



Financial Planning  
Institute of Southern Africa

---

**THE PROFESSIONAL STANDARD**

---

# **FPI Financial Planner of the Year Award Guide 2021**

# Contents

The FPI Financial Planner of the Year Competition	3
Background	3
Objective	3
Award	3
Sponsorship	4
Round 1      Submission of portfolio of evidence	4
Round 2      Panel Site Visit	4
Round 3      Panel Interview	5
Judging Process	5
How to enter or nominate	6
Rules of the awards	7

## Background

The FPI Financial Planner of the Year competition was launched in 2000 for FPI members with the first winner being awarded at the Annual Convention Gala Dinner in 2001.

The competition has developed over time to include the assessment of financial plans prepared by the financial planner, a site visit where a range of criteria is evaluated, thereby examining the financial planner's competency, practice management skills, knowledge of the wider financial planning industry and the ability to be the spokesperson for the financial planning profession.

### Previous winners:

2020	Hester Debora Van Der Merwe, CFP®
2019	Hardi Swart, CFP®
2018	Janet Hugo, CFP®
2017	Mark MacSymon, CFP®
2016	Bruce Fleming, CFP®
2015	Wouter Fourie, CFP®
2014	Peter Hewett, CFP®
2013	Barry O'Mahony, CFP®
2012	Jan-Carel Botha, CFP®
2011	Warren Ingram, CFP®
2010	Natasja Norval Hart, CFP®
2009	Alec Riddle, CFP®
2008	John Campbell, CFP®
2007	Ian Beere, CFP®
2006	Craig Kiggen, CFP®
2005	Lionel, Karp, CFP®
2004	Dulipkumar Garach, CFP®
2003	Gerrit Viljoen, CFP®
2002	Bouwer Nell, CFP®
2001	Debbie Netto, CFP®

## Objective

The award honours the CFP® professional in the profession and also recognises outstanding CFP® professionals from across South Africa. This is the members' opportunity to demonstrate innovation, professionalism and commitment to their clients and to the profession. All entrants must be a CFP® professional in good standing as defined in the MOI.

## The Award

The winner is announced at the annual FPI Professionals Convention as the FPI Financial Planner of the Year and is awarded with the following: **3**

- Publicity coverage and speaking opportunities;
- FPI Financial Planner of the Year trophy and a certificate;
- Appointed as FPI and CFP® professional brand ambassador and receives the necessary media training to perform the role of FPI's media spokesperson;
- Profiled by the awards media partner, in the FPI Awards supplement, FPI website and other media as well as receiving benefit from ongoing significant exposure in the media during their tenure;
- A return economy air ticket and attendance costs to attend an international financial planning conference of the winner's choice (*excluding* accommodation and VISA costs) to be claimed during the tenure of the title;
- Free attendance at next FPI Professionals Convention (*excluding* travel and accommodation costs);
- A complimentary ticket (+one) to the FPI Gala Dinner taking place on the evening of Day one of the FPI Professionals Convention where the award ceremony will take place and
- One years' free membership to the FPI.

## Sponsorship

FPI may contract annually with sponsors based on a contractual agreement which determines the terms and conditions of the sponsorship.

## Competition Process

To enter the FPI Financial Planner of the Year competition, an entrant must be a CERTIFIED FINANCIAL PLANNER® professional in good standing. Once an entrant has

accepted the [terms and conditions](#) via [www.fpi.co.za](http://www.fpi.co.za), the entrant must complete and submit the competition entry form.

Following assessment of the above, the entrant will be informed whether his/her entry into the competition (round 1) is successful.

The competition is made up of three rounds:

### Round 1 - Submission of portfolio of evidence

The portfolio of evidence should contain a detailed, holistic financial plan based on the [FPI Financial Plan Guide](#), as well as any supporting documentation relevant to the financial plan. Scoring will be based on the six-step financial planning process and the documentation as evidence in the client's file. In the interest of protecting of personal information, all client details must be removed and/or fictitious names may be used.

### Round 2 - Panel Site Visit

Entrants who were successful in round 1 will be notified that they progressed to Round 2. Round 2 entrants will be assessed on all aspects of compliance, practice management and the incorporation of the FPI's financial planning processes, policies and practice standards into his/her daily activities. The financial plan submitted in round one (1) will be authenticated during the site visits. Please use the [FPI Revised Code of Ethics and Practice Standards](#) as a reference.

## Round 3 Panel Interview

The top three entrants from round 2 will be required to present to a panel of subject matter experts on a selected topic and are questioned on a variety of industry trends, topics, technical information and legislative changes. Recorded interviews will be held with the finalists (the top three entrants from round 2) as well. The said interviews will take place at the FPI offices (84 Sophia Street, Cnr. 11<sup>th</sup> Avenue, Fairland, Johannesburg). Travel arrangements are for the finalists' own account.

