

Submitted application materials

Recordkeeping seat

[Heather Johnson](#) (submitted 9/20/2023)

[Robert Woytassek](#) (submitted 11/30/2023)

IRA seat

[Kent Schutte](#) (submitted 10/03/2023)

[Danica Goshert](#) (submitted 10/05/2023)

Investments seat

[Cynthia Geiwitz](#) (submitted 9/7/2023)

[Bradley Arends](#) (submitted 10/01/2023)

[James Miley](#) (submitted 10/23/2023)

[Allen Hoppe](#) (submitted 11/07/2023)

[Peggy Ingison](#) (submitted 1/04/2024)

Application for the position Executive or Operations Manager with Substantial Experience in Record Keeping 401(k) Plans Application Date: 9/20/2023 10:46:41 AM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Operations Manager with Substantial Experience in Record Keeping 401(k) Plans

Part II: Applicant Information

Name: Heather Johnson

Phone: (952) 240-2019

County: Carver

Recommended by the Appointing Authority: True

Mn House District: 17B

US House District: 6

Part III: Appending Documentation

Cover Letter and Resume

Type File Type

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
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No additional documents found.

Veteran: No Answer

Part V: Signature

Signature: Heather M. Johnson

Date: 9/20/2023 10:46:41 AM

EVO PDF Tools Demo

Application for the position Executive or Operations Manager with Substantial Experience in Record Keeping 401(k) Plans Application Date: 11/30/2023 8:54:20 AM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Operations Manager with Substantial Experience in Record Keeping 401(k) Plans

Part II: Applicant Information

Name: Rob Woytassek

Phone:

County: Becker

Recommended by the Appointing Authority: False

Mn House District: 04B

US House District: 7

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
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Resume application/pdf	
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Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
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No additional documents found.	
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Veteran: No Answer

Part V: Signature

Signature: Rob Woytassek

Date: 11/30/2023 8:54:20 AM

EVO PDF Tools Demo

ROBERT J. WOYTASSEK
817 SHOREWOOD DR
DETROIT LAKES, MN 56501
ROB.WOYTASSEK@ALERUS.COM

**PROFESSIONAL
PROFILE**

I am an organized professional, who values collaboration, possesses strong communication skills, and is passionate about the financial services industry and the client experience.

**PROFESSIONAL
EXPERIENCE**

SVP, Director of Retirement and Benefits (ARB). May 2022 – present.

- Lead strategic and business planning processes for the Division.
- Oversee the direction of ARB Product, Administration, and Onboarding.
- Serve as Project Sponsor for all Division initiatives and assure effective communication of offerings, processes, and services to internal team members.
- Responsible for the Division's Income Statement, a Division with approximately \$35 billion in Assets, 8,200 Plans, and 394,000 Participants.
- Steer ARB Senior Management team, and maintain appropriate controls, documentation, and monitoring of risks for ERM, Audit, and Compliance.

Director of Retirement Product. ARB. March 2020 – May 2022.

- Was responsible for Retirement product maintenance, enhancements, and development.
- Managed synergistic strategies, including the ARB Money Market, Investment Advisory Services, Managed Account, and Payroll services.
- Participated in key Division decisions as a member of the ARB senior management team.

Senior Business Advisor/Client Services Manager. ARB and Wealth Management (AIFS), Fargo, ND. July 2015 – March 2020.

- Managed 5 Retirement Relationship Managers (RRM), supporting retirement services for the upper Midwest, Southern Rocky Mountains, and Pacific Northwest Territories (\$1.8B in Assets under Management). (2015 – 2016).
- Lead Advisor on key ND relationships (over \$500M in Assets under Management and \$900k in Annual Revenue), 100% client retention. (2015 – 2020).
- Served as a Senior Business and Consumer Advisor; in back-to-back years accounted for \$165k in New Annual Revenue (\$80k ARB and \$85k AIFS) and \$249k in New Annual Revenue (\$183k ARB and \$66k AIFS). (2017 – 2018).
- Began oversight for Alerus Money Market ARB Sales and became a key contributor on strategic initiatives like the CRM change to Salesforce (vendor selection Committee member, Development and Phase 1 Pilot member, Champion, Trainer, and User Group member), along with the Advisor Model, Client Portal, and Financial Fitness Playbook (Trainer and Champion). (2018 – 2020).

Account Manager. Alerus Retirement Solutions (ARS), Fargo, ND. November 2012 – July 2015.

- Managed assigned client relationships, 100% client retention.
- Coordinated and carried out Plan Review and Employee Education Meetings based on the client service plan and maintained ongoing communication with decision makers to understand the plan's ever-changing goals and objectives while promoting our service offerings.
- Oversaw new business production in the Southern Valley.

Regional Sales Executive. Securian Retirement Services (SRS), Los Angeles, CA and Chicago, IL. March 2008 – November 2012.

- Managed the Midwest Regional office (Chicago, IL) of SRS, a wholesaling structure for qualified retirement plan products and services.
- A leader in new business production, accounted for \$37.5M in total sales (125% of goal) in 2011, and lead new plan sales count in 2012.
- Was responsible for representing SRS to registered investment advisors, wire house investment professionals and independent registered representatives knowledgeably and effectively so that they could clearly identify the benefits of the products relative to competitors, while sharing business building ideas and strategies with financial advisors. Provided expert perspective in plan design, product knowledge and plan conversion during client meetings.

Senior Internal Sales Specialist. Securian Retirement Services, St. Paul, MN.
June 2007 – March 2008.

- Co-managed territory with external wholesalers.
- Served as a senior resource to the unit/other Internal Sales Specialists.

Internal Sales Specialist. Securian Retirement Services, St. Paul, MN. December 2005 – June 2007.

