



**Form ADV Part 2B
Brochure Supplement**

Ngoc (“Naya”) The Sou

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Item 1 – Cover Page

This Brochure Supplement provides information about Ngoc (“Naya”) The Sou 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 Ngoc (“Naya”) The Sou 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: Ngoc (“Naya”) The Sou
Individual CRD #: 7618265
Born: 1987

Education Background:

- Pace University: Master of Science (MS), Adolescence Education – 2011
- Rutgers University: Bachelor of Science (BS), Geology – 2008

Business Experience:

- Forum Financial Management, LP: Investment Adviser Representative – 8/2022 to Present
- Cornell University: Academic Advisor – 8/2017 to 7/2022
- Virginia Polytechnic Institute and State University: Academic Advisor – 11/2011 to 8/2017

Professional Designations, Certifications, & Exams:

- Uniform Investment Adviser Law Examination (Series 65 Exam), 2022

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

Item 3 – Disciplinary Information

Naya has no reportable legal or disciplinary history.

Item 4 – Other Business Activities

Naya is a Board Member with the Women’s Opportunity Center, attending Board meetings and serving on the Events Planning Committee. This activity accounts for approximately 5% of her time. Naya does not receive additional compensation for this outside business activity. This business activity does not provide investment advisory or investment-related services.

Item 5 – Additional Compensation

Naya does not receive any additional compensation or economic benefit for investment advisory or investment-related services beyond her roles at Forum.

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

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/>.