



**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

David Daniel Lennon

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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 David Daniel Lennon 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 David Daniel Lennon 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: David Daniel Lennon

Born: 1964

Education Background:

- College of St. Francis: Bachelor of Business Administration (BBA), Accounting – 1986

Business Experience:

- Forum Financial Management, LP: Investment Adviser Representative – 10/2013 to Present
- Purshe Kaplan Sterling Investments, Inc.: Registered Representative – 10/2013 to Present
- Senesac & Lennon Financial Group: Registered Representative – 11/2012 to Present
- Senesac & Lennon Ltd.: Partner – 5/1994 to Present
- Cetera Investment Advisers LLC: Investment Advisor Representative – 1/2004 to 10/2013
- Cetera Financial Specialists LLC: Registered Representative – 6/1994 to 10/2013

Designations, Certifications, and Licenses:

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

- Certified Public Accountant (CPA), 1987
- Uniform Securities Agent State Law Examination (Series 63 Exam), 1994
- General Securities Representative Examination (Series 7 Exam), 1996
- General Securities Principal Examination (Series 24 Exam), 1997
- Uniform Investment Adviser Law Examination (Series 65 Exam), 2003
- Personal Financial Specialist (PFS™), 2006

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. Lennon has no reportable disciplinary history.

Item 4 – Other Business Activities

Mr. Lennon is a Registered Representative with Purshe Kaplan Sterling Investments, Inc. (PKSI). In this capacity, Mr. Lennon may recommend securities and/or insurance products offered by PKSI as part of clients' investment portfolios. If clients purchase these products through PKSI, he may receive the customary commissions in his separate capacity as a Registered Representative of PKSI. Mr. Lennon may also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation may give Mr. Lennon an incentive to recommend investment products based on the compensation received.

Mr. Lennon is also a Partner at Senesac & Lennon Ltd. Clients of Mr. Lennon may also be clients of Forum Financial Management, LP. The fees earned by Mr. Lennon at Senesac & Lennon Ltd. are separate and apart from the fees clients pay Forum for advisory services. Additionally, Mr. Lennon's role may present a

conflict of interest because he may have an incentive to recommend accounting services to clients for the purpose of generating fees. Mr. Lennon spends 50% of his professional time at Senesac & Lennon Ltd.

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. Lennon’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 Public Accountant (CPA)

The Certified Public Accountant (CPA) is a professional designation for licensed accounting professionals. CPAs are licensed and regulated by their state Boards of Accountancy. While state laws and regulations vary, the education, experience, and testing requirements for licensure as a CPA generally include: a bachelor’s degree in business administration, finance, or accounting, in addition to having completed 150 hours of education; a minimum of two years of public accounting experience; and successful passage of the Uniform CPA Examination® (“CPA Exam”). The CPA Exam comprises four sections: auditing and attestation, business environment and concepts, financial accounting and reporting, and regulation.

In order to maintain a CPA designation, states generally require completion of continuing professional education (hourly requirements vary by state). Additionally, all American Institute of Certified Public Accountants (AICPA) members must adhere to a rigorous Code of Professional Conduct, which requires

that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own. For more information, refer to the AICPA website at: <https://www.aicpa.org/home>.

General Securities Principal Examination (Series 24 Exam)

The General Securities Principal Examination (Series 24 exam) is an industry exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 150 scored questions. The exam assesses the competency of an entry-level principal to perform their job as a principal dependent on their corequisite registrations. The exam measures the degree to which each candidate possesses the knowledge needed to perform the critical functions of a principal, including the rules and statutory provisions applicable to the supervisory management of a general securities broker-dealer. In addition to the Series 24 exam, candidates must pass the Securities Industry Essentials (SIE) Exam and a representative-level qualification exam, or the Supervisory Analysts Exam (Series 16) exam, to hold an appropriate principal registration. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/series24>.

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>.

Personal Financial Specialist (PFS™)

The Personal Financial Specialist (PFS™) is a professional certification for Certified Public Accountants (CPAs) awarded by the American Institute of Certified Public Accountants (AICPA). The PFS™ certification allows CPAs to expand their expertise and offerings to include financial planning and wealth management.

The requirements for the Personal Financial Specialist (PFS™) credential are established by the Personal Financial Planning (PFP) Division staff at the AICPA, the National Accreditation Commission, and the PFS Credential Committee. The four major requirements are:

- Hold a valid CPA license and be a regular member of the AICPA.
- For the Standard and Certificate pathways, earn a minimum of 75 hours of PFP continuing professional development within the five years preceding your PFS™ application.
- For the Experienced pathway, earn a minimum of 105 hours of PFP continuing professional development within the seven years preceding the PFS application.
- For the Standard and Certificate pathways, within the five years preceding the PFS™ application, complete two years of full-time business or teaching experience (or 3,000 hours equivalent) in personal

financial planning or, for candidates in academia, a qualified credential holder should be a full-time professor and have taught at least four accredited college courses with 50% of their material included in the PFS Body of Knowledge.

- For the Experienced pathway, within the seven years preceding the PFS™ application, complete five years of full-time business experience (or 7,500 hours equivalent) in personal financial planning.
- Pass the PFS™ Exam.

A PFS™ professional is required to adhere to AICPA's Code of Professional Conduct and must complete 120 hours (or its equivalent) of continuing professional education every three years. For more information, refer to the AICPA website at: <https://us.aicpa.org/membership/join/pfs-eligibility-requirements>.

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/>.