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Dear fellow members and stakeholders,

One of my favorite movies is Gladiator starring Russell Crowe. If you've seen the movie, you probably remember the Battle of Carthage where the gladiators, led by Maximus (Crowe), are placed at unfair odds versus a group of well-armed and trained soldiers on horses and chariots. To the surprise of the emperor and the mob (crowd), Maximus and his make-shift gladiator army emerge victorious primarily due to their teamwork. The parallel to our Society are the structural evolutionary element of internal and external teamwork and partnerships. These elements have allowed us to be more efficient and accomplish more with equal resources. I would like to take time to recognize some of these elements herein.

Several years ago we moved from a member at large board structure to a chair and committee structure. This change drove efficiencies at the board level. We embraced a divide a conquer mentality in which board chairs determined their goals and coordinated with the president across various chair positions in order to achieve a coordinated common goal. The board chairs then recruited talent based on their needs and instituted a divide conquer modus operandi.

We have been fortunate to work with talented and passionate admins. Recently we hired Cindy Nace, our first employee. We have moved from a non-dedicated executive administrator to one who is fully engrained in the Society dealings. We have also centralized the organization of work and have coordinated our efforts across the board.

Our long-term relationships have resulted in important partnerships. The partnership with CPG has been invaluable from a society management perspective as well as from a transitional standpoint, when we recently changed admins. Additionally, CPG organizes the Midwest Investment Conference and their contribution is extraordinarily important to the success of this event. Other important partners include CABE who contributes to programming and The City Club, who has been a tremendous venue partner. Various universities throughout the area participate in the research challenge and a number of sponsors have provided funding. Other partners have contributed volunteers, platforms to improve membership and sponsorships. While I have not mentioned everyone, please recognize that all partners, both internal and external, play a critical role in the success of our organization.

By working as a team across our board and with our partners, we have been able to accomplish more and continue to push the Society to ever higher heights. It's important for you to know that the Society is open to teaming up with you and I encourage you to engage us with opportunities. As we enter the homestretch for the year, our battle strategy of teamwork is set for continued growth going forward.

Respectfully Submitted,



Craig Cimatori

Check us out on LinkedIn,
Twitter, Facebook and YouTube



CFA Society Cleveland
24199 Lyman Blvd.
Shaker Heights, Ohio 44122
216-696-8066

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PROGRAMMING

CALENDAR OF EVENTS



April 9th
Elizabeth R. Allen, CFA,
Manager, Investor Relations,
Federal Express

Elizabeth R. Allen, CFA , Federal Express, Manager, Investor Relations, FedEx Corporation, April 9th 2014

Elizabeth R. Allen is manager, Investor Relations at FedEx Corporation. She joined FedEx in 1990 and held positions in the Treasury department before moving to Investor Relations in 1997. Prior to joining FedEx, Mrs. Allen was vice president, equity research at Morgan Keegan, a regional brokerage firm.

A native of Pensacola, Florida, Mrs. Allen earned a bachelor's degree in Finance from Auburn University and a master of science in Finance from Georgia State University. She is a Chartered Financial Analyst.

Luncheon Sponsored by



[Click Here to Register For This Event](#)



April 16th
Joe Miskel,
Managing Director,
F-Squared Investments

Joe Miskel, F-Squared Investments, Managing Director, April 16th, 2014

Mr. Miskel is Managing Director of F-Squared Institutional Solutions, a subsidiary of F-Squared Investments, and is a member of the F-Squared Management Team and the Investment Committee. He has over 25 years of experience in the investment industry with extensive capital markets, asset management, insurance, wealth management and retirement industry expertise.

Previously, Mr. Miskel spent five years as a senior business development professional for Citi Global Investment Services, a division of Capital Markets. Prior to joining Citi, he spent 16 years with Merrill Lynch where he contributed to or led various businesses in Over-The-Counter Derivatives, Fixed Income, Asset Management and Wealth Management.

