



**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**David Ward Seery, CFP®**

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This brochure supplement provides information about David Ward Seery that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. 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 David Ward Seery is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Full Legal Name:** David Ward Seery, CFP®

**Born:** 1986

### **Educational Background:**

- California State University, Channel Islands, Camarillo, CA, BA Business & Economics, 2012.
- Moorpark Community College, Moorpark, CA, AA Liberal Studies, 2008.

### **Business Experience:**

- Forum Financial Management, LP, Investment Adviser Representative, 10/2018 to Present.
- Lamia Financial Group, Inc., Financial Advisor, 07/2013 to 04/2019.
- California Republic Bank, Personal Banker, 01/2012 to 07/2013.
- National Bank of California, Personal Banker, 05/2011 to 01/2012.
- The Little Gym, Office Manager, 03/2007 to 06/2011.
- United Way-Ventura County, Summer Intern, 06/2010 to 08/2010.

### **Designations/Certifications:**

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

- Certified Financial Planner (CFP®)

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

## Item 3 Disciplinary Information

David Ward Seery has no reportable disciplinary history.

## Item 4 Other Business Activities

David W. Seery is not actively engaged in any other business or occupation (investment-related or otherwise) beyond his capacity as Investment Adviser Representative of Forum Financial Management, LP. Moreover, Mr. Seery does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Seery's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Forum Financial Management, LP's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

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](mailto:nhopson@forumfin.com)

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

## Item 7 Part 2B Appendix 1

*Certifications:* CFP®

### **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](http://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.