Virtual CAASA Digital Assets Global Exchange 2021

Presented by: the Canadian Association of Alternative Strategies & Assets

CAASA
CANADIAN ASSOCIATION OF
ALTERNATIVE STRATEGIES & ASSETS

Tuesday, September 14th & Wednesday, September 15th
Plus Additional Meeting Day: Thursday, September 16th

Program sponsor:

Fidelity® INVESTMENTS

FIDELITY CLEARING CANADA®

DEFINING THE CURVE AND GETTING UP TO SPEED - QUICKLY

Digital assets have been around in various forms for decades, but it’s really in the last 5-10 years (or perhaps the last 2-3 years) that they have come to the fore in terms of means to organize data as well as act as wealth storage vehicles. All cryptocurrencies are digital assets and sit on a blockchain, but not all blockchain nor digital asset products are crytpocurrenies and it’s this and other foundational knowledge that is covered in our Day One sessions. These workshops are designed to cover the major aspects of digital asset knowledge that will surely be used over the following day of meetings, panels, and keynotes. All content is subject to Chatham House Rule.

THANK YOU TO OUR SPONSORS

3iQ Digital Asset Management

Fidelity INVESTMENTS®
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CIBC MELLON

KPMG

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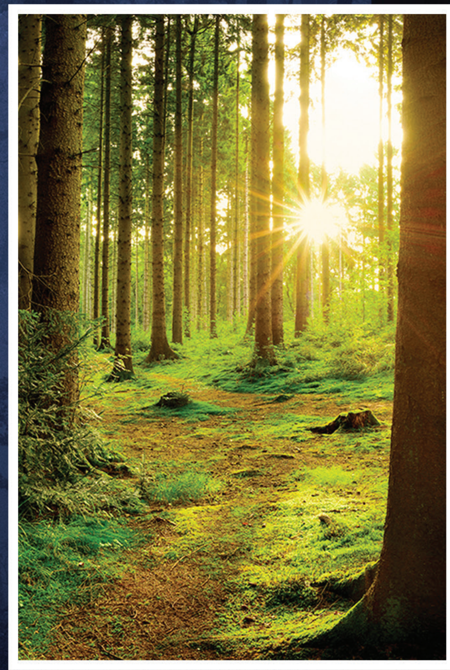
KPMG Cryptoasset Practice

At KPMG, we're committed to supporting our clients in unlocking new opportunities through adopting cryptoassets and blockchain technology. Our breadth of services span the spectrum of considerations for both institutional investors and financial services firms.

- Deep Experience: National Cryptoasset Practice spans Advisory, Audit and Tax service lines and connects to a global network of over 120+ partners and professionals across 30 countries
- Comprehensive Offering: End-to-end services cover strategy through to implementation, including educational workshops, vendor assessments, attestations and financial audits
- Thought Leadership: Unique, data-driven insights provide comprehensive coverage of the cryptoasset industry, delivered through podcasts, research reports, webinars and newsletters

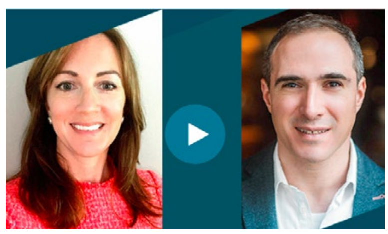
Contact us: blockchain@kpmg.ca



KPMG

Leading Operational Transformation in a Changing Investment and Digital Landscape

For more, listen to the BNY Mellon Perspectives Podcast:



https://www.bnymellon.com/us/en/insights/perspectives/digital-assets-and-the-future-of-banking.html

CIBC MELLON

ABOUT CAASA

INCLUSIVE, ACTIVE, AND PAN-ALTERNATIVE

The Canadian Association of Alternative Strategies & Assets (CAASA) was created in response to industry requests for a national group to represent the Canadian alternative investment participants, including investors, asset managers, and service providers. CAASA is inclusive in that it welcomes participation from all companies active in the space as well as select individuals (those with investors) who might want to participate in committees and working groups - or simply attend member events - without their employer being a member of the association. CAASA is very active in both committees & groups and events: 45+ events, including this conference, have occurred or are planned in 2019. Pan-alternative, for CAASA, encompasses all alternative strategies and assets including: hedge funds / alternative trading strategies, private and public real estate (funds and direct), private lending, private equity, development & project finance, digital assets / crypto-assets, weather derivatives & cat bonds, and all aspects of diligence, trading, structuring, dealing, and monitoring alternatives in a stand-alone portfolio and as part of a larger investment strategy.

MEMBER BENEFITS

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

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

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

Founders receive exposure via our member directory, participating in our various Founders' Pitch Competitions, speaking on panels, taking part in podcasts, and being involved in a very active network.

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.

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, September 13th 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 43, 20-minute meetings over the 4 days): each morning and afternoon on September 14th and 15th and all day (8am - 6pm EDT) on September 16th. Over the years we received feedback that these are possibly the best part of our conferences as it gives folks an opportunity to connect away from the scheduled panels and meal times and really drill down into their respective interests. The software automatically suggests times that are mutually convenient for both parties.

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

All meetings will be scheduled via our conference app and web portal. Meetings must be completed by noon on Monday, September 13th 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 those offered on Day 2. **Titles/topics of each session will be published on our conference app and web portal, also where attendees will register for their desired sessions. This must be completed by noon on Monday, September 13th to ensure entry into the virtual room.**

SUMMIT POLICIES

PRIVACY & SECURITY

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 anything 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.

