



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

## CAASA Annual Review 2019

*Keeping up the pace; adding more everyday*



# CAASA MEMBER ADVISORY PANEL

## DIVERSE LEADERSHIP FOR A DIVERSE INDUSTRY



**James Burron, CAIA**  
*Co-Founder & President*  
CAASA



**Jason Chertin**  
*Partner*  
McMillan LLP



**Caroline Chow**  
*Co-Founder & Vice President*  
CAASA



**Brian D'Costa**  
*Founding Partner*  
Algonquin Capital



**Michael Garofalo**  
*Senior Manager*  
KPMG



**Athas Kouvaras**  
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Alignvest Investment Management



**Kimberly Poster**  
*Chief Legal Counsel & SVP*  
AUM Law



**Michael Schnitman**  
*SVP, Head of Alternative Investments*  
Mackenzie Investments



**Wilson Tow**  
*Managing Partner*  
Altrust Solutions

# MESSAGE FROM CAASA



**Caroline Chow**  
Co-Founder & Vice-President



**James Burron**  
Co-Founder & President



**Paul Koonar**  
Member Engagement &  
Operations Associate

## FOCUS BY NOT FOCUSING

Wow, it has almost been 2 years since we started CAASA and in answer to the question we are always asked (Is it progressing how you thought?): yes and no. We designed all of the parts (events, focus - or lack thereof, pricing, staffing, ethos) based on our decades in the association and alts business. We felt that we had a good thing but we didn't really know until we started to tell people about it.

It was a LinkedIn exchange with our first member, **Sigma Analysis & Management**, that gave us immediate big heads for about 2 seconds. Their response was: *We are in...we don't know what you're actually going to do or how much it might cost, but we are in.* Our many years of knowing them did not make them blind, but we did acknowledge not only their confidence in us but also the responsibility we had to ensure that we delivered to them and to all members what we promise: equal opportunity and equitable representation for all, no pay-to-play with a caveat of fiscal prudence, constantly seeking new ways to deliver value to members, and local knowledge in alternatives that is second to none.

Since then, we have continued to grow, with 200 members now (100 in 2018) and 50+ events in 2019 (33 in 2018) and JB has participated or attended 37 conferences around the world in 2019 alone. Our goal here is to bring home programming ideas, delegates (some came to our CAASA Annual Conference the following week!), and take the pulse of the industry globally.

We will continue to 'focus' on Liquid Alternatives, Hedge Funds, Private Lending, Real Estate, Private Equity, Venture Capital, Blockchain & Crypto-Currencies - adding areas such as ESG & Impact Investing. Our membership, programming, and initiatives will reflect this in 2020 as we inch toward the only objective metric we dare to utter: 300 members by the end of the year.

# 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: 33 events in 2018 and at least 50 planned in 2019 (15 in the first 2 months alone). **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 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.

**2019 EVENTS,  
PUBLICATIONS  
&  
MILESTONES**

*Thank you to our many speakers, presenters, and those who added their themes and topics, panel and non-industry speaker ideas, and other invaluable input! Thanks also, of course, to our growing audience and your interest in the topics.*

# JANUARY

## UoT MMF SYMPOSIUM - JANUARY 10-12 (BLUE MOUNTAIN)

As we have for many years, CAASA and JB supported the annual “Davos at Blue Mountain” (for math!) organized by University of Toronto Masters of Mathematical Finance department head and **Professor Luis Seco**. A diverse group of academics, managers, investors, and risk-types from the world over. JB moderated (with **Mark Tower** of **Lyxor Asset Management** and **Ben Djerroud** of **Sigma Analysis & Management**) a panel in the Hedge Fund Theme Park.



## STARTING AN ALTERNATIVE FUND - ESTABLISHING YOUR FUNDCO JAN 22 (MONTRÉAL)

**McMillan LLP** hosted this 7-part series at their Montréal offices and the first session brought together a motivated group (7 attendees were on the path to establishing a new fund or registration in the next short while). **Kosta Kostic**, **Jason Chertin**, and **Michael Friedman**, all from **McMillan**, provided an excellent outline to those in the room and on the conference line.



## STARTING AN ALTERNATIVE FUND - ONSHORE STRUCTURING & TAX - JAN 23 (MONTRÉAL)

**McMillan's Kosta Kostic**, **Jason Chertin**, and **Michael Friedman**, presented an in-depth explanation of the regulatory requirements and industry conventions around establishing one's onshore fund.

## MENTORSHIP Q&A SESSION - JAN 28 (TORONTO)

**Ron Cheshire** and **Harbourvest's Daniel Conti** spoke introduced our Mentorship Program to a selection of interested mentors and mentees at the offices of Sigma Analysis & Management. Some of these individuals also populated our Matching Committee.

## STARTING AN ALTERNATIVE FUND - OFFSHORE STRUCTURING & TAX JAN 31 (MONTRÉAL)

**Bryan Nunnelley** of **Crystalline Management** (who had just established an offshore fund), joined **Kosta Kostic** and **Jason Chertin** from **McMillan** in a detailed account of what is required to create these funds for offshore and/or institutional clients.



Thank you to our panel and those who attended in person and on the conference line and thanks again to **McMillan** for the use of their lovely Montréal office and facilities for this 7-part series.

# FEBRUARY

## MCGILL UNIVERSITY CAREER PANEL - FEBRUARY 4

Our annual panel to the MMF class of McGill University was its usual insightful self and included **Alexander Matthews**, **Claude Robillard**, **Francis Sabourin** from **Richardson GMP**, and **Claret Asset Management's Pierre Thauvette**. Thank you also to Professor Jan Ericsson, who heads the program, for coordinating the logistics - which included rounding up the students!



## STARTING AN ALTERNATIVE FUND - OPERATIONS & BCP FEB 5 (MONTRÉAL)

Continuing our series, the audience heard from **Jon Lofto** with **CIBC Mellon**, **McMillan's Kosta Kostic**, and **Mathieu Monnier** from **Castle Hall Diligence**.



## STARTING AN ALTERNATIVE FUND - OTHER OPERATIONAL ASPECTS - FEB 6 (MONTRÉAL)

Someone asked for more operations information so we delivered via **Jackson Lin** from the **TMX Group's NAVex** division and **Jocelyn Courcelles** with **Fundata**. These are areas (such as listing on an exchange and dissemination of performance data) that many managers haven't an inkling of but can be very important to their business.

## FOUNDING DAY DRINKS - FEB 11 (MONTRÉAL)

In celebration of our first year (officially established on February 5) we took the opportunity to invite members to the Algonquin room at the storied Bar George. A mercifully short round of speaking that included great thanks to their support and confidence halted the cacophony of conversations for just a few minutes.

## CAIA 10<sup>TH</sup> ANNUAL ALTS OUTLOOK FORUM - FEB 12 (VANCOUVER)

We continue to support and promote the **CAIA Association** - which is a formal partner with CAASA, extending discounts for CAASA members seeking *the* global alternatives designation - and JB celebrated his birthday at this event. Thank you **Ivy Leung** for the shout-out!

## CIIAM CONFERENCE - FEB 13 (TORONTO)

JB moderated a pan-alternative (hedge funds, private equity, private lending, and infrastructure) panel at this event organized by **CI Investments**. Thank you **Tom Johnston** for the invitation!

# FEBRUARY

## FOUNDING DAY DRINKS - FEB 13 (TORONTO)

We thanked our members in Toronto with a not-so-small reception at The Cambridge Club. A great night dedicated to those without whose support we would not have even envisioned this endeavor.

## STARTING AN ALTERNATIVE FUND - SALES & MARKETING - FEB 20 (MONTRÉAL)

Getting one's fund to market can prove a challenge but this panel shared a background on the structure of various channels as well as tips on how to appeal to investors and gatekeepers.

Thank you to **Mark Tower** of **Lyxor Asset Management**, **François Dufour** with **Lionguard Asset Management**, **Richardson GMP's Francis Sabourin**, and **Jackson Lin** from the **TMX Group's NAVex** division for their time and insight!



## STARTING AN ALTERNATIVE FUND - STAFFING & TALENT - FEB 20 (MONTRÉAL)

Having the right staffing level, finding qualified people for critical roles, and designing a compensation structure and work environment that gets the best out of everyone is a challenge for the most established of businesses, and crucial for start-ups. **Martin Fox** with **Robert Walters PLC** and **Kosta Kostic** at **McMillan** had some words of wisdom from their constant communication and involvement with a variety of clients.

