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Wayne Chamberlain, MBA, CFA

Dear Fellow Society Members and Stakeholders,

This month I continue the theme of reviewing our mission statement. In last month's newsletter, I discussed professional development and some of the many activities we embark on that achieve this part of our mission. However, professional development is more than a means to advancing our career; it is also a conduit to provide the best possible service to clients. This is critical to the success of maintaining high ethical standards, which is this month's topic.

Ethics is critical to the long-term success of the investment industry because day-to-day ethical decisions build trust with clients and other stakeholders. Without this trust, no well-functioning financial markets would exist and, thus, no need for investment professionals. This is why ethics is a key component of our mission statement and is the guiding principle for everything we do at CFA Society Cleveland.

Ethics, as defined by Webster, are "moral principles that govern a person's or group's behavior." This definition is simple and intuitive, yet broad and un-actionable. Though ethics may seem intuitive, making ethical decisions is truly the result of years of learning, training, and experience, as so many possible situations may arise. Making ethical decisions in the investment profession also requires years of experience and the pursuit of knowledge through continuous learning and training. CFA Institute is the leader in ethics and education in the investment industry because it only bestows the CFA Charter to those who have earned the right to use it through years of industry experience and proof of the mastery of the subject matter covered in the CFA curriculum through the examination process.

CFA Institute does not believe that earning the right to use the CFA designation is the end of the pursuit of knowledge for its members. This is where thriving local societies play a critical role. CFA Society Cleveland takes this role very seriously, being the key reason for its long-term growth and success. As discussed in previous newsletters, we undertake many activities as a Society related to ethics. Some examples are:

- Programming – Increasing knowledge to make better decisions for clients
- Career Day – Exposing college students to CFA Institute and its ethical principles
- Mentoring Program – Providing a young investment professional an experienced individual from whom they can get advice for the many ethical dilemmas they may face
- Advocacy – Increasing the awareness of CFA Institute's Code of Ethics, Asset Manager Code, etc.
- CFA Society Cleveland's Monthly Newsletter – Educational articles and references

We are very proud that we can be a high quality resource for our members in their continued pursuit of high ethical standards. If it has been a while since you have joined us at one of our many events or taken advantage of the many opportunities to volunteer, I hope you will find time in the near future to do so. Not only will it enhance your knowledge, it will almost certainly be a benefit to others as well.

Regards,

Wayne Chamberlain, MBA, CFA

Check us out on LinkedIn,
Twitter, Facebook and YouTube



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

PROGRAMMING

CALENDAR OF EVENTS



December 17
Russ Koesterich
Blackrock

REGISTER NOW

Russ Koesterich, CFA, Blackrock, *Blackrock 2015 Forecast*, December 17, 2014

Luncheon Sponsored by Blackrock



Russ Koesterich, CFA, Managing Director, is BlackRock's Chief Investment Strategist and Head of the Model Portfolio & Solutions business. He is a founding member of the Blackrock Investment Institute, delivering BlackRock's insights on global investment issues. During his 20+ year career as an investment researcher and strategist, Russ has served as the Global Head of Investment Strategy for scientific active equities and as senior portfolio manager in the US Market Neutral Group at BlackRock.

Russ is a frequent contributor to financial news media and can regularly be seen on CNBC, Fox Business News, CBS, CNN and Bloomberg TV. He is the author of two books, including his most recent "The Ten Trillion Dollar Gamble," which details how to position portfolios for the impact of the growing U.S. deficit. Russ is also regularly quoted in print media including the Wall Street Journal, USA Today, MSNBC.com (<http://MSNBC.com>), and MarketWatch.

Russ earned a BA in history from Brandeis University, a JD from Boston College and an MBA in capital markets from Columbia University.

DEDICATION THAT CAN CHANGE OUTCOMES

BlackRock is proud to support the CFA Society Cleveland luncheon for financial professionals.

We are honored to recognize the opportunities they provide for professional development and fellowship among Cleveland-area investment professionals, consistent with the ideals of excellence, integrity and education as set forth by the CFA Institute.

