

CAASA Family Office Summit 2020 - Online

Presented by: the Canadian Association of Alternative Strategies & Assets



CAASA
CANADIAN ASSOCIATION OF
ALTERNATIVE STRATEGIES & ASSETS

**Wednesday, August 5th, Thursday, August 6th
Plus Additional Meeting Day: Friday, August 7th**



ABOUT CAASA

INCLUSIVE, ACTIVE, AND PAN-ALTERNATIVE

The Canadian Association of Alternative Strategies & Assets (CAASA) was created in response to industry requests for a national group to represent the Canadian alternative investment participants, including investors, asset managers, and service providers. CAASA is **inclusive** in that it welcomes participation from all companies active in the space as well as select individuals (those with investors) who might want to participate in committees and working groups - or simply attend member events - without their employer being a member of the association. CAASA is very **active** in both committees & groups and events: 45+ events, including this conference, have occurred or are planned in 2019.

Pan-alternative, for CAASA, encompasses all alternative strategies and assets including: hedge funds / alternative trading strategies, private and public real estate (funds and direct), private lending, private equity, development & project finance, digital assets / crypto-assets, weather derivatives & cat bonds, and all aspects of diligence, trading, structuring, dealing, and monitoring alternatives in a stand-alone portfolio and as part of a larger investment strategy.

MEMBER BENEFITS

Investors join CAASA to be a part of a formal network of pension plans, foundations, endowments, sovereign wealth funds, and family offices to discuss ideas, strategies, and operational issues particular to their businesses - all within a closed group where managers and service providers may or may not be included, depending on the forum.

Managers see the association as a way to connect with peers, investors, and service providers to speak to fund structuring, sales & marketing, and regulatory issues. CAASA is not a capital introduction platform, but we do create forums where investors and managers can meet organically or via structured meeting sessions, such as at this conference, where participation by the investors is strictly opt-in.

Service providers participate in our events and working groups as well as assist in the production of thought leadership pieces which provide relevant information to both association members and the industry and investing public at large.

NATIONAL AND GLOBAL

CAASA believes that the Canadian alternatives industry has a great deal to offer Canadians and the global community. The *Canadian Model of Pension Management* is well-known for its large alternatives focus, managed in-house in many cases with substantial allocations to external managers as well. Canadian investment managers operate in a robust regulatory regime (of hedge fund managers) that is becoming the norm across the globe and a stable banking back-drop that provides solace for investors as well as opportunities for managers. Talent in investment management (approximately 10% of all CFA charterholders reside in Canada) as well as newer areas such as digital assets and robo-advisory services are a differentiator. Of course, Canadian investors and managers are keen to learn of best practices in operations and portfolio management from their global peers.



WELCOME TO OUR IN-DEPTH LOOK INTO FAMILY OFFICE ISSUES

The CAASA Family Office Summit brings together speakers and participants from single and multi-family offices, investment dealers, Canadian and global investment management houses, and affiliated service providers. Panels and break-out sessions will focus on key issues facing family offices in Canada and elsewhere including structuring, legal & tax issues, IT and operational areas, and investments - including: hedge funds, CTAs, private equity, private lending, real estate, infrastructure, and crypto-assets/blockchain-related investments. All content is subject to Chatham House Rule.

THANK YOU TO OUR SPONSORS



ASSOCIATION PARTNER



FORMATS FOR THE DAYS

A PLETHORA OF WAYS TO LEARN AND INTERACT

TÊTE-À-TÊTE MEETINGS

This is your opportunity to schedule one-on-one meetings with any conference delegate. All matching MUST be completed by end of day on Monday, August 3rd to ensure the scheduling software has time to confirm the meetings and each one is served up to you at the right time.

You can schedule as few or as many (up to 48, 15-minute meetings over the 3 days): each morning and afternoon on August 5th and 6th and all day (9am - 5pm) on August 7th. Over the years we received feedback that these are possibly the best part of our conferences as it gives folks an opportunity to connect away from the scheduled panels and meal times and really drill down into their respective interests. The software automatically suggests times that are mutually convenient for both parties.

Anyone can book a meeting with any other delegate. Please decline meetings that you might not be interested in or able to commit too - then the other party can invite another to chat. And if you are interested, you're free to connect via our messenger or email (we do not release delegate emails or other contact information, so you'll have to ask for it or send yours along to them and await a response).

All meetings will be scheduled via our conference app and web portal. Meetings must be completed by noon on Monday, August 3rd to ensure entry into the virtual room.

TABLE TALKS

We do not sell paid-for speaking spots, preferring delegates to choose when they might like to hear from sponsors. Table Talks are 20-minute sessions where anywhere from 2 to 30 delegates can get a briefing on a topic and participate in an interactive discussion. As with all of our events, we refrain from pay-to-play and draw all speakers from membership and prefer audiences to opt-in to more niche discussions, as will be delivered at the Table Talks.

