



# 2014 ORGANIZATIONAL MANUAL

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## Minnesota

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**Financial Planning Association of  
Minnesota**

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*March 24, 2014*

**FPA** OF MINNESOTA  
FINANCIAL  
PLANNING  
ASSOCIATION

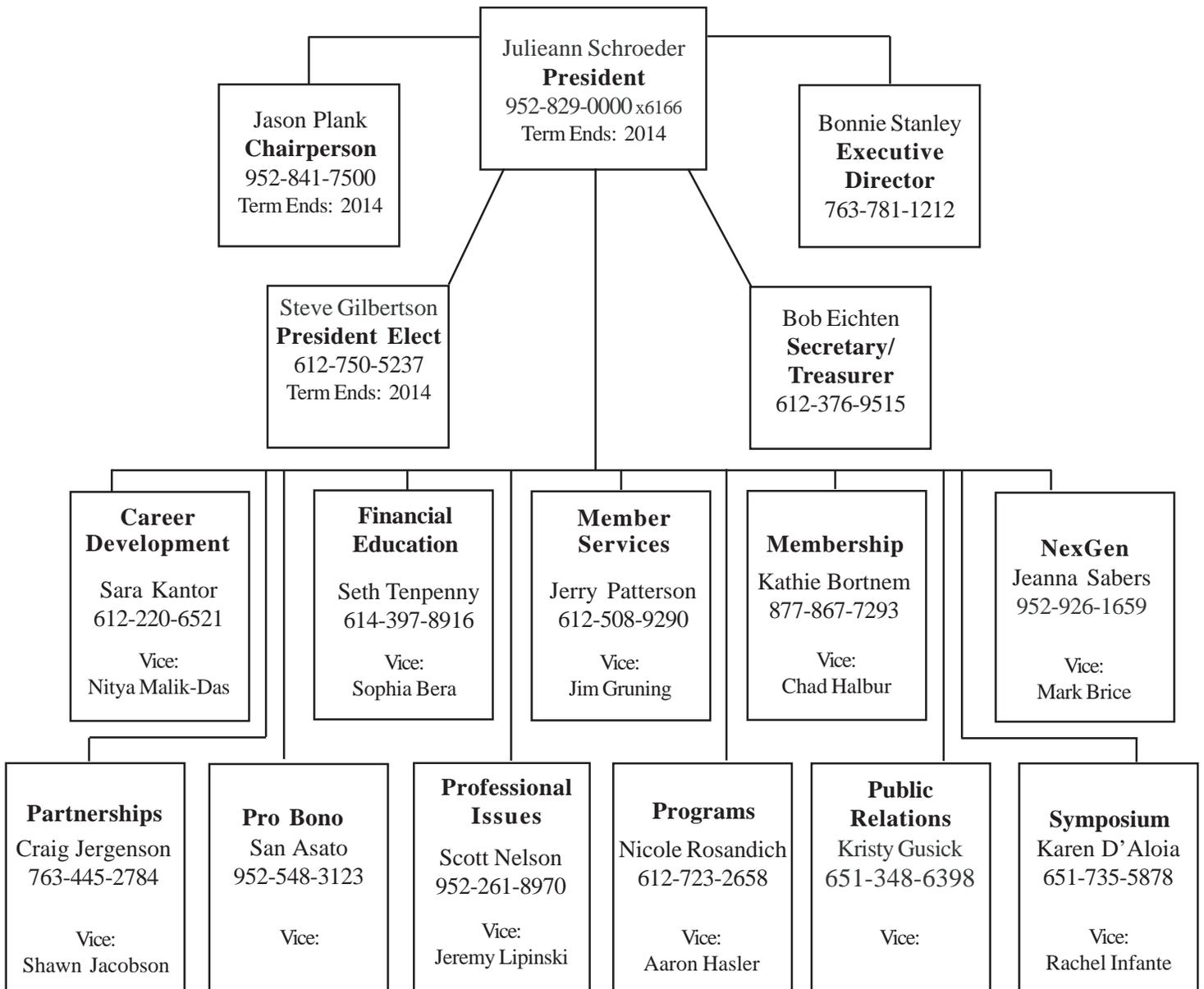
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**2014 Plan of Work / Strategies**