- Was responsible for the coordination of meetings between external counterparts and financial advisors.
- Promoted SRS qualified retirement plan products to financial advisors, and developed new advisor relationships.

Marketing Representative. The Sunderland Group, Fargo, ND. December 2004 – December 2005.

- Marketed annuity and life insurance products for major insurance companies to independent insurance agents.
- Recruited independent insurance agents nationwide.

EDUCATION

Bachelor of Science in **Mass Communications**, emphasis in Broadcast Journalism, Minor in Coaching, **Minnesota State University Moorhead (MSUM)**, Moorhead, MN. December 2004.

PROFESSIONAL DEVELOPMENT

Fidelity Advisory Council member. Fidelity Retirement. April 2022.

Sandler Training graduate. Sandler Training/NorthStar Performance Partners. October 2017.

Stretch graduate. Alerus Financial. October 2014.

Holy Rosary Finance Council member. Holy Rosary Church and School. June 2013.

NAIFA DuPage member. National Association of Insurance and Financial Advisors. August 2010.

Illinois Insurance Producer License. Lines of authority for Life and Annuity. July 2010.

Dale Carnegie graduate. Dale Carnegie of Greater Los Angeles and Ventura County. April 2009.

California Insurance Producer License. Lines of authority for Life and Annuity. March 2008.

Retirement Plan Associate (RPA) designation. International Foundation of Benefit Plans and the Wharton School. February 2008.

Accredited Investment Fiduciary (AIF) designation. Center for Fiduciary Studies. October 2007.

Vice President of Toastmasters. Mutual Voices Club. March 2007.

Registered Representative. Series 6 and 63 licensed. February 2006.

Minnesota Insurance Producer License. Lines of authority for Life and Annuity. April 2005.

North Dakota Insurance Producer License. Lines of authority for Life and Annuity. January 2005.

REFERENCES

Available upon request.

Application for the position Executive or Operations Manager with Substantial Experience in Individual Retirement Accounts Application Date: 10/3/2023 1:54:02 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Operations Manager with Substantial Experience in Individual Retirement Accounts

Part II: Applicant Information

Name: kent schutte Kent D Schutte kent schutte

Phone: (612) 387-8200

County: Isanti

Recommended by the Appointing Authority: True

Mn House District: 28A

US House District: 8

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/pdf
Resume	application/pdf

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: No Answer

Part V: Signature

EVO PDF Tools Demo

Signature: Kent Schutte

Date: 10/3/2023 1:54:02 PM

KENT D. SCHUTTE

1995 E. Rum River Dr. S., Cambridge, MN 55008 (763) 552-6043 (o) kents@efsadvisors.com

Professional Experience

EFS Advisors, Cambridge, MN

1999 - Current

President/CEO

- Serve as president of registered investment advisory (RIA) firm specializing in offering financial advice and investment products to educational employees and the general public
- Expanded business to more than 50 investment advisor representatives with more than 35,000 individual clients and more than \$3 billion in assets under management

Advanced Advisor Group, Cambridge, MN

2004 - Current

President/CEO

- Serve as president of broker-dealer affiliated with EFS Advisors

Aviben, Cambridge, MN

2004 - Current

President/CEO

- Serve as president of third party benefit administrator offering services that include claim adjudication for cafeteria plans and health reimbursement arrangements, health savings account administration, 403(b) administration, COBRA administration, and Affordable Care Act compliance services

Great American Advisors, Cincinnati, OH

2004 - 2006

OSJ Principal

- Responsible for daily supervision of activities relating to the review and processing of all security applications for 30 registered representatives
- Supervised the compliance of all marketing materials, including client letters, workshop announcements, client review notices, and other distributed information

PMG Securities, Chicago, IL

1999 - 2004

OSJ Principal

- Responsible for OSJ supervision of 25 registered representatives in Minnesota and Iowa offices
- Provided all OSJ principal compliance requirements for the broker-dealer

Professional Designations

CRES, Certified Retirement Education Specialist

2019

TGPC, Tax-Exempt Governmental Plan Consultant

2012

CFP, Certified Financial Planner

1996

ChFC, Chartered Financial Consultant

1991

CLU, Chartered Life Underwriter

1990

LUTCF, Life Underwriting Training Council Fellow

1989

Education

Farm Operations, Iowa State University

1976 - 1977

Professional Licenses

Series 7, General Securities Representative
Series 24, General Securities Principal
Series 63, Uniform Securities Agent
Series 65, Uniform Investment Adviser
Minnesota Life and Health

Organizational Memberships

National Tax-Deferred Savings Association (Past President & Volunteer Service Award Winner)
American Retirement Association (Past Board Member)

Civic and Volunteer Activities

Cambridge Area Community Foundation
Christ the King Catholic Church



October 3, 2023

Ms. Susan Lenczewski, Executive Director
Legislative Commission on Pensions & Retirement
600 State Office Building
100 Rev. Dr. Martin Luther King Jr. Blvd.
St. Paul, MN 55155

RE: Application for Minnesota Secure Choice Retirement Program Board of Directors

Dear Ms. Lenczewski:

Please accept my application for a position on the Minnesota Secure Choice Retirement Program Board of Directors.

I have the privilege of serving as the owner and president of EFS Advisors. Since its founding in northern Minnesota over 30 years ago, EFS Advisors has focused on providing investment services to nonprofit and public sector employees (particularly educators), as well as the general public. Now a full-service wealth management firm with more than 50 advisors and over \$3 billion in assets under management, EFS Advisors is proud to provide the resources of a large company with the personal support of a family-owned, outstate firm. My perspective on the financial services industry has been further broadened through serving as owner and president of Aviben, a third-party benefit administrator, and Advanced Advisor Group, a registered broker dealer.

