



AFTER THE BELL

THE NEWSLETTER OF CLEVELAND FINANCE

SEPTEMBER 2014

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Dear Fellow Society Members and Stakeholders,

It has been an honor and a privilege to serve on the board of CFA Society Cleveland over the past few years, and I look forward to serving as President over the next year. I am especially proud of the hard work and dedication of our past and current board members and volunteers who have worked hard to make CFA Society Cleveland a first-class organization. As you may recall, CFA Society Cleveland was awarded Society of The Year for our size category for fiscal year-ending 2013. We continued to do many great things in fiscal year-ending 2014, and achieved the goals set out at the beginning of the year. One area of focus was improving governance and for its success, CFA Society Cleveland was awarded Society of The Year for Governance. This is a very honorable distinction and one that is granted to only one society per year regardless of size or region. I would like to thank immediate Past President Craig Cimoroni and last year's board and volunteers for their hard work and dedication that earned us this recognition.

In July we held our annual strategic planning session. This year we wanted to take a step back and ensure that as a society we are focused on the most important, and highest value add, activities. We began by conducting our annual member survey to gauge how our members feel regarding what we are doing as an organization and how we can improve. Next, we engaged Lauren McAdams from CFA Institute to attend our strategic offsite to review our current practices, assess the survey results from our members, incorporate CFA Institute's perspective, and share best practices from other societies. The session was a great success and the result is that we are doing a lot of things and doing them very well. This is a testament to the hard work of our board and volunteers and valuable input from our members. Some of the highlights from the session are as follows:

- Updated CFA Society Cleveland's mission statement to reflect the broadening of our membership base from a career and geographical perspective and to be more inclusive of the broader financial community. Our new mission statement is: "To promote professional development, ethics, and awareness through outreach to and engagement with the financial community."
- Continued focus on our core goals of Engagement, Membership, Investing in the Future, and Aligning with the CFA Institute.
- Continuing/expanding our Advocacy efforts
- Continue to seek ways to provide easier access to member events while continuing our strong tradition of high quality luncheons

As we continue into the year I will provide regular updates regarding how we are tracking against our mission and goals. If you have not done so in the past, I ask that you take time to read through this and upcoming newsletters and become as actively engaged as you can in your society. The more engaged we all are, the greater the impact we can have as an organization on northeast Ohio and beyond.

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

Midwest Investment Conference 2014

Tuesday, November 18, 2014 | Cleveland Convention Center

REGISTER NOW!

"This conference features a line-up of high quality companies and is a very efficient way for institutional investors to meet corporate officers and conduct due diligence."

— Denis Amato, CFA, Managing Director, Ancora Advisors



The Midwest Investment Conference 2014 (MWIC14) represents a unique opportunity for public issuers and institutional investors to engage in a comfortable no-strings attached setting. This corporate access and due diligence event will feature companies located throughout the Midwest in several industry tracks.

Companies presenting at MWIC14 will include:



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PROGRAMMING

CALENDAR OF EVENTS



September 24th
Loretta Mester,
President and CEO
Federal Reserve Bank of Cleveland

Please register early to reserve your seat, tables are available. Tickets will be \$25 for members and \$40 for non-members for this event.

[Register Here for Loretta Mester](#)

Loretta Mester, President and Chief Executive Officer, Federal Reserve Bank of Cleveland. This exciting event is Dr. Mester's first public speaking engagement in her new distinguished position, and will be held at the Renaissance Cleveland Hotel, Gold Ballroom, September 24th, 2014 11:30 AM.

As president and chief executive officer of the Federal Reserve Bank of Cleveland, Loretta J. Mester participates on the Federal Open Market Committee in the formulation of U.S. monetary policy, and oversees 950 employees in Cleveland, Cincinnati, and Pittsburgh who conduct economic research, supervise banking institutions, and provide payment services to commercial banks and the U.S. government. She assumed her role as president and CEO in June 2014.

Dr. Mester is a distinguished, widely respected economist and leader with vast experience and deep knowledge of economics, finance, financial intermediation, banking issues, and the Federal Reserve System. She began her career at the Federal Reserve Bank of Philadelphia in 1985 as an economist and advanced to positions of increasing responsibility, most recently serving as executive vice president and director of research. As director of research she served as the chief policy advisor, attended meetings of the Federal Open Market Committee and had oversight of a staff of research economists and analysts in the Research Department. In addition, she oversaw professionals in the Financial Statistics Department and the Payment Cards Center. Dr. Mester also serves as an adjunct professor of finance at the Wharton School of the University of Pennsylvania and is a fellow at the Wharton Financial Institutions Center.

