2019
ORGANIZATIONAL MANUAL

Minnesota

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Financial Planning Association of Minnesota

FPA OF MINNESOTA
FINANCIAL PLANNING ASSOCIATION

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Partnerships
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Professional Issues
Programs
Public Relations
Symposium

FPA of MINNESOTA

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Term Ends: 2019

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Term Ends: 2019

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Vice:

Public Relations
Ryan Antkowiak
414-331-1759
Vice:
Pete Snow

Symposium
Nick Augustin
262-385-2147
Vice:
Jeff Drayton

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!

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- Bonnie Stanley (OC)

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- All Directors

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.

FPA of MINNESOTA

VALUES & MISSION STATEMENT
PROGRAM SCHEDULE

PRIMARY AIM:
Our primary aim is to elevate the profession that transforms lives through the power of financial planning.

STRATEGIC DIRECTIVE:
To be the indispensable resource for CFP® Professionals.

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

February 19, 2019 ......Chapter Mtg with Rick Kahler by special Pro Bono session, 7:30 am, GVCC
March 1, 2019 ....Career Day, 9:00 am - 4:00 pm , MNSU
March 19, 2019 ....Chapter Meeting with Marilyn Mohrman-Gillis, 11:30 am, GVCC
........Racial Diversity in Financial Planning: Where We Are And Where We Must Go
April 23, 2019 ....Chapter Meeting with Bob Veres followed by special Ethics session
........Future of the Profession: Five Key trends to prepare for
May 21, 2019 ....Chapter Meeting and Networking Social, 2:30, GVCC
........Trendings In Investing/ESG
June 18, 2019 .... Chapter Meeting followed by special Pro Bono session, 7:30 am, GVCC
........Marketing Magnetism with Maribeth Kuzmeski, PhD.
July 16, 2019........ Chapter Meeting, 11:30 am, GVCC
August, 2019 .... Annual Golf and Bocce Ball Tournament
September 17, 2019 ....Chapter Meeting followed by special Pro Bono session, 7:30 am, GVCC
.... Hr1 - An Advisor's Guide to the New 20% Pass-Through Deduction
..... Hr2 - Advanced Roth Conversion Planning: How to Squeeze More Juice Out of the Tax Lemon
.... with Jeff Levine
October 16-18, 2019........National Annual Conference, Minneapolis Convention Center
November 19, 2019........Chapter Meeting on Estate Planning, 11:30 am, GVCC
December 17, 2019 .... Chapter Meeting & Networking Social, 2:30 pm, GVCC

See Website for Details: http://www.fpamn.org/financial-professionals/calendar2/

Programs are held the 3rd Tuesday of the month. We rotate between breakfast, lunch and late afternoon. It is our goal to have the regular monthly meetings qualify for CFP, MN insurance,CPE, CIMA, and CLE continuing education. Practice management sessions follow some of the regular meetings. We also have NexGen Socials, First Year Member Socials, Partner-Member Socials, and a Volunteer Appreciation Event. Check the website for updates - Calendar / Events: http://www.FPAMN.org

ABOUT FPA...

One Leadership - Many Volunteers

EXECUTIVE COMMITTEE

We are here to serve our FPA of MN community by personally embracing the primary aim and core values of the Financial Planning Association. At the heart of our service is our membership.

CAREER DEVELOPMENT

The Career Development Committee is dedicated to supporting the FPA in its efforts to build a strong professional community, especially through those new to the profession.

FINANCIAL EDUCATION

The Financial Education Committee cultivates volunteer opportunities for FPA Minnesota members to enhance financial capability through education and outreach with community-based organizations while building awareness of the Financial Planning profession.

MEMBERSHIP

The Member Services Committee and the New Member Committee merged on September 1, 2018 to work together to enhance the FPA of Minnesota's membership value, and to understand and respond to member needs. They will work closely with the recruitment and integration of new members during the first year of membership as well as with tenured members to provide extraordinary benefits and activities providing them the connections that enhance their practice and service to their clients.