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PROGRAMMING

CALENDAR OF EVENTS
Networking Happy Hour
January 21, 2015
Flannery's Pub



January 28, 2015
Stewart Kohl
The Riverside Company

REGISTER NOW

Sponsorship Opportunities

Sponsorship opportunities are available for your company. Please contact Cindy for more information.

cfa@cleveland.cfasociety.org

[Sponsorship Information](#)

Networking Happy Hour, January 14, 2015, Flannery's Pub, 323 E. Prospect, 5-7 PM

Join us for a night of drinks, appetizers and networking at Flannery's Pub. Please bring a co-worker and friend! No RSVP is necessary,

Stewart Kohl, Co-CEO, The Riverside Company, Private Equity Market Update, January 28, 2015

Stewart A. Kohl is Co-Chief Executive Officer of The Riverside Company, a global private equity firm with offices across North America, Europe and the Asia-Pacific region. Mr. Kohl joined Riverside in 1993. Prior to that, he was a vice president of Citicorp Venture Capital, Ltd., the private equity arm of Citibank. In addition to his work with Riverside, Mr. Kohl is active with many civic organizations, including: Oberlin College Board of Trustees; Co-Chair of the Museum of Contemporary Art Cleveland Board of Trustees; the Cleveland Clinic Board of Trustees, Wellness Institute Leadership Board, and Co-Chair of the Cleveland Clinic Capital Campaign. Mr. Kohl was inducted into the Ohio Foundation of Independent Colleges Hall of Excellence in 2009. He previously served as Co-Chair of the Building for Hope Capital Campaign of the Center for Families and Children. For 15 years, he was a "Heavy Hitter" participant in the Pan-Mass Challenge bicycle fundraiser for the Jimmy Fund of the Dana-Farber Cancer Institute. Mr. Kohl is the Founding Chairman of VeloSano, a charity cycling event benefitting research at the Cleveland Clinic Taussig Cancer Institute.

Mr. Kohl is a graduate of Oberlin College

January 28 **Stewart Kohl, Riverside Company, *Private Equity Market Update***

February 4 **Oleg Sydvak, PNC Capital Advisors, *Liability Driven Investing***

February 18 **Dan Clifton, Strategas, *Political Update and Business Impact***

February 25 **Colonel Mateo Martemucci, U.S. Air Force, *U.S. Cyber Security and Economic Threats***

March 25 **David MacGregor, Longbow Research, *Latest for Longbows 50 channel surveys & investor implications (durables)***

Registration links for events can be found at

www.cfasociety.org on the [CFA Society Cleveland calendar](#)

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MIDWEST INVESTMENT CONFERENCE



**Midwest Investment
Conference Wrap Up
Held November 19, 2014
Cleveland Convention Center**

***Thanks to CPG LLC, Matt
Dennis and Tim Cox for all
their hard work!***



2nd Annual Midwest Investment Conference Wrap Up

CFA Society Cleveland hosted the second Midwest Investment Conference at the Cleveland Convention Center on Tuesday, November 18th. The conference is organized to advance CFA Institute's goal of putting investors first and promoting corporate transparency in the capital markets. More than 120 institutional investors from across the country attended this year's event, which included investment presentations from 22 publicly traded companies. Three separate auditoriums featured 45-minute general sessions, conducted concurrently in industry tracks. C-suite executives enjoyed the opportunity to describe their respective strategies for creating shareholder value, followed by general audience Q&A.

In addition, institutional investors had the opportunity to request breakout one-on-one and smaller group meetings with company management teams for deeper due diligence. The conference luncheon featured a Keynote Address from Bloomberg Economist, Richard Yamarone. Yamarone's speech was both informative and entertaining, as is his style. He described his colorful view of the macro economy and some of the risks that he sees on the horizon.

We would like to thank everyone who contributed to making this conference a genuine success. That includes the presenting companies, the CFA Institute members from our local Society, as well as those who visited Cleveland (on a cold day in November) from around the region; and especially our sponsors and volunteers. Without everyone pitching in, this type of conflict-free event would not be possible. We look forward to seeing everyone at the next Midwest Investment Conference!



