



# UPCOMING PROGRAMS

CFA Society of Los Angeles, Inc. ■ 350 South Grand Avenue, Suite 1680 ■ Los Angeles, CA 90071 ■ Phone/Fax: 213.341.1164 ■ [www.cfala.org](http://www.cfala.org)

## November 2009

### Career Development Expo

Thursday, November 5, 2009

2:30pm – 6:30pm

***Join us for a day of learning, networking and investing in your career!***

The CFA Society of Los Angeles, Inc. is pleased to present the Annual Career Development Expo. This year's Expo features informative panel sessions and individual resume reviews useful for those seeking their first entry into the financial services industry as well as for experienced professionals interested in transitioning in the field. Whether you are a student considering the many career paths in the industry, or someone who is looking to leverage existing experience, this Expo has something for you! Plus, you will have a chance to meet and mingle with local company representatives and Society members.

- 2:30 pm..... **Registration**, Exhibit Hall
- 3:00 - 3:10 pm ..... **Welcome**
- 3:10 - 3:30 pm ..... **Benefits of CFA Charter in the Investment Field**  
 Speaker ..... **Bill Krantz, CFA, Co-Director USC/CFALA Review Program**
- 3:30 pm..... **Career Options in Financial Services/Search Tips and Strategies – What types of careers are available in the financial services industry? What do I need to remain competitive in the future? How do I effectively marketing myself to financial services companies? Our panelists will use the knowledge gained from their career paths to discuss skillset requirements, job responsibilities and lifestyle issues you may encounter in today’s job markets.**  
 Moderator .. **Adam Coppersmith, CFA, Vice President, Trust Company of the West**  
 Panel ..... **David Aung, CFA, Vice President, Trust Company of the West**  
                   **Amit Bajaj, Principal, Bank of America**  
                   **Gary Dvorchak, CFA, Managing Partner, Channel Island Partners LLC**  
                   **Grace Ma, CFA, Vice President, Wealth Advisor at Northern Trust**  
                   **Ara Oghoorian, President, ACap Asset Management, Inc.**  
                   **Michael Salvay, CFA, Managing Principal, Payden & Rygel Investment Counsel**  
                   **Ashish Ward, CFA, Investment Management Examiner, Securities and Exchange Commission**
- 4:15 pm ..... **Communication Skills Presentation**  
 Speakers .... **Cynthia Harrington, CFA, Principal, Transition Technologies LLC**  
                   **Cecile Munoz, President, U.S. Executive Search, Inc.**



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4:40 pm..... **Resume Review Sessions, Networking Reception**, Exhibit Hall  
Recruiters . . **Ellys D. Cortez**, *Senior Associate, U.S. Executive Search, Inc.*  
**Ana Echeverria**, *Associate Director, Investment Banking Services, The Century Group*  
**Sean McCarthy**, *President, Jackson McCarthy & Associates, Inc.*  
**Cecile Munoz**, *President, U.S. Executive Search, Inc.*  
**Christine Semana**, *Executive Search Manager, Accretiv Solutions*  
**Sid Valluri, Ph.D.**, *Managing Director, Odessa Capital Management*

### Registration Fee

Individual Pre-Registration  
**Register by November 3** . . . . . **\$35.00** (*CFALA members are not hosted*)  
Individual Pre-Registration After November 3 . . . . . **\$40.00**  
Walk-In Registration . . . . . **\$45.00**

### REGISTER IN ONE OF THREE WAYS:

1. Make check payable to *CFA Society of Los Angeles* and mail with registration form (obtained from the CFALA website) to:  
**CFA Society of Los Angeles**  
**350 S. Grand Ave., Ste. 1680,**  
**Los Angeles, CA 90071**
2. Groups must fax form (obtained from the CFALA website) with credit card information.  
**SPECIAL STUDENT GROUP RATE:** Register by November 3 and for every 5 students registering together, pay only **\$30 each!**  
**All registrants must register together by fax or mail to receive this special rate.**  
No group walk-ins will be allowed.  
**(\*NOTE: Students must submit paper registration to receive special rate)**
3. Individuals may pre-register and pay online ([click here](#))

