



FORM ADV PART 2B
BROCHURE SUPPLEMENT

Alan C. Hambourger, CFP®

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This brochure supplement provides information about Alan C. Hambourger that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Please contact us at 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 Alan C. Hambourger is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Alan Charles Hambourger

Education Background:

- University of Illinois - Urbana-Champaign, BS, Accountancy; 1972.

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 03/2010 to Present.
- F.A.M., LLC, Member, 01/2014 to 12/2021.
- Forum Financial Management, LP, Partner, 03/2010 to 12/2021.
- Pinnacle Financial Solutions, P.C., Certified Public Accountant, Shareholder, 07/1997 to 12/2012.
- Purshe Kaplan Sterling Investments, Registered Representative, 02/28/2011 to 10/2011.
- Genworth Financial Securities Corporation, Registered Representative, 06/1988 to 02/2011.
- Genworth Financial Advisers Corporation, Investment Adviser Representative, 01/1996 to 02/2011.

Designation(s)/Certification(s):

Alan C. Hambourger has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- NASAA Series 65, Uniform Investment Adviser Law Examination 1999.
- Certified Financial Planner (CFP®), (granted by the CFP® Board of Standards), 1988.
- Licensed Insurance Agent (Life, Health, Disability, LTC).
- Certified Public Accountant (CPA), Admitted to practice Illinois 1972.
- Personal Financial Specialist (PFS), (granted by the American Institute of Certified Public Accountants).

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

Item 3 Disciplinary Information

Alan C. Hambourger has no reportable disciplinary history.

Item 4 Other Business Activities

Alan C. Hambourger is also an independent insurance agent. Mr. Hambourger's insurance clients may also be clients of Forum Financial Management, LP. The fees earned by Mr. Hambourger from his insurance activities are separate and apart from the fees you pay our firm for advisory services. Mr. Hambourger's outside business activity presents a conflict of interest because Mr. Hambourger may have an incentive to recommend insurance products to you for the purpose of generating fees and/or commissions. Mr. Hambourger allocates approximately 1% of his professional time as an insurance agent.

Alan C. Hambourger is also Director of the Board of Directors of United Trust Bank and devotes 2% of his professional time in this outside business activity.

Please refer to Part 2A of Form ADV: Firm Brochure, Item 10, Other Financial Industry Activities and Affiliations, for complete disclosure of the above referenced Investment-Related Activities.

Item 5 Additional Compensation

Please refer to the *Other Business Activities* section above for disclosures on Mr. Hambourger's receipt of additional compensation as a result of his activities as an independent 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

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
Manager, Advisor Development and Supervision
(630) 376-4367
nhopson@forumfin.com

Allison Tronnes
Chief Compliance Officer
(630) 873-8512
atronnes@forumfin.com

Item 7 Part 2B Appendix 1

CERTIFIED FINANCIAL PLANNER™ (CFP®)

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold CFP® certification. You may find more information about CFP® certification at www.cfp.net.

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

Education – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.

Examination – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.

Experience – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

Ethics – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

Ethics – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.

Continuing Education – Complete 30 hours of continuing education hours every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Certified Public Accountant (CPA) - CPA's 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 minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow 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.

Personal Financial Specialist (PFS) - This designation is issued by the American Institute of Certified Public Accountants (AICPA) and is granted to individuals who must meet all of the following prerequisites: a member of the AICPA; hold an unrevoked CPA certificate issued by a state authority; earn at least 100 points under the PFS point system; and have substantial business experience in personal financial planning related services. The candidate is required to obtain personal financial planning specific education in addition to holding a valid CPA. The candidate must take a final certification examination (proctored by the AICPA) and once issued the individual must undergo Continuing Education in the form of 60 PFS points in personal financial planning experience as well as qualified 'life-long learning' activities every three years.