TUESDAY, SEPTEMBER 14TH

8:00 AM	*Tête-à-tête meetings (5 x 20-minute 1:1 meetings)*
9:40 AM	***CAASA's Virtual Platform Introduction*** **Paul Koonar,** CAASA *A great refresher for those who have come to one of our conferences and an excellent introduction to our easy to use (according to reviews that we've heard!) online viewing, messaging, and meeting platform. We recommend that everyone see this as we will not be able to field one-on-one questions very easily on the day.*
10:00 AM	***Fundamentals & History*** **Arthur Salzer,** Northland Wealth Management **Kerem Kolcuoglu,** Penrose Partners *What is Bitcoin/cryptocurrency/cryptoassets? Even the question get complicated! This session will explain the history and underpinnings of blockchain and distributed ledger tech over the next few years. A must-watch panel for managers and investors alike!*
11:00 AM	***Origin of the Species: Bitcoin (and Ethereum)*** **Fred Pye,** 3iQ Digital Asset Management **Jason Zaluski,** Hut 8 Mining *For most, their introduction to crypto (and even blockchain) is typically Bitcoin and some speaking on it have some pretty biased and sometimes elementary notions of why people should invest in it (e.g., it's going up). This talk will introduce the impetus for Bitcoin (aka BTC) and its expected use case going forward. It will also speak on Ethereum (aka Ether aka gas aka ETH) and its similarities and differences to BTC in such areas as scarcity, creation (PoW vs PoS…soon), and its actual use (hint: it's not a currency).*
12:00 PM	***Payment/Transaction Integration: Stablecoins & CBDCs*** **Kerem Kolcuoglu,** Penrose Partners **Mitchell Nicholson,** KPMG *Some see stablecoins and Central Bank Digital Currencies (CBDCs) as threats to other cryptoassets like BTC and ETH while others see them as a logical on-ramp to put all transactions on blockchains at some point. This discussion explains the traditional payments process, how blockchain technology can be used in these instances, what stablecoins & CBDCs are, and how all of this fits into the larger picture of blockchain integration.*
1:00 PM	***Trading, Execution, & Custody*** **Ronald C. Landry,** CIBC Mellon **Sarah Morton,** Meetami **Benjamin R. Arnold,** Meraki Global Advisors *Continuing in the subject of transactions, this session will tackle the subject of trading, execution, and custody of both traditional securities/financial instruments as well as cryptoassets and how these old and new assets can co-exist on wealth management and investment management platforms.*

TUESDAY, SEPTEMBER 14TH

2:00 PM	***Privacy, Compliance, Cyber-crimes/theft, & Insurance*** **Jerome Dwight,** Brane Capital **Kerem Kolcuoglu,** Penrose Partners *Once everything is ‘on chain’, investors and users of cryptoassets have some basic Maslow’s Hierarchy needs to be fulfilled: that of safety of their assets and information, as well as ensuring that each transaction is performed in accordance with regulatory requirements and industry norms. This chat will focus on these most basic needs as a way to round out the larger adoption conversation.*
3:00 PM	***Alt Coins & Everything Else*** **Keith Black,** CAIA Association **Austin Hubbell,** Consilium Crypto *There is more to cryptoassets than BTC and ETH and this session will discuss how other coins, tokens, and blockchain applications are used, how they are created, and where this large area of investment and innovation is evolving to provide unique use cases and benefits to the industry at large.*
4:00 PM	*Tête-à-tête meetings (6 x 20-minute 1:1 meetings)*
6:00 PM	*End of Training Day*

WEDNESDAY, SEPTEMBER 15TH

8:00 AM	*Tête-à-tête meetings (6 x 20-minute 1:1 meetings)*
9:50 AM	***NowTalk 1: HBS on Crypto: Look-back and look-forward*** **Randolph B. Cohen,** Harvard Business School **James Burron,** CAASA *This NowTalk features Dr. Randy Cohen, noted speaker on many subjects and senior lecturer at Harvard Business School. In this session, Dr. Cohen will reflect on the many papers he has read and talks he has given on crypto-currency/assets and provide contemporaneous context for today's valuation justification as well as thoughts as to where these new assets are headed.*
10:30 AM	***Discussion 1: Crypto Access via Funds*** **Keith Black,** CAIA Association **Fred Pye,** 3iQ Digital Asset Management **Steve Hawkins,** Horizons ETFs **Paul Cappelli,** Galaxy Digital Asset Management **Seth Ginns,** CoinFund Management LLC *Getting access to cryptoassets is not as straightforward as some might like, so this group of panelists devised a better mousetrap and created mutual funds, ETFs, and private or exchange-listed closed-end funds to allow investors in Canada and around the world to gain exposure to this asset class in a regulated, more traditional manner. This allows one to invest registered (e.g., RRSP, TFSA) and other monies into these new and increasingly popular investments.*
11:30 AM	*Break*
11:45 PM	***Fireside Chat: What's Next in Cryptossets*** **Steve Kurz,** Galaxy Digital Asset Management **Arthur Salzer,** Northland Wealth Management *Galaxy Digital is one of the early adaptors to the opportunity of cryptoassets such as Bitcoin, and Ethereum and other alt-coins. The creation of funds to invest in these new assets via funds is a great start and now the promise of DeFi (Decentralized Finance) as well as its potential pitfalls give a growing number of opportunities and challenges to those active in the space. This fireside is your chance to hear from a leader in the space, Steve Kurz with Galaxy Digital Asset Management, who is joined by another booster of the asset class, Arthur Salzer at Northland Wealth Management, and get to know this dynamic asset class and the spots of advantage for investors and operators looking for the next big thing.*
12:45 PM	*Break*
1:00 PM	***NowTalk 2: Canada and Crypto*** **Kunal Bhasin,** KPMG **James Burron,** CAASA *Determining the appetite for cryptoassets by both investors and financial services participants is an important part of knowing (i) the size/breadth/depth of the industry, (ii) what these groups are doing presently, and (iii) where they see themselves in terms of adoption in the next while. Join us for this NowTalk that reviews our nationwide survey results as well as commentary as to where the industry is likely headed.*

