

# CAASA Family Office Summit - Toronto

*Presented by: the Canadian Association of Alternative Strategies & Assets*



**Thursday, May 2<sup>nd</sup>**  
**Vantage Venues (St. Andrew's Club)**  
**150 King Street West, Toronto, Ontario**

**Program sponsored by:**







# ALGONQUIN

CAPITAL

The Algonquin Debt Strategies Fund offers diversification through strategies that can generate strong returns whether interest rates rise, fall, or stay the same

### Our Objectives

- Target absolute returns of 6-9%
- Emphasis on capital preservation
- Diversification from both equities and fixed income

### Our Approach

- Hedge the interest rate risk of investment grade corporate bonds
- Isolate the credit exposure
- Actively manage and trade the portfolio

### Contact

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Founding Partner

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# CAASA MÉCHOUI SUMMMER SOCIAL



**THE PLACE TO BE ON THURSDAY, AUGUST 22, 2019**  
**FROM 4PM - 10PM, CASUAL DINING THROUGHOUT - FORMAL AT ~6PM**  
**BUSINESS, BUSINESS CASUAL, CASUAL ATTIRE ALL OK**



**SPONSORSHIPS RECOMMENDED - WILL SELL OUT**  
**MENU TYPICALLY INCLUDES: OYSTERS, CRAB, LOBSTER, SALADS, CHEESES, QUÉBEC WINE**



## WELCOME TO OUR IN-DEPTH LOOK INTO FAMILY OFFICE ISSUES

The CAASA Family Office Summit brings together speakers and participants from single and multi-family offices, investment dealers, Canadian and global investment management houses, and affiliated service providers. Panels and break-out sessions will focus on key issues facing family offices in Canada and elsewhere including structuring, legal & tax issues, IT and operational areas, and investments - including: hedge funds, CTAs, private equity, private lending, real estate, infrastructure, and crypto-assets/blockchain-related investments. All content is subject to Chatham House Rule.

## THANK YOU TO OUR SPONSORS



## CHARITY PARTNER



## ASSOCIATION PARTNER





# PRE-DAY AGENDA

WEDNESDAY, MAY 1<sup>st</sup>

## PUBLIC LUNCH & INVITE-ONLY DINNER AND TOPICS DISCUSSION

We are happy to extend invitations to select family offices, Investment Advisors, Individual Investors, and those asset managers and service providers who are both in CAASA membership and sponsors of the event.

The pre-day sessions will include a choice of lunch and dinner discussions which will set the tone for the following day’s panels and content as well as provide, we believe, a more intimate environment where peers and competitors can speak to pertinent issues. Both will be at a site other than the summit, to be communicated to attendees prior to the date.

The **Liquid Alts Lunch** will bring together Canadian bank-owned and independent mutual fund companies, Canadian and foreign alternatives asset managers, Investment Advisors, product approval professionals from bank-owned and independent broker-dealers, tax and securities lawyers, prime brokers, fund administrators, audit and compliance professionals, third party marketers, and other service providers and consultants. The Lunch will feature an overview of the legislation, how it has been received/used by industry participants, and areas of improvement and excellence as 2019 progresses.

Our **Family Office Dinner & Discussion** features topics important to family offices. We believe that this more intimate environment will allow participants to speak freely amongst their peers and provide insight into how family offices view the world of investment while balancing such areas as: philanthropy and impact investing; operational issues including staffing, taxation, trade and deal structuring, bookkeeping & infrastructure; and investments (asset mixes, volatility, concentrated bets, seeding managers, using alternative investments in a portfolio setting).

The Family Office Dinner & Discussion will include representatives from: Canadian and foreign single family and multi-family offices, alternative asset managers, tax and securities lawyers, and other service providers and consultants.

We also offer a **Blockchain Primer** for all conference attendees. This session runs mid-day on May 1 and is designed to give a broad overview of distributed ledger technology, blockchain and its applications, and crypto-assets (including crypto-currencies).

# PRE-DAY AGENDA

WEDNESDAY, MAY 1<sup>st</sup>

	Liquid Alts Lunch
11:30 AM	Registration and networking
Noon	Seating for lunch
12:30 PM	<p><b>Speakers:</b> <b>Jason Chertin</b>, <i>Partner</i>, McMillan LLP <b>Raja Krishnan</b>, <i>Managing Director</i>, Apex Canada <b>Wilson Tow</b>, <i>Co-Founder &amp; Managing Partner</i>, Fern Capital <b>Tim Elliott</b>, <i>President</i>, Connor Clark &amp; Lunn Funds Inc.</p> <ul style="list-style-type: none"><li>• Recap of implemented N.I. 81-102 rules (as at January 3, 2019)</li><li>• Roundtable and open floor discussion of:<ul style="list-style-type: none"><li>• Liquid Alts progress in the market</li><li>• Structures and features of products released thus far</li><li>• Views on short, intermediate, and long-term efficacy</li><li>• Risk ratings and compliance</li><li>• Use of in-house and external management expertise</li><li>• Areas of excellence &amp; improvement</li></ul></li></ul>
2:00 PM	End

	Family Office Dinner & Discussion
5:30 PM	Registration and networking
6:00 PM	Seating for dinner
6:30 PM	<ul style="list-style-type: none"><li>• Introduction of attendee companies</li><li>• Taxation and structuring issues for family offices</li><li>• Diligence processes</li><li>• Asset allocation and portfolio construction</li><li>• Use of alternatives</li><li>• Middle and back-office functions</li></ul>
8:00 PM	End

