

# Showcasing Canada's Award Winning Hedge Funds

**Wednesday, March 8th, 2017**  
**Albany Club, Toronto, ON**

**Welcome to this** exclusive event featuring winners of the 2016 Canadian Hedge Fund Awards. This half-day, informative session is an opportunity for accredited individual investors, institutional investors, investment advisors, and hedge fund industry experts to hear from some of Canada's brightest and best hedge fund managers.



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# Agenda

- 1:30**      **Welcome and Networking**
- 2:00**      **Opening Remarks: MC**  
 Dennis E. MacPherson, Senior Vice President, SGGG Fund Services, Inc.
- Keynote Address:**  
*Alternative Facts*
- Benjamin Tal, Deputy Chief Economist, CIBC Capital Markets
- 2:30**      **2016 Award Winning Hedge Fund Manager Presentations:**
- Barry Allan, Marret Asset Management  
(best 5 year Sharpe ratio, Credit Focused category)
  - Jason Landau, Waratah Capital Advisors  
(best 1 year return, Market Neutral category)
  - Raj Tandon, Algonquin Capital  
(best 1 year return, Credit Focused category)
- 3:30**      **Refreshment Break**
- 4:00**      **Panel:**    *Allocating to Alternative Strategies to Improve Portfolio Performance*
- Moderator:**  
 Brooke Biscoe, VP Business Development, Fundata Canada
- Participants:**
- Barry Allan, Marret Asset Management
  - Brian D'Costa, Algonquin Capital
  - Jason Landau, Waratah Capital Advisors
- 5:30**      **Cocktail Reception**



## Celebrating, Supporting and Expanding Canada's Hedge Fund Industry

Honoured Guests,

Thank you for joining us at this year's CHFA Winners Showcase where several winners of 2016 Canadian Hedge Fund Awards have come together to present their winning investment strategies and discuss the increasingly important role of hedge funds in today's investment portfolios.

We are delighted to have Benjamin Tal, Deputy Chief Economist, CIBC Capital Markets, deliver today's keynote address: "*Alternative Facts*". We are also very happy to present Barry Allan, Founding Partner of Marret Asset Management; Brian D'Costa, Founding Partner and President of Algonquin Capital; Jason Landau, Portfolio Manager at Waratah Capital Advisors; and Raj Tandon, Founding Partner and COO of Algonquin Capital, and hear their views about the key opportunities and challenges high net worth Canadian investors are currently facing.

A special thank you to Brooke Biscoe, Vice President, Business Development at Fundata; and Dennis MacPherson, Senior Vice President at SGGG Fund Services, for their participation in making today's event a success.

The generous support of our sponsors makes the CHFA Winners Showcase possible and for that we offer our sincere appreciation.

The 10<sup>th</sup> Annual Canadian Hedge Fund Awards Conference and Gala Dinner will be held on Tuesday, October 17, 2017 in the Grand Banking Hall at One King West Hotel. You can find out more and register at [www.alternativeiq.com](http://www.alternativeiq.com). We hope you'll join us.

Enjoy today's presentations and discussions. I look forward to the opportunity of speaking with each of you.

Warm regards,

A handwritten signature in black ink, appearing to read "Julie".

Julie Makepeace  
Managing Director, Alternative IQ

The Canadian Hedge Fund Awards program Winners Showcase event is made possible by the generous support of these Sponsors:



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## CHFA Winners Showcase Presenters:

### Keynote Speaker:

#### **Benjamin Tal**

*Managing Director and Deputy Chief Economist, CIBC Capital Markets*

Mr. Tal is responsible for analyzing economic developments and their implications for North American fixed income, equity, foreign exchange and commodities markets. He also acts in an advisory capacity to bank officers on issues related to wealth management, household / corporate credit and risk. Well-known for his ground-breaking published research on topics such as labour market dynamics, real estate, credit markets, international trade and business economic conditions, Mr. Tal not only contributes to the conversation, but frequently sets the agenda.