Mr. Miskel received a BS in Business from Rowan University and an MBA in Corporate Finance from Fordham University. He completed Executive Management training at the Wharton Business School and served as an advisor to the Wharton Pension Research Council. Mr. Miskel has also served on a number of industry and not-for-profit boards and is currently on the board of the AJ Foundation, which provides specialized education services to autistic children.

Luncheon Sponsored by F-Squared Investments

[Click Here to Register For This Event](#)

PROGRAMMING

CALENDAR OF EVENTS



April 23rd
Joe Becker
Invesco Powershares
The City Club



April 30th
Bob Doll
Nuveen
The City Club

Joseph Becker, Invesco Powershares, Sr. Fixed & Equity Income Product Strategist, Fixed Income Market Strategy, April 23rd, 2014

Joseph Becker is the Sr. Fixed & Equity Income Product Strategist with Invesco PowerShares Capital Management LLC, a registered investment advisor that sponsors the PowerShares family of exchange-traded funds (ETFs). Invesco PowerShares is Leading the Intelligent ETF Revolution®, a new generation of ETFs.

In his role as Sr. Fixed & Equity Income Product Strategist, Joseph researches, develops and manages product specific strategies in an effort to better position the income product line within the market. He is a regular speaker at industry conferences and has been quoted in various financial publications including the Bond Buyer, the Wall Street Journal and Kiplinger.

Prior to joining Product Strategy & Research in 2010, Joseph served as the manager of education marketing for Invesco PowerShares. In that role, he was responsible for the creation of educational content for both institutional and retail investors. Joseph has been with Invesco PowerShares since 2008 and brings more than a decade of investment industry experience to his role. Joseph holds a Master's Degree in Economics from The University of Illinois at Chicago and a Bachelor's

Degree in International Studies from Trinity Western University in British Columbia, Canada. He holds the Series 7, 4 and 63 registrations.

Luncheon Sponsored by Invesco Powershares

[Click Here to Register for This Event](#)

Bob Doll, Nuveen Asset Management, Chief Equity Strategist and Senior Portfolio Manager, April 30th, 2014

Bob Doll is Chief Equity Strategist and Senior Portfolio Manager at Nuveen Asset Management. Bob manages the Large Cap Equity Series and is Co-Manager of the Stable Growth strategy.

Prior to joining Nuveen Asset Management in 2012, Bob held similar roles at other large asset management firms, including serving as Chief Equity Strategist at Blackrock, President and Chief Investment Officer of Merrill Lynch Investment Managers (MLIM) and Chief Investment Officer of Oppenheimer Funds, Inc. He has 33 years of portfolio management experience, received a B.S. in Accounting and a B.A. in Economics from Lehigh University and an M.B.A. from the Wharton School of the University of Pennsylvania. He is a Certified Public Accountant and a Chartered Financial Analyst. Bob appears regularly on CNBC, Bloomberg TV and Fox Business News discussing the economy and markets.

[Click Here to Register for this Event](#)

PROGRAMMING

CALENDAR OF EVENTS

2013-2014

PROGRAMMING CALENDAR

Join us for many exciting events coming up at The City Club....

April 9th, Elizabeth Allen, Federal Express, Company Update

April 16th, Joe Miskel, F-Squared

April 23rd, Joe Becker, Invesco Powershares, Fixed Income Market Strategy

April 30th, Robert Doll, Nuveen Asset Management

May 7th Martin Schulz, PNC Capital Advisors

May 14th, John Escario, Vanguard,

May 22nd, Matt Moran, Chicago Board Options, Options for Enhanced Yield & Risk

May 28th, Stephen Malinak, Thomson Reuters

June 4th, Brian Wesbury, First Trust, Macroeconomic Outlook

June 7th Annual Membership Dinner

Welcome to the new members of CFA Society Cleveland

Ben Mackovak Cavalier Capital LLC.

Paul Salibi BNY Mellon

Tim Kadylak Bober Markey Federovich

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➤ DPW 5-Day Review and Exam Workshop† | retail \$1,699 | **\$934**

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‡ Pricing varies by location.

