Wealth Managers' Forum 2023

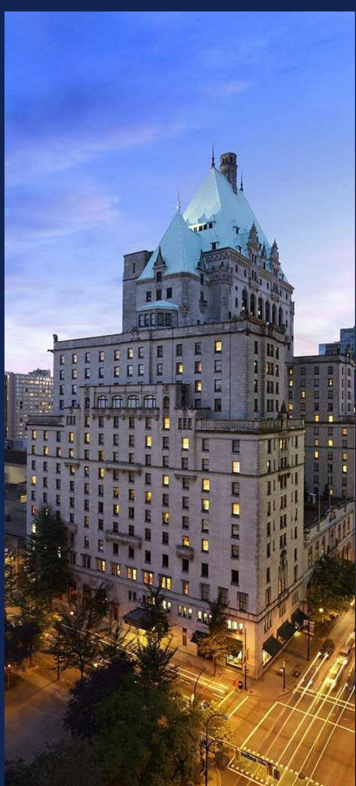
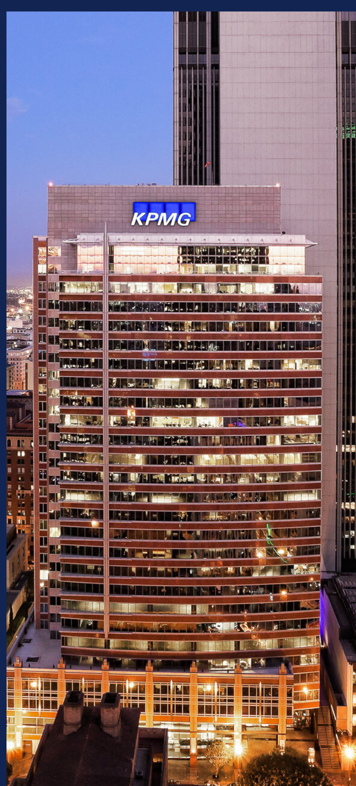
Presented by: The Canadian Association of Alternative Strategies & Assets

CANADIAN
ASSOCIATION OF
ALTERNATIVE
STRATEGIES
& ASSETS

Program Sponsor:

Amundi
ASSET MANAGEMENT

YVR	YYC	YUL	YYZ
Weds, Feb 15th	Thurs, Feb 16th	Tues, Feb 21st	Thurs, Feb 23rd


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!

YOUR SOURCE FOR ALL THINGS ALTERNATIVE

Welcome to our first cross-Canada conference series focused on the requirements and preferences of retail, HNW, and UHNW Investment Advisors and allocators. We specially designed each city's program to reflect their particular preferences and have (what we believe to be) a balance of talks from seasoned Investment Advisors and asset managers. Our format reflects the high value you put on your time – we start at about lunch time and end with a reception – and appreciate your taking time to attend the session in your city. We also have small group discussions (Table Talks) where you can delve in to particular topics and query the presenters. We also have our CAASA CE Centre at your disposal which will have 70+ of our webinars and podcasts from 2021 ported over as well as a course from each of our conference sponsors, and a selection of our panels and presentations.

THANK YOU TO NATIONAL SPONSORS

iCapital NETWORK

Amundi ASSET MANAGEMENT

AND OUR CITY SPONSORS

CMLS Asset Management

ICM Asset Management

GROUP RMC

BLUE OWL

MANY FORMS OF CONTENT

TÊTE-À-TÊTE MEETINGS

This is your opportunity to schedule one-on-one meetings with any conference delegate. Feel free to use our online platform to connect with any of our delegates in any of the cities - everyone is on it and open to network. We do not have any set-aside meeting times, but we're certain that folks can schedule a time to meeet quite easily - whether in-person aroudn the conference day or otherwise.

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

TABLE TALKS

We do not sell paid-for speaking spots, preferring delegates to choose when they might like to hear from sponsors. Table Talks are 30-minute sessions where anywhere from 2 to 12 delegates can get a briefing on a topic and participate in an interactive discussion. As with all of our events, we refrain from pay-to-play and draw all speakers from membership and prefer audiences to opt-in to more niche discussions, as will be delivered at the Table Talks.

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. And, of course, we will never sell your information to anyone.**

To date, we have released more than 60 courses including sessions from our *Wealth Managers' Forum 2021* and *Digital Assets Global Exchange 2021* and (soon) discussions from our *Private Equity & Venture Capital Assembly 2021.* 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!

We offer CE credits available 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

PRIVACY & SECURITY

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

THE KYP NEXUS

STAY UPDATED, AS REQUIRED BY LAW

We are always seeking ways to facilitate industry participants to engage with each other and our new service **The KYP Nexus** is our latest offering that links asset managers with investment advisors.

Legislation in effect on **January 1, 2022** requires significant changes in an investment fund's terms to be communicated to investment advisors - and it also requires investment advisors (and their IIROC employers) to ensure that they are current on these changes. This communication could be in the form of a press release or other broadly distributed service, but the definition of 'significant' can be interpreted as a change in mandate, portfolio manager or the portfolio management team, fees attributable to the fund (including management and incentive), or even possibly the appointment of auditor or other service providers - these more nuanced changes might not warrant the expense of a full-blown press release, however. Also, we would be hard-pressed to assume that any advisor might have a process to keep track of all these changes.

ENTER THE NEXUS

Our solution, almost one year in the making, provides a one-stop solution for all Investment Advisors, their IIROC broker-dealers, and asset managers across Canada. It provides one point of contact for these parties to communicate significant changes and keeps a historical record as well.

The KYP Nexus is open to all market participants in Canada - whether a CAASA member or not, however members receive certain benefits in addition to the basic package. The coding and upkeep of the system is financed by our operating budget as a service to the industry.

EASY REGISTRATION

Investment Advisors can add their name to the list easily via the CAASA site and we guarantee that their information will not be distributed outside of our CAASA database. Once registered, IAs will receive a monthly update on significant changes from all asset manager/issuer participants on the platform which they or their staff can review and potentially integrate in their investment process.

IIROC Dealers can register a point of contact in their IA advisory or compliance teams to receive these monthly updates and send along to their IAs or have available in their intranet. Dealers can also provide IA contact information (simply email would suffice, but may include full name) in a bulk file to be uploaded to the CAASA database.

Asset Managers can register to the platform as well, providing a key contact who will update their information at least every month (can be done as it happens also). Basic services allow a notation that a significant change has occurred at the asset manager (which the IA can contact for more details). CAASA members can also include a description of the change, a link to their site to provide more information (such as a pdf or webpage), and contact information that can be used to get receive additional insight.

All of these services are offered without additional cost to all IAs, IIROC dealers, and asset managers.

JOIN NOW

The KYP Nexus is available now and actively adding IA, IIROC, and asset manager contacts. It's the law that this information is put into the hands of advisors in a timely manner and we are happy to provide this conduit of communication.

All market participants are welcome to contact us for more information about this initiative, membership, or anything else. We love feedback!

