



**CAASA**  
CANADIAN ASSOCIATION OF  
ALTERNATIVE STRATEGIES & ASSETS

## CAASA Liquid Alts Update - September 30, 2019

*Your source for information on all things alternative in the Canadian asset management industry.*

*Abridged public version.*

*Summary (includes funds who have reported to us):*

# of Issuers	# of Funds	AUM Equity	AUM Credit	AUM Multi-st	AUM MN	AUM Other	AUM TBC	Total AUM*
32	82	\$2,468 mil (50%)	\$696 mil (14%)	\$1,049 mil (22%)	\$434 mil (9%)	\$239 mil (5%)	\$60 mil (1%)	\$5,274 mil
		32 funds (44%)	13 funds (18%)	12 funds (17%)	3 funds (4%)	6 funds (8%)	6 funds (8%)	

### CAASA ANNUAL CONFERENCE 2019

Monday, November 4 & Tuesday, November 5

Attendees from around the world, tête-à-tête sessions for all

Special Day 1 morning events for Sponsors & Investors

Fairmont Queen Elizabeth, Montréal



*\*Total AUM is higher than components as some fund managers did not submit data by fund. 79% of AUM reporting for this issue.*

# ALTERNATIVE FUNDS LISTING

<b>Fund Company Name</b>	<b>Firm Liquid Alts AUM</b>			
<b>Fund Name</b>	<b>Incep. Date</b>	<b>Risk</b>	<b>CIFSC</b>	<b>Sub/Red</b>
<b>1832 Asset Management L. P.</b>	<b>\$1,018 million</b>			
Dynamic Real Estate & Infrastructure Income II Fund	March 1, 2019	L-M	Other	D / D
Dynamic Alpha Performance II Fund	Oct 1, 2018	L-M	Equity	D / D
Dynamic Premium Yield PLUS Fund	Oct 1, 2018	L-M	Equity	D / D
Dynamic Credit Absolute Return II Fund	July 19, 2019			
<b>Accelerate Financial Technologies Inc.</b>	<b>\$2.8 million</b>			
Accelerate Absolute Return Hedge Fund	May 10, 2019	M	Equity	D / D
Accelerate Enhanced Canadian Benchmark Alternative Fund	May 10, 2019	M	Equity	D / D
Accelerate Private Equity Alpha Fund	May 10, 2019	M	Other	D / D
<b>AGF Investments</b>	<b>\$70 million</b>			
AGFiQ US Long/Short Dividend Income CAD-Hedged Fund	June 30, 2019	L-M	Equity	D / D
AGFiQ US Market Neutral Anti-Beta CAD-Hedged ETF	June 30, 2019		Equity	D / D
AGFiQ US Long/Short Dividend Income CAD-Hedged ETF	June 30, 2019	L-M	Equity	D / D
<b>Algonquin Capital</b>	<b>n/a</b>			
Algonquin Fixed Income 2.0 Fund	Aug 15, 2019		Equity	D / D

**Legend:** Inception Date means fund inception date or date Final Prospectus was filed, with \* means date preliminary prospectus was filed. AUM in millions. Mgt Fees are F-class. Risk: Low, Low-Medium, Medium, Medium-High, High. CIFSC Categories: Alternative Equity Focused, Alternative Credit Focused, Alternative Multi-strategy, Alternative Market Neutral (MN), Alternative Other. Subscription/Redemptions frequency: D=Daily, W=Weekly, M=Monthly, Q=Quarterly

# ALTERNATIVE FUNDS LISTING

Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>Arrow Capital Management Inc.</b>	<b>\$131 million</b>			
Arrow Canadian Advantage Alternative Class	April 30, 2008	M	TBD	D / D
Arrow Global Advantage Alternative Class	Dec 31, 2018	M	Multi-st	D / D
Wavefront Global Diversified Investment Class	June 30, 2019			
<b>Auspice Capital Advisors Ltd.</b>	<b>\$4.4 million</b>			
Canadian Crude Oil Index ETF	April 9, 2019	H	TBD	D / D
<b>BMO Nesbitt Burns Inc.</b>	<b>\$25 million</b>			
BMO PineBridge Preferred Securities TACTIC™ Fund	Dec 7, 2018	n/a	TBC	D / D
<b>CI Investments Inc.</b>	<b>\$1,018 million</b>			
Lawrence Park Alternative Investment Grade Credit Fund	Oct 31, 2018	L-M	Credit	D / D
Marret Alternative Absolute Return Bond Fund	Oct 31, 2018	L-M	Credit	D / D
Munro Alternative Global Growth Fund	Oct 31, 2018	M	Equity	D / D
<b>CIBC Asset Management</b>	<b>\$291 million</b>			
CIBC Multi-Asset Absolute Return Strategy	Oct 8, 2018	n/a	TBC	D / D

