CAASA
CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

CAASA Annual Review 2021

How it started:
(EOY 2018 membership)

How it's going:
(EOY 2021 membership)

CAASA MEMBER ADVISORY PANEL

DIVERSE LEADERSHIP FOR A DIVERSE INDUSTRY

James Burron, CAIA
Co-Founder & Partner
CAASA

Jason Chertin
Partner
McMillan LLP

Caroline Chow
Co-Founder & Partner
CAASA

Brian D'Costa
Founding Partner
Algonquin Capital

Michael Schnitman
SVP, Head of Alternative Investments
Mackenzie Investments

Athas Kouvaras
Client Relationship & Development Manager
Richter Family Office Inc.

Kimberly Poster
Chief Legal Counsel & SVP
AUM Law

Wilson Tow
Managing Partner
Altrust Solutions

Jessica Clark Barrow
Executive Vice President
Waratah Capital Advisors

Dean Shepard
Chief Executive, Managing Partner
Picton Mahoney Asset Management

MESSAGE FROM CAASA

Caroline Chow
Co-Founder & Partner

James Burron
Co-Founder & Partner

Paul Koonar
Partner

MILESTONES REACHED, MORE ENVISIONED

In the 2019 version of this publication we dared to dream of 300 members by the end of 2020 and although we didn't make it by the end of that year, membership sat at 333 at the end of 2021 - marking 70% growth over the preceding 2 years, aka the time of COVID. Of this, 23% are non-Canadian (no Canada operations or personnel) and about 8% are foreign-nexus (non-Canada-based, but with 1-2 employees/salespeople in country). We continue to live up to our motto of "Bringing Canada to the world and the world to Canada" and love to see that many are so interested in our little association which is, ironically, the largest alternatives association in the country. Our new goal is 500 members.

Keeping up the pace in connecting Canada's alts industry and the world's we entered into a partnership with the **Managed Funds Association**, aptly named the MFA Partnership Program, which includes many U.S.-based regional associations: **Connecticut Hedge Fund Association, New York Alternatives Roundtable, Palm Beach Hedge Fund Association, Texas Alterative Investment Association, Southeastern Alternative Funds Association, MidSouth Alternative Investment Association** and **CalALTs** (that last one we've worked with a few times and been impressed with its events!). We also produced events with **ColCapital** (Colombia's leading private/alternative investments association) and connected with many others across Canada and around the globe - and always happy to chat with our peers to exchange information and produce high-quality events.

Continuing to support the industry, we introduced a number of initiatives in 2021: our **Canadian CryptoFund Update** (cousin of our **Canadian Liquid Alts update** and available on our *Publications* page); the **CAASA CE Centre**, where advisors can gain continuing education credits from more than 60 rich-content courses without charge; and **The KYP Nexus** where asset managers can disseminate significant changes to their funds (as required by law starting January 1, 2022) to any advisor and dealer in Canada without charge.

You'll read about these topics and more on the following pages. We love to recount our year in these Annual Review pages and it makes for thanking our participating members as well as being fertile ground for planning the coming year. 2018's was 40 pages, 2019's was 60, 80 in 2020 and this year reduced our font size to allow us to have 100 pages vs 110+. It's been a great year!

As always, if members or others have ideas for our programming, format, initiatives, or other areas of activity we are only a (Zoom) call or email away!

Your CAASA Team

ABOUT CAASA

INCLUSIVE, ACTIVE, AND PAN-ALTERNATIVE

The Canadian Association of Alternative Strategies & Assets (CAASA) was created in response to industry requests for a national group to represent the Canadian alternative investment participants, including investors, asset managers, and service providers. CAASA is inclusive in that it welcomes participation from all companies active in the space as well as select individuals (those with investors) who might want to participate in committees and working groups - or simply attend member events - without their employer being a member of the association. CAASA is very active in both committees & groups and events: 33 events in 2018 and at least 50 planned in 2019 (15 in the first 2 months alone). Pan-alternative, for CAASA, encompasses all alternative strategies and assets including: hedge funds / alternative trading strategies, private and public real estate (funds and direct), private lending, private equity, development & project finance, digital assets / cryptoassets, weather derivatives & cat bonds, and all aspects of diligence, trading, structuring, dealing, and monitoring alternatives in a stand-alone portfolio and as part of a larger investment strategy.

MEMBER BENEFITS

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

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

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

Founders participate in our Founders' Pitch Competitions as well as other initiatives created to propel their fledgeling businesses forward.

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.

WHY JOIN?

As mentioned, we have attracted 330+ members over the last 4 years or so and the reasons are plentiful and varied. Whether an investor, manager, or service provider, some seek a group of like-minded individuals in the alts space to connect with on an on-going and (semi-)structured basis; others have a more commercial interest in that they are intent upon being aware of the newest trends in the industry and (providing they have one) presenting their knowledge to an audience of peers; and others have made their mark (or are on their way to doing so) and really just want to give back to a group of people that has done a great deal for them.

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

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

2021 EVENTS,

PUBLICATIONS

&

MILESTONES

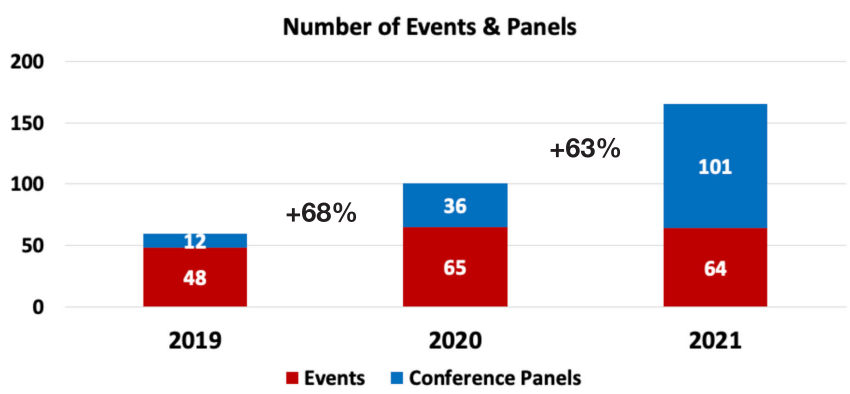
Thank you to our many speakers, presenters, and those who added their themes and topics, panel and non-industry speaker ideas, and other invaluable input! Thanks also, of course, to our growing audience and your interest in the topics.

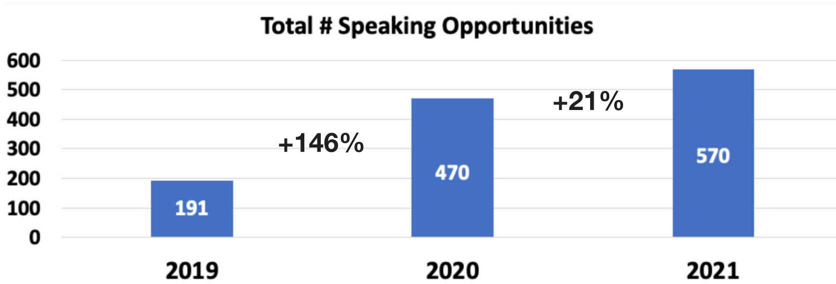
EVENTS IN REVIEW

2021 EVENT STATISTICS

We organized **64 webinars in 2021 plus 101 panels during our 6 conferences 11 podcasts** across a broad range of topics, formats, and audience profiles.

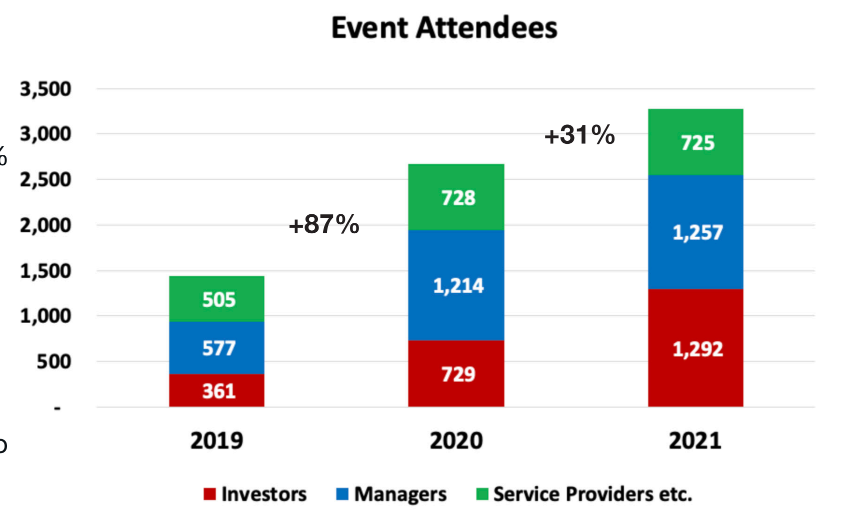
New in 2021, we produced 61 courses on our CAASA CE Centre and plan to at least double that number in 2022.





Of our **570 speaking opportunities** over the year, we had very broad participation from all types of members in every asset class, strategy, and topic imaginable: hedge, real estate, ILS, private lending, venture capital, private equity, infrastructure, ESG, China, Colombia, crypto, starting a fund, selling into various jurisdictions...everything! Surely an opportunity for each member to shine!

Event attendees continued to climb as our conferences were popular (and more plentiful than in 2020 - we organized 6 in 2021 vs. 4 the year before. Attendee breakdown overall was about 40% investors, 40% managers, and 20% service providers etc. with some events (such as our CAASA Annual Conference and a few others) being very investor-heavy, while others (e.g., those tailored to the manager community and covering areas such as compliance) had more managers in the crowd.



We noticed that webinars might have been sparse on attendees sometimes, but those who were there were the perfect target market and we offer the bulk of our programming on demand via our website and have seen come events with replay numbers being multiples that of their live audience. (Of course there is also distribution via the **CAASA CE Centre** to further boost viewership.)

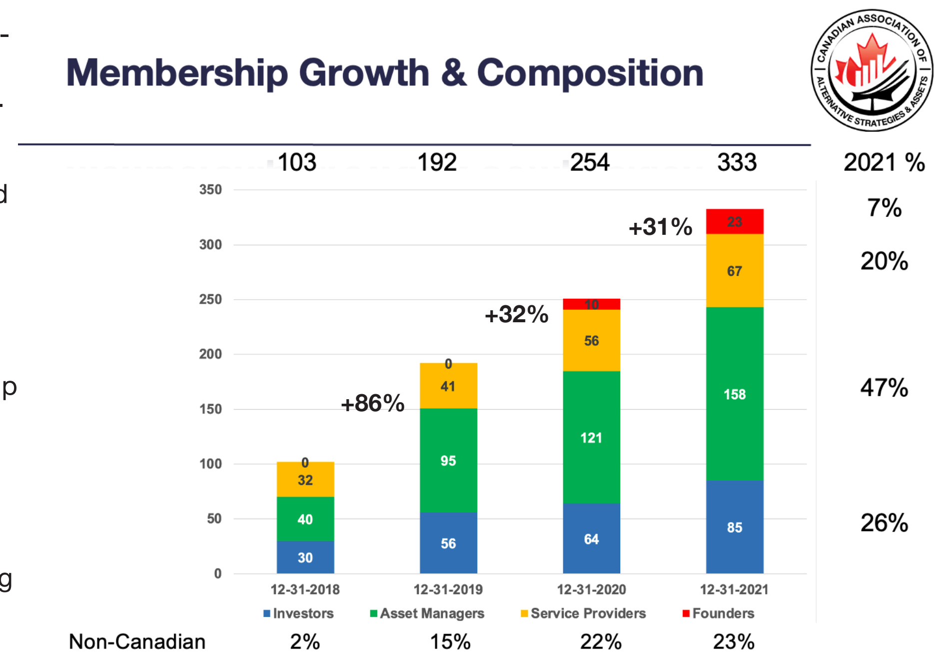
We were pleasantly surprised over COVID of the number of viewers for the events as well as their shelf-life. In-person events have the downsides of venue booking/rent as well as some food & bev but have the mingle and live component, while webinars have a huge reach (we have 7,400 on our mailing list from around the world - 25% of whom are investors), ease of coordination as travel is not required, and (except where they are Chatham House Rule) the content is available anytime thereafter for those who might have an interest.

Don't get us wrong, we love in-person, but we certainly didn't stop or slow event production just because getting together physically was not an option - we will hold live events again soon - but we do not discount the benefits of webinars for bringing Canada to the world and the world to Canada!

MEMBERSHIP STATS & FINANCIALS

ONWARD AND UPWARD!

We had another year of 30%+ growth in membership (same as in 2020), notwithstanding the effects of COVID. Early movers into producing webinars and online conferences vs. waiting out the pandemic, we attracted a slightly disproportionate number of foreign members who, in their words, saw us as their window on Canada (since they were barred from flying here to host events of their own. We are humbled by their confidence in us and worked very hard to ensure that their trust was not misplaced.



As usual, our proportion of Investors and Managers kept an even keel at ~25% and ~47%, respectively and our newer category Founders grew from 4% to 7%, and the Service Provider category dipped by about that difference. From the start we said that we would provide programming and initiatives in keeping with membership so one can expect a similar slate to the previous year in 2022 with a bit more for our Founder members.

We have not tabulated specific statistics on the strategies and assets side (working on that) but suffice it to say that we hit all the major notes over 2021 in terms of activities - albeit with a growing focus on digital assets and venture capital (and their confluence) as we have see a growing number of our members in those areas of endeavour.

FISCAL RESPONSIBILITY

For those interested in our financial well-being, overall revenues have increased each year, even over the last two, with membership dues making a larger part of overall inflow due to the lack of in-person conferences. Membership dues have increased by 50%+ over 2020 and 2021 and we expect the same in 2022.

With regard to our event P&L, the bottom line (in dollar terms) continue to be positive (or 'in surplus' as we say in non-profit-land) and, as one might imagine, the top-line and expenses are both lower with virtual events than in-person - simply because of the food & bev spend plus that of travel for speakers. At the end of the day, we'd rather be in person but have found the virtual world to be rather liberating: we can source speakers and audience members from across the globe, automatically record the sessions for later replay, and have no risk in terms of venue rental and other costs that accrue from in-person events.

One thing that we do for our conferences that sets us apart is continuing to send our gift boxes to attendees. These contain the printed program, our various papers (we have five in active distribution now), and various CAASA and sponsor swag. We love to keep this link to a more normal conference experience and believe that it leads more who register for them to actually logon and be an active participant on our online meeting platform.

Travel and food & entertainment costs have been near non-existent and while we are excited to ramp that up once we can travel and meet in person, we are happy to bank the savings for the time being - and put them toward more member services and programs.

YOUR SOURCE

INDUSTRY MONTHLY REPORTS

We began collecting data on the liquid alts market as soon as the new rules were promulgated on January 3, 2021 and added two versions of our **Canadian Liquid Alts Update** to our site soon thereafter. One version, for CAASA members only, has a complete listing of all funds and managers as well as their individual fund AUM, fees, CIFSC classification, and liquidity terms. The public version has an abridged level of detail.

When the cryptocurrency fund industry started to really pick up steam (read: having more than one or two participants and with greater than $1 billion in AUM), we added our **Canadian CryptoFund Update** which details all issuers' funds, AUM, and the like.

As a service to investors and advisors, we also list the ticker symbol/FundServ codes of our members companies' offerings and their sales contacts.

Where resources allow and demand is present, we will continue to add unique value-added resources for both members and the industry at large. Any member that might have an idea for us to follow up on is welcome to let us know!

CAASA CE CENTRE - COURSES ON ALL THINGS ALTERNATIVE

We believe in making alternatives as accessible as possible and developed our CE Centre with that in mind! Launched in early 2021, we partnered with **Learnedly** to create a platform for IIROC Investment Advisors (and many others, as described below) to gain unbiased knowledge across all alternative strategies and asset classes.

Of course, true to our mantra of access, registration on and use of this platform by advisors is 100% free and without any additional charge, ever.

To date, we have released more than 60 courses including sessions from our *Wealth Managers' Forum* and *Digital Assets Global Exchange* and (soon) discussions from our *Private Equity & Venture Capital Assembly.* We also transferred many of our webinars (all of them to be added by end of January 2022) on topics such as: India, China, Colombia, growth stocks, alt-alts, real estate, private lending & mortgage funds, quant investing, the effects of COVID on certain markets, KYP & compliance, cryptoassets/currencies, ESG, the metaverse, inflation, foreign exchange, and more!

As alluded to, we have CE credits on offer: initially from the **Financial Planning Institute** and the **Mutual Fund Dealers Association**. We are adding eligibility for both **CFA** and **CPA** members and given that our courses are content-rich, provide real insights vs. marketing pitches, and the skill-testing questions are written by an experienced individual in that field we believe our courses are appropriate for these and other designations in the financial and investment field.

If any users have suggestions or comments we are very open to feedback and want this to be the preeminent source for all things/courses alternative!

PARTNERSHIPS

A PLETHORA OF PARTNERSHIPS

Since we began, we have been working with similarly-minded organizations to produce some truly awesome content (or so we have been told). Our first formal partnership was with the **CAIA Association** and then with its sister organization, the **Financial Data Professional (FDP) Institute**. As a result, we have access to their staff for speaking engagements (and vice versa), we cross-promote various events, and our members receive a 10% discount off the CAIA and FDP designations and a USD 200 discount on the CAIA Fundamentals course.

In 2021 we formally partnered with the **Managed Funds Association (MFA)** as part of their MFA Partnership Program. This allows our staff access to their and other partners' events, special rates for our members to attend, and cross-exposure opportunities (where we promote each others' events on our websites and newletters. Also in the MFAPP is the: **Connecticut Hedge Fund Association, New York Alternative Roundtable, Palm Beach Hedge Fund Association, Texas Alternative Investment Association, Southeastern Alternative Funds Association, MidSouth Alternative Investment Association** and **CalALTs.** We look forward to working with everyone over the next while!

Over the year, as one can read on the following pages, we organized a number of events in concert with various organizations. Thank you to each of them for working with us and making these a success!

We look forward to more partner events in 2022!

JANUARY - FEBRUARY

CAYMAN ISLANDS GLOBAL CITIZEN PROGRAM - JAN 20

We started off the year with an informative session that was both topical and tropical: that of moving one's to the Cayman Islands! Thank you to our panelists: **Sue Nickason (Dart Family Office), Eric Bush (Cayman Islands Government)**, and **Mike Philbrick (ReSolve Asset Management)** for their perspectives on this potentially life-changing (and lifestyle-changing) opportunity.

UNIVERSITY OF WATERLOO MASTERS OF QUANTITATIVE FINANCE CAREER PANEL - JANUARY 21

We continued the year with one of our many (5-10 per year) career panels, this one with the Masters of Quantitative Finance program at the University of Waterloo. Thank you very much to our speakers: **Neil Simons (Picton Mahoney Asset Management), Lei Wan (AGF Investments), Roland Austrup (WaveFront Global Asset Management),** and **Anh Le (TMX Group)!**

UNIVERSITY OF CHICAGO CAREER PANEL - JANUARY 27

One can see a pattern here, as we produced another career panel in January (not many mid-terms and finals at this time!). Thank you to the University of Chicago's Financial Mathematics Program for gathering up these aspiring students and to my panel: **Ranjan Bhaduri (Bodhi Research Group), Neil Simons (Picton Mahoney Asset Management), William Heard (Heard Capital)**, and **Wei Xie (OPTrust)**. We love to organize these talks (over the last 10 years) and really appreciate the members who lend their time, stories, and advice to this next generation of leaders in the industry!

CFA SOCIETY NY AOS WEBINAR - FEBRUARY 2

JB had an informative fireside chat with **Robert Goobie (HOOPP)**, as part of the **CFA Society of New York**'s *Asset Owners Series* (with the **CAIA Association**). It was a rare glimpse into the inner-workings the the mid/back-office of a major Canadian pension plan and also an introduction to the **Global Peer Financing Association** (GPFA.org) which was founded by HOOPP, CalPERS, and Ohio PERS.

UNIVERSITY OF OTTAWA, TELFER SCHOOL OF BUSINESS CAREER PANEL - FEBRUARY 2

Thank you to our star-studded panel for this awesome career panel - and to the folks at the Telfer School of Business for helping organize it: **Tom Johnston (iCapital), Philip Smith (Investment Partners Fund), Steven Abrams (BDC Venture Fund),** and **Daniel Conti (HarbourVest Partners)**. Also to the many students who attended and asked some great questions!

WEALTH MANAGERS' FORUM

WEALTH MANAGERS' FORUM - FEBRUARY 9-11 + MEETING DAY ON FEBRUARY 12

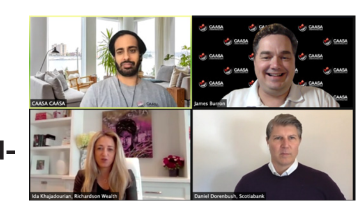
Our inaugural conference specifically for retail Investment Advisors as well as family offices went off without a hitch. With more than 160 attendees about 50% were IAs and family offices, 40% from asset managers, and 10% from service providers.

We had some excellent content, all of which is available on the **CAASA CE Centre** (caasa.learnedly.com) along with other events' videos/courses (60+ in all!). Anyone can register (for free, forever) to view this content and IAs can complete a short quiz to receive continuing education credits (both professional development and compliance ones are on offer). Thank you to **Learnedly** for working with us to produce this compendium of alternatives knowledge.

Thank you to our many sponsors who made this possible! They provided some of the programming also, via the Table Talks scheduled throughout the content days that allowed delegates to discuss selected topics in small groups. As well, our platform facilitated dozens of 1:1 meetings between those looking to connect in a more intimate setting - all interactions on a safe and secure system that made booking these meetings as easy as possible.

AGF
ALGONQUIN CAPITAL
CEOS FAMILY OFFICE
MAXAM CAPITAL MANAGEMENT
CIBC Asset Management
SigmaSandbox Empowering & informing Advisors and Investors
TREZ CAPITAL
KILGOUR WILLIAMS CAPITAL
CENTURION ASSET MANAGEMENT INC
avenueliving asset management
ALIGNVEST STUDENT HOUSING
Invico CAPITAL CORPORATION
DONVILLE KENT asset management inc.
ICM Asset Management
PICTON MAHONEY Asset Management
SLATE Securities
GroupRMC

NOWTALK - ABOUT SHORTING... - FEBRUARY 9



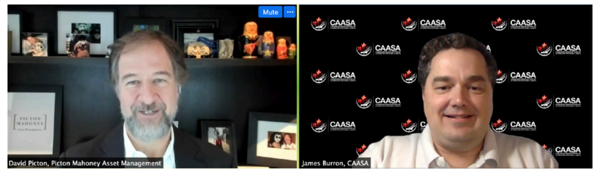
We started off with a talk about shorting: why a portfolio manager might use it, how it works, and the risks that need to be addressed. Thank you to **Ida Khajadourian (Richardson Wealth)** for your insights into this area!

WEALTH MANAGERS' FORUM

EQUITY MARKET NEUTRAL: THE BEST KEPT SECRET OF ALT STRATEGIES - FEB 9

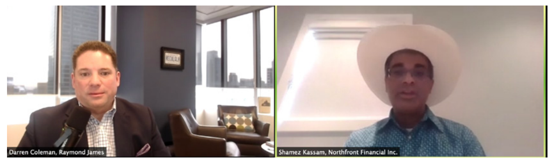
One of the stalwarts of many portfolios, equity market neutral (aka low-net (exposure)) can produce uncorrelated returns for investors - oftentimes just when they need them. **Mark Allen (RBC Dominion Securities)** moderated this panel including **Adam Posman (PCJ Investment Counsel/CC&L Funds), Bill DeRoche (AGF Investments)**, and **Jeff Bradacs (Picton Mahoney Asset Management.**

FIRESIDE CHAT WITH DAVID PICTON - FEB 9



It was great to sit down with **Dave Picton (Picton Mahoney Asset Management)**, whom **JB** met (albeit very briefly) back in 1995 when he was on rookie training with RBC Dominion Securities. This talk covered a great deal of ground, including how quantitative and more fundamental investment techniques can be blended to produce a superior portfolio in many market scenarios.

NOWTALK - HOW TO SELL DIGITALLY - FEB 9



Darren Coleman (Raymond James) and **Shamez Kassem (Northfront Financial)** shared war-stories and advice when it comes to presenting one's credentials, services, and dedication to client needs in this new digital landscape - little did we know that it would extend for at least another year or so!

ALT ALTS: THE NEW FRONTIER - FEB 9

Robert Anton (Next Edge Capital) lead this panel that delved into alt-alts investments such as cryptoassets with **Fred Pye (3iQ Asset Management)**, farmland with **Anthony Faiella (AGinvest Farmland Properties Canada)**, and timber with **David Jarvis (Corton Capital)**.

PRIVATE LENDING: LEADING THE WAY IN THE 2020S

Private lending has grown substantially in just the last 2 years or so, with some asset management shops more than doubling AUM and weathering some fairly significant storms and headwinds as they ply their trade. Thank you to **Francis Sabourin (Richardson Wealth), Vikram Rajagopalan (Trez Capital), Daryl Boyce (Centurion Financial Trust),** and **Allison Taylor (Invico Capital)** for your insights!

NOWTALK - DERIVATIVES AND YOUR BOOK - FEBRUARY 10

This briefing focused on how the use of derivatives in alternative strategies, and especially in liquid alts structures that limit cash market exposures, can lead to better risk-adjusted return streams for investors that are less correlated to long-only markets and traditional investments. A great primer for those selling liquid alts. Thank you to **Gleb Sivitsky (Mackenzie Investments)** and **Robert Tasca (TMX Group)** for your time to discuss!

VIRTUAL WEALTH MANAGERS' FORUM 2022

Tuesday, February 15 - Friday, February 18

Attendees from across Canada, tête-à-tête sessions for all

Table Talks for niche topics - PM Panels - CE Credits

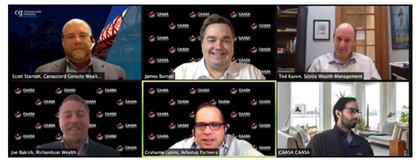
Digital Delivery - *Special 'Lead-up' Keynote Webinars*

WEALTH MANAGERS' FORUM

A WIDE VARIETY OF TABLE TALKS!

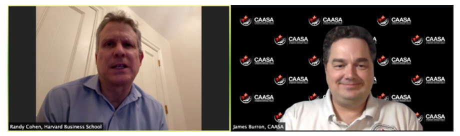
As delegates to our conferences would know, we not only have hand-picked speakers (without thought to sponsorship dollars and the like) - we also provide a plethora of Table Talks on a wide-ranging list of assets, strategies, and topics. These are all opt-in, small group discussions lead by our supporting members of the particular conference and have been a boon for all involved!

POSITIONING ALTS: COMMUNICATING WITH CLIENTS - FEB 10



Making a portfolio change is no simple task and typically encompasses a 'project plan' where an IA and their team make supertanker-like shift in messaging and allocations – and adding an allocation to alternatives is no different. Everyone needs to be on the same page and clients require specific and tailored reasons as to the move. Luckily, the data is on alts' side as returns are not necessarily sacrificed for risk reduction and the correlation benefits are simply not found among long-only, public-market investments. Great chat with **Scott Starratt (Canaccord Genuity Wealth Management), Joseph Bakish (Richardson Wealth), Ted Karon (Scotia Wealth),** and **Grahame Lyons (Arbutus Partners).**

FIRESIDE CHAT WITH RANDY COHEN OF HBS/MIT - FEB 10

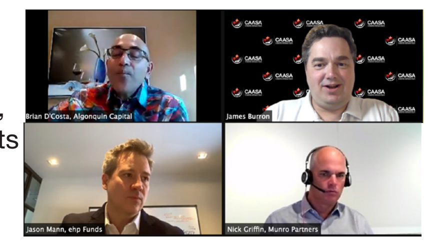


We were thrilled to include **Harvard Business School** Senior Lecturer and **MIT** Assistant Professor **Randolph Cohen** in this year's star-studded line-up of speakers. Randy spoke to his latest research and findings as well as outline a recently-announced investment vehicle that is a culmination of more than a decade's analysis and testing.

