CEMENT BEST PRACTICES FOR ACHIEVING OPERATIONAL EXCELLENCE AND MITIGATING REGULATORY IMPACT

CONQUER YOUR PROFESSIONAL CHALLENGES BY COLLABORATING WITH YOUR PEERS
Meet with your boards and conduct annual due diligence • Legal debrief to source the best legal minds in the industry • Private conversations by job title • Personal development workshops

PRACTICAL SOLUTIONS FOR IMPLEMENTING AND MANAGING AN OPTIMAL INFRASTRUCTURE
Assessing new distribution models • Offsetting counterparty risk • Improving investor/manager communications • Managing big data • Evaluating and incorporating new technologies • Hearing what’s next on active regulators’ agendas

WHAT’S NEW FOR 2016: INCLUDE YOUR ENTIRE TEAM
PhD Summit for the C-Suite includes advanced training and exclusive peer-to-peer exchanges • MBA Summit for mid-level associates & VPs to fine-tune professional skills and receive mentorship • CTO Summit for CTOs to source technologies impacting their business and meet peer-to-peer

MARCH 6—9, 2016 | RITZ CARLTON | GRAND CAYMAN

www.GAIMOpsCayman.com
THERE’S SOMETHING FOR EVERYONE IN 2016.
A special one-day summit for CTOs. An MBA masterclass and mentorship program for mid-level ops and compliance executives and a PhD level, peer-to-peer summit for the C-Suite.

**PhD SUMMIT**: The exclusive C-suite boardrooms blend peer-to-peer sharing with 3rd party expert training for Heads of ODD, Chief Compliance Officers/ GCs and Chief Operating Officers. You will have a private room to nurture invaluable information exchanges through shared stories about how you individually approach common problems. In groups of 12, those holding the aforementioned job titles are eligible to participate. Space is limited. (If you would like to be considered for a complimentary pass to attend the PhD, please email Tira Grey at tgrey@iirusa.com.)

*Tuesday afternoon, March 8th, 1:00 — 3:30pm*

**MBA & MENTORSHIP SUMMIT**: An exclusive one-day training for mid-level ops and compliance executives. Includes mentoring program where the best and brightest in hedge funds share lessons learned and how they climbed the corporate ladder. Time allocated for pure peer-to-peer exchanges: you create the content through an open discussion with your immediate peers.

*Sunday, March 6th, 9 — 5pm.*

**CTO SUMMIT**: The CTO Summit presents two values: one – meet, source and understand the most important emerging technology providers, two - converse with your peers in a private, exclusive forum where it is just you and those who share your responsibilities and challenges. FOR CTO’s ONLY. (If you are a CTO and would like to be considered for a complimentary pass, please email Tira Grey at tgrey@iirusa.com.)

*Sunday all day, March 6th, 9 — 5pm.*

**TECHNOLOGY SUMMIT**: Open to all GAIM Ops Cayman participants, the Technology Summit includes opportunities to learn from the leading technology providers and cutting edge, emerging companies, source new vendors and identify new products to incorporate into your fund.

*Monday afternoon, March 7th, 2:15 — 5:00pm — no RSVP necessary.*

MEET C-LEVEL COMPLIANCE AND OPERATIONS EXPERTS.

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**Audience Breakdown:**
- Managers and Allocators 50%
- Accounting 10%
- Fund services 17%
- Legal 8%
- Consultants and Advisors 8%
- IT Solutions 3%
- Other 4%

**Seniority:**
- C-Level 46%
- VP 13%
- Director 22%
- Manager 17%
- Other 2%
EXPERT SPEAKERS

MANAGERS

Michael C. Neus, Managing Partner and General Counsel, PERRY CAPITAL LLC
Joseph P. Sutton, Chief Technology Officer, PERSHING SQUARE CAPITAL MANAGEMENT, L.P.
Rich Walz, General Counsel and Chief Compliance Officer, ELEMENT CAPITAL MANAGEMENT LLC
Amit Malhotra, Partner, Chief Operations Officer/Chief Financial Officer, SACHEM HEAD CAPITAL MANAGEMENT LP
Marc Valdes, Director of Operations, DW PARTNERS, LP
John Richardson, Chief Operating Officer and General Counsel, IONIC CAPITAL MANAGEMENT LLC
Olga Romanova, Senior Analyst, Structural & Operational Risk, Multi Asset Client Solutions, AXA INVESTMENT MANAGERS UK LIMITED
Scott M. Halper, Managing Director, Chief Operating Officer & Chief Compliance Officer, CZECH ASSET MANAGEMENT LP

Beth Haddock, Head of Regulatory Strategy and Developments, GUGGENHEIM PARTNERS
Chris Hughes, Director of Operations, AXONIC CAPITAL LLC
David G. Pollok, General Counsel & Chief Compliance Officer, LIGHTESTHOUSE INVESTMENT PARTNERS, LLC
Bruce Berger, Chief Operations Officer/Chief Financial Officer, ATLANTIC INVESTMENT MANAGEMENT, INC.
Justin Adeloup, Chief Operations Officer, CAPSTONE EQUITIES MANAGER, LLC
Aaron Tawl, Chief Financial Officer, Chief Compliance Officer, CLEARFIELD CAPITAL MANAGEMENT LP
James Kehoe, Chief Financial Officer & Chief Compliance Officer, GREENBIAR ASSET MANAGEMENT LP
Chris Moskowitz, Chief Technology Officer, DEERFIELD MANAGEMENT COMPANY
Kevin Holi, Director of Technology & Corporate Operations, EVANSTON CAPITAL MANAGEMENT, LLC

Nina Fitzpatrick, Assistant General Counsel, LIGHTHOUSE INVESTMENT PARTNERS, LLC
Rahul Patel, Vice President, DYAL CAPITAL
Cynthia A. Marian, General Counsel and Chief Compliance Officer, CIVIC CAPITAL ADVISORS, LLC
Drew Phillips, Chief Operating Officer, ATALAYA CAPITAL MANAGEMENT LP
Andrew Kandel, Chief Compliance Officer & Co-General Counsel, CERBERUS CAPITAL MANAGEMENT, L.P.
Mark Schein, Chief Compliance Officer and Managing Director, YORK CAPITAL MANAGEMENT
Suzanne McDermott, Chief Compliance Officer, Associate General Counsel, Managing Principal, HALCYON ASSET MANAGEMENT LLC
Laura Roche, Chief Operating Officer & Chief Financial Officer, ROYSTONE CAPITAL