## AML TALK - FEB 21 (TORONTO)

**Matt McGuire** with **The AML Shop** had a rapt audience for his discussion on all things AML including recent changes to FINTRAC and reporting. This event was presented in cooperation with our landlord **The Professional Centre** who provided the space and opened this talk to their other tenants. CAASA members get additional benefits for taking up space at their 2 floors at 120 Adelaide Street West.



## AVENUE 75 INVESTMENTS - STOCK PITCH CHALLENGE - FEBRUARY 22

An extra-curricular group of 1<sup>st</sup> and 2<sup>nd</sup> year finance and business students at Wilfrid Laurier University formed Avenue 75 Investments with an aim to provide as much real world experience to young students as possible. Thank you to our judges who grilled the teams with real-world queries and great advice on how to form a pitch and fill in the blanks for listeners.



# FEBRUARY - APRIL

## CANADIAN CONSULATE IN NYC MATCH-MAKING - FEB 26

We were happy to support this event with the Consulate General of Canada in New York City which included a talk from **Pam Chan** of **BlackRock** and match-making sessions for the many investors and managers in attendance.



## NYSIF EVENT - FEB 27 (NYC)

JB also attended the NYSIF event speaking to their program designed to promote opportunities for minority-owned asset managers and broker-dealers.

## IG MEETING - MARCH 5

Our Member Initiative Groups (MIGs) hold regular calls with guest speakers (from membership) who brief the members on a topic and lead a discussion. For our Investor Group call, **Tec Han** with **Vibrato Capital** gave an overview of the rules and advantages of Opportunity Zones.

## TALKING HEDGE - MARCH 6-7 (SAN FRANCISCO)

JB attended Meg Bode's Talking Hedge conference in San Francisco. A great gathering of CTA, global macro, and hedge fund managers and investors.

## THE BUSINESS OF BUD - MARCH 27 (WINNIPEG)

JB supported this CFA Winnipeg event featuring storied forensic accountant **Al Rosen** speaking to the recent changes in accounting standards and how they could be used by cannabis and other companies to present less than factual information that investors might then rely on.



## QUAAF AGM - APRIL 3 (TORONTO)

CAASA loves to support aspiring students intent on entering the alternative asset management industry - and the Queen's University Alternative Asset Fund (QUAAF) is a great way for this next generation of portfolio managers (and in those in other roles!) to get valuable experience and interaction with industry folks.



# APRIL - MAY

## THE CASE FOR NIMBLE MANAGERS - APRIL 11 (TORONTO)

“Bigger isn’t always better” was the sub-text of this panel discussing the postulated ability of smaller (AUM) alternative asset managers to deliver returns to investors - usually by exploiting persistent inefficiencies without mining the vein dry. Thank you to **Harvard University’s Randy Cohen** for laying the foundation with his and others’ research findings as well as fellow panelists **Gary Ostoich** with **Spartan Fund Management**, **Brian D’Costa** of **Algonquin Asset Management**, and **Eden Rahim** from **Next Edge Capital** as well as to **McMillan** for the use of their super facilities!



## MIDDLE EAST INVESTOR SUMMIT - APRIL 23-24 (DUBAI)

JB gave a talk on the growth of alternatives in Canada over the last while at this conference that brought together asset managers and family offices from across the GCC and around the world.



## CAIF - APRIL 25 (TORONTO)

**Bridging Finance’s David Sharpe** shares a laugh during his talk at the Canadian Alternative Investment Forum. He highlighted the abysmal conditions that many aboriginal people living on reserves must tolerate even today and how his fund is making a difference in these communities and producing a return to investors without undue risk.



## LISTING YOUR FUND - APRIL 26 (TORONTO)

Another event produced with The Professional Centre, this session had Jackson Lin of the TMX Group’s NAVex division detail to fund managers how they can list their funds on the big board, obtain dealer/rep codes, and manage block trades with ease.



## CAASA PAPER - THE CASE FOR PRIVATE LENDING - APRIL 27

Thank you to our contributing members for their part in our first CAASA Paper publication: **Vikram Rajagopalan** from **Trez Capital**, **Alkarim Jivraj** with **Espresso Capital**, **Bridging Finance’s David Sharpe**, **Robert Anton** of **Next Edge Capital**, **Theresa Shutt** of **IAM Private Debt Group**, and **Cecil Baldry-White** from **Alitis Investment Counsel**.

We published 2 other papers in 2019 (*Canada’s New Liquid Alternatives* and *The Case for Real Estate Investing*) and will produce 3-7 more in 2020.



# MAY - FAMILY OFFICE SUMMIT

## FAMILY OFFICE SUMMIT - TORONTO - MAY 1-2

With family offices from across Canada, the U.S., Hong Kong, and Korea, our inaugural Family Office Summit had an enviable proportion of 40% investors, 50% managers, and 10% service providers as well as a great mix of notable speakers, expert panels, one-on-one meetings, and the usual conference breaks and reception.



### CHARITY PARTNER



### ASSOCIATION PARTNERS



## DAY 1 WORKSHOP - BLOCKCHAIN & CRYPTO-CURRENCY BOOT-CAMP

3iQ's Fred Pye started this 5-hour series of speakers with an introduction to blockchain and crypto-currencies as only he could put it. Following that, folks from **MLG Blockchain**, including **Michael Gord**, spoke to use cases - including a panel of 3 entrepreneurs active in varying areas in the space.



## DAY 1 - LIQUID ALTS LUNCH

With the promulgation of the long-awaited liquid alts (81-102) legislation on Jan 3, 2019, it was a perfect time to take stock of the final rules, how they are implemented in practice, and how asset managers, the industry in general, and investors can benefit from this important move. Speakers for our annual lunch included **Tim Elliott** of **Connor, Clark & Lunn**, **Jason Chertin** with **McMillan**, **Fern Capital's Wilson Tow**, and **Raja Krishnan** from **Apex Fund Services**.



# MAY - FAMILY OFFICE SUMMIT

## DAY 1 DINNER & DISCUSSION - FOR SPEAKERS, SPONSORS, & INVESTORS

We designed an interactive dinner and discussion for our esteemed speakers, generous sponsors, and engaged investors - complete with wine pairings and speaking topics geared to our family office crowd.

While the interaction was ok and lively from time to time, we found that the presence (no offence intended) of non-investors in the room stifled the dialogue somewhat and in response we adapted the Family Office Summit 2020 program to include 2 concurrent dinners. One dinner is strictly exclusive to relatives at a single family office and the other for the professionals working at a single family office.



## MORNING WAKE-UP - DR. AL ROSEN, FORENSIC ACCOUNTANT

In what will become a tradition at the Family Office Summit, Al Rosen, noted forensic accountant and expert in all things GAAP and IFRS as well as instructor for the CPA exams, spoke to how financial statements of the same company can produce wildly different results based on the assumptions used and how aggressive management might like to be.



## DAY 2 PANEL - FOCUS ON INVESTMENT DUE DILIGENCE

We started our panels off with a bang, focusing on IDD with **Alexander Matthews** of **Palomino Capital** moderating and panelists **Isaac Lempriere** from **Prime Quadrant**, **Bodhi Research Group's Ranjan Bhaduri**, and **Malcolm Katz-Larson** at **Rohit Group**.



## DAY 2 PANEL - OPERATIONAL DUE DILIGENCE

A veteran team of ODD professionals took the crowd through its processes on this panel including **Esther Zurba** from **Castle Hall Diligence**, **Terry Ram** with **Sigma Analysis & Management**, **Gryphon Capital Management's Brian Broadway**, and moderator **Victor Kuntzevitsky** from **Northland Wealth Management**.

# MAY - FAMILY OFFICE SUMMIT



## DAY 2 PANEL - BEST PRACTICES FOR FAMILY OFFICES

A super panel that spoke to many of the challenges of family offices from around the world! **Geoff Dover** from **Heirloom Investment Management** moderated this 4-country SFO/MFO panel (he has an office in *Dubai*) including **Tec Han** with **Vibrato Capital** (*Portland, OR*), **Min-Jun Kim** at **Strategic Asset Partners** (*Korea*), and **Richardson GMP Private Family Office's Kieran Young** (*Canada*).



## DAY 2 - EQUITY STRATEGIES PANEL

**Eric Wong** with **TCG Capital** (from *Hong Kong*) moderated this panel including **Chip Krotee** of **GreyArc Global** (a sub. of **Axonix Capital**), **Andrew Uhl** from **Fort LP**, and **Next Edge Capital's Eden Rahim**. Eric's background running trading desks and a broker dealer allowed great insights all around!



