

## Form ADV Part 2B Disclosure Brochure Supplement

**Sikich Financial**

[www.sikich.com](http://www.sikich.com)

**Keith Patrick Walle**

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**This brochure supplement provides information about Keith Patrick Walle that supplements the Sikich Financial brochure. You should have received a copy of that brochure. Please contact Barry Stark at 630.566-8571 if you did not receive the Sikich Financial brochure or if you have any questions about the contents of this supplement. Additional information about Keith Patrick Walle is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

### **Item 2 – Educational Background and Business Experience**

Born: 1991

#### *Educational Background:*

- University of Illinois at Springfield, 2013, B.A. Accountancy and B.B.A. Business Administration

#### *Business Experience:*

- Sikich Financial, Financial Advisor: September 2013 – Present
- Sikich Financial, Financial Planning Intern: June 2011 – September 2013
- University of Illinois at Springfield, Student: August 2010 – May 2013
- Marine Bank, Teller: November 2010 – May 2011
- No Employment: June 2010 – November 2010
- Illinois College, Student: August 2009 – May 2010

#### *Professional Designation:*

- CERTIFIED FINANCIAL PLANNER™ professional or CFP® professional

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

CFP Acknowledgment: Keith Walle acknowledges his responsibility as a CFP® certificant to adhere to the standards that have been established in the CFP Board's Standards of Professional Conduct. If you become aware that Mr. Walle's conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### **Item 3 – Disciplinary Information**

Keith Patrick Walle has no legal or disciplinary events to report.

### **Item 4 – Other Business Activities**

Keith Patrick Walle has no other business activities outside of his employment with Sikich Financial.

#### **Item 5 – Additional Compensation**

Certain product sponsors may provide Keith Patrick Walle with other economic benefits as a result of his recommendation or purchase of the product sponsors' investments. The economic benefits received by Keith Patrick Walle from product sponsors can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist Sikich Financial in providing various services to clients. Although we endeavor at all times to put the interest of our clients ahead of our own interests, these arrangements could present a conflict of interest that may affect the judgment of our investment advisor representatives.

#### **Item 6 – Supervision**

Barry Stark is the Chief Compliance Officer of Sikich Financial. He is responsible for developing, overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives, including Keith Patrick Walle. Mr. Stark can be contacted at 630-566-8571.