

Wealth Managers' Forum 2021

Presented by: The Canadian Association of Alternative Strategies & Assets



CAASA
CANADIAN ASSOCIATION OF
ALTERNATIVE STRATEGIES & ASSETS

**Tuesday, February 9th to Thursday, February 11th
Plus Additional Meeting Day: Friday, February 12th**





CEOS

FAMILY OFFICE

Welcome to the family office of the future UHNW ONLY

TREZ CAPITAL: Delivering Results for Investors & Borrowers for 23 Years

OVER
\$4.1B
AUM

1,500+
LOANS
ORIGINATED
SINCE INCEPTION

\$12B
IN LOANS
FUNDED
SINCE INCEPTION

ORIGINATED
151
LOANS IN 2019
TOTALING NEARLY
\$2.9B

Daniel Marchand
Senior Vice President,
Head of Investor Global Sales
514-515-9353
DanielM@TrezCapital.com

Vikram Rajagopalan
Senior Vice President,
Head of Retail Markets
647-788-1787
VikramR@TrezCapital.com



trezcapital.com



YOUR SOURCE FOR ALL THINGS ALTERNATIVE

Welcome to our conference focused on the requirements and preferences of retail, HNW, and UHNW Investment Advisors and allocators. We specially designed these three days to speak to the topics that are top of mind for you, while allowing ample opportunities to meet your peers, investment managers, and others in either one-on-one meetings or small group discussions (Table Talks) throughout the days. We also have our CAASA CE Centre at your disposal which will have 30 of our webinars and 30 of our podcasts from 2020 ported over as well as a course from each of our conference sponsors, and a selection of our panels and presentations.

We hope you get a great deal from this forum and look forward to any feedback you might have!

THANK YOU TO OUR SPONSORS



June 2017:
Launched
Fintech-Enabled
Kiwi Private
Credit Fund

Funded Over
750 Small
Businesses
With Affordable
Capital

Helped Over
5,000
Consumers
Reduce Interest
Costs

Delivered 40
Consecutive
Months of
Positive
Returns



Innovation. Impact. Results.

We Are Private Credit Experts
Your Success is Our Commitment
Let's Talk

Toronto | Montreal (Q1 2021)

647-977-5803

info@kilgourwilliams.com

www.kilgourwilliams.com

This does not represent an offer to buy or sell products or services of Kilgour Williams Capital Inc. (KWC) nor is it intended as investment and/or financial advice on any subject matter. The securities described herein are only available to Accredited Investors in Canada by private placement in accordance with applicable securities laws. Kiwi Private Credit Fund is a product of Kilgour Williams Capital Inc.



LEVERAGE ONE OF THE LEADING INVESTMENT FIRMS IN CANADA

Michael Sager, Ph.D
Multi-Asset & Currency Management
CIBC Asset Management
michael.sager@cibc.com

©CIBC Asset Management and the CIBC logo are registered trademarks of Canadian Imperial Bank of Commerce (CIBC), used under license. The material and/or its contents may not be reproduced without the express written consent of CIBC Asset Management Inc.

ABOUT CAASA

INCLUSIVE, ACTIVE, AND PAN-ALTERNATIVE

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

MEMBER BENEFITS

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

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

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

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.

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

CAASA WEALTH MANAGERS' FORUM - 2021 | 5

ALTERNATIVE IDEAS



In the current interest rate environment, the role of bonds in portfolios is compromised. Government bonds offer very little yield and credit is expensive, so where do investors go from here?

In our Alternative Ideas webinar, Re-Positioning Your Fixed Income For 2021, we discuss alternative income strategies to help investors fortify their fixed income allocation for 2021.

[Visit the CAASA CE Centre to view the webinar](#)

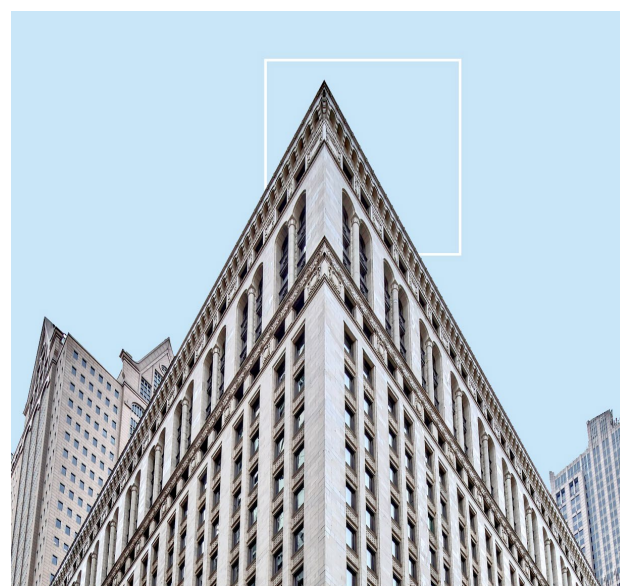
This material is intended for adviser use only. Commissions, trailing commissions, management fees, performance fees and expenses all may be associated with mutual fund investments. Please read the prospectus before investing. Mutual funds are not guaranteed, their values change frequently and past performance may not be repeated. Alternative mutual funds can only be purchased through a registered dealer and are available only in those jurisdictions where they may be lawfully offered for sale.

© 2021 Picton Mahoney Asset Management. All rights reserved.

SLATE

We are a global
investment and asset
management firm

slateam.com



Securities

SLATE

The Real Estate Solution for Allocators.

An investment management platform specializing in real estate investing across public and private real estate markets.

slatesecurities.com

Fraser McEwen, Partner
fraser@slatesecurities.com

FORMATS FOR THE DAYS

A PLETHORA OF WAYS TO LEARN AND INTERACT

TÊTE-À-TÊTE MEETINGS

This is your opportunity to schedule one-on-one meetings with any conference delegate. All matching MUST be completed by end of day on Monday, February 7th to ensure the scheduling software has time to confirm the meetings and each one is served up to you at the right time.

You can schedule as few or as many (up to 56, 20-minute meetings over the 2 days): book-ending Day 1, 2, and 3 (morning only) and all day on Day 4. Over the years we received feedback that these are possibly the best part of our conferences as it gives folks an opportunity to connect away from the scheduled panels and meal times and really drill down into their respective interests. The software automatically suggests times that are mutually convenient for both parties.

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

All meetings will be scheduled via the CAASA All-in-One Virtual Platform. Meetings must be completed by end of day on Monday, February 7th to ensure entry into the virtual room.

TABLE TALKS

We do not sell paid-for speaking spots, preferring delegates to choose when they might like to hear from sponsors. Table Talks are 20-minute sessions where anywhere from 2 to 30 delegates can get a briefing on a topic and participate in an interactive discussion. As with all of our events, we refrain from pay-to-play and draw all speakers from membership and prefer audiences to opt-in to more niche discussions, as will be delivered at the Table Talks.

Attendees can choose up to three sessions out of each of the those offered on February 9th, 10th, and 11th. **Titles/topics of each session will be published on the CAASA All-in-One Virtual Platform, also where attendees will register for their desired sessions. This must be completed by noon on Monday, February 7th to ensure entry into the virtual room, although one can enter rooms on-demand on the day if there is space.**

Welcome to the new ‘new normal’

In our new environment, investors have two choices – adapt or continue with the status quo and hope for the best.



In a world of near-zero interest rates, investors are faced with a new set of challenges. We offer solutions predicated on three simple beliefs.

- Investment-grade credit offers investors attractive value.
- Index tracking, restrictive mandates, and regulations create structural inefficiencies in an opaque bond market.
- Capital preservation is paramount to long-term success.

Contact us to see how we can help you navigate the new ‘new normal’.

Raj Tandon
Founding Partner
raj.tandon@algonquincap.com

The information contained is not investment or financial product advice and is not intended to be used as the basis for making an investment decision. This representation by Algonquin Capital is not, and does not constitute, an offer to sell or the solicitation, invitation, or recommendation to purchase any securities.

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

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

AGF.com



™The “AGFiQ” logo is a trademark of AGF Management Limited and used under license.

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

DAY 1 AGENDA

TUESDAY, FEBRUARY 9TH


8:00 AM	Tête-à-tête meetings (5 x 20-minute meetings)
9:40 AM	Platform Introduction
10:00 AM	NowTalk – About Shorting... Ida Khajadourian, Richardson Wealth and Daniel Dorenbush , Scotiabank
10:30 AM	Equity Market Neutral: the best-kept secret of alt strategies Adam Posman , PCJ Investment Counsel, Mark Allen , RBC Wealth Management, Bill DeRoche , AGF Investments, Jeff Bradacs , Picton Mahoney Asset Management
11:30 AM	Mini-break
11:45 AM	Fireside Chat – David Picton and James Burron David Picton , Picton Mahoney Asset Management, James Burron , CAASA
12:30 PM	Lunch Break
12:45 PM	NowTalk – How to Sell Digitally Shamez Kassam , Northfront Financial Inc., and Darren Coleman , Private Client Group, Coleman Wealth – Raymond James Ltd.
1:15 PM	Alt Alts: the next frontier Anthony Faiella , AGinvest Farmland Properties Canada Inc., David Jarvis , Corton Capital, Robert Anton , Next Edge Capital, Fred Pye , 3iQ Corp
2:00 PM	Mini-break
2:15 PM	Table Talks (3 x 20-minute meetings) AGF Investments - How to Build the (Nearly) Perfect Hedge Algonquin Capital - Rethinking Fixed Income Invico Capital - A Private Equity Approach to Private Debt Sigma Sandbox - The Next Level in Portfolio Building for Wealth Advisors ICM Asset Management - Property Partners Trust, stability in 2020 and opportunity in 2021 and beyond. Group RMC - Real Estate Co-Investing: Taking advantage of market inefficiencies
3:15 PM	Private Lending: leading the way in the 2020s Allison Taylor , Invico Capital Corporation, Daryl Boyce , Centurion Financial Trust, Francis Sabourin , Richardson Wealth, Vikram Rajagopalan , Trez Capital
4:00 PM	Tête-à-tête meetings (6 x 20-minute meetings)
6:00 PM	End of Day 1 Program

INVESTING IN THE EVERYDAY.

ALTERNATIVE IN THOUGHT. PRACTICAL IN ACTION.

We've spent over 15 years honing our methodical, strategic approach to investment across: multi-family residential, Canadian farmland, self-storage and commercial real estate assets – amassing over **\$2billion** in AUM across Canada and recently the US – an approach that is grounded in discipline on the tried, tested, and true.

Our interests are aligned with our stakeholders, grounding our decision-making in a way that benefits our investment community. And our approach to investing in and operating **everyday** assets and amassing equity is not only logical, it's quantifiable and replicable.

INVEST ALONGSIDE US
avenuelivingam.com




Welcome to the new digital normal.

Join our Table Talk to learn about our favourite high-growth stocks within the Canadian tech sector.