WEDNESDAY, SEPTEMBER 15TH

1:30 PM	***Discussion 2: Direct Crypto Access*** **Benjamin R. Arnold,** Meraki Global Advisors **Hashim Mitha,** MeetAmi **Giles Anderson,** Fidelity Clearing Canada **Kerem Kolcuoglu,** Penrose Partners *Some believe "not your keys, not your coins"; others would like to get cryptoassets on their brokerage statements; whatever the motivation, choosing to get direct access/possession of these instruments can seem daunting to the uninitiated. This panel is specifically designed to get the audience up to speed on the process of trading, execution, and custody (as well as pricing) cryptoassets via exchanges and other mediums. Even if you're not going to get this technical, it's a super way to understand the plumbing behind the scenes!*
2:15 PM	*Break*
2:30 PM	***Educational Roundtables*** **Fidelity Clearing Canada,** Institutional investor perspectives on digital assets **CIBC Mellon,** Operating a Digital Asset Fund **3iQ Digital Asset Management,** Bitcoin Exposure Through Exchange Traded Investments **KPMG,** Institutional Adoption of Cryptoassets in Canada **Brane Capital,** Who's Keeping Your Crypto Safe? - Risks and opportunities in crypto custody *These sessions are aimed at providing all event attendees with the ability to join in genuine knowledge exchange and discussion in a small group and informal setting.* *Choose up to 3 x 20-minute round table discussions*
3:30 PM	*Break*
4:00 PM	*Tête-à-tête meetings (6 x 20-minute 1:1 meetings)*
6:00 PM	***Crypto Cocktails*** **Mackenzie Putici,** *New World Wine Tours* *Join our in-house Mixologist on Day 2 as he leads a hands-on exploration of curated "crypto" cocktails from the comfort of your home. Registration includes all the goods needed to make three cocktails from home with shipping included.* ***Please register via the event page to get the mixes and recipes!***
8:00 PM	*End of Day 2*

THURSDAY, SEPTEMBER 16th - A DAY OF TÊTE-À-TÊTES

8:00 AM	*Tête-à-tête meetings (30 x 20-minute 1:1 meetings)*
6:00 PM	*End of Day 3 - Thank you!*

CRYPTO COCKTAILS

A CAASA TRADITION - BRINGING PEOPLE TOGETHER

As we have with all of our virtual conferences, we offer a bit of a social/libations aspect as well as the typical high-content panels, firesides, NowTalks, Table Talks, and 1:1 meetings. This time we take our cue from the subject at hand and feature three cocktails inspired by cryptoassets.

THE ETHEREUM

2 oz Vodka
0.75 Lemon Juice
0.5 oz Chambord
0.5 oz Cointreau
0.25 oz Creme de Violette

BITCOIN MULE

1.5 oz Vodka
0.25 oz Cointreau
0.5 oz Carrot-Orange Juice
4oz Ginger Beer
Garnish: Dehydrated Orange

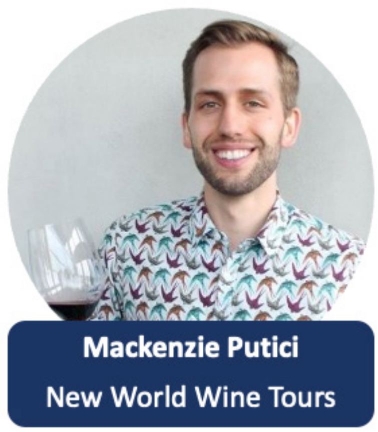
HAIR OF THE DOGE

1.5oz Vodka
0.5oz Doge Caesar Mix (Valentina's, Worcester, Smoke Bitters)
4oz Clamato
Rimmer: Tajin

Sponsored by:

BRANE

PRESENTED BY OUR MIXOLOGIST: MACKENZIE PUTICI



Throughout COVID, we have been offering these social sessions, both as stand-alone webinars and integrated into our conference programming. Mackenzie has hosted various wine tastings, a tequila mixology course (CAASA de Mayo - part of our Family Office Summit), and now our crypto-themed drinks.

Join us from 6pm - 8pm on Wednesday, September 15th for this special session. You can bring your own ingredients (a lengthy list, though!) or register for the mix and alcohol (where allowable by law) via the event site. We will ensure you get what you need in the gift box offered to each conference delegate.

REGISTER EARLY TO ENSURE YOU GET YOUR GIFT BOX!

TABLE TALKS - SEPTEMBER 15TH

Fidelity INVESTMENTS
FIDELITY CLEARING CANADA

CIBC MELLON

3iQ Digital Asset Management

BRANE

FIRESIDE PAIRING

ARTHUR SALZER

Arthur C. Salzer, is the Founder & CEO of Northland Wealth Management one Canada's first multi-family offices.