I am passionate about the Secure Choice Retirement Program's mission of benefiting private sector employees who otherwise lack the opportunity to contribute to an employer-sponsored retirement plan. Throughout my career, I have been an advocate for expanding retirement savings options for all, particularly those who are underserved in the financial services sector. I have spoken around the country on the implementation of 403(b) match programs and other retirement topics and regularly speak at events hosted by the National Tax-Deferred Savings Association (NTSA), the Minnesota Association of School Business Officials (MASBO), the Minnesota Association of School Personnel Administrators (MASPA), Education Minnesota, and local school districts.

It would be an honor to serve in this role, and I would be happy to answer any questions you have. Thank you for considering my application.

Very truly yours,

A handwritten signature in black ink, appearing to read "Kent Schutte".

Kent Schutte, CFP, ChFC, CLU, TGPC

Enclosure

Application for the position Executive or Operations Manager with Substantial Experience in Individual Retirement Accounts Application Date: 10/5/2023 4:14:09 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Operations Manager with Substantial Experience in Individual Retirement Accounts

Part II: Applicant Information

Name: IEM Danica Goshert

Phone: (952) 854-5544

County: Hennepin

Recommended by the Appointing Authority: False

Mn House District: 64A

US House District: 4

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/vnd.openxmlformats-officedocument.wordprocessingml.document
Resume	application/vnd.openxmlformats-officedocument.wordprocessingml.document

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: No Answer

Part V: Signature

EVO PDF Tools Demo

Signature: Danica Goshert

Date: 10/5/2023 4:14:09 PM

Danica Goshert, CFP®, AIF®, CDFP®
danica@integratedequity.net (952) 854-5544
linkedin.com/in/danicagoshert

With over 20 years of experience in the financial services industry, and a passion for helping clients make informed choices, I enjoy helping people succeed on their own terms. Most people make decisions over the years one at a time, without considering how these decisions relate to each other – or whether they're even aligned with their goals and desires.

Some of the areas where I provide assistance include:

- Investment management
- Retirement planning/retirement income planning
- Risk management
- Debt management and cash flow
- Tax planning and estate planning, in coordination with tax advisors and attorneys

In addition to providing a comprehensive review of a client's financial situation, I also assist with specialized issues, including:

- Transition planning for major life events
- Retirement plan consulting services for ERISA and non-ERISA plans
- Financial education for employees and retirement plan participants

Experience

Senior Vice President, Private Wealth Manager, Integrated Equity Management, 2016 - Present

Financial advisor for individuals, families, and business owners. Provides comprehensive financial planning and wealth management services with a focus on helping individuals who are facing major life transitions, including retirement, divorce, death of a family member, or the sale of a business.

Director, Business Development Center - Wealth Management Group, Securian Financial, 2009 - 2016

Led financial planning, retirement plans, marketing and communications for 1,200 affiliated advisors within the Securian Financial Network. Responsible for the development of client programs and advisor resources in both the traditional and digital space; financial planning program offering; and sales of retirement plans.

Manager, Financial Planning - Wealth Management Group, Securian Financial, 2006 - 2009

Led financial planning team responsible for marketing, training, and continued development of Securian's financial planning platform.

Manager, Marketing - Wealth Management Group, Securian Financial, 2002 - 2006

Developed and implemented financial planning platform for field force, with goal to increase customer acquisition and loyalty, product sales, and advisor retention. Created marketing and training program for financial advisors to support financial planning initiative. Established best practices for advisors using

financial planning as a client acquisition platform, including pricing, deliverables, and client service models.

Vice President, Product Development - Successful Money Management Seminars, ING Nederland, 1998 - 2001

Created client education programs used by financial advisors on a variety of financial topics, including insurance, investments, retirement planning, and estate planning.

Education/Certifications

MBA, University of Oregon Lundquist College of Business

BS, Business, Lewis & Clark College

Certified Financial Planner (CFP)

Certified Divorce Financial Analyst (CDFA)

Accredited Investment Fiduciary (AIF)

Community Involvement and Awards

Board Member, Minnesota Council on Economic Education

Investment Committee Member, Gloria Dei Lutheran Church

Education & Events Committee Member, GivingWoMN

2020 Top Woman in Finance, Finance and Commerce Magazine

Prior Board Member/Board Chair, MyHealth Clinic for Teens and Young Adults

To whom it may concern:

I've submitted my resume for consideration for appointment to the Board of Directors for the Secure Choice Retirement Program. As a financial planner who works with clients – and a retirement educator in the community – I have a deep interest in providing individuals with the information and resources needed to make smart financial decisions.

As you are aware, many individuals are unable to make significant contributions toward their own financial future over time due to the lack of availability of employer sponsored retirement plans, which is not uncommon in smaller and start-up businesses. I'm excited to see that the state of Minnesota is interested in providing this resource.

Prior to my current role, I have previously worked in a corporate environment where I led the team that developed the program to facilitate the ability to provide investment advice to plan providers and participants, so I am well-versed in the variety of roles and responsibilities necessary to implement a program with this complexity.

I look forward to speaking with you.

