



**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

Samuel R. Williams

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September 6, 2023

The home office of Forum Financial Management, LP is located at 1900 South Highland Avenue, Suite 100, Lombard, IL 60148. Telephone: (630) 873-8520. Website: www.forumfinancial.com.

This brochure supplement provides information about Samuel R. Williams that supplements the Forum Financial Management, LP ("Forum") Form ADV Part 2A Brochure ("firm brochure"). You should have received a copy of that firm brochure. Please contact us at (630) 873-8520 if you did not receive Forum's firm brochure or if you have any questions about the contents of this brochure supplement.

Additional information about Samuel R. Williams is available on the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Samuel R. Williams

Born: 1989

Education Background:

- James Madison University: Bachelor of Arts (BA), Finance – 2012

Business Experience:

- Ohio National Financial Services: Agent – 1/2023 to Present
- Ash Brokerage: Independent Insurance Producer – 9/2021 to Present
- Forum Financial Management, LP: Investment Adviser Representative – 8/2021 to Present
- CG Financial Services of Virginia LLC: Financial Advisor – 1/2018 to 6/2021
- DFC Investment and Retirement Strategies: Doing Business As – 1/2018 to 6/2021
- Geneos Wealth Management Inc.: Registered Representative – 1/2018 to 2/2020
- Northwestern Mutual Wealth Management Company: Representative – 3/2017 to 1/2018
- Northwestern Mutual Investment Services, LLC: Registered Representative – 9/2012 to 1/2018
- Northwestern Mutual Life Insurance Company: Agent – 6/2012 to 1/2018

Professional Designations, Certifications, and Exams:

- Accredited Investment Fiduciary® (AIF®), 2023
- Uniform Investment Adviser Law Examination (Series 65 Exam), 2019
- Securities Industry Essentials® (SIE®) Exam, 2018
- Investment Company and Variable Contracts Products Representative Examination (Series 6 Exam), 2013
- Uniform Securities Agent State Law Examination (Series 63 Exam), 2013

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

Item 3 – Disciplinary Information

Mr. Williams has no reportable disciplinary history.

Item 4 – Other Business Activities

Mr. Williams is an Independent Insurance Producer with Ash Brokerage and an Agent with Ohio National Financial Services. Clients of Ash Brokerage and Ohio National Financial Services or Mr. Williams in these business activities could also be clients of Forum Financial Management, LP. The fees earned by Mr. Williams in these roles are separate and apart from the fees clients pay Forum for advisory services. Clients should be aware that the receipt of additional compensation by Mr. Williams in these outside business activities creates a conflict of interest. However, clients are under no obligation to purchase insurance products through Mr. Williams. As a fiduciary, Mr. Williams has certain legal obligations, including the obligation to act in the clients' best interests.

Please refer to “Item 10 – Other Financial Industry Activities and Affiliations” of Forum’s firm brochure for complete disclosure of the above referenced outside business activities.

Item 5 – Additional Compensation

Refer to the Other Business Activities section above for disclosures on Mr. Williams’s receipt of additional compensation as a result of his other business activities.

Also, please refer to “Item 5 – Fees and Compensation” and “Item 14 – Client Referrals and Other Compensation” of Forum’s firm brochure for additional disclosures on this topic.

Item 6 – Supervision

As a registered investment adviser, Forum administers and enforces a regulatory compliance program, reasonably designed to detect and prevent violations of the Investment Advisers Act of 1940 and other applicable state and federal securities laws. Forum’s compliance program is overseen by Forum’s Chief Compliance Officer, Allison Tronnes, who delegates advisor supervision responsibilities among various advisor support personnel and teams.

Forum has a dedicated Advisor Support Team, and within that team is the primary point of contact for advisor supervision. Should a client or prospective client have any questions or concerns, please reach out to one of the following:

Nikki Hopson

Advisor Development and Supervision
(630) 376-4367
nhopson@forumfinancial.com

Allison Tronnes

Chief Compliance Officer
(630) 873-8512
atronnes@forumfinancial.com

Item 7 – Part 2B Appendix 1

Accredited Investment Fiduciary® (AIF®)

The Accredited Investment Fiduciary® (AIF®) is a professional designation awarded by Fi360, which is accredited by the American National Standards Institute (ANSI) for the AIF® Designation. Individuals who hold the AIF® designation have completed a course of study to assure that those responsible for managing or advising on investor assets have a fundamental understanding of the principles of fiduciary duty, the standards of conduct for acting as a fiduciary, and a process for carrying out fiduciary responsibility. Candidates must complete an approved course of training, pass the AIF® exam, meet experience requirements, and satisfy Code of Ethics and Conduct Standards requirements. For more information, refer to Fi360’s website at: <https://www.fi360.com/what-we-do/learning-development/aif-training/aif-designation>.

Investment Company and Variable Contracts Products Representative Examination (Series 6 Exam)

The Investment Company and Variable Contracts Products Representative Examination (Series 6 exam) is an industry exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 50 scored questions. The exam assesses the competency of an entry-level representative to perform their job as an investment company and variable contracts products representative. The exam measures the degree to which each candidate possesses the knowledge needed to perform the critical

functions of an investment company and variable contract products representative, including sales of mutual funds and variable annuities. Candidates must pass the Securities Industry Essentials (SIE) exam and the Series 6 exam to obtain the Investment Company and Variable Contracts Products registration. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/series6>.

Securities Industry Essentials® (SIE®) Exam

The Securities Industry Essentials® (SEI®) Exam is a exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 75 multiple choice questions. Candidates have 75 minutes to complete the exam. In order for a candidate to pass the SIE® Exam, the individual must correctly answer 70 of the 75 scored questions. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam>.

Uniform Securities Agent State Law Examination (Series 63 Exam)

The Uniform Securities State Law Examination (Series 63 exam) is a North American Securities Administrators Association (NASAA) exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 60 scored questions. Candidates have 75 minutes to complete the exam. In order for a candidate to pass the Series 63 exam, the individual must correctly answer at least 43 of the 60 scored questions. For more information, refer to the NASAA website at: <https://www.nasaa.org/exams/>.

Uniform Investment Adviser Law Examination (Series 65 Exam)

The Uniform Investment Adviser Law Examination (Series 65 exam) is a North American Securities Administrators Association (NASAA) exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 130 scored questions. Candidates have 180 minutes to complete the exam. In order for a candidate to pass the Series 65 exam, the individual must correctly answer at least 94 of the 130 scored questions. For more information, refer to the NASAA website at: <https://www.nasaa.org/exams/>.