## DAY 2 - CREDIT STRATEGIES PANEL

**Brian D'Costa** with **Algonquin Capital** strutted his stuff with follow panelists **Matt Shandro** of **Fulcra Asset Management** and **Lawrence Park Asset Management's Andrew Torres** with veteran allocator **Alex Da Costa** from **Mercer / Pavilion Advisory Services** moderating.



## DAY 2 - PRIVATE LENDING PANEL

**Arthur Salzer** of **Northland Wealth Management** moderated this look into a diverse group of managers and strategies with panelists **Natasha Sharpe** with **Bridging Capital**, **Trez Capital's Greg Vorwaller**, and **Geoff Beard** from **Colchis Capital**.

# MAY - FAMILY OFFICE SUMMIT



## DAY 2 - ACCESS TO ILLIQUIDS: REAL ESTATE & PRIVATE EQUITY PANEL

JB moderated this “two by two” panel including **Maria Pacella** with **PenderFund Capital Management (VC)**, **David Pappin** from **IAM Real Estate**, **Julian Klymochko** at **Accelerate Financial Technologies (PE via an ETF vehicle)** and **Alignvest Student Housing’s Jonathan Turnbull**.



## TÊTE-À-TÊTES, MEALS, BREAKS, & RECEPTIONS - GREAT FOR NETWORKING

Similar to our CAASA Annual Conference, there was ample time throughout the day for all participants to use our mobile app and web portal to survey the attendee list, and send messages and meeting requests as well as PDFs and other information. Integrating topical panels, engaging speakers, and meeting times is a challenge (and we are always open to ways we can add more value to all attendees - please let us know your feedback!) and one that we find differentiates our offering from the many relevant and competent events competing for the time of investors, managers, and service providers.

We were told by many to limit our conferences to 200 persons and we will do that - allowing early registration so that all interested members and investors have the opportunity to commit to attending. For those that take a bit longer, we will run a wait-list. *2020’s Family Office Summit will be on May 6-7.*



# MAY

## CAIA SEMI-ANNUAL CONGRATULATIONS & COMMISERATIONS - MAY 6 (TORONTO)

Always happy to collaborate with our CAIA Toronto Executive Committee consisting of **Ela Karahasanoglu**, **Esther Zurba**, **Ranjan Bhaduri** (not in pic) and JB (back after a 7-year hiatus!). CAASA and CAIA have a formal partnership which includes, among other things, a 10% discount for those registering for Part 1 and Part 2, and discounts for the Fundamentals and the brand-new Financial Data Professionals course. JB took it in 2006 and PK is registered for CAIA Part 1 (no pressure...) - *it is truly the smartest investment you can make!*



## WHAT OF THE 40? - MAY 15 (TORONTO)

After a briefing of **Richardson GMP**'s new paper on portfolio diversification and asset allocation, that shop's **Jamie Price** moderated a roundtable-style discussion (with a great deal of audience participation) including **Brian D'Costa** of **Algonquin Capital** and **Alignvest Investment Management**'s **Kerry Stirton**.

## GoC / COLLISION CONFERENCE AFTER-PARTY - MAY 22 (TORONTO)

We partnered with Canada's **Consulate General in New York City** to provide a bit of networking time for local investors and local and out-of-town private equity and venture capital managers. Occurring at the Cambridge Club, it was a great group that afterward shifted to City Hall for a presentation by Mayor John Tory and more meetings.

## CFA / CAIA LIQUID ALTS SOCIAL - MAY 28 (VANCOUVER)

Always happy to support and attend these events with our trusted partners, JB made one of his many treks across the continent to hear speakers from **Waratah Capital Advisors** (**Jessica Clark Barrow**), **Conner, Clark & Lunn** (**Tim Elliott**), and others discuss the long-awaited Liquid Alts Rules (which we worked on for 6 years) as well as where the market for these new funds (for investors/clients, advisors, and product manufacturers) might be headed. Another great job, Ivy!

## DAG MEETING - MAY 28

Our Member Initiative Groups (MIGs) hold regular calls with guest speakers (from membership) who brief the members on a topic and lead a discussion. For our Digital Assets Group, **Michael Gord** with **MLG Blockchain** spoke to trends in blockchain and crypto-currency that he has seen in the past few years. MLG Blockchain was very active in the token market and also works with blockchain entrepreneurs to match them with investors interested in getting exposure to the space.

# JUNE

## DEEP DILIGENCE: READING MANAGERS - JUNE 3 (TORONTO)

The room was packed to hear forensic psychologist **Dr. Leanne ten Brinke** from the **University of Denver** present her research findings on lying and whether psychopaths make better hedge fund managers than 'normal' ones (it's likely not the conclusions you expect). She then sat with **Sara Yarmand** (formerly of **CPPIB**) and **James Jung** with

**Avenue Living** and with a great deal of experience dealing with issuers of debt when he worked with DBRS. Attendees asked to have the good doctor back - as did those who couldn't make it! A copy of her research can be found online. Thank you to **Vidrio Financial** for sponsoring!



## ANNUAL SUMMER SOCIAL - JUNE 3 (TORONTO)

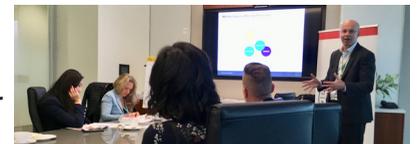
Our Toronto social tradition at the National Club's rooftop continued as folks from the Deep Diligence panel (and many others) retired to the rooftop for some libations and laughter. Thank you to **Vidrio Financial**, **Avenue Living**, and **Coach House Partners** for sponsoring!

## COG MEETING - JUNE 6

For our Compliance & Operations Group call, a representative from **The AML Group** gave an overview of the requirements for various market participants as well as recent and anticipated changes in the same.

## MENTORING ORIENTATION - JUNE 4 (TORONTO)

Thank you to **Ron Cheshire** and **HarbourVest Partner's Daniel Conti** for taking time out of their busy days to not only work with us on our mentoring program but also for their decade of work with the CFA and PRMIA societies' programs in Montréal, CFA Québec's program, and that of CFA Vancouver. Our mentors and mentees loved the interactions it has brought them (both sides learning a great deal!) and the structure was very well thought-out. JB and CC both did the Gallup StrengthsFinder (which all participants do) and found we are (no real surprise) very well-suited to work together.



We look forward to welcoming the 2021 cohort (starting June 2020) soon!

## BILL KELLY INTERVIEW - JUNE 6 (TORONTO)

JB was thrilled to have a fireside chat with **CAIA Association CEO Bill Kelly**. The audience of CAIA charterholders and hopefuls loved hearing from the top how the charter as well as the newer Fundamentals and (now-launched) Financial Data Professional courses were coming along, as well as which needs they were designed to satisfy.



**CAASA's formal partnership with CAIA that allows our members to take the exams at 10% off.**

# JUNE

## TALKING HEDGE - JUNE 7 (TORONTO)

Meg Bode had another great line-up of speakers and panelists (including Bill Kelly) at her annual Toronto conference. 2020's locations includes Santa Monica (March), Toronto (June), and Austin (November).

## ACCELERATE FINANCIAL TECHNOLOGIES TSX OPEN - JUNE 8 (TORONTO)

Thank you to **Julian Klymochko** and his team at **Accelerate Financial Technologies**, as well as the **TMX Group**, for the invite to open the market with them! This is really a treat that doesn't get old and a super way to get all of one's employees and partners together in one place - not to mention the few seconds of time on TV.



## WHERE TO TURN FOR RETURNS - JUNE 18 (MONTRÉAL)

A star-studded panel including **Nicolas Dang** of **CN Investment Division**, **Alex Da Costa** with **Mercer**, and **Kruger Pension Plan's Greg Doyle** (JB moderating), discussed what they have seen thus far in 2019 and for the balance of the year. The session was made even more entertaining with a fun game of Jargon Bingo - the winner received a free ticket to the upcoming Méchoui summer social.



## DEMOCRATIZATION OF PE/VC - JUNE 22 (TORONTO)

**Brightspark's Mark Skapinker** gave an engaging talk to a group of our members and fellow **The Professional Centre** tenants. Giving background on the private equity and venture capital markets in Canada as well as his company's platform which allows investors to learn about and invest in venture capital opportunities.



## LORD MAYOR OF THE CITY OF LONDON - JUNE 25 (TORONTO)

A real treat thanks to the folks at the Department of Trade of Great Britain and Northern Ireland for coordinating for our members an enlightening talk by the Lord Mayor of the City of London (not to be confused with the elected mayor of London), former Barclays banker Councillor Peter Estlin.