NEXGEN

The NexGen Committee is empowered to create opportunities for growth, education and networking in the young professionals demographic of FPA MN membership. Our responsibility lies in promoting the vision and mission of FPA NexGen while enhancing the experience in MN for members 36 and under. The NexGen committee works to uphold the community of NexGen with inspiration, encouragement and support for members of FPA.

PARTNERSHIPS

The Partnership Committee's objective is to obtain partners and sponsors for the FPA so that the organization has enough money to fund its programs and operations. There are several different packages that the Committee offers and "sells" to prospective partners. It is the Partnership Committee's goal to completely sell out the annual symposium booth slots through these annual packages as well as solicit participation from the partners for various marketing opportunities throughout the year. It is also the Partnership Committee's objective to encourage partners to be involved with the FPA community and to take advantage of their various benefits in order to maximize their partnership dollars and retain their partnership commitment.

PRO BONO

The Pro Bono Committee knows that making wise financial decisions aligned with one's values is what allows people to live a great life by their own definition. As such, we believe that every person/family deserves quality, comprehensive and unbiased advice regardless of their financial means or background. We passionately serve the underserved members of our community who are going through a time of financial crisis, need quality advice, but for one reason or another cannot afford to pay for it. Since numerous studies have shown that the best results come from one-on-one consultations, we facilitate venues throughout the year to connect those in need with a CFP® advisor in an individual consulting conversation. In so doing, we help our community members achieve personal and professional fulfillment.

PROFESSIONAL ISSUES

The Professional Issues Committee tracks legislative and regulatory issues and other developments relevant to financial planners. We work on developing and maintaining a relationship with legislators and regulators through our advocacy efforts. We also spend time discussing and considering best practices on issues that financial planners face every day. We seek to inform and promote discussion on issues such as cybersecurity and eldercare through our writings in FPA publications. We look to highlight the steps all financial planners need to address in order for financial planning to be recognized as a profession.

PROGRAMS

The Program Committee ensures the monthly programs have a strong educational basis as well as engaging, non-soliciting speakers. Through polling we attempt to identify the needs and wants of the membership. We look for input on topic, speakers, and location in an effort to maximize membership attendance.

PUBLIC RELATIONS

The Public Relations Committee members plan and direct programs designed to create and maintain a favorable public image of the financial planning profession. We work together to develop strategies for increasing public awareness of financial planning in general and the FPA specifically. We also promote financial planning and the FPA association to the media as well as coordinate the dissemination of news releases, public service announcements, financial news and other information to local news outlets.

SYMPOSIUM

The primary mission of the Symposium Committee is to create a premier educational conference for financial professionals. Members of the committee work together to secure speakers, create the agenda, determine the marketing components to drive higher attendance, increase membership and work to obtain CE approval. Promotion of the annual Symposium is key as is excellent speakers and agenda of topics. Our committee seeks to increasing attendance, enhance professional development, support eduction of practitioners and provide networking and partner opportunities.

Welcome to FPA

One Profession.
One Designation.
One Association.

NATIONAL'S CORE IDEOLOGY:

Primary Aim: Our primary aim is elevate the profession that transforms lives through the power of financial planning.

Core Values:

We lead with power and purpose:
We take bold, courageous and visionary action.

We are passionate about our calling:
We pursue passion with heart, spirit and drive.

We strive for personal and professional excellence:
We pursue learning and continuous improvement, always and everywhere.

We connect for collaborative impact:
We forge communities to make a difference knowing we are wiser together.

We care for and support each other:
We foster belonging, mutual care and the spirit of service in our relationships.

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.

FPA STRATEGIC FRAMEWORK

Our Primary Aim

To elevate the profession that transforms lives through the power of financial planning

Our Core Values

We lead with power and purpose
We take bold, courageous and visionary action.

We are passionate about our calling
We pursue our passion with heart, spirit and drive.

