

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

**Daniel J. Drallmeier**

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This brochure supplement provides information about Daniel J. Drallmeier 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 Daniel J. Drallmeier 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:** Daniel Joseph Drallmeier

**Born:** 1989

### **Education Background:**

- University of Iowa, B.B.A. Finance, 2012

### **Business Background:**

- Forum Financial Management, LP, Investment Adviser Representative, 1/2015 - Present
- Forum Financial Management, LP, Portfolio Trader, 6/2012 - Present
- The University of Iowa, Student, 8/2008 - 5/2012
- Kehe Distributors, Merchandising/Trade Show, 6/2005 - 8/2011

### **Designations/Certifications:**

Daniel J. Drallmeier has earned the following designation/certification and is in good standing with the granting authority:

- Series 65, Uniform Investment Advisor Law Exam, 2015.
- CERTIFIED FINANCIAL PLANNER™, (CFP®), 2017.

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

## Item 3 Disciplinary Information

Daniel J. Drallmeier does not have any reportable disciplinary history.

## Item 4 Other Business Activities

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

## Item 5 Additional Compensation

Daniel J. Drallmeier does not receive any additional compensation beyond that received as an Investment Adviser Representative or Portfolio Trader 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.

Daniel J. Drallmeier is supervised by Faye H. Nybo, Supervisor of Advisors. Ms. Nybo can be reached at (630) 873-8503 or [fnybo@forumfin.com](mailto:fnybo@forumfin.com).

## Item 7 Part 2B Appendix 1

The **CERTIFIED FINANCIAL PLANNER™**, (CFP®) and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by 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 in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 63,000 individuals have obtained CFP® certification in the United States. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education - Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination - Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience - Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics - Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education - Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics - Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.