**Location:** Omni Los Angeles  
251 South Olive Street  
Los Angeles, CA 90012  
For directions call: (213) 617-3300

\*For Sponsor and Exhibit information, please ([click here](#))

**CFA Review Orientation November 2009**  
CFA Program Information Session  
*So, you want to become a CFA Charterholder?*



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Saturday, November 21, 2009  
9:30 am – 11:00 am

**Location:** University of Southern California – Hoffman Hall, caseroom 1 (HOH-1) [USC Map](#)  
coordinate 7F

**Parking:** University Parking Structures \$8, Gate 3 Parking Structure "X" off of Figueroa is the closest.

***Learn more about:***

- The value of the CFA Charter to your professional development and career
- CFA Institute and CFA Society of Los Angeles, Inc.
- Enrolling in the CFA Program
- Strategies for successfully completing the CFA Program
- Study Guides and CFA Curriculum
- USC/CFALA CFA Review Program
- Scholarships

**Chair(s):** William Krantz, CFA and Lawrence Harris, Ph.D.

Open to all CFA Candidates and others interested in learning more about the CFA Program.

**Other Info:** No charge to attend/No membership required

**Registration** ([click here](#))

**Cost Members:** \$00

**Cost Non-Members:** \$00

## Fall 2009 Practice Exam level I

Saturday, November 21, 2009  
8:15am - 4:30pm

**Cost Members:** \$100

**Cost Non-Members:** \$100

**Location:** University of Southern California [USC Map](#) (coordinate 7E) - Hoffman hall - Edison Auditorium

**Parking:** University Parking Structures \$8, Gate 3 Parking Structure "X" off of Figueroa is the closest.

Candidates enrolled in the USC/CFALA CFA Review need not register. The Practice Exam is part of your curriculum and it is listed on the class schedule.

REGISTRATION FOR THE PRACTICE EXAM CLOSSES NOVEMBER 18, 2009.



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The full-length practice exam is designed to simulate the test-taking environment you will experience when you take the CFA exam on June 6th.

8:15am - 8:45am registration  
8:45am - 9:00am exam instructions  
9:00am - 12:00pm exam (part 1)  
12:00pm - 1:30pm lunch break  
1:30pm - 4:30pm exam (part 2)

**Chair(s):** William Krantz, CFA and Lawrence Harris, Ph.D.

[Register Here](#)

For further information please contact 213-341-1164, x 701 or email [cfareview@cfala.org](mailto:cfareview@cfala.org)

## Infrastructure: A Sustainable Global Theme

Monday, November 23, 2009  
12:00 pm – 1:30 pm, Lunch

### Featured Speaker:

#### Frank Holmes

CEO and Chief Investment Officer of U.S. Global Investors, Inc.

**Chair:** Adrienne Regrutto

*Sponsored by the Alternative Investments Group*

The infrastructure needs of developing – and developed – nations offer a long-term investment opportunity for those astute enough to select the right vehicles. Frank Holmes, CEO and Chief Investment Officer of U.S. Global Investors, Inc., will address this important subject when the CFA Society of Los Angeles (CFALA) presents “Infrastructure: A Sustainable Global Theme” from 12:00 pm to 1:30 pm, Monday Nov. 23 at the Omni.

Infrastructure is a global investment opportunity that lies at the intersection of emerging markets and natural resources. China, India and other emerging nations have committed to building out their infrastructure to support their rapid economic growth. Catching up with their needs for new roads, bridges, seaports, communication networks and the like will consume huge amounts of energy and commodities. The developed world also has tremendous infrastructure needs – a 2006 study in Canada determined that the country’s roads, bridges and water treatment facilities had reached or even surpassed the halfway point of their useful life.