VANCOUVER – WEDS, FEB 15

11:00 AM	*Registration & coffee*
11:30 AM	***NowTalk – How I Built My Book*** New IAs are given a great deal of advice from a number of sources on where they should focus their efforts (and on whom) and this NowTalk is designed to be another, learned and experienced, voice to add to their planning. Just like career paths, each IA will find their own way through the maze of potential pitfalls and having a quiver of success stories allows IAs to identify potentially lucrative client and portfolio management niches while they can be acted upon. This talk will highlight one IA's path to growing their book and servicing an expanding client base in what can be challenging markets. **Speaker** *TDB at print date*
NOON	***Lunch Keynote – The Growing Importance of Privates in Portfolios*** Travis Forman has made a name for himself and Harbourfront Wealth by creating an impressive franchise anchored on so-called alternative investments (which many have found to be integral to modern portfolio management). He not only has a growing roster of clients, he also has a fund of funds that allocates to select real estate and private lending shops, creating a one-stop portfolio that can provide a great deal of value those clients and their families. On the other side, Jonathan Turnbull is with Harrison Street, a real estate asset manager headquartered in Chicago that offers is extensive investment capabilities to investors in the U.S. and Canada. Both of these seasoned investors will share their experiences in the space as well as where the business of investing in real estate and alternatives is headed over the next few years. **Travis Forman,** Harbourfront Wealth Management, **Jonathan Turnbull,** Harrison Street Real Estate Capital LLC
1:00 PM	***Table Talks*** Round table discussions hosted by our Sponsors. This session is aimed at providing all event attendees with the ability to join in genuine knowledge exchange and discussion in a small group setting. *Choose from 2 x ~25-minute round table discussions*
2:00 PM	***Survey of the Privates Market*** Privates have been all the rage for the last many years, and not without a few hiccups along the way as investors and managers solidify their diligence and investment processes. This panel will give attendees a broad look at some of the major sub-sections of privates and focus in on a few key opportunities as well. **James Burron,** CAASA, **Colin Kilgour,** Kilgour Williams Capital, and **David Vankka,** ICM Asset Management

VANCOUVER – WEDS, FEB 15

2:45 PM	***NowTalk – Building a Franchise in the Minds of Investors*** In this session, we hear from a veteran IA who has decades of experience in creating value for clients and ensuring they not only have assets/income into retirement, but also the confidence that they can weather the inevitable storms that rear up in financial markets. Pamela Yoon's three decades of service to her clients is based on her financial expertise backed by her ability to translate the investing world for her clients (she's also a polyglot) and giving them a guiding hand to do uncomfortable tasks such as buying low or rebalancing out of trades that would seemingly go to the moon. This talk will span her career (one minute per year, on average) and give the audience a feel for what it takes to really connect with clients. **Pamela Yoon,** RBC Dominion Securities, **James Burron,** CAASA
3:15 PM	***Positioning Liquid Alts with Clients*** Liquid Alternatives funds are not known to all investors, even though they have been around since at least January 2019 (and during 2018 in pre-market). AUM growth typically spikes after market routes, possibly as investors and advisors see the diversification benefits of this access class (as opposed to asset class). Getting clients past the 'alternative' moniker can be difficult as they may translate the word to 'not needed', but these funds are surely appropriate for many investors and have excellent vol and diversification characteristics. This panel will speak to this and more! **Steven Adang,** Anchor Pacific Investment Management, **Dean Shepard,** Picton Mahoney Asset Management**, Raj Tandon,** Algonquin Capital Management**,** and **Travis Dowle,** Maxam Capital Management
4:00 PM	*Reception - Opportunity to network over food and drinks!*
6:00 PM	End of Vancouver Wealth Managers' Forum

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CALGARY – THURS, FEB 16

11:00 AM	*Registration & coffee*
11:30 AM	***NowTalk – Branding in Your Market: How to Elevate Your Game*** Whether IAs acknowledge it or not, branding is a key ingredient in success – and by this we get past the corporate branding that every IA in the dealer has access to, and talk about individual branding that advisors can create. There is also branding in the eyes of clients and prospects as well as that of their peers. As a team grows, it is of paramount importance that each individual provides value to clients and the team – and teams that look outward can attract the best talent and continue their growth. Come and hear how this IA is doing something different to cement his place in the industry. **Rob Tetrault,** Canaccord Genuity Wealth Management at the Tetrault Wealth Advisory Group
NOON	***Lunch Keynote – The Growing Importance of Privates in Portfolios*** Richard was RBC's youngest Managing Director on the fixed income floor and in 2009 he branched off from the desk to create his own offering for investors seeking lower volatility and uncorrelated returns from today's bond markets. His success has been peerless in the space and this is your opportunity to hear his story! **Richard Pilosof,** RPIA and **Matias Grum,** Raymond James
1:00 PM	***Table Talks*** Round table discussions hosted by our Sponsors. This session is aimed at providing all event attendees with the ability to join in genuine knowledge exchange and discussion in a small group setting. *Choose from 2 x ~25-minute round table discussions*
2:00 PM	***Creating Superior Portfolios of Private Assets*** Travis Forman has been in the private assets market for years, creating his own fund for offering to his and other clients. He sits on both sides of the desk, advising clients on asset allocation and also allocating to select private assets managers in order to fulfill his mandates of steady income without undue risk. This panel features three managers in the space and delves into their stories as well. **Travis Forman,** Harbourfront Wealth Management, **Charbel Cheaib,** Morex Capital Corp., **Dennis Mitchell,** Starlight Capital, and **Dean Kirkham,** Trez Capital

CALGARY – THURS, FEB 16

2:45 PM	***NowTalk – When to Diversify Your Book*** When is the correct time to move to alternatives? When markets are up and one is in a position of strength – but convincing clients to sell winners whom they assume will continue to perform might pose a challenge? When markets are down and clients can see that alts likely did not fall as much – but then they have to sell at a loss? Is it at the beginning of a relationship or after an IA has earned client trust? These conundrums and more will be discussed! **Scott Starratt,** Canaccord Genuity Wealth Management
3:15 PM	***Liquid Alternatives Leading the Way*** Over the last 4 years, returns from liquid alts funds have proven their mettle in challenging markets. Not only have they been diversifiers for investor portfolios, their strategies are well-diversified over equity, credit, multi-strat, and market neutral strategies, with AUM in each strategy growing consistently. This panel will describe how they fit in client portfolios as well as dig into a few indicative funds (and managers) of each strategy. **Shamez Kassem,** Northfront Financial and **Julian Klymochko,** Accelerate Financial Technologies *confirmed on print date…more to be added*
4:00 PM	*Reception - Opportunity to network over food and drinks!*
6:00 PM	End of Calgary Wealth Managers' Forum

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11:00 AM	*Registration & coffee*
11:30 AM	***NowTalk – Seizing Opportunities*** Over the course of one's career there can be many turning points and times when inordinate gains can be had if one just takes the plunge. This NowTalk features an IA that many know and would love to emulate. We'll here his career story and times when he took his book and practice to the next level. **Joe Bakish,** Richardson Wealth
NOON	***Lunch Keynote – Importing Alts From the U.S.*** Everyone knows that the United States has a huge asset management market – both in terms of investors and managers. When U.S. managers have made the move to sell into the Canadian retail market it has not always worked out well but the new breed of managers who have landed on our shores have researched the market and are bringing products tailored to the market. Join us to learn how these opportunities might fit your book. **Jeremy Lee,** Blue Owl
1:00 PM	***Table Talks*** Round table discussions hosted by our Sponsors. This session is aimed at providing all event attendees with the ability to join in genuine knowledge exchange and discussion in a small group setting. *Choose from 2 x ~25-minute round table discussions*
2:00 PM	***Francis Sabourin: Meeting of the Minds*** For many months, the (award-winning) Francis Sabourin Hour has graced the Zoom screens of many advisors and investors as he deconstructs his guests' fund/offering and asks the questions that IAs have with regard to structure, exposures, risk, liquidity, leverage, and a host of other factors important to asset allocation and portfolio management. This panel is a bit shorter and features three CAASA member managers who each have their own benefits to investor portfolios. A rare in-person opportunity! **Francis Sabourin,** Richardson Wealth, **Daniel Leger,** MGG Investment Group, and **Mark Tower,** Amundi Asset Management *confirmed on print date…one more to be added*

