

# Institutional Investor's 2017 All-America Ballot

## About You

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Please enter your contact info.

**First Name**

Shibin

**Last Name**

Xie

**Email Address**

shibin.xie@allianzgi.com

**Telephone Number (without spaces)**

Country code or US area code : 415  
Number : 9545332

**Primary Area of Responsibility**

Research Analyst

**How many sell-side arranged events (e.g., conferences, road shows) have you attended in the past year?**

5 or more

## About Your Company

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**Name of Institution**

Allianz Global Investors US

**Institution Type**

Mutual Fund/Unit Trust

**Country**

United States

**State**

California

**City**

San Francisco

## Assets & Commissions

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**This section must be completed to vote in the All-America Research Team.**

**Please indicate your firm's actively managed U.S. equity assets as of December 31, 2016. For hedge funds, please indicate leveraged gross exposure rather than net assets.**

\$10 Billion to \$29.99 Billion

## Commissions Allocations

Please indicate your firm's estimated total gross secondary market commissions paid for U.S. cash equities for the 12 months ending December 31, 2016:

None/Undisclosed

## Sector Selection

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From the list below, please indicate the sectors in which you would like to vote.

Chemicals  
Oil & Gas Exploration & Production  
Oil Services & Equipment  
Banks/Large-Cap  
Banks/Midcap  
Brokers, Asset Managers & Exchanges  
Consumer Finance  
Internet  
IT Hardware & Electronics Manufacturing Services (including technology supply chain)  
Payments, Processors & IT Services  
Semiconductor Capital Equipment  
Semiconductors  
Software  
Portfolio Strategy  
Technical Analysis

## Executive Team Research Trends

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Thinking about the companies you currently cover, which of the following influence your investment research/recommendations the most? Select up to 3.

The IR team is well informed and empowered to speak authoritatively on the company's behalf  
The company provides a timely and appropriate level of financial disclosure  
Hosting the most constructive conference calls

## Feedback on Corporates

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Senior executives are accessible

	Company Name	Recognize Best Practices	Opportunities for Improvement & Innovation
	Of the companies you cover which have the most accessible Senior Executives?	What specific things does this company do to make their Senior Executives accessible?	What would you like to see this company do to give you more accessibility to Senior Executives?
1st	Applied Material	Able to meet in various investor meetings	Comments
2nd	Skyworks	Able to meet in various investor meetings	Comments
3rd		Comments	Comments
4th		Comments	Comments

**IR team is well-informed and empowered to speak authoritatively on the company's behalf**

	<b>Company Name</b>  Of the companies you cover, which have an IR team that is well informed and empowered to speak authoritatively on the company's behalf?	<b>Recognize Best Practices</b>  What specific things does this IR team do to demonstrate it is well-informed and authoritative?	<b>Opportunities for Improvement &amp; Innovation</b>  How could this IR team further improve? What could it start/stop doing?
1st	Texas Instrument	Deep understanding of the business	Comments
2nd	Applied Material	Well informed	Comments
3rd		Comments	Comments
4th		Comments	Comments

**Timely and appropriate level of financial disclosure**

	<b>Company Name</b>  Of the companies you cover, which do the best at providing a timely and appropriate level of financial disclosure?	<b>Recognize Best Practices</b>  What specific things do you appreciate the most about this company's financial disclosure?	<b>Opportunities for Improvement &amp; Innovation</b>  What specific things could this company do to improve their financial disclosure?
1st	Texas Instrument	Well articulated long term goal	Comments
2nd		Comments	Comments
3rd		Comments	Comments
4th		Comments	Comments

**Responds quickly and thoroughly to requests**

	<b>Company Name</b>  Of the companies you cover, which do the best job at responding quickly and thoroughly to requests?	<b>Recognize Best Practices</b>  Describe specific ways in which this company has been responsive and thorough.	<b>Opportunities for Improvement &amp; Innovation</b>  How could this company improve its responsiveness to requests?
1st	Applied Material	Accessible	Comments
2nd		Comments	Comments
3rd		Comments	Comments
4th		Comments	Comments

### Most constructive conference calls

	Company Name  Of the companies you cover, which host the most constructive conference calls?	Recognize Best Practices  What makes this company's conferences calls standout? Please provide examples?	Opportunities for Improvement & Innovation  What could this company do to add more value to their conference calls?
1st	Applied Material	Articulate long term trend very well	Comments
2nd		Comments	Comments
3rd		Comments	Comments
4th		Comments	Comments