Frank Holmes is CEO and Chief Investment Officer of U.S. Global Investors, Inc., a San Antonio, TX-based Registered Investment Adviser managing 13 no-load mutual funds specializing in natural resources, emerging markets and global infrastructure. U.S. Global’s funds have received numerous honors, with the Global Resources Fund (PSPFX) and the World



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Precious Minerals Fund (UNWPX) receiving 2007 and 2008 Lipper Fund Awards as the best overall fund in their respective categories.

Holmes was selected as the 2006 mining fund manager of the year by Mining Journal, a leading publication for the global natural resources industry. He is the co-author of "The Goldwatcher: Demystifying Gold Investing," and is a frequent keynote speaker at national and international investment conferences. He is a regular commentator on CNBC and Bloomberg and has been profiled by Fortune, Barron's, The Financial Times and other publications.

### [Registration \(Click Here\)](#)

[Members: \\$20.00](#)

[Non-Members: \\$50.00](#)

**Time:** 12:00 pm – 12:30 pm, Registration  
12:30 pm – 1:15 pm, Lunch  
1:15 pm – 1:30 pm, Q & A

**Location:** Omni Los Angeles  
251 South Olive Street  
Los Angeles, CA 90012  
For directions call: (213) 617-3300

## CFA Charter Recognition Dinner

Thursday, December 10, 2009

Reception: 5:00 pm – 6:00 pm, Dinner: 6:00 pm

### **Featured Speaker:**

**John Rogers, CFA,**

CFA Institute President and Chief Executive Officer

**Chair:** Monica Erickson, CFA

### **Congratulations to the CFA Candidates that have successfully passed the Level III of the CFA Exam!**

We are proud to honor our new Los Angeles Society CFA Charter Holders with a special Recognition Dinner at Cicada Restaurant. Please join us in honoring these New CFALA Charter Holders and pass III candidates, all CFALA members are welcome.

**Mr. Rogers** joined CFA Institute in January 2009 after more than two decades of global experience as an investment practitioner and executive in the Asia-Pacific region and the U.S. He served as president and chief investment officer of Invesco Asset Management Ltd., Japan, CEO and Co-CIO of Invesco Global Asset Management, N.A., and as CEO of Invesco's worldwide institutional division, where he led up to 2,500 individuals.



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Mr. Rogers began his career in investment management at Citibank, N.A., where his responsibilities steadily grew in scope and breadth. He then worked for CIGNA as a portfolio manager and held positions of increasing responsibility before moving in 1997 to Invesco. After leaving Invesco in 2007, he founded Jade River Capital Management.

Mr. Rogers is a member of the advisory board of Goizueta Business School at Emory University, serves on the investment committee of the Woodruff Arts Center in Atlanta, and is on the executive and finance committees of the Atlanta Symphony Orchestra Board. He is a trustee of International Student Conferences, an organization that runs student conferences in Japan and Korea; a board member of the Georgia Conservancy; a board member of Schweitzer-Mauduit International; and is active in the Rotary Club. Mr. Rogers earned a BA in history from Yale University and an MA in East Asian studies from Stanford University. He earned his CFA charter in 1992.

**Date:** Thursday, December 10, 2009

**Time:** Reception, 5:00 pm – 6:00 pm  
Dinner, 6:00 pm

**Location:** Cicada Restaurant  
617 S. Olive Street  
Los Angeles CA 90014  
(213) 488-9488

[Registration \(Click Here\)](#)

**\*If you wish the Vegetarian/Kosher option for your meal, please contact (213) 341-1164 x703 after you have registered.**

**Cost:** All CFALA members, Charter Recipients and Pass Level IIIs are hosted. Each Charter Recipient and Pass Level III may invite 1 guest for free. All additional guests and non-members \$50.