Dr. Mester has published numerous articles in refereed academic and professional journals on a variety of topics including economics, central banking, and financial issues. Her areas of research expertise and interest include the organizational structure and productive efficiency of financial institutions, financial intermediation and regulation, agency problems in credit markets, credit card pricing, central bank governance, and inflation. Dr. Mester has presented her research at many professional conferences and seminars; she has spoken regularly to business audiences about the economy, monetary policy, and financial regulation. She is a founding member and director of the Financial Intermediation Research Society; a member of the advisory board of the Financial Intermediation Network of European Studies (FINEST); and a practitioner director of the Financial Management Association International (FMA). In addition, Dr. Mester is co-editor of the Journal of Financial Services Research and the International Journal of Central Banking; and is an associate editor of several other academic journals.

Dr. Mester graduated summa cum laude with a bachelor of arts degree in mathematics and economics from Barnard College of Columbia University. She earned M.A. and Ph.D. degrees in economics from Princeton University, where she was a National Science Foundation Fellow.

2014 HARRY W. MILLIS MEMORIAL GOLF OUTING

Thanks to our 2014 Golf Outing Sponsors

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<i>Lunch Sponsor</i>	<i>John Hancock</i>	
<i>Dinner Sponsor</i>	<i>Westfield Group</i>	
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	<i>Cleveland Research</i>	<i>Midwest Investment Management</i>
	<i>Cowen & Co.</i>	<i>Morgan Stanley</i>
	<i>Factset</i>	<i>Northcoast Research</i>
	<i>Kaplan Schweser</i>	<i>SA On Call</i>
	<i>Winfield Associates</i>	

A special thanks to Lake Forest Country Club and Nick Perini who were wonderful and generous hosts.

What a great day the 15th Annual Harry W. Millis Memorial Golf Outing turned out to be. The weather was perfect, the course played tough, the food was great, and the drinks were bountiful on Monday, August 25. Congratulations to all of the winners, and thank you to all of the sponsors. Without the generosity of our sponsors, this event would not be possible. While we may not play like the pros on TV, we hope everyone enjoyed themselves and had a chance to make new friends and reconnect with old. This is a fantastic event that we will strive to make better each year. We hope to see everyone on the course next year.

2014 GOLF OUTING

2014 Harry W. Millis Golf Outing Winners

1st Place Team-\$400 (\$100 per player)

Chris Powers
Ensign Cowell
Chris Giampietro
Ron Stephonic

2nd Place Team - \$300 (\$100 per player)

Richard Ranck
Gerry Goldberg
Timmy Goldberg

3rd Place Team - \$200 (\$50 per player)

Jim Halloran
John Puskar
Don Fishbach
Scott Halloran

Men's Long Drive #2 - \$50

Todd Rongaus

Men's Long Drive #11 - \$50

James Bailey

Women's Long Drive #8 - \$50

Sonia Mintun

Men's Closest to the Pin #6 - \$50

Chris Giampietro

Men's Closest to the Pin #14 - \$50

Tom Jalics

Women's Closest to the Pin #6 - \$50

Rita Ontko

Closest to the Pin Team #10 - \$200 (\$50 per player)

Craig Steinberg
Dennis Markey
Ron Ulle
Jerry Bielek

Putting Contest - \$100 per player

Jim Chandler
Ryan Hummer



MEMBERSHIP



Jim Bernard, CFA

**Senior Vice President and Director of Fixed Income Portfolio Management
Ancora Advisors**

James M. Bernard, CFA, joined Ancora in 2006 as Director of Fixed Income. Jim manages taxable and tax-exempt fixed income portfolios for various institutional and high net worth individual accounts. In addition to portfolio management, he provides fixed income consulting services for various financial institutions.

Jim managed fixed income portfolios as well as the Ohio Municipal Bond Fund and the Kentucky Municipal Common Trust Fund for Fifth Third Investment Advisors prior to joining Ancora Advisors. His prior experience included serving as Chief Investment Officer and Treasurer of a multi-line insurance organization in central Ohio. He also managed funds for banks and trust companies in Indiana and Kansas City during his 30 years in the investment business.

