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The Ontario Securities Commission

Cadillac Fairview Tower
22nd Floor, Box 55
20 Queen Street West
Toronto, Ontario
M5H 3S8

416-593-8314 or Toll Free 1-877-785-1555

Contact Centre – Inquiries, Complaints:

Office of the Secretary:

Published under the authority of the Commission by:

Thomson Reuters
One Corporate Plaza
2075 Kennedy Road
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M1T 3V4

416-609-3800 or 1-800-387-5164

Fax: 416-593-8122
TTY: 1-866-827-1295

Fax: 416-593-2318



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One Corporate Plaza
2075 Kennedy Road
Toronto, Ontario
M1T 3V4

Customer Support
1-416-609-3800 (Toronto & International)
1-800-387-5164 (Toll Free Canada & U.S.)
Fax 1-416-298-5082 (Toronto)
Fax 1-877-750-9041 (Toll Free Canada Only)
Email CustomerSupport.LegalTaxCanada@TR.com

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Chapter 1

Notices

1.1 Notices

1.1.1 CSA Staff Notice 13-315 (Revised) Securities Regulatory Authority Closed Dates 2021



CSA Staff Notice 13-315 (Revised) Securities Regulatory Authority Closed Dates 2021*

December 10, 2020

We have a review system for prospectuses (including long form, short form and mutual fund prospectuses), prospectus amendments, pre-filings, and waiver applications. It is described in National Policy 11-202 *Process for Prospectus Reviews in Multiple Jurisdictions* (NP 11-202).

Under NP 11-202, a filer that receives a receipt from the principal regulator will be deemed to have a receipt in each passport jurisdiction where the prospectus was filed. However, the principal regulator's receipt will only evidence that the Ontario Securities Commission (OSC) has issued a receipt if the OSC is open on the date of the principal regulator's receipt and has indicated that it is "clear for final". If the OSC is not open on the date of the principal regulator's receipt, the principal regulator will issue a second receipt that evidences that the OSC has issued a receipt on the next day that the OSC is open.

The following is a list of the closed dates of the securities regulatory authorities for 2021 and January 2022. Bracketed information indicates those jurisdictions that are closed on the particular date. Issuers should note these dates in structuring their affairs.

1. Saturdays and Sundays (all)
2. Friday, January 1 (all)
3. Monday, January 4 (QC)
4. Monday, February 15 (BC, AB, SK, MB, ON, NB, PE, NS)
5. Friday, February 26 (YT)
6. Monday, March 15 (NL)
7. Friday, April 2 (all)
8. Monday, April 5 (all except AB, SK, NU, ON)
9. Monday, May 24 (all)
10. Monday, June 21 (NL, YT, NT)
11. Thursday, June 24 (QC)
12. Thursday, July 1 (all)
13. Friday, July 2 (SK)
14. Friday, July 9 (NU)
15. Monday, July 12 (NL)
16. Monday, August 2 (all except YT, QC, NL, PE)

Notices

17. Wednesday, August 4 (NL*)
18. Monday, August 16 (YT)
19. Friday, August 20 (PE)
20. Monday, September 6 (all)
21. Monday, October 11 (all)
22. Thursday, November 11 (all except AB, ON, QC)
23. Thursday, December 23 (NT)
24. Friday, December 24 (NT, QC)
25. Friday, December 24 after 12:00 p.m. (NB, PE, NS), after 1:00 p.m. (YT, BC)
26. Monday, December 27 (all)
27. Tuesday, December 28 (all)
28. Wednesday, December 29 (NT)
29. Thursday, December 30 (NT)
30. Friday, December 31 (NT, QC)
31. Friday, December 31 after 12:00 p.m. (NB), after 1:00 p.m. (BC)
32. Monday, January 3, **2022** (all)
33. Tuesday, January 4, **2022** (QC)

*Weather permitting, otherwise observed on the first following acceptable weather day, such determination made on morning of holiday.

1.1.2 OSC Notice of Amendments to OSC Rule 45-501 Ontario Prospectus and Registration Exemptions relating to Syndicated Mortgages

OSC Notice of Amendments to OSC Rule 45-501 *Ontario Prospectus and Registration Exemptions relating to Syndicated Mortgages*

December 7, 2020

Introduction

The Ontario Securities Commission (the **OSC** or **we**) is making amendments to OSC Rule 45-501 *Ontario Prospectus and Registration Exemptions* (**OSC Rule 45-501**) relating to syndicated mortgages (the **Amendments**).

The Amendments were originally published for comment on March 15, 2019 (the **2019 Proposal**) and revised proposals were published for a second comment period on August 6, 2020 (the **2020 Proposal**).

In the same notice as the 2020 Proposal, the Canadian Securities Administrators (the **CSA**) published final amendments and changes (collectively, the **CSA Amendments**) to:

- National Instrument 45-106 *Prospectus Exemptions* (**NI 45-106**) and National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**); and
- Companion Policy 45-106CP *Prospectus Exemptions* (**45-106CP**) and Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations*.

The OSC made the CSA Amendments on February 4, 2020 and the Amendments on November 3, 2020. The notice for the CSA Amendments indicated that we would deliver the CSA Amendments to the Minister of Finance at the same time as the Amendments.

The Amendments, the CSA Amendments and other required materials were delivered to the Minister of Finance today. The Minister may approve or reject the Amendments and the CSA Amendments or return them for further consideration. If the Minister approves the Amendments and the CSA Amendments or does not take any further action by February 5, 2021, the Amendments and the CSA Amendments will come into force on the later of March 1, 2021 and the date that the amendments to the *Securities Act* (Ontario) (the **Act**) that repeal subsections 35(4) and 73.2(3) are proclaimed in force.

Substance and Purpose

The purpose of the Amendments and the CSA Amendments is to introduce additional investor protections related to the distribution of syndicated mortgages and to increase harmonization regarding the regulatory framework for syndicated mortgages across all CSA jurisdictions. In Ontario, this will result in the transfer of primary oversight of syndicated mortgages other than qualified syndicated mortgages and syndicated mortgages distributed to permitted clients from the Financial Services Regulatory Authority of Ontario (**FSRA**) to the OSC.

Summary of Changes to the 2020 Proposal

In response to comments received on the 2019 Proposal, the 2020 Proposal included proposed prospectus and registration exemptions for sales of syndicated mortgages to permitted clients and refined the definition of “qualified syndicated mortgage”.

We received 9 comment letters from 8 commenters in response to the 2020 Proposal. A summary of the comments and our responses are included in Annex A. We did not make any changes to the 2020 Proposal as a result of the comments received.

Impact on Investors

With respect to the exemptions for qualified syndicated mortgages or syndicated mortgages sold to permitted clients, there will be no change from the current regime as a result of the Amendments. FSRA will continue to exercise primary oversight of the distribution of qualified syndicated mortgages and syndicated mortgage transactions that involve only institutional or high-net-worth investors that fall within the definition of a permitted client. Given this alternative regulatory regime, we believe that it is appropriate for them to continue to be exempt from the prospectus and dealer registration requirements under securities legislation.

Anticipated Costs and Benefits of the Amendments

The anticipated costs and benefits of the Amendments are expected to be substantially the same as described in the 2020 Proposal.

Alternatives Considered

We considered adopting the 2020 Proposal in the original form as well as the alternatives suggested by the commenters as detailed in Annex A.

Unpublished Materials

In adopting the Amendments, we have not relied on any significant unpublished study, report or other written materials.

Authority for Amendments

The rule-making authority for the Amendments is as follows:

- prospectus exemption: paragraph 20 of subsection 143(1) of the Act.
- specifying that a trade in securities acquired under an exemption is a distribution: paragraph 48 of subsection 143(1) of the Act.
- registration exemption: paragraph 8 of subsection 143(1) of the Act.

Annexes

Annex A – Summary of Comments and Responses

Annex B – Amendments to OSC Rule 45-501 *Ontario Prospectus and Registration Exemptions*

Questions

Please refer your questions to any of the following:

David Surat
Senior Legal Counsel, Corporate Finance
416.593.8052
dsurat@osc.gov.on.ca

Matthew Au
Senior Accountant, Corporate Finance
416.593.8132
mau@osc.gov.on.ca

Melissa Taylor
Legal Counsel, Corporate Finance
416.596.4295
mtaylor@osc.gov.on.ca

Paul Hayward
Senior Legal Counsel, Compliance and Registrant Regulation
416.593.8288
phayward@osc.gov.on.ca

Adam Braun
Legal Counsel, Compliance and Registrant Regulation
416.593.2348
abraun@osc.gov.on.ca

ANNEX A

SUMMARY OF COMMENTS AND RESPONSES

Commenters
New Haven Mortgage Corporation/Integrated-Equities Inc. (Arjun Sharaf)
Cosman Mortgage Capital Corporation (Jason Cosman)
Investor Advisory Panel (Neil Gross)
Vector Financial Services Limited (Mitchell Oelbaum)
AUM Law (Kevin Cohen)
Foremost Financial Corporation (Evan Cooperman and Ricky Dogon)
The Canadian Advocacy Council for Canadian CFA Institute Societies
Firm Capital Corporation (Eli Dadouch)

General	
1.	<p>Summarized Comment: Several commenters expressed their general support for the proposed changes to the regulation of syndication mortgage investment activity in Ontario.</p> <p>Response: We thank the commenters for their support.</p>
2.	<p>Summarized Comment: One commenter expressed their preference for one regulator, but in the absence of that outcome agreed and appreciated that FSRA and the OSC had taken a reasonable approach as it relates to regulatory burden reduction.</p> <p>Response: We acknowledge the comment.</p>
3.	<p>Summarized Comment: One commenter noted that they would generally prefer the exemptions were the same in each province and territory but did not object to the expansion of those exemptions in Ontario. The commenter encouraged the CSA to continue to seek harmonization of prospectus and registration exemptions, whenever possible, and reduce duplicative regulation to help ease the compliance burden on issuers and registrants and improve understanding of the syndicated mortgage amongst investors and other market participants.</p> <p>Response: We acknowledge the importance of harmonization among the CSA.</p>
4.	<p>Summarized Comment: One commenter expressed concern that threshold dangers posed by syndicated mortgages for retail investors were not being addressed in the regulatory measures currently under consideration. The commenter noted that wealth is not a valid indicator of investment understanding or sophistication, and perpetuating this simplistic and faulty concept is no longer appropriate in an era where regulatory policy is meant to be evidence based.</p> <p>Response: The CSA Amendments are primarily intended to enhance investor protection for riskier types of syndicated mortgages marketed to retail investors through amendments to the offering memorandum prospectus exemption (the OM Exemption). The amendments to the OM Exemption are intended to enhance the ability of investors to understand the risks related to investing in syndicated mortgages and the extent to which the security interest in the property subject to the syndicated mortgage provides meaningful protection in the event of a default under the syndicated mortgage. The additional disclosure under the OM Exemption is also intended to assist registrants in discharging their obligations to their clients.</p> <p>In Ontario, where syndicated mortgages were previously exempt from the dealer registration requirement, investors will also benefit from the protections associated with the involvement of a registrant in the distribution.</p> <p>We also note that the permitted client exemptions are premised on the fact that FSRA will retain oversight of the syndicated mortgages. These exemptions specifically require the distribution or trade to be by a person or company registered or licensed under the <i>Mortgage Brokerages, Lenders and Administrators Act, 2006 (MBLAA)</i> and not a person or company relying upon an exemption from such registration or licensing.</p>

5.	<p>Summarized Comment: One commenter urged the OSC and FSRA to make sure the dividing line between their responsibilities for overseeing syndicated mortgages is made, and kept, absolutely clear to not expose investors to potential harm from gaps in regulatory coverage as a result of oversight being split between two agencies.</p> <p>Response: We acknowledge the importance of eliminating regulatory gaps. We expect that the definition of “qualified syndicated mortgage” under MBLAA will be revised to be substantially similar to that under OSC Rule 45-501 to create a clear dividing line.</p>
6.	<p>Summarized Comment: One commenter suggested eliminating (or grandfathering) alternative prospectus exemptions for retail investors on loans that originated prior to March 1, 2021 but which have future advances after that date.</p> <p>Response: Whether future advances would be subject to the prospectus or registration requirements under securities law would depend on whether such future advances are themselves additional distributions or trades. For example, if an investor is required to make such future advances as a condition of the initial distribution, the future advances may not be additional distributions or trades. Alternatively, the future advance may be in connection with a distribution in respect of which another prospectus exemption is available, such as the exemption for conversions, exchanges and exercises in subsection 2.42(1) of NI 45-106. However, this will depend on the specific facts of the initial distribution.</p>
7.	<p>Summarized Comment: One commenter was still unclear about who the issuer of a syndicated mortgage would be.</p> <p>Response: We recognize that there may be a variety of industry practices in terms of how syndicated mortgages are structured and offered to investors.</p> <p>Where a borrower enters into a mortgage with two or more persons participating as lenders under the debt obligation secured by the mortgage or enters into a mortgage with a view to the subsequent syndication of that mortgage to two or more purchasers, lenders or investors, the borrower is the issuer of the syndicated mortgage. Consequently, the obligations to comply with the conditions of the exemption and reporting requirements (including the filing of a report of exempt distribution) would fall on the borrower.</p> <p>There may be circumstances where a person other than the borrower may be an issuer of a syndicated mortgage. For example, where an existing or committed mortgage is syndicated among lenders by a party not acting on behalf of the borrower, that party will generally be an issuer of the syndicated mortgage.</p> <p>The determination of the identity of the issuer, or issuers, of a syndicated mortgage will depend on the facts and circumstances of the transaction. If a market participant is having difficulty after considering the guidance in section 3.8 of 45-106CP, we recommend that they consult with OSC staff.</p>
Qualified Syndicated Mortgage Exemption	
8.	<p>Summarized Comment: One commenter submitted that the definition of qualified syndicated mortgage should be the same throughout the CSA rules as well as in the FSRA rules. Another commenter recommended that the OSC and FRSA use the same definition of “qualified syndicated mortgage” and was of the view that the OSC definition was preferable.</p> <p>Response: The definitions are substantially harmonized across the CSA. We expect that the definition under MBLAA will be revised to be substantially similar to that in OSC Rule 45-501.</p>
9.	<p>Summarized Comment: One commenter submitted that a loan-to-value threshold of 90% is too high as the fair market value of a property can be volatile and depends on a variety of factors and the total loss in value of the property as a result of these factors can often amount to greater than 10%, which could lead to a loss in principal for the lender, compounded further if the lender is subordinated to others. The commenter suggested lowering the loan-to-value threshold to 75%, which is the typical maximum level used by conventional (uninsured) mortgage lenders. The commenter also noted that Quebec, Alberta and New Brunswick had proposed loan-to-value thresholds of 80% in their proposed local qualified syndicated mortgage exemptions, which would still be 5% off what the commenter believed to be the mortgage lender standard.</p> <p>Response: The loan-to-value restriction in the definition of “qualified syndicated mortgage” is not meant to indicate that qualified syndicated mortgages are safe investments but to address whether it is secured by property and not a mezzanine syndicated mortgage investment. We acknowledge that a qualified syndicated mortgage with loan-to-value of 90% may be riskier than one with a loan-to-value of 75% but this does not affect that both syndicated mortgages would be more like a conventional mortgage than an unsecured, equity-like investment.</p>
10.	<p>Summarized Comment: One commenter suggested that project size should and/or the number of partners involved in the transaction be factors when determining whether a syndicated mortgage is subject to regulation by the OSC or</p>

	<p>by FSRA. The commenter supported the idea of stricter regulation around the industry but was of the view that people with less capital should be afforded an opportunity without the burden of dual regulation to deal in smaller projects.</p> <p>Response: We have not made the suggested changes. Project size and the number of investors are not generally determinative as to whether investors require the protections provided by a registered firm or a prospectus. We also note that it would be easy for parties to structure investments to avoid limits on project size or number of investors so developing meaningful exemptions of this nature would introduce unnecessary complexity that would create a regulatory burden.</p>
Permitted Client Exemption	
11.	<p>Summarized Comment: One commenter recommended adding mortgage brokers and mortgage brokerages acting on their own behalf to the definition of permitted client. The commenter noted that persons or companies registered under securities legislation of a jurisdiction of Canada as an adviser or dealer are considered to be permitted clients and submitted that the same rationale would apply for mortgage brokers in respect of syndicated mortgages in that they should be sophisticated enough to make their own decision on investment and there is no effect on consumer protection when they want to invest themselves in opportunities. Another commenter recommended the definition of permitted client be expanded to include:</p> <ul style="list-style-type: none"> • a mortgage brokerage, its officers and directors, and their associated and related companies and family; • mortgage brokers and mortgage agents registered with the brokerage and their associated and related companies and family; and • any entity, including a limited partnership, mutual fund trust or corporation whose officer and director is the same officer and director of the mortgage brokerage. <p>Response: Since non-qualified syndicated mortgages are more similar to equity securities than conventional mortgages, we believe the current categories of permitted clients are appropriate.</p>
12.	<p>Summarized Comment: One commenter asked for clarification about whether a firm could choose to distribute syndicated mortgage to permitted clients under the OSC's regime.</p> <p>Response: An issuer or dealer of syndicated mortgages does not need to rely upon the prospectus and dealer registration exemptions for permitted clients in OSC Rule 45-501. If an issuer chooses not to rely upon the prospectus exemption for permitted clients, it would likely rely upon the accredited investor prospectus exemption. If a person or company chooses not to rely upon the dealer registration exemption for permitted clients, it would need to be registered as a dealer or rely upon another available exemption, such as using a third-party registered dealer. There may be requirements under MBLAA that would also apply.</p>
Accredited Investors	
13.	<p>Summarized Comment: One commenter strongly suggested that the OSC should only have regulatory oversight for non-qualified syndicated mortgages whether the investor is a true retail consumer and FSRA should retain oversight of distributions to:</p> <ul style="list-style-type: none"> • accredited investors, whereby no commission is being paid to secure such investors; • employees who are licensed as mortgage brokers and mortgage agents; and • close friends, family and business partners of the mortgage brokerage where such investors are not solicited from the general public. <p>The commenter was of the view that this would be consistent with the OSC regulating mortgage entities, such as mortgage trusts, limited partnerships and mortgage investment corporations who issue securities (shares, LP units, or trust units) to the public.</p> <p>Another commenter agreed that accredited investors should be carved-out from OSC oversight as their investors were 95% permitted clients or accredited investors and they would be required to send different documentation to different lenders in the same loan and keep track of who gets what.</p> <p>Response: We have not expanded the exemption as suggested by the commenter. We also note that the commenter was incorrect to suggest that exempting those classes of persons would be consistent with how mortgage trusts, limited partnerships and mortgage investment corporations are regulated. Even if such entities limit their distributions to the classes of persons described by the commenter, they are still subject to the prospectus and dealer registration</p>

	<p>requirements under securities legislation. We also would do not agree that some accredited investors are not retail investors.</p> <p>The exemptions in OSC Rule 45-501 are intended for persons and companies that only deal with permitted clients. If persons or companies deal with both permitted clients and non-permitted clients, it can rely on the exemptions in OSC Rule 45-501 in respect of the permitted clients but would need to rely upon other available prospectus and registration exemptions for the non-permitted clients.</p>
14.	<p>Summarized Comment: One commenter asked that we consider additional steps to further reduce the regulatory burden to the extent that syndications cover accredited investors and permitted clients but not retail investors.</p> <p>Response: We have not made the suggested change. We do not agree that some accredited investors are not retail investors. We are always considering steps to reduce regulatory burden as part of our policy projects and general initiatives to reduce regulatory burden.</p>
Audited Financial Statements	
15.	<p>Summarized Comment: Two commenters submitted that the current requirement for audited financial statements for a borrower in a non-qualified syndicated mortgage investment is burdensome, not practical, and should be removed.</p> <p>Response: Under securities law, audited financial statements of a borrower would only be required if the syndicated mortgage is distributed under the OM Exemption. This requirement applies to all issuers that rely on this exemption and since the exemption is targeted to retail investors we think this requirement is appropriate.</p>
Appraisal	
16.	<p>Summarized Comment: One commenter was of the view that a 6-month or 12-month updated appraisal requirement would not be practical on construction projects. The commenter noted that they typically obtain “as-is” and “as-complete” appraisals at the start of a project but to obtain an appraisal on a project in progress is costly and it is unlikely the borrower or investor would be willing to bear these costs. Furthermore, it is extraordinarily difficult to value a project during construction because the universe of potential buyers is reduced. The commenter requires appraisals on all properties prior to approving a loan, which they consider to be reasonable and responsible and no prudent lender should lend without an appraisal from an accredited provider, but noted it does not seem practicable to require further appraisals on construction projects in progress.</p> <p>Another commenter raised similar concerns regarding appraisals for construction projects and recommended that the requirement revert to the initially proposed 12-month dating.</p> <p>A third commenter suggested that there was a proposal that every transaction have an appraisal that is not older than 12 months.</p> <p>Response: The appraisal requirement is only required when an issuer distributes a syndicated mortgage under the OM Exemption. We reduced the requirement for the date of the appraisal to be within 12 months preceding the date the appraisal is delivered to the purchaser to 6 months as a result of comments received that 12 months was too long. We would not expect that syndicated mortgages in respect of construction projects will be distributed to retail investors under the OM Exemption so the concerns expressed should not materialize.</p>
Disclosure Documents and Marketing Materials	
17.	<p>Summarized Comment: One commenter submitted that regulators should be mindful of the fact that syndicated mortgages can be misrepresented, and mistakenly viewed, as being safe and secure when they are aggressively market to the public as “secured” investments. The commenter suggested this can be mitigated only by prohibiting representations and statements that imply a syndicated mortgage is a safe or secure investment. In addition, marketing materials and presentations should be prohibited from containing statements that the investment is “mortgage-backed” or “secured by a mortgage registered on title” unless the materials and presentations immediately state, with equal prominence, that: (a) the mortgage does not make the investment secure or guarantee repayment because the value of the land may be insufficient to cover all debts, including those that may rank ahead of the syndicated mortgage lenders, and (b) a syndicated mortgage therefore is an inherently risky investment in which investors may lose some or all of the money they invest.</p> <p>Response: We remind issuers that while some prospectus exemptions do not prescribe disclosure to be given to prospective investors, if an issuer chooses to provide information, including presentations and marketing materials, that would fall within the broad definition of “offering memorandum” in subsection 1(1) of the <i>Securities Act</i> (Ontario) (the Act) then the requirements of Part 5 of OSC Rule 45-501 and liability for misrepresentations under section 130.1 of the Act may apply.</p>

	<p>In addition, Ontario securities law already contains a number of prohibitions on persons and companies making statements, in connection with a sale of securities, that are untrue or omit information necessary to prevent the statement from being false or misleading in the circumstances in which they are made. See, for example, subsection 44(2) of the Act.</p> <p>Finally, we note that, as a result of the transition of regulatory oversight over non-qualifying syndicated mortgages to the OSC, the sale of such securities to retail investors will generally need to be made through a registered dealer. As the Commission has noted on a number of occasions, the registration requirement is a cornerstone of the securities regulatory framework. It is an important gate-keeping mechanism that protects investors and the capital markets by imposing obligations of proficiency, integrity and solvency on those who seek to be engaged in the business of trading in securities with or on behalf of the public. See Re Money Gate Mortgage Investment Corporation et al., dated December 17, 2019 at 140.</p> <p>Registered dealers are subject to important obligations under Ontario securities law, including obligations in relation to dealing fairly, honestly and in good faith with clients, know-your-client (KYC), know-your-product (KYP) and suitability obligations, conflicts of interest and client relationship disclosure. In accordance with these obligations, registered dealers are generally expected to review marketing materials used to distribute securities to ensure the materials are fair, balanced and not misleading. Registered firms are encouraged to review the guidance in CSA Staff Notice 31-325 Marketing Practices of Portfolio Managers and the guidance on “Unsubstantiated claims, unbalanced or misleading information and inadequate disclosure in marketing materials” at pages 24-26 of ASC Staff Notice 33-705 Exempt Market Dealer Sweep.</p>
Reports of Exempt Distribution	
18.	<p>Summarized Comment: One commenter was of the view that reports of exempt distribution should be required for distributions of qualified syndicated mortgages or distributions to permitted clients unless FSRA in fact required and collected equivalent reports of such trades.</p> <p>Response: Regulatory oversight by FSRA is an important feature of the prospectus and registration exemptions for both qualified syndicated mortgages and permitted clients. Both exemptions require the distribution or trade to be by a person or company registered or licensed under MBLAA and not a person or company relying upon an exemption from such registration or licensing. Reporting requirements will be divided between the OSC and FSRA depending upon which will have primary oversight.</p>
19.	<p>Summarized Comment: One commenter suggested eliminating the requirement for filing multiple reports of exempt distribution on loans with multiple advances over the course of the loan (<i>i.e.</i>, construction).</p> <p>Response: Whether subsequent advances would require another report of exempt distribution to be filed would depend on whether such subsequent advances are themselves additional distributions. For example, if an investor is required to make such subsequent advances as a condition of the initial distribution, the subsequent advances may not be additional distributions. Alternatively, the subsequent advance may be in connection with a distribution in respect of which another prospectus exemption is available that does not require a report of exempt distribution to be filed, such as the exemption for conversions, exchanges and exercises in subsection 2.42(1) of NI 45-106. However, this will depend on the specific facts of the initial distribution.</p>
20.	<p>Summarized Comment: Several commenters encouraged a reduction in the frequency of filing reports of exempt distribution, the costs of filings or, ideally, both. One commenter noted that based on their current syndication volumes, they estimate the cost of filing reports of exempt distribution would increase by \$10,000 to \$20,000 per year. Another commenter estimated the incremental costs of being required to file reports of exempt distribution as \$10,000 to \$12,000 per year.</p> <p>Response: As part of our burden reduction efforts, we are looking at our activity fees including the fee for reports of exempt distribution.</p>
21.	<p>Summarized Comment: One commenter asked for clarification about whether a lender can file a report of exempt distribution that covers the distributions of multiple non-qualified syndicated mortgages made during a 10-day period.</p> <p>Response: If an issuer has distributed multiple syndicated mortgages during a 10-day period, the issuer may file one report of exempt distribution for those distributions.</p>

Registered Dealers	
22.	<p>Summarized Comment: One commenter welcomed the migration to a principles-based regime that does not require prescribed forms for accredited investors.</p> <p>Response: We thank the commenter for their submission. We also remind firms that they have an obligation to collect KYC information under section 13.2 of NI 31-103 and assess a client’s suitability under section 13.3 of NI 31-103. These are among the most fundamental obligations owed by registrants to their clients. The OSC does not require prescribed forms, but firms may not meet this obligation by conducting a “check-the-box” exercise. We expect registrants to perform a meaningful suitability assessment and to appropriately document that assessment.</p>
23.	<p>Summarized Comment: One commenter suggested that the OSC grant proficiency relief and EMD registration restrictions tied to real credit and equity investments to any mortgage brokerage who has been in the business for 20 years or longer, who has an administration licence for 20 years or longer, and who has never had investor complaints filed against them with FSRA (or the predecessor regulator).</p> <p>Response: In limited circumstances, the OSC may consider granting relief from the proficiency requirements to be registered as a dealing representative of an EMD. These exemptive relief applications are reviewed on a case-by-case basis and will depend on the circumstances of the individual applying. The OSC may also impose terms and conditions on the individual or the registered firm sponsoring the individual in order to limit their specific activities.</p>
24.	<p>Summarized Comment: One commenter asked for clarification about whether an OSC registrant engaging in the brokerage of mortgages would be subject to capital market participation fees on mortgage brokerage revenue (i.e., fees paid by borrowers to mortgage brokers).</p> <p>Response: OSC staff have previously published guidance in relation to the calculation of participation fees paid by registrants in connection with mortgage brokerage activities in OSC Staff Notice 33-749 Compliance and Registrant Regulation – Annual Summary Report for Dealers, Advisers and Investment Fund Managers.</p> <p>As explained in that guidance, a registered firm is required to calculate and remit, by December 31 of each year, the participation fee shown in Appendix B to OSC Rule 13-502 <i>Fees</i> (the Fees Rule) opposite the firm’s “specified Ontario revenues” for the previous financial year of the firm.</p> <p>Although a registered firm is permitted to deduct certain revenues not attributable to “capital markets activities”, as defined in the Fees Rule, firms are generally not permitted to deduct fees that come within the definition of “capital markets activities”, such as origination fees and renewal fees paid to a registered firm in connection with mortgage financings. The term “capital markets activities”, as defined in the Fees Rule, means “activities for which registration is required, or activities for which an exemption from registration is required under the Act...”.</p> <p>OSC staff are continuing to review various matters relating to the appropriate calculation of participation and activity fees under the Fees Rule in connection with the OSC’s regulatory burden initiative. If a registrant firm identifies a situation whereby the imposition of a participation fee or activity fee would be duplicative or unduly burdensome, the firm is encouraged to contact staff.</p>
25.	<p>Summarized Comment: One commenter noted that individuals who participate in sourcing both the opportunity and investors for a non-qualified syndicated mortgages as part of their business activities can currently receive income relating to all such efforts into a corporation that they own but exemptive relief or tailored terms and conditions would be required for this to be possible for an OSC registrant. The commenter recommended that OSC Staff provide comfort to the industry that if the right safeguards are in place, non-registered entities can receive payments that will be reported as business income.</p> <p>Response: An individual who “participates in sourcing both the opportunity and investors for non-qualified syndicated mortgages as part of their business activities” will generally be considered to be “in the business of trading securities” and therefore required to register as a dealer (or a representative of a dealer) or rely on an exemption from registration to conduct such activities.</p> <p>OSC staff generally take the view that the use of a directed commission structure (i.e., directing that an issuer or intermediary pay commissions to an unregistered holding company owned by the individual) may breach the requirements of Ontario securities law, particularly where payments are being made to an unregistered entity for the ostensible performance of registerable services by the unregistered entity. OSC staff take the view that directed commission arrangements cannot be used to shield assets from clients in the case of a client complaint or regulatory action and that regulators have full access to the books and records for any entity that receives directed commissions.</p> <p>These issues are not unique to the distribution of syndicated mortgages and are therefore outside the scope of this initiative.</p>

26. **Summarized Comment:** One commenter noted that the OSC has imposed terms and conditions on third-party EMDs so that some individuals originating non-qualified syndicated mortgages cannot become registered as dealing representatives on a third-party platform. These terms and conditions will require these individuals/small businesses either to: (1) pay additional fees to a third-party EMD to perform additional functions, or (2) dedicate or hire an additional resource internally to take this on this responsibility. The commenter was of the view that such terms and conditions no longer appear to be warranted and asked that OSC Staff provide comfort that a principal of a non-qualified syndicated mortgaged could be a dealing representative on a third-party platform if a proper compliance regime is in place (including clear insight into the flow of all funds associated with a transaction).

Response: The commenter appears to be referencing a business model that is not unique to syndicated mortgages and that is described in [Re Waverley Corporate Financial Services Ltd.](#), dated March 1, 2017. OSC staff continue to be guided by the principles articulated by the Commission in that decision. If the commenter has any questions, we encourage the commenter to reach out to staff to discuss.

ANNEX B

AMENDMENTS TO
ONTARIO SECURITIES COMMISSION RULE 45-501 *ONTARIO PROSPECTUS AND REGISTRATION EXEMPTIONS*

1. ***Ontario Securities Commission Rule 45-501 Ontario Prospectus and Registration Exemptions is amended by this Instrument.***

2. ***Section 1.1 is amended by adding the following definitions:***

“qualified syndicated mortgage” means a syndicated mortgage that satisfies all of the following:

- (a) the syndicated mortgage secures a debt obligation on property that satisfies all of the following:
 - (i) it is used primarily for residential purposes;
 - (ii) it includes no more than four units;
 - (iii) it includes no more than one unit that is used for non-residential purposes;
- (b) the syndicated mortgage does not secure a debt obligation incurred for the construction or development of property;
- (c) at the time the syndicated mortgage is arranged, the amount of the debt it secures, together with all other debt secured by mortgages on the property that have priority over, or the same priority as, the syndicated mortgage, assuming in all cases that the maximum amounts of any such mortgages are fully drawn, does not exceed 90 per cent of the fair market value of the property relating to the mortgage, excluding any value that may be attributed to proposed or pending development of the property;
- (d) the syndicated mortgage cannot be subordinated to future financing without the consent of each lender;
- (e) there is no existing agreement that requires any lender of the syndicated mortgage to consent to future subordination of the syndicated mortgage;
- (f) no person has the ability to consent to future subordination of the syndicated mortgage on behalf of the lenders of the syndicated mortgage without obtaining the consent of each lender;

“syndicated mortgage” means a mortgage in which two or more persons participate, directly or indirectly, as a lender in a debt obligation that is secured by the mortgage;.

3. ***Part 2 is amended by adding the following section:***

2.10 Mortgages –

(1) The prospectus requirement does not apply to a distribution of

- (a) a mortgage, other than a syndicated mortgage, on real property in a jurisdiction of Canada,
- (b) a qualified syndicated mortgage on real property in a jurisdiction of Canada, or
- (c) a syndicated mortgage on a real property in a jurisdiction of Canada to a permitted client,

by a person that is registered or licensed under the *Mortgage Brokerages, Lenders and Administrators Act, 2006*.

(2) The first trade in a security acquired under paragraph (1)(c) is a distribution..

4. ***Part 3 is amended by adding the following section:***

3.5 Mortgages – The dealer registration requirement does not apply in respect to a trade in

- (a) a mortgage, other than a syndicated mortgage, on real property in a jurisdiction of Canada,
- (b) a qualified syndicated mortgage on real property in a jurisdiction of Canada, or

(c) a syndicated mortgage on a real property in a jurisdiction of Canada with a permitted client, by a person that is registered or licensed under the *Mortgage Brokerages, Lenders and Administrators Act, 2006*.

5. This Instrument comes into force on the later of the following:

- (a) March 1, 2021; and
- (b) the day on which sections 4 and 5 of Schedule 37 to Bill 177, *Stronger, Fairer Ontario Act (Budget Measures), 2017* are proclaimed into force.

1.1.3 CSA Staff Notice 55-317 – Automatic Securities Disposition Plans



Canadian Securities
Administrators

Autorités canadiennes
en valeurs mobilières

CSA Staff Notice 55-317
Automatic Securities Disposition Plans

December 10, 2020

1. Introduction

The purpose of this notice is to set out practices recommended by staff (**Staff or we**) of the Canadian Securities Administrators (**CSA**) for issuers and insiders in relation to the establishment, administration and disclosure of Automatic Securities Disposition Plans (**ASDPs** or **plans**). Typically, an ASDP is an arrangement between an insider and a dealer or a plan administrator that involves the sale of securities of an issuer over a predetermined period and in accordance with a predetermined set of instructions.

Important concerns with respect to ASDPs have recently been raised, both in terms of good corporate governance and public confidence in the fairness of our capital markets. Insiders generally control the timing of the adoption of ASDPs, which can raise questions about whether the plans are made in good faith and whether insiders are in possession of material non-public information (**MNPI**) at the time the plans are adopted. Insiders may also generally amend, suspend or terminate plans, which could make it possible to misuse plans.

Staff is providing guidance relating to ASDPs to reduce the potential for improper insider trades under these plans. This guidance can also assist issuers and insiders in managing market perception of insider trades under ASDPs.

This notice does not modify any existing legal requirements or create new ones. Staff notes that there is an insider trading defense or exemption available under securities legislation, where the trade in securities is made under an “automatic plan” entered into prior to the insider acquiring knowledge of MNPI (**Legal Defense**). Some of the recommended practices outlined in this guidance may be relevant for insiders when considering whether they can rely on the Legal Defense. In addition, in the view of Staff, the processes outlined in this guidance are consistent with the principles of good corporate governance and transparency in connection with the establishment and use of ASDPs and the reporting of trades under the plans.

2. Background

Under securities legislation, insiders are generally prohibited from trading in an issuer’s securities with knowledge of MNPI. However, insiders may rely on the Legal Defense when their trades are made under an “automatic plan” referred to in securities legislation. Insiders that are “reporting insiders” as defined in National Instrument 55-104 *Insider Reporting Requirements and Exemptions* (**NI 55-104**) are required to file an insider report each time there is a trade in securities of the issuer by or on behalf of the insider under an ASDP in accordance with NI 55-104.

We note that executive officers and directors are increasingly being encouraged to build and hold a significant level of securities ownership in the issuers that they manage or oversee in order to align their interests with other security holders. While the issuer’s securities may form an important part of compensation, the insider trading prohibition under securities legislation and regular exposure to MNPI may limit the ability of insiders to sell the securities they receive as part of their compensation arrangements and often results in insiders being unable to trade securities for extended periods of time.

We recognize that a well-designed and well-administered ASDP can be a legitimate mechanism for trading by insiders. However, it is important to ensure that ASDPs contain meaningful conditions and restrictions to ensure that insiders are not able to benefit from MNPI with respect to the issuer and that ASDPs are automatic in substance.

3. Guidance on the establishment and administration of ASDPs

We encourage issuers and insiders to consider the following guidance when establishing and using ASDPs and reporting trades under the plans. Following the recommendations presented in this notice is not a substitute for a legal determination regarding the availability of the Legal Defense to protect insiders from insider trading liability. As such, insiders should perform their own analysis to determine whether the Legal Defense has been satisfied.

3.1 Establishment of the plan

Entering into the plan by insider

To address concerns that a plan may be contrary to the public interest, ASDPs should be entered into by an insider in good faith, and not for the purpose of evading the insider trading prohibition. In addition, the Legal Defense will not be available if the plan is entered into when the insider is in possession of MNPI with respect to the issuer.

We note that many issuers have adopted an insider trading policy that imposes trading blackouts at certain times¹. This is intended to prevent trading at times when there is a heightened risk that insiders have MNPI. Trading blackouts are also intended to prevent the appearance of questionable trading, and to protect the reputation of the issuer. Insiders should review and comply with the issuer's insider trading policy, including any stipulations on when plans may be entered into. In the absence of such stipulations, we recommend that issuers consider amending their insider trading policies to include a specific restriction against entering into ASDPs during trading blackouts.

Oversight by issuer

We recommend that the issuer oversee the establishment and use of ASDPs by its insiders to ensure that the plans and the insiders comply with securities legislation and any insider trading policy or other relevant internal policies that the issuer may have adopted².

Oversight of ASDPs by an issuer contributes to their legitimacy and the issuer and its insiders would, in Staff's view, benefit from the involvement of the issuer. This involvement could reduce reputational exposure for the issuer and litigation risks potentially linked to the improper use of ASDPs by the insider. If the ASDP is not established by the issuer, then we encourage insiders to notify the issuer of their intent to enter into an ASDP in order to enable the issuer to provide guidance and oversight of the ASDP to the insider.

As part of its oversight and to minimize its risks, we recommend that the issuer review the terms and conditions of ASDPs to assess whether they are automatic in substance and contain protections against inappropriate trading activities by insiders. In addition, we recommend that the insider request that the issuer certify to the dealer that, to the best of the issuer's knowledge, the insider is not in possession of MNPI when entering into the ASDP and that the ASDP is entered into in accordance with any insider trading policy or other relevant internal policies of the issuer.

As part of its risk mitigation, we recommend that the issuer take reasonable steps to periodically confirm that the insider continues to comply with the terms and conditions of the ASDP and any insider trading policy or other relevant internal policies adopted by the issuer.

We also particularly recommend that the issuer monitor the use of the ASDP upon the occurrence of significant events in the life of the issuer before those significant events are publicly disclosed. Examples of significant events include transactions such as a merger, an acquisition or a divestiture, or a material change affecting an issuer's business, operations or capital. Staff is of the view that monitoring the use of the plan when a significant event occurs in this manner would also assist the issuer in considering whether any amendment, suspension or termination of the plan is appropriate during a period in which the insider may be in possession of MNPI.

3.2 Administration of the plan

Trading parameters and other instructions

We recommend that the insider provide clear trading parameters and other instructions in writing to the dealer or plan administrator at the time of entering into the ASDP. The plan should either include a formula or specify the number of securities to be sold, and set out any minimum trade price and any date or frequency of sales. Providing pre-determined trading parameters or other instructions when entering into the plan would reduce the risk of the insider attempting to make discrete investment decisions, such as influencing the timing of trades or the number of securities to be sold.

We also recommend that the plan prohibit the dealer from consulting with the insider regarding any sales under the plan and prohibit the insider from disclosing to the dealer any information concerning the issuer that might influence the execution of the plan.

¹ We note that section 6.10 of National Policy 51-201 *Disclosure Standards* contains guidance as to insider trading policies and trading blackout periods.

² In Quebec, contrary to what is provided under securities legislation in other provinces and territories, an automatic plan must be established by an issuer in order to be used for the purposes of the Legal Defense.

Minimum term

While the term of an ASDP is generally set to meet the needs of the insider, we recommend that the term be sufficiently long to avoid any potential use of MNPI (for example, 12 months).

Although we recognize that it may be the result of legitimate trading parameters and other instructions, we recommend avoiding concentrating trades at the beginning of the term of a plan to help insiders manage the perception in the market that trades were timed to benefit from MNPI or that information was withheld to the market to benefit insiders.

Waiting period

We recommend that trades under an ASDP do not start before the issuer's next interim financial report or annual financial statements, as the case may be, have been filed.

We are of the view that the waiting period, which is the period between the establishment of an ASDP and the first transaction made under the plan, is key to the legitimacy of ASDPs. The longer the waiting period, the more likely any insider's MNPI will be obsolete or publicly disclosed prior to the commencement of trading under the plan.

Amendments, suspension and termination

We recommend that an ASDP contain meaningful restrictions on the ability of the insider to amend, suspend or terminate the plan that have the effect of ensuring that the insider cannot benefit from MNPI.

Amendments to the terms and conditions of an ASDP, such as its trading parameters and other instructions, as well as the suspension or termination of an ASDP by an insider, may give rise to a perception that the change to the plan is motivated by MNPI possessed by the insider and could call into question the automatic nature of the plan. However, we recognize that a plan may need to be amended, suspended or terminated for legitimate reasons in certain circumstances. In addition, we recognize that the ASDP may provide for pre-established automatic suspension or termination events (such as the death of the insider, the bankruptcy of the issuer, the entering into takeover bids, arrangements, mergers, acquisitions or other transactions affecting the securities of the issuer).

We therefore recommend imposing the following meaningful restrictions on an insider's ability to amend, suspend or terminate an ASDP, among other restrictions which may be considered appropriate:

- imposing a limit on the number or nature of permitted amendments;
- prohibiting any amendment, suspension or termination during trading blackouts under the issuer's insider trading policy;
- requiring that the insider represent to the dealer or plan administrator that the insider is not in possession of MNPI at the time of the amendment, suspension or termination;
- requiring the insider to request that the issuer certify to the dealer or plan administrator that, to the best of the issuer's knowledge, the insider is not in possession of MNPI when amending, suspending or terminating the ASDP;
- requiring the insider to request that the issuer certify to the dealer or plan administrator that the ASDP is amended, suspended or terminated in accordance with any insider trading policy or other relevant internal policies of the issuer;
- imposing the waiting period recommended above after any amendment or suspension;
- requiring that the issuer or the insider disclose in a news release filed on SEDAR³ the circumstances that led to the amendment, suspension or termination and, where applicable, the nature of the amendment, together with a representation by the insider that the insider was not in possession of any MNPI at the time of such amendment, suspension or termination;
- obtaining the approval of the board of directors of the issuer for any amendment, suspension or termination.

To help manage perception in the market, we also recommend that an insider consider whether changing the number of the issuer's securities sold under the plan through discrete investment decisions to sell the securities outside the ASDP, or establishing overlapping plans, could be considered an indirect amendment to the plan.

³ References to SEDAR in this notice mean the System for Electronic Document Analysis and Retrieval as at the date of this notice, and also include any successor to that system.

4. Guidance on disclosure of ASDPs

Disclosure regarding the ASDP

In order to enhance transparency of trading by insiders in the market, we recommend that the issuer or the insider disclose relevant information regarding the ASDP by way of a news release filed on SEDAR.

Specifically, we recommend that the issuer or the insider publicly disclose the establishment of the plan and the plan's principal terms and conditions, such as the parties to the plan, its term, the waiting period before the trades can start under the plan and the restrictions on the ability of the insider to amend, suspend or terminate the plan. Such disclosure would also benefit issuers as it would help them manage market perception of the sale of securities by insiders.