# PRE-DAY AGENDA

	Blockchain & Crypto-Assets Primer
10:00 AM	Registration and networking
10:15 AM	<p><b>Speakers:</b> <b>Kerem Kolcuoglu</b>, Director, MLG Blockchain <b>Fredrick Pye</b>, President &amp; CEO, 3iQ Corp. <b>Plus:</b> Selected blockchain entrepreneurs - presenting their use cases</p> <ul style="list-style-type: none"><li>• Define &amp; explain distributed ledger technology, blockchain, crypto-assets</li><li>• Blockchain use cases: financial markets and ‘real life’</li><li>• History of Bitcoin, stable-coins, and other crypto-currencies</li><li>• Smart contracts, security tokens, and other innovations</li><li>• Exchanges, listing, custody, and trading</li><li>• Securities regulations and AML</li></ul> <p>Light lunch will be provided at around noon</p>
3:00 PM	End

## GETTING THE MOST OUT OF YOUR TIME

The CAASA Family Office Summit is designed to provide ample, diverse opportunities for investors, managers, and service providers to meet, communicate, and collaborate.

Our **Pre-Day Sessions** provide three different formats to learn and engage. The Blockchain Primer will feature a selection of experts in each sub-area of blockchain and crypto-assets - so that attendees can have their questions answered in a concise and informative way. The Liquid Alts Lunch has a panel format and discussions between attendees on their views of the new legislation is encouraged. Our Family Office Dinner & Discussion was created to allow the free flow of information and views from peers and select industry participants - discussing areas that matter to family offices.

Our **Conference Day** has three distinct formats. We have a morning of panels consisting of family office professionals and select service providers - in the areas of investment due diligence, operational due diligence, and best practices for family offices. Then an afternoon of discussions focused on investment management segments (equity strategies, credit strategies, private lending, and illiquids such as private equity, real estate, and infrastructure), led by a family office person and consisting of managers proficient in each area. The focus of these seven panels is education of the audience in each of the areas.

Our third format is tête-à-tête sessions within the break and meal times. Investors, managers, and service providers can schedule meetings with any delegate they like, subject to their approving the meeting. This allows dedicated time when these parties can set aside time to have an introduction meeting or further discussion. Our web portal and mobile app will be available for profile population, meeting invites, and other messaging prior to, during, and after the conference date. Participants are encouraged to make use of this technology, as we do not distribute attendee contact details to other delegates, including to speakers and sponsors.

# DAY 2 AGENDA

THURSDAY, MAY 2<sup>nd</sup>

	All Delegates
7:30 AM	Breakfast & Keynote <b>AI Rosen</b> , Rosen & Associates Limited
9:00 AM	<b>Focus on Investment Due Diligence</b> <b>Alexander Matthews</b> , Palomino Capital (moderator), <b>Ranjan Bhaduri</b> , Bodhi Research Group, <b>Isaac Lempriere</b> , Prime Quadrant, and <b>Malcolm Katz-Larson</b> , Rohit Group
9:45 AM	Break & tête-à-tête sessions
10:30 AM	<b>Focus on Operational Due Diligence</b> <b>Esther Zurba</b> , Castle Hall Diligence, <b>Victor Kuntzevitsky</b> , Northland Wealth Management, <b>Terry Ram</b> , Sigma Analysis & Management
11:15 AM	<b>Best Practices for Family Offices</b> <b>Geoff Dover</b> , Heirloom Investment Management (moderator), <b>Min-Jun Kim</b> , Strategic Asset Partners, <b>Tec Han</b> , Vibrato Capital LLC, <b>Kieran Young</b> , Richardson GMP Private Family Office
NOON	Lunch & Keynote (to be announced)
1:30 PM	<b>Equity Strategies Panel</b> <b>Eric Wong</b> , TCG Capital (moderator), <b>Chip Krotee</b> , GreyArc Global (sub. of Axonic Capital), <b>Andrew Uhl</b> , Fort LP, <b>Eden Rahim</b> , Next Edge Capital
2:15 PM	<b>Credit Strategies Panel</b> <b>Alex Da Costa</b> , Mercer / Pavilion Advisory Services (moderator), <b>Brian D’Costa</b> , Algonquin Capital, <b>Andrew Torres</b> , Lawrence Park Asset Management, <b>Matt Shandro</b> , Fulcra Asset Management
3:00 PM	Break & tête-à-tête sessions
3:30 PM	<b>Private Lending Panel</b> <b>Arthur Salzer</b> , Northland Wealth Management (moderator), <b>Natasha Sharpe</b> , Bridging Finance, <b>Greg Vorwallner</b> , Trez Capital, <b>Geoff Beard</b> , Colchis Capital
4:15 PM	<b>Access to Illiquids: Real Estate &amp; Private Equity Panel</b> <b>James Burron</b> , CAASA, <b>Maria Pacella</b> , PenderFund Capital Management, <b>David Pappin</b> , IAM Real Estate, <b>Julian Klymochko</b> , Accelerate Financial Technologies, <b>Jonathan Turnbull</b> , Alignvest Student Housing
5:00 PM	Reception and Keynote speaker (to be announced)
7:00 PM	End of Day 2 Program

# 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.

## 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.

# SPEAKER BIOGRAPHIES

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



# SPEAKER BIOGRAPHIES

**Ranjan Bhaduri**, PhD, CFA, CAIA  
*President & CEO*  
Bodhi Research Group



Dr. Ranjan Bhaduri is the Founder, President & CEO of Bodhi Research Group. Bodhi Research Group is focused on research and education in the alternative investments industry.