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# ALTERNATIVE FUNDS LISTING

Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>Connor, Clark &amp; Lunn Funds Inc.</b>	<b>\$67.2 million</b>			
CC&L Alternative Global Equity Fund	Feb 15, 2019	M	Equity	D / D
CC&L Alternative Canadian Equity Fund	Feb 15, 2019	M	Equity	D / D
CC&L Alternative Income Fund	Feb 15, 2019	L-M	Equity	D / D
<b>Desjardins Global Asset Management Inc.</b>	<b>\$221 million</b>			
Desjardins Alt Long/Short Equity Market Neutral ETF	Jan 8, 2019	L	MN	D / D
<b>EHP Funds Inc.</b>	<b>\$347 million</b>			
EHP Foundation Alternative Fund	Aug 16, 2018	L-M	Equity	D / D
EHP Advantage Alternative Fund	Aug 16, 2018	L-M	Equity	D / D
EHP Foundation International Alternative Fund	Aug 16, 2018	L-M	Equity	D / D
EHP Advantage International Alternative Fund	Aug 16, 2018	L-M	Equity	D / D
EHP Select Alternative Fund	Aug 16, 2018	M	Equity	D / D
EHP Global Arbitrage Alternative Fund	Aug 16, 2018	L-M	Other	D / D
<b>Fiera Capital Corporation</b>	<b>\$60 million</b>			
Fiera Capital Income Opportunities Fund	July 4, 2019	L-M	Credit	D / D
<b>Forge First Asset Management Inc.</b>	<b>\$88.4 million</b>			
Forge First Long Short Alternative Fund	April 24, 2019	M	Equity	D / D
Forge First Conservative Alternative Fund	April 24, 2019	L-M	Multi-st	D / D

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# ALTERNATIVE FUNDS LISTING

Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>Franklin Templeton Investments Corp.</b>	<b>\$39 million</b>			
Franklin Target Return Fund	April 11, 2017	L	Multi-st	D / D
Franklin K2 Alternatives Fund	March 11, 2019	L	Multi-st	D / D
<b>Friedberg Mercantile Group Ltd.</b>	<b>n/a</b>			
Friedberg Asset Allocation Fund	April 25, 2019	n/a	TBD	W&M / W&M
Friedberg Global-Macro Hedge Fund	April 24, 2019	n/a	TBD	W&M / W&M
<b>Horizons ETFs Management (Canada) Inc.</b>	<b>\$448.7 million</b>			
BetaPro Marijuana Companies 2x Daily Bull ETF	May 23, 2019	TBC	Equity	D / D
BetaPro Marijuana Companies Inverse ETF	May 23, 2019	TBC	Equity	D / D
Horizons Gold Yield ETF	March 1, 2019	M	TBC	D / D
Horizons Natural Gas Yield ETF	March 1, 2019	H	TBC	D / D
BetaPro S&P 500 VIX Short-Term Futures™ ETF	Dec 15, 2018	H	TBC	D / D
Horizons Global Uranium Index ETF	May 13, 2019	TBC	TBC	D / D
Horizons Seasonal Rotation ETF	Nov 19, 2009	L-M	Equity	D / D
Horizons Morningstar Hedge Fund Index ETF	April 26, 2012	L-M	Other	D / D
Horizons Absolute Return Global Currency ETF	Jan 16, 2017	L-M	Other	D / D
BetaPro S&P/TSX 60™ 2x Daily Bull ETF	July 29, 2019	TBC	Equity	D / D

