

# Canadian Investing - Learning, Discerning, & Allocating in this Digital Age

*Presented by: The Consulate General of Canada in New York and the Canadian Association of Alternative Strategies & Assets*



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



Government  
of Canada    Gouvernement  
du Canada

**Canada**

**Wednesday, December 9<sup>th</sup>**  
**Plus Additional Meeting Day: Thursday, December 10<sup>th</sup>**





# MANAGED ACCOUNT PLATFORM

Structuring, Risk,  
Operations and  
Governance

NOVEMBER 2020



INSTITUTIONAL

## LEVERAGE ONE OF THE LEADING INVESTMENT FIRMS IN CANADA

Asset Allocation, Overlay Strategies,  
and Absolute Return

**Vishal Mansukhani, MBA, CFA**  
Vice-President, Institutional Business Development  
CIBC Asset Management  
vishal.mansukhani@cibc.com

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## A CELEBRATION OF CANADIAN ALTERNATIVE INVESTMENT SUCCESS

This special conference is part of the CAASA team's continued commitment to bring Canada to the world and the world to Canada. Thanks to our partnership with the Consulate General of Canada in New York, this two-day program includes panels, our ever-popular Founders' Pitch Competition, and a fireside chat on Canada's place in the world of private equity and pension fund investing. All content is subject to Chatham House Rule.

## THANK YOU TO OUR SPONSORS





# 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: 100+ events, including this conference, have occurred or are planned in 2020. **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.

## MESSAGE FROM THE CONSULATE GENERAL OF CANADA IN NEW YORK CITY

Canada is widely recognized for its dynamic yet stable financial system. Canada is also home to some of the world's most admired and successful public pension organizations, which can be attributed to collaborations between diverse stakeholders, both public and private.

Canadian innovation in the investment industry is longstanding. Canada's venture capital industry was one of the first wherein a public pension plan created a dedicated unit to invest in fledgling industries. This strategy proved successful. In 2014, Canadian companies saw \$1.9 billion of deal flow through 379 deals (\$5 million average deal size). As of fall 2020, this amount has grown to over \$5.1 billion through 558 deals (\$9 million average deal size). This reflects the growing success of the Canadian ecosystem as whole, particularly with raising investor awareness of Canadian tech capabilities.

It also reflects Canada's ability to nurture domestic talent through strong universities, and attract global talent through effective immigration programs. Canadian cities increasingly rival other global centers of innovation. Family offices, venture capitalists, incubators, angel networks, university programs and corporate venture capital underpin the uplifting tide of the Canadian market – and the world is noticing.

Canada has long been respected in the world of public pension fund management. The Ontario Teachers' Pension Plan is one of the earliest founded with a mandate to diversify its investments from government bonds to an appropriate structure that achieves its long-term target return. It was given flexibility in asset allocation, personnel, and compensation structure while being effective and respected stewards above all. This model is well regarded and demonstrates proficient use of in-house talent, allocations to promising external managers, direct investment into long-life assets, establishing international posts to attract top personnel and global deal flow, and the formation of specialized units such as OMERS Ventures and OMERS Growth.

At the Consulate General of Canada in New York, we support the rising class of Canadian tech companies in the United States by connecting them to established investor communities and prospective purchasers, in addition to helping satisfy investor curiosities about the Canadian market. We operate Canadian Technology Accelerator programs to support early stage technology companies, connect investors, and our team includes a dedicated officer who specializes in venture capital and family offices firms. From servicing early stage Canadian companies featured in the "Dealbook" for this event to emergent funds that are helping address climate change like Climate Innovation Capital, we are committed to spotlighting Canadian innovation and opportunities. We hope this event will help support your awareness and understanding of emergent Canadian opportunities.

**Neil Britto**

*Trade Commissioner*

Consulate General of Canada in New York

Neil.Britto@international.gc.ca



# 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, December 7<sup>th</sup> 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 47, 15-minute meetings over the 2 days): book-ending Day 1 and all day on Day 2. 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 ask for their email (we DO NOT release delegate 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 the CAASA All-in-One Virtual Platform. Meetings must be completed by end of day on Monday, December 7<sup>th</sup> 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 each of the six offered on December 9<sup>th</sup>. Titles/ topics of each session will be published on the CAASA All-in-One Virtual Platform, also where attendees will register for their desired sessions. This must be completed by noon on Monday, December 7<sup>th</sup> to ensure entry into the virtual room.

