



FORM ADV PART 2B  
BROCHURE SUPPLEMENT

**Raleigh Smith**

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This brochure supplement provides information about Raleigh Smith 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 Raleigh Smith (CRD # 7137867) 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:** Raleigh Smith

**Education Background:**

- Northwestern University, BS Business Institutions, 2010 - 2014

**Business Experience:**

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

**Designations/Certifications:**

Raleigh Smith has earned the following designations(s)/certifications(s) and is in good standing with the granting authority:

- NASAA Series 65 - Uniform Investment Advisor Law Examination, 2022

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Raleigh Smith has no required disclosures under this item.

## Item 4 Other Business Activities

Raleigh Smith is a licensed insurance agent of Financial Wealth Strategies, Inc. He is engaged in the business of selling of life, health, and other insurance products through this entity. Mr. Smith will spend approximately 20% of his time with the insurance-related business. In his capacity as an insurance agent, Mr. Smith will be able to purchase insurance products for clients in need of such services and will receive separate yet typical commission compensation for the purchase of those products.

While Mr. Smith endeavors at all times to put the interest of the clients first, clients should be aware that the receipt of additional compensation itself creates a conflict of interest. Clients are under no obligation to purchase insurance products through Mr. Smith. As a fiduciary, Mr. Smith has certain legal obligations, including the obligation to act in the clients' best interests.

## Item 5 Additional Compensation

Refer to the Other Business Activities section above for disclosures on Mr. Smith'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)