In addition, we recommend that the news release indicate the number of securities to be sold under the ASDP and the minimum price at which these securities can be sold, if such a minimum price is specified in the trading parameters provided in the ASDP. This disclosure could provide valuable information for the market as to the insider's views of the issuer's prospects.

As already discussed in this notice, we also recommend that the market be made aware by way of a news release of any special circumstances occurring in connection with the plan, such as its amendment, suspension or termination.

Disclosure in insider reports

When filing insider reports, we recommend that an insider specify in the comment section that the trades were made under an ASDP.

This disclosure would enable the market to understand that the information provided under each subsequent report does not reflect discrete investment decisions made by the insider but is instead related to a previously announced ASDP. We also remind insiders that the transfer of an insider's securities to the dealer or plan administrator for the purpose of an ASDP is a transfer that should be reported in accordance with section 3.3 of NI 55-104, which requires an insider to file a report disclosing all transfers of control over the securities they hold in the issuer.

Questions

Please refer your questions to any of the following:

Martin Latulippe
Senior Regulatory Advisor
Continuous Disclosure
Autorité des marchés financiers
514-395-0337, ext. 4331
martin.latulippe@lautorite.qc.ca

Livia Alionte
Continuous Disclosure Analyst
Continuous Disclosure
Autorité des marchés financiers
514-395-0337, ext. 4336
livia.alionte@lautorite.qc.ca

Roxane Gunning
Legal Counsel
Corporate Finance
Ontario Securities Commission
416-593-8269
rgunning@osc.gov.on.ca

Laura Lam
Senior Legal Counsel
Legal Services, Corporate Finance
British Columbia Securities Commission
604-899-6792
llam@bcsc.bc.ca

Lanion Beck
Senior Legal Counsel
Corporate Finance
Alberta Securities Commission
403-355-3884
lanion.beck@asc.ca

Tracy Clark
Senior Legal Counsel
Corporate Finance
Alberta Securities Commission
403-355-4424
tracy.clark@asc.ca

Mikale White
Legal Counsel, Securities
Financial and Consumer Affairs Authority of
Saskatchewan
306-798-3381
mikale.white@gov.sk.ca

Ella-Jane Loomis
Senior Legal Counsel, Securities
Financial and Consumer Services Commission (New Brunswick)
506-453-6591
ella-jane.loomis@fcnb.ca

1.1.4 OSC Staff Notice 45-717 Ontario's Exempt Market

OSC Staff Notice 45-717 *Ontario's Exempt Market* is reproduced on the following separately numbered pages. Bulletin pagination resumes at the end of the Notice.

Ontario's Exempt Market

*A review of capital raised in Ontario through
prospectus exemptions since 2017*

OSC Staff Notice 45-717

December 2020

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Executive Summary

In 2019, approximately 3,200 corporate (non-investment fund) issuers reported \$88.6 billion in capital raised, through prospectus exempt distributions, from approximately 35,200 Ontario investors. This report¹ highlights the key drivers of Ontario's private or "exempt market" activity since 2017², including the types of issuers that raised capital and the investors they raised it from.

Since 2017, there has been a marginal decline in the amount of capital raised each year. However, the number of issuers raising capital in Ontario's exempt market³ has remained relatively stable and investor participation, primarily among individuals⁴, has increased considerably over the same period.

Our findings in this report include:

Issuer and Investor Trends

- Institutional investors were the predominant source of capital in Ontario's exempt market.
- The accredited investor exemption accounted for the majority of capital raised by Canadian and foreign issuers.
- There has been notable year-over-year growth in the number of individual investors, with a large and increasing proportion investing in financial issuers⁵.

Newer Prospectus Exemptions

- From 2017 to 2019, the offering memorandum; family, friends and business associates; and existing securities holder exemptions have been used by over 1,300 issuers to raise just over \$1 billion.
- The offering memorandum exemption continues to be predominantly used by mortgage and real estate issuers to raise capital from individual investors.

Ontario Issuers

- Since 2017, exempt market activity by Ontario-based non-financial issuers has declined, whereas activity by financial issuers has increased.
- Ontario non-financial issuers with less than \$5 million in total assets accounted for over a third of all Ontario issuers that accessed Ontario's exempt market but less than 3% of the capital raised in 2019.

¹ This report is based on data obtained from the Form 45-106F1 Report of Exempt Distribution ("the F1 Report") filed with the OSC by corporate issuers that raised capital from Ontario investors under reportable prospectus exemptions. Only certain prospectus exemptions trigger a requirement to file an F1 Report and so the information gathered from the filings does not represent all exempt market activity. For more information on which exemptions require the filing of an F1 Report in Ontario, see Part 6: Reporting Requirements of National Instrument 45-106 *Prospectus Exemptions*. The data in this report was collected at a point in time and may not incorporate the latest filer amendments or late filings. In addition, "data cleaning" methods were applied to exclude erroneous or identifiable duplicate records that were filed.

² For more information on the OSC Exempt Market Report 2018, see OSC Staff Notice 45-716. Figures for 2017 cited in this report may differ slightly from those provided in the 2018 report as a result of amendments, re-filings and late filings.

³ For more information about the exempt market, please see: "The Exempt Market at" <<http://www.osc.gov.on.ca/en/exempt-market.htm>> and "The Exempt Market Explained" at <<https://www.getsmarteraboutmoney.ca>>.

⁴ For the purpose of this report, "individual investor" (or "individuals") refers to investors that were identified by their full legal name and not a corporation name or legal entity name. In some cases, individual investors may also include named individuals that were purchasing on behalf of a beneficial owner. "Institutional" refers to institutional investors and other non-individuals such as companies, trusts or managed accounts purchasing on behalf of a beneficiary or group of beneficiaries.

⁵ For the purpose of this report, "financial issuers" include issuers identified in the finance, real estate and mortgage sectors. Issuer sector categories were based on their reported NAICS (North American Industry Classification System) code with the exception of mortgage issuers, which were identified based on additional OSC staff research.

Market Composition and Annual Trends



Market Composition in 2019

The high-level breakdown of capital raising activity in 2019, below, demonstrates that while Ontario's exempt market is comprised of a diverse set of participants, a small number of institutional investors and foreign issuers account for a disproportionately larger share of capital raised. The exempt market also serves as an additional source of capital for both public (reporting) and private (non-reporting) issuers.



Other Key Components

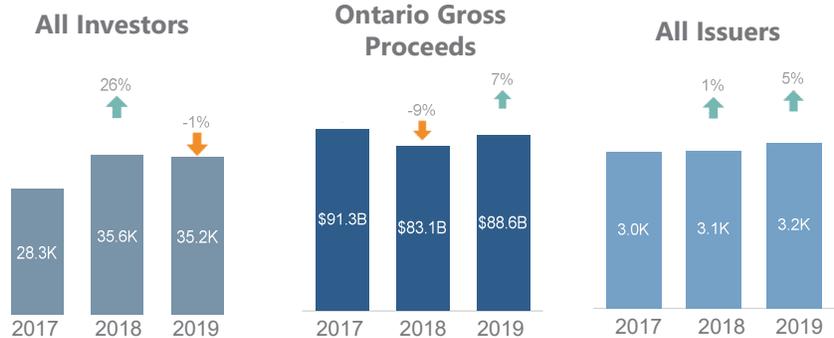


⁶ Non-debt securities includes all classes of shares, preferred shares, flow-through shares, partnership units, depository receipts, subscription receipts and other securities that are not convertibles, rights, bundled units or debt related securities.

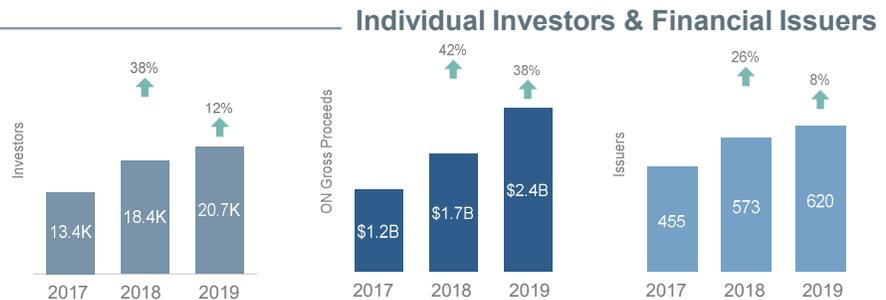
⁷ See definition of "accredited investor" in Part 1: Definitions and Interpretation of National Instrument 45-106 *Prospectus Exemptions*.

Annual Trends

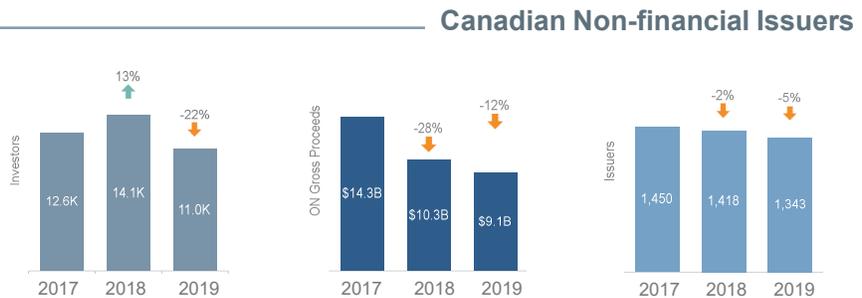
While annual gross proceeds raised from Ontario investors declined slightly from their 2017 levels, investor participation, primarily by individual investors, has increased over the last two years. This growth is mainly concentrated in financial issuers as shown below.



Investments by individual investors in all financial issuers continues to grow.



Aggregate capital raised by Canadian non-financial issuers from Ontario investors has declined since 2017.



Ontario investors (mostly institutional) continue to allocate a large amount of capital to foreign, especially U.S. based, issuers.



Annual Trends – Capital Raising Exemptions

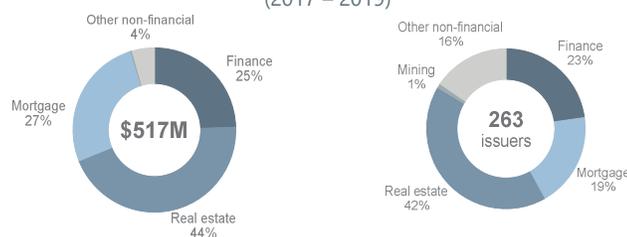
From 2017 to 2019, the offering memorandum (**OM**), family, friends and business associates (**FFBA**) exemption and existing securities holder (**ESH**) exemptions have been used by over 1,300 issuers to raise just over \$1 billion in aggregate.⁸

Among these exemptions, the OM exemption was used to raise the most capital and from a greater number of investors, while the FFBA exemption was used by the most number of issuers. The ESH has been used by a very limited number of issuers to raise a small amount of capital over the last three years. There has been no reported use of the crowdfunding exemption to raise capital from Ontario investors since it came into effect.⁹

		ON Gross Proceeds	Median Issuer Gross Proceeds	Issuers	Investors
Offering memorandum	2017	\$136M	\$200K	157	5.8K
	2018	\$180M	\$203K	150	8.6K
	2019	\$202M	\$327K	127	9.3K
Family, friends & business assoc.	2017	\$170M	\$50K	464	2.3K
	2018	\$163M	\$60K	482	3.3K
	2019	\$156M	\$50K	456	2.6K
Existing security holder	2017	\$2M	\$20K	31	0.1K
	2018	\$1M	\$15K	24	0.1K
	2019	\$1M	\$20K	31	0.1K

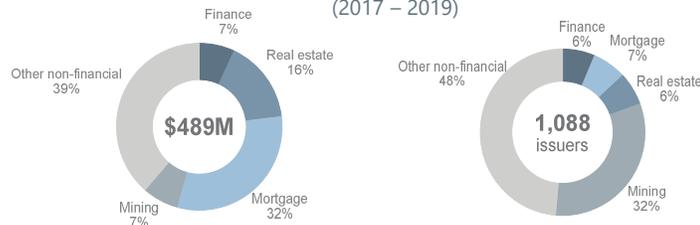
The OM exemption has been predominantly used by mortgage and real estate issuers.

Offering Memorandum Exemption (2017 – 2019)



The FFBA exemption has been predominantly used by non-financial issuers, especially mining issuers. However, mortgage and real estate issuers raised more capital under the exemption than issuers in other sectors.

Family, Friends and Business Associates Exemption (2017 – 2019)



⁸ Most issuers relying on the OM and FFBA exemptions raised larger sums of capital under other prospectus-exemptions, most notably the AI exemption.

⁹ On February 27, 2020 the CSA published Proposed National Instrument 45-110 Start-up Crowdfunding Registration and Prospectus Exemptions to improve the harmonization of the regulatory framework for securities crowdfunding by start-ups and early stage issuers and create a streamlined system to allow start-ups and other small businesses to raise money. The OSC also made an interim local order on July 30, 2020, in light of COVID-19 and related challenges to small businesses seeking to raise capital, which provides prospectus and registration exemptions for start-up crowdfunding that are substantially similar to the local exemptions in British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick and Nova Scotia. The interim local order will remain in effect until the Proposed National Instrument is adopted or 18 months from the effective date of the order. The crowdfunding regime in Multilateral Instrument 45-108 Crowdfunding continues to apply in Ontario.

Investor Trends

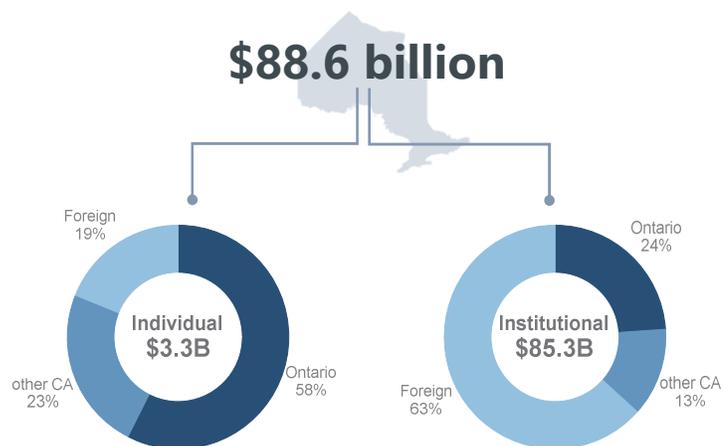


Investor Trends

Where did investors allocate capital in 2019?

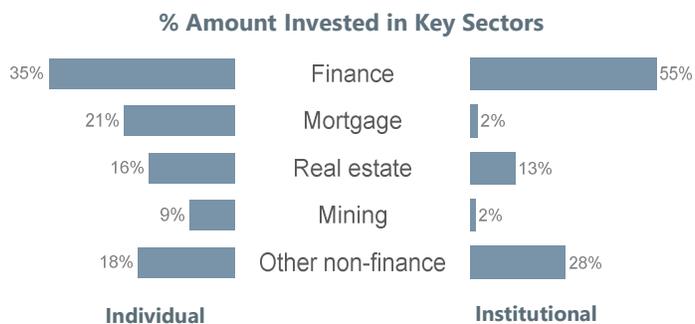
Issuer HQ

Individual investors allocated capital primarily to Ontario-based and other Canadian issuers, whereas institutional investors allocated more capital to foreign-based entities, predominantly based in the U.S.



Key Sectors

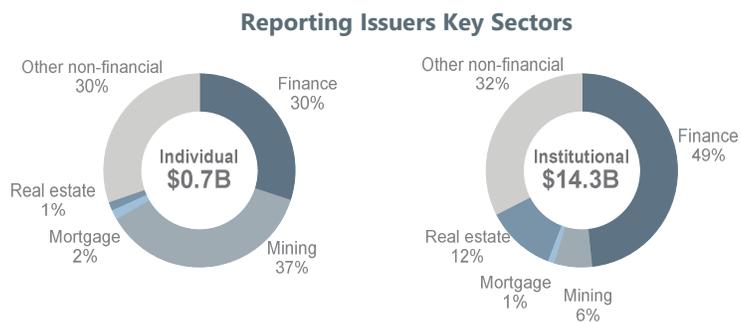
Individual investors allocated a larger portion of their capital (37%) to mortgage and real estate sectors than institutional investors (15%).



Reporting Issuers

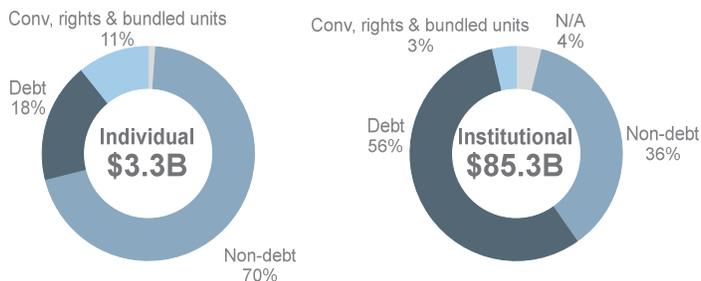
Reporting issuers received 22% of the total invested in the exempt market by individual investors (\$0.7B) and 17% of the total invested by institutional investors (\$14.3B).

For individual investors, investments in reporting issuers were concentrated in the mining (37%) and finance (30%) sectors.



Security Types

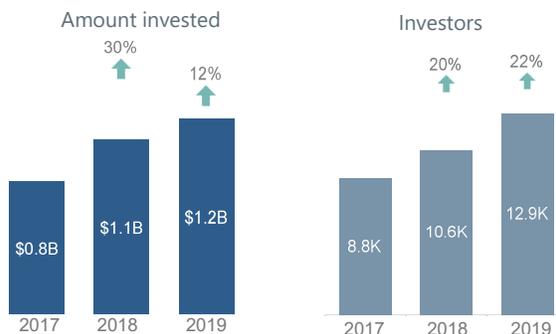
Individuals allocated a greater proportion of their investments to non-debt securities whereas institutional investors allocated the majority of their investments to debt securities.



Mortgage and Real Estate Investments

Since 2017, there has been a steady increase in mortgage and real estate investments by individual investors.

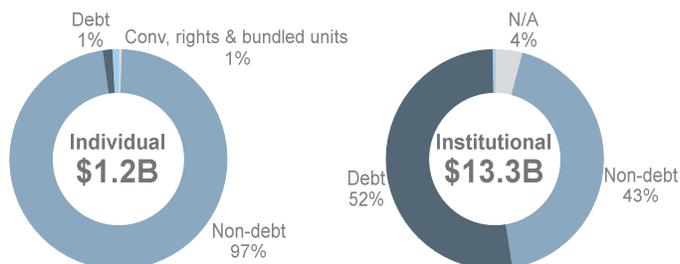
Individual Investor Growth



Similar to past years, individuals made investments in these issuers predominantly through non-debt/equity securities.

In contrast, over half of institutional investments in these issuers have been through debt securities.

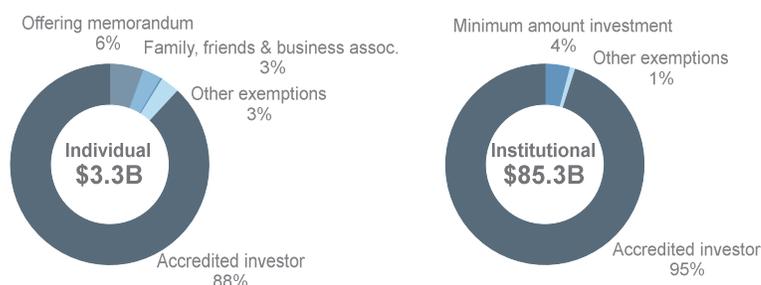
Security Types



Prospectus Exemptions

Amount invested by prospectus exemption

Similar to previous years, the majority of capital raised from both individual (88%) and institutional (95%) investors was through the AI exemption.



Investor counts by prospectus exemption

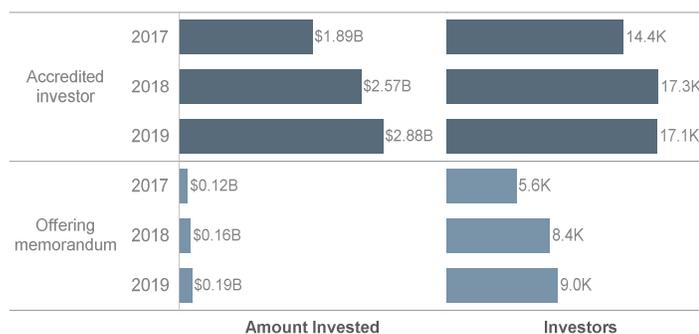
After the AI exemption, the OM exemption was the second most relied on prospectus exemption for individual investors.



Individual Investors

Annual AI and OM activity by individual investors only

Over the last three years, there has been an increase in the number of individual investors using the AI and OM exemptions.



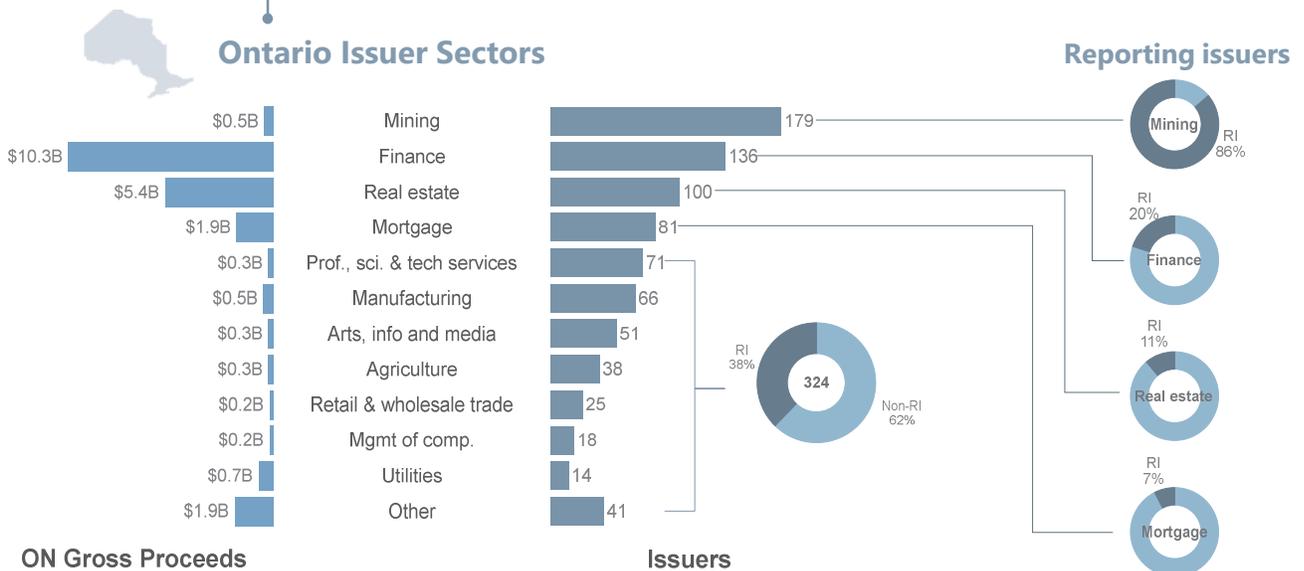
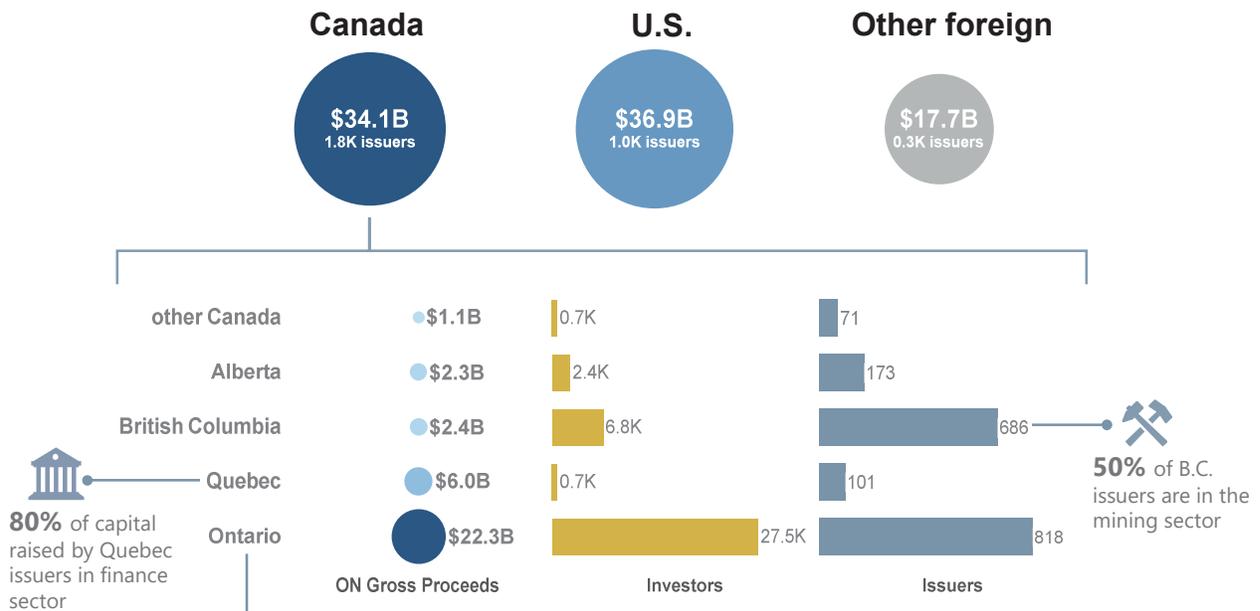
Issuer Trends



Ontario Issuers in 2019

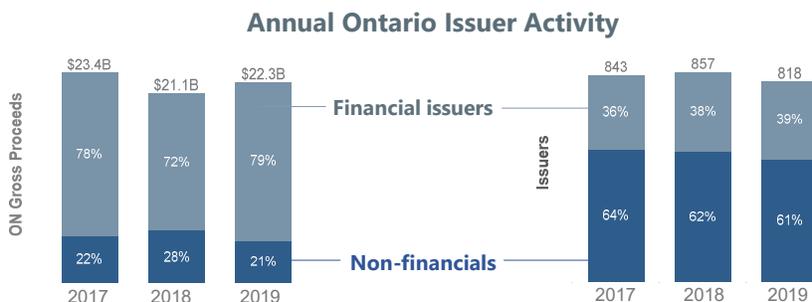
Since 2017, the amount of capital raised from Ontario investors by Canadian issuers has remained relatively unchanged and Ontario-based issuers still account for the bulk of the gross proceeds raised by Canadian issuers.

Issuer HQ



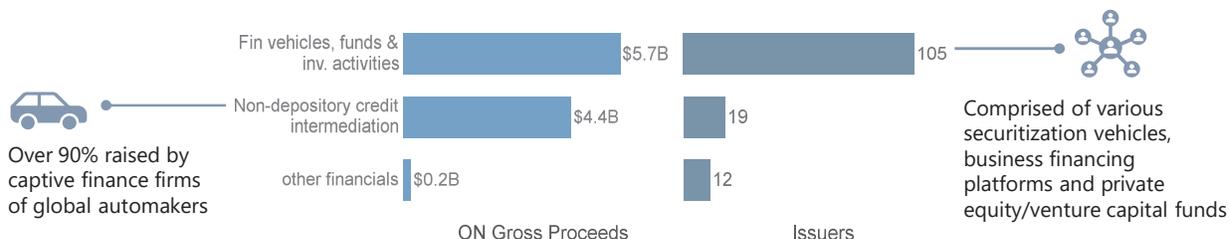
Key Ontario Sectors – Financial Issuers

Financial issuers continue to comprise a large portion of capital raised among Ontario-based issuers.



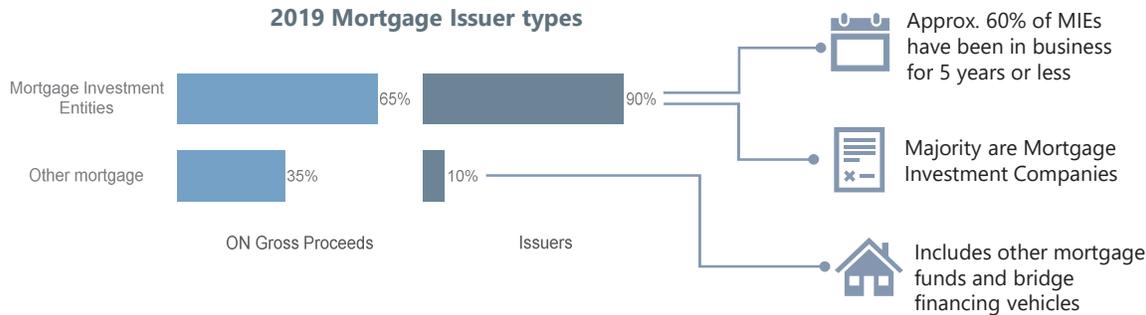
Finance

2019 Finance Subsector/Industry

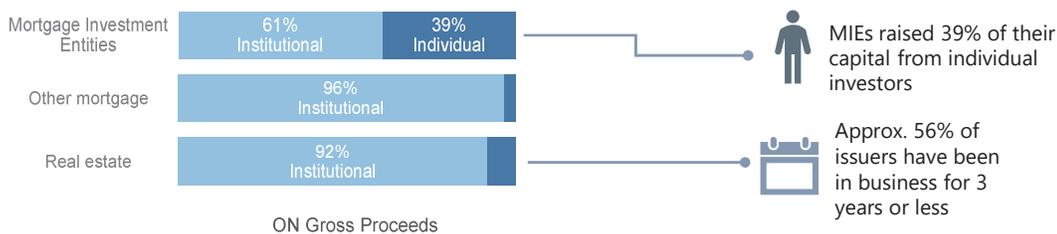


Mortgage and Real Estate

2019 Mortgage Issuer types

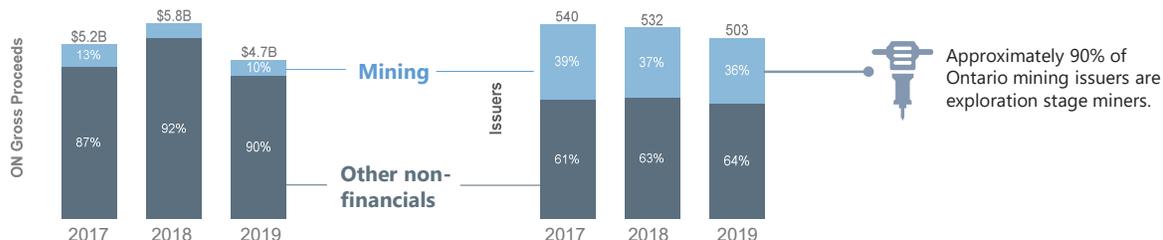


2019 Investor composition



Key Ontario Sectors – Non-financial Issuers

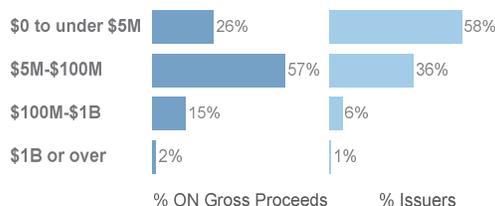
Ontario Non-financial Issuer Activity



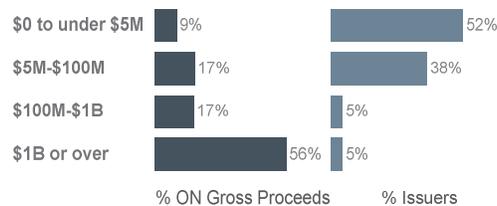
Total Asset Size

Over half of all mining and other non-financial issuers reported less than \$5 million in total assets in 2019.

Mining Issuer Size



Other non-financial Issuer Size



Financing size

Approximately 64% of mining issuers and 40% of other non-financial issuers raised \$1 million or less in 2019.



Prospectus Exemption

Ontario non-financial issuers predominantly relied on the AI exemption to raise capital.



Percent of issuers by exemption will exceed 100% since some issuers rely on multiple prospectus exemptions to raise capital. For example, 90% (or 9 in 10) non-financial issuers relied on the AI exemption and 30% (or 3 in 10) non-financial issuers relied on the FFBA exemption.

Contacts

Please refer your questions to the following OSC staff:

Samreen Beg

Legal Counsel, Corporate Finance
Ontario Securities Commission
416-597-7817
sbeg@osc.gov.on.ca

Robert Dryden

Research Analyst, Regulatory Strategy and Research
Branch Ontario Securities Commission
416-263-7661
rdryden@osc.gov.on.ca

Jo-Anne Matear

Manager, Corporate Finance
Ontario Securities Commission
416-593-2323
jmatear@osc.gov.on.ca

Kevin Yang

Manager, Regulatory Strategy and Research
Ontario Securities Commission
416-204-8983
kyang@osc.gov.on.ca

1.1.5 Notice of Ministerial Approval of Amendments to National Instrument 81-105 Mutual Fund Sales Practices and Related Consequential Amendments Prohibition of Mutual Fund Trailing Commissions Where No Suitability Determination Was Required

**NOTICE OF MINISTERIAL APPROVAL OF AMENDMENTS TO
NATIONAL INSTRUMENT 81-105 MUTUAL FUND SALES PRACTICES,
NATIONAL INSTRUMENT 41-101 GENERAL PROSPECTUS REQUIREMENTS AND
NATIONAL INSTRUMENT 81-101 MUTUAL FUND PROSPECTUS DISCLOSURE**

On July 21, 2020, the Ontario Securities Commission (the Commission) made amendments to National Instrument 81-105 *Mutual Fund Sales Practices* and related consequential amendments to National Instrument 41-101 *General Prospectus Requirements* and National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (the Rule Amendments). On the same date, the Commission also adopted changes to Companion Policy 81-101CP to National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (the Policy Changes).

The above material was published on September 17, 2020 in the Bulletin. See (2020), 43 OSCB 7299.

On October 4, 2020, the Commission by way of quorum approved Annex F – Local Matters, which was omitted from the September 17, 2020 publication in the Bulletin. On October 8, 2020, Annex F – Local Matters was published in the Bulletin. See (2020), 43 OSCB 7831.

The Rule Amendments and the Policy Changes have an effective date of June 1, 2022, except for:

- (i) the definition of “suitability determination” which has an effective date of December 31, 2020;
- (ii) the exemption for the delivery of fund facts documents for no-trailing-commission switches, which has an effective date of December 31, 2020; and
- (iii) the exemption for the delivery of ETF facts documents for no-trailing-commission ETF switches, which has an effective date of December 31, 2020.

On December 1, 2020, the Minister of Finance approved the Rule Amendments.

The text of the Rule Amendments is published in Chapter 5 of this Bulletin.

1.4 Notices from the Office of the Secretary

1.4.1 Joseph Debus

FOR IMMEDIATE RELEASE
December 2, 2020

JOSEPH DEBUS,
File No. 2019-16

TORONTO – The Commission issued an Order in the above named matter.

A copy of the Order dated December 2, 2020 is available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

1-877-785-1555 (Toll Free)
inquiries@osc.gov.on.ca

1.4.2 Jonathan Cartu et al.

FOR IMMEDIATE RELEASE
December 3, 2020

JONATHAN CARTU,
DAVID CARTU, AND
JOSHUA CARTU,
File No. 2020-14

TORONTO – The Commission issued an Order in the above named matter.

A copy of the Order dated December 3, 2020 is available at www.osc.gov.on.ca.

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inquiries@osc.gov.on.ca

1.4.3 Trevor Rosborough et al.

FOR IMMEDIATE RELEASE
December 3, 2020

**TREVOR ROSBOROUGH,
TAYLOR CARR, AND
DMITRI GRAHAM,
File No. 2020-33**

TORONTO – The Commission issued an Order in the above named matter.

A copy of the Order dated December 3, 2020 is available at www.osc.gov.on.ca.

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GRACE KNAKOWSKI
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inquiries@osc.gov.on.ca

1.4.4 Douglas John Eley

FOR IMMEDIATE RELEASE
December 4, 2020

**DOUGLAS JOHN ELEY,
File No. 2020-35**

TORONTO – Take notice that the hearing in the above named matter scheduled to be heard on January 14, 2021 at 10:00 a.m. will be heard on January 14, 2021 at 9:30 a.m.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

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1-877-785-1555 (Toll Free)
inquiries@osc.gov.on.ca

1.4.5 Majd Kitmitto et al.

FOR IMMEDIATE RELEASE
December 7, 2020

**MAJD KITMITTO,
STEVEN VANNATTA,
CHRISTOPHER CANDUSSO,
CLAUDIO CANDUSSO,
DONALD ALEXANDER (SANDY) GOSS,
JOHN FIELDING, and
FRANK FAKHRY,
File No. 2018-70**

TORONTO – The Commission issued an Order in the above named matter.

A copy of the Order dated December 7, 2020 is available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

1-877-785-1555 (Toll Free)
inquiries@osc.gov.on.ca

Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 BMO Nesbitt Burns Inc. et al.

Headnote

Under paragraph 4.1(1)(a) of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations a registered firm must not permit an individual to act as a dealing, advising or associate advising representative of the registered firm if the individual acts as an officer, partner or director of another registered firm that is not an affiliate of the first-mentioned firm. The Filers have sought relief from that prohibition. The firm employing the individual as a registered representative is an owner of the second registered firm and entitled to appoint a director to its board. The individual will have sufficient time to adequately serve both firms. The potential for conflicts of interest is significantly reduced compared to other similar arrangements because the second firm operates as an alternative trading system under National Instrument 21-101 Marketplace Operation. The firm also has policies in place to handle potential conflicts of interest. Relief from the prohibition has been granted.

Applicable Legislative Provisions

Multilateral Instrument 11-102 Passport System, s. 4.7.
National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss. 4.1, 13.4 and 15.1.

November 30, 2020

IN THE MATTER OF
THE SECURITIES LEGISLATION OF
ONTARIO
(the Jurisdiction)

AND

IN THE MATTER OF
THE PROCESS FOR EXEMPTIVE RELIEF
APPLICATIONS
IN MULTIPLE JURISDICTIONS

AND

IN THE MATTER OF
BMO NESBITT BURNS INC.
(BMO NB)

AND

CANDEAL.CA INC.
(CanDeal)

AND

FOTIOS (FRED) NASTOS

DECISION

Background

The principal regulator in the Jurisdiction has received an application from BMO NB and CanDeal (together, the **Filers**) for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for relief from the restrictions in paragraph 4.1(1)(a) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**), pursuant to section 15.1 of NI 31-103 to permit Fotios (Fred) Nastos (the **Representative**) to be registered as a dealing representative of BMO NB while also acting as a director of CanDeal (the **Exemption Sought**).

Under the *Process for Exemptive Relief Applications in Multiple Jurisdictions* (for a passport application):

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filers have provided notice that section 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in each of Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Northwest Territories, Nova Scotia, Nunavut, Prince Edward Island, Québec, Saskatchewan, and Yukon (with Ontario, the **Jurisdictions**).

Interpretation

Terms defined in National Instrument 14-101 *Definitions* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined.

Representations

This decision is based on the following facts represented by the Filers:

1. BMO NB is a wholly owned subsidiary of the Bank of Montreal.
2. BMO NB is a corporation existing under the laws of Canada and is registered under the Legislation as an investment dealer and is a dealer member of the Investment Industry Regulatory Organization of Canada (**IIROC**).

3. The principal regulator of BMO NB is the Ontario Securities Commission (**OSC**) because BMO NB's head office is located in Toronto, Ontario.
4. CanDeal is an Ontario corporation and is registered under the Legislation as an investment dealer and is a member of IIROC. CanDeal is regulated as an alternative trading system under National Instrument 21-101 *Marketplace Operation* (**NI 21-101**). The principal regulator of CanDeal is the OSC because CanDeal's head office is located in Toronto, Ontario.
5. CanDeal operates an institutional multi-dealer to customer electronic trading platform and market data communications network (the **CanDeal System** or **System**). The CanDeal System is a vehicle through which institutional clients (**Clients**) access information, request bids and offers, and effect transactions with liquidity providing dealers (**Dealers**). CanDeal also offers market data, post-trade straight-through processing, trade reporting, and other support to its Dealers and Clients.
6. CanDeal Dealers and Clients currently effect transactions using the CanDeal System in Canadian fixed-income securities and interest rate swaps.
7. The CanDeal System employs request-for-quote (**RFQ**) electronic trading functionality for the execution of trades. The System displays indicative quotes on fixed-income products that are made available on the System. Transactions on the System are initiated by RFQ disseminated by a Client to between one and four Dealers. A Dealer to whom an RFQ is disseminated knows the number but not the identity of the Dealers to whom the RFQ is disseminated.
8. The CanDeal System permits a Dealer to view data relating to its own executed trades and certain aggregate data relating to all trades executed on the System.
9. The aggregate data available to a Dealer permits the Dealer to know its share of total volume executed on the platform and its rank in terms of total volume executed by Dealers, but does not permit the Dealer to know the rank of or the volume executed by another Dealer on the platform. A Dealer may also access data as to the total volume inquired of by Clients in the aggregate under the RFQs and executed by Clients in the aggregate, in each case by each category of product made available on the System.
10. The data that a Dealer may view relating to its own executed trades includes the total volume inquired of by the Dealer under RFQs received by it, the total and percentage of inquired volume represented by executed trades by that Dealer, the volume inquired of that was not quoted and the average time to respond to a quote. The Dealer may view such data for each Client with whom it has executed trades and may view the volume executed with each Client by product category and maturity range.
11. CanDeal is owned by TSX Inc. and six bank-owned investment dealers (each, a **Shareholder-Dealer**), which include BMO NB, CIBC World Markets Inc., RBC Dominion Securities Inc., TD Securities Inc., National Bank Finance Inc., and Scotia Capital Inc.
12. Each Shareholder-Dealer is also a Dealer.
13. No functionality exists on the CanDeal System that could enable a Shareholder-Dealer to influence the actions of a Client to the benefit of that Shareholder-Dealer in relation to a trade.
14. No shareholder of CanDeal controls (as such term is interpreted in subsection 1.3(2) of NI 21-101) of CanDeal.
15. CanDeal has no affiliates and is not affiliated with BMO NB, nor is BMO NB a related company of CanDeal within the meaning of the IIROC Dealer Member Rules.
16. CanDeal is governed by an executive management team, and a board of directors (**Board**) consisting of representatives from TSX Inc., each Shareholder-Dealer, CanDeal's Chief Executive Officer, and one independent member. The Board meets on a quarterly basis.
17. The Representative is registered as a dealing representative of BMO NB. The Representative is Managing Director of BMO NB's Debt Product trading group, the activities of which include (i) buying and selling debt securities for institutional investors based on the study of varying market trends and (ii) analysis of current market conditions.
18. As a dealing representative of BMO NB, the Representative may access the data referred to in paragraphs 8 to 10 above, as well as data pertaining to those of BMO NB's trades or pending trades on the System for which the Representative is responsible.
19. Neither a Dealer, nor a dealing representative, has access to any data relating to (i) the activity of any other identifiable Dealer on the System or (ii) any identifiable Client other than in respect of the Dealer's or dealing representative's own trading activity with such Client.
20. In his role as dealing representative, the Representative has acquired comprehensive knowledge of the fixed-income trading environment and business, and, as such, is qualified to provide competent business counsel on issues relating to the institutional trading of

- fixed-income products and the institutional fixed-income markets generally
21. The Representative has been nominated as a director of CanDeal.
 22. It is anticipated that the Representative will spend four to six hours per quarter on CanDeal directorship duties. Accordingly, the Representative will have sufficient time and resources to adequately meet his obligations to both BMO NB and CanDeal. The Chief Compliance Officer and Ultimate Designated Person of each Filer will ensure that the Representative has sufficient time and resources to adequately serve each Filer and the clients of BMO NB.
 23. The Representative is the most suitable candidate at BMO NB having the requisite fixed-income markets experience required to serve as BMO NB's representative on the CanDeal Board.
 24. BMO NB has appropriate compliance and supervisory policies and procedures to deal with any conflicts of interest that may arise as a result of the Representative being a director of CanDeal. The Representative is subject to these policies and procedures.
 25. The Filers will be able to deal with any conflicts of interest that arise out of the Representative being a dealing representative of one firm and a director of the other firm including supervising how the Representative will deal with these conflicts.
 26. The potential for conflicts of interest or client confusion is mitigated by the following:
 - (a) None of the Shareholder-Dealers, including BMO NB, is a competitor of CanDeal;
 - (b) Members of the Board serve without remuneration;
 - (c) The Representative will not be involved in the day-to-day operations of CanDeal;
 - (d) No functionality exists on the CanDeal System that could enable a Shareholder - Dealer to influence the actions of a Client to the benefit of that Shareholder-Dealer in relation to a trade; and
 - (e) At no time will CanDeal favour the interest of NBI as a result of the Representative being a member of its Board.
 27. The directors of CanDeal are subject to a comprehensive policy governing conflicts of interest (the **Policy**). The Policy specifically addresses the situation where a "nominee director", that is a director appointed by a Shareholder-Dealer, has a conflict of interest or duty arising from the concurrent fiduciary duties he or she owes to CanDeal and to the Shareholder-Dealer.
 28. The Policy proceeds from the principle that a nominee director of CanDeal owes an unqualified fiduciary duty to CanDeal. The Policy enforces the principle by providing that, where the Board determines that a director has a conflict of duty, the Board will adopt a protocol for managing the conflict which must include provisions relating to:
 - (a) whether the conflicted director must withdraw from Board meetings for the duration of any discussion on a relevant matter, and whether the Board may waive such a requirement;
 - (b) whether, in light of applicable law or other relevant circumstances, the conflicted director may vote in connection with any Board decision on that matter; and
 - (c) whether, subject to such restrictions as the Board may impose, the conflicted director may receive Board papers or other information which relates in any way to the subject-matter that gives rise to the conflict (**Information**). Where the Board decides under the protocol that the director may not receive Information, and the Board further decides that the conflict of duty is of such nature or sensitivity that it is not appropriate for the conflicted director to be made aware of the nature of the Information, the director will not be notified of the nature of the Information.
 29. To further protect CanDeal, the Policy requires that clear guidelines be established relating to:
 - (a) the circumstances in which Information may be passed on by a director to the Shareholder-Dealer who nominated him or her;
 - (b) the right of CanDeal to place an embargo on Information which must not be passed on because of its sensitivity; and
 - (c) acceptance by each Shareholder-Dealer of obligations of confidentiality in relation to any Information received.
 30. Neither BMO NB nor CanDeal is in default of securities, commodities or derivatives legislation in any Jurisdiction.
 31. In the absence of the Exemption Sought, BMO NB would be prohibited under paragraph 4.1(1)(a) of NI 31-103 from permitting the Representative to act as a dealing representative of BMO NB and be a director of CanDeal.