QUANT INVESTING: HOW IT CHANGED THE WORLD - FEB 10

Big data, alt data, algos, robo…the list of ways that using quantitative methods has affected asset management and wealth management over the last 2-20-50 years has been immense. Simpler uses like filtering thousands of stocks a minute to trading thousands of times a second to more foundational ones like the very data one uses to perform analysis and how 'advisors' interact with clients has rocked the money management world and will continue to advance the proliferation and use of digital means – but to what end? Thank you to our participants: **Jay Barrett (SmartBe Wealth), Tim Pickering (Auspice Capital Advisors), Roland Austrup (WaveFront Global Asset Management),** and **Ronnie Shah (FORT LP).**

LIQUID ALTERNATIVES: BY THE NUMBERS - FEBRUARY 10



This panel, including **Brian D'Costa (Algonquin Capital), Jason Mann (ehp Funds)**, and **Nick Griffin (Munro Partners)** brought together a strong team of industry experts to sift through the performance of liquid alts funds vs the markets they invest in as well as the OM-exemption funds they may have been borne from (and compete with for the Accredited Investor segment of the population).

NOWTALK – KYP: GET TO KNOW YOUR ALTERNATIVES - FEBRUARY 11

Thank you to **Jason Streicher (AUM Law)** for this briefing designed to get IAs and compliance personnel up the curve on what is expected of them at the end of 2021 when the Client Focused Reform rules are implemented by the regulators. Practical advice on how these new rules will affect your business as well as how to comply with them easily will be discussed. This course is offered on the **CAASA CE Centre** as a compliance credit (!).

CREDIT, WHAT CREDIT? - FEBRUARY 11

We have been in a bull market for bonds for the last 40 years but the ballooning of sovereign debt, massive holdings of bonds on government balance sheets, >$18 trillion of negative-rate bonds globally, incredible use of synthetics and derivatives in all areas of the market, and use of rates hedges by pension plans as part of their asset-liability management overlays and risk parity portfolios creates tensions that can affect investor portfolios down the line. This panel of seasoned traders will look into these potential crises-creators and advise how to use fixed-income to investors' benefit. Great job by **Matthew Dennis (Cidel), Matt Shandro (Fulcra Asset Management), Geoff Castle (PenderFund Capital Management), Daniel Child (YTM Capital Asset Management),** and **Andrew Torres (Lawrence Park Asset Management).**

WEALTH MANAGERS' FORUM

FIRESIDE CHAT – DR. KEITH BLACK & CRAIG MACHEL ON THE LANDSCAPE OF ALTERNATIVES - FEB 11

With decades of diverse experience in all areas of asset management, portfolio construction, trading, client advising, and delivering alternative investment education, the **CAIA Association's Dr. Keith Black's** no-nonsense approach to explaining the world of alts is a boon to any listener. Guiding this conversation was **Criag Machel (Richardson Wealth)** whose 20 years as an advisor has focused on first learning as much as possible about alternatives and then disseminating this knowledge via conversations with investors as well as advisors, and through many media appearances such as episodes of 'Alternative Investments' – a past series on BNN and via other television and print media.

NOWTALK – THE COVID-19 TAX & ESTATE UPDATE - FEB 11

A real treat – **Tim Cestnick (Our Family Office)** spoke to his years in the industry and how he has created marketing and planning campaigns for clients' tax and wealth management needs. Anticipating preferences and producing information on regulatory and tax requirements as well as plans to create value for investors is a must-have in this world of integrated planning and advice.

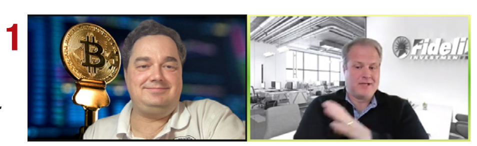
BECOMING AN MFO: THE NEXT STEP? - FEBRUARY 11

What a great session with **Eric Lapointe (CEOS Family Office), Dr. Keith Black (CAIA Association), Neil Nisker (Our Family Office),** and **Matthew Langsford (Richardson Wealth)**. Client attraction & retention is getting more complicated with competitors' moves into more of a wealth management / multi-family office paradigm vs just asset management (much like stock-jockeys were replaced by managed fund advisory practices starting in the 1990s). This group of veterans spoke to their strategy to be proactive in one's suite of offerings and services and come out ahead of the pack.

THE NEW ETFs - FEBRUARY 11

Asset management has created many innovations over the years but perhaps the most long-standing (and Made in Canada!) and widespread is Exchange Traded Funds and their brethren. Starting as TIPs (Toronto Index Participation receipts) on the TSX35 and then HIPs based on the TSX100, these have evolved to a state, now, where there are more ETFs than listed equities. Adding to this, the new liquid alts rules allow leverage, shorting, and extensive derivatives use (it actually encourages the third one) and asset managers were quick to add to their quivers. Kudos to our panel: **Richard Laterman (ReSolve Asset Management), Robert Duncan (Forstrong Global Asset Management), David Stephenson (CIBC Asset Management)** and **Jaime Purvis, (Horizon ETFs).**

KEYNOTE & WINE TASTING: 3RD ANNUAL LIQUIDITY EVENT - FEB 11



Paul Stapleton (Fidelity Clearing Canada) lead a great discussion entitled *Dear Prudence: Bitcoin in corporate treasuries* between our resident sommelier **Mackenzie Putici**'s **(New World Wine Tours)** tastings: *Sizing up Napa: Two alternative grapes*.

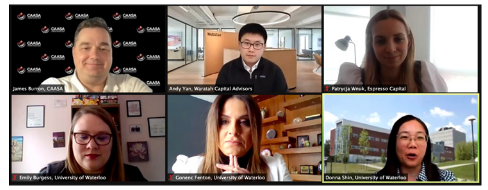
Once again, we hand-delivered wines to folks within our delivery area (and some elsewhere, via agents, making this another of our popular drinks sessions - just because we're in lock-down doesn't mean we cannot have fun!

FEBRUARY - MARCH

DR. FISMAN COVID-19 UPDATE SERIES – S2E1 - FEBRUARY 18

We were happy to bring back a no-nonsense crowd-pleaser: **Dr. David Fisman**, a Professor of Epidemiology at the **University of Toronto** who has spoken to members throughout the pandemic. In this iteration, he will present timely updates on COVID-19 and its spread and provide us with his views on Ontario's plans to send kids back to school and what we should expect with majority of the country entering stage 3.

ACCESSING THE uWATERLOO TALENT POOL: AN OVERVIEW OF THE LARGEST CO-OP PROGRAM IN CANADA - FEB 24



The CAASA team has sourced quality co-op students from the University of Waterloo for 10 years and loved the results! Thank you to our panel: **Donna Shin, Emily Burgess,** and **Gonenc Fenton (University of Waterloo), Patrycja Wnuk (Espresso Capital),** and **Andy Yan (Waratah Capital Advisors).**

INVESTOR VIEWS OF PUBLIC MARKETS & ESG IN CHINA - MARCH 3

Thank you to our panel for this in-depth talk on investing in China from a variety of backgrounds. Focusing on public markets with an ESG facet, this panel will look at how investors can trade in Chinese equities and choose investments that are in line with their foundational ESG/SRI goals. Super job by **Jason Campbell (Eckler), Darryl Orom (Alberta Teachers' Retirement Fund), Mike Sell (Alquity Investment Management),** and **Eric Wong (TCG Capital, a HK-based SFO)**.

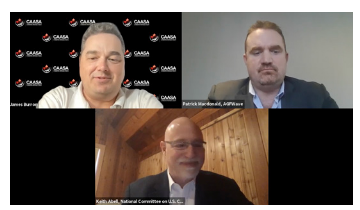
CONCORDIA UNIVERSITY CAREER PANEL - MARCH 9

Another of our crowd-pleasing career panels, this one for the Kenneth Woods Portfolio Management Program students of Concordia university. Thank you to our star-studded panel: **Tim Burgess (WealthAgile), Fred Pye (3iQ Digital Asset Management), Andrea Lavergne (Conner, Clark & Lunn),** and **Bei Huang**.

THE FRANCIS SABOURIN HOUR FT. NEXT EDGE CAPITAL - MARCH 10

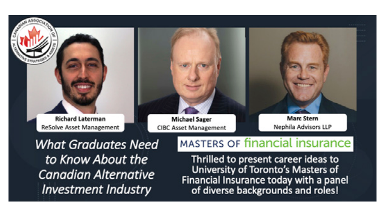
The first episode in this series by award-winning **Francis Sabourin (Richardson Wealth)** featured **Rob Anton (Next Edge Capital)**, as they discussed alternative investing, private lending, and Francis' Diversified Alternative Portfolio.

FIRESIDE CHAT WITH KEITH ABELL – CONNECTING CHINA - MARCH 17



This was an insightful discussion with **Keith Abell (National Committee on U.S. China Relations)**, veteran of the asset management and investment banking industry in China. Keith is a true pioneer in the space having bridged the gap between China and the United States/rest of the world in ground-breaking transactions and joint ventures that brought together seemingly disparate parties to arrive at a common language and goal. Thank you to **Patrick MacDonald (AGFWave)** for your skilled interview!

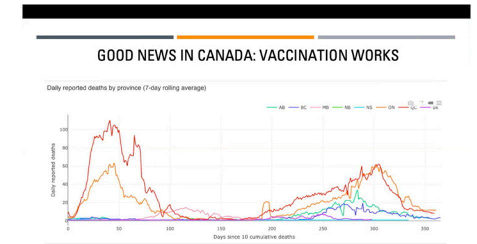
UNIVERSITY OF TORONTO MFI CAREER PANEL - MARCH 23



Thank you to the Masters of Financial Insurance program at the University of Toronto for the invite to organize this career panel featuring veterans such as **Marc Stern (Nephila Advisors), Michael Sager (CIBC Asset Management),** and **Richard Laterman (ReSolve Asset Management)**. The students loved it!

MARCH - APRIL

DR. FISMAN COVID-19 UPDATE SERIES – S2E2 - MARCH 24

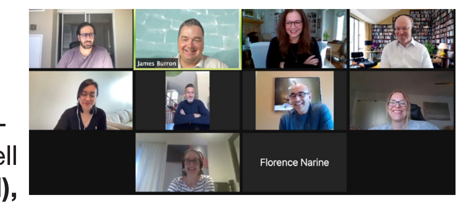


As the world continues to vaccinate more people every day, some might think that COVID-19 is a thing of the past. Find out if this is the case and how it may continue to affect the economic and actual health of many people and nations at our next update with **Dr. Fisman (University of Toronto)**.

DREAM BIG: CAREERS YOU DIDN'T KNOW EXISTED IN FINANCE, PRIVATE EQUITY, & CAPITAL MARKETS - MARCH 31

The **BlackNorth Initiative** and CAASA were proud to present a panel discussion and networking event on the Canadian hedge fund industry and career opportunities therein. This was a content-packed session for those who might look to enter the hedge fund/alternative investment industry either right out of school or down the line. You will learn about what it takes to be a portfolio manager or trader (Finance Students); fund or service provider salesperson (Finance, Marketing students); fund administration, audit or compliance professional (Accounting, Law); and other associated service providers such as prime brokers (Finance, Accounting, Law) and securities lawyers (Law). Thank you to our moderator **Michael Lewis (Thorek/Scott & Partners)** and his panel: **Swanzy Quarshie (Scotiabank)**, and **Kelli Dickerson** and **Sandra Rosier (BentallGreenOak)**.

MATCHING COMMITTEE - CAASA MENTORSHIP PROGRAM



We are super-proud of our mentorship program (now in its third year) and our dedicated member volunteers of our Matching Committee who make it happen, as well as **Ron Cheshire**, who leads it. Thank you to: **Brian D'Costa (Algonquin Capital), Kathleen Biggs (Lawrence Park Asset Management), Stephanie Orloff (Linedata), Florence Nairne (AGF Investments), Jessica Clark Barrow (Waratah Capital Advisors)** and **Daniel Conti (HarbourVest Partners).**

AN INNOVATIVE, GLOBAL LOOK AT ESG - MARCH 31

This panel brings together three ways to look at the E, S, and G of one of the most popular themes in investing today. We have one of the largest catastrophe bond and weather derivatives managers in the world speaking on environmental volatility and how it affects their markets, an impact cum quantitative investor that has a unique view of how companies can be categorized and scored on based on social factors, and a SFO investor that is passionate about Jakarta, Indonesia and how governance from as far back as 400 years ago has led to catastrophic consequences for the city. Thank you to our panel: **Philippe Trahan (Ontario Teachers' Pension Plan), Maria Repin (Nephila Climate), Bonnie Lyn de Bartok (The S-Factor Co.),** and **Kelvin Fu (Gunung Capital, an Indonesian SFO)**.

ACCESSING CHINA – A LOOK THROUGH THE LENSES OF THREE SIGNIFICANT MARKET PARTICIPANTS - APRIL 7

Thank you to our panel including **Jason Chertin (McMillan LLP), Thomas Liu (Actis), Charlie Morris (CMCC Global),** and **Ying Du (Mackenzie Investments)** who joined us for the latest edition of our China Series as we speak to distinct perspectives of what can be a mysterious and daunting country and region. Our speakers represented companies active in the public markets space, telecommunications infrastructure, and blockchain venture investing – a great conversation covering many areas of the country and finance in general.

APRIL & H1 PUBLICATIONS

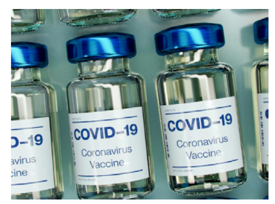
SELLING INTO THE UNITED STATES - APRIL 17

Still the largest market for virtually everything, the United States poses an opportunity for asset managers elsewhere looking to unlock the assets of its investors – but navigating the rules and industry conventions can become a morass without the right perspectives and counsel. This session shows foreign (non-U.S.) managers what is required to enter the market and illustrates somewhat packaged as well as bespoke approaches for getting in front of the right markets. Thank you to our talented panel: **Andre Nance (Stroock & Stroock & Lavan), Joshua Leonardi (TD Securities),** and **Tom Johnston (iCapital Network)**.

INTRODUCTION TO SPACs vs. IPOs- APRIL 21

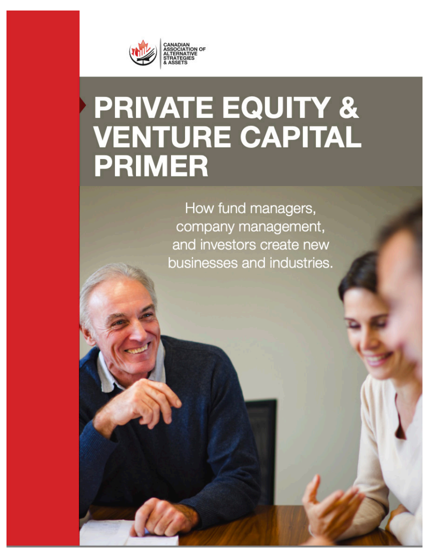
Produced in partnership with the CFA Society of Winnipeg (one of many that we have organized together over the years!), this panel brought together SPAC experts and a noted investor for an informative talk. Thank you to **Andrew Lom (Norton Rose Fulbright US LLP), Brian DeLucia (Arrivato LLC, an SFO), Tom Savage (Picton Mahoney Asset Management),** and **Travis Dowle (Maxam Capital Management)**.

DR. FISMAN COVID-19 UPDATE SERIES – S2E3 - APRIL 21



In this iteration, **Dr. David Fisman (University of Toronto)** presented timely updates on COVID and its spread and provided us with his views on Ontario's plans. Always an interesting chat!

CAASA PUBLICATIONS - TWO FOR H1 2021



We are constantly in search of ways to make alternatives more accessible to investors and our series of papers and primers (found on the *Publications* area of our website) are no exception.

Prior publications include *The Case for Real Estate Investing, Canada's New Liquid Alternatives,* and *Investing in Real Estate and Private Lending*.

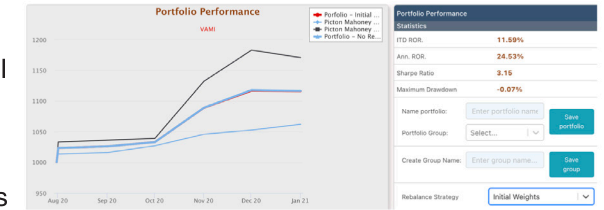
We released our *Private Equity & Venture Capital Primer* in April of 2021 thanks to the contributions of our members: **FirePower Capital, Innovobot, Investcorp, Mackenzie Investments, Raiven Capital,** and **Unigestion**. A truly diverse range of views and companies to highlight many areas of the industry.

In May 2021 we released *The Evolution of Quant* spoke to how that world has adapted to various market and regulatory challenges over the last few years. Thank you to our participating members: **Aspect Capital, Deutsche Börse Group, FORT LP, LFIS, ReSolve Asset Management, SmartBe Wealth,** and **WaveFront Global Asset Management.**

FAMILY OFFICE SUMMIT

FAMILY OFFICE SUMMIT - MAY 4-6 + MEETING DAY ON MAY 7

Now in its third year (second virtual, thanks to COVID), we had great feedback for this exclusive conference. With more than 250 attendees about 36% were investors, 47% from asset managers, and 15% from service providers.



As with many of our conferences, we offer connectivity to **Sigma-Sandbox** which allows investors to peruse (and create some very cool portfolio combinations) CAASA member funds and return streams. We've been told that this allows for a great deal of detailed research before initial contact with the managers by investors - which means a more efficient process for all. Members interested in listing their funds on the platform should contact **Dave Rudd** (his contact information is in the member directory later in this publication).

Thank you to our many sponsors who made this possible! They provided some of the programming also, via the Table Talks scheduled throughout the content days that allowed delegates to discuss selected topics in small groups. As well, our platform facilitated dozens of 1:1 meetings between those looking to connect in a more intimate setting - all interactions on a safe and secure system that made booking these meetings as easy as possible.

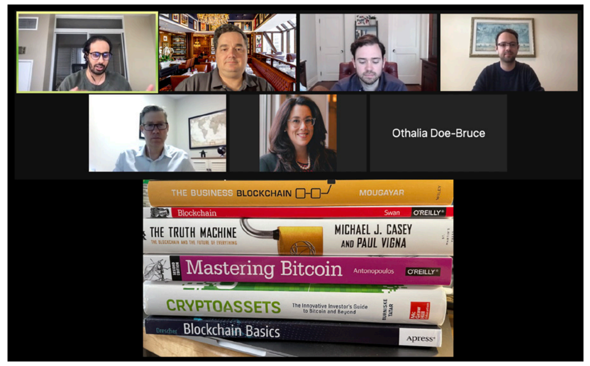
CEOS FAMILY OFFICE
NAPIER PARK GLOBAL CAPITAL
NORTH PEAK CAPITAL
Fidelity INVESTMENTS FIDELITY CLEARING CANADA
avenueliving asset management
DART FAMILY OFFICE
RICHARDSON Wealth
TREZ CAPITAL
BMO Exchange Traded Funds
Invesco
WELLS FARGO
Liquid Avatar TECHNOLOGIES INC.
NEPHILA

NOWTALK – CONTINUITY - MAY 4

This topic was designed with family offices' most pressing, yet easily procrastinated, issue in mind: that of continuity and succession of the family's monetary as well as ethical and giving, working and doing, and living and loving principals as each subsequent generation takes on the mantle of previous ones and makes their own mark. We will discuss how families can use simple techniques to enhance their relationships with money and each other to enable the proliferation of the line as it winds its way though the years. Thank you to **Neil Nisker (Our Family Office)** for presenting!

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

BLOCKCHAIN BRUNCH - MAY 4



Now in its third year, our annual Blockchain Brunch was a meeting of all things blockchain and crypto-currency. This year we took a step back and look at the blockchain and how it can be used for a myriad of tasks (as well as cryptocurrencies, of course) and how one can invest in these emerging technologies that, some say, will become *de rigeur* for any communications and commerce much as the Internet has become over the last 25 years. Thanks to our participating members: **Jason Granger (Fipke Group), Charlie Morris (CMCC Global), Austin Hubbell (Consilium Crypto), Othalia Doe-Bruce (InnovFin Consulting Inc.),** and **Tanya Woods (Hut 8 Mining).**

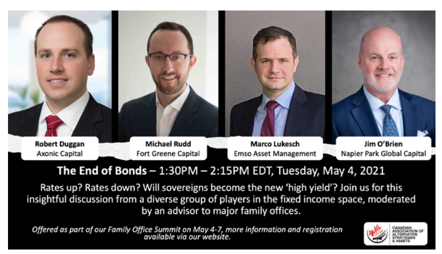
FIRESIDE CHAT – SELLING SNAKE OIL - MAY 4

Mo Lidsky (Prime Quadrant) is a dynamo – an author of many books, his latest is a pleasingly compartmentalized read that delves into a number of shenanigans, chicanery, and outright frauds over the last many years. This talk was illuminating to even the most veteran of investors as his list is possibly the most extensive! 100 copies of his book will be distributed to gift-box recipients for this conference and Mo is donated 100% of the gross proceeds.

NOWTALK – LIFE SETTLEMENTS - MAY 4

Life Settlements are a growing area of slate financing where investors can gain access to this asset classes non-correlated performance stream. The speakers were diverse in many ways and have a great deal of experience in this alt-alt asset and the benefits and constraints it can hold for investors. Super job by our speakers: **John Norman (Spartan Fund Management/Perisen Funds)** and **Oleksandra Polishchuk (Carlisle Management Company S.C.A).**

THE END OF BONDS - MAY 4



Rates up? Rates down? Will sovereigns become the new 'high yield'? This was an insightful discussion from a diverse group of players in the fixed income space, moderated by an advisor to major family offices. Thank you to **Michael Rudd (Fort Greene Capital), Marco Lukesch (Emso Asset Management), Jim O'Brien (Napier Park Global Capital),** and **Robert Duggan (Axonic Capital).**

FAMILY OFFICE ROUNDTABLE (RELATIVES ONLY) - MAY 4

Thank you to our discussion leaders: three family members from different backgrounds and unique situations in the lifecycle of their single family office. They discussed a wide array of topics and insights as well as those of the many family members attending/participating in the dialogue. Those leaders were: **Paul Desmarais III (Sagard Holdings), Evelyne Massa (Group RMC),** and **Daniel Stow (Zen Capital and Mergers)** - thank you!

NOWTALK – ESG AND DUE DILIGENCE - MAY 5

Presented by **Jennie Baek (McMillan LLP)** and **Chris Addy (Castle Hall Diligence)**, these two explained how ESG is becoming an integral part of the investment mandate of many investors and fund managers. This NowTalk brought together two facets that can help determine if a manager or fund is structured to enable and living up to its ESG promises to investors. This briefing on the space gave tips on how to grade your current and prospective ESG-offering managers.

LIQUID ALTS BRUNCH - MAY 5

Our third annual session on the liquid alts market in Canada that our team worked to get to fruition over a six-year period. This panel brought to the discussion veterans of the industry from a number of unique perspectives. If you are in the market for investing in or issuing these fund units,this was a great session (available on the **CAASA CE Centre**).

Big thanks to our participating members: **Mark Tower (Lyxor Asset Management), Travis Dowle (Maxam Capital Management), Michael Sager (CIBC Asset Management), Philip Mesman (Picton Mahoney Asset Management),** and **Omar Shaikh (Echelon Wealth Partners)**.

FOUNDERS' PITCH COMPETITION - MAY 5

Our second annual FPC at the Family Office Summit and our fourth in less than one year. Our judges, well-known in the industry as pioneers with incisive and insightful questions for our founders, put three start-ups through their paces and offer some great advice to them. An excellent opportunity to see how pros look at prospective investments.

Thank you to our judges: **John Ruffolo (Maverix Private Equity), Marcus Daniels (Highline Beta),** and **Laurie Fuller (Raiven Capital)**; and founders **Erik Eklund (Telemetrak), Amy Ding (Requity Homes),** and **David Lucatch (Liquid Avatar Technologies)**.

NOWTALK – MAKING AN IMPACT - MAY 5

Thank you **Jason Bordainick (Hudson Valley Property Group)** for this chat on the affordable housing market and explaining how impact investing can make a difference in the lives of those it affects via the portfolio in both ways: those who take advantage of the housing offered and those who invest in these portfolios. A super way to get to know this impactful area.

ALTERNATIVE EQUITY EXPOSURE - MAY 5

Equities are the driver of portfolio returns in many cases – they power the system by raising capital, investing it in companies and projects, facilitating pricing and arbitrage of various instruments, and delivering returns to investors via dividends and sales. You cannot have capitalism without capital and this panel discussed how to make the most of opportunities in this market. Big thanks to our participating members: **Geoff Dover (Heirloom Investment Management), Andrey Omelchak (LionGuard Capital Management), Jason Donville (Donville Kent Asset Management),** and **Pete Chung, (Morgan Stanley Investment Management)**.

FAMILY OFFICE SUMMIT

CAASA DE MAYO - MAY 5

Exclusive to Family Office Summit delegates, we sent a care package of spirits and all the fixings for a decidedly south of the border mixer lead by **Mackenzie Putici (New World Wine Tours)**. It was another unique way that we continue to provide things 'the old way' even though we have to present such things in 'the COVID/safe way'. Thank you to all the delegates who managed to mix all three concoctions!

ANOTHER WIDE VARIETY OF TABLE TALKS!

As delegates to our conferences would know, we not only have hand-picked speakers (without thought to sponsorship dollars and the like) - we also provide a plethora of Table Talks on a wide-ranging list of assets, strategies, and topics. These are all opt-in, small group discussions lead by our supporting members of the particular conference and have been a boon for all involved!

FAMILY OFFICE SUMMIT

NOWTALK – CO-INVESTING - MAY 6

Presented by a major investor in real estate in the United States, **Evelyne Massa (Group RMC)**, this NowTalk presents their family's business plan which is exclusively real estate co-investments and provides a unique way for other families to invest alongside this experienced group.

COVID OPPORTUNITIES - MAY 6

We hope it's not too soon…COVID has been with us for more than one year and the tide seems to be turning with the advent and approval of a number of vaccines around the globe. We are not out of the woods yet, but now might just be the time to look at where the world might be in the next year (or five) and how certain industries weathered the crisis and might be poised to take advantage of the coming return (or not) to old ways. Thank you to the following members for making this panel happen: **Matthew Dennis (Cidel)**, **Alkarim Jivraj (Espresso Capital)**, **Thomas Liu (Actis)**, **Peter Misek (Framework Venture Partners)**, and **Andrew Smith (Kayne Anderson Capital Advisors)**.

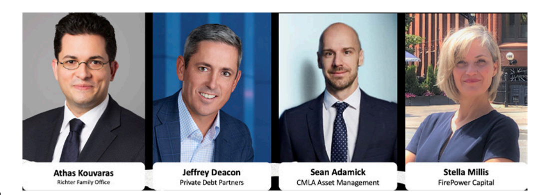
FIRESIDE WITH BOBBY PAUL, COO OF DART FAMILY OFFICE

For those that have every visited the Cayman Islands, **Dart Family Office** is well-known as a major investor in the Islands is impossible to ignore. We were super-happy to have this opportunity to have a frank conversation (Chatham House Rule) with **Bobby Paul**.

NOWTALK – ESTATE PLANNING UPDATE - MAY 6

A real treat: **Tim Cestnick (Our Family Office)** was back to talk about topical tax and estate planning issues that families and their advisors should keep in mind as they plan for 2021 and beyond.

RISKS & OPPORTUNITIES IN PRIVATE LENDING - MAY 6



This area has grown substantially over the last few years as investors have demanded alternatives to bonds, banks have pulled back from certain markets, and the world of investments has evolved to create products for these groups and other stakeholders in the industry. We were privileged to hear from three diverse types of lenders on how they are approaching this market and the challenges and opportunities presented. Thanks to **Athas Kouvaras (Richter Family Office), Stella Mills (FirePower Capital), Jeffrey Deacon (Private Debt Partners),** and **Sean Adamick (CMLS Asset Management).**

FAMILY OFFICE ROUNDTABLE (PROFESSIONALS ONLY)

Thank you to our lead SFO professionals who steered this discussion amongst their peers (and only their peers, no exceptions): **Scott Morrision (Wealhouse Asset Management), Jason Granger (Fipke Group)**, and **Enzo Gabrielli (Horizon Capital Holdings)**. Given the great dialogue at this edition, we will have another during our Family Office Summit 2022!