# AGENDAS

## DAY 1 - WEDNESDAY, DECEMBER 9<sup>TH</sup>

8:00 AM	Tête-à-tête meetings (7 x 15-minute meetings)
9:45 AM	Platform Introduction
10:00 AM	Welcome Remarks from the Consulate General of Canada in New York by Khawar Nasim, Acting Consul General and CAASA by James Burron
10:10 AM	COVID-Proof Investments Made in Canada Fred Pye, 3iQ Corp, Colin Kilgour, Kilgour Williams Capital, Mark Stacey, AGF Investments, John Norman, Perisen Funds
10:55 AM	Mini-break
11:00 AM	Due Diligence in a COVID World Christopher Rapcewicz, Helmsley Charitable Trust (moderator), Jonathan Planté, Innocap, Chris Addy, Castle Hall Diligence, Brandon Gill New, OPTrust, Dr. Luis Seco, Sigma Analysis & Management
11:45 AM	Lunch Break
NOON	Sponsors' Table Talks (3 x 20-minute meetings)
1:00 PM	Founders' Pitch Competition Judges: Zoya Shchupak, Innovobot Sebastian Zhou, Alpha Square Group (SFO) Steven Abrams, BDC Capital Karl Théard, Desjardins Capital Founders: Olivier Berger, Wondeur Ivan Tsarynny, Feroot Zachary Lefevre, ChargeLab
2:00 PM	Fireside Chat: Canada's Place in the World Mark Shulgan, OMERS Growth, Khawar Nasim, Government of Canada, James Burron, CAASA
2:45 PM	Closing remarks
3:00 PM	Tête-à-tête meetings (8 x 15-minute meetings)
5:00 PM	End of Day 1 Program

## DAY 2 - THURSDAY, DECEMBER 10<sup>TH</sup>

9:00 AM	Tête-à-tête meetings (32 x 15-minute meetings)
5:00 PM	End of Day 2 Program



# TABLE TALKS (DEC 9<sup>TH</sup>)

# TWO NEW MEMBERSHIP CATEGORIES



**Canadian Investments in this Digital Age**  
**Table Talk**  
**Anti-Beta for your Portfolio**  
*A complement to current investor asset mixes*  
**Mark Stacey**  
SVP & Co-CIO AGFIQ Quantitative Investing, Head of Portfolio Management  
December 9<sup>th</sup>, 2020  
www.caasa.ca



**Canadian Investments in this Digital Age**  
**Table Talk**  
**The Maple Model**  
*How to build a Managed Account Platform like a \$200B Pension*  
**Jonathan Planté**  
Director, Business Development  
December 9<sup>th</sup>, 2020  
www.caasa.ca



**Canadian Investments in this Digital Age**  
**Table Talk**  
**The Future of the US Dollar**  
*Is dollar hegemony under threat, and what would that mean for investors?*  
**Michael Sager**  
Vice President, Multi-Asset & Currency  
December 9<sup>th</sup>, 2020  
www.caasa.ca



**Canadian Investments in this Digital Age**  
**Table Talk**  
**Learning & Discerning from Data**  
*Creating well-thought allocations from today's metrics*  
**David Rudd**  
Founder & Director  
December 9<sup>th</sup>, 2020  
www.caasa.ca



**Canadian Investments in this Digital Age**  
**Table Talk**  
**Opportunities in Canadian Multi-Family Rental Apartment Buildings**  
*Consistent Cash Flow Through and Beyond COVID*  
**Paul Mayer**  
VP, Business Development and Institutional Sales  
December 9<sup>th</sup>, 2020  
www.caasa.ca



**Canadian Investments in this Digital Age**  
**Table Talk**  
**Fintech Enabled Credit Investing**  
*Delivering resilient, uncorrelated alternative income*  
**Colin Kilgour**  
Co-Founder & Managing Director  
December 9<sup>th</sup>, 2020  
www.caasa.ca



## GLOBAL PARTNER

As we continue to innovate in an effort to bring more value to members than ever before, we added an additional exposure category for select members: Global Partner.



These members, starting with CEOS Family Office, an MFO headquartered in Montréal and offering a complete suite of services to families, will be featured prominently at all three of our signature conferences: *CAASA Annual Conference*, *Family Office Summit*, and (new in 2021) our *Wealth Managers' Forum*, as well as our Founding Day Drinks typically held near our anniversary on February 5.

As is our tradition, we treat all members equally for our speaking opportunities (191 in 2019 and more than 100 in Q2 2020 alone) and Global Partners are afforded the same propensity to speak on and moderate panels and participate in podcasts.

Any CAASA member that might be interested in becoming a Global Partner should contact the CAASA office.

## (START-UP) FOUNDER

We have had a great deal of interest from start-up founders to be involved with our events and initiatives over the last few months - especially as we are active in the family office / angel network and venture capital funds.

To this end, we have created a Founder category to cater to this type of member. We will also feature Founder members on our panels and podcasts and organize special events for them to connect with funding sources and source best practices and great ideas from peers and others.

The intent is to work with true start-ups and give them access to great content and connections and CAASA reserves the right to require certain companies that might be better categorized as managers or service providers - especially if they might be considered mature or with substantial backing - to be so categorized and pay the relevant fee.



# Common knowledge yields common results. We prefer an alternative method.

At AGFiQ, our alternative solutions are differentiated by design to deliver stability for your investments, whatever tomorrow may bring.