Attendees can choose up to three sessions out of 10 offered on Day 1 and up to three sessions out of 10 on Day 2. **Titles/topics of each session will be published on our conference app and web portal, also where attendees will register for their desired sessions. This must be completed by noon on Monday, August 3rd to ensure entry into the virtual room.**

TMX MARKET CLOSE

As everyone knows, the stock markets open and close each day, and this continues during the pandemic. Up to 20 conference delegates will have the opportunity to be part of the virtual close on Wednesday, August 5th.

DAY 1 AGENDA

WEDNESDAY, AUGUST 5th

9:00 AM	<i>Tête-à-tête meetings (4 x 15-minute meetings)</i>
10:00 AM	Blockchain Brunch Arthur Salzer, Northland Wealth Management (moderator), Fred Pye, 3iQ Corp., Kunal Bhasin, KPMG, and Tanya Woods, Chamber of Digital Commerce
11:00 AM	<i>Morning break</i>
11:15 AM	Pitch Perfect James Rosebush (trainer & moderator), and representatives from ICM Asset Management, Ardenton Capital, ReSolve Asset Management
NOON	<i>Lunch break</i>
12:15 PM	Liquid Alts Lunch Craig Machel, Richardson GMP (moderator), Jason Chertin, McMillan LLP, Brian D'Costa, Algonquin Capital, Luc Dumontier, LFIS, Naveed Mohammed, BMO Nesbitt Burns
1:00 PM	Alt Alts Panel Keith Black, CAIA Association (moderator), David Jarvis, Corton Capital, Ali Alagheband, Sagard Holdings, Yash Gupta, Morgan Stanley Investment Management
1:45 PM	<i>Afternoon break</i>
2:00 PM	<i>Table Talks (3 x 20-minute meetings)</i>
3:00 PM	<i>Tête-à-tête meetings (4 x 15-minute meetings)</i>
4:00 PM	TMX Market Close at for select conference delegates (3:45 PM-4:05 PM)
4:00 PM	Quarantini Time BYOB for this time to virtually mingle with delegates and chat in private virtual meeting rooms.
5:00 PM	End of Day 1 Program

SPECIAL EVENTS

DAY 1 - WEDNESDAY, AUGUST 5th

PITCH PERFECT

An entertaining and informative way to get to know managers and strategies. A new addition to the Family Office Summit, this session (11:15am - Noon) will feature three or more asset managers delivering their 5-minute pitch to a panel of distinguished investors. Each of the managers will be provided with expert presentation and oration training by coach and author James Rosebush over the previous days. The pièce de résistance will be the verdict from each judge whether they would “take a meeting” or not from the manager.

Harrowing, perhaps, indeed for some, but we believe this will be truly expansionary for the manager’s ability to articulate their value proposition and in their confidence to put it forth. Should be fun!

QUARANTINI TIME

Time to relax a bit. Although we cannot be physically close with drink in hand, we know that mingling is an important part of any conference. We will be researching and trying a few ways to make this as interactive and fun as possible (vs. a huge hang out or randomized rooms, which might be a fall-back). You can be sure of a good time, in any case.

THURSDAY, AUGUST 6th

BEAVER LODGE

Modeled after Dragon’s Den, this session will put three entrepreneurs in front of four seasoned investors: one from a major pension plan, one in a VC equity fundraising platform, one from a lender, and one from a family office. This is your opportunity to see how these allocators approach venture financing and how you can streamline and enhance your diligence process.

FRIDAY, AUGUST 7th

A DAY OF TÊTE-À-TÊTES

In order to give more opportunities to bring people together with our opt-in meeting structure, our third day is 100% meetings. These can be booked on Day 1 or 2 or prior and makes a great occasion to plan a day of introductory, deeper diligence, or re-acquainting meetings for all participants.

DAY 2 & DAY 3 AGENDAS

THURSDAY, AUGUST 6th

9:00 AM	<i>Tête-à-tête meetings (4 x 15-minute meetings)</i>
10:00 AM	Wake-Up Speaker Kris Coleman , Red Five Security
11:00 AM	<i>Morning break</i>
11:15 AM	ESG & Impact Investing Panel Ranjan Bhaduri , Bodhi Research Group (moderator), Mike Sell , Alquity Investment Management, Bonnie-Lyn de Bartok , The S-Factor Co., Jason Landau , Waratah Capital Advisors.
NOON	<i>Lunch break</i>
12:15 PM	Lunchtime Fireside Paul Desmarais III , Sagard Holdings with James Burron , CAASA
1:00 PM	Beaver Lodge John Ruffolo , former head of OMERS Venutres, Sophie Forest , Brightspark Capital, Shez Samji , Silicon Valley Bank, Enzo Gabrielli , Horizon Capital Holdings
1:45 PM	<i>Afternoon break</i>
2:00 PM	<i>Table Talks (3 x 20-minute meetings)</i>
3:00 PM	<i>Tête-à-tête meetings (4 x 15-minute meetings)</i>
4:00 PM	End of Day 2 Program

