

COLLABORATIVE WOMEN IN INVESTMENT MANAGEMENT (WIM) INITIATIVE

**A Global Partnership To Further
Inclusion & Diversity**

STEERING COMMITTEE

CHAIR



Sarah Yao Schutzman, CFA [in](#)

Managing Partner
Providence Heights Capital Management LLC

CFA Society Indianapolis
Board Director, Membership Chair
[WIM](#): Strategic Partnerships

MEMBERS



Arielle Bittoni, CFA
Chief Wealth Strategist
Refresh Investments LLC

CFA Society Los Angeles
Women's Member Community Chair
[WIM](#): Programming



Christine Tinker, CFA [in](#)
Equity Portfolio Manager
Northern Trust Asset Management

CFA Society Chicago
Women's Network Co-Chair
[WIM](#): Membership & Outreach



Regina Gaysina [in](#)
Vice President
Municipal Finance at RBC
Capital Markets

CFA Society New Mexico
Women's Advisory Committee
[WIM](#): Business Development



Victoria Prescott, CFA [in](#)
Associate Director
Capital Markets & Investor Relations
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COLLABORATIVE WIM INITIATIVE

WHAT

CFA Societies, FPA Chapters and industry groups around the world have joined efforts to further our shared vision of inclusion and diversity in capitalism. This collaboration was created to demonstrate the commitment of the global finance community to inclusion and diversity, and to support the advancement and development of female leaders of all backgrounds.

This is a global grassroots campaign:

- **To create** demand for diversity
- **To empower** female and diverse professionals across all facets of the finance industry
- **To establish** a global community to share resources, information and best practices to promote our shared vision of a better, more inclusive world

WHY

We believe that inclusion and diversity will allow our industry to achieve better investment outcomes-- but more importantly, we believe that it will better serve our diverse society.

The inclusion conversation has never been more urgent, and the reality remains that there are few female and diverse professionals in senior leadership roles. As a result, these professionals often lack the natural mentorship and sponsorship that tends to take place at the middle and senior levels, necessitating that they work harder to establish their own support network. Our global collaboration intends to fulfill that need.

Women, as the minority in the finance industry globally, are the universal diversifier.

By utilizing virtual programming and our global network, our community facilitates a geography-agnostic exchange of ideas, resources and best practices to amplify and enhance the diversity dialogue, wherever it is taking place.

We aid each of our members in their personal career journey, through professional development and networking opportunities. In time, we hope that our efforts will both inspire and expand the female and diverse talent pipeline into the investment industry, as well as support their success.

Together, alongside our like-minded supporting organizations, our collaboration demonstrates the commitment of the global finance industry to inclusion and diversity, while providing high-caliber programming, cross-regional networking and professional development opportunities for our shared membership around the world.

Our collaboration:

- **Creates** a unique **WIM Original** program series that provides exceptional professional development guidance and showcases talented, diverse female leaders
- **Co-markets** high quality I&D programming created by our participating societies to bring added visibility to the featured speakers and the societies who host them
- **Showcases and amplifies** across our global platform the I&D efforts of our participating societies, to aid their success and build momentum for those initiatives at the local, regional and global level
- **Offers** valuable networking opportunities for our global base of finance professionals of all backgrounds
- **Provides** young professionals of all backgrounds access to critical mentorship and career guidance through internship opportunities and mentor programs
- **Supports** the development, hiring and advancement of the diverse talent pipeline

WHO

Our grassroots campaign has captured hearts and minds across the global finance network, and leaders around the world have dedicated their talents, time and endless passion to our shared vision. As of April 30, 2021, our global collaboration comprises ~80 organizations across the the US, Canada, Caribbean, EMEA and Latin America.

Together, we aim to enhance and amplify the I&D efforts of our respective societies at the local level, while sharing resources and information to build a truly global community around this important dialogue. Participating CFA Societies and FPA Chapters alongside Collaborative WIM believe that we can achieve more by working in conjunction, rather than in isolation.

