



CFA Society
Los Angeles

90
years

May 21, 2021

In accordance with the Bylaws, notice of the [Annual Meeting of the Members of CFA Society Los Angeles, Inc.](#) to be held 5:00 PM PDT on Wednesday, June 23rd, in a Virtual Meeting is hereby given. The purpose of the meeting is to elect officers and members of the Board of Governors and to transact such other business that properly comes before the meeting. The meeting is open to all members of the Society and all non-retired regular members are eligible to vote.

The Nominating Commission, consisting of **Thomas Mahoney, CFA, CAIA (Chair)**, **Akiko Hayata, CFA**, **Alicia Romo, CFA**, **Nathaniel Downes, CFA (non-voting)**, **James Lewis, CFA, CIPM (non-voting)**, and **Laura Carney (non-voting)**, hereby submits the following slate of candidates for officers and members of the Board of Governors for the fiscal year 2021-2022.

2021-2022 BOARD OF GOVERNORS CANDIDATES

President

Alicia Romo, CFA

University of Southern California – BS, Business Administration

Alicia Romo is the Managing Director and Head of Investments and Funding for MUFG Union Bank, located in Los Angeles. Alicia manages the team that oversees all aspects of the bank's \$25 billion investment portfolio including investment strategy, liquidity, capital, and regulatory requirements. She also supervises the wholesale funding requirements of the bank including capital markets issuances.

Prior to joining MUFG Union Bank, Alicia was a Senior Manager at Deloitte & Touche, LLP where she was an SME in structured finance and interest rate risk management. Alicia consulted nationally for investment portfolio management, securitization structures and in front-office and back-office securitization and derivative operations. She was a regular speaker at national MBA and securitization conferences.

Alicia is on the board for Monte Vista Grove Homes, a leading senior independent living, convalescent care and dementia care facility in Pasadena. She is a CFALA Review Coordinator for Level I. She was awarded her Chartered Financial Analyst designation in 1999.

Vice President

Falko Hörnicke, CFA, CFP

Frankfurt School of Finance and Management – Economic and Financial Studies

Falko Hörnicke is a Senior Investment Strategist located in the Santa Barbara Wells Fargo Private Bank office. As part of Investment Management, Mr. Hörnicke works with clients to build portfolios that help them meet their investment objectives while managing risk.

Prior to joining Wells Fargo, Mr. Hörnicke worked at Bergquist Wang, LLC for six years, where he was the head of portfolio management. He has been in the financial services industry for more than 20 years.

Mr. Hörnicke earned a Postgraduate Degree in Economic and Financial Studies from Frankfurt School of Finance and Management in Germany. He is also a holder of the right to use the Chartered Financial Analyst® designation and a CERTIFIED FINANCIAL PLANNER™ professional.

Falko, his wife Maria and son Gabriel reside in Santa Barbara. He is the co-chair of the CFA Society Los Angeles Santa Barbara Member Community, a member of the CFA Institute, the Santa Barbara Estate Planning Council and the Santa Barbara Investment Forum.

Treasurer

Peter Stutz, CFA

University of Illinois Urbana-Champaign - BS, Computer Science; University of Chicago - MBA

Peter Stutz is a Managing Director and Portfolio Manager at Guggenheim Partners in Santa Monica, CA, and has over 25 years of institutional investment industry experience as a fixed income analyst, trader, and portfolio manager. At Guggenheim he is responsible for the management of a variety of insurance company fixed income portfolios. He has also been a part of the firm's Portfolio Construction Group where he was responsible for creating model portfolios for the firm's core fixed income, multi-credit, multi-asset, and insurance strategies.

Prior to joining Guggenheim, Mr. Stutz was a Portfolio Manager at Western Asset Management where he was part of the generalist fixed income portfolio management team as well as a member of the firm's Investment Advisory Committee. Mr. Stutz specialized in global interest rate and derivative strategies and was responsible for U.S. inflation-linked bond portfolios.

Mr. Stutz received his BS in computer science from the University of Illinois Urbana-Champaign, his MBA from the University of Chicago's Booth School of Business and received the CFA® designation in 1996. Mr. Stutz is an instructor at Level II in the USC/CFALA CFA Review Program.