MONTRÉAL – TUES, FEB 21

2:45 PM	***NowTalk – The Future of Advice and Wealth Management Trends*** The brass ring for many fund managers is Canada's $2+ trillion AUA broker-dealer market, but it's not as easy as one might think to: (i) create a product for the market; (ii) have it approved for sale at each dealer, with each one having its own idiosyncratic factors; and (iii) getting into branches and in front of IAs to wholesale the funds. This NowTalk features a veteran of the bank desk approval process and will prove to be eye-opening to all! **Martin Lavigne,** *KPMG and* **David Krief,** *KPMG*
3:15 PM	***A Look at Real Estate Plays*** Real Estate is the oldest investment, and one that has garnered a great deal of interest from investors over the last many years. While it's impossible to time any investment, the illiquidity of real estate (coupled with, usually, leverage at the asset and/or fund level) can introduce risks not evident in other asset classes. They also 'suffer' from stale-dating such that investors observe lower volatility than with other investments, but they also do not have immediate insight as to the true value of their holdings. This panel will talk through all of these potential negatives and, in many cases, show how they can be positive for investors. **Steven Furtado,** Mandeville Private Client, **Joshua Varghese,** Axis Real Assets**, Adam Dean,** CMLS Asset Management**,** and **Anthony Guarnieri,** Group RMC
4:00 PM	*Reception - Opportunity to network over food and drinks!*
6:00 PM	End of Montréal Wealth Managers' Forum

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TORONTO – THURS, FEB 23

10:30 AM	*Registration & coffee*
11:00 AM	***NowTalk – The Alts Landscape in Canada and Globally*** Welcome to Alts-Land. In this NowTalk, Preqin will give a succinct briefing of alternatives in Canada and the world – with an emphasis on how far we have come in alts allocations and where they may be headed over the next few years (if we follow the massive growth seen in other markets). This presentation will have some great talking points for discussion with clients who see alternatives as just that, and not required for a well-balanced portfolio. **Joseph Borda,** *Preqin*
11:30 AM	***NowTalk – What I Learned in 17 Years in the Business*** Craig's many TV appearances, "Alternative Investments" on BNN/Bloomberg, coupled with his prolific speaking schedule makes him a known entity to clients/prospects and industry folks alike. Always with a witty analog and anecdote to illustrate a point, his incisive mind is seemingly always concocting ways to translate industry-speak to something that investors can understand. Join us for this session that will chronicle his life as an IA and how he built his persona within the bounds of IIROC requirements. **Craig Machel,** Richardson Wealth
NOON	***Lunch Keynote – Alts Titans: A Candid Conversation with Two Veterans*** Dean is a Partner with Picton Mahoney Asset Management and a key part of their management team. Brad runs the TD Wealth platform and hails from PMAM, where he was a stoic advocate of alternatives. Not only did they work together for years, but they are best buds and we know that everyone will enjoy this frank discussion on the industry, alternatives, and what IAs and asset managers can do to set themselves apart from the crowd. **Dean Shepard,** Picton Mahoney Asset Management and **Brad Simpson,** TD Wealth
1:00 PM	***Table Talks*** Round table discussions hosted by our Sponsors. This session is aimed at providing all event attendees with the ability to join in genuine knowledge exchange and discussion in a small group setting. *Choose from 2 x ~25-minute round table discussions*
2:00 PM	***Mainstreeting Private Investments*** Should Main Street have access to the opportunities presented to 'more sophisticated' (read: wealthier) investors? For years, one could not even seriously ask this question as the products and structures were just not available. Now we can ask it,and get the answers from our panel: one that will look into the benefits and potential pitfalls of private investments in the hands of retail investors and how IAs can make the most of these platforms & funds. **Tom Johnston,** iCapital Network, **Kamal Hassan,** Loyal VC, **Jeff Parks,** Stack Capital, and **Neil Andrew,** Overbay Capital Partners

TORONTO – THURS, FEB 23

2:45 PM	***NowTalk – Using Your Head While Following Your Passion*** Delivering to clients involves a great deal of passion as it's not as simple as flipping a switch and making an allocation. One needs to discuss various constraints, preferences, and experiences with each client to arrive at the right portfolio mix – and then monitor it to ensure it continues to perform as required. That said, investing involved a great deal of statistical analysis and, importantly, creating a model in one's mind to keep track of each investment and how they might provide value to an investor. Mike has a huge passion for advising and a track record of knowing the numbers behind the investments vs. following blindly into new areas. This is your chance to see how this IA brings it all together **Speaker** *TDB at print date*
3:15 PM	***Alts That Can Outperform*** Alts can go through cycles and each one has its own merits and potential place in an investor portfolio, and knowing these factors is very important as IAs allocate to these asset classes and sub-sectors. This panel will provide insight into how advisors can do diligence on managers and allocate client assets to them. **Jonathan Colligan,** Westcourt Capital, **Jason Landau,** Waratah Capital Advisors, **Anthony Faiella,** AGinvest Farmland Properties Canada, and **Mike Quinn,** RPIA
4:00 PM	*Reception - Opportunity to network over food and drinks!*
6:00 PM	End of Toronto Wealth Managers' Forum

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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.

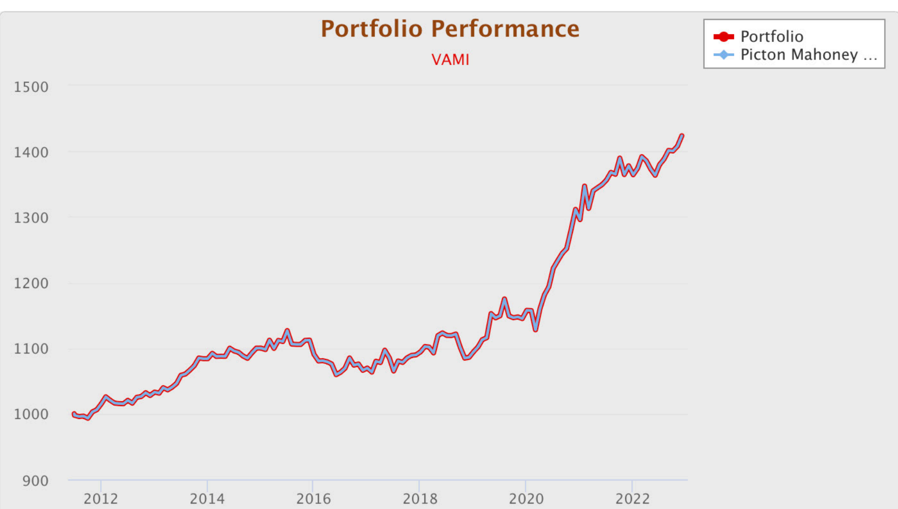
You can also produce pro forma portfolios (like the one below) to see how adding certain funds could have affected returns. The weighting of each fund can be easily adjusted - leading to all performance metrics being updated immediately.

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.



Portfolio Performance

Statistics

ITD ROR.	42.34%
Ann. ROR.	3.12%
Volatility	3.74%
Maximum Drawdown	-5.95%

Name portfolio: test 1 — Save portfolio

Portfolio Group: Select...

Create Group Name: Enter group name... — Save group

Rebalance Strategy: No Rebalance

Picton Mahoney Market Neutral Equity Fund Class A

Contact Information

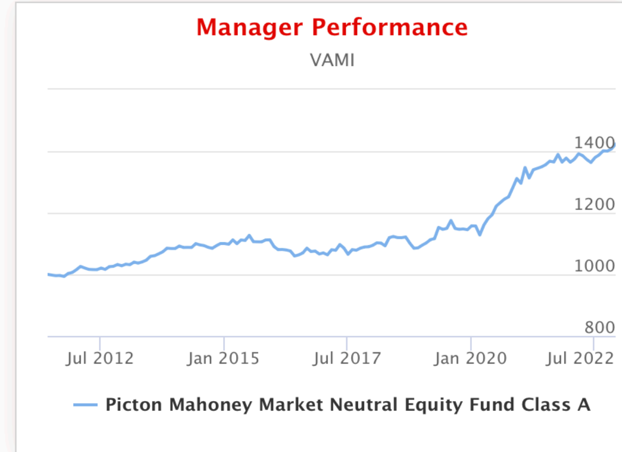
Picton Mahoney

Fund Details

Build a portfolio that is long the most attractive stocks and short the most unattractive stocks based on our multifactor ranking system. We will buy quality companies in the midst of fundamental positive change with reasonable valuations and sell short lower quality companies in the midst of negative fundamental change that have high valuations.