Decision

The principal regulator is satisfied that the decision meets the test set out in the Legislation for the principal regulator to make the decision.

The decision of the principal regulator under the Legislation is that the Exemption Sought is granted provided that the circumstances described above remain in place.

“Felicia Tedesco”
Director, Compliance and Registrant Regulation
Ontario Securities Commission

2.1.2 E-L Financial Corporation Limited

Headnote

Multilateral Instrument 11-102 Passport System and National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Exemption from the extension take up requirements in subsection 2.32(4) of National Instrument 62-104 Take-Over Bids and Issuer Bids – an issuer conducting an issuer bid requires relief from the requirement not to extend its issuer bid if all terms and conditions are met unless the issuer first takes up all securities validly deposited and not withdrawn under the issuer bid – the issuer will comply with the U.S. regime in connection with the issuer bid – requested relief granted, subject to conditions.

Applicable Legislative Provisions

National Instrument 62-104 Take-Over Bids and Issuer Bids, ss. 2.32(4) and 6.1.

December 1, 2020

**IN THE MATTER OF
THE SECURITIES LEGISLATION OF
ONTARIO
(the “Jurisdiction”)**

AND

**IN THE MATTER OF
THE PROCESS FOR EXEMPTIVE RELIEF
APPLICATIONS
IN MULTIPLE JURISDICTIONS**

AND

**IN THE MATTER OF
E-L FINANCIAL CORPORATION LIMITED
(the “Filer”)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction (the “**Legislation**”) that, in connection with the proposed purchase by the Filer of a portion of its issued and outstanding common shares (the “**Shares**”) pursuant to a formal issuer bid commenced on November 11, 2020 (the “**Offer**”), the Filer be exempt from the requirement set out in subsection 2.32(4) of National Instrument 62-104 Take Over Bids and Issuer Bids (“**NI 62-104**”) that the Offer not be extended if all of the terms and conditions of the Offer have been complied with or waived, unless the Filer first takes up all Shares deposited under the Offer and not withdrawn (the “**Exemption Sought**”).

Under the Process for Exemptive Relief Applications in Multiple Jurisdictions (for a passport application):

- (a) the Ontario Securities Commission is the principal regulator for this application; and

- (b) the Filer has given notice that subsection 4.7(1)(c) of Multilateral Instrument 11-102 *Passport System* (“**MI 11-102**”) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Québec, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland and Labrador.

Interpretation

Terms defined in National Instrument 14-101 *Definitions* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined herein.

Representations

This decision is based on the following facts represented by the Filer:

1. The Filer is a corporation validly existing under the *Business Corporations Act* (Ontario) and is in good standing.
2. The head office of the Filer is located at 165 University Avenue, 10th Floor, Toronto, Ontario, M5H 3B8.
3. The Filer is a reporting issuer in each of the provinces of Canada and the Shares are listed for trading on the Toronto Stock Exchange (the “**TSX**”) under the symbol “**ELF**”. The Filer is not in default of any requirement of the securities legislation in any of the jurisdictions in which it is a reporting issuer.
4. The authorized share capital of the Filer consists of (a) an unlimited number of Shares, (b) 402,733 Preference Shares, issuable in series, and (c) an unlimited number of First Preference Shares, issuable in series. As at November 6, 2020, there were: (i) 3,818,439 Shares; (ii) 258 Series A Preference Shares; (iii) 4,000,000 First Preference Shares, Series 1; (iv) 4,000,000 First Preference Shares, Series 2; and (v) 4,000,000 First Preference Shares, Series 3, issued and outstanding.
5. On November 6, 2020, the last full trading day prior to the date of the announcement of the Offer, the closing price of the Shares on the TSX was \$658.00. Based on such closing price, the Shares had an aggregate market value of approximately \$2,512,532,862 on such date.
6. On November 11, 2020, the Filer commenced the Offer. The issuer bid circular dated November 9, 2020 prepared and sent by the Filer in connection with the Offer (the “**Circular**”) specifies that the Filer proposes to purchase, by way of a modified “Dutch auction” procedure in the manner described, up to \$100,000,000 of the issued and outstanding Shares at a purchase price of not less than \$650.00 and not more than \$750.00 per Share (the “**Price Range of Shares**”).

7. The Filer will fund the purchase of Shares pursuant to the Offer, together with all related fees and expenses of the Offer, from available cash on hand or cash available to be drawn under the Filer’s existing margin loan facility provided by RBC Dominion Securities Inc. The Filer has sufficient cash on hand to fund the entirety of the Purchase Price under the Offer, if fully subscribed.
8. Holders of Shares (collectively, the “**Shareholders**”) wishing to tender to the Offer will be able to do so in two ways (i.e. the modified “Dutch auction” procedure):
 - (a) by making auction tenders pursuant to which they agree to sell a specified number of Shares (subject to proration) to the Filer at a specified price per Share (an “**Auction Price**”) within the Price Range of Shares in increments of \$5.00 per Share (each, an “**Auction Tender**”); or
 - (b) by making purchase price tenders in which the tendering Shareholders do not specify a price per Share, but rather agree to have a specified number of Shares (subject to proration) purchased at the purchase price per Share to be determined by the Auction Tenders (each, a “**Purchase Price Tender**”).
9. Shareholders may make multiple Auction Tenders but not in respect of the same Shares (i.e. Shareholders may tender different Shares at different prices, but cannot tender the same Shares at different prices). Shareholders may make both an Auction Tender and a Purchase Price Tender, but not in respect of the same Shares. In both the case of Auction Tenders and Purchase Price Tenders, Shareholders may tender less than all of their Shares.
10. The Filer will determine the purchase price payable per Share (the “**Purchase Price**”) by taking into account the number of Shares deposited pursuant to Auction Tenders and Purchase Price Tenders and the Auction Prices specified by Shareholders depositing Shares pursuant to Auction Tenders. For the purpose of determining the Purchase Price, Shares deposited pursuant to a Purchase Price Tender will be deemed to have been deposited at a price of \$650.00 per Share (which is the minimum price per Share under the Offer). The Purchase Price will be the lowest price per Share that enables the Filer to purchase the maximum number of Shares validly deposited and not withdrawn pursuant to the Offer having an aggregate Purchase Price not to exceed \$100,000,000.
11. Any Shareholder that owns fewer than 100 Shares (an “**Odd-Lot Holder**”) who tenders all of their Shares pursuant to an Auction Tender at or below

- the Purchase Price, or makes a Purchase Price Tender, will be considered to have made an “**Odd-Lot Tender**”.
12. If the aggregate Purchase Price for Shares validly deposited and not withdrawn pursuant to Auction Tenders at Auction Prices at or below the Purchase Price and Purchase Price Tenders would result in an aggregate Purchase Price in excess of \$100,000,000, then such deposited shares will be purchased as follows:
 - (a) first, the Filer will purchase all Shares tendered at or below the Purchase Price by Odd-Lot Holders at the Purchase Price; and
 - (b) second, the Filer will purchase Shares at the Purchase Price on a *pro rata* basis according to the number of Shares deposited or deemed to be deposited at a price equal to or less than the Purchase Price by the depositing Shareholders, less the number of Shares purchased from Odd-Lot Holders. All Auction Tenders and Purchase Price Tenders will be subject to adjustment to avoid the purchase of fractional Shares.
 13. As of November 9, 2020, no director or officer of the Filer, and to the knowledge of the Filer and its directors and officers after reasonable inquiry, no insider of the Filer (other than a director or officer), no associate or affiliate of the Filer or of an insider of the Filer, and no person or company acting jointly or in concert with the Filer, has indicated any present intention to deposit any of such person’s or company’s Shares pursuant to the Offer.
 14. All Shares purchased by the Filer pursuant to the Offer (including Shares tendered at Auction Prices below the Purchase Price) will be purchased at the Purchase Price and payable in cash. All payments to Shareholders will be subject to deduction of applicable withholding taxes.
 15. All Shares tendered to the Offer and not taken up will be returned to the appropriate Shareholders.
 16. Assuming the Offer is fully subscribed:
 - (a) if the Purchase Price is determined to be \$650.00, being the minimum Purchase Price under the Offer, the number of Shares that will be purchased by the Filer is 153,846, representing approximately 4.0% of the Filer’s issued and outstanding Shares as at November 6, 2020; and
 - (b) if the Purchase Price is determined to be \$750.00, being the maximum Purchase Price under the Offer, the number of Shares that will be purchased by the Filer is 133,333, representing approximately 3.5% of the Filer’s issued and outstanding Shares as at November 6, 2020.
 17. Shareholders who do not accept the Offer will continue to hold the same number of Shares held before the Offer and their proportionate Share ownership will increase following completion of the Offer.
 18. The Offer is subject to the provisions of the United States regulation entitled Regulation 14E adopted under the *Securities Exchange Act of 1934*, as amended (“**Regulation 14E**”).
 19. The Offer is scheduled to expire at 11:59 p.m. (Toronto time) on December 16, 2020 (the “**Expiration Date**”).
 20. The Filer may wish to extend the Offer without first taking up all the Shares deposited and not withdrawn under the Offer if all the terms and conditions of the Offer have been complied with or waived by the Filer by the Expiration Date but the aggregate Purchase Price for Shares validly tendered pursuant to Auction Tenders and Purchase Price Tenders is less than \$100,000,000.
 21. Pursuant to subsection 2.32(4) of NI 62-104, an issuer may not extend an issuer bid if all the terms and conditions of the issuer bid have been complied with or waived unless the issuer first takes up all the securities deposited and not withdrawn under the issuer bid.
 22. Under Regulation 14E, the Filer must promptly pay for all Shares deposited pursuant to the Offer at the time of expiry of the Offer. Regulation 14E does not provide for extensions of the Offer in the manner required by subsection 2.32(4) of NI 62-104.
 23. The Filer is relying on the exemption from the formal valuation requirements applicable to issuer bids under Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* (“**MI 61-101**”) set out in subsection 3.4(b) of MI 61-101 (the “**Liquid Market Exemption**”).
 24. There is a “liquid market” for the Shares, as such term is defined in MI 61-101, as of the date the Offer was publicly announced because:
 - (a) there is a published market for the Shares (i.e. the TSX); and
 - (b) Cormark Securities Inc. (“**Cormark**”), a person qualified and independent of all

interested parties to the Offer, provided an opinion to the Filer in accordance with section 1.2 of MI 61-101 that there is a liquid market for the Shares as of the date the Offer was publicly announced (the “**Liquidity Opinion**”) and a copy of the Liquidity Opinion was included in the Circular.

25. Cormark also indicated in the Liquidity Opinion that it concluded that, following the completion of the Offer, there will be a market for holders of Shares who do not tender to the Offer that is not materially less liquid than the market that existed at the time of the making of the Offer.

26. Based on the maximum number of Shares that may be purchased under the Offer and the Liquidity Opinion, the board of directors of the Filer determined that it is reasonable to conclude that, following the completion of the Offer in accordance with its terms, there will be a market for holders of the Shares who do not tender to the Offer that is not materially less liquid than the market that existed at the time of the making of the Offer.

27. The board of directors of the Filer has determined that the Offer is in the best interests of the Filer and believes that the Offer is an advisable use of the Filer’s financial resources given its cash requirements and borrowing costs.

28. The Circular:

- (a) discloses the mechanics for the take-up of, and payment for, Shares as described herein;
- (b) explains that, by tendering Shares at the lowest price in the Price Range of Shares under an Auction Tender or by making a Purchase Price Tender, a Shareholder can reasonably expect that the Shares so tendered will be purchased at the Purchase Price, subject to proration and other terms of the Offer as specified herein;
- (c) discloses that the Filer has applied for the Exemption Sought;
- (d) discloses the manner in which an extension of the Offer will be communicated to Shareholders;
- (e) discloses that Shares deposited pursuant to the Offer may be withdrawn at any time prior to the expiry of the Offer;
- (f) discloses the facts supporting the Filer’s reliance on the Liquid Market Exemption, including the Liquidity Opinion; and

- (g) includes the disclosure prescribed by applicable securities laws with respect to issuer bids.

Decision

The principal regulator is satisfied that the decision meets the test set out in the Legislation for the principal regulator to make the decision.

The decision of the principal regulator under the Legislation is that the Exemption Sought is granted provided that:

- (a) the Filer takes up and pays for Shares deposited pursuant to the Offer and not withdrawn, in each case, in the manner described above and as set out in the Circular;
- (b) the Filer is eligible to rely on the Liquid Market Exemption; and
- (c) the Filer complies with the requirements of Regulation 14E in respect of the Offer.

“Jason Koskela”
Acting Director, Office of Mergers & Acquisitions
Ontario Securities Commission

2.1.3 Worldline S.A.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Application for relief from the prospectus and registration requirements for certain trades made in connection with an employee share offering by a French issuer – offerings will involve the use of collective employee shareholding vehicles, each a fonds communs de placement d'entreprise (FCPE) – the issuer cannot rely on the employee exemption in section 2.24 of National Instrument 45-106 Prospectus Exemptions as the securities are not being offered to Canadian employees directly by the issuer but rather through special purpose entities – the management company is unable to rely on the plan administrator exemption in section 8.16 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations as the shares are not being offered to Canadian employees directly by the issuer but through an FCPE – Canadian participants will receive disclosure documents – the special purpose entities are subject to the supervision of the local securities regulator – Canadian employees will not be induced to participate in the offering by expectation of employment or continued employment – there is no market for the securities of the issuer in Canada – the number of Canadian participants and their share ownership are de minimis – relief granted, subject to conditions.

Applicable Legislative Provisions

National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations.
National Instrument 45-106 Prospectus Exemptions.
National Instrument 45-102 Resale of Securities.
Securities Act, R.S.O. 1990, c. S.5, as am., ss. 25, 53 and 74(1).

October 27, 2020

IN THE MATTER OF
THE SECURITIES LEGISLATION OF
ONTARIO
(the Jurisdiction)

AND

IN THE MATTER OF
THE PROCESS FOR EXEMPTIVE RELIEF APPLICATIONS
IN MULTIPLE JURISDICTIONS

AND

IN THE MATTER OF
WORLDLINE S.A.
(the Filer)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction (the **Legislation**) for:

1. an exemption from the prospectus requirement (the **Prospectus Relief**) so that such requirement does not apply to
 - (a) trades of:
 - (i) units (the **2020 Classic Units**) of a temporary *fonds commun de placement d'entreprise* or "FCPE", a form of collective shareholding vehicle commonly used in France for the conservation of shares held by employee-investors, named "*Worldline Relais 2020*" (the **2020 Classic Fund**); and
 - (ii) units (together with the 2020 Classic Units, the **Temporary Classic Units**, and together with the 2020 Classic Units and the Principal Classic Units (as defined below), the **Units**) of future temporary FCPEs organized in the same manner as the 2020 Classic Fund (together with the 2020 Classic Fund, the **Temporary Classic Funds**),

made pursuant to an Employee Offering (as defined below) to or with Qualifying Employees (as defined below) resident in the Jurisdiction and in the province of Québec (collectively, the **Canadian Employees**, and Canadian Employees who subscribe for Temporary Classic Units, the **Canadian Participants**);

- (b) trades of ordinary shares of the Filer (the **Shares**) by the Classic Fund to or with Canadian Participants upon the redemption of Units as requested by Canadian Participants (the term “**Classic Fund**” used herein means, prior to the Merger (as defined below), a Temporary Classic Fund and following the Merger, the permanent FCPE named “*Worldline Stock Plan*” (the **Principal Classic Fund**); and
2. an exemption from the dealer registration requirement (the **Registration Relief**, and together with the Prospectus Relief, the **Offering Relief**) so that such requirement does not apply to the Filer and its Local Related Entities (as defined below), the Classic Fund and Société Générale Gestion (the **Management Company**) in respect of:
 - (a) trades in Units made pursuant to an Employee Offering to or with Canadian Employees; and
 - (b) trades in Shares by the Classic Fund to or with Canadian Participants upon the redemption of Units as requested by Canadian Participants.

Under the Process for Exemptive Relief Applications in Multiple Jurisdictions (for a passport application):

- (a) the Ontario Securities Commission is the principal regulator for this application, and
- (b) the Filer has provided notice that section 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in Québec.

Interpretation

Terms defined in National Instrument 14-101 – *Definitions* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined.

“Related entity” has the same meaning given to such term in section 2.22 of National Instrument – 45-106 *Prospectus Exemptions* (**NI 45-106**).

Representations

This decision is based on the following facts represented by the Filer:

1. The Filer is a corporation formed under the laws of France. It is not, and has no current intention of becoming, a reporting issuer under the Legislation or the securities legislation of any other jurisdiction of Canada. The head office of the Filer is located in France and the Shares are listed on Euronext Paris.
2. The Filer carries on business in Canada through certain related entities and has established a global employee share offering (the **2020 Employee Offering**) and expects to establish subsequent global employee share offerings of the Filer following 2020 for the next four years that are substantially similar (**Subsequent Employee Offerings**, and together with the 2020 Employee Offering, the **Employee Offerings**) for Qualifying Employees and its participating related entities, including related entities that employ Canadian Employees (**Local Related Entities**, and together with the Filer and other related entities of the Filer, the **Worldline Group**). Each of the Local Related Entities is a direct or indirect controlled subsidiary of the Filer and no Local Related Entity has any current intention of becoming a reporting issuer under the Legislation or the securities legislation of any other jurisdiction of Canada. The principal office of the Worldline Group in Canada is located in Ontario, and the greatest number of employees of Local Related Entities is employed in Ontario as compared to any other jurisdiction in Canada.
3. As of the date hereof, “Local Related Entities” only includes Bambora Inc., Ingenico Canada Ltd., and Retail Enterprise Canada Ltd. For any Subsequent Employee Offering, the list of “Local Related Entities” may change.
4. Each Employee Offering will be made under the terms as set out herein and for greater certainty, all of the representations will be true for each Employee Offering other than paragraphs 3, 11, 22 and 28 which may change (save for references to the 2020 Classic Fund and the 2020 Employee Offering which will be varied such that they are read as references to the relevant Temporary Classic Fund and Subsequent Employee Offering, respectively).
5. As of the date hereof and after giving effect to any Employee Offering, the Filer is and will be a “foreign issuer” as such term is defined in section 2.15(1) of National Instrument 45-102 – *Resale of Securities* (**NI 45-102**) and the Filer is not and will not be a reporting issuer in any jurisdiction of Canada.
6. Each Employee Offering involves an offering of Shares to be acquired through a Temporary Classic Fund, which will be merged with the Principal Classic Fund following completion of the Employee Offering (the **Classic Plan**), subject to the decision of the supervisory boards of the FCPEs and the approval of the French AMF (as defined below).

7. Only persons who are employees of an entity forming part of the Worldline Group during the subscription period for an Employee Offering and who meet other employment criteria (the **Qualifying Employees**) will be allowed to participate in the relevant Employee Offering.
8. The 2020 Classic Fund was established for the purpose of implementing the 2020 Employee Offering. The Principal Classic Fund was established for the purpose of implementing the Employee Offering generally. There is no current intention for any of the 2020 Classic Fund or the Principal Classic Fund to become a reporting issuer under the securities legislation of any jurisdiction of Canada. There is no intention for any Temporary Classic Fund that will be established for the purpose of implementing Subsequent Employee Offerings to become a reporting issuer under the securities legislation of any jurisdiction of Canada.
9. The 2020 Classic Fund and the Principal Classic Fund are registered with the French *Autorité des marchés financiers* (the **French AMF**). It is expected that each Temporary Classic Fund established for Subsequent Employee Offerings will be a French FCPE and registered with, and approved by, the French AMF.
10. Under the Classic Plan, each Employee Offering will be made as follows:
 - (a) Canadian Participants will subscribe for the relevant Temporary Classic Units, and the relevant Temporary Classic Fund will then subscribe for Shares on behalf of Canadian Participants at a subscription price that is the Canadian dollar equivalent of the average opening price of the Shares (expressed in Euros) on Euronext Paris for the 20 trading days preceding the date of the fixing of the subscription price (the **Reference Price**) by the Board of Directors of the Filer, less a specified discount to the Reference Price.
 - (b) Canadian Participants will make a contribution to the Classic Plan (the **Employee Contribution**), and the Local Related Entities that employ the Canadian Participants will also contribute on behalf of such Canadian Participants an amount into the Classic Plan (the **Employer Contributions**). The Temporary Classic Fund will apply the cash received from the Employee Contributions and the Employer Contributions to subscribe for Shares from the Filer.
 - (c) Initially, the Shares subscribed for will be held in the relevant Temporary Classic Fund and the Canadian Participants will receive Units of the relevant Temporary Classic Fund.
 - (d) After completion of an Employee Offering, the relevant Temporary Classic Fund will be merged with the Principal Classic Fund (subject to the approval of the supervisory board of the FCPEs and the French AMF). The Temporary Classic Units held by Canadian Participants will be replaced with units of the Principal Classic Fund (the **Principal Classic Units**) on a pro rata basis and the Shares will be held in the Principal Classic Fund (such transaction being referred to as the **Merger**). The Filer is relying on the exemption from the prospectus requirement pursuant to section 2.11 of NI 45-106 in respect of the issuance of Units of the Principal Classic Fund to Canadian Participants in connection with the Merger.
 - (e) The Units will be subject to a hold period of approximately five years (the **Lock-Up Period**), subject to certain exceptions provided for under French law (such as a release on death or termination of employment).
 - (f) Any dividends paid with respect to Shares represented by Units held by the Canadian Participants will be automatically reinvested into the Classic Fund and used to purchase additional Shares, in which case new Units (or fractions thereof) of the Classic Fund will be issued to such Canadian Participants.
 - (g) At the end of the relevant Lock-Up Period, a Canadian Participant may (i) request the redemption of Units in the Classic Fund in consideration for a cash payment equal to the then market value of the Shares, or (ii) continue to hold Units in the Classic Fund and request the redemption of those Units at a later date in consideration for a cash payment equal to the then market value of the Shares.
 - (h) In the event of an early exit resulting from a Canadian Participant exercising one of the exceptions to the Lock-Up Period and meeting the applicable criteria, the Canadian Participant may request the redemption of Units in the Classic Fund in consideration for a cash payment equal to the then market value of the underlying Shares.
 - (i) As indicated in paragraph 10(b) above, the Local Related Entity employing a Canadian Participant will also contribute on behalf of such Canadian Participant an amount into the Classic Plan based on predetermined matching contribution rules.
11. For the 2020 Employee Offering, for each subscription of Shares that a Canadian Participant makes into the Classic Plan, the Local Related Entity employing such Canadian Participant will contribute an amount sufficient to acquire one additional Share (**Matching Share**) into the Classic Plan, for the benefit of, and at no cost to, such Canadian Participant, up to a maximum of six (6) Matching Shares. For clarity, the maximum number of Matching Shares that

Worldline Group can contribute in respect of a Canadian Participant is six (6) additional Shares. For each Subsequent Employee Offering, the matching contribution rules may change.

12. The subscription price for an Employee Offering will not be known to Canadian Employees until after the end of the applicable subscription period. However, this information will be provided to Canadian Employees prior to the start of the revocation period, during which Canadian Participants may choose to revoke all (but not part) of their subscription under the Classic Plan and thereby not participate in the relevant Employee Offering.
13. Under French law, an FCPE is a limited liability entity. The portfolio of the Classic Fund will consist almost entirely of Shares and may also include cash in respect of dividends paid on the Shares which may be reinvested in Shares as discussed above and cash or cash equivalents pending investments in the Shares and for the purposes of Unit redemptions.
14. The Management Company is a portfolio management company governed by the laws of France. The Management Company is registered with the French AMF as an investment manager and complies with the rules of the French AMF. To the best of the Filer's knowledge, the Management Company is not, and has no current intention of becoming, a reporting issuer under the Legislation or the securities legislation of any other jurisdiction of Canada.
15. Only Qualifying Employees will be allowed to hold Units issued pursuant to an Employee Offering.
16. The Management Company's portfolio management activities in connection with an Employee Offering and the Classic Fund are limited to purchasing Shares from the Filer, selling such Shares as necessary in order to fund redemption requests and investing available cash in cash equivalents.
17. The Management Company is also responsible for preparing accounting documents and publishing periodic informational documents as provided by the rules of the Classic Fund. The Management Company's activities do not affect the underlying value of the Shares.
18. None of the Filer or its Local Related Entities or the Management Company or any of their employees, directors, officers, agents or representatives will provide investment advice to the Canadian Employees with respect to an investment in the Shares or Units.
19. Shares issued pursuant to an Employee Offering will be deposited in the Classic Fund through Société Générale (the **Depository**), a large French commercial bank subject to French banking legislation. The Depository carries out orders to purchase, trade and sell securities in the portfolio and takes all necessary action to allow the Classic Fund to exercise the rights relating to the securities held in its portfolio.
20. The Management Company and the Depository are obliged to act exclusively in the best interests of the unitholders (including Canadian Participants) and are jointly and severally liable to them for any violation of the rules and regulations governing FCPEs, any violation of the rules of the FCPE, or for any self-dealing or negligence.
21. Participation in an Employee Offering is voluntary, and the Canadian Employees will not be induced to participate in an Employee Offering by expectation of employment or continued employment.
22. The total amount invested by a Canadian Employee pursuant to an Employee Offering cannot exceed 25% of his or her gross annual compensation for 2020. The Employer Contribution will not be factored into the maximum amount that a Canadian Employee may contribute.
23. For the 2020 Employee Offering, annual compensation includes the employee's gross base salary, bonus and/or overtime paid between January 1, 2020 and December 31, 2020.
24. The Shares and the Units are not currently listed for trading on any stock exchange in Canada and there is no intention to have the Shares or the Units so listed. As there is no market for Shares in Canada, and none is expected to develop, any first trades of Shares by Canadian Participants will be effected through the facilities of, and in accordance with the rules and regulations of, a foreign stock exchange outside of Canada.
25. Neither the Filer nor its Local Related Entities are in default of securities legislation of any jurisdiction of Canada. The Management Company is not currently in default of securities legislation of any jurisdiction of Canada.
26. The Unit value of the Principal Classic Fund will be calculated and reported to the French AMF on a regular basis.
27. All management charges relating to the Principal Classic Fund will be paid from the assets of the Principal Classic Fund or by the Filer, as provided in the regulations of the Principal Classic Fund.
28. Canadian Employees will receive an information package which will include a summary of the terms of the relevant Employee Offering and a description of Canadian income tax consequences of subscribing for and holding the Units of

the Principal Classic Fund and the redemption of such Units at the end of the applicable Lock-Up Period. Canadian Employees will have access to or may request a copy of the Filer's French *Document de Référence* filed with the French AMF in respect of the Shares and a copy of the rules of the relevant Temporary Classic Fund and the Principal Classic Fund. Canadian Employees will also have access to the continuous disclosure materials relating to the Filer that are furnished to holders of the Shares. Canadian Participants will receive an initial statement of their holdings under the Classic Plan, together with an updated statement, at least once per year.

29. For the 2020 Employee Offering, there are approximately 233 Canadian Employees resident in Canada, with the greatest number resident in Ontario (124), and the remainder in Québec and British Columbia, who represent, in the aggregate, less than 0.01% of the number of employees in the Worldline Group worldwide.

Decision

The principal regulator is satisfied that the decision meets the test set out in the Legislation for the principal regulator to make the decision.

The decision of the principal regulator under the Legislation is that the Offering Relief is granted provided that:

- (a) for the 2020 Employee Offering, the prospectus requirement will apply to the first trade in any Units or Shares acquired by Canadian Participants pursuant to this decision unless all of the following conditions are met:
 - (i) the issuer of the security was a foreign issuer on the distribution date, as such term is defined in section 2.15(1) of NI 45-102 and section 2.8(1) of OSC Rule 72-503 *Distributions Outside Canada*;
 - (ii) the issuer of the security
 - (A) was not a reporting issuer in any jurisdiction of Canada on the distribution date, or
 - (B) is not a reporting issuer in any jurisdiction of Canada on the date of the trade; and
 - (iii) the first trade is made:
 - (A) through an exchange, or a market, outside of Canada, or
 - (B) to a person or company outside of Canada;
- (b) for any Subsequent Employee Offering under this decision completed within five years from the date of this decision, provided that the following conditions are met:
 - (i) the representations other than those in paragraphs 3, 11, 22 and 28 remain true and correct in respect of that Subsequent Employee Offering, and
 - (ii) the conditions set out in paragraph (a) apply, with the necessary adaptations, to any such Subsequent Employee Offering; and
- (c) in Ontario, the prospectus exemption above, for the first trade in any Units or Shares acquired by Canadian Participants pursuant to this decision, is not available with respect to any transaction or series of transactions that is part of a plan or scheme to avoid the prospectus requirements in connection with a trade to a person or company in Canada.

"Cathy Singer"
Commissioner
Ontario Securities Commission

"Garnet W. Fenn"
Commissioner
Ontario Securities Commission

2.2 Orders

2.2.1 Joseph Debus

File No. 2019-16

IN THE MATTER OF
JOSEPH DEBUS

M. Cecilia Williams, Commissioner and Chair of the Panel

December 2, 2020

ORDER

WHEREAS the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider a motion brought by Staff of the Investment Industry Regulatory Organization of Canada (**IIROC**) for an order declining to admit evidence proposed to be introduced by Joseph Debus (**Debus**) at the hearing of his application for hearing and review, which was not included in the record of the original proceeding;

ON READING the written materials filed by IIROC Staff and Staff of the Commission, no responding materials being filed by Debus;

IT IS ORDERED, for reasons to follow, that:

1. Debus shall not be permitted to examine the five individuals named in his witness list filed with the Commission on October 15, 2020, at the hearing and review in this matter; and
2. the proposed documentary evidence set out by Debus in his correspondence dated October 15, 2020 shall not be admitted at the hearing and review in this matter.

“M. Cecilia Williams”

2.2.2 Jonathan Cartu et al.

File No. 2020-14

IN THE MATTER OF
JONATHAN CARTU,
DAVID CARTU, AND
JOSHUA CARTU

M. Cecilia Williams, Commissioner and Chair of the Panel

December 3, 2020

ORDER

WHEREAS on December 3, 2020, the Ontario Securities Commission held a hearing by teleconference with respect to an attendance in this proceeding;

ON HEARING the submissions of Staff of the Commission, and the representatives for each of David Cartu and Joshua Cartu, and no one appearing for Jonathan Cartu, although properly served;

IT IS ORDERED THAT an attendance in this proceeding is scheduled for January 7, 2021 at 10:00 a.m., by teleconference, or on such other date and time as may be agreed to by the parties and set by the Office of the Secretary.

“M. Cecilia Williams”

2.2.3 Trevor Rosborough et al.

File No. 2020-33

**IN THE MATTER OF
TREVOR ROSBOROUGH,
TAYLOR CARR and
DMITRI GRAHAM**

Timothy Moseley, Vice-Chair and Chair of the Panel

December 3, 2020

ORDER

WHEREAS on December 3, 2020, the Ontario Securities Commission held a hearing by teleconference;

ON HEARING the submissions of the representatives for Staff of the Commission (**Staff**), for Trevor Rosborough and for Taylor Carr, and of Dmitri Graham appearing on his own behalf;

IT IS ORDERED THAT:

1. Any motion regarding Staff's disclosure or seeking disclosure of additional documents shall be served and filed by no later than March 23, 2021;
2. Staff shall serve and file a witness list and serve a summary of each witness's anticipated evidence on each respondent, and indicate any intention to call an expert witness, including the expert's name and the issues on which the expert will give evidence, by no later than March 26, 2021;
3. An attendance in this proceeding is scheduled for April 1, 2021, at 9:00 a.m., by teleconference, or on such other date and time as may be agreed to by the parties and set by the Office of the Secretary.

"Timothy Moseley"

2.2.4 Dealnet Capital Corp.

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – The issuer ceased to be a reporting issuer under securities legislation.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., s. 1(10)(a)(ii).

November 30, 2020

**IN THE MATTER OF
THE SECURITIES LEGISLATION OF
ONTARIO
(THE JURISDICTION)**

AND

**IN THE MATTER OF
THE PROCESS FOR CEASE TO BE
A REPORTING ISSUER APPLICATIONS**

AND

**IN THE MATTER OF
DEALNET CAPITAL CORP.
(the Filer)**

ORDER

Background

The principal regulator in the Jurisdiction has received an application from the Filer for an order under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) that the Filer has ceased to be a reporting issuer in all jurisdictions of Canada in which it is a reporting issuer (the **Order Sought**).

Under the Process for Cease to be a Reporting Issuer Applications (for a passport application):

- (a) the Ontario Securities Commission is the principal regulator for this application, and
- (b) the Filer has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 *Passport System (MI 11-102)* is intended to be relied upon in British Columbia and Alberta.

Interpretation

Terms defined in National Instrument 14-101 *Definitions* and MI 11-102 have the same meaning if used in this order, unless otherwise defined.

Representations

This order is based on the following facts represented by the Filer:

1. the Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*;
2. the outstanding securities of the Filer, including debt securities, are beneficially owned, directly or indirectly, by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders in total worldwide;
3. no securities of the Filer, including debt securities, are traded in Canada or another country on a marketplace as defined in National Instrument 21-101 *Marketplace Operation* or any other facility for bringing together buyers and sellers of securities where trading data is publicly reported;
4. the Filer is applying for an order that the Filer has ceased to be a reporting issuer in all of the jurisdictions of Canada in which it is a reporting issuer; and
5. the Filer is not in default of securities legislation in any jurisdiction.

Order

The principal regulator is satisfied that the order meets the test set out in the Legislation for the principal regulator to make the order.

The decision of the principal regulator under the Legislation is that the Order Sought is granted.

“Marie-France Bourret”
Manager, Corporate Finance Branch
Ontario Securities Commission

2.2.5 Majd Kitmitto et al.

File No. 2018-70

**IN THE MATTER OF
MAJD KITMITTO,
STEVEN VANNATTA,
CHRISTOPHER CANDUSSO,
CLAUDIO CANDUSSO,
DONALD ALEXANDER (SANDY) GOSS,
JOHN FIELDING AND
FRANK FAKHRY**

M. Cecilia Williams, Commissioner and Chair of the Panel

Heather Zordel, Commissioner

Craig Hayman, Commissioner

December 7, 2020

ORDER

WHEREAS on December 7, 2020, the Ontario Securities Commission (the **Commission**) held a hearing by videoconference;

ON HEARING the submissions of the representatives for Staff of the Commission (**Staff**) and for each of Majd Kitmitto, Steven Vannatta, Christopher Candusso and Claudio Candusso, Donald Alexander (Sandy) Goss, John Fielding and Frank Fakhry (the **Respondents**);

IT IS ORDERED THAT:

1. the hearing dates of December 9, 10, and 11, 2020 are vacated;
2. Staff shall serve and file written submissions regarding the hearing on the merits on or before 4:30 p.m. on January 29, 2021;
3. the Respondents shall serve and file written submissions regarding the hearing on the merits, if any, on or before 4:30 p.m. on February 12, 2021;
4. Closing submissions on the merits shall be heard by video conference on February 24, 25, and 26, 2021 commencing at 10:00 a.m. or such other dates and times as provided by the Office of the Secretary and agreed to by the parties.

“M. Cecilia Williams”

“Heather Zordel”

“Craig Hayman”

2.2.6 Pivot Technology Solutions, Inc. – s. 1(6) of the OBCA

Headnote

Applicant deemed to have ceased to be offering securities to the public under the Business Corporations Act (Ontario).

Applicable Legislative Provisions

Business Corporations Act, R.S.O. 1990, c. B.16 as am., s. 1(6).

**IN THE MATTER OF
THE *BUSINESS CORPORATIONS ACT* (ONTARIO),
R.S.O. 1990, c. B.16, AS AMENDED
(the OBCA)**

AND

**IN THE MATTER OF
PIVOT TECHNOLOGY SOLUTIONS, INC.
(the Applicant)**

**ORDER
(Subsection 1(6) of the OBCA)**

UPON the application of the Applicant to the Ontario Securities Commission (the **Commission**) for an order pursuant to subsection 1(6) of the OBCA to be deemed to have ceased to be offering its securities to the public;

AND UPON the Applicant representing to the Commission that:

1. The Applicant is an “offering corporation” as defined in subsection 1(1) of the OBCA.
2. The Applicant has no intention to seek public financing by way of an offering of securities.
3. On November 10, 2020, the Applicant was granted an order (the **Reporting Issuer Order**) pursuant to subclause 1(10)(a)(ii) of the *Securities Act* (Ontario) that it is not a reporting issuer in Ontario and is not a reporting issuer or the equivalent in any other jurisdiction of Canada in accordance with the simplified procedure set out in National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications*. The representations set out in the Reporting Issuer Order continue to be true.

AND UPON the Commission being satisfied that to do so would not be prejudicial to the public interest;

IT IS HEREBY ORDERED by the Commission pursuant to subsection 1(6) of the OBCA, that the Applicant is deemed to have ceased to be offering its securities to the public.

DATED at Toronto, Ontario this 7th day of December 2020.

“Craig Hayman”
Commissioner
Ontario Securities Commission

“Cecilia Williams”
Commissioner
Ontario Securities Commission

2.4 Rulings

2.4.1 Royal Bank of Canada – s. 38 of the CFA and s. 6.1 of Rule 91-502

Headnote

Application for a ruling pursuant to section 38 of the Commodity Futures Act granting relief from the dealer registration requirement set out in section 22 of the CFA and the trading restrictions in section 33 of the CFA in connection with certain trades in Exchange-Traded Futures on Non-Canadian Exchanges where the Applicant is acting as principal or agent in such trades to, from or on behalf of a Canadian affiliate – relief subject to sunset clause.

Application to the Director for an exemption, pursuant to section 6.1 of OSC Rule 91-502 Trades in Recognized Options (**Rule 91-502**), exempting the Applicant and its Representatives from the proficiency requirements in section 3.1 of Rule 91-502 for trades in commodity futures options on exchanges located outside Canada.

Statutes Cited

Commodity Futures Act, R.S.O. 1990, c. C.20 as am., ss. 22 and 38.

Rules Cited

OSC Rule 91-502 Trades in Recognized Options, ss. 3.1 and 6.1.

**IN THE MATTER OF
THE COMMODITY FUTURES ACT,
R.S.O. 1990, c. C.20, AS AMENDED
(the CFA)**

AND

**IN THE MATTER OF
THE SECURITIES ACT,
R.S.O. 1990, c. S.5, AS AMENDED
(the OSA)**

AND

**IN THE MATTER OF
ONTARIO SECURITIES COMMISSION
RULE 91-502 TRADES IN RECOGNIZED OPTIONS
(Rule 91-502)**

AND

**IN THE MATTER OF
ROYAL BANK OF CANADA**

**RULING & EXEMPTION
(Section 38 of the CFA and Section 6.1 of Rule 91-502)**

UPON the application (the **Application**) of Royal Bank of Canada (the **Applicant**) to the Ontario Securities Commission (the **Commission**) for:

- (a) a ruling of the Commission, pursuant to section 38 of the CFA, that the Applicant is not subject to the dealer registration requirements in the CFA (as defined below) or the trading restrictions in the CFA (as defined below) in connection with trades in Exchange-Traded Futures (as defined below) on exchanges located outside of Canada (**Non-Canadian Exchanges**) where the Applicant is acting as principal or agent in such trades to, from or on behalf of RBCDS (as defined below) and where RBCDS is entering into such trade as principal and for its own account only;
- (b) a ruling of the Commission, pursuant to section 38 of the CFA, that RBCDS is not subject to the trading restrictions in the CFA in connection with trades in Exchange-Traded Futures on Non-Canadian Exchanges, where the Applicant acts in respect of the trades in Exchange-Traded Futures on behalf of RBCDS pursuant to the above ruling; and

- (c) a decision of the Director, pursuant to section 6.1 of Rule 91-502, exempting the Applicant and its salespersons, directors, officers and employees (the **Representatives**) from section 3.1 of Rule 91-502 in connection with trades in Exchange-Traded Futures (collectively, the **Requested Relief**);

AND WHEREAS for the purposes of this ruling and exemption (collectively, the **Decision**):

- (i) **“CFTC”** means the U.S. Commodity Futures Trading Commission;
- “dealer registration requirements in the CFA”** means the provisions of section 22 of the CFA that prohibit a person or company from trading in Exchange-Traded Futures unless the person or company satisfies the applicable provisions of section 22 of the CFA;
- “Exchange-Traded Futures”** means a commodity futures contract or a commodity futures option that trades on one or more organized exchanges located outside of Canada and that is cleared through one or more clearing corporations located outside of Canada;
- “FCA”** means the Financial Conduct Authority in the U.K.;
- “NFA”** means the National Futures Association in the U.S.;
- “PRA”** means the Prudential Regulation Authority in the U.K.;
- “RBCDS”** means RBC Dominion Securities Inc.;
- “RBCEL”** means RBC Europe Limited;
- “SEC”** means the U.S. Securities and Exchange Commission;
- “specified affiliate”** has the meaning ascribed to that term in Form 33-109F6 to National Instrument 33-109 *Registration Information*;
- “trading restrictions in the CFA”** means the provisions of section 33 of the CFA that prohibit a person or company from trading in Exchange-Traded Futures unless the person or company satisfies the applicable provisions of section 33 of the CFA;
- “U.K.”** means the United Kingdom;
- “U.S.”** means the United States of America; and
- (ii) terms used in this Decision that are defined in the OSA, and not otherwise defined in the Decision or in the CFA, shall have the same meaning as in the OSA, unless the context otherwise requires;

AND UPON considering the Application and the recommendation of staff of the Commission;

AND UPON the Applicant having represented to the Commission and the Director as follows:

1. The Applicant is a Schedule I bank under the *Bank Act* (Canada). The principal executive offices of the Applicant are located at Royal Bank Plaza, 200 Bay Street, Toronto, Ontario, M5J 2W7. The Applicant’s head office is located at 1 Place Ville Marie, Montreal, Québec, H3B 4R8.
2. The Applicant is not registered in any capacity under the CFA or the OSA and relies on the exemption from registration for financial institutions under section 35.1 of the OSA. However, there is no corresponding exemption from registration for financial institutions in the CFA.
3. The Applicant is authorized by the FCA to carry on a range of regulated activities within the U.K. and is subject to regulation by the FCA and PRA. The Applicant is currently licensed in the U.K. to deal with eligible counterparties and professional clients with respect to its permitted activities. The Applicant is currently authorized to carry on certain regulated activities in the U.K. in relation to certain specified investments, including the following: (a) advising on investments (except on pension transfers and pension opt outs) in relation to futures, options and over-the-counter derivatives; (b) advising on P2P agreements; (c) arranging (bringing about) deals in investments in relation to futures, options and over-the-counter derivatives; (d) arranging safeguarding and administration of assets in relation to futures, options and over-the-counter derivatives; (e) dealing in investments in relation to futures, options and over-the-counter derivatives as agent and principal; (f) making arrangements with a view to transactions in investments in relation to futures, options and over-the-counter derivatives; and (g) safeguarding and administration of assets (without arranging) in relation to futures, options and over-the-counter derivatives. As is the case with all firms authorized in the U.K., the Applicant’s current U.K. regulatory status remains subject to variation and the possible imposition of regulatory limitations or requirements and is described as at the date of the Application.

