# Form ADV
# Part 2B Brochure Supplement

## November 2026

www.beaconpointe.com

### Office Locations:

610 Newport Center Drive, Suite 280
Newport Beach, CA 92660
949-720-9980

3610 Central Avenue, Suite 400
Riverside, CA 92506
951-328-0894

610 Newport Center Drive, Suite 830
Newport Beach, CA 92660
949-718-4527

5200 North Palm Avenue, Suite 308
Fresno, CA 93704
559-540-2416

### 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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# ANDREW ROVZAR

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
BA, Political Science and Government, University of Colorado

*Business Background:*
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2021-Present
Financial Advisor, Morgan Stanley, 2019-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Andrew Rovzar has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Andrew Rovzar is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, he is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients he refers to the firm. Mr. Rovzar does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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

# BERNARD P. MCGLOIN, CFA

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
BBS, Business Studies, Dublin City University

*Business Background:*
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2023-Present
Managing Director, BNY Mellon Wealth Management, 2003-2023

### Professional Designation

Bernard McGloin holds the following professional designation:

#### *Chartered Financial Analyst (CFA®)*

The Chartered Financial Analyst ("CFA®") designation is sponsored by CFA Institute. To earn a CFA charter, candidates must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. The three proctored course exams correspond to three 250-hour self-study levels. Completing the Program takes most candidates between two and five years. More information regarding the CFA is available at https://www.cfainstitute.org/

## ITEM 3 - DISCIPLINARY INFORMATION

Bernard McGloin has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Bernard McGloin is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Bernard McGloin is an equity owner in the parent company of the firm. Mr. McGloin does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Bernard McGloin oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, California office. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to 949-718-1600.

# COLIN J. ROWE

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
MBA, Finance, Entrepreneurship, University of Arizona
BS, Business Management, University of Arizona

*Business Background:*
Relationship Manager, Beacon Pointe Advisors, LLC, 2025-Present
Registered Representative, Charles Schwab & Co., Inc., 2022-2025
Loan Officer, Reduce Mortgage, 2021-2022
First Flyer, Sales, Freedom Mortgage, 2020-2021

## ITEM 3 - DISCIPLINARY INFORMATION

Colin Rowe has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Colin Rowe is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, he is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients he refers to the firm. Mr. Rowe does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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

# DARIN A. SIMONIAN, CFP®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
BA, Business and Accounting, Whittier College

*Business Background:*
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2022-Present
Founder and Chief Executive Officer, Newport Wealth Strategies, Inc., 2011-2021
Chief Compliance Officer, Newport Wealth Strategies, Inc., 2011-2021
President, Alpha Cubed Investments, LLC, 2015-2021

### Professional Designation

Darin Simonian holds the following professional designation:

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

The CERTIFIED FINANCIAL PLANNER™ and CFP® (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP® Board"). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. The CFP® is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. CFP® certificate holders are bound by the CFP® Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

To earn the credential, each CFP® candidate must have a bachelor's degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP Board Registered Program or hold an accepted designation, degree or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information about the CFP® is available at http://www.cfp.net/default.asp.

## ITEM 3 - DISCIPLINARY INFORMATION

Darin Simonian has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Darin Simonian is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Darin Simonian is an equity owner in the parent company of the firm. Mr. Simonian does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Darin Simonian oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to 949-718-1600.

# JAMES F. DAVENPORT

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
MBA, Finance, Chapman University
BA, Communications, University of Southern California

*Business Background:*
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present
Agent, Beacon Pointe Insurance Services, LLC, 2015-Present

## ITEM 3 - DISCIPLINARY INFORMATION

James Davenport has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

In addition to James Davenport's role with Beacon Pointe Advisors, LLC, he serves on the advisory board for Big Brothers Big Sisters, Inland Empire and is a member of both the Endowment Council Chapmen University and Leaders, Executives, and Directors, Advancing Philanthropy (LEAD-OC). This activity accounts for a de minimis amount of James Davenport's time and income. This activity is unrelated to Beacon Pointe Advisors, LLC's advisory business. Beacon Pointe Advisors, LLC does not believe it presents a conflict of interest.

## ITEM 5 - ADDITIONAL COMPENSATION

James Davenport is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. James Davenport is an equity owner in the parent company of the firm. Mr. Davenport does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice

to clients. The additional compensation that James Davenport is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

## ITEM 6 - SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, James Davenport oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, 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.

# JOHN H. CHAPMAN, CFP®, CKA®

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**John H. Chapman, CFP®**, Partner, Senior Wealth Advisor, b. 1988

*Education:*
BA, Communication, University of Washington

*Business Background:*
Partner, Senior Wealth Advisors, Beacon Pointe Advisors, LLC, 2026-Present
Investment Advisor Representative, Worthpointe, LLC, 2018-2026
Investment Advisor Representative, Constitution Wealth, LLC, 2021-2024

### Professional Designations

John Chapman 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.

#### *Certified Kingdom Advisor® (CKA®)*

The Certified Kingdom Advisor® (CKA®) designation is a professional certification granted by Kingdom Advisors, a nonprofit organization that provides training and professional development for financial professionals seeking to integrate Christian faith and biblical principles into their financial advisory practices. The CKA® designation is a voluntary certification and is not required by federal or state law or regulation to provide financial advisory services.