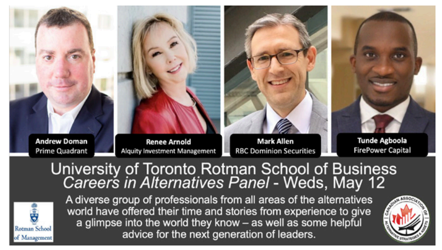
MAY

CAASA ALTERNATIVE PERSPECTIVES

CAASA COO CHAT: KURT HAGERMAN FT. MERAKI GLOBAL ADVISORS - MAY 11

Created for the exclusive use of COOs (or similar roles) in CAASA membership, this session featured time for COOs to connect with peers, hear about new ideas, and discuss a range of topics. The session was lead by **Kurt Hagerman (Celernus Investment Partners)** and featured **Michael Ashby (Meraki Global Advisors)**.

ROTMAN BUSINESS SCHOOL CAREER PANEL - MAY 12

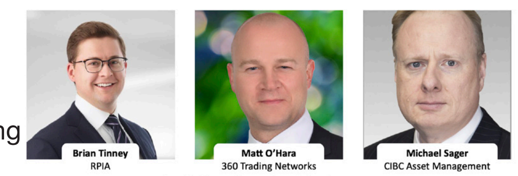


Another in our growing list of career panels, this one for the University of Toronto's Rotman Business School - an institution that we have been involved with for many years. Thank you to my panel: **Renee Arnold (Alquity Investment Management), Andrew Doman (Prime Quadrant), Tunde Agboola (FirePower Capital),** and **Mark Allen (RBC Dominion Securities)**.

THE FRANCIS SABOURIN HOUR WITH ALIGNVEST STUDENT HOUSING - MAY 12

In this edition, **Francis Sabourin (Richardson Wealth)** sat down with **Trish MacPherson (Alignvest Student Housing)** to speak to real estate, ESG, and how one can do good with their investing capital while doing well in terms of investment returns.

INSIGHTS: FOREIGN EXCHANGE - MAY 18



Currency underlies virtually every trade and portfolio holding – either as a benign factor if all stakeholders and securities are denominating their positions in the same currency, or (on the other end of the spectrum) a more consequential portion of portfolio returns and risk for investors. This panel spoke to how investors and asset managers are using this seeming underlying volatility to create trading and hedging opportunities and better align their return stream with beneficiaries'/clients' needs. Thank you to our panelists: **Matt O'Hara (360 Trading Networks), Michael Sager (CIBC Asset Management),** and **Brian Tinney (RPIA)**.

THE PAST, PRESENT, & FUTURE OF ILS - MAY 20

Insurance-Linked Securities (e.g., weather derivatives, catastrophe bonds, and life settlements) are growing in popularity and one of the many alternative investments that exhibit low correlation to traditional markets. This discussion brought together investors and managers in these areas to speak to the history of these investments, why investors are allocating to them today, and where they see them headed as their markets and structures evolve – as does the preferences and requirements of investors as well as those who participate on the other side of the trade (those insured and hedging with these instruments). Thank you to **Ken Mahadeo (SS&C), Bernard Van der Stichele (HOOPP), Oleksandra Polishchuk (Carlisle Management),** and **Greg Hagood (Nephila Advisors)**.

FAMILY OFFICE SUMMIT 2022

Tuesday, May 3 - Thursday, May 5

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

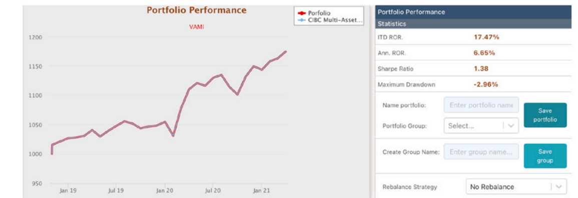
Table Talks for niche topics - Special Sessions for SFO Family & Pros

In-Person - Toronto, Ontario - Limited Capacity (70% allocated)

CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

CAASA ALTERNATIVE PERSPECTIVES - JUNE 8-10 + MEETING DAY ON JUNE 11

This inaugural conference (which will be held, COVID-allowing, in Vancouver in 2022) had a truly star-studded line-up of speakers. With more than 210 attendees about 67% were investors, 25% from asset managers, and 8% from service providers.



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NAPIER PARK GLOBAL CAPITAL

NORTH PEAK CAPITAL

GRAHAM CAPITAL MANAGEMENT

Juniper Square

HARBOURVEST

CIBC Asset Management

LYXOR Asset Management SOCIETE GENERALE GROUP

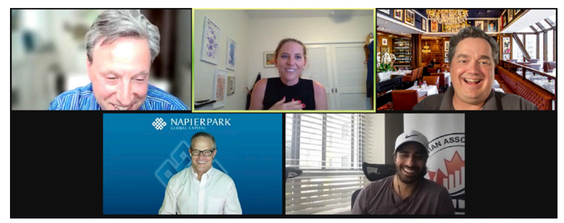
NOW TALK -MUCH ADO ABOUT EMERGING MANAGER PROGRAMS - JUNE 8

A great deal has been written about the emerging managers premium that can be present and taken advantage of by early investors into a fledgeling asset management team. This chat explained the concept and its history, described how investors are interpreting new findings & observations and evolving their programs, and where the panelists see the space moving over the next few years. Exceptionally engaging thanks to **Kirk Sims (Teacher Retirement System of Texas)** and **Graham Lyons (Arbutus Partners).**

WHERE PRIVATE CREDIT IS HEADED - JUNE 8

Private credit markets have become a force in the investment industry over the last 12 years as banks' risk appetites have waned and the demand for leverage has continued its rise. Is the industry in for growing pains as its AUM begins to perhaps rival that of banks or is it an idea whose time has truly come and will continue its meteoritic rise unabated? This panel answered those questions and more! Kudos to **David Sheng (Aksia), Theresa Shutt (Fiera Private Debt), David Lowery (Preqin), Greg Racz (MGG Investment Group),** and **Philip Coté (bfinance)**.

KEYNOTE FIRESIDE: THE POWER OF ACTIVE MANAGEMENT: GENERATING ALPHA THROUGH MARKET CYCLES - JUNE 8



Jon Dorfman (Napier Park Global Capital) has a storied past, being one of the early risk takers and innovators in credit default swap, credit index (Tracers and CDX) and tranched risk credit markets, Jon served as an ISDA committee member responsible for the first standardized credit default swap contract. What a great fireside chat he had with **Elizabeth Burton (Employees' Retirement System of the State of Hawaii)**, one of the youngest CIOs in the U.S. and an accomplished investor both on the Mainland and in Hawaii where she is reshaping the pension plan she took over in 2018.

NOWTALK – OUTSOURCED TRADING - JUNE 8

Benjamin R. Arnold (Meraki Advisors) and **John Christofilos (AGF Investments)** had a wide-ranging chat on how traders are making the best of their internal capabilities and, as appropriate, augmenting them with external resources in order to provide best execution for its client base. As well, we heard how the outsourced trading business is run to optimize client satisfaction, efficient order flow and execution, and overall profitability to allow this model to thrive as a viable part of the trading ecosystem.

PRIVATE EQUITY & VENTURE CAPITAL IN 2021 - JUNE 8

Private equity & venture capital is an important part of many a balanced institutional portfolio but knowing how to access these areas and select managers as well as broader, categorical allocation decisions such as that of choosing LBO, growth, venture (and its sub-areas such as pre-seed, seed, and Series A), geography, and sector (or agnostic) can be a challenge. This panel gave broad-stokes advice to investors coupled with more specific trend analysis and ways to create value for beneficiaries in today's markets. Thanks to **Jason Campbell (Eckler), Gerry Brunk (Lumira Ventures), Amanda Outerbridge (HarbourVest Partners),** and **Cara Nakamura (Kamehameha Schools).**

PRIMES AND ALPHA PRIMES: HOW THE HEDGE FUND LANDSCAPE HAS EVOLVED - JUNE 9

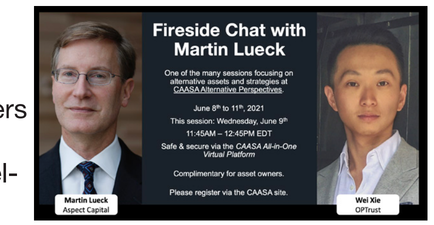
The prime broker – hedge fund relationship has been under strain from time to time over the last few decades, most notably during the Great Financial Crisis of about 12 years ago and this has come to a head once more with the strain brought on by the Archegos situation. **Sandy Rattray (Man Group)** gave a frank look at how relationships with 'the primes' has evolved over time and where he believes it is headed.

CAASA ALTERNATIVE PERSPECTIVES

TODAY'S TRADING STYLES - JUNE 9

This panel gathered a diverse group of portfolio managers, each with a distinct trading style used in their quest for alternative streams of alpha-producing performance for the investors in their fund. Viewers came to know how each of these perspectives of the market lead to their unique implementation of trades designed to exploit these insights while, at the same time, limiting downside risk. What a wealth of experience from **François Rivard (Innocap Investment Management), Pablo E. Calderini (Graham Capital Management), Michael Hume (MKP Capital Management), Stu Bohart (FORT LP),** and **Ed Fang (Man Numeric)**!

KEYNOTE FIRESIDE – THE FUTURE OF QUANT - JUNE 8

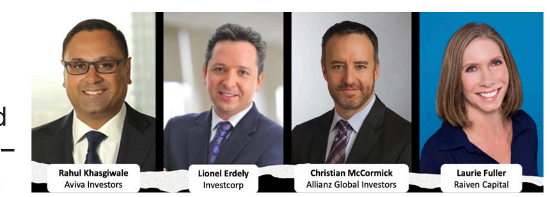


Martin Lueck (Aspect Capital) is one of the earliest CTA, or managed futures, traders having founded world-class companies over the last 34 years, applying his – and a plethora of PhD's – intellect to the markets to create trading systems designed to deliver non-correlated return streams to investors. Inter-viewing Marty was **Wei Xie (OPTrust)** whose role brings him in touch with many managers like Marty and his focus on machine learning and alternative data is the perfect foundation for a chat with someone who has been in this field from its infancy.

NOWTALK – A BEST-KEPT SECRET - JUNE 9

Class action services sounds ominous and like it might involve litigation services, but that is just the starting point: once a class action has been certified, one needs to (i) know about it, (ii) file the paperwork correctly, and (iii) follow up with any deficiencies or time-sensitive requirements to ensure payment. Billions of dollars are available to investors, either directly or via funds, and knowing how to access this money is an alpha-generator. Thank you to **Bob Williamson (Battea Class Action Services)** and **Bryan Nunnelley (Crystalline Management)** for illuminating this subject!

GO GLOBAL - JUNE 9

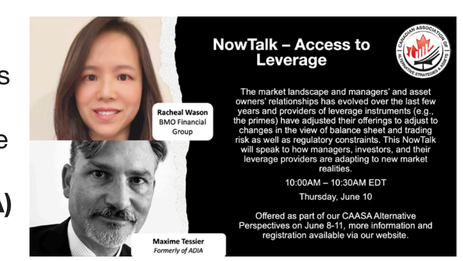


Global investing has been a theme for decades, even as investors have scoured the planet for returns. Home country bias is real and has profound effects upon one's short term and long term gains (for better or for worse) – this and many other portfolio effects were discussed by this diverse panel: **Rahul Khasgiwale (Aviva Investors), Lionel Erdely (Investcorp), Chrisitian McCormick (Allianz Global Investors),** and **Laurie Fuller (Raiven Capital).**

THE TARTAN TOUR – SCOTCH TASTING - JUNE 9

Once again, **Mackenzie Putici (New World Wine Tours)** lead us in a tasting, this time featuring regions of Scotland. Select delegates received in their care packages: Laphroaig Quarter Cask, The Macallan 12, and Oban 14 - plus a lovely bit of snack pairings!

SWAPS - JUNE 10

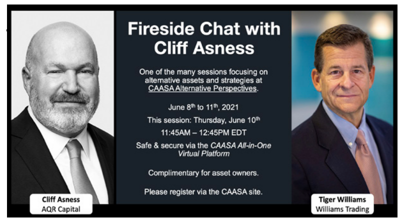


Leverage loan total return swaps (TRSs) can be an effective way of gaining access to certain credit assets and this NowTalk explained what they are, how they work, their risks and drawbacks as well as advantages, and how investors can make the most of these structured credit investments. We had a great pair of speakers in **Racheal Wason (BMO Financial Group)** and **Maxime Tessier (formerly of ADIA)** for this topic!

ESG & ME - JUNE 10

As many know, we are not that content to just have another ESG talk and this one is no different. We spent some time explaining the topic and a great deal of the panel was dedicated to how investors and managers are really making a difference to allow the human race to survive and thrive with resources we have. Panelists: **Maria Pacella (Pender Ventures), Mario Venditti (Innovobot), Mee Warren (Bodhi Research Group), Raj Lala (Evolve ETFs)**, and **Maria Rapin (Nephila Advisors)**.

KEYNOTE FIRESIDE – TRADING THROUGH THE DECADES WITH CLIFFORD S. ASNESS, AQR CAPITAL



Cliff Asness (AQR Capital Management) is one of the most well-known managers on he globe, having more than 30 years of experience manging money with some of the most storied of shops (including his own), all based on quantitative finance principals. We were happy to have **Tiger Williams (Williams Trading)** stepping in as Cliff's interviewer, the two going back more than 20 years and Tiger's trading shop being perhaps the oldest on the street. This was a lot of fun!

NOWTALK – CROSS ASSET TRADING AND RISK - JUNE 10

In a world dramatically changed over the last 18 months many firms are turning their attention to how they can better handle their risks, whether that is ensuring they are better prepared for future dynamic market conditions. Whether this is inflation increases, volatility spikes or the unpredictable impacts of the new retail market high quality risk management lies at the heart of how to survive in the new normal. Great chat by **Stuart Smith** and **Jeff d'Avignon (FIS Global)**.

BRINGING IT ALL TOGETHER – GPFA LENDING THE WAY - JUNE 10

Pension plans' models of governance and operating have evolved a great deal over the last 20 years as plan sponsors around the world have embraced, in many cases, new ways to manage that assets set aside to provide retirement income for millions of beneficiaries globally and the latest iteration, and one that is growing like wildfire is that of pensions working together to optimize their operational performance while managing inherent risks, such as counterparty risk, in their everyday transactions. This chat with **Robert Goobie (HOOPP)** described how plans' strategies have met modern challenges as well as introduce viewers to the Global Peer Financing Association (GPFA) which now counts among its membership some of the largest plans in the world, totalling more than $7 trillion in assets. This was everyone's opportunity to get acquainted with this growing association and its far-reaching mandate to improve efficiencies of its members.

CAASA ALTERNATIVE PERSPECTIVES

CAASA ALTERNATIVE PERSPECTIVE TABLE TALKS

As delegates to our conferences would know, we not only have hand-picked speakers (without thought to sponsorship dollars and the like) - we also provide a plethora of Table Talks on a wide-ranging list of assets, strategies, and topics. These are all opt-in, small group discussions lead by our supporting members of the particular conference and have been a boon for all involved!

CAASA ALTERNATIVE PERSPECTIVES 2022 - VANCOUVER, BC
Monday, June 13 - Wednesday, June 15
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics
Limited capacity - Investor delegates: 40%+ of ~200 overall

JUNE

INSIGHTS: INFLATION AND ALLOCATIONS - JUNE 15

This panel looked into the definition and causes of inflation on a multi-decade, long-itudinal timeframe and delved into the current inflation regime and how, as many are, official indicators might be divorced from that experienced by consumer and investors in various markets. It also posed potential portfolio solutions for investors who might believe that (hyper?) inflation is here/coming soon. Thank you to our participating members: **Dr. Keith Black (CAIA Association), John Duncanson (Corton Capital),** and **Brian D'Costa (Algonquin Capital)**.

THE FRANCIS SABOURIN HOUR FT. CRYSTALLINE MANAGEMENT - JUNE 16

He's back! **Francis Sabourin (Richardson Wealth)** sat down with **Bryan Nunnelley (Crystalline Management)** to discuss Francis' Alternative Investment portfolio and Crystalline's approach that values low volatility and returns independent to that of major asset classes.

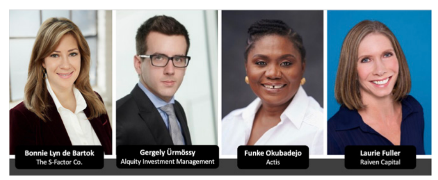
UNIVERSITY OF TORONTO MMF CAREER PANEL - JUNE 16

Now in its 11th year with our team, we were happy to have a distinguished panel speak to the University of Toronto's Master of Mathematical Finance class - another one in the books! Thank you to: **Carl Dussault (Evovest), Stephane Amara (Allianz Global Investors)**, and **Jeff D'Avignon (FIS)**.

DR. FISMAN COVID-19 UPDATE SERIES – S2E5 - JUNE 23

We were happy to bring back a no-nonsense crowd-pleaser: **Dr. David Fisman**, Prof-essor of Epidemiology at the **University of Toronto** who has spoken to members throughout the pandemic. In this iteration, he presented timely updates on COVID-19 and its spread and provide us with his views on Ontario's plans.

INSIGHTS: AFRICAN INVESTMENT OPPORTUNITIES - JUNE 23



This panel provided viewers with a broad understanding of the economic climate, business opportunities, and secular trends that affect its business and investment climate as well as potential entry points for one's maiden transaction. Our diverse panel of **Gergely Ürmössy (Alquity Investment Management), Funke Okubadejo (Actis), Bonnie Lyn de Bartok (The S-Factor Co.)**, and **Laurie Fuller (Raiven Capital)** was just what one needs to get one's bearing in this lesser-known area of the world.

INSIGHTS: THE CANADIAN PRIVATE LENDING INDUSTRY - JUNE 24

This session spoke to the Canadian private lending industry and provided view-ers insight into how it developed, the many areas of activity and concentration/ niches available to investors, and what investors need to know/questions to ask during their diligence of these managers and the funds that they offer. Terrific insights from **Jamie Wile (Espresso Capital), Dan Williams (Kilgour Williams Capital), Trevor Simpson (FirePower Capital),** and **Scott Starratt (Canaccord Genuity Wealth Management).**

H1 JOINERS & JULY

H1 JOINERS

Actis, Juniper Square, Westcourt Capital Corp., Echelon Capital Corp., Waypoint Investment Partners, Bridgeport Asset Management, Nephila Advisors, Wealhouse Asset Management, Framework Venture Partners, A.R.I. - Applied Real Intelligence, Penrose Partners, Cameron Stephens, Thorsten Koop (OMERS), North Peak Capital, 360 Trading Networks, RPIA, TSVC, Firm Capital, Invesco, Wealth Stewards, Stonehage Fleming, MeetAmi, Hill + Knowlton, Vivid Capital Management, Clifton Blake, Adaptive ETF, Helen Zhang (Enoch Capital), Agriroots, Numus Financial, Evolve ETFs, Options IT, Terentia, Sera Advisory, StoreWest, Converium Capital, Ascendi Capital, Edwin Wong (Tacita Capital), Clearfield Capital, Qwest, Morgan Stanley Wealth Management, Dana Points Capital Limited, Galaxy Digital Asset Management, Qin Chu (Enoch Capital), Cortland Credit, Netlok, Maverix Private Equity, Third Point and other new members who prefer to be stealth (typically family offices).

REAL ESTATE: FOUR CORNERS 2021 EDITION - JULY 7

This panel investigated how investors are pivoting throughout COVID and various secular changes that were occurring in the real estate markets in Canada and around the world. There are many drivers to returns (location, location, location continuing to be the primary one) and savvy investors are seeing past the crisis du jour to arrive at well-thought portfolios of return-producing assets. Thank you very much to: **Vikram Rajagopalan (Trez Capital), James Harkness (Juniper Square), Joshua Varghese (Axia Real Assets), Harley Gold (Peakhill Capital),** and **Adeola Oladimeji (Ascendi Capital)**.

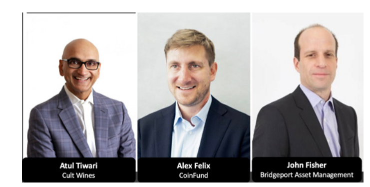
INSIGHTS: PRIVATE LENDING - JULY 8

This session presented a variety of private lending offerings and showcased the difference between PE & open-ended funds, Canadian vs U.S. managers, and a number of sectors including venture lending, mortgages, farming, and others. A great resource for those new to the space as well as those who are on the look-out for new opportunities! Thanks to: **Zack Ellison (Applied Real Intelligence - A.R.I.), Robb Nelson (Agriroots),** and **Katie Bonar (Cameron Stephens)**.

INVESTING IN A CLEAN ENERGY FUTURE - JULY 13

The time for energy transition is now, as the world (as evidenced by the Club of Rome in the 70s) may not be running out of non-renewable resources imminently, but their effect on the environment – both locally where drilling, refining, and con-sumption might be but also elsewhere – and global climate is beginning to make possible some of the more nightmarish scenarios purported decades ago. Great discussion by **Keith Black (CAIA Association), James Bradford (Vivid Capital Management), Ernie Ortiz (Lithium Resource Corp.),** and **Raj Lala (Evolve ETFs)**.

ALT-ALTS – PORTFOLIO PANACEAS? - JULY 22



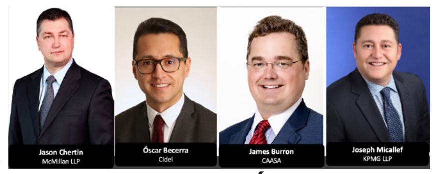
Alt-alts, or alternative-alternatives, may sound like a made-up name but they are real – basically these alternative investments are newer to investors or in assets not typically available to them in familiar packages – and are differentiated from 'typical' alts so get a special moniker. Their return streams and drivers are usually entirely divorced from the long-only markets as well as their alternative brethren (as well as their alt-alts peers, in many cases). Super look at this world by **Alex Felix (CoinFund), John Fisher (Bridgeport Asset Management),** and **Atul Tiwari (Cult Wines)**.

JULY & AUGUST

CANADIAN OPPORTUNITIES FOR COLOMBIANS: INVESTING IN THE GREAT WHITE NORTH - JULY 27

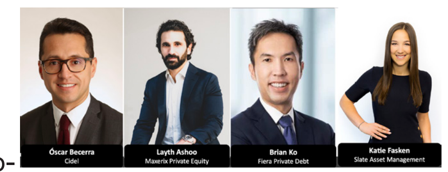
Partnering with **ColCapital** (or Asociación Colombiana de Capital Privado, the preeminent alternatives association in Colombia) and **ProColombia** (the country's government's trade and investment department), we were proud to present this 2-part event (detailed on the following page).

PANEL 1: OVERVIEW OF CANADA: ITS ALTERNATIVE INVESTMENT INDUSTRY AND FUNDAMENTALS OF TAX & STRUCTURING - JULY 27



Our first panel gave an introduction to the Canadian alternatives industry as well as its tax and legal structure. It will also highlight areas of investment that have proved popular and those that might have the most promise. Access to these opportunities and concerns of foreign investors was also be discussed. Great job by **Jason Chertin (McMillan LLP), Óscar Becerra (Cidel), Joseph Micallef (KPMG)**, and a bit of a history lesson from little ol' **JB**.

PANEL 2: GETTING SPECIFIC: A SELECTION OF MANAGERS REPRESENTING PE, REAL ESTATE, & PRIVATE LENDING - JULY 27



Our second panel featured some of Canada's most innovative alternative investment companies – ones with ample AUM and long track records that may be appropriate for investors. The speakers have a wealth of information about the landscape and how investors are using their talents to make the most of their area of investment: private equity, real estate, and private lending. Great job by **Óscar Becerra (Cidel), Layth Ashoo (Maverix Private Equity), Brian Ko (Fiera Private Debt), and Katie Fasken (Slate Asset Management).**

DR. FISMAN COVID-19 UPDATE SERIES – S2E6

Dr. David Fisman (University of Toronto) retuned once more to brief members on the latest vaccination, transmission, care, and mortality statistics in Ontario and around the world. As usual, he had up-to-the-hour research and information that allowed our members (and our CAASA staff!) to make the most informed decisions regarding the health of our staff and their families.

INSIGHTS: MULTI-STRATEGY & SPECIAL SITUATION FUNDS - JULY 29

Perhaps one of the most resilient yet lesser-known strategies on offer for investors today is that of multi-strategy funds and special situations funds (aka multi-strats and special sits). This panel gave our audience a good grounding in these strategies, their histories, and where they are headed – all the while providing concrete examples of funds plying these trades as well as a selection of the trades themselves and how these funds might fit in an investor portfolio. What a great panel: **Mee Warren (Bodhi Research Group), Philip Mesman (Picton Mahoney Asset Management), Philip Hilal (Clearfield Capital Management),** and **Bryan Nunnelley (Crystalline Management)**.

CAASA ANNUAL GENERAL MEETING - AUGUST 5

Presenting our financial statements, appointment of directors and accountants, and other more prescribed tasks was complemented with commentary from our team on how we fared in 2020. In short, it was quite well and we already had indications that 2021 was going to be a record-breaking year in terms of activities/events/conferences as well as unprecedented membership growth. We will have a similar tale to tell in 2022!

AUGUST

COLOMBIAN OPPORTUNITIES FOR CANADIANS - AUGUST 10

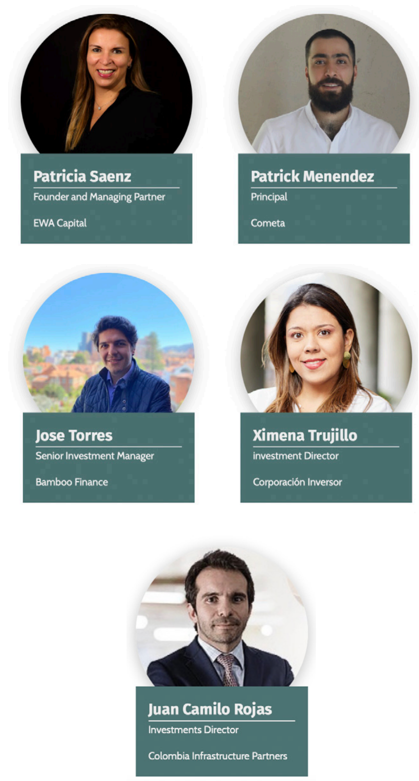
ColCapital, ProColombia, and **CAASA** were delighted produce this event, aimed at promoting the private equity industry and venture capital ecosystem by connecting GPs that invest in Colombia with Canadian investors interested in the Latin American market. The event was designed to empower investors to learn about the alternative investments industry in Latin America, and the many ways that Colombia can serve as a gateway to the region. Thank you once more to these two partners for making this event happen!

There were four parts: first, an introduction to Colombia and then three concurrent break-out rooms. All sessions are outlined below and their videos are available on the CAASA event page: https://caasa.ca/archives/events/colombian-opportunities-for-canadians

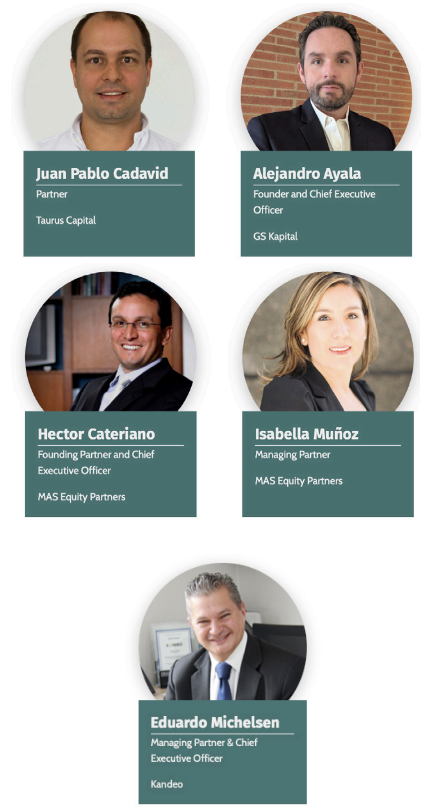
INTRODUCTION TO COLOMBIA - AUGUST 10

Carlos Fradique (Brigard Urruita, a major Colombian law firm) and **Carlos Castro (Brookfield)** gave an excellent overview of how the Colombian economy has evolved over the years, the opportunities present, and how Canadian/foreign investors can take advantage of them. Always a pleasure to work with like-minded associations at the top of their game - thank you to **ColCapital** for your partnership!