Jim earned a Bachelor degree in Business Administration from Xavier University and an MBA from Ball State University. He is a member of the CFA Institute and the Cleveland Society of Financial Analysts. He is a registered representative holding Series 7 and Series 24 (principal) licenses. He is a board member and former Chairman of the Board of Solutions Behavioral Healthcare Incorporated, non-profit mental health, alcohol, and drug abuse consulting provider.

MEMBERSHIP SPOTLIGHT

Interview conducted by Grant Guyuron, Membership Chair

1. In your opinion, what is the most critical role of fixed income in an investor's portfolio?

Fixed income serves the dual purpose of providing a source of reasonably stable income and also serves as an instrument to reduce overall portfolio volatility in a balanced portfolio. During periods, such as now, with historically low interest rates and historically tight credit spreads investors need to appreciate that the volatility reducing aspect of fixed income can still legitimize some exposure to fixed income in a balanced portfolio.

2. What is your outlook on interest rates, and how are you preparing client portfolios?

Our outlook is for continued modest improvement in the U.S. economy in coming quarters with some modest increases in overall inflation. If this holds true, we see higher rates across the yield curve in the next 12 - 24 months. Because of this outlook we have reduced the duration of our client's portfolios to approximately 85% of the duration of the applicable fixed income index. We continue to be overweight corporate bonds as we believe corporate credit spreads will remain tight over the next few years.

3. What have you found to be the most repeatable source of alpha generation in an active fixed income portfolio?

Through the years we have found that in the investment grade bond market, correct sector allocation has been our best and most consistent source of alpha generation. While we typically will have some minor deviation from our benchmark duration, it has been difficult to win on duration positioning on a consistent basis.

4. Where are you seeing the best opportunities in the fixed income market? What are you most concerned about?

It is very difficult to find much relative value in the fixed income market with credit spreads at or near historically tight levels. While we find MBS to have some attractive structural appeal (limited pre-pay risk and manageable extension risk), spreads also remain very tight in most MBS sectors. We do occasionally find some value in deeply discounted callable agency bonds. Our primary concern remains the impact of higher rates on our portfolios. As stated above, we do not look for across the board credit spread increases in most taxable debt markets. We do have some concerns on further and expanding credit issues in the investment grade municipal markets. We see significant challenges for many years to come as legacy related costs continue to grow at an alarming rate for many state and municipalities across the country.

MEMBERSHIP

MEMBERSHIP SPOTLIGHT CONTINUED

5. Please describe the impact of the CFA program and Society membership on your career.

I have been in the Society for well over 30 years and a CFA Charterholder for the last 31 years. This program has had a significant impact on my career, opening doors to career opportunities and networking opportunities. As someone who started the CFA program early in my career, the educational impact was also significant. I believe a great deal of the success I have had in the investment profession may not have occurred without my affiliation with the CFA Society.

6. You agreed to participate in the Society's mentor program, please describe your experience so far.

I was very happy to be able to give back to a program that has been so instrumental in my career. While I am early in the mentoring program I have enjoyed the experience and hopefully can have an impact on the current individual I am mentoring and possibly others in coming years. In an ever changing industry like the investment management profession, I believe a mentoring program to assist individuals with their career development can be a very worthwhile program for many younger Society members as well as a great way for others to give back to the Society and its membership.

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EDUCATION

Access Scholarship Program

Access Scholarships are needs-based scholarships allocated to societies for candidates applying to the 2015 CFA Exam Program. The 2015 Access Scholarship application period opened on March 1, 2014 and ends on September 15, 2014. Candidates may submit their application online through the CFA Institute website. In 2014, CFA Institute awarded 2,652 Access Scholarships to individuals in 91 countries.