ALLOCATORS

Adrian Sales, Head of Operational Due Diligence, ALBOURNE
James Newman, Global Head of Operational Due Diligence, BARCLAYS, WEALTH AND INVESTMENT MANAGEMENT
Sara Yarmand, CANADA PENSION PLAN INVESTMENT BOARD
Pascal D’Souza, Vice President Operational Due Diligence, CARLYLE LIQUID MARKET SOLUTIONS
Mark Hannoush, Director, Operational Due Diligence, ONTARIO TEACHERS’ PENSION PLAN

William Hedden, Chief Operating Office, SUMMIT ROCK ADVISORS
Christie D’Amour, Senior Director, Investment Administration, EMORY INVESTMENT MANAGEMENT
Justine Lee, Head of Operational Due diligence, PRUDENTIAL PORTFOLIO MANAGEMENT GROUP
Eric S Laazer, Chief Operations Officer/Chief Compliance Officer, INTERNATIONAL ASSET MANAGEMENT LIMITED, LLC
Maneesh Gandhi, Managing Director, Due Diligence, EVANSTON CAPITAL MANAGEMENT, LLC
Carlos Ferreira, Director, Head of Investment Operations, PAAMCO

Tom Spadaccini, Chief Compliance Officer, CORBIN CAPITAL PARTNERS, L.P.
Alison Sanger, Chief Operating Officer, IRONWOOD CAPITAL MANAGEMENT
David Warsoff, Executive Director, JPMORGAN ALTERNATIVE ASSET MANAGEMENT
Christopher Addy, President and CEO, CASTLE HALL ALTERNATIVES
Terece Brady, Director of Operational Due Diligence, CORBIN CAPITAL PARTNERS, L.P.

KEYNOTES

James Dinan, Founder and CEO, YORK CAPITAL MANAGEMENT
Michael Woodford, MBE, MICHAEL WOODFORD ASSOCIATES
Cary J. Stier, Vice Chairman, Global Managing Partner, Investment Management Group, DELLOITTE & TOUCHE LLP
M. ‘Gunny’ Reynolds, former Cyber-Intel adviser to US FORCES COMBATANT COMMANDERS

ACTIVE AND RECENTLY RETIRED REGULATORS & REGULATORY ASSOCIATIONS

Daniel M. Gallagher, Former Commissioner, UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Marshall L. Miller, former Principal Deputy Assistant Attorney General and Chief of Staff of DOJ’S CRIMINAL DIVISION/ Senior Fellow at NYU’S PROGRAM ON CORPORATE COMPLIANCE & ENFORCEMENT
Jiri Krkl, Deputy CEO, Global Head of Government Affairs, AIMIA

David A. Chaves, Special Agent, White Collar Coordinator/Complex Crimes, FEDERAL BUREAU OF INVESTIGATION
James McGovern, Chief, Criminal Division, United States Attorney’s Office, EASTERN DISTRICT OF NEW YORK
Regina Theole, Senior Vice President, Compliance, NATIONAL FUTURES ASSOCIATION (NFA)
Antonia M. Apps, Partner, MILBANK, TWEED, HADLEY & MCCLOY

Patricia L. Cushing, Director, Compliance, NATIONAL FUTURES ASSOCIATION
Stuart J Kaswell, Executive Vice President & Managing Director, General Counsel, MANAGED FUNDS ASSOCIATION
Marc Charon, Executive Vice President & Managing Director, Chief Operating Officer, MANAGED FUNDS ASSOCIATION

INDUSTRY EXPERTS

Monette Windsor, Managing Director, UBS FUND SERVICES (CAYMAN) LTD
Odette Samson, Partner, Assurance & Advisory Services, DELOITTE, CAYMAN ISLANDS
Tom Angel, Partner-Director, WUTHUM SMITH & BROWN
Anthony Keizner, Head of Hedge Fund Practice, GLOCAL SEARCH
Ingrid Pierce, Partner, WALKERS
Ashley Gunning, Partner, WALKERS

John Sergides, Global Head of Sales and Business Development, UBS ALTERNATIVE FUND SERVICES (USA) LLC
Jason Allison, Partner, WALKERS
Chuck Pine, Managing Director, Financial Services, BSA/AML/OFAC Compliance, BDO CONSULTING and former Senior Executive Director, Field Operations for IRS, Criminal Investigation
Phil Houston, Chief Executive Officer, QVERITY
George Paarlanos, Director / National Portfolio Valuation Services Leader, Advisory Services, DELLOITTE TRANSACTIONS AND BUSINESS ANALYTICS LLP

Tim Mohr, Principal, National Financial Services Advisory Leader, BDO
Steve Bruce, Managing Partner, ASC ADVISORS
Romulad Beneche, CPA, AVP Business Development, GEMINI HEDGE FUND SERVICES, LLC
Speaker TBD, ESENTIRE
Meredith Moss, Founder and CEO, FINOMIAL
Gilbert Dychiao, Managing Director & Partner, FREEMAN & CO. LLC
Michael Patanella, Partner, US Asset Management Sector Leader, GRANT THORNTON
<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>9:00—5:00 pm</td>
<td>GAIM OPS CAYMAN “MBA” &amp; MENTORSHIP PROGRAM</td>
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<tr>
<td>9:00—5:00 pm</td>
<td>CTO SUMMIT</td>
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<tr>
<td>1:00—4:00 pm</td>
<td>LEGAL DEBRIEF PRE-CONFERENCE</td>
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<tr>
<td>4:00—5:00 pm</td>
<td>FIRST TIMERS’ WELCOME &amp; WOMEN ONLY COCKTAILS</td>
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<tr>
<td>5:30—7:15 pm</td>
<td>CHARITY NIGHT - COCKTAILS AND GAMES</td>
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**Monday, March 7th**

