



# Form ADV Part 2B Brochure Supplement

May 2026

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

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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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# BENJAMIN J. HESS, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Benjamin J. Hess, CFP®**, Senior Associate Wealth Advisor, b. 1996

*Education:*

BS, Finance, Louisiana State University

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-2026

Client Service Associate, Beacon Pointe Advisors, LLC, 2020-2022

### Professional Designations

Benjamin Hess 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

Benjamin Hess has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC (“BPA”), Benjamin Hess 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 Benjamin Hess may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Benjamin Hess may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Benjamin Hess 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 Benjamin Hess or BPIS if they follow Mr. Hess' recommendations.

## ITEM 5 - ADDITIONAL COMPENSATION

Benjamin Hess 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. Hess 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 Benjamin Hess 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Benjamin Hess' day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# BRENT J. SHEPPARD, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Brent J. Sheppard, CFP®**, Wealth Advisor, b. 1977

### *Education:*

LL.M, Taxation, Boston University School of Law  
JD, Juris Doctor, Louisiana State University Law School  
BA, Economics, Louisiana State University

### *Business Background:*

Wealth Advisor, Beacon Pointe Advisors, LLC, 2021-Present  
Agent, Beacon Pointe Insurance Services, LLC, 2021-Present  
Wealth Advisor, Hancock/Whitney Investment Services, Inc., 2017-2021

## Professional Designations

Brent Sheppard 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

Brent Sheppard has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC (“BPA”), Brent Sheppard 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 Brent Sheppard may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Brent Sheppard may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Brent Sheppard 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 Brent Sheppard or BPIS if they follow Mr. Sheppard's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Brent Sheppard'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. Sheppard 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 Brent Sheppard 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Brent Sheppard's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# DOUG A. TILLMAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Doug A. Tillman**, Senior Wealth Advisor, b. 1973

*Education:*

MBA, University of New Orleans

BS, Accounting, University of New Orleans

*Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-Present

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Doug Tillman has no material disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), Doug Tillman 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 Doug Tillman may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Doug Tillman may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Doug Tillman 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 Doug Tillman or BPIS if they follow Mr. Tillman's recommendations.

## ITEM 5 - ADDITIONAL COMPENSATION

Doug Tillman'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. Tillman 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 Doug Tillman 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Doug Tillman's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# EDWARD “IAN” BLANCHARD, AIF<sup>®</sup>, CPFA<sup>®</sup>

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Edward “Ian” Blanchard, AIF<sup>®</sup>, CPFA<sup>®</sup>, Senior Wealth Advisor, b. 1985

*Education:*

BA, Economics, Louisiana State University

*Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-Present

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-2023

### Professional Designations

Ian Blanchard holds the following professional designation:

*Accredited Investment Fiduciary (AIF<sup>®</sup>)*

The AIF<sup>®</sup> designation is issued by the Center for Fiduciary Studies. To earn the designation, each AIF<sup>®</sup> 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<sup>®</sup> designees must also sign and agree to abide by a code of ethics. More information about the AIF<sup>®</sup> is available at <https://www.fi360.com/>.

*Certified Plan Fiduciary Advisor (CPFA<sup>®</sup>)*

The Certified Plan Fiduciary Advisor (CPFA<sup>®</sup>) credential is issued by the National Association of Plan Advisors. The CPFA<sup>®</sup> was developed by some of the nation’s leading advisors and retirement plan experts and demonstrates those with knowledge, expertise, and commitment to working with retirement plans. Financial advisors who earn their CPFA<sup>®</sup> designation demonstrate the expertise required to act as a plan fiduciary or help 401(k) plan fiduciaries manage their roles and responsibilities. More information about the CPFA<sup>®</sup> is available at <https://napacpfa.org/>.