He has close to 20 years of experience in the private sector advising clients, industry leaders, corporate boards, trade associations, and governments on economic and financial issues. National and global media regularly seek him out for his insight and analysis on economic issues that impact financial markets, consumers, corporations and public policy. He is also a frequent lecturer in the economic programs of various Canadian universities.

Mr. Tal is a member of the Economic Committee of The Canadian Chamber of Commerce, and the Economic Development Committee of the Toronto Board of Trade. He is also a member of the board of Governors of Junior Achievement of Central Ontario, and a board member of the Toronto Financial Services Alliance.

### Award Winning Hedge Fund Managers:

#### **Barry Allan**

*Founding Partner, Marret Asset Management Inc.*

Barry has over 30 years of investment experience and has successfully operated in virtually all areas of the fixed income arena.

Prior to founding Marret, Mr. Allan spent 6 years with Altamira Management where he managed a wide variety of fixed income mandates and held secondary responsibilities on several equity and balanced mandates. He was also responsible for internal risk management and oversight of the hedging activities for the company's balance sheet.

During this period he was the lead manager of the Altamira High Yield Bond Fund, co-manager of the Balanced and Growth and Income Funds, and lead manager of the Global Bond and Global Short-Term Income Funds.

Barry also managed several institutional mandates with alternative investment strategies (swing funds shifting between Canadian and Global bonds, Hedge Fund being long and short Global Bonds and Currencies, Commodity Derivatives in equity portfolios, bonds with embedded options to gain convexity).

Barry has an undergraduate degree from the University of British Columbia and an MBA from the University of Arizona.

**Brian D'Costa***Founding Partner and President, Algonquin Capital*

Prior to founding Algonquin Capital, a boutique alternative fixed income Manager based in Toronto, 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 his career on Bay Street, Brian was a Captain in the Canadian Armed Forces and was awarded the Chief of Defense Staff Commendation for exemplary leadership for his peacekeeping services 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. Mr. D'Costa received his MBA from the Richard Ivey School of Business at the University of Western Ontario (Gold Medal Winner), his BSc. Engineering Science from the University of Toronto and is a Chartered Financial Analyst.

**Jason Landau***Portfolio Manager, Waratah Capital Advisors*

Jason joined Waratah from TD Bank's dealer, TD Securities Inc., where he had worked as an Associate in Investment Banking and Equity Capital Markets since 2006. During his time at TD, Jason was involved in domestic mergers and acquisitions as well as the structuring and pricing of equity securities, convertible debentures and preferred shares.

Mr. Landau received his HBA from the Richard Ivey School of Business at the University of Western Ontario. Jason received his Chartered Investment Manager designation in March 2013 and was registered as an Advising Representative in December 2014.

**Raj Tandon***Founding Partner, COO and Head of Business Development, Algonquin Capital*

Prior to founding Algonquin Capital, a boutique alternative fixed income Manager based in Toronto, Raj studied mathematics, traded credit derivatives, and volunteered for numerous charitable organizations. As a structured credit trader for TD Securities London, he managed and traded multi-billion dollar portfolios across North American and international markets. In this capacity, he managed a variety of complex risks, including profitably trading the bank's CDO portfolio through the tumultuous markets of 2008.

Outside of work, Raj has a passion for community service. In 2009 he was awarded Get Connected's 'Volunteer of the Year' for his work on a children's helpline. Most recently Raj spent 18 months volunteering for micro-finance and development projects in South America. Mr. Tandon received his M.A. in Pure Mathematics from Columbia University, and his BSc. in Philosophy and Mathematics from the London School of Economics (First Class Honours, First in Class).



We offer diversification through a product that can generate strong returns whether interest rates rise, fall or stay the same.

## The Algonquin Debt Strategies Fund

With interest rates at historic lows, the investment landscape has changed. Traditional fixed income returns are depressed, the risks high, and the diversification qualities questionable. The Algonquin Debt Strategies Fund is designed to address these issues through absolute return fixed income strategies. These strategies are actively managed within a framework of disciplined risk management and leverage the diverse skills, expertise and experience of our team.