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>7:00 am</td>
<td>BREAKFAST</td>
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<tr>
<td>8:00 am</td>
<td>WELCOME REMARKS - DELOITTE</td>
</tr>
<tr>
<td>8:10 am</td>
<td>HEDGE FUND INVESTOR AND MANAGER TOWN HALL</td>
</tr>
<tr>
<td>8:55 am</td>
<td>3 CCOs AND A PROSECUTOR: THE NEXT FRONTIER</td>
</tr>
<tr>
<td>9:50 am</td>
<td>KEYNOTE: THE HOLISTIC FUND OF THE FUTURE - JAMES DINAN, FOUNDER AND CEO OF YORK CAPITAL MANAGEMENT</td>
</tr>
<tr>
<td>10:45 am</td>
<td>BREAK Hosted by BAKER TILLY</td>
</tr>
<tr>
<td>11:15 am</td>
<td>KEYNOTE: OLYMPUS WHISTLEBLOWER – MICHAEL WOODFORD</td>
</tr>
<tr>
<td>1:00 pm</td>
<td>LUNCH &amp; SPEAKER HOSTED LUNCH TABLES – GAIM OPS CAYMAN 2015 ALUMNAE AND INDUSTRY EXPERTS</td>
</tr>
<tr>
<td>2:15—5:00 pm</td>
<td>TRACK 1 MINI-WORKSHOPS – ODD</td>
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<tr>
<td></td>
<td>TRACK 2 MINI-WORKSHOPS- COMPLIANCE</td>
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<tr>
<td></td>
<td>TRACK 3 SEEDING, PRIVATE EQUITY, SOFT DOLLARS</td>
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<td></td>
<td>TRACK 4 PERSONAL DEVELOPMENT WORKSHOP</td>
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<tr>
<td></td>
<td>TRACK 5 TECHNOLOGY SUMMIT</td>
</tr>
<tr>
<td>3:00 pm</td>
<td>BREAK Hosted by BAKER TILLY</td>
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<tr>
<td>5:00 pm</td>
<td>COCKTAILS AND NETWORKING ON THE VERANDA - Hosted by NORTHERN TRUST</td>
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**Tuesday, March 8th**

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>7:30 am</td>
<td>BREAKFAST</td>
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<tr>
<td>8:20 am</td>
<td>WELCOME REMARKS - WALKERS</td>
</tr>
<tr>
<td>8:30 am</td>
<td>KEYNOTE: DELIVERING ALPHA - CARY J. STIER, DELOITTE &amp; TOUCHE, LLP</td>
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<tr>
<td>9:00 am</td>
<td>CALLING ALL REGULATORS</td>
</tr>
<tr>
<td>10:20 am</td>
<td>BREAK</td>
</tr>
<tr>
<td>10:50 am</td>
<td>ETHICS, DIVERSITY, LEADERSHIP AND COMMUNICATIONS</td>
</tr>
<tr>
<td>11:30 am</td>
<td>THE FUND OF THE FUTURE</td>
</tr>
<tr>
<td>12:20 pm</td>
<td>KEYNOTE: NAVIGATING THE CYBER-SECURITY COMBAT ZONE - M. GUNNY REYNOLDS</td>
</tr>
<tr>
<td>1:00 pm</td>
<td>LUNCH</td>
</tr>
<tr>
<td>1:00—3:30 pm</td>
<td>PhD SUMMIT FOR THE C-SUITE (TRACK 5)</td>
</tr>
<tr>
<td>2:00—3:30 pm</td>
<td>TRACK 1 MINI-WORKSHOPS – OPERATIONAL DUE DILIGENCE</td>
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<td></td>
<td>TRACK 2 MINI-WORKSHOPS – COMPLIANCE</td>
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<tr>
<td></td>
<td>TRACK 3 MINI-WORKSHOPS – COMPLIANCE</td>
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<tr>
<td></td>
<td>TRACK 4 PERSONAL DEVELOPMENT WORKSHOP</td>
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<tr>
<td>3:30 pm</td>
<td>BEACH PARTY - Hosted by SEI</td>
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**Wednesday, March 9th**

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>8:15 am</td>
<td>BREAKFAST</td>
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<tr>
<td>8:50 am</td>
<td>WELCOME REMARKS - UBS</td>
</tr>
<tr>
<td>9:00 am</td>
<td>THE INSTITUTIONAL INVESTOR PERSPECTIVE</td>
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<tr>
<td>9:50 am</td>
<td>LESSONS LEARNED FROM EMERGING MANAGERS</td>
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<tr>
<td>10:30 am</td>
<td>KEYNOTE PRESENTATION</td>
</tr>
<tr>
<td>11:00 am</td>
<td>BREAK</td>
</tr>
<tr>
<td>11:15 am</td>
<td>A CONVERSATION BETWEEN A CFO AT A HEDGE FUND AND A HEAD OF ODD FROM AN ALLOCATOR</td>
</tr>
<tr>
<td>11:45 am</td>
<td>RESULTS FROM THE GAIM OPS CAYMAN 2016 SURVEY</td>
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<tr>
<td>12:30 pm</td>
<td>CONFERENCE CONCLUDES</td>
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www.GAIMOpsCayman.com
SUNDAY, MARCH 6TH: MBA Summit, CTO Summit & Pre-Conference Networking Events

9:00—5:00pm

**MBA & MENTORSHIP SUMMIT:**

AN EXCLUSIVE ONE DAY TRAINING FOR MID-LEVEL OPS AND COMPLIANCE EXECUTIVES. Start your conference right: Get to know your peers, delve into specific topics and prepare for the rest of the event. Industry experts, leading CCOs and COOs share best practice.

**Attendees must be approved by GAIM Ops Cayman team.**

Please check our website for the official schedule: www.GAIMOpsCayman.com

9:00am—1:00pm

TRAINING ON TOPICS SUCH AS:

- Project Management
- Presentation Skills
- How to prepare for a CFTC Exam
- How to prepare for a SEC Exam
- Identifying what types of stress tests should be conducted
- Accounting and Administration
- Portfolio Valuation
- AML instruction
- Completing NAV

1:00 LUNCH

2:00—4:00

MENTORING

Senior Heads of ODD, Compliance and Operations share lessons learned and answer all of your questions.

4:00—5:00

PEER SHARE

You create the content though an open share roundtable.

**SPEAKERS AND MENTORS INCLUDE:**

- Steve Bruce, Managing Partner, ASC ADVISORS
- Tom Spadaccini, Chief Compliance Officer, CORBIN CAPITAL PARTNERS LP
- Alison Sanger, Chief Operating Officer, IRONWOOD CAPITAL MANAGEMENT
- Drew C. Phillips, Chief Operating Officer, ATALAYA CAPITAL MANAGEMENT LP
- David Warsoff, Executive Director, JPMORGAN ALTERNATIVE ASSET MANAGEMENT

1:00—4:00pm

**CTO SUMMIT:**

CTO SUMMIT FOR CTOS ONLY.