Jason Donville
President & CEO



Jesse Gamble
Sr. VP & Portfolio Mgr

CONTACT:
Sarah Cheng
VP, IR & Business Development
✉: sarah@donvillekent.com
☎: (416) 843-2144

DAY 2 AGENDA

WEDNESDAY, FEBRUARY 10TH

8:00 AM	Tête-à-tête meetings (6 x 20-minute meetings)
10:00 AM	NowTalk – Derivatives and your book Gleb Sivitsky, Mackenzie Investments, Robert Tasca , TMX Group
10:45 AM	Positioning Alternatives: communicating with clients Scott Starratt, Canaccord Genuity Wealth Management, Joseph Bakish , Richardson Wealth, Ted Karon , Tucker Wilson Group – Scotia Wealth Management, Grahame Lyons , Arbutus Partners
11:30 AM	Mini-break
11:45 AM	Fireside chat – Randolph Cohen & James Burron Randolph B. Cohen, Harvard Business School, James Burron , CAASA
12:30 PM	Lunch Break
12:45 PM	NowTalk – Being Inclusive and Sustainable: how adding perspectives and consciousness adds alpha David Sharpe, Bridging Finance, Brendan Rogers , RBC Dominion Securities
1:15 PM	Quant Investing: how it changed the world Tim Pickering, Auspice Capital, Roland Austrup , WaveFront Global Asset Management, Ronnie Shah , Fort L.P., Jay Barrett , SmartBe Wealth
2:00 PM	Mini-break
2:15 PM	Table Talks (3 x 20-minute meetings) Centurion Asset Management - Opportunities in Canadian Multi-Family Rental Apartment Buildings CEOS Family Office - Roundtable on the Future of Family Offices Trez Capital - Questions You Should Be Asking a Private Debt Manager Picton Mahoney Asset Management - A New Paradigm for Income Investing Maxam Capital Management - Utilize Arbitrage: Attractive, low correlation, risk-adjusted returns with low correlation to traditional equity & fixed-income strategies
3:15 PM	Liquid Alternatives: by the numbers Jason Mann, ehp Funds, Brian D’Costa , Algonquin Capital, James Burron , CAASA, Nick Griffin , Munro Partners
4:00 PM	Tête-à-tête meetings (6 x 20-minute meetings)
6:00 PM	End of Day 2 Program

Maxam Capital Management Ltd.

MAXAM

CAPITAL MANAGEMENT

Maxam Capital Management Ltd. is an independent alternative investment management firm located in Vancouver, Canada.

Maxam was founded with the philosophy that an active, opportunistic and disciplined approach to investing provides the best opportunity for the generation of strong risk-adjusted returns through a variety of market environments.

Maxam Arbitrage Fund

A liquid alternative arbitrage fund.

Attractive risk-adjusted returns with low correlation to traditional equity and fixed income strategies.



Maxam Diversified Strategies Fund

An event driven long/short fund.

Looking beneath the surface for opportunities. Exposure to company-specific events, special situations.



Connect : 604-685-0201 | info@maxamcm.com | www.maxamcm.com

DAY 3 AGENDA

THURSDAY, FEBRUARY 11TH

8:00 AM	Tête-à-tête meetings (6 x 20-minute meetings)
10:00 AM	NowTalk – KYP: get to know your alternatives Jason Streicher, AUM Law
10:45 AM	Credit, What Credit? Andrew Torres, Lawrence Park Asset Management, Matt Shandro, Fulcra Asset Management Inc., Geoff Castle, PenderFund Capital Management, Daniel Child, YTM Capital Asset Management, Matthew Dennis, Cidel
11:45 AM	Fireside Chat – Dr. Keith Black & Craig Machel on the Landscape of Alternatives Keith Black, CAIA Association, Craig Machel, Richardson Wealth
12:30 PM	Lunch Break
12:45 PM	NowTalk – Tim Cestnick on Planning Tim Cestnick, Our Family Office
1:15 PM	Becoming an MFO: The next step? Éric Lapointe, CEOS Family Office, Neil Nisker, Our Family Office, Keith Black, CAIA Association, Matthew Langsford, Richardson Wealth
2:00 PM	Mini-break
2:15 PM	Table Talks (3 x 20-minute meetings) Avenue Living Asset Management - Investing in the Everyday: The Opportunities in the Flight to Affordability Kilgour Williams Capital - Fintech Enabled Credit Investing: Delivering resilient, uncorrelated alternative income Alignvest Student Housing - The Resiliency of Student Housing: Poised for Growth Slate Securities - Finding Opportunities in Uncertain Times Donville Kent Asset Management - Investing in High-Growth Canadian Technology Stocks
3:15 PM	The New ETFs Richard Laterman, ReSolve Asset Management, Robert Duncan, Forstrong Global Asset Management, David Stephenson, CIBC Asset Management, Jaime Purvis, Horizons ETFs
4:00 PM	Keynote & Wine Tasting: 3rd Annual Liquidity Event – Join us for an evening of libations and illuminating talk on crypto-currencies <i>Dear Prudence: Bitcoin in corporate treasuries</i> – Paul Stapleton, Fidelity Clearing Canada <i>Sizing up Napa: Two alternative grapes</i> – Mackenzie Putici, New World Wine Tours <i>Sponsored by Global Partners: CEOS Family Office and Napier Park Global Capital</i>
6:00 PM	End of Day 3 Program

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

CAASA WEALTH MANAGERS' FORUM - 2021 | 13

Invico

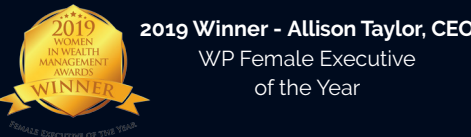
CAPITAL CORPORATION



Invico Capital Corporation is an alternative investment fund management firm providing alternative investing and financing solutions and has approximately \$740 million in assets under management (as of Sept. 30, 2020). The Invico Diversified Income Fund (IDIF) is a private investment offering focused on generating monthly income through a diversified portfolio with asset collateralization or direct ownership in private assets with a 10% target preferred return plus potential profit sharing.

- Never missed a distribution or redemption request since inception
 - 10% target preferred return + potential profit sharing (Class F)
 - Monthly distributions
 - RRSP, TSFA, LIRA, RRIF, RESP eligible
- Tax efficiency – target taxation 50% income, 50% ROC for tax purposes
 - Over 7-year track record
 - USD option available
 - On FundServ (ICC345F)
 - Quarterly liquidity

Awards and Recognitions



2019 Winners
5 Year Return, 2nd Place
3 Year Return, 3rd Place



2016 Winner
Diversified Mature Category

403-538-4771 | info@invicocapital.com

Suite 600, 209 8th Avenue SW, Calgary, AB

www.invicocapital.com





Student Housing: Poised for Growth

Alignvest Student Housing REIT offers investors the opportunity to invest in Canadian institutional-grade purpose-built student accommodation.

- Target Return - 15%*
- Distribution Yield - 5.4%
- 3,400+ beds at five university markets across Canada
- Asset Value - \$430M

Sanjil Shah
Managing Partner
(416) 418-5675
sshah@alignvest.com

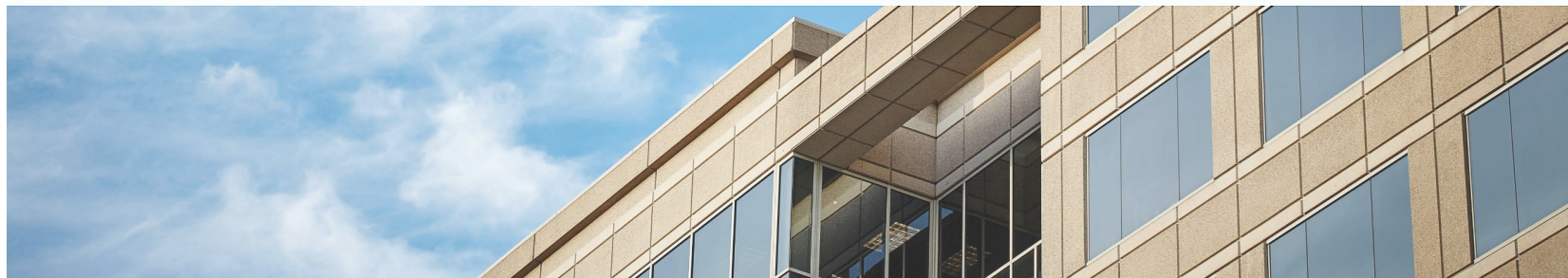
ALIGNVEST

www.alignveststudenthousing.com

STUDENT HOUSING

70th Floor, First Canadian Place
100 King Street West
Toronto, ON M5X 1C7

*Target return is net of fees and calculation model is available on request.



GroupRMC

REAL ESTATE CO-INVESTING IN INSTITUTIONAL ASSETS

Group RMC is a real estate Co-Investment group that invests in underappreciated office properties in non-gateway U.S. markets. Group RMC and its affiliate entities currently own over 19.5M square feet in the U.S., principally in the Midwest, representing over \$2.0B in asset value.

- **5.5%-8.0%+**
Average Cash Distributions
- **40%-60%**
Discount to Replacement Costs
- **Largest Third-Party Office Client**
Of CBRE Property Management in the U.S.
- **+98% Rent Collection During Pandemic**
As of Q4 2020

- **Kansas City, KS**
Largest Landlord
- **Memphis, TN**
Largest Office Landlord
- **Columbus, OH**
Largest Suburban Landlord
- **Chicago, IL**
3RD Largest Suburban Landlord

- **203**
Institutional Quality Properties
- **19.5M**
Square Feet in the U.S.
- **USD 2.0B+**
Assets Under Management
- **2,000+ Corporate Tenants**
Revenue from High Quality and Diversified Tenants

Contact

Brian Robillard | Brian@groupRMCusa.com | 514-358-4345 | 917-503-9730

Anthony Guarnieri | Anthony@groupRMCusa.com | 514-758-8562 | 917-503-9730

www.groupRMCusa.com

New York Office | One World Trade Center, Suite 83G, New York, NY 10007 USA

Columbus Office | 445 Hutchinson Avenue, Suite 920, Columbus, OH 42235 USA

GroupRMC

DAY 4 AGENDA & CE CENTRE

FRIDAY, FEBRUARY 12TH

8:00 AM	<i>Tête-à-tête meetings (27 x 20-minute meetings)</i>
5:00 PM	End of Day 4 Program

CAASA CE CENTRE

Our CE Centre was created with the busy Investment Advisor in mind - bridging the information gap on all things alternative while earning the continuing education credits as required by IIROC and other governing bodies (IIROC 2-year cycle concludes at the end of 2021). We not only cover the typical areas of investment such as liquid alts, ETFs, and private real estate and lending - this service speaks to portfolio construction, asset allocation, the role of alternatives in a portfolio, and how IAs can communicate the benefits of alternatives (e.g., illiquidity premium, lower correlation, tempered fund and overall portfolio volatility) as well as their constraints (such as lock-ups, gating, reduced subscription/redemption frequency, and mark-to-market pricing and stale-dating).

Over the year in 2021, we will upload approximately 30 of our 101 webinars from 2020 as well as 30 of our 51 podcasts - each one hand-picked for its ability to illuminate a specific set of the many facets of alternative investments. Some of these courses may consist of multiple parts or sections to ensure the subject is fully-covered and each one will be followed by a short quiz to test one's knowledge and lead to the issuance of the PDF CE credit via email. All you have to do is scroll through the topics and learn!

