MISSION STATEMENT

To foster research, education, and ethical practices among financial service professionals to benefit the public.
Dear Friends of the Foundation for Financial Service Professionals:

Making a difference. That’s what it’s really all about, isn’t it? This ideal has been the unofficial motto of the Foundation since we were honored with the National Multiple Sclerosis Society’s “Making a Difference” Award back in 2007. That award was given in recognition of the Foundation’s Financial Education Partners program and the way it provides meaningful results for pro bono clients in search of financial security.

But the sentiment applies across the board when describing each of you—the many generous donors—who support the mission and programs of our modest Foundation. You are making a difference. You make it possible for us to honor companies that do the right thing with the American Business Ethics Award. You make it possible for us to foster the highest caliber of scholarly research and writing with the Journal Author Awards. And you have made it possible to give over a quarter of a million dollars in scholarships through our Paul S. Mills Program.

Starting this year, your continued generosity is affording us the opportunity to expand the Paul Mills Scholarship Program to provide needs-based scholarships to students pursuing undergraduate degrees in financial service-related fields. Our hope is to give four or five annual scholarships of $1,000 each to students in need. We are excited about this chance, not only to play a role in building the future of our profession, but to help young men and women achieve educational goals.

Tolstoy said, “Joy can be real only if people look upon their life as a service and have a definite object in life outside themselves and their personal happiness.” I count myself as blessed for being part of a community of such joyful people.

Thank you for all you do, for all you give, for your legacy of service and generosity.

Keep spreading that joy,

Thomas L. Petsche
Chairman of the Board of Trustees
Foundation Programs

PAUL S. MILLS SCHOLARSHIPS
Paul S. Mills Scholarships encourage ongoing professional development among financial service practitioners.

2012 RECIPIENTS
Joey Ussery, Jr., CLU, ChFC, Houston, Texas
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Michael A. Lundy, LUTCF, CLF, Dayton, Ohio

Beginning in 2013, the Paul Mills Scholarship program is expanding its criteria to provide needs-based scholarships to students pursuing undergraduate degrees in financial service-related fields. Specific scholarship amounts will vary depending on the funds available, but, Foundation Chair Tom Petsche reports “we hope to be able to give four or five scholarships annually of $1,000 each to help make a difference in someone’s ability to pursue higher education.”

INDUSTRY ISSUES COMPETITION
The Industry Issues Competition brings together teams of students from schools participating in the Society of FSP’s University Partners Program to present papers on a hot financial service industry topic. The topic for the 2013 competition, which was held on January 28 in Tucson, was “Which Way to Go? Best Practices in Identifying and Evaluating Specific Careers in the Financial Services Profession.”

First Place: Texas Tech University
Team Members: Tyler Chaney and David Wilder
Faculty Advisor: John Gilliam, PhD, CFP, CLU, ChFC

Second Place: University of Missouri, St. Louis
Team Members: Anna Marie Curran, William Hediger, and Michael Orso
Faculty Advisor: Gary Flotron, MBA, CLU, ChFC, AEP

Third Place: William Paterson University
Team Members: Ania Lamparska and Linda Hoxha
Faculty Advisor: Lukas Dean, PhD

AMERICAN BUSINESS ETHICS AWARD
Founded in 1994, the American Business Ethics Award has been recognizing and encouraging ethical practices in the American business marketplace for 20 years.

2012 RECIPIENTS
Midsized Company: Mascaro Construction Company, Inc., Pittsburgh, Pennsylvania
Large Company: Rockwell Automation, Inc., Milwaukee, Wisconsin

JOURNAL AUTHOR AWARDS
Journal Author Awards advance scholarly research and writing to build the base of knowledge in financial services.

2012 RECIPIENTS
(for articles published in the Journal of Financial Service Professionals during calendar year 2011)

First Place: Matt Vandenack, JD, CLU, for “Premium Financing: Practical Planning Considerations in the Current Environment,” March 2011

Second Place: Sandra K. Miller, PhD, JD, LLM, CPA and James J. Tucker III, PhD, CPA for “Government Accountability Office and Securities and Exchange Commission Recommendations: Fiduciary Duty and Implications for Insurance Services,” September 2011

Third Place: Louis D’Antonio, MBA, PhD and Tommi Johnsen, PhD for “Equity Collars as an Alternative to Debt in Traditional Asset Allocation,” July 2011

FINANCIAL EDUCATION PARTNERS
Financial Education Partners is a pro bono financial counseling program that works with the National Multiple Sclerosis Society and other community outreach organizations to offer financial guidance and hope for financial security to individuals in need. FEP is a recipient of the MS Society’s prestigious “Making a Difference” award.
“It was wonderful to meet and mingle with professionals in my future career in the financial services industry. The conference also provided me with an opportunity to present in front of practicing professionals and sharpen my skills as both a public speaker and a future financial services professional. Overall, I had a great experience and I look forward to future endeavors with the Society of FSP.”

– David Wilder, student, Texas Tech University, First Place Recipient, 2013 Industry Issues Competition
“When Mascaro Construction was notified by the Foundation for Financial Service Professionals that it had won the national Annual Business Ethics Award, my first thought was, “Wow! I can’t believe it! This is really a big deal.” For a regional, midsized construction company to be listed with the likes of Kimberly Clark, General Mills, Lockheed Martin, Whirlpool, and Starbucks is both an honor and a privilege. We try to maintain our ethical standards in our everyday business practices. Mascaro prides itself on doing the right thing every day and truly believes that good ethics is good business.”

– John C. Mascaro, Chairman, Mascaro Construction Company, LP
“The journey of examining and defining our company ethics has set us apart from other early childhood organizations by providing all employees of Toddler’s Workshop with a specific compass in which to guide decisions on a daily basis. As an organization, we have always operated with plans for continuous improvement. This single activity of examining our own ethics pulled everything we do into one defining plan. The staff and I are extremely proud to have received the 2012 ABEA because it validated what we have worked so hard to achieve in a field that is often not recognized for the day-to-day ethical challenges faced.”

– Virginia S. Nacy, President/Executive Director, Toddler’s Workshop Daycare, Inc., 2012 ABEA recipient

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> continued from page 5

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Alan Ziegler, Joe Frack, and Tom Petsche with Virginia Nacy, Executive Director, Toddler’s Workshop Daycare.
Tom Petsche (2nd from left) and Jim Lammers (far right) join the students and faculty advisors from Texas Tech; University of Missouri, St. Louis; and William Paterson — Winners of the 2012-13 Industry Issues Competition.

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“The competition was an amazing opportunity. To be around people who are in our projected work field was an amazing experience. The whole process was a valuable learning experience and I would not have traded it for anything.”

– Tyler Chaney, student, Texas Tech University, First Place Recipient, 2013 Industry Issues Competition

continued on page 8 >
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> continued from page 7

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