



## Form ADV Part 2B Brochure Supplement

May 2026

[www.beaconpointe.com](http://www.beaconpointe.com)

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Newport Beach, CA 92660  
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949-718-4527

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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](http://www.adviserinfo.sec.gov)

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# ANDREW ROVZAR

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Andrew Rovzar**, Associate Wealth Advisor, b. 1990

*Education:*

BA, Political Science and Government, University of Colorado

*Business Background:*

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

Financial Advisor, Morgan Stanley, 2019-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Andrew Rovzar has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Andrew Rovzar 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. Rovzar 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.

Lauren Meixel, Director of Operations, Wealth Advisor, is generally responsible for supervising Andrew Rovzar's day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.

# BERNARD P. MCGLOIN, CFA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Bernard P. McGloin, CFA®**, Partner, Managing Director, b. 1977

*Education:*

BBS, Business Studies, Dublin City University

*Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2023-Present

Managing Director, BNY Mellon Wealth Management, 2003-2023

### Professional Designation

Bernard McGloin holds the following professional designation:

*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

Bernard McGloin has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Bernard McGloin 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. Bernard McGloin is an equity owner in the parent company of the firm. Mr. McGloin 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, Bernard McGloin oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, 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 949-718-1600.

# COLIN J. ROWE

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Colin J. Rowe**, Relationship Manager, b. 1998

*Education:*

MBA, Finance, Entrepreneurship, University of Arizona

BS, Business Management, University of Arizona

*Business Background:*

Relationship Manager, Beacon Pointe Advisors, LLC, 2025-Present

Registered Representative, Charles Schwab & Co., Inc., 2022-2025

Loan Officer, Reduce Mortgage, 2021-2022

First Flyer, Sales, Freedom Mortgage, 2020-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Colin Rowe has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Colin Rowe 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. Rowe 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.

Lauren Meixel, Director of Operations, Wealth Advisor, is generally responsible for supervising Colin Rowe's day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.

# DARIN A. SIMONIAN, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Darin A. Simonian, CFP®, Partner, Managing Director, b. 1964

*Education:*

BA, Business and Accounting, Whittier College

*Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2022-Present

Founder and Chief Executive Officer, Newport Wealth Strategies, Inc., 2011-2021

Chief Compliance Officer, Newport Wealth Strategies, Inc., 2011-2021

President, Alpha Cubed Investments, LLC, 2015-2021

### Professional Designation

Darin Simonian 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

Darin Simonian has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Darin Simonian 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. Darin Simonian is an equity owner in the parent company of the firm. Mr. Simonian 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, Darin Simonian oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. 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 949-718-1600.

# 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

## ITEM 3 - DISCIPLINARY INFORMATION

David Emmes has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to David Emmes' role with Beacon Pointe Advisors, LLC, he serves as a trustee for the Orange County Museum of Art ("OCMA"). This activity accounts for a de minimis amount of David Emmes' time and income. This activity is unrelated to Beacon Pointe Advisors, LLC's advisory business. Beacon Pointe does not believe it presents a conflict of interest. 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 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. David Emmes is an equity owner in the parent company of the firm. Mr. Emmes 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 David Emmes 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, David Emmes oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, 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 949-718-1600.

# JAMES F. DAVENPORT

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**James F. Davenport**, Partner, Managing Director, b. 1981

*Education:*

MBA, Finance, Chapman University

BA, Communications, University of Southern California

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2015-Present

## ITEM 3 - DISCIPLINARY INFORMATION

James Davenport has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), James Davenport is a licensed insurance agent for Beacon Pointe Insurance Services, LLC ("BPIS"), a California-licensed insurance agency, under common ownership with BPA. BPIS receives commissions on insurance products clients purchase, and James Davenport may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, James Davenport may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for James Davenport to recommend insurance products based on the compensation received, rather than focusing solely on the client's needs. Clients are not obligated to act on any insurance recommendations or conduct transactions through James Davenport or BPIS if they follow Mr. Davenport's recommendations.

In addition to James Davenport's role with Beacon Pointe Advisors, LLC, he serves on the advisory board for Big Brothers Big Sisters, Inland Empire and is a member of both the Endowment Council Chapman University and Leaders, Executives, and Directors, Advancing Philanthropy (LEAD-OC). This activity accounts for a de minimis amount of James Davenport'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

James Davenport 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. James Davenport is an equity owner in the parent company of the firm. Mr. Davenport 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 James Davenport 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, James Davenport oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. 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 949-718-1600.