Dr. Bhaduri has extensive experience in hedge fund research, hedge fund factorization, portfolio management, and due diligence (investment, operational, and structural). Dr. Bhaduri has designed and implemented an institutional due diligence and research program. Dr. Bhaduri's experience includes being on an Investment Committee at Morgan Stanley where he conducted due diligence and helped design customized portfolios of Alternatives. Earlier, he was at a Canadian Fund of Funds, and at a multi-billion dollar capital management firm where he was involved in all aspects of its fund of hedge funds and structured finance business. He has also worked with two major Canadian investment banks in the Financial Strategy Consulting Group and in Global Risk Management & Control, respectively.

Dr. Bhaduri has held an advisory role at the East-West Center, a leading think tank on the Asia-Pacific region. He has taught finance and mathematics at several universities and lectured on Derivatives for the Montreal Exchange. Dr. Bhaduri has published papers on, and been invited to speak worldwide regarding hedge fund issues, and advanced portfolio and risk management techniques.

Dr. Bhaduri holds both the CFA and CAIA charters. He is a member of the American Mathematical Society, the Mathematical Association of America, the Toronto CFA Society, and PRMIA. Dr. Bhaduri previously served as a member of the All About Alpha Editorial Board, and has previously served on the CAIA Chicago Chapter Executive. Dr. Bhaduri recently served on the Board of Directors of AIMA Canada, co-chair of AIMA Canada Managed Futures Committee, and on the AIMA Global Research Committee.

**James Burron**, CAIA  
*President*

Canadian Association of Alternative Strategies & Assets



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

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, organize 100+ committee meetings, and increase member numbers over his 7-year tenure from 66 to 164 corporate entities.

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

# SPEAKER BIOGRAPHIES

**Geoff Beard**  
*Head of Investments*  
Colchis Capital Management LP



Geoff is responsible for leading the Investment Team that sources, evaluates, and negotiates new credit and equity investments. Geoff has 20 years of investment banking experience in the specialty finance and financial technology sectors.

Prior to joining Colchis, Geoff served nine years as Managing Director at JMP Group, a publicly-traded middle-market investment banking and asset management firm and five years as a Principal at West Lake Partners, a boutique advisory firm serving West coast financial sponsors and their portfolio companies. Additional past experience includes two years as an Equity Research Analyst at Thomas Weisel Partners, a leading boutique investment bank, and two years as an Associate at Montgomery Securities focused on mergers and acquisitions in the financial services sector.

Education: B.A. from Williams College, MBA from Tuck School of Business at Dartmouth College

**Brian Broadway**, CPA  
*President*  
Gryphon Capital Management (SFO)



Mr. Broadway joined Gryphon in 2017 as the President. Mr. Broadway's duties include overseeing all of the daily operations of the family office as well providing strategic insight and direction in the areas of philanthropy and investment management for this multi-generation single family office. Mr. Broadway received his Bachelor of Science degree, with an emphasis in Accounting, from the University of Virginia in 1991 and an M.B.A., with an emphasis in Finance, from the University of North Carolina – Chapel Hill in 1999.

From August 1991 through July 1995, Mr. Broadway worked in the assurance practice at Coopers & Lybrand, LLC, as a member of the Financial Services Team and became a licensed Certified Public Accountant in Virginia in 2004. From August 1995 through April 2014 Mr. Broadway was employed by Chesapeake Capital Corporation, an industry leading CTA, was a Principal, held various senior leadership positions and was the President of the family office of its' founder. From 2014 until earlier this year he was the COO and Principal of Aspen Partners, Ltd, a CTA based in Richmond Virginia.

Mr. Broadway, and his wife, Janet, live in Manakin-Sabot, just outside of Richmond. Both he and his wife are involved in their church and in his spare time Mr. Broadway enjoys wing shooting, cycling, and international travel.

# SPEAKER BIOGRAPHIES

## Jason Chertin

Partner  
McMillan LLP



Jason Chertin is a partner in the Capital Markets Group in McMillan's Toronto office where his focus is securities regulation. Jason practices primarily in the area of corporate and securities law and stock exchange regulation, and has a strong track record of successfully structuring and executing a variety of capital markets transactions, including: (i) corporate finance transactions with emphasis on public offerings of securities; (ii) mergers and acquisitions with emphasis on negotiated transactions, plans of arrangement and amalgamations; and (iii) stock exchange listings and related transactions.

Jason has acted for issuers, underwriters and stakeholders in the investment, natural resource, energy and technology sectors in connection with public and exempt offerings of securities, take-over bids, business combinations, reverse take-overs, qualifying transactions, reorganizations, proxy contests and related party transactions.

A significant part of Jason's practice involves advising investment fund managers and portfolio advisors in connection with public and exempt offerings of securities by open-end mutual funds, closed-end investment funds, commodity pools and pooled funds, and he has additional experience in dealer and advisor registration and compliance matters.

In addition to transactional work, Jason advises clients with respect to general securities regulatory compliance matters, proxy solicitation, corporate governance, continuous disclosure, preparations for annual and special meetings of shareholders, compliance with requirements of NI 81-102, compliance with IRC requirements, prospectus renewals, and applications for exemptive relief to securities regulatory authorities.

## Alex Da Costa, MSc

Principal, Hedge Fund Delegated Solutions  
Mercer / Pavilion Advisory Group Ltd.



Alex Da Costa, joined Mercer in 2018, via the acquisition of Pavilion Advisory Group Ltd where he worked since 2012. He is a Principal of the firm and is based in Montreal. He has 20 years of experience doing both hedge fund research and portfolio management. His primary role at Mercer is providing customized discretionary and non-discretionary hedge fund solutions for the firm's institutional clients.