4. The Applicant is an approved member of the NFA (NFA ID: 0361733) and is provisionally registered as a swap dealer with the CFTC.
5. The Applicant is not in default of securities legislation in any jurisdiction in Canada or under the CFA, subject to the matter to which this Decision relates. The Applicant is in compliance in all material respects with U.K. and U.S. securities and commodity futures laws, as applicable.
6. RBCDS, an affiliate of the Applicant, is registered as a dealer in the category of investment dealer in each of the provinces and territories of Canada, and in the category of futures commission merchant in Ontario and derivatives dealer in Quebec. RBCDS is also a dealer member of the Investment Industry Regulatory Organization of Canada (**IIROC**) and has its head office in Ontario. RBCDS is an indirect wholly-owned subsidiary of the Applicant.
7. The Applicant is a “market participant” as defined under subsection 1(1) of the CFA. As a market participant, among other requirements, the Applicant is required to comply with the record keeping and provision of information provisions under section 14 of the CFA, which include the requirement to keep such books, records and other documents: (a) as are necessary for the proper recording of business transactions and financial affairs, and the transactions executed on behalf of others, (b) as may otherwise be required under Ontario commodity futures law, and (c) as may reasonably be required to demonstrate compliance with Ontario commodity futures laws, and to deliver such records to the Commission if required.
8. Section 22 of the CFA prohibits a person or company from trading in Exchange-Traded Futures unless the person or company satisfies the applicable provisions in section 22 of the CFA.
9. Pursuant to its authorizations and approvals, the Applicant is authorized to act as a swaps dealer in the U.S. and to trade in securities and Exchange-Traded Futures in the U.K. Rules of the CFTC, NFA, FCA and PRA require the Applicant to maintain adequate capital levels, make and keep specified types of records relating to customer accounts and transactions, and comply with other forms of customer protection rules, including rules respecting: know-your-customer obligations, account-opening requirements, anti-money laundering checks, credit checks, delivery of confirmation statements, clearing deposits and initial and maintenance margins. These rules require the Applicant to treat RBCDS materially the same as the Applicant’s U.K. and U.S. customers with respect to transactions made on exchanges in the U.K. In order to protect customers in the event of insolvency or financial instability of the Applicant, the Applicant is required to ensure that customer securities and monies be separately accounted for and segregated from the securities and monies of the Applicant. The Applicant is subject to the FCA’s Client Asset Rules, which impose a general duty to segregate client assets and require the Applicant to place client money exclusively with counterparties selected and approved in compliance with the criteria set out in the FCA’s Client Asset Rules.
10. RBCDS is a regulated entity in Canada and an affiliate of the Applicant and thus does not require the protections of the CFA.
11. The Applicant’s Exchange-Traded Futures trading and clearing operations are currently conducted by its affiliate, RBCEL, a company incorporated under the laws of England and Wales with its head office located in London in the U.K. RBCEL is an indirect wholly-owned subsidiary of the Applicant. The primary purpose of requesting that the Applicant be permitted to trade Exchange-Traded Futures with RBCDS is because the Applicant intends to reorganize its Exchange-Traded Futures trading and clearing operations by moving those operations from RBCEL to its London-based foreign bank branch, Royal Bank of Canada, London Branch (**RBC London Branch**).
12. The Applicant will not maintain an office, sales force or physical place of business in Ontario with respect to the Exchange Traded Futures trading and clearing operations of RBC London Branch.
13. The Exchange-Traded Futures to be traded by RBCDS will include, but will not be limited to, Exchange-Traded Futures for equity index and single name stocks, interest rate, foreign exchange, bond, energy, agricultural and other commodity products.
14. The trading restrictions in the CFA apply unless, among other things, an Exchange-Traded Future is traded on a recognized or registered commodity futures exchange and the form of the contract is approved by the Director. To date, no Non-Canadian Exchanges have been recognized or registered under the CFA.
15. If the Applicant was registered under the CFA as a “futures commission merchant”, it could rely upon certain exemptions from the trading restrictions in the CFA to effect trades in Exchange-Traded Futures to be entered into on certain Non-Canadian Exchanges.
16. Section 3.1 of Rule 91-502 provides that no person shall trade as agent in, or give advice in respect of, a recognized option, as defined in section 1.1 of Rule 91-502, unless he or she has successfully completed the Canadian Options Course (which has been replaced by the Derivatives Fundamentals Course and the Options Licensing Course).

17. All Representatives of the Applicant who trade futures and options in the U.K. need to have attained and maintain a level of skills, knowledge and expertise to discharge their responsibilities in accordance with the FCA's Training and Competence Handbook.
18. Representatives who trade futures and options will have passed examinations in U.K. Financial Regulation and Securities and/or Derivatives administered by the Chartered Institute for Securities & Investment (**CISI**) under its Capital Markets Programme.
19. Under the U.K. Senior Managers & Certification Regime, these Representatives who trade futures and options will be classified by the Applicant as certified individuals. Although these Representatives will not be subject to direct approval by the FCA or the PRA, the Applicant must take reasonable care to ensure that a Representative does not perform a certification function without having first been certified as fit and proper to do so. This certification must be renewed on an annual basis.

AND UPON the Commission and Director being satisfied that it would not be prejudicial to the public interest to grant the exemptions requested;

IT IS RULED, pursuant to section 38 of the CFA, that the Applicant is not subject to the dealer registration requirements set out in the CFA or the trading restrictions in the CFA in connection with trades in Exchange-Traded Futures where the Applicant is acting as principal or agent in such trades to, from or on behalf of RBCDS provided that:

- (a) at the time trading activity is engaged, the Applicant:
 - (i) maintains RBC London Branch's principal place of business in the U.K.;
 - (ii) is authorised and regulated by the FCA;
 - (iii) is approved by the NFA as a member firm; and
 - (iv) engages in the business of an authorized firm in Exchange-Traded Futures in the U.K.;
- (b) the Applicant has submitted to the Commission a completed *Submission to Jurisdiction and Appointment of Agent for Service* in the form attached as Appendix "A" hereto;
- (c) the Applicant notifies the Commission of any regulatory action after the date of this Decision in respect of the Applicant, or any predecessors or specified affiliates of the Applicant, by completing and filing with the Commission Appendix "B" hereto within ten days of the commencement of such action; provided that the Applicant may also satisfy this condition by filing with the Commission within ten days of the date of this Decision a notice making reference to and incorporating by reference the disclosure made relating to the Applicant pursuant to U.S. federal securities laws, and any updates to such disclosure that may be made from time to time, and by providing a copy, in a manner reasonably acceptable to the Director, of any Form BD "Regulatory Action Disclosure Reporting Page" relating to the Applicant;
- (d) if the Applicant does not rely on the international dealer exemption (**IDE**) in section 8.18 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*, by December 31st of each year, the Applicant pays a participation fee based on its specified Ontario revenues for its previous financial year in compliance with the requirements of Part 3 and section 6.4 of OSC Rule 13-502 *Fees*, as if the Applicant relied on the IDE;
- (e) the Applicant only executes and clears trades in Exchange-Traded Futures pursuant to this Decision for RBCDS;
- (f) by December 1st of each year, the Applicant notifies the Commission of its continued reliance on the exemption from the dealer registration requirement granted pursuant to this Decision by filing Form 13-502F4 *Capital Markets Participation Fee Calculation*; and
- (g) this Decision will terminate on the earliest of:
 - (i) the expiry of any such transition period as may be provided by law, after the effective date of the repeal of the CFA;
 - (ii) six months, or such other transition period as may be provided by law, after the coming into force of any amendment to Ontario commodity futures law (as defined in the CFA) or Ontario securities law (as defined in the OSA) that affects the dealer registration requirements in the CFA or the trading restrictions in the CFA; and

- (iii) five years after the date of this Decision.

AND IT IS FURTHER RULED, pursuant to section 38 of the CFA, that RBCDS is not subject to the trading restrictions in the CFA in connection with trades in Exchange-Traded Futures on Non-Canadian Exchanges where the Applicant acts in connection with trades in Exchange-Traded Futures on behalf of RBCDS pursuant to the above ruling.

Date: December 1, 2020

“Garnet Fenn”
Commissioner
Ontario Securities Commission

“Cathy Singer”
Commissioner
Ontario Securities Commission

IT IS THE DECISION of the Director, pursuant to section 6.1 of Rule 91-502, that section 3.1 of Rule 91-502 does not apply to the Applicant or its Representatives in respect of trades in Exchange-Traded Futures, provided that:

- (a) the Applicant and its Representatives maintain their respective authorizations and approvals with the FCA and the NFA which permit them to trade commodity futures options in the U.K., and remain subject to regulation by the FCA; and
- (b) this Decision will terminate on the earliest of:
 - (i) the expiry of any transition period as may be provided by law, after the effective date of the repeal of the CFA
 - (ii) six months, or such other transition period as may be provided by law, after the coming into force of any amendment to Ontario commodity futures law (as defined in the CFA) or Ontario securities law (as defined in the OSA) that affects the dealer registration requirements in the CFA or the trading restrictions in the CFA; and
 - (iii) five years after the date of this Decision.

Date: November 27, 2020

“Felicia Tedesco”
Director
Ontario Securities Commission

APPENDIX "A"

SUBMISSION TO JURISDICTION AND APPOINTMENT OF AGENT FOR SERVICE

INTERNATIONAL DEALER OR INTERNATIONAL ADVISER EXEMPTED FROM REGISTRATION UNDER THE
COMMODITY FUTURES ACT, ONTARIO

1. Name of person or company ("International Firm"):
2. If the International Firm was previously assigned an NRD number as a registered firm or an unregistered exempt international firm, provide the NRD number of the firm:
3. Jurisdiction of incorporation of the International Firm:
4. Head office address of the International Firm:
5. The name, e-mail address, phone number and fax number of the International Firm's individual(s) responsible for the supervisory procedure of the International Firm, its chief compliance officer, or equivalent.

Name:

E-mail address:

Phone:

Fax:
6. The International Firm is relying on an exemption order under section 38 or section 80 of the *Commodity Futures Act* (Ontario) that is similar to the following exemption in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (the "Relief Order"):

 Section 8.18 [*international dealer*]

 Section 8.26 [*international adviser*]

 Other [specify]:
7. Name of agent for service of process (the "Agent for Service"):
8. Address for service of process on the Agent for Service:
9. The International Firm designates and appoints the Agent for Service at the address stated above as its agent upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal or other proceeding (a "Proceeding") arising out of or relating to or concerning the International Firm's activities in the local jurisdiction and irrevocably waives any right to raise as a defence in any such proceeding any alleged lack of jurisdiction to bring such Proceeding.
10. The International Firm irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of the local jurisdiction in any Proceeding arising out of or related to or concerning the International Firm's activities in the local jurisdiction.
11. Until 6 years after the International Firm ceases to rely on the Relief Order, the International Firm must submit to the regulator
 - a. a new Submission to Jurisdiction and Appointment of Agent for Service in this form no later than the 30th day before the date this Submission to Jurisdiction and Appointment of Agent for Service is terminated;
 - b. an amended Submission to Jurisdiction and Appointment of Agent for Service no later than the 30th day before any change in the name or above address of the Agent for Service; and
 - c. a notice detailing a change to any information submitted in this form, other than the name or above address of the Agent for Service, no later than the 30th day after the change.
12. This Submission to Jurisdiction and Appointment of Agent for Service is governed by and construed in accordance with the laws of the local jurisdiction.

Decisions, Orders and Rulings

Dated: _____

(Signature of the International Firm or authorized signatory)

(Name of signatory)

(Title of signatory)

Acceptance

The undersigned accepts the appointment as Agent for Service of _____

[Insert name of International Firm] under the terms and conditions of the foregoing Submission to Jurisdiction and Appointment of Agent for Service.

Dated: _____

(Signature of the Agent for Service or authorized signatory)

(Name of signatory)

(Title of signatory)

This form, and notice of a change to any information submitted in this form, is to be submitted through the Ontario Securities Commission's Electronic Filing Portal:

<https://www.osc.gov.on.ca/filings>

APPENDIX "B"

NOTICE OF REGULATORY ACTION¹

1. Has the firm, or any predecessors or specified affiliates² of the firm entered into a settlement agreement with any financial services regulator, securities or derivatives exchange, SRO or similar agreement with any financial services regulator, securities or derivatives exchange, SRO or similar organization?

Yes _____ No _____

If yes, provide the following information for each settlement agreement:

Name of entity
Regulator/organization
Date of settlement (yyyy/mm/dd)
Details of settlement
Jurisdiction

2. Has any financial services regulator, securities or derivatives exchange, SRO or similar organization:

	Yes	No
(a) Determined that the firm, or any predecessors or specified affiliates of the firm violated any securities regulations or any rules of a securities or derivatives exchange, SRO or similar organization?		
(b) Determined that the firm, or any predecessors or specified affiliates of the firm made a false statement or omission?		
(c) Issued a warning or requested an undertaking by the firm, or any predecessors or specified affiliates of the firm?		
(d) Suspended or terminated any registration, licensing or membership of the firm, or any predecessors or specified affiliates of the firm?		
(e) Imposed terms or conditions on any registration or membership of the firm, or predecessors or specified affiliates of the firm?		
(f) Conducted a proceeding or investigation involving the firm, or any predecessors or specified affiliates of the firm?		
(g) Issued an order (other than an exemption order) or a sanction to the firm, or any predecessors or specified affiliates of the firm for securities or derivatives-related activity (e.g. cease trade order)?		

If yes, provide the following information for each action:

Name of Entity
Type of Action
Regulator/organization

¹ Terms defined for the purposes of Form 33-506F6 *Firm Registration* to Ontario Securities Commission Rule 33-506 (*Commodity Futures Act*) *Registration Information* have the same meaning if used in this Appendix except that any reference to "firm" means the person or company relying on relief from the requirement to register as an adviser or dealer under the *Commodity Futures Act* (Ontario).

² In this Appendix, the term "specified affiliate" has the meaning ascribed to that term in Form 33-109F6 to National Instrument 33-109 *Registration Information*.

Decisions, Orders and Rulings

Date of action (yyyy/mm/dd)	Reason for action
Jurisdiction	

3. Is the firm aware of any ongoing investigation of which the firm or any of its specified affiliate is the subject?

Yes _____ No _____

If yes, provide the following information for each investigation:

Name of entity
Reason or purpose of investigation
Regulator/organization
Date investigation commenced (yyyy/mm/dd)
Jurisdiction

Name of firm
Name of firm's authorized signing officer or partner
Title of firm's authorized signing officer or partner
Signature
Date (yyyy/mm/dd)

Witness

The witness must be a lawyer, notary public or commissioner of oaths.

Name of witness
Title of witness
Signature
Date (yyyy/mm/dd)

This form is to be submitted through the Ontario Securities Commission's Electronic Filing Portal:

<https://www.osc.gov.on.ca/filings>

Chapter 4

Cease Trading Orders

4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders

Company Name	Date of Temporary Order	Date of Hearing	Date of Permanent Order	Date of Lapse/Revoke
THERE IS NOTHING TO REPORT THIS WEEK.				

Failure to File Cease Trade Orders

Company Name	Date of Order	Date of Revocation
ACGT DNA Technologies Corporation	September 18, 2020	December 7, 2020
Primo Nutraceuticals Inc.	December 4, 2020	
Victory Capital Corp.	December 4, 2020	

4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders

Company Name	Date of Order	Date of Lapse
Greenbank Capital Inc.	December 1, 2020	
Nutritional High International Inc.	December 1, 2020	

4.2.2 Outstanding Management & Insider Cease Trading Orders

Company Name	Date of Order or Temporary Order	Date of Hearing	Date of Permanent Order	Date of Lapse/Expire	Date of Issuer Temporary Order
Performance Sports Group Ltd.	19 October 2016	31 October 2016	31 October 2016		

Company Name	Date of Order	Date of Lapse
Agrios Global Holdings Ltd.	September 17, 2020	
Greenbank Capital Inc.	December 1, 2020	
Nutritional High International Inc.	December 1, 2020	

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Chapter 5

Rules and Policies

5.1.1 Amendments to National Instrument 81-105 Mutual Fund Sales Practices

AMENDMENTS TO NATIONAL INSTRUMENT 81-105 *MUTUAL FUND SALES PRACTICES*

1. ***National Instrument 81-105 Mutual Fund Sales Practices is amended by this Instrument.***
2. ***Section 1.1 is amended by adding the following definition:***

“**suitability determination**” means a determination or other assessment required to be made under any of the following:

 - (a) section 13.3 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*;
 - (b) the rules of the Investment Industry Regulatory Organization of Canada named in Appendix G of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* that are in effect, as amended from time to time, and that correspond to section 13.3 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*;
 - (c) a rule or policy of the Mutual Fund Dealers Association of Canada named in Appendix H of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* that are in effect, as amended from time to time, and that correspond to section 13.3 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*..
3. ***Section 2.2 is amended by adding the following subsection:***
 - (3) Despite subsection (2), a participating dealer may not solicit or accept a payment of a trailing commission from a member of the organization of the mutual fund, in connection with securities of the mutual fund held in an account of a client of the participating dealer, if the participating dealer was not required to make a suitability determination in respect of the client in connection with those securities..
4. ***Section 3.2 is amended***
 - (a) ***in subsection (1) by deleting*** “in money that is based upon the aggregate value of securities of the mutual fund held in accounts of clients of the participating dealer as at a particular time or during a particular period,”,
 - (b) ***in paragraph 3.2(1)(a) by replacing*** “the trade” ***with*** “a trade in securities of the mutual fund by a client of the participating dealer”,
 - (c) ***by adding the following paragraph to subsection (1):***
 - (a.1) the amount of the trailing commission is based on the value of securities of the mutual fund held in an account of the client as at a particular time or during a particular period; ***and***
 - (d) ***by adding the following subsection:***
 - (4) Despite subsection (1), no member of the organization of a mutual fund may pay a trailing commission to a participating dealer in connection with securities of the mutual fund held in an account of a client of the participating dealer if the member knows or ought reasonably to know that the participating dealer was not required to make a suitability determination in respect of the client in connection with those securities..

Effective dates

5. (1) The provisions of this Instrument listed in column 1 of the following table come into force on the date set out in column 2 of the table:

Column 1 Provision of this Instrument	Column 2 Date
1, 2	December 31, 2020
3, 4	June 1, 2022

- (2) In Saskatchewan, despite subsection (1), if these regulations are filed with the Registrar of Regulations after the effective dates indicated in column 2, these regulations come into force on the day on which they are filed with the Registrar of Regulations.

5.1.2 Changes to Companion Policy 81-105CP Mutual Fund Sales Practices

**CHANGES TO
COMPANION POLICY 81-105CP *MUTUAL FUND SALES PRACTICES***

1. *Companion Policy 81-105CP Mutual Fund Sales Practices is changed by this Document.*

2. *Part 5 of the Companion Policy is changed by adding the following section:*

- 5.4 **Restriction on payment and acceptance of trailing commissions where no suitability determination made** – Subsection 3.2(4) of the Instrument prohibits members of the organization of a mutual fund from paying trailing commissions to participating dealers who were not required to make a suitability determination for a client in connection with securities of the mutual fund held in an account of the client. Correspondingly, subsection 2.2(3) of the Instrument prohibits participating dealers from soliciting or accepting payment of trailing commissions from a member of the organization of the mutual fund when they were not required to make a suitability determination for a client in connection with securities of a mutual fund held in an account of the client. Consequently, participating dealers who are not subject to the obligation to make a suitability determination under National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* or corresponding SRO rules may not solicit or accept such payments. In addition, members of the organization of a mutual fund should make available to participating dealers who are not required to make a suitability determination in respect of a client, a class or series of securities of a mutual fund that does not pay trailing commissions, which the dealer should offer to the client.

We remind members of the organization of a mutual fund and participating dealers of their duty under section 11.1 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* to establish, maintain and apply policies and procedures that establish a system of controls and supervision sufficient to provide reasonable assurance that the firm and each individual acting on its behalf complies with securities legislation, including the prohibitions in subsections 2.2(3) and 3.2(4).

We expect members of the organization of a mutual fund and participating dealers to be diligent in complying with subsections 2.2(3) and 3.2(4). Participating dealers should be operating in a manner that enables members of the organization of a mutual fund to ascertain whether a suitability determination was required to be made in connection with the securities of the mutual fund held in an account of the dealers' clients and members of the organization of a mutual fund should be aware of the information that a participating dealer makes available to them regarding whether a suitability determination was required to be made..

3. These changes come into effect on June 1, 2022.

5.1.3 Amendments to National Instrument 41-101 General Prospectus Requirements

**AMENDMENTS TO
NATIONAL INSTRUMENT 41-101 GENERAL PROSPECTUS REQUIREMENTS**

1. *National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.*

2. *Part 3C is amended by adding the following section:*

3C.2.1 Delivery of ETF facts documents for no-trailing-commission ETF switches

(1) In this section,

“**no-trailing-commission ETF switch**” means, in respect of a client of a participating dealer, a purchase of securities of a class or series of an ETF in respect of which an investment fund manager does not pay the participating dealer a trailing commission immediately following a redemption of securities of another class or series of the ETF in respect of which the investment fund manager pays the participating dealer a trailing commission, if all of the following apply:

- (a) the aggregate value of the securities purchased is the same as the aggregate value of the securities redeemed;
- (b) there are no material differences between the class or series of securities purchased and the class or series of securities redeemed other than the rate of management fees charged in respect of the two classes or series;
- (c) the participating dealer, who executed the purchase and redemption of the securities, was not required by securities legislation or the rules of an SRO applicable to the dealer to make a suitability determination in respect of the client in connection with those securities;

“**suitability determination**” has the same meaning as in section 1.1 of National Instrument 81-105 *Mutual Fund Sales Practices*.

(2) Despite subsection 3C.2(2), a dealer is not required to deliver or send to the purchaser of a security of an ETF the most recently filed ETF facts document for the applicable class or series of securities of the ETF in connection with a no-trailing-commission ETF switch..

Effective date

3. (1) This Instrument comes into force on December 31, 2020.

(2) In Saskatchewan, despite subsection (1), if these regulations are filed with the Registrar of Regulations after December 31, 2020, these regulations come into force on the day on which they are filed with the Registrar of Regulations.

5.1.4 Amendments to National Instrument 81-101 Mutual Fund Prospectus Disclosure

**AMENDMENTS TO
NATIONAL INSTRUMENT 81-101 *MUTUAL FUND PROSPECTUS DISCLOSURE***

1. ***National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.***

2. ***Section 3.2.01 is amended***

- (a) ***by deleting “or” in subparagraph (4)(a)(ii),***
- (b) ***by replacing “.” with “, or” in paragraph (4)(b), and***
- (c) ***by adding the following after paragraph (4)(b):***
 - (c) section 3.2.04.1 applies..

3. ***The following section is added:***

3.2.04.1 Delivery of Fund Facts Documents for No-Trailing-Commission Switches

(1) In this section,

“no-trailing-commission switch” means, in respect of a client of a participating dealer, a purchase of securities of a class or series of a mutual fund in respect of which an investment fund manager does not pay the participating dealer a trailing commission immediately following a redemption of securities of another class or series of the mutual fund in respect of which the investment fund manager pays the participating dealer a trailing commission, if all of the following apply:

- (a) the aggregate value of the securities purchased is the same as the aggregate value of the securities redeemed;
- (b) there are no material differences between the class or series of securities purchased and the class or series of securities redeemed other than the rate of management fees charged in respect of the two classes or series;
- (c) the participating dealer, who executed the purchase and redemption of the securities, was not required by securities legislation or the rules of an SRO applicable to the dealer to make a suitability determination in respect of the client in connection with those securities;

“suitability determination” has the same meaning as in section 1.1 of National Instrument 81-105 *Mutual Fund Sales Practices*.

(2) Despite subsection 3.2.01(1), a dealer is not required to deliver to the purchaser of a security of a mutual fund the most recently filed fund facts document for the applicable class or series of securities of the mutual fund in connection with a no-trailing-commission switch..

Effective date

- 4. (1) This Instrument comes into force on December 31, 2020.
- (2) In Saskatchewan, despite subsection (1), if these regulations are filed with the Registrar of Regulations after December 31, 2020, these regulations come into force on the day on which they are filed with the Registrar of Regulations.

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Chapter 7

Insider Reporting

The following is a weekly summary of insider transactions by insiders of *Ontario reporting issuers* in SEDI® (the System for Electronic Disclosure by Insiders).¹ The weekly summary contains insider transactions reported during the 7-day period ending Sunday at 11:59 p.m. (i.e. the Sunday prior to the Bulletin Issue date).²

Guide to Codes

Relationship of Insider to Issuer (Rel'n)

- 1 Issuer
- 2 Subsidiary of Issuer
- 3 10% Security Holder of Issuer
- 4 Director of Issuer
- 5 Senior Officer of Issuer
- 6 Director or Senior Officer of 10% Security Holder
- 7 Director or Senior Officer of Insider or Subsidiary of Issuer (other than in 4,5,6)
- 8 Deemed Insider – 6 Months before becoming Insider

Nature of Transaction (T/O)

- 00 Opening Balance-Initial SEDI Report
- 10 Acquisition or disposition in the public market
- 11 Acquisition or disposition carried out privately
- 15 Acquisition or disposition under a prospectus
- 16 Acquisition or disposition under a prospectus exemption
- 22 Acquisition or disposition pursuant to a take-over bid, merger or acquisition
- 30 Acquisition or disposition under a purchase/ ownership plan
- 35 Stock dividend
- 36 Conversion or exchange
- 37 Stock split or consolidation
- 38 Redemption, retraction, cancellation, repurchase
- 40 Short sale
- 45 Compensation for property
- 46 Compensation for services
- 47 Acquisition or disposition by gift
- 48 Acquisition by inheritance or disposition by bequest
- 50 Grant of options
- 51 Exercise of options
- 52 Expiration of options
- 53 Grant of warrants
- 54 Exercise of warrants
- 55 Expiration of warrants
- 56 Grant of rights
- 57 Exercise of rights
- 59 Exercise for cash
- 70 Acquisition or disposition (writing) of third party derivative
- 71 Exercise of third party derivative
- 72 Other settlement of third party
- 73 Expiration of third party derivative
- 90 Change in nature of ownership
- 97 Other
- 99 Correction of Information

Note: The asterisk in the "Date/Month End Holding" column indicates the insider disagreed with the system calculated balance when the transaction was reported.

1 SEDI® is a registered trademark owned by CDS INC.

2 ©CDS INC.

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
01 Communique Laboratory Inc.	Common Shares	Train, William, Archibald	4	2020-11-27	10	0.36	278,500	-31,500
1911 Gold Corporation	Common Shares	Christensen, David Jordan	4	2020-11-30	10	0.3592		24,500
1911 Gold Corporation	Common Shares	Christensen, David Jordan	4	2020-11-30	10	0.3592	50,000	25,000
1911 Gold Corporation	Common Shares	Heinrichs, Shaun Perin	5	2020-11-30	10	0.46	210,334	20,000
1911 Gold Corporation	Common Shares	Heinrichs, Shaun Perin	5	2020-11-30	10	0.46		20,000
1911 Gold Corporation	Common Shares	Heinrichs, Shaun Perin	5	2020-11-30	10	0.46		20,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-11-30	38	2.4862	20,751	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-11-30	38		13,834	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-01	38	2.4988	15,534	1,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-01	38		8,617	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-02	38	2.4666	15,534	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-02	38		8,617	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-03	38		6,917	-1,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-04	38	2.42	13,817	6,900
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-04	38		6,900	-6,917
A&W Revenue Royalties Income Fund	Trust Units	Mindell, David Allen	4	2020-11-30	10	31.95	45,004	140
A&W Revenue Royalties Income Fund	Trust Units	Mindell, David Allen	4	2020-11-30	10	31.95	2,148	6
A&W Revenue Royalties Income Fund	Trust Units	Senecal, Susan	6	2020-11-30	10	32.25	10,741	27
A&W Revenue Royalties Income Fund	Trust Units	Senecal, Susan	6	2020-11-30	10	31.95	10,747	6
Abitibi Royalties Inc.	Common Shares	Ball, Ian	4, 5	2020-11-30	10	24.94	250,140	200
Absolute Software Corporation	Rights Deferred Share Unit	Atchison, Rebecca Lynn	4	2020-11-30	56		20,824	129
Absolute Software Corporation	Rights Performance Share Unit	GATOFF, STEVEN	5	2020-12-01	56		76,373	470
Absolute Software Corporation	Rights Restricted Share Unit	GATOFF, STEVEN	5	2020-12-01	56		76,373	470
Absolute Software Corporation	Rights Performance Share Unit	Karim, Ameer	5	2020-11-30	56		57,729	353
Absolute Software Corporation	Rights Restricted Share Unit	Karim, Ameer	5	2020-11-30	56		68,254	419
Absolute Software Corporation	Rights Performance Share Unit	Laforce, Marcel Armand	5	2020-11-30	56		9,205	57
Absolute Software Corporation	Rights Restricted Share Unit	Laforce, Marcel Armand	5	2020-11-30	56		48,378	301
Absolute Software Corporation	Rights Performance Share Unit	Lapierre, Dianne Elizabeth	5	2020-11-30	56		30,959	190
Absolute Software Corporation	Rights Restricted Share Unit	Lapierre, Dianne Elizabeth	5	2020-11-30	56		30,959	191
Absolute Software Corporation	Rights Performance Share Unit	Malli, Maninder	5	2020-11-30	56		6,883	42
Absolute Software Corporation	Rights Restricted Share Unit	Malli, Maninder	5	2020-11-30	56		36,569	231
Absolute Software Corporation	Rights Performance Share Unit	maxwell, sean	5	2020-11-30	56		79,063	829
Absolute Software Corporation	Rights Restricted Share Unit	maxwell, sean	5	2020-11-30	56		117,087	677
Absolute Software Corporation	Rights Performance Share Unit	Meanchoff, Matthew	5	2020-11-30	56		24,781	153
Absolute Software Corporation	Rights Restricted Share Unit	Meanchoff, Matthew	5	2020-11-30	56		36,820	228
Absolute Software Corporation	Rights Deferred Share Unit	Monahan, Gregory Rush	4	2020-11-30	56		74,312	468
Absolute Software Corporation	Common Shares	Morris, William	5	2019-10-22	00			
Absolute Software Corporation	Common Shares	Morris, William	5	2020-12-02	57		17,813	17,813
Absolute Software Corporation	Common Shares	Morris, William	5	2020-12-02	10	13.02	10,744	-7,069

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Corporation								
Absolute Software Corporation	Rights Performance Share Unit	Morris, William	5	2020-11-30	56		59,714	366
Absolute Software Corporation	Rights Restricted Share Unit	Morris, William	5	2020-11-30	57		41,534	-17,813
Absolute Software Corporation	Rights Restricted Share Unit	Morris, William	5	2020-11-30	56		41,901	367
Absolute Software Corporation	Rights Performance Share Unit	Reynolds, Karen	5	2020-11-30	56		23,317	143
Absolute Software Corporation	Rights Restricted Share Unit	Reynolds, Karen	5	2020-11-30	56		44,223	273
Absolute Software Corporation	Rights Deferred Share Unit	Ryan, Daniel	4	2020-11-30	56		74,312	468
Absolute Software Corporation	Rights Performance Share Unit	Toms, Sandra	5	2020-11-30	56		25,436	156
Absolute Software Corporation	Rights Restricted Share Unit	Toms, Sandra	5	2020-11-30	56		43,909	306
Absolute Software Corporation	Rights Performance Share Unit	van Someren, Nicholas Benedict	5	2020-11-30	56		75,020	459
Absolute Software Corporation	Rights Restricted Share Unit	van Someren, Nicholas Benedict	5	2020-11-30	56		75,020	461
Absolute Software Corporation	Rights Deferred Share Unit	Visca, Salvatore	4	2020-11-30	56		77,390	488
Absolute Software Corporation	Rights Deferred Share Unit	Watzinger, Gerhard	4	2020-11-30	56		74,312	468
Absolute Software Corporation	Rights Performance Share Unit	Wyatt, Christy May	4, 5	2020-11-30	56		205,693	1,259
Absolute Software Corporation	Rights Restricted Share Unit	Wyatt, Christy May	4, 5	2020-11-30	56		196,820	1,207
Acerus Pharmaceuticals Corporation	Common Shares	Leckie, William Scott	4	2020-11-26	16	0.025		2,292,371
Acerus Pharmaceuticals Corporation	Common Shares	Leckie, William Scott	4	2020-11-26	16	0.025	5,464,133	1,871,380
Acerus Pharmaceuticals Corporation	Common Shares	Leckie, William Scott	4	2020-11-26	99	0.025	927,092	317,514
Acerus Pharmaceuticals Corporation	Common Shares	Motz, Robert Martin	5	2020-11-26	16	0.025	401,278	137,431
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2014-07-16	00			
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-11-25	15		544,510	544,510
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-11-25	15		2,881,917	-544,510
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2014-07-16	00			
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-11-25	15		467,357	467,357
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-11-25	15		2,340,870	-467,357
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2014-07-16	00			
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-11-25	15		472,963	472,963
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-11-25	15		2,790,857	-472,963
Adastra Labs Holdings Ltd.	Common Shares	Bailey, Blaine	5	2020-12-02	10	0.36	861,926	-7,390
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Angevine, Jill Terilee	4	2020-11-30	56		103,151	2,528
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Balog, Stephen	4	2020-11-30	56		112,266	2,528
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Clague, Donald M.	4	2020-11-30	56		15,095	2,528

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Fagerheim, Grant Bradley	4	2020-11-30	56		84,444	1,264
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Haggis, Paul	4	2020-11-30	56		124,336	2,781
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	McIntosh, Ronald A	4	2020-11-30	56		171,397	3,843
Adventus Mining Corporation	Options	Dueñas, Alvaro	5	2020-12-01	50		850,000	50,000
Adventus Mining Corporation	Rights RSU	Dueñas, Alvaro	5	2020-12-01	56		225,000	25,000
Adventus Mining Corporation	Options	Dunning, Jason King	5	2020-12-01	50	1.27	750,000	50,000
Adventus Mining Corporation	Rights RSU	Dunning, Jason King	5	2020-12-01	56		75,000	25,000
Adventus Mining Corporation	Options	Eyre, Sally Louise	4	2020-12-01	50		150,000	50,000
Adventus Mining Corporation	Rights RSU	Eyre, Sally Louise	4	2020-12-01	56		50,000	25,000
Adventus Mining Corporation	Options	Gamache, Olivia	5	2020-12-01	50		250,000	50,000
Adventus Mining Corporation	Rights RSU	Gamache, Olivia	5	2020-12-01	56		125,000	25,000
Adventus Mining Corporation	Options	Kargl-Simard, Christian Peter	4, 5	2020-12-01	50	1.27	200,000	50,000
Adventus Mining Corporation	Options	Kargl-Simard, Christian Peter	4, 5	2020-12-02	50	1.27		50,000
Adventus Mining Corporation	Rights RSU	Kargl-Simard, Christian Peter	4, 5	2020-12-01	56		100,000	25,000
Adventus Mining Corporation	Rights RSU	Kargl-Simard, Christian Peter	4, 5	2020-12-02	56			25,000
Adventus Mining Corporation	Options	Kwong, Frances	5	2020-12-01	50		425,000	50,000
Adventus Mining Corporation	Rights RSU	Kwong, Frances	5	2020-12-01	56		90,000	25,000
Adventus Mining Corporation	Options	Leung, Sam Yee Cheng	5	2020-12-01	50	1.27	1,440,000	50,000
Adventus Mining Corporation	Rights RSU	Leung, Sam Yee Cheng	5	2020-12-01	56		75,000	25,000
Adventus Mining Corporation	Options	Murphy, Eric Barry	4	2020-12-01	50		200,000	50,000
Adventus Mining Corporation	Rights RSU	Murphy, Eric Barry	4	2020-12-01	56		50,000	25,000
Adventus Mining Corporation	Options	Small, Dustin Mark	5	2020-12-01	50	1.27	550,000	50,000
Adventus Mining Corporation	Rights RSU	Small, Dustin Mark	5	2020-12-01	56		125,000	25,000
Adventus Mining Corporation	Options	Sweeney, Paul Bristol	4	2020-12-01	50	1.27	200,000	50,000
Adventus Mining Corporation	Rights RSU	Sweeney, Paul Bristol	4	2020-12-01	56		50,000	25,000
Adventus Mining Corporation	Options	Wellings, Mark	4	2020-12-01	50	1.27	325,000	50,000
Adventus Mining Corporation	Rights RSU	Wellings, Mark	4	2020-12-01	56		50,000	25,000
Aecon Group Inc.	Common Shares	Borgatti, Adam	5	2020-12-04	30	16.092	3,355	1,069
Aecon Group Inc.	Restricted Share Units	Borgatti, Adam	5	2020-12-04	30	16.092	3,803	-2,357
Aecon Group Inc.	Common Shares	Brace, John Wycliffe	4	2020-12-03	10	16.405	5,750	3,050
Aecon Group Inc.	Restricted Share Units	Fushman, Yonni David	5	2020-12-01	30	16.288	19,745	-16,580
Aecon Group Inc.	Restricted Share Units	MacCallum, Alistair	5	2020-12-01	30	16.288	14,801	-12,345
Aecon Group Inc.	Common Shares	Servranckx, Jean-Louis Robert Georges	4, 5	2020-12-04	30	16.092	17,991	10,411
Aecon Group Inc.	Restricted Share Units	Servranckx, Jean-Louis Robert Georges	4, 5	2020-12-02	30	16.092	38,776	-22,944

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Aecon Group Inc.	Restricted Share Units	Smales, David Andrew	5	2020-12-01	30	16.288	42,181	-50,454
Aecon Group Inc.	Common Shares	Terkalas, Gordana	5	2020-03-13	00			
Aecon Group Inc.	Common Shares	Terkalas, Gordana	5	2020-12-04	30	16.092	2,233	2,233
Aecon Group Inc.	Restricted Share Units	Terkalas, Gordana	5	2020-12-02	30	16.092	9,176	-4,925
Aequus Pharmaceuticals Inc.	Common Shares	JANZEN, DOUG	4, 5	2020-12-01	10	0.108	8,796,300	150,000
Ag Growth International Inc.	Common Shares	Brisebois, Paul	5	2020-12-02	10	32	16,086	-5,700
Ag Growth International Inc.	Common Shares	Sommerfeld, Steven Robert	5	2020-12-04	10	33.02	0	-2,192
AGF Management Limited	Common Shares ESP Vested	BASARABA, Adrian	5	2020-12-02	30	5.6	16,656	16,106
AGF Management Limited	Common Shares Restricted Share Units	BASARABA, Adrian	5	2020-11-26	56	5.64	105,233	20,945
AGF Management Limited	Common Shares Restricted Share Units	BASARABA, Adrian	5	2020-12-02	30	5.6	70,569	-34,664
AGF Management Limited	Options Stock Option Plan	BASARABA, Adrian	5	2020-11-26	50	5.64	496,530	104,721
AGF Management Limited	Common Shares Deferred Share Units	BUCHAN, JANE MELISSA	4	2020-11-30	56	5.6	80,125	5,402
AGF Management Limited	Common Shares Deferred Share Units	Camilli, Kathleen Mary	4	2020-11-30	56	5.6	19,943	893
AGF Management Limited	Common Shares Deferred Share Units	Davis, Sarah Ruth	4	2020-11-30	56	5.6	73,381	3,326
AGF Management Limited	Common Shares Deferred Share Units	Derry, Douglas	4	2020-11-30	56	5.6	117,025	3,683
AGF Management Limited	Common Shares ESP Vested	Goldring, Blake Charles	4, 5	2020-12-02	30	5.6	92,223	46,543
AGF Management Limited	Restricted Share Units	Goldring, Blake Charles	4, 5	2020-11-26	56	5.64	282,345	81,383
AGF Management Limited	Restricted Share Units	Goldring, Blake Charles	4, 5	2020-12-02	30	5.6	182,186	-100,159
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	2020-12-02	30	5.6	52,734	17,229
AGF Management Limited	Restricted Share Units	Goldring, Judy	4, 5	2020-11-26	56	5.64	131,543	48,671
AGF Management Limited	Restricted Share Units	Goldring, Judy	4, 5	2020-12-02	30	5.6	94,463	-37,080
AGF Management Limited	Common Shares Deferred Share Units	Guay, Charles	4	2020-11-30	56	5.6	21,204	893
AGF Management Limited	Common Shares ESP Vested	Jackson, Charles Christopher	5	2020-12-02	30	5.6	56,023	8,153
AGF Management Limited	Common Shares Restricted Share Units	Jackson, Charles Christopher	5	2020-11-26	56	5.64	55,273	16,756
AGF Management Limited	Common Shares Restricted Share Units	Jackson, Charles Christopher	5	2020-12-02	30	5.6	37,720	-17,553
AGF Management Limited	Common Shares ESP Vested	MCCREADIE, KEVIN ANDREW	5	2020-12-02	30	5.6	197,012	26,783
AGF Management Limited	Common Shares Restricted Share Units	MCCREADIE, KEVIN ANDREW	5	2020-11-26	56	5.64	167,260	48,875
AGF Management Limited	Common Shares Restricted Share Units	MCCREADIE, KEVIN ANDREW	5	2020-12-02	30	5.6	109,622	-57,638
AGF Management Limited	Options Stock Option Plan	MCCREADIE, KEVIN ANDREW	5	2020-11-26	50	5.64	3,264,826	406,694
AGF Management Limited	Common Shares Deferred Share Units	Squibb, Geoffrey Wayne	4	2020-11-30	56	5.6	187,381	7,054
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-13	38	3.9277	86,745	86,745
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-13	38		0	-86,745
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-16	38	3.9817	600	600

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Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-16	38		0	-600
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-17	38	3.8997	34,600	34,600
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-17	38		0	-34,600
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-18	38	3.8956	6,100	6,100
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-18	38		0	-6,100
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-19	38	3.8953	18,400	18,400
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-19	38		0	-18,400
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-20	38	3.8972	35,900	35,900
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-20	38		0	-35,900
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-23	38	3.9	14,100	14,100
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-23	38		0	-14,100
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-24	38	3.9184	22,200	22,200
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-24	38		0	-22,200
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-25	38	3.9153	50,500	50,500
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-25	38		0	-50,500
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-26	38	3.8929	8,300	8,300
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-11-26	38		0	-8,300
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-11-25	97			-17,000
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-11-25	97			-17,000
AiriQ Inc.	Common Shares	AIRIQ INC.	1	2020-11-30	30	0.335	40,500	40,500
AiriQ Inc.	Common Shares	AIRIQ INC.	1	2020-11-30	38		0	-40,500
AiriQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	30	0.335	123,000	123,000
AiriQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	38		0	-123,000
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-11-26	30		229	14
Akumin Inc.	Common Shares	Fernandes, Leigh Anne	7	2020-11-26	30		324	18
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2020-11-26	30		363	4
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2020-11-26	30		1,038	13
Akumin Inc.	Common Shares	Luckey, Michael	5	2020-11-26	30		946	12
Akumin Inc.	Common Shares	Meredith, Michael	5	2020-11-26	30		343	11
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2020-11-26	30		390	14
Akumin Inc.	Common Shares	Richardson, Jason	5	2020-11-26	30		1,039	13
Alamos Gold Inc.	Rights Restricted Share Units	PAULSE, ADRIAN	5	2020-11-30	57	10.56	20,906	-6,986
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2020-11-30	30		48,666	446
Alaska Hydro Corporation	Common Shares	sunell, gregory jack	4	2020-12-03	10	0.06	50,000	-50,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Duncan, Robert Andrew	5	2020-12-04	54	0.1	411,111	200,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Duncan, Robert Andrew	5	2020-12-04	10	0.135	260,611	-150,500
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Warrants	Duncan, Robert Andrew	5	2020-12-04	54	0.1	255,555	-200,000
Alimentation Couche-Tard Inc.	Subordinate Voting Shares CatOgorie B	Lamothe, Marie Josee	4	2020-12-04	10	43.82	10,862	9,133
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-04	10	0.287	6,529,300	120,000
Alma Gold Inc.	Options	Cheung, Ryan	5	2020-11-06	00		285,000	
Alma Gold Inc.	Options	Hearst, Brian Mack	4	2020-11-06	00		380,000	
Alma Gold Inc.	Common Shares	Hodgson, Eugene	4	2020-11-06	00			
Alma Gold Inc.	Options	Hodgson, Eugene	4	2020-11-06	00		380,000	
Alma Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2020-11-06	00		5,307,650	
Alma Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2020-11-06	00		4,558,860	
Alma Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2020-11-06	00		528,675	