Arthur was farm raised in Southern Ontario before obtaining his Economics Degree from McMaster University at the age of 20. Arthur is a current member of the Think Growth Campaign Committee for the Canadian Chamber of Commerce tax review. In addition, Arthur is an active member of the Family Firm Institute (FFI) and the Family Enterprise Xchange (FEX). For the past three years Arthur has been a judge for the prestigious Family Enterprise of the Year Award (FEYA). Since 2016, Arthur has been known for his unique insights into alternative investing and family offices in his Column – Curve Appeal which appears in each edition of The Financial Post Magazine.

Arthur is frequently interviewed by leading media sources such as Bloomberg, Reuters, NBC, Financial Post, Globe & Mail, Washington Times, Wealth Professional Magazine, CTV and CBC for market analysis and commentary and is a frequent speaker at leading family office and investment conferences across North America.

Wealth Professional Magazine has featured Arthur as the Top Ranked Advisor in Canada along with twice being recognized in its Hot List as one of the Canada's leading wealth management executives. Arthur has been awarded Portfolio Manager of the Year, Multi-Service Advisor of the Year and is a two-time winner of Advisor of the Year – Alternative Investments. Under Arthur's leadership, Northland Wealth has been recognized 3X as the Best Multi-Family Office in Canada at the Family Wealth Report Awards, and as the Best Multi-Family Office <$2B at the 2017 Private Asset Manager Awards and the Best Multi-Family Office < $2.5B at the 2019 Family Wealth Report Awards for North America.

A graduate of McMaster University (B.A. Econ.), he also holds the designations of Certified Investment Manager and Chartered Financial Analyst.

FIRESIDE PAIRING

STEVE KURZ

Steve Kurz is Partner and Head of Asset Management at Galaxy Digital. A member of Galaxy's founding team, he launched and oversees its industry-leading asset management business. Before joining the firm, he was a Co-Founder of Outer Realm VR, an enterprise focused immersive software company. Previously, he was a Principal and Head of Business Development at River Birch Capital, where he was responsible for raising over $1 billion in assets. Prior to that, he was a Vice President at Fortress Investment Group. He started his career in the Fixed Income Division of Lehman Brothers. He holds a B.A. in Economics from Cornell University.

He also serves as a Term Member of the Council on Foreign Relations.

OUR DATAROOM

ALL THE DATA REQUIRED TO MEET YOUR (INVESTMENT) MATCH

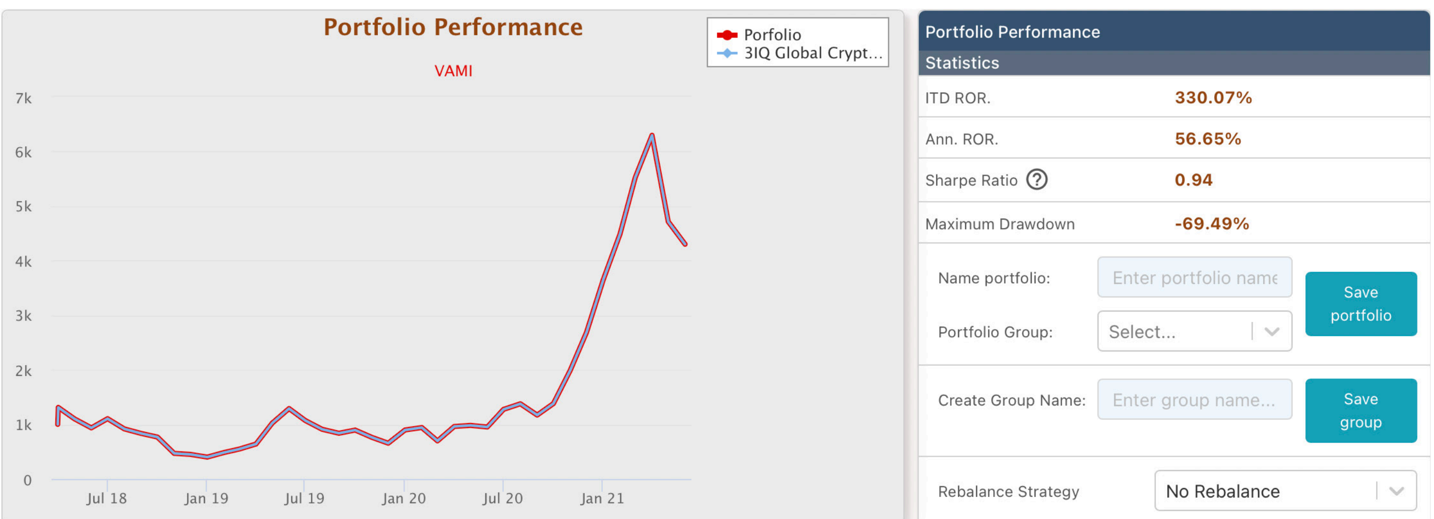
At the suggestion of one of our single family office members, we partnered with **SigmaSandbox** to create a dataroom to provide a more robust experience for managers and investors by getting performance and other information into the hands of prospective investors. We believe this free offering, exclusive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



CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

3IQ Global Cryptoasset Fund A

Contact Information

3iQ Corp.