Continuing Ed Corner

In the News: Tax Inversion

Corporate tax inversion continues to make headlines. In this informative *Conference Proceedings Quarterly* article, [Tax Reform is Coming Eventually: Guide to Potential Winners and Losers](#), David Zion, senior managing director of International Strategy and Investment Group, examines the current state of corporate taxation and the various approaches U.S. companies use to benefit from lower overseas taxes. Zion highlights the S&P 500 companies that stand to gain or lose from corporate tax reform—which, he says, is inevitable. (0.5 CE)

Investing Trends: Environmental Markets

Sustainable investing is gaining traction on a global basis. A recent publication by the CFA Institute Research Foundation, [Environmental Markets: A New Asset Class](#), explores one category of sustainable investing, environmental assets, and explains why they are expected to experience dramatic growth over the coming decades. (5.0 CE)

Investing Trends: Factor Investing

Factor investing, also known as smart beta, is moving beyond equities to other asset classes and even to hedge funds. In a July 2014 Investment Risk and Performance newsletter article, [Factor Investing: When Alpha Becomes Beta](#), I review the evolution of factor investing and its role in controlling risk exposures and reducing fees.

Highlight from the Annual Conference

Watch the webcast, read the book, see the play: [The Economics of Good and Evil](#). Tomáš Sedláček, chief macroeconomist strategist at ČSOB, challenges long-held assumptions about economics in a presentation at the Annual Conference based on his best-selling book, which was later made into a European theatre production. (1.0 CE)

Easy Ethics Credit

If you have 13 minutes, earn 0.5 ethics (SER) credit by watching this Take 15 webcast, [Exploring Hedge Funds: A Conversation with the Greenwich Roundtable](#), in which Stephen McMenamin, president of the Greenwich Roundtable, discusses issues facing the hedge fund industry and the overall value of hedge fund products. The nonprofit Greenwich Roundtable is a leading proponent of alternative investment industry best practices and due diligence.

Deborah Kidd, CFA

Education Chair

ADVOCACY

2014 ANNUAL MEMBER SURVEY

[Link to survey](#)

ANNUAL MEMBER SURVEY

2014

The survey was open 6-19 March 2014. Of 45,000 members invited, 3,943 valid responses were received for an overall response rate of 9% and a margin of error of ±1.5%.



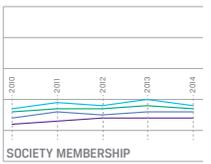
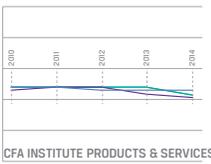
MEMBER VALUE

93%

Agree, consistent with prior years, that we are effectively implementing our mission.

Respondents rated on a 1-10 scale, where "1" means a very low level of value and "10" means a very high level of value.

LINE GRAPH COLOR REFERENCE
 — TOTAL
 — AMER
 — APAC
 — EMEA

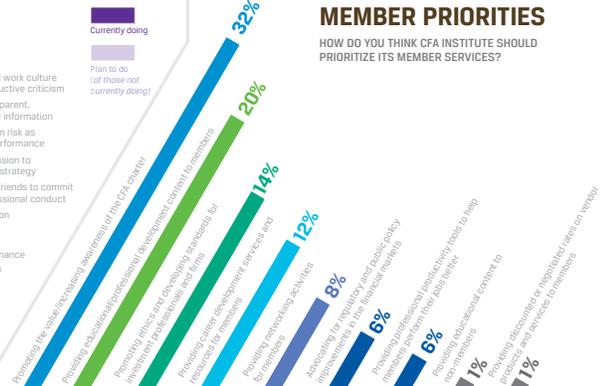


THE FUTURE OF FINANCE

HOW MEMBERS ARE HELPING TO BUILD A TRUSTWORTHY FINANCIAL INDUSTRY



Currently doing
 Plan to do (of those not currently doing)



MEMBER PRIORITIES

HOW DO YOU THINK CFA INSTITUTE SHOULD PRIORITIZE ITS MEMBER SERVICES?