COLLABORATIVE WIM 2021 SPONSORS

Thank you to the generous leaders of the finance industry who share our vision for a better, more inclusive world and work tirelessly alongside us to make it a reality. We are proud to partner with these global thought leaders to shape the inclusion and diversity conversation.

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FALL

Refresh Investments

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OUR INAUGURAL EVENT

Our inaugural collaborative event on September 29, 2020 (hosted by the Women's Network of CFA Society Chicago) was the first in a series of programs designed to celebrate female leaders and inspire young professionals.

CFA Society and FPA members around the US joined us for a candid conversation with Stephanie Cohen, Chief Strategy Officer of Goldman Sachs.



COLLABORATIVE WOMEN IN INVESTMENT MANAGEMENT SERIES

M&A AND THE COVID-19 IMPACT: CRISIS OR OPPORTUNITY?

INTERACTIVE WEBINAR

TUESDAY, SEPTEMBER 29
5PM EST | 4PM CST | 2PM PST

FEATURING



STEPHANIE COHEN
CHIEF STRATEGY OFFICER
GOLDMAN SACHS

COLLABORATIVE WOMEN IN INVESTMENT MANAGEMENT (WIM) SERIES FACILITATED BY CFA SOCIETIES IN: ATLANTA | CHICAGO | CLEVELAND | INDIANAPOLIS | LOS ANGELES | MINNESOTA | NEW MEXICO | OKLAHOMA | ORANGE COUNTY | ORLANDO | PHOENIX | PORTLAND | SAN DIEGO | SEATTLE & WITH FPA CHAPTERS IN: INDIANAPOLIS | ORANGE COUNTY | SAN DIEGO

Just earlier in the day, Goldman announced that Stephanie would co-run the bank's consumer banking and wealth management practice, marking the first time in years that a woman will run a major division. In addition to being the youngest member of the firm's management committee, this move also designates Stephanie as a possible successor for the CEO role.

Stephanie shared with us everything from her reflections on her early days in Chicago as a competitive figure skater, to her most memorable investment banking deals, to her enthusiasm for the GS Accelerate and Launch with GS programs as platforms to foster innovation and diversity and the importance of establishing a personal board of directors in our respective career journeys.

Thank you for helping us to celebrate this incredible female leader in our inaugural event.

The following pages outline upcoming WIM Original events and additional programming provided by the Collaborative WIM Initiative and its participating societies globally.

UPCOMING WIM ORIGINAL EVENTS

COLLABORATIVE WIM IN PARTNERSHIP WITH SCHRODERS PRESENTS MONEY AND ITS MIND GAMES: WOMEN, MONEY & POWER

INTERACTIVE WEBINAR & NETWORKING

THURSDAY, SEPTEMBER 9: 1PM PT / 4PM ET

HOSTED BY



FEATURING

MARILYN WECHTER

PSYCHOTHERAPIST

FINANCIAL THERAPIST

WEALTH COUNSELOR

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Q3 2021 WIM Original

"Women, Money, & Power, Featuring Marilyn Wechter"

Hosted by CFA Society Oklahoma

September 9, 2021



Q4 2021 WIM Original

"DEI Update: What Progress Have Women Leaders Made Post-Pandemic?"

Hosted by CFA Society New York

November 18, 2021



**CFA Society
Saskatchewan**



**CFA Society
Okanagan**

Q1 2022 WIM Original

Hosted by CFA Society Saskatchewan and CFA Society Okanagan

UPCOMING WIM ORIGINAL EVENTS (cont.)