We strive for personal and professional excellence
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We connect for collaborative impact
We forge communities to make a difference, knowing we are wiser together.

We care for and support each other
We foster belonging, mutual care, and the spirit of service in our relationships.

Our Strategic Directive

To be the indispensable resource for CFP® professionals

Our Value Lines

Advocacy	Business Support	Community	Education
The CFP® Professional's Voice	**The Resource for Business Success**	**The Diverse Gathering Place**	**The Authoritative Source**
Where members engage in protecting their practices and guiding the profession.	Where members enhance their ability to build and manage their businesses.	Where members connect with and learn from their peers.	Where members fulfill their educational needs to become better practitioners.

FIVE YEAR PRACTICAL VISION

	By Whom
Financial Planners are helping people of all income levels	
• Public service to poor greatly enhanced	Pro Bono
• FPA members offer more pro-bono services	Pro Bono
• Financial planners are helping people of all income levels	Pro Bono, Fin'l Education
• Financial planners are involved in community outreach	Pro Bono, Fin'l Education
• Local foundation to promote financial education and financial health within community	Prof Issues, Public Rel
Focused informative programs based on greatest member needs	
• Meeting attendance above 200 (including psychologists, CPAs, attorneys, physicians, and clergy)	Programs, Membership
• 300+ at every event (monthly meetings/symposium, etc.)	Symposium
• Focused, informative programs based on greatest member needs	Programs
• Fully sponsored pre-planned meetings and events	Partnership
• Our organization is providing technological expertise	Programs, Symposium
• Develop Practice Development Groups/Programs for out-state members	Membership, Programs
• Opportunity to grow professionally through practice management education	NexGen, Membership
FPA membership is essential to planners	
• 1,000 members or 80% of financial planners/practitioners in state	Board
• FPA membership essential to planners	Board
• (You) Wish you were here	Board
• Single shared vision	Board
• The FPA culture will have emerged	Board
• Encouragement of diversity of FPA members	Membership
• Leadership composed of broad base (10%) of members	Board
• FPA offices and staff (meeting and education facilities)	Board
• Activities that encourage development of professional and personal relationships	Board
All levels of formal education, includes financial planning curriculum	
• Facilitation of financial planning curriculum (secondary schools) through FPA	Professional Issues
• Education in K-12 with FPA members acting as co-educators	Financial Education
Collaborative relationships have been pro-actively established with other professionals	
• Board members pursue cooperative relationships w/allied profession	Board
• Joint meetings with other professionals	Board
• Mutually supportive relationships developed between sponsors and members	Partnership
Collaborative relationships have been pro-actively established with legislative community	
• Legislators seek our input	Professional Issues
• Active political presence	Professional Issues
• State legislative standards for holding yourself out as a financial planner	Professional Issues
• Interpersonal dialogue with legislative community	Professional Issues
Professional capacity has been dramatically enhanced through mentoring, internship, and educational programs	
• Mentoring programs	Career Development
• Internship program for all college students majoring in financial planning	Career Development
• Mentoring program for all FPA members enrolled in CFP	Career Development
• Support and guidance at all levels of a fp's career from entry to succession planning in the profession	Career Development, NexGen
• Help non-CFP certificants become CFP certificants	Career Development
• Guidance regarding succession planning for members	Career Development, NexGen
FPA of MN is recognized as the financial planning resource center	
• Nationally recognized by FPA for leadership, programs, management	Board
• Immediate public recognition of FPA of MN	Public Relations
• High degree of respect by public of FPA member with CFP designation as preferred financial advisor	Public Relations
• Other FPA chapters call us for advice	Executive Director
• Media contacts FPA on all financial planning matters	Public Relations
• Speakers seek to present programs in Minnesota	Board
• FPA is as recognizable as any other professional organization	Board
• Having a financial planner is no longer a luxury	Public Relations
• PR/media events held quarterly, enhanced website, including educational video tracks for the public; seen everywhere - billboards, tv, radio, newspaper, magazines	Board

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' individuals 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.