PROFESSIONAL DEVELOPMENT AND CAREER RESOURCES

53% Members that say CFA Institute meets their professional development needs well

61% Members interested in participating in a mentor program

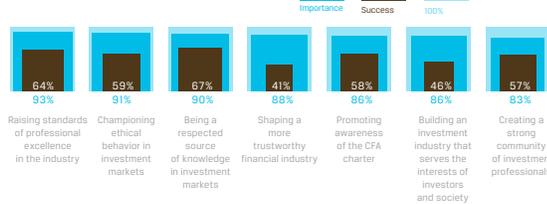
MEMBER SATISFACTION

61% Members who think what CFA Institute has to offer is relevant to their career

58% Members satisfied with the level of awareness of CFA Institute in local markets

53% Members that agree CFA Institute has an effective presence in advancing ethics and standards in their local market

IMPORTANCE/SUCCESS OF CFA INSTITUTE EFFORTS



MOST VALUABLE CAREER MANAGEMENT SERVICES



©2014 CFA Institute

CAREER SERVICES

Relationship Management Associate

Glenmede

Ohio

Overview

The primary function of the Relationship Management Associate is to support the Relationship Manager in the analysis and implementation of investment strategies for client portfolios. This includes client interaction and entails a working knowledge of the pertinent departmental subject area.

Responsibilities:

1. Act as initial point of contact for client and internal communications, manage information flow, prioritize needs, assist with and draft communications, as required. Must enjoy working & communicating with a diverse group of clients as part of a Relationship Management team.
2. Assist Relationship Manager in the modeling and rebalancing of client portfolios. This includes analysis of portfolios to ensure that they are in line with clients' asset allocation objectives.
3. Review daily reports (transaction, overdraft, bond maturity) for possible investment action.
4. Assist in the maintenance of annual OCC Regulation 9 reviews of client portfolios.
5. Independently handle client inquiries, undertaking research and necessary action. Keep all relevant parties informed.
6. Maintain all information in accordance with Glenmede's documentation retention practices and procedures utilizing the client relationship management (CRM) system (Onyx).
7. Assist in preparation of presentation material for meetings via Investedge. Coordinate with wealth advisory, tax, or other departments to ensure deadlines are met.
8. Attend client meetings as requested.
9. Attend relevant internal investment meetings, including morning, IPC, and manager updates (GIM/MRG).
10. Prepare Asset Allocation Analysis presentations for new business or existing clients.
11. Handle special projects and committee assignments as needed.
12. Provide coverage when team members are out of the office.
13. Perform other duties as required by position.

Qualifications:

1. Bachelor's degree required.
2. 3- 5 years' experience in HNW Investment Management preferred.
3. Interest or progress towards CFA or CFP designations.
4. Excellent written and verbal communication skills/pleasant telephone manner.
5. Detail-oriented, particularly with financial calculations; proficient in Excel.
6. Command of Microsoft Office and ability to adapt to investment and CRM-oriented IT applications.
7. Proven organizational and problem solving skills.
8. Proven ability to work well under pressure.
9. Self-starter with a great deal of initiative.
10. Must be able to prioritize and accomplish many tasks simultaneously, and communicate deadlines to determine precedence as needed.
11. Ability to interact effectively with other employees and clients.

Please apply through our portal:

<https://careers-glenmede.icims.com/jobs/1287/relationship-management-associate/job>

CAREER SERVICES

Transaction Advisory Services Manager Valuation Business Valuation

Ernst & Young.

Cleveland, Ohio

Transaction Advisory Services Manager Valuation Business Valuation

Service Line & Sub Service line: Transaction Advisory Services; Valuation & Business Modeling

32/Manager

Summary:

Within TAS, the Valuation and Business Modeling group helps clients understand the value of their business, their securities, intellectual property, capital equipment, intangibles and other assets. The group is comprised of several key areas, including Business Valuation, Business Modeling, Capital Equipment and Complex Securities.

Key Responsibilities:

Manage intangible business valuations for management planning; mergers and acquisitions (M&A);

financial reporting; tax and regulatory compliance; restructuring and reorganization; and corporate strategy.

Identify issues and propose strategies related to the procedures executed.

Assume a leadership role in report generation and detailed financial modeling.

Maintain and develop positive, productive, and professional relationships with clients.

Supervise, develop and mentor professionals at the Staff and Senior level.

Identify business development opportunities and assist Partners and Senior Managers on proposals and new business opportunities.

Participate in engagement management, engagement execution and reporting, and client relationship building and management.

Demonstrate teamwork and responsibility with engagement team members.

Use current technology and tools to enhance the effectiveness of services provided.

Qualifications, Certifications, Education:

A bachelor's degree in finance, economics, accounting or business and at least 5 years of related intangible valuation work experience; or a graduate degree and at least 4 years of related work experience.

