CAASA Family Office Cayman Experience 2023

Presented by: the Canadian Association of Alternative Strategies & Assets

CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

Program Sponsored by:

DART Family Office

WELCOME TO YOUR INTRODUCTION TO THE CAYMAN ISLANDS

This conference was designed to provide information on all aspects of offshore domicile and the Cayman Islands that families might want to know. Whether you're looking to domicile investment portfolios, investee companies, or intellectual property in a suitable jurisdiction or make a whole-hearted.permanent move offshore including residency and the like, this multi-day event is for you. We cover legal and tax elements as well a life on Cayman (cay-man, as the locals call it) and topics such as education, medical care, and the day-to-day logistics that can make a move a joy or a challenge. All content is subject to Chatham House Rule.

THANK YOU TO OUR SPONSORS

DART Family Office

TECH CAYMAN

Ogier

Wealhouse Capital Management

FORMATS & POLICIES

TABLE TALKS

Delegates will have the opportunity to choose two sessions lead by our sponsors. We do not sell paid-for speaking spots, preferring delegates to choose when they might like to hear from sponsors.

Table Talks are 30-minute sessions where anywhere from 2 to 12 delegates can get a briefing on a topic and participate in an interactive discussion. As with all of our events, we refrain from pay-to-play and draw all speakers from membership and prefer audiences to opt-in to more niche discussions, as will be delivered at the Table Talks.

MEAL, RECEPTIONS, & EXCURSIONS

All delegates are encouraged to meet as many people as possible - we have made this event purposefully intimate to allow for a great deal of interaction and networking. Our scedule includes multiple meals, breaks, and receptions where all can connect as well as a great deal of ‘free time’ in the afternoons where folks can meet up and enjoy all that Cayman has to offer. These include: the Turtle Farm, (across the road from it) Swim with the Dolphins, Deep Sea Fishing, Snorkleing & Guided Spearfishing (only Caymanians can partake in actual spearfishing), Botanical Gardens, Golf, Shopping & Fine Dining at Camana Bay, Horseback Riding, plus many others.

Dart and the CAASA team are happy to assist with ideas and connecting delegates with providers of transport and activity provisions. All excursions (save the Stingray City one included with lunch) are at participant expense.

PRIVACY & SECURITY

Typically, we do not release the names of individuals attending CAASA events - including to sponsors and speakers at events - although we may disclose the employers of attendees, except for those working at single family offices which are redacted. **We never release the email addresses or phone numbers of attendees**; asking instead that folks reach out personally at the event or via other means such as corporate websites or services such as LinkedIn. We can pass on contact requests to another party (without any guarantee of a response).

All of our sessions are strictly Chatham House Rule and we ask all delegates to refrain from using screenshots and other archival methods as well as not tweeting or using other social media concerning any of the speakers, topics, or information communicated. Any communication should be broad and general and have absolutely no attribution of any notions to any speaker.

ABOUT CAASA

INCLUSIVE, ACTIVE, AND PAN-ALTERNATIVE

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

MEMBER BENEFITS

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

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

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

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

NATIONAL AND GLOBAL

CAASA believes that the Canadian alternatives industry has a great deal to offer Canadians and the global community. The *Canadian Model of Pension Management* is well-known for its large alternatives focus, managed in-house in many cases with substantial allocations to external managers as well. Canadian investment managers operate in a robust regulatory regime (of hedge fund managers) that is becoming the norm across the globe and a stable banking back-drop that provides solace for investors as well as opportunities for managers. Talent in investment management (approximately 10% of all CFA charterholders reside in Canada) as well as newer areas such as digital assets and robo-advisory services are a differentiator. Of course, Canadian investors and managers are keen to learn of best practices in operations and portfolio management from their global peers.

