

**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

Stephen A. Bergman, CFA

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This brochure supplement provides information about Stephen A. Bergman that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Contact us at 630-873-8512 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 Stephen A. Bergman (CRD # 6057449) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Stephen A. Bergman, CFA

Born: 1990

Education Background:

- Ohio State University, BS Economics, 9/2009 - 5/2013

Business Experience:

- Forum Financial Management, LP, Investment Advisor Representative, 1/2021 - Present
- Huber Financial, Portfolio Manager, 5/2018 - 12/2020
- Vivaldi Capital Management, Research Analyst, 6/2017 - 5/2018
- Hengehold Capital Management, Trade and Research Analyst, 9/2013 - 6/2017

Designations/Certifications:

Stephen A. Bergman has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Certified Financial Analyst (CFA)

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

Item 3 Disciplinary Information

Stephen A. Bergman has no reportable disciplinary history.

Item 4 Other Business Activities

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

Item 5 Additional Compensation

Stephen A. Bergman does not receive any additional compensation beyond that received as an Investment Advisor Representative of Forum Financial Management, LP.

Item 6 Supervision

Forum has implemented a Code of Ethics and an internal compliance program that guides each associated person in meeting their fiduciary obligations to clients. Advice provided to clients is directed by Forum's investment philosophy. The firm monitors the advice given to Forum's advisory clients by its advisors in the following ways:

1. an initial review of the asset allocation for a new client as compared to the client's risk tolerance and investment objectives;
2. periodic reviews of a random number of the advisor's client files in order to provide reasonable assurance that the advice provided by the advisor to his or her clients is consistent with the client's stated investment objectives and Forum's policies and procedures, and
3. in-person or telephonic meetings with advisors to review client activity.

Moreover, on at least an annual basis, Forum offers training to each of its advisors to cover investments, new products, and related compliance concerns.

Stephen A. Bergman is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at (630) 873-8503 or fnybo@forumfin.com.

Item 7 Part 2B Appendix 1

The Chartered Financial Analyst (CFA®) and Certification Mark (collectively, the "CFA marks") are professional certification marks granted in the United States and internationally by the CFA Institute.

The Chartered Financial Analyst® (CFA®) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 150,000 CFA charterholders working in more than 140 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own;
- Maintain independence and objectivity;
- Act with integrity;
- Maintain and improve their professional competence; and
- Disclose conflicts of interest and legal matters.

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in over 30 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession. To learn more about the CFA charter, visit www.cfainstitute.org.