### Our Objectives

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

### Our Investment Thesis

- 1 Corporate credit offers investors attractive returns relative to volatility and downside risk.  
Through our expertise, research and quantitative analysis, we seek to generate strong risk adjusted returns.
- 2 The majority of fixed income volatility is driven by fluctuations in interest rates.  
By hedging and managing our sensitivity to rates, we seek to minimize portfolio volatility.
- 3 The opaque nature of bond markets and new regulations create market inefficiencies.  
We leverage our market experience, insight and relationships to profit from these opportunities.

### Our Portfolio Managers



**Brian D'Costa CFA MBA**  
President

After serving as a Captain in the Canadian Armed Forces, Brian enjoyed a long and successful trading career, including a decade of managing global fixed income and rates businesses for CIBC and TD.



**Greg Jeffs CFA**  
Chief Investment Officer

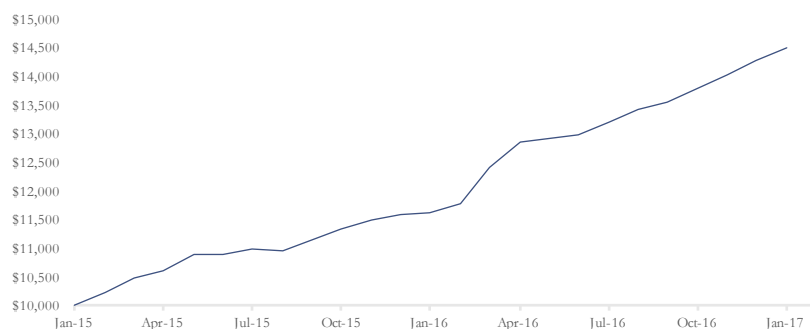
Greg has 25 years of market experience, with 20 years as an institutional trader and market maker of corporate debt. Through his vast experience, Greg has acquired intricate knowledge of the bond markets and the behaviour of its participants.

**IMPORTANT:** The information contained in this document is not investment or financial product advice and is not intended to be used as the basis for making an investment decision. This document is not, and does not constitute, an offer to sell or the solicitation, invitation or recommendation to purchase any securities. An offering memorandum containing important information relating to the Algonquin Debt Strategies Fund has been prepared. Copies of the offering memorandum may be obtained from Algonquin Capital Corporation. Investors should read the offering memorandum before making an investment decision.

# The Algonquin Debt Strategies Fund

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
2017	1.73%												1.73%
2016	0.19%	1.49%	5.32%	3.51%	0.60%	0.54%	1.73%	1.63%	1.01%	1.86%	1.60%	1.62%	23.15%
2015	N/A	2.29%	2.51%	1.27%	2.46%	0.25%	0.73%	(0.25)%	1.68%	1.71%	1.37%	0.87%	15.86%

## Performance Since Inception



## Credit Exposure (CR01)



## Leverage



Sharpe Ratio	4.58
Sortino Ratio	30.80

	S&P	TSX	XBB
Correlation	55%	61%	1%
Upside Capture	72%	93%	282%
Downside Capture	-51%	-63%	-224%

Sector Exposure	January	December
Communications	11%	14%
Cons. Cyclical	17%	20%
Cons. Non-cyclical	2%	1%
Energy	8%	13%
Banks	25%	15%
REITs	18%	26%
Insurance	6%	9%
Diversified	4%	0%
Diversified Finan Serv	4%	5%
Utilities	3%	1%
Provincial/Agencies	2%	(4)%

Credit	January	December
AAA	0%	0%
AA	5%	2%
A	27%	22%
BBB	66%	70%
Non-IG	2%	6%

Credit Duration	January	December
2Yr	67%	67%
5Yr	20%	24%
7Yr	8%	4%
10Yr	3%	2%
30Yr	0%	0%
Preferred	2%	3%