The dates<sup>1</sup> for each round are as follows:

Starts	Ends	Stage
22 March	22 April	Receipt of entry form and abovementioned narrative and statement for assessment to establish who goes through to Round One
1 May	31 May	Round One entrant to submit detailed holistic financial plan (as per the financial plan guide)
01 June	30 June	Round One: Marking of plans by SME's
19 July	30 July	Round One entrant to be informed whether he/she proceed to Round Two or not.
1 August	20 August	Site visits
	31 August	Round Two entrants to be informed whether or not they proceed to Round Three
13 September	30 September	Panel interviews (FPI offices, Johannesburg)

The finalists will be announced in the media a week before the convention and the winner will be announced at the FPI Professionals Convention Gala Dinner (**25 October 2021**) to be held in Johannesburg. The three finalists and one guest per finalist will receive a ticket to the Gala Dinner. This excludes accommodation and travel.

## Judging Process

The judging panel for each round of the competition will be determined annually and approved by the relevant committee but will consist of at least three members per round. These panel members include senior FPI staff and volunteers, industry representatives and other parties whose expertise is required.

The judging panel will be appointed by FPI and may comprise members with the following profile:

---

<sup>1</sup> Dates may change depending on logistical arrangements

Round	Member profile
Holistic Financial Plan	<ol style="list-style-type: none"> <li>1. An academic</li> <li>2. An accredited FPI exam moderator</li> <li>3. Two practicing financial planners</li> </ol>
Site Visit	<ol style="list-style-type: none"> <li>1. Compliance expert</li> <li>2. Practice Management expert</li> <li>3. Senior Representation from the FPI Executive Team</li> </ol>
Panel Interview	<ol style="list-style-type: none"> <li>1. FPI Chairperson/FPI Chairperson-Elect</li> <li>2. FPI Chief Executive Officer</li> <li>3. FPI Advocacy Committee Chairperson</li> <li>4. SME and/or Media representative</li> <li>5. Past year's competition winner*</li> </ol>

*\*Depending on availability. Should the past year's winner not be available, a past winner will be selected from the preceding years in descending order.*

Entrants will be scored in each round based on a scoresheet designed annually by the FPI Awards Working Group in conjunction with the judging panel.

The weighting for each round for (determined annually), which counts towards the final overall score, is as follows:

Round	Weighting
1. Portfolio of evidence	30
2. Site visit	20
3. Panel interview	50

The highest overall score, after combining the scores from each round, using the weighting for each round, determines the overall winner.

## Where to enter

To enter [download the entry form](#) and email it back to [awards@fpi.co.za](mailto:awards@fpi.co.za) Remember to read the [terms and conditions](#) before you submit your completed entry form and supporting documents.

Entries for this competition should reach FPI by close of business on Thursday, 22 April 2021. For more information, please contact FPI on (011) 470-6000 or email [awards@fpi.co.za](mailto:awards@fpi.co.za).

## Rules of the Awards

1. Entrant must be a CFP® professional in good standing as defined in the Memorandum of Incorporation to enter the FPI Financial Planner of the Year competition.
2. The FPI Financial Planner of the Year finalists will be profiled on the FPI website and other communication platforms.
3. Entrants may not be the defendant in a criminal proceeding, a defendant or respondent in a civil, self-regulatory organisation or government agency inquiry, investigation or proceedings, as well as mediation or arbitration, relating to their professional or business conduct, convicted of a criminal offence, been found guilty in a disciplinary hearing in respect of an offence involving dishonesty (for example, fraud, theft etc.), been declared insolvent by a Court of Law or sequestered, had a civil judgement (pertaining to unpaid monies) against them or had an application against them to have their FSP license withdrawn or suspended by the Financial Sector Conduct Authority (FSCA) in terms of the licencing requirements in the FAIS Act 37 of 2002. Entrants may also not have any pending Voluntary or Statutory Ombudsman investigations against them.
4. The FPI Financial Planner of the Year competition is open to all CFP® Professionals who are practicing professional financial planners or those who provide specialist financial advice to clients as part of their full-time business. A practicing financial planner is defined as a person who engages in financial planning using the six-step financial planning process when working with clients.
5. Attendance of the international financial planning conference (awarded only to the FPI Financial Planner of the Year) and FPI Professionals Convention must be within a year of receipt of the prize.
6. Prizes may not be converted to cash.
7. Winners must exemplify FPI's ethics principles of client first, integrity, objectivity, fairness, professionalism, competence, confidentiality and diligence.
8. Full disclosure of any conflict of interest is required by all parties involved with the awards, the selection of a winner, participation on a committee or judging panel. Any conflict of interest will be reviewed by the FPI Awards Working Group for a decision and if necessary, this may be taken up with the FPI Board of Directors. This includes any conflict which may arise due to sponsorships.
9. All information provided by entrants and candidates will be held in the strictest confidence.
10. Any external party involved in the competition, appointed by FPI, will be required to sign a confidentiality agreement.
11. All decisions are final and no correspondence will be entered into.
12. The awards processes, scores and final results are subject to audit by the FPI auditors.
13. The FPI Awards Guide is managed by the FPI Awards Working Group and is reviewed annually