



**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

David Ward Seery

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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 Ward Seery 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 Ward Seery 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 Ward Seery

Born: 1986

Education Background:

- Moorpark Community College: Associate of Arts (AA), Liberal Studies – 2008
- California State University: Bachelor of Arts (BA), Economics – 2012
- California State University: Bachelor of Science (BS), Business – 2012

Business Experience:

- Forum Financial Management, LP: Investment Adviser Representative – 10/2018 to Present
- Lamia Financial Group, Inc.: Financial Advisor – 7/2013 to 4/2019
- California Republic Bank: Personal Banker – 1/2012 to 7/2013

Designations and Certifications:

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

- CERTIFIED FINANCIAL PLANNER™ (CFP®), 2015

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

Item 3 – Disciplinary Information

Mr. Seery has no reportable disciplinary history.

Item 4 – Other Business Activities

Mr. Seery is not engaged in any other business or occupation beyond his role at Forum.

Item 5 – Additional Compensation

Mr. Seery does not receive any additional compensation beyond his role at Forum.

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). 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/>.