Statistics & Ratios Summary

	Fund	Benchmark
Ann. RoR	3.12 %	N/A
Sharpe Ratio	0.65	N/A
Volatility ⓘ	3.74 %	N/A
Average Monthly Return	0.26 %	N/A
Highest Monthly Return	3.93 %	N/A
Lowest Monthly Return	-2.53 %	N/A
Maximum Drawdown	-5.95 %	N/A
% Positive Months	57.97 %	N/A
% Negative Months	42.03 %	N/A
Average Monthly Gain	0.93 %	N/A
Average Monthly Loss	-0.66 %	N/A
1Y Return	3.32 %	N/A
1Y Volatility	2.90 %	N/A

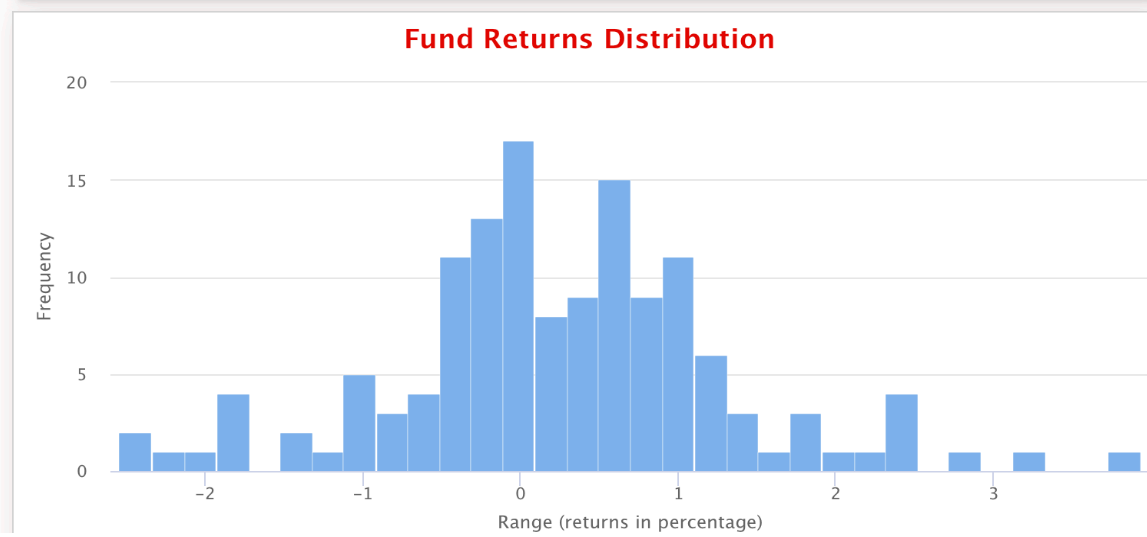


About the manager:

The Fund's objective is to provide consistent long-term capital appreciation with an attractive risk adjusted rate of return.

Monthly Performance

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	YTD Benchmark
2022	-0.98%	0.74%	1.27%	-0.44%	-0.90%	-0.70%	1.19%	0.61%	0.96%	-0.06%	0.52%	1.13%	**3.32%**	0.00%
2021	-1.18%	3.93%	-2.52%	2.05%	0.34%	0.35%	0.51%	0.87%	-0.21%	1.80%	-1.80%	0.97%	**5.06%**	0.00%
2020	1.10%	-0.03%	-2.53%	2.86%	1.80%	1.06%	2.35%	0.96%	0.91%	0.57%	2.35%	2.37%	**14.53%**	0.00%
2019	0.80%	0.67%	0.97%	0.28%	3.29%	-0.56%	0.27%	2.23%	-2.21%	-0.23%	0.11%	-0.23%	**5.43%**	0.00%
2018	0.42%	0.75%	-0.07%	-0.81%	2.42%	0.36%	-0.34%	-0.02%	0.21%	-1.79%	-1.51%	0.12%	**-0.33%**	0.00%
2017	0.32%	-0.58%	1.55%	-0.18%	1.74%	-1.05%	-1.85%	1.43%	-0.20%	0.64%	0.35%	0.06%	**2.20%**	0.00%
2016	-1.96%	-0.92%	0.05%	-0.16%	-0.30%	-1.52%	0.34%	0.58%	1.46%	-1.02%	0.16%	-0.89%	**-4.14%**	0.00%
2015	0.00%	-0.20%	1.29%	-1.12%	1.10%	-0.15%	1.50%	-1.82%	-0.05%	0.00%	0.57%	0.03%	**1.10%**	0.00%
2014	0.00%	0.75%	-0.43%	0.03%	-0.02%	1.15%	-0.39%	-0.19%	-0.51%	-0.32%	0.78%	0.65%	**1.49%**	0.00%



NOTES

SPEAKER BIOGRAPHIES

Thank you to our many speakers, presenters, and those who added their themes and topics, panel and non-industry speaker ideas, and other invaluable input!

SPEAKER BIOGRAPHIES

Steven Adang
Founder and President
Anchor Pacific Investments

Steven Adang, CFA, CAIA is the Founder and President of Anchor Pacific Investments, which is a trade name of Aligned Capital Partners, and Anchor Pacific Financial Risk Labs, which is an emerging provider of data visualization, comprehensive risk analytics, market insight and intelligence to the global investment industry.

Anchor Pacific functions as a fractional Chief Investment Office providing sophisticated full-access investment platforms and customized solutions, hedge fund and alternative investment specialized expertise, risk management advisory services, and proprietary risk software to high net worth and multi-generational families, family offices, financial advisors, and select institutional pools of capital.

Neil Andrew
Managing Director
Overbay Capital Partners

Neil Andrew is a Managing Director at Overbay Capital Partners and is a member of the investment team. Prior to Overbay, Neil was a senior member of Setter Capital, where he acted as an advisor on private equity secondaries for financial institutions globally. Neil was also a portfolio manager and partner of a long-short equity hedge fund, Sevenoaks Capital. Neil holds an Honours Bachelor of Commerce from the Smith School of Business at Queen's University and is a CFA charterholder.

Joe Bakish
Portfolio Manager, Wealth Advisor, Investment Advisor
Richardson Wealth

Joseph Bakish is a Portfolio Manager, Wealth Advisor, Investment Advisor at Bakish Wealth, at the firm Richardson Wealth Limited.

Named Canada's Top Under 40 Investment Advisors in 2020 by the Investment Industry Association Of Canada, Joseph Bakish has built his career by putting the best interests of his clients at the forefront of his objectives.

After initially building a solid practice at Investors Group, Joseph realized that as business and the industry was evolving, they needed a change. Bakish Wealth joined Richardson Wealth six years ago, which has opened the door to a wider universe of alternative assets that can add value and enhanceportfolio diversification – from private equity and real estate to private debt. Clients have responded well to their unbiased access to investment solutions, which has led to a growing referral base and the expansion into theirthird client segment of high-net-worth investors.Bakish Wealth's book boasts $242million in assets under management (AUM) across 490households, as well as a large insurance component.

Most of their clients are between 40 and 60 years old, and many are research-oriented physicians, medicalresearchers, and university professors. Their clients also include high-net-worth business owners andhigh-potential young professionals. For prospects with established careers, their minimum investment is $1 million.