Meet your immediate peers, source and understand the most important emerging technologies, and explore new ideas in technology management.

**Attendees must be approved by GAIM Ops Cayman team.**

Please check our website for the official schedule: www.GAIMOpsCayman.com

9:00am—12:30pm

EXPERT TRAINING FOR CTOS

- Mitigating Vendor Risk
- Prioritizing Data
- Create a Meaningful Security Budget That Protects Your Firm and Investors
- Software Life Cycle
- Consumerization of IT and its impact in your environment
- Tracking Processes and Testing Them through Technology

12:30 LUNCH

1:30 CTO PEER SHARE

You create the content. CTOS share their biggest challenges with their immediate peers. Examples: How do you manage daily communications with your COO and CCO? How do you manage your team? Collaborating in the best interest of the fund.

4:15 DEMOS

The most important new technology providers demo their software and products.

**CTO AMBASSADORS FOR THE SUMMIT:**

- Chris Moskowitz, CTO, DEERFIELD MANAGEMENT COMPANY
- Joe Sutton, CTO, PERSHING SQUARE CAPITAL MANAGEMENT, L.P
- Kevin Holl, Director of Technology & Corporate Operations, EVANSTON CAPITAL MANAGEMENT, LLC

NOT A CTO?

The Technology Summit on Monday will be open for COOs, CCOs, and Heads of ODD who want to meet the cutting edge vendors offering the latest and greatest in all things tech from cybersecurity and data management to risk software and more.

1:00—4:00pm

LEGAL DEBRIEF PRE-CONFERENCE:

Ask the legal eagles for their expert advice on how to integrate the most challenging regulatory requirements. Pick any three topics. Tables rotate every 50 minutes. First come, first served.

**TABLE 1: SEC exams**

**TABLE 2: AIFMD**

**TABLE 3: FATCA**

**TABLE 4: MNPI**

**TABLE 5: The Base Erosion and Profit Shifting (BEPS) Initiative**

**TABLE 6: Understanding PPM language**

**TABLE 7: MiFid**

**TABLE 8: Basel III**

4:00—5:00pm

FIRST TIMERS’ WELCOME RECEPTION

WOMEN ONLY COCKTAILS

5:30—7:15pm

Charity Night

Call 888.670.8200 US; +1 941.554.3500 Int’l • E-Mail register@iirusa.com
7:00 BREAKFAST

8:00 WELCOME REMARKS – Chairwoman: Odette Samson, Partner, Assurance & Advisory Services, DELOITTE, CAYMAN ISLANDS

8:10 HEDGE FUND INVESTOR AND MANAGER TOWN HALL: WHAT’S NEW AND WHAT’S CHANGED
An interactive panel where innovative managers and leading investors debate the boundaries of the current market environment: in an age of increasing transparency, what information is too much to provide investors or are certain changes in law, applicable regulation or “best practices” arguably too expensive to comply with? In addition, this panel will explore some new fee arrangements designed to better align manager and investor incentives, how to manage the evolving internal treasury function and the increasing expectations placed on key service providers

Moderator: Michael C. Neus, Managing Partner and General Counsel, PERRY CAPITAL LLC
Drew Phillips, Chief Operating Officer, ATALAYA CAPITAL MANAGEMENT LP
Mark Hannoush, Director, Operational Due Diligence, ONTARIO TEACHERS’ PENSION PLAN
Adrian Sales, Head of Operational Due Diligence, ALBOURNE

8:55 3 CCOs AND A PROSECUTOR: THE NEXT FRONTIER IN IMPLEMENTING, MANAGING AND REACTING TO THE DEMANDS OF OPERATING AN EFFECTIVE COMPLIANCE PROGRAM
Hear some of the best CCOs in the industry and a former DOJ prosecutor present their take on what every CCO should be doing now and how to prepare for the year ahead.

Presentation 1: FCPA - from Due Diligence to Ownership. How to Incorporate Anti-Corruption Concerns into a CCO’s Everyday List of Concerns. An around-the-world view of anti-corruption issues and possible solutions.
Andrew Kandel, Chief Compliance Officer & Co-General Counsel, CERBERUS CAPITAL MANAGEMENT, L.P.
Mark Schein, Chief Compliance Officer and Managing Director, YORK CAPITAL MANAGEMENT

Presentation 2: The Unique Internal Governance of Hedge Funds. Investor demand for quality governance and its role in raising and retaining capital.
Suzanne McDermott, Chief Compliance Officer, Associate General Counsel, Managing Principal, HALCYON ASSET MANAGEMENT LLC

Presentation 3: When Things Go Wrong: The Prosecutor’s Perspective. If despite best efforts, misconduct occurs and enforcement actors are assessing corporate liability, what do they look for in a compliance program? Taking steps to ensure that your program is -- and appears -- designed for maximum effectiveness in preventing and detecting wrongdoing by employees.
Marshall L. Miller, former Principal Deputy Assistant Attorney General and Chief of Staff of DOJ’S CRIMINAL DIVISION/ Senior Fellow at NYU’S PROGRAM ON CORPORATE COMPLIANCE & ENFORCEMENT

9:50 KEYNOTE: THE HOLISTIC FUND OF THE FUTURE – AN INTERVIEW WITH JAMES DINAN, FOUNDER AND CEO OF YORK CAPITAL MANAGEMENT
James Dinan reveals how he prioritizes all pillars of the fund when considering investment commitments: compliance, operations and technology. A new model for all funds of the future to consider when developing a forward-thinking and enterprising culture.
This keynote interview will be moderated by John Sergides, Global Head of Sales and Business Development, UBS ALTERNATIVE FUND SERVICES (USA) LLC

10:40 BREAK Hosted by Baker Tilly

11:15 KEYNOTE: A STORY ABOUT CORPORATE GOVERNANCE LIKE NO OTHER ... THE FIRST CEO IN HISTORY TO BECOME A WHISTLEBLOWER OF HIS OWN CORPORATION
On October 14th, 2011 then President and CEO of the Japanese Corporation, Olympus – Michael Woodford - was unceremoniously dismissed following a series of letters he had written questioning his board colleagues on inexplicable payments amounting to over US$1.7 billion. Fearful for his life he fled Japan that day… the next day, his story was heard around the world when he landed on the front page of the Financial Times. Since then, there have been multiple arrests and subsequent indictments in Japan of three of his former board colleagues and several others who had facilitated the massive fraud, with all the remaining directors having to resign. And, that’s not even half the story.