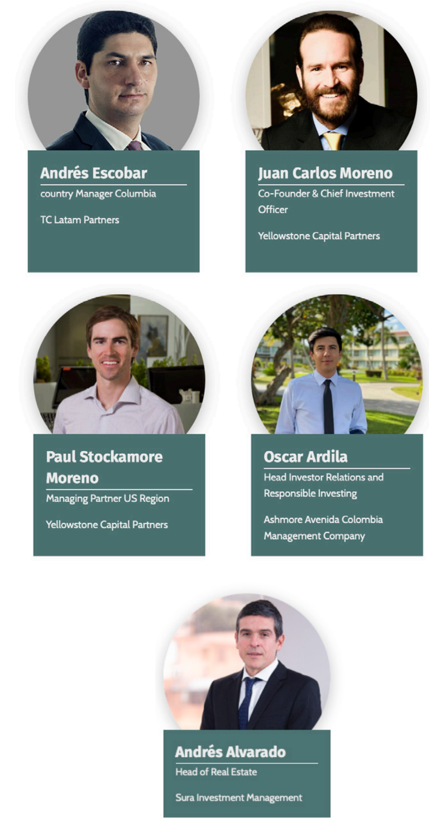
BREAKOUT ROOM 1: VENTURE CAPITAL, INFRASTRUCTURE & IMPACT



BREAKOUT ROOM 2: DEBT AND BUYOUT

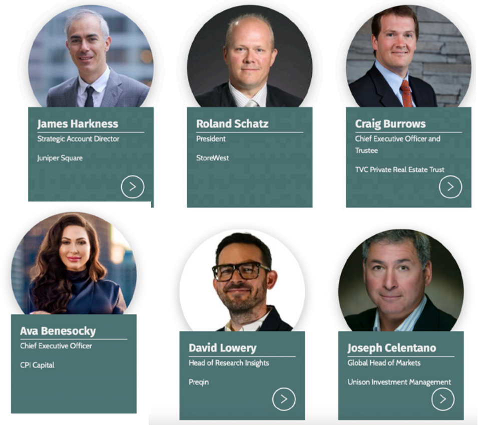


BREAKOUT ROOM 3: REAL ESTATE



AUGUST

REAL ESTATE – FOUR CORNERS REVISITED - AUGUST 11



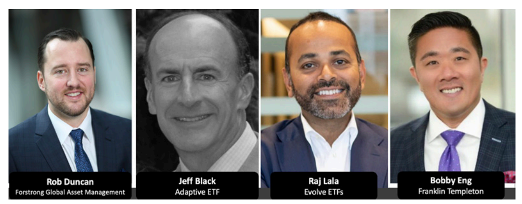
This panel brought together a slate of real estate investors and discussed how they and the market are pivoting throughout COVID and various secular changes that are occurring in the real estate markets in Canada and around the world. On the panel was **James Harkness (Juniper Square), Roland Schatz (Store-West), Craig Burrows (TVC Private Real Estate Trust), Ana Benesocky (CPI Capital),** and **Joseph Celentano (Unison Investment Management)**.

As a special treat and to provide an overview of the landscape, **David Lowery (Preqin)** introduced the session with an update on the real estate market before we started the panel. Just another way that we highlight our diverse membership in this exciting asset class!

INFLATION FIGHTERS - AUGUST 12

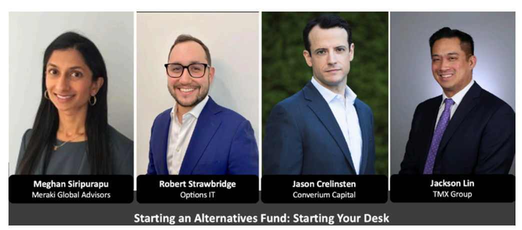
Following up on our "*Insights: Inflation & Allocations*" panel in June, we had **Dr. Keith Black (CAIA Association)** returning to moderate this panel of managers who presented their view of what inflation is, its effect on investor portfolios, and how one can properly put on an inflation-fighting trade. We had speakers from a variety of asset classes and strategies high-lighting the diverse avenues to protecting one's portfolio with today's alternatives, including, **Anthony Faiella (AGinvest Farmland Properties Canada)** and **Fred Pye (3iQ Digital Asset Management)**.

INSIGHTS: ETFS - AUGUST 17



Following up on previous crowd-pleasing ETF panels, this session looked at where ETFs are today and how investors can make the most of them by gain-ing exposure to broad market factors as well as more niche ones. Moderated by a veteran in the field and including a variety of issues, this session was of great interest for both new investors to this area as well as those who have perhaps been active in it for many years. Another great panel moderated by **Rob Duncan (Forstrong Global Asset Management)** and including **Jeff Black (Adaptive ETF), Raj Lala (Evolve ETFs), and Bobby Eng (Franklin Templeton)**.

STARTING AN ALTERNATIVE FUND – STARTING YOUR DESK - AUGUST 18



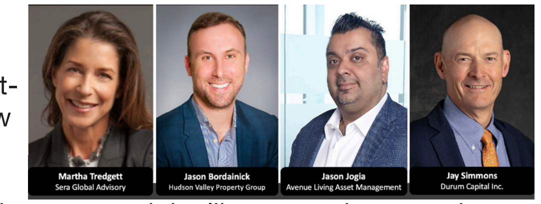
Many managers starting fund management companies may have been insul-ated from the day-to-day tasks of order management, trading & execution, fund administration, and a myriad of duties required to facilitate the expression of their investment thesis in the portfolio's holdings. This session gave back-ground as to what is required from Securities Commissions as well as helpful tips on how to arrange one's desk (trading, data, risk management, etc.) to best manage cost/benefit and time/money constraints. Excellent job by **Robert Strawbridge (OptionsIT), Jackson Lin (TMX Group/NAVex), Meghan Siripurapu (Meraki Global Advisors),** and **Jason Crelinsten (Converium Capital)**.

FIAMTL VIRTUAL MECHOUI - AUGUST 19

Once again, we partnered with **FiaMTL**, headed by **Claude Perron (Crystalline Management)**, to produce yet another virtual edition of the usually in-person social that we have helped organize for the last 6 years. It was not quite like in real life, but a super opportunity to get together in the dog days of summer!

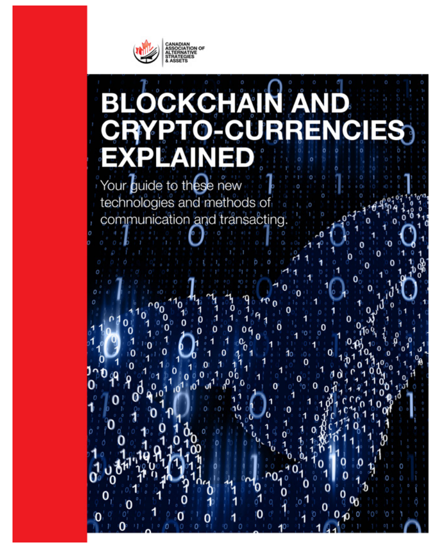
AUGUST & H2 PUBLICATIONS

FOUR CORNERS: REAL ESTATE SURVEY - AUGUST 24



This survey of differentiated, interesting real estate access-points and asset-classes from across North America was created to give our audience a view of how these managers add their own idiosyncratic touch to an asset class that is, literally, as old as dirt. Location³ continues to be paramount in real estate investing, and adding facets such as ESG, liquid access, specialized sectors and the like can make a good investment great. Thank to this group: **Martha Tredgett (Sera Global Advisors), Jason Jogia (Avenue Living Asset Management), Jason Bordainick (Hudson Valley Property Group),** and **Jay Simmons (Durum Capital)**.

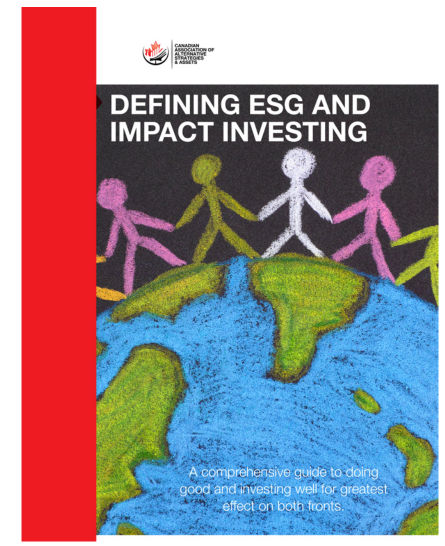
CAASA PUBLICATIONS - TWO MORE FOR H2 2021



We released our *Blockchain and Crypto-currencies Explained* paper in September - with much thanks to our contributing members **3iQ Digital Asset Management, CI Global Asset Management, CMCC Global, CoinFund, Consilium Crypto, Fidelity Clearing Canada, Galaxy Digital Asset Management,** and **Horizons ETFs.**

Quickly following in September was our paper *Defining ESG and Impact Investing* thanks to the input of **Evolve ETFs, Nephila Climate, OPTrust, SS&C,** and **Waratah Capital Advisors.**

We will continue our series in 2022 with fresh subjects and re-visits of favourites!

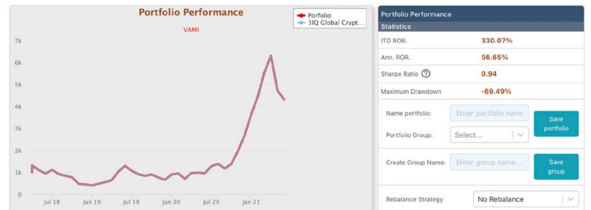


PRIVATE EQUITY & VENTURE CAPITAL ASSEMBLY 2022 - TORONTO
Wednesday, September 28 - Thursday, September 29
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics
Limited capacity - Investor delegates: 40%+ of ~200 overall

CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

DIGITAL ASSETS GLOBAL EXCHANGE - SEPT 14-15 + MEETING DAYS ON SEPT 16-17

This inaugural conference (which will be held, COVID-allowing, in Toronto in 2022) had a truly star-studded line-up of speakers. With more than 210 attendees about 67% were investors, 25% from asset managers, and 8% from service providers.



As with many of our conferences, we offer connectivity to **Sigma-Sandbox** which allows investors to peruse (and create some very cool portfolio combinations) CAASA member funds and return streams. We've been told that this allows for a great deal of detailed research before initial contact with the managers by investors - which means a more efficient process for all. Members interested in listing their funds on the platform should contact **Dave Rudd** (his contact information is in the member directory later in this publication).

Thank you to our many sponsors who made this possible! They provided some of the programming also, via the Table Talks scheduled throughout the content days that allowed delegates to discuss selected topics in small groups. As well, our platform facilitated dozens of 1:1 meetings between those looking to connect in a more intimate setting - all interactions on a safe and secure system that made booking these meetings as easy as possible.

FUNDAMENTALS & HISTORY - SEPTEMBER 14

What is Bitcoin/cryptocurrency/crypto-assets? Even the question get complicated! This session explained the history and underpinnings of blockchain and distributed ledger technology (DLT), and cryptoassets such as cryptocurrencies & smart contracts. A sound footing in this panel with **Arthur Salzer (Northland Wealth Management)** and **Kerem Kolcuoglu (Penrose Partners)**!

ORIGIN OF THE SPECIES: BITCOIN (AND ETHEREUM) - SEPT 14

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 introduced 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). Super discussion by **Fred Pye (3iQ Digital Asset Management),** and **Jason Zaluski (Hut 8 Mining)**.

PAYMENT/TRANSACTION INTEGRATION: STABLECOINS & CBDCs - SEPTEMBER 14

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 explained 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. Another solid panel by **Kerem Kolcuoglu (Penrose Partners)** and **Mitchell Nicholson (KPMG)**.

TRADING, EXECUTION, & CUSTODY - SEPTEMBER 14

Continuing in the subject of transactions, this session tackled the subject of trading, execution, and custody of both traditional securities/financial instruments as well as crypto-assets and how these old and new assets can co-exist on wealth management and investment management platforms. Thanks to our knowledgeable panel: **Ronald C. Landry (CIBC Mellon), Sarah Morton (MeetAmi)**, and **Benjamin R. Arnold (Meraki Global Advisors)**.

PRIVACY, COMPLIANCE, CYBER-CRIMES/THEFT, & INSURANCE - SEPTEMBER 14

Once everything is 'on chain', investors and users of crypto-assets 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 focused on these most basic needs as a way to round out the larger adoption conversation. Thanks to **Jerome Dwight (Brane)** and **Kerem Kolcuoglu (Penrose Partners).**

ALT COINS & EVERYTHING ELSE - SEPTEMBER 14

There is more to cryptoassets than BTC and ETH and this session discussed 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. Our participants: **Dr. Keith Black (CAIA Association)** and **Austin Hubbell (Consilium Crypto)**.

DIGITAL ASSETS GLOBAL EXCHANGE

NOWTALK: HBS ON CRYPTO: WELCOME TO THE METAVERSE - SEPT 15

This NowTalk featured **Dr. Randy Cohen (Harvard Business School)**, 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.

CRYPTO ACCESS VIA FUNDS - SEPTEMBER 15

Getting access to crypto-assets 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 growingly popular investments. Thank you to: **Keith Black (CAIA Association), Fred Pye (3iQ Digital Asset Management), Steve Hawkins (Horizons ETFs), Paul Cappelli (Galaxy Digital Asset Management),** and **Seth Ginns (CoinFund)**.

FIRESIDE: WHAT'S NEXT IN CRYPTOASSETS - SEPTEMBER 15

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 was an excellent opportunity to hear from a leader in the space, **Steve Kurz (Galaxy Digital Asset Management)**, joined by another booster of the asset class, **Arthur Salzer (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.

NOWTALK: CANADA AND CRYPTO - SEPTEMBER 15

Determining the appetite for crypto-assets 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. This NowTalk reviewed our nationwide survey results as well as commentary as to where the industry is likely headed. Thank you to **Kunal Bhasin (KPMG)** for your time speaking with **JB**!

DIRECT CRYPTO ACCESS - SEPTEMBER 15

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 was 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 was a super way to understand the plumbing behind the scenes! Thank you to our panel: **Benjamin R. Arnold (Meraki Global Advisors), Hashim Mitha (MeetAmi), Kerem Kolcuoglu (Penrose Partners,** and **Giles Anderson (Fidelity Clearing Canada)**.

DAGE & MEMBER PODCASTS

CRYPTO COCKTAILS - SEPTEMBER 15

Our in-house mixologist, **Mackenzie Putici (New World Wine Tours)**, created three signature drinks which we sent to conference delegates. They had a distinctive crypto theme to them: *The Ethereum, Bitcoin Mule*, and *Hair of the Doge*. **Thank you to all those who made this conference (and specifically this session) a great success!**

DIGITAL ASSETS GLOBAL EXCHANGE TABLE TALKS

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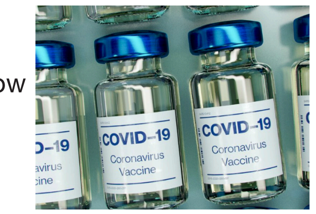
DIGITAL ASSETS GLOBAL EXCHANGE 2022 - TORONTO
Monday, September 26 - Tuesday, September 27
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics
Limited capacity - Investor delegates: 40%+ of ~200 overall

SEPTEMBER & PEVCA PE & VC ASSEMBLY

THE FRANCIS SABOURIN HOUR FT. FORSTRONG GAM - SEPTEMBER 16

This time **Francis Sabourin (Richardson Wealth)** had a chat with **Tyler Mordy (Forstrong Global Asset Management)** about asset allocation and how to best catch the waves of upswings while taking advantage of the benefits of diversification.

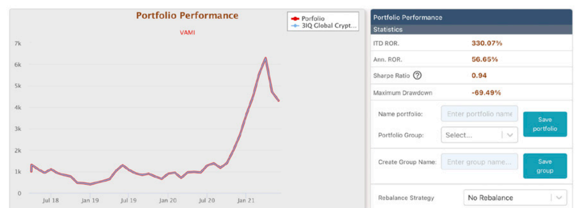
DR. FISMAN COVID-19 UPDATE SERIES – S2E7 - SEPT 22



Dr. David Fisman (University of Toronto) was back and giving us the latest on COVID and how it might affect our lives over the next few months as children returned to school. As usual, he was armed with the latest statistics and some impressive transmission models!

PRIVATE EQUITY & VENTURE CAPITAL ASSEMBLY - SEPTEMBER 28-30

Now in its third year, we had even more content than before and, COVID-allowing, this conference will be in Toronto in 2022. With more than 150 active attendees about 35% were investors, 35% from asset managers, and 30% from service providers.



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PERSEVERANCE BY JOHN RUFFOLO - SEPTEMBER 28

This NowTalk featured one of Canada's iconic venture investors who had a life-changing (and almost life-ending!) event about one year ago. **John Ruffolo (Maverix Private Equity)** founded the first and one of the only venture capital units inside of a public pension plan, growing it to about $1 billion AUM. Now, with Maverix PE – which was in the middle of fundraising when the accident occurred – he has a $500 million fund and his perseverance made it happen. It was great to hear his story and what makes him indomitable!

INSTANT ACCESS TO PE & VC (AKA SKIP THE J-CURVE) - SEPTEMBER 28

This panel tackled the age-old question of how to get the benefit of private market investments without the mess of private market structures that are traditionally illiquid, with unknown capital call/return schedules, and hap-hazard/staledated pricing. Each of the panelists had a solution for investors that can alleviate these challenges while offering the aforementioned benefits to investors, be they institutional, family office, of accredited investor/retail. Thank you to **Randolph B. Cohen (Harvard Business School), Alexandre Falin (Unigestion Asset Management), Sudharshan Sathiyamoorthy (Richter Family Office),** and **Arthur Bushonville (DSC Quantitative Group)**.

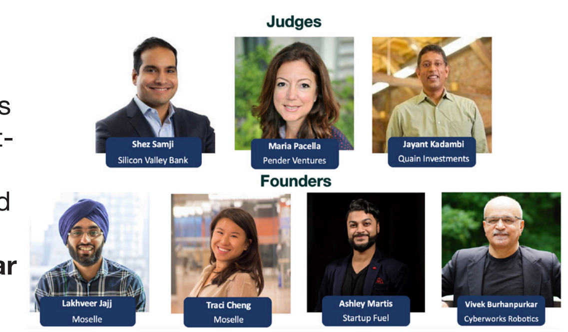
KEYNOTE FIRESIDE WITH JONATHAN GRABEL - SEPTEMBER 28

Join us for this special chat, lead by **Zack Ellison (Applied Real Intelligence (A.R.I.))**, with **Los Angeles County Employees' Retirement Association (LACERA)** CIO **Jonathan Grabel**. Both of these chaps are prolific speakers in their own rights (one a wee bit senior) and have breadth and depth in the private equity and venture capital landscape from their respective vantage-points. This was an hour of insight and energy!

THE STATE OF PE & VC GLOBALLY - SEPT 28

Presented by **Cameron Joyce (Preqin)**, this NowTalk gave a view of the private equity and venture capital landscape in Canada and around the world by one of the best sources of investment data on the planet. This session laid the groundwork for a busy few conference days and brought everyone up to speed on where these areas of investment have been – and possibly where they are headed.

TUESDAY FOUNDERS PITCH COMPETITION - SEPT 28



Thank you to our judges, which are well-known in the industry as pioneers with incisive and insightful questions for our founders, who put three start-ups through their paces and offer some great advice to them. Judges: **Shez Samji (Silicon Valley Bank), Maria Pacella (Pender Ventures),** and **Jayant Kadambi (Quain Investments)**. Founders: **Lakhveer Jajj & Traci Cheng (Moselle), Ashley Martis (Startup Fuel),** and **Vivek Burhanpurkar (Cyberworks Robotics)**.

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

GO NORTH: CANADA DOMICILE - SEPTEMBER 29

Many might not think of Canada as a preferred domicile for private equity and venture capital funds, but the country (especially Ontario) is becoming known for being particularly attractive for non-Canadian funds to hang their domicile hat. This NowTalk gave the basics as to why this is and how investors and managers alike can take advantages of that the jurisdiction has to offer. Great insights from **Jocelyn Blanchet (KPMG)** and **Michael Bunn (Norton Rose Fulbright Canada)**.

RAH! RAH! CANADA! - SEPTEMBER 29

Much of what we do at CAASA has an impetus in the book *"Mexicans Don't Drink Molson"* – Canadians seem to rarely toot their horn and/or export their ideas and way of thinking. But that is changing: our Maple Model of pension fund management and governance is revered the world over, we are still touting the strength of our banks (circa 2008), and Canada is leading the way in many other areas as well. This perhaps un-Canadian panel spoke to what we are doing well…and had some ideas on how we can do even better. Fantastic panel: **Mark Shulgan, (OMERS Growth Equity), Ajay Gopal (Framework Venture Partners), Mark Maybank (Maverix Private Equity), Peter van der Velden (Lumira Ventures)**, and **Senia Rapisarda (HarbourVest Partners)**.

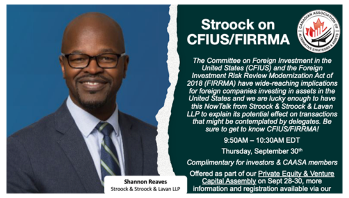
OFFSHORE ACCESS, STRUCTURES, & GOVERNANCE - SEPTEMBER 29

This NowTalk covered the world when it comes to establishing offshore funds, either as stand-alone vehicles or via a modular platform that can allow for quick entry into new jurisdictions while ensuring adherence to local and regional regulations, as well as investor preferences, that continue to adjust to the times. Big thanks to **Nicola Cowman (Carne Group)**.

WEDNESDAY FOUNDERS PITCH COMPETITION - SEPT 29

Our second FPC carried on the tradition of having experienced VCs and investors analyzing the pitches of a select group of start-up founders. Judges: **Spencer Greene (TSVC), Éléonore Jarry-Ferron (Brightspark Ventures)**, and **Marcus Daniels (Highline Beta). Founders: Sam Bogoch (Axle AI), Rob Richards (Key)**, and **Shael Soberano (Konfidis).**

STROOCK ON CFIUS/FIRRMA - SEPTEMBER 30



The Committee on Foreign Investment in the United States (CFIUS) and the Foreign Investment Risk Review Modernization Act of 2018 (FIRRMA) have wide-reaching implications for foreign companies investing in assets in the United States and we were lucky enough to have this NowTalk by **Shannon Reaves (Stroock & Stroock & Lavan LLP)** to explain its potential effect on transactions that might be contemplated by delegates.

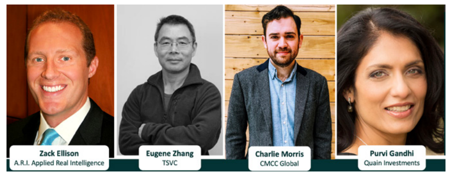
PRIVATE EQUITY & VENTURE CAPITAL ASSEMBLY 2022 - TORONTO
Wednesday, September 28 - Thursday, September 29
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics
Limited capacity - Investor delegates: 40%+ of ~200 overall

PE & VC ASSEMBLY

GETTING IN THE GROUND FLOOR - SEPTEMBER 30

This panel brought together early investors in iconic home-runs to discuss how they came across these opportunities, gained access to relevant information, performed diligence on them, and managed the various stages of financings (and typical dilution provisions) to end up with a satisfying exit for all concerned. Our panel: **Raphael Bouskila (Mako Financial Technologies), Marcus Daniels (Highline Beta), Arthur Salzer (Northland Wealth Management), Michael Steinberg (Reciprocal Ventures)**, and **Fadi Albatal (Innovobot)**.

VENTURES IN VENTURE: EMERGING VCs - SEPTEMBER 30



This panel delved into how emerging venture fund managers (<3 years or track record and/or <$300 million AUM) have a plan to create a great deal of value for their LPs as they focus on their niche and work to build their portfolio companies into industry leaders. Thanks to: **Zack Ellison (Applied Real Intelligence aka A.R.I.), Eugene Zhang (TSVC), Charlie Morris (CMCC Global)**, and **Purvi Gandhi (Quain Investments)**.

PAPERING-UP: AUTOMATING COMPLIANCE APPROPRIATELY - SEPT 30

Distribution of investment products can be rife with pitfalls and complications – be they emanating from regulators, institutions' investment processes, or the teething pains of creating new avenues of investment to certain investor segments. This foundational NowTalk explained the challenges of complying with appropriate regulations and market practices while keeping the process simple and (relatively) effortless for investors. Great job by **Peter-Paul Van Hoeken (DealSquare)**, and **Rebecca Kacaba (DealMaker).**

THURSDAY FOUNDERS PITCH COMPETITION - SEPT 30

Our third and final FPC of the conference had a record number of participants as each Founder company opted for two reps. A great way to spread the load between team members! Judges: **Ajay Gopal (Framework Venture Partners), Scott Morrison (Wealhouse Capital Management)**, and **Laurie Fuller (Raiven Capital).** Founders: **Brett Jones** & **Brent Lane (HeyAuto), Alexandre Paré** & **Brett Montrose (Streamline Athletes), and Rand Abou Ras** & **Daniel Martinovic (uCast).**

PRIVATE EQUITY & VENTURE CAPITAL ASSEMBLY TABLE TALKS

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OCTOBER

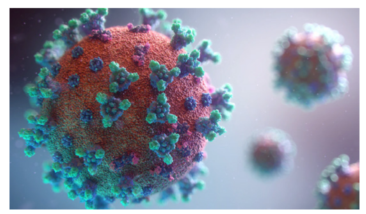
PEAK REAL ESTATE: CAN FUTURE RETURNS MEET INVESTOR EXPECTATIONS? – OCTOBER 5

This panel delved once again into the diverse and potentially profitable world of real estate investing and brings together many areas of endeavour in one panel as it looks to answer the question of whether RE can continue its climb up a wall of worry. Thank you to our panel: **James Harkness (Juniper Square), Sandy Poklar (Firm Capital Corporation), John Courtliff (ICM Asset Management), Matthew O'Hara (Unison Investment Management),** and **Luigi Luppi (Triovest)**.

THE FRANCIS SABOURIN HOUR FT. 3IQ DIGITAL ASSET MANAGEMENT - OCTOBER 14

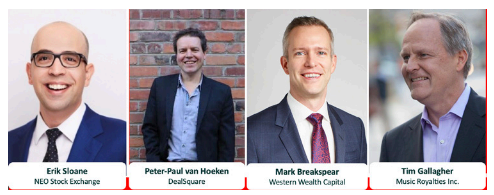
Presented in French (our first, and not our last!), this episode had **Francis Sabourin (Richardson Wealth)** and his guest, **François Dionne St-Arneault (3iQ Digital Asset Management)**, discussing Francis' Alternative Investment portfolio and 3iQ's focus on providing investors with exposure to digital assets, disruptive technologies and the blockchain space.

DR. FISMAN COVID19 UPDATE SERIES: S2E8 - OCTOBER 19



Dr David Fisman (University of Toronto) returned once more as we were in the middle of our fourth wave - due to children returning to school and the Delta variant - and he continued to speak of the possibility of a vaccine resistant strain that might come about at anytime.

ACCESS TO ALTERNATIVES - OCTOBER 26



We had a great panel for this topic: **Erik Sloane (NEO Exchange), Steve Smith (DealSquare), Mark Breakspear (Western Wealth Capital)**, and **Tim Gallagher (Music Royalties Inc.)** This session focused on how investors, advisors, and fund managers can meet each other via modern investment platforms. Investors & advisors learned about a variety of alternative investment options, advisors will learn how to use these platforms to differentiate their offering and provide unique opportunities to them, and asset managers heard from their peers how this type of access can enhance their business.