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Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>IA Clarington Investments Inc.</b>	n/a			
IA Clarington U.S. Equity Opportunities Fund	Feb 20, 2019	M	Equity	D / D
<b>Mackenzie Financial Corporation</b>	<b>\$404 million</b>			
Mackenzie Credit Absolute Return Fund	Feb 1, 2019	M	Credit	D / D
Mackenzie Global Long/Short Equity Alpha Fund	Feb 1, 2019	M	Equity	D / D
Mackenzie Global Macro Fund	Feb 1, 2019	L-M	Multi-st	D / D
Mackenzie Multi-Strategy Absolute Return Fund	April 30, 2018	L-M	Multi-st	D / D
<b>National Bank Investments Inc. (National Bank Trust Inc.)</b>	<b>\$23 million</b>			
NBI Liquid Alternatives ETF	Jan 16, 2019	M	Multi-st	D / D
<b>Next Edge Capital</b>	<b>\$26 million</b>			
Next Edge AHL Fund	Aug 1, 2019	M	Other	D / D
<b>NewGen Asset Management Limited</b>	<b>\$153 million</b>			
NewGen Alternative Income Fund	Jan 17, 2019	L-M	Multi-st	D / D
<b>Picton Mahoney Asset Management</b>	<b>\$141 million</b>			
Picton Mahoney Fortified Multi-Strategy Alt Fund	Sept 27, 2018	L-M	Multi-st	D / D
Picton Mahoney Fortified Market Neutral Alt Fund	Sept 27, 2018	L-M	MN	D / D
Picton Mahoney Fortified Active Extension Alt Fund	Sept 27, 2018	M	Equity	D / D
Picton Mahoney Fortified Income Fund	Oct 15, 2018	L-M	Credit	D / D

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Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>Purpose Investments</b>	<b>\$118 million</b>			
Purpose Credit Opportunities Fund	July 11, 2019	L-M	Equity	D / D
Purpose Diversified Real Asset Fund	Aug 6, 2019	M	Equity	D / D
Purpose Multi-Strategy Market Neutral Fund	Aug 6, 2019	L-M	Equity	D / D
<b>RP Investment Advisors LLP</b>	<b>n/a</b>			
RP Alternative Global Bond Fund	April 25, 2019*	M	Credit	D / D
<b>Russell Investments Canada Limited</b>	<b>\$203 million</b>			
Russell Investments Yield Opportunities Pool	Feb 19, 2019	L-M	Credit	D / D
<b>Sun Life Investments</b>	<b>\$73 million</b>			
Sun Life Opportunistic Fixed Income Fund	June 6, 2019	L	Credit	D / D
<b>Veritas Asset Management</b>	<b>\$12 million</b>			
Veritas Absolute Return Fund	Aug 20, 2019			D / D

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 \*\*2.25% for wrap fund

# ALTERNATIVE FUNDS LISTING

Fund Company Name	Firm Liquid Alts AUM			
Fund Name	Incep. Date	Risk	CIFSC	Sub/Red
<b>Vertex One Asset Management Inc.</b>	<b>\$251 million</b>			
Vertex Liquid Alternative Fund	Jan 16, 2019	L-M	MN	D / D
Vertex Liquid Alternative Fund Plus	Jan 16, 2019	L-M	Multi-st	D / D
Vertex Canadian Equity Alpha Fund	Jan 16, 2019	M-H	Equity	D / D
Vertex U.S. Equity Alpha Fund	Jan 16, 2019	M-H	Equity	D / D
Vertex Bond Alpha Fund	Jan 16, 2019	M	Credit	D / D
<b>Waratah Capital Advisors</b>	<b>\$0 million</b>			
Waratah Alternative Equity Income Fund	July 24, 2019	M	Equity	W / W
<b>Vision Capital Corporation</b>	<b>\$66 million</b>			
Vision Alternative Income Fund	March 1, 2019	L-M	Multi-st	M / M**
<b>YTM Capital Asset Management Ltd.</b>	<b>n/a</b>			
YTM Capital Fixed Income Alternative Fund***	Nov 22, 2018*	L-M	Credit	D / D