Introduction and Q&A to be conducted by: Tim Mohr, Principal, National Financial Services Advisory Leader, BDO

1:00 LUNCH & SPEAKER HOSTED LUNCH TABLES – GAIM OPS CAYMAN 2015 ALUMNAE AND INDUSTRY EXPERTS
Managing Your Relationship With Service Providers • Institutional Investor Peer-to-peer discussion • How Can Small Managers Keep up with Large Managers – from infrastructure to negotiations with outside service provider • Improving processes for sharing information with Institutional Investors
### TRACK 1
**MINI-WORKSHOPS – ODD**

***These tables repeat three times***

#### TABLE 1:
**The Investor Perspective on Communicating with Managers:**
how do you interact and make sure you get the information you need.

*Maneesh Gandhi,* Managing Director, Due Diligence, EVANSTON CAPITAL MANAGEMENT, LLC

#### TABLE 2:
**The Collective Influence Investors Will Have on the Future of the Hedge Fund Manager Model**

*Carlos Ferreira,* Director, Head of Investment Operations, PAAMCO

*Mark Hannoush,* Director, Operational Due Diligence, ONTARIO TEACHERS’ PENSION PLAN

#### TABLE 3:
**How Mass Customization by the Platforms is Changing the Playing Field**

#### TABLE 4:
**Managed Account Platforms: The Good and the Bad**

*Nina Fitzpatrick,* Assistant General Counsel, LIGHOUSE INVESTMENT PARTNERS, LLC

#### TABLE 5:
**Counterparties and the available balance sheet: Changes and how to navigate this as an allocator?**

#### TABLE 6:
**Cutting Edge ODD: What is it and why you need to be adopting it.**

*David Warsoff,* Executive Director, JPMORGAN ALTERNATIVE ASSET MANAGEMENT

#### TABLE 7:
**Valuation for Private Equity: Policy, Committee, Frequency and Reporting to LP’s**

*Tom Angell,* Partner-Director, WITHUM SMITH & BROWN

#### TABLE 8:
**Addressing and offsetting operational risk holistically**

#### TABLE 9:
**Automating Everything... Moving Processes from Manual**

### TRACK 2
**MINI-WORKSHOPS- COMPLIANCE**

***These tables repeat three times***

#### TABLE 1:
**SEC Exams – Prepare, Prepare, Prepare:** What to Know and How to Get Ready / Where to Focus Your Energies Based On Your Size, Situation, and Resources Available**

*Cynthia A. Marian,* General Counsel and Chief Compliance Officer, CIVIC CAPITAL ADVISORS, LLC

*Rich Walz,* General Counsel and Chief Compliance Officer, ELEMENT CAPITAL MANAGEMENT LLC

**topic runs tomorrow as well**

#### TABLE 2:
**Law Enforcement Efforts To Combat Financial Fraud In The Alternative Investments Arena:** strategies to bring legal and regulatory AML and OFAC Sanctions compliance into investment areas.

*Chuck Pine,* Managing Director, Financial Services, BSA/AML/OFAC Compliance, BDO CONSULTING and former Senior Executive Director, Field Operations for IRS, Criminal Investigation

#### TABLE 3:
**Expert Networks and Handling MNPI**

*Amit Malhotra,* Partner, COO/CFO, SACHEM HEAD CAPITAL MANAGEMENT LP

#### TABLE 4:
**The New Treasury Role - How to Establish and Integrate**

#### TABLE 5:
**Central Clearing Processes**

#### TABLE 6:
**The New Clearing Rules (ISDA)**

#### TABLE 7:
**Forensic Compliance - Looking for Trades from News Clippings, Calendar Appointments, Email Review**

### 3:50 BREAK Hosted By Baker Tilly

### 4:05

### TRACK 1
**Mini-Workshops-ODD**

3rd Installment of Mini-Workshops. See above for topics.

### TRACK 2
**Mini-Workshops-COMPLIANCE**

3rd Installment of Mini-Workshops. See above for topics.

### 5:00

**COCKTAILS AND NETWORKING** Hosted by Northern Trust
**MONDAY, MARCH 7TH: Day One**

<table>
<thead>
<tr>
<th>TRACK 3</th>
<th>TRACK 4</th>
<th>TRACK 5</th>
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</thead>
<tbody>
<tr>
<td><strong>SEEDING, PRIVATE EQUITY, SOFT DOLLARS</strong></td>
<td><strong>PERSONAL DEVELOPMENT WORKSHOP</strong></td>
<td><strong>TECHNOLOGY SUMMIT</strong></td>
</tr>
<tr>
<td>2:15: SEEDING: WHAT DO THE SEEDERS LOOK FOR AND WHAT YOU CAN LEARN FROM THEIR APPROACHES? How has the approach changed over time? What criteria does a seeder look for when selecting manager? Latest trends in seeding</td>
<td>2:15: SPY THE LIE: The ability to detect deception has become a critical and required skill in the investment arena. In this session you will learn sophisticated techniques developed at CIA which were designed to significantly enhance your ability to identify deception and protect your investments.</td>
<td>FOR CTOs, COOs, CCOs, AND HEADS OF ODD WHO WANT TO MEET THE CUTTING EDGE VENDORS OFFERING THE LATEST AND GREATEST IN ALL THINGS TECH FROM CYBERSECURITY, DATA MANAGEMENT, RISK SOFTWARE AND MORE</td>
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<td>Eric S Lazear, COO/CCO, INTERNATIONAL ASSET MANAGEMENT LIMITED, LLC</td>
<td>Phil Houston, Chief Executive Officer, QVERITY</td>
<td>These three technology sessions run concurrent to the mini-workshop roundtables and Track 4. The sessions repeat three times and are first come, first served. Rooms limited to 15 attendees. Session 1, 2 and 3 run at 2:15, 3:05 and 4:05pm.</td>
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<td>Rahul Patel, Vice President, DYAL CAPITAL</td>
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<td><strong>SESSION 1</strong> Cybersecurity from the LP ODD perspective</td>
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<td>Gilbert Dychiao, Managing Director &amp; Partner, FREEMAN &amp; CO. LLC</td>
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<td><strong>SESSION 2</strong> Data Management and Storage</td>
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<td><strong>THE SHIFTING LANDSCAPE OF DEALING COMMISSIONS:</strong> what European Soft Dollars changes mean for Funds, LPs, the Sell-side and Service Providers.</td>
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<td><strong>SESSION 3</strong> ODD Process For Technology Implementation - Checks and Balances</td>
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<td>Laurence Herman, General Counsel and Managing Director, GERSON LEHRMAN GROUP, INC</td>
<td>Phil Houston, Chief Executive Officer, QVERITY</td>
<td>Additional information available on our website <a href="http://www.GaimOpsCayman.com">www.GaimOpsCayman.com</a></td>
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<td>Stuart J Kaswell, Executive Vice President &amp; Managing Director, General Counsel, MFA</td>
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<td>Check our website for speaker updates: <a href="http://www.GAIMOpsCayman.com">www.GAIMOpsCayman.com</a></td>
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<td><strong>3:05: PRIVATE EQUITY: THE CHANGING LANDSCAPE</strong> New expectations, new ODD requirements, what to focus on and how</td>
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<td>Justine Lee, Head of Operational Due Diligence, PRUDENTIAL PORTFOLIO MANAGEMENT GROUP</td>
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<td>Christie D’Amour, Senior Director, Investment Administration, EMORY INVESTMENT MANAGEMENT</td>
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<td>Jason Allison, Partner, WALKERS</td>
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<td><strong>5:00pm: COCKTAILS AND NETWORKING</strong> Hosted by Northern Trust</td>
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Call 888.670.8200 US; +1 941.554.3500 Int’l • E-Mail register@iirusa.com
7:15 BREAKFAST AND SPEAKER HOSTED BREAKFASTS (INVITE REQUIRED)