- Committee Objectives
- Career Development
- Financial Education
- Member Services (Retention)
- Membership (Recruitment and First Year Member)
- NexGen
- Partnerships
- Pro Bono
- Professional Issues
- Programs
- Public Relations
- Symposium



*Are you interested in shaping the future of FPA?  
Do you want a hands-on experience using a leadership system  
which can be incorporated into your business and personal life?*

*Call 763-781-1212 now to volunteer!*

<p>Sara Kantor <b>Career Development</b> 612-220-6521</p>	<p>Seth Tenpenny <b>Financial Education</b> 614-397-8916</p>	<p>Jerry Patterson <b>Member Services</b> 651-248-0920</p>	<p>Kathie Bortnem <b>Membership</b> 877-867-7293</p>	<p>Jeanna Sabers <b>NexGen</b> 952-926-1659</p>
<ul style="list-style-type: none"> <li>• Mark Brice</li> <li>• Ellen Fee</li> <li>• Ellan Krubsack</li> <li>• Nitya Malik</li> <li>• Megan Olson</li> <li>• Molly Sullivan</li> </ul>	<ul style="list-style-type: none"> <li>• Karen Becker-Gemmill</li> <li>• Sophia Bera</li> <li>• John Comer</li> <li>• Christine Damico</li> <li>• Mike Erpenbach</li> <li>• Jeanna Sabers</li> <li>• Lisa Stitzel</li> </ul>	<ul style="list-style-type: none"> <li>• Drew DeWitt</li> <li>• Ron Evans</li> <li>• Greg Farnam</li> <li>• Jim Gruning</li> <li>• Brandon Hillman</li> <li>• Jack Pickler</li> </ul>	<ul style="list-style-type: none"> <li>• Brad Barinsky</li> <li>• Craig Dahl</li> <li>• Brad Frane</li> <li>• Joel Johnson</li> <li>• John O'Keefe</li> <li>• Patrick Olson</li> <li>• Pat Redman</li> </ul>	<ul style="list-style-type: none"> <li>• Sophia Bera</li> <li>• Mark Brice</li> <li>• Brian Martin</li> <li>• Corey Purkat</li> </ul>
<p>San Asato <b>Pro Bono</b> 952-548-3123</p>	<p>Scott Nelson <b>Professional Issues</b> 952-261-8970</p>	<p>Nicole Rosandich <b>Programs</b> 612-723-2658</p>	<p>Kristy Gusick <b>Public Relations</b> 651-348-6398</p>	<p>Karen D'Aloia <b>Symposium</b> 651-735-5878</p>
<ul style="list-style-type: none"> <li>• Alexis Cress</li> <li>• Melanie Hardie</li> <li>• Anders Haugen</li> <li>• Dana Hornquist</li> <li>• Dennis O'Hearn</li> <li>• Lauri Salverda</li> </ul>	<ul style="list-style-type: none"> <li>• Jerry Brennan</li> <li>• Steve Fischer</li> <li>• Jeremy Lipinski</li> <li>• Keith Loveland</li> <li>• Tom Luing</li> <li>• Donald McNeil</li> <li>• Josh Wolberg</li> </ul>	<ul style="list-style-type: none"> <li>• Jerry Brennan</li> <li>• Earl Cohen</li> <li>• Aaron Hasler</li> <li>• Jason Plank</li> <li>• Mark Rekow</li> <li>• Jeremy Schmidt</li> <li>• Paul Wilson</li> </ul>	<ul style="list-style-type: none"> <li>• Lindsay Ardis</li> <li>• Chris Davis</li> <li>• Grant Meyer</li> <li>• Kevin O'Laughlin</li> <li>• Eric Rogness</li> <li>• Nate Wenner</li> <li>• Chris Duffy, PR Firm</li> </ul>	<ul style="list-style-type: none"> <li>• Jerry Biese</li> <li>• Jim Buchanan</li> <li>• Charles Buck</li> <li>• Bob Callahan</li> <li>• Bridget Handke</li> <li>• Rachel Infante</li> <li>• Craig Jergenson</li> <li>• Julieann Schroeder</li> <li>• Laura Seymour</li> </ul>
	<p>Jason Plank <b>Financial Planning Week Coordinator</b> 952-841-7500</p>	<p>Craig Jergenson <b>Partnerships</b> 763-445-2784</p>		
	<ul style="list-style-type: none"> <li>• All Directors</li> </ul>	<ul style="list-style-type: none"> <li>• Shawn Jacobson</li> <li>• Michelle Marquez</li> </ul>		

