

FORM ADV PART 2B
BROCHURE SUPPLEMENT

Kevin J. McAuliffe

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This brochure supplement provides information about Kevin J. McAuliffe 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 Kevin J. McAuliffe (CRD # 4570171) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Kevin J. McAuliffe

Born: 1978

Education Background:

- Dickonson College, Carlislen PA, BA History, 2000

Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 2/2019 - Present
- Ehlert Financial Group, Inc., Investment Adviser Representative, 1/2019 - Present
- Cetera Financial Specialists LLC, Business Development - Sr Internal Wholesaler, 4/2014 - 1/2019
- Cetera Investment Advisers LLC, Business Development - Sr Internal Wholesaler, 4/2014 - 1/2019
- Legend Equities Corporation, Business Development - Sr Internal Wholesaler, 4/2015 - 1/2016
- Russell Investments, Registered Representative, 1/2011 - 4/2014
- Prudential Annuities Distributors, Relationship Manager, 11/2007 - 1/2011
- Prudential Insurance Company of America, Internal Wholesaler, 3/2005 - 1/2011
- American Skandia Marketing Inc., Internal Wholesaler, 3/2005 - 11/2007

Designations/Certifications:

Kevin McAuliffe has earned the following designation(s)/certification(s) and is in good standing with the granting authority:

- Series 6 - General Securities Representative Examination; FINRA; 2002
- Series 7 - General Securities Representative Examination; FINRA; 2011
- Series 24 - General Securities Principal Examination; FINRA; 2014
- Series 26 - General Securities Principal Examination; FINRA; 2007
- Series 63 - Uniform Securities Agent State Law Examination; NASAA; 2002
- Series 66 - Uniform Securities Agent State Law Examination; NASAA; 2011

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. Kevin J. McAuliffe has no required disclosures under this item.

Item 4 Other Business Activities

Kevin J. McAuliffe is an investment adviser representative with Ehlert Financial Group, Inc. Clients of Ehlert Financial Group, Inc. may also be clients of Forum Financial Management, LP. The fees earned by Mr. McAuliffe in this outside business activity are separate and apart from the fees you pay our firm for advisory services. Mr. McAuliffe's outside business activity presents a conflict of interest because Mr. McAuliffe may have an incentive to recommend advisory services to you for the purpose of generating fees and/or commissions.

Kevin J. McAuliffe is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by

Mr. McAuliffe for insurance-related activities. This presents a conflict of interest because Mr. McAuliffe may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

Mr. McAuliffe allocates approximately 20% of his professional time to these outside business activities.

Please refer to Part 2A of Form ADV: Firm Brochure, Item 10, Other Financial Industry Activities, and Affiliations, for complete disclosure of the above referenced Investment-Related Activities.

Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. McAuliffe'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

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:

- an initial review of the asset allocation for a new client as compared to the client's risk tolerance and investment objectives;
- 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
- 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.

Kevin J. McAuliffe is supervised by Faye H. Nybo, Director of Supervision. Ms. Nybo can be reached at (630) 873-8503 or fnybo@forumfin.com.