REAL ESTATE: WHAT'S AROUND THE FOUR CORNERS - OCTOBER 26

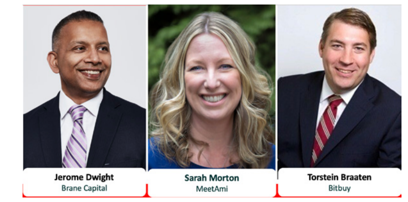
This panel, part of our ongoing *Four Corners Series*, looked into where real estate is headed over the next while as the world (we hope) comes out of COVID lock-downs and we start to enjoy a semblance of normalcy. What will that normal might look like and will what has been temporary adjustments become more permanent, and in what manner, were all discussed – as well as a look at these three companies' sectors and business plans going forward. Thanks to: **Martha Tredgett (Sera Global Advisory), Shael Soberano (Konfidis), Sanjil Shah (Alignvest Student Housing), KC Daya (Clifton Blake Asset Management),** and **Jedidiah Liu (Cacoeli Asset Management)**.

OCTOBER & MEMBER PODCASTS

COLOMBIAN CRYPTO PANEL - OCTOBER 27

This panel looked into the world of cryptocurrencies as they might apply to the Colombian regulatory and monetary system. We were joined by specialists in the country and topic who will outline how these and other digital assets are being received in Colombia and how this can advance the causes of consumers, retailers, and financial services providers as well as investors. Great job by **Keith Black (FDP Institute), Lya Glaentzlin (Metis), David Rincón (3iQ Digital Asset Management),** and **Kerem Kolcuoglu (Penrose Partners)**.

CRYPTO TRADING & CUSTODY - OCTOBER 28



This panel follows on our popular foundation workshops at the *Digital Assets Global Exchange* as we look further into how folks can trade cryptocurrencies and put them into safe custody. Our audience received background information on this area as well as got into the weeds as much as they liked to satisfy their interest/curiosity. Thank you to our panel: **Jerome Dwight (Brane), Torstein Braaten (Bitbuy)**, and **Sarah Morton (MeetAmi)**.

H2 PODCASTS WITH MEMBERS

We're always happy to work with members to produce content - whether for our platform or theirs! **JB** had the opportunity to be a part of three member podcasts in the latter part of the year.

A Dealmaker's DNA with **Ilan Jacobson (FirePower Capital)** was a treat and a fave quote made it to the highlight reel: "It's not a start-up unless you're terrified every once in a while". One needs that anxiety to motivate and if you don't have it, then you're not stretching yourself far enough.

With Ava Benesocky and **August Biniaz (CPI Capital)** we chatted about how the exempt markets differ from the stock/prospectus markets.

Jamaica Zarchekoff (Invico Capital) and **JB** spoke to how the alternatives industry in Canada has evolved over the last 25 years.

And **JB** sat down with **Ronald Landry** and **Adrian Ercolani** from **CIBC Mellon** to discuss the alternatives landscape in Canada and specifically the progress made in the liquid alternatives area. Long story short, there is much more access to alternative strategies and assets in Canada for all types of investors and there may even come a time when alternatives are not alternative at all. By and large, Investment Advisors and retail investors are seeing these opportunities for what they are - and why institutional investors and family offices have allocated to them in growing numbers and amounts over the years - investments that can provide uncorrelated return streams that can truly bring diversification to one's portfolio.

Always a pleasure to connect with members and chat anytime!

CAASA ANNUAL CONFERENCE - NOVEMBER 16-18 + MEETING DAY ON NOVEMBER 19

Our flagship conference returned with another awesome line-up of speaker - with its usual twist: speakers are virtually all end investors such as pension plans, Sovereign Wealth Funds, and family offices. With more than 230 attendees about 53% were investors, 28% from asset managers, and 19% from service providers.

We owe a huge thanks to **Ranjan Bhaduri (Bodhi Research Group)** whom we have worked with for many years on this conference (and prior ones under another banner). His global reach, ability to ascertain each individual speakers' strengths, and perfect placement with regard to topic and format is second to none. We truly value his dedication to this conference and the super-high quality content it has produced.

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NAPIER PARK GLOBAL CAPITAL
NORTH PEAK CAPITAL
CIBC MELLON
avenueliving asset management
Fidelity INVESTMENTS FIDELITY CLEARING CANADA
AXONIC
HARRISON STREET Making an Impact.
BITBUY
TMX
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WELLS FARGO

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EDUCATIONAL PARTNER

BODHI RESEARCH GROUP

THE PRIVATE EQUITY & REAL ASSETS CONUNDRUM - NOVEMBER 16

Many pensions and sovereign wealth funds are increasing their allocations to the private markets and real assets. Some view these areas as already frothy. With increased demand, dry powder, and frothy valuations, and potentially increased opportunities, here is hardly consensus as how best to proceed. This expert panel deftly disentangled the situation: **Andrew Garrett (IMCO), Pierre Barber (Canadian Medical Protective Association), Koblavi Fiagbedzi (CBC Pension), Matt Smagacz (Wyoming State Treasurer's Office),** and **Omeir Jilani (First Abu Dhabi Bank)**.

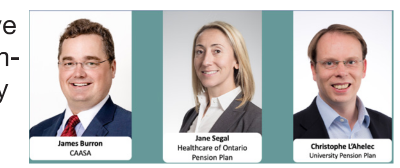
PORTFOLIO TILTS USING VIEWS ON MACROECONOMIC REGIMES - NOVEMBER 16

Long-term investors rebalance their portfolios given their views on the investment landscape. Portfolio tilting is often implemented using investors' views on point estimates of asset expected returns which are notoriously difficult to estimate and lead to unstable portfolio weights. The techniques presented avoid such shortcomings by providing a methodology that incorporates views on the likelihood of economic regimes (e.g., growth and inflation). Using data on equities, bonds and commodities, they show - both in simulation and empirically - that our approach generates stable portfolio weights and a performance that is minimally affected by forecast errors. This lecture was based on a then-new research paper by the speakers and is an exciting development for applications to portfolio management and tactical tilting. Thanks to our panel: **Marco Salerno (University of Toronto) Prof. Redouane Elkamhi (University of Toronto),** and **Jacky Lee (HOOPP)**.

INVESTING THE ESG WAY - NOVEMBER 16

Leading practitioners share insights into ESG investing, ESG research, integration, and engagement. This session included examples that put capital to work across asset classes in innovative areas which long-term sustainability, starting with opportunities stemming from climate change. The discussion also included examples of impact capital to advance championing solutions that further opportunities for equitable health and well-being. Finally, the relationship between companies' public disclosure and ESG policies was examined – which is current joint research between one of the speakers and Professors at Stanford and Yale. Our panel: **Dr. Ranjan Bhaduri (Bodhi Research Group), Lindsay Saldanha (OPTrust), Sarah Takaki (HOOPP), Redon Gallani (CPP Investments), Akobe Sandy (Robert Wood Johnson Foundation)**, and **Dr. Des Saraph.**

ALPHA OPPORTUNITIES - BEST STRATEGY IDEAS FOR 2022 + DUE DILIGENCE INSIGHTS - NOV 16



Two seasoned professionals who lead the external manager program for their respective firms shared their ideas about different hedge fund strategies under the current economic landscape and into 2022. What is top-of-mind? What are the priorities? What do they look for in managers? Due diligence insights and leading best practices were also discussed. A fun talk with **James Burron (CAASA), Jane Segal (HOOPP),** and **Christophe L'Ahelec (University Pension Plan)**.

CRYPTOCURRENCIES & DIGITAL ASSETS: MARKET STRUCTURE, RISKS, & OPPORTUNITIES - NOV 16

This was a no-nonsense, self-contained 30-minute presentation where **Dr. Keith Black (FDP Institute)**, a gifted educator, walked the viewer through the fundamental concepts of cryptocurrency in a practical pedestrian way. Blockchain, distributed ledger, what is cryptocurrency, security (the difference between crypto-exchanges and wallets), digital currencies, tokens, proof of stake vs. proof of work, stablecoins, decentralized finance, and asset allocation were all covered.

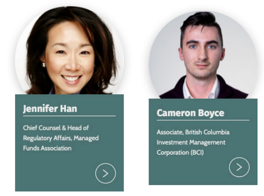
KEYNOTE FIRESIDE WITH PHYSICS NOBEL LAUREATE DONNA STRICKLAND - NOV 16

What does it feel like to win a Nobel Prize in Physics? This, along with many other questions will be answered **University of Waterloo** Professor **Donna Strickland** won the Nobel Prize in Physics in 2018 for developing "Chirped Pulse Amplification" which allowed for several applications of lasers, including laser surgery and laser-based cameras. Professor Strickland was only the third female to win this coveted prize, with her predecessor being more than fifty years earlier. Hosted by **Dr. Davide Sabatini (Bodhi Research Group)**.

THE COMING INFLATION REGIME & ASSET ALLOCATION - NOVEMBER 16

Two eminent Chief Economists - **Robert Lavigne (OMERS)** and **Dr. Millan Mulraine (OTPP)** - sparred on what the ramifications on asset allocation may be for the coming inflation regime. It was a spirited chat that has some areas of agreement and others of contention, all the while being illuminating and insightful to all viewers!

DIGITAL ASSETS: REGULATORY & INVESTMENT OUTLOOK FOR ALTS MANAGERS - NOV 16



With CAASA's joining the Managed Funds Association Partnership Program, we welcomed **Jennifer Han (MFA)** and her talk with **Cameron Boyce (BCI)** on the state of regulation in the cryptocurrency industry and commented on the recentpublication of the President's Working Group's report on stablecoins. Very interesting!

THE PATH FORWARD WITH EXTERNAL MANAGER PROGRAMS - NOVEMBER 17

Four talented industry veterans were featured on this panel. This discussion included the impact of a post-pandemic/endemic Covid environment on institutional investors' external manager programs, the channels used to source managers, the nature of due diligence and structures used to invest, as well as return-to-office work models. As the pandemic has increased sensitivity to ESG issues, the panel also discussed its approach to engaging with external managers on these issues. Great job by **Carlos Ferreira (Capital Governance Partners), Elena Boeva (Aflac), Mark Hannoush (OTPP)**, and **Marco Vetrone (CPP Investments)**.

PRIVATE EQUITY - EXIT STRATEGIES - NOVEMBER 17

Ascertaining whether a private business is well-run, has a fair valuation, and is going to be successful are necessary before making a private equity investment. However, it is not sufficient as one also needs to clearly understand the potential exit strategies. This NowTalk, delivered by **Dr. Keith Black (FDP Institute)**, delved into the different types of exit strategies and comparing their respective advantages and disadvantages. IPOs, SPACs, mergers, secondary buyouts and direct listings are all examined in this critically important educational session.

EMERGING MANAGERS – FIRST MOVER ADVANTAGE - NOVEMBER 17

Innovative ways to access emerging managers. Insights about the emerging managers space in China and how does one access it? What are the most common mistakes that emerging managers make? What are institutional investors looking for in emerging managers? The importance of governance and managed accounts when investing in emerging managers. This panel of professionally diverse experts was chock-full of insights and ideas! Thanks to: **Leia Levand (Innocap), Carlos Ferriera, (Capital Governance Partners), Kirk Sims (TRSTexas), Panayiotis Lambropoulos (ERS Texas)**, and **Wei Liu (Clocktower Group)**.

CAASA ANNUAL CONFERENCE

KEYNOTE NOWTALK - JELLYBEANS: COPING DURING RESIDENTIAL SCHOOL - NOVEMBER 17

This session authentically related to the "S" in ESG. Historically, Canada's residential school system treated Indigenous children deplorably by removing them from their families, depriving them of their ancestral languages, systematically trying to eradicate their culture, exposing many of them to physical and sexual abuse, and in some cases murder! As a society, to learn from our mistakes and heal properly, it is important to listen, have empathy, and educate ourselves. **Dr. Elder Shirley Ida Eliza Williams (Trent University)** is a member of the Bird Clan of the Ojibway and Odawa First Nations of Canada. She was born and raised at Wikwemikong Unceded Territory on Manitoulin Island. A survivor of Canada's Residential School system, Dr. Elder Williams is very accomplished, distinguished, and a gifted educator who has made a very positive impact. She shared her heart-wrenching experience and wisdom in this powerful talk. We were fortunate to have her participate.

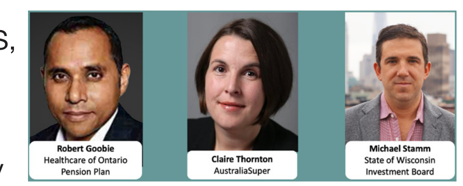
NUTRITION IN TODAY'S HECTIC WORLD - NOVEMBER 17

In the book "*Getting There: A book of Mentors*" where 30 leaders gave their stories and secrets to achieve success, Warren Buffet's message was simple yet profound: take care of your body and mind. Buffet gave the analogy of if you were told that you only get one car for the rest of your life, then it would be natural to take very good care of it; your body and mind and is this car! In this essential session, renowned nutritionist authority **Caroline Chow (Happy Health & CAASA)** gave practical solutions on how we can get the right fuel in this ever-increasingly complex world. Getting nutrition right is critical for a better immune system, health, happiness, energy, and productivity!

PORTFOLIO PERSPECTIVES AND INNOVATIONS - NOVEMBER 17

Four heavy hitters shared their thoughts on portfolio construction. Moreover, innovations different investors are exploring to deal with the challenging investing environment and to improve overall portfolio resilience were examined. Super content from **Ryan Abrams (Exelon Corporation Pension Plan), Andy Greene (TTC Pension Plan), Wayne Kozun (Forthlane Partners)**, and **Kevin Zhu (OPTrust)**.

TREASURY DESK ALPHA - LIQUIDITY, CASH, & COLLATERAL MANAGEMENT - NOVEMBER 17



The **Global Peer Financing Association (GPFA)**, which was founded by CalPERS, HOOPP, OPERS, and SWIB in 2020, has grown to more than 20 global beneficial owner members representing nearly $9 trillion in assets! The GPFA was awarded Partnership of the Year at the Institutional Investor's Allocators' Choice Awards in 2021. This session will share how some leading institutions are extracting treasury desk alpha via superior liquidity, cash, and collateral management. Fantastic info from: **Robert Goobie (HOOPP), Claire Thornton (AustralianSuper)**, and **Michael Stamm (SWIB)**.

CAASA ANNUAL CONFERENCE 2022 - MONTRÉAL

Tuesday, November 1 - Thursday, November 3

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

Table Talks for niche topics

Limited capacity - Investor delegates: 40%+ of ~250 overall

CAASA ANNUAL CONFERENCE

FROM CLASSIC TO SUPER- GET TO KNOW THE WINES TUSCANY - NOVEMBER 17

Tuscany is known to be one of the world's most loved centres of wine and gastronomy. Dive into centuries of history while tasting Chianti Classico, based on the Sangiovese grape which has been cultivated in the region since pre-Roman times. Taste how ancient techniques have informed the region's modern expression. Then taste Italy's answer to Bordeaux and Napa – the Super Tuscan. This bold blend of international grape varieties was pioneered in the 1970s to compete with new player on the international market. Now some of Italy's most famous producers are from this category. We delivered two private collection bottles and an extra surprise beverage to the doors of select conference delegates. Thanks to **Mackenzie Putici (New World Wine Tours)** for his direction on the wine and **Dr. Keith Black (FDP Institute)** for his insights into cryptocurrencies!

OPPORTUNITIES IN TIMES OF UNCERTAINTY - NOVEMBER 18

As the world transitions out of the global pandemic, there seems to be even more uncertainty in the economy ahead. This group of talented practitioners shared their ideas and insights on a variety of portfolio matters that include manager research, different strategies, investment mandates, and cross asset solutions. Our panel: **Brian Broadway (Gryphon Capital Management, and SFO), Kalina Berova (BCI), Dr. Elena Manola-Bonthond (CERN Pension Plan), Joe Tolen (Indiana Public Retirement System)**, and **Cédric Fontanille (Unigestion)**.

QUANT – ON THE EDGE OF CHANGE? - NOVEMBER 18

This group of elite quant experts discussed some of the most interesting ideas in the quantitative and systematic trading space today. **Mee Warren (Bodhi Research Group), Dr. Anne-Sophie van Royen (CDPQ), Dr. Wagner Dada (CPP Investments)**, and **Dr. Robin Lundgren (AP4)**.

FACTOR INVESTING USING CAPITAL MARKET ASSUMPTIONS + FACTOR TARGETED ASSET ALLOCATION - NOVEMBER 18

This session was based on new research which has been accepted for publication in 2022 in the Journal of Portfolio Management. The presenters introduce practical techniques to obtain a set of implied factor risk premia that are statistically stable. To translate factor exposures into asset weights, they propose an asset allocation methodology that targets such stable factor exposures. This "reverse-optimization" approach seems to lead to better results. This session will be of special interest to those who are involved in portfolio construction, asset allocation, factorization, research, and building trading models that are factor-based. Our panel: **Marco Salerno (University of Toronto) Prof. Redouane Elkamhi (University of Toronto),** and **Jacky Lee (HOOPP)**.

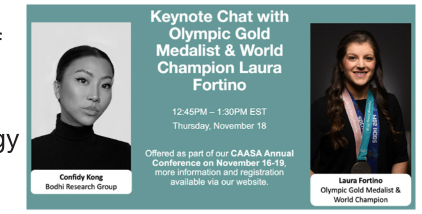
THE PORTFOLIO OF THE FUTURE - NOVEMBER 18

CAIA will be releasing their new curriculum in 2022 which has been carefully adjusted to include some of the global industry trends that they are privy to seeing. This NowTalk looked ahead and highlighted how the portfolio of the future will be broadly diversified, have more exposure to the private markets, rooted in a fiduciary mindset, have ESG embedded into its investments, and be gaining operational alpha. This exciting session will also glimpse into some of the adjustments of the CAIA curriculum and was presented by **Bill Kelly** and **John Bowman** of the **CAIA Association**.

THE GLOBAL HUNT FOR ALPHA - NOVEMBER 18

The name of the game remains alpha, and this session got to the heart of the matter – where to find it. Thanks to **Jim Geoghegan (Bodhi Research Group), Brandon Gill New (OPTrust), Kunjal Shah (Lyxor Asset Management)**, and **Yasir Mallick (UBC Investment Management Trust)**.

KEYNOTE FIRESIDE WITH OLYMPIC GOLD & WORLD CHAMPION LAURA FORTINO



This fireside, hosted by **Confidy Kong (Bodhi Research Group)**, got into the mind of one of the most accomplished women in ice hockey – **Laura Fortino**! Laura shared some of her experiences and stories, and along the way the audience will learn valuable insights about successful teamwork, how to be a good teammate, the psychology of performing under pressure, resiliency, work ethic, and the difference between success and surviving success.

CAASA ANNUAL CONFERENCE TABLE TALKS

As delegates to our conferences would know, we not only have hand-picked speakers (without thought to sponsorship dollars and the like) - we also provide a plethora of Table Talks on a wide-ranging list of assets, strategies, and topics. These are all opt-in, small group discussions lead by our supporting members of the particular conference and have been a boon for all involved!

NOVEMBER & DECEMBER

DR. FISMAN COVID19 UPDATE SERIES: S2E9 - NOVEMBER 24

Dr. David Fisman (University of Toronto) joined us one more time in 2021 - just days before the Omicron made its debut into the newsfeeds of the world. We'll be welcoming him back in '22 as we all continue our journey in this COVID-world.

FRANCIS SABOURIN HOUR: FT. MARRET ASSET MANAGEMENT - NOV 24

Award-winning Investment Advisor **Francis Sabourin (Richardson Wealth)** welcomed **Paul Sandhu (Marret Asset Management)** to his 'show' and spoke to both of their approaches to managing fixed income exposure in client portfolios.

INSIGHTS: QUANT INVESTING - NOVEMBER 30

This panel brought together quant and trading leaders from markets across the globe to speak on how they see the world of quantitative investing (featuring big data, machine learning, alternative data, and artificial intelligence) from their various, diverse perches. Thank you to our learned panel: **Wei Xie (OPTrust), Kapil Rastogi (Plus Plus Capital Management), Dr. Keith Black (FDP Institute),** and **Eric Forseth (Graham Capital Management)**.

HOLIDAY SOCIAL 2021 - NOVEMBER 30

At long last, and just as another COVID varient had started to rear its head around the world, we had our first in-person event since battening down the hatches on March 18, 2020. It was a smaller group (60 or so people) that managed to get to The Cambridge Club (some from NYC and SF!) and everyone was thankful to be together once more - although we had a feeling that gatherings might go out of style again soon. Thank you to our sponsors for the evening: **Unison Investment Management** and **The S-Factor Co.**!

INFLATION-PROOF YOUR PORTFOLIO WITH PRIVATE LENDING - DECEMBER 1

Rising interest rates are on the horizon (and even starting already) and investors are looking at a number of alternatives to help ensure that their hard-earned dollars are not devalued and they lose their purchasing power as they might head into retirement. Some alternatives are new to investors and others can be fraught with challenges such as illiquidity but private lending can offer investors options that can perhaps make the difference between being protected from possible scenarios or not being able to make the best of them. Another awesome panel: **Travis Forman (Harbourfront Wealth), Lorenzo Cocco (Gentai Financial Group), Sean Adamick (CMLS Asset Management),** and **Jeffrey Deacon (Private Debt Partners**).

QUAAF CAREER PANEL - DECEMBER 8

Our final career panel of the year was with the **Queen's University Alternative Asset Fund**'s members. JB has been active with QUAAF for about 10 years and really enjoyed seeing the progress of the program and its students - who run a portfolio of funds as well as direct equities - over that time. Big thanks to our speakers: **Theresa Shutt (Fiera Private Debt), Mark Allen (RBC Dominion Securities)**, and **Mark van der Zwan (Morgan Stanley Investment Management)**.

DECEMBER & H2 JOINERS

THE FRANCIS SABOURIN HOUR: FT. UNIGESTION - DECEMBER 15

And our final event of the year was the idea of **Francis Sabourin (Richardson Wealth),** who spoke with **Alexandre Falin (Unigestion)** about his shop's innovative solution for Canadian investors to gain access to private equity areas such as funds, direct transactions, and co-investments in a more liquid vehicle than they had hitherto had as an option. Thank you, Francis, for these seven episodes this year and we look forward to more in 2022!

JOINERS IN THE LATTER HALF OF 2021

Metis, Jamison McAuley (RBC Dominion Securities), Triovest, Konfidis, Western Wealth Capital, Koios Intelligence, Bedford Park Asset Management, Bitbuy, Walkerville Capital, CPI Capital, Mandeville Private Client, Axle AI, Brane Capital, Hosking Partners LLP, BlueSky Investment Counsel, Reciprocal Ventures, NEO Stock Exchange, Moselle, Community Fund, GDA Capital, Willow, BCI, Figment, Global X ETFs, Algoz, Leyline Altruism, Rondeivu, Cacoeli Asset Management, Harrison Street Asset Management, SR-ai, Stewart Asset Management, Campbell Lutyens, Capital Governance Partners, Crable Capital Management, Invictus Capital, Atlas One Digital Securities, Kula Investments, Varick Capital Partners, Continuum.Social, Validus RM, Honest Capital, DeFi Safety, DaVinci Capital, Gryphon Investment Advisors, Tokens.com, IMCO, Loyal VC, and **Rise Properties Trust,**

MORE OPPORTUNITIES FOR MEMBERS TO SHINE

As we leaned hard into our #digitalpivot2020 started producing our *Alternative Thinking: Both Sides of the Investment Coin* podcast, releasing 50 in 2020 and keeping up a less hectic pace in 2021. Our format is **JB** interviewing two members (of any category, but mostly manager+investor and manager+manager). We release them on **Apple Podcasts** (http://bit.ly/CAASApodcastApple) and **Spotify** (http://bit.ly/CAASApodcastSpotify) and any member interested in pairing up and recording one has just to ask!

ASSET ALLOCATION & GLOBAL MACRO


In this episode we spoke with two asset allocators: one with a multi-family office, **Steve Adang (Anchor Pacific Investment Management)**, and the other with an ETF-only allocation service for investors, **Rob Duncan (Forstrong Global Asset** Management). Both have a great deal of experience across many asset classes during markets and we will talk about current market dynamics and infrastructure of trading and where it is headed.

LONG-ONLY SOLUTIONS


In this session we had two portfolio managers, **Ed Sollbach (Spartan Fund Management)** and **Philip Smith (Investment Partners Fund)**, with high conviction portfolios that come at the markets from different tangents. Whether one is looking to longer term trends or short-term trading, knowing the markets you're in can make the difference between star performance and being at the back of the pack.

STUDENT HOUSING UNDER THE MICROSCOPE


For this episode we delved into the surprisingly resilient world of student housing; speaking with a fund manager in the asset class, **Sanjil Shah (Alignvest Student Housing)**, and an award-winning investment advisor with an enviable roster of clients in this and other alternative investments, **Joe Bakish (Richardson Wealth)**.

VIEWS FROM TWO ASSOCIATIONS


In this episode the tables were turned as my colleague **Paul Konnar** interviewed **Matthew Latimer** who heads the **Federation of Mutual Fund Dealers** and little ol' **JB**! We chatted about how the industry is evolving to include more alternative investments - making us think that maybe we need a new moniker for these non-correlated investments - thanks to the liquid alts legislation that our team worked or for 6 years.

WHAT OF THE 40?


In this episode we spoke with a veteran manager from Vancouver, **Travis Dowle (Maxam Capital Management)**, who recently released a new fund and a product specialist from an investment dealer, **Jamie Price (Richardson Wealth)** that is very active in the alternative investment scene. They discussed how alternative investments are becoming less of an alternative for virtually every type of client and how the idea of 60/40 can be reinterpreted since bond yields are at record lows and the probability of having capital gains in that part of the portfolio is surprisingly low.

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

2021 PODCASTS

ADAPT AND OVERCOME


In this episode we had a noted Canadian pension plan, **Tarik Serri (Trans-Canada Capital Inc.),** that has evolved its business to include external money so investors can take advantage of their experience and expertise. As well as an asset manager, **Marco Lukesch (Emso Asset Management)**, that specializes in emerging market private lending and other EM fixed income such as sovereign debt. Folks heard how they are adapting their offerings and internal capabilities to keep up with and make their mark in the international investment scene.

FX IN FLUX (+ A BIT OF BTC)


In this episode we were happy to speak with two experts from the foreign exchange market, one who heads those operations of a major asset manager in Canada, **Tom Nakamura (AGF Investments)**, and the other in charge of a global platform that facilitates the trades, **Matt O'Hara (360 Trading Networks)**. We talked about such things as FX flows, the Triffin Dilemma, and even bitcoin so get ready!

REAL ESTATE AND THE EXEMPT MARKET


In this episode we spoke with a leader in the assisted living space in Canada, **Jim MacDonald (Levante Living)**, as well as one of the most prolific distributors of exempt products, **Randy Beaudoin (Invico Capital Corporation)**. We talked about how this type of seniors living and housing is used by its occupants and the prospects for its growth going forward and hear about what investors are looking for when considering investments for their portfolios.

CONVERGENCE OF QUANT AND ESG


In this episode we spoke with a leader in the pension fund management space, **Brandon Gill New (OPTrust)**,as well as a noted expert in quantitative methods for extremely large portfolios such as those with $100 billion **Marnie Aragon-Uy (Alquity Investment Management)**. Both have a passion for ESG and creating portfolios that support both environmental social and governance imperatives as well as the return and income requirements of pensioners and investors that rely on their products.

ENGINEERING GREAT RETURNS


In this episode we spoke quantitative and systematic investments with two folks who have a great deal of experience in the space. **Wassim Sakka (Lyxor Asset Management)** oversees a hedge fund selection team in Paris, London, and New York, including fund due diligence and onboarding of the managers who trade via a variety of products. And **Jean-Olivier Caron (FORT LP)** is in business development at a New York based manager that uses an investment process that takes human emotion out of the trade in order to produce disciplined portfolios. Perhaps not surprising, they are both engineers by education and use these skills in their own way in this part of the industry.