*As a thank you for making FPA of Minnesota a better chapter, active committee members will receive 50% off the cost of their Symposium ticket.*

**PRIMARY AIM:**

Our primary aim is to be the community that fosters the value of financial planning, and advances the practice and profession of financial planning.

**STRATEGIC DIRECTIVE:**

To be the recognized and unquestioned professional membership resource and advocate for CFP® professionals by embracing the concept of “one profession/one designation” as our sole business directive and policy filter.

**MINNESOTA VISION STATEMENT:**

In our interactions with one another, we are committed to honesty, integrity, and open communication. Through the spirit of service, we foster stewardship and the development of recognized knowledge and competence. The FPA aim is achieved through its objectives:

- Facilitate the success of our members
- Cultivate the body of knowledge of personal financial planning.
- Grow the organization by bringing together those who champion the financial planning process.
- Unify the voice, focus and resources of the financial planning community.
- Advance brand awareness for professional financial planners, building the CFP® certification as the hallmark of the brand.
- Define and effectively communicate a common understanding of the discipline of personal financial planning and the benefits of its use.

**MINNESOTA MISSION STATEMENT:**

The Financial Planning Association of Minnesota champions the value of the financial planning process and advances the financial planning profession with the CFP® mark as its cornerstone. FPA of Minnesota seeks to:

- Foster competent, committed and ethical members;
- Provide educational and networking opportunities to assist members in their efforts to achieve personal and professional fulfillment;
- Build and retain a growing membership with a shared vision; and
- Help people recognize the value of the financial planning process as a way to achieve their goals and dreams.

**MINNESOTA PROGRAM SCHEDULE**

January 21, 2014 .....	Retirement Income: Addressing Client Concerns, 7:30 am, GVCC
February 18, 2014 .....	Challenging Conventional Thinking about Money, Deficits and Debt, 7:30 am, GVCC
February 28, 2014 .....	8th Annual Career Day, DoubleTree, St. Louis Park, MN
March 18, 2014 .....	Linking Cash Flow Management and Life Planning, 11:30 am, GVCC
April 15, 2014 .....	An Estate Planning Trilogy: Digital Assets, Guns, and Pets, 7:30 am, GVCC
April 15, 2014 .....	Code of Ethics, 10:15 am - 12:15 pm, GVCC
May 20, 2014 .....	Hr 1: Where in the world do we invest from here? 2:30 pm, GVCC
May 20, 2014 .....	Hr 2: The New Geography of Investing, 2:30 pm, GVCC
June 17, 2014 .....	Planning in Light of Minnesota’s Civil Marriage Law, 7:30 am, GVCC
July 15, 2014 .....	Understanding and Protecting our Aging Clients from Financial Abuse, 11:30 am, GVCC
July 28, 2014 .....	Annual Golf and Bocce Ball Tournament, Brackett’s Crossing
September 16, 2014 .....	Hr 1: Rising Equity Glidepath Asset Allocation in Retirement, 7:30 am, GVCC
September 16, 2014 .....	Hr 2: Future of Financial Planning in the Digital Age, 7:30 am, GVCC
October 20-21, 2014 .....	Annual Symposium, Minneapolis Convention Center
November 18, 2014 .....	Tax Update, 7:30 am, GVCC
December 16, 2014 .....	Investment Fiduciary - Allied Professional Mtg. & Social, 2:30 pm, GVCC

See Website for Details: <http://www.fpamn.org/members/calendar.html>

*Programs are usually held the 3rd Tuesday of the month (except August & October) at the Golden Valley Country Club (unless noted). We rotate the time of the sessions between breakfast, lunch and late afternoon. It is our goal to have most of the regular monthly meetings qualify for CFP, MN insurance, CPE, CIMA, CFA and CDFA credits. Practice management sessions follow some of the regular meetings. Watch for dates, topics and more details in the newsletters and on the FPA of MN website - Calendar of Events: <http://www.FPAMN.org>*

**NATIONAL'S CORE IDEOLOGY:**

**Primary Aim:** Our primary aim is to be the community that fosters the value of financial planning, and advances the practice and profession of financial planning.