### Best Website

	Company Name  Of the companies you cover, which has the best website that provides thorough and easy-to-access investor information?	Recognize Best Practices  What specific aspects of this company's website make it the best?	Opportunities for Improvement & Innovation  What could this company do to improve their website?
1st	Lam Research	Easy to find information	Comments
2nd		Comments	Comments
3rd		Comments	Comments
4th		Comments	Comments

### Best CEOs

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#### Best CEOs

	CEO's Name (Last, First)	Company Name	Recognize Best Practices  What makes the CEO of this company stand out? Please include any deals, mergers, events, etc. that bring this person to mind.	Opportunities for Improvement & Innovation  What could this CEO start or stop doing to provide more value?
1st	Hock Tan	Broadcom LTD	Best capital allocator	Comments
2nd			Comments	Comments
3rd			Comments	Comments
4th			Comments	Comments

### Best CFOs

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## Best CFOs

	<b>CFO's Name</b> (Last, First)	<b>Company Name</b>	<b>Recognize Best Practices</b>  What makes the CFO of this company stand out? Please include any deals, mergers, events, etc. that bring this person to mind.	<b>Opportunities for Improvement &amp; Innovation</b>  What could this CFO start or stop doing to provide more value?
1st	Halliday, Robert	Applied Material	Great communicator and finance chief	Comments
2nd			Comments	Comments
3rd			Comments	Comments
4th			Comments	Comments

## Best IR Professionals

### Best IR Professionals

	<b>IR Professional's Name</b> (Last, First)	<b>Company Name</b>	<b>Recognize Best Practices</b>  What makes the IRO of this company stand out? Provide specific examples.	<b>Opportunities for Improvement &amp; Innovation</b>  What could this IRO do to provide more value?
1st	Pahl, David	Texas Instrument	Well informed meetings	Comments
2nd			Comments	Comments
3rd			Comments	Comments
4th			Comments	Comments

## Best Analyst/Investor Days

### Best Analyst/Investor Days

	<b>Company Name</b>  Of the companies you cover, which host the most constructive analyst/investor days?	<b>Recognize Best Practices</b>  What specific aspects of this company's event make it the best?	<b>Opportunities for Improvement &amp; Innovation</b>  What could this company do differently to host a more constructive event?
1st	Autodesk	Well articulated long term model	Comments
2nd		Comments	Comments
3rd		Comments	Comments
4th		Comments	Comments

## Equity Generalist Sales Part 1

**Best understanding of client needs and customized service**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd	Rob Sigler	UBS		
3rd				
4th				

**Best at providing special services (company visits, conferences, etc.)**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Knowledge and effective communication of research product**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Most proactive in facilitating/integrating access to analysts**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Equity Generalist Sales Part 2**

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**Quality of idea generation**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Quality of relationship**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Quality of service intensity & responsiveness**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Which sales team provides the best Global context for U.S. portfolios**

	Name of Equity Salesperson	Firm Name	Contact Id	Company Id
1st	Martin Salomon	Bernstein		
2nd				
3rd				
4th				

**Specialist Sales - Technology, Media & Telecommunications**

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**Idea Generation**

	Name of Equity Specialist Salesperson	Firm Name	Contact Id	Company Id
1st	Klein, Jordan	Bernstein	596185	321909820
2nd				
3rd				
4th				

**Knowledge and Effective Communication of Research Product**

	Name of Equity Specialist Salesperson	Firm Name	Contact Id	Company Id
1st	Klein, Jordan	Bernstein	596185	321909820
2nd				
3rd				
4th				

**Corporate Access - Chemicals**

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## Who facilitates one-on-one meetings with executives that best align with your investment priorities

	Firm Name	Company Id
1st		321909870
2nd		275637772
3rd		321907155
4th		

### Research - Chemicals

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#### Chemicals Sector:

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Alexander, Laurence	Jefferies	506845	321909870
2nd	Roberts, John	UBS	329701	275637772
3rd	Begleiter, David	Deutsche Bank	505539	321907155
4th				

### Research - Portfolio Strategy

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#### Portfolio Strategy Sector:

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Kostin, David	Goldman Sachs	505770	275631107
2nd	Levkovich, Tobias	Citi	507856	321916165
3rd	Goldstein, Michael	Empirical Research Partners	358686	415045607
4th	Lee, Thomas	Fundstrat Global Advisors	507922	416292916