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# ALTERNATIVE FUNDS RULES

## New Rules for Canadian Hedge: A synopsis of the changes to National Instrument 81-102

Characteristic	Note
<b>Regulator</b>	Canadian Securities Administrator
<b>Promulgation Date</b>	January 3, 2019 (initial proposal for comment in March, 2013)
<b>Amending rule</b>	National Instrument 81-102
<b>Investor Base</b>	All Canadian investors (Retail, Accredited Investors, Permitted Clients)
<b>Seed Capital / Organization Costs</b>	<ul style="list-style-type: none"> <li>• Manager to pay start-up costs</li> <li>• Min. \$150,000 seed capital – cannot be withdrawn until \$500,000 in outside investment received</li> </ul>
<b>Maximum Leverage</b>	300% of NAV, calculated as sum of cash borrowing, short-selling, derivatives (minus derivatives used for hedging) divided by NAV.
<b>Shorting</b>	<p>Can borrow up to 50% of NAV, subject to certain conditions including only borrowing from permitted custodian/subcustodian IRC approval required if borrowing from an affiliate of the Manager Up to 50% of NAV in total</p> <ul style="list-style-type: none"> <li>• Up to 10% of NAV on one issuer (exception for “government securities”)</li> <li>• No cash cover required, no prohibition on using proceeds to buy long</li> <li>• <b>Subject to combined cap with cash borrowing of 50%</b></li> </ul>
<b>Concentration Restriction</b>	20% of NAV at time of purchase in securities of an issuer (subject to certain prescribed exemptions).
<b>Form of Prospectus / Disclosure</b>	Must use NI 81-101 Forms (SP, AIF, Fund Facts) unless exchange-traded. If exchange-traded, must use Form 41-101F2 long form prospectus and ETF Facts. Fund Facts: point of sale delivery. ETF Facts – delivery within 2 days of trade.
<b>Borrowing / Leverage Disclosures</b>	Description of use of leverage including min and max exposure to leverage, calculated based on new NI 81-102 requirements in financial statements and MRFP. MRFP disclosure to also include description of impact of hedging on overall leverage exposure calculation.
<b>Fund of Fund Investing</b>	<p><i>Conventional Mutual Funds</i> can invest up to 10% combined in alternative mutual funds/non-redeemable investment funds that are subject to NI 81-102</p> <p><i>Alternative Funds</i> can invest in any investment fund that is a reporting issuer subject to NI 81-102 in any jurisdiction (includes non-redeemable investment funds and other alternative mutual funds).</p>
<b>Entities Permitted to Act as Custodians</b>	Must be Canadian Bank, Trust Company (per Bank Act or LTCA/provincial equivalent). Can also be affiliate of above if (a) parent guarantees all obligations or (b) has asset > \$10M as per audited financial statements.

# ALTERNATIVE FUNDS CODES & CONTACTS

## Listing of Liquid Alts Fundserv and ticker symbols for CAASA member companies

### Accelerate Financial Technologies - Tickers

Accelerate Absolute Return Hedge Fund	HDGE
Accelerate Enhanced Canadian Benchmark Alternative Fund	AT SX
Accelerate Private Equity Alpha Fund	ALFA

### Accelerate Financial Technologies - Contact

Maury Krupp, Regional Vice President	(647) 987-5723 / (514) 497-5723, mkrupp@acceleratefintech.com
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### AGF Investments

AGFIQ US Long/Short Dividend Income CAD-Hedged Fund	AGF4093
AGFIQ US Market Neutral Anti-Beta CAD-Hedged ETF	BTAL
AGFIQ US Long/Short Dividend Income CAD-Hedged ETF	DIVA

### CI Investments Inc. (CIG prefix)

	Class A	Class F	Class I
CI Lawrence Park Alternative Inv Grade Credit Fund	2190	4190	5190
CI Marret Alternative Absolute Return Bond Fund	2191	4191	5191
CI Munro Alternative Global Growth Fund	2192	4192	5192

### CI Investments Inc. - Contacts

Tim Shrigley, Senior Vice President, Western Canada	(604) 681-3346, tshrigley@ci.com
Patrick Lefrançois, Senior Vice-President, Eastern Canada	(514) 868-2180, plefrancois@ci.com
Sheldon Cameron, Senior Vice President, Central Canada	(403) 836-7222, scameron@ci.com
Craig Koenig, Senior Vice-President, Ontario	(416) 681-6600, ckoenig@ci.com
Conner Sura, Director, Business Development, Lawrence Park Asset Management	(416) 646-2180, conner.sura@lawrenceparkam.com

# ALTERNATIVE FUNDS CODES & CONTACTS

## Listing of Liquid Alts Fundserv and ticker symbols for CAASA member companies

<b>CIBC Asset Management</b>	
CIBC Multi-Asset Absolute Return Strategy	ATL5010

<b>CIBC Asset Management - Contacts</b>	
Shannon Clovechok, Regional Director, AB & Central Canada	(403) 471-6333, Shannon.clovechok@cibc.ca
Craig Clarke, Regional Director, Eastern Canada	(902) 429-5585, Craig.clarke@cibc.ca
Ed Gorrell, Regional Director, Ontario	(416) 570-2051, Ed.gorrell@cibc.ca
Chris Dubois, Regional Director, Ontario	(613) 617-5594, Christopher.dubois@cibc.ca
Mike Sweeten, Regional Director, BC & Northwest Territories	(604) 842-7809, Michael.sweeten@cibc.ca