Prior to joining Pavilion, Mr. Da Costa co-founded his own business, SilverStreet Capital LLP where he managed funds of hedge funds and advised the firm's institutional clients on their hedge fund portfolios. Prior to that he was the Head of Portfolio Construction in the Alternative Investment Group at ABN AMRO Asset Management where he was one of the Portfolio Managers responsible for managing the firm's funds of hedge funds and institutional advisory mandates. Mr. Da Costa holds an MSc in Finance from Reading University (UK), ISMA Centre and a BSc in Civil Engineering from Southampton University (UK).

# SPEAKER BIOGRAPHIES

## Brian D'Costa, MBA

Founding Partner & President  
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.

## Geoff Dover, CFA

Founder & Chief Investment Officer  
Heirloom Investment Management



Geoff is the Founder & Chief Investment Officer (CIO) of Heirloom Investment Management, which offers institutional-quality investment solutions to families, ultra-high-net-worth individuals and small institutions. Originating as a single family office, Heirloom offers its award-winning investment approach via managed accounts, individual co-investment opportunities and a bespoke Outsourced Chief Investment Officer service. For larger clients, this bespoke approach includes acting as either discretionary manager or advisor to deliver fully individualized mandates, which uniquely includes the ability to incorporate specific ethical or impact frameworks.

Heirloom's capital preservation focused mandates have delivered greater than a 9% annualized return since 2009, beating relevant benchmarks by a substantial margin, while undertaking lower total risk. Its cross-asset, macro-thematic investment strategy focuses on allocating capital across asset classes and geographies to long-term, low-risk, secular trends, as well as market dislocations.

Prior to acting as Chief Investment Officer for single family offices for the past decade, Geoff was an Associate Principal with Birch Hill Equity Partners, Canada's largest mid-market private equity firm, and an Investment Banking Analyst with Donaldson, Lufkin and Jenrette (which was acquired by CSFB in 2001). Mr. Dover has been a CFA Charterholder since 2003, has been a director for multiple corporate and charitable boards, and is a frequent expert speaker on investment management, portfolio construction, risk management and establishing and managing a family office.

# SPEAKER BIOGRAPHIES

## **Tim Elliott**

*President*

Connor Clark & Lunn Funds Inc.



Tim is responsible for the strategy and direction of the business including working with our financial institution clients to develop and deliver new and innovative investment strategies to meet evolving client needs. Tim also works directly with top-tier investment advisory teams to understand how best the competitive strengths of the CC&L Financial Group can add value for their clients and practices.

Prior to joining CC&L Financial Group in 2007, Tim led the development and growth of multiple investment programs at HSBC Securities (Canada) Inc. and held responsibility for national business development at National Bank Financial. Tim holds a BA in Economics from Dalhousie University in Halifax and is a CFA charterholder.

## **Taekyung (Tec) Han**

*Chief Investment Officer*

Vibrato Capital LLC (SFO)

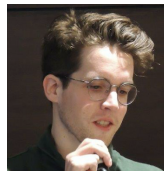


Tec is the Chief Investment Officer of Vibrato Capital LLC, a single family private investment office that oversees both tax-exempt and taxable portfolios. Prior to Vibrato Capital, Tec was a senior analyst for Clark Enterprises, the National Railroad Retirement Investment Trust, and Cambridge Associates. Mr. Han graduated from Vassar College with a B.A. in Economics and earned his M.B.A from the Johnson School of Management at Cornell University and the Smith School of Business at Queen's University through the combined EMBA Americas Program.

## **Malcolm Katz-Larson**

*Acquisitions Analyst*

Rohit Capital Inc. (SFO)



Malcolm is an Acquisitions Analyst under the corporate development arm of Rohit Capital Inc. ("Rohit"); he is primarily responsible for conducting due diligence on principal investments. Rohit is a family-run organization that holds a number of development and operating entities with investments covering land and commercial development, homebuilding, and private lending.

# SPEAKER BIOGRAPHIES

## **Minjun Kim, CAIA**

*Managing Partner & CIO*

Strategic Asset Partners (MFO)



Minjun Kim is Co-Founder and Managing Partner of Strategic Asset Partners (SAP), which is a multi-family office based in Seoul, Korea. He is involved in overseeing both traditional and alternative investments as well as the management of the firm.

Prior to SAP, he was a Director of Hedge Funds at Korea Investment Corporation (KIC), which is the sovereign wealth fund of Korea managing over \$150 billion of assets. He joined KIC in 2008 as an investment manager and set up the internal hedge funds program. He built the portfolio from zero to \$5 billion in assets, which consisted of both single and fund of hedge funds as well as various co-investments. The hedge funds are classified as volatility dampener in the overall portfolio context and have provided continuous risk-adjusted returns to the corporation.

Prior to KIC, he worked at Merrill Lynch Japan Securities, Bloomberg LP, Tong Yang Securities in various departments and roles, namely, Structured Credits, Analytics, Corporate Finance and International Finance. He is also actively involved in volunteer activities and worked at Busan International Film Festival Committee as a Staff in Asian Project Market for the new films. Minjun attained his BSBA with major in International Business and Government at Georgetown University, and an MBA from Yonsei University. He is a CAIA charter holder and serves as Head of CAIA Korea Chapter.