TUESDAY, JANUARY 10TH

3:00 PM	***It's All Relative Discussion (Single Family Office – Relatives Only)*** ***Location: Seabridge Lawn*** *Life as the principal of a family office can be exciting, inspirational, and busy, while at the same time worrisome, stressful, and draining. Family members are invited to join us for an exclusive gathering that precedes the opening reception. This session will be an opportunity to meet with your peers and share questions, concerns, solutions, and insights across the table.*
5:00 PM	***Welcome Reception (Open to all delegates) at the Seabridge Lawn*** *Including round the table introductions from all delegates.*
8:00 PM	***Post-Dinner Drinks – Hosted by Sponsors*** *We welcome sponsors to plan and organize drinks for the delegates.* *Delegates are free to meet together or with sponsors or simply retire for the night*

Single Family Office Relatives are welcome to join the group at the Seabridge Lawn for their exclusive meeting to discuss areas of interest. We will have a few families lead the way and all are welcome to add topics, comments, questions, and any input they like to the discussion.

All delegates are encourage to gather at the welcome reception at 5PM where all will introduce themselves to the group.

WEDNESDAY, JANUARY 11TH

8:00 AM	***Breakfast at Aurea East*** *Join us for an interactive discussion that offers an economic outlook.*
8:15 AM	***Themed Discussions: Gear up for 2023: The Forecast Panel*** **Brandon K. Laughren,** Laughren Group **Randy Swan,** Swan Global Investments **Michael Danov,** SBP Management **Scott Morrison,** Wealhouse Asset Management *We start the conference with a panel on the coming year: what to expect, what to focus on, and areas where investors can find real value in various asset classes and investment strategies. Our panel has diverse interests and backgrounds which will make for a lively discussion as they put forth their expectations for 2023 and beyond. Bonus points if they can call major macro events like pandemics, upset elections/ plebiscites, and armed conflicts over the next few years!*
9:00 AM	***Themed Discussions: Living in Cayman*** **James Burron,** CAASA **Sue Nickason,** Dart Family Office **Nick Rodrigues,** Inverted Ventures *Living on Cayman can be an adjustment for many, if not all, who see themselves here. This panel features a full-time and part-time resident and asks the questions that (we hope) the audience has regarding so many facets of island life. This will prove to be an interactive and dynamic conversation that will likely spill over into social hours over the next couple of days.*
9:30 AM	***Themed Discussions: Island Venture: The Cayman Ecosystem*** **Paul Henry,** Dart Family Office **Jennifer McCarthy,** TechCayman *One might not assume that a rock in the middle of the Caribbean could be a source of amazing opportunities for investment as well as domicile (either IP or company head office), but Cayman has developed a thriving environment to support both avenues for start-ups and their investors. Tune in to this panel to get to know this burgeoning area.*
10:00 AM	*Networking & Coffee Break*
11:15 AM	***Themed Discussions: Ducks in a Row: Planning One's Domicile*** **Anthony Partridge,** Ogier *The domicile decision can be one of the most daunting questions for families desiring continuity in their home country, yet interested in the advantages of other jurisdictions. This discussion will outline the often-asked questions and some of the answers that families investigating their options have posed.*

WEDNESDAY, JANUARY 11TH

NOON	***Luncheon Keynote: A Conversation with Walter Schroeder, Founder of DBRS*** **Walter Schroeder,** Colonial House Capital Ltd **Nancy Hoi Bertrand,** Citi Private Bank *This fireside chat is a reflection on Mr. Schroeder's career on Bay Street, founding Dominion Bond Rating Service, and his activities since his liquidation event a few years ago. Many entrepreneurs are all-in on their 'baby' and he is no exception, but he always had ideas of how to serve his community and has done so in recent years especially. He also has a few interesting hobbies [theatre] that keep him busy. Mr. Schroeder, having been in the financial field for 50+ years, has some insights about where taxation and policy is headed in Canada – this will be a busy chat and hope you can join us for it!*
1:00 PM	*End of Day 1 Content*
1:30 PM	***9 holes at the Ritz Carleton (Single Family Offices Only)*** *To Be Confirmed* 1:30 pm – Leave for Ritz Carleton 2:00 pm – First group tees off 5:30 pm – Head back to the hotel
6:30 PM	***Evening Drinks - All Delegates*** *Join us for this casual gathering where we can share insights and ideas from the day and get to know each other better.*
7:30 PM	***Dinners Hosted by Sponsors*** *Sponsors and others will host dinners for select delegates at the Kimpton and around Cayman.*
LATE	*End of Day*

KEYNOTE: WALTER SCHROEDER

WALTER SCHROEDER
FOUNDER, DBRS
COLONIAL HOUSE CAPITAL (SFO)

Walter Schroeder's parents were immigrants from the Ukraine, where they lived in a German enclave while keeping their culture and heritage alive for more than a hundred years. During the Russian Revolution, both sides of his family escaped persecution by immigrating to Canada. They had survived the Communist revolution but lost all their wealth. When Walter was born in December 1941 in Winnipeg, Manitoba, his father was working as a caretaker of a private college and his mother cleaned houses for the rich people of Winnipeg.

