

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

**Eric Foster McGinnis AIF,<sup>®</sup> CPFA<sup>®</sup>**

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This brochure supplement provides information about Eric Foster McGinnis that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Contact us at 630-873-8520 if you did not receive Forum Financial Management, LP's brochure or if you have any questions about the contents of this supplement.

Additional information about Eric Foster McGinnis (CRD # 6264467) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Eric Foster McGinnis, AIF, CPFA

**Born:** 1971

### **Education Background:**

- University of Southern Maine, BA Business Administration, 1995

### **Business Experience:**

- Forum Financial Management, LP, Investment Adviser Representative, 5/2021 - Present
- Decision Point Financial, Financial Planner/Senior Associate, 11/2018 - 07/2021
- Pacific Asset Management, Investment Advisor, 11/2014 - 11/2018
- Ameriprise Financial Services, Inc., Associate Financial Advisor, 11/2013 - 11/2014
- Visor Benefits, Benefit Consultant, 11/2012 - 11/2013
- American Public Life Insurance Co., Regional Business Director, 8/2007 - 11/2012

### **Designations/Certifications:**

Eric F. McGinnis has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Accredited Investment Fiduciary® (AIF®)
- Certified Plan Fiduciary Advisor® (CPFA®)

Please refer to Part 2B Appendix 1 of the Firm Brochure for definitions of the above designations.

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Eric Foster McGinnis has no required disclosures under this item.

## Item 4 Other Business Activities

Eric Foster McGinnis is not actively engaged in any other business or occupation (investment-related or otherwise) beyond his capacity as Investment Adviser Representative of Forum Financial Management, LP. Moreover, Mr. McGinnis does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

## Item 5 Additional Compensation

Eric Foster McGinnis does not receive any additional compensation beyond that received as an Investment Adviser Representative of Forum Financial Management, LP.

## Item 6 Supervision

Forum has implemented a Code of Ethics and an internal compliance program that guides each associated person in meeting their fiduciary obligations to clients. Advice provided to clients is directed by Forum's investment philosophy. The firm monitors the advice given to Forum's advisory clients by its advisors in the following ways:

1. an initial review of the asset allocation for a new client as compared to the client's risk tolerance and investment objectives;
2. periodic reviews of a random number of the advisor's client files in order to provide reasonable assurance that the advice provided by the advisor to his or her clients is consistent with the client's stated investment objectives and Forum's policies and procedures, and
3. in-person or telephonic meetings with advisors to review client activity.

Moreover, on at least an annual basis, Forum offers training to each of its advisors to cover investments, new products, and related compliance concerns.

Eric F. McGinnis is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at (630) 873-8503 or [fnybo@forumfin.com](mailto:fnybo@forumfin.com).

## Item 7 Part 2B Appendix 1

### **Accredited Investment Fiduciary® (AIF®)**

The AIF designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

### **Certified Plan Fiduciary Advisor® (CPFA®)**

The CPFA designation demonstrates an individual's knowledge, expertise and commitment to working with retirement plans. Plan advisers who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. To receive the CPFA designation, individuals must successfully pass the CPFA Examination. In order to maintain the CPFA designation, the individual must complete 20 continuing education credits bi-annually. The certification is administered by the National Association of Plan Advisers.