FRIDAY, AUGUST 7th

9:00 AM	<i>Tête-à-tête meetings (32 x 15-minute meetings)</i>
5:00 PM	End of Day 3 Program

NOW WITH OUR DATAROOM

ALL THE DATA YOU NEED TO BOOK YOUR MEETINGS

At the suggestion of one of our single family office members, we partnered with SigmaSandbox to create a dataroom to provide a more robust experience for managers and investors by getting performance and other information into the hands of prospective investors. We believe this free offering, exclusive to CAASA members, can be used in advance of the conference, during it, and afterward as much as one might like.

FOR INVESTORS

Simply create a login and you can search the database, choose any number of funds, introduce them into a portfolio approximating yours (more than 2,500 ETFs and 115 indices to choose from) to see how they might have affected its returns, and/or download tear-sheets of the fund to get portfolio and other data on it, the manager, and whom to contact to get more information. You can also use this to research managers who have invited you to meet or, if you like, extend your own invitations for a tête-à-tête (more on these on subsequent pages).

FOR MANAGERS

Uploading your performance and other information gets you on the radar of delegates at the conference and, as SigmaSandbox and CAASA will be making this available to more than 1,000 endowments, other significant investors, and wealth managers across North America and around the world with our ongoing events and those held in concert with other associations and the Government of Canada. It is simple and easy to do so and sets your fund apart with the opportunity to have many investors see how well you manage funds entrusted with you.



Fulcrum Credit Opportunities Fund
 MTD: 2.56 %, YTD: -9.57 %, ITD: 92.56 %

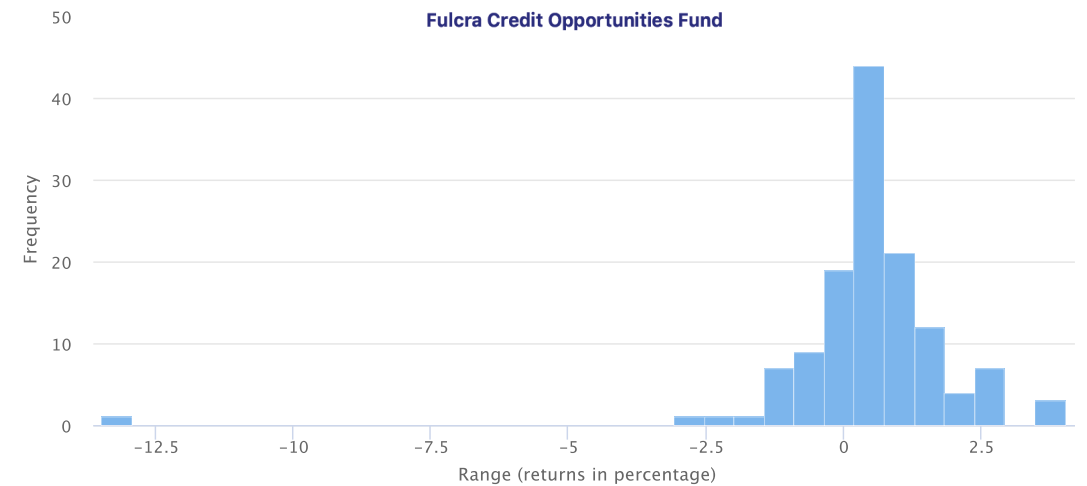
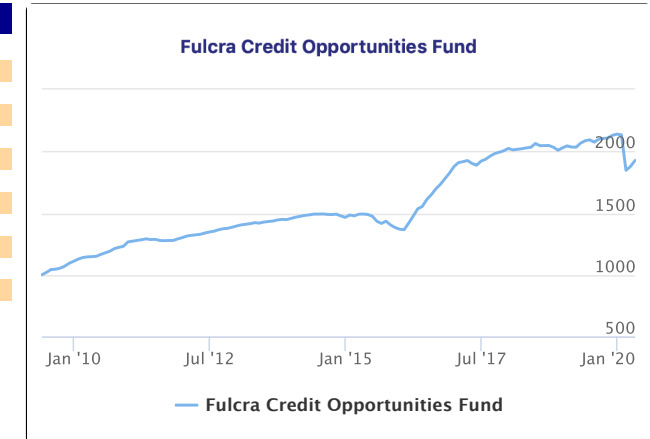
Contact Information

Fulcrum Credit Opportunities Fund
 Charles Baumberg, Bus Development
 Suite 950, 609 West Hastings Street
 Vancouver V6B4W4
 cbaumberg@fulcrum.com
 236-984-4859

Factor Details

INVESTMENT OBJECTIVE & STRATEGY Fulcrum Credit Opportunities Fund seeks to generate consistent absolute returns with a primary focus on capital preservation through investing in bonds, loans and other fixed income securities but may hold equity and other equity-like securities. The Investment Manager employs a fundamental due diligence and value investing approach to identify undervalued securities. The Fund does not use leverage and hedges foreign currency exposure.