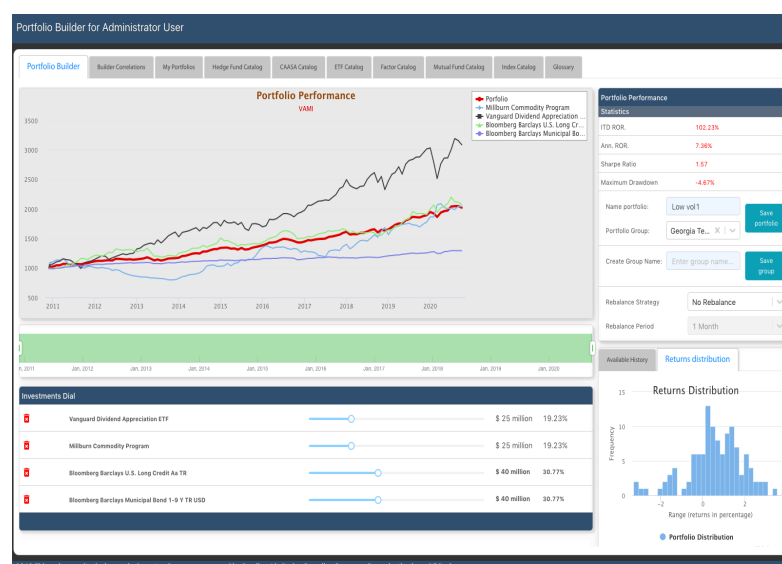
AGF.com



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Investment advice should be tailored to the specific needs of an investor. We strongly recommend you consult with a financial advisor prior to making investment decisions. The information is general and not to be considered as an offer or solicitation to buy or sell securities. AGFiQ is a collaboration of investment professional from AGF Investments Inc. (a Canadian registered portfolio manager) and AGF Investments LLC (a U.S. registered adviser).

# SigmaSandbox



Sandbox is dedicated to empowering the Advisor and large Investor with superior analytics.

With 2,300 of the major North American ETFs (with ranking), 18,000 mutual Funds, Hedge Funds, 6,300 indices, equity factors and Canadian Liquid Alts, one can view holdings, build and save portfolios, and examine for correlations, vol. etc. All highly graphical and very fast with our intuitive construction tools. Can be white labelled. Great for real-time presentations.

Open a free trial account or contact us at:  
[www.sigmasandbox.com](http://www.sigmasandbox.com)

## MORE MEMBER BENEFITS

### OFFERING MEMORANDUM PROCESSING

We have partnered with CAASA member, DealMaker, to deliver a transformative solution to our Fund Manager members. DealMaker is a digital platform that offers Fund Managers a better way to process OM transactions. Conducting OM transactions on DealMaker saves Fund Managers significant time and money. The platform supports an additional wide range of issuer transactions. DealMaker transforms the sale of private securities into an efficient online process.



DealMaker offers the option of fund collection, providing a one-stop solution for investors. Investors on DealMaker benefit from the speed and convenience of signing online with e-signature. DealMaker eliminates the hassle of having to print, sign, scan, correct, and send reams of paperwork. Issuers and managers benefit from gaining access to a portal that tracks the signing process of all documents, investors, and advisors on the platform, using real-time data.

CAASA members receive a 30% discount on DealMaker. Contact [info@dealmaker.tech](mailto:info@dealmaker.tech) to receive complete pricing and more information. We are not receiving any compensation for this partnership and offer all savings to our members.

### FOUNDER, ANGEL, & VC PLATFORM

We are also working with Knightley.co to offer their virtual dataroom to our members engaged in the start-up (pre-seed, seed, & pre-Series A) stage.



This service is a well-thought platform where start-up founders can display their business idea (including a video introduction) to potential funders. With a plethora of information that can be uploaded, founders control what investors see, allowing access to more intrusive documents as they see fit.

Investors can scroll through ideas and companies and see their key metrics (e.g., sales, locations, SKUs) and set a reminder for when that metric meets their interest requirements.

This is a powerful, new platform that CAASA SFO and Founder members have a free 30-day trial of and a 40% discount off the monthly price when they subscribe for a year. CAASA does not receive compensation from Knightley in any way - we give it to you!

Read more at [caasa.ca](http://caasa.ca) - or contact us at +1 (647) 953-0737 or [caroline@caasa.ca](mailto:caroline@caasa.ca)



June 2017:  
Launched  
Fintech-Enabled  
Kiwi Private  
Credit Fund

Funded Over  
750 Small  
Businesses  
With Affordable  
Capital

Helped Over  
5,000  
Consumers  
Reduce Interest  
Costs

Delivered 38  
Consecutive  
Months of  
Positive  
Returns



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## HOW'S YOUR PORTFOLIO DOING?



In the last ten months, Centurion Apartment REIT has added 10 properties with 2,774 rental units to its apartment portfolio.

