

FORM ADV PART 2B
BROCHURE SUPPLEMENT

Vincenzo Nardi

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This brochure supplement provides information about Vincenzo Nardi that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Contact us at [630-873-8520](tel: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 Vincenzo Nardi (CRD # 6952238) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Vincenzo Nardi

Born: 1968

Education Background:

- Oregon Health Sciences University, MA Finance, 9/1999 - 8/2000
- New Mexico State University, MBA Finance, 5/1996 - 6/1988

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 5/2018 - Present
- Vince Nardi, Owner/Derivatives Trader, 5/2005 - 5/2018

Designation(s)/Certification(s):

Vincenzo Nardi has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 65 - Uniform Investment Adviser, 2018
- Licensed Insurance Agent, 2019
- Certified Financial Planner™, (CFP®), 2020
- Certified College Funding Specialist, (CCFS®), 2021

Item 3 Disciplinary Information

Mr. Vincenzo Nardi has no reportable disciplinary history.

Item 4 Other Business Activities

Vincenzo Nardi is an independent insurance agent. Mr. Nardi's insurance clients may also be clients of Forum Financial Management, LP. The fees earned by Mr. Nardi from his insurance activities are separate and apart from the fees you pay our firm for advisory services. Mr. Nardi's outside business activity presents a conflict of interest because he may have an incentive to recommend insurance products to you for the purpose of generating fees and/or commissions. Mr. Nardi allocates less than 10% of his professional time as an insurance agent.

Item 5 Additional Compensation

Please refer to the Other Business Activities section above for disclosures on Mr. Nardi's receipt of additional compensation as a result of his activity as a licensed insurance agent.

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.

Vincenzo Nardi is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at [\(630\) 873-8503](tel:6308738503) 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 71,000 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 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.

The **CERTIFIED COLLEGE FUNDING SPECIALIST®** or **CCFS®** certification is offered by the Association of Certified College Funding Specialists. To receive the CCFS designation, prerequisites include: professional financial certification or designation, professional financial license (securities,

insurance, accounting, etc.), or a combination of education and experience deemed satisfactory by the ACCFS. Education requirements include 16 hours of self-study courses with a test after each course. The individual completes 24 hours every two years of continuing education using approved ACCFS courses.