<b>Connor, Clark &amp; Lunn Funds Inc. (CCL prefix)</b>	<b>Class A</b>	<b>Class F</b>	<b>Class I</b>
CC&L Alternative Canadian Equity Fund	1800	1801	n/a
CC&L Alternative Global Equity Fund	1900	1901	n/a
CC&L Alternative Income Fund	1700	1701	1702

<b>Connor, Clark &amp; Lunn Funds Inc. - Contacts</b>	
Bryce Walker, SVP Business Development, BC, AB & SK	(403) 909-8446, bwalker@cclgroup.com
Brad Cann, Vice-President Business Development, Central/West ON & MB	(416) 643-7651, bcann@cclgroup.com
Andrea Reilly, Vice President Business Development, Eastern ON, QC, Atlantic	(514) 490-2787, areilly@cclgroup.com

# ALTERNATIVE FUNDS CODES & CONTACTS

## Listing of Liquid Alts Fundserv and ticker symbols for CAASA member companies

<b>EHP Funds Inc. (EHP prefix)</b>	
EHP Foundation Alternative Fund	100F
EHP Advantage Alternative Fund	200F
EHP Foundation International Alternative Fund	300F
EHP Advantage International Alternative Fund	400F
EHP Select Alternative Fund	500F
EHP Global Arbitrage Alternative Fund	600F

<b>EHP Funds Inc. - Contacts</b>	
Jeff Bennett, Director of Business Development	(416) 360-4381, jbenett@ehpartners.com
Karl Palmen, Director of Business Development	(604) 363-9561; kpalmen@ehpartners.com

<b>Franklin Templeton Investments Corp. (TML prefix)</b>	
Franklin Target Return Fund	3957
Franklin K2 Alternatives Fund	5763

# ALTERNATIVE FUNDS CODES & CONTACTS

## Listing of Liquid Alts Fundserv and ticker symbols for CAASA member companies

<b>Horizons ETFs - Tickers</b>	
BetaPro Marijuana Companies 2x Daily Bull ETF	HJMU
BetaPro Marijuana Companies Inverse ETF	HMJI
Horizons Gold Yield ETF	HGY
Horizons Natural Gas Yield ETF	HNY
BetaPro S&P 500 VIX Short-Term Futures™ ETF	HVU
Horizons Global Uranium Index ETF	HURA
Horizons Seasonal Rotation ETF	HAC
Horizons Morningstar Hedge Fund Index ETF	HHF
Horizons Absolute Return Global Currency ETF	HARC
BetaPro S&P/TSX 60™ 2x Daily Bull ETF	HIX

<b>Mackenzie Financial Corporation (MFC prefix)</b>	<b>Series A</b>	<b>Series F</b>	<b>Series FB</b>	<b>Series O</b>	<b>Series PW</b>	<b>Series PWFB</b>	<b>Series PWX</b>
Mackenzie Credit Absolute Return Fund	5960	5961	5962	5963	5964	5966	5965
Mackenzie Global Long/Short Equity Alpha Fund	5968	5969	5970	5971	5972	5973	5976
Mackenzie Global Macro Fund	5976	5977	5978	5979	5980	5982	5981
Mackenzie Multi-Strategy Absolute Return Fund	5546	5547	5548	5549	5550	5552	5551

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<b>Next Edge Capital (NEC prefix)</b>	
Next Edge AHL Fund	173

<b>Next Edge Capital - Contact</b>	
Robert Anton, Managing Director	(416) 775-3642, robert.anton@nextedgecapital.com

<b>Russell Investments Canada Limited (FRC prefix)</b>	<b>Series A</b>	<b>Series B</b>	<b>Series B-5</b>	<b>Series F</b>	<b>Series F-5</b>	<b>Series O</b>	<b>Series O-5</b>
Russell Investments Yield Opportunities Pool	270	280	295	680	685	980	985

<b>Russell Investments - Contact</b>	
Danny Kabeya, Divisional Director, Eastern Canada	(416) 640-2522, dkabeya@russellinvestments.com

<b>Waratah Capital Advisors (WCA prefix)</b>	
Waratah Alternative Equity Income Fund	L4F

<b>Waratah Capital Advisors - Contact</b>	
Jessica Clark Barrow, Executive Vice President	(416) 637-5618, jessica@waratahcap.com