Statistics & Ratios Summary		
	Fund	Benchmark
Ann. RoR	6.19 %	N/A
Sharpe Ratio (0%)	1.07	N/A
Sortino Ratio (0%)	0.73	N/A
Average Monthly Return	0.52 %	N/A
Highest Monthly Return	4.03 %	N/A
Lowest Monthly Return	-13.46 %	N/A
Maximum Drawdown	-13.72 %	N/A
% Positive Months	77.86 %	N/A
% Negative Months	22.14 %	N/A
Average Monthly Gain	1.01 %	N/A
Average Monthly Loss	-1.20 %	N/A
Fund to SP 500 correlation:	0.36	N/A



Monthly Performance

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
2020	0.47%	-0.30%	-13.46%	1.72%	2.56%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	-9.57%
2019	1.02%	0.76%	-0.47%	-0.05%	1.63%	0.91%	0.36%	-0.92%	1.21%	0.25%	0.18%	1.02%	6.03%
2018	0.95%	-0.58%	0.23%	0.24%	0.32%	0.26%	1.51%	-0.87%	0.04%	0.04%	-0.72%	-1.19%	0.20%
2017	2.91%	1.73%	0.40%	0.48%	-1.25%	-0.74%	1.79%	0.76%	1.33%	1.03%	0.57%	0.58%	9.95%
2016	-0.98%	-0.31%	3.93%	3.98%	4.03%	1.20%	3.67%	2.41%	2.87%	2.14%	2.66%	2.52%	31.85%
2015	-0.82%	1.32%	-0.47%	0.93%	0.10%	-0.29%	-0.97%	-2.76%	-1.20%	1.28%	-2.12%	-1.48%	-6.38%
2014	0.63%	0.68%	0.50%	0.50%	0.27%	0.45%	0.02%	0.08%	-0.24%	-0.12%	0.24%	-0.95%	2.07%
2013	0.72%	0.64%	0.37%	0.33%	0.59%	-0.27%	0.60%	0.31%	0.25%	0.63%	0.33%	-0.12%	4.46%
2012	0.82%	0.97%	0.45%	0.32%	0.32%	0.77%	0.63%	0.46%	0.86%	0.61%	0.26%	0.64%	7.34%
2011	2.90%	0.46%	0.46%	0.47%	0.55%	-0.45%	0.14%	-0.70%	-0.14%	0.09%	0.07%	0.95%	4.86%
2010	1.49%	1.56%	1.12%	0.51%	0.13%	0.28%	1.31%	1.14%	1.08%	1.76%	0.89%	0.66%	12.59%
2009	N/A	N/A	N/A	N/A	N/A	N/A	1.92%	2.27%	0.23%	0.80%	1.49%	2.25%	9.28%

PRIVACY & SECURITY

Typically, we do not release the names of individuals attending CAASA events - including to sponsors and speakers at events - although we may disclose the employers of attendees, except for those working at single family offices which are redacted. For this gathering, of course, all delegates have access to the individuals' names and employers for the purpose of scheduling meetings and booking seats at Table Talks. However, **we never release the email addresses or phone numbers of attendees**; asking instead that folks reach out via the mobile app / web portal or other means such as corporate websites or services such as Linked In. We can pass on contact requests to another party, without any guarantee of a response.

To ensure the security of information and views expressed during the summit panels and other sessions, we use a scheduling platform that integrates pre-recorded and live video so that all attendees can easily connect during the tête-à-tête sessions, Table Talks, and plenary times. Since attendees will be identified as their login name for each session, **if we see duplicate names or believe another person is using a delegate's login, we will terminate transmission and investigate** - and ask attendees to let us know if they see something suspicious.

All tête-à-têtes and Table Talks will not be recordable via the site and all plenary sessions will only be broadcast live. Recordings of any of the proceedings will not be released post-event in order to keep the live-feel of an in-person event and ensure that potentially sensitive information inadvertently communicated does not go further. **All of our sessions are strictly Chatham House Rule** and we ask all delegates to refrain from using screenshots and other archival methods as well as not tweeting or using other social media concerning any of the speakers, topics, or information communicated. Any communication should be broad and general and have absolutely no attribution of any notions to any speaker. If one wishes to use social media about the Family Office Summit generally, **our preferred hashtag is #FOS2020.**

PAUL DESMARAIS III

Paul Desmarais III is the Chairman and CEO of Sagard Holdings, the Executive Chairman and Co-Founder of Portag3 Ventures, and the Chairman and co-founder of Diagram. Within the investment portfolios of Portag3 Ventures and Sagard Holdings, he is the Chairman of Wealthsimple and Peak Achievement Athletics and a director of Koho, Integrate AI, and IntegraMed.



