

# FORM ADV PART 2B BROCHURE SUPPLEMENT

## **Nedal Halawa**

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This brochure supplement provides information about Nedal Halawa 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 Nedal Halawa 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:** Nedal Z. Halawa

**Born:** 1978

### Education Background:

- DePaul University, B.A., Finance, 2012

### Business Experience:

- Forum Financial Management, LP, Investment Adviser Representative, 08/2018 - Present
- Purshe Kaplan Sterling Investments, Inc., Registered Representative, 08/2018 - Present
- Healthcare Services of Illinois, Owner, 10/2013 - Present
- Cetera Investment Advisors LLC, Investment Advisor Representative, 01/2012 - 08/2018
- Cetera Financial Specialists LLC, Registered Representative, 01/2012 - 08/2018
- Hollywood Pantry, Inc., Owner, 06/2011 - 03/2013
- Genworth Financial Securities Corporation, Registered Representative, 11/2005 - 12/2011
- Genworth Financial Advisors Corporation, Investment Advisor Representative, 11/2005 - 12/2011

### Designations/Certifications:

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

- Series 6 - General Securities Representative Examination; FINRA; 1999
- Series 7 - General Securities Representative Examination; FINRA; 2002
- Series 24 - General Securities Principal Examination; FINRA; 2006
- Series 63 - Uniform Securities Agent State Law Examination; NASAA; 1999
- Series 65 - Uniform Investment Advisor Law Examination, NASAA; 2002

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

## Item 3 Disciplinary Information

Mr. Nedal Halawa has no reportable disciplinary history.

## Item 4 Other Business Activities

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

Nedal Halawa is also an independent insurance agent. Mr. Halawa's insurance clients may also be clients of Forum Financial Management, LP. The fees earned by Mr. Halawa from his insurance activities are separate and apart from the fees you pay our firm for advisory services. Mr. Halawa's outside business activity presents a conflict of interest because Mr. Halawa may have an incentive to recommend insurance products to you for the purpose of generating fees and/or commissions.

Nedal Halawa is President/Owner of Healthcare Services of Illinois, marketing Medicare Supplement, Advantage Plan C and Medicare Part D plans. Mr. Halawa's duties as the President/Owner of Healthcare Services of Illinois do not create a conflict of interest to his provision of advisory services through Forum Financial Management, LP.

Mr. Halawa allocates approximately 50% of his professional time to these Outside Business Activities.

## **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. Halawa's receipt of additional compensation as a result of his activities as a registered representative of PKSI and marketing Medicare Supplement/Advantage Plan C, and Medicare Part D plans at Healthcare Services of Illinois.

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:

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.

Nedal Halawa 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).