## ITEM 3 - DISCIPLINARY INFORMATION

Ian Blanchard has no material disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC (“BPA”), Ian Blanchard 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 Ian Blanchard may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Ian Blanchard may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Ian Blanchard 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 Ian Blanchard or BPIS if they follow Mr. Blanchard's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Ian Blanchard'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. Blanchard 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 Ian Blanchard 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Ian Blanchard's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# JANIC HOYUELA, CPFA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Janic Hoyuela, CPFA®, Senior Relationship Manager, b. 1983

*Education:*

BS, Finance and International Business, Loyola University New Orleans

*Business Background:*

Senior Relationship Manager, Beacon Pointe Advisors, LLC, 2024-Present

Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-2024

Relationship Manager, The Standard (Standard Retirement Services), 2016-2023

### Professional Designations

Janic Hoyuela holds the following professional designation:

*Certified Plan Fiduciary Advisor (CPFA®)*

The Certified Plan Fiduciary Advisor (CPFA®) credential is issued by the National Association of Plan Advisors. The CPFA® was developed by some of the nation's leading advisors and retirement plan experts and demonstrates those with knowledge, expertise, and commitment to working with retirement plans. Financial advisors who earn their CPFA® designation demonstrate the expertise required to act as a plan fiduciary or help 401(k) plan fiduciaries manage their roles and responsibilities. More information about the CPFA® is available at <https://napacpfa.org/>.

## ITEM 3 - DISCIPLINARY INFORMATION

Janic Hoyuela has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Janic Hoyuela 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. Hoyuela 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Janic Hoyuela's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# MEGAN O. MOTES COCHRAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Megan O. Motes Cochran**, Managing Director, b. 1988

*Education:*

BS, Finance and Economics, Loyola University

*Business Background:*

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

Director of Operations, Beacon Pointe Advisors, LLC, 2020-2026

## ITEM 3 - DISCIPLINARY INFORMATION

Megan Motes Cochran has no material disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Megan Motes Cochran's compensation comes from Beacon Pointe Advisors, LLC. She receives a salary and variable compensation that is based on the assets under management in the client accounts she services. Ms. Cochran 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, to help ensure compliance with applicable regulatory requirements.

Raymond Daigle, Chief Practice Officer, is generally responsible for supervising Megan Motes Cochran's day-to-day advisory activities. Mr. Daigle can be reached by calling 949-718-1600.

# MOLLIE B. TAYLOR, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Mollie B. Taylor, CFP®**, Wealth Advisor, b. 1988

*Education:*

BA, Economics, Loyola University

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

### Professional Designations

Mollie Taylor 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

Mollie Taylor has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to her role at Beacon Pointe Advisors, LLC (“BPA”), Mollie Taylor 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 Mollie Taylor may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Mollie Taylor may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Mollie Taylor 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 Mollie Taylor or BPIS if they follow Ms. Taylor's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Mollie Taylor'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. Ms. Taylor 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 Mollie Taylor 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Mollie Taylor's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# RAYMOND A. DAIGLE, AIF®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Raymond A. Daigle, AIF®**, Chief Practice Officer, b. 1967

*Education:*

JD, Louisiana State University Law School

BS, Finance, Louisiana State University

*Business Background:*

Chief Practice Officer, Beacon Pointe Advisors, LLC, 2025-Present

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-2025

Registered Representative, Purshe Kaplan Sterling Investments, 2020-2024

### Professional Designations

Raymond Daigle holds the following professional designation:

*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/>.

## ITEM 3 - DISCIPLINARY INFORMATION

Raymond Daigle has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), Raymond Daigle 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 Raymond Daigle may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Raymond Daigle may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Raymond Daigle 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 Raymond Daigle or BPIS if they follow Mr. Daigle's recommendations.

Raymond Daigle is also a Co-Owner of RAD Properties LLC and CBDQ, LLC, and a Manager of DDP, LLC, all real estate holding companies. These other activities do not account for a meaningful portion of Mr. Daigle's time or income.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Raymond Daigle is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary. Raymond Daigle is an equity owner in the parent company of the firm. Mr. Daigle 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 Chief Practice Officer at Beacon Pointe Advisors, LLC, Raymond Daigle 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.