**Core Values:** At FPA, our core values represent who we are. They describe our intended state of being. They are so integral to our being that we would not abandon them even if we were penalized for holding them. We want to attract as members those who share our values:

- **Competence:** Our dedication to competence requires not only lifelong learning, but also that we continually assess our ability to appropriately and effectively address the needs of those whom we serve.
- **Integrity:** We strive to have ever more congruence between our words and deeds, and to deliver genuine value to those whom we serve.
- **Relationships:** We are committed to open, inclusive and respectful relationships, including collaboration among diverse parties on common interests.
- **Stewardship:** We recognize our responsibility to act with vision, ever mindful of the effects of our actions today and tomorrow on the future.

**FPA's Business Objectives:** Our Business Objectives describe actions we will take to achieve our Primary Aim. We seek to accomplish this through strong and active leadership in partnership with FPA's community of chapters.

- Unify the voice, focus and resources of the financial planning community, bringing together those who champion the financial planning process.
- Facilitate the success of our members and grow the organization.
- Cultivate the body of knowledge of personal financial planning.
- Advance awareness of the characteristics of professional financial planners and support the standards of the CFP® certification in order to serve the public.
- Define and effectively communicate a common understanding of the discipline of personal financial planning and the benefits of its use.

**CODE OF ETHICS:**

This Code of Ethics is an expression of the financial planning profession's recognition of its responsibilities to the public, to clients, to colleagues, and to employers. These principles apply to all Financial Planning Association (FPA) members and provide guidance to them in the performance of their professional services.

***Principle 1 - Integrity***

An FPA member shall offer and provide professional services with integrity.

***Principle 2 - Objectivity***

An FPA member shall be objective in providing professional services to clients.

***Principle 3 - Competence***

An FPA member shall provide services to clients competently and maintain the necessary knowledge and skill to continue to do so in those areas in which the designee is engaged.

***Principle 4 - Fairness***

An FPA member shall perform professional services in a manner that is fair and reasonable to clients, principals, partners, and employers and shall disclose conflict(s) of interest(s) in providing such services.

***Principle 5 - Confidentiality***

An FPA member shall not disclose any confidential client information without the specific consent of the client unless in response to proper legal process, to defend against charges of wrongdoing by the FPA member or in connection with a civil dispute between the FPA member and client.

***Principle 6 - Professionalism***

An FPA member's conduct in all matters shall reflect credit upon the profession.

***Principle 7 - Diligence***

An FPA member shall act diligently in providing professional services.

This abridged version of the FPA Code of Ethics was derived from the *Code of Ethics and Professional Responsibility* © 2003 Certified Financial Planner Board of Standards, Inc. All rights reserved. For a complete version, please visit the FPA Web Site at [www.fpanet.org](http://www.fpanet.org).

# Strategic Vision – Long Term Vision



**STRATEGIC OBJECTIVE: ORGANIZATIONAL IDENTITY AND BUSINESS FOCUS**

To be the recognized and unquestioned professional membership resource and advocate for CFP professionals by embracing the concept of “one profession, one designation” as our sole business directive and policy filter.

