



**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**Jack Stephen Grzenia**

**Office Address**

1200 Harger Road, Suite 220  
Oak Brook, IL 60523  
Telephone: (630) 620-6200

**September 1, 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](http://www.forumfinancial.com).

This brochure supplement provides information about Jack Stephen Grzenia 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 Jack Stephen Grzenia is available on the SEC's Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 – Educational Background and Business Experience

**Full Legal Name:** Jack Stephen Grzenia

**Born:** 1991

### **Education Background:**

- Southern Illinois University Carbondale: Bachelor of Science (BS), Animal Science – 2013

### **Business Experience:**

- Purshe Kaplan Sterling Investments, Inc.: Registered Representative – 11/2016 to Present
- Forum Financial Management, LP: Investment Adviser Representative – 9/2016 to Present
- MP360° Financial Services: Assistant and Client Service Associate – 2/2015 to Present
- MP360° Tax Services, Ltd.: Assistant – 2/2015 to 6/2023
- Cetera Investment Advisers LLC: Investment Adviser Representative – 8/2016 to 11/2016
- Cetera Financial Specialists LLC: Registered Representative – 6/2015 to 11/2016

### **Professional Designations, Certifications, and Exams:**

- Uniform Investment Adviser Law Examination (Series 65 Exam), 2021
- Securities Industry Essentials® (SIE®) Exam, 2018
- Uniform Combined State Law Exam (Series 66 Exam), 2016
- General Securities Representative Examination (Series 7 Exam), 2015

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

## Item 3 – Disciplinary Information

Mr. Grzenia has no reportable disciplinary history.

## Item 4 – Other Business Activities

Mr. Grzenia is a Registered Representative with Purshe Kaplan Sterling Investments, Inc. (“PKSI”). He is also an Assistant and Client Service Associate with MP360° Financial Services. Clients of PKSI and MP360° Financial Services could also be clients of Forum Financial Management, LP. The fees earned by Mr. Grzenia in these outside business activities are separate and apart from the fees clients pay Forum for advisory services.

In his role as Registered Representative, Mr. Grzenia could recommend securities or insurance products offered by PKSI as part of clients’ investment portfolios. If clients purchase these products through Mr. Grzenia, he will receive the customary commissions. Additionally, Mr. Grzenia could receive 12b-1 fees from mutual funds that pay such fees.

Clients should be aware that the receipt of additional compensation by Mr. Grzenia in these outside business activities creates a conflict of interest. However, clients are under no obligation to purchase investment products or tax and accounting services through Mr. Grzenia. As a fiduciary, Mr. Grzenia 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. Grzenia'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](mailto:nhopson@forumfinancial.com)

**Allison Tronnes**

Chief Compliance Officer  
(630) 873-8512  
[atronnes@forumfinancial.com](mailto:atronnes@forumfinancial.com)

## **Item 7 – Part 2B Appendix 1**

### **General Securities Representative Examination (Series 7 Exam)**

The General Securities Representative Examination (Series 7 exam) is an industry exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 125 scored questions. The exam assesses the competency of an entry-level registered representative to perform their job as a general securities representative and measures the degree to which each candidate possesses the knowledge needed to perform the critical functions of a general securities representative, including sales of corporate securities, municipal securities, investment company securities, variable annuities, direct participation programs, options and government securities. Candidates must pass the Securities Industry Essentials (SIE) exam and the Series 7 exam to obtain the General Securities Representative registration. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/series7>.

### **Securities Industry Essentials® (SIE®) Exam**

The Securities Industry Essentials® (SIE®) 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 Combined State Law Exam (Series 66 Exam)**

The Uniform Combined State Law Exam (Series 66 exam) is a North American Securities Administrators Association (NASAA) exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 100 scored questions. Candidates have 150 minutes to complete the exam. In order for a candidate to pass the Series 66 exam, the individual must correctly answer at least 73 of the 100 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/>.