"Those difficult times definitely had an effect on my father," says Walter. 'He was frugal and sought stability above risk. But he was smart and a very skilled tradesman. He could do anything from plumbing to carpentry. He was proud of our house, and he kept it in good condition. We were poor, but we did not know we were poor because we had plenty of relatives around us.'

Both of Walter's parents came from large families. Their native language was German, and Walter grew up with dozens of cousins, who all spoke German. 'I didn't learn English until I was in the first grade,' he says. 'But education was very important in my family. I knew that would be my way out of poverty. I can remember hearing once that when a son walks in his father's footsteps, that means he is like his father. I loved my father, but I wanted much more than what he could give us. One day, I was walking behind him in the snow, and I purposefully made my footsteps fall away from his because I was determined my life would be different and did not want to follow in his footsteps.'

Walter's maternal relatives were largely entrepreneurs in their day. They became businessmen when they grew up in Canada, becoming small-time entrepreneurs. By the time he was in the eighth grade, getting a university education was Walter's number-1 goal. He became interested in the stock market and taught himself the principles of portfolio management. 'I told myself,' he says, 'that I wanted to become the best equity analyst in North America.'

Walter obtained a bachelor of commerce degree with honors from the University of Manitoba, and then achieved his MBA from McMaster University. He worked evenings until he was licensed as a certified public accountant (CPA) as well as a chartered financial analyst (CFA).

THURSDAY, JANUARY 12TH

8:00 AM	***Breakfast at Aurea East*** *Plus our private assets panel.*
8:15 AM	***Themed Discussions: Your Portfolio of Private Assets*** **Joshua Varghese,** Axia Real Assets LP **Peter Pappas,** BG Wealth Group **Mark Sack,** RISE Properties *Private assets have been all the rage for the last 10+ years and the purveyors, intermediaries, and investors of these securities have become more sophisticated and specialized over that period. This panel will brief the audience on the space, where they are seeing value, and where one should focus going forward.*
9:00 AM	***Round Table Discussions – Hosted by our Sponsors***
10:00 AM	*Health Break*
10:15 AM	***Themed Discussions: Families and Digital Assets*** **Richard Ross,** SSFO **Ruairi Hanafin,** Firinne Capital **Michael Danov,** SBP Management **Craig D'Cruze,** Inverted Ventures *The term 'Crypto Winter' is now known to many – certainly more than the last one in 2018. Veterans of the space have seen it all before, along with the (historically) 20x run-up in crypto (BTC) valuations over subsequent periods. Will this time be different? What should families know about the space before jumping in – and if already in, what to do now? Bring your questions to this panel!*
11:00 AM	***Themed Discussions: Real Estate Plays*** **Scott Morrison,** Wealhouse Asset Management **Oleg Shiller,** OZ Capital **Vali Lazarescu,** Group RMC *Real estate has many access points. This panel will speak to going direct, co-investing, and clubbing deals so as to reduce risk, increase information flow, and diversify among markets and assets. Lots of great ideas will come from this panel*
11:30 AM	***Reflections & Opportunties*** **Harjit Singh,** Rainshine Global **Thomas Kalafatis,** KalNes Capital Partners *We love to get input on what people learned from our conferences and this panel is the perfect way for not only the panelists but also the audience to voice their views on the topics and content of the previous days – and give us ideas for our next conference. Thank you to all who participate!*

THURSDAY, JANUARY 12TH

NOON	***Boat Cruise Lunch*** **12:00 pm** – Delegates are invited to gather in the lobby of the Kimpton Seafire for travel to the Cayman Islands Yacht Club or Camana Bay for boat to lunch. Wear your bathing suit if you plan on visiting Stingray City and taking in one of the iconic experiences of Cayman. **1:00 pm** – Lunch & Stingray City (in the water!) **3:00 pm** – Return to Dock
3:00 PM	***Return from Lunch & Free Time – Sponsor Excursions*** Sponsors provide excursions for select families and guest during this time.
6:30 PM	***All Delegates Dinner at the Beach Deck***
8:30 PM	***End of Conference***

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HIGHLIGHTED MEMBERSHIP CATEGORIES

SIGNATURE MEMBERS 2023

As we continue to innovate in an effort to bring more value to members than ever before, we added an additional exposure category: Signature Member.