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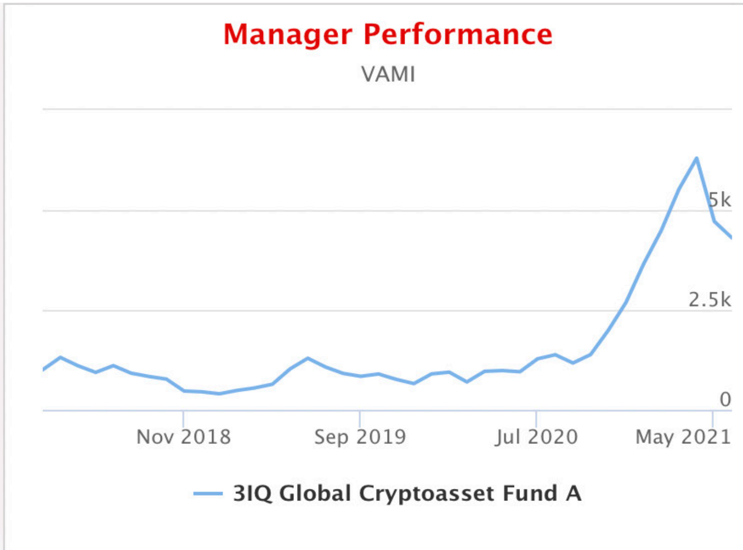
1 (514) 775-0010

Fund Details

The 3iQ Global Cryptoasset Fund ("GCF") is established as a mutual fund trust and its investment objectives are to provide investors with exposure to a portfolio of three leading cryptoassets, namely, bitcoin, ether and litecoin, with an opportunity for long term capital appreciation. Rebalancing of the Fund and the historical composite returns are subject to quarterly and "trigger" rebalancing. The triggers are defined in the offering memorandum, with upper limits set at 75% for bitcoin, 50% for ether, 50% for litecoin.

Statistics & Ratios Summary	Fund	Benchmark
Ann. RoR	56.65 %	N/A
Sharpe Ratio (0%) ?	0.94	N/A
Volatility ?	80.00 %	N/A
Average Monthly Return	6.26 %	N/A
Highest Monthly Return	60.00 %	N/A
Lowest Monthly Return	-39.00 %	N/A
Maximum Drawdown	-69.49 %	N/A
% Positive Months	53.85 %	N/A
% Negative Months	46.15 %	N/A
Average Monthly Gain	24.29 %	N/A
Average Monthly Loss	-14.77 %	N/A



About the manager:

3iQ Corp. ("3iQ") is Canada's leading digital asset fund manager. The company manages The Bitcoin Fund (TSX:QBTC.U), The Ether Fund (QETH.U), and the 3iQ Global Cryptoasset Fund. 3iQ was the first Canadian investment fund manager to agree to terms and conditions with the Canadian securities regulatory authorities which

Monthly Performance

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	YTD Benchmark
2021	36.00%	23.00%	23.00%	14.00%	-25.13%	-8.76%	N/A	N/A	N/A	N/A	N/A	N/A	**60.23%**	0.00%
2020	37.00%	5.00%	-26.00%	38.00%	2.00%	-3.00%	34.00%	8.00%	-15.00%	18.00%	44.00%	35.00%	**310.13%**	0.00%
2019	-11.00%	21.00%	13.00%	17.00%	60.00%	26.00%	-17.00%	-15.00%	-8.00%	7.00%	-15.00'	-14.00%	**45.72%**	0.00%
2018	N/A	N/A	N/A	31.00%	-16.00%	-15.00%	18.00%	-17.00%	-9.00%	-8.00%	-39.00%	-4.00%	**-55.09%**	0.00%

HIGHLIGHTED MEMBERSHIP CATEGORIES

GLOBAL PARTNERS

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.

NAPIER PARK
GLOBAL CAPITAL

As a Global Partner, **Napier Park Global Capital**, is featured prominently at three of our signature conferences in 2021.

As is our tradition, we treat all members equally for our speaking opportunities (191 in 2019 and 470 in 2020) and Global Partners are afforded the same propensity to speak on and moderate panels and participate in podcasts.

Any CAASA member this is interested in becoming a Global Partner should contact the CAASA office. More information can also be found in our ***Planning 2022*** document.

(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.

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

Giles Anderson
Director, Sales and Relationship Management
Fidelity Clearing Canada

Joining FCC in 2018, Giles brings more than 20 years of experience in financial technology and operations across both the buy and sell sides of the industry. He began his career in the retail operations of a major Canadian bank-owned firm which provided him with a deep level of understanding of FCC's clients' needs and how best to service them. Prior to joining FCC, Giles was based in Toronto, London, and New York working for some of the industry's most respected technology providers in sales leadership roles. He has a proven track record working with both small and large clients to deliver enterprise projects which enable clients to focus on their core differentiators and enjoy reduced risks and costs. He successfully completed the Canadian Securities Course and the Conduct and Practices Handbook courses with the Canadian Securities Institute.

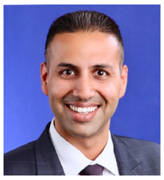
Benjamin R. Arnold
Founder & Chief Executive Officer
Meraki Global Advisors

As the Founder & CEO of Meraki Global Advisors, Benjamin Arnold is responsible for running all facets of the business. The concept of Meraki Global Advisors was a direct result of Ben's rebellious determination to deliver conflict-free outsourced trading services to asset managers with an overriding objective of excellence.