Sincerely,
Danica Goshert
952.854.5544
danica@integratedequity.net

Application for the position Executive or Other Professional with Substantial Experience in Retirement Plan Investments Application Date: 9/7/2023 9:56:00 AM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Other Professional with Substantial Experience in Retirement Plan Investments

Part II: Applicant Information

Name: Cynthia Geiwitz

Phone: (612) 940-5479

County: Hennepin

Recommended by the Appointing Authority: False

Mn House District: 49B

US House District: 3

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/pdf
Resume	application/vnd.openxmlformats-officedocument.wordprocessingml.document

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: No Answer

Part V: Signature

EVO PDF Tools Demo

Signature: Cynthia Geiwitz

Date: 9/7/2023 9:56:00 AM



CYNTHIA GEIWITZ

cgeiwitz@comcast.net | 612-940-5479 | Eden Prairie, MN 55347

Summary

Dedicated and skilled attorney specializing in employee benefit law with over 40 years of experience. Vast experience in (a) reviewing and interpreting the law related to employee benefit plans and IRAs, (b) administration and recordkeeping of 401(k) plans, (c) drafting legal plan documents and participant communications, (d) drafting and negotiating service provider contracts, trust agreements, custodial agreements, investment contracts and other agreements related to employee benefit plans, and (e) providing legal advice and support to human resource / benefits department and plan fiduciaries including investment committees.

Skills

- Employee benefit attorney with over 40 years of experience
- Contract negotiation
- Legal research
- Tax law
- Legal advisory
- Document preparation
- Legal compliance
- Fiduciary requirements for Investment Committees
- Retirement plan investments

Experience

Wells Fargo & Company | Minneapolis, MN

Senior Counsel

01/1997 - Current

- Employee benefits attorney providing legal support and advice to company's human resource/ benefits department for the administration of the company's sponsored qualified and nonqualified retirement plans (including 401(k) plans, defined contribution plans, defined benefit pension plans and deferred compensation plans) both in the U.S. and internationally covering over 270,000 participants (current and former employees).
- Provide legal advice, opinions and solutions regarding issues and risks on various transactional and regulatory matters related to company sponsored benefit plans.
- Interpret laws and regulations related to benefit plans.
- Draft and negotiate contracts, trust and custodial agreements, service provider agreements and investment contracts related to benefit plans.
- Provide legal support and advice to the fiduciary committee responsible for the selection and monitoring of the investment options in the company's 401(k) Plan and investments in defined benefit pension plans.
- Provide legal advice related to employee benefit plan litigation (class actions and individual claims).

Dorsey and Whitney | Minneapolis, MN

Senior Counsel

09/1989 - 01/1997

- Provided legal advice to clients regarding employee benefit plans including 401(k) plans, other defined contribution plans, defined benefit pension plans and health/ welfare plans.
- Interpreted laws and regulations in non-complex terminology to educate individuals.
- Interpreted laws, rulings and regulations for individuals and businesses.

- Drafted employee benefit plan documents , summary plan descriptions, legal forms, participant communications, contracts, trust agreements, service provider agreements, IRS and Department of Labor filings.
- Prepared persuasive legal memoranda, motions and briefs synthesizing facts, evidence and legal authorities.
- Performed complex legal research.
- Provided legal advice, opinions and solutions regarding issues and risks on various transactional and regulatory matters.
- Advised clients on intricacies of law, fostering informed understanding of legal rights and obligations.

First Bank of South Dakota | Sioux Falls, SD

Vice President

05/1982 - 09/1989

- Manager and trust officer institutional retirement trust department of First Bank of South Dakota.
- Managed staff responsible for the recordkeeping and trust services for customers' qualified and nonqualified retirement plans, Rabbi trusts and VEBA trusts.
- Senior relationship manager for customers and potential customers.
- Interpreted laws, rulings and regulations related to employee benefit plans.
- Maintained loyal client base by establishing trusting alliances.
- Conducted in-depth research in order to write effective proposals, agreements and contracts.

Education and Training

Pepperdine University School of Law | Malibu, CA

Juris Doctor

05/1979

George Washington University | Washington, DC

Bachelor of Arts in Education

05/1976

Cynthia Geiwitz

Eden Prairie, MN 55347 - cgeiwitz@comcast.net

September 07, 2023

Minnesota Secure Choice Retirement Program

RE: Board of Directors Member

Dear Program Director,

Please consider my application for the Board of Directors Member position. I believe that my education, skillset and experience match well with your needs. I have included my resume for your review and look forward to learning more about Minnesota Secure Choice Retirement Program.

In addition to my years of experience, I have strong interpersonal and communication skills that allow me to adapt to any group or situation. Abilities in contract negotiation, drafting employee benefit plan document, providing legal advice and support to clients, human resource teams and fiduciary committees related to employee benefit plan matters for over 40 years have also helped me to build relationships and achieve results.

I would greatly appreciate your review of my enclosed resume and outlined credentials. I believe that I can be a valuable addition to Minnesota Secure Choice Retirement Program Board of Directors. At your convenience, I am available for an interview or further discussion. I look forward to your response.

Sincerely,


Cynthia Geiwitz

Application for the position Executive or Other Professional with Substantial Experience in Retirement Plan Investments Application Date: 10/1/2023 6:45:53 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Other Professional with Substantial Experience in Retirement Plan Investments

Part II: Applicant Information

Name: Bradley Kent Arends

Phone: (507) 383-3303

County: Freeborn

Recommended by the Appointing Authority: True

Mn House District: 23A

US House District: 1

Part III: Appending Documentation

Cover Letter and Resume

Type File Type

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
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No additional documents found.

Veteran: No

Part V: Signature

Signature: Bradley K. Arends

Date: 10/1/2023 6:45:53 PM

EVO PDF Tools Demo



Taking what he has learned over the last four decades, Brad brings his industry experience and knack for prognosticating what's coming...or needs to come next, to a business plan aimed at serving a demographic that has largely been ignored by the wealth management sector – successful financial outcomes for the American worker. As the fifth employee in his family's local retirement planning/recordkeeping business, he used his legal training for spotting issues and coming up with progressive solutions to help engineer a sustainable firm with a national client footprint and over 140 employees at its peak. Brad's pioneering spirit pushes an atmosphere of innovation yet collaboration among the intelligents team. Ever the creative visionary, he has a penchant for taking the "fine" or even the "good" and turning it into the "beautiful"...like a 40+ year-old company with a startup mentality and aspirations for offices around the country.

