



The View from the Top - Asset Management CEOs

June 2, 2015 at 6 PM
New York

Back by popular demand, 100 Women in Hedge Funds brings to you "The View from the Top - Asset Management CEOs". Our event will feature three distinguished female CEOs of leading asset management firms who will share their perspectives on the risks and challenges to running an investment management business, that go way beyond just outperforming the market.

You will learn what it takes to successfully lead an asset management firm, including overseeing investments while retaining and attracting investors; monitoring market and industry trends; recruiting talented professionals; and meeting compliance requirements

Our guests will discuss the lessons that they have learned and will address specific challenges involved in wearing multiple hats at the firm, such as President, CIO and CEO.

Come and listen to the advice and perspectives of industry leading women as they describe the highlights of their experiences and the challenges they face -- and perhaps debunk a few myths along the way -- as they reign from the top.

Participants

Dawn Fitzpatrick, O'Connor

Sarah H. Ketterer, Causeway Capital

Kimberly Mustin, BNY Mellon Investment Management

Suni P. Harford, *Moderator*, Citigroup

Event Details

Date: June 2, 2015

Time: 5 PM Registration.

We will begin *promptly* at 6 PM; please arrive early. Since it is disruptive to everyone when latecomers enter the session, those arriving after an education session has begun will only be admitted at the discretion of 100WHF and the host. Please note the start time on this invite and plan to arrive early.

Host: UBS

Location: 1285 Avenue of the Americas (between 51st and 52nd Streets), **New York**, NY 10011

RSVP: [RSVP Now](#)

If you have any questions about this event, please contact the [New York Education](#) committee.

This event is NOT FOR ATTRIBUTION. All 100WHF events are private events and we require that no one reports publicly on any aspect of them.

Admission is free, but there is a \$25 charge if you register and do not attend, even if you cancel in advance. No-show proceeds will be donated to 100WHF Foundation - Celebrating Education/Investing in the Next Generation initiative, the 2015 beneficiary of 100WHF's US philanthropic initiatives.

If you have no-show fees in arrears, the system cannot register you for an event. You can view and pay for any outstanding no-show fees online from your [Member Profile](#)

Space is limited. No walk-ins will be permitted.

Biographies

Dawn Fitzpatrick, Global Head and CIO, Group Managing Director, O'Connor

Dawn Fitzpatrick is currently Global Head and Chief Investment Officer of O'Connor, an alternative asset management firm based in New York. As CIO, she oversees the firm's portfolio management, capital allocation and risk management as well as communicating with firm's investors. Dawn also serves as Head of the Tactical Trading Strategy within O'Connor's flagship fund, the O'Connor Global Multi-Strategy Alpha Fund. Prior to her current role, she served as head of various teams within O'Connor's numerous investment strategies.

O'Connor, which is wholly owned by UBS AG, has a 37-year history of liquid relative value investing within equities, credit, convertibles and derivatives with approximately \$5.4 billion in assets under management. The firm has over 140 professionals with offices in New York, Chicago, London, Hong Kong and Singapore.

Dawn began her career with O'Connor & Associates in 1992. During her tenure, she has specialized in investing in equities, equity options, index options, convertible arbitrage and merger arbitrage as well as derivatives. Dawn holds a B.S. from the University of Pennsylvania's Wharton School of Business and is a member of the UBS Global Asset Management Executive Committee and Americas Risk Committee. Dawn is a member of The Federal Reserve Bank of New York's Investor Advisory Committee on Financial Markets. Dawn is also on the Board of Trustees at the Hackley School. In 2013 Dawn was listed as one of the most powerful women on Wall Street by Business Insider.

Sarah H. Ketterer, Chief Executive Officer, Causeway Capital

Ms. Ketterer is the chief executive officer of Causeway, portfolio manager for the firm's fundamental and absolute return strategies, and is responsible for investment research across all sectors. Ms. Ketterer is a member of Causeway's operating committee. She co-founded the firm in June 2001.

From November 1996 to June 2001, Ms. Ketterer worked for the Hotchkis and Wiley division of Merrill Lynch Investment Managers ("HW-MLIM"). At HW-MLIM, she was a managing director and co-head of the firm's HW-MLIM International and Global Value team. From 1990 to 1996, Ms. Ketterer was a portfolio manager at Hotchkis and Wiley, where she co-founded the international equity product. Ms. Ketterer is currently a director of the Music Center Foundation and the Los Angeles World Affairs Council, and serves on the board of overseers of the Tuck School and on the Los Angeles advisory council of CollegeSpring.