8:20 WELCOME REMARKS – Chairwoman: Ashley Gunning, Partner, WALKERS

8:30 DELIVERING ALPHA THROUGH DISRUPTIVE INNOVATION

Disruptive innovation is creating clear threats to the traditional practices of the hedge fund industry, including a new breed of process providers using highly flexible and sophisticated platforms. The hedge fund industry must respond to the pressures of these disruptors to improve the value delivered.

Cary J. Stier, Vice Chairman, Global Managing Partner, Investment Management Group, DELOITTE & TOUCHE LLP

9:00 CALLING ALL REGULATORS: ACTIVE REGULATORS AND RECENTLY RETIRED REGULATORS PREPARE YOU FOR WHAT’S NEXT

Active and recently retired regulators from the largest and most significant organizations reveal how you should be prioritizing the regulatory deluge. Latest regulation addressing: expenses, AML, personal liability, cybersecurity.

Moderator: Jiří Król, Deputy CEO, Global Head of Government Affairs, AIMA

ENFORCEMENT

David A. Chaves, Special Agent, White Collar Coordinator/Complex Crimes, FEDERAL BUREAU OF INVESTIGATION

James McGovern, Chief, Criminal Division, United States Attorney’s Office, EASTERN DISTRICT OF NEW YORK

Regina Thoele, Senior Vice President, Compliance, NATIONAL FUTURES ASSOCIATION (NFA)

Check our website for new speaker announcements on this panel: www.gaimopscayman.com

POLICY AND REGULATION

Presentation 1: The State of the SEC - Daniel M. Gallagher, Former Commissioner, UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Presentation 2: Insider Trading: Antonia M. Apps, Partner, MILBANK, TWEED, HADLEY & MCCLOY

Q&A hosted by Jiří Król, AIMA

10:20 BREAK

10:50 ETHICS, DIVERSITY, LEADERSHIP AND COMMUNICATIONS

Presentation 1: Building A Collectively Responsible Culture to Create a Competitive Edge. A high performance culture that fosters innovation and continuous improvement, welcomes accountability, and compels members of the team to exercise good business judgment mitigates distracting behavior that impeded an optimal operational infrastructure. How ethical leaders should motivate their team to function in the best interest of the fund’s operational success.

Beth Haddock, Head of Regulatory Strategy and Developments, GUGGENHEIM PARTNERS

Presentation 2: How The Best Firms Are Attracting and Retaining Top Talent Without Paying Over The Top. Leading firms are increasingly looking at the role of non-monetary benefits and ‘culture’ in motivating their best people. What leading firms are paying their teams. The roles of testing, training and career development. How to motivate younger employees.

Anthony Keizner, Head of Hedge Fund Practice, GLOCAP SEARCH

Presentation 3: Leading More While Having Less. How are team leaders leading with increasingly constrained resources? And, in turn, how are they maximizing resources? Stretching the elastic without breaking it.

Ingrid Pierce, Partner, WALKERS

11:35 THE FUND OF THE FUTURE: FROM INVESTOR RELATIONS AND ODD TO BUILDING A TECHNOLOGY INFRASTRUCTURE

Leading hedge fund managers and investors in operations present their thesis on the future of hedge funds. What will the model look like in 2 years, 5 years and 10 years? And what is the optimum operational infrastructure that will ultimately yield a competitive advantage?

Co-Moderator: John Richardson, Chief Operating Officer and General Counsel, IONIC CAPITAL MANAGEMENT LLC

Co-Moderator: Michael Patanella, Partner, US Asset Management Sector Leader, GRANT THORNTON

Presentation 1: Capturing New Investors Building a Retail Sales Force. Entering into the retail market/ mass affluent market – building is only one piece, how do you sell it?

Alison Sanger, Chief Operating Officer, IRONWOOD CAPITAL MANAGEMENT

Presentation 2: Starting from Zero: Designing an Infrastructure and ODD Platform. How much should you expect to spend; what is the value proposition of internal ODD and what processes should you perform; what should you outsource and what are the benefits; how should you design your infrastructure to support and perform diligence for managed accounts, commingled hedge funds and private equity?

William Hedden, Chief Operating Office, SUMMIT ROCK ADVISORS & Carlos Ferreira, Director, Head of Investment Operations, PAAMCO

Presentation 3: How Will the CTO of the Future Build the Optimal Technological Infrastructure of the Future? Technology, environment, resiliency, cybersecurity, regulatory, application and services.

Joseph P. Sutton, CTO, PERSHING SQUARE CAPITAL MANAGEMENT, L.P.