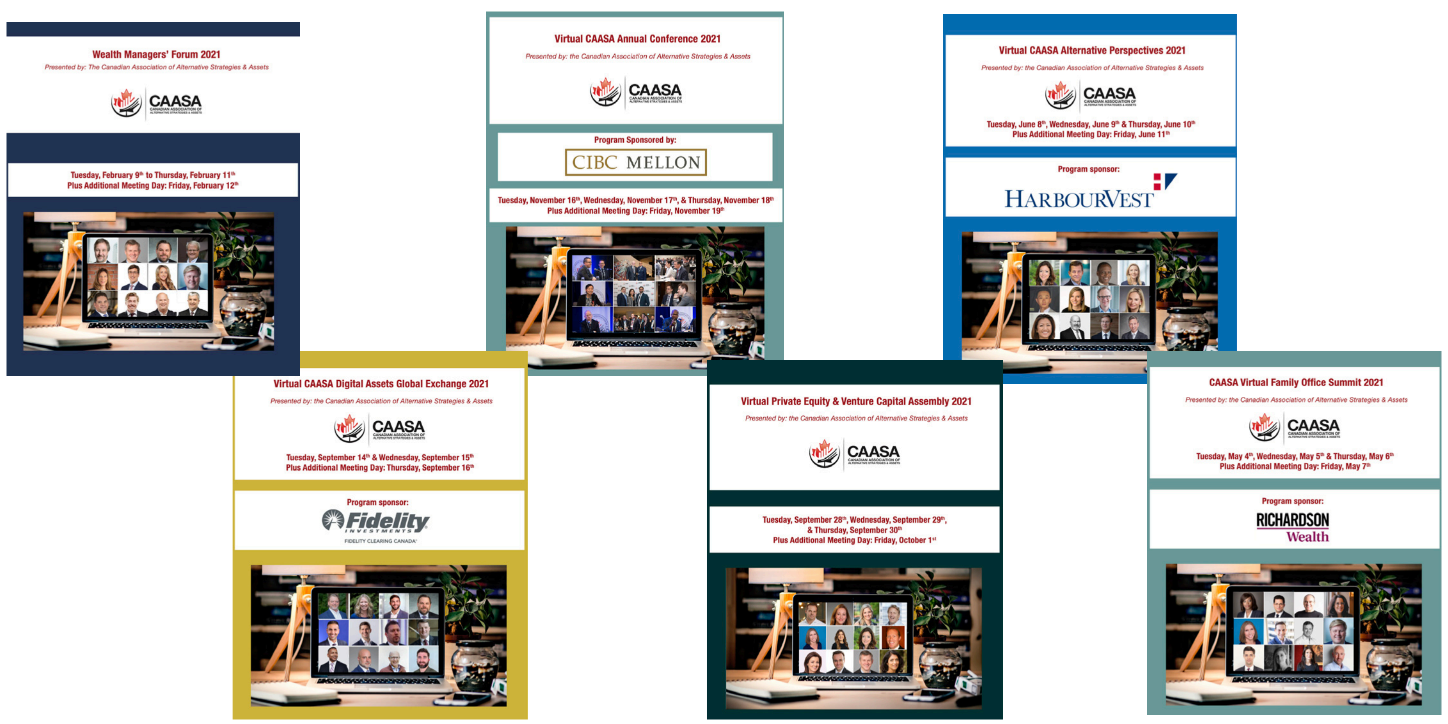
DUE DILIGENCE FOR REAL ESTATE INVESTMENTS


In this episode we discussed real estate investing and due diligence that investors should perform as well as how investor demographics and their behaviour can have a huge effect their overall returns. Many thanks to our expert participants: **Sandy Poklar (Firm Capital Corporation)** and **Darren Coleman (Raymond James)**.

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

OVERVIEW OF OPPORTUNITIES

NAME	DATE	PRICE	AUDIENCE
Global Partner Package	All Year	$50,000	Everyone
Signature Package	All Year	$30,000	Everyone
Wealth Managers' Forum	Feb	$2,000 sponsor; $500 to attend	Retail IAs, some FOs
Family Office Summit	May	$3,000 sponsor; ticket prices on the site	SFOs, MFOs, IAs ~45% investors
CAASA Alternative Perspectives	June	$3,000 sponsor; ticket prices on the site	Global investors ~45% investors
Digital Assets Global Exchange	Sept	$3,000 sponsor; ticket prices on the site	Global crypto community; all investors
Private Equity & Venture Capital Assembly	Sept	$3,000 sponsor; ticket prices on the site	Investors, managers, incubators
CAASA Annual Conference	Nov	$3,000 sponsor; ticket prices on the site	Global investors ~45% investors
GoC missions	TBD	$2,000 sponsor; delegate pricing TBD	Investors, managers, incubators
Wine-tastings etc.	TBD	$1,000	All industry
Podcasts	Ad hoc	Free with membership	Everyone
CAASA Papers	Ad hoc	$2,000	Everyone
Mentorship program	Jan/Feb	$1,000	Everyone



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2022 EVENTS

&

INITIATIVES

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

MEMBERSHIP PACKAGES

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.

NAPIER PARK GLOBAL CAPITAL

Napier Park Global Capital currently enjoyed the following benefits:

- Prominence as a sponsor at any three of our six signature conferences: ***CAASA Annual Conference, Family Office Summit***, ***Private Equity & Venture Capital Assembly***, ***Wealth Managers' Forum***, ***CAASA Alternative Perspectives*** and/or ***Digital Assets Global Exchange***
- Inclusion of swag item in gift box for all six conferences (item provided and delivered by sponsor)
- Branding on our website (priceless)
- Booth at each of the chosen in-person conferences ($6,000 value)
- Unlimited passes for member employees to our digital event (Wealth Managers' Forum) + nine (9) complimentary passes for three chosen in-person conferences (value of at least $25,000)
- Inclusion on our Global Partners' banners to be displayed at all in-person conferences (priceless)
- First call (in order of commitment date) on our additional exposure items (listed on page 7), which are offered without additional cost to all sponsors based on when they committed to sponsor a certain eventd(typically sold by conference organizers for $1,000 - $10,000 each)
- First call (in order of commitment date) on enhanced exposure items (listed on page 7) for the stated additional fees

As is our tradition, we treat all members equally for our speaking opportunities (470 in 2020; 567 in 2021) 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 - cost is $50,000 (no taxes) per calendar year (no proration) in addition to usual membership dues.

SIGNATURE PACKAGE

Our Signature Package is designed for members who are active (or about to be!) and desire a more all-inclusive billing and offering experience. These members receive:

- Prominence via sponsorship at any three of our six signature conferences: ***CAASA Annual Conference***, ***Family Office Summit***, ***Private Equity & Venture Capital Assembly***, ***Wealth Managers' Forum***, ***CAASA Alternative Perspectives*** and/or ***Digital Assets Global Exchange*** as well as our ***Founding Day Drinks*** typically held near our anniversary on February 5 (aggregate value of up to $8,000)
- Unlimited passes for member employees to our digital events, including up to three passes for member employees to their chosen conferences (potential value of up to $8,250 for conference attendance alone)
- Fewer passes for member employees to in-person events (to be determined)

As is our tradition, we treat all members equally for our speaking opportunities (470 in 2020; 567 in 2021) and Signature Members are afforded the same propensity to speak on and moderate panels and participate in podcasts.

Any CAASA member this is interested in adding a Signature Package should contact the CAASA office - cost is $30,000 (no taxes) per calendar year (no proration) in addition to usual membership dues.

Exclusivity in terms of category or any other criteria is not offered for these packages.

Fidelity INVESTMENTS FIDELITY CLEARING CANADA   NORTH PEAK CAPITAL   CIBC MELLON

2022 CONFERENCES

WE'RE ALWAYS OPEN

Every member knows that we do not sell our speaking opportunities, preferring to invite speakers to our panels and keynotes so that a unified theme across events and topics can be maintained and quality control fostered. We also strive to have diverse speakers both within and across all of our events throughout the year - with regard to typical diversity & inclusion parameters but also in terms of firm/AUM size, geography, type or category of member, asset class and strategy (as applicable), and tenure of membership with CAASA. While we always strive to have the perfect mix, we acknowledge that sometimes we could do better and welcome feedback from any audience member on speakers, themes, formats, and any other way that we can deliver better value to our members and the industry at large.

CAREER SHOWCASE - JAN 22, 23, 29, 30 - ONLINE

- Sponsorship is $1,000 (discounted to $500 for first 10 members) and limited to 20 sponsors
- We partnered with 20+ academic institutions from across Canada and including the United States, Jamaica, and Switzerland
- Programming is 1 hour of panels + 5 1-hour Corporate Culture Chats where members can introduce their company and strategy/asset class to the students
- Students will upload their CVs and cover letters, which will be available to all participating members

WEALTH MANAGERS' FORUM - FEB 15-19 - ONLINE

- Sponsorship is $2,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of the days. Does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; or sponsorship of the wine tasting for $1,000.
- Delegate passes $500 + taxes per person. We cannot facilitate badge-sharing.
- All attendees need to be members of CAASA unless with an investor such as a broker-dealer, wealth manager, SFO, or MFO. Eligibility determination rests solely with CAASA. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with <50 registered reps or $1,050 for those with 50+ reps. Members may sponsor IAs or dealers as they like.
- Speakers are comp but all others (including handlers, other staff) must have their own delegate pass.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

FAMILY OFFICE SUMMIT - MAY 3-5 - TORONTO

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of the days. Does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; wifi for $2,000, or sponsorship of the wine tasting for $1,000.
- Delegate pricing can be found on our website.
- All attendees need to be members of CAASA unless with an SFO. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with <50 registered reps or $1,050 for those with 50+ reps. Members may sponsor IAs or dealers as they like.
- Speakers are comp but all others (including handlers, other staff) must have their own delegate pass.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

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2022 CONFERENCES

CAASA ALTERNATIVE PERSPECTIVES - JUNE 13-15 - VANCOUVER

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of the days. Does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; wifi for $2,000, or sponsorship of the wine tasting for $1,000.
- Delegate pricing can be found on our website.
- All attendees need to be members of CAASA unless with an asset owner such as a pension plan or SFO. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with <50 registered reps or $1,050 for those with 50+ reps. Members may sponsor IAs or dealers as they like.
- Speakers are comp but all others (including handlers, other staff) must have their own delegate pass.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

DIGITAL ASSETS GLOBAL EXCHANGE - SEPTEMBER - TORONTO

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of the days. Does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; wifi for $2,000, or sponsorship of the wine tasting for $1,000.
- Delegate pricing can be found on our website.
- All attendees need to be members of CAASA unless with an asset owner such as a pension plan or SFO. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with <50 registered reps or $1,050 for those with 50+ reps. Members may sponsor IAs or dealers as they like.
- Speakers are comp but all others (including handlers, other staff) must have their own delegate pass.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

PRIVATE EQUITY & VENTURE CAPITAL ASSEMBLY - SEPTEMBER - TORONTO

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of 2 days. Does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; wifi for $2,000, or sponsorship of the wine tasting for $1,000.
- Delegate pricing can be found on our website.
- All attendees need to be members of CAASA unless with an asset owner such as a pension plan, SFO, or foundation/endowment. Start-ups may join as a company for $200 and have unlimited tickets for their staff. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with <50 registered reps or $1,050 for those with 50+ reps. Members may sponsor Founders, IAs or dealers as they like. Incubator members can send their Founders comp.
- Speakers are comp but all others (including handlers, other staff) must have an individual ticket.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

2022 CONFERENCES

CAASA ANNUAL CONFERENCE - NOVEMBER 16-18

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk on one of the days. Sponsorship does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $3,000; logo on front of printed program for $1,000; wifi for $2,000, or sponsorship of the wine tasting for $1,000.
- Delegate pricing can be found on our website.
- All attendees need to be members of CAASA unless with an asset owner such as a pension plan, SFO, or foundation/endowment. Individual memberships are available for IAs/investors at $160 for the year or $525 for dealers or MFOs with fewer than 50 registered reps or $1,050 for those with more than 50 reps. Other members may sponsor IAs or dealers as they like.
- Speakers are comp but all others (including handlers, other staff) must have an individual ticket.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

OTHER CONFERENCES

Specifics to be determined. Examples include Global Affairs Canada online and in-person events in partnership with Government of Canada missions around the world.

- Sponsorship is $3,000 and includes logo placement in the program and event page, ½-page ad in program (if confirmed prior to print date), Table Talk. Sponsorship does not influence speaking opportunities.
- Sponsors may opt for additional exposure such as: logo on meeting app (seem by all participants in all instances of using the CAASA All-in-one Virtual Platform) for $2,000; or logo on front of printed program for $500.
- Individual tickets are: $500 for all.
- **Only Canadian Managers and Founders are eligible.** Non-Canadian VC/PE shops that are seeking start-ups to invest in may attend also.
- Speakers are comp but all others (including handlers, other staff) must have an individual ticket.
- All delegates have access to the meeting app to schedule 1:1 meetings and message any other delegate. We do not provide an Excel listing and never share contact information (email/phone).

Find out more in our Planning 2022 doc or give us a call/send us an email!

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.

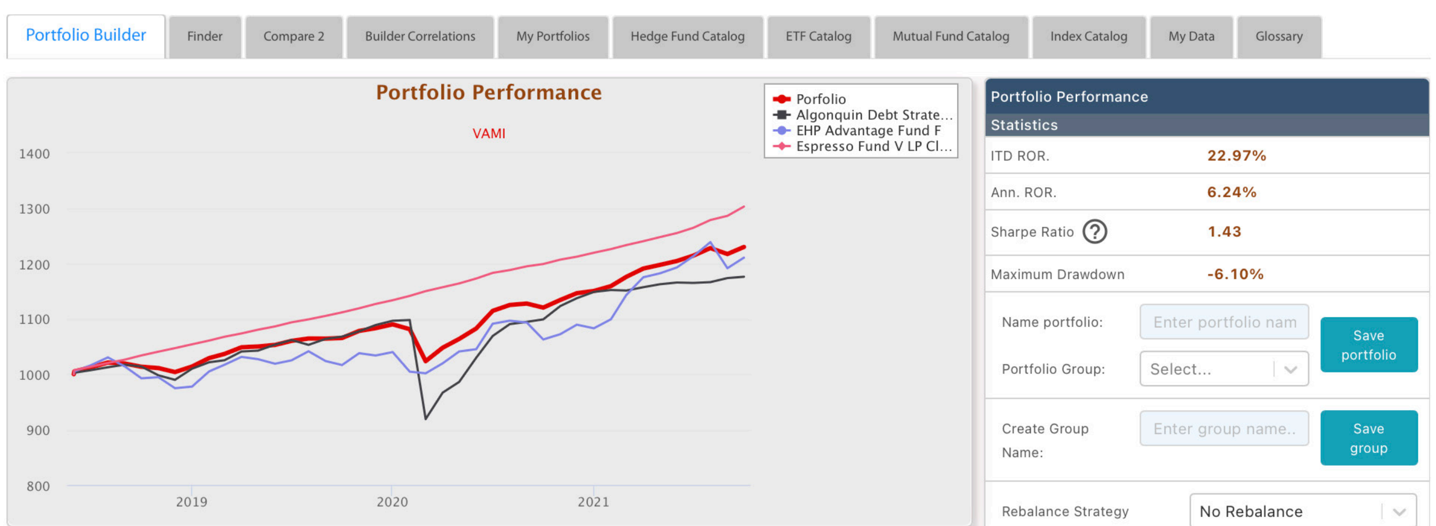
You can also produce pro forma portfolios (like the one below) to see how adding certain funds could have affected returns. The weighting of each fund can be easily adjusted - leading to all performance metrics being updated immediately.

To simplify your search, we have a special **CAASA Catalogue** that can be used to seek our members' tear-sheets and return profiles. This list is constantly growing as more of our manager members see the value in making their data available to select investors like yourself.

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.

It is very easy to do the initial data population as well as monthly/periodic updates to the platform. Basically, SigmaSandbox does all of the heavy lifting and has created a very streamlined process requiring minimal additional effort on the managers' part.



Powered by www.sigmasandbox.com

CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

3IQ Global Cryptoasset Fund A

Contact Information
3iQ Corp.
1 King St. West, Suite 4800
Toronto, M5H 1A1
fpye@3iq.ca
1 (514) 775-0010

Fund Details
The 3iQ Global Cryptoasset Fund ("GCF") is established as a mutual fund trust [illegible] 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.

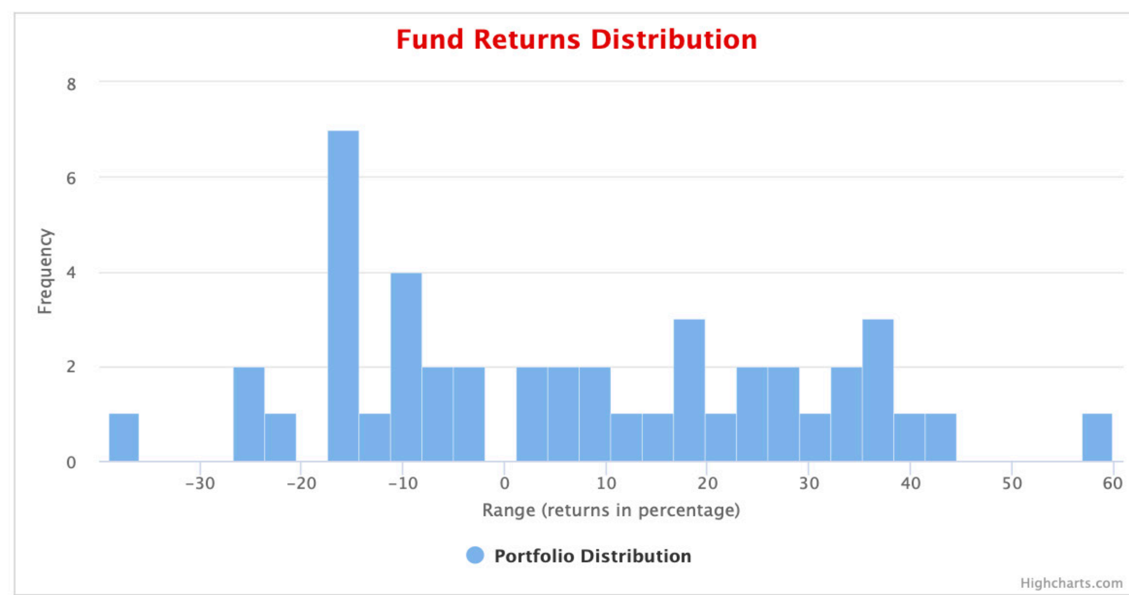
tel:1%20(514)%20775-0010

Statistics & Ratios Summary

	Fund	Benchmark
Ann. RoR	62.57 %	N/A
Sharpe Ratio (0%)	0.99	N/A
Volatility	79.33 %	N/A
Average Monthly Return	6.55 %	N/A
Highest Monthly Return	60.00 %	N/A
Lowest Monthly Return	-39.00 %	N/A
Maximum Drawdown	-69.49 %	N/A
% Positive Months	55.56 %	N/A
% Negative Months	44.44 %	N/A
Average Monthly Gain	23.72 %	N/A
Average Monthly Loss	-14.92 %	N/A
1Y Return	N/A	N/A
1Y Volatility	N/A	N/A

Monthly Performance

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	YTD Benchmark
2021	36.44%	23.27%	23.43%	14.00%	-25.00%	-8.76%	10.00%	29.00%	-10.00%	39.00%	2.00%	-23.00%	**125.79%**	0.00%
2020	37.41%	5.28%	-25.85%	37.85%	2.39%	-2.92%	34.40%	8.11%	-14.78%	18.21%	44.04%	35.10%	**318.67%**	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%



Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MENTORSHIP & SCHOLARSHIPS

TIME-TESTED MODEL USED TO READY THE NEXT GENERATION OF LEADERS

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

Eligibility:
Matching Committee: individuals employed CAASA members or with individual membership; should have 10+ years of experience in the industry
Mentees: individuals employed CAASA members or with individual membership; 4 - 6 years of industry experience
Mentors: individuals employed CAASA members or with individual membership or non-members; 10+ years of industry experience

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

Process:
In January and February 2022 CAASA will solicit applications for two parties: mentees and the Matching Group. Mentees will provide background on themselves as well as permission from their employer to participate in the program.

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

The Class of 2021 begins on June 1, 2022, ending on May 31, 2023. All pairs will be part of a half-day orientation where they will learn about their roles and tasks, the program overall, and each others' strengths and talents. A follow-up session will occur in September. Each pair may schedule their meetings/chats as they like and they may be in-person or over the phone.

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

This will be our third cohort and we are super-proud of the work of our Matching Committee in putting together the pairs, our mentors for their time, and mentees for their initiative to take part in this program!


Farialle Pacha

CAIA SCHOLARSHIP

Members are also encouraged to follow the lead of **Farialle Pacha** and **Peter Figura** who were our 2019 & 2020 **CAIA Scholars**. They had a comp pass to the exam for what is objectively the best course for alternatives - the **Chartered Alternative Investment Analyst**.

We open the submission window early in the year and announce the winner on about May 1. See our site for more!


Peter Figura

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

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!

MEMBER DIRECTORY

INVESTORS & ALLOCATORS

ABSHE Holding - *Single Family Office*
Lionel Alcoloumbre, *President*
Montréal, Québec lionelalcoloumbre@videotron.ca (514) 962-7260
Since 2019

Aksia - *Alternatives Investment Consultant*
David Sheng, *DS, Managing Director, Portfolio Advisory*
New York, NY david.sheng@aksia.com (212) 710-5732
Since 2020

Early Joiner
Alberta Teachers' Retirement Fund - *Pension Plan*
Darryl Orom, *Head of Absolute Return Investments*
Edmonton, Alberta DOrom@atrf.com (780) 453-4438
Since 2018

Albourne Partners - *Alternative Investment Consulting*
Julia Pothier, *Client Relationship & Business Development Manager (Canada)*
Toronto, Ontario j.pothier@albourne.com
Since 2021

Alternative Capital Group - *Multi Family Office*
Pierre Luc Gariépy, *Vice President, Client Relations*
Montréal, Québec plgariepy@altcapgroup.ca (514) 250-0653
Since 2019

Aligned Capital Partners - *IIROC Broker Dealer*
www.alignedcapitalpartners.com
Since 2020

Amana Global Partners - *Multi Family Office*
Sajal Heda, *CEO & Founding Partner*
Dubai, UAE sajal@amanagp.com +971 4 818 7226
Since 2020

Anchor Pacific Investment Management - *Outsourced Chief Investment Office*
Steven Adang, *President & Chief Investment Officer*
Vancouver, BC steve@anchorpacificgroup.com (604) 336-9080
Since 2020

Atlas One Digital Securities - *Exempt Market Dealer*
George Nast, *Chief Executive Officer*
Vancouver, BC investor@atlasone.ca (888) 217-3892
Since 2021

BCI - *Pension Plan*
Dave Finstad, *Managing Director*
Victoria, BC
Since 2021

Bell Kearns & Associates (Individual) - *Wealth Advisory*
Gino Di Censo, *Associate*
Toronto, Ontario gdicenso@bellkearns.com (416) 486-7111 Ext 222
Since 2020

bfinance - *Institutional Investment Consulting*
Les Marton, *Managing Director, Client Consulting*
Toronto, Ontario lmarton@bfinance.com (514) 393-4899
Since 2019

MEMBER DIRECTORY

INVESTORS & ALLOCATORS

Blue Bridge Wealth Management - *Multi Family Office*
Jean-Michel Charette, *Director | Investment Strategies & Innovation*
Montréal, Québec jean-michel.charette@bluebridge.ca (514) 845-9165
Since 2019

BlueSky Investment Counsel - *Multi-Family Office*
Jean-Pierre Berger, *President & CEO*
Toronto, Ontario jberger@blueskyic.com
Since 2021

BMO Nesbitt Burns (Individual) - *IIROC Broker Dealer*
Naveed Mohammed
VP & Head of Investment Manager Research, BMO Private Wealth
Since 2018

Early Joiner
Bodhi Research Group - *Alternative Investment Consulting*
Ranjan Bhaduri, *Founder & CEO*
Toronto, Ontario ranjan.bhaduri@bodhiresearchgroup.com (416) 716-0341
Since 2018

Canaccord Genuity Wealth Management - *IIROC Broker Dealer*
Scott Starratt, *Senior Portfolio Manager*
Since 2019

Canada Overseas Asset Management Limited (Indiv.) - *Single Family Office*
Vincent Fernandez, *Chief Investment Officer*
Toronto, Ontario vfernandez@canadaoverseas.com (416) 865-0266
Since 2018

Casselman & Co. Inc. (Individual) - *Single Family Office*
Brian Casselman, *Principal*
Toronto, Ontario brian@bbcasselman.com
Since 2018

CEOS Family Office - *Multi Family Office*
Eric Lapointe, *CEO & Founder*
Montréal, Québec elapointe@ceosfamilyoffice.com (514) 884-0325
Since 2019

CIBC Private Wealth Management (Individual) - *IIROC Broker Dealer*
Joel Carriere, Investment Advisor
Toronto, Ontario Joel.Carriere@cibc.com (416) 581-2455
Since 2019

Cidel - *Wealth Management / Multi Family Office*
Matthew Dennis, *Vice President*
Toronto, Ontario mdennis@cidel.com (416) 925-2402
Since 2019

Echelon Wealth Partners Inc. - *IIROC Broker Dealer*
James Hunter, *Head of Wealth Management*
Toronto, Ontario jhunter@echelonpartners.com (416) 365-6484
Since 2020

Eckler Ltd. - *Investment Consulting to Institutional Investors & Family Offices*
Jason Campbell, *Principal*
Toronto, Ontario jcampbell@eckler.ca (416) 696-4949
Since 2019

MEMBER DIRECTORY

INVESTORS & ALLOCATORS

Enoch Wealth Inc (Individuals) - *Exempt Market Dealer*
Qin (Jeff) Chu, *Dealing Representative*
Vancouver, BC jeffchu@enochwm.com
Since 2021

Fipke Group - *Single Family Office*
Jason Granger, *Chief Operating Officer*
Kelowna, BC jgranger@metalexventures.ca (250) 860-8599
Since 2020

Focus Asset Management - *Multi Family Office*
Jeff Hales, *Portfolio Manager - Public Equities & Alternative Investments*
Toronto, Ontario jeff.hales@focusasset.ca
Since 2019

Forthlane Partners - *Multi Family Office*
Wayne Kozun, *Chief Investment Officer*
Toronto, Ontario wayne.kozun@forthlane.com (416) 306-8213
Since 2019

Gryphon Investment Advisors Bahamas Limited - *Multi Family Office*
Albany, New Providence, The Bahamas
Since 2021

Guardian Partners Inc. - *Wealth Manager*
Andrew Nonis, *Associate Director*
Toronto, Ontario anonis@guardiancapital.com (647) 426 7137
Since 2019

Harbourfront Wealth Management (Individual) - *IIROC Broker Dealer*
Travis Forman, *Portofolio Manager, Director of Private Strategy*
Surrey, BC tforman@harbourfrontwealth.com (604) 560-8266
Since 2018

HarbourVest Partners - *Private Equity Fund of Funds*
Daniel Conti, *Principal*
Toronto, Ontario dconti@harbourvest.com (647) 484-3027
Since 2019

Healthcare of Ontario Pension Plan - *Public Pension*
Robert Goobie, *AVP Collateral Management, Fixed Income & Derivatives*
Toronto, Ontario rgoobie@hoopp.com (416) 908-1053
Since 2020

Heirloom Investment Management - *Investment Manager for Families and UHNWIs*
Geoff Dover, *Chief Investment Officer*
Toronto, Ontario geoff.dover@heirloominvesting.com (416) 275-2620
Since 2019

Horizon Capital Holdings (Individual) - *Single Family Office*
Enzo Gabrielli, *EVP and CFO*
Montréal, Québec egabrielli@horizoncap.ca (514) 982-3901
Since 2018

IMCO - *Pension*
Andrew Garrett, *Senior Principal*
Toronto, Ontario andrew.garrett@imcoinvest.com (416) 300-3248
Since 2021

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

INVESTORS & ALLOCATORS

Koloshuk Farrugia Corp. - *Single Family Office*
Robert Koloshuk, *Director*
Toronto, Ontario rkoloshuk@wavefrontgam.com (416) 933-8283
Since 2019

Mandeville Private Client - *Wealth Manager*
Burlington, Ontario
Since 2021

Master Plan Management (Individual) - *Single Family Office*
Shimmy Brandes, *Chief Financial Officer*
Toronto, Ontario
Since 2019

Mirabaud Asset Management (Individual) - *HNWI & Family Office*
Jean Courcelles, *Portfolio Manager*
Montréal, Québec jean.courcelles@mirabaud.ca (438) 989-0737
Since 2019

