



OFFICE ADDRESS:

## FORM ADV PART 2B BROCHURE SUPPLEMENT

HOME OFFICE:

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This brochure supplement provides information about

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

is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## Item 2 Educational Background and Business Experience

### **Martin Glenn Pomrehn, CFP**

*Year of Birth:* 1955

#### *Formal Education After High School*

- Illinois State University, BS, Accounting; 1977

#### *Business Background:*

- Purshe Kaplan Sterling Investments, Registered Representative, 10/2016 - Present
- Forum Financial Management, LP, Investment Advisor Representative, 9/2016 - Present
- MP360 Financial Services, Owner, 11/2012 - Present
- MP360 Tax Services, Ltd. (Formerly Pomrehn & Co., Ltd.), President, 1/1993 - Present
- Cetera Investment Advisers LLC, Investment Adviser Representative, 6/1995 - 9/2016
- Cetera Financial Specialists LLC, Registered Representative, 11/1988 - 9/2016
- Sharpe & Pomrehn, Ltd., Partner, 8/1986 - 11/1992

#### Designations/Certifications:

Martin Glenn Pomrehn has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 7 - General Securities Representative, 1995
- Series 6 - Investment Company Products/Variable Contracts Representative Examination, 1989
- Series 63-Uniform Securities Agent; 1991
- Series 65- Uniform Investment Advisor Law Examination; NASAA; 1995
- Certified Financial Planner™- (granted by CFP® Board of Standards); 1990
- Certified Public Accountant (CPA), 1978

Please refer to Part 2B Appendix 1 for definitions of the above designations/certifications.

## 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. Martin Glenn Pomrehn has no required disclosures under this item.

## Item 4 Other Business Activities

Martin Glenn Pomrehn is a Shareholder and Managing Partner and certified public accountant ("CPA") with MP360 Tax Services., Ltd, a certified public accounting firm. Clients of our firm may also be clients of MP360 Tax Services., Ltd. The services provided and compensation received by Mr. Pomrehn and MP360 Tax Services., Ltd for accounting related activities are separate and distinct from any fees paid for advisory services provided by our firm. Mr. Pomrehn allocates approximately 25% of her professional time to this outside business activity.

Mr. Pomrehn is also a Registered Representative with Purshe Kaplan Sterling Investments (PKS), Member FINRA/SIPC. In this capacity, Mr. Pomrehn may recommend securities and/or insurance products offered by PKS as part of your investment portfolio. If clients purchase these products through Mr. Pomrehn, he will receive the customary commissions in his separate capacity as a registered representative of PKS. Additionally, Mr. Pomrehn may also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation may give Mr. Pomrehn an incentive to recommend investment products based on the compensation received. 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. Mr. Pomrehn allocates approximately 25% of his professional time to this outside business activity.

## **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. Pomrehn's receipt of additional compensation as a result of his other business activities.

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

## **Item 6 Supervision**

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Forum Financial Management, LP, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Brian Savage, Chief Compliance Officer

Supervisor phone number: 630-873-8515

## Item 7 Part 2B Appendix 1

### **Accredited Asset Management Specialist<sup>SM</sup> (AAMS<sup>®</sup>)**

This designation is awarded by the College for Financial Planning to investment professionals who complete its 12-module AAMS<sup>®</sup> Professional Education Program, pass an examination, commit to a code of ethics and agree to pursue continuing education.

### **Accredited Wealth Management Advisor<sup>®</sup> (AWMA<sup>®</sup>)**

Individuals who hold the AWMA<sup>®</sup> designation have completed a course of study encompassing wealth strategies, equity-based compensation plans, tax reduction alternatives, and asset protection alternatives. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

All designees have agreed to adhere to [Standards of Professional Conduct](#) and are subject to a disciplinary process.

Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

### **Certified Divorce Financial Analyst<sup>®</sup> (CDFA<sup>®</sup>)**

Founded in 1993, the Institute for Divorce Financial Analysts (IDFA<sup>™</sup>) provides specialized training to accounting, financial, and legal professionals in the field of pre-divorce financial planning. Over the years, we have certified more than 5,000 professionals in the US and Canada as Certified Divorce Financial Analyst<sup>®</sup> (CDFA<sup>®</sup>) professionals.

The Institute provides comprehensive training using a variety of knowledge and skill-building techniques. CDFA candidates learn how to help their clients with financial issues that will affect the rest of their lives, including:

- Personal vs. marital property
- Valuing and dividing property
- Retirement assets and pensions
- Spousal and child support
- Splitting the house
- Tax problems and solutions
- Expert witness testimony
- Tax law and financial issues affecting divorce

To acquire the designation, a candidate must successfully pass all exams (modules) with a minimum score of 70% for each one and be in good standing with their Broker Dealer (if applicable) and the FINRA/SEC or other licensing or regulatory agency.

**The Chartered Financial Analyst (CFA<sup>®</sup>)** 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 90,000 CFA charter holders working in 135 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 charter holders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- 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 charter holders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries 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](http://www.cfainstitute.org).

**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.

### **Chartered Financial Consultant® (ChFC®)**

This designation is issued by The American College and is granted to individuals who have at least three years of full-time business experience within the five years preceding the awarding of the designation. The candidate is required to take seven mandatory courses which include the following disciplines: financial, insurance, retirement and estate planning; income taxation, investments and application of financial planning; as well as two elective courses involving the application of the aforementioned disciplines. Each course has a final proctored exam and once issued, the individual is required to submit 30 hours of continuing education every two years.

### **Chartered Life Underwriter® (CLU®)**

This designation is issued by The American College and is granted to individuals who have at least three years of full-time business experience within the five years preceding the awarding of the designation. The candidate is required to take a series of mandatory courses which include, for example, the following: insurance planning, life insurance law, fundamentals of estate planning, planning for business owners, income taxation, group benefits, planning for retirement needs, and investments. Each course has a final proctored exam and once issued, the individual is required to submit 30 hours of continuing education every two years.

### **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.

### **Enrolled Agent Information (EA)**

An enrolled agent (EA) is a federally-authorized tax practitioner who has technical expertise in the field of taxation and who is empowered by the U.S. Department of the Treasury to represent taxpayers before all administrative levels—examination, collection, and appeals—of the Internal Revenue Service. In addition to taxpayer representation, enrolled agents often provide tax consultation services and prepare a wide range of federal and state tax returns.

### **Personal Financial Specialist (PFS)**

This designation is issued by the American Institute of Certified Public Accountants (AICPA) and is granted to individuals who must meet all of the following prerequisites: a member of the AICPA; hold an unrevoked CPA certificate issued by a state authority; earn at least 100 points under the PFS point system; and have substantial business experience in personal financial planning related services. The candidate is required to obtain personal financial planning specific education in addition to holding a valid CPA. The candidate must take a final certification examination (proctored by the AICPA) and once issued the individual must undergo Continuing Education in the form of 60 PFS points in personal financial planning experience as well as qualified 'life-long learning' activities every three years.