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EDUCATION

Mock Exam

May 17th, 2014

9-12, 1-4pm

Cleveland State University

[Register Here](#)

CFA Mock Exam

The CFA Society Cleveland is hosting a Mock Exam for all levels of the CFA Exam on May 17th at Cleveland State University. The location is room LB 241 - easily found from the 3rd floor of the Monte Ahuja College of Business via the walk through to the Law Building.

Access Scholarship Program

Access Scholarships are needs-based scholarships allocated to societies for applicants applying for the 2015 CFA Program.

- The 2015 Access Scholarship application period will open on March 1, 2014 and run through September 15, 2014. Stay tuned for further details.
- A record high of 5,630 applications were submitted for 2014 (vs 3,921 in 2013).
- CFAI awarded 2,652 Access Scholarships to individuals in 91 countries in 2014.

CFA Mentor Program

We are in the process of establishing a Mentor Program for the Cleveland members. We are looking for both mentors and those members who would like to be protégés. Please let us know if you are interested via email at cfa@cleveland.cfasociety.org. We thank you for your interest.

EDUCATION



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AND CONTINUING EDUCATION

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CFA® Exam Prep | 2014

Mock CFA® Exam

May 17, 2014

9:00 - 12:00 / 1:00 - 4:00

\$55.00



Presented by

CFA Society of Cleveland

Mock Exam Location:

Marshall College of Law
1801 Euclid Ave.
Room LB 241
Cleveland, OH 44115

Registration Time:

8:30am

Special Instructions:

N/A

The Schweser Live Mock Exam is a proctored 6-hour classroom exam designed to match the format, topic weightings, and level of difficulty of the actual CFA® exam. It helps develop your test-taking skills and identify your weak areas. Afterward, view answer explanations, check your score compared to those of other candidates, and drill deeper into each question with the **Online Tutorial (included)**.

- Fully proctored and timed 6-hour exam (two 3-hour sessions)
- CFA Institute topic weightings
- Printed answer key and online answer explanations
- Online scoring and performance tracking with a comparison to other Mock Exam takers
- LOS and CFA curriculum page references for every question

Included Online Tutorial

Simply click on any question you missed and get an audio and whiteboard explanation of the CFA curriculum material on which the question is based. With approximately 10 hours of targeted instruction at each level, this is the most effective way to fill in the gaps in your knowledge just prior to exam day.



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ADVOCACY

Opening the Doors of Communication Between Investors & Directors

Activism is on the rise. Between 2010 and 2013 activist interventions increased 88% and activist funds are estimated to have over \$100 billion in assets under management. In response, Directors are engaging more frequently with investors. Due to this increased level of engagement, the Shareholder-Director Exchange (SDX), a working group of leading independent directors and representatives from some of the largest and most influential long-term institutional investors, has created a 10 point protocol for company boards and shareholders on when such engagement is appropriate.

What draws engagement requests or activist campaigns?

- Underperformance, whether operating performance or relative shareholder return
- Unplanned CEO or C-suite transition
- Significant litigation or government investigative activity
- Reputational event with negative mainstream or social-media attention
- Series of operational mishaps suggesting lack of board oversight
- Financial restatements, late filing, lack of clean audit opinion, or unplanned change of audit firm
- Board composition (e.g., quality, diversity, tenure, "overboarding")
- Below-average support for management proposals (e.g., say on pay, director nominees)
- Above-average support for shareholder proposals (e.g., CEO-chair separation, political contribution disclosure)
- Failure to implement election outcome or resolution supported by shareholder majority
- Disfavored compensation practices or elements
- Significant activist stake in company
- Plurality voting policy
- Classified board
- Dual-class stock
- Disempowered nonexecutive chair, lead director, or presiding director
- Controversial transaction activity, including related-party transactions
- Takeover defense plans
- Poor disclosures and shareholder communications
- Environmental, social, and other governance considerations (e.g., labor issues, environmental legislation, sustainability practices, or reporting)