## **Julian Klymochko, CFA**

*CEO & Chief Investment Officer*

Accelerate Financial Technologies



Julian is the CEO and Chief Investment Officer of Accelerate. Prior to founding Accelerate in February 2018, Julian was the Chief Investment Officer of Ross Smith Asset Management where he managed award-winning alternative investment strategies for nearly a decade. He founded and managed a top performing Canadian alternative fund in 2017. Julian also managed a 4-time award winning market neutral hedge fund and founded an event-driven arbitrage fund. Prior to Ross Smith Asset Management, he was an Analyst at BMO Capital Markets. He attended the University of Manitoba where he graduated with a Bachelors of Science (Engineering) and a Bachelors of Commerce (Finance). Julian is a Chartered Financial Analyst (CFA) charterholder.



# SPEAKER BIOGRAPHIES

**Kerem Kolcuoglu, MBA**  
*Director*  
MLG Blockchain Consulting



Kerem is a DeGroote MBA and now a business leader who has harnessed the disruptive power of blockchain technology to uncover opportunities for multinational enterprises, governments, and educational institutions. He has bridged his experience in multiple industries to collectively foresee digital transformation within large-scale enterprises. He has provided thought leadership to global business executives through his blockchain subject matter expertise.

**Raja Krishnan**  
*Managing Director*  
Apex Canada



Raja joined Apex in March 2017 with the mandate to grow Apex's Canada office. He has about 20 years of experience in financial services and private equity having worked across North America, Middle East and Europe. Prior to joining Apex, he was with Integrated Capital, a Dubai based asset manager focused on small and mid cap companies where he led fund raising, finance and operations. Prior to that, he oversaw the creation of the private equity arm of a Dubai based family office and led strategic planning efforts, finance as well as operations management.

Previously, Raja worked for Citi Hedge Fund Services, Bermuda where he oversaw multiple hedge fund client relationships in Europe and North America. Raja is a member of the Institute of Chartered Accountants in India.

**Chip Krotee**  
*Co-Founder*  
GreyArc Global



Chip Krotee is the Co-Founder and President of GreyArc Global Investors. He serves on the Investment Committee and oversees the day-to-day business of the firm.

Prior to starting GreyArc, Chip was a Partner at Perella Weinberg Partners. He served in a number of senior leadership roles in asset management, which included Head of Trading and Co-Head of Operations, as well as working with PWP's Agility OCIO team. He was also a member of the asset management risk and valuation committees. Chip founded and served as the Co-Executive Director of the PWP Foundation. Before PWP, Chip was in senior roles at several hedge funds and was a trader in the institutional banking group of Merrill Lynch & Co.

He served in the 1st Armored Division in the United States Army. Chip received a B.S. in Economics from the United States Military Academy at West Point and received an M.B.A. from Duke University's Fuqua School of Business.

# SPEAKER BIOGRAPHIES

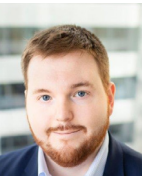
**Victor Kuntzevitsky, CFA, CAIA**  
*VP, Investment & Portfolio Strategy*  
Northland Wealth Management (MFO)



Victor joined Northland Wealth in August 2012 as an Associate. He serves on the investment committee and participates in all aspects of managing a broad range of asset classes and strategies including: private equity, real estate, public equity, hedge funds and credit. Victor also supports Portfolio Managers with trading and research functions, and assists with special projects to improve efficiency and client reporting. Bringing knowledge well beyond his years, Victor has proved to be an asset in many facets of our firm. Armed with an Honours Bachelor of Commerce degree from McMaster University, Victor is a CFA charterholder and has also obtained the Chartered Alternative Investment Analyst (CAIA) designation.

While at McMaster, Victor was the lead supervisor at the Allen H. Gould Trading Floor and Senior Trader with the McMaster Investment Club. Victor is an avid sports fan and his passion for philanthropy is highlighted as the Co-Founder of 'Get Swabbed', an annual bone-marrow drive held in Canadian Universities in partnership with Canadian Blood Services (CBS).

**Isaac Lempriere**  
*Senior Research Analyst*  
Prime Quadrant (MFO)



Isaac is a Senior Research Analyst at Prime Quadrant, a family office advisor with over \$4.5 billion in assets under advisory. Over the past four years Isaac has focused on manager research and due diligence within the alternative investment space across several asset classes including real estate. Isaac previously worked as an Investment Analyst in the Quantitative Equities Team at TD Asset Management and co-authored a research paper on the low volatility anomaly that was published by Canadian Investment Review.

**Alexander Matthews**  
*Principal*  
Palomino Capital Corporation (SFO)



Alexander Matthews is a Principal at Palomino Capital, a Montreal-based family office that deploys proprietary capital across a broad spectrum of asset classes, including hedge funds, private equity (both directly and via fund commitments), and yield-oriented opportunities in real assets and private debt. He is responsible for evaluating direct investment opportunities, monitoring existing portfolio companies and assets, and managing the firm's portfolio of private market funds and hedge funds. Prior to joining Palomino in 2013, Alexander was on the research team at BCA, a leading provider of macroeconomic investment research.

Alexander is a Chapter Executive for the CAIA Association's Canada Chapter and involved in various charitable initiatives through an affiliate of Rotary International. He completed his Bachelor of Commerce degree in Joint Honours Economics and Finance at McGill University and is also a CFA and CAIA charterholder.

# SPEAKER BIOGRAPHIES

## **Maria Pacella, CFA**

*Senior VP, Private Equity and Portfolio Manager*  
PenderFund Capital Management



Maria Pacella joined Pender in January 2017. She has been investing in emerging growth companies, with a focus on technology businesses since 2001. She spent 11 years with one of Canada's largest venture capital firms where she invested in multiple early-stage ventures and served on a variety of boards, mostly in the areas of enterprise software, e-commerce and med-tech. Prior to that she worked at a digital media firm assisting the company in operational activities and strategic initiatives. She also worked in financial and technology M & A for the Canadian subsidiary of an international investment firm.

