

*Sikich Corporate Finance LLC*

**BUSINESS CONTINUITY PLAN CLIENT DISCLOSURE**

**Disclosure Statement**

Sikich Corporate Finance LLC has developed a Business Continuity Plan (the “BCP”) concerning how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our BCP.

**Contacting Us** – If, after a significant business disruption, you cannot contact us as you usually do, you should call Christopher Geier at the following alternate phone number: 847-404-5880, or Nickie Chapman at her alternate phone number: 630-841-9643.

**Our Business Continuity Plan** – We plan to attempt to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our clients to transact business. In short, our BCP is designed to permit us to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses the following: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; and regulatory reporting.

Our client records are backed up and stored in a geographically remote location. Nonetheless, your requests could be delayed in the event of a significant business disruption.

**Varying Disruptions** – Significant business disruptions can vary in their scope. They may affect only our firm, a single building housing our firm, the business district where we are located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we may transfer our operations to a local site when needed. In a disruption affecting our business district, city, or region, we may transfer our operations to a site outside of the affected area. In either situation, we plan to attempt to continue in business, and notify you through our web site or through any other means that remain available to us, how you can contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

**For More Information** – If you have questions about our business continuity planning, you can contact us by phone 630-566-8400, by fax at 630-849-2817, or by e-mail at [cgeier@sikich.com](mailto:cgeier@sikich.com).