

John F. Steffen III

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Professional Profile

Proven financial professional with over 25 years of investment expertise across equity portfolio management, alternative investments and equity capital markets. Extensive experience in valuation and analysis of small and mid cap companies. Strong managerial skills with success in recruiting, training and team building.

Education:

1993 - M.B.A. Finance — University of Southern California, Los Angeles, CA

1986 - BS Mechanical Engineering — Michigan State University, East Lansing, MI

Professional Experience:

Michigan State University Broad School of Business, East Lansing, MI

2024-Present Faculty Lecturer, Department of Finance

Private Investor, Munich, Germany

2018-2023

Sutter Mill Capital Management, Santa Barbara, CA & New York, NY

2011-2018 *Managing Partner and Portfolio Manager*

- Managed the registered Sutter Mill I LP launched in 2012, a long/short equity fund.
- Portfolio focused on small cap companies in midst of a successful turnaround.
- Developed a proprietary investment process incorporating both private and public valuation metrics.
- Generated Alpha from both the long and short side while achieving very low correlation ($R\text{-squared} = .31$)

Blue Danube LLC, Santa Barbara, CA

2005-2011 *Managing Partner*

- Established the firm using a Family Office model
- Managed public equity and private investments

BofA Securities, San Francisco, CA & Chicago, IL

1993-2005 *Managing Director, Equities*

- Managed the Midwest region for the Equities Division from 2000-2004 and increased market share by $> 2x$
- Served as the National Technology specialist working closely with Investment Banking, Research and Equity Capital Markets on late stage IPO pitches and execution.
- Helped execute over 250 IPO's, Secondaries and Private Placements.

Volunteer Work

Michigan State University Broad College of Business, East Lansing, MI

2010-2023 *Chairperson—Finance Advisory Board*

- Provide oversight on the Student Investment Fund, a mid-cap equity fund actively managed by the students and the department.
- Mentor Finance students on career guidance and investment analysis
- Advise the department on curriculum recommendations

Munich International School, Starnberg, Germany

2022-2023 *Class of 2023 committee member*

- Managed activities related to the class of 2023 including fundraising and graduation

Montecito Union School District, Montecito, CA

2014-2015 *Charter School Advocate*

- Worked closely with the School Board and Charter School Institutes on the feasibility of a new charter School in the District.

AYSO, Santa Barbara, CA

2009-2017 Coached both boys and girls soccer teams

Core Skills

- Equity analysis and valuation
- Portfolio construction and analytics
- Financial modelling
- Working with C-Suite executives from both an advisory and investment position