SPEAKER BIOGRAPHIES

Joseph Borda
SVP, Head of Reserarch, Americas
Preqin

Joseph Borda (Joe) is SVP, Head of Research, Americas at Preqin, the industry's leading source of data, insights, and solutions across alternative assets. Joe is responsible for Preqin's Americas data offerings, including the implementation and future advancement of the database. He is a Chartered Alternative Investments Analyst (CAIA) and holds a Bachelor of Science in Economics degree from Syracuse University.

James Burron
Co-Founder & Partner
CAASA

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

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

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

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

Charbel Cheaib
Partner & CFO
Morex Capital

Charbel brings more than 20 years of experience in the financial industry. He began his career as a Chartered Accountant, performing audits and consulting for Canadian Banks, Broker/Dealers, Investment Funds and Mortgage Investment Corporations during his time at KPMG. In 2009 he joined CIBC Mellon where he developed fund administration services for the unique requirements of exempt market dealers to penetrate a new market and acquire new clients as a business development executive. In 2019, he joined BlackRock and was responsible for oversight of relationships with institutional investors, reviewing investment portfolios and proposing suitable private equity & private credit investments, working closely with some of Canada's largest pension plans.

Charbel joined Morex Capital as a Partner to execute the firm's growth strategy as the demand for alternative lending continues to expand.

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

Adam Dean
Portfolio Manager
CMLS Asset Management

Adam Dean is the portfolio manager of the CMLS Mortgage Fund and responsible for mortgage investment mandates under CMLS Asset Management Ltd. Adam's primary focus is on building and maintaining the trust of our valued investor partners, prudent investment selection and portfolio management, and structuring our related processes to meet our investors' credit and yield objectives.

Adam has more than 10 years' experience in the mortgage industry, with a focus on institutional investment mandates, portfolio management and securitization. Prior to joining CMLS in 2011, Adam obtained his Bachelor of Commerce from the University of British Columbia .

Anthony Faiella
Senior Vice President
AGinvest Farmland Properties Canada

Anthony has almost 30 years of experience in the investment industry. Anthony was a licensed portfolio manager and worked extensively with high-net-worth individuals. He is a Chartered Financial Analyst (CFA) and a member of the CFA Institute. He earned an MBA from the Schulich School of Business and a CPA from the State of Illinois. Anthony spent 5 years as an Executive-in-Residence at the Schulich School of Business, where he oversaw the student-run investment fund, working with students to guide and mentor them as they manage an actual investment portfolio.

He is a member of the Board of Directors for the Ronald McDonald House in Toronto, sits on the Audit and Finance Committee and is Chair of the RMH Investment Committee.

Travis Forman
Portfolio Manager
Harbourfront Wealth Management

Travis Forman is a Portfolio Manager at Strategic Private Wealth Counsel – Harbourfront Wealth Management which has been named one of the fastest-growing wealth management practices in terms of AUM % growth for two years running. Travis holds 25 years of wealth management experience and holds in-depth expertise in the area of alternative investments. He has been instrumental in the development of a collection of private investment pools that span private debt, private real estate, and private equity.

In less than five years and over the course of the pandemic, Travis led the growth of Willoughby Asset Management's private pools to over $1 billion in AUM.

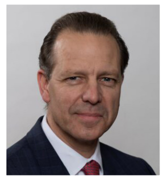
His mission is to make a difference in the lives of Canadians. He is dedicated to the growth of portfolios owned by retirees, entrepreneurs, and working professionals.

Steven Furtado
Associate Portfolio Manager (Associate Advising Representative)
Savoir Investment Council

After nearly 15 years of operating a family business, an inherent passion for entrepreneurship, investment, and people, lead Steven into the wealth management industry. Since then, he and his team developed a practice that revolves around serving the often complex needs of business owners (particularly dental professionals) and their families by implementing our collaborative approach.

Being independent is a key element in delivering unbiased wealth management solutions to our clients, and it's something he take great pride in. His practice continues to grow, as we continue refining our approach to adapt to a rapidly changing landscape.

Over the years he has been fortunate enough to have been nominated as a finalist for the Young Achiever Award in 2020 & 2021, as well as The Rising Star finalist in 2019 by Wealth Professionals Canada and was the recipient of "The Distinguished Advisor of the Year" award by the Knowledge Bureau.



Matias Grum
Senior Portfolio Manager
Raymond James Ltd.

As a Chartered Investment Manager (CIM), Matias builds tailored wealth solutions for Canadian and US high-net-worth families, business owners and professionals. His international experience as a former trade analyst for the Government of Argentina, years of portfolio management and excellent research skills give his clients access to a sophisticated blend of quantitative and qualitative data to generate high-quality asset allocation, and overall portfolio return. Matias and his team take a disciplined and structured approach to planning for their client's long-term goals -including tax strategies, while constantly adjusting to changing market conditions.

Matias is also strongly committed to the community, over the years he has served as a Board Member of the Calgary Opera (2021-14) and the Alberta Ballet (2015-2021). A former ranked Junior tennis player, he currently serves as a Board Member for the UofC Dino's Tennis Society.

Anthony Guarnieri
Senior Vice President
Group RMC

Anthony is a Senior Vice President at Group RMC. His primary role is fostering relationships across Canada with Family Offices and Asset Allocators. Anthony has over 15 years of experience working in the financial sector. Previously, he was the Regional Sales Director at Desjardins Wealth Management where he developed business with investment advisors and worked with Portfolio Managers to bring investment products, such as ETFs to market. Prior to Desjardins, Anthony was also a Business Development Manager at Manulife Investments (also known as John Hancock in the US) where he worked alongside investment advisors and their clients.

SPEAKER BIOGRAPHIES

Kamal Hassan
Managing Partner
Loyal VC

Kamal Hassan is a Managing Partner of Loyal VC, a global venture fund with a unique investing process designed to drive excess returns with lower volatility. Loyal's gate-stage process involves monthly diligence calls with portfolio companies over years, with the top 2% of the portfolio each month offered next, progressively larger, stages of funding. The fund is broadly diversified, with almost 300 investments, in 50+ countries globally, across industry sectors, made across the economic cycle. Deals are almost exclusively sourced through global partnerships with INSEAD and the Founder Institute accelerator. Value is added by Loyal's proprietary network of over 1,000 people, who share in the fund's carry. Loyal's process and diversification is enabled by the fund's open-ended structure, with quarterly repricing and liquidity opportunities.

Prior to Loyal, Kamal had a 20-year career as an entrepreneurial CEO and angel investor, following time as a consultant with Bain. Outside activities included serving as president of the INSEAD Canadian alumni association, and working as a Global Director with the Founder Institute. Kamal has an INSEAD MBA, a degree in engineering physics from Queen's University, has traveled to over 100 countries and speaks five languages

Tom Johnston
Canadian Market Head
iCapital Network

Tom Johnston heads the iCapital Network activities in Canada, having been active in the alternatives and broader asset management industry in the country for more than 25 years. He is a substantial presence at many industry events and has been a champion of the sector for much of his career.

Prior to his role at iCapital Network, he lead the institutional sales efforts at CI Global Asset Management, after a 15-year tenure at UBS Asset Management (Canada). Tom started his career at the Royal Trust company and has served as a member of the board of directors and executive committee with the Portfolio Managers Association of Canada (PMAC). He has a Bachelor of Arts from The University of Western Ontario and a Bachelor of Laws from the University of Windsor.

Shamez Kassem
Partner
Northfront Financial

Shamez is a partner at Northfront Financial, a boutique portfolio management company in Calgary focused on bringing pension quality alternative investment opportunities to individuals. He spent the first several years of his finance career working with institutional investors, including BNP Paribas and Alberta Investment Management Corporation, and he began working with individual Canadian investors in 2010. Shamez Kassam, MBA, CFA, is a 2004 graduate of Columbia University's Graduate School of Business in New York City, where he majored in finance and economics. He holds the Chartered Financial Analyst (CFA) designation from the CFA Institute.

