Form ADV
Part 2B Brochure Supplement

November 2026

www.beaconpointe.com

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Campbell, CA 95008
408-261-3300

365-B Lake Avenue
Santa Cruz, CA 95062
831-476-5210

Corporate Office:

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

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

Additional information about the above listed individuals is also available on the SEC's website at www.adviserinfo.sec.gov

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BRIANNA M. MARIOLLE, CFA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Brianna M. Mariolle, CFA, Partner, Senior Wealth Advisor, b. 1991

Education:
BS, Economics, Concentration in Finance, Risk Management, and Operations & Information Management, The Wharton School

Business Background:
Partner, Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2025-Present
Associate Director, IEQ Capital, LLC, 2021-2024
Manager, Portola Partners Group, LLC, 2020-2021

Professional Designations

Brianna Mariolle 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

Brianna Mariolle has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

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

ITEM 5 – ADDITIONAL COMPENSATION

Brianna Mariolle 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. Brianna Mariolle is an equity owner in the parent company of the firm. Ms. Mariolle 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Brianna Moriolle's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

CAMERON MEEK, CFP®

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Cameron Meek, CFP®, Wealth Advisor, b. 1998

Education:
BA, Communication, Pepperdine University

Business Background:
Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-2026
Financial Advisor Associate, Regatta, 2022-2023
Client Coordinator, Morton Capital Group, 2020-2022

Professional Designations

Cameron Meek 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

Cameron Meek has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

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

ITEM 5 – ADDITIONAL COMPENSATION

Cameron Meek'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. Meek 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Cameron Meek's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

CARLA N. YUAN, CPA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Carla N. Yuan, CPA, Partner, Regional Director, b. 1988

Education:
BA, Business, University of California, Santa Barbara

Business Background:
Partner, Regional Director, Beacon Pointe Advisors, LLC, 2026-Present
Realtor, Keller Williams Bay Area Estates, 2023-Present
Partner, Senior Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2025-2026
Financial Analyst, Wealth Consulting Group, 2024-2025
Account Manager, Uworld, 2023-2024
Realtor, First Team Real Estate, 2020-2023
Regional Director, Wiley, 2016-2023

Professional Designations

Carla Yuan holds the following professional designation:

Certified Public Accountant (CPA)

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination.

To maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

ITEM 3 – DISCIPLINARY INFORMATION

Carla Yuan has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to Carla Yuan's role with Beacon Pointe Advisors, LLC, she is a Realtor for Keller Williams Bay Area Estates. 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

Carla Yuan'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. Yuan 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 Carla Yuan 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.

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

DANIELLE WEN

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Danielle Wen, Wealth Advisor, b. 1984

Education:
BS, Economics, Massachusetts Institute of Technology

Business Background:
Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Founder/Owner, Lace & Liberty, Inc., 2015-Present
Associate Regional Director, Beacon Pointe Advisors, LLC, 2024-2026
VC Venture Fellow, Castor Ventures, 2023-2023
Consultant, Retail Ecommerce Ventures, 2021-2021

ITEM 3 – DISCIPLINARY INFORMATION

Danielle Wen has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

In addition to Danielle Wen's role with Beacon Pointe Advisors, LLC, she is the Founder and Owner of Lace and Liberty, Inc. This activity accounts for a de minimis amount of Danielle Wen'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

Danielle Wen'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. Wen 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 Danielle Wen 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Danielle Wen's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

GREGORY V. TAYLOR, CFP®, CFA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Gregory V. Taylor, CFP®, CFA, Senior Wealth Advisor, b. 1968

Education:
BS, Quantitative Economics & Decision Sciences, University of California, San Diego

Business Background:
Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present

Professional Designations

Gregory Taylor 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 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

Gregory Taylor has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Gregory 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 she services. Mr. 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.

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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Gregory Taylor's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

HONGYU "DERRICK" LIU

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Hongyu "Derrick" Liu, Client Service Associate, b. 2002

Education:
BBA, Finance, Emory University

Business Background:
Client Service Associate, Beacon Pointe Advisors, LLC, 2026-Present
Private Wealth Associate, AllianceBernstein, 2025-2026
RIA Intern, Charles Schwab & Co., Inc., 2024-2024
Retail Sales Associate, Essilor Luxottica, 2023-2023
Retail Sales Associate, Adidas, 2022-2022
Student, Full-time education, 2021-2024

ITEM 3 - DISCIPLINARY INFORMATION

Derrick Liu has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Derrick Liu 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. Liu 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.