**FIND OUT MORE AT [CENTURION.CA/INVESTMENT-SOLUTIONS](https://www.centurion.ca/investment-solutions)**



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# CONFERENCE POLICIES

## 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 LinkedIn. 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 #CGNYCAASA2020.**





# OUR DATAROOM

## ALL THE DATA YOU NEED TO BOOK YOUR MEETINGS

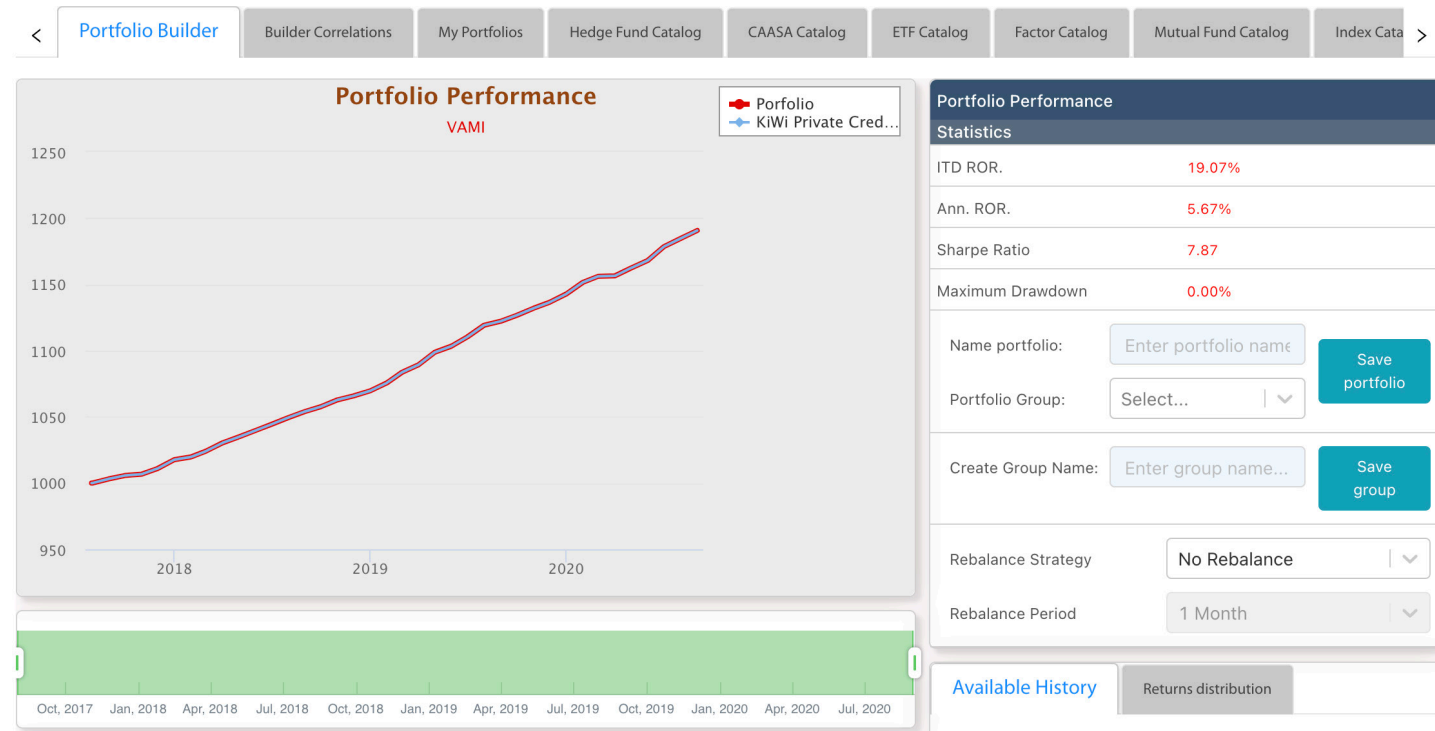
At the suggestion of one of our single family office members, we partnered with SigmaSandbox to create a dataroom to provide a more robust experience for managers and investors by getting performance and other information into the hands of prospective investors. We believe this free offering, exclusive 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.



### KiWi Private Credit Fund

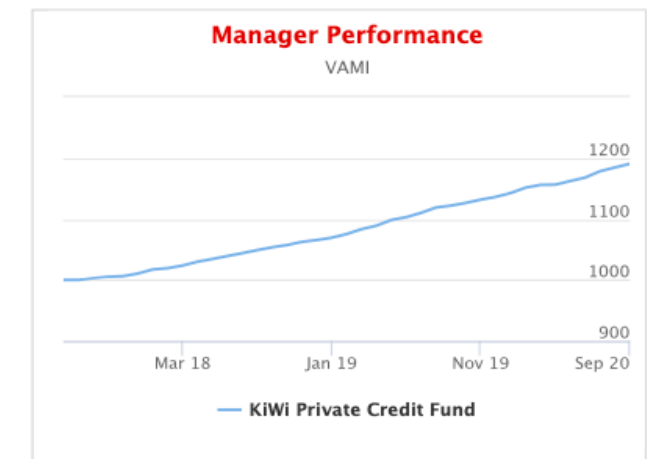
### Contact Information

Kilgour Williams Capital  
49, Front Street East, Suite 400  
[ck@kilgourwilliams.com](mailto:ck@kilgourwilliams.com)  
416-315-4884

### Fund Details

KiWi Private Credit Fund LP is an alternative credit fund that seeks to deliver superior monthly income while maintaining a stable Net Asset Value. The fund was launched in 2017 and invests in private loans originated and serviced by leading marketplace lending platforms. The fund's high quality portfolio consists entirely of prime loans, is massively diversified with no long greater than 1% of assets, and has a portfolio duration of less than one year.