### Research - Technical Analysis

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#### Technical Analysis Sector:

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Worth, Carter	Cornerstone Macro	358664	415045561
2nd	deGraaf, Jeffrey	Renaissance Macro Research	506955	415045855
3rd				
4th				

### Research - Oil & Gas Exploration & Production

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**Oil & Gas Exploration & Production Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Featherston, William	UBS	10601	275637772
2nd	Brackett, Robert	Bernstein	507927	321909820
3rd	Westlake, Ed	Credit Suisse	7724	275637782
4th				

**Research - Oil Services & Equipment**

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**Oil Services & Equipment Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Gruber, Scott	Citi	507975	321916165
2nd	Sedita, Angie	UBS	505592	275637772
3rd	Wicklund, James	Credit Suisse	506037	275637782
4th	Slorer, Ole	Morgan Stanley	506702	312072573

**Research - Banks/Large-Cap**

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**Banks/Large-Cap Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Graseck, Betsy	Morgan Stanley	506718	312072573
2nd	Goldberg, Jason	Barclays	507308	275631182
3rd	McDonald, John	Bernstein	506686	321909820
4th	Schorr, Glenn	Evercore ISI	506776	314092152

**Research - Banks/Midcap**

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**Banks/Midcap Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Nash, Ryan	Goldman Sachs	507490	275631107
2nd	Zerbe, Kenneth	Morgan Stanley	505917	312072573
3rd				
4th				

**Research - Brokers, Asset Managers & Exchanges**

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**Brokers, Asset Managers & Exchanges Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Worthington, Kenneth	J.P. Morgan	400563	275637777
2nd	Kramm, Alex	UBS	505825	275637772
3rd	Bedell, Brian	Deutsche Bank	506352	321907155
4th	Fannon, Daniel	Jefferies	506024	321909870

**Research - Consumer Finance**

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**Consumer Finance Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Hecht, John	Jefferies	506575	321909870
2nd	Shane, Richard	J.P. Morgan	507781	275637777
3rd	Orenbuch, Moshe	Credit Suisse	506727	275637782
4th	DeVries, Mark	Barclays	506762	275631182

**Research - Internet**

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**Internet Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Anmuth, Douglas	J.P. Morgan	505530	275637777
2nd	Sheridan, Eric	UBS	7679	275637772
3rd	Mahaney, Mark	RBC	506818	321916215
4th	Nowak, Brian	Morgan Stanley	506442	312072573

**Research - IT Hardware & Electronics Manufacturing Services (including technology supply chain)**

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**IT Hardware & Electronics Manufacturing Services (including technology supply chain) Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Huberty, Kathryn	Morgan Stanley	506530	312072573
2nd	Jankowski, Simona	Goldman Sachs	507022	275631107
3rd	Long, Timothy	BMO Capital Markets	507272	344841618
4th	Milunovich, Steven	UBS	9997	275637772

**Research - Payments, Processors & IT Services**

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**Payments, Processors & IT Services Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Ellis, Lisa	Bernstein	506406	321909820
2nd	Beck, Josh	KeyBanc Capital Markets	506930	415045744
3rd	Shirvaikar, Ashwin	Citi	505912	321916165
4th	Friedman, James	Susquehanna	506100	321909830

**Research - Semiconductor Capital Equipment**

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**Semiconductor Capital Equipment Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Sur, Harlan	J.P. Morgan	506165	275637777
2nd	Arcuri, Timothy	Cowen and Co.	507208	415045568
3rd	Muse, CJ	Evercore ISI	506454	314092152
4th	Chin, Stephen	UBS	10021	275637772

**Research - Semiconductors**

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**Semiconductors Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Pitzer, John	Credit Suisse	8284	275637782
2nd	Sur, Harlan	J.P. Morgan	506165	275637777
3rd	Seymore, Ross	Deutsche Bank	508058	321907155
4th	Chin, Stephen	UBS	10021	275637772

**Research - Software**

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**Software Sector:**

	Name of Analyst	Firm Name	Contact Id	Company Id
1st	Keirstead, Karl	Bernstein	506756	321909820
2nd	Weiss, Keith	Morgan Stanley	506090	312072573
3rd	Moerdler, Mark	Bernstein	506756	321909820
4th	Bellini, Heather	Goldman Sachs	506422	275631107