# ROBERT J. COMEAUX, AIF®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Robert J. Comeaux, AIF®, Partner, Managing Director, b. 1967

### *Education:*

JD, Loyola School of Law

BA, Journalism, Louisiana State University

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2020-Present

Registered Representative, Purshe Kaplan Sterling Investments, 2020-2022

## Professional Designations

Robert Comeaux holds the following professional designation:

### 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/>.

## ITEM 3 - DISCIPLINARY INFORMATION

Robert Comeaux has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), Robert Comeaux 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 Robert Comeaux may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Robert Comeaux may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Robert Comeaux 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 Robert Comeaux or BPIS if they follow Mr. Comeaux's recommendations.

Robert Comeaux is also a Member of CBDQ, LLC, and a Co-Owner of Bayou Bucks, LLC, both entities are real estate holding companies. These other activities do not account for a meaningful portion of Mr. Comeaux's time or income.

## ITEM 5 - ADDITIONAL COMPENSATION

Robert Comeaux 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. Robert Comeaux is an equity owner in the parent company of the firm. Mr. Comeaux 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 Robert Comeaux 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, Robert Comeaux oversees the investment advisory services provided by Beacon Pointe Advisors' Metairie, Louisiana 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, 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.

# SCOTT A. SCHNEIDER, CFP®, CLU®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Scott A. Schneider, CFP®, CLU®**, Wealth Advisor, b. 1983

### *Education:*

BS, Business Management, University of New Orleans

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2022-Present

Associate Agent, Michel M Legrand, 2016-2022

Representative, Northwestern Mutual Wealth Management Company, 2016-2022

Registered Representative, Northwestern Mutual Investment Services, LLC, 2016-2022

Wealth Management Advisor, Northwestern Mutual Investment Services, LLC, 2016-2022

## Professional Designations

Scott Schneider 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>.

### *Chartered Life Underwriter (CLU®)*

The CLU designation is offered by The American College. To earn the credential, the CLU candidate must successfully complete the five required courses and certify compliance with The American College Code of Ethics and Procedures. Participation in the annual Professional Recertification Program is required to maintain the designation. More information about the CLU is available at <https://www.theamericancollege.edu>.

### ITEM 3 - DISCIPLINARY INFORMATION

Scott Schneider has no disciplinary history to disclose.

### ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC ("BPA"), Scott Schneider 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 Scott Schneider may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Scott Schneider may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Scott Schneider 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 Scott Schneider or BPIS if they follow Mr. Schneider's recommendations.

### ITEM 5 - ADDITIONAL COMPENSATION

Scott Schneider'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. Schneider 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 Scott Schneider 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, to help ensure compliance with applicable regulatory requirements.

Megan Cochran, Managing Director, is generally responsible for supervising Scott Schneider's day-to-day advisory activities. Ms. Cochran can be reached by calling 504-309-6911.

# WALTER A. BOND, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Walter A. Bond, CFP®, Partner, Managing Director, b. 1967

### *Education:*

JD, Louisiana State University Law School  
BS, Finance, Louisiana State University

### *Business Background:*

Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present  
Agent, Beacon Pointe Insurance Services, LLC, 2020-Present  
Registered Representative, Purshe Kaplan Sterling Investments, 2020-2022

## Professional Designations

Walter Bond 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

Walter Bond has no material disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role at Beacon Pointe Advisors, LLC (“BPA”), Walter Bond 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 Walter Bond may earn a portion of these commissions.

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Walter Bond may offer insurance products and receive commissions from their sales. This arrangement creates an incentive for Walter Bond 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 Walter Bond or BPIS if they follow Mr. Bond's recommendations.

Walter Bond is also a Member of CBDQ, LLC, a real estate holding company. This activity does not account for a meaningful portion of Mr. Bond's time or income.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Walter Bond 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. Walter Bond is an equity owner in the parent company of the firm. Mr. Bond 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 Walter Bond 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, Walter Bond oversees the investment advisory services provided by Beacon Pointe Advisors' Metairie, Louisiana 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, 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.