Brad has worked in the retirement and employee benefits areas for over four decades. With a concentration on the design, funding, and communication of defined contribution retirement plans, IRC Section 125 flexible benefits plans, defined contribution health insurance approaches, private health insurance exchanges, health savings accounts, executive compensation plans, and worksite financial wellness programs, he has practically made ERISA his work-wife.

A graduate of Washington University School of Law, he is a current member of the Retirement Advisor Council for Fidelity Investments Custody and Clearing Group (FCC), a member of the Charles Schwab Retirement Business Services Trust & Custody Advisory Board, a former member of the Advisory Council for SunGard Relius, a member and former President of Retirement Advisors & Designers of America (RADA), a former member of the Employee Benefit Section of the Minnesota Bar Association, and a former member of the Blue Partners Advisory Board for Blue Cross Blue Shield of Minnesota.

Brad is a frequent industry speaker, and he primarily focuses today on expanding the company footprint nationally by recruiting new teammates to join intelligents.

Offline Brad enjoys decompressing either in the gym or around water...which generally involves a lake, a boat, good classic rock or Motown tunes, a full cooler, and his wife of more than three decades. He chases his three adult daughters around the Twin Cities in support of their "foodie" habits, loves to go "out west" skiing a couple times each winter and makes his yard an art project every spring and summer. He'd like to be a decent golfer some day, but accepts that it's just going to be another source of stress right now while his play is generally confined to only three or four charity best-shots per year. At the end of the day, he simply loves his job.

Brad also deeply believes in giving back to the community of Albert Lea, Minnesota where he was raised and that has supported his business efforts. His current passion centers on the issue of rural healthcare. For 2 ½ years, he chaired the local citizens action group Save Our Healthcare whose mission was to: 1) restore services being removed; 2) regain control of the healthcare services offered in the community; and 3) reduce the cost of high-quality healthcare in the community. Today, those efforts have morphed into the Albert Lea Healthcare Coalition, a 501(c)(3) nonprofit organization that Brad helped found and currently volunteers as its President. Its purpose is to build a full-service healthcare clinic and outpatient surgery center to serve the citizens of Albert Lea and the surrounding area by providing an affordable high-quality healthcare alternative.

In recognition of his local business development and community service efforts, Brad was inducted into the Albert Lea High School Education Foundation Hall of Fame in 2017. Read his inspirational "[What I've Learned Along the Way](#)" talk that he gave to the senior class as part of his induction [here](#). Brad was also named 2020 Citizen of the year by the Albert Lea Tribune for his volunteer efforts to restore lost healthcare services to Albert Lea and the surrounding communities.



Application for the position Executive or Other Professional with Substantial Experience in Retirement Plan Investments Application Date: 10/23/2023 4:29:11 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Other Professional with Substantial Experience in Retirement Plan Investments

Part II: Applicant Information

Name: James Miley

Phone: (612) 597-8367

County: Dakota

Recommended by the Appointing Authority: False

Mn House District: 53A

US House District: 2

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/pdf
Resume	application/pdf

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: No Answer

Part V: Signature

EVO PDF Tools Demo

Signature: James Miley

Date: 10/23/2023 4:29:11 PM

JAMES MILEY, CIMA®

jmiley@haysfinancialgroup.com

[linkedin.com/in/miley](https://www.linkedin.com/in/miley)

612-597-8367

Decisive ~ Analytical ~ Forward-Thinking ~ Influential ~ Strategic

PROFESSIONAL SUMMARY

Co-founder, Managing Director, and Chief Investment Officer of a rapidly growing consulting firm. Accomplished retirement planning professional energetically leading a team of financial advisors to better prepare individuals to identify, plan for, and reach financial goals for a brighter retirement future. Confidently managing investment due diligence and serving as an intermediary between investment representatives and public company boards and management, and translating the relevant information to their employees. Specializing in uncomplicating technical data, jargon, and core principles with down-to-earth language and financial insights that resonate with audiences at all levels of financial awareness. Active leader within national, regional, and local groups that promote and share financial and economic education. I would like to share the benefits of my background and knowledge to make a larger impact for employees in the private sector by serving on the MN State Commission Board.

PROFESSIONAL EXPERTISE

Retirement Planning | Investment Due Diligence | Wealth Management | 401(k) Plans | Confidentiality
Financial Planning Education | Effective Communication | Interactive Presentations | Client Experience
Business Development | Regulatory Compliance | Relationship Management | Executive Advisory

EMPLOYMENT HISTORY

2017–Present: Managing Director & Chief Investment Officer, Hays Financial Group (HFG), Minneapolis, MN

HFG is a nationwide industry leader in the qualified retirement plan space.

- Trusted advisor with years of expertise and a strong reputation for strategy and integrity.
- Grew this new business from zero revenue to a well-respected firm of 7 employees within 5 years.
- Interacts with and impacts the lives of 9 employees and 200k+ participants on an annual basis.
- Designs customized, client-centric solutions in employer-sponsored retirement plans to increase employee engagement, retirement readiness, and retention.
- Monitors and benchmarks admin fees with knowledge of fee ranges for all investment vehicles.
- Serves clients in 30+ states gaining experience with diverse state 529 offerings.
- Continually works on clients' behalf to source appropriate services, providers, and fees.
- Effectively communicates with employees in person or virtually across multiple channels.
- Discusses individual's level of risk to balance choice architecture for optimal outcomes.
- Determines individual's initial contribution, rate of escalation, and default funds, if needed.
- Provides defined contribution consulting services to corporate, municipal, and non-profit clients.
- Delivers comprehensive fiduciary support and conducts investment due diligence.
- Responsible for all business operations from strategy to implementation, budgeting and goal setting to accounting and CRM, and leading and motivating to technology, security, and compliance.
- Sole responsibility for hiring, managing, motivating, and compensating firm's employees.
- Creates opportunities for participants to reach the American Dream and improve their lives.
- Independent Registered Investment Advisor Representative since 2017.

