



The ESOP Association

Serving the Entire ESOP Community

New Officer Orientation

Chapter Officer
Orientation for the
{Insert Chapter
Name} of The ESOP
Association

Chapter Officer and
Advocacy\Steering\Executive Committee
Orientation



WE WANT YOU!

Section #1

ESOP Association Mission & Vision

- The ESOP Association founded in 1978
- A national non-profit membership organization
- 18 State and Regional Chapters, covering all 50 States, and serving approximately 2,500 employee stock ownership plan (ESOP) companies
- The Association is the only association devoted solely to all ESOPs.
- Promoting and enhancing laws before Congress and regulatory agencies that govern ESOPs
- Providing its members with expert educational ESOP programming at both the National and local Chapter level.

The ESOP Association

Mission & Vision

Our Vision

- We believe that employee ownership improves American competitiveness...that it increases productivity through greater employee participation in the workplace...that it strengthens our free enterprise economy and creates a broader distribution of wealth...and that it maximizes human potential by enhancing the self-worth, dignity, and well-being of our people.
- Therefore, we envision an America where employee ownership is widely recognized as a catalyst for economic prosperity...where the great majority of employees own stock in the companies where they work...and where employee ownership enables employees to share in the wealth they help create.
- And we look for our nation to become for all the world an example of prosperity with justice through employee ownership.

Our Mission

- To educate and advocate about employee ownership with emphasis on ESOPs.