Continued on Page 10

ADVOCACY

Opening the Doors of Communication Between Investors & Directors Continued

The SDX Protocol consists of 10 points:

1. Scope of the SDX Protocol
 - a. The SDX Protocol is intended to supplement shareholder-management communication by providing clear guidance for shareholder-director interaction with respect to governance related topics for which the board is directly responsible
2. Adopting a Clear Policy for Engagement
 - a. Each company and investor will consider what types of engagement requests the company will accept in times of crisis and during the normal course of business
3. Identifying Engagement Topics
 - a. Engagements should be topic driven, the quality and value of engagement can suffer when a clear purpose or stated issue is not articulated and agreed by the participants
4. Requesting Engagement
 - a. Both companies and investors will establish a primary contact for receiving engagements
5. Selecting Participants
 - a. The company will specify participating directors, investors will select senior representatives who have decision-making authority over voting and management has responsibility for communication before and after shareholder-director engagement
committee meeting, strategy retreat, a focused investor day) may also be successful
6. Determining How to Engage
 - a. Generally, meetings where one company meets with one investor are preferred, but group meetings (board committee meeting, strategy retreat, a focused investor day) may also be successful
7. Preparing for the Engagement
 - a. Reviewing relevant materials (including corporate governance guidelines, proxy voting policy, and the history of prior engagements with the institution) and all topics to be discussed. Appropriate training on legal issues should be given.
Reviewing relevant materials (including corporate governance guidelines, proxy voting policy, and the history of prior engagements with the institution) and all topics to be discussed. Appropriate training on legal issues should be given
8. Participating in the Engagement
 - a. During the engagement parties will agree to specific next steps resulting from the discussion; each party must be willing to listen carefully and take action in response to concerns or explain why no action is being taken
9. Reviewing and Revising Approaches to Engagement
 - a. As necessary and at least annually to reflect experiences and emerging practice
10. Customizing the SDX Protocol
 - a. Engagement will be influenced by company specific or investor specific contexts and the SDX protocol is intended to support these engagements; parties should use their judgment and modify practices as needed

Director-shareholder communications has historically been a less well understood topic, but changes in activism have created a need for better practices. The SDX Protocol is an important step in supporting more effective communications between investors and directors and establishing more effective governance practices globally. To learn more visit <http://www.sdxprotocol.com/>

CAREER SERVICES

Director of Asset Management

HBKS Wealth Managements

Erie, Pennsylvania

HBKS Wealth Advisors (www.hbkswealth.com), a large regional financial planning and investment advisory firm, is seeking a Director of Asset Management to lead its asset management activities from its Erie, PA office.

The Director of Asset Management will report to the firm's Chief Operating Officer and will lead the firm's asset management functions. This position will be responsible for developing and monitoring the asset allocation strategies and money manager due diligence utilized by the firm's discretionary platform; performing analysis and making recommendations of individual equity and fixed income securities; and managing investment technology solutions. The position will also support a select group of clients and assist Senior Financial Advisors and Principals on an occasional basis in one-on-one meetings with existing and prospective clients.

The ideal candidate will have a high degree of investment management acumen and technical competence. Candidates must have excellent communication and organizational skills, Bachelor's degree in Finance, a minimum of 5 years previous experience in financial services/securities industry, a Series 7 and 66 licenses, and be a CFA® charter holder.

HBKS Wealth Advisors provides a competitive salary and benefit package as well as, a rewarding career in the financial service industry. Please submit resume in confidence via email to: levans@hbkcpa.com

Sr. Multi Strategy Analyst

Key Bank Private Bank

Cleveland, Ohio

About Key

Cleveland-based KeyCorp is one of the nation's largest bank-based financial services companies, with assets of approximately \$87 billion. Key companies provide investment management, retail and commercial banking, consumer finance, and investment banking products and services to individuals and companies throughout the United States and, for certain businesses, internationally. The company's businesses deliver their products and services through branches and offices; a network of 1,576 ATMs; telephone banking centers 800-KEY2YOU® (800-539-2968); and a website, Key.com®, that provides account access and financial products 24 hours a day.

