



**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**Raleigh A. Smith**

**Office Address**

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South Miami, FL 33143  
Telephone: (305) 666-9411

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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 Raleigh A. Smith 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 Raleigh A. Smith 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:** Raleigh A. Smith

**Born:** 1991

### **Education Background:**

- Northwestern University: Bachelor of Science (BS), Business Institutions – 2014

### **Business Experience:**

- Forum Financial Management, LP: Investment Adviser Representative – 7/2022 to Present
- NPC Financial: Financial Representative – 6/2019 to 7/2022

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

- Uniform Investment Adviser Law Examination (Series 65 Exam), 2022
- Chartered Financial Consultant® (ChFC®), 2023

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

## **Item 3 – Disciplinary Information**

Mr. Smith has no reportable disciplinary history.

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

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

## **Item 5 – Additional Compensation**

Mr. Smith 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](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**

### **Chartered Financial Consultant® (ChFC®)**

The Chartered Financial Consultant® (ChFC®) is a professional designation awarded by the American College of Financial Services. Individuals who hold the ChFC® designation have completed eight courses of study encompassing the financial planning process and environment, insurance planning, income taxation, retirement needs, investments, estate planning, a comprehensive case analysis on personal financial planning, and contemporary applications in financial planning. Individuals must meet minimum educational and professional experience, recommit to the American College of Financial Services' Code of Ethics, reconfirm client-facing status annually, update contact information annually, and pay an annual fee to the American College of Financial Services. To assure continuing competency, individuals must report 30 hours of related and ethics continuing education every two years. For more information, refer to the American College of Financial Services' website at: <https://www.theamericancollege.edu/designations-degrees/ChFC>.

### **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/>.