Fund Details	Class F
Management Fee	1.5%
Performance Fee	15%
Minimum Investment	\$100,000
FundServ Code	AGQ200
FundServ Minimum	\$25,000
Fund Structure	Limited Partnership & Trust
RSP Eligible	Yes
High Water Mark	Permanent
Hurdle Rate	None
Liquidity	Monthly
Redemption Notice	25 Days
Prime Broker Fund	TD Securities Inc.
Administrator	SGGG Fund Services Inc.
Auditor	KPMG
Legal	Wildeboer Dellelce & AUM Law

Monthly returns shown are based on 'Series 1 X Founder's Class' NAV and are shown in Canadian dollars, net of all fees and expenses. Past performance is not indicative of future results. There can be no assurance that the results achieved for past investments will be achieved by the fund in the future. CR01 is presented on a daily basis since fund inception. CR01 represents the estimated impact on Net Asset Value expressed in basis points for one basis point change in credit spread on all credit positions. Total Leverage is presented on a daily basis since fund inception. Total Leverage is calculated as total exposure of the Fund divided by estimated Net Asset Value. The Sharpe and Sortino ratios are calculated based on a risk-free rates of 0.5% and 0% respectively.

# Marret Enhanced Tactical Fixed Income



As at January 31, 2017

## FundServ Codes

Series F	CIG47000
Series USD-F	CIG47001

## Details

Date of Inception	28-Nov-14
Management Fee	60 bps
Performance Fee	0 bps
Subscriptions/Redemptions	Weekly
Total Fund Assets	\$96,446,269.72
NAV per Unit	\$11.08

## Yield Information\* (%)

Net Exposure	47.96
Yield to Maturity	2.47
Yield to Worst	1.91
Current Yield	3.67
Total Duration	0.44

Yields noted above are for the total portfolio, including cash \*at January 31, 2017

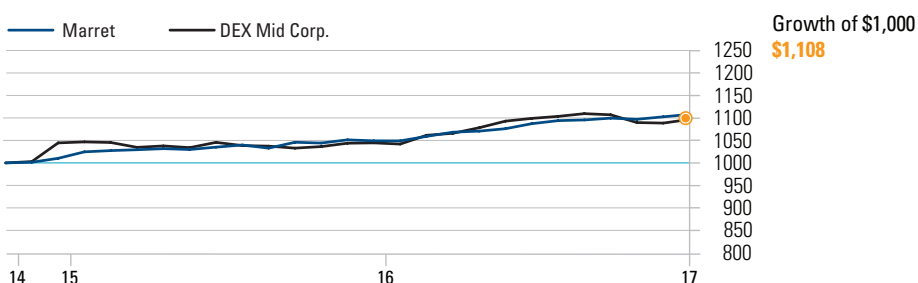
## Investment Objective

The objective of the Fund is to provide absolute returns through interest income and capital gains. The Fund's risk objective is to have very low volatility and positive returns over any twelve month period.

## Investment Strategy

The fund is designed to meet short term liquidity calls but provides additional yield through quality security selection across the fixed income spectrum including government bonds, investment grade corporate bonds and short duration high yield bonds.

## Portfolio Performance (Series A Units):



\*Based on the Opening NAV per Unit

## Portfolio Allocations

Top Sectors	(%)	Credit Rating Breakdown	(%)
Banking	27.39	AAA	(69.11)
Telecommunications	20.59	AA	2.75
Financial Services	15.24	A	22.08
Basic Industry	13.75	BBB	57.14
Consumer Goods	13.50	BB	47.68
Real Estate	13.22	B	37.19
Energy	11.38	CCC	2.26
Technology & Electronics	10.59		
Media	7.48		
Leisure	7.34		
Gvt / Other	(40.49)		

