



**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**James Louis Moles**

**Office Address**

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**March 16, 2023**

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 James Louis Moles 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 James Louis Moles 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:** James Louis Moles

**Born:** 1947

### **Education Background:**

- Roosevelt University: Bachelor of Science (BS), Accounting – 1972

### **Business Experience:**

- Forum Financial Management, LP: Investment Adviser Representative – 10/2013 to Present
- Purshe Kaplan Sterling Investments, Inc.: Registered Representative – 10/2013 to Present
- Garfield Ridge Accounting & Tax Service: Owner – 1/1980 to Present
- Cetera Investment Advisers, LLC: Investment Adviser Representative – 9/1998 to 10/2013
- Cetera Financial Specialists LLC: Registered Representative – 5/1992 to 10/2013

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

- Investment Company and Variable Contracts Products Representative Examination (Series 6 Exam), 1992
- Uniform Securities Agent State Law Examination (Series 63 Exam), 1992
- Uniform Investment Adviser Law Examination (Series 65 Exam), 1998
- Securities Industry Essentials® (SIE®) Exam, 2018

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

## **Item 3 – Disciplinary Information**

Mr. Moles has no reportable disciplinary history.

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

Mr. Moles is a Registered Representative with Purshe Kaplan Sterling Investments, Inc. (PKSI). In this capacity, Mr. Moles may recommend securities and/or insurance products offered by PKSI as part of clients' investment portfolios. If clients purchase these products through Mr. Moles, he will receive the customary commissions in his separate capacity with PKSI. Additionally, Mr. Moles may 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.

Mr. Moles is also 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 clients pay Forum for advisory services. Mr. Moles' outside business activity presents a conflict of interest because he may have an incentive to recommend accounting and tax services or the purpose of generating fees and/or commissions.

Please refer to "Item 10 – Other Financial Industry Activities and Affiliations" of Forum's firm brochure for complete disclosure of the above referenced investment-related activities.

## Item 5 – Additional Compensation

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

Also, please refer to “Item 5 – Fees and Compensation” and “Item 14 – Client Referrals and Other Compensation” of Forum’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**

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

### **Investment Company and Variable Contracts Products Representative Examination (Series 6 Exam)**

The Investment Company and Variable Contracts Products Representative Examination (Series 6 exam) is an industry exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 50 scored questions. The exam assesses the competency of an entry-level representative to perform their job as an investment company and variable contracts products representative. The exam measures the degree to which each candidate possesses the knowledge needed to perform the critical functions of an investment company and variable contract products representative, including sales of mutual funds and variable annuities. Candidates must pass the Securities Industry Essentials (SIE) exam and the Series 6 exam to obtain the Investment Company and Variable Contracts Products registration. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/series6>.

### **Securities Industry Essentials® (SIE®) Exam**

The Securities Industry Essentials® (SIE®) Exam is a exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 75 multiple choice questions. Candidates have 75 minutes to complete the exam. In order for a candidate to pass the SIE® Exam, the individual must correctly answer 70 of the 75 scored questions. For more information, refer to the FINRA website at: <https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam>.

**Uniform Securities Agent State Law Examination (Series 63 Exam)**

The Uniform Securities State Law Examination (Series 63 exam) is a North American Securities Administrators Association (NASAA) exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 60 scored questions. Candidates have 75 minutes to complete the exam. In order for a candidate to pass the Series 63 exam, the individual must correctly answer at least 43 of the 60 scored questions. For more information, refer to the NASAA website at: <https://www.nasaa.org/exams/>.

**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/>.