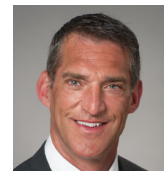
Maria's experience includes operational roles at early-stage companies, serving on boards, facilitating M & A's and leading financings. She has built an extensive technology network across North America, notably in Silicon Valley, and has been a member of C100. She is currently a director on the board of Clarius Mobile Health and BasicGov and an observer on the board of Tantalus Systems. She is also on the SFU Beedie School of Business Advisory Board.

She holds a BBA from Simon Fraser University, is a CFA charterholder and an active member and a past President of CFA Society Vancouver.

As an investor in the rapidly changing world of early stage technology, Maria invests in exceptional entrepreneurs and teams that excel at identifying business opportunities, develop world-class products and are dedicated to building great companies.

## **David Pappin**

*President, IAM Real Estate*  
Integrated Asset Management Group



David has been actively participating in the commercial real estate business in Canada for 29 years. His career began within a National Brokerage Firm, specializing in Industrial Sales and Leasing in an agent capacity. From this beginning David moved into Senior Management responsible for a business unit of the same brokerage firm in Toronto. An opportunity presented itself in 2000 to acquire a multifaceted real estate service business which included a Commercial component active within the Atlantic Canada Marketplace. David, with his partners grew this business substantially and he subsequently sold his interest in this business in 2006. At this point in his career, David moved into the Advisor Business assuming responsibility for sourcing and completing all investments within all investment fund vehicles across the Country. David has completed numerous acquisitions, joint ventures and development transactions over his career and was instrumental in growing a new open fund to an AUM in excess of \$1B in two years.

David's current role is President with Integrated Asset Management (IAM) Real Estate Group. IAM is a publicly listed company (TSX-IAM) providing investment management services to Canadian Institutional Pension Funds, Endowments and High net worth individuals. David is responsible for overall management of the business and guiding growth and expansion. IAM Real Estate currently manages three active funds with an overall AUM of just under \$1B.

# SPEAKER BIOGRAPHIES

## **Frederick 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.

## **Eden Rahim**

*Portfolio Manager/ Option Strategist*  
Next Edge Capital



Eden's approach represents a progression in Investment solutions, applying options to source Income and returns through strategies not easily accessible to investors, while protecting their capital with hedges designed over his career.

Eden's experience includes two decades of Portfolio and Hedge Fund Money Management, Options Strategist, Derivatives & Biotech Analyst and Portfolio Manager. He has managed and traded an options book spanning 250+ securities globally and 4 commodities, with open interest of 500,000 contracts in addition to 14 Covered Call ETFs (over \$0.5 Billion AUM) in Canada, US & Australia employing his dynamic options writing discipline at Horizons Exchange Traded Funds. Eden possesses a Top Quartile 5-year, 5-Star growth fund Portfolio Manager track record on over \$1 billion in assets across 4 mandates at RBC Global Asset Management. In addition, Eden has delivered a +26% compounded annual return across a Biotechnology mandate between 1995-2003. He also has extensive institutional hedging experience through major crises, and the structuring of Notes to create specific payoff profiles.



# SPEAKER BIOGRAPHIES

**Terry Ram**  
COO & CFO  
Sigma Analysis & Management



Terry is the Chief Operating Officer and Chief Financial Officer. Prior to joining Sigma in 2007, Terry spent 5 years as Vice President-Finance at Cornerstone Capital Partners LP, a fixed income hedge fund based in Toronto.

His previous experience also includes 2 years as an Associate in Technology Investment Banking at Goldman Sachs International in London, 3 years as a Senior Business Analyst at Canadian Tire Corporation and 3 years as a Senior Auditor at Ernst & Young in Toronto. Terry is certified as a Chartered Accountant and has an MBA from Harvard Business School (2000) and a Bachelor of Commerce from Queen's University (1992).

**Arthur Salzer, CFA**  
CEO & CIO  
Northland Wealth Management (MFO)



Arthur C. Salzer, is the Chief Executive Officer & Chief Investment Officer of Northland Wealth Management. As the firm's founder, he is the visionary and driving force behind Northland Wealth. Arthur is responsible for developing and implementing the firm's strategic plan as well as overseeing all operations and investments of the company. Arthur also advises many of the firm's largest and most complex clients.

Arthur is an active member of the CFA Society, the Family Firm Institute (FFI) and the Family Enterprise Xchange (FEX). Arthur currently serves as a Director on the board of the Burlington Performing Arts Centre and is currently the Wealth Management Columnist for The Financial Post Magazine.

Arthur is frequently interviewed by leading media sources such as Bloomberg, Reuters, NBC, Financial Post, Globe & Mail, Washington Times, Wealth Professional Magazine, CTV and CBC for market analysis and commentary and is a frequent speaker at leading family office and investment conferences across North America. Wealth Professional Magazine has featured Arthur as the Top Ranked advisor in Canada along with being recognized in its Hot List as one of the Canada's leading wealth management executives.

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

**Matt Shandro**  
Portfolio Manager & President  
Fulcra Asset Management



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 Investment 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.

# SPEAKER BIOGRAPHIES

**Natasha Sharpe, PhD, MBA**  
Chief Investment Officer  
Bridging Finance



Natasha was previously the Chief Credit Officer for Sun Life Financial where she was responsible for creating risk policy for the company's \$110-billion global portfolio of managed assets. Prior to that, Natasha held the position of Vice-President at Coopers and Lybrand and went on to spend over 10 years at BMO Financial Group where she led various teams in risk assessment and corporate finance. In 2010, Natasha was named as one of Canada's Top 40 Under 40. In 2015, Natasha was named to the Diversity 50 in Canada. Natasha is a director of private and non-profit companies. She holds a PhD and a Masters of Business Administration from the University of Toronto.