Morgan Stanley Wealth Management Canada Inc. - *Wealth Manager*
Craig Koenig, *Executive Director, Head of Product Sales & Distribution*
Toronto, Ontario craig.koenig@morganstanley.com (416) 943-8400
Since 2021

National Bank Financial (Individual) - *Wealth Manager*
Andrew Reitknecht, *Portfolio Manager & Wealth Advisor*
Oakville, Ontario andrew.reitknecht@nbc.ca (905) 849-3936
Since 2021

Nicola Wealth (Individual) - *Wealth Manager*
Yi (Helen) Zhang, *Financial Planning Associate*
Vancouver, BC hzhang@nicolawealth.com (604) 335-1596
Since 2021

Northfront Financial (Individual) - *Multi Family Office*
Shamez Kassam, *Partner*
Calgary, Alberta shamez.kassam@northfront.com (403) 571-8960
Since 2020

Northland Wealth Management - *Multi Family Office*
Arthur Salzer, *Founder & CEO*
Toronto, Ontario asalzer@northlandwealth.com (416) 360-3423 Ext 121
Since 2018

Numus Financial Inc. - *Exempt Market Dealer*
Evan Dawe, *Corporate Development Associate*
Halifax, NS edawe@numusfinancial.com (902) 802-3188
Since 2021

OMERS Capital Markets (Individuals) - *Pension*
Kenneth Tam, *Senior Analyst, Risk Management, Capital Markets*
Thorsten Koop, *Director, Cross-Asset Strategies, Capital Markets*
Since 2021

Ontario Teachers' Pension Plan - *Pension Plan*
5650 Yonge Street
Toronto, Ontario (416) 228-5900
Since 2018

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

INVESTORS & ALLOCATORS

Open Access (Individual) - *Investment Platform*
Ryan Sheriff, *Portfolio Manager*
Toronto, Ontario rsheriff@openaccessltd.com (416) 364-2109
Since 2020

OPTrust - *Pension*
Wei Xie, *Director*
Toronto, Ontario wxie@optrust.com (416) 681-3048
Since 2020

Our Family Office - *Multi Family Office*
Neil Nisker, *Co-founder, Executive Chairman & CIO*
Toronto, Ontario neil@ourfamilyoffice.ca (416) 304-9870
Since 2019

Pandion Investments Limited - *Family Office*
Michael Doble, *Vice President*
Montréal, Québec mdoble@pandionltd.com (514) 842-8477
Since 2018

Early Joiner
Prime Quadrant - *Family Office Advisor*
Isaac Lempriere, *Associate Director of Investments*
Toronto, Ontario ilempriere@primequadrant.com (647) 905-9008
Since 2018

Raintree Wealth Management
Adrian Morgan, *Vice President & Portfolio Manager*
Toronto, Ontario amorgan@raintreeWM.com (647) 361-2923
Since 2019

Raymond James Ltd. (Individuals) - *IIROC Broker Dealer*
John Boomsma, *Financial Advisor & Portfolio Manager*
Darren Coleman, *Senior Vice President & Portfolio Manager*
Emma Querengesser, *AVP, Alternative Investments | Structured Solutions and Alternative Investments*
Since 2018

RBC Dominion Securities (Individuals) - *IIROC Broker Dealer*
Mark Allen, *Senior Portfolio Manager*
Ted Karon, *Portfolio Manager*
John Duke, *Senior Portfolio Manager*
Brendan Rogers, *Senior Investment & Wealth Advisor*
Jamison McAuley, *Portfolio Manager*
Since 2018

Richardson Wealth - *IIROC Broker Dealer*
Romain Marguet, *VP, Head of Alternative Investments*
Toronto, Ontario
Since 2018

Richardson Wealth Private Family Office - *Family Office Services*
Kieran Young, *National Director*
Toronto, Ontario kieran.young@rwprivatefamilyoffice.com (416) 969 4759
Since 2018

Richter Family Office - *Multi Family Office*
Toronto, Ontario | Montréal, Québec
Since 2020

MEMBER DIRECTORY

INVESTORS & ALLOCATORS

SmartBe Investments Inc. - *Portfolio diversification strategies*
Jay Barrett, *Managing Director*
Montréal, Québec jayb@smartbeinvestments.com (514) 716-1994
Since 2020

Stonehage Fleming - *Family Office*
Ralph Awrey, *Director*
Toronto, Ontario ralph.awrey@stonehagefleming.com (647) 535-3181
Since 2021

Tacita Capital Inc. (Individual) - *Multi-family Office*
Edwin Wong, *Senior Portfolio Manager*
Toronto, Ontario ewong@tacitacapital.com (416) 640-7368
Since 2021

Timberline Equities - *Single Family Office*
Adam Halbert, *Principal*
Toronto, Ontario adam@timberlineq.com (416) 780-8000
Since 2020

Ullman Wealth Management - *Multi Family Office*
Lawrence Ullman, *Chief Executive Officer*
Toronto, Ontario lawrence@ullmanwealth.com (416) 927-0000
Since 2018

Vibrato Capital (Individual) - *Single Family Office*
Tec Han, *Chief Investment Officer*
Portland, Oregon
Since 2019

Wealth Stewards - *Wealth Manager*
Bob Simpson, *Vice President, Portfolio Strategy*
Toronto, ON bsimpson@wealthstewards.ca (905) 502-0100
Since 2021

Westcourt Capital Corp. - *Multi Family Office*
Robert Janson, *Co-CEO & Chief Investment Officer*
Toronto, Ontario rj@westcourtcapital.com (416) 400-5943
Since 2021

Zen Capital & Mergers Ltd. - *Single Family Office*
Daniel Stow, *Chief Investment Officer*
Vancouver, BC daniel.stow@zen-capital.ca (604) 603-4433
Since 2019

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

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

ASSET MANAGERS

Early Joiner

3iQ Digital Asset Management - *Digital Asset Manager*
Frederick Pye, *Chairman & CEO*
Toronto, Ontario fpye@3iq.ca (416) 639-2130
Since 2018

Accelerate Financial Technologies - *Innovative ETFs*
Michael Lee Hing, *Chief Operating Officer*
Calgary, Alberta mleehing@acceleratefintech.com (403) 975-5294
Since 2021

Actis - *Growth Markets Infrastructure and Real Estate*
Maureen O'Toole, *Head of Investor Development, Americas*
New York, NY MOToole@act.is (646) 689-2569
Since 2020

Adaptive ETF - *Global Tactical Portfolio Solutions*
Jeff Black, *Portfolio Manager & Co-Head of ETF Strategy*
Toronto, Ontario jeff.black@adaptiveetf.ca (416) 777-6767
Since 2021

ADI Capital Partners - *Real Estate Fund Manager*
Ryan Gonsalves, *Chief Operating Officer*
Toronto, Ontario ryan.gonsalves@adicapitalpartners.com (905) 335 2929
Since 2018

AGF Investments, Inc. - *Fundamental, Quantitative & Alternative Strategies*
Tyler Chapman, *Vice President, Institutional & Key Account Solutions*
Toronto, Ontario Tyler.Chapman@agf.com (416) 721-5224
Since 2019

AGinvest Farmland Properties Canada
Anthony Faiella, *Senior VP*
Toronto, Ontario anthony.faiella@aginvestcanada.com (416) 271-6888
Since 2020

Agriroots Capital Management Inc. - *Agri-lending*
Robb Nelson, *Chief Executive Officer*
Chatham, Ontario robb@agriroots.ca (519) 351-5650
Since 2021

Early Joiner

Algonquin Capital - *Credit Long-Short Fund Manager*
Raj Tandon, *Founding Partner, Business Development*
Toronto, Ontario raj.tandon@algonquincap.com (416) 306-8401
Since 2018

Algoz - *Crypto Market-Making & Trading*
Alon Karniel, *Funds Manager*
Raanana, Israel
Since 2021

Early Joiner

Alignvest Student Housing - *Private REIT*
Sanjil Shah, *Managing Partner*
Toronto, Ontario sshah@alignvest.com (416) 418-5675
Since 2018

Allianz Global Investments- *Alternative Fund Manager*
Michael Moran, *Institutional Client Team*
New York, NY michael.moran@allianzgi.com
Since 2020

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

ASSET MANAGERS

Alquity Investment Management - *ESG and Impact Investing*
Renee Arnold, *Executive Director*
London, UK renee.arnold@alquity.com (215) 350-9063
Since 2020

Antrim Investments - *Mortgage Investment Corporation*
Will Granleese, *Portfolio Manager*
Langley, BC will@antriminvestments.com (416) 898-5692
Since 2020

Applied Real Intelligence (A.R.I.) - *Venture Debt*
Zack Ellison, *Managing General Partner*
Beverly Hills, CA zellison@arivc.com (310) 881-3893 ext. 100
Since 2021

AQR Capital Management - *Quantitative Investment Manager*
Marianne Love, *Managing Director, Business Development*
Greenwich, CT marianne.love@aqr.com (203) 742-6951
Since 2020

Arcis Capital Partners - *Technology Growth Equity*
Afzal (Al) M. Tarar, *Chairman & Managing Partner*
New York, NY afzal@arciscap.com (212) 634-7173
Since 2020

Ascendi Capital - *Real Estate Fund Manager*
Adeola Oladimeji, *Managing Partner*
Vancouver, BC ade@ascendi-capital.com (604) 441-2932
Since 2021

Aspect Capital - *Systematic Asset Manager*
Emmett Fitzgerald, *Managing Director, Americas*
Stamford, CT emmett.fitzgerald@aspectcapital.com (203) 653-7803
Since 2019

Auspice Capital Advisors - *Quantitative Investment Specialist*
Brennan Basnicki, *Director & Product Specialist, Partner*
Toronto, Ontario brennan@auspicecapital.com (647) 990-2226
Since 2020

Avenue Living Asset Management - *Private Real Estate*
Jason Jogia, *Chief Investment Officer*
Calgary, Alberta jjogia@avenueliving.ca (403) 984 9363 ext 121
Since 2019

Aviva Investors - *Global Asset Manager*
Andrew Marshall, *Head of Canadian Sales*
Toronto, Ontario andrew.marshall@avivainvestors.com (416) 360-2770
Since 2019

Axia Real Assets LP - *Real Estate*
Joshua Varghese, *Partner*
Toronto, Ontario invest@axiarealassets.com (416) 364-1145
Since 2021

Axonic Capital - *Credit Long-Short*
Joel Maizel, *Managing Director*
New York, NY jmaizel@axoniccap.com (212) 508-7155
Since 2019

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

ASSET MANAGERS

Bedford Park Capital - *High Conviction Manager*
Jordan Zinberg, *President & CEO*
Toronto, Ontario jordan@bedfordparkcapital.com (416) 623-8230
Since 2021

Bridgeport Asset Management - *Alternative Asset Fund Manager*
Stephanie Kremer, *Head, Distribution & Marketing*
Toronto, Ontario Stephanie@bridgeportasset.com (647) 637-2940
Since 2021

Brightspark - *Venture Capital*
Alexandre Cabrejo-Jones, *Head of Investor Relations*
Montréal, Québec alex@brightspark.com (514) 220-2539
Since 2019

Cacoeli Asset Management - *Multi-Res & Affordable Housing Real Estate*
Toronto, ON
Since 2021

Cameron Stephens - *Private Lending*
Katie Bonar, *VP, Investment Management and Strategy*
Toronto, Ontario kbonar@cameronstephens.com (416) 899-9701
Since 2021

Carlisle Management Company S.C.A. - *Life Settlements*
Vittorio Vermigli, *Portfolio Management Associate*
Luxembourg vvermigli@cmclux.com +352 691 353 014
Since 2020

Celernus Investment Partners Inc. - *Real Estate and Private Lending*
Kurt Hagerman, *CCO & COO*
Burlington, Ontario khagerman@celernus.com (289) 863-1344
Since 2019

Centurion Asset Management Inc. - *Real Estate and Private Lending*
Vali Lazarescu, *Vice President, Institutional Sales*
Toronto, Ontario vlazerescu@centurion.ca (647) 390-9790
Since 2019

CI Global Asset Management - *Traditional and Alternative Investments*
Jennifer Sinopoli, *Senior Vice-President, Head of Distribution, Central Canada*
Toronto, Ontario jsinopoli@ci.com (416) 681-7734
Since 2018

CIBC Asset Management - *Traditional and Alternative Investments*
Michael Sager, *Executive Director, Multi-Asset & Currency*
Toronto, Ontario michael.sager@cibc.com (416) 980-6301
Since 2019

Claret Asset Management Corporation - *HNW PM Services*
Pierre Thauvette, *Strategic Development and Portfolio Manager*
Montréal, Québec pthauvette@claret.ca (514) 840-6014
Since 2018

Clearfield Capital Management - *Special Situations Fund Manager*
Jamie Forusz, *Head of Partner Relations*
New York, NY forusz@clearfieldcap.com (212) 468-5420
Since 2021

MEMBER DIRECTORY

ASSET MANAGERS

Clifton Blake Asset Management - *Real Estate Asset Manager*
KC Daya, *President*
Toronto, Ontario kdaya@cliftonblake.com (416) 238-6992
Since 2021

Clocktower Group - *Alternative Asset Manager*
Wei Liu, *Partner*
Los Angeles, CA wliu@clocktower.com (310) 458-2003
Since 2021

CMCC Global - *Asia Focused Blockchain Venture Capital*
Charlie Morris, *Managing Partner*
Toronto, Ontario charlie@cmcc.vc (416) 587-5988
Since 2020

CMLS Asset Management - *Real Estate Debt and Equity Manager*
Cynthia Maisonneuve, *Director, National Sales*
Toronto, Ontario cynthia.maisonneuve@cmls.ca (416) 846-2917
Since 2019

CoinFund Management LLC - *Early-Stage, Fundamental Crypto Strategies*
Pallavi Gondipalli, *Managing Partner, Head of Business Development & IR*
New York, NY pallavi@coinfund.io (917) 618-0920
Since 2020

Community Fund - *Multistrategy, TMT & Real Estate, U.S. & Israel*
Ashley Pullen, *Head of Marketing and Business Development*
Los Angeles, CA apullen@comllp.com (917) 887-0366
Since 2021

Connor, Clark & Lunn Funds, Inc. - *L/S Equity, L/S Income & EMN*
Tim Elliott, *President*
Toronto, Ontario telliott@cclgroup.com (416) 643-7637
Since 2019

Converium Capital - *Multi-Strategy Opportunistic Hedge Fund*
Jacqueline Allen, *Head of Business Development & Investor Relations*
Montréal, Québec jallen@converiumcap.com (514) 418-0179
Since 2021

Corton Capital Inc. - *Forestry Funds*
David Jarvis, *President & CEO*
Toronto, Ontario david@cortoncapital.ca (416) 627-5625
Since 2019

Cortland Credit Group Inc. - *Private Lending*
James Kelly, *Managing Director – Business Development*
Toronto, Ontario jkelly@cortlandcredit.ca (416) 356-2743
Since 2021

CPI Capital - *U.S. Multi-Residential Real Estate*
Ava Benesocky, *Chief Executive Officer*
Vancouver, BC ava@cpicapital.ca (604) 828-8302
Since 2021

Crabel Capital Management - *Quantitative Asset Manager*
Lisa Martin, *Director of Business Development*
Los Angeles, California lmartin@crabel.com (847) 770-1789
Since 2021

ASSET MANAGERS

Early Joiner

Crystalline Management Inc - *Multi-Strategy Arbitrage*
Bryan Nunnelley, *Chief Executive Officer*
Montréal, Québec bnunnelley@cristallin.ca (514) 284 0246 x235
Since 2018

Cult Wines - *a fine wine investment firm*
Atul Tiwari, *CEO Cult Wines Americas*
Toronto, Ontario canada@cultwines.com 1.855.808.CULT
Since 2021

Dana Point Capital Limited - *Emerging Markets Equity Market Neutral*
Mohamed Abdel-Hadi, *Founder & CIO*
London, UK mah@danapointcapital.uk +44 777 058 55 55
Since 2021

DaVinci Capital Partners - *Traditional & Liquid Alts Funds*
Mark Irwin, *Managing Director & Senior Portfolio Manager*
Toronto, Ontario mark.irwin@davincicapital.com (647) 260-3388 x223
Since 2021

Desjardins Global Asset Management - *Traditional & Liquid Alts Funds*
Sonia Mahadeo, *Senior Advisor, Institutional Affairs*
Montréal, Québec sonia.mahadeo@desjardins.com (416) 844-0623
Since 2019

DGC Capital - *Impact Investing*
Françoise E. Lyon, *President & Managing Partner*
Montréal, Québec flyon@dgccapital.ca (514) 867-8822
Since 2020

Diagram Venture - *Venture Builder*
Valentina Tacchi, *Operations Manager - Venture Creation*
Montréal, Québec valentina@diagram.ca
Since 2018

Donville Kent Asset Management - *Alternative Fund Manager*
Sarah Cheng, *VP, Investor Relations & Business Development*
Toronto, Ontario sarah@donvillekent.com (416) 843-2144
Since 2020

Driehaus Capital Management - *Life Sciences Strategy*
Lee Diamandakis, *Senior Vice President*
Chicago, IL ldiamandakis@driehaus.com (312) 587-3859
Since 2020

DSC Quantitative Group, LLC - *Access to PE & VC Indices*
Jeffrey Knupp, *Eastern Business Development Director*
Chicago, IL jknupp@dscqg.com (312) 621-7414
Since 2021

Durum Capital - *Diversified Asset Manager with Real Estate Investment Funds*
Chaim Karpel, *Business Development Director*
Toronto, Ontario chaim@durum.ca (647) 393-4874
Since 2021

ehp Funds - *Hedge & Liquid Alts Funds*
Jason Mann, *Co-Founder & CEO*
Toronto, Ontario jmann@ehpartners.com (647) 988-7699
Since 2019

MEMBER DIRECTORY

ASSET MANAGERS

Emso Asset Management - *EM Sovereign & Corporate Credit*
US IR Team
New York, NY irny@emso.com
Since 2020

Equiton Capital - *Real Estate*
Aaron Pittman, Senior Vice President, Head of Institutional
Burlington, Ontario apittman@equiton.com (905) 635-1381 x119
Since 2020

Espresso Capital - *Technology-Focused Private Debt Fund Manager*
Jamie Wile, *Director, Fund Sales & Business Development*
Toronto, Ontario jwile@espressocapital.com (416) 919-7729
Since 2018

Evolve ETFs - *Innovative ETF Solutions*
Elliot Johnson, *CIO & COO*
Toronto, Ontario ejohnson@evolveetfs.com (416) 558-6661
Since 2021

Evovest - *Machine Learning Portfolio Manager*
Benoit Robert, *Head of Business Development*
Montréal, Québec benoit.robert@evovest.com (514) 915-0028
Since 2020

Fiera Capital Corp. - *Fiera Private Alternative Investments*
Theresa Shutt, *Senior Vice President, Fiera Private Debt*
Toronto, Ontario tshutt@fieracapital.com (647) 504-3143
Since 2018

FirePower Capital - *Private Debt, Private Equity, M&A Advisory*
Ilan Jacobson, *Founding Partner & CEO*
Toronto, Ontario ijacobson@firepowercapital.com (647) 288-3333
Since 2019

Firm Capital Corporation
Sandy Poklar, *Chief Operating Officer*
Toronto, Ontario spoklar@firmcapital.com (416) 635-0221 ext. 235
Since 2021

Forstrong Global Asset Management - *Global Macro*
Rob Duncan, *Senior Vice President & Portfolio Manager*
Toronto, Ontario rduncan@forstrong.com (416) 880-5861
Since 2019

FORT LP - *Quantitative Systematic Fund Manager*
Jean Olivier Caron, *Executive Director, Business Development*
New York, NY jeanolivier.caron@fortlp.com (212) 471-4348
Since 2018

Framework Venture Partners - *Venture Capital*
Peter Misek, *Managing Partner*
Toronto, Ontario peter@framework.vc (289) 300-1319
Since 2021

Franklin Templeton - *Traditional and Alternative Funds and Strategies*
Julie Caron, *SVP, Business Development - Institutional Investment Services*
Québec City , Québec jcaron@franklintempleton.ca (418) 576-7118
Since 2019

ASSET MANAGERS

Fulcra Asset Management Inc - *Credit Opportunities Fund*
Vancouver, BC info@fulcraam.com (604) 683-8365
Since 2018

Galaxy Fund Management - *Digital Asset Investing*
Paul Cappelli, *Portfolio Manager*
New York, NY paul.cappelli@galaxydigital.io
Since 2021

Gentai Capital Corporation - *Mortgage Investment Corporation*
Peter Yang, *Managing Director*
Richmond, BC peter.yang@gentaicapital.com
Since 2020

Global X - *Thematic, Alternative Income, and International ETFs*
Warner Wen, *Research Director, Canada*
Toronto, ON wwen@globalxetfs.com (416) 356-9653
Since 2021

Graham Capital - *Multi-Strategy, Quantitative & Discretionary Macro Strategies*
Jennifer Ancker Whelen, *Chief Client Officer*
Rowayton, CT jwhelen@grahamcapital.com (203) 899-3552
Since 2020

Group RMC - *Real Estate Co-Investing*
Anthony Guarnieri, *VP Family Office and Advisor Relations*
Montréal, Québec anthony@grouprmcusa.com (514) 758-8562
Since 2019

Guardian Capital - Alternative & Traditional Strategies
Srikanth Iyer, *Managing Director, Head of Systematic Strategies*
Toronto, Ontario siyer@guardiancapital.com (416) 947-3730
Since 2021

Harrison Street - *Demographics-Driven Real Estate & Infrastructure Investing*
Jonathan Turnbull, *Managing Director*
Chicago, IL jturnbull@harrisonst.com (416) 350-1618
Since 2021

Heard Capital, LLC - *Long-Only & Equity Long-Short*
Priya Kaftan, *Head of Investor Relations & Product Strategy*
Chicago, Illinois pkaftan@heardcapital.com (312) 786-5211
Since 2020

Highline Beta - *Venture Capital*
Marcus Daniels, *Founding Partner*
Toronto, Ontario marcus@highlinebeta.com (416) 587-7623
Since 2020

Highwood Value Partners - *PE Approach to International Public Equities*
Desmond Kingsford, *Managing Partner*
Whistler, BC dk@highwoodvaluepartners.com (604) 388-9933
Since 2020

Honest Capital - *Concentrated, long-term, long-biased manager*
Shawn Badlani, *Chief Investment Officer*
Orinda, California badlani@honestcapitalllc.com (917) 697-1632
Since 2021

MEMBER DIRECTORY

ASSET MANAGERS

Horizons ETFs - *Active. Benchmark. Tactical.*
Jaime Purvis, *Executive Vice President*
Toronto, Ontario jpurvis@horizonsetfs.com (416) 601-2495
Since 2019

Hosking Partners LLP - *Global Equity Strategies for Institutional Investors*
James Batting, *Client Services Business Development*
London, UK jbatting@hoskingpartners.com +44 353 613 0020
Since 2021

Hudson Valley Property Group - *Affordable Housing Preservation Funds*
Diana Bellizzi, *Investor Relations*
New York, NY diana@hvpg.com (917) 398-4100
Since 2020

iCapital Network - *Alternative Investment Platform*
Tom Johnston, *Canadian Market Leader*
Toronto, Ontario tjohnston@icapitalnetwork.com (647) 629-5019
Since 2020

ICM Asset Management - *N.A. Real Estate, Music Royalties*
Doug Laird, *Managing Director, Institutional Relationships*
Calgary, Alberta dlaird@icmgroup.ca (403) 471-6471
Since 2019

Innovobot - *Venture Capital & Innovation Ecosystem*
Mario Venditti, *Chief Executive Officer*
Montréal, Québec mvenditti@innovobot.com (514) 487-5557
Since 2019

Invesco - *Traditional and Alternative Investments*
Lisa-Marie McDermott, *Head of Wealth Management Platforms*
Toronto, Ontario lisa-marie.mcdermott@invesco.com (647) 629-7274
Since 2021

Investcorp Investment Advisors - *Real Estate, Credit, & Absolute Return*
Christopher W. Mason, *Relationship Management*
New York, NY cmason@investcorp.com (646) 690-5048
Since 2020

Investment Partners Fund Inc - *Alternative Fund*
Chris Tester, *Director, Business Development*
Ottawa, Ontario ctester@ipfund.ca (587) 888-2685
Since 2020

Invictus Capital - *Digital Asset Manager*
Haydn Hammond, *Sales Director*
Zurich, Switzerland haydn@invictuscapital.com +41 79 695 4942
Since 2021

Invico Capital Corporation - *Private Lending Fund Manager*
Allison Taylor, *Chief Executive Officer*
Calgary, Alberta amtaylor@invicocapital.com (403) 538-4829
Since 2019

JM Fund Management - *Long-Short Equity Fund Manager*
Jan Mizrahi, *President & Portfolio Manager*
Toronto, Ontario Jan@jmfund.com (416) 722-8628
Since 2018

MEMBER DIRECTORY

ASSET MANAGERS

Kayne Anderson Capital Advisors L.P. - *Alternative Fund Manager*
Andrew DeYoung, *Vice President*
Los Angeles, CA adeyoung@kaynecapital.com (310) 284-6448
Since 2020

Kilgour Williams Capital - *Private Credit Fund Manager*
Colin Kilgour, *Managing Director*
Toronto, Ontario ck@kilgourwilliams.com (416) 315-4884
Since 2019

KULA Investments, LLC - *Quantitative Asset Manager*
Jeffrey Applebaum, *Chief Executive Officer, Co-Founder*
Chicago, Illinois japplebaum@kulainvestments.com (312) 520-0317
Since 2021

Lawrence Park Asset Management - *Credit Long-Short Fund Manager*
Hunter Hutt, *Director, Business Development*
Toronto, Ontario hunter.hutt@lawrenceparkam.com (416) 646-2180
Since 2018

Lazard Asset Management - *Alternatives Fund Manager*
Mike Wariebi, *Managing Director, Global Head of Alternative Investments Distribution*
New York, NY mike.wariebi@lazard.com (212) 632-6631
Since 2020

LFIS Capital - *Alternatives Fund Manager*
Corinne Andre, *Head of Business Development*
Paris, France corinne.andre@lfis.com +33 1 44 56 42 71
Since 2019

Early Joiner
LionGuard Capital Management - *Alternative & Traditional Manager*
Andrey Omelchak, *President & CIO*
Montréal, Québec aomelchak@lionguardcapital.com (514) 448-6441
Since 2018

Loyal VC LP - *Venture Capital*
Kamal Hassan, *Managing Partner*
Toronto, Ontario kamal@loyal.vc (416) 925-5557
Since 2021

Lumira Ventures - *Venture Capital*
Peter van der Velden, *Managing General Partner*
Toronto, Ontario plv@lumira.vc (416) 213-4189
Since 2019

Lyxor Asset Management, Inc. - *Alternatives Manager*
Mark Tower, *Director*
New York, NY mark.tower@lyxor.com (212) 205-4056
Since 2018

Mackenzie Investments - *Traditional and Alternative Investment Strategies*
Michael Schnitman, *Head of Alternative Investments*
Toronto, Ontario michael.schnitman@mackenzieinvestments.com
Since 2018

Man Group - *Asset Management*
Simon Harding, *Vice President, Canadian Business Development*
New York, NY simon.harding@man.com (646) 960-1874
Since 2019

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MEMBER DIRECTORY

ASSET MANAGERS

Marret Asset Management - *Asset Management*
Roberto Katigbak, *Institutional Strategist & Head of Sales and Marketing*
Toronto, Ontario rkatigbak@marret.com (514) 868-2191
Since 2018

Maverix Private Equity - *Growth Private Equity*
Investor Relations
Toronto, Ontario investorrelations@maverixpe.com
Since 2021

Maxam Capital Management Ltd. - *Value, Catalysts & Arbitrage (Liquid Alt)*
Travis Dowle, *President & Fund Manager*
Vancouver, BC travis@maxamcm.com (604) 685-0201
Since 2019

MGG Investment Group - *Private Lending*
Daniel Leger, *Managing Director*
New York, NY dleger@mgginv.com
Since 2020