Many of the sponsors of this conference are also providing courses to our CE Centre (as many as 16) and we will, as applicable, create courses from a selection of the panels, firesides, and NowTalks presented throughout these three days of content. As they are not scripted, we will be posting them after the conference dates (along with the requisite quiz questions) so that you can earn continuing education credits on this great content!

If you have any ideas for courses, input into this or any other CAASA event or initiative, or might like to chat on membership, please contact us.



CANADIAN
ASSOCIATION OF
ALTERNATIVE
STRATEGIES
& ASSETS

CAASA
CE Centre

Discover. Develop. Master.

Powered by **learnedly.**



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

CAASA WEALTH MANAGERS' FORUM - 2021 | 15

TABLE TALKS



**Wealth Managers' Forum
Table Talk**

How to Build the (Nearly) Perfect Hedge

Andrew Bayouk
VP, Strategic Accounts and National ETF Strategy

February 9th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

The Next Level in Portfolio Building for Wealth Advisors

Dave Rudd
Founder & Director

February 9th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Fintech Enabled Credit Investing: Delivering resilient, uncorrelated alternative income

Colin Kilgour
Co-Founder & Managing Director

February 11th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Property Partners Trust, stability in 2020 and opportunity in 2021

Doug Laird
Managing Director, Institutional Relationships

February 9th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Investing in High-Growth Canadian Technology Stocks

Jason Donville **Jesse Gamble**
President & CEO *SVP & Portfolio Manager*

February 11th, 2021
www.caasa.ca

DONVILLE | KENT
asset management inc.





**Wealth Managers' Forum
Table Talk**

Investing in the Everyday: The Opportunities in the Flight to Affordability

Jason Jogia
*CEO, Real Estate Opportunity Trust
CIO, Avenue Living Asset Management*

February 11th, 2021
www.caasa.ca






**Wealth Managers' Forum
Table Talk**

The Resiliency of Student Housing: Poised for Growth

Sanjil Shah
Managing Partner

February 11th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Utilize Arbitrage: Attractive, low correlation, risk-adjusted returns with low correlation to traditional strategies

Travis Dowle
President & Fund Manager

February 10th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Questions You Should Be Asking a Private Debt Manager

David Cooper
Vice President, National Sales Manager

February 10th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Finding Opportunities in Uncertain Times

Fraser McEwen
Partner

February 11th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

A New Paradigm for Income Investing

Phil Mesman
Partner, Head of Fixed Income

February 10th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

A Private Equity Approach to Private Debt

Allison Taylor
Chief Executive Officer and Portfolio Manager

February 9th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Roundtable on the Future of Family Offices

Eric Lapointe
Founder & Chief Executive Officer

February 10th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

**Opportunities in Canadian Multi-Family Rental Apartment Buildings
Consistent Cash Flow Through and Beyond COVID**

Vali Lazarescu
Vice President, Institutional Real Estate

February 10th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

Rethinking Fixed Income

Brian D'Costa
Founding Partner

February 9th, 2021
www.caasa.ca





**Wealth Managers' Forum
Table Talk**

**Real Estate Co-Investing:
Taking advantage of market inefficiencies**

Anthony Guarnieri
Vice President, Family Office & Advisor Relations

February 9th, 2021
www.caasa.ca




OUR DATAROOM

ALL THE DATA REQUIRED TO MEET YOUR (INVESTMENT) MATCH

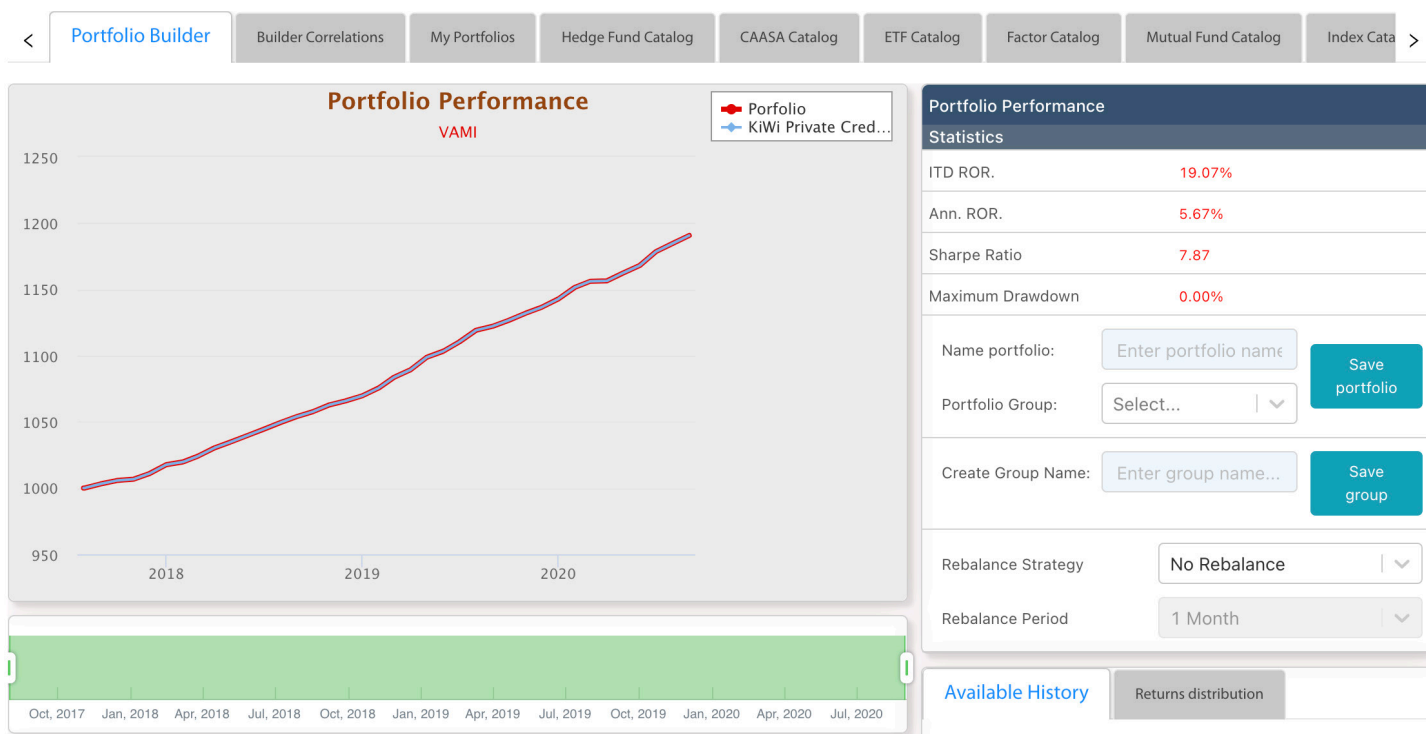
At the suggestion of one of our single family office members, we partnered with **SigmaSandbox** to create a dataroom to provide a more robust experience for managers and investors by getting performance and other information into the hands of prospective investors. We believe this free offering, exclusive to CAASA members, can be used in advance of the conference, during it, and afterward as much as one might like.

FOR INVESTORS

Simply create a login and you can search the database, choose any number of funds, introduce them into a portfolio approximating yours (more than 2,500 ETFs and 115 indices to choose from) to see how they might have affected its returns, and/or download tear-sheets of the fund to get portfolio and other data on it, the manager, and whom to contact to get more information. You can also use this to research managers who have invited you to meet or, if you like, extend your own invitations for a tête-à-tête (more on these on subsequent pages).

FOR MANAGERS

Uploading your performance and other information gets you on the radar of delegates at the conference and, as **SigmaSandbox** and CAASA will be making this available to more than 1,000 endowments, other significant investors, and wealth managers across North America and around the world with our ongoing events and those held in concert with other associations and the Government of Canada. It is simple and easy to do so and sets your fund apart with the opportunity to have many investors see how well you manage funds entrusted with you.



CANADIAN
ASSOCIATION OF
ALTERNATIVE
STRATEGIES
& ASSETS

Powered by www.sigmasandbox.com

KiWi Private Credit Fund

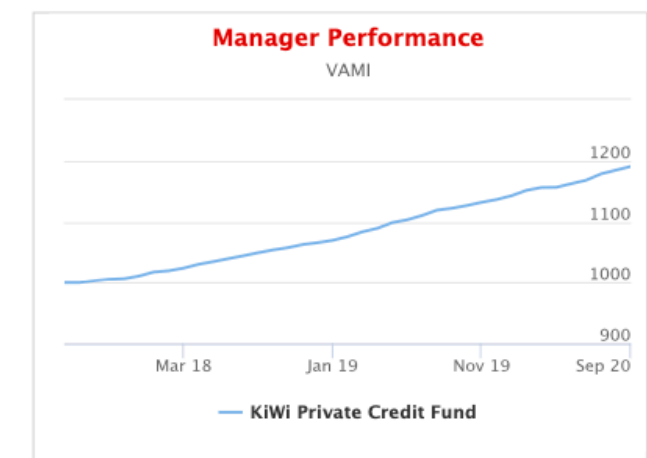
Contact Information

Kilgour Williams Capital
49, Front Street East, Suite 400
ck@kilgourwilliams.com
416-315-4884

Fund Details

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

Statistics & Ratios Summary		
	Fund	Benchmark
Ann. RoR	5.67 %	N/A
Sharpe Ratio (0%) ②	7.87	N/A
Volatility ②	0.70 %	N/A
Average Monthly Return	0.46 %	N/A
Highest Monthly Return	0.89 %	N/A
Lowest Monthly Return	N/A	N/A
Maximum Drawdown	N/A	N/A
% Positive Months	97.37 %	N/A
% Negative Months	N/A	N/A
Average Monthly Gain	0.47 %	N/A
Average Monthly Loss	N/A	N/A
Fund to SP 500 correlation:	0.00	N/A

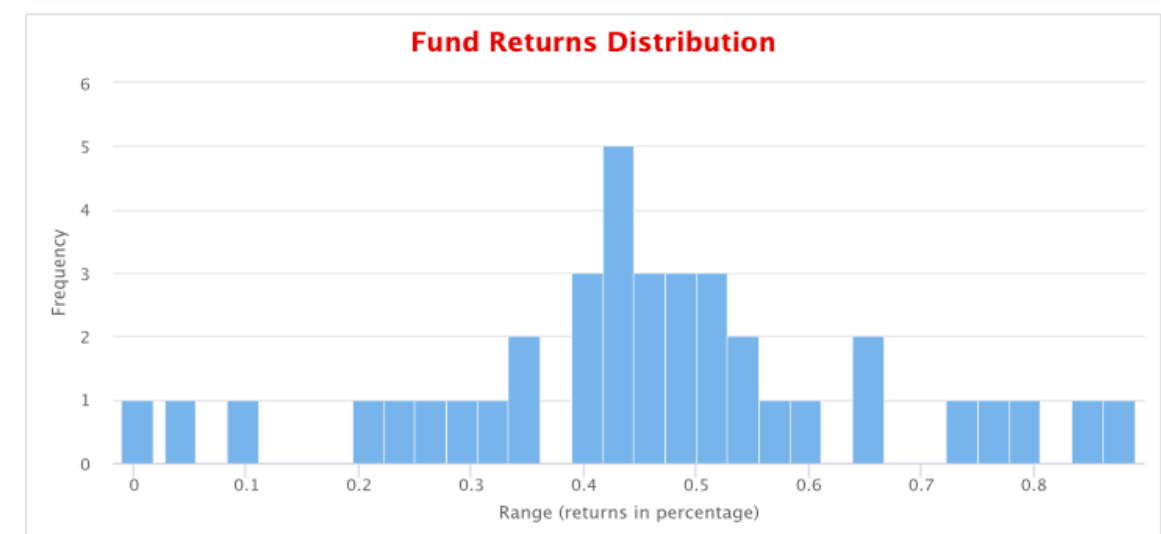


About the manager:

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

Monthly Performance

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



Flexibility is in, dependence on one region or country is out.