Calculated as a proportion of gross invested capital excluding cash

## Top Long & Short Holdings

Long	(%)	Short	(%)
Dupont Fabros Tech LP 5.875% 15Sep2021	3.86	US Treasury N/B 2% 31Dec2021	(6.41)
Sprint Nextel Corp 9% 15Nov2018 144A	3.74	US Treasury N/B 2% 15Nov2026	(6.23)
Morgan Stanley 3% 07Feb2024	2.98	Canadian Government 1.5% 01Jun2023	(5.02)
Mercer International Inc 7% 01Dec2019	2.50	Canadian Government 1.5% 01Jun2026	(4.56)
Hughes Satellite Systems 6.5% 15Jun2019	2.18	US Treasury N/B 1.5% 15Aug2026	(2.29)

As at January 31, 2017

## Fund Performance and Terms 2017

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	YTD
<b>2017</b>	0.48												0.48
<b>2016</b>	(0.21)	(0.01)	0.95	0.88	0.22	0.50	1.04	0.62	0.14	0.36	(0.23)	0.52	4.89
<b>2015</b>	0.87	1.43	0.27	0.19	0.23	(0.18)	0.51	0.47	(0.68)	1.26	(0.16)	0.68	4.97
<b>2014</b>												0.15	0.15

Annualized Return

• 4.92%

Average Volatility

• Annualized Standard deviation: 1.72%

Average Duration

• 0.920 (since Jan 22, 2015)

## Strategies: Preservation, Protection and Growth

Terms	Enhanced Tactical Yield	Investment Grade Strategy	High Yield Strategy	Tactical Energy ***
Inception Date	November 28, 2014	October 1, 2010	July 29, 2003	November 30, 2015
Description	Short duration corporate bonds, hedged  Enhanced return compared to other short term alternatives  Weekly liquidity	Long/short investment grade corporate bonds  Interest rate and credit exposure management  Better risk/return than traditional bond portfolio	Growth via exposure to higher yield corporate bonds  Market and issue specific risk management  Equity-like returns, bond-like risk	High yielding bonds of North American energy producers  Opportunistic capture of high returns caused by dislocation in energy market
Return	4.92%	5.25%	8.20%	13.74%
Risk*	1.72%	2.62%	5.25%	-9.03%**

Capital Protection

Growth

All values are taken as of the funds' inception date and are net of all fees. \* Risk is represented by the annualized standard deviation of monthly returns per fund \*\*\* Fund wound-up December 31st, 2016 Investment Grade Strategy return represented by the Marret Investment Grade Hedged Strategies Fund High Yield Strategy return represented by the Marret High Yield Hedge LP.

### Disclaimer

Marret Asset Management and the Marret Asset Management design are trademarks of Marret Asset Management Inc. Commissions, trailing commissions, management fees, performance fees and expenses may be associated with hedge fund investments. Please read offering documents before investing. The indicated rates of return are the historical annual compounded total returns including changes in unit value and reinvestment of all distributions and do not take into account sales, redemption, distribution or optional charges or income taxes payable by any unitholder that would have reduced returns. Hedge funds are not guaranteed, their values change frequently and past performance may not be repeated. Every effort has been made to ensure that the material contained in this commentary is accurate at the time of publication. However, Marret Asset Management Inc. cannot guarantee its accuracy or completeness and accepts no responsibility for any loss arising from any use of or reliance on the information contained herein. All charts and illustrations in this guide are for illustrative purposes only; they are not intended to predict or project investment results. This report may contain forward-looking statements about Marret funds, future performance, strategies or prospects, and possible future fund action. These statements reflect the portfolio managers' current beliefs and are based on information currently available to them. Forward-looking statements are not guarantees of future performance. We caution you not to place undue reliance on these statements as a number of factors could cause actual events or results to differ materially from those expressed in any forward-looking statement, including economic, political and market changes and other developments. Published February 2017.



# WARATAH



## Overview

Waratah is an alternative asset manager that specializes in absolute return low volatility equity long short strategies. We are a Toronto Canada based investment management firm with 27 professionals managing \$1.2 billion in assets and over \$2.1 billion in capital deployed.

Our \$1.2 billion in assets are comprised of high net worth and family offices, foundations, sovereigns, Canadian bank platforms and private and public sector pension funds in Canada and abroad.

