

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**David D. Lennon**

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**June 8, 2018**

This brochure supplement provides information about David D. Lennon 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 David D. Lennon 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:** David Daniel Lennon

**Born:** 1964

### **Education Background:**

- College of St, Francis, BBA, Accounting, 1986

### **Business Experience:**

- Forum Financial Management, LP, Investment Adviser Representative, 10/2013 to Present.
- Senesac & Lennon Ltd., Partner, 05/1994 to Present.
- Purshe Kaplan Sterling Investments, Registered Representative, 10/2013 to Present.
- Cetera Financial Specialists LLC, Registered Representative, 06/1994 to 10/2013.
- Cetera Investment Advisers LLC, Investment Adviser Representative, 01/2004 to 10/ 2013.

### **Designations/Certifications:**

David Daniel Lennon has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Certified Public Accountant; Certified Public Accountants; 1987.
- Series 7 - General Securities Representative Examination; FINRA; 1996.
- Series 24 - General Securities Principal Examination; FINRA; 1997.
- Series 63 - Uniform Securities Agent State Law Examination; NASAA; 1994.
- Personal Financial Specialist; American Institute of Certified Public Accountants; 2006.
- Series 65 - Uniform Investment Advisor Law Examination; NASAA; 2003.

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

## Item 3 Disciplinary Information

David Daniel Lennon has no reportable disciplinary history.

## Item 4 Other Business Activities

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

Mr. Lennon is also a Partner/certified public accountant of Senesac & Lennon Ltd. Clients of Mr. Lennon may also be clients of Forum Financial Management, LP. The fees earned by Mr. Lennon in his outside business activities are separate and apart from the fees you pay our firm for advisory services. Mr. Lennon's outside business activities present a conflict of interest because Mr. Lennon may have an incentive to recommend accounting services to you for the purpose of generating fees. Mr. Lennon spends 50% of his professional time as Partner/certified public accountant at Senesac & Lennon Ltd.

## Item 5 Additional Compensation

Please refer to the *Other Business Activities* section above for disclosures on Mr. Lennon's receipt of additional compensation as a result of his activities as a registered representative of PKSI and Partner and certified public accountant at Senesac & Lennon Ltd.

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.

David D. Lennon 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).

## 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.

**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.