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Alma Gold Inc.	Options	Kalt, Ryan	3, 4, 5	2020-11-06	00		332,500	
Alpha Lithium Corporation	Options	Charland, Sean	4	2020-11-12	50	0.59	900,000	250,000
Altiplano Metals Inc.	Warrants	Williamson, John	3, 4	2020-11-27	54	0.1	0	-283,000
Altius Minerals Corporation	Common Shares	EdgePoint Investment Group Inc.	3	2018-10-30	00		677,905	
Altius Minerals Corporation	Common Shares	EdgePoint Investment Group Inc.	3	2018-10-30	00		1,932,536	
Altius Minerals Corporation	Common Shares	EdgePoint Investment Group Inc.	3	2018-10-30	00		3,460,424	
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2006-06-14	52	0.65		120,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2006-06-14	52	0.65	0	-120,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2007-08-28	52	0.68		150,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2007-08-28	52	0.68	0	-150,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2008-03-02	52	0.22		30,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2008-03-02	52	0.22	0	-30,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2010-05-20	52	0.14		300,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2010-05-20	52	0.14	0	-300,000
Alturas Minerals Corp.	Options	Baertl, Augusto	4	2016-03-23	52	0.19	0	-500,000
Alturas Minerals Corp.	Options	Cardozo, Miguel	5	2011-06-14	52	0.65	525,000	-500,000
Alturas Minerals Corp.	Options	Cardozo, Miguel	5	2012-06-30	52	0.5	275,000	-250,000
Alturas Minerals Corp.	Options	Cardozo, Miguel	5	2013-03-02	52	0.22	200,000	-75,000
Alturas Minerals Corp.	Options	Cardozo, Miguel	5	2016-05-02	52	0.18	0	-200,000
American Creek Resources Ltd.	Common Shares	Blaney, Darren	3, 4, 5	2020-11-27	10	0.275	1,483,093	-10,000
AMPD Ventures Inc.	Common Shares	Mari, Paul Phillip	5	2020-11-30	10	0.11	3,532,884	-100,000
Andrew Peller Limited (formerly Andros Wines Ltd.)	Non-Voting Shares Class A	COLE, JAMES HERBERT	5	2020-12-01	10	10.57	36,733	-630
Ansar Financial and Development Corporation	Common Shares	Jalaluddin, Mohammed	3, 4, 5	2020-12-01	10	0.53	2,305,020	20,000
Ansar Financial and Development Corporation	Common Shares	Jama, Ahmed	4	2016-10-29	00			
Ansar Financial and Development Corporation	Common Shares	Jama, Ahmed	4	2020-12-01	10	0.48	5,000	5,000
Ansar Financial and Development Corporation	Common Shares	Nasim, Pervez	3, 4, 5	2020-12-01	10	0.53	2,305,020	20,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.09	2,208,000	-1,500
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.07	2,206,000	-2,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.01	2,196,000	-10,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.06	2,187,500	-8,500
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.03	2,138,000	-49,500
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.04	2,114,700	-23,300
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4	2,102,600	-12,100
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.1	2,102,000	-600
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.02	2,097,400	-4,600
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-11-23	10	4.08	2,093,900	-3,500
Appia Energy Corp.	Common Shares	van de Water, Frank	4, 5	2020-11-27	10	0.4	135,000	-5,000
Appia Energy Corp.	Common Shares	van de Water, Frank	4, 5	2020-11-30	10	0.375	117,000	-18,000
Aranjin Resources Ltd.	Common Shares	Wood, Matthew Gaden	4, 5	2020-11-17	16	0.1	7,911,462	1,513,391

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		Western						
ARC Resources Ltd.	Common Shares	McAllister, Michael	4	2020-12-04	10	6	18,700	4,100
ArcWest Exploration Inc.	Common Shares	Luckman, Nigel Bruce	5	2020-12-01	10	0.1	110,000	10,000
ArcWest Exploration Inc.	Common Shares	Luckman, Nigel Bruce	5	2020-12-02	10	0.1	125,000	15,000
Aritzia Inc.	Rights Deferred Share Unit	Bensadoun, Aldo	4	2020-11-30	56		23,616	1,283
Aritzia Inc.	Rights Deferred Share Unit	Currie, John Edward	4	2020-11-30	56		23,616	1,283
Aritzia Inc.	Rights Deferred Share Unit	Holmes, Ryan	4	2020-11-30	56		23,616	1,283
Aritzia Inc.	Rights Deferred Share Unit	Labistour, David Barrie	4	2020-11-30	56		23,616	1,283
Aritzia Inc.	Rights Deferred Share Unit	Montalbano, John	4	2020-11-30	56		8,513	1,283
Aritzia Inc.	Rights Deferred Share Unit	Payne, Marni Fox	4	2020-11-30	56		5,875	1,283
Aritzia Inc.	Rights Deferred Share Unit	Senk, Glen Todd	4	2020-11-30	56		23,616	1,283
Aritzia Inc.	Rights Deferred Share Unit	Smith, Marcia	4	2020-11-30	56		12,643	1,283
Armada Mercantile Ltd.	Common Shares	Cole, Patrick	5	2020-11-30	10	0.1899	6,112,901	1,000
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2020-11-30	38		55,967	-782,637
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-02	00		4,000,000	
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-02	00		1,276,725	
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-02	00		3,585,177	
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-02	00		1,941,982	
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-02	00		2,808,700	
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-02	00		4,000,000	
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-02	00		1,276,725	
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-02	00		3,585,177	
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-02	00		1,941,982	
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-02	00		2,808,700	
Artis Real Estate Investment Trust	Restricted Units	Green, James	5	2020-12-02	57	11.06	58,850	-40,000
Artis Real Estate Investment Trust	Restricted Units	Green, James	5	2020-12-02	59	11.06	0	-58,850
Artis Real Estate Investment Trust	Units	Green, James	5	2020-12-02	57	11.06	140,000	40,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-02	00		4,000,000	
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-02	00		1,276,725	
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-02	00		3,585,177	
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-02	00		1,941,982	
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-02	00		2,808,700	
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-11-30	00		4,000,000	
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-11-30	00		1,276,725	
Artis Real Estate	Units	Manji, Samir Aziz	4, 6	2020-11-30	00		3,585,177	

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Investment Trust								
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-11-30	00		1,810,282	
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-01	10	11.03	1,815,282	5,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-02	10	11.032	1,841,982	26,700
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-02	10	11.1	1,941,982	100,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-11-30	00		2,808,700	
Artis Real Estate Investment Trust	Deferred Units	Martens, Armin	5	2020-12-02	57	11.06	214,264	-157,000
Artis Real Estate Investment Trust	Deferred Units	Martens, Armin	5	2020-12-02	59	11.06	0	-214,264
Artis Real Estate Investment Trust	Restricted Units	Martens, Armin	5	2020-12-02	57	11.06	197,924	-143,000
Artis Real Estate Investment Trust	Restricted Units	Martens, Armin	5	2020-12-02	59	11.06	0	-197,924
Artis Real Estate Investment Trust	Units	Martens, Armin	5	2020-12-02	57	11.06	590,536	143,000
Artis Real Estate Investment Trust	Units	Martens, Armin	5	2020-12-02	57	11.06	747,536	157,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-02	00		4,000,000	
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-02	00		1,276,725	
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-02	00		3,585,177	
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-02	00		1,941,982	
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-02	00		2,808,700	
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00			
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00		7,500	
Artis Real Estate Investment Trust	Units	Wigmore, Elisabeth Shirley	4	2020-11-30	00			
Artis Real Estate Investment Trust	Units	Wigmore, Elisabeth Shirley	4	2020-12-01	10	11.016	4,500	4,500
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	2020-12-03	10	0.11	17,331,518	4,500
Athabasca Minerals Inc.	Common Shares	Archibald, Dana Forbes	5	2020-11-30	30	0.135	250,191	5,710
Athabasca Minerals Inc.	Common Shares	Beekhuizen, Robet James	5	2020-11-30	30	0.135	774,382	8,488
Athabasca Minerals Inc.	Units Deferred Share Units	McCreary, Jonathan	1	2020-10-26	00			
Athabasca Minerals Inc.	Units Deferred Share Units	McCreary, Jonathan	1	2020-11-25	50	0.14	36,000	36,000
Athabasca Minerals Inc.	Common Shares	Smith, Mark Gregory Edward	5	2020-11-30	30	0.135	233,378	4,630
ATS Automation Tooling Systems Inc.	RSU	Alexander, Angella	5	2020-12-01	59	19.56	28,510	-12,500
ATS Automation Tooling Systems Inc.	RSU	Debus, Christian	5	2020-12-01	59	19.56	28,871	-3,782
ATS Automation Tooling Systems Inc.	RSU	Hart, Chris	5	2020-12-01	59	19.56	29,176	-5,867
ATS Automation Tooling Systems Inc.	RSU	Hart, Chris	5	2020-12-01	58 - Expiration of rights		27,095	-2,081
ATS Automation Tooling Systems Inc.	RSU	Hider, Andrew	5	2020-12-01	59	19.56	202,853	-63,986
ATS Automation Tooling Systems Inc.	RSU	Hider, Andrew	5	2020-12-01	58 - Expiration		180,159	-22,694

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ATS Automation Tooling Systems Inc.	Rights RSU	McCuaig, Stewart	5	2020-12-01	59	19.56	28,734	-6,571
ATS Automation Tooling Systems Inc.	Rights RSU	McCuaig, Stewart	5	2020-12-01	58 - Expiration of rights		26,403	-2,331
ATS Automation Tooling Systems Inc.	RSU	McLeod, Ryan	5	2020-12-01	59	19.56	17,476	-2,934
ATS Automation Tooling Systems Inc.	RSU	McLeod, Ryan	5	2020-12-01	58 - Expiration of rights		16,436	-1,040
ATS Automation Tooling Systems Inc.	RSU	Metri, Joe	5	2020-12-01	59	19.56	18,584	-11,561
ATS Automation Tooling Systems Inc.	RSU	Patten, Jeremy	5	2019-12-01	59	19.78	9,217	-6,000
ATS Automation Tooling Systems Inc.	RSU	Patten, Jeremy	5	2020-12-01	59	19.56	24,769	-2,934
ATS Automation Tooling Systems Inc.	RSU	Patten, Jeremy	5	2020-12-01	58 - Expiration of rights		23,729	-1,040
ATS Automation Tooling Systems Inc.	RSU	Roberts, Simon	5	2020-12-01	59	19.56	21,232	-5,867
ATS Automation Tooling Systems Inc.	RSU	Roberts, Simon	5	2020-12-01	58 - Expiration of rights		19,151	-2,081
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-04	10	1.14	7,653,100	15,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-04	10	1.13	7,665,100	12,000
Aurora Cannabis Inc.	Common Shares	Page, Jonathan	5	2020-12-01	22	10.097	482,972	467,817
Aurora Cannabis Inc.	Warrants	Page, Jonathan	5	2020-12-01	22		359,293	233,908
Austral Gold Limited	Ordinary Shares	Hubert, Wayne	7	2013-12-01	00		1,750,000	
Austral Gold Limited	Ordinary Shares	Hubert, Wayne	7	2020-11-30	10	0.18	1,945,000	195,000
Austral Gold Limited	Ordinary Shares	Hubert, Wayne	7	2020-12-02	10	0.19	2,345,000	400,000
Australis Capital Inc.	Common Shares	Norr, Daniel	5	2020-11-26	56	0.2	527,168	46,667
Australis Capital Inc.	Restricted Share Units	Norr, Daniel	5	2020-11-26	57		317,773	-46,667
Australis Capital Inc.	Common Shares	Tzung, Cleve	5	2020-11-26	56	0.2	534,270	52,500
Australis Capital Inc.	Restricted Share Units	Tzung, Cleve	5	2020-11-26	57		333,441	-52,500
AutoCanada Inc.	Deferred share units	DesRosiers, Dennis Stephan	4	2020-08-15	56			617
AutoCanada Inc.	Deferred share units	DesRosiers, Dennis Stephan	4	2020-08-15	56		22,474	617
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-04	00			
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-10	10	0.127	125,000	125,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-11	10	0.1364	375,000	250,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-06	10	0.19	400,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-07	10	0.192	425,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-07	10	0.19	450,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-08	10	0.2	475,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-08	10	0.1875	525,000	50,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-09	10	0.175	600,000	75,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-19	10	0.18	650,000	50,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-26	10	0.19	675,000	25,000
Auxico Resources	Common Shares	Inwentash, Sheldon	3	2020-11-03	10	0.18	700,000	25,000

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Canada Inc.								
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-05	10	0.1832	774,000	74,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-06	10	0.1993	799,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-09	10	0.2134	864,000	65,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-11	10	0.2791	916,500	52,500
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-12	10	0.2917	982,000	65,500
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-12	10	0.29	997,000	15,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-13	10	0.28	1,012,000	15,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-16	10	0.2859	1,077,000	65,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-18	10	0.28	1,102,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-19	10	0.25	1,129,000	27,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-20	10	0.286	1,179,000	50,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-24	10	0.29	1,204,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-25	10	0.29	1,219,000	15,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-04	00		985,000	
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-08	10	0.1233	1,068,000	83,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-09	10	0.1226	1,493,000	425,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-21	10	0.167	1,543,000	50,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-09-28	10	0.165	1,483,000	-60,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-09	10	0.1768	1,698,000	215,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-13	10	0.1723	1,823,000	125,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-15	10	0.1715	1,902,000	79,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-16	10	0.17	1,923,000	21,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-21	10	0.175	1,953,000	30,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-23	10	0.19	1,978,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-10-23	10	0.2	2,003,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-02	10	0.1941	2,028,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-19	10	0.25	2,053,000	25,000
Auxico Resources Canada Inc.	Common Shares	Inwentash, Sheldon	3	2020-11-23	10	0.3	2,078,000	25,000
Auxico Resources Canada Inc.	Convertible Debentures	Inwentash, Sheldon	3	2020-09-04	00		\$100,000	
Auxico Resources Canada Inc.	Convertible Debentures	Inwentash, Sheldon	3	2020-09-04	00		\$175,000	
Avalon Advanced Materials Inc.	Options	Andersen, Robert James	5	2020-11-30	52		1,145,000	-100,000
Avalon Advanced Materials Inc.	Options	Mercer, William	5	2020-11-30	52		620,000	-80,000
Avalon Advanced	Options	Mercer, William	5	2020-11-30	52		520,000	-100,000

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Materials Inc.								
Avalon Advanced Materials Inc.	Options	Mercer, William	5	2020-12-01	50		640,000	120,000
Avalon Advanced Materials Inc.	Options	Wiseman, Mark Edward	5	2020-12-01	52		920,000	-100,000
Avante Logixx Inc.	Common Shares	Duboc, Samuel Livingston	4	2020-12-02	10	1.26	225,000	25,000
Avante Logixx Inc.	Common Shares	Duboc, Samuel Livingston	4	2020-12-03	10	1.26	250,000	25,000
Avante Logixx Inc.	Common Shares	Rotz, Stephen David	5	2020-12-02	10	1.25	100,000	40,000
Avanti Energy Inc.	Options	Cleveland, Cory	4	2019-07-30	00			
Avanti Energy Inc.	Options	Cleveland, Cory	4	2020-11-30	50		25,000	25,000
Avanti Energy Inc.	Options	Gamley, Rob	4	2020-11-30	50		154,000	150,000
Avanti Energy Inc.	Options	Leo, Mike	4	2019-07-30	00			
Avanti Energy Inc.	Options	Leo, Mike	4	2020-11-30	50		25,000	25,000
Avanti Energy Inc.	Options	Wong, Elbert Yow	5	2019-08-30	00			
Avanti Energy Inc.	Options	Wong, Elbert Yow	5	2020-11-30	50		25,000	25,000
Avarone Metals Inc.	Options	Bean, John Massie	4	2020-12-03	50	0.08	450,000	200,000
Avicanna Inc.	Rights Restricted Share Units	Giesselman, Janet	4	2020-11-09	56		61,585	30,525
Avicanna Inc.	Rights Restricted Share Units	Leavenworth, Alden Benjamin	4	2020-11-09	56		63,129	39,600
Avicanna Inc.	Rights Restricted Share Units	White, David	4	2020-11-09	56		63,249	31,350
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-01	10	0.29	7,050,733	150,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-02	10	0.295	7,065,733	15,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-02	10	0.305	7,080,733	15,000
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Subordinate Voting Shares	Burggraeve, Chris Roger	4	2020-11-23	10	17		1,000
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Subordinate Voting Shares	Burggraeve, Chris Roger	4	2020-11-23	10	17		1,000
Badger Daylighting Ltd.	Common Shares	Glover, Shannon Kara	5	2020-11-09	10	35.73		300
Badger Daylighting Ltd.	Common Shares	Glover, Shannon Kara	5	2020-11-09	10	35.73		300
Ballard Power Systems Inc.	Common Shares	Campbell, Robert William	5	2020-06-09	57	16.66	28,246	13,526
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2020-06-09	57	4.33	110,088	-26,944
Ballard Power Systems Inc.	Common Shares	Sidhu, Sarbjot	5	2020-03-25	51	2.98	48,381	22,400
Ballard Power Systems Inc.	Common Shares	Sidhu, Sarbjot	5	2020-03-25	10	12.5	25,981	-22,400
Ballard Power Systems Inc.	Options	Sidhu, Sarbjot	5	2020-03-25	51	2.98	128,069	-22,400
Bank of Montreal	Deferred Share Units	Babiak, Jan	4	2020-11-26	35	97.16	27,642	289
Bank of Montreal	Performance Share Units	Barclay, Daniel	5	2020-11-26	35	97.16	49,242	531
Bank of Montreal	Restricted Share Units	Barclay, Daniel	5	2020-11-26	35	97.16	54,254	586
Bank of Montreal	Deferred Share Units	Brochu, Sophie	4	2020-11-26	35	97.16	30,213	319
Bank of Montreal	Deferred Share Units	Broderick, Craig Wyeth	4	2020-11-26	35	97.16	6,551	61
Bank of Montreal	Performance Share Units	Casper, David Robert	5	2020-11-26	35	97.16	76,904	830
Bank of Montreal	Deferred Share Units	Cope, George	4	2020-11-26	35	97.16	52,224	544
Bank of Montreal	Deferred Share Units	Cope, George	4	2020-11-26	35	97.16	52,231	7
Bank of Montreal	Performance Share Units	Cronin, Patrick	5	2020-11-26	35	97.16	98,858	1,067
Bank of Montreal	Deferred Share Units	Edwards, Christine A.	4	2020-11-26	35	97.16	43,828	424

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Bank of Montreal	Deferred Share Units	Edwards, Christine A.	4	2020-11-26	35	97.16	43,868	40
Bank of Montreal	Deferred Share Units	Eichenbaum, Martin Stewart	4	2020-11-26	35	97.16	16,806	174
Bank of Montreal	Deferred Share Units	Farmer, Ron	4	2020-11-26	35	97.16	77,125	825
Bank of Montreal	Restricted Share Units	Fish, Simon Adrian	5	2020-11-26	35	97.16	25,426	274
Bank of Montreal	Performance Share Units	Flynn, Thomas Earl	7	2020-11-26	35	97.16	52,073	562
Bank of Montreal	Performance Share Units	Fowler, Cameron McAskile	5	2020-11-26	35	97.16	71,825	775
Bank of Montreal	Deferred Share Units	Harquail, David	4	2020-11-26	35	97.16	6,457	63
Bank of Montreal	Deferred Share Units	Huber, Linda Susan	4	2020-11-26	35	97.16	8,239	81
Bank of Montreal	Performance Share Units	Johannson, Erminia	5	2020-11-26	35	97.16	28,755	310
Bank of Montreal	Restricted Share Units	Johannson, Erminia	5	2020-11-26	35	97.16	4,653	50
Bank of Montreal	Performance Share Units	Malone, Mona Elizabeth	5	2020-11-26	35	97.16	5,731	62
Bank of Montreal	Restricted Share Units	Malone, Mona Elizabeth	5	2020-11-26	35	97.16	8,631	93
Bank of Montreal	Deferred Share Units	Mitchelmore, Lorraine	4	2020-11-26	35	97.16	17,279	177
Bank of Montreal	Deferred Share Units	RICHER LA FL L^CHE, ERIC	4	2020-11-26	35	97.16	25,772	271
Bank of Montreal	Performance Share Units	Rotenberg, Joanna Michelle	5	2020-11-26	35	97.16	51,461	555
Bank of Montreal	Performance Share Units	Tennyson, Steven Lloyd	5	2020-11-26	35	97.16	14,851	160
Bank of Montreal	Restricted Share Units	Tennyson, Steven Lloyd	5	2020-11-26	35	97.16	21,627	233
Bank of Montreal	Performance Share Units	White, William Darryl	7, 5	2020-11-26	35	97.16	139,240	1,503
Barrick Gold Corporation	Common Shares	Steele, John	5	2020-11-27	10	29.68	134,967	99,324
Barsele Minerals Corp.	Common Shares	Cope, Gary Gordon	4	2020-11-27	10	0.66	15,798,300	4,000
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-23	51	14.38	192,350	1,438
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-23	51	19.633	190,867	-1,483
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-24	51	14.38	212,525	21,658
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-24	51	19.632	190,867	-21,658
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-27	51	14.38	204,530	13,663
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-11-27	51	19.63	190,867	-13,663
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Options	Humphries, William Douglas	5	2020-11-23	51	14.38	250,524	-1,483

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Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Options	Humphries, William Douglas	5	2020-11-24	51	14.38	228,866	-21,658
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Options	Humphries, William Douglas	5	2020-11-27	51	14.38	215,203	-13,663
Baylin Technologies Inc.	Deferred Share Units	Davis, Janice	4	2020-12-01	56	0.86	34,071	2,919
Baylin Technologies Inc.	Deferred Share Units	Reiter, Barry	4	2020-12-01	56	0.86	154,266	4,864
Baylin Technologies Inc.	Deferred Share Units	Saska, David	4	2020-12-01	56	0.86	38,415	2,919
Baylin Technologies Inc.	Deferred Share Units	SIMMONDS, DONALD E.	4	2020-12-01	56	0.86	132,800	37,941
Baylin Technologies Inc.	Deferred Share Units	Wolkin, Harold Morton	4	2020-12-01	56	0.86	160,229	3,891
BB1 Acquisition Corp.	Common Shares	Brennan, Mark Peter	4	2020-11-30	51	0.1	1,600,000	100,000
BB1 Acquisition Corp.	Options	Brennan, Mark Peter	4	2020-11-30	51	0.1	0	-100,000
BB1 Acquisition Corp.	Common Shares	Egan, Wayne T.	4	2018-06-01	00			
BB1 Acquisition Corp.	Common Shares	Egan, Wayne T.	4	2020-11-30	51	0.1	100,000	100,000
BB1 Acquisition Corp.	Options	Egan, Wayne T.	4	2020-11-30	51	0.1	0	-100,000
BB1 Acquisition Corp.	Common Shares	Pillersdorf, Solomon (Sam) Joseph	4	2020-11-30	51	0.1	950,000	100,000
BB1 Acquisition Corp.	Options	Pillersdorf, Solomon (Sam) Joseph	4	2020-11-30	51	0.1	0	-100,000
BB1 Acquisition Corp.	Common Shares	Shefsky, Stephen Mitchell	3, 4, 5	2020-11-30	51	0.1	1,700,000	100,000
BB1 Acquisition Corp.	Options	Shefsky, Stephen Mitchell	3, 4, 5	2020-11-30	51	0.1	0	-100,000
BB1 Acquisition Corp.	Common Shares	Szustak, Eric	4	2020-11-30	51	0.1	600,000	100,000
BB1 Acquisition Corp.	Options	Szustak, Eric	4	2020-11-30	51	0.1	0	-100,000
BB1 Acquisition Corp.	Common Shares	Ta, Jennifer	5	2020-11-30	51	0.1	300,000	100,000
BB1 Acquisition Corp.	Options	Ta, Jennifer	5	2020-11-30	51	0.1	0	-100,000
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2020-11-30	10	12.587	845,502	450
BCE Inc.	Preferred Shares Series AA	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AA	BCE Inc.	1	2020-11-09	38	13.53	1,200	1,200
BCE Inc.	Preferred Shares Series AA	BCE Inc.	1	2020-11-30	38			-1,200
BCE Inc.	Preferred Shares Series AA	BCE Inc.	1	2020-11-30	38		0	-1,200
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-09	38	13.16	900	900
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-18	38	13.25	1,400	500
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-19	38	13.25	2,400	1,000
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-30	38			-900
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-30	38		1,500	-900
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-30	38			-500
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-30	38		1,000	-500
BCE Inc.	Preferred Shares Series AB	BCE Inc.	1	2020-11-30	38			-1,000
BCE Inc.	Preferred Shares	BCE Inc.	1	2020-11-30	38		0	-1,000

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	Series AB							
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-09	38	14.48	1,600	1,600
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-10	38	14.5	1,700	100
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-30	38			-1,600
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-30	38		100	-1,600
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-30	38			-100
BCE Inc.	Preferred Shares Series AC	BCE Inc.	1	2020-11-30	38		0	-100
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-09	38	13.29	500	500
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-10	38	13.24	800	300
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-16	38	13.73	3,500	2,700
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-18	38	13.21	5,500	2,000
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-19	38	13.13	6,000	500
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-20	38	13.23	7,100	1,100
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		6,600	-500
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		6,300	-300
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		3,600	-2,700
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		1,600	-2,000
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		1,100	-500
BCE Inc.	Preferred Shares Series AD	BCE Inc.	1	2020-11-30	38		0	-1,100
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-09	38	13.1	300	300
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-18	38	13.1	2,200	1,900
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-20	38	13.24	2,400	200
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-30	38		2,100	-300
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-30	38		200	-1,900
BCE Inc.	Preferred Shares Series AE	BCE Inc.	1	2020-11-30	38		0	-200
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-09	38	14.63	800	800
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-18	38	14.75	1,300	500
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-20	38	14.75	2,700	1,400
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-24	38	14.59	3,200	500
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-30	38		2,400	-800

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BCE Inc.	Series AF Preferred Shares Series AF	BCE Inc.	1	2020-11-30	38		1,900	-500
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-30	38		500	-1,400
BCE Inc.	Preferred Shares Series AF	BCE Inc.	1	2020-11-30	38		0	-500
BCE Inc.	Preferred Shares Series AG	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AG	BCE Inc.	1	2020-11-09	38	13.01	400	400
BCE Inc.	Preferred Shares Series AG	BCE Inc.	1	2020-11-10	38	13.1	500	100
BCE Inc.	Preferred Shares Series AG	BCE Inc.	1	2020-11-30	38		100	-400
BCE Inc.	Preferred Shares Series AG	BCE Inc.	1	2020-11-30	38		0	-100
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-09	38	13.19	1,000	1,000
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-10	38	13.16	1,500	500
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-19	38	13.1	2,400	900
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-30	38		1,400	-1,000
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-30	38		900	-500
BCE Inc.	Preferred Shares Series AH	BCE Inc.	1	2020-11-30	38		0	-900
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-09	38	12.25	500	500
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-10	38	12.25	800	300
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-11	38	12.2	3,300	2,500
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-12	38	12.16	6,200	2,900
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-13	38	12.2	9,000	2,800
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-19	38	12.2	9,700	700
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-20	38	12.2	10,300	600
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		9,800	-500
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		9,500	-300
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		7,000	-2,500
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		4,100	-2,900
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		1,300	-2,800
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		600	-700
BCE Inc.	Preferred Shares Series AK	BCE Inc.	1	2020-11-30	38		0	-600
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-10	38	13.03	1,000	1,000
BCE Inc.	Preferred Shares	BCE Inc.	1	2020-11-11	38	13.12	1,200	200

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BCE Inc.	Series AM Preferred Shares Series AM	BCE Inc.	1	2020-11-12	38	12.85	1,700	500
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-16	38	13	2,400	700
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-18	38	12.95	2,700	300
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-19	38	12.98	3,300	600
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-25	38	12.99	3,900	600
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		2,900	-1,000
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		2,700	-200
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		2,200	-500
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		1,500	-700
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		1,200	-300
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		600	-600
BCE Inc.	Preferred Shares Series AM	BCE Inc.	1	2020-11-30	38		0	-600
BCE Inc.	Preferred Shares Series AN	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series AN	BCE Inc.	1	2020-11-20	38	12.15	300	300
BCE Inc.	Preferred Shares Series AN	BCE Inc.	1	2020-11-23	38	12.15	1,300	1,000
BCE Inc.	Preferred Shares Series AN	BCE Inc.	1	2020-11-30	38		1,000	-300
BCE Inc.	Preferred Shares Series AN	BCE Inc.	1	2020-11-30	38		0	-1,000
BCE Inc.	Preferred Shares Series R	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series R	BCE Inc.	1	2020-11-09	38	12.81		1,100
BCE Inc.	Preferred Shares Series R	BCE Inc.	1	2020-11-09	38	12.81	1,100	1,100
BCE Inc.	Preferred Shares Series R	BCE Inc.	1	2020-11-30	38			-1,100
BCE Inc.	Preferred Shares Series R	BCE Inc.	1	2020-11-30	38			-1,100
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-09	38	13.32	800	800
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-11	38	13.3	1,600	800
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-30	38			-800
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-30	38		800	-800
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-30	38			-800
BCE Inc.	Preferred Shares Series S	BCE Inc.	1	2020-11-30	38		0	-800
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2001-01-03	00			
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-09	38	13.37	500	500
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-18	38	13.22	1,500	1,000
BCE Inc.	Preferred Shares	BCE Inc.	1	2020-11-19	38	13.15	1,900	400

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BCE Inc.	Series Y Preferred Shares Series Y	BCE Inc.	1	2020-11-20	38	13.25	2,200	300
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38			-500
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38		1,700	-500
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38			-1,000
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38		700	-1,000
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38			-300
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38		400	-300
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38			-400
BCE Inc.	Preferred Shares Series Y	BCE Inc.	1	2020-11-30	38		0	-400
Bear Creek Mining Corporation	Common Shares	Caba, Eric Edward	5	2020-11-30	10	2.4	28,162	28,162
Bear Creek Mining Corporation	Common Shares	Tweddle, Frank R.	4	2020-11-30	10	3.05	44,917	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-01	10	0.465	752,500	-15,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-02	10	0.47	748,500	-4,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-03	10	0.47	745,000	-3,500
Bevo Agro Inc.	Common Shares	Benne, Leo	5	2003-10-21	00			
Bevo Agro Inc.	Common Shares	Benne, Leo	5	2003-10-24	00		879,187	
Bevo Agro Inc.	Options	Benne, Leo	5	2003-10-21	00			
Bevo Agro Inc.	Options	Benne, Leo	5	2003-10-24	00		600,000	
Bevo Agro Inc.	OTC Calls (including Private Options to Purchase) option granted privately by a third party (Common Shares)	Benne, Leo	5	2003-10-21	00			
Bevo Agro Inc.	OTC Calls (including Private Options to Purchase) option granted privately by a third party (Common Shares)	Benne, Leo	5	2003-10-24	00			
BioHarvest Sciences Inc.	Common Shares	Bio Harvest Ltd.	3	2020-12-01	11	0.13	14,501,250	-33,836,246
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-12-01	10	0.133	2,653,904	25,000
Birchcliff Energy Ltd.	Common Shares	Carlsen, Christopher Andrew	5	2020-12-03	10	1.925	92,005	7,000
Birchcliff Energy Ltd.	Common Shares	Surbey, James William	4	2020-12-03	10	1.92	584,150	850
Bitfarms Ltd.	Common Shares	Finkielsztain, Andres	4	2020-08-31	00			
Bitfarms Ltd.	Common Shares	Finkielsztain, Andres	4	2020-12-01	51	0.43	50,000	50,000
Bitfarms Ltd.	Options	Finkielsztain, Andres	4	2020-12-01	51	0.43	150,000	-50,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2020-12-02	10	1.9	2,840,559	50,000
Black Diamond Group Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-12-02	10	1.9	7,127,100	59,500
Black Diamond Group Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-12-02	10	1.89	7,131,600	4,500
Black Diamond Group Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-12-02	10	1.88	7,136,800	5,200
Black Diamond Group Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-12-02	10	1.875	7,158,900	22,100
Black Diamond Group Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-12-02	10	1.87	7,167,400	8,500

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Limited		Hume						
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Alsup, Laurie Frances Smaldone	4	2020-11-30	56		150,232	8,823
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Daniels, Michael Alan	4	2020-11-30	56		161,555	8,824
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Dattels, Timothy	4	2020-11-30	56		215,351	8,824
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Disbrow, Lisa S.	4	2020-11-30	56		65,139	8,824
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Lynch, Richard John	4	2020-11-30	56		191,447	8,823
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Stymiest, Barbara Gayle	4, 5	2020-11-30	56		232,272	9,641
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Watsa, V. Prem	4	2020-11-30	56		179,279	9,477
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Wouters, Wayne Gordon	4	2020-11-30	56		143,100	8,824
Blackhawk Growth Corp.	Common Shares	Antony, David Michael	4, 5	2020-11-27	37		128,595	-3,086,281
Blackhawk Growth Corp.	Common Shares	Antony, David Michael	4, 5	2020-11-27	37		3,360	-80,640
Blackhawk Growth Corp.	Options	Antony, David Michael	4, 5	2020-11-27	37		1,020,000	-480,000
Blackhawk Growth Corp.	Options	Antony, David Michael	4, 5	2020-11-27	37		60,000	-960,000
Blackhawk Growth Corp.	Common Shares	Lowenstein, Marc Adam	4	2020-11-30	37		200,000	-4,800,000
Blackhawk Growth Corp.	Options	Lowenstein, Marc Adam	4	2020-11-30	37		52,000	-1,248,000
Blackhawk Growth Corp.	Options	OWEN, DALE	4	2020-11-27	37		508,000	-192,000
Blackhawk Growth Corp.	Options	OWEN, DALE	4	2020-11-27	37		28,000	-480,000
Blackhawk Growth Corp.	Common Shares	Pels, Frederick	5	2020-11-30	37		200,000	-4,800,000
Blackhawk Growth Corp.	Options	Pels, Frederick	5	2020-11-30	37		132,000	-3,168,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.155	2,502,144	50,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.16	2,512,144	10,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.17	2,627,144	115,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.175	2,782,644	155,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.18	2,792,144	9,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-02	10	0.18	2,801,644	9,500
Blue Star Gold Corp.	Common Shares	Ewing, Grant David	5	2020-12-02	10	0.0725	100,000	100,000
Blue Star Gold Corp.	Common Shares	Ewing, Grant David	5	2020-12-03	10	0.075	175,000	75,000
Blue Star Gold Corp.	Common Shares	Ewing, Grant David	5	2020-12-04	10	0.085	245,000	70,000
Blue Star Gold Corp.	Common Shares	Pollert, Georg	3, 4	2020-11-30	16	0.05	72,131,084	1,217,771
BlueRush Inc.	Convertible Debentures	Rasmussen, David Christian	4	2020-11-30	00		\$250,000	
Bluesky Digital Assets Corp.	Common Shares	Kordy, Frank	4	2020-08-18	46	0.18		138,888
Bluesky Digital Assets Corp.	Common Shares	Kordy, Frank	4	2020-08-18	46	0.015		1,666,656

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Bluesky Digital Assets Corp.	Common Shares	Kordy, Frank	4	2020-08-18	46	0.015	253,239	138,888
Bluesky Digital Assets Corp.	Common Shares	Kordy, Frank	4	2020-12-04	16	0.09	697,683	444,444
Bluesky Digital Assets Corp.	Options	Kordy, Frank	4	2013-12-27	00			
Bluesky Digital Assets Corp.	Options	Kordy, Frank	4	2020-11-30	50		479,167	479,167
Bluesky Digital Assets Corp.	Units Warrants	Kordy, Frank	4	2013-12-27	00		444,444	
Bluesky Digital Assets Corp.	Units Warrants	Kordy, Frank	4	2020-12-04	16	0.15		444,444
Bluesky Digital Assets Corp.	Units Warrants	Kordy, Frank	4	2020-12-04	16	0.15		444,444
Bombardier Inc.	Performance Share Units/Unites d'actions liees au rendement	Demosky, Barton Wade	5	2020-12-01	00			
Bombardier Inc.	Restricted Share Units/UnitOs d'actions inaccessibles	Demosky, Barton Wade	5	2020-12-01	00			
Bombardier Inc.	Restricted Share Units/UnitOs d'actions inaccessibles	Demosky, Barton Wade	5	2020-12-01	56	0.48	1,302,084	1,302,084
Bombardier Inc.	Subordinate Voting Shares Classe B/ Class B Shares (Subordinate Voting)	Demosky, Barton Wade	5	2020-12-01	00			
Bonterra Energy Corp.	Options	Curtis, Brad Allen	5	2020-10-13	52	14.56	145,000	-65,000
Bonterra Energy Corp.	Options	Fink, George Frederick	3, 4, 5	2020-10-13	52	14.56	145,000	-65,000
Bonterra Energy Corp.	Options	Jarock, Randy M.	4	2020-10-13	52	14.56	58,000	-32,500
Bonterra Energy Corp.	Options	Neumann, Adrian	5	2020-10-13	52	14.56	145,000	-65,000
Bonterra Energy Corp.	Options	Tourigny, Rodger	4	2020-10-13	52	14.56	58,000	-32,500
Borex Inc.	Common Shares	Cusson, Julie	5	2020-12-01	10	41	1,900	300
Borex Inc.	Common Shares	Cusson, Julie	5	2020-12-02	10	40.25	2,100	200
Borex Inc.	Common Shares	Cusson, Julie	5	2020-12-02	10	40	2,300	200
Borex Inc.	Common Shares	Cusson, Julie	5	2020-12-02	10	39.75	2,500	200
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.5	1,147,200	-2,100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.49	1,146,300	-900
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.48	1,145,200	-1,100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.47	1,144,900	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.46	1,144,400	-500
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.45	1,139,300	-5,100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.44	1,138,900	-400
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.43	1,138,600	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.41	1,138,400	-200
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.4	1,126,800	-11,600
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.16	1,126,500	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.15	1,126,200	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.14	1,125,900	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.13	1,125,700	-200
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.12	1,125,500	-200

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Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.06	1,125,300	-200
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.03	1,125,100	-200
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.02	1,125,000	-100
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41.01	1,124,500	-500
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-11-30	10	41	1,116,800	-7,700
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-01	10	41.7	1,112,400	-4,400
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-01	10	41.6	1,107,400	-5,000
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-01	10	41.5	1,102,400	-5,000
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-03	10	40.53	1,101,900	-500
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-03	10	40.5	1,098,200	-3,700
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	40	41		-62,800
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	40	41		-62,800
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	40	41	-31,936	-62,800
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	51	12.9	-9,136	22,800
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	51	13.87	12,464	21,600
Boralex Inc.	Common Shares	Lemaire, Patrick	4	2020-12-01	51	16.65	30,864	18,400
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	12.9		-22,800
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	13.87		-21,600
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	13.87		-21,600
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	16.65		-18,400
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	16.65		-18,400
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	12.9	165,228	-22,800
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	13.87	143,628	-21,600
Boralex Inc.	Options Options d'achat d'actions ordinaires	Lemaire, Patrick	4	2020-12-01	51	16.65	125,228	-18,400
Boralex Inc.	Common Shares	Wolff, Nicolas	5	2020-12-02	10	40.52	1,000	1,000
BQE Water Inc.	Common Shares	Tingley, Hall	3	2020-12-03	10	19	107,548	200
BQE Water Inc.	Common Shares	Tingley, Hall	3	2020-12-03	10	18.75	107,648	100
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Options	Arviv, Adam	4, 5	2020-11-30	50	0.78	7,078,579	6,328,579
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Godfrey, Robin James	4	2019-06-27	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Godfrey, Robin James	4	2020-11-30	97		400,000	400,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Options	Pathak, Sumesh Paul	4	2020-11-30	38		250,000	-250,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Data Corp.)								
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Pathak, Sumesh Paul	4	2019-03-14	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Pathak, Sumesh Paul	4	2020-11-30	46		250,000	250,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Deferred Share Units	Spielberg, Yaniv	5	2020-11-30	97		750,000	400,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Spielberg, Yaniv	5	2020-01-01	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Spielberg, Yaniv	5	2020-11-30	97		600,000	600,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-11-27	10	0.11	2,504,500	15,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-11-30	10	0.12	2,459,500	-45,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-11-30	10	0.12	2,464,500	5,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-12-01	10	0.13	2,467,500	3,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-12-02	10	0.12	2,487,500	20,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-12-03	10	0.12	2,507,500	20,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-12-03	10	0.125	2,517,500	10,000
Braveheart Resources Inc.	Common Shares	Bertzins, Ian Martin	4, 5	2020-12-03	10	0.13	2,527,500	10,000
Braveheart Resources Inc.	Common Shares	Johnston, David Walter	4, 5	2020-11-30	10	0.115	1,623,983	-15,000
Braveheart Resources Inc.	Common Shares	Johnston, David Walter	4, 5	2020-11-30	10	0.115	1,613,983	-10,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-11-27	10	0.11	6,997,001	3,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-11-30	10	0.125	7,000,001	3,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-11-30	10	0.1221	7,007,001	7,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-11-30	51	0.06	7,307,001	300,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-12-01	10	0.125	7,310,001	3,000
Braveheart Resources Inc.	Options	Matlock, Aaron	4, 5	2020-11-30	51		1,350,000	-300,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.68	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.68	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.71	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.71	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.74	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.74	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.76	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.76	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.77	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.77	0	-100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Partners L.P.	Units	Partners L.P.						
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.89	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.89	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.96	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.96	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.99	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	40.99	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.01	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.01	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.1	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.1	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.11	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.11	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.14	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.14	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.15	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.15	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.19	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.19	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.2	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.2	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.24	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.24	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.33	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.33	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.42	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-04	38	41.42	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	38.9	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	38.9	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	38.97	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	38.97	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	39.25	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-08	38	39.25	0	-300
Brookfield	Subordinate Voting	Cockwell, Jack Lynn	6	2020-11-26	10	90.26	0	-11,560

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Infrastructure Corporation	Shares Class A Exchangeable							
Brookfield Office Properties Inc.	Preferred Shares Class AAA Series GG	McGregor, Alex Douglas	6	2020-12-03	10	16.943	7,000	3,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-02	38	13.969	251,344	251,344
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-02	38	18.519	460,095	208,751
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-03	38	19.048	668,846	208,751
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-03	38	14.492	920,190	251,344
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-04	38	14.617	1,171,534	251,344
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-04	38	19.21	1,380,285	208,751
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-05	38	14.908	1,631,629	251,344
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-05	38	19.505	2,226,549	594,920
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-06	38	18.764	2,435,300	208,751
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-06	38	14.341	2,686,644	251,344
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2020-11-06	38		0	-2,686,644
Brookfield Renewable Partners L.P.	Limited Partnership Units	Cutler, Scott Raymond	4	2020-11-04	00			
Brookfield Renewable Partners L.P.	Limited Partnership Units	Cutler, Scott Raymond	4	2020-12-03	10	60.55	4,135	4,135
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	20.327	25,750	-350
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	39.449	24,850	-900
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	40.897	24,475	-375
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	62.685	23,175	-1,300
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	40.196	22,750	-425
BRP Inc.	Options	Desrochers, Yannick	5	2020-12-03	51	46.15	20,975	-1,775
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	20.327	350	350
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-350
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	39.449	900	900
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-900
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	40.897	375	375
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-375
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	62.685	1,300	1,300
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-1,300
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	40.196	425	425
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-425
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	51	46.15	1,775	1,775
BRP Inc.	Subordinate Voting Shares	Desrochers, Yannick	5	2020-12-03	10	77	0	-1,775
BRP Inc.	Options	Scullion, Sandy	5	2020-12-03	51	27.962		-5,700
BRP Inc.	Options	Scullion, Sandy	5	2020-12-03	51	27.962		-5,700
BRP Inc.	Options	Scullion, Sandy	5	2020-12-03	51	27.962	135,000	-7,600
BRP Inc.	Options	Scullion, Sandy	5	2020-12-03	51	20.327	130,800	-4,200