Mr. Arnold has over 15 years of experience in the hedge fund and financial services industry spanning across the globe. Previously, he spent three years at Fillmore Advisors (acquired by INTL FCStone) where he was instrumental in growing the outsourced trading desk. Prior to his move back to the United States, Ben was an Executive Director on the Equity and Equity Derivatives Sales-Trading desk at Goldman Sachs in Hong Kong and Mumbai, India. Before joining Goldman Sachs, Ben was a Vice-President on the Equity and Equity Derivatives Sales-Trading desk at BNP Paribas in Mumbai.

Ben began his career as a hedge fund trader with roles at Intrepid Capital Management and Asian Century Quest Capital in New York. He graduated from American University's Kogod School of Business with a Bachelor of Science Degree in Finance.

SPEAKER BIOGRAPHIES



Kunal Bhasin
Senior Manager
KPMG

Kunal is a Senior Manager with KPMG's Risk Consulting practice with a focus on governance, risk and compliance for emerging technologies, specifically Blockchain, Distributed Ledger Technology (DLT) and Artificial Intelligence (AI). Kunal possesses over 8 years of experience in the IT and business process, risk and control based services to clients in Financial Services (FS), Asset Management, Power & Utilities, Mining & Metals, Telecom, and Software Provider industries. He has led various IT risk and maturity assessments, SOX-404 audits, internal audits, third-party attestations and emerging technology design reviews, including blockchain and DLT. Kunal has also been actively engaged in conversations regarding the technology and functional risks in cryptoasset space and the regulatory framework in Canada to enable innovation by adequate management of these risks in crypto exchanges, brokerages, and custody providers. He has also supported these clients to establish, test and monitor the internal controls to safeguard entities' and consumer's assets. He is currently a member of the Standards Council of Canada committee for blockchain and distributed ledger standards (ISO/TC – 307).

Kunal continues to educate himself with the tools and skillsets required to enable secure adoption of blockchain and crypto. He is a Certified Bitcoin Professional (CBP), a Certified Cryptocurrency Investigator (CCI), an active member of the ISACA community and is proficient with CryptoCurrency Security Standard (CCSS), COSO, COBIT and ITIL standards.

Keith Black
Managing Director & Content Strategy
CAIA Association

Keith Black has over thirty years of financial market experience, serving approximately half of that time as an academic and half as a trader and consultant to institutional investors. He currently serves as Managing Director of Content Strategy for the CAIA Association. During his most recent role at Ennis Knupp + Associates, Keith advised foundations, endowments and pension funds on their asset allocation and manager selection strategies in hedge funds, commodities, and managed futures. Prior experience includes commodities derivatives trading, stock options research and CBOE floor trading, and building quantitative stock selection models for mutual funds and hedge funds. Dr. Black previously served as an assistant professor and senior lecturer at the Illinois Institute of Technology.

He contributes regularly to The CFA Digest, and has published in The Journal of Wealth Management, The Journal of Trading, The Journal of Investing, and The Journal of Alternatives Investments, among others. He is the author of the book "Managing a Hedge Fund," as well as co-author of the second, third, and fourth editions of the CAIA Level I and Level II curriculum. Dr. Black was named to the Institutional Investor magazine's list of "Rising Stars of Hedge Funds" in 2010.

Dr. Black earned a BA from Whittier College, an MBA from Carnegie Mellon University, and a PhD from the Illinois Institute of Technology. He has earned the Chartered Financial Analyst (CFA) designation and was a member of the inaugural class of both CAIA and FDP members.

SPEAKER BIOGRAPHIES

James Burron, CAIA
President & Co-founder
CAASA

James co-founded CAASA in response to industry support for a Canadian alternatives association to bring Canada to the world and the world to Canada. 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. CAASA currently has about 275 corporate members with 100+ events per year. 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.

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).

Jerome Dwight
President
Brane Capital

Jerome is a former Chief Executive Officer of Bank of New York Mellon Canada, part of the world's largest custodian, and former Global Market Head for Royal Bank of Canada's International Wealth Management, Corporate, and Institutional businesses, where he oversaw RBC's rapid global expansion across Europe, Latin America, and the Caribbean.

During the 2008-2009 global financial crisis, Jerome was part of an industry task force enlisted by the Government of Canada to develop financial services sector reforms. As an industry advisor to then-Minister of Finance Jim Flaherty, he co-led a Canadian delegation to Wall Street and worked with banking leaders and regulators on preventative measures to stabilize and instil public confidence in the Canadian financial sector. Throughout the crisis, Jerome also advised Canadian federal and provincial governments on public-private partnerships, economic stimulus, mortgage markets, and securitizations. He led the restructuring of the $32-billion asset-backed commercial paper class of securities, the largest of its kind in Canada, and played key roles in overseeing over $50 billion in public-private partnership stimulus funds, the $2-billion GM Canada bailout restructuring, and the $12-billion automotive sector stimulus program.

An experienced executive and entrepreneur, Jerome has a record of selecting high-potential markets, starting and acquiring businesses, and driving companies to sector leadership. He has completed strategic investments and exit transactions with global institutions including Barclays Bank, HSBC, RBC, CIBC, Quebecor, Sun Media, the Allegis Group, IBM, and Cox Enterprises. Jerome serves as special advisor Framework Venture Partners, one of Canada's leading fintech venture investors and has also advised the Portland Private Equity Fund and the Michael Lee-Chin family office.

Jerome received an MBA from York University's Schulich School of Business and holds Chartered Financial Analyst (CFA) and Chartered Public Accountant (CA-CPA) designations. In 2020, he was recognized by the Canadian Lenders Association as one of the top 25 Lending Executives in Canada. Mr. Dwight also received the Award of Distinction conferred by the Institute of Chartered Accountants (Canada) and is a recipient of Canada's Top 40 under 40.