Paul is also a Senior Vice President of Power Corporation of Canada and Power Financial of Canada. As a part of his responsibilities at the holdings, he sits on the boards of Groupe Bruxelles Lambert, and Imerys. Prior to his current role, Paul worked at Goldman Sachs in the Investment Banking Division, Investment Group, and Special Situations Group; Imerys in supply chain management and strategy; and Great West Lifeco in risk management. Paul is a recipient of a B.A. in economics from Harvard College and holds and an MBA from INSEAD in France.

KEYNOTE SPEAKERS

KRIS COLEMAN



Mr. Kris Coleman founded Red Five Security in 2004 to provide world class, state of the art security and protective intelligence services. Mr. Coleman continues to use his knowledge, experience, and integrity to grow Red Five into a multi-faceted company focused on bespoke security solutions for unique clientele.

Working in both the private and public sectors throughout his 20+ year career, he has served with the Central Intelligence Agency, the Federal Bureau of Investigation, and as a former Principal with Good Harbor Consulting. Mr. Coleman's

depth and range of experiences allows the Red Five team to specialize in high quality, proactive, and discreet security services. He has built a unique capability in Red Five to support clients with tailored low-profile security operations, analysis, training, and program and system design.

A distinctive portion of Mr. Coleman's work in the private sector includes the complete assessment, design development, and installation of cutting-edge security programs for high net worth clients. Projects have included large residences in Florida, California and the Washington DC, area (some in excess of 45,000 square feet), commercial facilities with challenging security requirements, as well as unique sites overseas.

Mr. Coleman has also consulted on the pre-construction security design review for the Louvre Abu Dhabi, Guggenheim, and Sheik Zayed National Museums on Saadiyat Island in the United Arab Emirates as part of a multi-disciplinary team. He has extensive experience re-evaluating protective units and residential security for US-based Fortune 50 CEOs and their global properties, including one effort to completely re-engineer and retrain a family's protective detail. He also led a team for a top US retail client to conduct risk assessments for executives involved in an acquisition in Central America.

During his tenure with the CIA, Mr. Coleman conducted threat and vulnerability assessments and developed programmatic approaches to counterterrorism and law enforcement for such countries as Italy, Pakistan, Saudi Arabia, Colombia, and Jordan. Deployed with the CIA's protective operations cadre he was a Senior Instructor, Team Leader, and Operator for low and high-profile operations. Mr. Coleman also served four years as a Special Agent with the FBI, with a focus on criminal investigation of international organized crime and international terrorism. He was a member of the FBI's enhanced SWAT Team and is an FBI-certified instructor in firearms, protection, surveillance and counter-surveillance. Over the course of his government career he has been involved in numerous major security events both overseas and domestically with National Special Security Events, providing assessments, tactical response and protective services.

Mr. Coleman graduated from the University of Arkansas with a BS in Public Administration. He is also the author of a copyrighted protective intelligence methodology for executives known as PRIME member of the American Society for Industrial Security, Society of Former Special Agents of the FBI, and the Association of Former Intelligence Officers.

PITCH PERFECT COACH & EMCEE

THE HONORABLE JAMES S. ROSEBUSH



James Rosebush is a widely recognized leader in building and managing corporate, family office, and philanthropic organizations as well as serving as an advisor to families on the complex issues of wealth management. He recently published his second book and best-seller, *True Reagan: What Made Ronald Reagan Great and Why It Matters*, a rare insight into the fortieth president's mysterious character as Rosebush discerned it from his years of working for him. Rosebush is a frequent public speaker before various audiences and the media on leadership, politics, philanthropy, and the Reagans. He co-created Deal Ring, a platform to train investment managers to make the perfect pitch and compete for investment dollars. He coaches business leaders to become impact speakers through www.impactspeakercoach.com. His third book *Winning Your Audience* was released in April 2020.

He is the founder and CEO of an international advisory firm, GrowthStrategy, Inc. focused on management strategies, finance, marketing, and communications, that result in measurable growth for Fortune 500 companies as well as startups. In 2018 he launched Intersection Impact Fund, following his life-long passion for impact investing and philanthropy.

At the request of President Bush, he created and was the first CEO of the Challenger Memorial Foundation, with forty-six space science education centers around the world. He served as the president and board member of the Fairfax County Education Foundation, Chief Executive of the Howe School—a leadership academy, as founder and CEO of The Technology Transforming Education Compact, and President of the Urban Monuments Foundation. He has served on the Board of and was finance committee chair for The Phillips Collection, America's first museum of modern art, where he originated the Duncan Phillips Collectors Medal awarded to Leonard Lauder and David Rockefeller among other leaders in philanthropy and the arts.