How the Officers carryout the Mission & Vision

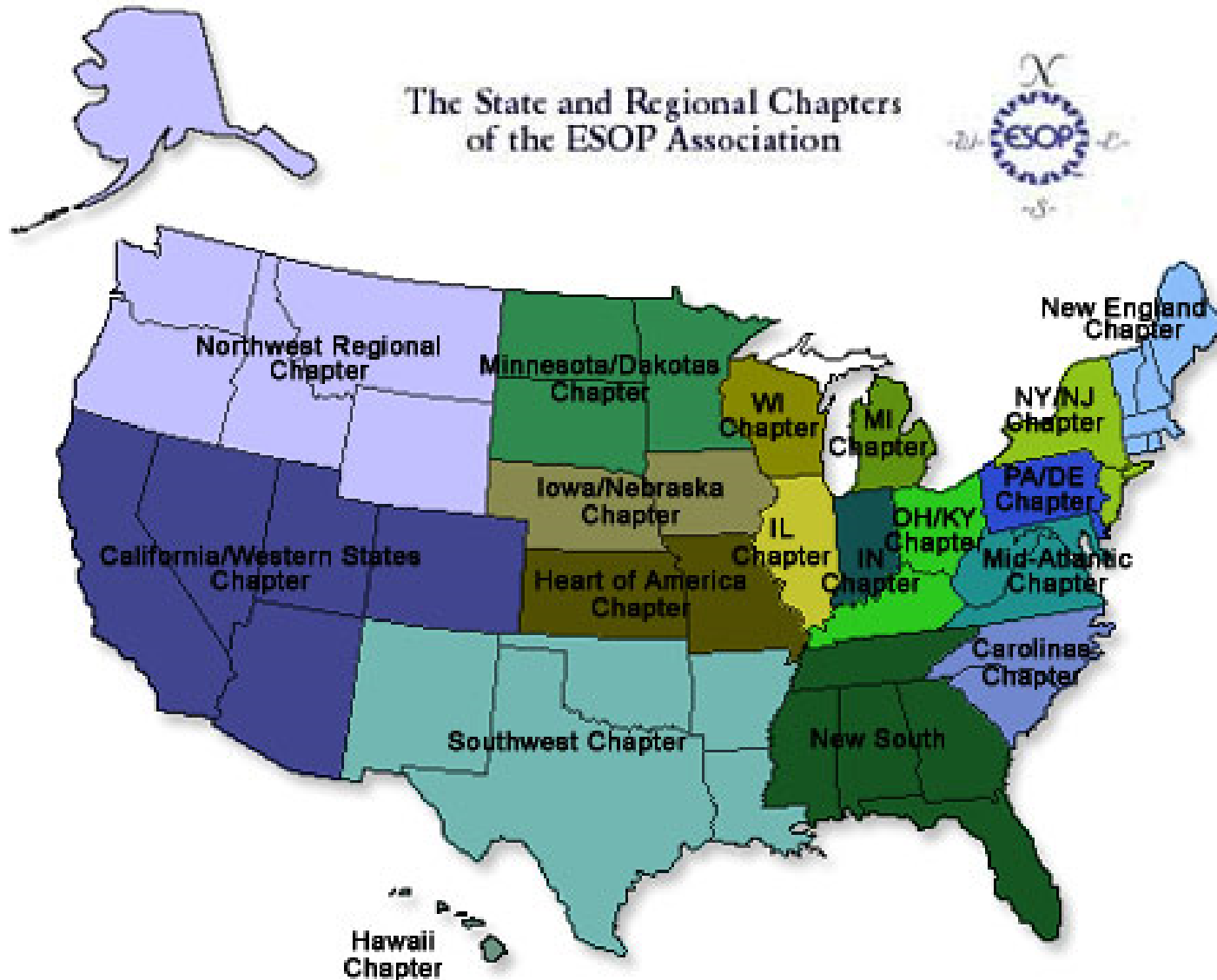
Our Mission

- To educate and advocate about employee ownership with emphasis on ESOPs.
 - As officers we have a responsibility to:
 - offer strong educational programming for our membership
 - We have to genuinely believe in the power of ownership and the value it brings to our Country

National Structure

- The legal set up with chapters is one of 100% integration for legal purposes.
- Chapters as a matter of legal purposes, do not exist. They do not have bank accounts. The National office is responsible for all chapter expenses, liability in case of law suits, for paying administrators
- Legally they are "committees" of the National ESOP Association.
- On the other hand, the "policies", not the legal set up, governing chapter activities has large delegation of programming on the educational side.

18 Chapters



Executive Committee of the State and Regional Chapter Council

- The Mission of the Executive Committee of the State and Regional Chapter Council of The ESOP Association is to support the implementation of the Associations' strategic plan with respect to the Associations' State and Regional Chapters activities, and to develop recommendations to, and to make appropriate decisions for , the State and Regional Chapter Council.
 - The Executive Committee (CCEC) consists of 6 members, one of whom is the elected chair and as such is a member of the Associations Board of Directors
 - Two year terms up to a maximum of 2 terms

National Staff

- **J. Michael Keeling, CAE**
President
esop@esopassociation.org
(government relations, operations, general counsel)
- **Lisa R. Betts, CAE**
Vice President, Membership
lisa@esopassociation.org
(membership development, affinity programs, ESOP fiduciary insurance, website, publications & products, Chapters, "ABCs of ESOPs" interactive learning module)
- **Yvonne D. Brown**
Accounts Receivable Manager
Yvonne@esopassociation.org
(accounts receivable, credit card inquiries, ESOP Experts/advertising)
- **Rosemary A. Clements**
Vice President, Meetings & Conferences
rose@esopassociation.org
(seminars, conferences, retreats, meeting sponsorships, hotel contracts)
- **Amy E. Gwiazdowski**
Director of Communications
amy@esopassociation.org
(media, newsletter - "The ESOP Report", government relations, website, EOF Blog, Linked In ESOP Association Group)
- **Antonio (Tony) Marchena**
Assistant to the Membership Department
tony@esopassociation.org
(publications and products, database, membership development)
- **Gwenn E. Rosenthal**
Vice President, Administration
gwenn@esopassociation.org
(administration, Employee Ownership Foundation, PAC, ESOP Experts/advertising, Chapters)
- **Sharon G. Spencer**
Executive Assistant
Sharon@esopassociation.org
(administrative, general inquiries)
- **James (Jim) M. Turner, III**
Chief Financial Officer
jturner@esopassociation.org
(financials, accounts payable)
- **Maya Van Buren**
Meetings & Conferences Coordinator
maya@esopassociation.org
(seminars, conferences, retreats, continuing education credits, meeting registrations)

Financials

- Because Chapters are not independently incorporated we do not collect dues, maintain bank accounts, or handle money except as agents of The ESOP Association.
- We receive 10% of the membership renewals.
- We receive 20% of new memberships
- Registration/meeting expense
- Budget approval (zero dollar balance)

Financials

- Officer reimbursement
 - None for meeting travel and lodging within the Chapter jurisdiction
 - Officer meetings lunch expense
 - Speakers are not typically reimbursed
 - 5 officers per Chapter receive free registration to the National Conference in Washington D.C.
 - If they attend the chapter officer day of training before the annual conference.
- Sponsorship
 - Chapters are allowed to solicit for sponsorships from members only

Financials

- Chapter Administrator
 - Independent contractor
 - Contracted through the National office
 - Duties and Responsibilities decided at the chapter level
 - Initial and ongoing pay recommendations are recommended by the Chapter Officers
 - Annual Chapter Officer discussion of contribution of Administrator
- Raffles/Fund Raisers
 - Employee Ownership Foundation

