



**Form ADV Part 2B
Brochure Supplement**

Samuel R. Williams

Office Address

14321 Winter Breeze Drive, Suite 24
Midlothian, VA 23113
Telephone: (804) 387-3234

October 31, 2024

Item 1 – Cover Page

This Brochure Supplement provides information about Samuel R. Williams that supplements the Forum Financial Management, LP (“Forum”) Form ADV Part 2A (“Firm Brochure”). You should have received a copy of that Firm Brochure. Please contact us at (630) 873-8520 if you did not receive Forum’s Firm Brochure or if you have any questions about the contents of this Brochure Supplement. You can also obtain a copy of the Firm Brochure at www.forumfinancial.com. The home office of Forum Financial Management, LP is located at 1900 South Highland Avenue, Suite 100, Lombard, IL 60148.

Additional information about Samuel R. Williams is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Samuel R. Williams
Individual CRD #: 6070713
Born: 1989

Education Background:

- James Madison University: Bachelor of Arts (BA), Finance – 2012

Business Experience:

- Ash Brokerage: Independent Insurance Producer – 9/2021 to Present
- Forum Financial Management, LP: Investment Adviser Representative – 8/2021 to Present
- Ohio National Financial Services: Agent – 04/2018 to 03/2022
- CG Financial Services of Virginia LLC: Financial Advisor – 1/2018 to 6/2021
- DFC Investment and Retirement Strategies: Doing Business As – 1/2018 to 6/2021
- Geneos Wealth Management Inc.: Registered Representative – 1/2018 to 2/2020
- Northwestern Mutual Wealth Management Company: Representative – 3/2017 to 1/2018
- Northwestern Mutual Investment Services, LLC: Registered Representative – 9/2012 to 1/2018
- Northwestern Mutual Life Insurance Company: Agent – 6/2012 to 1/2018

Professional Designations, Certifications, & Exams:

- Accredited Investment Fiduciary® (AIF®), 2023
- Uniform Investment Adviser Law Examination (Series 65 Exam), 2019

Please refer to [Appendix](#) for definitions of the above.

Item 3 – Disciplinary Information

Samuel has no reportable legal or disciplinary history.

Item 4 – Other Business Activities

Samuel is an insurance agent with Ash Brokerage, selling insurance products. This activity accounts for approximately 10% of his time. Samuel receives additional compensation for this outside business activity. Clients of Ash Brokerage or Samuel in this business activity could also be clients of Forum Financial Management, LP. The compensation received by Samuel

in this capacity is separate and apart from the fees clients pay Forum for advisory services. Clients should be aware that the receipt of additional compensation by Samuel in this outside business activity creates a conflict of interest. However, clients are under no obligation to purchase insurance products through Samuel.

Please refer to “Item 10 – Other Financial Industry Activities and Affiliations” of Forum’s Firm Brochure for complete disclosure of the above referenced outside business activities.

Item 5 – Additional Compensation

Samuel receives additional compensation as a result of his other business activities disclosed in Item 4 above, but does not otherwise receive any economic benefit for investment advisory or investment-related services beyond his role at Forum. Please also refer to “Item 5 – Fees and Compensation” and “Item 14 – Client Referrals and Other Compensation” of Forum’s Firm Brochure for additional disclosures on this topic.

Item 6 – Supervision

As a registered investment adviser, Forum administers and enforces a regulatory compliance program, reasonably designed to detect and prevent violations of the Investment Advisers Act of 1940 and other applicable state and federal securities laws. Forum’s compliance program is overseen by Forum’s Chief Compliance Officer, Allison Tronnes, who delegates advisor supervision responsibilities among various advisor support personnel and teams.

Forum has a dedicated Advisor Support Team, and within that team is the primary point of contact for advisor supervision. Should a client or prospective client have any questions or concerns, please reach out to one of the following:

Allison Tronnes

Chief Compliance Officer
(630) 873-8512

atronnes@forumfinancial.com

Nikki Hopson

Advisor Development and Supervision
(630) 376-4367

nhopson@forumfinancial.com

Appendix

Accredited Investment Fiduciary® (AIF®)

The Accredited Investment Fiduciary® (AIF®) is a professional designation awarded by Fi360, which is accredited by the American National Standards Institute (ANSI) for the AIF® Designation. Individuals who hold the AIF® designation have completed a course of study to assure that those responsible for managing or advising on investor assets have a fundamental understanding of the principles of fiduciary duty, the standards of conduct for acting as a fiduciary, and a process for carrying out fiduciary responsibility. Candidates must complete an approved course of training, pass the AIF® exam, meet experience requirements, and satisfy Code of Ethics and Conduct Standards requirements. For more information, refer to Fi360's website at: <https://www.fi360.com/what-we-do/learning-development/aif-training/aif-designation>.

Uniform Investment Adviser Law Examination (Series 65 Exam)

The Uniform Investment Adviser Law Examination (Series 65 exam) is a North American Securities Administrators Association (NASAA) exam administered by the Financial Industry Regulatory Authority, Inc. (FINRA). The exam consists of 130 scored questions. Candidates have 180 minutes to complete the exam. In order for a candidate to pass the Series 65 exam, the individual must correctly answer at least 94 of the 130 scored questions. For more information, refer to the NASAA website at: <https://www.nasaa.org/exams/>.