He is author of the book, Your Money's Worth – The Essential Guide to Financial Advice for Canadians.

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

SPEAKER BIOGRAPHIES

Colin Kilgour
Co-Founder and Managing Director
Kilgour Williams Capital

Colin Kilgour is the co-founder and managing director of Kilgour Williams Capital, the portfolio manager of Kiwi Private Credit Fund which is the first Canadian-managed investment fund dedicated to the marketplace lending space. Colin founded Kilgour Williams in 2007, initially to provide advice, risk assessment, valuation, and access to liquidity for Canadian investors who were burdened with restructured Asset Backed Commercial Paper in the wake of the Global Financial Crisis. Kilgour Williams Capital has advised on over $2 billion of these structured notes.

Colin previously founded and sold a finance company that provided accounts receivable financing to North American companies and funded those receivables with unique securitization techniques he developed. Early in his career, he spent 10 years as a management consultant for financial institutions in Canada, the US, UK and Europe.

Dean Kirkham
President & Chief Operating Officer
Trez Capital

Dean Kirkham, Trez Capital's President and Chief Operating Officer, leads the execution of the firm's corporate strategy. In his role, Dean ensures that Trez Capital's actions and operations are aligned to drive the achievement of its goals. With over two decades of diverse financial experience and passion for talent development, Dean leads his teams by example, with the purpose of inspiring and fostering growth.

Dean began his career with ABN AMRO's investment bank in Amsterdam and later New York. Prior to joining Trez Capital, he spent over a decade at Bank of Montreal where he held executive leadership roles on both the origination and risk sides of the business.

Dean earned a Bachelor of Science in 1996 from the University of British Columbia and a Master of Business Administration (MBA) in 1999 from the Schulich School of Business at York University.

Julian Klymochko
CEO and Chief Investment Officer
Accellerate Financial Technologies

Julian is the CEO and Chief Investment Officer of Accelerate, a leading alternative investment solutions provider. Prior to founding Accelerate in 2018, he was the Chief Investment Officer of Ross Smith Asset Management where he managed a number of award-winning alternative investment strategies for nearly a decade. He started his career as an Analyst at BMO Capital Markets. Currently, Julian is the Director of the CFA Society Calgary.

Julian attended the University of Manitoba where he graduated with a Bachelors of Science (Engineering) and a Bachelors of Commerce (Finance), both with distinction. Julian is a Chartered Financial Analyst (CFA) charterholder.

Julian has been featured in some of the world's top financial and business media including Bloomberg, CNBC, The Wall Street Journal, BNN, Business Insider and The Globe and Mail. He is the author of the book Reminiscences of a Hedge Fund Operator and host of the Absolute Return Podcast.

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

SPEAKER BIOGRAPHIES

Jason Landau
Managing Director, Portfolio Manager and Head of Investment Team
Waratah Capital Advisors

Jason joined Waratah Capital Advisors in 2010. Jason is the Lead Portfolio Manager on the Waratah Alternative ESG fund and Co-Portfolio Manager on Waratah One and Waratah One X. Jason also leads the investment team.

Prior to Waratah, Jason worked at TD Securities as an Associate in Investment Banking and Equity Capital Markets. During his time at TD, Jason was involved in domestic mergers and acquisitions, as well as the structuring and pricing of equity securities, convertible debentures, and preferred shares. Jason received an Honours Business Administration degree from the Richard Ivey School of Business at the University of Western Ontario

David Leger
Managing Director
MGG Investment Group

Daniel Leger is Managing Director at MGG Investment Group. Mr. Leger has over 18 years of experience in the asset management business. Prior to joining MGG, Mr. Leger was Head of Strategic Planning and Client Services at Akre Capital Management in Virginia where he helped grow the then 24 year old firm's private partnership and mutual fund assets from $2 billion in 2013 to approximately $14 billion in 2019. Previously, he worked as Managing Director, Head of Marketing at Geosphere Capital, a $1.4 billion hedge fund based in New York City. Prior to that, he worked in a similar capacity at Steel Partners, a $5 billion global activist manager. Mr. Leger began his career in asset management at BRI Partners, a venture capital firm and joint venture with Mesirow Financial, that seeded hedge funds, helping grow their collective assets to in excess of $5 billion.

Mr. Leger received his doctorate in political philosophy and international relations from The University of Notre Dame in Indiana and his BA from Concordia University in Montreal, Canada.

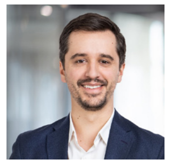
Craig Machel
Director, Wealth Management and Portfolio Manager, Investment Advisor
Richardson Wealth

Craig encourages his clients to think differently about investing in order to ensure a positive impact in his clients' financial circumstances. He works beyond traditional portfolio management in the equity and bond markets alone to include conservative and predictable alternative assets, offering more effective diversification and a benchmark that offers protection and peace of mind regardless of market conditions. Craig is a frequent commentator on alternative asset allocations for various media outlets, and a panelist and speaker at industry events.

Dennis Mitchell
Chief Executive Officer and Chief Investment Officer
Starlight Capital

Alkarim Jivraj has been involved in technology investment banking, venture capital, and venture debt for more than 20 years, during which time he has advised or invested in over 200 companies. Prior to joining Espresso, he was the Founder and Managing Partner of Intrepid Business Acceleration Fund, a venture capital fund, and Managing Director of the advisory firm Intrepid Equity Finance. Alkarim started his finance career at Yorkton Securities, a boutique investment banking firm, eventually leading its information technology investment banking practice and co-managing two investment funds.

SPEAKER BIOGRAPHIES



Jeff Parks
Chief Executive Officer & Director
Stack Capital

Jeff brings over a decade of investment industry and portfolio management experience to Stack, having successfully co-managed various North American strategies including long/short equity, a high conviction 'best ideas' mandate, in addition to a yield-based Fund. During his career, Jeff has actively invested across the capital structure, including high yield credit, convertible notes, preferred debt, public equity (both long & short), and private equity. Through an extensive research and due diligence process, Jeff has specialized in identifying compelling public and private company investment opportunities and has collaboratively worked alongside management teams to help grow business operations and increase shareholder value.

Jeff is a graduate of the Richard Ivey School of Business and is a CFA charterholder.

Richard Pilosof
Chief Executive Officer
RPIA

Richard Pilosof is a founding partner and the Chief Executive Officer of RPIA, one of the largest alternative asset management firms in Canada.

Prior to founding RPIA, Richard spent over 25 years with RBC Capital Markets where he served as Managing Director and Head of Global Debt Markets. Richard was also responsible for developing and building RBC's international capital markets platform, now with significant operations in London, Hong Kong, Sydney, and New York.

Richard is an active community volunteer, serving as a Director on the Mt. Sinai Hospital Board and as Co-Chair for the Sinai Health Foundation, where he was also the Campaign Chair and a member of the Philanthropy Executive Council, the Stewardship Council, and the Gift Acceptance Committee. He is currently a board member of the Ontario Junior Hockey League Foundation and President of the Pickering Panthers Junior A Hockey Club.

Richard holds a BA in Finance from Coastal Carolina University.

Mike Quinn
Principal, Senior Advisor (former CIO)
RPIA

Mike co-founded RP Investment Advisors LP (RPIA) in 2009 and is currently involved in an advisory capacity as Senior Advisor. Mike sits on the Investment Committee, ESG Committee, and Risk Committee. Previously, he was the firm's Chief Investment Officer and was responsible for formulating and implementing the firm's investment strategy across the funds.