# JOSHUA A.C. RUMMONDS

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Joshua A.C. Rummonds**, Wealth Advisor, b. 1980

### *Education:*

JD, Thomas Jefferson School of Law

BA, Political Science and Government, University of Southern California

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2018-Present

## ITEM 3 - DISCIPLINARY INFORMATION

Joshua Rummonds has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), Joshua Rummonds is a licensed insurance agent for Beacon Pointe Insurance Services, LLC ("BPIS"), a California-licensed insurance agency, under common ownership with BPA. BPIS receives commissions on insurance products clients purchase, and Joshua Rummonds may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Joshua Rummonds may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Joshua Rummonds to recommend insurance products based on the compensation received, rather than focusing solely on the client's needs. Clients are not obligated to act on any insurance recommendations or conduct transactions through Joshua Rummonds or BPIS if they follow Mr. Rummonds' recommendations.

## ITEM 5 - ADDITIONAL COMPENSATION

Joshua Rummonds' 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. Rummond 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 Joshua Rummond is eligible to receive is outlined above in **Item 4 – Other Business Activities**.

## 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.

Lauren Meixel, Director of Operations, Wealth Advisor, is generally responsible for supervising Joshua Rummonds' day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.

# LAIN R. AINSWORTH, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Laine R. Ainsworth, CFP®, Partner, Managing Director, b. 1951

### *Education:*

BA, Economics, University of California, Los Angeles

### *Business Background:*

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

## Professional Designation

Laine Ainsworth 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

Laine Ainsworth has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to Laine Ainsworth’s role with Beacon Pointe Advisors, LLC, he is a member of the Dean’s Leadership Circle for the University of California at Irvine Paul Merage School of Business and an Executive Committee Member of the Center for Investment and Wealth Management (CIWM) at UC Irvine. He also serves as a member of the Hoag Hospital Diplomat Society and the Chartered Financial Analyst Society of Orange County. This activity accounts for a de minimis amount of Laine Ainsworth’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

Laine Ainsworth 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. Laine Ainsworth is an equity owner in the parent company of the firm. Mr. Ainsworth 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 Laine Ainsworth 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, Laine Ainsworth oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. 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 949-718-1600.

# LAUREN C. MEIXEL

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Lauren C. Meixel**, Director of Operations, Wealth Advisor, b. 1984

*Education:*

BS, Finance, California State University, Fullerton

*Business Background:*

Director of Operations, Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-Present

Manager, Operations, Beacon Pointe Advisors, LLC, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Lauren Meixel has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Lauren Meixel is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, she is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients she refers to the firm. Ms. Meixel 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.

James Davenport, Partner, Managing Director, is generally responsible for supervising Lauren Meixel's day-to-day advisory activities. Mr. Davenport can be reached by calling 949-720-9980.

# LIAM J. ROONEY

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Liam J. Rooney**, Client Service Associate, b. 1995

*Education:*

BA, Economics, Denison University

*Business Background:*

Client Service Associate, Beacon Pointe Advisors, LLC, 2025-Present

Sales, Digital Mass, 2024-2025

Sales, OSU Solutions, 2023-2024

Sales, Digital Mass, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Liam Rooney has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Liam Rooney 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 she refers to the firm. Mr. Rooney 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.

Lauren Meixel, Director of Operations, Wealth Advisor, is generally responsible for supervising Liam Rooney's day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.

# MARK L. MOEHLMAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Mark L. Moehlman**, Partner, Managing Director, b. 1945

*Education:*

MBA, University of Southern California

BS, Business, University of Southern California

*Business Background:*

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

## ITEM 3 - DISCIPLINARY INFORMATION

Mark Moehlman has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to Mark Moehlman's role with Beacon Pointe Advisors, LLC, he serves on the advisory board of the Center for Investment and Wealth Management (CIWM) at the University of California at Irvine Paul Merage School of Business, and the Women Investing in Security and Education (WISE), a non-profit organization of the University of California, Irvine that seeks to facilitate financial education for women. This activity is unrelated to Beacon Pointe Advisors, LLC's advisory business. Mark Moehlman is also the President and sole owner of Wealth Management Corporation ("WMC"), a business management company. These activities account for a de minimis amount of Mr. Moehlman's time and income. Beacon Pointe Advisors, LLC does not believe it presents a conflict of interest.

## ITEM 5 - ADDITIONAL COMPENSATION

Mark Moehlman 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. Mark Moehlman is an equity owner in the parent company of the firm. Mr. Moehlman 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 Mark Moehlman 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, Mark Moehlman oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. 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 949-718-1600.

# NICHOLE M. DIAZ

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Nichole M. Diaz**, Operations Manager, b. 1987

*Education:*

MBA, University of California, Riverside

BS, Financial Economics, University of California, Riverside

*Business Background:*

Operations Manager, Beacon Pointe Advisors, LLC, 2023-Present

Relationship Manager, Beacon Pointe Advisors, LLC, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Nichole Diaz has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Nichole Diaz is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, she is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients she refers to the firm. Ms. Diaz 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.

Lauren Meixel, Director of Operations, Wealth Advisor, is generally responsible for supervising Nichole Diaz's day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.