Statistics & Ratios Summary		
	Fund	Benchmark
Ann. RoR	5.67 %	N/A
Sharpe Ratio (0%)	7.87	N/A
Volatility	0.70 %	N/A
Average Monthly Return	0.46 %	N/A
Highest Monthly Return	0.89 %	N/A
Lowest Monthly Return	N/A	N/A
Maximum Drawdown	N/A	N/A
% Positive Months	97.37 %	N/A
% Negative Months	N/A	N/A
Average Monthly Gain	0.47 %	N/A
Average Monthly Loss	N/A	N/A
Fund to SP 500 correlation:	0.00	N/A

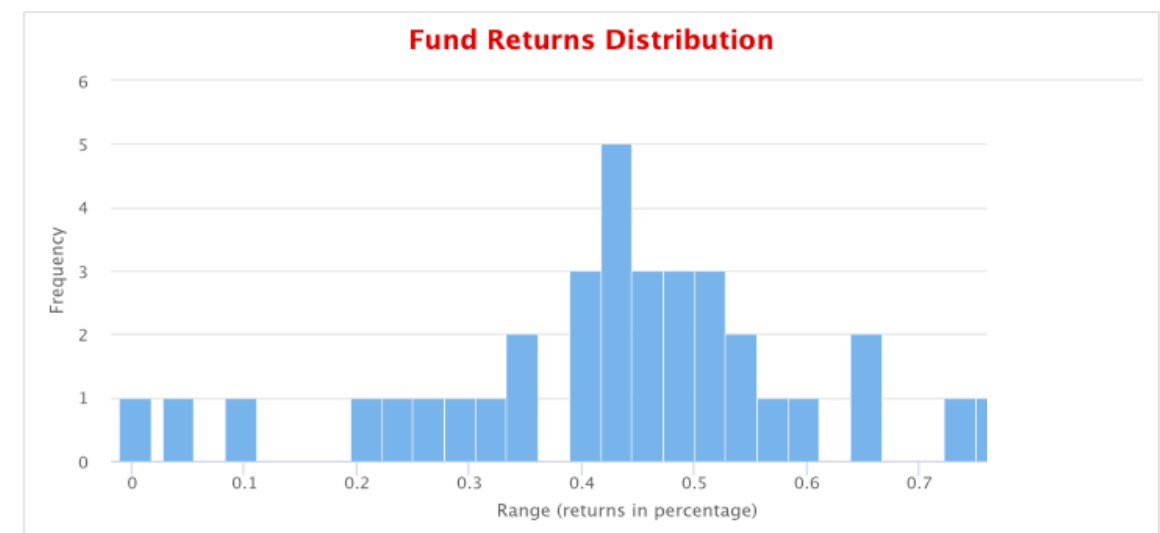


### About the manager:

Kilgour Williams Capital, founded in 2007, is an investment management firm with a long track record of success managing credit portfolios. Today we specialize in marketplace loans and our flagship offering is the KiWi Private Credit Fund which we launched in 2017. We are the only investment fund manager in Canada actively investing in marketplace loans. In 2020 we welcomed Walter Global Asset Management as a strategic investor in the firm and its CEO Sylvain Brosseau joined the board of KWC.

### Monthly Performance

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	YTD Benchmark
2020	0.55%	0.77%	0.40%	0.03%	0.51%	0.49%	0.89%	0.52%	0.51%	N/A	N/A	N/A	4.77%	0.00%
2019	0.36%	0.56%	0.74%	0.53%	0.86%	0.42%	0.64%	0.79%	0.27%	0.40%	0.47%	0.40%	6.63%	0.00%
2018	0.66%	0.20%	0.43%	0.61%	0.43%	0.47%	0.45%	0.48%	0.44%	0.35%	0.49%	0.28%	5.42%	0.00%
2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0.00%	0.32%	0.25%	0.10%	0.43%	1.10%	0.00%





# FIRESIDE SPEAKER BIOGRAPHIES

**MARK SHULGAN**  
**MANAGING DIRECTOR & HEAD OF GROWTH EQUITY**  
**OMERS**

Mark Shulgan is Managing Director and Head of OMERS Growth Equity. He currently serves on the boards of Purpose Financial, TouchBistro and Coveo.

Prior to joining OMERS, Mark helped start and then led the Thematic Investing team at the Canada Pension Plan Investment Board (CPPIB). At CPPIB, Mark oversaw a \$5B investment portfolio comprised of public and private investments in technology, healthcare and consumer companies located in North America, Asia and Europe. Prior to CPPIB, Mark was a Vice President at Fortress Investment Group. He began his career as an investment banker at Scotiabank. Mark also volunteers as a Board Member of the Greater Toronto YMCA and is the Chair of its Investment Committee.