**Andrew Torres**  
Founding Partner, CEO  
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.

**Jonathan Turnbull**  
Managing Partner  
Alignvest Student Housing



Jonathan Turnbull joined Alignvest in 2017 and is a Trustee of the REIT and a Partner of the General Partner. Prior to Alignvest, Mr. Turnbull founded Dundee Private Equity and was Chief Executive Officer and Chief Financial Officer of Dundee Acquisition Ltd., the first special purpose acquisition company completed in Canada. Mr. Turnbull spent the last three years overseeing the PBSA activities of Dundee Acquisition, including the diligence and negotiation of over \$400 million of PBSA acquisitions in Canada. Over \$100 million of these acquisitions closed into the Dundee Acquisition/Woodbourne joint-venture – the single largest PBSA transaction ever completed in Canada.

Previously, Mr. Turnbull spent over 20 years managing and executing investment banking, equity capital markets and debt capital markets businesses in New York and London for Salomon Brothers and Citigroup. Mr. Turnbull was Global Head of Citigroup's Infrastructure business. He has advised on M&A transactions valued at over \$300 billion and raised over \$50 billion for his clients in the infrastructure, telecom, media and technology sectors. Mr. Turnbull holds an HBA in Business Administration from the Richard Ivey School of Business.

# SPEAKER BIOGRAPHIES

## **Wilson Tow**

*Co-Founder, Managing Partner*  
Fern Capital Partners



Wilson is currently Managing Partner at Fern Capital Partners where he is responsible for developing new products. Previously, Wilson was Director of New Products and Complex Investments at Scotia Wealth Management. Wilson's responsibilities at Scotia included managing the product shelf and performing due diligence on all exempted securities. Prior to Scotia, Wilson was Head of Product Research at another Canadian dealer, as well, he has been involved in the management of a Fund of Hedge Funds and was responsible for product management and development for a large mutual fund firm.

Wilson has a BSc from the University of Toronto, where he majored in Mathematics and Philosophy.

## **Andrew Uhl**

*Executive Director, Office of the CIO*  
Fort LP



Andrew Uhl is a member of the Office of the Chief Investment Officer. In this role Mr. Uhl assists the founders in evaluating new strategies and works with the team and other departments to continue building the infrastructure necessary to evaluate and implement new trading strategies. Prior to FORT, he was a member of the senior investment team at Strategic Investment Group. At Strategic, Mr. Uhl was Director and the Deputy Head of Research where he was responsible for research in all areas of the capital markets. He led the research efforts for global tactical asset allocation and commodities futures, and also contributed to the company's internally managed equity market neutral strategy and the research of global credit markets.

Prior to Strategic Investment Group, he worked at AshmoreEMM (previously known as Emerging Markets Management) as a Quantitative Portfolio Strategist where he was responsible for the design and implementation of the company's country allocation model. He also researched global quantitative stock selection models, helped manage a systematic emerging markets equities strategy, and built several of the core equity valuation and portfolio optimization models and software used by a large group of fundamental equity analysts. Prior to Emerging Markets Management, Mr. Uhl began his career at FORT where he worked as a trader, a programmer and a researcher exploring short-term systematic equity strategies. Andrew holds a BA in Economics from Cornell University, a MS in Applied Mathematics and Statistics from Georgetown University, and a MA in Applied Economics from Johns Hopkins University.

# SPEAKER BIOGRAPHIES

## **Greg Vorwaller**

*President*  
Trez Capital



Greg Vorwaller was appointed President in July 2015. In this role, he is responsible for overseeing the day-to-day operations of the firm, building on both new and existing business, capitalizing on strategic opportunities, and developing and implementing Trez' overall strategy.

Greg has held a number of senior executive positions at prominent financial and real estate services firms where he led and built businesses encompassing investment sales, mortgage brokerage and investment banking to market leading positions. Most recently he served as Executive Vice President and Global Head of Capital Markets of Cushman & Wakefield, prior to which he was President and Chief Operating Officer of CBRE's Global Capital Markets business line. In each capacity, Greg developed a reputation for leading from the front line, working with teams and clients throughout the United States, Canada, Europe and Asia Pacific in developing and executing business plans which resulted in the advancement of the key strategic initiatives of each firm.

Greg graduated with distinction from the University of Wisconsin with a Bachelor of Arts. He serves as a board member of Dental Associates and sits on the Board of Advisors of the UW Madison Graaskamp Center for Real Estate Member. In addition, Greg is a member of the Urban Land Institute and Economic Club of Chicago.

## **Eric Wong**

*Director*  
TCG Capital (SFO), Hong Kong



Eric Wong established TCG in 2003 as an asset management and financial advisory firm focused on investments with superior risk adjusted returns that are uncorrelated to major asset classes and advising family office and corporate clients. TCG's Celera division was formed in 2012 to consolidate the financial and technology sector business of TCG and its Vauban division has been engaged in real assets financing since 2011.

Prior to TCG, Mr. Wong was involved with his family's chemicals and electronics interests in Greater China which date back to 1918 in Shanghai, 1950 in Hong Kong and 1970 in Taiwan. He holds an M.S. in Biotechnology from the Kellogg Center for Biotechnology at Northwestern University, a B.A. in Molecular Biology from Pomona College and is FRM certified. Mr. Wong is also registered with the U.S. CFTC as the principal of a CTA/CPO and IB.



