

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

**John Joseph Schultz III**

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This brochure supplement provides information about John Joseph Schultz III 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 John Joseph Schultz III (CRD # 7180054) 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: John Joseph Schultz III**

Year of Birth: 1979

### Education Background:

- University of California, Los Angeles, BA Business-Economics with Minor in Accounting, 2002
- University of Chicago - Booth School of Business, MBA Marketing, Strategy & Economics, 2013

### Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 9/2019 - Present
- Expedia Group, Global Accounts, 3/2018 - Present
- Zenpayroll, DBA Gusto, Partner Sales, 11/2016 - 3/2018
- Extended Travel, Extended Travel, 8/2016 - 11/2016
- Expedia Group, Partnerships, 6/2014 - 6/2016
- Prophet Brand Strategy, Consultant, 9/2013 - 6/2014

### Designations/Certificatons:

- Series 65 - Uniform Investment Adviser, 2019

## 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. John Joseph Schultz III has no required disclosures under this item.

## Item 4 Other Business Activities

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

## Item 5 Additional Compensation

John Joseph Schultz III does not receive any additional compensation beyond that received as an Investment Adviser 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.

John Joseph Schultz III is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at (630) 873-8503 or [fnybo@forumfin.com](mailto:fnybo@forumfin.com).