Mark is a graduate of Western University where he received a Bachelor of Arts and graduated with the Gold Medal.



**KHAWAR NASIM**  
**ACTING CONSUL GENERAL**  
**CONSULATE GENERAL OF CANADA, NEW YORK**

Khawar Nasim serves as Acting Consul General of Canada in New York. Prior to his New York assignment, Mr. Nasim was Canada’s Consul General in Minneapolis.

Mr. Nasim is a career diplomat who joined the Canadian Department of External Affairs in 1993. His overseas career has included postings in Rome, Barcelona and Rome for a second time where he served as Minister-Counsellor (Commercial-Economic).

In 2010, Mr. Nasim took a leave from government to work as Vice-President of External Affairs, for one of Canada’s largest gold companies, Yamana Gold of Toronto (2010 to 2013). In 2014, Khawar returned to the Diplomatic service and served in The Hague from 2014 to 2016. Mr. Nasim was named Canada’s Consul General in Minneapolis in July 2016 and Deputy Consul General in New York in November 2017.

Mr. Nasim has a Bachelor’s Degree in Commerce (Carleton University) and a Master’s Degree in Business Administration (McGill University). He is married to Lise Beaulne Nasim; they have two children, Nico and Olivia.



# SPEAKER BIOGRAPHIES

*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!*

# SPEAKER BIOGRAPHIES

## **Steven Abrams**

*Partner*  
BDC Capital



Steven Abrams is Partner in BDC Capital's IT Venture Fund, and Strategic Investments and Women in Technology Venture Funds. He joined BDC in 2001, after almost nine years in investment banking with ScotiaMcLeod and two years as CFO of an interactive advertising agency.

As Director of Corporate Finance at ScotiaMcLeod, Steven participated in many IPOs, privatizations, M&A advisory mandates, and equity and debt financings for companies in sectors including technology, transportation and telecommunications. He previously worked for Diesel Marketing (now Sid Lee), where he raised a first round of venture capital, did three acquisitions, established two start-ups, and helped grow the company from 15 to 145 people. He started his career as a computer programmer.

## **Chris Addy, PhD, CFA, CAIA**

*Founder & CEO*  
Castle Hall Diligence



Chris is the Founder and CEO of Castle Hall, where he leads a team of more than 80 professionals conducting operational, ESG, risk and cyber due diligence on behalf of more than 100 asset owners worldwide.

Chris is one of the industry's very first operational due diligence professionals. After audit experience with both Deloitte and PwC, Chris began his due diligence career in 1997 with the Atlantic Philanthropies (a multi billion dollar foundation and early hedge fund investor). Chris then joined UBP (2001) and co-founded Amber Partners (2004).

Chris is an advocate for enhanced best practices across the asset management industry. In addition to his work at Castle Hall, he is a member of the CFA Institute Global Industry Standards Steering Committee, and is a founding member of the Executive Committee of the Fund Governance Association. Chris also served for 6 years (2011-2016) as a member of the CFA Institute Capital Markets Policy Council, acting as Chair for a maximum three-year term.

Chris is a Fellow of the Institute of Chartered Accountants in England and Wales and is a CFA Charterholder.

# SPEAKER BIOGRAPHIES

## **James Burron, CAIA**

*President & Co-founder*  
CAASA



James co-founded CAASA in response to industry support for a Canadian alternatives association to serve all aspects including: hedge / alternative strategies; private lending; private real estate; private equity; plus emerging areas where Canada is a leader such as digital assets / blockchain and robo-advisors.

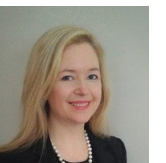
Prior to CAASA, James was the Chief Operating Officer of AIMA Canada where his team of three worked with 12 committees to produce 50-60 events per annum across Canada, organized 100+ committee meetings, and increase member numbers over his 7-year tenure from 66 to 164 corporate entities.

James currently sits on the Canadian Investment Funds Standards Committee (CIFSC), which categorizes mutual funds and alternative mutual funds (aka liquid alternatives) for the retail space in Canada. He is also called upon by membership and industry groups to speak to risk ratings and portfolio placement of all types of alternative investments.

James also has experience in research and writing for the CAIA Association (holding the designation since 2006) as well as serving on CAIA's exam council and as a grader for the Level II portion of the exam. He had roles in institutional sales and FoHF structuring in Seoul, South Korea, as a Product Manager at ICICI Wealth Management, and as an Investment Advisor at RBC Dominion Securities. James graduated from Simon Fraser University with a BBA (Finance).

## **Brandon Gill New, CFA**

*Senior Portfolio Manager*  
OPTrust



Brandon Gill New is a Senior Portfolio Manager in the Strategic Relationships and Innovation division at OPTrust. In her role, she provides strategic direction and oversight over a number of strategies within the plan's portfolio of C\$6B externally-managed public-markets funds.