Secretary

Mariya Entina, CFA, CPA

University of California, Los Angeles – BA, Economics and Accounting

Mariya Entina, CFA is a Credit Analyst on the Global Developed Credit team at DoubleLine. Her current focus is investment grade corporate bonds. Previously, Ms. Entina served as a Credit Analyst at Pacific Life Insurance Company. Prior to this she held roles at Capital Group and KPMG. Mariya Entina has earned both the Chartered Financial Analyst (CFA) and Certified Public Accountant (CPA) designations, in addition to a bachelor's degree in Economics and Accounting from the University of California, Los Angeles. Ms. Entina is a member of CFA Institute and CFA Society Los Angeles. She currently serves on the advisory council for the Women's Member Community of CFA Society Los Angeles.

Immediate Past President

James Lewis, CFA, CIPM

University of Oklahoma - BS, Mathematics; University of Southern California -

MBA

James Lewis, is a Managing Director at TCW Group. Prior to joining TCW in 1999, Mr. Lewis was a Quantitative Analyst for Loomis, Sayles, & Company. Mr. Lewis received a BS in Mathematics from the University of Oklahoma and an MBA from the University of Southern California. He is a CFA® Charterholder, CIPM® certificant, and member of the CFA Institute. He is a past President CFA Society Los Angeles. Mr. Lewis is an instructor at Level III in the USC/CFALA CFA Review Program.

Returning* Governor: 3-Year Term Expiring 2022

Michael Treidl, CFA

Carnegie Mellon University - BS Physics; Crummer Graduate School of Business - MBA Finance

Michael Treidl, CFA® is a Director at Coryell Capital Management and has more than 10 years of experience in global macro strategy, investment research, and portfolio management.

Previously, he was a Vice President at Payden & Rygel working as a portfolio manager within the asset allocation management group and serving on the committee that makes investment decisions for high net worth individuals and institutional clients such as pension plans, foundations, and endowments.

Michael is a member of the CFA® Institute and the CFA® Society of Los Angeles. He earned an MBA degree with an emphasis in Finance from the Crummer Graduate School of Business and a BS in Physics with a minor in Computer Science from Carnegie Mellon University.

Returning* Governor: 3-Year Term Expiring 2023

Michael Koop, CFA

Tilburg University – MS, Finance; Tilburg University – BS, Business Economics

Michael Koop holds the position of Director, Investment Manager Research at AIG. He is responsible for investment manager research and fund due diligence. Prior to joining AIG in 2018, Michael worked as a Portfolio Manager for Kempen Capital Management based out of Amsterdam, The Netherlands, where he was responsible for the investment management of pension plans, insurance companies, listed fund-of-funds and high net worth individuals. He earned a MS degree in Finance (cum laude) and a BS in Business Economics from Tilburg University.

He holds the Chartered Financial Analysts designation, and is a member of the CFA Society Los Angeles and the CFA Institute. Michael acts as the co-chair of the Career Mentorship Program, as well as the USC/CFALA CFA® Review Program Level I Mentor Match Program. He regularly serves as a mentor and coordinator in the Level I review program.

Returning* Governor: 3-Year Term Expiring 2023

Zack Ellison, CFA, CAIA

Swarthmore College – BA, Economics; The University of Chicago Booth School of Business – MBA, Analytic Finance and Economics; New York University's Stern School of Business – MS, Risk Management

Zack Ellison is the Founder and CEO of Applied Real Intelligence LLC ("A.R.I."), based in Los Angeles, California. A.R.I. is an investment firm that provides debt

capital solutions to high growth start-ups backed by venture capital and led by world-class entrepreneurs. Mr. Ellison is responsible for the firm's management and investment activities, including sourcing, due diligence, structuring and execution, and portfolio management.

Previously, Mr. Ellison was Director, U.S. Fixed Income at Sun Life Investment Management, one of the world's largest asset managers. At Sun Life, he was responsible for corporate credit trading and contributed to the firm's credit strategy, investment processes, portfolio construction, and risk management practices.