## LMoTCoL PRIVATE LENDING PANEL - JUNE 25 (TORONTO)

We also organized a panel of Canadian and British private lenders including **Ian Baele** with **Bridging Finance**, **Alkarim Jivraj** from **Espresso Capital**, and others. Thanks to them and sponsors **McMillan** and **BlackRock** for making this panel happen!



# JUNE - JULY

## DAG MEETING - JUNE 6

For our Digital Assets Group call, **Fred Pye** of **3iQ Corp.** spoke to his company's recent testimony at the Ontario Securities Commission's hearing into the barring of crypto-currency funds from prospectus mutual fund offerings.

## UoF T MMF CAREER PANEL - JUNE 26 (TORONTO)

Now in our ninth year organizing these informative sessions (and my 49th time moderating this panel) we had all of the full class of the *University of Toronto's Masters of Mathematical Finance* as well as students from McMaster, Wilfrid Laurier, Waterloo, York, Queen's, and Western universities. Our panel this year included **Michael Gord** with **MLG Blockchain**, **Ela Karahasenoglu** from **Investment Management Company of Ontario**, **Ontario Teachers' Pension Plan's Christophe L'Ahelec**, and **Tim Elliott** at **Connor, Clark & Lunn**. Thank you to **CIBC Mellon** for the use of their facilities.



## JOINERS IN THE FIRST HALF OF 2019

We were happy to welcome the following new members in the first 6 months of the year: **BNY Mellon Wealth Management**, **AUM Law**, **PenderFund Capital Management**, **Northland Wealth Management**, **Avenue Living Asset Management**, **Connor, Clark & Lunn Funds**, **Ardenton Capital**, **Axonic Capital**, **Chapados Couture Capital**, **Independent Trading Group - ITG**, **Harneys**, **HarbourVest Partners**, **Stonegate Conseil Privé**, **Provident Capital Inc.**, **SS&C Technologies**, **Apex Fund Services**, **Cidel**, **Colchis Capital**, **FirePower Capital**, **Cambridge Global Payments**, **Norton Rose Fulbright**, **Prometa Fund Support Services**, **CDAM (UK)**, **CMLS Asset Management**, **Group RMC**, **CIBC Asset Management**, **Community Trust**, **ESO Capital**, **Raiven Capital**, **Brightspark Ventures**, **ICM Asset Management**, **Measure 8 Venture Partners**, **AGF Investments**, **First Street Capital Partners**, **Delbrook Capital**, **Raintree Financial Solutions**, **Centurion Asset Management**, **MarsRock Capital Group**, **Horizons ETFs**, **Palm Drive Capital**, **60 Degrees**, **Westbridge Capital**, **Crown Capital Partners**, **Rohit Group**, **Franklin Templeton Investments**, **CME Group**, **Wellington Management** plus a few stealth members (usually SFOs/investors).

## WLU STOCK PITCH CHALLENGE REWARD / BLUE JAYS GAME - JULY 3 (TORONTO)

As a reward for the winning team from our February 22<sup>nd</sup> Wilfrid Laurier University Stock Pitch Challenge, we treated them to a Jays game with a few folks from the industry. A great time was had by all as we did mandatory seat switches every three innings to get folks interacting.

## IG MEETING - JULY 9

For our Investor Group call, **Geoff Dover** with **Heirloom Investment Management** spoke on Impact Investing - a very good overview and discussion of an area that's very important to many family offices.

# JULY - AUGUST

## KORIED GLOBAL SUMMIT - JULY 10-11 (CORAL GABLES)

JB attended this intimate conference at famous (and possibly haunted) Biltmore Hotel near Miami. It included a series of panels and speaking spots from plan sponsor and managers and featured two sitting U.S. Senators and the weather made for a casual and friendly gathering.



## SFU OPENS THE MARKET - JULY 15 (TORONTO)

JB celebrated the success of his alma mater's trip to Toronto for a series of meetings with asset managers, it was great to open the markets with **Andrei Balezin**. Later that week he attended the *SFU President's Alumni and Friends Reception* at the Grosvenor Hotel in London, U.K.



## AAAIM INSIGHTS PANEL - JULY 18 (LONDON)

The Association of Asian American Investment Managers had a great set of panels in London including **Marco Vetrone** of **CPPIB**. Great organizing!

## AAAIM INSIGHTS PANEL - JULY 24 (CHICAGO)

JB also attended the AAAIM 2-panel event in Chicago which had some real insights into how pension fund managers are coping with their sometimes very low funding status.

## DAG MEETING - JULY 30

For our Digital Assets Group call, **Matt McGuire** of **The AML Group** outlined the state of AML reporting, how it affects digital assets, and what can be expected going forward.

## CANADA VS. THE U.S. - AUGUST 14 (TORONTO)

This 2-part, sold-out event featured **Megan Gentilesco** with **BNY Mellon** (New York) and **Jon Lofto** of **CIBC Mellon** presenting their recent report findings that compare and contrast the Canadian and U.S. hedge fund markets.



Then a panel consisting of **Innocap's Jonathan Planté** (*Montréal*), **Kerry Stirton** from **Alignvest Investment Management** (*Toronto*), and **Max Corvin** at **Franklin Templeton Investments** (*New York*) discussed trends they have witnessed in investor preferences and market and product structures over the past decade or two.

*This event is available for CAASA members to view on the member area of our website.*

# JULY - AUGUST

## 2019 EVENT STATISTICS

We organized 60 events in 2019 across a broad range of topics, formats, and audience profiles. Approximately two-thirds of attendees were from CAASA members - partly due to membership growth and our larger events (CAASA *Annual Conference* and *Family Office Forum*) and many others are member-only.

Overall, 89% of our attendees were from Canada, with the bulk of Canada attendees hailing from Ontario and Québec. We certainly were active in many other events with our association partners as well as third-party conference organizers so our reach is much more all-Canada and global.

Of our 191 speaking opportunities over the year, we had - again - very broad participation. 59% were service providers, such as in our continuing *Starting an Alternative Fund* series; 44% were from investors such as pension funds, family offices, endowments, foundations, and SWFs; 36% were from asset managers, which includes the *Pepperdine and a Peppering of Ideas* and the manager participants in our *Starting an Alternative Fund* series; and 5% were educators such as Nobel laureate Dr. Art McDonald who teaches at **Queen's University**.

Attendees at our *Family Office Summit* were 40% investors, 50% managers, and 10% service providers; while those at our *2019 CAASA Annual Conference* were 40% investors, 40% managers, and 20% service providers. We do not have explicit limits (although we do have events sessions that are exclusive to one or more categories) but we target one-third participation from each of these categories of endeavour.

## WHY JOIN?

As mentioned, we have attracted 200 members over the last 2 years or so and the reasons are plentiful and varied. Whether an investor, manager, or service provider, some seek a group of like-minded individuals in the alts space to connect with on an on-going and (semi-)structured basis; others have a more commercial interest in that they are intent upon being aware of the newest trends in the industry and (providing they have one) presenting their knowledge to an audience of peers; and others have made their mark (or are on their way to doing so) and really just want to give back to a group of people that has done a great deal for them.

Whatever your motivation, if you're not in membership yet we'd love to hear from you!

### Summary of Attendees All Events

#### 40% Managers

- 23% Other Consultant
- 4% Fund Administrator
- 3% Legal
- 3% Prime Broker
- 2% Exchange
- 1% Auditor

#### 35% Service Providers

- 10% Family Offices
- 10% Wealth Managers
- 5% Institutional Investors

#### 25% Investors

# AUGUST - MÉCHOUI SUMMER SOCIAL



## MÉCHOUI SUMMER SOCIAL - AUGUST 22 (MONTRÉAL)

More than 250 investors, managers, and service providers from Montréal, Toronto, New York, Connecticut, and elsewhere converged for this event, scheduled from 4pm to 10pm - many stayed for 3-4 hours, enjoying the food and camaraderie.

Sponsors included: **Alpha CCO, Battea Class Action Services, Blue Bridge Wealth Management, BMO Nesbitt Burns, Canadian Derivatives Institute, Claret Asset Management, Crystalline Management, DWH - Dennis Wood Holdings, Fiera Capital, Fiera Private Debt, Fonds de solidarité FTQ, Formula Growth, Innocap, Interactive Brokers, ITG, Jitneytrade, KPMG, Landry Management, Montrusco Bolton, PwC, Scotiabank and Walter Capital.**

A highlight of the evening was the presentation of the *FIAMtl Excellence Award 2019* to **Sophie Palmer** (middle, top) for her many contributions to the finance community of Montréal. A scholarship to complete the coveted CAIA designation will also be awarded to a deserving female in finance.