We believe industrial real estate will continue to outperform as consumers accelerate the adoption of online shopping and global supply chains reorient to “Re-shoring” and away from just-in-time (JIT) inventory management.

Learn how ICM investors are benefiting from U.S and Mexico industrial and multifamily development projects at www.icmpropertypartners.com

ICM has partnered with one of Canada's largest and most diversified institutional investment and pension fund managers to deliver Santa Rosa Park, a 246,340 m² class A build-to-suit and spec industrial project in Guadalajara, Mexico

ICM Crescendo Music Royalty Fund

Invest in Music. Earn Royalties for Life.

Find 5 Reasons to Invest in Music Royalties

www.musicroyaltyinvesting.com



HOW'S YOUR PORTFOLIO DOING?



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

FIND OUT MORE AT CENTURION.CA/INVESTMENT-SOLUTIONS



IMPORTANT INFORMATION: This advertisement is for information purposes only and is not, and under no circumstances, is to be construed as an invitation to make an investment in Centurion Apartment Real Estate Investment Trust, Centurion Real Estate Opportunities Trust, and Centurion Financial Trust. For full disclaimer, please visit us online at www.centurion.ca or call 1-888-992-5736.

PAYING FORWARD & GIVING BACK

CAIA SCHOLARSHIP

We were super-happy to extend the opportunity to take the CAIA designation level to Farialle Pacha last year and are on the hunt for this year's recipient!



The application window is open now (officially Feb 1) and will close on April 15th. All we need from folks is an attestation letter stating that they have not sat for one of these exams thus far, they are employed by a CAASA member (or are an investor/allocator individual member), and an ~1-page letter stating why they would like the designation and how this support would make a difference to them.

We will cover Level II if the candidate passes Level I on the first go, and any books or study aids for both levels are at their expense.

We will announce our 2021 scholar in May and you can get more information on the CAASA.ca website under Resources -> Programs & Scholarships.

CAASA MENTORSHIP PROGRAM

Eligibility:

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 2021 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 Class of 2021 will begin on June 1, 2021, ending on May 31, 2022. 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.

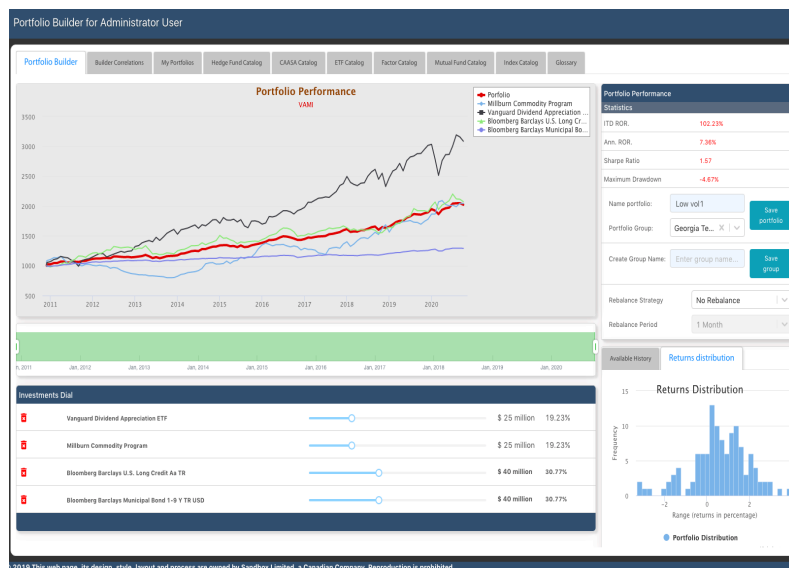
The main purpose of the program, for many mentees, is to learn key skills and perspectives that can help them in their jobs and careers over the next few years.

More information is available on our website under Resources -> Programs & Scholarships.

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

CAASA WEALTH MANAGERS' FORUM - 2021 | 21

SigmaSandbox



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

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

Open a free trial account or contact us at:
www.sigmasandbox.com

INVESTING IN REAL ESTATE & PRIVATE LENDING - A CAASA GUIDE

We produced a weightier briefing on both real estate and private lending in 2020 - combining, in a sense, our earlier separate versions on each subject. Thank you to our members who made this happen: **Travis Forman (Harbourfront Wealth Management)**, **Peter Galli (PENTOR Finance)**, **Marco Lukesch & Don Lucardi (Emso Asset Management)**, **Greg Racz (MGG Investment Group)**, **Sue Nickason (Dart Real Estate)**, **Will Granleese (Antrim Investments)**, and **Ryan Dunfield (AGF Investments)**.

Members and the investing public can download this and many other publications via our site: CAASA.ca -> Publications.



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!

FIRESIDE SPEAKER BIOGRAPHIES

DAVID PICTON

PRESIDENT, CEO & PORTFOLIO MANAGER, CANADIAN EQUITY PICTON MAHONEY ASSET MANAGEMENT

David is a founding partner of Picton Mahoney Asset Management, President, and Lead Portfolio Manager, responsible for our Canadian equity market neutral, long short, and long-only strategies.

David has been a prominent presence in the Canadian investment industry for the past several decades. Highlights of his career so far include launching Synergy Asset Management in 1997 and working as its lead Canadian momentum portfolio manager (some of those mandates he continues to manage to this day), and spending eight years as Head of Quantitative Research at RBC Dominion Securities, where he was one of the top-ranked analysts in his sector.

David holds an Honours Bachelor of Commerce degree from the University of British Columbia.



CRAIG MACHEL

DIRECTOR & PORTFOLIO MANAGER RICHARDSON WEALTH

Mr. Machel works with a select group of affluent clients and their families as well as corporations and foundations who share a common goal: to protect and grow their wealth in a reliable and predictable fashion.

Craig goes 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 the BNN and in The Globe and Mail, as well as in other local and national media.



FIRESIDE SPEAKER BIOGRAPHIES

DR. KEITH BLACK

MANAGING DIRECTOR OF CURRICULUM CAIA ASSOCIATION

Keith Black has over twenty-five years of financial market experience, serving approximately half of that time as an academic and half as a trader and consultant to institutional investors. He currently serves as Managing Director of Curriculum and Exams for the CAIA Association.

During his most recent role at Ennis Knupp + Associates, Keith advised foundations, endowments and pension funds on their asset allocation and manager selection strategies in hedge funds, commodities, and managed futures.

Prior experience includes commodities derivatives trading, stock options research and CBOE floor trading, and building quantitative stock selection models for mutual funds and hedge funds. Dr. Black previously served as an assistant professor and senior lecturer at the Illinois Institute of Technology.

He contributes regularly to The CFA Digest, and has published in The Journal of Wealth Management, The Journal of Trading, The Journal of Investing, and The Journal of Alternatives Investments, among others. He is the author of the book “Managing a Hedge Fund,” as well as co-author of the 2012 and 2015/2016 second and third editions of the CAIA Level I and Level II textbooks. Dr. Black was named to the Institutional Investor magazine’s list of “Rising Stars of Hedge Funds” in 2010.

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



FIRESIDE SPEAKER BIOGRAPHIES

DR. RANDOLPH COHEN SENIOR LECTURER HARVARD BUSINESS SCHOOL

Randolph B. (Randy) Cohen is the MBA Class of 1975 Senior Lecturer of Entrepreneurial Management at Harvard Business School.

Cohen teaches finance and entrepreneurship at HBS, and has previously held positions as Associate Professor at HBS and Visiting Associate Professor at MIT Sloan. He currently teaches Field X and Y at HBS, courses for students who are starting businesses while obtaining their MBA. Last year he advised around 100 startup businesses in the courses. He also co-created the Alternative Investments course for Harvard Business School Online, which is taken by thousands of students and professionals each year.

Cohen's main research interests are the identification and selection of money managers who are most likely to outperform, as well as asset allocation, risk management, and anything else related to building great investment portfolios. Cohen has studied the differential reactions of institutions and individuals to news about firms and the economy, as well as the effect of institutional trading on stock prices. Other research areas include municipal securities, cryptocurrency, and longevity insurance.

In addition to his academic work, Cohen has helped to start and grow a number of businesses, mostly but not exclusively in the area of investment management, and has served as a consultant to many other companies. He is co-founder of PEO Partners, an asset-management firm which specializes in liquid private equity, a research interest of Cohen's for over 20 years.

Cohen serves on the Board of the Massachusetts Association for the Blind and helped launch ExSight Ventures, a small VC specializing in therapies for vision loss. His podcast, Dangerous Vision, in which he interviews fascinating people who have some connection to blindness, is available on iTunes and all other major platforms.

Cohen holds an AB in mathematics from Harvard College and a PhD in finance and Economics from the University of Chicago.



LIQUIDITY EVENT SPEAKER BIOGRAPHIES

PAUL STAPLETON CHIEF TECHNOLOGY OFFICER FIDELITY CLEARING CANADA

A 23-year veteran of the Canadian financial industry, Paul Stapleton joined FCC in May 2017. He manages evolving technology strategy and continuous platform development, implementation and delivery of new services and solutions, and technical alignment to help clients service their businesses.

Paul was part of the executive team that built DundeeWealth from independent IIROC and MFDA dealers in the early 2000s, before the firm's sale to ScotiaBank in 2010.

Recently, Paul served as SVP, Information Technology, for investment dealer Dundee Securities, and as VP, Information Technology, for merchant banking firm Dundee Corporation. He graduated from Trinity College in the University of Toronto and has completed the Partners, Directors and Senior Officers (PDO) course.



MACKENZIE PUCITI FOUNDER NEW WORLD WINE TOURS

Mackenzie is a certified sommelier, business owner, and wine educator based in Toronto. He passionately brings people together through the love of food, wine, and travel, and having been informed by years of travel and hospitality experience across four continents he founded New World Wine Tours in order to showcase Ontario wine to the world. He also specializes in Virtual Tasting Events for team building, client entertainment, and private groups.

Mackenzie also owns and operates Eating Through TO, a food tour company exploring Toronto's incredible restaurant scene. I've established and grown a strong social media following and partnered with restaurants to produce top-notch food and travel content.

At his core, he is a people person, with the unique skill of hosting diverse groups of guest and engaging them in meaningful social interactions.