MKP Capital Management - *Discretionary Global Macro*
David Burke, *Partner, Chief Client Officer*
New York, NY dburke@mkpcap.com (212) 303-7100
Since 2020

Montrusco Bolton - *Traditional and Alternative Strategies*
Claude-Andre Duquette, *VP, Institutional & Retail Sales*
Montréal, Québec duquetteca@montrusco.com (514) 282-5451
Since 2019

Morex Capital - *Private Lending - Mortgage Investment Corp.*
Charbel Cheaib, *Partner*
Toronto, Ontario charbel@morexcapital.com (416) 571-9141
Since 2019

Morgan Stanley Investment Management
Matt Sebesten, *Executive Director*
Toronto, Ontario matt.sebesten@morganstanley.com (416) 419-8005
Since 2019

Munro Partners - *Global Long-Short Equity*
Akilan Karuna, *Partner & Head of North America*
Toronto, Ontario akaruna@munropartners.com.au (416) 402-4252
Since 2018

Music Royalties Inc. - *Monthly Dividend Paying Music Royalty Company*
Tim Gallagher, *Chairman & CEO*
Toronto, Ontario tim@musicroyaltiesinc.com (416) 925-0090
Since 2019

Global Partner
Napier Park Global Capital - *Alternative Asset Manager*
Michael Lashendock, *Partner*
New York, NY Michael.Lashendock@NapierParkGlobal.com (212) 235-0783
Since 2019

Nephila Capital - *Catastrophe Bonds & Weather Derviatives*
Marc Stern, *Investor Relations*
Nashville, TN mstern@nephilaadvisors.com (615) 823-8510
Since 2020

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ASSET MANAGERS

Next Edge Capital - *Platform - Private Lending, Biotech, Metals & Commodities*
Robert Anton, *President*
Toronto, Ontario robert.anton@nextedgecapital.com (647) 274-6897
Since 2018

Signature Member

North Peak Capital Management LLC. - *Equity Long-Short*
Melissa Greenberg, *Head of Investor Relations*
New York, NY mgreenberg@northpeakcapital.com (516) 313 7004
Since 2021

Peakhill Capital - *Real Estate Debt & Co-GP Equity*
Harley Gold, *Managing Director*
Toronto, Ontario harleygold@peakhillcapital.com (416)363-7325 x101
Since 2020

PenderFund Capital Management Ltd. - *Public/Private Asset Manager*
Sarah Wildman, *Director, Institutional Sales & Service*
Vancouver, BC swildman@penderfund.com (604) 250-6917
Since 2019

Picton Mahoney Asset Management - *Alternative Fund Manager*
Dean Shepard, *Chief Executive & Managing Partner*
Vancouver, BC dshepard@pictonmahoney.com (778) 834-1776
Since 2020

Pilot House Capital - *Long-Short Equity Fund Manager*
Guy Caplan, *Founder & CIO*
Vancouver, BC gcaplan@pilothousefunds.com (604) 603-6059
Since 2018

PlusPlus Capital Management - *Managed Futures / CTA*
Kapil Rastogi, *President*
Princeton, NJ kapil.rastogi@pluspluscapital.com (917) 353-2664
Since 2021

Private Debt Partners - *Private Debt*
Jean-Christophe Greck, *Founder, Managing Partner & CIO*
Montréal, Québec jcgreck@privatedebt.com (514) 992-5232
Since 2020

Quain Investments - *TechVenture@Scale*
Purvi Gandhi, *Managing Partner*
Palo Alto, CA purvi@quaininvestments.com (650) 781-3915
Since 2020

Qwest Investment Fund Management Ltd. - *Alternative Funds*
Victor Lapointe, *Vice-President, Director of Sales*
Toronto, Ontario vlapointe@qwestfunds.com (905) 802 0789
Since 2021

Raiven Capital - *Venture Capital*
Paul Dugsin, *General Partner*
Toronto, Ontario paul@raivencapital.com (416) 936-5717
Since 2019

Reciprocal Ventures - *Venture Capital*
Michael Steinberg, *General Partner*
New York, NY mikes@recvc.com (516) 316-1023
Since 2021

ASSET MANAGERS

ReSolve Asset Management - *Systematic Global Macro Manager*
Richard Laterman, *Portfolio Manager*
Toronto, Ontario richard.laterman@investresolve.com (416) 350-3095
Since 2019

Rise Properties Trust - *Platform - Various Strategies*
Leslie Toth, *Senior Vice President*
Victoria, BC lesliet@riseproperties.ca (403) 605-7172
Since 2021

Robson Capital Management - *Platform - Various Strategies*
Jeffrey Shaul, *President & CEO*
Toronto, Ontario jshaul@robsoncapital.com (416) 388-6185
Since 2018

RPIA - *Global Fixed Income Experts*
Kripa Kapadia, *Director, Client Portfolio Management*
Toronto, Ontario kkapadia@rpia.ca (647) 776-7465
Since 2021

Sagard Holdings
Leslie Hill, *Partner*
New York, NY hill@sagardholdings.com (646) 774-1580
Since 2018

Securian Asset Management
Amy Theuninck, *Managing Director*
St. Paul, MN amy.theuninck@securianam.com
Since 2020

Slate Securities - *Public & Private Real Estate Investment Management*
Fraser McEwen, *Partner*
Toronto, Ontario fraser@slatesecurities.com (416) 583-1827
Since 2018

Spartan Fund Management - *Alternative Asset Manager - Various Strategies*
Gary Ostoich, *President*
Toronto, Ontario gostoich@spartanfunds.ca (416) 601-3171
Since 2018

Starlight Capital - *Traditional and Alternative Real Asset Strategies*
Lou Russo, *Senior Vice President, National Sales & Distribution*
Toronto, Ontario lrusso@starlightcapital.com (647) 245-2076
Since 2018

Stewart Asset Management - *Concentrated U.S. Equity Growth Strategy*
Ronald Dooley, *Chief Operating Officer & CFO*
New York, NY rdooley@stewartassetmgmt.com (917) 214-1333
Since 2021

StoreWest Developments - *Real Estate, Self-Storage, Car Wash*
Roland Schatz, *President*
Calgary, Alberta roland@storewest.ca (403) 612-9158
Since 2021

Third Point - *Multi-Strat, Corp/Struc Credit, Venture Capital & Activism*
Greg Habay, *Managing Director, Marketing & Investor Relations*
New York, NY GHabay@thirdpoint.com (212) 715-3484
Since 2021

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MEMBER DIRECTORY

ASSET MANAGERS

Trans Canada Capital - *Alternative Strategies*
Jean-François Milette, *Global Head, Client Solutions*
Montréal, Québec jfmilette@transcanadacapital.com (514) 397-7370
Since 2020

Trez Capital - *Real Estate Debt & Equity Manager*
Vikram Rajagopalan, *Senior Vice President, Head of Retail Markets*
Toronto, Ontario vikramr@trezcapital.com (647) 788-1787
Since 2018

Triovest - *Real Estate*
Luigi Luppi, *Vice President, Investor Relations*
Toronto, Ontario lluppi@triovest.com (416) 941-1284
Since 2021

TSVC - *Early Stage Venture Capital*
Eugene Zhang, *Founding Partner*
Los Altos, CA eugene@tsvcap.com
Since 2021

TVC Private Real Estate Trust - *Real Estate*
Craig Burrows, *President & CEO*
Calgary, Alberta cburrows@tvctrust.com (403) 818-4650
Since 2020

Unigestion - *Alternative Funds*
Dario Di Napoli, *Senior Vice President, Institutional Clients*
Toronto, Ontario ddinapoli@unigestion.com (416) 572-2284
Since 2020

Unison Investment Management - *Residential Real Estate*
Joseph Celentano, *Global Head of Markets*
San Francisco, CA joe.celentano@unisonim.com (415) 738-7930
Since 2021

Varick Capital Partners LP - *Quantitative Asset Manager*
Patrick Hannon, *Managing Director*
New York, NY patrick.hannon@varickcapital.com (646) 295-9009
Since 2021

Vesta Wealth Partners - *O-CIO and Alternatives Fund Manager*
Adam Hoffman, *President*
Calgary, Alberta adam.h@vestawp.com (403) 970-0700
Since 2020

Vivid Capital Management - *Energy Transition*
CJ Hervey, *Director*
Toronto, Ontario cj@vividcapitalmanagement.com (416) 523-2820
Since 2021

Walkerville Capital Inc. - *Real Estate*
Rhys Wyn Trenhaile, *Director*
Windsor, Ontario rhys@walkervillecapital.com (519) 991-6600
Since 2021

WaveFront Global Asset Management - *Alternative Funds*
Roland Austrup, *CEO*
Toronto, Ontario raustrup@wavefrontgam.com (416) 508-3996
Since 2019

MEMBER DIRECTORY

ASSET MANAGERS

Waratah Capital Advisors - *Long-Short Equity and ESG Funds*
Jessica Clark Barrow, *Managing Director & Head of Client Management*
Toronto, Ontario Jessica@waratahcap.com (416) 637-5618
Since 2019

Waypoint Investment Partners - *Alternative Fund Manager*
Michael Lindblad, *Vice President, Wealth Management*
Toronto, ON mlindblad@waypointinvestmentpartners.com (416) 200-4457
Since 2021

Wealhouse Capital Management - *Alternative Fund Manager*
Emily Newman, *Executive Vice President, Sales*
Toronto, ON emilyn@wealhouse.com (416) 500-5454
Since 2021

Wellington Management Company LLP - *The alternatives edge*
Alan Matijas, *Managing Director, Director of Canada*
Toronto, Ontario ajmatijas@wellington.com (416) 847-1350
Since 2019

Westbridge Capital - *Private Equity*
Carl P. James, *Senior Vice President, National Sales Manager*
Toronto, Ontario cjames@westbridgecapital.ca (416) 938-2509
Since 2019

WestCap Management LLC - *Private Equity*
Mike Davis, *Partner*
New York, NY mike@westcap.com
Since 2020

Western Wealth Capital - *U.S. Real Estate*
Mark Breakspear, *VP, Fund Operations & Distribution*
Vancouver, BC mbreakspear@westernwealthcapital.com (603) 323-6675
Since 2021

YTM Capital Asset Management - *Alternative Credit*
Kevin Foley, *Managing Director, Institutional Accounts*
Oakville, Ontario kevin.foley@ytmcapital.com (416) 306-8328
Since 2020

MEMBER DIRECTORY

START-UP FOUNDERS

Axle AI, Inc. - *Remote Video Content Search Solution*
Sam Bogoch, *CEO*
Boston, MA sam@axle.ai (415) 225-1926
Since 2021

Consilium Crypto - *Digital Asset Trading & Liquidity Solutions*
Austin Hubbell, *Founder & CEO*
Toronto, Ontario austin@consiliumcrypto.ai (514) 654-7219
Since 2020

Continuum.Social - *NFT Platform*
Sergei Beliaev, *Founder*
Toronto, Ontario sb@continuum.social (647) 244-1319
Since 2021

CITIZN INC - *Democracy's Social Network*
Murray Simser, *Founder & CEO*
Toronto, Ontario murray@citizn.world (647) 901-5757
Since 2020

Darwin Labs - *Health & Safety Automation*
Ashish Anand, *Founder & CEO*
Vancouver, BC ashish@darwin.la (778) 889-4070
Since 2020

Innovfin - *Blockchain Education, Strategy, & Implementation*
Othalia Doe-Bruce, *Founder*
Peterborough, Ontario o.doebruce@innovfin.ca (416) 900-3897
Since 2020

Just Boardrooms - *Meeting Space Marketplace*
Howard Chang, *Co-Founder*
Toronto, Ontario howardc@theturnlab.com (416) 712-5503
Since 2020

Koïos Intelligence Inc. - *Artificial Intelligence Client Communication*
Nader Kobrossi, *Director of Operations*
Montréal, Québec nader.kobrossi@koiosintelligence.ca (514) 627-4634
Since 2021

Konfidis Inc. - *Real Estate / PropTech*
John Asher, *President and Co-Founder*
Toronto, Ontario john@konfidis.com (416) 200-0954
Since 2021

Leyline Altruism - *NFTs for Good*
Jeremy Dela Rosa, *Founder & CEO*
Vancouver, BC jeremy@leyline.gg (949) 466-0870
Since 2021

Liquid Avatar® Technologies Inc. - *Creating Value from Online Identity*
David Carter, *CFO*
Toronto, Ontario dave.carter@liquidavatar.com (647) 725-7742 ext 705
Since 2021

MeetAmi Innovation Inc - *Digital and Crypto Asset Platform*
Sarah Morton, *Chief Strategy Officer*
Vancouver, BC sarah@meetami.ca (604) 616-7271
Since 2021

MEMBER DIRECTORY

START-UP FOUNDERS

Metis - *Decentralized Platform for Web3 Business*
Jonah Keri, *Chief Marketing Officer and Business Development Lead*
Montréal, Québec jonah.k@metis.io
Since 2021

Moselle - *Your Supply Chain Command Center*
Lakhveer Jajj, *Founder & CEO*
Toronto, Ontario lakhveer@moselle.up (647) 830-5382
Since 2021

Netlok - *Cybersecurity - Identity and Access Management*
Tony Perez, *CEO & Founder*
Santa Barbara, CA tony@netlok.com (805) 717-9898
Since 2021

Pascal WealthTech - *Digital technology empowering financial advisors*
Howard Atkinson, *President & CEO*
Toronto, Ontario hatkinson@pascalfinancial.com
Since 2020

Rakr - *IoT Farming Solutions*
Mohamad Yaghi, *CEO & Co-Founder*
Toronto, Ontario mohamad.yaghi@rakr.ca (416) 702-3818
Since 2020

Rondeivu - *InvestTech Platform for Institutional Deals*
Michael Ashmore, *Founder & CEO*
Southport, CT
Since 2021

The S-Factor - *Social Impact Quantitative Data & Analytics ESG Data*
Bonnie-Lyn de Bartok, *Founder & CEO*
Toronto, Ontario bonnielyn@thesfactor.co (647) 930-9075
Since 2021

SR-ai - *Artificial Intelligence for Socially Responsible Investing*
Alik Sokolov, *CEO & Co-Founder*
Toronto, Ontario alik@sr-ai.co (647) 548-5153
Since 2021

Terentia - *Digital Asset Management*
Neal Bilow, *Chief Executive Officer*
Toronto, Ontario neal.bilow@terentia.io (416)409-0369
Since 2021

WealthAgile - *A Smart Crypto Platform for Investors*
Tim Burgess, *Co-Founder & CEO*
Toronto, Ontario tim@wealthagile.com (905) 599-7772
Since 2020

Willow - *Propsharing*
Neville Joanes, *CIO*
Toronto, Ontario neville@willow.ca (778) 835-6551
Since 2021

MEMBER DIRECTORY

SERVICE PROVIDERS

360 Trading Networks, Inc. - *Foreign Exchange Trading Platform*
Rolo Ledesma, *Product Specialist*
New York, NY rolo.ledesma@360t.com (416) 568-6329
Since 2021

AAREA - *Private Lending & Loan Administration*
Shannon August, *Founder*
Toronto, ON mail@aarea.ca 1-855-830-7452
Since 2020

Altrust Investment Solutions - *Alternative Funds Platform*
Wilson Tow, *Managing Partner, Head of Product Structuring & Business Development*
Toronto, Ontario wtow@altrustsolutions.com (647) 205-7418
Since 2020

Apex Fund Services - *Fund Administration Services*
Raja Krishnan, *Managing Director - Canada*
Toronto, Ontario rajak@apexfunds.ca (647) 962-1375
Since 2019

Arbutus Partners - *The pursuit of tomorrow's winners, today*
Grahame Lyons, *Founder*
Vancouver, BC info@arbutuspartners.com (604) 229-9749
Since 2020

Athena International Management Limited - *Governance Services*
Allison Nolan, *Founder*
Cayman Islands anolan@athena.ky +1 (345) 943-2211
Since 2020

AUM Law - *Legal & regulatory compliance advice*
Kimberly Poster, *Chief Legal Counsel*
Toronto, Ontario kposter@aumlaw.com (416) 966-2004 x266
Since 2019

Battea Class Action Services - *Securities Class Action Recoveries*
Bob Williamson, *Vice President, Sales*
Stamford, CT williamson@battea.com (516) 987-6006
Since 2018

Bitbuy Technologies Inc. - *Digital Asset Exchange*
Torstein Braaten, *Head of Regulatory Affairs and CCO*
Toronto, Ontario torstein@bitbuy.ca (437) 826-2441
Since 2021

BMO Capital Markets
Racheal Wason, *Cross Asset Solutions, Director*
Toronto, Ontario racheal.wason@bmo.com (416) 359-4923
Since 2020

Boosted.ai - *Artificial intelligence software for investment managers*
Erik McBain, *Director of Growth*
Toronto, Ontario erik.mcbain@boosted.ai (613) 884-2246
Since 2021

Brane - *Cryptocurrency Custody Solutions*
Nicholas Sanschagrin, *Director of Sales*
Toronto, Ontario nick.sanschagrin@brane.ca (613) 809 2353
Since 2021

MEMBER DIRECTORY

SERVICE PROVIDERS

Campbell Lutyens - *Fund Placement & Advisory*
Katie Alberti Price, *Senior Vice President*
New York, NY price@campbell-lutyens.com (219) 928-6327
Since 2021

Early Joiner
Canaccord Genuity Direct - *Cross-asset Executing Broker & Prime Brokerage*
JF Sabourin, *Managing Director - Head of Canaccord Genuity Direct*
Montréal, Québec jfsabourin@cgdirect.ca (514) 985-8086
Since 2018

Capital Governance Partners LLC - *Independent Fund Oversight*
Carlos Ferreira, *Managing Director*
Los Angeles, CA caf@capitalgovernance.com (949) 231-7147
Since 2021

Carne Group - *UCITS/AIFM Management Company*
Nicola Cowman, *Director*
New York, NY Nicola.Cowman@carnegroup.com (347) 410-0927
Since 2019

Castle Hall Diligence - *Due Diligence: Operations, ESG, Cyber and Risk*
Chris Addy, *Founder & CEO*
Montréal, Québec caddy@castlehalldiligence.com (450) 465-8880
Since 2018

Caystone Solutions Ltd. - *Family Office & Fund Administration Services*
Wendy Warren, *Managing Director*
Nassau, Bahamas wwarren@caystone.com (242) 397-6505
Since 2020

Signature Member
CIBC Mellon - *Custody & Fund Administration*
Alistair Almeida, *Executive Director, Business Development*
Toronto, Ontario alistair.almeida@cibcmellon.com (416) 643-5126
Since 2018

Coach House Partners - *IT Consulting for Alternative Fund Managers*
Michael Fowler, *Founding Partner*
Toronto, Ontario fowler@coachhousepartners.com (647) 972-1430
Since 2018

Dart Family Office
Jackie Doak Cayman Islands
jackie.doak@dart.ky
Since 2020

DealMaker - *Digital Private Placement & Client-Onboarding Solutions*
Rebecca Kacaba, *Chief Executive Officer*
Toronto, Ontario rebecca@dealmaker.tech (416) 728-5216
Since 2019

DealSquare - *Online Private Markets Platform*
Peter-Paul Van Hoeken, *Managing Director*
Toronto, Ontario peter-paul@dealsquare.io (416) 843-4111
Since 2020

DeFiSafety Inc. - *Cryptoasset Risk Analysis Services*
Rex Hygate, *President*
Montréal, Québec rex@defisafety.com (514) 515-5983
Since 2021

MEMBER DIRECTORY

SERVICE PROVIDERS

Deutsche Börse Group - *Exchange*
Craig Dalrymple, *Business Development Manager*
Chicago, IL craig.dalrymple@deutsche-boerse.com
Since 2020

Federation of Mutual Fund Dealers - *Association*
Matthew Latimer, *Executive Director*
Toronto, Ontario matthew.latimer@fmfd.ca (647) 772-4268
Since 2020

Signature Member
Fidelity Clearing Canada ULC - *Custody and Clearing Solutions*
Lawrence McCann, *VP Sales and Relationship Management*
Toronto, Ontario lawrence.mccann@fidelity.ca (416) 216-4485
Since 2019

Figment - *Digital Assets & Staking*
Lorien Gabel, *CEO & Co-founder*
Toronto, ON lorien@figment.io
Since 2021

FIS Global - *Capital Market Solutions*
Jeff d'Avignon, *Sr Sales Executive, Cross-Assets Trading and Risk*
Montréal & Toronto jeff.davignon@fisglobal.com (437) 996-8713
Since 2021

Fundata - *Alternative & Traditional Data Aggregation*
Jocelyn Courcelles, *VP Client Relations & Business Development*
Toronto, Ontario jocelyn.courcelles@fundata.com (647) 381-1837
Since 2018

Fundserv - *Investment Fund Trade Facilitation Platform*
Aidan Coulter, *Industry Engagement Lead*
Toronto, Ontario Aidan.Coulter@fundserv.com (416) 350-2533
Since 2021

GDA Capital Corporation - *Cryptoasset Administration*
Joaquim Miro, *Chief of Staff*
Toronto, Ontario joaquim@gda.capital (418) 896-2763
Since 2021

Government of Canada - *Consulate General of Canada in New York*
Neil Britto, *Head of Financial Sector Engagement*
New York, NY Neil.Britto@international.gc.ca (917) 459-6536
Since 2020

Hill + Knowlton Strategies Canada - *Public Relations Firm*
Rob Ireland, *SVP, National Sector Lead, Financial & Professional Services*
Toronto, ON rob.ireland@hkstrategies.ca (437) 234-4004
Since 2021

Hut 8 Mining - *Cryptocurrency Mining*
Tanya Woods, *General Counsel and EVP Regulatory Affairs*
Toronto, ON tanya@hut8mining.com
Since 2021

ICICI Bank Canada - *Indian Securities & Private Equity Deals*
Suvendu Panada, *Sr. Relationship Manager, C&C Banking*
Toronto, Ontario suvendu.panda@icicibank.com (416) 578-6143
Since 2020

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

SERVICE PROVIDERS

Independent Trading Group (ITG), Inc. - *Trading & Market Making Services*
Sean Debotte, *CEO*
Toronto, Ontario seandebotte@itg84.com (416) 583-5824
Since 2019

Innocap - *Managed Account Platform*
Jonathan Planté, *Business Development & Strategic Marketing*
Montréal, Québec jonathan.plante@innocap.com (514) 390-7918
Since 2019

Juniper Square
Brandon Sedloff, *Managing Director & Senior Vice President*
San Francisco, California brandon@junipersquare.com
Since 2020

KPMG
Peter Hayes, *Partner, Audit, Financial Services*
Toronto, Ontario phayes@kpmg.ca (416) 777-3939
Since 2019

Linedata - *Asset Management Solutions*
Stephanie Orloff, *Head, Business Development, Canada*
Toronto, Ontario stephanie.orloff@na.linedata.com (416) 855-3163
Since 2018

Mako Financial Technologies - *Take Manual Out of Wealth Management*
Raphael Bouskila, *President*
Montréal, Québec rbouskila@makofintech.com (514) 443-2928
Since 2020

McMillan LLP - *Investment Funds | Tax | Derivatives*
Jason Chertin, *Co-Chair, Investment Funds and Asset Management*
Toronto, Ontario jason.chertin@mcmillan.ca (416) 865-7854
Since 2018

Meraki Global Advisors - *Global multi-asset outsourced trading*
Michael Ashby, *COO*
New York, NY Ma@merakiglobaladvisors.com (435) 214-0772
Since 2019

NEO Exchange - *Public & Private Listings Platform*
Marcus Schlechta, *Business Development: Capital Formation, Private Markets*
Toronto, Ontario marcus@neostockexchange.com (416) 933-5966
Since 2021

Norton Rose Fulbright - *Legal Services*
Michael Bunn, *Partner*
Toronto, Ontario michael.bunn@nortonrosefulbright.com (416) 216-4095
Since 2019

Options IT - *Managed Platform Provider*
Robert Strawbridge, *VP Head of Canada*
Toronto, Ontario robert.strawbridge@options-it.com (647) 797-9897
Since 2021

Penrose Partners - *Blockchain Consulting*
Kerem Kolcuoglu, *Managing Partner*
Toronto, Ontario kerem@penrosepartners.com (905) 541-2309
Since 2021

Read more at caasa.ca - or contact us at +1 (647) 953-0737 or caroline@caasa.ca

MEMBER DIRECTORY

SERVICE PROVIDERS

Preqin - *Alternative Assets Data, Solutions and Insights*
Mark Mansour, *Senior Associate, Business Development*
New York, NY mark.mansour@preqin.com (646) 751 6557
Since 2021

Prometa Fund Services Inc. - *FundSERV & Administration Services*
Mike Kalic, *Vice President & Chief Operating Officer*
Winnipeg, Manitoba mkalic@prometa.ca (204) 925-7787
Since 2019

Robert Walters - *Recruitment Consultancy*
Martin Fox, *Managing Director - Canada*
Toronto, Ontario Martin.Fox@RobertWalters.com (416) 998-9649
Since 2018

SIDE Securities Industry Data Exchange Inc. - *Ops Solutions Provider*
John Serpa, *President & CEO*
Toronto, Ontario jserpa@sidexchange.com (416) 802-2434
Since 2019

Sera Global Advisors - *Real Assets Advisor*
Kate Nowak, *Vice President, Private Capital Advisory*
Toronto, Ontario kate.nowak@seraadvisory.com (416) 275-1654
Since 2021

SGGG Fund Services - *Fund Administration*
Dennis MacPherson, *Senior Vice President*
Toronto, Ontario dmacpherson@sgggfsi.com (416) 855-7247
Since 2018

Sigma Sandbox - *Interactive Portfolio Construction Tools & Data*
David Rudd, *Director*
Toronto, Ontario daverudd@sigmasandbox.com (416) 879-6204
Since 2019

Silicon Valley Bank - *Innovation Lending*
Shez Samji, *Managing Director & Head of Business Development*
Toronto, Ontario ssamji@svb.com (416) 505-8652
Since 2020

SS&C Technologies - *Fund Administration*
Gabe Vinizki, *Director, Business Development*
Toronto, Ontario gvinizki@sscinc.com (416) 435-6402
Since 2019

Stroock & Stroock & Lavan LLP - *CFIUS/U.S. National Security Legal Services*
Shannon Reaves, *Partner*
Washington, D.C. sreaves@stroock.com (202) 739-2882
Since 2020

TD Prime Services LLC
Joshua Leonardi, *Director and U.S. Head of Capital Introduction*
New York, NY Joshua.Leonardi@tdsecurities.com (212) 827-6189
Since 2019

Tokens.com Corp. - *DeFi, NFTs, Metaverse, and Staking*
Andrew Kiguel, *Chief Executive Officer*
Toronto, Ontario ak@tokens.com
Since 2021

MEMBER DIRECTORY

SERVICE PROVIDERS

TMX Group - *Equity, Equity Derivatives, Fixed Income*
Robert Tasca, *Vice President, Derivatives Trading & Client Solutions Group*
Toronto, Ontario robert.tasca@tmx.com (514) 871-3501
Since 2018

Wells Fargo - *Equity Finance*
Alison Arzac, *Director*
Los Angeles, CA alison.arzac@wellsfargo.com (312) 504-1637
Since 2020

Williams Trading - *Outsourced Trading Services*
Jonathan Naga, *Senior Managing Director, Head of Business Development*
New York, NY jnaga@wtco.com (917) 733-5144
Since 2021

FAMILY OFFICE SUMMIT 2022
Tuesday, May 3 - Thursday, May 5
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics - Special Sessions for SFO Family & Pros
In-Person - Toronto, Ontario - Limited Capacity (70% allocated)

CAASA ANNUAL CONFERENCE 2022 - MONTRÉAL
Tuesday, November 1 - Thursday, November 3
Attendees from around the world, tête-à-tête sessions for all
Table Talks for niche topics
Limited capacity - Investor delegates: 40%+ of ~250 overall

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

Caroline Chow
Co-Founder & Partner
caroline@caasa.ca
(647) 953-0737

James Burron, CAIA
Co-Founder & Partner
james@caasa.ca
(647) 525-5174

Paul Koonar
Partner
paul@caasa.ca
(647) 953-0737

Suite 2500, 120 Adelaide Street West
Toronto, Ontario
M5H 1T1