Cannan is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Leslie Cannan is an equity owner in the parent company of the firm. Ms. Cannan does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Leslie Cannan oversees the investment advisory services provided by Beacon Pointe Advisors' Larkspur, California office. She is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

MONICA B. MUÑOZ, CFP®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Monica B. Muñoz, CFP®, Partner, Managing Director, b. 1982

Education:

BS, Business, Sonoma State University

Business Background:

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2026-Present

Investment Advisor Representative, Litman Gregory Wealth Management, LLC, 2007-2026

Professional Designations

Monica Muñoz holds the following professional designation:

Certified Financial Planner (CFP®)

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 the 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 about the CFP® is available at <http://www.cfp.net/default.asp>.

ITEM 3 – DISCIPLINARY INFORMATION

Monica Muñoz has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Monica Muñoz is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Monica Muñoz is an equity owner in the parent company of the firm. Ms. Muñoz does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Monica Muñoz oversees the investment advisory services provided by Beacon Pointe Advisors’ Larkspur, California office. She is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm’s compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm’s compliance program can be directed to Shannon Eusey, Chief Executive Officer, and Chief Compliance Officer, at 949-718-1600.

PETER M. SOUSA, CFP®, CIMA®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Peter M. Sousa , CFP®, CIMA®, Senior Wealth Advisor, b. 1978

Education:

MS, Financial Analysis and Investment Management, Saint Mary's College
BBA, Business Administration, Saint Mary's College

Business Background:

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Managing Director, iM Global Partner Fund Management, LLC, 2012-2025

Professional Designations

Peter Soua holds the following professional designations:

Certified Financial Planner (CFP®)

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 the 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 about 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 about the CIMA® is available at <https://investmentsandwealth.org/home>.

ITEM 3 – DISCIPLINARY INFORMATION

Peter Sousa has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Peter Sousa's compensation comes from Beacon Pointe Advisors, LLC. He receives a salary and variable compensation that is based on the assets under management in the client accounts he services. Mr. Sousa does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

ITEM 6 – SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, including client communications and investment recommendations, to help ensure compliance with applicable regulatory requirements.

Christopher Wheaton, Partner, Managing Director, is generally responsible for supervising Peter Sousa's day-to-day advisory activities. Mr. Wheaton can be reached by calling 415-461-8999.