These members, including **CIBC Mellon, Preqin, Hedgefacts, Avenue Living Asset Management,** and **Amundi Asset Management**, are featured prominently at three of our signature conferences.

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

Any CAASA member this is interested in becoming a Signature Member should contact the CAASA office.

Amundi ASSET MANAGEMENT

avenueliving asset management

CIBC MELLON

HEDGEFACTS

PREQIN

(START-UP) FOUNDER

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

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

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

SPEAKER BIOGRAPHIES

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

Nancy Bertrand
Private Banker
Citi Private Bank

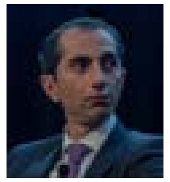
Nancy joined Citi Private Bank in 2006 and has more than 20 years of capital markets experience. She advises ultra high net-worth families, foundations and single family offices on wealth preservation and creation, with a particular focus on alternative and international investments. Previously, Nancy practiced U.S. securities law at the global law firm, Shearman & Sterling LLP specializing in cross-border corporate finance and mergers and acquisitions. Nancy sits on the board of the Golf Association of Ontario. She is a Past President of the Toronto CFA Society and the former Chair of the Governance and Nominations Committee. She was a member of the CFA Institute's Capital Markets Policy Committee and a member of CFA Institute's Global Corporate Governance Task Force. She received her Chartered Financial Analyst designation in 2002.

Nancy sat on the cabinet of the Royal Ontario Museum's Young Patrons' Circle. Nancy graduated with an Honours in Business Administration (Dean's List) from the Richard Ivey School of Business of the University of Western Ontario and a Bachelor of Laws (great distinction) from McGill University. She has been called to the Bars of the State of New York, the Commonwealth of Massachusetts and the Province of Ontario. She speaks Mandarin, Cantonese and French. She is married and raising a teenage daughter.

Craig D'Cruze
Founder
Inverted Ventures (SFO)

Craig D'Cruze is a multifaceted entrepreneur with a passion for investing. In his 25+ years in equities markets, Craig has developed his outlook that emerging technologies will alleviate the largest hurdles facing the human race. Prior to joining Inverted Ventures Craig lead teams of between 22 and 70 people as an award-winning Executive Chef for companies like Marriott Hotels International, Delta Hotels, and The University of Calgary. Cost control, budgeting, creativity but most importantly team building, mentoring and growth.
Craig has always been fascinated with numbers, finance, P&L, and cost effectiveness. His attention to detail gives him the ability to read between the lines when analyzing innovative investment ideas.

These factors have led Craig to take on the role of Chief Operating Officer for Inverted Ventures and is responsible for leading the research team on early-stage venture capital investments and cryptocurrency portfolio development.



Michael Danov
President & Chief Investment Officer
SBP Management (SFO)

Michael is President and Chief Investment Officer of SBP Management, a single-family office focused on investing in Private Equity, Venture Capital, Hedge Funds, Co-Investments, Cryptocurrency, and investing in small-cap & mid-cap publicly traded companies.

Michael sits on many boards and holds a Bachelor of Applied Science in Finance from City University of New York - College of Staten Island.

Ruairi Hanafin
Chief Investment Officer
Firinne Capital

Ruairi Hanafin is the Chief Investment Officer at Firinne Capital. He is an entrepreneur, investor, and early proponent of blockchain technology. He also co-founded Canadian agricultural technology startup Grain Discovery. He has held positions in research and portfolio engineering in the quantitative portfolio management teams at CPP Investments, where he also founded the blockchain research group, and at the Vancouver derivatives analytics company FINCAD.

He holds a Ph.D. in Theoretical Physics from Trinity College, University of Dublin.