[CFA Charter Honorees \(plus one guest\)](#)  
[& CFALA Members: \\$0.00](#)  
[\\*Additional Guests & Non-Members: \\$50.00](#)

## **Spring 2010 USC/CFALA CFA Review Program** **USC/CFALA CFA® Review Program** **Preparing CFA Candidates for the June 2010 CFA Exam**

Since 1984, CFA Society of Los Angeles, Inc.(CFALA), in partnership with the University of Southern California, Marshall School of Business (USC), has offered its Chartered Financial



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Analyst® (CFA®) Review Program to candidates studying for all three CFA examination levels. In the spring, we offer courses for Level I, II and III candidates. For candidates preparing to take the Level I examination in December, we offer a Saturday review course in the fall. While live instruction is the cornerstone of our program, we also provide candidates with supplemental study tools including a full-length practice examination, access to recorded classroom lectures, and Schweser Notes and Pro Question Bank. The weekday and Saturday review courses provide candidates with a structured classroom-based approach to preparing for the various CFA examinations. We designed our program to assist candidates with mastering the CFA Program Candidate Body of Knowledge. Our faculty covers all disciplines on the CFA examination.

### Start Dates and Times:

Level I Saturday	January 9, 2010 (approximately 13 Saturdays prior to the exam)	9:00am - 4:00pm
Level I Weekday*	January 13, 2010 (approximately 25 Wednesdays prior to the exam)	6:30pm - 9:30pm
Level II Saturday	January 23, 2010 (approximately 9 Saturdays prior to the exam)	9:00am - 4:00pm
Level III Saturday	January 23, 2010 (approximately 9 Saturdays prior to the exam)	9:00am - 11:00am and 11:30am - 1:30pm

*\*subject to sufficient enrollment*

### Early Registration Discount until 12/1/09!

**Cost Members:** \$1049.00 (after 12/1/09 \$1349.00)

**Cost Non-Members:** \$1199.00 (after 12/1/09 \$1499.00)

**Location:** University of Southern California Building and Rooms TBA [USC Map](#)

**Parking:** Parking is not included in your enrollment fee. The closest parking structure is "X" at Gate 3 on Figueroa just north of Exposition Blvd. The fee is \$8 a day.

### Spring 2010 CFA® Review Program Includes:

- Live Classroom Instruction
- Full length practice exam
- Mentor Program (*level I only*)
- Web based recordings of the classroom instruction (accessed via the CFALA website)



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- Schweser Study Notes - 6 volumes, Quick Sheet and Practice Exam Volume 1 (*available for early pickup*)
- SchweserPro Online Question Bank
- Candidate Connection
- Program Pledge

## [Register Here for all Levels of the Review Program](#)

CFA Institute does not endorse, promote, or warrant the accuracy or quality of the products or services offered by the USC/CFALA CFA<sup>®</sup> Review Program. CFA Institute, CFA<sup>®</sup> and Charter Financial Analysts<sup>®</sup> are trademarks owned by CFA Institute.

*Follows CFA Institute Prep Provider Guidelines*

## ***Non-Sponsored Financial Events of Interest:***

### **Practitioner Investment Strategy Workshop**

Monday November 2, 2009

5:00 p.m. - 6:00 p.m.

#### **Max Darnell**

#### **Chief Investment Officer, First Quadrant**

*Overseeing the firm's investment products, with emphasis on strategic research and development initiatives.*

**Where:** JKP 300 (Popovich Hall)

**Hosted hors d'oeuvres (5:00 p.m.) and discussion (5:20 p.m.).** Please [RSVP](#) if you plan to attend. Parking available at PSX at Gate 3 for \$8.