Ms. Ketterer has a BA in Economics and Political Science from Stanford University and an MBA from the Amos Tuck School, Dartmouth

Kimberly Mustin, Head of North American Distribution, BNY Mellon Investment Management
Kimberly Mustin is Head of North American Distribution for BNY Mellon Investment Management. She is responsible for leading new business strategy and driving sales and client management efforts across institutional, retirement and retail markets throughout North America. Kim joined BNY Mellon in April 2014.

In North America, Kim oversees centralized distribution across Dreyfus, BNY Mellon Retirement, and Institutional markets. Working closely with BNY Mellon's investment boutiques, as well as Investment Management's product and marketing leadership, she leads the strategic plan for the North American distribution business. The respective heads of U.S. Retail Sales, BNY Mellon Retirement, Institutional Distribution, and Consultant Relations report to Kim.

Kim joined BNY Mellon most recently from OppenheimerFunds where she was Head of Global Strategic Accounts since 2010, leading all institutional buyer groups including institutional, retail home offices, third party and global private banking platforms.

Prior to Oppenheimer, Kim was with Legg Mason (2009-2010) serving as both Head of Institutional and Co-Head of Americas Distribution for Legg Mason affiliates. Throughout her career of consistently progressive sales leadership positions, Kim headed the Financial Institutions Group at Deutsche Bank (2002-2009), led Consulting and Relationship Management for Retirement at Scudder Investments (1999-2002), was a Principal at State Street Global Advisors (1999) and a Senior Consultant at Putnam Investments (1997-1999). She began her career as an Agent with the U.S. Treasury Department.

Kim attended the University of West Florida and earned a B.A. in Accounting. She holds her Series 3, 6, 7, 24, 26, 32 and 63 FINRA licenses.

Suni P. Harford, Managing Director and Regional Head of Markets for North America, Citigroup
Suni Harford is a Managing Director and Citigroup's Regional Head of Markets for North America. In this capacity, Suni oversees the North American sales, trading, and origination businesses of Citi's securities and banking franchise. Suni is a member of Citi's Pension Plan Investment Committee, and a Director on the Board of Citibank Canada. From 2010 - 2014, Suni was the co head of Citigroup's global women's initiative, Citi Women.

Ms. Harford serves on the Board of Directors of The Depository Trust & Clearing Corporation. Suni also serves on several not-profit Boards, including Friends of Hudson River Park, Taproot Foundation, and recently finished her second term with The Forte Foundation, a national, non-profit organization dedicated to increasing the number of women leaders in business. Ms. Harford is also passionate about awareness and support for our veteran community, and is involved in many organizations in this regard. For those efforts Ms. Harford recently received the Outstanding Civilian Service Award from the US Army.

Ms. Harford joined the Markets division of Salomon Brothers, after five years with Merrill Lynch & Co. where she worked in Investment Banking. She joined Merrill upon graduation from the Amos Tuck School of Business at Dartmouth College. Suni received her Bachelor of Science degree from Denison University, where she majored in physics and math.

Suni lives in Connecticut with her husband, three children (Devon (17), Jenna (14) and Liam (11)) and their dog, Sully.



About UBS (www.ubs.com)

UBS is a proud member of 100 Women in Hedge Funds' Leadership Council. [100WHF Leadership Council](#) is a select group of international banks, alternative investment firms, asset management firms and others in the industry who support the long run mission of 100 Women in Hedge Funds.

All Bar None is our employee network with the mission to engage, educate, and empower employees to promote the professional development of women at UBS and to champion the firm's vision, values, and strategies.

UBS draws on its 150-year heritage to serve private, institutional and corporate clients worldwide, as well as retail clients in Switzerland. Its business strategy is centered on its pre-eminent global wealth management businesses and its leading universal bank in Switzerland, complemented by its Global Asset Management business and its Investment Bank, with a focus on capital efficiency and businesses that offer a superior structural growth and profitability outlook. Headquartered in Zurich and Basel, Switzerland, UBS is present in all major financial centers worldwide and employs about 60,000 people around the world. It has offices in more than 50 countries, with about 35% of its employees working in the Americas, 36% in Switzerland, 17% in the rest of Europe, the Middle East and Africa and 12% in Asia Pacific.



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About 100 Women in Hedge Funds (www.100womeninhedgefunds.org)

100 Women in Hedge Funds is a global, practitioner-driven non-profit organization serving over 13,000 alternative investment management investors and professionals through educational, professional leverage and philanthropic initiatives. Formed in 2001, 100 Women in Hedge Funds has hosted close to 500 industry education events globally, connected more than 250 senior women through Peer Advisory Groups and raised over \$36 million for philanthropic causes in the areas of women's health, education and mentoring.