**OUR VALUE PROPOSITION**  
**FOUR SERVICE LINES: AREAS OF ACTIVITY**



	By Whom	When
<p><b>Financial Planners are helping people of all income levels</b></p> <ul style="list-style-type: none"> <li>Public service to poor greatly enhanced</li> <li>FPA members offer more pro-bono services</li> <li>Financial planners are helping people of all income levels</li> <li>Financial planners are involved in community outreach</li> <li>Local foundation to promote financial education and financial health within community</li> </ul>	PBono PBono PBono,VC PBono,VC GR,PR	
<p><b>Focused informative programs based on greatest member needs</b></p> <ul style="list-style-type: none"> <li>Meeting attendance above 200 (including psychologists, CPAs, attorneys, physicians, and clergy)</li> <li>300+ at every event (monthly meetings/symposium, etc.)</li> <li>Focused, informative programs based on greatest member needs</li> <li>Fully sponsored pre-planned meetings and events</li> <li>Our organization is providing technological expertise</li> <li>Develop Practice Development Groups/Programs for out-state members</li> <li>Opportunity to grow professionally through practice management education</li> </ul>	PG, MS, Mshp SYMP PG Partnership PG, SYMP MS, PG SE, MS	
<p><b>FPA membership is essential to planners</b></p> <ul style="list-style-type: none"> <li>1,000 members or 80% of financial planners/practitioners in state</li> <li>FPA membership essential to planners</li> <li>(You) Wish you were here</li> <li>Single shared vision</li> <li>The FPA culture will have emerged</li> <li>Encouragement of diversity of FPA members</li> <li>Leadership composed of broad base (10%) of members</li> <li>FPA offices and staff (meeting and education facilities)</li> <li>Activities that encourage development of professional and personal relationships</li> </ul>	BD BD BD BD BD Mshp BD BD BD	
<p><b>All levels of formal education, includes financial planning curriculum</b></p> <ul style="list-style-type: none"> <li>Facilitation of financial planning curriculum (secondary schools) through FPA</li> <li>Education in K-12 with FPA members acting as co-educators</li> </ul>	GR,VS VS	
<p><b>Collaborative relationships have been pro-actively established with other professionals</b></p> <ul style="list-style-type: none"> <li>Board members pursue cooperative relationships w/allied profession</li> <li>Joint meetings with other professionals</li> <li>Mutually supportive relationships developed between sponsors and members</li> </ul>	BD BD Partnership	
<p><b>Collaborative relationships have been pro-actively established with legislative community</b></p> <ul style="list-style-type: none"> <li>Legislators seek our input</li> <li>Active political presence</li> <li>State legislative standards for holding yourself out as a financial planner</li> <li>Interpersonal dialogue with legislative community</li> </ul>	GR GR GR GR	
<p><b>Professional capacity has been dramatically enhanced through mentoring, internship, and educational programs</b></p> <ul style="list-style-type: none"> <li>Mentoring programs</li> <li>Internship program for all college students majoring in financial planning</li> <li>Mentoring program for all FPA members enrolled in CFP</li> <li>Support and guidance at all levels of a fp's career from entry to succession planning in the profession</li> <li>Help non-CFP certificants become CFP certificants</li> <li>Guidance regarding succession planning for members</li> </ul>	CD CD CD CD CD CD	
<p><b>FPA of MN is recognized as the financial planning resource center</b></p> <ul style="list-style-type: none"> <li>Nationally recognized by FPA for leadership, programs, management</li> <li>Immediate public recognition of FPA of MN</li> <li>High degree of respect by public of FPA member with CFP designation as preferred financial advisor</li> <li>Other state chapters call us for advice</li> <li>Media contacts FPA on all financial planning matters</li> <li>Speakers seek to present programs in Minnesota</li> <li>FPA is as recognizable as any other professional organization</li> <li>Having a financial planner is no longer a luxury</li> <li>PR/media events held quarterly, enhanced website, including educational video tracks for the public; seen everywhere - billboards, tv, radio, newspaper, magazines</li> </ul>	BD PR PR ED PR BD BD PR BD	

# Introduction

**Leadership development and training provided by:  
A. Lynn Scoresby & Associates • 800-526-7793  
www.leaderstoolkit.com**

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In our current and future world, we believe that real and successful teams are being organized to create new products, practices, and programs. Teams are being used to redesign organizations, develop new business practices, and implement them. It is becoming a more common practice for companies to place their upper executives into executive teams to improve overall communication and effectiveness. The fact that teams and teamwork have been around a long time and that this practice is getting even more attention stimulates much study fueled by the need to understand how to make teams the most effective and productive. We offer a straightforward answer to this need. Successful teams result from good leadership and good leadership is much more than putting people in the same room, giving them an assignment, scheduling meetings, and calling them a team.