At least 4 years of direct experience utilizing Valuation techniques and methodologies (Purchase Price Allocations (PPA), Discounted Cash Flow (DCF), Income Approach, Market Comparables, etc) within a business valuation firm or practice or in venture capital, investment banking, commercial banking, financial research, national valuation firm or experience in a corporate finance role for an organization, preferably for M&A activities; of which 3 years should be PPA experience.

Strong financial modeling skills including experience building models from scratch.

Experience conducting Valuations for tax planning purposes highly desired.

Achievement of or significant progress towards a CFA; ASA/AM designations are a plus with the expectation of one completed designation within a given timeframe.

Ability to manage project expenditures against budget and revenue, and provide sound guidance to team members to confirm the completion of work deliverables.

Excellent analytical, project management, communication, interpersonal, and teaming skills.

FAS 123 R, 157, 409a experience desired.

- Willingness and ability to travel, as necessary

Contact Matthew Scibienski Matthew.Scibienski@ey.com

CAREER SERVICES

Transaction Advisory Services Manager - Valuation - Business Valuation

Ernst & Young

Cleveland, Ohio

Job template title: Transaction Advisory Services Manager - Valuation - Business Valuation

Service Line & Sub Service line: Transaction Advisory Services; Valuation & Business Modeling

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- Assume a leadership role in report generation and detailed financial modeling.
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- Demonstrate teamwork and responsibility with engagement team members.
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- At least 4 years of direct experience utilizing Valuation techniques and methodologies (Purchase Price Allocations (PPA), Discounted Cash Flow (DCF), Income Approach, Market Comparables, etc) within a business valuation firm or practice or in venture capital, investment banking, commercial banking, financial research, national valuation firm or experience in a corporate finance role for an organization, preferably for M&A activities; of which 3 years should be PPA experience.
- Strong financial modeling skills including experience building models from scratch.
- Experience conducting Valuations for tax planning purposes highly desired.
- Achievement of or significant progress towards a CFA; ASA/AM designations are a plus with the expectation of one completed designation within a given timeframe.
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- Excellent analytical, project management, communication, interpersonal, and teaming skills.
- FAS 123 R, 157, 409a experience desired.
- Willingness and ability to travel, as necessary

Contact Matthew Scibienski Matthew.Scibienski@ey.com

CAREER SERVICES

Associate, Marketing & Distribution, MAI Investment Management - MAI Wealth Advisors, LLC.

Cleveland, OH

Directly Reporting to: Managing Director, Marketing & Distribution

About Us: MAI Investment Management innovates and manages targeted solutions to financial advisors worldwide. Solutions include alternative investments including Dividend Plus+, developed in 2009 as a risk-managed liquid alternative to lower portfolio volatility, and provide durable portfolio income independent of directional equity markets; and Energy Infrastructure & MLP Strategy, developed in 2009. MAI Investment Management is a division of MAI Wealth Advisors, an SEC registered investment advisor founded in 1973, with 80 employees, which has grown from less than one billion in assets under management to \$3.5 billion assets under management in seven years.

As we launch MAI Investment Management as a new division of an established, highly regarded and growing firm, we are looking for someone who can contribute immediately to our growing team.

Responsibilities Where You Are Actually Responsible

BE A DAILY DRIVER of Marketing and Distribution and the Marketing and Distribution team working hand-in-hand with the Managing Director

PROMOTE AND SUPPORT DISTRIBUTION of MAI proprietary strategies through internal and external top-level brand name distribution channels.

BE LISTENED TO AND CONTRIBUTE in the development of sales tools/collateral and provide sales support to both internal and external audiences. This role will include interaction with financial advisors, in person and over the phone, which will require creative thinking and problem solving.

Duties

CONNECT: Setting up in person and, phone and video-conference meetings, booking travel arrangements, itineraries and preparing expense reports.

PLAN: Preparing and distributing information in advance of and in response to meetings.

MANAGE: Maintaining detailed information in CRM.

CREATE: Preparing campaigns sent to prospects and providing status updates.

COLLABORATE: Coordinating activities with outside partners including sales reps.

BUILD RELATIONSHIPS: Establish credibility and rapport with national external wholesaler team and retail financial advisors.