SPEAKER BIOGRAPHIES

Seth Ginns
Head of Liquid Investments
CoinFund Managment LLC

Seth is Head of Liquid Investments, Managing Partner, and a key member of the Venture Investment Committee. He has twenty years of Wall Street experience, and has been deeply involved in the crypto community since his angel investment in Coinbase in 2012. He is also an angel in Chainalysis, participated in the Ethereum ICO in 2014, and loves traveling globally to developer events as a way to keep a finger on the pulse of the market. His angel portfolio also includes Instacart and DoorDash, and many earlier stage, high growth startups.

Prior to CoinFund, Seth invested in public growth equities over 18 years at Jennison Associates. He holds a BA in Mathematics and South Asia Studies from the University of Pennsylvania, where he is an Overseer at the School of Nursing and Co-Chair of the Innovation Committee, and serves on the International Advisory Board of the Center for the Advanced Study of India at the School of Arts and Sciences.

Steve Hawkins
President & CEO
Horizons ETFs

Steve Hawkins is the President and Chief Executive Officer of Horizons ETFs (a member of the Mirae Asset Global Investments Group), where he is responsible for the day-to-day business and affairs of the firm. With more than 30 years of experience in the investment industry, Mr. Hawkins has been with Horizons ETFs for more than 13 years including as its CIO, prior to becoming CEO in 2015. Mr. Hawkins is partly responsible for the proliferation of ETFs in Canada, bringing many first-of-their-kind ETFs to market. He spearheaded the launch of the first family of actively managed ETFs in Canada, the world's first marijuana ETF and more recently, the world's first psychedelics ETF. As an innovative ETF and capital markets thought leader, he is frequently quoted in the news media, appears regularly on business television and is a globally sought-after speaker for his expertise on his three favourite topics: ETFs, derivatives and cannabis. He was recognized as CEO of the Year at the 2018 Wealth Professional Awards and is the past Chair of the Canadian ETF Association.

Mr. Hawkins studied mathematics and philosophy at the University of Toronto and holds a Derivative Market Specialist (DMS) designation.

SPEAKER BIOGRAPHIES

Austin Hubbell
Chief Executive Officer and Co-Founder
Consilium Crypto

Austin is the CEO and co-founder of Consilium Crypto, a big data company developing institutional grade investment analytics and liquidity access tools for the digital asset markets, helping funds find alpha and place large orders efficiently in times of thin liquidity. With a background in software development and machine learning, Austin brings a skillset balanced between technology and business. He previously worked with a distributed team based in L.A./San Francisco to build predictive models for crime hotspotting in major US cities, before shifting to the world of Finance to build machine learning trading systems for currency markets.

Kerem Kolcuoglu
Managing Partner
Penrose Partners

Kerem is an MBA and the Managing Partner of Penrose Partners, a blockchain-focused consulting firm advising startups, enterprises, governments and investors on navigating the blockchain and digital assets space.

Kerem is an advisor to the Canadian Technology Accelerators and to the Premier's Office of FinTech for the Bermuda Government. He is also a Founding Board Member of the Bermuda Innovation & Technology Association (BITA) and a Founding Partner of the i3 Innovation Incubator in Bermuda.

Previously at PricewaterhouseCoopers and at MLG Blockchain, he has consulted multinational enterprises, governments and educational institutions on understanding and adopting blockchain technology. Bridging his experience in multiple industries, he has foreseen change and advised clients on navigating digital transformation in an age of disruption.

Ronald C. Landry
Head of Product and Canadian ETF Services
CIBC Mellon

Ronald C. Landry is responsible for new product and service strategy and development for CIBC Mellon. He drives the product lifecycle and steers the overall direction of product development, including integrating capabilities from our global enterprise and tailored solutions for the Canadian market. Ron also oversees CIBC Mellon's exchange-traded fund (ETF) servicing business, and has led the company's drive to effectively grow and service the Canadian ETF segment.

Ron has more than 25 years of experience in financial services. Prior to joining CIBC Mellon, Ron was President of Felcom Data Services, a recordkeeping and fund administration business acquired by CIBC Mellon in 2009. Ron also held progressively senior roles in fund accounting, corporate finance and regulatory compliance at Altamira Investment Services.

Ron is a CPA, CGA, and holds an MBA from Laurentian University. He is a highly active participant in the Canadian fund services industry, including serving on the Investment Funds Institute of Canada's accounting advisory working group, acting as chair and vice-chair of the Canadian ETF Association (CETFA)'s tax and operations committee, respectively and serving on CETFA's policy, marketing & PR and tax committees. Ron also participates on the Canadian Association of Alternative Strategies & Assets' Compliance & Operations Group and the Alternative Investment Management Association's Alternative Credit Council.

Hashim Mitha
Chief Executive Officer and Co-Founder
Meetami

Hashim is the Chief Executive Officer and Co-Founder of MeetAmi ("MeetAmi") Innovations Inc., a Vancouver-based Fintech company that has built AmiPRO™, the first Digital Asset investing platform in Canada. AmiPRO takes wealth management firms from learning to liquidity with the software tools for trade execution and account management, an ecosystem of vendors, and learning to navigate the world of Digital Assets. The soon to launch Digital Asset Shelf™, a curated listing of Digital Asset and tokenized investment opportunities can be accessed through the AmiPRO platform. MeetAmi empowers advisors to confidently invest in Digital Assets while navigating the Digital Asset world.