12:25 NAVIGATING THE CYBER-SECURITY COMBAT ZONE: THINK LIKE THE COMBATANT COMMANDER IN THE FIELD

M. ‘Gunny’ Reynolds was a trusted advisor to the Office of the Secretary of Defense and complex integrated IS initiatives. He was responsible for supporting cyber-intelligence services to subordinate combatant commands. Additionally... Reynolds previously served as an information systems security manager at the FBI (CJIS) where he led a security management team of Senior ISSOs responsible for continuous monitoring of the Bureau’s extensive IT assets and developing actionable cyber threat intelligence from advanced analytical database systems

Gunny will deliver solutions for immediate actions in cyber and data security breaches. War stories from the front lines provide templates in: forensic analysis and investigations, triaging priorities and appointing the right individuals to oversee your CRITICAL data systems. Recommendations by this US Marine suggests extreme departure from business as usual.

1:00 LUNCH
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<tr>
<th>Track 1</th>
<th>MINI WORKSHOPS – OPERATIONAL DUE DILIGENCE</th>
<th>Track 2</th>
<th>MINI-WORKSHOPS – COMPLIANCE</th>
<th>Track 3</th>
<th>BASEL III and Distribution</th>
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<tr>
<td>TABLE 1:</td>
<td>Insourcing vs Outsourcing &amp; Implementing The Optimal Systems Infrastructure: NAVs, reconciliation, compliance management. Marc Valdes, Director of Operations, DW PARTNERS, LP</td>
<td>TABLE 1:</td>
<td>SEC Exams. What to do? How to prepare? Tom Spadacini, Chief Compliance Officer, CORBIN CAPITAL PARTNERS LP</td>
<td>2:00: BASEL III &amp; PRIME BROKERAGE: preparing, adapting and reacting. The emerging treasury function – how do you know when you need it?. Balance sheet optimization – where are costs being cut? The methodology which PBs use to evaluate hedge funds. Chris Hughes, Director of Operations, AXONIC CAPITAL LLC</td>
<td>2:00:</td>
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<td>Launching Hybrid PE/HF Products: costs, infrastructure, conflicts of interest</td>
<td>TABLE 2:</td>
<td>AML – What You Need to Know Now: Stuart J Kaswell, Executive Vice President &amp; Managing Director, General Counsel, MANAGED FUNDS ASSOCIATION</td>
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<td>How Should Investors Address ODD on Hybrid Products? Vetting Compliance on Both as Mutually Exclusive Entities</td>
<td>TABLE 3:</td>
<td>Breaking down NFA’s Self-Examination Questionnaire – a roadmap to complying with new regulations and preparing for an NFA exam Patricia L. Cushing, Director, Compliance, NATIONAL FUTURES ASSOCIATION</td>
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<td>Trade Flow: A Debrief from the Due Diligence Perspective</td>
<td>TABLE 4:</td>
<td>Managing Big Data</td>
<td>2:45:</td>
<td>THE STATE OF AFFAIRS WITH ALL THINGS DISTRIBUTION: UCITS, 40 Act, liquid alts, managed accounts, identifying the right number of platforms, how should I allocate my resources? Disparity in fund terms and transparency between the products offered by HF managers. David G. Pollok, General Counsel &amp; Chief Compliance Officer, LIGHTHOUSE INVESTMENT PARTNERS, LLC</td>
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<td>Private Equity Valuations - a Debrief: George Psarianos, Director / National Portfolio Valuation Services Leader, Advisory Services, DELoitTE TRANSACTIONS AND BUSINESS ANALYTICS LLP</td>
<td>TABLE 5:</td>
<td>HFT Platforms: What You Need to Know Now</td>
<td>2:45:</td>
<td>THE STATE OF AFFAIRS WITH ALL THINGS DISTRIBUTION: UCITS, 40 Act, liquid alts, managed accounts, identifying the right number of platforms, how should I allocate my resources? Disparity in fund terms and transparency between the products offered by HF managers. David G. Pollok, General Counsel &amp; Chief Compliance Officer, LIGHTHOUSE INVESTMENT PARTNERS, LLC</td>
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<td>Customized Risk Reporting</td>
<td>TABLE 6:</td>
<td>Update on the CIMA registered director work</td>
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<td>Stories from the Road: What questions should you be asking a hybrid structure PM/COO/COO/CCO? Scott M. Halper, Managing Director, Chief Operating Officer &amp; Chief Compliance Officer, CZECH ASSET MANAGEMENT, L.P.</td>
<td>TABLE 7:</td>
<td>Split Boards - the pros and cons</td>
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<td>ODD Approach For Illiquid Alternative Credit And Impact Investments. Olga Romanova, Senior Analyst, Structural &amp; Operational Risk Multi Asset Client Solutions, AXA INVESTMENT MANAGERS UK LIMITED</td>
<td>TABLE 8:</td>
<td>Expenses – what goes to the fund? What should go to the fund?</td>
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**3:45pm BEACH PARTY Hosted by SEI**
### PhD SUMMIT FOR THE C-SUITE * (1:00 — 3:30PM)

**12 Spaces Per Room**

If you would like to apply to one of the remaining openings to participate in the PhD Summit, please email: Tira Grey (tgrey@irusa.com)

**These exclusive C-suite boardrooms blend peer to peer sharing with 3rd party expert training on new areas of responsibility as they pertain to Heads of ODD, Chief Compliance Officer and Chief Operating Officer.**

**PART 1:** Industry experts teach you the most direct approach to handling complex systems.

**PART 2:** You and your peers create invaluable information exchanges through shared stories about how you individually approach common problems.

**ROOM 1** - **HEADS OF ODD** (this is ONLY for Heads of ODD from Fund of Funds and Institutional Investors – no exceptions)

**PART 1:** Training on hard skills such as Intermediary distribution, automating technology deferred comp – tax and structuring

**PART 2:** Discuss among your peers. You create the content. Discuss topics such as: · How does the ODD function need to evolve to remain relevant · The changing role of the ODD officer as HFs reduce their op risk

**CONFIRMED C-LEVEL PARTICIPANTS FROM THE FOLLOWING ORGANIZATIONS:**
- EVANSTON CAPITAL MANAGEMENT
- IRONWOOD CAPITAL MANAGEMENT
- CANADA PENSION PLAN INVESTMENT BOARD
- JPMORGAN CHASE
- PRUDENTIAL PORTFOLIO MANAGEMENT GROUP
- SUMMIT ROCK ADVISORS
- CORBIN CAPITAL PARTNERS, L.P.
- BARCLAYS, WEALTH AND INVESTMENT MANAGEMENT