He is impassioned by foreign languages and speaks advanced Spanish and French, intermediate Romanian and Italian, and has dabbled in various others.



SPEAKER BIOGRAPHIES

Mark Allen, CFA, MBA
Vice President & Portfolio Manger
RBC Dominion Securities



With 20 years in banking including 10+ years at RBC, Mark has experience co-managing over \$1 billion of private client assets, including as a portfolio manager in head office roles handling institutional level asset pools.

Mark spent eight years in RBC's global portfolio management team. As a Vice President, Mark was a member of the Global Portfolio Advisory Committee, which establishes investment strategy for the firm. He chaired a Private Investment Management portfolio designed for RBC's \$100 billion Canadian discretionary investment platform. He sat on investment committees including: Active Asset Allocation and PAG A+ Canadian Core Dividend Portfolio.

Mark was also a long-standing contributor to the firm's monthly investment outlook published around the world in four languages.

Mark has advised numerous centimillionaire families (\$100+ million) and their investment committees in Canada and the U.S. He has also designed the portfolios for institutional level assets including a \$40 million pension fund.

Prior experience includes investment banking from 2000-2008 primarily at the global bank, UBS, working with corporate executives in Canada, the U.S. and Europe. Mark has advised on mergers & acquisitions and corporate financings including approximately 20 transactions totaling \$18 billion.

Mark graduated first academically in his MBA class at the University of Toronto (Rotman), and first in the Faculty of Applied Science (Chemical Engineering) at Queen's University.

Mark lives with his wife, Chantal, and their young twins in Toronto.

Robert Anton, CAIA
Managing Director & Founding Partner
Next Edge Capital



Robert Anton is a Managing Director and founding partner at Next Edge Capital. Robert has been active in the financial services industry for over 25 years, beginning his career as an Investment Advisor. Prior to the formation of Next Edge Capital, Robert was the Executive Vice President, Sales for Man Investments Canada. Prior to Man, he served as Executive Vice President, National Sales Manager of BluMont Capital, joining the company in 2001 as a start-up operation overseeing its asset growth.

Robert holds a Bachelor of Arts from Wilfred Laurier University as well as the Chartered Alternative Investment Analyst (CAIA) designation.

SPEAKER BIOGRAPHIES

Roland Austrup
Co-founder, Chairman and Managing Principal
WaveFront Global Asset Management



Roland Austrup is a co-founder, Chairman and Managing Principal of WaveFront Global Asset Management Corp., a Toronto based global hedge fund company with \$1.7 Billion in AUM. Relatedly, Mr. Austrup is a Director of both AGF | Wave Asset Management Limited, a JV between WaveFront and AGF Management Limited, and its China-based subsidiary, Jun Feng Investment Management (Hangzhou) Co., Ltd. Mr. Austrup also a co-founder and Director of Envest Corp., a downstream energy company, and an Advisory Board member of both the Master of Quantitative Finance program at the University of Waterloo and First Tracks Capital, a Canadian private equity firm.

Prior to joining WaveFront, Mr. Austrup was an Investment Advisor with BMO Nesbitt Burns Inc., and began his career as a Commodities Broker with ScotiaMcLeod Inc. where he was primarily involved with hedging commodity price risk for corporate clients.

Mr. Austrup holds a B.A. with Honours from the University of Western Ontario.

Joseph Bakish, CFA, CLU, CFP, CHS
Director, Wealth Management, Portfolio Manager and Investment Advisor
Richardson Wealth



Named one of Canada's top 40 under 40 Investment Advisors by Wealth Professional Magazine, Joseph Bakish has built his career by putting the best interests of his clients at the forefront of his objectives.

Joseph Bakish has a long track record of high achievement. He graduated Academic All-Canadian in 2005 from McGill University with a B.Sc (Biochemistry major/ Management minor) where he won the Dimock-Meloche Award for excellence in academics, athletics and team building and was involved in Varsity Swimming. Committed to continuing his education, Joseph earned the Chartered Financial Analyst (CFA) designation in 2012, recognized as the gold standard for the global investment industry. In addition, he holds the Chartered Life Underwriter (CLU), Certified Financial Planner (CFP, outside of Quebec) and Certified Health Insurance Specialist (CHS) designations.

In 2005, Joe joined Investors Group, where he twice received the Pillar award recognizing outstanding early career growth; he also teamed up with his brother, Nick Bakish. In 2015, the pair moved to Richardson Wealth to provide Bakish Wealth clients with a wider universe of investment options, better technology and more transparency and clarity regarding cost and performance. Coming from a family of scientists & physicians, Joe specializes in dealing with the wealth complexities physicians face, & has successfully made the counsel of healthcare professionals a cornerstone of his practice.

In the past, Joe was very active in the financial community as a volunteer for the Financial Planning Standards Council to mark and design exam questions for the CFP examination and served on the board of the Financial and Estate Planning Council of Montréal, a pillar of advanced financial education in the community. He was also very involved in his local community as President of the Citizen's Association of Sainte-Anne-des-Lacs Citizen's Association and Treasurer of a prominent youth club to promote athletics and strong values. Currently, he has now given that all up to focus on the most important thing to him: raising his three children with his wife, which he considers a full time job on its own!

SPEAKER BIOGRAPHIES

Jay Barrett

Managing Director, National Sales
SmartBe Wealth



Jay Barrett is Managing Director, National Sales at SmartBe Wealth Inc. He has held positions with some of Canada's most notable firms including RBC, BMO and most recently with CIBC Asset Management as Executive Director. Jay completed his undergraduate degree at St. Francis Xavier University in 2001 and graduated in Financial Management at Cornell University in 2018.

Jay lives in Montreal with his wife and daughter and is actively involved in a number of benevolent causes. As an avid golfer and squash player, he holds memberships at Redtail Golf Club in St. Thomas, Ontario, the Montreal Athletic Association and Montreal Rackets Club.

Jeff Bradacs, CFA

Portfolio Manager, Canadian Equities
Picton Mahoney Asset Management



Jeff Bradacs is a Portfolio Manager at Picton Mahoney Asset Management (PMAM), specializing in Canadian Equities. Prior to joining PMAM, Jeff was a Vice President and Senior Portfolio Manager at BMO Global Asset Management where he was the lead Portfolio Manager for Canadian large cap equity portfolios (over \$6 billion AUM). Prior to that, he spent over a decade at Manulife Asset Management, joining as an Analyst and progressing to Managing Director, Portfolio Manager, with responsibility for Canadian equity portfolios managed with a blend of fundamental and quantitative analysis.

Jeff holds the Chartered Financial Analyst® designation and an Honours Business Administration degree from the Richard Ivey School of Business at University of Western Ontario.

Daryl Boyce

Executive Vice President & Corporate Finance Trustee
Centurion Financial Trust



Mr. Boyce's investment and financing experience spans over 35 years and encompasses the management of equity and debt financing portfolios. Most recently, Mr. Boyce was the President of Evergreen Capital Group, a consulting firm involved in providing corporate finance, business transition, as well as expansion- and succession-related advisory services to mid-market clientele.

Prior to forming Evergreen, he managed the private equity portfolio of Trimel Investments Inc., with the portfolio comprising investee companies in a number of diverse sectors throughout North America. Before Trimel, Mr. Boyce held a variety of lending roles in The Bank of Nova Scotia (Scotiabank), where he managed a senior lending portfolio, which included leading and arranging a variety of specialized and syndicated financing.

Over the years, Mr. Boyce has acquired expertise in a variety of sectors, including consumer products, specialty pharmaceuticals, manufacturing and distribution, transportation and logistics, and professional sports.

He received his Honours Bachelor of Arts in Commerce and Economics from the University of Toronto, Ontario, Canada in 1981.

SPEAKER BIOGRAPHIES

James Burrton, CAIA

President & Co-founder
CAASA



James co-founded CAASA in response to industry support for a Canadian alternatives association to bring Canada to the world and the world to Canada. Prior to CAASA, James was the Chief Operating Officer of AIMA Canada where his team of three worked with 12 committees to produce 50-60 events per annum across Canada, organized 100+ committee meetings, and increase member numbers over his 7-year tenure from 66 to 164 corporate entities.

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

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

Geoff Castle, MBA, CFA

Portfolio Manager
PenderFund Capital Management



Geoff Castle is the Fixed Income Portfolio Manager at Pender.

Geoff's experience as a professional investor spans two decades. His area of expertise is in fundamental business analysis and valuation. As a fixed income manager, Geoff's focus has been on seeking enhanced yield or price appreciation opportunities in situations where substantial margins of safety exist. In both 2018 and 2019 the Pender Corporate Bond Fund was recognised with a Lipper Fund Award, which is awarded for superior risk-adjusted returns.

Geoff's philosophy involves controlling risk through careful consideration of credit duration and fixed charge coverage, and the fair valuation of each security class on an as-liquidated basis. Geoff also has been an active proponent of the use of objective, market- and fundamentals-derived risk measurement systems, which he believes are more useful than agency credit ratings.

Geoff began his investing career in 2000 and has experience in both public mutual funds and proprietary investment fund management for ultra-high net worth individuals. From 2000 to 2007 Geoff was a senior analyst and co-manager at Burlington-based AIC Ltd. His experience in credit analysis began with experience gained at Vancouver-based Powerex Corp where he focused on evaluating the creditworthiness of counterparties in the North American energy industry and was active in reviewing credit provisions of high value, long-term custom energy trading contracts. Before joining Pender in 2015, he spent four years at the family office of a Vancouver-based high net worth individual where he managed fixed income and equity investments.

Geoff holds a Bachelor of Arts degree from UBC and a Master of Business Administration from the Richard Ivey School of Business at the University of Western Ontario. In 1996 he joined global top-tier strategy consulting firm, Bain & Co where he spent four years advising clients on issues relating to mergers and acquisitions, strategic cost analysis, and capital expenditure optimization. He is a member of the CFA Institute.

SPEAKER BIOGRAPHIES

Tim Cestnick, CPA (CA), CFP, TEP
Co-Founder & CEO
Our Family Office



Tim Cestnick enjoys a reputation as one of Canada's most respected experts and public speakers in the areas of tax and personal finance. Tim is Co-Founder & CEO of Our Family Office Inc., one of Canada's leading wealth advisory firms to affluent families. Tim consults and speaks in all areas of personal finance.

In addition to his CA designation, he is a Chartered Professional Accountant (CPA), Certified Public Accountant (Illinois), a Certified Financial Planner (CFP), and a Trust and Estate Practitioner (TEP). Tim's national speaking profile is confirmed by his position as a personal finance columnist for the Globe & Mail's Report on Business, Canada's national newspaper. He has authored 18 best-selling books, and is a regular contributor and on-air personality on radio and television. He appears regularly on CTV, CBC Newsworld, BNN, and the best-known money programs in the country.

Tim and his wife Carolyn have three children and two dogs. All are hockey fanatics – especially the dogs.

Darren Coleman, CFA
Senior Vice President and Portfolio Manager
Raymond James Canada



Darren Coleman started in the industry in 1992 and with Raymond James in 2012, providing comprehensive wealth services for a variety of clients. During this time, he has been managing brokerage offices, spearheading industry trends and leading his team at Coleman Wealth to new territory.