Prior to joining OPTrust in early 2018, Brandon was a Director at BMO Capital Partners, a proprietary private debt and equity fund at Bank of Montreal. She also spent a decade at Ontario Teachers' Pension Plan. There, she served as a Portfolio Manager in the Alternative Investments Division managing a portfolio of global hedge funds and esoteric investment funds, and as an Assistant Portfolio Manager in the Public Equities Division covering Emerging Markets equities.

Brandon holds an MBA from London Business School and a B.A. in International Economics from Middlebury College in Vermont. She is also a CFA Charterholder.



# SPEAKER BIOGRAPHIES

## **Colin Kilgour**

*Partner*

Kilgour Williams Capital



Colin Kilgour is the founder and president of Kilgour Williams Capital, the portfolio manager of Kiwi Private Credit Fund which is the first Canadian-managed investment fund dedicated to the marketplace lending space. Colin founded Kilgour Williams in 2007, initially to provide advice, risk assessment, valuation, and access to liquidity for Canadian investors who were burdened with restructured Asset Backed Commercial Paper in the wake of the Global Financial Crisis. Kilgour Williams Capital has advised on over \$2 billion of these structured notes. Colin previously founded and sold a finance company that provided accounts receivable financing to North American companies and funded those receivables with unique securitization techniques he developed. Early in his career, he spent 10 years as a management consultant for financial institutions in Canada, the US, UK and Europe.

## **John Norman, CFA**

*Portfolio Manager*

Spartan Fund Management - Perisen Fund



John is a board director and portfolio manager for the Perisen Funds at Spartan Fund Management. He co-founded Perisen in 2009 with Rick Brooks-Hill to pioneer the life settlement market in Canada. Prior to starting Perisen, John spent 17 years in the asset management industry in various portfolio management and sales & marketing capacities including co-founding a mutual fund company which was subsequently listed on the Toronto Stock Exchange. He was Portfolio Manager & Vice President at J. Zechner Associates between 2005 and 2008, Portfolio Manager with Phillips Hager & North from 1997 to 2005 and began his career at Burns Fry in 1993.

John received his Bachelor of Arts degree in Economics from the University of Western Ontario in 1991, earned the Canadian Investment Manager (CIM) designation in 1998 and the Chartered Financial Analyst (CFA) designation in 1999.

# SPEAKER BIOGRAPHIES

## **Jonathan Planté, CAIA**

*Director, Business Development*

Innocap Investment Management



Jonathan Planté is Director of Business Development at Innocap, a premier managed account platform for institutional investors. He focuses on structuring investment programs by customizing risk, governance, legal and operational frameworks. To develop effective solutions, Jonathan believes in building partnerships that empower clients with control and transparency.

During his 13 years in the alternative investments industry, he has held various roles across North America and Europe in private and public markets. Jonathan holds a graduate degree in Finance from HEC Montréal, a Master's degree in International Business Development from ESC Saint-Étienne and the CAIA designation. For the past 5 years, he has been a lecturer at HEC Montréal where he teaches alternative investments to graduate students.

He is actively engaged in the field of applied neuroscience both in practice and through youth-centred social initiatives. He is the founder of 4 Next Generation, which advocates for social coherence by advancing children's cognitive development and learning. He also serves on the Leadership Council of Capitalize for Kids, a non-profit organization focused on building capacity and solutions in support of children's brain and mental health.

## **Fred Pye**

*President & CEO*

3iQ Corp.



Fred kick-started his career as a precious metal and foreign exchange trader at Guardian Trust. In 1986, they were the first to list gold, silver, and platinum certificates on the Montreal Stock Exchange. Fred later joined Fidelity Investments, where he was part of a team that saw its assets rise from 85 million to over 7.5 billion. Through the launch of creative and exotic investment products, Fred started his own firm, which worked diligently with Canadian regulatory bodies to establish the first mutual fund in Canada that was allowed to take short positions. Finally, as founder and CEO of 3iQ, he and his team worked cooperatively with the Ontario Securities Commission for the last 4 and a half years to launch the first regulated Bitcoin fund in North America. In a landmark victory, 3iQ was given the green light by the regulator to file a prospectus and apply to list "The Bitcoin Fund" on a Canadian stock exchange. 3iQ is now Canada's largest digital asset investment fund manager with more than C\$400 million in assets under management.

# SPEAKER BIOGRAPHIES

## **Christopher Rapcewicz**

*Head of Investment Risk and Operations*  
Helmsley Charitable Trust



Christopher Rapcewicz is Director of Risk and Operations at the Helmsley Charitable Trust. He is part of the development and implementation of the overall investment strategy and is principally responsible for the risk management of Helmsley's investments across all asset classes and for ensuring the integrity and effectiveness of the investment operations. Christopher received the Investor Intelligence Award: Risk Management in 2016.

Prior to joining Helmsley, Christopher was chief risk officer and global head of quantitative solutions at UBP Asset Management, a multi-billion dollar fund of funds. Prior to that he was vice president of risk at Blackstone Alternative Asset Management where he was involved in all aspects of hedge fund risk management. He was also responsible for the selection of quantitative and systematic hedge funds. Christopher joined Blackstone after four years at Measurisk, a risk measurement vendor that was acquired by MSCI in 2010. At Measurisk, he was managing director responsible for the development and operation of the core risk factory. Christopher received a Ph.D. in theoretical physics from Cornell University and his B.Sc. (summa cum laude) from McMaster University in Canada. He has worked as a risk professional for 17 years.

