



**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**David Cotten McClellan**

**Office Address**

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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](http://www.forumfinancial.com).

This brochure supplement provides information about David Cotten McClellan 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 Cotten McClellan 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:** David Cotten McClellan

**Born:** 1968

### **Education Background:**

- University of Chicago, Booth School of Business: Master of Business Administration (MBA), Finance and Strategy Marketing – 1998
- University of Texas at Austin: Bachelor of Arts (BA), Economics and History – 1990

### **Business Experience:**

- Forum Financial Management, LP: Partner – 7/2022 to Present
- Forum Financial Management, LP: Investment Adviser Representative – 8/2015 to Present
- DZee Solutions, Inc. (dba AiVante): Vice President and Head of Wealth Management Solutions – 2/2019 to Present
- DZee Solutions, Inc. (dba AiVante): Business Advisor – 1/2016 to 2/2019
- HedgeACT: Consultant – 5/2016 to 12/2016
- Albridge Solutions, Inc.: Director of Strategy and Execution – 2/2011 to 8/2015

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

- Uniform Investment Adviser Law Examination (Series 65 Exam), 2015

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

## **Item 3 – Disciplinary Information**

Mr. McClellan has no reportable disciplinary history.

## **Item 4 – Other Business Activities**

Mr. McClellan is Vice President and Head of Wealth Management Solutions with DZee Solutions, Inc. (doing business as "AiVante"), an unaffiliated technology company. In this capacity, Mr. McClellan advises on business and strategy and leads sales and marketing activities for broker-dealers and registered investment advisers. Mr. McClellan's affiliation with AiVante is in no way an endorsement of any product by Forum Financial Management, LP. Mr. McClellan has no other investment-related outside business activities beyond this capacity, and he does not otherwise receive commissions, bonuses, or other compensation based on the sale of securities or other investment products.

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. McClellan'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**

### **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/>.