In the White House Mr. Rosebush was President Reagan's "point man" on philanthropy and public-private partnerships and also the longest-serving Chief of Staff to the First Lady. He managed all the official activities of the First Lady including press and media, scheduling, projects and policy (including the anti-drug campaign), as well as the official functions held in The White House. During his tenure Nancy Reagan's public approval rating increased to an all-time high.

Mr. Rosebush has also had significant management experience in philanthropy. He was director of corporate contributions for The Standard Oil Company, founding vice president for the National Chamber Foundation, and held management positions with the New England Association of Grantmakers and the CS Mott Foundation and was a founder of Grantmakers in Health, Inc.

He earned an MA degree in Public Affairs from Boston University and a BA in Business from The Principia College. He has lectured and taught as an adjunct professor at Georgetown and George Washington Universities on corporate public issues and the history of philanthropy. A native of Flint, Michigan, Mr. Rosebush resides in Washington, DC area with his wife of forty-five years, the former Nancy Paull. They have two grown daughters and six grandchildren.

BEAVER LODGE JUDGES

JOHN RUFFOLO



John Ruffolo is the Founder of OMERS Ventures and the Co-founder of the Council of Canadian Innovators. Over the course of John's leadership, OMERS Ventures had invested over \$500 million of capital in over 40 disruptive technology companies across North America, including growth investments in Shopify, Hootsuite, Rover, Desire 2 Learn, Hopper, DuckDuckGo, Wattpad, TouchBistro and League. John also formed Platform Investments, OMERS' innovation arm, where he led investments in Purpose Financial, PointNorth Capital, District Ventures, OneEleven and ArcTern Ventures. The Council of Canadian Innovators is a non-profit

organization dedicated to helping high-growth Canadian technology firms scale up globally. As Canada's business council for a 21st century economy the Council is made up of CEOs from Canada's most promising technology companies. The Council's position is to promote, share, and collaborate with public policy leaders on key policy levers to optimize the growth of Canada's innovation-based sector.

John currently sits on the boards of a number of leading innovative organizations including ArcTern Ventures, Canopy Rivers, Continuum Residential REIT and Ether Capital. John has also previously served on the boards of Hootsuite, Wave, Desire 2 Learn, Purpose Financial, MMM Group, Ontario Centres of Excellence (OCE), Sustainable Development Technology Canada (SDTC), OneEleven and Cummunitech.

In addition, John sits on the board of a number of not for profit organizations including the David Suzuki Foundation as Vice-Chair, the Royal Ontario Museum, Caldwell's Top 40 Under 40 and The Dean's Advisory Council for the Schulich School of Business.

John was a Partner at Deloitte, as well as the Global Thought Leader, the Global Tax Leader and the Canadian Industry Leader for Deloitte's Technology, Media and Telecommunications (TMT) practice. He was also a member of the firm's Tax and TMT Global Leadership teams and a member of Deloitte's Board of Directors.

A certified public accountant, John was formerly a partner with Arthur Andersen LLP and has also spent time as an instructor for both the Chartered Professional Accountants Canada and York University's Schulich School of Business, from which he holds a Bachelor of Business Administration.

In 2018, John was honored with the Order of Merit of the Italian Republic which made him a 5 class Knight. The highest ranking honour of the Republic, it is awarded for "merit acquired by the nation" in the fields of literature, the arts, economy, public service, and social, philanthropic and humanitarian activities and for long and conspicuous service in civilian and military careers.

BEAVER LODGE JUDGES

SOPHIE FOREST



Prior to joining Brightspark Ventures, Sophie was a partner at CDP Capital Technology Ventures, a subsidiary of la Caisse de dépôt et placement du Québec. Sophie met Mark in 1997 when she became the lead investor in his start-up, Balisoft. They ended up collaborating on this exciting venture for three years and sold the company to Kana Software in 2000.

Since joining Brightspark in 2003 as a managing partner, Sophie has led and overseen more than 50 investments in technology companies. Notably, she has played a pivotal role in the investment, growth and exit of Radian6, leading to a 23x multiple on capital invested, and becoming one of the most successful technology exits in Canadian history.

Sophie was involved in the creation and growth of Jewlr.com and iStopOver.com. She is still an active board member of Jewlr inc., a leading online personalized jewelry company.

She sits on the Board of Directors of a number of companies, including Hopper, nGUVU and Jewlr. Sophie works closely with the startups she invests in and is known for her nurturing and listening qualities. In October 2017, Sophie was awarded the NACO Angel of the Year Award.

Sophie is a member of the Science and Technology Council of Canada, which provides external advice to the federal government in the domain of science, technology and innovation.

She is the proud mother of three teenage daughters and is passionate about opening up doors for women to the VC and tech world. Through her career, she has often been the "only woman in the room" and wants to continue to facilitate the entry for other women.