MEMBERSHIP



Nancy Benacci
Director of Equity Research
KeyBanc Capital Markets
Managing Director

Nancy C. Benacci was named the Director of Equity Research for KeyBanc Capital Markets Inc. in March 2004. She leads the 81-person Research Department, which focuses on companies in the consumer, energy, basic materials, healthcare, industrial, and real estate sectors. With the Company since 1989, Benacci previously worked as an Equity Research Analyst covering the insurance industry. She is a member of the KeyCorp Executive Council.

Benacci's previous experience includes working as a portfolio manager at Eaton Corporation and as a securities analyst with National City Bank. She began her career in accounting at Republic Steel.

Benacci earned a Bachelor of Science degree in business administration from John Carroll University in Cleveland, Ohio, and a Master of Science degree in business administration from the Weatherhead School of Management at Case Western Reserve University, also in Cleveland.

She is a Chartered Financial Analyst and has been recognized as one of The WallStreet Journal's All-Star Analysts, ranking first in stock picking in 1998 and fourth in estimate accuracy in 2000.

Benacci currently sits on the Board of Directors of John Carroll University, Borromeo Seminary and Boys Hope Girls Hope of Northeast Ohio. She is a member of the University Hospital's National Cancer Leadership Council. In the summer of 2014, Benacci was recognized by Crain's Cleveland Business as a Woman of Note, for both her professional and personal achievements.

MEMBERSHIP SPOTLIGHT

Interview conducted by Grant Guyuron, Membership Chair

What attracted you to equity research?

When I was a Finance major at John Carroll University, I had the opportunity to take an investment class and I immediately became fascinated by the markets. During the class, we learned about equity research and the job of a securities analyst. Part of the class included the full analysis of a public company, including regression analysis, forecasting and valuation analysis. I chose to analyze what was then Republic Steel. I sent in that report with my resume and was hired in Republic Steel's accounting training program. My goal was to eventually move into the group internally managing Republic Steel's pension fund, but I needed to get an MBA to make that happen. I immediately went to Case at night to get my MBA so I could make the move into equity research. Upon completing my MBA, I started working on getting my CFA charter. At that time, I knew that having a CFA charter was going to be important if I wanted to move ahead in the investment business.

What are the biggest challenges that you face as head of equity research at Key?

My biggest challenge as head of equity research at Key is finding enough hours in the day to spend as much time with each Senior Analyst as I would like. We are fortunate to have built a group of 32 outstanding Senior Analysts that have become nationally known as experts in their field. We will end the year with close to 600 companies under coverage. Each Senior Analyst generally has a full coverage list and my challenge is to be able to provide them with the resources and support to cover their sectors to the best of their ability. Consistency of coverage is important and we have been fortunate to have very high retention within our research group. We have had some turnover within our Associate group over the past few years as it has been more difficult to find young men and women that have the passion to put in the time and effort to become successful equity research analysts. Our associate turnover has actually been much lower than our peers.

What advice would you give to an aspiring equity analyst? From your experience, what is the most valuable lesson that you have learned throughout your career?

To an aspiring equity analyst, my best advice is to work hard and always focus on finding that edge, that nugget of information that can help you differentiate your views from the rest of the pack. You always have to be digging for information, doing channel checks and connecting the dots. Providing outstanding service to your clients is key. As a sell side analyst, you need to understand what the buy side client wants – is their strategy to

CONTINUED ON PAGE 7

MEMBERSHIP



Nancy Benacci
Director of Equity Research

Managing Director

MEMBERSHIP SPOTLIGHT CONTINUED

be long or short, is their investment philosophy focused on large cap growth or mid cap value? An aspiring equity analyst has to know what is happening in the world around them. You may focus on one key sector, but you should have a sense of what is going on in other sectors, other markets and internationally.

The most valuable lesson that I learned throughout my career is to work hard and always stay flexible. If you want to come to work and do the same thing every day, then equity research is not the field for you. The constant change in markets, sectors and companies is challenging and fascinating. I can truly say I have never had a boring day at work!

How has the CFA program and Society membership benefitted you personally? Please describe how you view the value of the CFA charter for equity research analysts?