Hashim is a bold visionary who is leading the expert team at MeetAmi to launch the first-ever Digital Asset investing platform in Canada, for wealth management advisors and firms. His authentic, strong leadership enables him to build a culture within organizations that lays a foundation for success. With AmiPRO, he is creating a platform of education, portfolio design tools, trade execution, and a reporting and compliance workflow engine that empowers advisors to invest in Digital Assets while meeting the regulatory requirements for proficiency, disclosure, suitability, and risk.

Throughout his career, Hashim has always had a passion for driving the adoption of new technologies and building effective teams to commercialize innovations. He knows how to restructure organizations for growth opportunities. In 2017 he led the turn-around of a premier Canadian provider of voice, data and media services which received the TSX Venture Top 50 Award as one of the strongest companies on the TSX Venture Exchange. Prior to that, he consolidated corporate learning organizations and created one of the largest education companies in the United Kingdom.

In 2017, Hashim started his journey into the world of Blockchain and Bitcoin learning about Cryptocurrencies, mining operations, liquidity pools, exchanges, custodial providers, investment challenges as well as understanding the regulatory landscape. In 2019, he established MeetAmi with his co-founder, Sarah Morton, to create a technology platform which gives advisors and firms the necessary education and tools to meet their clients' growing demand for Digital Assets.

Hashim's vision for the AmiPRO platform is to enable advisors to transact in Digital Assets on behalf of their clients, with a simple to use interface that provides tools and resources to comfortably navigate the world of Digital Assets. Investor demographics are changing and AmiPRO is poised to help firms meet the changing needs and interests of their clients. The AmiPRO interface, combined with how content is provided, will set new standards in Fintech and Regtech and helps to de-risk the process for investing in Digital Assets.

He holds a Bachelor of Applied Sciences in Mechanical Engineering from the University of British Columbia.

SPEAKER BIOGRAPHIES

Sarah Morton
Chief Strategy Officer and Co-Founder
Meetami

Sarah is the Chief Strategy Officer and Co-Founder of MeetAmi ("MeetAmi") Innovations Inc, a Vancouver-based Fintech company that has built AmiPRO™, the first Digital Asset investing platform in Canada. AmiPRO takes wealth management firms from learning to liquidity with the software tools for trade execution and account management, an ecosystem of vendors, and learning to navigate the world of Digital Assets. The soon to launch Digital Asset Shelf™, a curated listing of Digital Asset and tokenized investment opportunities can be accessed through the AmiPRO platform. MeetAmi empowers advisors to confidently invest in Digital Assets while navigating the Digital Asset world.

Sarah provides strategic leadership and vision to MeetAmi's team, guiding them to the next level of growth as they take the lead in creating the only Digital Asset investing platform in Canada that will eventually be used worldwide. Sarah is driving the strategy of a bold vision, the first of it's kind while integrating learning, consulting, product and vendor selection into a compliance and workflow engine to meet Canada's regulatory requirements.

Sarah is a serial entrepreneur, starting six companies, serving on several boards and acting as an advisor for over eight organizations during the past 19 years. She started her first company in 2005, seeing the opportunity for companies to essentially "rent" their IT computer needs rather than spend large amounts of capital to run their own. This concept eventually became known as Cloud Computing and today is ubiquitous.

Prior to MeetAmi, Sarah was the Chief Strategy Officer for PowerBD Solutions, a Vancouver-based private company, supplying green, renewable power to next generation compute intensive technologies such as blockchain, crypto mining, AI, VR/AR and rendering.

Sarah is a mentor and constant inspiration to many. Her ability to think generationally and keep her cool meeting challenging deadlines keeps MeetAmi's team focused and confidently driving forward.

Sarah is continuing to oversee the launch of the AmiPRO Digital Asset investing platform during the COVID-19 pandemic. It's an ambitious project in which she is thriving, having worked with her co-founder to build a stellar team with the capabilities, experience and ambition to execute on this vision.

Mitchell Nicholson
Senior Consultant
KPMG

Mitchell is a Senior Consultant in KPMG's Technology Risk Consulting practice, working primarily on its cryptoasset and enterprise blockchain initiatives. At KMPG, Mitchell helps lead educational workshops, vendor assessments of cryptoasset service providers, and its cryptoasset marketing strategies. Prior to joining the firm, Mitchell worked for 2.5 years as an Economist at the Bank of Canada. During this period, he conducted research on traditional payment methods, including cash and credit cards, as well as frontier technologies, like Bitcoin, stablecoins and central bank digital currency. In his personal time, Mitchell researches and invests actively in the cryptoasset space. He has published original research with Deribit Insights and given a podcast with On the Brink.

SPEAKER BIOGRAPHIES

Jason Zaluski
Head of Technology
Hut 8 Mining

Jason is an experienced technologist and strategist. He joins Hut 8 after building his own consulting company specializing in the operation of cryptocurrency mining facilities as well as providing blockchain infrastructure services. Jason has worked closely with numerous leading hardware providers, as well as preeminent organizations, analysts, and investors in the space. Prior to starting his own company, Jason was a founding member of a blockchain startup in Toronto, leading the initial product management, as well as the crypto mining community.

Jason has a Bachelor in Computer Information Systems from Mount Royal University (Calgary, AB) and an MBA from Saint Mary's University (Halifax, NS).

NOTES

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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A number of CAASA members in each category prefer to be non-public and are not recorded in this document.

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