COLLABORATIVE WIM PRESENTS:
"THINK FOR YOURSELF: RESTORING COMMON SENSE IN AN AGE OF EXPERTS AND ARTIFICIAL INTELLIGENCE"

ON THE SAME PAGE
WIM QUARTERLY BOOK CLUB
THURSDAY, AUGUST 5
HOSTED BY

 CFA Society
Orange County

 CFA Society
Ukraine

FEATURING
VIKRAM MANSHARAMANI
AUTHOR
ACADEMIC
ADVISOR



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Q3 2021 ON THE SAME PAGE: WIM Quarterly Book Club

Featuring Vikram Mansharamani

"Think for Yourself: Restoring Common Sense in an Age of Experts and Artificial Intelligence"

Hosted by:

CFA Society Orange County (Americas Time Zones)

CFA Society Ukraine (EMEA Time Zones)

August 5, 2021



**CFA Society
Edmonton**

Q4 2021 ON THE SAME PAGE: WIM Quarterly Book Club

Featuring Andy Molinsky

"Reach: A New Strategy to Help You Step Outside Your Comfort Zone,
Rise to the Challenge, and Build Confidence"

Hosted by CFA Society Edmonton

PAST WIM ORIGINAL EVENTS

"Break Free from Imposter Syndrome: Embrace Your Confident, Capable Self"

Featuring Michelle Galloway, Of Counsel at Cooley

Q1 2021 WIM Original hosted by CFA Society Indianapolis on 3 February 2021

"The Myth of Fearlessness: Using Biopsychology to Craft Your Next, Best Steps"

Featuring Mary Poffenroth

Q2 2021 WIM Original hosted by CFA Society Los Angeles on 6 May 2021

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COLLABORATIVE WIM: THE MYTH OF FEARLESSNESS

USING BIOPSYCHOLOGY TO CRAFT YOUR NEXT BEST STEPS

INTERACTIVE WEBINAR & NETWORKING

THURSDAY, MAY 6: 4PM ET / 1PM PT
HOSTED BY CFA SOCIETY LOS ANGELES

FEATURING



MARY POFFENROTH

SAN JOSE STATE UNIVERSITY STEM FACULTY
BIOPSYCHOLOGIST | AUTHOR

Click on the image to learn more about our Q2 2021 WIM Original Event

Click here to see a replay of the event: [REPLAY](#)

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MEET THE STEERING COMMITTEE



Sarah Yao Schutzman, CFA [in](#)
Managing Partner
Providence Heights Capital Management LLC

CFA Society Indianapolis
Board Director, Membership Chair
WIM: Chair, Strategic Partnerships

I am a first-generation Chinese immigrant and female hedge fund manager. Professionally, I built my career investing in global equities and debt, across developed and emerging markets. I have seen firsthand what capital and access to capital can do. I have also experienced its personal impact, as a recipient of capital— when an Iranian immigrant with her first research grant in the US took a chance on my father, hiring (and keeping) him despite his hesitant English, and giving our family a future. She remains a close friend of our family more than 30 years later. Now, my children call her Auntie.

So to me, inclusion is both an opportunity and moral responsibility— to share capital and power. And by investing in people, we extend a hand in a way that begins a virtuous cycle.



Arielle Bittoni, CFA [in](#)
Chief Wealth Strategist
Refresh Investments LLC

CFA Society Los Angeles
Women's Member Community Chair
WIM: Programming

I have worked my entire career in the financial industry and absolutely love it. As the daughter of immigrants who came to America for a better life, I valued my education with utmost importance. From the moment I earned a spot on the trading floor and felt the adrenaline rush, I knew that my success as a wife, mother, and professional was heavily dependent on having the 'right' people around me. When I became a financial advisor, I was proud to become that 'right' person to help others achieve financial success.

To my disappointment I realized the industry has greatly underserved women, and even I was guilty of making compromises along my journey to adjust to a relentless and demanding culture. My passion to serve women and families looking for a better financial experience led me to

MEET THE STEERING COMMITTEE (cont.)

start doing things differently. Today, my firm Refresh Investments is dedicated to serving professional women and their families. We offer a unique approach creating an environment for clients to comfortably discuss their issues, and help them make financial decisions with clarity and confidence.

The goal of creating an inclusive space for financial professionals is vital to the success of our community. Our clients want to see professionals that mirror their own values and perspectives. I believe we can succeed with this mission by supporting one another and continuing to educate ourselves and our allies.