I received my CFA charter in 1984 and have been a member of the CFA Society for thirty years. Over the years, I have attended many of the meetings and events. It is a great organization and I have had the benefit of meeting many investment colleagues who have become close friends. It is important to stay involved with the local CFA Society and to attend as many events that you can. I wish I had more time to be involved.

Join CFA Society Cleveland

[\\$150 Local Membership](#)

[\\$125 Candidate Membership](#)

[\\$100 Student Membership](#)

Welcome to CFA Society Cleveland New Local Members

Elizabeth Falco

Swaroop Yalla

Albert Adom

Sam Snyder

Lindsay Guzowski

Thomas Cook

Domenico Cristino

Nicolay Todorov

Matthew Thies

Frankie Carson

Yiting Xu

Erin Hassler

Matthew Feda

Charles Smith

Robert Szeles

David Alvarez-Carbonell

EDUCATION

CFA INSTITUTE RESEARCH CHALLENGE: OPPORTUNITIES FOR MENTORS, GRADERS, AND JUDGES

The seven Northeast Ohio university teams participating in this year's CFA Institute Research Challenge are looking forward to the challenge of analyzing and making a recommendation on Stepan Company (SCL), a local specialty chemical company. Stepan Company will present to the teams at the Midwest Investment Conference on November 18th, 2014. The teams will complete their research reports by February 9th, 2015. An oral presentations to judges is scheduled for Saturday, February 21st, 2015.

CFA Society Cleveland is currently assembling its Research Challenge Team and has some volunteer spots available for Mentors, Report Graders, and Presentation Judges. Please contact Deborah Kidd, CFA, for more information at 216-771-4210 or DKidd@BoydWatterson.com.

ABOUT THE RESEARCH CHALLENGE

The CFA Institute Research Challenge is a global competition that provides university students with hands-on mentoring and intensive training in financial analysis and professional ethics. Each student participant will be tested on his or her analytic, valuation, report writing, and presentation skills and gain real-world experience as he or she assumes the role of a research analyst.

Local CFA societies host and launch local competitions, including teams of three-to-five business and finance students from participating universities who work directly with a local company, faculty advisor, and mentor in researching and preparing a sell-side research report. The Research Challenge has three levels of competition: Local (Cleveland, February 2015), Regional (Atlanta, April 2015), and Global Final (Atlanta, April 2015).

Analysis of a Public Company: Teams research a publicly traded company, and company management presents to the teams and participates in a Q&A session.

Mentoring By a Professional Research Analyst: Each team works with a CFA Charterholder who serves as a mentor during the research process and reviews and critiques the team's report.

Writing a Research Report: Each team produces an Initiation of Coverage report on the chosen company. The report is reviewed and scored by a group of graders.

Presentation of Research to a Panel of Experts: The team's final presentations are locally evaluated by qualified investment professionals such as heads of research, portfolio managers, and chief investment officers. The team with the highest combined report and presentation score is declared the winner of the Local competition, and moves on to the Regional and Global Final challenges.

For more information, please visit: <http://www.cfainstitute.org/community/challenge/Pages/index.aspx>

Deborah Kidd, CFA Education Chair

Education Chair

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(see website for live class location listing)
- plus
- > Live or Online Review Workshops
(see website for live workshop location listing)



Premium Instruction Package | starting at \$934* (\$1,099 retail)

The Premium Instruction Package combines expert instruction with our most popular CFA study materials to give you a strong foundation for you to **prepare, practice, and perform** on the CFA exam. If you prefer the guidance and expertise of experienced instructors to make the best use of your study time, then the Premium Instruction Package is right for you. Choose between live or online weekly classes.