Darren's many professional accreditations include: Canadian Investment Manager, Financial Management Advisor and Fellow of the Canadian Securities Institute, with a Level II Life Insurance License. He was one of the first Canadian professionals to attain the Professional Financial Planner, Certified Financial Planner and Certified Hedge Fund Specialist designations. Due to his success as an advisor in alternative investments, he was the first advisor to sit on committees for the Alternative Investment Management Association (AIMA), and on the Board for the Hedge Fund Association, as a member and an instructor.

An industry veteran before coming to Raymond James, Darren held management and advisor positions at major bank-owned brokerage and financial services firms. He frequently speaks at conferences and educational events and currently sits on the Editorial Board for Advisor's Edge Report for Canadian investment professionals, and is frequently interviewed for the Globe and Mail, Investment Executive, BNN Bloomberg and other media.

Daniel Child, CPA, CA, CFA
Partner
YTM Capital Asset Management



YTM Capital was founded by Daniel Child CPA, CA, CFA, who has more than 25 years of financial market experience. Daniel spent nearly 15 years as a bond trader with CIBC Wood Gundy and then Scotia Capital, where he was a Managing Director, Head Corporate Bond Trader. Daniel traded investment and non-investment grade bonds and credit default swaps as well as asset backed securities and both mortgage backed securities and commercial mortgage backed securities. Daniel is a graduate of the Ivey School of Business and is a Chartered Accountant as well as a Chartered Financial Analyst.

SPEAKER BIOGRAPHIES

Brian D'Costa
Founding Partner
Algonquin Capital



Brian D'Costa is a founding partner of Algonquin Capital; a boutique specializing in alternative fixed income.

Prior to starting Algonquin Capital, Brian was the Global Head of Fixed Income and Rates for CIBC where he was responsible for the bank's entire bond and rate trading business, overseeing 40 traders globally. Before that, Brian spent 11 years with TD Securities, where he was the Global Head of Vanilla Interest Rate Derivatives, managing trading teams in Toronto, London, Tokyo and Sydney.

Before building a career in trading, Brian spent seven years in the Canadian Armed Forces where he served as a Captain in the Airborne Regiment and participated in a peacekeeping tour in Iraq.

When not in the office, Brian can usually be found in the gym, at a hockey rink or undertaking an ambitious gardening project.

Matthew Dennis, CIM
Vice President, Senior Analyst, Multi Asset Class Mandates
Cidel



Matthew is responsible for Cidel's alternative investment mandates and third party manager research efforts. He oversees the sourcing, due diligence, and selection of third party managers at the firm. Matthew is also a member of Cidel's ESG Committee. Prior to joining Cidel in 2018, Matthew was Vice President and a core member of the investment team at Optima Fund Management LLC – an NYC-based alternative investment firm specializing in hedge fund multi-manager programs and advisory services.

Matthew currently serves as a member of the Leadership Development Advisory Council of Capitalize For Kids (C4K). He is a graduate of Brown University (Providence, RI) where he received a BA in Economics and holds the Chartered Investment Manager (CIM®) Designation from the Canadian Securities Institute.

SPEAKER BIOGRAPHIES

Bill DeRoche, MBA, CFA

Chief Investment Officer and Head of AGFiQ Alternative Strategies
AGF Investments



Bill DeRoche is Chief Investment Officer, AGF Investments LLC (formerly FFCM LLC)¹, and Head of AGFiQ Alternative Strategies. Bill is co-founder of AGF Investments LLC, a Boston-based investor advisory firm founded in 2009 and subsidiary of AGF Management Limited. He is a leader of AGF's quantitative investment platform, known as AGFiQ.

AGFiQ's team approach is grounded in the belief that investment outcomes can be improved by assessing and targeting the factors that drive market returns. Bill has long-tenured expertise employing quantitative factor-based strategies and alternative approaches to achieve a spectrum of investment objectives.

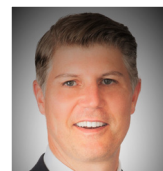
Previously, Bill was a Vice-President at State Street Global Advisors (SSgA), serving as head of the firm's U.S. Enhanced Equities team. His focus was on managing long-only and 130/30 U.S. strategies, as well as providing research on SSgA's stock-ranking models and portfolio construction techniques. Prior to joining SSgA in 2003, Bill was a Quantitative Analyst and Portfolio Manager at Putnam Investments. Bill has been working in the investment management field since 1995.

Prior to 1995, Bill was a Naval Aviator flying the Grumman A-6 Intruder as a member of Attack Squadron Eighty-Five aboard the USS America (CV-66). Bill holds a Bachelor's degree in Electrical Engineering from the United States Naval Academy and an MBA from the Amos Tuck School of Business Administration at Dartmouth College. He is a CFA® charterholder and holds FINRA licenses 7, 63 and 24.

¹An investment professional with AGF Investments LLC (formerly FFCM LLC), a U.S.-registered investment advisor firm and affiliate of AGF Investments Inc.

Daniel Dorenbush, CFA, MBA

Managing Director and Head of Canadian Prime Services
Scotiabank



Daniel Dorenbush is a Managing Director and Head of Canadian Prime Services for Scotiabank. He is responsible for Prime Brokerage and Securities Financing activities in the region. Previously, Daniel was a Managing Director, holding several senior positions in Toronto and New York with another investment dealer and was also a senior member of a Toronto-based alternative investment firm.

Daniel is a Board Member of the Alternative Investment Management Association (AIMA Canada) and has served as Co-Chair of the Women in Capital Markets Return to Bay Street program since 2018. Daniel is actively involved in providing mentorship to young adults through several organizations including the United Way.

He has completed a MBA in Finance at McGill University, an Honours Degree in Economics at the University of Toronto and is a CFA Charterholder.

SPEAKER BIOGRAPHIES

Robert Duncan, CFA

Senior Vice President – Institutional Strategy & Portfolio Manager
Forstrong Global Asset Management



Robert is responsible for advancing sub-advisory relationships with pensions, foundations, endowments, family offices and broker dealer platforms. He is also responsible for managing Forstrong's institutional client base.

Prior to joining Forstrong in 2018, he gained invaluable experience as Vice President at BlackRock leading their iShares institutional business in Canada. Robert has a Bachelor of Economics from Concordia University and holds the Chartered Financial Analyst® designation.

In his spare time, he likes to spend weekends at the cottage with his wife and 2 sons. He also enjoys pretending to play hockey and golf while avoiding the chiropractor as much as possible.

Anthony Faiella, MBA, CFA, CPA (Illinois)

Senior Vice President
AGinvest Farmland Properties Canada Inc.



Anthony has close to 30 years of experience in the investment industry and is a licensed portfolio manager. He is a Chartered Financial Analyst (CFA) and member of the CFA Institute, earned an MBA from the Schulich School of Business at York University and a CPA from the State of Illinois. Anthony is a member of the Board of Directors for the Ronald McDonald House in Toronto, as well as the Finance and Audit Committee and is Chair of the RMH Investment Committee. He sits as an Executive-in-Residence at the Schulich School of Business at York University, where he oversees the student-run Student Investment Fund, working with students to guide and mentor them as they manage actual investment portfolios.

Nick Griffin

Founding Partner & Chief Investment Officer
Munro Partners



Nick is a founding Partner and the Chief Investment Officer of Munro Partners. Nick is responsible for the investment management of Munro's key investment funds and the formulation and implementation of the proprietary investment process. Nick has been managing global long / short equity mandates for more than 12 years.

Key career highlights include:

- More than 20 years working in financial services with 13 years funds management experience.
- 2005-2015, Head of International Strategy on the K2 Select International Absolute Return Fund.
- Member of the K2 Asset Management asset allocation and currency exposure committee.
- 2000-2005, Senior Analyst (Global Oil and Gas) at Deutsche Bank UK.
- 1996-1999, Manager Australian Equities for Commonwealth Financial Services.

Nick holds a Bachelor of Commerce (Hons) degree from the University of Melbourne, a Graduate Diploma in Applied Finance and Investment and a Registered Representative of the Sydney Futures Exchange.

SPEAKER BIOGRAPHIES

David Jarvis, CFA, MBA

President, Portfolio Manager and Chief Executive Officer
Corton Capital Inc.



David Jarvis, is the founder and a principal of Corton Capital and acts as the firm's Portfolio Manager. Mr. Jarvis is a veteran of the Canadian hedge fund and financial services industry with over 30 years in senior-level positions. As a founding partner of Spartan Fund Management, he conceived, designed and co-built one of the first incubator hedge fund platforms in Canada with over 15 funds and a wide array of investment strategies. Mr. Jarvis is also one of Canada's leading experts in capital markets compliance. As a former Chief Compliance Officer at Forge First Asset Management ("Forge First") he spearheaded compliance and risk management guidance.

He has also been active within the Canadian investment industry by serving on the Financial Administrators Section of the IDA (now IIROC) and was one of the co-founders and first Vice-Chairman of AIMA Canada (Alternative Investment Management Association). Until recently, Mr. Jarvis was a member of the Practices and Standards Committee and the Compliance Officers' Network of the Portfolio Management Association of Canada (PMAC).

Ted Karon

Wealth Advisor & Portfolio Manager

Tucker Wilson Group – Scotia Wealth Management



As a Wealth Advisor and Portfolio Manager at the Tucker Willson Group, Ted brings with him 28 years of extensive experience in investment banking, equity research, venture capital, mergers and acquisitions and multi-family office. A true practitioner of total wealth planning, Ted's holistic perspective translates into clarity and certainty for those with complex, multi-generational situations.

Known for his astuteness, succinct performance assessments and transparency, Ted takes a diligent approach, helping to make sure that his clients' financial lives and wealth potential are well looked after. His clients understand that his advice and recommendations derive from doing the right thing and that his priority is to make the most of their financial well-being — now and for the future.

Shamez Kassam, MBA, CFA, CDFA

Partner & Portfolio Manager

Northfront Financial Inc.



Shamez serve athletes, female executives, business owners, and newly single women to get their financial house in order and achieve financial goals with confidence. I help reduce volatility in portfolios through the use of high quality alternative assets that typically only the top 1% can access.

Through the unique and proprietary platform at Northfront Financial, he bring his clients the same quality of investments that are used by large Canadian pension plans and investing, like they do, in alternative investments in a portfolio setting that is designed to deliver stability and regular cash flow.

Shamez has a wealth of experience across the North American financial services industry, working with some of the largest pension fund investors in the world and he is also an educator who aims to empower his clients with the knowledge to make solid financial decisions.

He is a Chartered Financial Analyst charterholder, has an MBA from Columbia Business School, as well as the Certified Divorce Financial Analyst designation.

SPEAKER BIOGRAPHIES

Ida Khajadourian, CAIA

Director, Wealth Management, Portfolio Manager, Investment Advisor
Richardson Wealth



For more than 20 years, Ida has worked closely with Institutions, Family Offices, wealthy entrepreneurs, and high net worth families building trusted relationships and delivering a high level of holistic Wealth Management services.