# SEPTEMBER

## MOVING DAY - SEPTEMBER 3

Consistently, JB has been out of town when moving day occurs. This time it was for the move from our inside office to a larger, windowed one (with PK joining, we needed more room). Thanks to **The Professional Centre** for our continued partnership which allows us to do more for members by lowering costs and providing excellent event facilities.

## AAAIM NATIONAL CONFERENCE - SEPTEMBER 5 (NEW YORK)

The Association of Asian American Investment Managers had a great agenda this year including talks on diversity and other trends in the asset management business in the U.S. and globally.



## STARTING AN ALTERNATIVE FUND - CHOOSING YOUR SERVICE PROVIDERS - SEPT 10 (TORONTO)

The start of our 15-20 part series looked at how new and emerging (and veteran) managers might discriminate between service providers and negotiate the best contract possible for all involved. JB moderated this panel including **Poseidon Retsinas** of **HedgeLegal**, **SGGG Fund Services'** **Dennis MacPherson**, and **Abdul Sheikh** with **CIBC Mellon**. Thanks to **CIBC Mellon** for providing the venue and webinar/ video capture equipment and personnel.



*All sessions in this series will be available to all CAASA members via our website in the member's area.* New managers that are on their way to registration may apply for membership (only \$1,200 per year membership dues for AUM <\$50 million) and gain access to this powerful library of rules and tips. Indeed, all members will find something of interest and enlightenment in this series, as we cover all areas of (alternative) asset management.

## A LIQUID ALTERNATIVE PRIMER FOR MUTUAL FUND DEALERS SEPT 11 (TORONTO)

Partnering with the **Federation of Mutual Fund Dealers**, we were happy to bring together this panel with folks expert in all areas of the liquid alts industry: **Jason Chertin** with **McMillan**, the **Ontario Securities Commission's** **Darren McKall**, **Jason Mann** from **ehp Funds**, and **Craig Machel** from **Richardson GMP**. Thanks again to the FMFD for their huge part in this event and to **McMillan** for providing the venue!



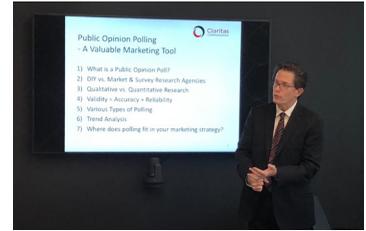
## LIQUID ALTS UPDATE - SEPTEMBER

We released our second Liquid Alts Update, including AUM by manager and fund, risk ratings, strategy, fee levels, and sub/red frequency for all CAASA members. Non-members received an abridged version. Both versions (one in the member-only area) are available on our website.

# SEPTEMBER

## USING PUBLIC OPINION POLLS WITHIN YOUR MARKETING STRATEGY - SEPTEMBER 18 (TORONTO)

**Rob Ireland** of **Claritas Communications** presented a great deal of background on the use of public opinion polls as well as an outline as to how they could be used by financial services companies to determine consumer demographics, preferences, and intent to use their product or service.



## STARTING AN ALTERNATIVE FUND - DISTRIBUTING YOUR FUND: TECHNOLOGY SOLUTIONS - SEPT 18 (TORONTO)

This session looked to how fund managers can use technology to access certain markets. **Rebecca Kacaba** explained her company, **DealMaker**, and its technology which streamlines the process for purchasing Offering Memorandum funds and other issues. **Jackson Lin** of the **TMX Group's NAVex division** described the benefits of listing one's OM or prospectus fund on their TMX-driven platform. And **Fundata's Jocelyn Courcelles** outlined how the distribution of performance data to the broker-dealers is imperative and what his shop's solution does for managers. Thanks to **CIBC Mellon** for providing the venue and webinar/video capture equipment and personnel. *This webinar is available for CAASA member viewing.*



## 2<sup>ND</sup> ANNUAL CLIMATE AND ESG ASSET OWNER SUMMIT - SEPT 23-24 (NEW YORK)

CAASA supported and JB attended this important **Tom Brigandi** and **CFANY** event.

## CONCORDIA UNIVERSITY CAREER PANEL - SEPT 24 (MONTRÉAL)

The students participating in the Kenneth Woods Portfolio Management Program were treated to a diverse panel of local investment heavy-weights. As usual, their advice centred on attitude, perseverance, resilience, and keeping an open mind. Immense thanks to **Josiane Lanoue** with the **TMX Group**, **Pierre-Philippe Ste-Marie** of **Optimum Asset Management**, **Nicolas Dang** from **CN Investment Division**, and **Castle Hall Diligence's Armand Cuke!**



## CAASA PAPER - CANADA'S NEW LIQUID ALTERNATIVES - SEPT 25

Thank you to our contributing members for their part in our second CAASA Paper publication: **Ron Landry** with **CIBC Mellon**, **Tim Elliott** from **Connor, Clark & Lunn**, **Andrew Torres** at **Lawrence Park Asset Management**, and our writer, **Goldman Communications' Corey Goldman**.

We published 2 other papers in 2019 (*The Case for Private Lending* and *The Case for Real Estate Investing*) and will produce 3-7 more in 2020.



# OCTOBER

## LIQUID ALTERNATIVES: AN INTRODUCTION AND OUTLOOK OCT 1 (WINNIPEG)



JB recommended this panel to CFA Winnipeg to give background into the long-awaited legislation (which he was a part of from the beginning in March 2013), where it is (based on statistics from the CAASA Liquid Alts Update) and where it might be headed.

Thank you to our star-studded panel: **Brendan Rogers** with **RBC Dominion Securities**, **Jason Chertin** of **McMillan**, **Max Corvin** from **Franklin Templeton**, and **Lawrence Park Asset Management's Kathleen Biggs**. And, of course, to CFA Winnipeg for organizing the lunch!

## PEPPERDINE & A PEPPERING OF BEST IDEAS - OCT 3 (VANCOUVER)

JB started off this multi-stage afternoon event at the Hotel Vancouver with a fireside chat with old friend **Michael Nicks** from the **Pepperdine University Endowment** followed by a 60-minute presentation of best ideas from a very diverse group of managers from across Canada. Each one had 4 minutes to outline their idea, followed by 2 minutes of Q&A from the audience of advisors, consultants, family offices, and institutional investors. Subsequently, the room gathered for 3 x 10-minute table-talks and, finally, a well-appointed reception.

Thank you to our presenting managers: **Julian Klymochko** (**Accelerate Financial Technologies**), **Kerry Stirton** (**Alignvest Investment Management**), **Jason Joiga** (**Avenue Living Asset Management**), **Matt Zabloski** (**Delbrook Capital Advisors**), **Anthony Guarnieri** (**Group RMC**), **Travis Dowe** (**Maxam Capital Management**), **Lisa Stewart** (**Neighbourhood Holdings**), **Guy Caplan** (**Pilot House Capital**), **Fraser McEwen** (**Slate Securities**), and **Yu-Jia Zhu** (**White Crane Capital Corp**).

## COG MEETING - OCT 3

For our Compliance & Operations Group call, **Poseidon Retsinas** with **HedgeLegal** discussed how to best interact with one's prime broker in order to get the most efficient funding and servicing. His years of experience in this area was a boon for those on the call.

## SFU CAREER PANEL - OCT 4 (VANCOUVER)

We kept **Pepperdine University's Michael Nicks** busy the next day with his participation in our career panel at Simon Fraser University's grand old downtown Segal Building. Joining him was **Peter Van Dyke** with **Deeley Group**, **Skye Collyer** from **Horizons ETFs**, and **Emil Khimji** of **White Crane Capital**. It was a real treat to have all of them take time from their busy schedules to share some real pearls of wisdom with the students. Thank you!



# OCTOBER

## Q3 JOINERS

Our member roster grew as we added: **HedgeLegal**, **Morgan Stanley Investment Management**, **Montrusco Bolton Investments**, **Arch Corporation**, **eHP Funds**, **Forthlane Partners Inc.**, **DealMaker**, **Unison Investment Management**, **Kilgour Williams Capital**, **Waratah Capital Advisors**, **Neighbourhood Holdings**, **TIMC Securities**, **Aspect Capital**, **Lighthouse Partners**, **Northstar Trading**, **Fidelity Clearing Canada**, **Our Family Office**, **ReSolve Asset Management**, and other anonymous members.

## PE/VC DAY - OCTOBER 16 (TORONTO)

Thank you to **Norton Rose Fulbright** for the use of their brand-new facilities for this mega-event focusing on Private Equity and Venture Capital.

