



**Form ADV Part 2B  
Brochure Supplement**

**Julie Ann Schatz**

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**Item 1 – Cover Page**

This Brochure Supplement provides information about Julie Ann Schatz that supplements the Forum Financial Management, LP (“Forum”) Form ADV Part 2A (“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. You can also obtain a copy of the Firm Brochure at [www.forumfinancial.com](http://www.forumfinancial.com). The home office of Forum Financial Management, LP is located at 1900 South Highland Avenue, Suite 100, Lombard, IL 60148.

Additional information about Julie Ann Schatz 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:** Julie Ann Schatz  
**Individual CRD #:** 4767682  
**Born:** 1961

### Education Background:

- University of Notre Dame: Bachelor of Science (BS), Mechanical Engineering – 1983

### Business Experience:

- Forum Financial Management, LP: Partner – 8/2023 to Present
- Forum Financial Management, LP: Investment Adviser Representative – 5/2023 to Present
- Investor's Capital Management, LLC: Partner – 11/2006 to 8/2023

### Professional Designations, Certifications, & Exams:

- CERTIFIED FINANCIAL PLANNER™ (CFP®), 2006
- Uniform Investment Adviser Law Examination (Series 65 Exam), 2004

Please refer to [Appendix](#) for definitions of the above.

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## Item 3 – Disciplinary Information

Julie has no reportable legal or disciplinary history.

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## Item 4 – Other Business Activities

Julie is a Member of the Board of Directors for ChemGrout Inc. and ChemGrout Holdings, LLLP, a manufacturer of grouting equipment. This activity accounts for approximately 5% of her time. Julie receives additional compensation for this outside business activity. This business activity does not provide investment advisory or investment-related services.

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## Item 5 – Additional Compensation

Julie does not receive any additional compensation or economic benefit for investment advisory or investment-related services beyond her roles at Forum.

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## 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:

### Allison Tronnes

Chief Compliance Officer  
(630) 873-8512

[atronnes@forumfinancial.com](mailto:atronnes@forumfinancial.com)

### Nikki Hopson

Advisor Development and Supervision  
(630) 376-4367

[nhopson@forumfinancial.com](mailto:nhopson@forumfinancial.com)

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## Appendix

### CERTIFIED FINANCIAL PLANNER™ (CFP®)

The CERTIFIED FINANCIAL PLANNER™ (CFP®) is a professional certification awarded by the Certified Financial Planner Board of Standards, Inc. (CFP Board). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized for its high standards for education, examination, experience, and ethics.

To attain the right to use the CFP® certification, an individual must satisfactorily 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. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.

- *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 obtain the CFP® certification must also complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- *Ethics* – Annually reaffirm and commit to complying with CFP Board's *Code and Standards*. This includes a commitment to CFP Board, to act as a fiduciary, and to act in the best interests of the client at all times when providing financial advice and financial planning.
- *Continuing Education* – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge and skills, and keep up with developments in financial planning. Two of the hours must be CFP Board-approved curriculum on ethics.

CFP® professionals who fail to comply with the above standards and requirements may be subject to the CFP Board's disciplinary process, which could result in suspension or permanent revocation of the CFP® certification. For more information, refer to the CFP Board's website at: <https://www.cfp.net/>.

### **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/>.