#### **Max Darnell Biography**

Max Darnell has served as First Quadrant's Chief Investment Officer since 2002. Max is responsible for overseeing the firm's investment products, with emphasis on strategic research and development initiatives. Max, along with Curt Ketterer, serves in the firm's Executive Office. Max began his career at First Quadrant in 1991, managing derivatives research throughout the decade. In 2000 he was named Director of Research, overseeing both equities and derivatives products. Max earned a Master's degree in Economics from the University of California, Los Angeles, in 1991



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## CFA Signing Ceremony

Friday, November 13, 2009

1:00 pm – 5:00 pm

### Program of the Day

**1:00 p.m.**

**Christopher Cox**—*Former Chairman, SEC*

Speech (to be delivered in conjunction with the concluding session of the USC Corporate Governance Summit)

Davidson Conference Center

**2:30 p.m.**

Panel Discussion on  
Ethics in Investment Management  
Popovich Hall JKP 300

**3:30 p.m.**

Signing Ceremony

**Jim Ellis**—*Dean, USC Marshall School*

**Robert R. Johnson**—*PhD, CFA Senior Managing Director, CFA Institute*

**4:00 p.m.**

Keynote Address

**Matt Scanlan**—*President & CEO*

*Renaissance Institutional Management*

.

**5:00 p.m.**

Reception

RSVP [here](#) via survey, email [investment@marshall.usc.edu](mailto:investment@marshall.usc.edu) or telephone at 213-821-1126.

*The CFA Institute partners with globally diverse, high profile institutions who cover a significant portion of the CFA Program Candidate Body of Knowledge™ and who embrace the CFA Institute Code of Ethics and Standards of Professional Conduct in their degree programs. Recognition as a CFA Program Partner provides a signal to potential students, current students, and the marketplace that the university curriculum is closely tied to professional practice and is well suited to preparing students to sit for the CFA exams. Please visit [www.cfainstitute.org](http://www.cfainstitute.org) for additional information.*

## Education Registration Policies

### INFORMATION

Specific questions on course content should be directed to the course coordinator and



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education chair. General questions should be directed to Laura Carney at the CFALA administration office at 213-341-1164 x701 or e-mail: [info@cfala.org](mailto:info@cfala.org).

## **CONFIRMATIONS**

The Society will only send confirmations of enrollment by e-mail. You will be notified if a course has been oversubscribed or canceled. If applicable: grades and/or certificates of completion will be made available only if requested from the course coordinator or instructor at the conclusion of the course.

## **CANCELLATIONS**

Cancellations must be made in writing and received at least 5 business days before the first day of class. Please fax or e-mail cancellations to: (213) 341-1164 or [info@cfala.org](mailto:info@cfala.org). All cancellations will incur a \$30.00 processing fee. If canceled after the 5-day deadline, a 50% cancellation fee will be charged. The Society reserves the right to cancel any course for any reason. Society cancellation will usually occur because of insufficient preliminary enrollment. The Society will call registrants to notify them of any course cancellations. All prepaid fees will be refunded. The Society also reserves the right to change the location, date and/or time of a course, in which case prior notification will be given to students.

## **PAYMENTS**

Make all checks payable and send to: CFA Society of Los Angeles, Inc., 350 S. Grand, Ste 1680, Los Angeles, CA 90071. Returned checks will incur a \$35 returned check fee. You may also pay by credit card through our online registration at: <http://www.cfala.org/cfmfiles/cal/eventlist1.cfm?t=g>

## **Event Registration Policies**

### **CFALA MEMBER REGISTRATION GUIDELINES**

All reservations must be made via website. In order to assure quality and service to our members, please make reservations in advance.

Please make your reservation online. Reservation deadline: 12 noon, two business days prior to an event. Limited space may be available after this deadline. No confirmations are made. You will only be contacted at the phone number provided on your RSVP if space is not available.

### **CANCELLATIONS**

Cancellations must be received in writing by 9:00 am the day prior to the event. No phone cancellations are accepted. Please fax to the CFALA office at (213) 341-1164 or e-mail [info@cfala.org](mailto:info@cfala.org). Member "no-shows" will be billed at \$40 unless otherwise noted. CFALA members will be billed the additional \$20 to meet the \$40 "no-show" fee requirement.

### **GUESTS**

Guest fees are \$50 for CFALA events unless otherwise noted. Payment must be received prior to the event. Returned checks will incur a \$35 charge.



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