Part I: We began with a lunch keynote by **Senia Rapisarda** of **HarbourVest Partners** giving an overview of the Canadian and global private equity and venture capital industries to the many managers and LPs in the room.



Then the GPs (10 from the U.S. and 2 from Canada) and LPs had a round of speed-dating together. Thank you to the following members for being a part of it: **Ardenton Capital**, **Palm Drive Capital**, and **Slate Securities**!

Part II: We continued the day with a talk on PE replication - or, more exactly, how one can put to work committed but undrawn capital effectively vs. tempting fate by over-committing the typical 150% of one's target allocation to this illiquid asset class. Our esteemed and entertaining speaker was none other than **Randy Cohen** of **Harvard University**.



Continuing, we had a panel on *PE & VC Structures & Tax Considerations* with learned speakers **Michael Bunn** and **Barry Segal** with **Norton Rose Fulbright**, and **SS&C Technology's Henry Toy**.

Finally, we had a panel comparing the Canada & U.S. PE & VC markets, moderated by **Northland Wealth Management's Arthur Salzer** and including **Gordon Wade** of **Brightspark Ventures**, **Supreet Singh Manchanda** with **Raiven Capital**, and **Seamon Chan** at **Palm Drive Capital** before retiring to our reception at the end of a long day together.

## VENTURE LENDING - OCT 17 (TORONTO)

**Joytin Handa** with **Espresso Capital** presented the topic of lending to venture capital companies - another of our co-presented events with **The Professional Centre** which included CAASA members and TPC tenants. A super opportunity for the crowd to learn about this alternative to venture equity financing.



# OCTOBER

## STARTING AN ALTERNATIVE FUND - TALENT & STAFFING - OCT 17 (TORONTO)

A huge part of starting, growing, and maintaining any sort of business is having the right people in place at the right time and for the right price. Add to that: price includes salary, bonus, equity, incentives, and anything else that might motivate people to sign on and stay with a company.

**Martin Fox** with **Robert Walters** and **Brian D'Costa** of **Algonquin Capital** had a great talk on general and specific instances where managing talent made a great difference.

*All sessions in this series will be available to all CAASA members via our website in the member's area.*

## 2020 MENTORING INFO RECEPTION - OCT 23 (TORONTO)

Thank you to **CIBC Mellon** for the use of their space for this event!

**Ron Cheshire** and **HarbourVest Partners'** **Daniel Conti** spoke of their vision many years ago to create a program *where tomorrow's leaders are mentored by today's*. Over the past 10 years, programs designed and monitored by them have shaped the industry of Montréal, Toronto, Vancouver, and Québec City. Thank you to these two and all of the mentors and mentees who participated!



## INTRODUCING: PAUL KOONAR

We knew that we would have to add a few trappings of success as we grew in 2019, one of which was getting a larger office and filling it with additional staff. As many might recall, we worked remotely for the first many months of our existence, adding a (very) small office only when necessary and prudent.



As those who have been a part of a start-up know, the balance between budget and requirements can pose a challenge. We were lucky to have had the top-line growth to expand as well as attracting someone we thought was at least as crazy as us; we even moved to a larger space in 2019 to accommodate the additional chair. (Come on by and see our 165 sq. ft. office if you like!)

Enter Paul, whom we had known for a few years and with a background in finance and hospitality gave us an indication that he was someone who would roll up his sleeves and get stuff done. He also shares our intent on delivering value to members and the industry at large - supporting members while remaining objective; serving each one with an eye to equality and equity across all parties; being proactive with ideas and responsive enough to make amendments as required; transparency in many areas but keeping key information (like the identity of our event attendees) private as per our commitment to all.

It seems an impossible set of tasks, but he has managed them well since his start in July and registered for the CAIA designation's Level 1 test also!

# NOVEMBER - CONFERENCE

## CAASA ANNUAL CONFERENCE - MONTRÉAL - NOVEMBER 4-5

Our annual institutional investor focused conference was replete with speakers and attendees from across Canada, the United States, and around the world - thanks to them for incredible content and contexts that impressed all. Our non-industry speakers provided unique perspectives for all. Thanks also to our sponsors who made it all possible. We look forward to seeing you there next year!

### THANK YOU TO OUR SPONSORS



### DAY 1 WORKSHOPS - A SELECTION OF GREAT SPEAKERS AND TOPICS

Speakers, sponsors, and investors had the option to take in some great speakers on our Day 1 morning. **Chris Schindler's** *Meeting the Challenge of CIOs in 2020* was a hit, as was the **CAIA Association's Keith Black's** talk on portfolio diversification and lessons learned from past crises. The morning ended with a *Focus on Family Offices* with **Malcolm Katz-Larson** (Edmonton) from **Rohit Group**, **Shauhan Kataroyan** at **Lune Rouge** (Montréal), and **Yasir Khushi** of **MSA Capital** (Dubai).

We will continue to offer this sub-set of attendees these high-value sessions - each time with different speakers and panelists from around the world that are experts on the topical subjects discussed.

# NOVEMBER - CONFERENCE

## DAY 1 TABLE-TALKS

Fond of innovation, we added Table Talks to our Day 1 program in order to allow small groups to speak to more in-depth and specialized topics. Sponsors had the option to present at these discussions and you can be sure we will be presenting them again at future events!

Thank you to **Napier Park Global Capital, Innocap, Waratah Capital Advisors, CIBC Mellon, Fidelity Clearing Canada, GlobeTax, Norton Rose Fulbright, Centurion Asset Management**, and the Montréal office of **Richardson GMP** for sponsoring and participating!



Monday Morning Table Talks\*:  
Michael Micko  
Partner & Head of European  
Credit Strategies  
Napier Park Global Capital

*"Why Europe?"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Jonathan Planté  
Director, Business Development  
Innocap Investment Management

*"Creating a Managed Account  
Platform from the Ground Up"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Jessica Clark Barrow  
Executive Vice President  
Waratah Capital Advisors

*"Long/Short ESG...The Smart  
Evolution of ESG Investing"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Jon Lofto  
Director, Alternatives  
CIBC Mellon

*"Choosing a Service Provider for  
your Liquid Alts Fund"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Lawrence McCann  
VP Sales and Relationship  
Management  
Fidelity Clearing Canada

*"Digital Client Onboarding"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Sean Driscoll  
Vice President  
GlobeTax

*"Cross-border withholding tax:  
Are you leaving money on the  
table?"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Michael Bunn  
Partner  
Norton Rose Fulbright LLP

*"Offshore P/E & Hedge Fund  
Structuring & Tax"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Paul Mayer  
Executive VP, Investment Sales  
Centurion Asset Management

*"Opportunities in the Canadian  
apartment rental real estate  
sector"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



Monday Morning Table Talks\*:  
Martin Boulianne  
Branch Manager  
Richardson GMP

*"Open Architecture Investment  
Dealer Platforms"*

\*This session only for Speakers, Sponsors, and Investors

CAASA Annual Conference – Nov 4-5, Montréal



## DAY 1 KEYNOTE FIRESIDE CHAT

Dr. Ranjan Bhaduri of **Bodhi Research Group**, and our Educational Partner for the conference, started the lunch session off with a word about the curriculum and then **François Rivard** from **Innocap** expertly interviewed **Mario Therrien** with **Caisse de dépôt et placement du Québec**.

# NOVEMBER - CONFERENCE



## OFFICIAL START OF CONFERENCE

Apologies to those attendees who might have a Pavlovian reaction to seeing the **Town Crier of Canada's** bell - it, and his voice, packed a punch! A tradition at our big events, he helps us keep on schedule and also lets people know what is happening and where they should be.



## DAY 1 PANEL - EVALUATION OF HEDGE FUNDS

**Bodhi Research Group's Dr. Ranjan Bhaduri** moderated this panel including **Christophe L'Ahelec** with **Ontario Teachers' Pension Plan**, **Brandon Gill New** of **OP Trust**, and **Mohamed Farid** from the **World Bank Pension Plan**.



## DAY 1 PANEL - THE WORLD OF PRIVATES: PE, VC, REAL ESTATE, & INFRA

**Pam Chan** with **BlackRock** joined **Nicolas Drapeau** of **Bimcor (Bell Canada Pension Plan)**, and **Thai An Le** from **Morgan Stanley Investment Management** - moderated by **Michael Bernstein**.



## TÊTE-À-TÊTE SESSIONS: GREAT FOR CONNECTING

For many years our attendees have used these strategically-placed meeting times for scheduled (via our mobile app and web portal) and ad hoc gatherings. A super way to ensure that everyone is getting the most out of their CAASA Annual Conference experience!