Paul Henry
Venture Principal
Dart Family Office (SFO)

Paul Henry is a Venture Principal with the Dart Family Office. Prior to Dart, he worked at EY and Skansa, both in London, UK. He holds a Civin Engineering degree from Cardiff University and and MSt (Cantab) from the University of Cambridge.

Thomas Kalafatis
Managing Partner
KalNes Capital Partners (SFO)

A seasoned Entrepreneur and Turnaround specialist who has created and captured shareholder value in each role in each organization I have led, including: Managing Partner, Independent Trading Group (ITG) Inc.; Managing Director & Head, Global Equity Execution & Prime Services Group, CIBC World Markets Inc.; and Vice-President, Toronto Stock Exchange. With a proven record of creativity in addressing complex business problems; innovations in using technology in novel ways and relentlessly pursuing the development of my people and teams into winners, I am focused on building monopolies for the long term.

"Winning is not a sometime thing, it is an all the time thing. You don't do things right once in a while…you do them right all the time." Vince Lombardi

Brandon Laughren
Co-Founder & CIO
Laughren Group (SFO)

Brandon K. Laughren, Managing Director, Co-Founder and CIO of the Laughren Group, a single family office with investments private equity, private debt, venture capital and real estate. In addition, he serves as a mentor for two startup accelerators. Prior to co-founding the Laughren Group, Mr. Laughren founded and managed Stone Laughren LLC, a private equity and venture capital advisory firm. Mr. Laughren has acted as a transaction advisor and an investor for 30+ years. He has been involved in M&A transactions totalling more than $50 billion in value and debt and equity raises in excess of $10 billion.

SPEAKER BIOGRAPHIES

Vali Lazarescu
Vice President - Private Partnership Group
Group RMC

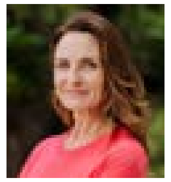
Vali is an experienced financial professional with 12+ years in institutional markets and capital raising/ deployments and a demonstrated record of career progression with experience in leading teams of 8+ individuals. A former NCAA Division 1 Athlete with deep understanding of time management and high pressure situations, Vali has advanced communication skills (English, French, and Romanian) and is wellitraveled and accustomed to international cultures necessary for closing international transactions. He is very proficient in the technology space including Salesforce, Word, Excel, PowerPoint, Bloomberg, Capital IQ, SAP, Oracle and various other platforms.

Vali attendeed William & Mary as well as Concordia Univeristy and holds an MBA from Harvard University.

Scott Morrison
Chief Investment Officer
Wealhouse Asset Management

Scott Morrison is the Chief Investment Officer of Wealhouse Capital Management, a privately-owned investment firm and family office. As the firm's founder, Scott is responsible for overseeing Wealhouse's various strategies across asset classes, as well as the firm's private equity portfolio and real estate holdings.

Outside of Wealhouse, Scott serves on the investment committee of the Centre for International Governance Innovation (CIGI), where he advises on investment decisions for CIGI's endowment fund. Scott has over 25 years of asset management experience. Prior to Wealhouse, Scott spearheaded the portfolio management for notable firms such as Mackenzie Investments, CI Funds, and Investors Group. Scott holds a Bachelor of Finance from Concordia University and is a CFA Charterholder.

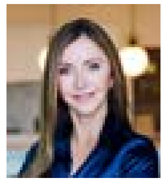


Jennifer McCarthy
Business Development Manager
TechCayman

Jennifer is the Business Development Manager for TechCayman, a technology innovation enabler which provides new and current overseas businesses an accelerated path to establishing themselves within the Cayman Islands. Jennifer has been with TechCayman since its inception, with a keen focus on building the concierge relocation and sales teams.

Jennifer completed her education at the British Columbia Institute of Technology in the Broadcast Journalism Honours Program and came to the Cayman Islands on what was meant to 6-month hiatus. Twenty+ years and three beautiful sons later, she is still here enjoying the opportunities and exceptional quality of life offered here. Prior to TechCayman, Jennifer was recruited to create a VIP concierge pathway for the Health City Cayman Islands project. The same development team created TechCayman, and the opportunity to build a white-gloved customer focused program in the tech space was an ideal next step. Jennifer is a Cayman Islands Notary Public, a GirlForce 100 mentor for the 100 Women in Finance, is active in several service groups and manages the pediatric non-profit organization, Have a Heart Cayman Islands.