The **Premium Instruction Package** comes with your choice of:

- > Live or Online Weekly Classes
(see website for live class location listing)

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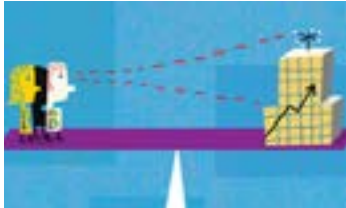
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ADVOCACY



[Principles for Investment Reporting](#)

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Principles for Investment Reporting

Clear, trustworthy investment reporting continues to be the most valuable tool for communicating investment information. Whether you use this information as an investor or as a financial professional, it is what you don't know that can be the most damaging. In today's complex investment marketplace, there is a need for a tool set of guidelines to advance the next stage of evolution for investment reporting.

The Principles for Investment Reporting serve to facilitate a dialogue between report preparers and users. As trust is rebuilt through clear and transparent reporting, it will also encourage investors to refocus on securing their financial future in partnership with investment professionals.

The Five Principles

1. Communication occurs between the preparer and the user as to the purpose of and need for investment reporting
2. Control processes, policies, and procedures are documented and followed
3. Client preferences are reflected in the investment report
4. Clear and transparent presentation of investment risks and results
5. Comprehensive fee disclosure term

CAREER SERVICES

Job Title: Investment Associate
Employer: MAI Capital Management
Job Location: Cleveland, Ohio
Contact: Iroggenburk@maiwealth.com

Job Description – Investment Associate; Investment Department

Reporting to: John Zaller - CO-Chief Investment Officer

Position:

Functional Title: Investment Associate
 Company Title: Associate

Position Summary:

The Investment Associate position in the Investment group will support the implementation of MAI's investment strategy in the management of client assets. This person will assist in the monitoring and management of client portfolios and support the process of identifying new investment ideas within the equity, fixed income, and alternative asset classes.

Primary Duties and Responsibilities:

- Assist in monitoring and managing client investment portfolios
- Initial emphasis in income security analysis and management
- Support MAI's investment research process and asset allocation decisions
- Conduct due diligence on individual securities and funds
- Be flexible to complete various special projects

Competencies:

Knowledge of financial markets / instruments / regulations, economic theories and relationships, valuation tools, and basic statistical and financial concepts; Proficiency in Microsoft Office and in various investment research tools (Fact Set, Bloomberg, etc.); Strong written and oral communication skills and analytical skills; Ability to work as a member of a team; High attention to detail; Skilled in data collection / interpretation; Flexibility and adaptability to a dynamic environment. Progress towards CFA certification and/or MBA preferred.

QUALIFICATIONS:

Experience Requirements:

1-3 years experience in investment management field preferred.

Education:

Bachelor's degree; Finance, Economics or similar preferred. Progress towards CFA certification and/or MBA preferred.

Characteristics:

A motivated, energetic professional who possesses the analytical and communication skills necessary to contribute to a dynamic investment management process; A self-directed individual who can use resources and creativity to solve problems and innovate more efficient ways to operate; A bright and articulate individual who can relate to people at all levels of an organization and represents the firm well within the business community and with clients; An individual who upholds the highest level of ethical standards and understands and complies with all regulations governing the investment management business.

For additional information contact: Laurie Roggenburk - 216-920-4801 or Iroggenburk@maiwealth.com

CAREER SERVICES

Job Title: Research Associates
Employer: KeyBanc Capital Markets Inc.
Job Location: Cleveland, Ohio
Contact: Jessica_M_Thompson@keybank.com

KeyBanc Capital Markets Inc., a division of KeyCorp, is looking for a Research Associates in Cleveland to join the equity research team in the Transportation and Logistics sector.

The Associate will have the opportunity to work with the Senior Research Analyst to create industry analysis and provide company specific coverage. Primary responsibilities include:

- Analyzing financial statements/SEC documents, financial supplements,
- Building and maintaining earnings models,
- Writing research notes, and
- Speaking to internal and external clients, industry contacts, and management teams about the stocks/sector.

Desired Skills & Experience

We look for candidates who possess strong accounting, finance, quantitative and business writing/communication skills, as well as modeling, forecasting, and valuation experience. The candidate must also possess tremendous intellectual curiosity and be able to solve problems independently.

The candidate should have 1-3 years of relevant experience (investment banking, equity research, or another analytical role) and an interest in research and the stock market. Experience in equity research, investment banking, consulting, the Transportation and Logistics sector is preferred.