Ida's beliefs include the importance of estate planning, tax minimization, capital preservation and evolutionary portfolio construction using alternative strategies to achieve consistent absolute returns with a risk reward-oriented approach.

Ida obtained a Bachelor of Commerce Degree from the University of Toronto with specialization in Finance and major in Economics. Ida is a multi award winning Portfolio Manager and obtained her Chartered Alternative Investment Advisor (CAIA®) designation in 2005.

Matthew Langsford, CFP®, CIM®, FEA

Director, Wealth Management - Family Enterprise Advisor, Portfolio Manager

Richardson Wealth



Drawing on over 18 years of experience in the industry, Matthew focuses on serving the distinct needs of the affluent business owners and their families. At Langsford Wealth Counsel he specializes in implementing comprehensive wealth management solutions that integrate all facets of his clients' financial lives. The result: clarity and peace of mind about their financial future.

Matthew began his career in the industry in 1999, building an experienced team and solid client-base. In 2014, Matthew and the team joined Richardson GMP, broadening their suite of offerings while continuing to serve their clients' wealth management needs with distinction.

Matthew continues to pursue education to enrich the solutions he is able to offer to his clients and currently holds some of the industry's highest designations in wealth management (Portfolio Manager, Certified Financial Planner, Certified Investment Manager). He is also licensed to consult on any insurance plans when required.

Recently, Matthew has become an accredited FAMILY ENTERPRISE ADVISOR™ (FEA), certified through the Family Enterprise Exchange (FEX). The FEA is representing the pinnacle of professional expertise in the field of family enterprise advising. Matthew can provide a sophisticated level of understanding to affluent business families and their unique challenges.

SPEAKER BIOGRAPHIES

Éric Lapointe

Founder & Chief Executive Officer
CEOS Family Office



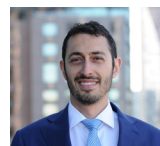
Éric Lapointe is the Founder and Chief Executive Officer at CEOS Family Office and is based in the Montréal area. Seeking to define the next generation of Family Offices, CEOS offers the full range of services including asset management and aggregation, book keeping and accounting, taxation, estate planning, family governance, concierge services, and medical access.

An accomplished professional athlete, Éric was introduced to the CFL Hall of Fame in 2012. He feeds the same passion into his work in the global financial industry and he keeps his clients' peace of mind at the centre of everything he undertakes. «Fewer clients, more services» is his motto.

Prior to founding CEOS, Éric had 20 years of experience in the wealth management business, among others with Assante Wealth Management and Stonegate Private Council. He graduated with distinction from Mount Allison University and is a member of YPO.

Richard Laterman, CFA

Portfolio Manager
ReSolve Asset Management



Richard is a Portfolio Manager of ReSolve Asset Management and has 15 years of investment experience on both the buy and sell side of capital markets. He spent the first 5 years of his career as a trader for two of Brazil's largest independent brokerage firms. He then spent almost 2 years as a portfolio manager for one of Brazil's largest pension plans and the following 3 years as a partner and co-portfolio manager at a boutique asset manager. He joined ReSolve Asset Management in 2017. Richard has held the CFA charter since 2013.

Grahame Lyons

President & Founder
Arbutus Partners



An investment fund industry pioneer in the growth and origination of many large well known investment funds over the past 25 years in financial services. Early adopter of major trends in mutual funds, ETFs and alternative investments. Leading role in the growth and origination of many large well known investment funds.

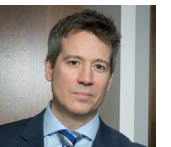
Senior and executive roles at Fidelity Investments Canada Ltd, Strategic Value Corp, Loring Ward Investment Counsel, Barclays Global investors Canada Ltd. and Claymore Investments.

Obtained a Bachelor of Administrative and Commercial Studies from the University of Western Ontario as well as passing the Canadian Securities Course and Investment Funds Institute of Canada Course early in his career.

SPEAKER BIOGRAPHIES

Jason Mann, CFA

Co-Founder and Chief Investment Officer
EHP Funds



Prior to co-founding EHP Funds, Jason Mann was Managing Director, Co-Head of the Absolute Return/ Arbitrage Group at Scotia Capital. The Absolute Return Group is responsible for developing and delivering cross-platform "alpha" generating ideas for the hedge fund community, and for the executing of trading for these clients. Jason also managed Scotia's merger-arbitrage, event-driven and quantitative proprietary trading strategies, and had responsibility for trading and overseeing a proprietary trading book – a group that generated profits in each year of operation.

Prior to this role, Jason was Head of Agency Trading at Scotia overseeing eighteen trading professionals covering fundamental and hedge fund clients.

Jason holds an Honours Bachelor degree in Business Administration from Wilfrid Laurier University and is a CFA® charterholder.

Neil Nisker

Co-Founder, Executive Chairman & CIO
Our Family Office



With investment management and wealth advisory experience dating back to 1972, Our Family Office's Co-Founder, Executive Chairman and CIO enjoys a well-deserved reputation as a trusted and respected figure in the Canadian financial services industry. His keen intellect and deep expertise make him particularly well-qualified to revolutionize the shared family office segment in Canada and grow Our Family Office into the market-leading service provider and partner to the nation's wealthiest families.

Highlights of Neil's career to date include:

- Fiera Capital Corporation: Neil was active with Fiera Capital Corporation, one of Canada's largest investment managers, from 2006 to 2014, serving as the President of Fiera Private Wealth and as the company's Executive Vice Chairman and a member of the company's board of directors and governance committee.
- YMG Capital Management Inc.: Neil served as President of the YMG Private Wealth Management division from 2000 to 2006. Fiera Capital Corporation purchased YMG Capital Management in 2006.
- Nisker Associates, Strategic Wealth Management: From 1997 to 2000, Neil was the Chairman of Nisker Associates, Strategic Wealth Management, a Canadian registered investment counselling firm. It was acquired by YMG Capital Management in 2000.
- Best Investments International Inc.: In 1990, Sir John Templeton selected Neil to be one of the three managers of Best Investments International Inc., a global equity mutual fund he owned. Neil held this position until the fund was closed in 2000.
- BrownBaldwinNiskerLtd.: Formorethan25years,NeilwasadrivingforcebehindBrownBaldwin Nisker. Through his diligence, the firm grew into one of the premier institutional brokerages in Canada. It was sold to HSBC Securities in 1988.

In addition, Neil has been the President of Privatech Investments Inc., an investment company headquartered in Toronto, Canada since 1994.

SPEAKER BIOGRAPHIES

Tim Pickering

Founder, Chief Investment Officer & Lead Portfolio Manager
Auspice Capital Advisors



Tim Pickering is Founder, President and CIO of Auspice. Tim leads strategic decision making and the vision for Auspice's diverse suite of award winning, rules-based quantitative investment strategies. Tim believes that in the future, non-correlated alternative investments will be a core holding in all portfolios, regardless of investor size or sophistication. Alternatives will no longer be viewed as risky, but as conservative and prudent, given the measurable accretive value to investment portfolios. He is passionate about creating innovative investment strategies and products that the market needs with distribution through reputable partners at a fair price.

In 2015, Tim was selected by Alberta Venture Magazine, one of Alberta's most widely respected business publications, as one of Alberta's 50 most influential people. In 2017, Tim was named to the University of Calgary Accounting and Finance Advisory Council and in 2019 became Chair of the Finance Advisory Council at the Haskayne School of Business. In 2020, Tim was elected to the Board of the Calgary chapter of Pheasants Forever, a globally respected habitat organization dedicated to wildlife, land management, conservation and education.

Prior to forming Auspice, Tim was VP of Trading at Shell (North America). He began his career at TD Securities (Toronto) in their elite trading development program ultimately holding the Senior PM position for the Energy Derivatives portfolio. Outside of Auspice, Tim has been involved in grain farming in Western Canada. Through the founding of Auspice, Tim ties together a career in commodity and financial risk and portfolio management that has spanned institutional experience along with entrepreneurial vision.

Adam Posman, MBA, CIM

Chief Investment Officer and Portfolio Manager
PCJ Investment Counsel



Adam is Vice President, Portfolio Manager and CIO at PCJ Investment Counsel (PCJ), which he joined in 2011. Adam is the lead PM on the PCJ Absolute Return Fund, a multiple CHFA Award winning fund in the market neutral category. He is responsible for portfolio management across all PCJ investment strategies, as well as fundamental research and analysis. Prior to joining PCJ Adam worked at Brookfield Investment Management (Canada) Inc., National Bank of Canada and UBS Securities Canada Inc.

Adam earned his MBA at the Richard Ivey School of Business, University of Western Ontario and his BComm from McGill University. He holds the CIM designation. PCJ is part of the Connor, Clark and Lunn Financial Group, one of Canada's largest independently owned asset management firms, responsible for approximately \$85 billion in AUM on behalf of institutional and individual investors.

Jaime Purvis

Executive Vice-President
Horizons ETFs



Jaime Purvis is Executive Vice-President for Horizons ETFs. Mr. Purvis manages institutional sales and national accounts/head office relationships for Horizons ETFs with Canadian investment dealers, as well as managing relationships with the dealer managed asset and discretionary management programs. Mr. Purvis is also responsible for the self-directed investing channel and delivering key concepts and product knowledge to senior management, operations, and investors. Mr. Purvis has been with Horizons ETFs and its predecessors and affiliates since 1995. He graduated from Queen's University with a BAH in Political Science.

SPEAKER BIOGRAPHIES

Fred Pye, MBA

President & CEO
3iQ Corp.



Frederick T. Pye is the President, Chief Executive Officer and Chief Compliance Officer of 3iQ Corp. Mr. Pye is recognized for creating and promoting creative and unique investment products for the investment industry.

Mr. Pye has managed private client portfolios with Landry Investment Management and various other investment dealers. Prior to this Mr. Pye was Founder, President & Chief Executive Officer of Argentum Management and Research Corporation, a company dedicated to managing and distributing quantitative investment portfolios including the first long-short mutual fund in Canada.

He was also Senior Vice-President and National Sales Manager of Fidelity Investments Canada and an integral part of the team that saw assets rise from \$80 million to over \$7.5 billion in assets under management during his tenure. He also held various positions with Guardian Trust Company, which listed the first Gold, Silver and Platinum Certificates on the Montreal Exchange.

Mr. Pye obtained a Masters in Business Administration from Concordia University and is a member of the Board of the Anglican Funds and the West Island Youth Residence.

Vikram Rajagopalan, CFA

Senior Vice President & Head of Retail Markets
Trez Capital



Vikram joined Trez in 2013 and introduced Trez' capital investment solutions to retail channels, including family offices and investment advisors.

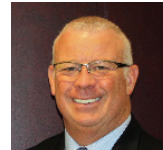
With over 15 years of experience in the investment management industry, he was promoted to the role of Vice President, Retail Sales and National Accounts at Trez in 2016 and to Senior Vice President, Head of Retail Markets in 2020.

Prior to joining Trez, Vikram was Vice President of Client Relations at a boutique private wealth management firm serving and sourcing high net-worth clients. He started his career in sales with one of Canada's largest independent mutual fund firms.