Andrea Christopherson, Client Service Manager, is generally responsible for supervising Derrick Liu's day-to-day advisory activities. Ms. Christopherson can be reached by calling 408-261-3300.

LANCE A. WEXLER

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Lance A. Wexler, Partner, Senior Wealth Advisor, b. 1970

Education:
BA, Economics, University of California, Santa Cruz

Business Background:
Partner, Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-Present
Agent, Beacon Pointe Insurance Services, LLC, 2022-Present
Managing Member, Chief Compliance Officer, Nexus Wealth Advisors, LLC, 2013-2022

ITEM 3 – DISCIPLINARY INFORMATION

Lance Wexler has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC ("BPA"), Lance Wexler 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 client purchase, and Lance Wexler may earn a portion of these commissions.

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

In addition to Lance Wexler's role with Beacon Pointe Advisors, LLC, he owns and manages a vacation rental and engages in real estate flipping. This activity accounts for a de minimis amount of Lance Wexler'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

Lance Wexler 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. Lance Wexler is an equity owner in the parent company of the firm. Mr. Wexler 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 Lance Wexler 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Lance Wexler's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

MICHAEL S. DUNN

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Michael S. Dunn, Senior Wealth Advisor, b. 1962

Education:
BA, Economics, History, University of Massachusetts Amherst

Business Background:
Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-Present
Partner, Wealth Advisor, Bennicas and Associates, 2020-2022

ITEM 3 - DISCIPLINARY INFORMATION

Michael Dunn has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Michael Dunn'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. Dunn 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Michael Dunn's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

NATHAN SPRUIELL

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Nathan J. Spruiell, Associate Wealth Advisor, b. 1999

Education:
BS, Finance, Santa Clara University

Business Background:
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2024-Present
Data Analyst, Kane Investment Management Inc, 2018-2024

ITEM 3 - DISCIPLINARY INFORMATION

Nathan Spruiell has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Nathan Spruiell 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. Spruiell 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.

Wendy Kim, Director of Operations, is generally responsible for supervising Nathan Spruiell's day-to-day advisory activities. Ms. Kim can be reached by calling 408-261-3300.

PASCAL JEAN-CLAUDE MENUT

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Pascal Jean-Claude Menut, Wealth Advisor, b. 1990

Education:
MS, Financial Analysis, University of San Francisco
BBA, Finance, Loyola Marymount University

Business Background:
Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-Present
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-2021

ITEM 3 - DISCIPLINARY INFORMATION

Pascal Menut has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

In addition to his role with Beacon Pointe Advisors, LLC, Pascal Menut is an owner and partner of a family-owned investment company. Mr. Menut's role is passive and accounts for a de minimis amount of his time and income. These activities are unrelated to Beacon Pointe Advisors, LLC's advisory business. Beacon Pointe Advisors, LLC does not believe they present a conflict of interest.

ITEM 5 - ADDITIONAL COMPENSATION

Pascal Menut'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. Spruiell 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 Pascal Menut 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Pascal Menut's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

ROCKY LIN, CFA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Rocky Lin, CFA, Partner, Managing Director, b. 1980

Education:
BA, Economics, University of California, Santa Barbara

Business Background:
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present
Agent, Beacon Pointe Insurance Services, LLC, 2012-Present

Professional Designations

Rocky Lin 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

Rocky Lin has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

ITEM 5 - ADDITIONAL COMPENSATION

Rocky Lin 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. Rocky Lin is an equity owner in the parent company of the firm. Mr. Lin does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients. compensation comes from his regular salary and ownership of Beacon Pointe Advisors, LLC. The additional compensation that Rocky Lin 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, Rocky Lin oversees the investment advisory services provided by Beacon Pointe Advisors' Campbell, 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.