# NOVEMBER - CONFERENCE



## DAY 1 RECEPTION KEYNOTE - LE JOUR OÙ JE N'AI PAS PU PLONGER

Olympic gold medalist (diving, '84) **Sylvie Bernier** gave an excellent talk of a tragic period in her life (chronicled in her book) and how she supports *Swim to Survive Québec*. JB pledged to give to the charity for each picture of our #CACSOX sent to him and personally donated \$2,500 to the program. *Thank you, Sylvie, for your story and for this way we can make a difference in children's lives.*



## DAY 2 WAKE-UP - HAPPY HEALTH NUTRITION SESSION

**CAASA's** own **Caroline Chow** shared her story and some helpful tips on how to fare better during (as well as before and after) a conference. Stay hydrated, don't drink and eat too much, and a list of superfoods that have real benefits made for an informative talk!



## DAY 2 PANEL - THE GLOBAL HUNT FOR ALPHA

Our annual panel featured **Tim Berry** with **Lighthouse Investment Partners**, **Dr. Wagner Dada** of **Canada Pension Plan Investment Board**, **Dave Finstad** from the **British Columbia Investment Management Corporation**, and **Sharno Group's Shael Soberano** as moderator.



## DAY 2 NOW TALK - A PERSPECTIVE ON BEST PRACTICES FOR CO-INVESTMENTS

A real crowd-pleaser, this talk from noted investor **Kalina Berova** of **Bodhi Research Group** explained the rationale for institutional investors and managers to collaborate in co-investments as well as the requirements on the investor side to do so effectively.

# NOVEMBER - CONFERENCE



## DAY 2 NOW TALK - MACHINE LEARNING: HYPE VERSUS REALITY

**Dr. Jay-Calvin Uyemura Reyes** gave a super overview of the essence of machine learning, how it is used today, and where this fast-growing and important area of data use and human interaction is going.



## DAY 2 LUNCH KEYNOTE - HOW TO TELL A NEUTRINO FROM A HOLE IN THE GROUND

Nobel laureate (Physics, 2015) **Dr. Arthur McDonald**, Gordon and Patricia Gray Chair in Particle Astrophysics at **Queen's University** and director of **SNOLAB** (Sudbury Neutrino Observatory Lab) gave an engrossing and entertaining talk on neutrinos followed by some serious Q&A (one of the simpler questions being if we know that the neutrinos that light up the detector located 2 km below Sudbury are from our sun or another star). *It was amazing to have such a noted expert in the room!*



## DAY 2 PANEL - PORTFOLIO DESIGN, ASSET ALLOCATION, & TACTICAL TRADING

**Dr. Paul White** lead this panel which included **Chris Schindler**, Canada Pension Plan Investment Board's **Jim Hwang**, and **Maxime Tessier** with the Abu Dhabi Investment Authority.



# CONFERENCE & NOVEMBER



## DAY 2 PANEL - ESG IN ACTION

**Akobe Sandy** with the **MacArthur Foundation** moderated this timely talk on how institutional investors **Caisse de dépôt et placement du Québec**, represented by **François Crémet**, and **Concordia University** by **Marc Gauthier**. A powerhouse panel.



## DAY 2 PANEL - 2020: A CLEAR VISION

Wrapping up the conference, **Brian Gelfand** moderated this amazing panel which included **Paul Biszko** of **Ontario Teachers' Pension Plan**, **Dr. Davide Sabatini** with **Bodhi Research Group**, the **Bank of Canada's** recently appointed *Deputy Governor* **Toni Gravelle**, and **Dr. Srikanya Yathip** from the **Government Pension Fund of Thailand**. Super-insightful end to the day!

## ALTSMIA - NOV 7 (MIAMI)

JB made it down to Miami for this **Markets Group** event that featured **CAIA Association** CEO **Bill Kelly** interviewing **Anthony Scaramucci**. If you look closely you can see the CAASA colors on his hosiery (yup, it's the #CACSOX!).



## PRIMA MONTRÉAL RISK FORUM - NOV 12-13 (MONTRÉAL)

JB attended this annual event that brings together all things risk for two days in Montréal. Great speakers and a full slate of panels and speakers made for a content-packed event.



## PRIVATE WEALTH EAST - NOV 13 (NEW YORK)

JB was also at this *Markets Group* conference that had some pretty innovative sponsor extras - look forward to more events like this in 2020!

# NOVEMBER

## STARTING AN ALTERNATIVE FUND - REGULATORY COMPLIANCE AUDITS: WHAT YOU NEED TO KNOW - NOV 14 (TORONTO)

A most harrowing part of being an alternative fund manager might be being subject to compliance audits by one's regulator. Thanks to **CIBC Mellon** for hosting and their webinar facilities and to **Richard Roskies** with **AUM Law**, **John Serpa** of **Keystone Fund Solutions**, and **Corton Capital's David Jarvis** for their fantastic insights! *This webinar is available for CAASA member viewing.*



## HFC - NOV 14 (TORONTO)

CAASA was happy to support **Goldman Communications' Corey Goldman's HFC** (Hedge Funds Care / Help for Children) gala event that brought together many from the industry to raise money to help alleviate child abuse.



## AIM SUMMIT - NOV 18-19 (DUBAI)

JB moderated the *Emergence of Blockchain Technology as a Catalyst for a Series of Innovation in Trading* panel with participants **Michael Gord** with **MLG Blockchain**, **KPMG's Paritosh Gambhir**, **Paula Petkova** of **Wethaq**, and **Dino Verbregge** from **DV Trading**. *Thank you to the panel!*



## IG MEETING - NOV 20

For our Investor Group call, **Christophe L'Ahelec** with **Ontario Teachers' Pension Plan** delved into the Investment Due Diligence techniques used by him and his peers when investigating the performance and other key indicators that go into manager diligence. These IG calls are open only to our members who are employees of institutional investors, MFOs, or SFOs and are strictly Chatham House Rule.

## TALKING HEDGE - NOV 20-21 (AUSTIN)

A couple of quick flights later, JB was in Austin at **Meg Bode's** annual conference (and a few off-site meetings with allocators). A super gathering of global macro, CTA, and quant traders as well as consultants, investors, and select service providers made for an interesting program.



## DAG MEETING - NOV 26

For our Digital Asset Group call, **Fred Pye** of **3iq Corp.** described his vision to create a prospectus-offered *Bitcoin Trust* so that all Canadian retail investors can get access to this relatively new (10 years old) asset - and his plans now that the Ontario Securities Commission has approved it.

# NOVEMBER - DECEMBER

## STARTING AN ALTERNATIVE FUND - SETTING UP A TRADING DESK - NOV 28 (TORONTO)

Once a trader or PM is off their old desk the harsh reality of figuring out what they need, what it costs, and how to source it comes to light. Thankfully, **Canaccord Genuity Direct's Jean-François Sabourin** and **David Jarvis**, with **Corton Capital** have a roadmap for managers. Our compliments to **KPMG** for the use of their facilities. *This webinar is available for CAASA member viewing.*

## CAASA PAPER - THE CASE FOR REAL ESTATE INVESTING - NOV 30

Thank you to our contributing members for their part in our third CAASA Paper publication: **Jimmy Khing Shan** from **Slate Securities**, **David Christie** with **ESO Capital**, **Arch Corporation's Michael Missaghie**, **Cecil Baldry-White** at **Alitis Investment Counsel**, and **Max Kimpton** of **Castle Hall Diligence**. This paper was written by **Rob Ireland** of **Claritas Communications**.



We published 2 other papers in 2019 (*The Case for Private Lending*, and *Canada's New Liquid Alternatives*) and will produce 3-7 more in 2020.

## SIX POST-TRADE CONFERENCE - DEC 5 (LONDON)

A week in the British Isles (and about 30 meetings) was made even more productive by gaining access to the SIX (Swiss Stock Exchange) session organized in London. Thank you for the invite to the post-event also!



## PRIVATE WEALTH MID-WEST - DEC 12 (CHICAGO)

*Markets Group* held another PW session at the storied University Club of Chicago. A great group of RIAs, consultants, wire houses, and asset managers from the mid-west and elsewhere. JB was there, of course.



## RAISING CAPITAL CONFERENCE - DEC 17 (NEW YORK)

The following week JB was at The Entrepreneur Society's event in mid-town Manhattan where a series of panels, talks, and meeting sessions throughout the afternoon. Super format and great to see some new and familiar faces!