About the Job

The purpose of this position is to support the Key Private Bank Investment Management Multi Strategy Research Team, specifically including the research and delivery of information related to our third party managers, mutual funds, and Alternative Investments.

Essential Job Functions

- Provides research coverage for all products (Separately Managed Accounts, Mutual Funds, ETF's, and Alternative Investments) within assigned asset class. Research coverage may include, but is not limited to:

Conducts quarterly performance and attribution assessments of all strategies within assigned asset class

Conducts quarterly interviews with senior portfolio management officials at third party fund families to discuss attribution anomalies

Creates written reports (quarterly and annually) for all strategies within assigned asset class to be used by Portfolio Managers during client meetings.

Works closely with third party due diligence vendors where applicable.

Forms an opinion and makes recommendations on assigned products to the Key Private Bank Investment Committee.

CAREER SERVICES

Sr. Multi Strategy Analyst Continued

Conducts annual onsite interviews with senior management officials at third party fund families to confirm fund performance, operations, process, business plans, etc.

Creates written reports (quarterly and annually) for all strategies within assigned asset class to be used by Portfolio Managers during client meetings.

Works closely with third party due diligence vendors where applicable.

Forms an opinion and makes recommendations on assigned products to the Key Private Bank Investment Committee.

- Provides specialty research coverage for more sophisticated clients within Non Profit Services and Family Wealth including, but not limited to Traditional Investments, Hedge Funds, Private Equity, and other Alternative Strategies.

Manages differentiated solution set for Institutional client base

Provides support to Non Profit Services and Family Wealth by conducting due diligence and new manager searches when necessary

- Participates on client calls when necessary as a subject matter expert for third party products.
- Provides indirect leadership, mentoring, coaching and guidance to more junior Analysts within Investment Management organization.
- Leads and coordinates small investment team consisting of research analysts and Key Private Bank Portfolio Managers to assist with research coverage for products within assigned asset class.
- Participates in investment research and related committees as necessary.
- Communicates any critical and/or timely information related to products within assigned asset classes (both written and verbal) to senior investment management team as well as Portfolio Management Field as necessary.
- Communicates directly with third party money managers and mutual fund families to fully understand philosophy and process for each product within assigned asset class.
- Acts as liaison between money managers/mutual funds families and Key Private Bank Portfolio Management Field as needed.
- Manages and updates all written materials related to products within assigned asset class in a timely manner. Materials may include, but are not limited to:

Quarterly Analyst Updates for each assigned product

Comprehensive Annual Due Diligence Review for each assigned product

Other Topical Pieces as needed

- Supports all inbound questions/calls from the Portfolio Management Field related to assigned asset class as well as entire recommended offering as necessary.
- Works closely with the Investment Management Teams (Research, Strategy, Portfolio Construction, Derivatives) to effectively deliver solutions benefiting end clients.
- Participates and/or leads other projects within the Investment Management team as necessary.
- Interacts and assists other due diligence analysts as necessary.

Required Qualifications

- Undergraduate degree in a business related field.
- 10+ years experience in investment management field.
- Investment management certifications (CFA or CIMA preferred).
- Working knowledge of proprietary and non-proprietary fee based investment products as well as alternative investments.
- Ability to lead small teams to accomplish stated goals.
- Ability to make recommendations to investment committees and senior investment management team.
- Experience with due diligence/analytical software (Morningstar, Zephyr Style Advisor, Fiduciary Analytics, Bloomberg etc.), preferred.
- Excellent interpersonal skills, written and verbal.
- Demonstrated clients service skills
- Excellent organizational skills.
- Outstanding analytical skills and exhibits great attention to detail.
- Strong verbal and written communication skills.
- Ability to work independently and in larger team based environments.
- Ability to interface and interview senior portfolio management teams at third party investment companies
- 25-50% travel required visiting money management firms.