2009–2017: Associate Vice President, RBC Wealth Management, Minneapolis, MN

RBC is a large regional investment management company headquartered in Minneapolis.

- Specialized in business development and focused on institutional funding, such as corporate 401(k) and retirement plans.
- Provided comprehensive financial advice to clients as their trusted primary point of contact.
- Built relationships based on trust and shared expertise to drive successful employee programs.
- Led with a level of expertise that allowed business owners and directors to make informed decisions that benefited both the company and the employees.
- Consulted with clients and leadership on governance, compliance, and risk management.
- Provided strategic information and resources for employees for their investment planning.
- Developed and grew business to a level that encouraged an entrepreneurial journey and opening a new investment management firm.

2006–2009: Financial Advisor, Merrill Lynch

Merrill Lynch was acquired during the global financial crisis of 2008/2009 by Bank of America.

- Successfully completed a rigorous training program for new financial advisors; became licensed.
- Established a niche of business development within the corporate investment management world.
- Provided leadership and financial advice for families and large businesses across the Midwest.
- Contributed to the Native American Investment Banking Group which provided investment management, education, and information to tribes in the Midwest.
- Established solid advisory relationships through interactions, referrals, and networking.
- Introduced financial products and solutions to generate new business opportunities.
- Delivered exceptional customer service and follow up to strengthen partnership and loyalties.

EDUCATION

Concordia University, Bachelor's degree–Business Administration, Saint Paul, MN
Investments & Wealth Institute, Certified Investment Management Analyst®

AFFILIATIONS

Rise, Inc., Board Member, Finance Committee
Association for Corporate Growth, Program and Membership Committee Member
Investments and Wealth Institute, Hosting and Planning Committee Member for 2024 conference
PIMCO, Advisory Board Member
Associate Board of the Boys & Girls Club of the Twin Cities
Co-Chair of the Nativity County Fair Silent Auction

James Miley
6377 Apple Court
Inver Grove Heights, MN
jmiley@haysfinancialgroup.com
Cell: 612-597-8367

Re: Minnesota Secure Choice Retirement Program

October 23, 2023

To whom it may concern,

I am writing to express my strong interest in serving as a member of the Minnesota Secure Choice Retirement Program. With a deep commitment to financial security and retirement preparedness, I believe that my experience and passion align perfectly with the goals and values of this important board.

Over the course of my career, as Co-founder, Managing Director, and Chief Investment Officer of a rapidly growing consulting firm. Accomplished retirement planning professional energetically leading a team of financial advisors to better prepare individuals to identify, plan for, and reach financial goals for a brighter retirement future. Confidently managing investment due diligence and serving as an intermediary between investment representatives and public company boards and management, and translating the relevant information to their employees. Active leader within national, regional, and local groups that promote and share financial and economic education. I would like to share the benefits of my background and knowledge to make a larger impact for employees in the private sector by serving on the MN State Commission Board. I have amassed a diverse skill set that uniquely positions me to contribute to the success of the Secure Choice Retirement Program.

Furthermore, my dedication to financial literacy and my ability to communicate complex financial concepts in an accessible manner have enabled me to empower individuals to make informed decisions about their retirement savings. I am committed to ensuring that all state residents have access to the tools and knowledge needed to secure their financial future.

I am enthusiastic about the opportunity to contribute my skills and expertise to this group, and I am excited about the prospect of making a meaningful impact on the financial well-being of our state's residents. I look forward to the chance to discuss how I can be an asset to the organization.

Thank you for considering my application. I am eager to join this vital effort, and I welcome the opportunity to discuss my qualifications further. Please feel free to contact me at 612-597-8367 or jmiley@haysfinancialgroup.com to schedule next steps.

Gratefully,



James Miley

Application for the position Executive or Other Professional with Substantial Experience in Retirement Plan Investments Application Date: 11/7/2023 8:36:12 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Other Professional with Substantial Experience in Retirement Plan Investments

Part II: Applicant Information

Name: Mr. Allen Earl Hoppe

Phone: (651) 402-8668

County: Ramsey

Recommended by the Appointing Authority: True

Mn House District: 42A

US House District: 4

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/vnd.openxmlformats-officedocument.wordprocessingml.document
Resume	application/vnd.openxmlformats-officedocument.wordprocessingml.document

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: No Answer

Part V: Signature

EVO PDF Tools Demo

Signature: Allen E. Hoppe

Date: 11/7/2023 8:36:12 PM

ALLEN E. HOPPE, CFA, CTP

643 Birch Lane South • Shoreview, MN 55126

Allen.Hoppe@outlook.com • 651-402-8668

EXECUTIVE FINANCE LEADER

A highly trained finance professional with multiple facets of money management experience. Growing levels of responsibility over time and now providing executive level results.

A teacher and leader of staff and peers, an ethical professional who is always serving as a guardian of assets. Able to quickly connect the big picture with the details to generate best-in-class solutions. Very high analytical and pattern recognition capabilities that allow quick and deep understandings of complex finance situations and opportunities.

CITY OF MINNAPOLIS • DIRECTOR—BANKING, INVESTMENTS AND DEBT

Directing a team of five staff in the daily City needs for banking and merchant card services, fixed income investing and debt issuance. 4/2021-present.