## Q4 JOINERS

Here we grow again: **Napier Park Global Capital**, **Corton Capital**, **Lumira Ventures**, **White Oak Global Advisors**, **Desjardins Global Asset Management**, **SigmaSandbox**, **Innovobot**, **OptionMetrics**, **Aviva Investors**, **Beach Point Capital Management**, **Abshe Holdings**, **Man Group**, **Music Royalties Inc.**, **bfinance Inc.**, **Meraki Global Advisors**, **Steepe & Co.**, **Abaris Capital Advisors**, **Alternative Capital Group**, **Zen Capital & Mergers**, **KPMG**, **Carne Group**, **Invico Capital Corporation**, **BMO Financial Group**, and **Koloshuk Farrugia Corp.**

# 2020 EVENTS

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# INITIATIVES

*Our mission is to support our members, the Canadian alternatives industry, and the broader global alternatives industry through a variety of programming, advocacy efforts, and working group initiatives such as member resources, thought leadership and educational publications, and effective gathering of groups with common interests.*

# MENTORSHIP PROGRAM

## TIME-TESTED MODEL USED TO TRAIN NEXT GENERATION OF LEADERS

A special thanks to **Ron Cheshire** and **HarbourVest Partners' Daniel Conti** for working with us on this important program to bring together those who would like to take their personal growth and career to the next level with those who have been there. The key to this program is its focus on matching mentors and mentees as well as possible, bringing both of their strengths to the forefront during orientation, and allowing them, as professionals, to decide their schedule and how they will interact over the one year of contact.

### Eligibility:

*Matching Committee:* individuals employed CAASA members or with individual membership; should have 10+ years of experience in the industry

*Mentees:* individuals employed CAASA members or with individual membership; 4 - 6 years of industry experience

*Mentors:* individuals employed CAASA members or with individual membership or non-members; 10+ years of industry experience

### Premise:

Mentorship, as opposed to coaching and other forms of guidance, is best performed between two well-matched individuals who have some level of experience (and maturity, as well as knowing what they want from the relationship) and participate in a comprehensive orientation that allows them to become an effective unit as quickly as possible.

### Process:

In January and February 2020 CAASA will solicit applications for two parties: mentees and the Matching Group. Mentees will provide background on themselves as well as permission from their employer to participate in the program.

The Matching Group will consist of 6-8 individuals who will meet in March and April to match mentees with mentors. The Matching Group is not required to take on a mentee (but can if they like); rather, they review the profiles and suggest mentors and meet with the prospective mentors to explain the program and, as applicable, get them on board. *The Matching Group commitment is just 2 months.*

The Class of 2021 will begin on June 1, 2020, ending on May 31, 2021. All pairs will be part of a half-day orientation where they will learn about their roles and tasks, the program overall, and each others' strengths and talents. A follow-up session will occur in September. Each pair may schedule their meetings/chats as they like and they may be in-person or over the phone.

The main purpose of the program, for many mentees, is to learn key skills and perspectives that can help them in their jobs and careers over the next few years. Many have great technical skills, and to gain a promotion involving managing people, take on a more client-facing role in the company, or just do their current job better it sometimes takes some outside help from someone who has been there.

We hope this program, as it has been for a decade in Montréal, will be a boon for our members and their employees. *Thank you to CIBC Mellon for the use of their facilities for many of our meetings and members who might like to sponsor the small cost of this program are most welcome!*

# CONFERENCES

## CAASA FAMILY OFFICE SUMMIT - MAY 6-7, 2020

Our Family Office Summit is a 2-day conference, split into two distinct days. Day 1 is reserved for conference attendees until April 5<sup>th</sup>, when tickets will be available to the public as well (conference attendees accommodated on a best-efforts basis after April 4<sup>th</sup>).

### **May 6 - Conference Participants + The Public**

**Blockchain Breakfast** - We have an experienced panel to discuss all things blockchain and cryptocurrency. This is a growing investment and use case area and one that just received OSC approval to be sold as a prospectus offering (Bitcoin Trust).

**Liquid Alts Lunch: Year 2** - Investors, advisors, dealers and distributors, and Canadian and foreign asset managers and service providers will meet to discuss the previous 4 months of the Canadian Liquid Alts legislation and its implementation, use, and adoption by the industry.

**Pitch Perfect** - An afternoon pitch competition from 5 asset managers to 5 investors that will surely entertain and add a bit of drama to the day.

**Happy Hour** - For conference speakers, sponsors, and investors only - includes wine tasting.

**SFO Dinner & Discussion** - We have 2 dinners planned: one strictly for the relatives of single family offices and one strictly for SFO professionals (*MFOs, IAs, managers, and service providers not admitted*). Focus on areas of interest and concern for both groups - a 'safe place' to speak candidly.

### **May 7 - For all delegates**

Tête-à-tête sessions throughout the day and Table Talks in the afternoon to facilitate introductions.

Please contact the CAASA office with any questions and for pricing.

## CAASA ANNUAL CONFERENCE - MONTRÉAL - NOVEMBER 3-4, 2020

- Nov 2 afternoon of curling for speakers, sponsors, and investors only
- Nov 3 academic, regulatory, and investment morning workshops and roundtable streams for our speakers, sponsors, and investors + afternoon sessions for all delegates.
- Nov 4 sponsor, speaker, and investor lunch with keynote speaker
- Panels and tête-à-tête sessions throughout the Day 1 afternoon and all of Day 2
- Non-industry breakfast, lunch, and Day 1 reception keynotes
- Panels and speaking slots will be exclusively investors and allocators such as those at pension plans, family offices, sovereign wealth funds, foundations, endowments, or consultants
- Speaking spots will not be allocated based upon sponsorship; sponsors, and all members, can suggest speakers, panelists, moderators, and topics
- Registration and sponsorship (outside of bona fide investors) will be for CAASA members only.

**Pricing available on our site. Please contact the CAASA office with any questions either event.**

# OTHER 2020 EVENTS

## CAASA CLASSROOM - THROUGHOUT THE YEAR

Expect to see 10-12 CAASA Classroom events in 2019, including our popular *Blockchain Weekend* with **MLG Blockchain** in January and *Public Relations: Paid vs Earned Exposure* with **Goldman Communications** on January 24. **The Professional Centre** is hosting many of these events on the 24th Floor at 120 Adelaide Street West in Toronto - thank you!

## STARTING AN ALTERNATIVE FUND - WEBINAR FORMAT - ALL YEAR

We have 5 sessions done and 20 more to go over the next 2 years. You can be a part of it!

## MCGILL UNIVERSITY CAREER PANEL - FEBRUARY 14

We return to McGill for our annual panel on careers in the alternatives industry - featuring a star-studded panel of hedge fund, institutional investor, and investment advisor speakers.

## FOUNDING DAY DRINKS - MONTRÉAL FEBRUARY 3 & TORONTO FEBRUARY 5

We will be one year old in February - thank you! This event is for members and invited guests.

## THE FUTURE OF TALENT IN FINANCE - MONTRÉAL - FEBRUARY 4

A look into how the landscape for talent in the asset management industry.

## CHARITY GOLF TOURNAMENT - ANGUS GLEN - SEPTEMBER 22

Join us for this annual tee-off to help kids' mental health in Ontario and across Canada!

## SUMMER SOCIALS - TORONTO & MONTRÉAL - JUNE (TBD) & AUGUST 20

Our Toronto social returns to the National Club Rooftop and our Méchoui to the Terrasse at Parc Jean-Drapeau - even more new and exciting additions this year!

## AND MORE...

Expect to see more of our innovative topics, speakers, and formats in 2020 - happy to speak with members on any ideas you might have.

# MEMBER DIRECTORY

*The diversity, drive, experience, and resources of our members is what makes CAASA happen. The CAASA staff literally work all day to keep up with their ideas for advocacy and service offering initiatives; events of all sizes, on all topics, in many cities across Canada and elsewhere; and creating an environment where they can support each other and the industry at large.*

Thank you!

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## CAASA FAMILY OFFICE SUMMIT 2020

**Wednesday, May 6 & Thursday, May 7**

*Attendees from around the world*

*Tête-à-tête sessions for all*

Vantage Venues, 150 King Street West  
Toronto, Ontario, Canada

Maximum capacity: 200



## CAASA ANNUAL CONFERENCE 2020

**Tuesday, November 3 & Wednesday, November 4**

*Attendees from around the world*

*Tête-à-tête sessions for all*

*Special Day 1 morning events for Sponsors & Investors*

Fairmont Queen Elizabeth Hotel  
Montréal, Québec, Canada

Maximum capacity: 200  
*Equal numbers of investors, managers & service providers*









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

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