Christine Tinker, CFA
Equity Portfolio Manager
Northern Trust Asset Management

CFA Society Chicago
Women's Network Co-Chair
WIM: Membership & Outreach

I didn't know a soul in New York City when I moved there to kickstart a career in investment management. A little fish in a big pond, I doubted my decision and my dreams. Just two months later, my employer was in the headlines at the onset of the global financial crisis. As "Newbie from the Midwest" with minimal industry experience and no socioeconomic relatability or credibility in the business, I was unsure if I could survive in wealth management. When I often found that the only other woman in the room was a client who, like me, yearned for eye contact at the meeting table, I knew that giving up was not an option.

Experience taught me that visualization matters, and representation is critical. The greatest return on investment comes from investing in those most underrepresented, underserved, and unseen.

I found my purpose as a female portfolio manager, investing in the financial markets and in the ideals of inclusion and equity.

MEET THE STEERING COMMITTEE (cont.)



Regina Gaysina [in](#)
Vice President
Municipal Finance at RBC
Capital Markets

CFA Society New Mexico
Women's Advisory Committee
WIM: Business Development

Before I immigrated to the US from Russia, my dream was to be a diplomat and to work in public policy and international relations—but then I landed in New Mexico where everything was literally foreign to me. I was 20 years old, and suddenly had to create a new dream, new group of friends, new education and establish a new identity in a new country. When I started my career in finance, I was told many times that I could not be promoted or hold certain positions, because I didn't have an Ivy league education or because women were not hired for those roles. Yet here I am many years later defying the odds, proving folks wrong to reach those hard-earned "firsts": becoming the first female FA Muni investment banker in the state of New Mexico (and currently still the only female), and the youngest person in our office to ever become a banker.

To me, Collaborative WIM is a place where we dare to inspire others to be in the finance industry and to let them know that they can build a career of purpose and pursue their passion. It takes a village to make an impact and to create this community (alongside grit, perseverance and everyday hustle). But if we make it matter, we will make it happen.



Victoria Prescott, CFA [in](#)
Associate Director
Capital Markets & Investor Relations
at Realty Income Corporation

CFA Society San Diego
Advocacy Chair
WIM: Public Relations & Advocacy

Being an immigrant, I know first-hand how important it is to have a sense of inclusion and belonging. I have always felt that I can more easily relate to minority groups, because I know how it feels to be different, to speak a different language, to grow up in a different environment and receive a different education. Having moved to the U.S. from Kazakhstan about eight years ago, I had to build my personal and professional networks, which was not an easy task. Women generally lack the natural mentorship and sponsorship that tends to take place at the middle

MEET THE STEERING COMMITTEE (cont.)

and senior levels, which means that they need to work so much harder to establish their own support network. I joined the Collaborative WIM to help thousands of women across the world to grow their professional networks and provide resources to help them get to the next level of their personal and professional adventures.

To me, diversity is a state of mind and a way to evolve. As human beings we grow when we learn new perspectives, experience new cultures, evaluate new view points, and we succeed when we adopt an inclusive mindset.

APPENDIX: WIM SUPPORTED EVENTS

"M&A and the COVID-19 Impact: Crisis or Opportunity?" with Stephanie Cohen, Chief Strategy Officer of Goldman Sachs (hosted by CFA Society Chicago on 29 September 2020)

"Gender Gap Investing" with Nannette Hechler-Fayd'herbe, Chief Investment Officer of International Wealth Management and Global Head of Economics & Research of Credit Suisse (hosted by CFA Society Switzerland on 3 December 2020)

"Hack Your Own Brain" with Dr. Karolien Notebaert, Founder of One-Step Ahead, Notebaert Consulting (hosted by CFA Society Indianapolis on 12 January 2021)

"The 10 Marketing Tools You Never Knew You've Always Needed" with Sheryl Hickerson, CEO, Females and Finance (hosted by FPA Austin on 12 January 2021)

Women in Finance Series with Dr. Anja Hochberg, Head of Multi Asset Solutions for Swisscanto Invest by Zürcher Kantonalbank (hosted by CFA Society Switzerland on 21 January 2021)