RYAN K. LAM, AIF®

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Ryan K. Lam, AIF®, Wealth Advisor, b. 1991

Education:
BS, Business Administration, San Jose State University

Business Background:
Wealth Advisor, Beacon Pointe Advisors, LLC, 2024-Present
Agent, Beacon Pointe Insurance Services, LLC, 2024-Present
Investment Advisor Representative, Fountainhead Capital Management, LLC, 2020-2024
Agent, Penn Mutual Life Insurance Co., 2015-2024

Professional Designations

Ryan Lam 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 regarding the AIF® is available at https://www.fi360.com/.

ITEM 3 – DISCIPLINARY INFORMATION

Ryan Lam has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

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

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

ITEM 5 – ADDITIONAL COMPENSATION

Ryan Lam'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. Lam 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 Ryan Lam 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Ryan Lam's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

STEPHANIE A. RUMOLD, CFP®

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Stephanie A. Rumold, **CFP®**, Senior Wealth Advisor, b. 1973

Education:
BBA, Finance, Boise State University

Business Background:
Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-Present
Agent, Beacon Pointe Insurance Services, LLC, 2013-Present
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-2022

Professional Designations

Stephanie Rumold 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

Stephanie Rumold has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

In addition to her role at Beacon Pointe Advisors, LLC ("BPA"), Stephanie Rumold 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 Stephanie Rumold may earn a portion of these commissions.

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

ITEM 5 – ADDITIONAL COMPENSATION

Stephanie Rumold'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. Rumold 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 Stephanie Rumold 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Stephanie Rumold's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

TAMMY K. PIOCH

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Tammy K. Pioch, Partner, Senior Wealth Advisor, b. 1967

Education:
BA, Economics with Business Emphasis, University of California, Santa Cruz

Business Background:
Partner, Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Wealth Advisor, Hightower Advisors, 2023-2026
Investment Advisor Representative, Mariner Wealth Advisors, 2020-2023

ITEM 3 – DISCIPLINARY INFORMATION

Tammy Pioch has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

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

ITEM 5 – ADDITIONAL COMPENSATION

Tammy Pioch 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. Tammy Pioch is an equity owner in the parent company of the firm. Ms. Pioch 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Tammy Pioch's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

TONY HAN

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Tony Han, Wealth Advisor, b. 1980

Education:
No formal education after high school.

Business Background:
Wealth Advisor, Beacon Pointe Advisors, LLC, 2022-Present
Manager, Operations, Beacon Pointe Advisors, LLC, 2020-2021

ITEM 3 - DISCIPLINARY INFORMATION

Tony Han has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Tony Han'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. Han 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Tony Han's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

TYLER M. BROCK, CFP®

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Tyler M. Brock, CFP®, Senior Wealth Advisor, b. 1979

Education:
BS, Marketing, University of Colorado at Boulder-Leeds School of Business

Business Background:
Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present
Agent, Beacon Pointe Insurance Services, LLC, 2016-Present

Professional Designations

Tyler Brock 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

Tyler Brock has no disciplinary history to disclose.

ITEM 4 – OTHER BUSINESS ACTIVITIES

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

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

In addition to Tyler Brock's role with Beacon Pointe Advisors, LLC, he also serves on the Investment Committee for the Redwoods Retirement Community and the Board and Supervisory Committee of Star One Credit Union. These activities account for a de minimis amount of Tyler Brock'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

Tyler Brock'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. Brock 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 Tyler Brock 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.

Rocky Lin, Partner, Managing Director, is generally responsible for supervising Tyler Brock's day-to-day advisory activities. Mr. Lin can be reached by calling 408-261-3300.

TZUHSUAN "VIVIAN" MENG, CFA

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Tzuhsuan "Vivian" Meng, CFA, Associate Wealth Advisor, b. 1975

Education:
MBA, Finance, Carnegie Mellon University
BA, Business, National Taiwan University

Business Background:
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Lead Treasury, Wells Fargo, 2007-2025

Professional Designations

"Vivian" Meng 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

Vivian Meng has no disciplinary history to disclose.

ITEM 4 - OTHER BUSINESS ACTIVITIES

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

ITEM 5 - ADDITIONAL COMPENSATION

Vivian Meng 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. Meng 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.

Wendy Kim, Director of Operations, is generally responsible for supervising Vivian Meng's day-to-day advisory activities. Ms. Kim can be reached by calling 408-261-3300.