

FORM ADV PART 2B
BROCHURE SUPPLEMENT

Ronald D. Austin

OFFICE ADDRESS:

211 S. Wheaton Avenue
Suite 400
Wheaton, IL 60187
Telephone: 630-653-1616

Forum Financial Management, LP

1900 S. Highland Ave.
Suite 100
Lombard, IL 60148
Telephone: 630-873-8520

October 2, 2019

This brochure supplement provides information about Ronald D. Austin that supplements the Forum Financial Management, LP brochure. You should have received a copy of that brochure. Please 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 Ronald D. Austin is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Ronald Dwight Austin

Born: 1965

Education Background:

- Northern Illinois University, Masters of Science-Taxation, 1998.
- Augustana College, BA, Accounting, Finance, 1987.

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 07/2013 to Present.
- Mathieson, Moyski, Austin & Co., Managing Partner, 09/2019 to Present.
- Purshe Kaplan Sterling Investments, Registered Representative, 09/2013 to 03/2019.
- Mathieson, Moyski, Austin & Co., Partner, 10/1996 to 08/2019.
- Cetera Investment Advisers, LLC, Investment Adviser Representative, 01/2002 to 07/2013.
- Cetera Financial Specialists LLC, Registered Representative, 10/2001 to 07/2013.

Designations/Certifications:

Ronald D. Austin has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 6 - Uniform Securities Agent, 2001.
- Series 63 - Uniform Securities Agent, 2001.
- Series 65 - Uniform Investment Adviser, 2001.
- Certified Public Accountant (CPA), 1989.

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

Item 3 Disciplinary Information

Ronald D. Austin has no reportable disciplinary history.

Item 4 Other Business Activities

Ronald D. Austin is a managing partner and certified public accountant of Mathieson, Moyski, Austin, & Co. LLP ("MMA & Co."). Clients of MMA & Co. may also be clients of Forum Financial Management, LP. The fees earned by Mr. Austin in this outside business activity are separate and apart from the fees you pay our firm for advisory services. Mr. Austin's outside business activity presents a conflict of interest because Mr. Austin may have an incentive to recommend accounting services to you for the purpose of generating fees and/or commissions. Mr. Austin allocates approximately 90% of his professional time as managing partner and certified public accountant at MMA & Co.

Item 5 Additional Compensation

Please refer to the Other Business Activities section above for disclosures on Mr. Austin's receipt of additional compensation as a result of his activities as managing partner and a certified public accountant at MMA & Co.

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

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.

Ronald D. Austin 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

Certified Public Accountant (CPA) - CPA's are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.