Mike is a former Managing Director at RBC Capital Markets and during his 15 years at the bank, he held increasingly senior roles, including managing the global credit trading business and the global structured credit business. Mike brings to RPIA an expert knowledge of the global credit markets coupled with extensive experience in managing credit risk exposures across multi-billion dollar portfolios. Prior to joining RBC Capital Markets, Mike worked for a leading Toronto-based real estate developer as a Leasing Manager.

Mike holds a BComm from Queen's University and an MBA from the University of British Columbia. He is a member of the Advisory Board of Smith School of Business and is involved with several charitable organizations, including being a Board Member for Beat the Streets Toronto and sitting on the Quinn Family Future Foundation Board.

SPEAKER BIOGRAPHIES

Francis Sabourin
Portfolio Manager & Investment Advisor
Richardson Wealth

Financial Planner and Portfolio Manager, Francis Sabourin, Director, Wealth Management at Richardson Wealth, was awarded the Distinguished Advisor Award (prix Conseiller émérite) for the year 2016 by the publication Finance et Investissement, highlighting the good performance of his portfolios, both equal to or higher than the benchmarks, while minimizing the risks, thereby focusing on good capital protection. The Advisor of the Year Award is designed to recognize an advisor with at least 20 years of experience, who has marked the financial industry with a unique and remarkable practice.

Francis has had a monthly 'show' (the Francis Sabourin Hour) as part of CAASA's regular programming for the last 2 years.

Dean Shepard
Chief Revenue Officer
Picton Mahoney Asset Management

Dean Shepard is the Chief Revenue Officer & Managing Partner of Picton Mahoney Asset Management. He is responsible for Industry Leadership, Corporate Development, C-Suite Client Relations and Collaboration, and is an investment industry veteran with over 25 years' experience. Dean holds a Bachelor of Arts degree in Economics from the University of British Columbia and is a CFA charterholder.

Brad Simpson
Chief Wealth Strategist and Head of Wealth Investment Office
TD Wealth

Brad Simpson is Chief Wealth Strategist and Head of Wealth Investment Office at TD Private Wealth and Financial Planning. Brad is a member of the TD Wealth Asset Allocation Committee and Chairs both the TD Wealth Investment Policy and Investment Management Committees.

With a career spanning more than 32 years — serving in roles as varied as, portfolio manager, president and chief investment officer — Brad has developed a unique perspective on wealth management.

He is also widely sought-after speaker and frequent contributor to numerous financial media sharing his views on investment strategy, risk management and behavioural economics.

He is a Chartered Investment Manager and a Fellow of the Canadian Securities Institute.

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

SPEAKER BIOGRAPHIES

Scott Starratt
Senior Portfolio Manager
Canaccord Genuity Wealth Management

Scott Starratt is a Certified Financial Planner and a Chartered Investment Manager. He graduated with a Bachelor of Commerce from the University of Alberta in 1993 majoring in Finance, Game Theory and Chemistry and draws on more than 29 years of experience in the financial services industry.

Scott's role is to lead the team and perform astute due diligence, manage portfolios and select top-tier alternative and hedged investments for our clients' downside protection. Scott gets to know company management teams on an up-close-and-personal basis to be able to assess funds based on more than figures on a balance sheet: he also considers each managers' ethics, track records and integrity under pressure.

Raj Tandon
Founding Partner
Algonquin Capital

Raj Tandon is a Founding Partner of Algonquin Capital, a boutique asset manager dedicated to helping Canadians get more from their fixed income. In his previous lives, Raj studied mathematics, traded credit derivatives, and volunteered for numerous charitable organizations. As a structured credit trader for TD Securities London, he managed and traded multi-billion dollar portfolios across North American and international markets.

Outside of work, Raj is passionate about dancing, kayaking, and community service. He is currently a Volunteer Crisis Counsellor for Victim Services Toronto, and in 2022 received the Toronto Police Services' VST Volunteer of the Year Award . Raj also serves as the Chair of the board for Unity, Canada's largest hip-hop charity. Prior to founding Algonquin, Raj spent 18 months volunteering in South America, and whilst in London was awarded Get Connected's 2009 Volunteer of the Year Award for his service on a children's helpline.

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

Rob Tetrault
Branch Manager, Sr. Investment Advisor & Sr. Portfolio Manager
Canaccord Genuity Wealth Management

Rob Tetrault is an award-winning Portfolio Manager and was a successful lawyer at MLT Aikins. Currently an esteemed board member in the Winnipeg community. He is a dedicated husband and father who co-founded the Canadian CMV Foundation, a charity on a mission to eradicate congenital CMV, the #1 cause of infant disability.

After graduating from the University of Toronto Law School, Rob worked as an insurance litigation specialist in Winnipeg. He then completed a Finance MBA and was a member of the Dean's list at the Asper School of Business before starting his Wealth Management Practice in 2010.

He is now Senior Portfolio Manager and Branch Manager at CG Wealth Management. Redefining the practice of financial advising and portfolio management through his transparency, honesty and dedication, Rob has built a remarkably successful practice where his clients' interests come first.

Rob was the recent recipient of the Visionary Award from Radio-Canada, was named to the list of 100 most fascinating Manitobans, was given the St. Boniface Chamber of Commerce Distinction Award, and was named to the Top 40 under 40 for the IAAC. He has also been chosen four times in the past five years to be on Wealth Professional's list of Top 50 Financial Advisors in Canada, reaching #9 in the 2017 edition, #2 in 2018, #6 in 2020 and #2 in 2021. His team won a silver medal in 2020 for the advisory team of the year, and in 2021 he was awarded 5 Star Financial Advisor Status.

The Portfolio Manager from the Tetrault Wealth Advisory Group currently resides in St-Boniface, the French quarter of Winnipeg with his wife Michelle and four children, Alexandre, Arielle, Angeline and Aubrie.

Mark Tower
Director of Business Development
Amundi Asset Management

Mark Tower is a Director of North American Business Development at Amundi Asset Management Inc. Prior to joining erstwhile Amundi Asset Management in December 2015, Mr. Tower was an Institutional Sales & Business Development Consultant at UBP Asset Management from December 2013 to December 2014. Prior to that, Mr. Tower was Head of Institutional Marketing at Rock Maple Funds from 2009 through 2013. From 2004 to 2009, he was Vice President, Institutional Marketing at Muirfield Capital Management. Prior to that Mr. Tower handled Institutional Marketing at Refco Alternative Investments Group from 2002 to 2003. From 2000 to 2002 he was a Wholesaler at Ortbitex Financial Services Group.

Mr. Tower has more than 15 years of experience with alternative investments, including hedge funds, fund-of-hedge funds, and liquid alternatives. he serves as a board member for Friends of Firefighters and Badge of Honor Memorial Foundation, both non-profit organizations.

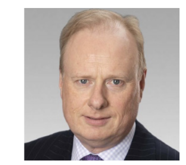
Mr. Tower received a B.A. from Boston College.

SPEAKER BIOGRAPHIES

Jonathan Turnbull
Managing Director, Head of Canadian Transactions & Business Development
Harrison Street Real Estate Capital LLC

As Head of Canadian Transactions and Business Development, Mr. Turnbull is responsible for sourcing Canadian transactions and forming/developing joint venture relationships across the country. In addition, Mr. Turnbull is responsible for developing Canadian focused business strategies, leveraging local expertise/relationships and Harrison Street's global capabilities into new targeted product offerings for our global and Canadian investors.

Prior to joining Harrison Street, Mr. Turnbull was a Managing Partner of Alignvest Student Housing and Canadian Student Living Group where he oversaw the development, launch and execution of a dedicated Canadian student housing fund which grew to become the largest owner/operator of student housing in the country. He was responsible for the fund, including transaction sourcing, diligence, financing, property/asset management, investor relations and operations. Prior to Alignvest Student Housing, Mr. Turnbull was the CEO of the first SPAC ever in Canada, Dundee Acquisition Ltd., and the head of Dundee Private Equity which targeted investments in Canadian real assets.