## Strengths

- Proven and experienced team (Founders ex-Gluskina & TD)
- Alignment - \$79 million of founder and employee capital invested in Waratah Funds
- No down years since inception
- Disciplined and robust risk management focused on active factor management, liquidity and concentration limits
- Institutional caliber operations and management. "Culture of compliance"

## Return Emphasis

- Low volatility (sleep at night) returns
- Compounding wealth
- Low correlation to markets
- Never blow up

## Investment Approaches

- Long Term Compounders
- Event/Change Oriented
- Idiosyncratic
- Factor Based
- Thematic

## Risk Management

- Factor management at stock and portfolio level
- Position and liquidity limits
- Gross reduction 3 & 5 day thresholds
- Basket and positions stops

January 2017

**\$1.2B**  
ASSETS  
UNDER MANAGEMENT

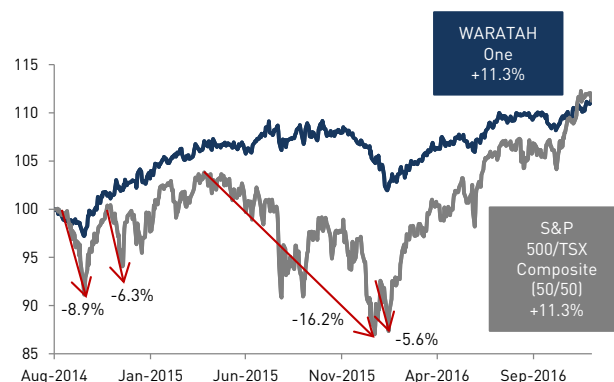
**27**  
EMPLOYEES

**7**  
YEARS

Profile	
Inception	2010
Office	Toronto, Ontario, Canada
Employees	27
AUM	\$1.2 billion
Capital Deployed	\$2.1 billion
Employee AUM	\$79 million
Investors	65% Institutional 35% High Net Worth/Family Office
Strategies	Equity Market Neutral Equity Long/Short Energy Sector Market Neutral Equity Income & Fixed Income Long/Short

## Protecting Capital and Managing Drawdowns

WARATAH One vs S&P 500/TSX Composite (50/50)  
The North American markets experienced significant drawdowns over the past 2.5 years





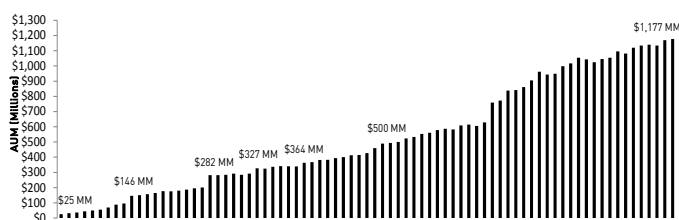
WARATAH

## Waratah Capital Advisors

### Strategies

WARATAH One	WARATAH One X	WARATAH Performance
Diversified Equity Market Neutral 6.5% average return 3.7% volatility 4.1% 2016 return	Enhanced Waratah One Up to 300% gross vs. Waratah One at 200% max gross 9.5% average return* 5.2% volatility*	Equity Long/Short 10.8% average return 8.1% volatility 7.3% 2016 return
WARATAH Income	WARATAH Energy	WARATAH Special Opportunities
Equity Income Long/Short 6.2% average return 6.5% volatility 5% p.a. distribution 8.0% 2016 return	Market Neutral Energy 8.3% average return* 6.1% volatility* 18.2% 2016 return	Best Ideas Long Only 8.9% average return 11.1% volatility 9.8% 2016 return

### Our Story



### Key Milestones

January 2010	Brad Dunkley and Blair Levinsky leave Gluskin Sheff & Associates and TD Securities to form Waratah
June 2010	Waratah launches three equity long/short strategies with \$25 million of internal capital
March 2011	Waratah reaches \$100 million AUM
February 2012	Waratah launches market neutral strategy offshore with anchor global institutional investor
March 2012	Morgan Stanley added as third prime broker, TD and Scotia Capital existing
October 2013	Waratah launches self imposed third party fraud risk assessment to compliment regular third party compliance audits
March 2014	Added Goldman Sachs as fourth prime broker
December 2015	Through \$1 billion AUM
August 2016	Cyber security audit