Proficiency in excel and a strong academic record are required. The candidate will need to have or obtain all required FINRA licenses inclusive of Series 7, 63, 86 and 87. CFA is preferred, but not required. Candidates are expected to demonstrate a high level of attention to detail and be resourceful and flexible, with the ability to work well under pressure in a periodically intense environment. The ideal candidate is driven and self-motivated, with the ability to work both independently and as a key team player.

Company Description

At KeyCorp, we're committed to building a team of engaged employees who bring the very best of themselves each day to do the right thing for our clients, shareholders and each other. Headquartered in Cleveland, Ohio, KeyCorp is one of the nation's largest bank-based financial services companies, with assets of approximately \$89 billion. Key companies provide investment management, retail and commercial banking, consumer finance, and investment banking products to individuals and companies throughout the United States, and, for certain businesses, internationally. Interested in learning more? There's much to be discovered at Key.com/careers.

Jessica_M_Thompson@keybank.com

CAREER SERVICES

Job Title: Asset Based Lending Marketing Officer

Employer: KeyBank Business Capital

Job Location: Cleveland, OH

Contact: Alisa_K_Sohn@keybank.com

JOB DESCRIPTION GUIDELINES

The following Job Description format is required to ensure compliance with employment regulations including but not limited to the Americans With Disabilities Act, Title VII and Executive Order 11246.

JOB TITLE: Asset Based Lending Marketing Officer

KeyBank Business Capital (Key's asset based lending group) extends credit to corporations based in large part on the company's accounts receivable and inventory collateral. This position serves as a asset based lending product specialist to qualify potential opportunities, and to structure, price and present financing proposals to potential clients of KeyBanc Capital Markets (KBCM). Develops new business with assistance of Industry Bankers and Sponsor Coverage Bankers within KBCM, and through an independent calling effort on self-initiated prospects. This position blends a strong sales background with financial acumen. The Business Development Officer supporting KBCM will be an asset based lending professional with significant experience in originating and executing lead roles on transactions for corporate and sponsor owned businesses, including syndicated loans and transactions with complex structures including institutional term loans and/or high yield components. This individual will have a proven track record of successfully working in partnership with Industry Bankers, Sponsor Coverage Bankers, and Debt Capital Markets professionals.

ESSENTIAL JOB FUNCTIONS

- Works with Bankers to provide Asset Based Lending financing to current and new KeyBank clients.
- Calls on centers of influence to stimulate deal flow.
- Identifies and directs cross selling and prospecting activities.
- Focuses on generating incremental revenue, fee income and maximizing profitability.
- Markets within the KeyBanc Capital Markets to keep Bankers and other product groups aware of KeyBank Business Capital's capabilities and success stories.
- Attends industry related functions to heighten awareness of KeyBank.
- Attends marketing meetings of KeyBanc Capital Markets banking teams.
- Provides market color and technical assistance to non-department personnel when requested.

MARGINAL OR PERIPHERAL FUNCTIONS

REQUIRED QUALIFICATIONS

- Bachelors degree (or MBA) in Business or Finance/Accounting
- Minimum 5 years experience in Asset Based Lending business development in a bank environment
- Demonstrated knowledge of the asset based lending products (in coordination with institutional term loans and high yield) and process
- Have or obtain Series 79 and Series 63 licenses

Continued on page 14

CAREER SERVICES

Job Title: Asset Based Lending Marketing Officer Continued

Employer: Key Bank

Job Location: Cleveland, OH

PREFERRED QUALIFICATIONS

- Understanding of the Bank's risk appetite
- Demonstrates relationship building and consultative sales skills
- Demonstrated success in new business development
- Demonstrated ability to work as part of a team

COMPETENCIES/SKILLS

- Business Acumen
- Team Player
- Listening
- Negotiating
- Customer Focus

EQUIPMENT USED/PHYSICAL REQUIREMENTS

Standard Office Equipment (Phone, fax, computer). Travel required to visit internal and external clients and prospects.

TRAINING REQUIRED

Systems training as needed.

Please apply by email

Alisa_K_Sohn@keybank.com