

## **BEN KEMPENICH**

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### **INVESTMENT PROFESSIONAL**

Eight years of experience in the financial services industry with expertise in equity research, bank operations, investments, and business development. Strong analytical, problem solving, and communication skills with in-depth knowledge of financial modeling, forecasting, and business strategy.

### **EXPERIENCE**

#### **AMERIGO CAPITAL, Newport Beach, CA**

**10/2016 – present**

##### *Private Equity Analyst*

Responsible for buy side processes including potential acquisition screening, initial outreach, due diligence, financial modeling, and presentation development.

#### **THE INNOVATION INSTITUTE, Newport Beach, CA**

**04/2016 – 8/2016**

##### *Investment Banking Analyst*

Worked directly with the Chief Investment Officer and participated in the design, execution, and marketing of \$150m investment funds targeting healthcare related innovation.

- Analyzed and performed due diligence on acquisition candidates including financial forecast models, industry analysis, and benchmarking against similar companies which contributed to C-level decisions.
- Co-authored multiple articles focused on healthcare related innovation and impact investing which were published in widely distributed financial and investment news sites.

#### **ROTH CAPITAL PARTNERS, LLC, Irvine, CA**

**06/2015 – 12/2015**

##### *Equity Research MBA Intern*

Performed sell-side equity research focused on clean tech and industrial small-cap stocks at a boutique investment bank.

- Maintained market intelligence system and provided ongoing monitoring of companies in the Cleantech and Industrial sectors involving analysis of micro and macro-economic trends.
- Developed full circle financial models and conducted financial statement analysis to forecast income statements, balance sheets, and cash flows.
- Performed primary and secondary research and preparation of comprehensive research notes for distribution to institutional clients including an initiation report for a recent IPO.

#### **JPMORGAN CHASE, Redondo Beach, CA**

**06/2009 – 08/2014**

##### *Operations Officer (07/2013 - 08/2014)*

Co-managed 5-10 people in operations and sales in new build branches including coaching and maintaining operational metrics.

- Ensured two satisfactory operations audits in recently opened branches by training staff in cash and negotiable instrument controls and regulatory compliance.
- Coached staff on maintaining and troubleshooting clients' information security, account opening activities, and policies and procedures.

##### *Licensed Personal Banker (06/2009 - 07/2013)*

Established, maintained, and grew relationships with clients. Assessed financial needs and offered a variety of financial services and investment opportunities including mortgages, premium products for high net worth clients, and mutual funds.

- #1 in District sales production in January, July and September 2012. Consistently highly ranked among bankers for production volume.
- Obtained Series 6, Series 63, and Variable Life licenses in 2011.

**P&C FINANCIAL AND INSURANCE SERVICES, INC., Irvine, CA****09/2008 – 02/2009***Executive Assistant*

Provided information management and marketing support, including compiling research on stocks, insurance products, and sales prospects for a start-up insurance and investment business.

- Improved inter-office communication by getting management buy-in and implementing a cloud-based office collaborative system.
- Spearheaded and marketed a webinar series given by a local expert on retirement products.

**MULTI-SERVICES, INC., Portland, OR****09/2007 – 05/2008***Concierge*

Provided quality concierge services to residents of newly built luxury condominium high-rise.

**FRED MEYER, INC., Portland, OR****03/2006 – 09/2007***Front Information Desk (03/2006 - 09/2007)*

- Received three promotions in twelve months.

**PORTLAND BOLT CO.****07/2004 – 11/2005***Inside Sales/ Cost Estimator***EDUCATION****University of California, Irvine, The Paul Merage School of Business, Irvine, CA****06/2016***Master of Business Administration, Finance & Strategy*

- Best negotiation, 2016 UCI Technology and Entrepreneurship Competition
- ACG Cup Corporate Valuation Case Competition
- Quantitative coursework and case project experience in accounting, investments, corporate valuation, venture capital, private equity, risk management, and business strategy.

**California State University, Long Beach, Long Beach, CA****09/2012***Economics, Post-Graduate Study***The College of Idaho, Caldwell, ID****06/2004***Bachelor of Music***PROFESSIONAL AFFILIATIONS/LEADERSHIP****UCI eSports – Board of Advisors**

- Advising on strategy for the upcoming gaming center and eSports arena.

**Merage Student Association – Vice President, Finance****UCI Challenge for Charity – Vice President, Finance**