



## Form ADV Part 2B Brochure Supplement

May 2026

### Individuals covered by this supplement include:

Gene Ka  
Melissa Ochoa

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

#### **Office Location:**

50 West San Fernando Street, Suite 405  
San Jose, CA 95113  
408-558-1660

#### **Corporate Office:**

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

This brochure supplement provides information about the above listed individuals that supplements the Beacon Pointe Advisors, LLC brochure. You should have already received a copy of that brochure. Please contact us at 949-718-1600 if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about the above listed individuals is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

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# GENE KA, CPWA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*

BS, Finance, Purdue University

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, 2021-Present

Registered Representative, APW Capital Inc., 2010-Present

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

### Professional Designations

Gene Ka holds the following professional designation:

*Certified Private Wealth Advisor (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

Gene Ka has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

Gene Ka spends a portion of his time as a registered representative of APW Capital Inc., a non-affiliated registered broker-dealer. In this capacity, Gene Ka may make security recommendations, offer investment products and/or effect securities transactions. When effecting transactions, he is eligible to receive compensation, commissions and/or trailing 12b-1 fees from APW Capital for products held by BPA's advisory clients. Receipt of this type of transaction-related compensation is a conflict of interest as it gives Gene Ka an incentive to recommend investment products based on the additional compensation received. BPA will not charge advisory fees on the portion of the client's portfolio that includes investment products for which Gene Ka receives commissions and/or trailing 12b-1 fees. In all instances, BPA will ensure that BPA clients are provided with a disclosure that outlines the commissions and/or trailing 12b-1 fees that Gene Ka receives.

## ITEM 5 - ADDITIONAL COMPENSATION

Gene Ka 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. Gene Ka is an equity owner in the parent company of the firm. Mr. Ka 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 Gene Ka 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, Gene Ka oversees the investment advisory services provided by Beacon Pointe Advisors' San Jose, 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, 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.

# MELISSA OCHOA

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Melissa Ochoa**, Associate Wealth Advisor, b. 1988

*Education:*

BBM, Business Management, San Jose State University

*Business Background:*

Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2025-Present

Relationship Manager, Beacon Pointe Advisors, LLC, 2021-2025

Support Advisor, Wealth Design, LLC, 2015-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Melissa Ochoa has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Melissa Ochoa 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. Ochoa 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.

Gene Ka, Partner, Managing Director, is generally responsible for supervising Melissa Ochoa's day-to-day advisory activities. Mr. Ka can be reached by calling 408-558-1660.