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BRP Inc.	Options	Scullion, Sandy	5	2020-12-03	51	25.792	126,900	-3,900
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	51	27.962		5,700
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	51	27.962		5,700
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	10	80		-5,700
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	10	80		-5,700
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	51	27.962	40,957	7,600
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	10	80	33,357	-7,600
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	51	20.327	37,557	4,200
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	10	80	33,357	-4,200
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	51	25.792	37,257	3,900
BRP Inc.	Subordinate Voting Shares	Scullion, Sandy	5	2020-12-03	10	80	33,357	-3,900
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-12-01	10	8.4	21,433	100
Bullfrog Gold Corp.	Common Shares	Gould, Lynette	5	2020-12-01	00		54,800	
Bullfrog Gold Corp.	Common Shares	Gould, Lynette	5	2020-12-02	10	0.295	72,300	17,500
Byrna Technologies, Inc.	Common Shares	Ganz, Bryan	4, 5	2020-11-25	54	0.25	2,153,333	200,000
Byrna Technologies, Inc.	Warrants	Ganz, Bryan	4, 5	2020-11-25	54	0.25	860,862	-200,000
Byrna Technologies, Inc.	Common Shares	Hughes, Herbert	4	2020-12-03	11	1.15	10,000	10,000
Byrna Technologies, Inc.	Common Shares	Reed, Chris Lavern	4	2020-09-01	00			
Byrna Technologies, Inc.	Common Shares	Reed, Chris Lavern	4	2020-12-03	11	1.15	25,000	25,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Pickmann, Fernando	4	2020-12-01	00		1,175,210	
Cabral Gold Inc.	Common Shares	Hansed, Paul Taylor	5	2020-11-23	54	0.2		200,000
Cabral Gold Inc.	Common Shares	Hansed, Paul Taylor	5	2020-11-23	54	0.2		200,000
Cabral Gold Inc.	Common Shares	Hansed, Paul Taylor	5	2020-11-23	54	200000	1,966,000	200,000
Cabral Gold Inc.	Warrants	Hansed, Paul Taylor	5	2020-11-23	54	0.2		20,000
Cabral Gold Inc.	Warrants	Hansed, Paul Taylor	5	2020-11-23	54	0.2		20,000
Cabral Gold Inc.	Warrants	Hansed, Paul Taylor	5	2020-11-23	54	0.2	0	-200,000
Cache Exploration Inc.	Common Shares	Bal, Jatinder Singh	4	2020-11-27	10	0.15	2,286,286	10,000
CAE Inc.	Performance Share Units (PSU)	Arnovitz, Andrew	5	2017-06-09	56	22.17		9,080
CAE Inc.	Performance Share Units (PSU)	Arnovitz, Andrew	5	2017-06-09	56	22.17	64,348	17,888
CAE Inc.	Performance Share Units (PSU)	Arnovitz, Andrew	5	2020-12-02	59	26.6	20,350	-17,888
CAE Inc.	Restricted Share Units-time vested	Arnovitz, Andrew	5	2020-12-02	59	26.6	10,910	-3,640
CAE Inc.	Performance Share Units (PSU)	Branco, Sonya	5	2017-06-09	56	22.17		15,180
CAE Inc.	Performance Share Units (PSU)	Branco, Sonya	5	2017-06-09	56	22.17	55,985	29,905
CAE Inc.	Performance Share Units (PSU)	Branco, Sonya	5	2020-12-02	59	26.6	46,680	-29,905
CAE Inc.	Restricted Share Units-time vested	Branco, Sonya	5	2020-12-02	59	26.6	25,840	-6,070
CAE Inc.	Performance Share Units (PSU)	Gagnon, HØIØne Violaine	5	2017-06-09	56	22.17		8,090
CAE Inc.	Performance Share Units (PSU)	Gagnon, HØIØne Violaine	5	2017-06-09	56	22.17	51,017	15,937

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CAE Inc.	Performance Share Units (PSU)	Gagnon, HØIØne Violaine	5	2020-12-02	59	26.6	16,590	-15,937
CAE Inc.	Restricted Share Units-time vested	Gagnon, HØIØne Violaine	5	2020-12-02	59	26.6	9,170	-3,240
CAE Inc.	Performance Share Units (PSU)	Grenier, Pascal	5	2017-07-18	00			
CAE Inc.	Performance Share Units (PSU)	Grenier, Pascal	5	2017-07-18	00			
CAE Inc.	Performance Share Units (PSU)	Grenier, Pascal	5	2017-07-18	00		12,756	
CAE Inc.	Performance Share Units (PSU)	Grenier, Pascal	5	2020-12-02	59	26.6	19,680	-4,216
CAE Inc.	Restricted Share Units-time vested	Grenier, Pascal	5	2020-12-02	59	26.6	11,020	-4,280
CAE Inc.	Performance Share Units (PSU)	Leontidis, Nick	5	2017-06-09	56	22.17		25,600
CAE Inc.	Performance Share Units (PSU)	Leontidis, Nick	5	2017-06-09	56	22.17	149,972	50,432
CAE Inc.	Performance Share Units (PSU)	Leontidis, Nick	5	2020-12-02	59	26.6	52,240	-50,432
CAE Inc.	Restricted Share Units-time vested	Leontidis, Nick	5	2020-12-02	59	26.6	28,200	-10,240
CAE Inc.	Performance Share Units (PSU)	Parent, Marc	4, 5	2017-06-09	56	22.17		76,370
CAE Inc.	Performance Share Units (PSU)	Parent, Marc	4, 5	2017-06-09	56	22.17	529,649	150,449
CAE Inc.	Performance Share Units (PSU)	Parent, Marc	4, 5	2020-12-02	59	26.6	166,830	-150,449
CAE Inc.	Restricted Share Units-time vested	Parent, Marc	4, 5	2020-12-02	59	26.6	91,150	-30,550
CAE Inc.	Performance Share Units (PSU)	Sharkey, Dan	5	2017-06-09	56	22.17		8,890
CAE Inc.	Performance Share Units (PSU)	Sharkey, Dan	5	2017-06-09	56	22.17	53,833	17,513
CAE Inc.	Performance Share Units (PSU)	Sharkey, Dan	5	2020-12-02	59	26.6	20,120	-17,513
CAE Inc.	Restricted Share Units-time vested	Sharkey, Dan	5	2020-12-02	59	26.6	10,850	-3,560
Calian Group Ltd.	Options	Basler, Raymond Gregory	4	2020-12-01	50	61.16	19,221	4,221
Calian Group Ltd.	Rights Restricted Share Units	Ford, Kevin Lee	5	2020-12-01	56	59.35	9,422	4,802
Calian Group Ltd.	Common Shares	Hamer, Seann	5	2020-11-27	00		886	
Calian Group Ltd.	Options	Hamer, Seann	5	2020-11-27	00		3,000	
Calian Group Ltd.	Rights Restricted Share Units	Hamer, Seann	5	2020-11-27	00		1,190	
Calian Group Ltd.	Common Shares	Houston, Patrick Belanger	5	2020-12-03	30	56.38	1,718	610
Calian Group Ltd.	Rights Restricted Share Units	Houston, Patrick Belanger	5	2020-11-27	56		3,395	1,854
Calian Group Ltd.	Rights Restricted Share Units	Ivay, Susan Jane	5	2020-12-01	56	59.35	1,299	505
Calian Group Ltd.	Rights Restricted Share Units	Johnston, Jerry Patrick	5	2020-12-01	56	59.35	2,051	590
Calian Group Ltd.	Options	loeb, kenneth jeffrey	4	2020-12-01	50	61.16	15,136	5,136
Calian Group Ltd.	Options	Park, Young	4	2020-12-01	50	61.16	14,221	4,221
Calian Group Ltd.	Options	Poirier, Jo-Anne Cecile	4	2020-12-01	50	61.16	19,221	4,221
Calian Group Ltd.	Rights Restricted Share Units	Thera, Patrick Joseph	5	2020-12-01	56	59.35	1,795	842
Calian Group Ltd.	Common Shares	weber, george brian	4	2020-12-04	10	49.25	3,773	29
Calian Group Ltd.	Options	weber, george brian	4	2020-12-01	50	61.16	10,059	7,559
Calibre Mining Corp.	Common Shares	White, Todd James	4	2019-12-03	00			
Calibre Mining Corp.	Common Shares	White, Todd James	4	2020-12-03	57		41,667	41,667

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Calibre Mining Corp.	Common Shares	White, Todd James	4	2020-12-03	30	2.38	28,881	-12,786
Calibre Mining Corp.	Restricted Share Units	White, Todd James	4	2020-12-03	57		83,333	-41,667
Canacol Energy Ltd.	Options (Common Shares)	Bednar, Jason Michael	5	2020-11-30	59		430,000	-150,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-02	38	3.6733	90,000	30,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-03	38	3.6367	120,000	30,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-03	38		60,000	-60,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-04	38	3.6175	90,000	30,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-05	38	3.6342	120,000	30,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-06	38	3.5783	150,000	30,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-09	38	3.75	160,000	10,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-19	38	3.8008	206,000	46,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-20	38	3.7871	252,000	46,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-23	38	3.85	287,000	35,000
Canacol Energy Ltd.	Common Shares	Canacol Energy Ltd.	1	2020-11-30	38		0	-287,000
Canacol Energy Ltd.	Options (Common Shares)	Elliott, Greg	4	2020-11-30	59		72,800	-24,000
Canacol Energy Ltd.	Options (Common Shares)	Gamba, Charle	4, 5	2020-11-30	59		675,000	-250,000
Canacol Energy Ltd.	Options (Common Shares)	Hibberd, Michael John	4	2020-11-30	59	4.03	163,600	-46,000
Canacol Energy Ltd.	Options (Common Shares)	Sharma, Ravi	5	2020-11-30	59		430,000	-66,000
Canacol Energy Ltd.	Options (Common Shares)	Teare, Mark Reginald	5	2020-11-30	59		430,000	-150,000
Canacol Energy Ltd.	Options (Common Shares)	Winter, David A	4	2020-11-30	59		72,800	-24,000
Canada Goose Holdings Inc.	Options	BLACKFORD, MICHAEL	5	2020-11-23	51	46.38		-1,167
Canada Goose Holdings Inc.	Rights Restricted Share Units	BLACKFORD, MICHAEL	5	2020-11-23	57	46.38	6,163	-1,167
Canada Goose Holdings Inc.	Subordinate Voting Shares	BLACKFORD, MICHAEL	5	2020-11-23	51	46.38		1,167
Canada Goose Holdings Inc.	Subordinate Voting Shares	BLACKFORD, MICHAEL	5	2020-11-23	57	46.38	1,167	1,167
Canada Goose Holdings Inc.	Options	Brook, Penelope	7, 5	2020-11-23	51	4.6159		-14,814
Canada Goose Holdings Inc.	Options	Brook, Penelope	7, 5	2020-11-23	51	4.6159	114,093	-14,814
Canada Goose Holdings Inc.	Subordinate Voting Shares	Brook, Penelope	7, 5	2020-11-23	51	4.6159		14,814
Canada Goose Holdings Inc.	Subordinate Voting Shares	Brook, Penelope	7, 5	2020-11-23	51	4.6159	14,814	14,814
Canada Goose Holdings Inc.	Subordinate Voting Shares	Brook, Penelope	7, 5	2020-11-23	10	45.515		-14,814
Canada Goose Holdings Inc.	Subordinate Voting Shares	Brook, Penelope	7, 5	2020-11-23	10	45.515	0	-14,814
Canadian Apartment Properties Real Estate Investment Trust	Trust Units	Stein, Michael	4, 5	2020-12-02	47	50.25	355,405	-12,000
Canadian Apartment Properties Real Estate Investment Trust	Trust Units	Stein, Michael	4, 5	2020-12-02	47	50.23	353,405	-2,000
Canadian Apartment Properties Real Estate Investment Trust	Trust Units	Stein, Michael	4, 5	2020-12-02	47	50.25	365,405	12,000
Canadian Apartment Properties Real Estate Investment Trust	Trust Units	Stein, Michael	4, 5	2020-12-02	47	50.23	367,405	2,000
Canadian National Railway Company	Common Shares	Finn, Sean	5	2020-11-27	51	73.74	22,613	7,000
Canadian National Railway Company	Common Shares	Finn, Sean	5	2020-11-27	10	142.1	15,613	-7,000
Canadian National	Options	Finn, Sean	5	2020-11-27	51	73.74	132,081	-7,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Railway Company								
Canadian National Railway Company	Common Shares	McKenzie, Margaret Anne	4	2020-12-02	10	137.94	475	475
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-11-27	51	28.85	27,523	3,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-11-27	10	31.32	24,523	-3,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-03	51	28.85	27,523	3,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-03	10	30.99	24,523	-3,000
Canadian Natural Resources Limited	Options	Froc, Jay Ellery	5	2020-11-27	51	28.85	288,000	-3,000
Canadian Natural Resources Limited	Options	Froc, Jay Ellery	5	2020-12-03	51	28.85	285,000	-3,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2020-11-27	51	22.9	56,649	5,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2020-11-27	10	31.13	51,649	-5,000
Canadian Natural Resources Limited	Options	McIntyre, Pamela Anne	5	2020-11-27	51	22.9	222,500	-5,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-02	38	407.03	72,157	21,266
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-03	38	419.38	92,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-04	38	412.83	127,157	35,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-05	38	416.68	147,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-06	38	415.73	167,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-09	38	425.39	187,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-10	38	428.54	207,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-11	38	430.09	227,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-12	38	432.46	247,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-13	38	436.81	267,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-16	38	437.69	287,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-17	38	440.15	307,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-18	38	441.54	327,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-19	38	441.53	347,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-20	38	437.6	367,157	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-23	38	433.66	382,190	15,033
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-24	38	427.05	402,190	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-25	38	422.15	422,190	20,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-26	38	421.74	452,190	30,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-27	38	422.19	457,190	5,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-27	38	422.57	472,190	15,000
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-30	38	418.92	502,190	30,000
Canadian Pacific	Common Shares	Canadian Pacific	1	2020-11-30	38		80,000	-422,190

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Railway Limited		Railway Limited						
Canadian Pacific Railway Limited	Common Shares	Canadian Pacific Railway Limited	1	2020-11-30	38		50,000	-30,000
Canadian Pacific Railway Limited	Common Shares	Redd, Mark Ashley	5	2019-06-20	51			910
Canadian Pacific Railway Limited	Common Shares	Redd, Mark Ashley	5	2019-06-20	51		1,410	1,410
Canadian Pacific Railway Limited	Common Shares	Redd, Mark Ashley	5	2019-06-20	10	314.89		-910
Canadian Pacific Railway Limited	Common Shares	Redd, Mark Ashley	5	2019-06-20	10	314.89	0	-1,410
Canadian Pacific Railway Limited	Options	Redd, Mark Ashley	5	2019-06-20	51			-910
Canadian Pacific Railway Limited	Options	Redd, Mark Ashley	5	2019-06-20	51		21,703	-1,410
Canadian Spirit Resources Inc.	Options	DeCarlo, Louisa Lucie	4, 5	2020-11-27	50	0.1	2,000,000	1,000,000
Canadian Spirit Resources Inc.	Options	Elmag Investments inc.	3	2007-07-10	00			
Canadian Spirit Resources Inc.	Options	Elmag Investments inc.	3	2020-11-27	50	0.1	400,000	400,000
Canadian Spirit Resources Inc.	Options	Monroe, David	4	2020-11-27	00			
Canadian Spirit Resources Inc.	Options	Monroe, David	4	2020-11-27	00			
Canadian Spirit Resources Inc.	Options	Monroe, David	4	2020-11-27	50		400,000	400,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2020-12-03	38	164.95	22,184	22,184
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2020-12-03	38		0	-22,184
Canfor Pulp Products Inc.	Common Shares	Bentley, Peter John Gerald	4, 6	2020-12-03	10	7.06	624,677	-20,000
Canopy Growth Corporation	Options	Grant JR., Julious C.	5	2020-11-05	00			
Canopy Growth Corporation	Options	Grant JR., Julious C.	5	2020-12-01	50		105,354	105,354
Canopy Growth Corporation	Rights Restricted Stock Units	Grant JR., Julious C.	5	2020-11-05	00			
Canopy Growth Corporation	Rights Restricted Stock Units	Grant JR., Julious C.	5	2020-12-01	56		26,339	26,339
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Klubi, Stephen	4	2020-11-27	10	2.65	4,200	1,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-01	10	0.22	8,440,000	15,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-02	10	0.24	8,465,000	25,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-02	10	0.22	8,480,000	15,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-03	10	0.22	8,483,000	3,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-03	10	0.24	8,493,000	10,000
Capella Minerals Limited	Common Shares	Roth, Eric	4, 5	2020-12-01	10	0.073	128,656	100,000
Capella Minerals Limited	Common Shares	Roth, Eric	4, 5	2020-12-02	10	0.081	159,956	31,300
Capella Minerals Limited	Common Shares	Roth, Eric	4, 5	2020-12-03	10	0.081	182,166	22,210
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Blair, Joshua Andrew	4	2020-12-03	10	1.49	200,000	100,000
Carebook Technologies Inc.	Common Shares	Elman, Stuart Mitchell	4	2020-11-24	10	1.749	14,500	14,500

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
(formerly Pike Mountain Minerals Inc.)								
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Elman, Stuart Mitchell	4	2020-11-25	10	1.674	16,500	2,000
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Medtech Investments, L.P.	3	2020-10-01	00			
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Medtech Investments, L.P.	3	2020-11-25	10	1.619	65,000	65,000
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Medtech Investments, L.P.	3	2020-11-26	10	1.65	140,000	75,000
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Common Shares	Medtech Investments, L.P.	3	2020-11-27	10	1.65	200,000	60,000
Cargojet Inc.	Options	Dickinson, Arlene	4	2020-12-01	51	212.47	0	-8,787
Cargojet Inc.	Options	Kim, John	5	2020-12-01	51	212.47	2,968	-10,000
Cargojet Inc.	Options	Kim, John	5	2020-12-01	51	212.47	1,418	-1,550
Cargojet Inc.	Rights Performance Share Units	Kim, John	5	2020-12-01	57	212.47	699	-741
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2020-12-01	57	212.47	635	-501
Cargojet Inc.	Common Voting Shares	Virmani, Ajay Kumar	5	2020-11-30	11	214.75	311,500	-445,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	LARSEN, THOMAS	4, 5	2020-11-26	10	0.125	1,198,000	46,500
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	LARSEN, THOMAS	4, 5	2020-11-26	10	0.12	1,241,000	43,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-11-27	38	14.367	4,400	4,400
Cascades Inc.	Common Shares	Cascades inc.	1	2020-11-27	38	14.367	0	-4,400
Cascades Inc.	Common Shares	Cascades inc.	1	2020-11-30	38	14.356	14,000	14,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-11-30	38	14.356	0	-14,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-03	38	14.698	9,000	9,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-03	38	14.698	0	-9,000
Cathedral Energy Services Ltd.	Common Shares	MACFARLANE, PETER SCOTT	5	2009-12-18	00			
Cathedral Energy Services Ltd.	Common Shares	MACFARLANE, PETER SCOTT	5	2020-11-30	90	0.159	15,000	15,000
CBD Global Sciences Inc.	Common Shares	Garber, Jason Darragh	3	2020-11-12	10	0.295	4,051,958	-1,000
CBD Global Sciences Inc.	Common Shares	Garber, Jason Darragh	3	2020-11-13	10	0.295	4,050,958	-1,000
CBD Global Sciences Inc.	Common Shares	Garber, Jason Darragh	3	2020-11-25	10	0.265	4,044,458	-6,500
CBD Global Sciences Inc.	Common Shares	Garber, Jason Darragh	3	2020-11-27	10	0.265	4,039,458	-5,000
CBD Global Sciences Inc.	Common Shares	Garber, Jason Darragh	3	2020-11-30	10	0.265	4,025,458	-14,000
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-11-26	51	43.9	25,860	8,800
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-11-26	10	60	17,060	-8,800
CCL Industries Inc.	Non-Voting Shares	Birkner, Gunther	7	2020-11-27	51	43.9	17,360	300

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
	Class B	Johann						
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-11-27	10	60	17,060	-300
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-11-30	51	43.9	20,060	3,000
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-11-30	10	60	17,060	-3,000
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-11-26	51	43.9	249,800	-8,800
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-11-27	51	43.9	249,500	-300
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-11-30	51	43.9	246,500	-3,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2020-12-03	10	58.714	5,000	-720
CCL Industries Inc.	Non-Voting Shares Class B	Vodermaier, Monika	5	2020-11-27	51	43.9		1,295
CCL Industries Inc.	Non-Voting Shares Class B	Vodermaier, Monika	5	2020-11-27	51	43.9		1,295
CCL Industries Inc.	Non-Voting Shares Class B	Vodermaier, Monika	5	2020-11-27	10	59.9	29,205	-1,295
CCL Industries Inc.	Non-Voting Shares Class B	Vodermaier, Monika	5	2020-12-01	51	43.9	31,205	2,000
CCL Industries Inc.	Options	Vodermaier, Monika	5	2020-11-27	51	43.9		-1,295
CCL Industries Inc.	Options	Vodermaier, Monika	5	2020-11-27	51	43.9		-1,295
CCL Industries Inc.	Options	Vodermaier, Monika	5	2020-12-01	51	43.9	30,000	-2,000
Celestica Inc.	Restricted Share Units	Chawla, Mandeep	5	2020-12-01	57	9.82	136,306	-18,395
Celestica Inc.	Subordinate Voting Shares	Chawla, Mandeep	5	2020-12-01	57	9.82	81,637	8,548
Celestica Inc.	Restricted Share Units	Cooper, Todd Christopher	5	2020-12-01	57	7.55	145,356	-88,824
Celestica Inc.	Restricted Share Units	Cooper, Todd Christopher	5	2020-12-01	57	7.55	125,058	-20,298
Celestica Inc.	Subordinate Voting Shares	Cooper, Todd Christopher	5	2020-12-01	57	7.55	179,054	47,662
Celestica Inc.	Subordinate Voting Shares	Cooper, Todd Christopher	5	2020-12-01	57	7.55	189,945	10,891
Celestica Inc.	Restricted Share Units	Ellis, Robert Peter	7	2020-12-01	57	9.82	31,264	-3,806
Celestica Inc.	Subordinate Voting Shares	Ellis, Robert Peter	7	2020-12-01	57			1,768
Celestica Inc.	Subordinate Voting Shares	Ellis, Robert Peter	7	2020-12-01	57	9.82	11,122	1,768
Celestica Inc.	Restricted Share Units	Lawless, John Joseph	5	2020-12-01	57	7.55	136,783	-20,932
Celestica Inc.	Subordinate Voting Shares	Lawless, John Joseph	5	2020-12-01	57	7.55	149,170	9,974
Celestica Inc.	Restricted Share Units	Mionis, Robert Andrew	4, 7, 5	2020-12-01	57	7.55	562,764	-91,341
Celestica Inc.	Subordinate Voting Shares	Mionis, Robert Andrew	4, 7, 5	2020-12-01	57	7.55	642,441	55,398
Celestica Inc.	Restricted Share Units	Phillips, Jason	5	2020-12-01	57	7.55	184,260	-8,880
Celestica Inc.	Subordinate Voting Shares	Phillips, Jason	5	2020-12-01	57	7.55	43,709	4,910
Celestica Inc.	Restricted Share Units	Wong, Leila	7	2020-12-01	59	9.82	29,138	-4,209
Celestica Inc.	Restricted Share Units	Wong, Leila	7	2020-12-01	57	9.82	25,332	-3,806
Celestica Inc.	Subordinate Voting Shares	Wong, Leila	7	2020-12-01	57	9.82	9,773	1,768
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-11-19	10	2.6	15,340,457	2,400
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-11-23	10	2.73	15,348,157	7,700

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Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-11-24	10	2.98	15,349,057	900
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-11-25	10	2.98	15,350,657	1,600
Cerro Grande Mining Corporation	Common Shares	Minera Tamidak Limitada	3	2020-12-01	00		44,055,102	
Cerro Grande Mining Corporation	Common Shares	Thomson, David Robert Stanley	3, 4, 5	2000-01-01	00			
Cerro Grande Mining Corporation	Common Shares	Thomson, David Robert Stanley	3, 4, 5	2020-12-01	11	0.05	44,055,102	44,055,102
Cerro Grande Mining Corporation	Common Shares	Thomson, Ian David	3	2018-12-27	00			
Cerro Grande Mining Corporation	Common Shares	Thomson, Ian David	3	2020-12-01	11	0.05	44,055,102	44,055,102
Cerro Grande Mining Corporation	Common Shares	Thomson, Matthew Stanley	3	2018-12-27	00			
Cerro Grande Mining Corporation	Common Shares	Thomson, Matthew Stanley	3	2020-12-01	11	0.05	44,055,102	44,055,102
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2020-11-30	10	0.0411	851,071	1,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-02	38	0.6676	280,000	100,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-03	38	0.6786	380,000	100,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-04	38	0.7051	450,000	70,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-05	38	0.7022	550,000	100,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-06	38	0.681	660,000	110,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-09	38	0.815	750,500	90,500
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-10	38	0.8263	860,500	110,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-11	38	0.8341	929,000	68,500
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-12	38	0.8414	1,014,000	85,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-13	38	0.8701	1,099,000	85,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-16	38	0.9139	1,170,000	71,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-17	38	0.9413	1,320,000	150,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-18	38	0.9846	1,399,000	79,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-19	38	0.9874	1,549,000	150,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-20	38	1	1,564,000	15,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2020-11-30	38	0.8261	0	-1,564,000
CGI Inc.	Options	Evans, Richard B.	4	2020-11-30	51	19.28	40,275	-1,997
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	51	19.28	1,997	1,997
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	10	96.51	1,697	-300
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	10	96.53	1,597	-100
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	10	96.5	1,497	-100
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	10	96.446	700	-797
CGI Inc.	Subordinate Voting Shares Classe A	Evans, Richard B.	4	2020-11-30	10	96.504	0	-700
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-02	38	81.801	300,000	150,000

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CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-03	38	82.356	450,000	150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-03	38		300,000	-150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-04	38	83.694	304,900	4,900
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-04	38		154,900	-150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-05	38		4,900	-150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-06	38		0	-4,900
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-16	38	91.322	150,000	150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-17	38	91.651	300,000	150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-18	38	91.653	471,500	171,500
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-18	38		321,500	-150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-19	38	91.166	521,200	199,700
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-19	38		371,200	-150,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-20	38	92.78	523,700	152,500
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-20	38		352,200	-171,500
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-23	38	93.615	395,000	42,800
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-23	38		195,300	-199,700
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-24	38	94.657	379,400	184,100
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-24	38		226,900	-152,500
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-25	38	95.585	403,600	176,700
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-25	38		360,800	-42,800
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-26	38	96.34	427,100	66,300
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-26	38		243,000	-184,100
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-27	38	96.806	369,300	126,300
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-27	38		192,600	-176,700
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-30	38	96.361	346,800	154,200
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2020-11-30	38		280,500	-66,300
CGI Inc.	Options	Lahteenmaa, Leena-Mari	5	2020-11-27	51	48.16	19,429	-2,216
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-11-27	51	48.16	2,216	2,216
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-11-27	10	97.24	316	-1,900
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-11-27	10	97.243	16	-300
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-11-27	10	97.25	0	-16
CHAR Technologies Ltd.	Common Shares	Sbrolla, James	3, 4	2020-12-04	10	0.25	5,231,606	-666,000
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers	Rights Restricted Share Awards	Held, John	4	2020-12-01	56		26,173	2,495

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Holdings Inc.)								
Chemtrade Logistics Income Fund	Rights RSU	Aarts, Leon	5	2020-11-30	56	4.63	149,583	37,800
Chemtrade Logistics Income Fund	Rights RSU	Aarts, Leon	5	2020-11-30	56	4.63	231,883	82,300
Chemtrade Logistics Income Fund	Rights RSU	Bhardwaj, Rohit	5	2020-11-30	56	4.63	75,742	37,800
Chemtrade Logistics Income Fund	Rights RSU	Bhardwaj, Rohit	5	2020-11-30	56	4.63	174,042	98,300
Chemtrade Logistics Income Fund	Rights RSU	Davis, Mark	5	2020-11-30	56	4.63	870,099	270,000
Chemtrade Logistics Income Fund	Rights RSU	Montgomery, Timothy Neil	5	2020-11-30	56	4.63	36,700	36,700
Chemtrade Logistics Income Fund	Rights RSU	Pare, Susan	5	2020-11-30	56	4.63	40,572	21,600
Chemtrade Logistics Income Fund	Rights RSU	Pare, Susan	5	2020-11-30	56	4.63	90,272	49,700
Chemtrade Logistics Income Fund	Rights RSU	Powers, Emily Louise	5	2020-11-30	56	4.63	40,571	21,600
Chemtrade Logistics Income Fund	Rights RSU	Powers, Emily Louise	5	2020-11-30	56	4.63	90,271	49,700
Chemtrade Logistics Income Fund	Rights RSU	Rook, Scott William	5	2020-11-30	56	4.63	187,229	54,000
Chemtrade Logistics Income Fund	Rights RSU	Rook, Scott William	5	2020-11-30	56	4.63	327,629	140,400
Chesswood Group Limited	#NAME?	Copeland, Clare Robert	4	2020-11-30	56		16,000	9,000
Chesswood Group Limited	#NAME?	Copeland, Clare Robert	4	2020-12-01	57		7,000	-9,000
Chesswood Group Limited	Common Shares	Copeland, Clare Robert	4	2020-12-01	57	8.11	60,085	9,000
Chesswood Group Limited	#NAME?	Day, Robert	4	2020-11-30	56		9,000	9,000
Chesswood Group Limited	#NAME?	Fields, Jeffrey	4	2020-09-30	00			
Chesswood Group Limited	#NAME?	Fields, Jeffrey	4	2020-11-30	56		9,000	9,000
Chesswood Group Limited	#NAME?	Leeper, Samuel L.	4	2020-11-30	56		9,000	9,000
Chesswood Group Limited	#NAME?	Leeper, Samuel L.	4	2020-12-01	57		0	-9,000
Chesswood Group Limited	Common Shares	Leeper, Samuel L.	4	2020-12-01	57	8.11	164,243	9,000
Chesswood Group Limited	#NAME?	Marr, Ryan	5	2020-06-29	00			
Chesswood Group Limited	#NAME?	Marr, Ryan	5	2020-11-30	56		50,000	50,000
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-11-30	10	8.495	622,518	4,744
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-11-27	10	8.4908	584,325	17,500
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-11-30	10	8.495	595,381	11,056
Chesswood Group Limited	Options	Marr, Ryan	5	2020-06-29	00			
Chesswood Group Limited	Options	Marr, Ryan	5	2020-11-30	50		100,000	100,000
Chesswood Group Limited	Options	Marr, Ryan	5	2020-12-01	50		175,000	75,000
Chesswood Group Limited	#NAME?	Sonshine, Edward	3, 4	2020-11-30	56		11,000	11,000
Chesswood Group Limited	#NAME?	Sonshine, Edward	3, 4	2020-11-30	57	8.01	0	-11,000
Chesswood Group Limited	Common Shares	Sonshine, Edward	3, 4	2020-12-02	47		37,000	11,000
Chesswood Group	Common Shares	Sonshine, Edward	3, 4	2020-11-30	57	8.01	21,000	11,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Limited								
Chesswood Group Limited	Common Shares	Sonshine, Edward	3, 4	2020-12-02	47		10,000	-11,000
Chesswood Group Limited	#NAME?	Steiner, Frederick William	7	2020-11-30	56		9,000	9,000
Chesswood Group Limited	#NAME?	Steiner, Frederick William	7	2020-11-30	57	8.01	0	-9,000
Chesswood Group Limited	Common Shares	Steiner, Frederick William	7	2020-11-30	57	8.01	1,100,732	9,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-02	38	15.56	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-02	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-03	38	15.801	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-03	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-04	38	15.946	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-04	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-05	38	16.148	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-05	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-06	38	16.034	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-06	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-09	38	16.759	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-09	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-10	38	16.456	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-10	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-11	38	16.383	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-11	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-12	38	16.767	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-12	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-13	38	16.787	40,000	40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-13	38		0	-40,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-16	38	17.134	22,700	22,700
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-16	38		0	-22,700
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-17	38	16.897	30,000	30,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-17	38		0	-30,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-18	38	17.228	30,000	30,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-18	38		0	-30,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-19	38	17.153	20,000	20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-19	38		0	-20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-20	38	17.222	20,000	20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-20	38		0	-20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-23	38	17.34	20,000	20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-23	38		0	-20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-24	38	17.611	12,000	12,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-24	38		0	-12,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-25	38	17.541	20,000	20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-25	38		0	-20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-26	38	17.473	10,000	10,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-26	38		0	-10,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-27	38	17.423	10,000	10,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-27	38		0	-10,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-30	38	17.076	20,000	20,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2020-11-30	38		0	-20,000
CI Financial Corp.	Common Shares	Holland, William Thomas	4	2020-12-03	10	16.932	306,920	100,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-12-02	10	0.66	7,611,247	5,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-12-02	10	0.65	7,621,247	10,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-12-02	10	0.66	7,626,247	5,000
CIBT Education Group	Common Shares	Chu, Toby	4, 5	2020-12-02	10	0.64	7,631,247	5,000

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Inc.								
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-12-02	10	0.64	7,636,247	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-11-30	10	0.67	5,020,600	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-02	10	0.67	5,022,900	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-02	10	0.65	5,067,900	45,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-03	10	0.67	5,070,200	2,300
Cineplex Inc.	Deferred Share Units	Banks, Jordan	4	2020-12-01	56		22,865	2,397
Cineplex Inc.	Deferred Share Units	Banks, Jordan	4	2020-12-03	56			2,397
Cineplex Inc.	Deferred Share Units	Bruce, Robert W.	4	2020-12-01	56		28,249	2,397
Cineplex Inc.	Performance Share Units	Campbell, Susan Linda Helen	5	2020-12-04	59		4,446	-329
Cineplex Inc.	Restricted Share Units	Campbell, Susan Linda Helen	5	2020-12-04	59		1,094	-781
Cineplex Inc.	Deferred Share Units	Dea, Joan	4	2020-12-01	56		25,299	2,397
Cineplex Inc.	Performance Share Units	Fitzgerald, Anne Tunstall	5	2020-12-04	59		21,075	-441
Cineplex Inc.	Restricted Share Units	Fitzgerald, Anne Tunstall	5	2020-12-04	59		8,696	-1,046
Cineplex Inc.	Deferred Share Units	Fukakusa, Janice Rose	4	2020-12-01	56		16,488	2,877
Cineplex Inc.	Deferred Share Units	Hayes, Donna Marie	4	2020-12-01	56		14,843	2,397
Cineplex Inc.	Performance Share Units	Jacob, Ellis	4, 5	2020-12-04	59		173,090	-4,940
Cineplex Inc.	Restricted Share Units	Jacob, Ellis	4, 5	2020-12-04	59		61,282	-11,710
Cineplex Inc.	Deferred Share Units	Marwah, Sarabjit	4	2020-12-01	56		32,776	2,397
Cineplex Inc.	Performance Share Units	McGrath, Daniel F.	5	2020-12-04	59		54,775	-1,647
Cineplex Inc.	Restricted Share Units	McGrath, Daniel F.	5	2020-12-04	59		20,434	-3,904
Cineplex Inc.	Deferred Share Units	Mohamed, Nadir	4	2020-12-01	56		15,484	2,757
Cineplex Inc.	Performance Share Units	Nelson, Gordon	5	2020-12-04	59		37,103	-1,115
Cineplex Inc.	Restricted Share Units	Nelson, Gordon	5	2020-12-04	59		13,833	-2,643
Cineplex Inc.	Performance Share Units	Stanghieri, Fabrizio	5	2020-12-04	59		18,688	-445
Cineplex Inc.	Restricted Share Units	Stanghieri, Fabrizio	5	2020-12-04	59		7,659	-1,054
Cineplex Inc.	Performance Share Units	Watts, Kevin David	5	2020-12-04	59		13,860	-333
Cineplex Inc.	Restricted Share Units	Watts, Kevin David	5	2020-12-04	59		7,298	-790
Cineplex Inc.	Deferred Share Units	Yaffe, Phyllis	4	2020-12-01	56		6,488	4,195
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2020-12-01	10	0.87	74,232	4,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2020-11-25	38	6.5521	1,400	1,400
Clarke Inc.	Common Shares	Clarke Inc.	1	2020-11-25	38	6.6	1,475	75
Clarke Inc.	Common Shares	Clarke Inc.	1	2020-11-26	38	6.5	3,375	1,900
Clarke Inc.	Common Shares	Clarke Inc.	1	2020-11-30	38	6.5	4,175	800
Clarke Inc.	Common Shares	Clarke Inc.	1	2020-12-01	38		0	-4,175
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-11-04	38	0.905	\$5,000	\$5,000
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-11-05	38	0.915	\$13,000	\$8,000
Clarke Inc.	Convertible	Clarke Inc.	1	2020-11-06	38	0.92	\$23,000	\$10,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
	Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)							
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-11-17	38	0.94	\$32,000	\$9,000
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-11-18	38	0.94	\$32,500	\$500
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-11-26	38	0.93	\$33,000	\$500
Clarke Inc.	Convertible Debentures Series B 6.25% Feb 28, 2023 (CKI.DB)	Clarke Inc.	1	2020-12-01	38		\$0	-\$33,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-11-27	51	0.4	100,000	100,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-11-27	10	1.328	50,000	-50,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-11-30	10	1.69	25,000	-25,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-12-03	10	1.59	15,000	-10,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-12-03	10	1.61	0	-15,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Options	Martin, John Howard	4	2020-11-27	51	0.35	25,000	-100,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2020-12-02	10	2.22	325,000	1,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2020-12-03	10	2.13	326,000	1,000
Co-operators General Insurance Company	Preferred Shares Class A Series B	Daniel, Kevin	7	2020-11-30	30	100	1,857	1
Co-operators General Insurance Company	Preferred Shares Class A Series B	Hanna, Paul	7	2020-11-30	30	100	1,688	1
COIN HODL INC. (formerly Malbex Resources Inc.)	Common Shares	DPS Capital Inc.	3	2020-11-27	10	0.2574	1,526,000	44,500
COIN HODL INC. (formerly Malbex Resources Inc.)	Common Shares	DPS Capital Inc.	3	2020-11-30	10	0.26	1,532,000	6,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2020-12-04	10	0.065	1,096,500	25,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2020-12-04	10	0.06	1,116,500	20,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.08	46,475	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.22	45,975	-500
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.36	45,875	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.4	45,675	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.43	45,575	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.45	45,375	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.51	45,275	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.53	45,075	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.67	44,875	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.79	44,775	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	115.92	44,675	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116	44,575	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.27	44,475	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.37	44,375	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.38	44,175	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.42	44,075	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.45	43,975	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.56	43,875	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.66	43,775	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.69	43,675	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.77	43,575	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.81	43,475	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.84	43,375	-100
COLLIERS	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.86	43,275	-100

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
INTERNATIONAL GROUP INC.	Shares							
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.89	43,175	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	116.97	43,075	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-26	10	117.92	42,975	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.27	42,944	-31
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.42	42,844	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.58	42,744	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.66	42,644	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.83	42,544	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.85	42,444	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.87	42,344	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.94	42,144	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.97	42,044	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	115.99	41,944	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.04	41,644	-300
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.15	41,544	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.17	41,444	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.18	41,344	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.21	41,244	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.34	41,144	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.36	41,044	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.37	40,844	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.43	40,744	-100
COLLIERS INTERNATIONAL	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.68	40,644	-100

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
GROUP INC.								
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Hemming, Robert	7	2020-11-27	10	116.7	40,544	-100
COLLIERS INTERNATIONAL GROUP INC.	Options	Strusievici, Mihai	5	2020-11-26	51	45	32,250	-1,875
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Strusievici, Mihai	5	2020-11-26	51	45	2,175	1,875
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Boesgaard, Lars Robert	5	2020-12-03	10	4.9618	49,476	-15,000
Computer Modelling Group Ltd.	Common Shares	Dedeluk, Kenneth Michael	4	2020-12-02	10	5.55	921,400	-10,000
Computer Modelling Group Ltd.	Common Shares	Dedeluk, Kenneth Michael	4	2020-12-04	10	5.6	911,400	-10,000
Computer Modelling Group Ltd.	Common Shares	Nghiem, Long X	5	2020-12-02	10	5.5	720,560	-2,500
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-11-30	10	0.58	1,997,750	-20,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-12-01	10	0.57	2,250,000	-24,250
Conic Metals Corp.	Common Shares	Vydra, Martin	5	2020-12-02	10	0.416	638,808	372,808
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-11-30	30	1.61	969,339	-500
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-11-30	30	1.55	962,639	-6,700
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-11-30	30	1.54	960,239	-2,400
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-11-30	30	1.55	960,039	-200
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-11-30	30	1.54	959,839	-200
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-12-01	30	1.58	959,639	-200
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-12-01	30	1.58	955,939	-3,700
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-12-01	30	1.57	952,339	-3,600
Conifex Timber Inc.	Common Shares	Shields, Kenneth A.	4, 5	2020-12-01	30	1.58	949,839	-2,500
Conquest Resources Limited	Options	Palframan, Peter	4	2019-12-30	50	0.125	200,000	200,000
Conquest Resources Limited	Options	Palframan, Peter	4	2019-12-31	50	0.05		500,000
Converge Technology Solutions Corp.	Common Shares	Berard, Greg	5	2020-12-04	10	3.75	515,940	3,847
Converge Technology Solutions Corp.	Common Shares	Cuthbertson, Donald Lawrence	5	2020-12-04	10	3.75	804,179	1,642
Converge Technology Solutions Corp.	Common Shares	Maine, Shaun	3, 4, 5	2020-12-04	10	3.75	10,917,993	9,288
Converge Technology Solutions Corp.	Common Shares	Maine, Shaun	3, 4, 5	2020-12-04	10	3.75		9,288
Converge Technology Solutions Corp.	Common Shares	Maine, Shaun	3, 4, 5	2020-12-04	10	3.75		9,288
Converge Technology Solutions Corp.	Common Shares	Reid, Cory	5	2020-12-04	10	3.75	409,002	2,546
Converge Technology Solutions Corp.	Common Shares	Smith, Carl Gilbert	5	2020-12-04	10	3.75	234,386	1,642
Copper Mountain Mining Corporation	Common Shares	Buchignani, Michele	4	2020-11-26	10	1.15	165,000	81,500
Copper Mountain Mining Corporation	Common Shares	Washington, William Albert	4	2020-11-26	10	1.15	425,000	100,000
Corsa Coal Corp.	Options	De'ath, Alan Michael	4	2020-11-10	52		312,500	-143,250
Corsa Coal Corp.	Options	Harrigan, Kevin Michael	5	2020-11-10	52		931,590	-195,000
Corsa Coal Corp.	Options	Merritts, Peter Van	4, 5	2020-11-10	52		888,022	-210,000
Corsa Coal Corp.	Options	Scott, Robert	4	2020-11-10	52		312,500	-131,750
Corsa Coal Corp.	Options	Stovash, Ronald G.	4	2020-11-10	52		312,500	-131,750
Corsa Coal Corp.	Options	Xia, Kai	4	2019-12-02	52		289,646	-45,000
Corsa Coal Corp.	Options	Xia, Kai	4	2020-11-10	52		152,146	-137,500
Cortus Metals Inc.	Common Shares	Teufeld, Jesse	5	2020-09-01	00		30,000	
Cortus Metals Inc.	Options	Teufeld, Jesse	5	2020-09-01	00		100,000	

