

FORM ADV PART 2B
BROCHURE SUPPLEMENT

Christopher J. Genzler

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This brochure supplement provides information about Christopher John Genzler that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Please 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 Christopher John Genzler is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Christopher John Genzler

Education Background:

- Keller Graduate School, Chicago, IL, MBA, Finance, 1984
- University of South Florida, BA, Finance, 1982

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 8/2012 to Present.
- The Genzler Group, President/Owner, 11/1994 to Present.
- Purshe Kaplan Sterling Investments, Registered Representative, 05/2012 to 09/2020
- Genworth Financial Advisers Corporation, Investment Adviser Representative, 11/1999 to 04/2012.
- Genworth Financial Securities Corporation, Registered Representative, 03/1998 to 04/2012.
- Dreher & Associates, Inc., Registered Representative, 11/1994 to 03/1998.
- Citicorp Investment Services, Investment Consultant, 04/1993 to 10/1994.
- Citicorp Investment Services, Registered Representative, 11/1991 to 10/1994.
- Financial Horizons Securities Corporation, Registered Representative, 11/1990 to 04/1993.
- Terra Securities Corporation, Registered Representative, 02/1986 to 11/1990.

Designation(s)/Certification(s):

Christopher J. Genzler has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 65 - Uniform Investment Adviser, 1999.
- Certified Financial Planner: (granted by the CFP Board of Standards), 1996.
- Licensed Insurance Agent (Life, Health, Disability, LTC).

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

Item 3 Disciplinary Information

Christopher J. Genzler has no reportable disciplinary history.

Item 4 Other Business Activities

Christopher J. Genzler is an independent insurance agent. The receipt of additional compensation may give Mr. Genzler an incentive to recommend investment and/or insurance products based on the compensation received, rather than on your investment needs. Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Forum Financial Management, LP's firm brochure for additional disclosures on this topic.

Christopher J. Genzler is President/Owner of Genzler Group Ltd., a business and marketing consulting firm located in Downers Grove, Illinois. The fees charged by Genzler Group Ltd. for business/marketing consulting services are separate and apart from the fees charged by Forum Financial Management, LP for advisory services. It is expected that Mr. Genzler, solely incidental to his respective practice as a consultant, may recommend the advisory services of Forum Financial Management, LP to clients of Genzler Group Ltd. Neither Genzler Group Ltd., nor any of its partners, shall receive referral fees from Forum Financial Management, LP; however, Mr. Genzler is entitled to

receive distributions relative to his ownership interest as President/Owner of Genzler Group Ltd. Mr. Genzler spends 5% of his professional time in his capacity as President/Owner of the Genzler Group Ltd.

Please refer to of Form ADV: Firm Brochure, Item 10, (Other Financial Industry Activities and Affiliations) for complete disclosure of the above referenced Investment-Related Activities.

Item 5 Additional Compensation

Please refer to the Other Business Activities section above for disclosures on Mr. Genzler's receipt of additional compensation as a result of his activities as President/Owner of Genzler Group Ltd.

Also, please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Forum Financial Management, LP's firm brochure for additional disclosures on this topic.

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.

Christopher J. Genzler is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at (630) 873-8503 or fnybo@forumfin.com.

Item 7 Part 2B Appendix 1

The **CERTIFIED FINANCIAL PLANNER™**, (**CFP®**) and federally registered CFP® (with flame design) marks (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. It 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. Currently, more than 63,000 individuals have obtained CFP® certification in the United States. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education - Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination - Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience - Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics - Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education - Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics - Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.