Prior to joining Sun Life, Mr. Ellison worked in Deutsche Bank's Global Credit Trading division, where he analyzed and traded crossover-rated corporate bonds, credit default swaps ("CDS"), hybrid securities, and preferred stock.

Preceding Deutsche Bank, and during the global financial crisis, he was an investment banker and leveraged loan analyst focused on the media and telecom sectors at Scotia Capital.

Mr. Ellison began his career in the financial services industry at Thomson Reuters in Corporate Advisory Services, where he served the majority of Fortune 500 energy and utility companies.

Mr. Ellison earned a Bachelor of Arts degree from Swarthmore College while majoring in Economics. He holds an MBA with concentrations in Analytic Finance and Economics from The University of Chicago Booth School of Business along with an MS in Risk Management from New York University's Stern School of Business. He holds the Chartered Financial Analyst (CFA) and Chartered Alternative Investment Analyst (CAIA) designations.

Governor: 3-Year Term Expiring 2024

Jeff Kuhlman, CFA

Santa Clara University – BS, Finance; University of California, Los Angeles – MBA; Defense Language Institute – Associate of Arts in Korean

Jeff Kuhlman is a senior vice president with the investment manager solutions group at First Republic Private Wealth Management. In this role, he leads the firm's portfolio consultant group which provides institutional and individual investors with investment diagnostics focused on performance, goals, and values. Additionally, he provides research, oversight, and strategic guidance for the firm's sustainable and responsible investing (SRI) platform and digital advisory solution.

Mr. Kuhlman joined First Republic in 2010. Prior to joining First Republic, Mr. Kuhlman served in the U.S. Army as a Korean linguist.

Active in his local community, Mr. Kuhlman serves as co-chair of the Environmental, Social, and Governance (ESG) member community for CFA Society Los Angeles. He is an advocate for financial literacy and regularly volunteers as an instructor for Operation Hope and Americorps.

Mr. Kuhlman earned his Bachelor of Science in finance from Santa Clara University. He also holds an Associate of Arts in Korean from the Defense Language Institute as well as a Masters in Business Administration from UCLA. Mr. Kuhlman holds the Chartered Financial Analyst (CFA) designation.

Governor: 3-Year Term Expiring 2024

Priyanka Shukla, CFA, CAIA, CIPM

University of Southern California – MBA

Priyanka Shukla is a Senior Analyst with Portfolio compliance team at The TCW Group. Before joining TCW, she served as the Lead Assistant Portfolio Manager with the County of Orange.

Ms. Shukla’s prior roles include serving as Senior Investment Compliance Officer for the Oregon Treasury and as Controller for the Oregon Department of Revenue. In addition, she enjoyed teaching students about investments and finance as Faculty member at the Oregon State University College of Business and at Portland State University.

Ms. Shukla holds an MBA from the University of Southern California’s Marshall School of Business and is a volunteer and member of CFA Society Los Angeles and the USC Marshall Alumni Association.

Governor: 1-Year Term Expiring 2022

Steven Wang, CFA

Cornell University – MEng, Operations Research

Steven Wang is a seasoned fixed income specialist with 15+ years of experience on both buy-side and sell-side of the finance industry. Currently Steven is a senior quantitative analyst at DoubleLine Capital. Prior to DoubleLine, he was a Research Analyst at Harvard Business School. Previous to that, Steven was the Director of Quantitative Fixed Income Investment Strategies for CYS Investments, a NYSE-listed Real Estate Investment Trust. Prior to CYS, he was a Trading Desk Strategist for fixed income products at Morgan Stanley. Steven started his career as a MBS structurer at JP Morgan in New York City. Steven holds a MEng in Operations Research from Cornell University and he is a CFA® charterholder.

All members of CFALA are encouraged to attend the [Annual Meeting of the Members](#) of the Corporation. Members who are not able to attend the Annual Meeting may be represented by proxy by filling out a [Proxy Voting Form](#). Proxies must be in writing and filed with the Secretary of the Corporation before being voted.

Very truly yours,
Alicia Romo, CFA
President

Falko Hörnicke, CFA, CFP
Secretary

**Returning Governors not up for reelection.*

ATTEND THE ANNUAL MEETING

CONNECT WITH US

