



# Form ADV Part 2B Brochure Supplement

June 2026

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

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**Corporate Office:**

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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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# CHI-GEE “GIGI” YIP, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Chi-Gee “Gigi” Yip, CFP®, Wealth Advisor, b. 1983

*Education:*

BA, Business Economics, York University

*Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2023-Present

Senior Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-2025

Investment Counselor, Fisher Investments, 2022-2023

Financial Planner, TD, 2016-2022

### Professional Designations

Gigi Yip 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

Gigi Yip has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Gigi Yip'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. Yip 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 Gigi Yip 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.

James "Bo" Ward, Partner, Managing Director, is generally responsible for supervising Gigi Yip's day-to-day advisory activities. Mr. Ward can be reached by calling 844-366-2525.

# DANIEL R. SAUR

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Daniel R. Saur**, Senior Wealth Advisor, b. 1963

*Education:*

Th.M., Dallas Theological Seminary  
BAAS, Stephen F. Austin State University

*Business Background:*

Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2021-Present  
Agent, Beacon Pointe Insurance Services, LLC, 2021-Present  
Chief Executive Officer, D.R. Saur Financial, Inc., 1993-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Daniel Saur was involved in a customer complaint in which the customer alleged inadequate due diligence and unsuitable recommendations. While Mr. Saur denies these allegations, the complaint was settled.

Additionally, Mr. Saur was involved in a customer complaint in which the customer alleged the sale of non-registered securities products. Mr. Saur denies the customer's claim as federal and state law unequivocally stated, at the time of the sale, that the product was not a security, and thus properly characterized as an outside business activity under NASD Rule 3030. The complaint was settled.

For additional information visit <https://adviserinfo.sec.gov/>.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## ITEM 5 - ADDITIONAL COMPENSATION

Daniel Saur'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. Saur 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 Daniel Saur 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.

James “Bo” Ward, Partner, Managing Director, is generally responsible for supervising Daniel Saur’s day-to-day advisory activities. Mr. Ward can be reached by calling 844-366-2525.

# DAVID P. SUESS, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

David P. Suess, CFP®, Senior Wealth Advisor, b. 1972

### *Education:*

MA, Liberal Arts, Texas Christian University

BA, History, Texas Christian University

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2019-Present

## Professional Designations

David Suess 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

David Suess has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

David Suess' 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. Suess 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 Suess 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.

Eric Witte, Partner, Managing Director, is generally responsible for supervising David Suess' day-to-day advisory activities. Mr. Witte can be reached by calling 844-366-2525.

# ERIC R. WITTE, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Eric R. Witte, CFP®, Partner, Managing Director, b. 1969

### *Education:*

BS, Business Administration, Finance, Oklahoma State University

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2016-Present

## Professional Designation

Eric Witte holds the following professional designation:

### *Certified Financial Planner (CFP®)*

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## ITEM 3 - DISCIPLINARY INFORMATION

Eric Witte has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Eric Witte may offer insurance products and receive commissions from their sales. This arrangement creates

an incentive for Eric Witte 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 Eric Witte or BPIS if they follow Mr. Witte's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Eric Witte 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. Eric Witte is an equity owner in the parent company of the firm. Mr. Witte 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 Eric Witte 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, Eric Witte oversees the investment advisory services provided by Beacon Pointe Advisors' Plano, Texas 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.

# HALEY R. RODRIQUES, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Haley R. Rodriques, CFP®**, Senior Wealth Advisor, b. 1986

### *Education:*

MS, Personal Financial Planning, Texas Tech University

BS, Personal Financial Planning, Texas Tech University

### *Business Background:*

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

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

Director of Practice Operations, D.R. Saur Financial, Inc., 2012-2021

## Professional Designation

Haley Rodriques 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

Haley Rodriques has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## ITEM 5 - ADDITIONAL COMPENSATION

Haley Rodriques' 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. Rodriques 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 Haley Rodriques 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.

Eric Witte, Partner, Managing Director, is generally responsible for supervising Haley Rodriques' day-to-day advisory activities. Mr. Witte can be reached by calling 844-366-2525.

# JAMES “BO” J. WARD, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

James “Bo” J. Ward, CFP®, Partner, Managing Director, b. 1971

### *Education:*

BA, Psychology, Texas A&M University

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2016-Present

## Professional Designation

Bo Ward 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.

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## ITEM 3 - DISCIPLINARY INFORMATION

Bo Ward has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

Clients pay separate fees for advisory services and insurance products or services. In this capacity, Bo Ward may offer insurance products and receive commissions from their sales. This arrangement creates

an incentive for Bo Ward 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 Bo Ward or BPIS if they follow Mr. Ward's recommendations.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Bo Ward 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. Bo Ward is an equity owner in the parent company of the firm. Mr. Ward 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 Bo Ward 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, Bo Ward oversees the investment advisory services provided by Beacon Pointe Advisors' Plano, Texas 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.

# MICHAEL S. WELCH, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Michael S. Welch, CFP®**, Senior Wealth Advisor, b. 1968

### *Education:*

MBA, University of North Texas

BA, Computer Science, Baylor University

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2021-Present

Vice President, D.R. Saur Financial, Inc., 2006-2021

## Professional Designation

Michael Welch 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

Michael Welch has no material disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Michael Welch'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. Welch 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 Michael Welch 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.

Eric Witte, Partner, Managing Director, is generally responsible for supervising Michael Welch's day-to-day advisory activities. Mr. Witte can be reached by calling 844-366-2525.

# NICHOLAS W. ENGLISH

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Nicholas W. English**, Senior Wealth Advisor, b. 1976

*Education:*

MBA, Finance, University of Dallas

BBA, Marketing, Loyola University of Maryland

*Business Background:*

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

## ITEM 3 - DISCIPLINARY INFORMATION

Nicholas English has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Nicholas English'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. English 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.

James "Bo" Ward, Partner, Managing Director, is generally responsible for supervising Nicholas English's day-to-day advisory activities. Mr. Ward can be reached by calling 844-366-2525.

# **SAMUEL D. MITCHELL, CFP®**

## **ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

**Samuel D. Mitchell, CFP®**, Senior Wealth Advisor, b. 1977

### *Education:*

MBA, Marketing and Finance, Midwestern State University, Texas

BBA, Marketing, Midwestern State University, Texas

### *Business Background:*

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

Agent, Beacon Pointe Insurance Services, LLC, 2016-Present

## **Professional Designation**

Samuel Mitchell 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**

Samuel Mitchell has no disciplinary history to disclose.

## **ITEM 4 - OTHER BUSINESS ACTIVITIES**

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

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

## **ITEM 5 - ADDITIONAL COMPENSATION**

Samuel Mitchell'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. Mitchell 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 Samuel Mitchell 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.

James "Bo" Ward, Partner, Managing Director, is generally responsible for supervising Samuel Mitchell's day-to-day advisory activities. Mr. Ward can be reached by calling 844-366-2525.

# TIMOTHY J. HOFFMAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Timothy J. Hoffman**, Regional Director, b. 1973

*Education:*

MBA, Business Administration and Management, University of North Texas  
BS, Business and Aviation, University of Minnesota

*Business Background:*

Regional Director, Beacon Pointe Advisors, LLC, 2022-Present  
Vice President, Personal Capital Advisors, 2019-2022

## ITEM 3 - DISCIPLINARY INFORMATION

Timothy Hoffman has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Timothy Hoffman'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. Hoffman 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.

Matthew DiQuollo, National Regional Director, is generally responsible for supervising Timothy Hoffman's day-to-day advisory activities. Mr. DiQuollo can be reached by calling 973-287-5437.