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Cortus Metals Inc.	Warrants	Teufeld, Jesse	5	2020-09-01	00		30,000	
Cortus Metals Inc.	Options	Williamson, John	4	2020-12-02	99	0.15	388,000	300,000
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Belisle, Fernand	4	2020-11-30	30	2.89	56,249	1,144
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Belisle, Fernand	4	2020-11-30	56	4.29	62,222	5,973
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Boychuk, Michael T.	4	2020-11-30	30	2.89	39,623	806
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Boychuk, Michael T.	4	2020-11-30	56	4.29	45,305	5,682
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Carloss, Alexander Charles	4	2020-11-30	30	2.89	19,350	383
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Carloss, Alexander Charles	4	2020-11-30	56	4.29	25,982	6,632
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Coyles, Stephanie	4	2020-11-30	30	2.89	14,057	286
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Coyles, Stephanie	4	2020-11-30	56	4.29	19,156	5,099
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	D'Avella, Michael	4	2020-11-30	30	2.89	31,859	735
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	D'Avella, Michael	4	2020-11-30	56	4.29	37,541	5,682
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Deen, Sameer	4	2020-11-30	30	2.89	19,232	383
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Deen, Sameer	4	2020-11-30	56	4.29	25,864	6,632
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Hollinger, Mark Gehr	4	2020-11-30	30	2.89	22,200	442
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Hollinger, Mark Gehr	4	2020-11-30	56	4.29	29,856	7,656
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	James, Barry Lee	4	2020-11-30	30	2.89	16,467	335
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	James, Barry Lee	4	2020-11-30	56	4.29	22,440	5,973
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Roozen, Catherine M.	4	2020-11-30	30	2.89	119,823	2,437
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Roozen, Catherine M.	4	2020-11-30	56	4.29	125,796	5,973
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Shaw, Julie Marie	4, 6	2020-11-30	30	2.89	50,270	1,023
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Shaw, Julie Marie	4, 6	2020-11-30	56	4.29	56,243	5,973
Corvus Gold Inc.	Common Shares	LARGENT, RONALD	4	2020-11-24	51	0.77	175,000	100,000
Corvus Gold Inc.	Options	LARGENT, RONALD	4	2020-11-24	51	0.77	875,000	-100,000
Crescita Therapeutics Inc.	Options	Medina Ramirez, Ivonne	5	2020-11-02	00		15,000	
Crescita Therapeutics Inc.	Options	Medina Ramirez, Ivonne	5	2020-11-27	50	0.81	30,000	15,000
CRH Medical	Common Shares	CRH Medical	1	2020-11-02	38	2.6	4,572,878	2,400

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Corporation		Corporation						
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2020-11-04	38	2.7	4,575,378	2,500
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2020-11-05	38	3.06		2,500
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2020-11-06	38	3.06	4,577,878	2,500
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2020-11-10	38	3.17	4,578,778	900
Crown Capital Partners Inc.	Common Shares	Crown Capital Partners Inc.	1	2020-11-30	10	4.5777	12,200	12,200
Crown Capital Partners Inc.	Common Shares	Crown Capital Partners Inc.	1	2020-12-02	38		0	-12,200
Crown Mining Corp.	Options	Cole, George	4	2020-11-30	50	0.12	900,000	300,000
Crown Mining Corp.	Options	Cole, George	4	2020-12-06	52	0.15	800,000	-100,000
Crown Mining Corp.	Options	Dunn, Stephen Ronald	4, 5	2020-11-30	50	0.12	800,000	200,000
Crown Mining Corp.	Options	Fairbairn, James Neville	4	2020-11-30	50	0.12	700,000	200,000
Crown Mining Corp.	Options	Hughes, Stephen	4	2020-11-30	50		700,000	300,000
Crown Mining Corp.	Options	Morrow, Richey	4	2020-11-30	50	0.12	500,000	200,000
Crown Mining Corp.	Common Shares	Vydra, Martin	4	2020-11-30	00		500,000	
Crown Mining Corp.	Common Shares	Vydra, Martin	4	2020-11-30	53	0.1	1,000,000	500,000
Crown Mining Corp.	Common Shares	Vydra, Martin	4	2020-11-30	50	0.12	1,300,000	300,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Clateman, Peter Laurence	5	2020-12-01	36		306,543	-8,536
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Clateman, Peter Laurence	5	2020-12-01	36		172,536	8,536
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Derby, Peter	4	2020-12-01	36		0	-24,390
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Derby, Peter	4	2020-12-01	36		155,464	24,390
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Johansson, Karl	4	2020-12-01	36		0	-24,390
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Johansson, Karl	4	2020-12-01	36		41,552	24,390
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Jordan, Boris Alexis	3, 4, 5	2020-12-01	36		140,187	-162,602
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Jordan, Boris Alexis	3, 4, 5	2020-12-01	36		162,602	162,602
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-11-25	10	13.923	157,696	-10,662
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-11-24	10	12.913	5,195,328	-260,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-11-25	10	13.669	5,126,157	-69,171
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Lusardi, Joseph	4, 5	2020-11-25	36		237,748	-48,780
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Lusardi, Joseph	4, 5	2020-11-25	36		2,742,154	48,780
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Lusardi, Joseph	4, 5	2020-11-25	10	13.081	2,725,776	-16,378
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-03	56		637,847	193,847

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CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-03	56		1,414,847	777,000
CWC Energy Services Corp.	Restricted Share Units	Au, Duncan Tak-Yan	4, 5	2020-12-03	56		1,658,540	341,540
CWC Energy Services Corp.	Restricted Share Units	Au, Duncan Tak-Yan	4, 5	2020-12-03	56		3,296,540	1,638,000
CWC Energy Services Corp.	Restricted Share Units	Austin, Daryl George	4	2020-12-03	56		435,833	30,833
CWC Energy Services Corp.	Restricted Share Units	Austin, Daryl George	4	2020-12-03	56		905,833	470,000
CWC Energy Services Corp.	Restricted Share Units	Bentham, Gary Lambert	4	2020-12-03	56		315,000	45,000
CWC Energy Services Corp.	Restricted Share Units	Bentham, Gary Lambert	4	2020-12-03	56		785,000	470,000
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2020-12-03	56		637,847	193,847
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2020-12-03	56		1,414,847	777,000
CWC Energy Services Corp.	Restricted Share Units	Dubois, Michael	5	2020-12-03	56		1,635,000	861,000
CWC Energy Services Corp.	Restricted Share Units	Dubois, Michael	5	2020-12-03	56		1,828,847	193,847
CWC Energy Services Corp.	Restricted Share Units	McGowan, Wade John	4	2020-12-03	56		257,501	44,167
CWC Energy Services Corp.	Restricted Share Units	McGowan, Wade John	4	2020-12-03	56		727,501	470,000
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2020-12-04	57	0.135	955,666	30,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2020-12-03	56		1,564,834	945,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2020-12-03	56		1,777,141	212,307
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2020-12-04	57			-30,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2020-12-04	57	0.135	1,747,141	-30,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-12-04	10	0.13	14,894,500	60,500
DeepRock Minerals Inc.	Common Shares	Shatto, Richard	4	2020-11-24	16	0.03	555,000	500,000
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Fogarassy, Josef Anthony Steve	4	2020-12-04	10	0.05	1,243,100	-143,000
Denison Mines Corp.	Options	Cates, David Daniel	4, 5	2020-11-09	52		4,556,564	-200,000
Desert Mountain Energy Corp.	Options	Rohlfing, Jenaya	4	2020-08-09	00			
Desert Mountain Energy Corp.	Options	Rohlfing, Jenaya	4	2020-08-14	50	0.66	150,000	150,000
Desert Mountain Energy Corp.	Options	Rohlfing, Jenaya	4	2020-10-28	50	1.76	225,000	75,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-11-27	10	0.58	2,111,934	2,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-12-04	10	0.65	2,116,934	5,000
Diagnos Inc.	Common Shares	Massue, Marc-Andr�	5	2020-12-01	10	0.59	5,000	-5,000
Diagnos Inc.	Common Shares	Massue, Marc-Andr�	5	2020-12-03	10	0.64	0	-5,000
DigiCrypts Blockchain Solutions Inc.	Options	Carl, Chris	3, 5	2020-09-22	50	0.05	700,000	500,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-11-30	38	12.24	662,900	100
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-12-03	38	12.208	663,300	400
Diversified Royalty Corp.	Common Shares	Morrison, Sean	5	2020-12-01	57	2251		2,251
Diversified Royalty Corp.	Common Shares	Morrison, Sean	5	2020-12-01	57		646,881	2,251
Diversified Royalty Corp.	Restricted Share Units (Common	Morrison, Sean	5	2020-12-01	57			-4,841

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Diversified Royalty Corp.	Shares) Restricted Share Units (Common Shares)	Morrison, Sean	5	2020-12-01	57		108,836	-2,251
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	Morrison, Sean	5	2020-12-01	59		106,246	-2,590
Dolly Varden Silver Corporation	Common Shares	Birak, Donald James	4	2015-07-20	00			
Dolly Varden Silver Corporation	Common Shares	Birak, Donald James	4	2020-11-23	51	0.3	75,000	75,000
Dolly Varden Silver Corporation	Options	Birak, Donald James	4	2020-10-23	51	0.3	325,000	-75,000
Dolly Varden Silver Corporation	Options	Birak, Donald James	4	2020-11-23	51	0.3		-75,000
Dolly Varden Silver Corporation	Options	Birak, Donald James	4	2020-11-23	51	0.3		-75,000
Dolly Varden Silver Corporation	Options	Birak, Donald James	4	2020-11-23	51	0.3		-75,000
Dolly Varden Silver Corporation	Common Shares	Hecla Mining Company	3	2020-11-20	11	0.89	13,869,729	807,846
Draganfly Inc.	Restricted Share Units	Aasen, Olen John	4	2020-12-03	56		291,667	125,000
Draganfly Inc.	Restricted Share Units	Silva, Denis	4	2020-12-03	56		291,667	125,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-05	38	5.422	5,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-06	38	5.5582	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-09	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-09	38	5.7584	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-10	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-10	38	5.802	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-11	38	5.8692	15,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-12	38		10,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-12	38	5.812	15,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-13	38		10,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-13	38		5,000	-5,000
Dream Impact Trust	Units	Dream Hard Asset	1	2020-11-13	38	5.8734	10,000	5,000

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(formerly Dream Hard Asset Alternatives Trust)		Alternatives Trust						
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-16	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-16	38	6.0042	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-17	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-17	38	6.0008	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-18	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-18	38	6.1032	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-19	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-19	38	6.0528	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-20	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-20	38	5.9866	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-23	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-23	38	6.009	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-24	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-24	38	5.9808	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-25	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-25	38	5.976	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-26	38		5,000	-5,000
Dream Impact Trust	Units	Dream Hard Asset	1	2020-11-26	38	6.0246	10,000	5,000

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(formerly Dream Hard Asset Alternatives Trust)		Alternatives Trust						
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-27	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-27	38	6.0362	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-30	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-11-30	38	6.0396	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-12-01	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Hard Asset Alternatives Trust	1	2020-12-02	38		0	-5,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-02	38	17.7	129,128	64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-03	38	18.239	129,128	64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-04	38		64,564	-64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-04	38	18.418	129,128	64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-05	38		64,564	-64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-05	38	18.545	122,628	58,064
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-06	38		58,064	-64,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-06	38	18.406	120,628	62,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-09	38		62,564	-58,064
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-10	38		0	-62,564
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-26	38	21.439	51,764	51,764
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-27	38	21.524	97,128	45,364
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-30	38		45,364	-51,764
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-11-30	38	21.261	108,728	63,364
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-12-01	38		63,364	-45,364

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Estate Investment Trust		Estate Investment Trust						
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2020-12-02	38		0	-63,364
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-16	38	18.515	25,412	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-17	38	18.838	50,824	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-18	38		25,412	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-18	38	18.999	169,896	144,484
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-19	38		144,484	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-19	38	18.895	151,196	6,712
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-20	38		6,712	-144,484
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-20	38	19.058	7,424	712
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-23	38		712	-6,712
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-23	38	19.242	26,124	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-24	38		25,412	-712
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-24	38	19.42	50,824	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-25	38		25,412	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-25	38	19.501	50,824	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-26	38		25,412	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-26	38	19.57	37,724	12,312
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-27	38		12,312	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-27	38	19.458	37,724	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-30	38		25,412	-12,312
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-11-30	38	19.43	50,824	25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-12-01	38		25,412	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2020-12-02	38		0	-25,412
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	STARKMAN, DEBORAH JOANNE	5	2020-10-05	00			
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	STARKMAN, DEBORAH JOANNE	5	2020-12-01	10	19.735	10,170	10,170
Dundee Corporation	Subordinate Voting Shares Class A	Molson, Andrew	4	2015-06-09	00			
Dundee Corporation	Subordinate Voting Shares Class A	Molson, Andrew	4	2020-11-25	10	1.4683	75,000	75,000
Dundee Precious Metals Inc.	Common Shares	Donovan, Jaimie	4	2020-12-04	10	8.67	1,000	1,000
E3 Metals Corp.	Options	Lappin, Elizabeth Mary	5	2020-11-30	51	0.43	125,000	25,000
E3 Metals Corp.	Options	Lappin, Elizabeth Mary	5	2020-12-04	51	0.43	100,000	-25,000
E79 Resources Corp.	Common Shares	Quinn, Rory	5	2020-09-25	00		2,000,000	
E79 Resources Corp.	Common Shares	Quinn, Rory	5	2020-12-01	11	0.45	2,055,556	55,556
Echelon Financial Holdings Inc.	Common Shares	Wallace, Dennis Murray	4	2020-10-09	00		79,000	
Echelon Financial	Common Shares	Wallace, Dennis	4	2020-11-17	10	1.36	107,800	28,800

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Holdings Inc.		Murray						
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2017-08-10	00			
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-17	38	22.05	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-17	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-21	38	22.34	100	100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-21	38		0	-100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-22	38	22.3	1,100	1,100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-22	38		0	-1,100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-23	38	22.14	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-23	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-24	38	22.2	700	700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-24	38		0	-700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-25	38	22.34	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-25	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-28	38	22.1	900	900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-28	38		0	-900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-29	38	22.07	900	900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-29	38		0	-900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-30	38	22.3	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-09-30	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-01	38	22.25	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-01	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-05	38	22.15	100	100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-05	38		0	-100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-06	38	22.2	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-06	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-07	38	22.25	1,100	1,100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-07	38		0	-1,100
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-08	38	22.52	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-08	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-09	38	22.72	700	700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-09	38		0	-700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-13	38	23	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-13	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-14	38	23.1	800	800
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-14	38		0	-800
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-19	38	23.25	900	900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-19	38		0	-900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-22	38	23.14	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-22	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-23	38	23	600	600
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-23	38		0	-600
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-26	38	23.03	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-26	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-28	38	22.75	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-10-28	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-02	38	22.7	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-02	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-03	38	22.5	500	500
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-03	38		0	-500
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-05	38	22.52	400	400
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-05	38		0	-400
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-06	38	22.55	200	200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-06	38		0	-200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-09	38	22.56	200	200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-09	38		0	-200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-16	38	22.98	900	900
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-16	38		0	-900

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-18	38	23	1,000	1,000
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-18	38		0	-1,000
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-24	38	23.19	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-24	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-25	38	23.2	1,200	1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-25	38		0	-1,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-26	38	23.15	700	700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-26	38		0	-700
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-30	38	22.5	79,200	79,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-30	38			-79,200
ECN Capital Corp.	Preferred Shares A	ECN CAPITAL CORP.	1	2020-11-30	38		0	-79,200
ECN Capital Corp.	Preferred Shares C	ECN CAPITAL CORP.	1	2017-08-10	00			
ECN Capital Corp.	Preferred Shares C	ECN CAPITAL CORP.	1	2020-09-17	38	21.49	157,200	157,200
ECN Capital Corp.	Preferred Shares C	ECN CAPITAL CORP.	1	2020-09-17	38		0	-157,200
ECN Capital Corp.	Preferred Shares C	ECN CAPITAL CORP.	1	2020-11-30	38	22	82,000	82,000
ECN Capital Corp.	Preferred Shares C	ECN CAPITAL CORP.	1	2020-11-30	38		0	-82,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-11-17	51		13,379,561	559,407
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-11-23	10		13,329,561	-50,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-11-24	10		13,297,661	-31,900
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-11-25	10		13,189,861	-107,800
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-11-26	10		13,044,861	-145,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-12-02	10		12,876,861	-168,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-12-03	10		12,820,154	-56,707
ECN Capital Corp.	Options	Hudson, Steven Kenneth	4, 5	2020-11-17	51		4,407,887	-559,407
ECN Capital Corp.	Common Shares	Lovatt, William Wayne	4	2020-11-16	51		800,000	100,000
ECN Capital Corp.	Options	Lovatt, William Wayne	4	2020-11-16	51		0	-100,000
ECN Capital Corp.	Common Shares	Stoyan, Paul James	4	2020-11-30	51		544,489	6,149
ECN Capital Corp.	Common Shares	Stoyan, Paul James	4	2020-12-02	51	1.66	550,322	5,833
ECN Capital Corp.	Common Shares	Stoyan, Paul James	4	2020-12-02	51	2.87	550,638	316
ECN Capital Corp.	Options	Stoyan, Paul James	4	2020-11-30	51		106,190	-6,149
ECN Capital Corp.	Options	Stoyan, Paul James	4	2020-12-02	51	1.66	100,357	-5,833
ECN Capital Corp.	Options	Stoyan, Paul James	4	2020-12-02	51	2.87	100,041	-316
Economic Investment Trust Limited	Common Shares	Economic Investment Trust Limited	1	2020-11-11	10	100	200	200
Economic Investment Trust Limited	Common Shares	Economic Investment Trust Limited	1	2020-11-30	38		0	-200
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2020-11-30	30	15.25	1,460	32
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2020-11-30	30	15.25	3,635	81
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2020-11-30	30	15.25	24,411	273
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2020-11-30	30	15.25	7,806	84
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2020-11-30	30	15.25	1,524	141
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2020-11-30	30	15.25	3,775	84
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-09-07	00			
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-11-10	50	0.5		75,000
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-11-10	50	0.6		75,000
Element 29 Resources	Options	Betteridge, Angela	5	2020-11-10	50	0.5	75,000	75,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Inc.								
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-10-29	00			
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-10-29	50	0.5	150,000	150,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	11	0.01	1	1
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2018-06-22	16	0.1	300,001	300,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-09-09	35	0.5		810,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-09-09	35	0.3	1,110,001	810,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-03	15	0.5	1,130,001	20,000
Element 29 Resources Inc.	Options	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Options	Osmond, Richard	4	2020-06-25	50	0.3	200,000	200,000
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2020-12-03	15	0.7	10,000	10,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-02	38	36.662	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-02	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-03	38	37.086	20,000	20,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-03	38		0	-20,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-04	38	37.494	20,000	20,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-04	38		0	-20,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-05	38	37.591	16,300	16,300
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-05	38		0	-16,300
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-06	38	38.139	10,000	10,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-06	38		0	-10,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-09	38	36.938	40,000	40,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-09	38		0	-40,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-10	38	36.641	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-10	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-11	38	36.314	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-11	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-12	38	36.921	21,400	21,400
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-12	38		0	-21,400
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-13	38	36.656	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-13	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-16	38	36.384	30,000	30,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Limited	Class A	Limited						
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-16	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-17	38	36.46	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-17	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-18	38	36.142	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-18	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-19	38	36.053	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-19	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-20	38	36.026	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-20	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-23	38	36.121	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-23	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-24	38	36.103	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-24	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-25	38	35.979	30,000	30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-25	38		0	-30,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-26	38	35.502	40,000	40,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-26	38		0	-40,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-27	38	35.667	21,317	21,317
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2020-11-27	38		0	-21,317
Empire Industries Ltd.	Options	Dietrich, Guy	4	2020-11-25	00			
Empire Industries Ltd.	Options	Dietrich, Guy	4	2020-11-25	50		500,000	500,000
enCore Energy Corp.	Common Shares	Cherry, Richard	4	2020-11-26	10	0.46	270,000	-25,000
Endeavour Mining Corporation	Common Shares	Carroll, Morgan Denis	5	2020-11-30	10	30.63	92,129	-39,948
Endeavour Mining Corporation	Common Shares	de Montessus, SObastien	4, 5	2020-06-03	10	32	638,102	-23,000
Endeavour Mining Corporation	Common Shares	de Montessus, SObastien	4, 5	2020-06-09	10	32	619,102	-19,000
Enterprise Group, Inc.	Common Shares	Enterprise Group, Inc.	1	2020-11-25	38	0.175	350,000	350,000
Enterprise Group, Inc.	Common Shares	Enterprise Group, Inc.	1	2020-11-25	38	0.175	0	-350,000
Entree Resources Ltd.	Common Shares	Stylianides, Anna	4	2020-12-01	36		192,171	75,000
Entree Resources Ltd.	Options	Stylianides, Anna	4	2020-12-01	51	0.28	775,000	-75,000
Erdene Resource Development Corporation	Common Shares	Mosher, David Vaughn	4	2020-12-02	11	0.16	712,067	50,000
Erdene Resource Development Corporation	Options	Mosher, David Vaughn	4	2020-12-02	51	0.16	600,000	-50,000
Ero Copper Corp.	Common Shares	Wubs, Matthew Harley	4	2020-12-03	10		1,749,935	-206,000
Ethos Gold Corp.	Options Director and Employee stock options	Heath, Alexandre Nicolas	5	2020-11-09	50			1,000,000
Ethos Gold Corp.	Options Director and Employee stock options	Heath, Alexandre Nicolas	5	2020-11-09	50		1,000,000	1,000,000

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Ethos Gold Corp.	Options Director and Employee stock options	Murphy, Michael Darren	4	2020-11-05	50	0.2		250,000
Ethos Gold Corp.	Options Director and Employee stock options	Murphy, Michael Darren	4	2020-11-05	50	0.22	850,000	250,000
Ethos Gold Corp.	Options Director and Employee stock options	Roberts, Craig A.	4, 5	2020-11-05	50	0.2		1,000,000
Ethos Gold Corp.	Options Director and Employee stock options	Roberts, Craig A.	4, 5	2020-11-05	50	0.22	2,100,000	1,000,000
Ethos Gold Corp.	Options Director and Employee stock options	VAN ALPHEN, HENDRIK	4	2020-11-05	50	0.2		250,000
Ethos Gold Corp.	Options Director and Employee stock options	VAN ALPHEN, HENDRIK	4	2020-11-05	50	0.22	1,000,000	250,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-10-29	38	11.612	5,500	5,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-10-29	38		0	-5,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-10-30	38	11.601	5,000	5,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-10-30	38		0	-5,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-02	38	11.941	5,990	5,990
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-02	38		0	-5,990
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-03	38	11.954	5,200	5,200
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-03	38		0	-5,200
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-04	38	11.803	5,990	5,990
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-04	38		0	-5,990
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-05	38	11.713	5,900	5,900
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-05	38		0	-5,900
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-06	38	11.728	1,600	1,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-06	38		0	-1,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-09	38	12.007	1,400	1,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-11-09	38		0	-1,400
Excellon Resources Inc.	Common Shares	Ladd-Kruger, Anna	4	2020-12-01	10	1.55	13,000	-9,000
Exelerate Capital Corp. (formerly Exelerate Health Inc.)	Common Shares	Boyd, Michael Manford	4	2020-11-11	00			
Exelerate Capital Corp. (formerly Exelerate Health Inc.)	Common Shares	Boyd, Michael Manford	4	2020-11-11	00			
Exelerate Capital Corp. (formerly Exelerate Health Inc.)	Common Shares	Boyd, Michael Manford	4	2020-11-11	00		50,000	
Extencicare Inc.	Common Shares	Barazzuol, Renzo	6	2020-11-30	10	6.75	5,318,000	15,000
Extencicare Inc.	Common Shares	Barazzuol, Renzo	6	2020-12-01	10	6.625	5,328,000	10,000
Extencicare Inc.	Common Shares	GILL, NAVDEEP KAUR	6	2020-11-30	10	6.75	5,318,000	15,000
Extencicare Inc.	Common Shares	GILL, NAVDEEP KAUR	6	2020-12-01	10	6.625	5,328,000	10,000

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Extencicare Inc.	Common Shares	Manji, Salim	6	2020-11-30	10	6.75	5,318,000	15,000
Extencicare Inc.	Common Shares	Manji, Salim	6	2020-12-01	10	6.625	5,328,000	10,000
Extencicare Inc.	Common Shares	Manji, Samir Aziz	4	2020-11-30	10	6.75	5,318,000	15,000
Extencicare Inc.	Common Shares	Manji, Samir Aziz	4	2020-12-01	10	6.625	5,328,000	10,000
Extencicare Inc.	Common Shares	Sandpiper Asset Management Inc.	3	2020-11-30	10	6.75	5,318,000	15,000
Extencicare Inc.	Common Shares	Sandpiper Asset Management Inc.	3	2020-12-01	10	6.625	5,328,000	10,000
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Common Shares	Lessard, Luc	4, 5	2020-12-02	51	0.25	1,783,003	356,732
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Options	Lessard, Luc	4, 5	2020-12-02	51	0.25	3,024,851	-356,732
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-03	38	3.18	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-03	38		0	-4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-04	38	3.18	2,241	2,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-04	38		0	-2,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-05	38	3.14	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-05	38		0	-4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-06	38	3.3	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-06	38		0	-4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-12	38	3.35	4,200	4,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-12	38		0	-4,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-18	38	3.35	2,000	2,000
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-18	38		0	-2,000
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-19	38	3.35	2,000	2,000
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-19	38		0	-2,000
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-19	38	3.3	2,241	2,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-19	38		0	-2,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-20	38	3.25	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-20	38		0	-4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-23	38	3.3	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-23	38		0	-4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-24	38	3.29	100	100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-24	38		0	-100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-24	38	3.3	4,141	4,141
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-24	38		0	-4,141
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-25	38	3.3	2,000	2,000
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-25	38		0	-2,000

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FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-25	38	3.25	2,200	2,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-25	38		0	-2,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-26	38	3.2	4,241	4,241
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2020-11-26	38		0	-4,241
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-08-24	10	0.1	17,990,811	1,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-08-27	10	0.1	18,039,811	49,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-09-01	10	0.095	18,041,811	2,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-09-02	10	0.095	18,079,811	38,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-09-04	10	0.075	18,119,811	40,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-10-02	10	0.07	18,169,811	50,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-10-16	10	0.075	18,190,811	21,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-10-22	10	0.095	18,240,811	50,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-11-30	10	0.1	18,440,811	200,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-12-01	10	0.1	20,040,811	1,600,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-12-02	10	0.11	20,115,811	75,000
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-17	38	10.68	105,600	2,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-18	38	10.83	108,400	2,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-20	38	10.81	113,400	5,000
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-20	38	10.8	114,900	1,500
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-20	38	10.79	118,300	3,400
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-20	38	10.77	118,600	300
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-20	38	10.78	120,300	1,700
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-23	38	10.87	179,500	59,200
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-23	38	10.85	179,600	100
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	10.91	211,300	31,700
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	10.97	211,500	200
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	10.97	212,600	1,100
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.02	213,400	800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.06	215,300	1,900
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.07	223,400	8,100
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.05	225,200	1,800

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Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.06	227,300	2,100
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.08	230,500	3,200
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-24	38	11.09	235,600	5,100
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-25	38	10.85	239,900	4,300
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-25	38	10.78	240,400	500
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-25	38	10.83	241,400	1,000
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-25	38	10.87	245,800	4,400
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-25	38	10.89	246,200	400
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2020-11-26	38	10.85	246,400	200
Filo Mining Corp.	Common Shares	Lundin, Adam Ian	4, 5	2020-11-30	10	1.8	284,000	1,500
Filo Mining Corp.	Common Shares	Lundin, Adam Ian	4, 5	2020-12-01	10	1.9	284,800	800
Filo Mining Corp.	Common Shares	Lundin, Adam Ian	4, 5	2020-12-02	10	1.9	292,500	7,700
Firm Capital Property Trust	Options	BLEDIN, GEOFFREY	4	2020-12-01	50	6.75	155,000	20,000
Firm Capital Property Trust	Options	Dadouch, Eli	4, 5	2020-12-01	50	6.75	770,000	80,000
Firm Capital Property Trust	Options	Goldfarb, Jeff	4	2020-12-01	50	6.75	125,000	20,000
Firm Capital Property Trust	Options	Goldfarb, Stanley	4	2020-12-01	50	6.75	155,000	20,000
Firm Capital Property Trust	Options	Granovski, Victoria Shali	4	2020-12-01	50	6.75	125,000	20,000
Firm Capital Property Trust	Options	Mair, Jonathon	4, 5	2020-12-01	50	6.75	185,000	20,000
Firm Capital Property Trust	Options	McKee, Robert	4, 5	2020-12-01	50	6.75	260,000	40,000
Firm Capital Property Trust	Options	Perrotta, Julio Eduard	5	2019-09-30	00			
Firm Capital Property Trust	Options	Perrotta, Julio Eduard	5	2020-12-01	50	6.75	10,000	10,000
Firm Capital Property Trust	Options	Poklar, Sandy Ivan	4, 5	2020-12-01	50	6.75	260,000	40,000
Firm Capital Property Trust	Options	Shulman, Lawrence Morley	4	2020-12-01	50	6.75	155,000	20,000
Firm Capital Property Trust	Options	Smuschkowitz, Howard	5	2020-12-01	50	6.75	155,000	20,000
Firm Capital Property Trust	Options	WALT, MANFRED	4	2020-12-01	50	6.75	155,000	20,000
Firm Capital Property Trust	Units	WALT, MANFRED	4	2020-12-04	10	4.2		4,200
Firm Capital Property Trust	Units	WALT, MANFRED	4	2020-12-04	10	6.2	231,911	4,200
First Majestic Silver Corp.	Common Shares	Figuerola, Jose Luis	5	2020-12-03	51	8.21	25,000	25,000
First Majestic Silver Corp.	Common Shares	Figuerola, Jose Luis	5	2020-12-03	10	14.51	0	-25,000
First Majestic Silver Corp.	Options	Figuerola, Jose Luis	5	2020-12-03	51	8.21	100,000	-25,000
First Majestic Silver	Common Shares	Lopez, Ana	4	2020-11-30	10	13.38	8,865	8,300

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Corp.		Magdalena						
First Majestic Silver Corp.	Common Shares	Lopez, Ana Magdalena	4	2020-11-30	10	13.37	11,115	2,250
First Majestic Silver Corp.	Common Shares	Lopez, Ana Magdalena	4	2020-11-30	10	13.365	12,415	1,300
First National Financial Corporation	Common Shares	First National Securities Corporation	3	2020-12-03	47	38.85	14,917,319	-9,653
First National Financial Corporation	Common Shares	FNSC Holdings Inc.	3	2020-12-03	10	38.85	7,492,036	9,653
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2020-12-03	47	38.85	14,917,319	-9,653
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2020-12-03	10	38.85	7,492,036	9,653
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-01	51		55,827	18,946
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-01	10	19.16	36,881	-18,946
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-02	51		55,827	18,946
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-02	10	19.2	36,881	-18,946
First Quantum Minerals Ltd	Options	Wozniak, Zenon	5	2020-12-01	51		187,233	-18,946
First Quantum Minerals Ltd	Options	Wozniak, Zenon	5	2020-12-02	51		168,287	-18,946
FIRSTSERVICE CORPORATION	Options	Calder, Brendan	4	2020-12-02	50	140.03	24,800	4,000
FIRSTSERVICE CORPORATION	Options	Cooke, Douglas G.	5	2020-12-02	50	140.03	157,300	2,300
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-03	51	5000		5,000
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-03	51	39.29	35,714	5,000
FIRSTSERVICE CORPORATION	Options	Ghert, Bernard I.	4	2020-12-02	50	140.03	44,000	4,000
FIRSTSERVICE CORPORATION	Options	Ghert, Bernard I.	4	2020-12-03	51	39.29	39,000	-5,000
FIRSTSERVICE CORPORATION	Common Shares	Hennick, Jay Steward	3, 4, 6, 5	2015-06-01	00			
FIRSTSERVICE CORPORATION	Common Shares	Hennick, Jay Steward	3, 4, 6, 5	2020-11-30	11		1,025,694	1,025,694
FIRSTSERVICE CORPORATION	Common Shares	Hennick, Jay Steward	3, 4, 6, 5	2020-11-30	11		0	-1,025,694
FIRSTSERVICE CORPORATION	Common Shares	Hennick, Jay Steward	3, 4, 6, 5	2020-11-30	11		600,000	600,000
FIRSTSERVICE CORPORATION	Common Shares	Hennick, Jay Steward	3, 4, 6, 5	2020-11-30	11		203,215	-600,000
FIRSTSERVICE CORPORATION	Options	Nguyen, Alex	5	2020-12-02	50	140.03	194,600	2,100
FIRSTSERVICE CORPORATION	Options	Patterson, D. Scott	4, 5	2020-12-02	50	140.03	650,000	25,000
FIRSTSERVICE CORPORATION	Options	Rakusin, Jeremy Alan	5	2020-12-02	50	140.03	248,800	3,800
FIRSTSERVICE CORPORATION	Options	Reichheld, Frederick	4	2020-12-02	50	140.03	30,400	4,000
FIRSTSERVICE CORPORATION	Options	Sproul, Joan Eloise	4	2020-12-02	50	140.03	27,250	4,000
FIRSTSERVICE CORPORATION	Options	Wallace, Erin Joy	4	2020-12-02	50	140.03	39,000	4,000
Flexwork Properties Ltd.	Common Shares	Ahmed, Kabir (Shah Alam Ahmed Kabir)	3, 4, 5	2020-11-30	16	0.02	4,799,633	2,013,700
Foran Mining Corporation	Options	March, Roger Bursell	5	2020-04-03	50	0.09	655,000	175,000
Foran Mining Corporation	Common Shares	Morcombe, Darren James	4	2020-11-26	16	0.175	14,829,785	1,714,285
Foran Mining	Options	Morcombe, Darren	4	2020-04-03	50	0.09	1,730,000	250,000

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Corporation		James						
Foran Mining Corporation	Common Shares	MYERSON, DANIEL	4, 5	2020-11-26	16	0.175	5,051,000	4,000,000
Foran Mining Corporation	Options	Petroff, David Michael	4	2020-04-03	50	0.09	685,000	125,000
Foran Mining Corporation	Options	Tagami, Maurice Alan	4	2020-04-03	50	0.09	605,000	125,000
Foran Mining Corporation	Options	Thiessen, Tim	5	2020-04-03	50	0.09	795,000	175,000
Fortis Inc.	Common Shares	Amaimo, Stephanie Ann	5	2020-12-01	30	52.732	2,609	24
Fortis Inc.	Performance Share Unit	Amaimo, Stephanie Ann	5	2020-12-01	30	52.732	8,982	85
Fortis Inc.	Restricted Share Units	Amaimo, Stephanie Ann	5	2020-12-01	30	52.732	2,089	20
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Amaimo, Stephanie Ann	5	2020-12-01	30		904	9
Fortis Inc.	Common Shares	Avery, Julie Madge	5	2020-12-01	30	52.732	2,481	26
Fortis Inc.	Deferred Share Unit	Ball, Tracey Colleen	4	2020-12-01	30	52.732	22,126	210
Fortis Inc.	Deferred Share Unit	Blouin, Pierre J.	4	2020-12-01	30	52.732	18,642	177
Fortis Inc.	Deferred Share Unit	Bonavia, Paul	4	2020-12-01	30	52.732	6,656	63
Fortis Inc.	Deferred Share Unit	Borgard, Lawrence	4	2020-12-01	30	52.732	9,649	92
Fortis Inc.	Deferred Share Unit	Clark, Maura	4	2020-12-01	30	52.732	16,012	152
Fortis Inc.	Deferred Share Unit	Dilley, Margarita	4	2020-12-01	30	52.732	13,543	128
Fortis Inc.	Deferred Share Unit	Dobson, Julie	4	2020-12-01	30	52.732	6,656	63
Fortis Inc.	Common Shares	Duke, Nora	5	2020-12-01	30	52.732	110,179	358
Fortis Inc.	Performance Share Unit	Duke, Nora	5	2020-12-01	30	52.732	43,072	409
Fortis Inc.	Restricted Share Units	Duke, Nora	5	2020-12-01	30	52.732	6,693	64
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Duke, Nora	5	2020-12-01	30		5,575	53
Fortis Inc.	Common Shares	Ernst, Albert	7	2020-12-01	30	52.732	10,277	93
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-12-01	30	52.732	26,756	72
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-12-01	30	51.678	26,950	194
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-12-01	30	51.678	1,169	11
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-12-01	30	51.678	122	1
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-12-01	30	51.678	122	1
Fortis Inc.	Performance Share Unit	Gosse, Karen J.	5	2020-12-01	30	52.732	5,255	50
Fortis Inc.	Restricted Share Units	Gosse, Karen J.	5	2020-12-01	30	52.732	1,832	17
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Gosse, Karen J.	5	2020-12-01	30		794	7
Fortis Inc.	Deferred Share Unit	Haughey, Douglas J.	4	2020-12-01	30	52.732	41,553	394
Fortis Inc.	Common Shares	Hollett, Lindsay	5	2020-12-01	30	52.732	2,102	311
Fortis Inc.	Common Shares	Holloway, Gretchen	7	2020-12-01	30	52.732	7,771	23
Fortis Inc.	Common Shares	Hutchens, David Gerard	7	2020-12-01	30	52.732	63,891	5
Fortis Inc.	Performance Share Unit	Hutchens, David Gerard	7	2020-12-01	30	52.732	63,357	601
Fortis Inc.	Performance Share Units (UNS)	Hutchens, David Gerard	7	2020-12-01	30	52.732	62,058	589
Fortis Inc.	Restricted Share Units	Hutchens, David Gerard	7	2020-12-01	30	52.732	3,144	30
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Hutchens, David Gerard	7	2020-12-01	30		14,410	137
Fortis Inc.	Restricted Share Units (UNS)	Hutchens, David Gerard	7	2020-12-01	30	52.732	31,029	295
Fortis Inc.	Common Shares	Laurito, James P.	5	2020-12-01	30	52.732	6,407	58

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Fortis Inc.	Performance Share Units (CH)	Laurito, James P.	5	2020-12-01	30	52.732	84,050	797
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Laurito, James P.	5	2020-12-01	30		7,523	72
Fortis Inc.	Restricted Share Units (CH)	Laurito, James P.	5	2020-12-01	30	52.732	9,494	90
Fortis Inc.	Common Shares	McCarthy, Karen	5	2020-12-01	30	52.732	1,477	15
Fortis Inc.	Common Shares	McCarthy, Karen	5	2020-12-01	30	52.732	94	1
Fortis Inc.	Performance Share Unit	McCarthy, Karen	5	2020-12-01	30	52.732	1,869	17
Fortis Inc.	Restricted Share Units	McCarthy, Karen	5	2020-12-01	30	52.732	397	4
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	McCarthy, Karen	5	2020-12-01	30		537	5
Fortis Inc.	Common Shares	O'Dea, Regan	5	2020-12-01	30	52.732	5,009	51
Fortis Inc.	Performance Share Unit	O'Dea, Regan	5	2020-12-01	30	52.732	3,748	35
Fortis Inc.	Restricted Share Units	O'Dea, Regan	5	2020-12-01	30	52.732	1,298	13
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	O'Dea, Regan	5	2020-12-01	30		576	6
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2020-12-01	30	52.732	290,333	246
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2020-12-01	30	52.732	31,995	197
Fortis Inc.	Performance Share Unit	Perry, Barry	4, 5	2020-12-01	30	52.732	213,189	2,023
Fortis Inc.	Restricted Share Units	Perry, Barry	4, 5	2020-12-01	30	52.732	32,483	308
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Perry, Barry	4, 5	2020-12-01	30		26,724	254
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2020-12-01	30	52.732	14,742	154
Fortis Inc.	Performance Share Unit	Perry, Jocelyn	5	2020-12-01	30	52.732	43,306	410
Fortis Inc.	Restricted Share Units	Perry, Jocelyn	5	2020-12-01	30	52.732	9,996	95
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Perry, Jocelyn	5	2020-12-01	30		6,761	64
Fortis Inc.	Common Shares	Reid, James	5	2020-12-01	30	52.732	8,533	27
Fortis Inc.	Common Shares	Reid, James	5	2020-12-01	30	51.678	8,547	14
Fortis Inc.	Common Shares	Reid, James	5	2020-12-01	30	51.678	8,581	34
Fortis Inc.	Common Shares	Reid, James	5	2020-12-01	30	51.678	3,914	10
Fortis Inc.	Common Shares	Reid, James	5	2020-12-01	30	51.678	3,927	13
Fortis Inc.	Performance Share Unit	Reid, James	5	2020-12-01	30	52.732	39,719	377
Fortis Inc.	Restricted Share Units	Reid, James	5	2020-12-01	30	52.732	6,693	64
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Reid, James	5	2020-12-01	30		5,575	53
Fortis Inc.	Common Shares	Roberts, Jamie	7	2020-12-01	30	52.732	59,812	108
Fortis Inc.	Common Shares	Roberts, Jamie	7	2020-12-01	30	51.678	60,205	393
Fortis Inc.	Common Shares	Roberts, Jamie	7	2020-12-01	30	51.678	60,291	86
Fortis Inc.	Performance Share Unit	Roberts, Jamie	7	2020-12-01	30	52.732	8,647	82
Fortis Inc.	Restricted Share Units	Roberts, Jamie	7	2020-12-01	30	52.732	3,029	29
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Roberts, Jamie	7	2020-12-01	30		1,294	13
Fortis Inc.	Common Shares	Smith, Gary Joseph	7	2020-12-01	30	52.732	10,611	111
Fortis Inc.	Performance Share	Smith, Gary Joseph	7	2020-12-01	30	52.732	38,384	364

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	Unit							
Fortis Inc.	Restricted Share Units	Smith, Gary Joseph	7	2020-12-01	30	52.732	6,264	59
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Smith, Gary Joseph	7	2020-12-01	30		5,272	50
Fortis Inc.	Deferred Share Unit	Zurel, Jo Mark	4	2020-12-01	30	52.732	12,670	120
Freshii Inc.	Subordinate Voting Shares Class A	Smith, Stephen A.	4	2020-12-03	10	1.68	17,000	7,000
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	2020-12-03	54	0.27	412,500	62,500
FRONTIER LITHIUM INC.	Warrants	Didone, John Ralph	4	2020-12-03	54	0.27	75,000	-62,500
Galaxy Digital Holdings Ltd.	Common Shares	Englebardt, Samuel Eli	7, 5	2020-12-02	10	6.2059	164,999	-76,600
Galaxy Digital Holdings Ltd.	Common Shares	Englebardt, Samuel Eli	7, 5	2020-12-03	10	6.2082	92,599	-72,400
Galaxy Digital Holdings Ltd.	Common Shares	Englebardt, Samuel Eli	7, 5	2020-12-04	10	6.0125	81,699	-10,900
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Prithipaul, Ashwin Kumar	5	2020-11-30	36		35,593	-54,708
Galaxy Digital Holdings Ltd.	Common Shares	Prithipaul, Ashwin Kumar	5	2019-09-30	00			
Galaxy Digital Holdings Ltd.	Common Shares	Prithipaul, Ashwin Kumar	5	2020-11-30	36		54,708	54,708
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Wasserman, Gregory	7, 5	2020-11-27	36		355,932	-533,942
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-11-27	36		558,942	533,942
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-11-27	51	6.06		222,683
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-11-27	51	6.06		222,683
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-11-27	51	6.06	999,942	441,000
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-11-27	59		781,625	-218,317
Galaxy Digital Holdings Ltd.	Options	Wasserman, Gregory	7, 5	2020-11-27	51	6.06		-441,000
Galaxy Digital Holdings Ltd.	Options	Wasserman, Gregory	7, 5	2020-11-27	51	6.06		-441,000
Galaxy Digital Holdings Ltd.	Options	Wasserman, Gregory	7, 5	2020-11-27	51	6.06	441,000	-441,000
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-11-30	10	6.46	444,560	-4,000
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-12-01	10	6.58	443,960	-600
Gallagher Security Corp.	Common Shares	Cheung, Ryan	4	2020-11-26	47		55,397	-800,000
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2020-11-30	10	0.85	1,967,668	10,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-12-03	10	1.18	14,258,519	5,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-12-04	10	1.17	14,263,519	5,000
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-02	38	4.5104	5,200	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-03	38	4.5623	7,800	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-04	38	4.6162	10,400	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-05	38	4.7277		2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-05	38	4.7277	12,600	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-06	38	5.0996	15,200	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-09	38	5.2	17,800	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-10	38	5.5385	20,400	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-11	38	5.775	23,000	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-12	38	5.9	25,600	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-13	38	5.5185	28,200	2,600