Section #2

Chapter Organization

- Officer Roles
- Terms
- Attendance (meetings)
- Sub Committees
 - Legislative
 - Membership
 - Programs
 - Publicity
- Officer Meetings/Conference Calls
- Chapter Listserv
- Website

Terms & Structure

- Chapters typically operate with 6 officers
- President of the Chapter must be a Corporate member
- Chapter officers serve two year terms and can serve a maximum of two terms in a single office.
- Executive/Advisory/Steering Committee members have no term limits
- Administration

Officer Participation

- Participate in officer conference calls and/or attend officer meetings – approximately 10/year.
- Attend chapter meetings and Eggs & ESOP meetings – help to make members, especially new people, feel welcome – (Insert Chapter Activities)
- Serve as liaison for one of the sub-committees
- Washington DC conference and Chapter Council Meeting before the conference.
- Ambassador of ESOP – Each person will find his or her own way to “spread the gospel!”

Typical Sub-Committees

- Membership
- Programming
- Legislative
- Website/Communications
- Publicity

Sub-Committees

- **Membership**

- Responsible for the recruitment and retention of Corporate and professional members.
- Membership is the lifeblood of our organization.
- Without the members we do not have a Chapter!

Sub-Committees

● Membership

- **Corporate Membership** is strictly limited to companies with an employee stock ownership or similar plan. This is a company membership. Annual dues are based on the number of participants (both active and inactive accounts) in the plan. Dues \$620 to \$4,070 depending number of ESOP participants
- **Affiliate Membership** is open to those companies considering an employee stock ownership plan. The membership dues, for one year only, is \$565. Status is upgraded to regular voting membership (Corporate) upon formal installation of an ESOP.
- **Professional Individual Membership** is open to persons from professional offices that provide services to ESOP companies. Annual dues of \$675 provide membership status to one individual from a service provider's office. Additional persons from the same office may become members for only \$325 per each individual. Persons from the same company, but in a different office location, must join as full professional members at \$675.
- **Professional Business Membership** is open to a business entity that provides professional services to sponsors of ESOPs that permits any employee of that business entity to receive ESOP Association member services for that year. The annual dues are \$15,375.
- **Educational Membership** is open to full-time faculty members and students of accredited colleges and universities, and non-profit organizations working to promote the cause of employee ownership. The annual dues are \$155.

Total Members by Chapter As of 10/11/2011	Corporate Members	Prof. Primary Member	Prof. Secondary Member	Prof. Business Member	Affiliate Members	Educational Members	Grand Total
California / Western States	208	85	53	0	5	3	354
Mid-Atlantic	124	51	38	0	1	2	216
Illinois	84	53	72	0	1	3	213
Ohio/Kentucky	100	47	30	0	2	4	183
Minnesota / Dakotas	106	38	33	0	0	1	178
Southwest	102	39	19	0	2	2	164
New Jersey / New York	88	46	20	0	0	2	156
New South	81	41	33	1	1	1	158
New England	93	32	4	0	1	3	133
Pennsylvania / Delaware	78	19	20	0	1	0	118
Heart of America	64	24	13	0	0	2	103
Iowa / Nebraska	41	18	23	0	1	0	83
Northwest	58	20	7	0	3	0	88
Michigan	62	14	5	0	1	1	83
Wisconsin	35	14	7	1	0	1	58
Indiana	47	16	8	0	1	0	72
Carolinas	36	11	5	0	1	0	53
Hawaii	30	8	2	0	0	0	40
Foreign	0	0	0	0	1	1	2
Total	1437	576	392	2	22	26	2,455

*#s as of this date, as of this printing

Chapter Corporate Mem.

Growth Goals

As of 10/11/2011

Chapter

	As of January 2011	Goal Raw #	Goal 1 %	As of 10/11/2011 YTD +/-	Net Growth YTD +/-	Drop % Rate	To Reach Goal +/-
Pennsylvania / Delaware	69	+4	5%	79	+10	-	+6
Indiana	42	+4	10%	48	+6	-	+2
Minnesota / Dakotas	99	+5	5%	106	+7	-	+2
New Jersey / New York	83	+4	5%	88	+5	-	+1
California / Western States	197	+16	8%	213	+16	-	-
Carolinas	36	+2	3%	37	+1	-	-1
Hawaii	28	+3	10%	30	+2	-	-1
Heart of America	61	+4	7%	64	+3	-	-1
Wisconsin	32	+4	11%	35	+3	-	-1
Michigan	59	+4	7%	63	+4	-	-2
New South	76	+8	9%	82	+6	-	-2
Ohio/Kentucky	99	+5	5%	102	+3	-	-2
Northwest	61	+3	5%	61	-	-	-3
Illinois	84	+5	5%	85	+1	-	-4
Iowa / Nebraska	43	+4	10%	42	-1	2%	-5
Southwest	104	+5	5%	104	-	-	-5
New England	93	+7	8%	94	+1	-	-6
Mid-Atlantic	132	+8	6%	125	-7	5%	-15
Total	1,398	+95	7%	1,458	+60	-	-35