"Secrets of Wealthy and Successful Women" with Veronica Dagher, Co-Creator, Wall Street Journal Podcast Series: Secrets of Wealthy Women (hosted by Women Investing in Security and Education on 26 January 2021)

"Trading vs. Investing and the Influence of Fintech" with Tricia Rothschild, CFA, President of Apex Clearing (hosted by CFA Society Chicago on 10 February 2021)

"Lessons in Leadership & Forging a New Way" with Kris Williams, President & CEO of FHLB Des Moines and Jeff Whitehead, Chief Investment Officer of Farm Bureau Financial Services (hosted by CFA Society Iowa on 19 February 2021)

"Driving Change: Diversity and Inclusion in Investment Management" with Nicole Robinson, McKinsey & Company Engagement Manager and Women in the Workplace 2018 co-author (hosted by CFA Society Hawaii on 10 March 2021)

APPENDIX: WIM SUPPORTED EVENTS (cont.)

"COVID-19 Vaccines, Treatments, and Undervalued Biopharma" with Karen Andersen, CFA, Healthcare Strategist with Morningstar (hosted by CFA Society Detroit on 16 March 2021)

"Advancing Diversity & Inclusion Outcomes: Measurable Steps to Create Lasting Change" with Orlando L. Williams, CEO of Motus Staffing and Recruiting as Keynote Speaker & Moderator and Sarah Maynard, Global Head of External Inclusion & Diversity Strategies and Programs of CFA Institute as Special Guest (hosted by CFA Society Portland on 18 March 2021)

"Emerging Managers: The Women's Panel" with Cynthia Steer, Chairperson, Advisory Committee of Exagon Capital, Pat Zollar of Neuberger Berman, Suzanne Yoon, Founder of Kinzie Capital, and Christina Drake of Fund Evaluation Group (hosted by CFA Society Dallas-Forth Worth on 29 March 2021)

"A Data-Driven Lens on Diversity and Inclusion" with Erika Spence, Global Head of Data Strategy, eVestment, Christopher J. Ailman, Chief Investment Officer of CalSTRS, Gretchen O'Hara, Vice President, AI & Sustainability Strategy at Microsoft, Paolo Gaudiano, Ph.D., Co-Founder & Chief Scientist of Aleria, and Susan Reid, Global Head of Diversity and Inclusion of Morgan Stanley (hosted by CFA Society New York on 30 March 2021)

"Sherron Watkins: Leadership and Ethics Advocate" with Sherron Watkins, former Vice President of Corporate Development at the Enron Corporation and Enron Whistleblower (hosted by CFA Society Alabama on 15 April 2021)

Women in Finance Series with Sinikka Demaré, CFA, Independent and Strategic Advisor and Board Member (hosted by CFA Society Switzerland on 15 April 2021)

"Rich Thinking" with Barbara Steward, CFA, Author of the Rich Thinking Global Research Papers (hosted by CFA Society Columbus on 5 May 2021)

APPENDIX: WIM SUPPORTED EVENTS (cont.)

"A Discussion on Diversity and Inclusion in the Asset Management Industry" with Donna Milrod, Executive Vice President and Global Head of Asset Managers of State Street, Marcia Rothschild, Head of Latin America and the Caribbean of State Street, and Christina Worley, Founder and Managing Member of Castle Wealth Management (hosted by CFA Society South Florida on 17 May 2021)

"Go with the Flo" With Tricia Griffith, President and CEO of Progressive Insurance (Hosted by CFA Society Cleveland on 19 May 2021)

Women in Finance Series with Maria Teresa Zappia, Chief Impact and Blended Finance Officer, Deputy CEO at BlueOrchard Finance Ltd (Hosted by CFA Society Switzerland on 20 May 2021)

"A Discussion on ESG Investing" with Liz Simmee, Co-Founder of Honeytree INvestement Management (Hosted by CFA Society Rochester on 16 June 2021)