To earn the CKA® designation, candidates must meet Kingdom Advisors' eligibility requirements, including applicable professional experience, complete an approved educational training program focused on biblical financial principles and their application to financial advice, pass the required certification

examination, and agree to adhere to the organization's ethical and professional standards. CKA® professionals must also satisfy ongoing continuing education and certification renewal requirements to maintain the designation.

More information about the CKA® designation is available at https://kingdomadvisors.com.

## ITEM 3 – DISCIPLINARY INFORMATION

John Chapman has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

John Chapman 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. John Chapman is an equity owner in the parent company of the firm. Mr. Chapman 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.

Allison Blake, Partner, Transition Support Manager, is generally responsible for supervising John Chapman's day-to-day advisory activities. Ms. Blake can be reached by calling 888-756-7568.

# JOSHUA A.C. RUMMONDS

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
JD, Thomas Jefferson School of Law
BA, Political Science and Government, University of Southern California

*Business Background:*
Wealth Advisor, Beacon Pointe Advisors, LLC, 2020-Present
Agent, Beacon Pointe Insurance Services, LLC, 2018-Present

## ITEM 3 - DISCIPLINARY INFORMATION

Joshua Rummonds has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

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

## ITEM 5 - ADDITIONAL COMPENSATION

Joshua Rummonds' compensation comes from Beacon Pointe Advisors, LLC. He receives a salary and variable compensation that is based on the assets under management in the client accounts he services. Mr. Rummond does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients. The additional compensation that Joshua Rummond is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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

# JUSTIN B. FRIO

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Justin B. Frio,** Associate Wealth Advisor, b. 1996

*Education:*
BS, Business Administration, California State University, Chico

*Business Background:*
Associate Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Associate Portfolio Manager, Bank of New York Mellon, 2022-2026
Unemployed, 2019-2022

## ITEM 3 - DISCIPLINARY INFORMATION

Justin Frio has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Justin Frio 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. Frio 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.

Lauren Meixel, Senior Wealth Advisor, is generally responsible for supervising Justin Frio's day-to-day advisory activities. Ms. Meixel can be reached by calling 949-720-9980.

# LAUREN C. MEIXEL

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Lauren C. Meixel**, Senior Wealth Advisor, b. 1984

*Education:*
BS, Finance, California State University, Fullerton

*Business Background:*
Senior Wealth Advisor, Beacon Pointe Advisors, LLC, 2026-Present
Director of Operations, Wealth Advisor, Beacon Pointe Advisors, LLC, 2023-2026
Manager, Operations, Beacon Pointe Advisors, LLC, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Lauren Meixel has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Lauren Meixel is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, she is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients she refers to the firm. Ms. Meixel does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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

# LIAM J. ROONEY

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
BA, Economics, Denison University

*Business Background:*
Client Service Associate, Beacon Pointe Advisors, LLC, 2025-Present
Sales, Digital Mass, 2024-2025
Sales, OSU Solutions, 2023-2024
Sales, Digital Mass, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Liam Rooney has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Liam Rooney is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, he is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients she refers to the firm. Mr. Rooney does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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

# MARK L. MOEHLMAN

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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

*Education:*
MBA, University of Southern California
BS, Business, University of Southern California

*Business Background:*
Partner, Managing Director, Beacon Pointe Advisors, LLC, 2020-Present

## ITEM 3 - DISCIPLINARY INFORMATION

Mark Moehlman has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Mark Moehlman is a partner of Beacon Pointe Advisors, LLC, and is compensated by the firm with a salary and variable compensation based on client assets under management. Mark Moehlman is an equity owner in the parent company of the firm. Mr. Moehlman does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients. The additional compensation that Mark Moehlman is eligible to receive is outlined above in ***Item 4 – Other Business Activities***.

## ITEM 6 - SUPERVISION

As a Partner, Managing Director at Beacon Pointe Advisors, LLC, Mark Moehlman oversees the investment advisory services provided by Beacon Pointe Advisors' Newport Beach, Riverside, and Fresno, California offices. He is not subject to day-to-day supervision by another individual. However, Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements and firm policies.

Questions regarding the firm's compliance program can be directed to 949-718-1600.

# NICHOLE M. DIAZ

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Nichole M. Diaz,** Senior Relationship Manager, b. 1987

*Education:*
MBA, University of California, Riverside
BS, Financial Economics, University of California, Riverside

*Business Background:*
Senior Relationship Manager, Beacon Pointe Advisors, LLC, 2026-Present
Operations Manager, Beacon Pointe Advisors, LLC, 2023-2026
Relationship Manager, Beacon Pointe Advisors, LLC, 2020-2023

## ITEM 3 - DISCIPLINARY INFORMATION

Nichole Diaz has no disciplinary history to disclose.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

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

## ITEM 5 - ADDITIONAL COMPENSATION

Nichole Diaz is a salaried employee of Beacon Pointe Advisors, LLC, and does not receive compensation based on client assets or advisory fees. However, she is eligible to receive a one-time referral bonus based on a percentage of the estimated first-year revenue generated from new clients she refers to the firm. Ms. Diaz does not receive economic benefit from any person or entity other than Beacon Pointe Advisors, LLC, in connection with providing investment advice to clients.

## ITEM 6 - SUPERVISION

Beacon Pointe supervises its personnel in accordance with its Code of Ethics and written compliance policies and procedures. The firm's compliance team oversees compliance with these policies and conducts periodic reviews of advisory activities, to help ensure compliance with applicable regulatory requirements.

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