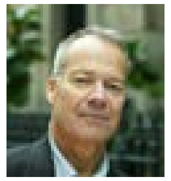
SPEAKER BIOGRAPHIES



Sue Nickason
Vice President, Marketing & Sales
Dart Family Office (SFO)

Sue helps people realise their vision to reside and work in one of the most beautiful and safe places in the world to live – Grand Cayman – with Dart. She takes pride in knowing that Dart's culture and values - integrity, commitment to excellence, and desire for continuous improvement - match her own. Sue and Dart create places where people want to be and are inspired to live their best lives.

Sue studied at Mount Allison University, holds an MBA from the University of Guelph, and Certificate of Revenue Management from Cornell University.



Peter Pappas
Chief Operating Officer
BG Wealth Group

Peter brings more than 25 years of experience in financial and corporate management, mergers and acquisitions and capital markets to his role with BG Wealth Group, as well as an in-depth knowledge of institutional and retail asset management including operations, prime brokerage, and risk management.

Peter's experience extends to the management of institutional and retail US Equity and Real Estate Investment Trusts including the Real Estate Special Situations funds in Asia, Europe and North America, one of the first and largest real estate private equity partnership funds.

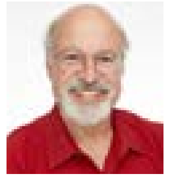
Anthony Partridge
Partner
Ogier

Anthony specialises in all aspects of non-contentious and semi-contentious private trust and estate matters, wealth structuring for high-net-worth individuals, family offices and institutional trustees together with all related regulatory work and cross-border succession matters. He has particular expertise in the use of Cayman foundation companies and obtaining grants of probate, letters of administration or resealing foreign grants in the Grand Court of the Cayman Islands.

Nick Rodrigues
Founder & CEO
Inverted Ventures (SFO)

Nick Rodrigues is the Founder & CEO of Inverted Ventures, a single family office with a passion for financing revolutionary trends that lead to exponential positive change in the human experience. Upon realizing investing was his ultimate passion, Nick founded Inverted Ventures to realize the thesis that it was impossible to outperform the average investor without looking into wildly different asset classes. Nick is leading both the public crypto as well as the early stage venture capital portfolios with the goal of achieving consistent parabolic growth.

SPEAKER BIOGRAPHIES



Richard Ross
Chief Investment Officer
Stealth SFO

Richard A. Ross recently worked with several family offices in NYC and Dubai, for which he has developed innovative factor analytics technology and cryptocurrency portfolio models. Rick has consulted to Bridgewater Associates, Six Telekurs, Gartner, and State Street. Rick has served as the Governor's representative on CT Investment Advisory Committee, which oversees CT's $40Bn public pension fund. Rick was recently a mentor at SOSV/DLabs blockchain incubator and at MIT DeltaV technology incubator in NYC.

He started his career as the second engineer on Lotus 1-2-3. Rick has degrees in Computer Science from MIT in Cambridge, MA, and participated in MIT's Technology and Policy Program; as well, he received a Certificat de Cuisine from Cordon Bleu in Paris.

Mark Sack
Executive Vice-President & Head of Global Sales
RISE Properties

Mark Sack joined RISE in January 2022 with over 20 years of industry experience, and leads Global Sales & Marketing for RISE, and Investor Relations, Sales, and Client Service in Canada. In this role Mark oversees sales, marketing and Investor Relations to retail and institutional channels.

Prior to joining RISE, Mark was Head of Canadian Institutional Sales for Mackenzie Investments (2017 – 2022) where he doubled Canadian Institutional assets under management across traditional and alternative investment strategies. Prior to joining Mackenzie, Mark was a sales leader at JPMorgan Asset Management for Canada (2014 – 2017) working with clients across Canada in all alternative asset classes including real estate and infrastructure. Before joining JPMorgan, Mark was employed at some of the world's largest global traditional and alternative asset managers, including Fidelity Investments and State Street Global Advisors.

Before joining the investment business, Mark was an Advancement professional for endowments and foundations in healthcare and education for 15 years, including Associate Campaign Director for the largest campaign in the history of the University of Toronto.