- 2023—Panelist at Fixed Income Conference facilitated by [Pension & Investments](#).
- City debt contact: [Bonds, Documents, Resources | Minneapolis | BondLink](#)

MINNEAPOLIS BOARD OF ESTIMATE AND TAXATION • SENIOR ADVISOR

Part-time professional position as the Board's sole employee. Administer Board budget and meeting agendas, coordinate agenda items and presentations, participate in debt issuance, work with senior staff of City and perform special research and analyses. 11/2019-4/2021.

INDEPENDENT CONSULTANT

Offering independent financial management services in investments, debt, banking and other financial and leadership areas upon request. 03/2017-10/2019.

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY • TREASURER

Led a staff of 150 people and a budget of \$100 million in the Office of the Treasurer-- provided essential Treasurer services for a 13,000-employee transit provider in Washington, DC. Reporting directly to the Treasurer were five directors and an administrative assistant. Services provided include fare revenue/media planning, implementation, collection, processing, systems, reconciliation, accounting and security; risk management of insurance policies, third party claims administration/processing and workers' compensation; and, treasury-related functions of cash flow management, support of retirement plans, banking services, investments, debt issuance and commodity hedging. Served as a trustee on multiple pension plans. Interacted with C-suite executives regularly and prepared committee/board materials. Coordinated with external service providers

including bond rating agencies. Assisted direct reports in resource planning including cost containment and revenue opportunities. Significant focus was placed on helping the organization recover from a serious prior financial setback. 1/2015-2/2017.

METROPOLITAN COUNCIL • SENIOR MANAGER, TREASURY

Led a staff of three in providing a 4,000 employee quasi-state entity with services and relationship oversight for investing, cash management hedging of consumed commodities, debt issuance, banking, merchant card services and fixed asset accounting. Progressed from Analyst to Principal Analyst and then to Senior Manager. 1997-2015.

Investments

- Managed up to \$1 billion of investments, primarily fixed income. Performed asset allocation, securities analysis, trading, reporting and accounting. Investment choices included money market funds, commercial paper, U.S. Treasuries, U.S. agencies, munis, and mortgage-backed securities. Communicated with broker/dealers via Bloomberg. Investment returns for portfolio exceeded benchmarks.
- Set the asset allocation to stocks, bonds or cash on a \$200 million Other Post-Employment Benefit (OPEB) portfolio. Cumulative total return approximated S&P 500.
- Responsible for banking and investment aspects of \$2 million Voluntary Employee Benefit Association (VEBA) Health Reimbursement Arrangement (HRA) account.
- Directed presentations to Investment Review and Finance Committees.
- Managed custody, escrow and trustee accounts.
- 2012—Served as co-speaker on state of money markets at Minnesota conference.

Commodity Hedging

- Hedged up to 16 million gallons of diesel fuel with heating oil futures contracts.
- 2009. Spoke at State conference on controlling energy costs.

Debt Issuance

- Coordinated several series of refunding bonds that saved an aggregate net present value of \$42 million.
- Managed \$1.5 billion of AAA/Aaa rated debt including general obligation (G.O.) and G.O. revenue bonds, loans, certificates of participation and grant anticipation notes. Monitor capital funds and ensure timely issuance of debt so that money will be available for continuation of construction and capital expenditures. Primary liaison to bondholders, rating agencies, debt financial advisor and bond counsel. Served as paying agent.
- 2013. Co-speaker on panel at Council of Infrastructure Financing Authorities (CIFA).

General Banking and Merchant Card Banking

- Provided a wide breadth of general banking services across the organization to support an annual cash flow of \$1 billion.
- Liaison to providers processing one million Council customers' credit card transactions per year. During 2012, served as a panelist at the annual Electronic Transactions Association conference. Liaison for PCI compliance.
- Managed P-card program for several hundred employees.

OTHER POSITIONS

- First Health—Senior Treasury Administrator. 1994-97. Prepared quarterly investment report with data from two external bond managers, performed daily banking and investing, and serviced corporate insurance policy needs.
- Oak Hill Montessori School—Treasurer (part-time). 1993-98.
- Independent Contractor—Investment Systems Consultant 1989-93. Developed GIC reporting tool, ran bond analytical software, and merged two life insurance investment accounting systems.
- Washington Square Advisers—Portfolio Performance Analyst and Business Systems Analyst. 1986-1988. Produced investment returns and reports on large fixed income portfolios and served as a liaison between investment and systems departments.
- Springsted, Inc.—Municipal Bond Analyst. 1980-86. Wrote official statements.
- United States Marine Corps—Sergeant (meritorious). 1972-76.

EDUCATION AND PROFESSIONAL DESIGNATIONS

- Certified Treasury Professional (CTP), 1999—CTP; Chartered Financial Analyst (CFA), 1989; University of Minnesota: MBA, Finance, 1988; and St Cloud State University: B.S., Finance, 1980.

PROFESSIONAL AND VOLUNTEER ORGANIZATIONS

Commissioner, Ramsey County Charter Commission

- Assumed role in late 2022. Serve as a guardian to the Charter for the County residents.

Chapter President, American Association of Individual Investors (AAII)

- Assumed leadership support role in 2018; assumed non-paid presidency in late January 2019. Find and coordinate investment speakers for monthly meetings of

- 50-100 members and guests. Work volunteer leadership team; manage site reservations and resources; conduct follow-up; manage budget and procedures.

3

Minnesota State Retirement System (MSRS)

- Board member of MSRS, 2004-15. Worked with funding levels, contribution levels, increases to retirees, plan changes, budgets, financial and actuarial reports, security issues, investment results, miscellaneous administrative issues, appeals, etc. Served on multiple committees including actuary selection and facilities.