David Vankka
President & Chief Financial Officer
ICM Asset Management

Mr. Vankka is the President & Chief Financial Officer of ICM Asset Management and the Chief Executive Officer of ICM Investment Management Inc. He is the Portfolio Manager on the ICM Crescendo Music Royalty Fund and the ICM Advantage Venture Capital Corporation.

Mr. Vankka joined ICM as a partner in 2017 and leads ICM's diversified private equity platform. Mr. Vankka has 30 years of experience in investment banking, trading, and capital markets. He has been a Managing Director at several investment banks with extensive advisory experience in domestic and cross-border mergers & acquisitions, equity and debt origination, due diligence, structured product management, strategic planning, risk management, and proprietary trading. Mr. Vankka was a founder of global energy investment bank Tristone Capital which was ultimately sold to Macquarie Group and before that co-head and principal at Peters & Co. Limited. Mr. Vankka also was Vice President, Risk Management at Gluskin Sheff + Associates.

Mr. Vankka holds Chartered Financial Analyst, Chartered Professional Accountant, and Chartered Accountant designations. He is registered as Portfolio Manager with the Alberta Securities Commissions and holds a Bachelor of Commerce with distinction from the University of Calgary.

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

SPEAKER BIOGRAPHIES

Joshua Varghese
Co-founder and Partner
Axis Real Assets

Axia Real Assets is an asset manager focused on global real estate and infrastructure and is backed by CI Financial, one of Canada's largest investment management firms.

Joshua Varghese is a co-founder and Partner at Axia. Joshua brings deep global expertise in the real estate sector, having managed approximately $5 billion in global REITs including Canada's largest REIT fund during his 15-year tenure at CI. His accolades as a portfolio manager include Lipper Fund Awards, Fundata Awards and the Brendan Woods award for Top Gun Investment Minds from 2018 to 2021. His experience spans across most real estate subsectors and global geographies and he has been heavily involved in corporate structuring activities such as M&A, IPOs and privatizations. Joshua invests with a lens on the future, incorporating global technological and societal shifts into evaluating real estate investment decisions.

Pamela Yoon
Senior Portfolio Manager
RBC Dominion Securities

Pamela leads a team in providing comprehensive wealth management advice to affluent multi-generational global families, entrepreneurs, business executives, foundations & non-profits. An investment management veteran with 3 decades of experience, she have successfully guided clients through many bull & bear market cycles and their subsequent full recoveries, helping navigate clients into future market cycles.

Pamela manage concentrated, high-conviction global portfolios using proprietary technical analysis after screening companies for strong fundamentals. She is tactically-active in her strategy; her team & I roll up our sleeves and get to work doing deep due diligence on each and every company they invest in. They invest for the long-term but always conscious of short-term risks. Risk management is paramount. Pamela's personal wealth is invested in the same strategies as her clients; they are in this together.

Pamela's wealth & financial planning solutions are always custom-tailored to each client and their family. Absolutely no cookie-cutter approaches. She strongly believes that "investor behaviour" plays a huge role in investor success. Every elite athlete has an elite coach by his/her side and her promise to her clients is to be there to nudge them to do the uncomfortable things that will result in them being a better & stronger investor.

Pamela has travelled to 28 countries and looks forward to exploring more of this planet underwater as a scuba diver. She speak English, Cantonese, Mandarin and Bahasa Malaysia.

MEMBER DIRECTORY

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

Thank you!

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

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Actis - *Growth Markets Sustainable Infrastructure and Real Estate*
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Adaptive ETF - *Global Tactical Portfolio Solutions*
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Early Joiner

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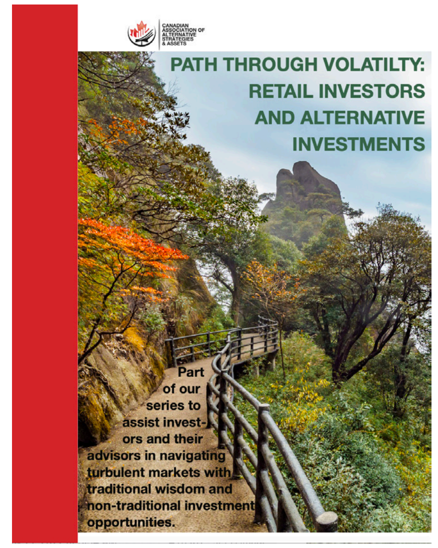

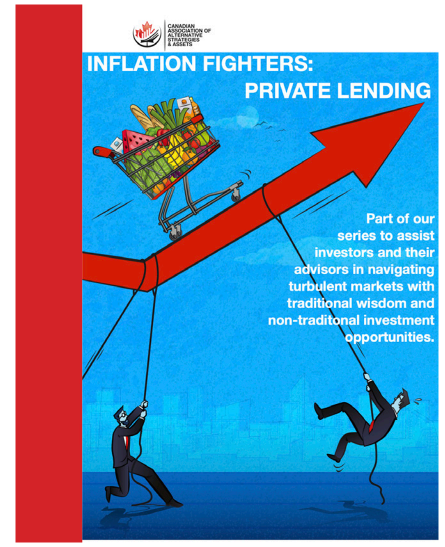

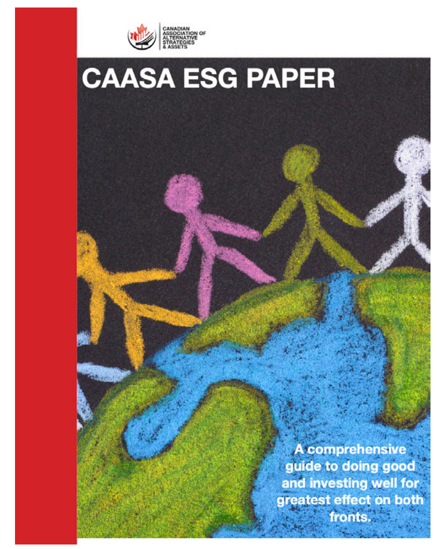

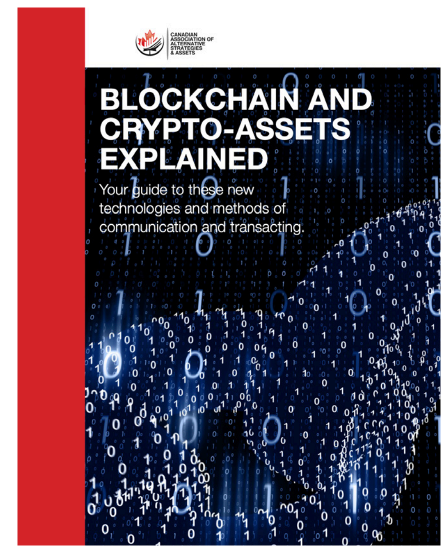

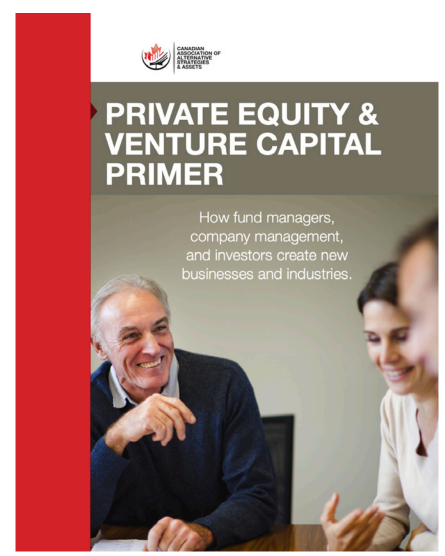

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