Mark graduated in Science with an Honours BSc from the University of Toronto (1984) and worked in post-graduate medical research before business and investments programs at the Harvard and Wharton business schools. Mark is a graduate of the Wharton Investment Institute (2002) and has earned the Chartered Investment Manager Designation (CIM) in 2014. Mark has completed the Exempt Market Dealer certification (2013). Mark was named a Fellow of the Canadian Securities Institute in 2022.

SPEAKER BIOGRAPHIES

Oleg Shiller
Co-founder & CEO
OZ Capital

Oleg Shiller is the Co Founder and CEO of OZ Capital, OZ Capital MIC, and OZ Funding Corporation. A fellow of the Canadian Securities Institute and equipped with over 2 decades of experience in the financial services industry Oleg is accustomed to dealing with high-net-worth families and individuals. As of 2022, Oleg, along with his business partner are responsible for raising and managing over $100 million dollars in private mortgage financing for accredited investors. Oleg has established himself as a force and an industry leader, respected by the broker community and investors alike. Oleg intends to continue to grow his brand and make a positive impact on the industry for decades to come.

Harjit Singh
Managing Director
Rainshine Global (SFO)

Harjit has been working on Wall Street for 15+ years. The last 10 years are helping wealthy families in launching new opportunities or acquiring companies to complement their existing portfolio.

Recently, Harjit joined Rainshine Global as Head of Corporate Partnerships. Rainshine is creating the 'Shopify' of entertainment content on a platform called RainBlox, built on a Polygon-Ethereum combo, and enabling creators to build massive fan communities monetized through both Web3 options like NFTs/Tokens and on-demand content consumption. This business started by the family office of Neeraj Bhargava and backed by several high profile families across the world to help premium creators and studios bring transparency in the media and entertainment industry. Previously, Harjit worked with Gupta Family to head corporate and m&a strategy for KiwiTech. KiwiTech is a portfolio of over 500+ tech startups across North America, committed to helping entrepreneurs build their dream tech startups.

Also, Harjit is a Strategic Advisor to TigerBridge capital, a broker-dealer based out of New York, focused on helping US issuers to raise capital via the EB5 program. Harjit has invested in several startups including Caleste (CLST – institutional-only lending and borrowing venue for stablecoins and crypto assets), Mindwell Labs (Data Analytics) Noor (Energy), SpectraMedix (Data Analytics and Saka Ventures (Pre seed and seed fund focused on foreign entrepreneurs entering the North American Market). Harjit is on a couple of non-profit boards including TIE New York (Board Member and President Elect). Harjit graduated from Baruch College with a BBA in Finance and Investments.

SPEAKER BIOGRAPHIES

Randy Swan
Founder, President and Lead Portfolio Manager
Swan Investments (SFO)

Randy Swan is the founder, CEO and Lead Portfolio Manager of Swan Global Investments and the creator of the proprietary Defined Risk Strategy (DRS).

In 1997, recognizing the limitations of Modern Portfolio Theory and the difficulty of market timing and picking stocks, Randy developed the Swan Defined Risk Strategy to help investors redefine the risk/return dynamic of long-term investing, seeking to achieve capital appreciation while seeking protection from large losses.

As Lead Portfolio Manager of Swan and the DRS, Randy oversees and manages the strategy across numerous product portfolios and asset classes such as large cap stocks, emerging market stocks, foreign developed stocks, small cap stocks, long-term bonds, gold, and more. Across each product/portfolio, the DRS strategy seeks to define the risk, reduce volatility, limit large losses and match or exceed the long-term performance of the stock market over an entire investment cycle (peak to trough). This is all from the perspective of helping investors to achieve a more consistent and smoother longer-term investment experience.

Before founding Swan, Randy was a senior manager for KPMG's Financial Services Group, primarily working with risk management and insurance providers as a tax consultant. His experience at KPMG helped him in designing the Defined Risk Strategy, as he was able to see firsthand how insurance and risk managers diminished risk.

Josh Varshese
Co-founder & Partner
Axia Real Assets LP

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

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

MEMBER DIRECTORY

This web version of our program does not include our member directory.

For access to our current directory, please see the version on our site located under the heading Members and sub-heading Member Directory.

https://caasa.ca/members/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:

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