## **Zoya Shchupak, CA, CPA, MBA**

*Managing Partner*  
Innovobot



Zoya Shchupak is a Managing Partner of Innovobot Fund I. Ms Shchupak is a seasoned executive with 25 years' experience in the financial services industry. Zoya has served as a strategy and M&A consultant at Sagard Holdings, CFO and Head of Corporate Development at Fairstone Financial (formerly CitiFinancial Canada) and held senior positions at Desjardins Venture Capital, CIBC World Markets and Scotia Capital Markets.

Ms. Shchupak earned a graduate diploma in public accountancy and an MBA from McGill University and holds the CA/CPA designation. Zoya has held positions on several boards, both corporate and non-profit and is currently a board and audit committee member of mdf commerce inc. (TSX:MDF).

# SPEAKER BIOGRAPHIES

## **Dr. Luis Seco, Ph.D.**

*President and CEO*  
Sigma Analysis & Management



Luis Seco is a co-founder and the President and CEO of Sigma Analysis & Management. He started his career in financial risk management in 1996, while a Professor at the University of Toronto, creating the RiskLab, a research center that serviced the financial sector in Toronto in the area of risk management. Sigma started in 1999 as a spin-off of research activity at the RiskLab. He is currently the Director of the Mathematical Finance Program at the University of Toronto.

Prof. Seco holds a Ph.D. from Princeton University, and he was the Bateman Instructor at the California Institute of Technology. He has authored numerous papers in financial risk management, investments and market models, has won a number of research awards and is an active participant in professional organizations, including CAASA and PRMIA.

## **Mark Stacey, MBA, CFA**

*Senior Vice-President, Co-CIO AGFiQ Quantitative Investing, Head of Portfolio Management*  
AGF Investments Inc.



Mark Stacey is Senior Vice-President and Co-CIO AGFiQ Quantitative Investing, Head of Portfolio Management at AGF Investments Inc. (AGF). Mark leads the firm's investment management functions for AGF's quantitative investment platform, AGFiQ. AGFiQ's team approach is grounded in the belief that investment outcomes can be improved by assessing and targeting the factors that drive market returns. In addition, Mark is a member of the Office of the CIO – a leadership structure within AGF's Investment Management Team that encourages and further embeds collaboration and active accountability across the team and broader organization. He began his career with AGF as part of the Highstreet Investment Management\* team and has been in the industry since 2002 applying quantitative and qualitative management techniques to the portfolio management process. He previously served as a Portfolio Manager with a major life insurance company. He earned an MBA from the Richard Ivey School of Business, an MIR from the University of Toronto and is a CFA® charterholder.

\*Highstreet Asset Management Inc. is a wholly-owned subsidiary of AGF Investments Inc.



# SPEAKER BIOGRAPHIES

## **Karl Théard**

*Investment Manager, Venture Capital*  
Desjardins Capital



Karl Théard has been working in the banking sector since 2008 and as Investment Manager with Desjardins Capital he helps high-tech businesses achieve their growth goals and works to develop financing structures tailored to their needs. He loves supporting entrepreneurs who are in the start-up stage and full of ambition and he admires their ability to persevere without being frightened off by the obstacles in their path, their ability to adapt to new situations, and how they wear multiple hats to ensure the long-term viability of their business.

Prior to joining Desjardins, he was a senior manager at the Business Development Bank of Canada (BDC), where he worked with large companies in a multitude of sectors, eventually specializing in technology. Over the years he has supported the growth of numerous companies by developing financing solutions and helping them streamline operations.

Karl has a bachelor's degree in business administration from HEC Montréal.

## **Sebastian Zhou**

*Investment Team*  
Alpha Square Group



Founded in 2015, Alpha Square Group (ASG) is a pioneer Asian-background Single Family Office based in NYC.

As a multi-asset class investment firm, we have well divided our allocation across private and public markets. On the private side, we primarily invest in growth to late-stage technology companies under enterprise software and Fintech sectors. Our goal as a strategic investor is to leverage our global network and provide value-add to brilliant entrepreneurs who have international expansion potential.

So far, we have allocated into 30+ portfolios on private side. Selected recent investments include Figure, AvidxChange, Peerstreet, SoFi, Oscar Health, Netskope, Cloudwise, Symbiont, and ezCater etc.

Sebastian Zhou joined Alpha Square as technology growth investor since 2017. Prior to joining ASG, he worked at Guotai Asset Management, a \$324 billion asset manager, focusing on capital allocation of various asset classes across US and Asia. Earlier still, Sebastian worked at Search Fund Accelerator – most advanced accelerator in the search fund world, helping to make acquisitions on recurring-revenue business and operations.

Sebastian holds a B.S. in Management, concentrations in Finance and Information Systems from Boston College.

# 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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# NOTES

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## NOTES

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