Minnesota Society of Municipal Analysts (MSMA)

- Held multiple positions including that of President with five years on the board, ending 2014. Led board in service to a group of 70 municipal securities analysts and portfolio managers. Served as a board member of the National Federation of Municipal Analysts (NFMA) for two years.

PERSONAL

- 2023 Gear-Check Co-Captain volunteer for the Twin Cities Marathon.
- Running races: Completed numerous full and half marathons including the Boston Marathon in 2022.

Allen E. Hoppe, CFA , CTP
643 Birch Lane South
Shoreview, MN 55126-1210

November 7, 2023

Minnesota Secure Choice Retirement Program
600 State Office Building
St. Paul, MN
55155

RE: Minnesota Secure Choice Plan Investment Executive

Please accept my application including the attached resume for the position of Executive or Other Professional with Substantial Experience in Retirement Plan Investments . I am very interested in being part of the team to get the Minnesota Secure Choice Retirement Program up and running, ideally configured and suitably staffed. I see this program as a very valuable resource to provide a reliable, secure and relatively robust investment resource for small business owners and for their employees to place long-term savings and investments.

My experience includes currently directing investments for the City of Minneapolis, pursuant to Minnesota Statute 118A. While at Metropolitan Council, I worked with the Minnesota State Board of Investments to get the Council's portfolio set up for Other Post Employment Benefits (OPEB.) During my time at the Council, I sat for ten years on the Board of the Minnesota State Retirement System. While at the Washington Metropolitan Area Transit Authority in the District of Columbia, I sat on the boards of several employer sponsored pension plans.

While I have a somewhat heavy financial analysis background, I am very comfortable leading staff and working with all types of people including senior management, board members, the public, external professionals, staff and vendors. I have managed contracts with municipal advisors, bond brokers, banking service providers, securities lending agents, commodity trading advisors, merchant card processors, etc. Employers have enjoyed my flexibility and ability to take on new financial services pursuits. I have extensive professional training and experiences, these help in dealing with financial institution services and the financial marketplace. Past responsibilities also included writing new policies and procedures. Working in the government sector has helped me to be generally attuned to sensitive political issues.

I can guide the program to appropriate investment services and build a highly respected program in the area of investments. I look forward to engaging with the customers.

Sincerely,



Allen E. Hoppe, CFA , CTP
c: 651-402-8668

Application for the position Executive or Other Professional with Substantial Experience in Retirement Plan Investments Application Date: 1/4/2024 9:16:39 PM

Part I: Position Sought

Agency Name: Minnesota Secure Choice Retirement Program

Position: Executive or Other Professional with Substantial Experience in Retirement Plan Investments

Part II: Applicant Information

Name: Peggy Ingison

Phone: (612) 804-8271

County: Ramsey

Recommended by the Appointing Authority: False

Mn House District: 64B

US House District: 4

Part III: Appending Documentation

Cover Letter and Resume

Type	File Type
Cover Letter	application/pdf
Resume	application/pdf

Additional Documents (.doc, .docx, .pdf, .txt)

Type	File Name
No additional documents found.	

Veteran: N

Part V: Signature

EVO PDF Tools Demo

Signature: Peggy Ingison

Date: 1/4/2024 9:16:39 PM

Peggy Ingison has held senior financial positions in many public and quasi-public institutions in her career.

Peggy started her career as an auditor at the Minnesota Department of Transportation before becoming a fiscal analyst for the Minnesota Senate Finance Committee. She worked for the Senate and for almost 15 years, and was the Chief Fiscal Analyst for the last ten years.

Peggy then was appointed as the State Budget Director at the Minnesota Department of Finance during the Carlson Administration, and was re-appointed in the Ventura Administration and the Pawlenty Administration. She served three years as the Commissioner of Finance, from 2003-2006.

Peggy was the CFO for the Minneapolis Public Schools for the next five years.

The Minnesota Historical Society (MNHS) was Peggy's last place of employment where she served both as CFO and as a Senior Administrative Officer where she had responsibility for operational functions of Information Technology, Facilities, and Human Resources. She retired from MNHS in 2018 after having worked there for over six years.

Peggy has served as a member of various organizational committees, including the Investment Advisory Council of the State Board of Investment (current), the YWCA of Saint Paul (current). She was the Board Chair and Chair of the Finance Committee for the Bemidji State University Foundation Board. She has also served as an appointed member of the Minnesota State Retirement System in the early 2000's.

Susan Lenczewski
Executive Director
Minnesota Legislative Commission on Pensions
and Retirement

Dear Susan:

I am writing to express my interest in serving as a board member for the Minnesota Secure Choice Board. As a public employee and member of public pension plans for nearly 42 years, I would seek to contribute as a member of this Board so that others could advance their own goals of financial security and independence in retirement.

In particular, my experience leading investment committee work for the Bemidji State University Foundation Board and for the Minnesota Historical Society, would bring benefit to my contributions as a board member. Additionally, as Commissioner of Finance for the State of Minnesota, I served as a member of the MSRS Board and I continued on the board as a gubernatorial appointee when I left the Department of Finance to become CFO at the Minneapolis Schools. That experience in investment oversight, retirement benefit construction and plan financing will all be helpful in this board.

More specifically, as CFO and as the senior administrative officer with responsibility for Human Resources at the Minnesota Historical Society, I had significant responsibility for retirement plan selections, administration, and benefit decisions. I believe this experience, as well as my investment oversight experience in my professional roles and as a member of the Minnesota State Retirement System (MSRS) board and as a current member of the Advisory Council of the State Board of Investment (SBI) creates a unique opportunity for me to bring financial, plan oversight, and investment experience to my board role on the Minnesota Secure Choice Board.

I hope you consider my application favorably. Thank you.

Peggy Ingison.