# SPEAKER BIOGRAPHIES

**Kieran Young**  
*National Director*  
Richardson GMP Private Family  
Officer



Kieran Young is a financial services executive with a wealth of corporate and entrepreneurial experience. Kieran began his career as an Investment Advisor with Wood Gundy in 1994 and then helped to establish Altamira International Bank, where he worked in various managerial capacities, eventually becoming CEO. He joined Richardson GMP in 2015 to assist our efforts in building a Sports and Entertainment Group as well as the Private Family Office. As National Director of the Private Family Office he assists us in properly serving the complex generational wealth planning needs of our HNW and UHNW clients. Kieran earned his designation as a Family Enterprise Advisor TM, in recognition of his expertise in assisting families in achieving their generational wealth planning objectives.

Kieran has also been instrumental in building our Sports and Entertainment Group, a subset of the Private Family Office that provides niche cross-border wealth management solutions to elite athletes and professionals in the entertainment industry.

With the distinction of graduating as Valedictorian from the Honours Business Administration (HBA) program at the Richard Ivey School of Business, a BA from Western University, a term of exchange studies at the National University of Singapore and family business experience in Southeast Asia, Kieran possesses well-rounded financial knowledge with a global perspective.

Kieran is the Co-founder and Chairman of the Children's Impact Foundation, which raises funds and awareness for small charities including the Darling Home for Kids which provides high quality respite and palliative care services for children who are medically fragile and technology dependent.

**Esther Zurba, MBA, CAIA**  
*Director*  
Castle Hall Diligence



With over 20 years of professional experience including 15 years focused on alternative investment strategies, Esther brings a perspective from both the buy and sell sides of the investor due diligence desk. Esther joined Castle Hall in 2012 from Scotia Capital's Trade Operations and Risk Control group, where she conducted operational due diligence reviews on external asset managers supporting multiple business lines. Prior to joining Scotia Capital, Esther worked with Mapleridge Capital, a Toronto based short-term systematic CTA.

Esther holds an MBA from Richard Ivey School of Business at the University of Western Ontario, and BA (Honours) from University of Toronto. Esther is also a Chartered Alternative Investment Analyst charter holder and is actively involved with the CAIA Association in various capacities. Esther is currently a member of AIMA Canada's Education and Research Committee.

# KEYNOTE SPEAKER - AL ROSEN

L.S. (Al) Rosen, Rosen & Associates Limited, Accountability Research Corporation. Dr. Rosen is the co-founder of forensic accounting firm Rosen & Associates Limited, and independent equity research company, Accountability Research Corporation.

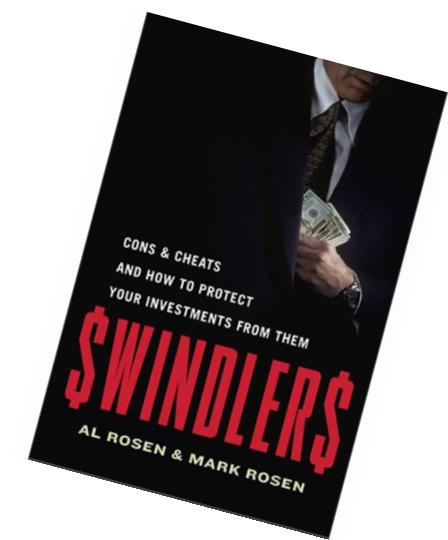
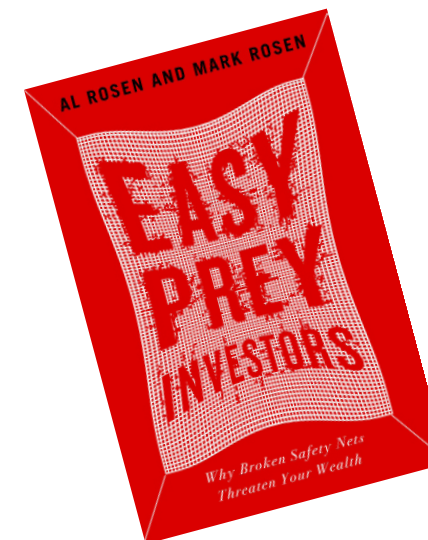


He is also the author or co-author of dozens of books and hundreds of articles on finance, investing, accounting and governance, including his recently published books "Easy Prey Investors" and "Swindlers".

He has consulted or given independent opinions on hundreds of accounting and finance litigation-related engagements. He has provided expert testimony on dozens of occasions and in many jurisdictions across Canada, as well as in the U.S., including the Courts of British Columbia, Alberta, Quebec and Ontario and has provided an affidavit and documentation for the Supreme Court of Canada.

Dr. Rosen is a Fellow of the Chartered Accountants, and a Chartered Professional Accountant, of Ontario, Alberta and British Columbia (FCA; FCPA), a Fellow Chartered Management Accountant (FCMA), a Fellow Certified General Accountant (FCGA), a Certified Fraud Examiner (CFE), a Chartered Insurance Professional (CIP), a Certified Public Accountant in the U.S. and Hong Kong (FCPA), and a specialist, Investigative and Forensic Accounting (CA.IFA).

Dr. Rosen is also the author or co-author of dozens of books and hundreds of articles on finance, investing, accounting and governance. He is a past professor of accounting at the University of British Columbia, the University of Washington, the University of Alberta, and York University. During his association with York University, he served in many posts, including Director of the Master of Business Administration Program, and a member of the University's Senate. For fifteen years he served as a technical advisor to three Auditors' General of Canada. Dr. Rosen graduated from the University of British Columbia and received his Ph.D. from the University of Washington.





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

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