



Syllabus for Continuing Education Program

- Program Provider:** Society of Financial Service Professionals Twin Cities
(MN Dept. of Commerce Provider #8724)
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White Bear Lake, MN 55110-3227
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- Program Coordinator:** Sandy Beeson, Chapter Executive
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- Program Chair:** Joan Gilles, CRPC, CLU, ChFC
612.436.3733 jgilles@financialplanpartners.com
- Program Title:** **Professional Ethics in Practice | 3-hours Ethics**
- Speaker:** **John Comer, CFP®**
Principal
Comer Consulting, LLC
(612) 396-3679 | john@jcomerconsulting.com
- Date:** Thursday, August 3, 2017
- Time:** 7:00 AM Sign-in/Networking
7:30 AM Breakfast Buffet Open
7:40 AM Chapter Business
8:00 AM – 9:30 AM Presentation
9:30 AM – 9:45 AM Break
9:45 AM – 11:15 AM Presentation
- Location:** **Hellmuth & Johnson | 4th Floor Conference Room**
8050 West 78th Street, Edina, MN 55439
- CE Credits:** This educational offering is **APPROVED** by the Minnesota Commissioner of Commerce as satisfying 3-hours of ethics classroom credit toward continuing insurance education requirements.
CFP: Not Available
CLE: 3-hours **APPROVED** ethics credits
A certificate of attendance is available for individuals requesting CPE and PACE credits.
- Who Should Attend:** Estate planners, financial planners, investment advisors, insurance producers, retirement counselors, CPAs and JDs
- Educational Level:** Advanced

Course Description

No matter what financial services discipline you specialize in, ethics plays a substantial role. That's why it's important to periodically strengthen your framework for recognizing and resolving ethical dilemmas. After attending this educational program, you'll come away with an increased awareness of the ethical issues facing the industry and a foundation for supporting ethical decision-making skills.

Learning Objectives

- An increased understanding of the Minnesota Principles
- An increased awareness of the ethical issues in the insurance profession
- Skills to support ethical decision making

Outline:

Agenda	3 min
Learning Objectives	2 min
Background on Minnesota Principles	5 min
General Principals	10 min
Stakeholder Principles	10 min
Case Application: Employee Conduct	10 min
Employer Liability	10 min
Employee Support versus Brand Reputation	10 min
Break--total time part 1	60 min
Case Round Table	5
Instilling an Ethical Culture	20 min
Case Application: Managing Information Flow	10 min
Adverse Incident Reporting	15 min
Blind Underwriting	10 min
Break--total time part 2	120 min
Business Process	11 min
Disclosures	11 min
Principles	11 min
Stakeholders	11 min
Case Studies	11 min
Summary & Q/A	5 min
Total time	180 min

Instructional Materials for Students:

- PowerPoint in handout format

Examination & Answers:

- No exam