

## Form ADV Part 2B Disclosure Brochure Supplement

**Sikich Financial**

[www.sikich.com/wealth-management](http://www.sikich.com/wealth-management)

**Joseph Connell, AIF®, CRPS®, RF™, QPFC**

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**This brochure supplement provides information about Joseph Connell 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 Joseph Connell 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 1965

#### *Educational Background:*

1984-1988, Bachelor in Finance, St. Cloud State University

#### *Business Experience:*

- Sikich LLP, Partner, Retirement Plan Services: June 2015 – Present
- Triad Advisors, LLC, Registered Representative: May 2015 – January 2017; Non-Producing Administrator: January 2017 – Present
- Sikich Financial, Investment Advisor Representative: September 2014 – Present
- Financial Telesis, Inc., Investment Advisor Representative: February 2013 – September 2014
- Retirement Plan Partners, Inc., President; February 2013- September 2014
- Independent Financial Partners, LPL Financial, Investment Advisor Representative: February 2012- February 2013
- Financial Concepts, Inc., Senior Retirement Plan Consultant: February 2009 – January 2012
- Palisade Investments – Midwest, President: May 2008 – February 2009
- Mass Mutual Insurance Company, Managing Director: April 2007 – May 2008
- RSM McGladrey, Regional Director: April 2005 – February 2007

*Professional Designation(s): AIFA®, CRPS®, RF™, QPFC*

- Accredited Investment Fiduciary Analyst (AIFA®)

The AIFA Designation certifies that the recipient has advanced knowledge of fiduciary standards of care, their application to the investment management process, and procedures for assessing conformance by third parties to fiduciary standards. To receive the AIFA Designation, the individual must hold the AIF Designation, meet prerequisite criteria based on a combination of education, relevant industry experience, auditing experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIFA Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of

ten hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

- Registered Fiduciary (RF™)

Status	Currently offered and recognized by the issuing organization.
Issuing Organization	DALBAR, Inc.
Prerequisites	Practicing fiduciary with credentials and licenses appropriate to services being offered, validated by DALBAR during application review
Education Requirements	RF fiduciary training and at least one specialty training course by an RF-qualified training organization (approximately 15-20 hours in total)
Examination Type	Final designation exam (online, proctored)
Continuing Education Requirements	Re-test every five years

- CRPS®

Individuals who hold the CRPS® designation have completed a course of study encompassing design, installation, maintenance and administration of retirement plans. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

- QPFC

QPFC is the professional credential for financial professionals who sell, advise, market or support qualified retirement plans. The QPFC program provides an understanding of general retirement planning concepts, terminology, distinctive features of qualified plans and the role of retirement plan professionals. QPFC is not an entry-level credential. A candidate will be expected to demonstrate a general proficiency of plan administration, compliance, investment, fiduciary, and ethics issues. Earning ASPPA's QPFC credential requires successful completion of the Plan Financial Consulting Parts 1 and 2 examinations, in addition to other licensing and/or demonstration of retirement plan related experience requirements.

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

Joseph Connell has no legal or disciplinary events to report.

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

Joseph Connell is also a partner of Sikich Financial's parent company, Sikich LLP.

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

In the course of business Joseph Connell does not receive economic benefit from non-clients for providing advisory services. Economic benefits" include sales awards and other prizes or any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts.

### **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 Joseph Connell. Mr. Stark can be contacted at 630-566-8571.