



**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

Marcus Kurt Heinrich

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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 Marcus Kurt Heinrich 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 Marcus Kurt Heinrich 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: Marcus Kurt Heinrich

Born: 1958

Education Background:

- University of Illinois Urbana-Champaign: Bachelor of Science, Engineering – 1980

Business Experience:

- Forum Financial Management, LP: Investment Adviser Representative – 1/2019 to Present
- Forum Financial Management, LP: Partner – 7/2002 to 12/2018
- F.A.M., LLC: Member – 1/2014 to 12/2018
- 7 Guys Administrative Services: Vice President – 7/2002 to 12/2018

Designations, Certifications, and Licenses:

Mr. Heinrich has earned the following designation(s), certification(s), and/or license(s) and is in good standing with the granting authority:

- CERTIFIED FINANCIAL PLANNER™ (CFP), 1988
- Uniform Securities Agent State Law Examination (Series 63 Exam), 1988
- Uniform Investment Adviser Law Examination (Series 65 Exam), 1999
- Insurance (Life, Health, Disability, LTC)

Please refer to Part 2B Appendix 1 for definitions of the above designation(s), certifications(s), and/or license(s).

Item 3 – Disciplinary Information

Mr. Heinrich has no reportable disciplinary history.

Item 4 – Other Business Activities

Mr. Heinrich is also self-employed as an independent insurance agent. Mr. Heinrich's insurance clients may also be clients of Forum. The fees earned by Mr. Heinrich in his capacity as an insurance agent are separate and apart from the fees paid to Forum for advisory services. Mr. Heinrich's role as an insurance agent presents a conflict of interest because Mr. Heinrich may have an incentive to recommend insurance products to you for the purpose of generating fees and/or commissions. Mr. Heinrich allocates approximately 5% of his professional time to this outside business activity.

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

Item 5 – Additional Compensation

Refer to the “Other Business Activities” section above for disclosures on Mr. Heinrich’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

CERTIFIED FINANCIAL PLANNER™ (CFP®)

The CERTIFIED FINANCIAL PLANNER™ (CFP®) is a professional certification awarded by the 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 this certification. It is recognized for its rigorous education and training requirements, high standard of professional education, stringent code of conduct and standards of practice, and ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® certification, an individual must satisfactorily fulfill the following requirements:

- **Education** – The two-part education requirement includes both completing college- or university-level coursework on financial planning through a CFP Board Registered Program and holding a bachelor’s degree or higher (in any discipline) from an accredited university. The coursework includes topics on professional conduct and regulation, general principles of financial planning, risk management and income planning, estate planning, psychology of financial planning, and financial plan development.
- **Examination** – Candidates for the CFP® certification must pass the CFP® exam, which tests the individual’s ability to apply financial planning knowledge to real-life situations and ensures that the candidate is highly qualified to develop a holistic plan for clients’ finances. The exam is a 170-question, multiple-choice test that consists of two 3-hour sessions over one day. The exam includes stand-alone and scenario-based questions, as well as questions associated with case studies.
- **Experience** – The experience requirement prepares candidates for the CFP® certification to provide personal financial planning to the public without supervision. Individuals may fulfill the experience

requirement either before or after taking the exam. Candidates must complete either 6,000 hours of professional experience related to the financial planning process or 4,000 hours of apprenticeship experience that meets additional requirements.

- *Ethics* – The ethics requirement indicates that candidates for the CFP® certification have agreed to adhere to high ethical and professional standards for the practice of financial planning and to act as a fiduciary when providing financial advice to their clients.

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

- *Continuing Education* – Individuals must complete 30 hours of continuing education hours every two years, including a two-hour, CFP Board-approved ethics course.
- *Ethics* – Individuals must complete a Renewal Application annually, which includes an agreement to be bound by the CFP Board's "Code of Ethics and Standards of Conduct." These require that the CFP® professional provide financial planning services as a fiduciary and in the best interest of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to the CFP Board's disciplinary process, which could result in suspension or permanent revocation of the CFP® certification. For more information, refer to the CFP Board's website at: <https://www.cfp.net/>.

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/>.