IMPROVE and support the asset flow accounting process

Qualities and/or Qualifications:

Financial service industry experience required with some working knowledge of investments

Ideally, the candidate has some experience in a mutual fund or investment management complex

Excellent customer contact skills required

Must be comfortable making outbound calls, providing a superior level of service

Use good judgment when speaking with others and making decisions.

Ability to learn and understand investment products; explain basic features and benefits clearly and accurately to financial advisor prospects with differing needs.

Professional, self-motivated, ethical, thorough and organized.

Ability to follow and adhere to strict financial regulatory agency guidelines.

Team oriented and willing to ask questions when not clear or not familiar with the subject.

What You Need -- Before we talk:

1-3 years of relevant financial service industry experience required

Advanced Skill; Microsoft Suite of Products

Knowledge of CRM system - currently on Microsoft Dynamics

Drive

Contact: Iroggenburk@maiwealth.com

CAREER SERVICES

Associate

Wellspring Financial Advisors

Mayfield Heights, Ohio

Wellspring is an independent wealth management firm. We offer holistic financial services to high net worth individuals and families including investment advisory, income tax planning and compliance, financial and estate planning, risk management and other multi-family office services. We are seeking a confident, motivated, self-starter to join us. We seek to hire and develop employees who embody our standards of excellence. This position offers long-term career growth and a competitive compensation and benefits package.

ROLE SUMMARY

- Provide support to the Directors, Managers, and Senior Associates of the firm
- Assist in the preparation of Federal, State and Local individual, partnership, S-corporation, and trust income tax projections and returns
- Preparation of financial, tax and investment deliverables including tax returns, cash flow, net worth and estate plans
- Attend client meetings, as needed
- Interact with clients, custodians, and other third party professional providers as necessary in servicing clients' needs
- Assist with client communication, agendas, recaps, and recommendations
- Initiate continuous improvement through leverage of new or existing technology

EXPERIENCE AND EDUCATION

- Ideal candidate has 1 to 2 years tax and financial planning experience
- Bachelor Degree in Finance or Accounting
- Interest in pursuing the Certified Financial Planner or Certified Professional Accountant designation

SKILLS AND COMPETENCIES

- Commitment to professional and client service excellence
- Strong verbal and written communication skills
- Detail and deadline oriented
- Strong proficiency with Excel and other programs in the Microsoft Suite of Products (Outlook, Word and PPT) as well as CRM
- Multi-tasking
- Flexibility
- Self-starter
- Team player

Contact: Laura Capuozzo, Operations Manager

lcapuozzo@wellspringadvisorsllc.com

5885 Landerbrook Drive, Suite 205

Cleveland, Ohio 44124

CAREER SERVICES

Client Service Coordinator

Wellspring Financial Advisors

Mayfield Heights, Ohio

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ROLE SUMMARY

- Provide administrative support to staff, including composition and preparation of correspondence and presentations using a variety of software applications
- Support staff in all areas of services provided (Financial, Investment and Tax). This support includes, but is not limited to tax return processing, financial data requests from clients, staff and third party professional advisors, investment transaction reconciliation and recordkeeping, transactional money movement and client bill pay, completion of brokerage applications and opening of accounts, initiating account transfers, processing various reports net worth, cash flow and investment reports
- Maintain detailed information and prepare reports using CRM software
- Perform internet based research when requested to support client team and clients
- Resolve administrative problems and inquiries for clients
- General clerical duties including, but not limited to, photocopying, faxing and mailing
- Assist Receptionist with answering, screening and transferring inbound phone calls
- Assist with the maintenance of electronic and hard copy filing system
- Other duties and management of projects as assigned

EXPERIENCE AND EDUCATION

- Ideal candidate has 2 to 4 years of administrative experience
- Associate Degree preferred, but not required
- Experience working in a client-focused, high-touch, and fast-paced professional environment
- Advanced computer skills – Microsoft Suite of Products (Word, Outlook, Excel, PPT) and CRM
- Internet savvy
- Knowledge of principles and practices of basic office management

SKILLS AND COMPETENCIES

- Communication skills – written and verbal
- Strong planning and organizational habits
- Prioritizing
- Problem assessment and problem solving
- Comfortable with basic financial calculations
- Information gathering and information monitoring
- Attention to detail and accuracy
- Flexibility
- Adaptability
- Customer service orientation
- Teamwork

Contact: Laura Capuozzo, Operations Manager

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