



FORM ADV PART 2B
BROCHURE SUPPLEMENT

James L. Moles

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This brochure supplement provides information about James Louis Moles 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 James Louis Moles is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: James Louis Moles

Born: 1947

Education Background:

- Roosevelt University, B.S., Accounting, 1972

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 10/2013 to Present.
- Garfield Ridge Accounting & Tax Service, Owner, 01/1980 to Present. 01/1980 to Present.
- Purshe Kaplan Sterling Investments, Registered Representative, 10/2013 to Present.
- Cetera Investment Advisers, LLC, Investment Adviser Representative, 09/1998 to 10/2013.
- Cetera Financial Specialists LLC, Registered Representative, 05/1992 to 10/2013.

Designations/Certifications:

James L. Moles has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 6 - Investment Company Products/Variable Contracts Representative Examination, 1992.
- Series 63 - Uniform Securities Agent, 1992
- Series 65 - Uniform Investment Adviser, 1998.
- Enrolled Agent (EA), 1980.

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

Item 3 Disciplinary Information

James L. Moles has no reportable disciplinary history.

Item 4 Other Business Activities

James L. Moles is a registered representative with Purshe Kaplan Sterling Investments (PKSI), Member FINRA/SIPC. In this capacity, Mr. Moles may recommend securities and/or insurance products offered by PKSI as part of your investment portfolio. If clients purchase these products through Mr. Moles, he will receive the customary commissions in his separate capacity as a registered representative of PKSI. Additionally, Mr. Moles may also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation may give Mr. Moles an incentive to recommend investment products based on the compensation received. 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.

James L. Moles is the owner of Garfield Ridge Accounting & Tax Service. Clients of Garfield Ridge Accounting & Tax Service may also be clients of Forum Financial Management, LP. The fees earned by Mr. Moles in this outside business activity are separate and apart from the fees you pay our firm for advisory services. Mr. Moles' outside business activity presents a conflict of interest because Mr. Moles may have an incentive to recommend accounting and tax services to you for the purpose of generating fees and/or commissions. Mr. Moles allocates approximately 60% of his professional time as owner of Garfield Ridge Accounting & Tax Service.

Item 5 Additional Compensation

Please refer to the Other Business Activities section above for disclosures on Mr. Moles' receipt of additional compensation as a result of his activities as registered representative of PKSI and owner of Garfield Ridge Accounting & Tax Service.

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

Enrolled Agent Information (EA) - An enrolled agent (EA) is a federally-authorized tax practitioner who has technical expertise in the field of taxation and who is empowered by the U.S. Department of the Treasury to represent taxpayers before all administrative levels—examination, collection, and appeals—of the Internal Revenue Service. In addition to taxpayer representation, enrolled agents often provide tax consultation services and prepare a wide range of federal and state tax returns.