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Please e-mail your interest to christine_divis@keybank.com

CAREER SERVICES

Director, Institutional

Hartland & Co.

Cleveland, Ohio

About Hartland & Co.

Hartland & Co. is a premier independent investment advisor with collective assets under advisement of approximately \$12 billion. Founded in 1989, the company is 100% employee/board owned. The company is independent of any affiliations with broker dealers, investment management firms, banks or custodians. Hartland & Co. works with clients to help ensure that investments are strategically directed to meet their institutional or individual needs. This involves developing investment policy and an asset allocation plan, selecting investment managers to implement the policy and reporting on investment performance. The Hartland & Co. consulting team provides expertise and leadership to endowments and foundations, healthcare related organizations, public funds, pension and 401(k) plan sponsors and private clients.

We are looking for a Director within our Institutional group in our Downtown Cleveland office.

Job Summary:

Serves as a leading member of a team that provides high-level investment and financial counsel to institutional clients. Works directly with clients to review monthly and quarterly performance results, investment goals and objectives, asset allocation, investment policy statements, manager searches and due diligence, and analyzes such data in order to make investment and financial judgments and provide sound counsel to clients.

Essential Job Functions:

- Communicates directly with clients to research and solve client issues and address clients' investment and financial needs
- Creates and builds client relationships by assisting in developing and facilitating the proposal process (RFP's) for potential clients
- Develops investment policy and asset allocation modeling for purposes of planning long- and/or short-term investment objectives of clients
- Analyzes spending policy and performance attribution for purposes of providing consultation and expert advice to clients
- Monitors and analyzes investment performance for purposes of providing consultation and expert advice to clients
- Conducts investment research projects and analyzes/evaluates the data from such research in order to provide sound investment recommendations
- Provides summary analysis to other consultants
- Coordinates and finalizes client meeting materials

- Reviews and finalizes client quarterly evaluation reports and monthly flash reports

- Completes other duties as assigned

Required Qualifications:

- Master's Degree (MBA or other advanced degree) and/or Chartered Financial Analyst® charter holder required; will consider CFA® level III Candidates
- 4-8 years of investment-related experience
- 1-3 years of Client Relationship management experience
- Management: ability to work under pressure, organize and manage multiple priorities in a demanding environment where time management, attention to detail, follow-through and meeting deadlines are critical
- Excellent interpersonal and communication skills, written and verbal
- General intellectual curiosity, especially about global capital markets
- Ability to conduct quantitative analysis with a critical eye
- In-depth understanding of quantitative statistics and methods used to evaluate investment managers along with ability to assess qualitative attributes
- Facility with computer applications, proficient in spreadsheets
- Comfortable dealing with high-level decision makers
- High standards of quality, professionalism and ethics
- Enjoy working in a team environment
- Committed to quality in every facet of the position
- Commitment to company values

Benefits

A flat, bureaucracy-free organizational structure that fosters creative thinking and involvement at all levels of the organization

The opportunity to join a growing and dynamic employee-owned firm that offers professional growth in an industry that is both dynamic and intellectually challenging

An opportunity to work with high-profile institutions across the country

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Hartland & Co. is an Equal Opportunity Employer M/F/D/V

Please email your resume to Idearden@hartlandco.com

Midwest Investment Conference 2014

Tuesday, November 18, 2014 | Cleveland Convention Center

SAVE
THE
DATE

"Institutional investors and issuers meeting in a convenient setting to enhance investor relations, corporate transparency and ultimately the capital markets."

— Craig L. Cimatori, CFA, President
CFA Society Cleveland



Based on positive feedback from attendees at the inaugural conference, CFA Society Cleveland is pleased to announce it will host the second annual Midwest Investment Conference (MIC) in November 2014. MIC-2014 will feature high-quality public issuers from throughout the Midwest and include multiple tracks and industries.

Inaugural MIC-2013 Issuers:



www.midwestinvestmentconference.org

For more information email admin@go2mic.org or call 216-255-6290