BEAVER LODGE JUDGES

SHEZ SAMJI



Shez Samji is the managing director of the Private Equity Services practice for Silicon Valley Bank in Toronto, where he is responsible for leading the bank's practice across Canada. In his role, he works closely with existing and new venture capital and private equity firms, leveraging SVB's specialized financing solutions to help them execute quickly.

With SVB, Shez is positioned to leverage his deep understanding of client needs to increase their value by parlaying the bank's unique platform, unparalleled expertise and powerful global network. Prior to SVB, Shez was a vice president at Third Eye Capital, Canada's largest private debt and special situations investor. Shez has more than ten years of private equity and credit investing experience. He began his career at BMO Capital Partners, the Bank of Montreal's principal investing division.

Shez lives in Toronto with his wife and daughter. Outside the office, Shez serves on the Investment Committee for Community Development Venture Fund, a nonprofit micro-loan company founded to support entrepreneurship, particularly among immigrants to Canada.

BEAVER LODGE JUDGES

ENZO GABRIELLI



Enzo Gabrielli has been with the family office of the Right Honorable Paul Martin for the past 15 years and is currently the Executive Vice President and CFO. The principal holding is CSL Group (Canada Steamship Lines) which is the world's largest commercial manager of self-unloading vessels, and operates highly specialized fleet for off-shore trans-shippers and bulk carriers.

Horizon Capital Holdings Group is a broad-based investment vehicle and management organization that provides diversification to marine logistics. Our portfolio includes North American real estate and direct investments in private companies, with a primary intent to buy and hold for expansion and growth.

In his capacity, Enzo holds the title of President for various subsidiaries companies and also serves as a director and audit committee chairman for several portfolio investments and not-for-profit entities. He oversees the real estate and investment portfolio, assists with various philanthropic initiatives and manages the various facets of a family office.

Prior to joining Horizon, Enzo worked for accounting firms in the financial advisory services, with significant experience in corporate finance, M&A transactions, insolvency and corporate restructuring in Canada and United States.

Enzo pursued his graduate studies at McGill University where he graduated with Great Distinction. He holds both a chartered accountant and chartered financial analyst designation as well as the ICD.d designation. He lectured in the business program at McGill University.

CAASA MEMBER DIRECTORY*

INVESTORS & ALLOCATORS

Corporate members:

Abaris Capital Advisors (MFO)
Abshe Hoildings (MFO)
Alberta Teachers' Retirement Fund
Alternative Capital Group (MFO)
Anchor Pacific Investment Management (MFO)
Bfinance (MFO)
Blue Bridge Wealth Management (MFO)
BNY Wealth Manageent
Casselmann and Company (SFO)
Cidel (MFO)
Eckler Ltd.
Forthlane Partners (MFO)
HarbourVest Partners
Heirloom Wealth (MFO)
Koloshuk Farrugia Corp.
Lux Capital Corp. (SFO)
MSTAR Capital (SFO)
Northland Wealth Management
Ontario Teachers' Pension Plan
Our Family Office (MFO)
Pandion Investments Limited
Prime Quadrant (MFO)
Provident Capital (SFO)
Raintree Wealth Management
Richardson GMP
Stonegate Conseil Privé (MFO)
TIMC Securities
Vesta Wealth Partners (MFO)
Ullman Wealth (MFO)
Zen Capital & Mergers (SFO)

Individuals representing the following

corporations:

Mark Allen (RBC DS)
Ted Karon (Scotia Wealth)
John Boomsma (Raymond James)
Shimmy Brandes (Master Plan Management, SFO)
Shawn Cohn (Canaccord Genuity)
Darren Coleman (Raymond James)
Jean Courcelles (Mirabaud Canada)
Gino Di Censo (Bell Kearns Consulting)
John Duke (RBD DS)
Vincent Fernandez (Canada Overseas, SFO)
Travis Forman (Harbourfront Wealth)
Enzo Gabrielli (Horizon Capital Holdings, SFO)
Tec Han (Vibrato Capital, SFO)
Shamex Kassem (Northfront Financial, MFO)
John MacIsaac (RBC DS)
Naveed Mohammed (BMO Nesbitt Burns)
Emma Querengesser (Raymond James)
Chris Rapcewicz (Helmsley Trust)
Brendan Rogers (RBC DS)
Ryan Sheriff (Open Access)
Claudia van Amersfoorth (Raymond James)
Pamela Yoon Drakos (RBC DS)

**As at June 8, 2020*

SERVICE PROVIDERS & CONSULTANTS

Altrust Investment Solutions	DV Trading	McMillan LLP
Apex Fund Services	Electric Brain	Meraki Global Advisors
Arbutus Partners	Fidelity Clearing	Norton Rose Fulbright
Athena International Management	Fundata	Prometa Fund Services
AUM Law	Goldman Communications	RBC Investor & Treasury Services
Battea Class Action Services	Harneys	Robert Walters PLC
BMO Financial Group	HedgeLegal	The S-Factor Co.
Bodhi Research Group	Innocap	SGGG Fund Services
Canaccord Direct	Jitneytrade	Sigma Analysis & Management
Carne Group	Keystone Fund Solutions	SigmaSandbox
Castle Hall Diligence	KPMG	Silicon Valley Bane
Canadian Derivatives Institute	Linedata	SS&C
CIBC Mellon	LongNorth Capital Group	TMX Group
Coach House Partners	Lyxor Asset Management	Vidrio Financial
DealMaker	Mako Financial Technologies	Wells Fargo Prime Services