High-quality leadership, however, is neither a natural ability that one inherits nor a lucky combination of good people put together. Good leaders demonstrate a set of skills based on real knowledge about teams and leadership, artfully applied in a very unique setting of people working closely together where high performance requires a level of cooperation and trust seldom achieved elsewhere.

We believe the objective of any team should be to accomplish so much it qualifies to be called a high performance team. High performance teams produce extraordinary results because team members are individually effective and work with one another in ways that expand and enlarge each individual's contribution. This seminar is designed to teach you how to develop and apply such extraordinary leadership.

# leadership

# Team Leadership System

- **Fostering Trust™**  
Trust is the intangible bond between leader and follower that is the basis for all leadership.
- **Creating Vision™**  
Vision is a view of the future people create themselves or accept from others. A vision presents risk and requires sacrifice but excites and inspires.
- **Developing Strategy™**  
Strategy is the essential plan which focuses and organizes the work of achievement. It links effort to outcome by bringing people and resources together, dividing the work, forming sequences of performance, establishing accountability, and giving meaning to responsibility.
- **Energizing Alliances™**  
Personal and organizational achievement typically result from the joined efforts of people who forge alliances based on the belief that efforts to achieve will produce mutual benefits; skill at creating alliances is basic to success.
- **Activating Transformations™**  
Changes in individual performance and changes in organizational practice are necessary to achieve new results. Facing change forthrightly is part of successful leadership.
- **Measuring Progress, Achieving Results, and Resetting the Vision™**  
Actively measuring progress maintains focus and permits course corrections before time runs out.

## Leadership Doctrines

Consider these statements of “leadership doctrines.” These doctrines are integral to a general theory of leadership. They lead to principles that define the effective process of leading.

### 1. Leaders Activate the Freedom to Choose

Human beings are the most intelligent of all creations and are uniquely and inherently free to choose. Even though some people may resist freedom and the responsibility which comes with it, they achieve more and sustain their performance better when their freedom is activated by those who lead them. Leaders who activate the freedom to choose use the inviting words, “will you?” rather than “you will.”

### 2. Leaders Create Accountability and Responsibility

Leaders create accountability and responsibility by involving others in setting goals and developing plans. Along with their option to choose, people have some measure of power in pursuing and achieving their goals, to act and not only be acted upon. Accountability and responsibility are greater when leaders involve those they lead in developing the means or methods of achieving and measuring the results.

### 3. Leaders Motivate and Inspire by Establishing High Standards of Performance

People generally have goals to preserve and enhance life, liberty, and the pursuit of happiness. They are more motivated and inspired to achieve when leaders establish high standards of performance and link them to followers’ individual goals and objectives.

### 4. The Power of Leadership is Shared with Those Who Are Led

The choices of one person are tempered by the choices of others, thereby restricting the ability to act unilaterally or to stop others from acting even where there is enough time and there are enough resources to spare. Coercion, threat, or any other form of excessive control may temporarily move people to act but eventually will diminish their willingness to achieve.

### 5. Leaders Bring People Together in a Common Cause

People voluntarily align themselves with others to increase the power to achieve their goals when there is a possibility for all to agree on a common vision and strategy. Performance is accelerated when leaders take advantage of people’s willingness to join with others in a common effort.

### 6. Leadership is Based on the Integrity and Moral Character of the Leader

People follow those whose moral character they trust and whom they judge will be beneficial in their lives without loss of power to choose and act. All achievement begins as a belief in leaders whose personal lives exemplify integrity.

### 7. Leaders transform People and Organizations

Leaders, allies and followers exchange power and influence as stewards of resources and opportunities, transforming their lives and circumstances to the end that all participants benefit. Effective leaders forthrightly identify personal and organizational changes that must be made to accomplish new levels of achievement and willingly change themselves.

### 8. Leaders Find and Prepare Other Leaders

Leaders extend their influence by organizing and institutionalizing the role of high-quality leadership which includes finding and nurturing other leaders who in turn help to transform those people and organizations they serve.