Vikram is a CFA charterholder and has a Bachelor of Arts with Honours in Economics from York University. He lived in 11 countries prior to his immigration to Canada, and brings a global perspective to his leadership role at Trez Capital.

SPEAKER BIOGRAPHIES

Brendan Rogers, FMA, FEA
Vice-President & Investment Advisor
RBC Dominion Securities



Brendan is committed to providing focused and integrated financial services to high-net worth clients in his role as Vice-President & Investment Advisor. A 20+ year veteran of RBC, Brendan is dedicated to protecting, preserving and growing the wealth of investors coast-to-coast who desire long-term, financial independence.

Brendan offers a comprehensive range of wealth management services for families, owner/managers, First Nations investors, foundations and other organizations – from investment advice and portfolio management to financial, retirement and estate planning. And as an advisor at RBC Dominion Securities, Canada's leading full-service wealth management provider, clients benefit from the extra peace of mind that comes from working with a reputable, financially stable organization.

Brendan graduated from Eastern Washington University, and began a nine-year career in the CFL when drafted by the Blue Bombers in 1999. After four Grey Cup appearances and two wins with the Toronto Argonauts, he joined the firm in 2000. Brendan takes every opportunity he can to give back to his community. He has frequently participated in Summits of Hope, a non-profit group that has raised millions for children's wellness, by climbing some of the highest peaks around the world. He also supports the Easter Seals Drop Zone and local groups such as The Rady Jewish Community Centre, The Rainbow Resource Centre, Variety Children's Charity of Manitoba, Siloam Mission, Deer Lodge and Riverview Health Centre. Brendan has sat on a number of boards for not-for-profit organizations.

Francis Sabourin
Director, Wealth Management and Portfolio Manager, Investment Advisor
Richardson Wealth



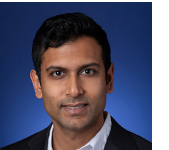
Financial Planner and Portfolio Manager, Francis Sabourin, Director, Wealth Management at Richardson Wealth, was awarded the Distinguished Advisor Award (prix Conseiller émérite) for the year 2016 by the publication Finance et Investissement, highlighting the good performance of his portfolios, both 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 celebrated 25 years of practice on October 5, 2017.

Among the most highly prized awards of excellence in the Canadian financial world, the Wealth Professional Awards are designed to recognize leaders in the wealth management industry and honour their contributions and outstanding achievements in Canada's financial industry.

Against this backdrop, in addition to taking home the top award of Global Advisor of the Year in 2016, 2017 and 2019, Francis took home the award for the Discretionary Portfolio Manager of the Year for 2018. In 2020, Francis won the Silver Award for Advisor of the Year – Alternative Investments

SPEAKER BIOGRAPHIES

Dr. Ronnie Shah, MA, MSc, PhD, CFA
Head of Equity Research
FORT L.P.



Dr. Ronnie Shah joined FORT L.P. in August 2020 as an Executive Director and Head of Equity Research. Prior to FORT L.P., he led quantitative research efforts in various roles as Director and Head of US Quantitative Equity Research and Quantitative Investment Solutions for Deutsche Bank, Senior Director of Research for Gerstein Fisher Funds, Senior Researcher at Dimensional Fund Advisors and as a Portfolio Manager for the Scientific Active Equity team at BlackRock. His research has been published in various academic and practitioner financial journals including the Journal of Portfolio Management, Journal of Index Investing and Journal of Investment Management.

Dr. Shah graduated summa cum laude with a BS in economics from the Wharton School and BAS in Systems Engineering from the University of Pennsylvania, an MSc in Finance and Economics from the London School of Economics, and an MA and PhD, both in Finance, from the University of Texas McCombs School of Business and is a CFA charter holder. He currently serves as an adjunct professor of Finance at the University of Texas McCombs School of Business.

Matt Shandro
Portfolio Manager & President
Fulcra Asset Management Inc



Matt founded Fulcra Asset Management in 2009. Matt has 19 years of investment management experience, with an extensive background in fixed income and corporate investing. His previous experiences include managing corporate bond funds at Great Pacific Capital Corp, CI Investments and Marret Asset Management. In 2004, the \$2 billion Signature High Income Fund that he co-managed at CI Investments was awarded the "Canadian Income Trust Fund of the Year" by Morningstar. He has a Bachelor of Arts degree in International Relations from the University of British Columbia.

David Sharpe, LL.M, MBA
Chief Executive Officer
Bridging Finance



David is the Chief Executive Officer, responsible for the strategic direction of the firm and ensuring sustainable growth is achieved. David has 25 years of financial services industry experience, in roles such as General Counsel, Chief Compliance Officer and Chief Risk Officer for leading financial organizations, and previously was the head of investigations for the Mutual Fund Dealers Association of Canada. David is Chair Emeritus of First Nations University of Canada. David was a member of the Board of Governors for close to 7 years and served as Board Chair. He is a Board member of the Economic Development Corporation for Eabametoong (Fort Hope) First Nation. He is also a member of the Board of Trustees of Queen's University, Chair of the Dean's Council at Queen's University, Faculty of Law and a Board member of Historica Canada, the Black North Initiative and Vice-Chair of Futurpreneur Canada. David is a member of the Mohawks of the Bay of Quinte (Tyendinaga).

David is a lawyer and has been a member of the Law Society of Upper Canada since 1997. He has an LLB from Queen's University, an LL.M in Securities Law from Osgoode Hall Law School and a Masters of Business Administration from the Richard Ivey School of Business, University of Western Ontario. David has also received the Professional Director Certification from the Johnson-Shoyama Graduate School of Public Policy at the University of Saskatchewan/University of Regina. In 2015, David was named to the Diversity 50 in Canada.

SPEAKER BIOGRAPHIES

Gleb Sivitsky, MFE, CFA, CAIA
Associate Portfolio Manager
Mackenzie Investments



Gleb Sivitsky joined Mackenzie in May 2014 and is an Associate Portfolio Manager on the Mackenzie Multi-Asset Strategies Team. Gleb's primary responsibilities include: systematic alpha research, strategic asset allocation and performance analysis. His research is implemented on over 20 billion CAD of assets from traditional mutual funds to alternative products.

Gleb completed his Master of Financial Economics (MFE) in 2015 from the University of Toronto, graduating as the top student in his class while employed at Mackenzie. Gleb completed a double degree in 2012 – Bachelor's Degree in Mathematics with distinction from the University of Waterloo and a Bachelor's Degree in Business Administration, from Wilfrid Laurier University. Gleb is a CFA Charterholder and holds the Chartered Alternative Investment Analyst designation (CAIA). Gleb is co-author of an article "Asset Allocation and Factor Investing: An Integrated Approach" published in the Journal of Portfolio Management in April 2018.

Scott Starratt
Senior Vice President, Portfolio Manager
Canaccord Genuity Wealth Management Canada



Scott leads Starratt Wealth Management at Canaccord Genuity. They are specialists in providing creative, expert and safe solutions to successful families as they go through some of life's most important transitions. They manage in excess of \$150 million for high net worth and ultra-high net worth families across Canada.

Specialties:

- Investment Management and Planning for HNW/UHNW Families, Businesses and Charitable Organizations
- Transition Specialists in the areas of: Marital Changes, Business Succession, Retirement, Estate Planning and Philanthropy
- Accomplished Public Speaker in the areas of Transitions, Philanthropic Planning and Motivation for working with not-for-profits organizations

Canaccord Genuity is one of Canada's largest independent wealth management firm, entrusted with more than \$72 billion in client assets world wide. We are proudly Canadian. Fiercely independent. And Dedicated to earning and rewarding your trust as stewards of your wealth.

David Stephenson, CAIA, CIM, FCSI
Director, ETF Strategy and Development
CIBC Asset Management



David Stephenson is Director, ETF Strategy and Development at CIBC Asset Management. He is responsible for helping to set the strategic direction for the business and monitoring industry trends as well as launching new products and managing existing products.

Prior to joining CIBC Asset Management in 2018, Mr. Stephenson worked for ETF providers BlackRock and Vanguard. He has over 20 years of experience in product development and management roles.

Mr. Stephenson holds a Bachelor of Commerce degree from Ryerson University. He is also a Chartered Alternative Investment Analyst (CAIA), Chartered Investment Manager (CIM) and Fellow of the Canadian Securities Institute (FCSI).

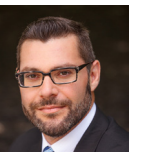
SPEAKER BIOGRAPHIES

Jason Streicher
Senior Legal Counsel
AUM Law



With more than twenty years of legal experience, Jason's practice is focused on registration matters and securities compliance for portfolio managers, investment fund managers, exempt market dealers, family offices, mortgage investment entities and other financial services providers.

Robert Tasca
Vice-President, Derivatives Trading and Client Solutions
TMX Group



Robert Tasca, Vice-President, Derivatives Trading and Client Solutions with TMX Group, Montréal Exchange, is responsible for managing the derivatives business, specifically fixed income and equity derivatives. Robert's team focuses on business development, account management and strategic initiatives to help drive value to its clients. He joined the Montréal Exchange in 1998, where he began his career in the open outcry pits or "floor" in Montréal, transitioning to the electronic platform in October of 2000. With over 20 years of derivatives experience, Robert brings a full-service perspective to customers of the Montréal Exchange.

Allison Taylor, MBA
Chief Executive Officer and Portfolio Manager
Invico Capital Corporation



Allison Taylor is the Chief Executive Officer and co-founder of Invico Capital Corporation. Allison is a registered Portfolio Manager, a graduate of the Haskayne School of Business with a MBA in Finance and a graduate of the University of Western Ontario with an Honors Bachelor of Science in Actuarial Science and Statistics.

Allison brings more than 20 years of experience in corporate finance in both the private equity and financial advisory services within the energy sector. Allison has been actively involved in the assessment of investments, ongoing regulatory compliance and accounting on behalf of the Invico managed investment offerings. Allison started her career at Mercer Management and Towers Perrin in pension consulting doing actuarial valuations for large company pension plans. She then moved into investment banking at RBC Dominion Securities doing mergers and acquisitions.

She advanced her career by moving to Ernst & Young Corporate Finance Inc. doing merger and acquisitions and working with unique situations and niche opportunities to help private companies structure capital raising. It was these experiences that highlighted the opportunity to start Invico Capital with co-founder Jason Brooks.

Allison is currently a member of the Investment Committee at the University of Calgary. She was also the proud recipient of the WP Female Executive of the Year Award, at the 2019 Women in Wealth Management Awards.

SPEAKER BIOGRAPHIES

Andrew Torres
Founding Partner & Chief Executive Officer
Lawrence Park Asset Management



Andrew is a 25 year veteran of global fixed income markets, having managed multi-billion dollar bond portfolios in London, New York, and Toronto. Andrew is a former Vice-Chair and Global Head of Credit Products at TD Securities, where he held a variety of senior trading roles over a 15-year career.

Prior to founding Lawrence Park Asset Management in 2011, Andrew was a partner and portfolio manager at Aladdin Capital Management in London, England.

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!

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

Caroline Chow
Vice President
caroline@caasa.ca
(647) 953-0737

James Burron, CAIA
President
james@caasa.ca
(647) 525-5174

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

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