### Recent Highlights

- Faisal Ratansi joins from Balyasny Asset Management to manage financials for Waratah
- Peter Vanderploeg, formerly of Polar Securities joins to lead Risk Management at Waratah
- Jason Landau spins out Waratah Energy from Waratah One as standalone sector strategy

### Jurisdictions

Canada, US, Offshore

### Structures

Mutual Fund Trust/Limited Partnership, Corporation/Limited Partnership

### Prime Brokers

Goldman Sachs, Morgan Stanley, Scotia Bank, TD Securities

### Legal Counsel

K&L Gates, BLG, Wilkie Farr & Gallagher, Walkers, Davies Ward Philips & Vineberg

### Audit

KPMG

### Fund Admin

Commonwealth, Harmonic, HedgeServ

### For more Information on Waratah Capital Advisors, please contact:

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All amounts in Canadian dollars unless otherwise specified.

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\*Waratah One X is considered hypothetical and returns for Waratah Energy generated prior to April 2015 represent a scaling of the Waratah One energy basket and should be considered hypothetical



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## 10th Annual Canadian Hedge Fund Awards Conference and Gala Dinner

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- 2:30 Conference
- 5:30 Cocktail Reception
- 7:00 Dinner and Awards Ceremony



# CHFA Winners Showcase Facilitators:

## Panel Moderator:

### **Brooke Biscoe**

Vice President, Business Development, Fundata Canada

Brooke is a top performing sales professional with over 15 years of experience selling innovative investment management solutions to multi-national corporate clients. He has been with Fundata Canada for 8 years where he is responsible for the sales and marketing of data products throughout Canada to the financial services industry in addition to the development and pricing of new products to meet the changing needs of fund companies, dealers, banks and insurance companies. Mr. Biscoe has delivered consistently strong sales results within an intensely competitive market. He is skilled at building enduring client relationships and growing key accounts, and has impressive technical expertise in investment and asset management and pension plan design. Mr. Biscoe has an industry-wide reputation for integrity, ethics and professionalism in all dealings. Previously, Brooke spent 18 years at Canada Life where he was responsible for pension investment sales and marketing to institutional clients. Mr. Biscoe started his career at Royal Bank of Canada.

## Event MC:

### **Dennis MacPherson**

Senior Vice President, SGGG Fund Services

Dennis has diverse experience in investment fund operations. He began his career with TD Bank Financial Group and after the TD third-party fund business was purchased by AGF Management Ltd., he accepted the role of Director, Dealer Relations. He then returned to TD Bank to run the Client Transfer Services area, for all products and business lines of the Wealth Management Division. He then accepted a senior management role in Investment Fund Operations, where he was responsible for transaction processing for all TD brokerage and retail distribution channels, and all TD Mutual Funds products. He was then recruited by Felcom Data Services Inc. as Executive Vice President & Chief Operating Officer, responsible for all day-to-day operations, budgeting, and staffing. There, he developed and grew the business to the point where it was targeted and acquired by CIBC Mellon. After ensuring an orderly transition of all clients, staff and business processes, he made the decision to assume his current role at SGGG Fund Services. Mr. MacPherson has been an industry leader in process improvement change as a Member or Chair of several Committees and Working Groups, and is currently an active Member of the FundSERV Standards Steering Committee (SSC). He has also participated in several high-profile speaking engagements for organizations including: IFIC (Investment Funds Institute of Canada); CCMA (Canadian Capital Markets Association); and PMAC (Portfolio Managers Association of Canada).

## Notes

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## Notes

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# Notes



*SGGG Fund Services is Proud to Support  
the Canadian Hedge Fund Awards*



True administrative partners  
allow fund managers to *focus*  
on managing their portfolios...

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