**ROOM 2** - **CCOs** (this is ONLY for CCOs from Fund of Funds and Hedge Funds)

**PART 1:** Accounting, understanding a new product, understanding options, deferred comp – tax and structuring, compensation (data driven) - what you should know as a CCO about investment categories: credit arbitrage, emerging markets, derivatives

**PART 2:** Discuss among your peers… hear about your peers’ past experience with regulators, how your peers have dealt with employment issues, how do they determine when to terminate, CCO liability - steps to protect yourself

**CONFIRMED C-LEVEL PARTICIPANTS FROM THE FOLLOWING ORGANIZATIONS:**
- CERBERUS CAPITAL MANAGEMENT, L.P.
- YORK CAPITAL MANAGEMENT
- LIGHTHOUSE INVESTMENT PARTNERS, LLC
- ELEMENT CAPITAL MANAGEMENT LLC
- HALCYON ASSET MANAGEMENT LLC
- GUGGENHEIM PARTNERS INVESTMENT MANAGEMENT

**ROOM 3** – **COOs** (this is ONLY for COOs from Fund of Funds and Hedge Funds)

**PART 1:** Understanding a new product’s implications on the infrastructure of the fund, Operational costs

**PART 2:** Discuss among your peers… hear about your peers’ past experience with regulators, how your peers have dealt with employment issues, how do they determine when to terminate, CCO liability - steps to protect yourself

**CONFIRMED C-LEVEL PARTICIPANTS FROM THE FOLLOWING ORGANIZATIONS:**
- ATALAYA CAPITAL MANAGEMENT LP
- IONIC CAPITAL MANAGEMENT LLC
- ATLANTIC INVESTMENT MANAGEMENT, INC.
- INTERNATIONAL ASSET MANAGEMENT LIMITED, LLC
- IRONWOOD CAPITAL MANAGEMENT

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3:45pm **BEACH PARTY Hosted by SEI**

“... an amazingly strong conference... creating an amazing environment for myself and others to share ideas and best practices with our peers in the industry”

Hedge Fund Manager, GAIM Ops ‘15 Attendee
THE INSTITUTIONAL INVESTOR PERSPECTIVE ON THE FUTURE PARTNERSHIPS WITH MANAGERS

Institutional investors review their optimal models for the future of the industry from governance, transparency, fees, succession planning and how to handle to take a more active role in helping managers improve their controls.

James Newman, Global Head of Operational Due Diligence, BARCLAYS WEALTH AND INVESTMENT MANAGEMENT
Sara Yarmand, CANADA PENSION PLAN INVESTMENT BOARD
Pascal D’Souza, Vice President Operational Due Diligence, CARLYLE LIQUID MARKET SOLUTIONS

LESSONS LEARNED FROM EMERGING MANAGERS WHO HAVE NOW EMERGED

Scaling too fast? Outsourcing too soon? Prioritizing investors while you are growing?

Moderator: Bruce Berger, COO/CFO, ATLANTIC INVESTMENT MANAGEMENT, INC.
Justin Adelipour, COO, CAPSTONE EQUITIES MANAGER, LLC
Aaron Tawil, Chief Financial Officer, Chief Compliance Officer, CLEARFIELD CAPITAL MANAGEMENT LP
James Keane, CFO & CCO, GREENBRIAR ASSET MANAGEMENT LP

"CAN'T WE ALL JUST GET A LONG?!!" - A CONVERSATION BETWEEN A CFO AT A HEDGE FUND AND A HEAD OF ODD FROM AN ALLOCATOR

The why's and why not's from both sides of the table

Terence Brady, Director of Operational Due Diligence, CORBIN CAPITAL PARTNERS, L.P.
Laura Roche, Chief Operating Officer & Chief Financial Officer, ROYSTONE CAPITAL

RESULTS FROM THE GAIM OPS CAYMAN SURVEY

What do your peers REALLY think about... Biggest mistake ever made to an investor ... Worst ODD oversight

10:30 KEYNOTE: To be announced on the website at www.GAIMOpsCayman.com
11:00 Break
11:15 "CAN'T WE ALL JUST GET A LONG?!!" - A CONVERSATION BETWEEN A CFO AT A HEDGE FUND AND A HEAD OF ODD FROM AN ALLOCATOR
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Terence Brady, Director of Operational Due Diligence, CORBIN CAPITAL PARTNERS, L.P.
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11:55 RESULTS FROM THE GAIM OPS CAYMAN SURVEY

What do your peers REALLY think about... Biggest mistake ever made to an investor ... Worst ODD oversight

12:30 Conference Concludes
Battera Class Action Services is the leading provider of securities class action settlement recovery for institutional investors. Utilizing proprietary technology, Battera maximizes settlement award recovery across all asset classes for hundreds of institutional clients. The Company’s global, full-service solution simplifies the complex claims filing process combining accuracy and unparalleled transparency.

Broadridge Financial Solutions is the leading provider of investor communications and technology-driven solutions for Investment Advisors, Broker- Dealers, Banks, Hedge Funds, and Mutual Funds globally. Broadridge’s investor communications, securities processing & operations outsourcing solutions help clients reduce their capital investments in operations infrastructure, allowing an increased focus on core business activities.

Archway Finance and Operations (“AFO”) provides a full suite of administration options for the back office of Hedge Funds, Fund of Funds, Private Equity Funds, Family Offices and Private Banks. AFO has more than $25B in assets under administration (AUA) and maintains offices in the United States and Singapore. For AFO clients that qualify, a proprietary capital allocation service can be leveraged to access to market-specific knowledge in 133 countries. Connect with us.

Baker Tilly Virchow Krause, LLP is a nationally recognized full-service accounting and advisory firm whose specialized professionals connect with you and your business through refreshing candor and clear industry insight. Baker Tilly Virchow Krause, LLP is one of the 12 largest professional services firms in the US. As an independent member of Baker Tilly International, the world’s eighth largest network of accounting firms, we bring unparalleled transparency.

The Gemini Companies have over 30 years of experience in providing comprehensive pooled investment solutions to independent advisors and the investment community. Our services include helping clients bring their own investment vehicles to market and providing full-servicing of mutual funds, hedge funds, exchange-traded funds and other pooled investment products, including distribution services. The Gemini Companies also offer a Managed Account Platform and are a structured product platform sponsor.

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MARCH 6—9, 2016 | RITZ CARLTON | GRAND CAYMAN

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