CAASA MEMBER DIRECTORY*

FUND & PORTFOLIO MANAGERS

3iQ Corp	Desjardins Global Capital Management	Montrusco Bolton Investments
AGF Investments	DCG Capital	Morex Capital
Accelerate Financial Technologies	ehp Funds	Morgan Stanley Investment Management
ADI Capital	ESO Capital	Music Royalties Inc.
AGAWA Fund Management	Espresso Capital	Napier Part Global Capital
AGF Fund Management	Fiera Capital	Neighbourhood Holdings
AGinvest Properties Canada	La Financière Constance	Next Edge Capital
Algonquin Capital	Firepower Capital	NorthHaven Capital Corp.
Alignvest Investment Management	Forstrong Global Asset Management	Northstar Trading
Alitis Asset Management	Fort LP	PACE Capital Management
Alquity Investment Management	Franklin Templeton Investments	Palm Drive Capital
Ardenton Capital Corp.	Fulcra Asset Management	PenderFund Capital Management
Aspect Capital	Group RMC	Pilot House Capital
Avenue Living Asset Management	Horizons ETFs	Raiven Capital
Aviva Investors	ICM Asset Management	ReSolve Asset Management
Axonic Capital	Informed Portfolio Management (IPM)	Robson Capital Management
Beach Point Capital Management	Invico Capital	Sagard Holdings
Bridging Capital	JM Fund Management Inc.	Sandpiper Asset Management
Brightspark Ventures	Kilgour Williams Capital	Slate Securities
Brookfield Asset Management	Lawrence Park Asset Management	Spartan Fund Management
CannalIncome Fund	LFIS	Starlight Capital
Celernus Investment Partners	Lighthouse Partners	Steepe & Co.
Centurion Asset Management	LionGuard Capital Management	Trez Capital
Chapados Couture Capital	Lumira Ventures	WaveFront Global Asset Management
CI Investments	Mackenzie Investments	Waratah Capital Advisors
CIBC Asset Management	Man Group	Wellington Investments
Claret Asset Management	Marret Asset Management	Westbridge Capital
CMLS Asset Management	Maxam Capital Advisors	White Crane Capital
Columbus Point LLP	MGG Investment Group	White Oak Global Advisors
Conner, Clark & Lunn Funds		YTM Capital Asset Management
Corton Capital		
Crown Capital Partners		
Crystalline Management Inc.		

**As at June 8, 2020*

2019 SUMMIT PHOTO GALLERY

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CONFERENCE PRICING

Except for Single Family Offices, all attendees must be employees of members of CAASA or individual members of CAASA. Classification at the discretion of CAASA staff.

Single Family Office employees/family	Complimentary
Multi-family Office employees	Complimentary
Investment Consultants	Complimentary
Investment Advisors	Complimentary
Asset Managers	\$500 per person
Service Providers	\$300 per person
Sponsorship	\$2,000 (includes Table Talk for first 20 sponsors)
Additional exposure	\$500 - \$2,000 - <i>contact us for details</i>

Each registration is unique and cannot be shared with anyone. Media is not allowed and all sessions are subject to Chatham House Rule: no recording; no attribution; no social media except to note that oneself is at the conference (#FOS2020). Login must be with one's true name and company. All sessions are live only - no recordings will be distributed after the day.

CAASA MEMBERSHIP DUES

Membership category is at the discretion of the CAASA Board and dues are pro-rated by calendar year.

Investors & Allocators (*includes pension plans, family offices, endowments, foundations*):
\$525 for corporate membership (all employees) \$160 for individual membership

Managers (*based on alternatives CAD AUM as determined and calculated by CAASA staff*):

	Full Year	Half-Year
Less than \$50 million	\$1,250	\$625
\$50 million - \$100 million	\$2,100	\$1,050
\$100 million - \$500 million	\$3,150	\$1,575
\$500 million - 1 billion	\$4,200	\$2,100
Greater than \$1 billion	\$5,250	\$2,625

Service Providers:	Full Year	Half Year
Law or Accounting Firms, Prime Brokers, Fund Admin.	\$5,250	\$2,625
Other Consultants	\$2,100	\$1,050

Membership dues are payable in CAD plus applicable sales taxes (except for members without a permanent establishment in Canada) subsequent to approval of a new member application.

For more information on CAASA membership, initiatives, and events, please contact:

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