Sub-Committees

- Programming

- This committee is responsible for coordinating the event speaker sessions.
- They also help develop presentation ideas and work with presenters to ensure high quality meeting programs.
- Timely and accurate program topics in the three primary areas of why members join the organization

Sub-Committees

- **Legislative**

- This committee works on setting up congressional visits to member companies (the most successful way to develop congressional ESOP champions)
- They also monitor legislative initiatives and after discussion with the National office determine what actions that should be taken. Chief advocacy officer, J. Michael Keeling, and the Board of Directors will provide legislative assistance and resources to the Chapter legislative Sub-Committee.
- Responsible for mobilizing Chapter members to advocate pro-ESOP legislation and to defend existing laws and regulations governing ESOPs.

Sub-Committees

- Website/Communications

- Chapters w/ Standalone Websites & Chapters w/ Sections within National's:

- California / Western States <http://www.esopassociation.org/chapters/CAWS.asp>
- Carolinas http://www.esopassociation.org/chapters/chapters_newsletters_CAR.asp
- Illinois www.ilesop.org
- Iowa/Nebraska www.iane-esop.org
- Mid-Atlantic http://www.esopassociation.org/chapters/chapters_newsletters_MAC.asp
- Minnesota/Dakotas www.mndak-esop.org
- New England http://www.esopassociation.org/chapters/chapters_new_england.asp
- New South http://www.esopassociation.org/chapters/chapters_new_south.asp
- Southwest http://www.esopassociation.org/chapters/chapters_southwest.asp
- Wisconsin www.wiesop.org

- The committee will be responsible for making sure the website is up to date and the Chapter news is readily available to our members.

Section #3

Employee Ownership Foundation

- **History**

- The Employee Ownership Foundation was established in 1997 with one principal purpose in mind; to help more Americans learn about and understand employee ownership, and as a result, become employee owners.
- The Foundation intends to achieve that through educational initiatives, instructional and education programs, and communications with workers, managers, executives and business leaders, elected officials, teachers and professors; people from all walks of life.

Section #3

Employee Ownership Foundation

- **Mission**

- **To promote Employee Ownership.**

- Employee ownership improves our competitiveness, our productivity and our free enterprise system. Employee ownership should be a key economic force in America.

Employee Ownership Foundation

- **Primary Purpose**

- The Employee Ownership Foundation's (EOF) primary purpose is to support programs and significant research that will increase the level of awareness and appreciation of the benefits of employee ownership and increase the number of employees who have access to this benefit.

Employee Ownership Foundation

- Decision Making

- The primary decisions of the Foundation are made by the Executive Committee (“EC”) of the Foundation’s Board of Trustees. The members of the Executive Committee are Chair Joseph Cabral, Lonnie Peppler-Moyer, Frieda Takaki, Waite Dalrymple, Ellis E. Moseley, David L. Kelly, Carey Chen, Karen D. Ng and Robert W. Edwards.

Employee Ownership Foundation

- Recent Projects

- Aspen Institute’s Center for Business Education (“CBE”) program
- UPenn Symposium
- \$25K for two fellowships to Rutgers University School of Labor & Management
- Grant to the University of Hawaii, Schindler School of Business for the writing of two case studies on employee-owned companies in Hawaii.

Employee Ownership Foundation

- Chapter Donations
 - Iowa/Nebraska 2010
 - \$3011.25
 - List all of the chapters

Section #4

ESOP Operations Manual

- Online

- http://www.esopassociation.org/chapters/chapters_o&rguide.asp
- Located on the National site – Print a Copy for your records
- Richard Duffy – aka “Duff”
 - Chapter Development Officer

Operations Manual

- Speaker rules – Page 49
 - Speakers at the Chapter or National level are to be members of the Association
 - Exceptions must be approved by the Chair or Vice Chair of the Association.
- Touting Policy – Page 49
 - Speakers are not allowed to sell their products.
 - Keep an educational focus

Thank You!

- Volunteerism

- When someone shares something of value with you and you benefit from it, you have a moral obligation to share it with others.

-- Chinese Proverb

- It wasn't the reward that mattered or the recognition you might harvest. It was your depth of commitment, your quality of service, the product of your devotion -- these were the things that counted in life. When you gave purely, the honor in giving, and that was honor enough.

--Captain Scott O'Grady

Questions?



The ESOP Association

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