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Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-16	38	5.68	29,200	1,000
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-17	38	5.7565	31,800	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-18	38	5.7712	34,400	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-19	38	5.8097	48,800	14,400
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-24	38	5.95	50,100	1,300
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-25	38	5.96	52,700	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-26	38	5.9046	55,300	2,600
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-27	38	5.93	57,100	1,800
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-30	38	5.8733	58,000	900
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2020-11-30	38		2,700	-55,300
GameSquare Esports Inc.	Options	Bozoki, Paul Sandor	5	2020-11-25	50	0.48	350,000	150,000
GameSquare Esports Inc.	Options	Bozoki, Paul Sandor	5	2020-11-25	52	0.61	150,000	-200,000
GameSquare Esports Inc.	Options	Colson, Maurice	4	2020-11-25	50	0.48	450,000	250,000
GameSquare Esports Inc.	Options	Craig, Armitage	4	2020-10-02	00			
GameSquare Esports Inc.	Options	Craig, Armitage	4	2020-11-25	50	0.48	250,000	250,000
GameSquare Esports Inc.	Options	Said, Neil	4, 5	2020-11-25	50	0.48	518,181	150,000
GameSquare Esports Inc.	Options	Wright, Kevin	4, 5	2020-10-02	00			
GameSquare Esports Inc.	Options	Wright, Kevin	4, 5	2020-11-25	50	0.48	325,000	325,000
Gear Energy Ltd.	Common Shares	Wang, Wilson	4	2020-12-02	10	0.235	748,605	20,000
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-02	38	1.487	30,240	2,640
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-04	38	1.41	30,380	140
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-05	38	1.4	32,020	1,640
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-09	38	1.44	34,120	2,100
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-12	38	1.4994	39,160	5,040
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-13	38	1.51	40,200	1,040
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-13	38	1.6455	41,740	1,540
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-16	38	1.683	42,880	1,140
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-18	38	1.9042	46,720	3,840
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-19	38	1.8808	50,360	3,640
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-20	38	1.9206	54,000	3,640
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-23	38	1.9762	56,340	2,340
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-24	38	2.2197	59,380	3,040
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-25	38	2.1474	64,420	5,040
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-26	38	2.1567	69,460	5,040
Genesis Land Development Corp.	Common Shares	Genesis Land Development Corp.	1	2020-11-27	38	2.1864	71,000	1,540
Genesis Land Development Corp.	Common Shares	Mitchell, Garfield Robert	3	2020-11-30	11	2.11	19,762,720	1,273,800
Genesis Land Development Corp.	Common Shares	Owen, Loudon	4	2020-11-30	11	2.11	0	-1,273,800
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-02	10	0.215	1,793,186	1,000

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GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-04	10	0.18	1,796,186	3,000
Genworth MI Canada Inc.	Deferred Share Units	Bolger, Andrea Elaine	7	2020-11-30	35	43.76	6,778	82
Genworth MI Canada Inc.	Performance Share Unit	Ferguson, Natalie	7	2020-11-30	35	43.76	403	5
Genworth MI Canada Inc.	Restricted Share Units	Ferguson, Natalie	7	2020-11-30	35	43.76	1,159	14
Genworth MI Canada Inc.	Deferred Share Units	Giffen, Sharon	4	2020-11-30	35	43.76	5,185	64
Genworth MI Canada Inc.	Executive DSU	Hewat, Mary-Jo	5	2020-11-30	35	43.76	1,222	15
Genworth MI Canada Inc.	Performance Share Unit	Hewat, Mary-Jo	5	2020-11-30	35	43.76	6,605	80
Genworth MI Canada Inc.	Restricted Share Units	Hewat, Mary-Jo	5	2020-11-30	35	43.76	2,080	25
Genworth MI Canada Inc.	Deferred Share Units	Horn, Sidney M.	4	2020-11-30	35	43.76	55,040	671
Genworth MI Canada Inc.	Restricted Share Units	Kubisheski, Mark	7	2020-11-30	35	43.76	924	11
Genworth MI Canada Inc.	Performance Share Unit	Levings, Stuart Kendrick	4	2020-11-30	35	43.76	37,794	461
Genworth MI Canada Inc.	Restricted Share Units	Levings, Stuart Kendrick	4	2020-11-30	35	43.76	18,897	230
Genworth MI Canada Inc.	Performance Share Unit	Macdonell, Winsor James	5	2020-11-30	35	43.76	7,727	94
Genworth MI Canada Inc.	Restricted Share Units	Macdonell, Winsor James	5	2020-11-30	35	43.76	3,863	47
Genworth MI Canada Inc.	Common Shares	Maguire, Elise	7	2020-12-01	30	43.62	730	-410
Genworth MI Canada Inc.	Restricted Share Units	Maguire, Elise	7	2020-11-30	35	43.76	1,945	23
Genworth MI Canada Inc.	Common Shares	Mayers, Philip Adrian Virgil	5	2020-11-30	35	43.76	16,745	2
Genworth MI Canada Inc.	Executive DSU	Mayers, Philip Adrian Virgil	5	2020-11-30	35	43.76	26,748	326
Genworth MI Canada Inc.	Performance Share Unit	Mayers, Philip Adrian Virgil	5	2020-11-30	35	43.76	13,597	166
Genworth MI Canada Inc.	Restricted Share Units	Mayers, Philip Adrian Virgil	5	2020-11-30	35	43.76	6,798	83
Genworth MI Canada Inc.	Executive DSU	McPherson, Deborah Lynn	5	2020-11-30	35	43.76	7,255	89
Genworth MI Canada Inc.	Performance Share Unit	McPherson, Deborah Lynn	5	2020-11-30	35	43.76	7,844	96
Genworth MI Canada Inc.	Restricted Share Units	McPherson, Deborah Lynn	5	2020-11-30	35	43.76	3,920	48
Genworth MI Canada Inc.	Deferred Share Units	Parkinson, Neil Reginald	4	2020-11-30	35	43.76	6,217	76
Genworth MI Canada Inc.	Performance Share Unit	Piroli, Robert John	5	2020-11-30	35	43.76	2,038	25
Genworth MI Canada Inc.	Restricted Share Units	Piroli, Robert John	5	2020-11-30	35	43.76	2,038	25
Genworth MI Canada Inc.	Common Shares	Spitali, Jim	5	2020-11-30	35	43.76	5,212	6
Genworth MI Canada Inc.	Performance Share Unit	Spitali, Jim	5	2020-11-30	35	43.76	4,593	56
Genworth MI Canada Inc.	Restricted Share Units	Spitali, Jim	5	2020-11-30	35	43.76	2,712	33
Genworth MI Canada Inc.	Common Shares	Sweeney, Craig	5	2020-11-30	35	43.76	13,595	52
Genworth MI Canada Inc.	Performance Share Unit	Sweeney, Craig	5	2020-11-30	35	43.76	6,727	82
Genworth MI Canada Inc.	Restricted Share Units	Sweeney, Craig	5	2020-11-30	35	43.76	3,363	41
Genworth MI Canada Inc.	Performance Share Unit	Todorovic, Zorica	5	2020-11-30	35	43.76	1,596	20

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Genworth MI Canada Inc.	Restricted Share Units	Todorovic, Zorica	5	2020-11-30	35	43.76	3,867	47
Genworth MI Canada Inc.	Deferred Share Units	Walker, John Logan	4	2020-11-30	35	43.76	22,775	277
Genworth MI Canada Inc.	Performance Share Unit	Williams, Aaron James Glyndwr	7	2020-11-30	35	43.76	2,022	24
Genworth MI Canada Inc.	Restricted Share Units	Williams, Aaron James Glyndwr	7	2020-11-30	35	43.76	2,022	24
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-10-21	38		2,600	-16,700
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-02	38	1.89	15,200	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-03	38	1.91	17,800	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-04	38	1.91	20,400	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-05	38	1.9	22,700	2,300
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-05	38	1.9	23,000	300
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-06	38	1.93	25,600	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-09	38	1.88	26,100	500
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-10	38	1.9	28,700	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-11	38	1.92	31,300	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-12	38	1.9	33,900	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-13	38	1.82	36,500	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-13	38		23,900	-12,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-16	38	1.79	26,500	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-18	38	1.75	29,100	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-18	38		5,200	-23,900
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-19	38	1.76	7,800	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-23	38	1.75	10,400	2,600
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-24	38	1.75	10,900	500
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-27	38	1.71	11,300	400
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-11-30	38	1.66	11,700	400
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-12-03	38		0	-11,700
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-12-02	10	1.66	7,909,300	-26,000
Geomega Resources Inc.	Common Shares	Silvestro, Matthew Christopher	4	2020-06-03	00			
Geomega Resources Inc.	Common Shares	Silvestro, Matthew Christopher	4	2020-12-01	10	0.205	45,000	45,000
Gildan Activewear Inc.	Equity Swap - Long Position (Common Shares)	Gildan Activewear Inc.	1	1998-06-10	00			
Gildan Activewear Inc.	Equity Swap - Long Position (Common Shares)	Gildan Activewear Inc.	1	2020-11-25	70		1	1
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2020-11-30	38	12.89	5,401,505	100
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-11-27	38	13.45	1,191,500	300
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-11-30	38	13.535	1,191,900	400
Global Li-Ion Graphite Corp.	Common Shares	Watson, Geoff	4, 5	2020-11-30	10	0.145	283,334	-25,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-11-25	10	0.13	29,223,201	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-11-27	10	0.13	29,225,201	2,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-11-30	10	0.14	29,227,201	2,000
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	2020-11-30	38		0	-13,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ali Khan, Mir Farhan	5	2020-09-14	00			
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ali Khan, Mir Farhan	5	2020-12-04	10	86.94	1,041	1,041
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ali Khan, Mir Farhan	5	2020-12-04	10	87.18	1,188	1,095

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easyhome Ltd.)								
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ali Khan, Mir Farhan	5	2020-09-14	00			
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ali Khan, Mir Farhan	5	2020-12-04	10	87.11	370	370
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Appel, David Harry	4	2020-11-30	56	88.55	68,137	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Basian, Karen	4	2020-11-30	56	88.55	25,238	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Deakin, Tara	4	2020-11-30	56	88.55	427	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Doniz, Susan	4	2020-11-30	56	88.55	5,337	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Johnson, Donald Kenneth	3, 4	2020-11-30	56	88.55	77,964	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Moore, James	4	2020-11-30	56	88.55	485	38
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Morrison, Sean	4	2020-11-30	56	88.55	11,681	38
Gold Standard Ventures Corp.	Common Shares	Attew, Jason Mark	4, 5	2020-12-02	00			
Gold Standard Ventures Corp.	Common Shares	Attew, Jason Mark	4, 5	2020-12-02	57		292,740	292,740
Gold Standard Ventures Corp.	Options	Attew, Jason Mark	4, 5	2020-12-02	00			
Gold Standard Ventures Corp.	Options	Attew, Jason Mark	4, 5	2020-12-02	50		1,400,000	1,400,000
Gold Standard Ventures Corp.	Options	Attew, Jason Mark	4, 5	2020-12-02	50		1,600,000	200,000
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	Attew, Jason Mark	4, 5	2020-12-02	00			
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	Attew, Jason Mark	4, 5	2020-12-02	56		292,740	292,740
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	Attew, Jason Mark	4, 5	2020-12-02	57		0	-292,740
Golden Independence Mining Corp.	Options	Doulis, Christos	5	2020-11-30	00		400,000	
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2020-12-04	10	0.13	601,000	6,000
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2020-11-30	10	0.135	3,289,878	12,500
GoldHaven Resources Corp. (formerly Altum Resource Corp.)	Common Shares	Schieber, Gerhard Daniel	4	2020-11-30	10	0.42	420,000	10,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Ballesta, Gloria	4	2020-11-26	57	2.79	24,152	1,576
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Ballesta, Gloria	4	2020-11-26	57		0	-1,576
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	DAWSON, GARNET L.	4, 5	2020-11-26	57	2.79	215,111	27,695
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	DAWSON, GARNET L.	4, 5	2020-11-26	57		0	-27,695
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-11-26	57	2.79	20,782	1,641
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-11-26	10	2.8	19,382	-1,400
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-12-02	10	2.92	17,382	-2,000

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GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-12-02	10	2.91	12,682	-4,700
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-12-02	10	2.915	12,382	-300
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Dhaliwal, Herb	4	2020-11-26	57		0	-1,641
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Garnero, Mario Bernardo	4	2020-11-26	57	2.79	53,000	1,500
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Garnero, Mario Bernardo	4	2020-11-26	57		0	-1,500
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-26	57	2.79	885,670	22,835
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-26	10	2.8	880,670	-5,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-27	10	2.78	875,670	-5,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-27	10	2.77	873,670	-2,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-30	10	2.665	868,670	-5,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Obara, Pat	5	2020-11-30	10	2.7	863,670	-5,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Obara, Pat	5	2020-11-26	57		0	-22,835
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Pereira Neto, Paulo Valle	5	2020-11-26	57	2.79	714,166	18,583
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Pereira Neto, Paulo Valle	5	2020-11-26	57		0	-18,583
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2020-11-25	10	2.3	64,069	-2,500
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Common Shares	Fonseca, Marcio Bastos	4	2020-11-25	54	0.25	2,870,489	28,312
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Warrants	Fonseca, Marcio Bastos	4	2018-03-06	00		28,312	
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Warrants	Fonseca, Marcio Bastos	4	2020-11-25	54		0	-28,312
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Common Shares	woolfe, trevor ian	5	2020-11-26	54	0.25	716,125	68,182
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Warrants	woolfe, trevor ian	5	2020-11-26	54	0.25	0	-68,182
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2020-12-03	30	0.29	136,111	9,516
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2020-12-03	30	0.29	53,292	4,198
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2020-12-03	30	0.29	206,961	13,434

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Gran Tierra Energy Inc.	Common Shares	Mah, Glen	5	2020-12-03	30	0.37	14,220	2,687
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2020-12-03	30	0.29	96,079	6,717
Great Canadian Gaming Corporation	Common Shares	Buchanan, Bryan Robert William	5	2020-11-18	30	32.2	689	174
Great Canadian Gaming Corporation	Common Shares	Buchanan, Bryan Robert William	5	2020-11-18	30	38.61	0	-689
Great Canadian Gaming Corporation	Common Shares	Buchanan, Bryan Robert William	5	2020-12-03	51	24.07	3,334	3,334
Great Canadian Gaming Corporation	Common Shares	Buchanan, Bryan Robert William	5	2020-12-03	10	36.95	0	-3,334
Great Canadian Gaming Corporation	Options	Buchanan, Bryan Robert William	5	2020-12-03	51	24.07	0	-3,334
Great Canadian Gaming Corporation	Common Shares	Newsome, Matthew Alexander	5	2020-11-27	51	24.07	15,251	12,000
Great Canadian Gaming Corporation	Common Shares	Newsome, Matthew Alexander	5	2020-11-27	10	38.348	3,251	-12,000
Great Canadian Gaming Corporation	Options	Newsome, Matthew Alexander	5	2020-11-27	51	24.07	0	-12,000
Great Canadian Gaming Corporation	Common Shares	Roberts, Christopher Merrill	8	2020-12-04	30	24.07	37,500	35,000
Great Canadian Gaming Corporation	Common Shares	Roberts, Christopher Merrill	8	2020-12-04	10	38	2,500	-35,000
Great Canadian Gaming Corporation	Options	Roberts, Christopher Merrill	8	2020-12-04	51	24.07	0	-35,000
Green Thumb Industries Inc.	Rights Restricted Share Units	Berger, Wendy Alison	4	2020-12-01	56		110,494	4,090
Green Thumb Industries Inc.	Rights Restricted Share Units	Gruver, William Rolfe	4	2020-12-01	56		42,629	4,090
Green Thumb Industries Inc.	Rights Restricted Share Units	Moore, Westley Watende Omari	4	2020-12-01	56		82,638	2,921
Green Thumb Industries Inc.	Rights Restricted Share Units	Senk, Glen Todd	4	2020-12-01	56		85,494	4,090
Green Thumb Industries Inc.	Rights Restricted Share Units	Yemenidjian, Alejandro	4	2020-12-01	56		2,921	2,921
Greencastle Resources Ltd.	Common Shares	Greencastle Resources Ltd.	1	2020-11-12	38	0.08	276,000	1,000
Greencastle Resources Ltd.	Common Shares	Roodenburg, Anthony Ralph	4, 5	2020-12-04	10	0.11	6,120,449	2,000
Greencastle Resources Ltd.	Common Shares	Roodenburg, Anthony Ralph	4, 5	2020-12-04	10	0.12	6,130,449	10,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-11-27	10	0.105	29,321,266	10,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-12-03	10	0.12	29,331,266	10,000
Guardian Capital Group Limited	Non-Voting Shares Class A	Mavroudis, George	4, 5	2020-12-02	57		1,000	1,000
Guardian Capital Group Limited	Rights Stock Appreciation	Mavroudis, George	4, 5	2020-12-02	57		799,091	-1,000
Gunpowder Capital Corp.	Common Shares	Kordy, Frank	4	2019-06-11	10	0.05		972,222
Gunpowder Capital Corp.	Common Shares	Kordy, Frank	4	2019-06-11	10	0.05	114,351	81,018
Hamilton Thorne Ltd.	Common Shares	Potter, Robert J	4	2020-11-30	10	1.01	107,000	20,000
Hammond Power Solutions Inc.	Rights Deferred Share Units	David, FitzGibbon	4	2020-12-01	56		18,003	1,394
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2020-12-01	56		24,182	1,394
Hammond Power Solutions Inc.	Rights Deferred Share Units	HAMMOND, BILL	6	2020-12-01	56		25,349	1,917
Hammond Power Solutions Inc.	Rights Deferred Share Units	HUETHER, CHRIS	5	2020-12-01	56		24,819	1,917
Hammond Power Solutions Inc.	Rights Deferred Share Units	Jaques, Frederick Maurice	4	2020-12-01	56		27,579	1,394
Hammond Power	Rights Deferred	MACADAM, DON	4	2020-12-01	56		18,003	1,394

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Solutions Inc.	Share Units							
Hammond Power Solutions Inc.	Rights Deferred Share Units	Robinson, Grant Cameron	4	2020-12-01	57		20,785	1,394
HANWEI ENERGY SERVICES CORP.	Options	Kwan, Graham Richard	4, 5	2020-11-13	52	0.1	2,900,000	-300,000
HANWEI ENERGY SERVICES CORP.	Options	LANG, FULAI	3, 4, 5	2020-11-13	52	0.1	2,250,000	-200,000
HANWEI ENERGY SERVICES CORP.	Options	MAI, XIN RAN	5	2020-11-13	52	0.1	2,825,000	-150,000
HANWEI ENERGY SERVICES CORP.	Options	Paine, William George	4	2020-11-13	52	0.1	2,250,000	-200,000
HANWEI ENERGY SERVICES CORP.	Options	Yan, Joanne	6	2020-11-13	52	0.1	2,500,000	-200,000
Hapbee Technologies, Inc.	Rights Restricted Stock Unit	Matysik, Michael	4	2020-01-21	00			
Hapbee Technologies, Inc.	Rights Restricted Stock Unit	Matysik, Michael	4	2020-01-21	00		225,000	
Hapbee Technologies, Inc.	Options	Timm, Mark	4	2020-10-26	00			
Hapbee Technologies, Inc.	Options	Timm, Mark	4	2020-11-25	56		450,000	450,000
Hapbee Technologies, Inc.	Rights Restricted Stock Unit	Timm, Mark	4	2020-10-26	00			
Hapbee Technologies, Inc.	Rights Restricted Stock Unit	Timm, Mark	4	2020-11-25	58 - Expiration of rights		450,000	450,000
Hapbee Technologies, Inc.	Subordinate Voting Shares	Timm, Mark	4	2020-10-26	00		225,000	
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Subordinate Voting Shares	Albert, Kevin K.	4	2020-11-24	00		547,477	
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Multiple Voting Shares	Sturner, Andrew	4	2020-11-24	00		3,855	
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Multiple Voting Shares	Sturner, Andrew	4	2020-11-24	00		4,096	
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Multiple Voting Shares	Sturner, Andrew	4	2020-11-24	00		964	
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Subordinate Voting Shares	Sturner, Andrew	4	2020-11-24	00		268,000	
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Chow, Tse Yeung Henry	4	2017-10-06	00			
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Chow, Tse Yeung Henry	4	2020-11-30	51	0.125	160,000	160,000
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Chow, Tse Yeung Henry	4	2020-11-30	11	0.125	80,000	-80,000
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Options	Chow, Tse Yeung Henry	4	2020-11-30	51	0.125	90,000	-160,000
Harte Gold Corp.	Restricted Share Units (RSUs)	Gagnon, Daniel Arvin	5	2020-09-21	00		1,486,486	
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Common Shares	Cenovus Energy Inc.	3	2020-12-02	00			
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Common Shares	Cenovus Energy Inc.	3	2020-12-02	16		50,000,000	50,000,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Warrants	Cenovus Energy Inc.	3	2020-12-02	00			

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Resources Inc.)								
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Warrants	Cenovus Energy Inc.	3	2020-12-02	16		15,000,000	15,000,000
Healthcare Special Opportunities Fund	Trust Units Class A Units	LDIC Inc.	3	2020-12-03	10	12.889	2,427,610	-880
HealthSpace Data Systems Ltd.	Options	Elsdon, Sheryl	5	2020-12-04	37		37,500	-262,500
HealthSpace Data Systems Ltd.	Common Shares	Garrison, Silas	4	2020-12-04	37		441,083	-3,087,588
HealthSpace Data Systems Ltd.	Common Shares	Garrison, Silas	4	2020-12-04	37		51,419	-359,934
HealthSpace Data Systems Ltd.	Options	Garrison, Silas	4	2020-12-04	37		93,750	-656,250
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Garrison, Silas	4	2020-12-04	37		412,500	-2,887,500
HealthSpace Data Systems Ltd.	Warrants	Garrison, Silas	4	2020-12-04	37		123,125	-861,875
HealthSpace Data Systems Ltd.	Common Shares	Hakimzadeh, Ali	3, 4	2020-12-04	37		248,833	-1,741,833
HealthSpace Data Systems Ltd.	Common Shares	Hakimzadeh, Ali	3, 4	2020-12-04	37		257,071	-1,799,500
HealthSpace Data Systems Ltd.	Common Shares	Hakimzadeh, Ali	3, 4	2020-12-04	37		413,633	-2,895,436
HealthSpace Data Systems Ltd.	Common Shares	Hakimzadeh, Ali	3, 4	2020-12-04	37		217,463	-1,522,242
HealthSpace Data Systems Ltd.	Common Shares	Hakimzadeh, Ali	3, 4	2020-12-04	37		178,750	-1,251,250
HealthSpace Data Systems Ltd.	Options	Hakimzadeh, Ali	3, 4	2020-12-04	37		112,500	-787,500
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Hakimzadeh, Ali	3, 4	2020-12-04	37		62,500	-437,500
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Hakimzadeh, Ali	3, 4	2020-12-04	37		193,750	-1,356,250
HealthSpace Data Systems Ltd.	Warrants	Hakimzadeh, Ali	3, 4	2020-12-04	37		23,125	-161,875
HealthSpace Data Systems Ltd.	Warrants	Hakimzadeh, Ali	3, 4	2020-12-04	37		28,750	-201,250
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.64	493,750	18,750
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.08	343,750	-150,000
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	1.2	362,500	18,750
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.15	212,500	-150,000
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.8	225,000	12,500
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.1	125,000	-100,000
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.4	128,125	3,125
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.05	103,125	-25,000
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.64	109,375	6,250
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2020-12-04	37	0.08	59,375	-50,000
HealthSpace Data Systems Ltd.	Options	Mohan, Alnesh	4	2020-12-04	37		68,750	-481,250
HealthSpace Data Systems Ltd.	Options	Redcliffe, Mark	4	2020-12-04	37		62,500	-437,500
HealthSpace Data Systems Ltd.	Common Shares	Willmott, Joseph Douglas	4, 5	2020-12-04	37		578,767	-4,051,373
HealthSpace Data Systems Ltd.	Options	Willmott, Joseph Douglas	4, 5	2020-12-04	37		156,250	-1,093,750

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HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Willmott, Joseph Douglas	4, 5	2020-12-04	37		81,250	-568,750
HealthSpace Data Systems Ltd.	Warrants	Willmott, Joseph Douglas	4, 5	2020-12-04	37		28,750	-201,250
Heatherdale Resources Ltd.	Common Shares	McLeod, Robert John	4, 5	2020-12-01	10	0.944	1,779,495	3,500
Heatherdale Resources Ltd.	Common Shares	McLeod, Robert John	4, 5	2020-12-01	10	0.95	1,779,995	500
Heatherdale Resources Ltd.	Common Shares	Neale, Susan	5	2020-08-20	00		3,046,947	
Heatherdale Resources Ltd.	Common Shares	Neale, Susan	5	2020-08-31	37		609,389	-2,437,558
Heatherdale Resources Ltd.	Common Shares	Neale, Susan	5	2020-12-02	10	1.03	613,389	4,000
Heatherdale Resources Ltd.	Options	Neale, Susan	5	2020-08-20	00			
Heatherdale Resources Ltd.	Options	Neale, Susan	5	2020-09-09	50		170,000	170,000
Heatherdale Resources Ltd.	Common Shares	Weymark, Ryan William	5	2020-12-01	10	0.98	618,289	4,500
Hello Pal International Inc.	Common Shares	Gang, Zhou	4, 5	2020-12-02	16	0.14	12,216,299	4,256,000
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-16	38	0.91	9,000	9,000
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-16	38		0	-9,000
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-17	38	0.8595	27,500	27,500
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-17	38		0	-27,500
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-18	38	0.9181	8,000	8,000
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-18	38		0	-8,000
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-19	38	0.9757	3,500	3,500
High Arctic Energy Services Inc.	Common Shares	High Arctic Energy Services Inc., High Arctic Energy Services Inc.	1	2020-11-19	38		0	-3,500
High Tide Inc.	Options	Ajajian, Vahan	5	2020-11-03	00			
High Tide Inc.	Options	Ajajian, Vahan	5	2020-11-25	50	0.2	750,000	750,000
High Tide Inc.	Options	Grover, Harkirat	5	2020-11-25	38	0.5	0	-1,000,000
High Tide Inc.	Options	Grover, Harkirat	5	2020-11-25	50	0.2	1,500,000	1,500,000
High Tide Inc.	Common Shares	Kanji, Rahim	5	2019-05-27	00			
High Tide Inc.	Common Shares	Kanji, Rahim	5	2020-11-30	46	0.17	73,529	73,529
High Tide Inc.	Options	Kanji, Rahim	5	2020-11-25	38	0.5	0	-500,000
High Tide Inc.	Options	Kanji, Rahim	5	2020-11-25	50	0.2	750,000	750,000
High Tide Inc.	Common Shares	Kaushal, Nitin	4	2020-11-30	46	0.17	349,673	294,118
High Tide Inc.	Options	Kaushal, Nitin	4	2020-11-25	38	0.5	500,000	-500,000
High Tide Inc.	Options	Kaushal, Nitin	4	2020-11-25	38	0.5	0	-500,000
High Tide Inc.	Options	Kaushal, Nitin	4	2020-11-25	50	0.2	1,000,000	1,000,000
High Tide Inc.	Common Shares	Kwan, Arthur	4	2020-11-30	46	0.17	1,039,673	294,118

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High Tide Inc.	Options	Kwan, Arthur	4	2020-11-25	38	0.5	500,000	-500,000
High Tide Inc.	Options	Kwan, Arthur	4	2020-11-25	38	0.5	0	-500,000
High Tide Inc.	Options	Kwan, Arthur	4	2020-11-25	50	0.2	1,000,000	1,000,000
High Tide Inc.	Common Shares	Palalas, Andreas - Alexander	5	2020-11-30	46	0.17	331,671	176,471
High Tide Inc.	Options	Palalas, Andreas - Alexander	5	2020-11-25	38	0.5	0	-500,000
High Tide Inc.	Options	Palalas, Andreas - Alexander	5	2020-11-25	50	0.2	750,000	750,000
High Tide Inc.	Common Shares	Posen, Binyomin Yehuda	4	2019-07-24	00			
High Tide Inc.	Common Shares	Posen, Binyomin Yehuda	4	2020-11-30	46	0.17	187,241	187,241
Huntington Exploration Inc.	Common Shares	Verhelst, Robert Joseph	4, 5	2020-11-26	16	0.05	2,519,833	1,000,000
Huntington Exploration Inc.	Units warrants	Verhelst, Robert Joseph	4, 5	2020-11-26	16	0.05	2,487,500	1,000,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-20	10	1.32	3,246,658	-47,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-23	10	1.3242	3,031,658	-215,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-24	10	1.526	2,836,658	-195,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-25	10	1.55	2,831,658	-5,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-01	10	1.7375	2,671,658	-160,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-02	10	1.69	2,422,458	-249,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.74	2,227,358	-195,100
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.77	2,226,958	-400
IBC Advanced Alloys Corp.	Common Shares	Jarvis, Jerry Michael	4	2020-11-20	46	0.1705	441,628	190,625
IMAX Corporation	Common Shares	DOLCI, GIOVANNI M.	5	2020-12-01	57		6,251	484
IMAX Corporation	Common Shares	DOLCI, GIOVANNI M.	5	2020-12-01	38	15.13	6,021	-230
IMAX Corporation	Rights Restricted Share Unit	DOLCI, GIOVANNI M.	5	2020-12-01	57		16,479	-484
IMAX Corporation	Common Shares	WEISSMAN, KENNETH	5	2020-12-01	57		8,687	867
IMAX Corporation	Common Shares	WEISSMAN, KENNETH	5	2020-12-01	38	15.13	8,392	-295
IMAX Corporation	Rights Restricted Share Unit	WEISSMAN, KENNETH	5	2020-12-01	57		19,399	-867
IMAX Corporation	Common Shares	Welton, Mark	5	2020-12-01	57		28,698	5,199
IMAX Corporation	Common Shares	Welton, Mark	5	2020-12-01	38	15.13	25,914	-2,784
IMAX Corporation	Rights Restricted Share Unit	Welton, Mark	5	2020-12-01	57		127,888	-5,199
IMPACT Silver Corp.	Common Shares	Davidson, Frederick William	4, 6, 5	2020-12-01	10	0.94	517,750	-10,000
Imperial Metals	Common Shares	Imperial Metals	1	2020-11-04	38	3.07	44,679	3,000

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Corporation		Corporation						
Imperial Metals Corporation	Common Shares	Imperial Metals Corporation	1	2020-11-25	30	1.4843	34,203	-10,476
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2020-11-25	47	0.5	0	-62,602
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	51	0.5	995,000	190,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	51	0.5	1,105,000	110,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,095,000	-10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,075,000	-20,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,055,000	-20,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,065,000	10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,082,000	17,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-11-30	10		1,077,500	-4,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,093,000	15,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,100,000	7,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,095,000	-5,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,075,000	-20,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,095,000	20,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		1,099,000	4,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		1,074,000	-25,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		1,084,000	10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		89,500	-10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		84,500	-5,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		74,500	-10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		67,000	-7,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		62,000	-5,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		54,500	-7,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-01	10		44,500	-10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		37,000	-7,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		29,500	-7,500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		19,500	-10,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-02	10		9,500	-10,000
Inca One Gold Corp.	Options	HART, Kevin Ryan	5	2020-11-30	51	0.5	310,000	-190,000
Inca One Gold Corp.	Options	HART, Kevin Ryan	5	2020-11-30	51	0.5	200,000	-110,000
Inca One Gold Corp.	Options	Kelly, Edward John	4	2020-11-30	51	0.5	3,410,000	110,000
Inca One Gold Corp.	Options	Kelly, Edward John	4	2020-11-30	51	0.5	3,600,000	190,000
InMed Pharmaceuticals Inc.	Common Shares	Colwill, Bruce	5	2020-06-30	37		1,515	-48,485
InMed Pharmaceuticals Inc.	Common Shares	Hull, Andrew Harold	4	2020-06-30	37		18,939	-606,061
InMed Pharmaceuticals Inc.	Options	Hull, Andrew Harold	4	2020-06-30	37		32,425	-1,037,575
Innergex Renewable Energy Inc.	Common Shares	Beaty, Ross J.	4	2020-11-27	47	25.33	5,051,000	-1,000,000
Innergex Renewable Energy Inc.	Common Shares	Beaty, Ross J.	4	2020-11-27	47	25.33	2,349,327	1,000,000
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	De Silva, Janet	4	2013-05-08	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	De Silva, Janet	4	2020-12-03	16	134.5	400	400
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Fortin, Anne	5	2013-12-01	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Fortin, Anne	5	2020-12-03	16	134.5	350	350
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Gagnon, Louis	5	2007-01-22	00			
Intact Financial Corporation	Subscription Receipts - December	Gagnon, Louis	5	2020-12-03	16	134.5	2,000	2,000

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	2020 (brokered)							
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Girard, Isabelle	5	2020-03-25	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Girard, Isabelle	5	2020-12-03	16	134.5	300	300
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Kinney, Jane Elizabeth	4	2019-05-08	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Kinney, Jane Elizabeth	4	2020-12-03	16	134.5	300	300
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Martel, Lucie	5	2011-09-23	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Martel, Lucie	5	2020-12-03	16	134.5	750	750
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Penner, Timothy Herbert	4	2010-05-05	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Penner, Timothy Herbert	4	2020-12-03	16	134.5	3,700	3,700
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Stephenson, Carol M.	4	2004-12-15	00			
Intact Financial Corporation	Subscription Receipts - December 2020 (brokered)	Stephenson, Carol M.	4	2020-12-03	16	134.5	100	100
INTER-ROCK MINERALS INC.	Common Shares	Inter-Rock Minerals	1	2020-11-26	38	0.37	9,500	9,500
INTER-ROCK MINERALS INC.	Common Shares	Inter-Rock Minerals	1	2020-11-30	38		0	-9,500
International Petroleum Corporation	Common Shares	Lundin, William A.W.	5	2020-12-01	00		234,000	
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-11-16	10	0.305	3,752,483	2,100
IOU Financial Inc.	Common Shares	FINTECH VENTURES CAPITAL LLC (FORMERLY QWAVE CAPITAL LLC)	3	2020-12-03	16	0.1157	13,592,671	2,343,967
IOU Financial Inc.	Common Shares	FinTech Ventures Fund LLLP	3	2020-12-03	16	0.1157	13,592,671	2,343,967
IOU Financial Inc.	Options	Wolfson, Neil	4	2020-12-03	00			
IOU Financial Inc.	Options	Wolfson, Neil	4	2020-12-03	50		55,000	55,000
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8235	461,186	200
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8309	471,786	10,600
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8387	478,686	6,900
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8425	478,786	100
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8458	479,386	600
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8463	482,086	2,700
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8459	483,486	1,400
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.8464	494,886	11,400
Ivanhoe Mines Ltd.	Common Shares Class A	Carneiro, Tadeu	4	2020-12-03	10	4.85	495,986	1,100
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	2020-12-01	97		459,909	17,248
Ivanhoe Mines Ltd.	Common Shares Class A	Joubert, Pierre	5	2020-12-01	97		50,240	2,997

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Ivanhoe Mines Ltd.	Common Shares Class A	Makhesha, Setha Patricia	7, 5	2020-12-01	10			9,662
Ivanhoe Mines Ltd.	Common Shares Class A	Makhesha, Setha Patricia	7, 5	2020-12-01	97		9,662	9,662
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	51	0.64	100,062	50,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.21	95,062	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.26	87,562	-7,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.26	85,062	-2,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.27	77,562	-7,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.28	70,062	-7,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.29	69,562	-500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.2901	65,062	-4,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.3	60,062	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.33	55,062	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.35	52,562	-2,500
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2020-12-03	10	6.3704	50,062	-2,500
Ivanhoe Mines Ltd.	Options	Vincelli, Mary	5	2020-12-03	51		113,810	-50,000
Ivanhoe Mines Ltd.	Common Shares Class A	Zhou, Chao (Peter)	5	2020-12-01	10			6,789
Ivanhoe Mines Ltd.	Common Shares Class A	Zhou, Chao (Peter)	5	2020-12-01	97		6,789	6,789
Jamieson Wellness Inc.	Common Shares	Spooner, Steven Edward	4	2020-11-11	10	36.258	3,877	1,377
Jemtec Inc.	Options	BAKER, GORDON	4	2020-12-01	51	0.345	25,000	-57,805
Jemtec Inc.	Options	BAKER, GORDON	4	2020-12-01	36	0.345	82,805	57,805
Jervois Mining Limited	Common Shares Ordinary Shares	Johnston, Peter Brendon	4	2019-06-19	00			
Jervois Mining Limited	Common Shares Ordinary Shares	Johnston, Peter Brendon	4	2020-12-02	11	0.285	655,738	655,738
Jervois Mining Limited	Options	Johnston, Peter Brendon	4	2020-12-02	50	0.13	9,250,000	875,000
Jervois Mining Limited	Common Shares Ordinary Shares	Kennedy, Brian Anthony	4	2020-12-02	11	0.285	8,885,344	1,639,344
Jervois Mining Limited	Options	Kennedy, Brian Anthony	4	2020-12-02	50	0.13	5,060,000	1,280,000
Jervois Mining Limited	Common Shares Ordinary Shares	Klassen, Kenneth George	5	2019-06-19	00			
Jervois Mining Limited	Common Shares Ordinary Shares	Klassen, Kenneth George	5	2020-12-02	11	0.285	983,607	983,607
Jervois Mining Limited	Common Shares Ordinary Shares	Young, Gregory	5	2020-12-01	00			
Jervois Mining Limited	Common Shares Ordinary Shares	Young, Gregory	5	2020-12-02	11	0.285	2,459,016	2,459,016
Jervois Mining Limited	Options	Young, Gregory	5	2020-12-01	00		7,500,000	
Josemaria Resources Inc.	Common Shares	Lorito Holdings S.a.r.l.	3	2020-12-03	11		30,221,357	375,200
Josemaria Resources Inc.	Common Shares	Zebra Holdings and Investments S.a.r.l.	3	2020-12-03	11		86,451,341	38,500
K-Bro Linen Inc.	Common Shares	Curtis, Sean Philip	5	2020-11-30	30	33.81	104,915	7,476
K-Bro Linen Inc.	Common Shares	Gannon, Jeffrey Ronald	5	2020-11-30	30	33.81	8,388	821
K-Bro Linen Inc.	Common Shares	McCurdy, Linda Jane	4, 5	2020-11-30	30	33.81	187,432	16,840
K-Bro Linen Inc.	Common Shares	Plaquin, Kristie Lynn	5	2020-11-30	30	33.81	18,368	3,804

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K-Bro Linen Inc.	Common Shares	Son, Christopher	5	2020-11-30	30	33.81	1,370	432
K-Bro Linen Inc.	Common Shares	Utahara, Ryo	5	2020-11-30	30	33.81	3,117	501
K-Bro Linen Inc.	Common Shares	Young, David	5	2020-11-30	30	33.81	1,464	439
Kanadario Gold Inc.	Common Shares	Fennell, David	4	2020-11-25	00		700,000	
Kanadario Gold Inc.	Warrants	Fennell, David	4	2020-11-25	00		100,000	
Kanadario Gold Inc.	Common Shares	Gignac, Louis-Pierre	5	2020-09-17	00			
Kanadario Gold Inc.	Common Shares	Gignac, Louis-Pierre	5	2020-11-25	00		4,100,000	
Kanadario Gold Inc.	Common Shares	MacDonald, Norman	4	2020-11-25	00			
Kanadario Gold Inc.	Common Shares	MacDonald, Norman	4	2020-11-25	00		1,000,000	
Karora Resources Inc.	Common Shares	Karora Resources Inc.	1	2020-11-30	38	3.31	70,000	10,000
Katapult Technology Corp.	Options	Craig, Brian Norman	4	2020-12-01	38	0.29	0	-450,000
Katapult Technology Corp.	Restricted Share Units	Craig, Brian Norman	4	2020-12-01	56	0.24	175,000	175,000
Katapult Technology Corp.	Options	Dawson, Jeffrey Scott	4	2020-12-01	38		232,500	-337,500
Katapult Technology Corp.	Restricted Share Units	Dawson, Jeffrey Scott	4	2020-12-01	56			175,000
Katapult Technology Corp.	Restricted Share Units	Dawson, Jeffrey Scott	4	2020-12-01	56		175,000	175,000
Katapult Technology Corp.	Options	Shapiro, Marcus Zalman	4	2020-12-01	38		262,500	-337,500
Katapult Technology Corp.	Restricted Share Units	Shapiro, Marcus Zalman	4	2020-12-01	56		143,750	143,750
Katapult Technology Corp.	Options	Van Horne, William	5	2020-12-03	00		100,000	
Kerr Mines Inc.	Common Shares	Bonifacio, Giulio	4, 5	2020-12-01	10	0.125	6,765,000	65,000
Kerr Mines Inc.	Common Shares	Bonifacio, Giulio	4, 5	2020-12-02	10	0.125	6,940,000	175,000
Kerr Mines Inc.	Common Shares	Bonifacio, Giulio	4, 5	2020-12-03	10	0.125	6,990,000	50,000
Kerr Mines Inc.	Common Shares	Bonifacio, Giulio	4, 5	2020-12-04	10	0.13	7,000,000	10,000
Khiron Life Sciences Corp.	Common Shares	Naprawa, Chris	4	2020-12-04	10	0.4	1,185,000	50,000
Khiron Life Sciences Corp.	Warrants	Naprawa, Chris	4	2018-06-26	00			
Khiron Life Sciences Corp.	Warrants	Naprawa, Chris	4	2020-12-02	10	0.1042	75,000	75,000
Killam Apartment Real Estate Investment Trust	Trust Units	WALT, MANFRED	4	2020-11-30	10	17.15	20,979	2,500
Killam Apartment Real Estate Investment Trust	Trust Units	WALT, MANFRED	4	2020-12-02	10	17	23,979	3,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	2393304 ONTARIO INC.	3	2020-11-27	00			
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	2393304 ONTARIO INC.	3	2020-11-27	11			80,000,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	2393304 ONTARIO INC.	3	2020-11-27	11			800,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	2393304 ONTARIO INC.	3	2020-11-27	11		100,000,000	100,000,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	Sweeney Oriole Trust	3	2020-11-27	11		19,800,000	-79,200,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	Sweeney Oriole Trust	3	2020-11-27	11		0	-19,800,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	Sweeney, Neil	3, 4, 5	2020-11-27	11		200,000	-800,000
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	Sweeney, Neil	3, 4, 5	2020-11-27	15		0	-200,000
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-27	51	68.34	7,500	7,500
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-27	10	189.78	0	-7,500
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-30	51	68.34	7,500	7,500

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-30	10	192.07	0	-7,500
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-30	51	68.34	7,500	7,500
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-11-30	10	190.02	0	-7,500
Kinaxis Inc.	Options	McDonald, Andrew John	5	2020-11-27	51	68.34	111,749	-7,500
Kinaxis Inc.	Options	McDonald, Andrew John	5	2020-11-30	51	68.34	104,249	-7,500
Kinaxis Inc.	Options	McDonald, Andrew John	5	2020-11-30	51	68.34	96,749	-7,500
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-27	51	9.75		25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-27	51	9.75		25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-27	51	9.75	48,816	25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-30	10	191.11		-25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-30	10	191.11		-25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-11-30	10	191.11	23,816	-25,000
Kinaxis Inc.	Options	Monkman, Richard George	5	2020-11-27	51	9.75		-25,000
Kinaxis Inc.	Options	Monkman, Richard George	5	2020-11-27	51	9.75		-25,000
Kinaxis Inc.	Options	Monkman, Richard George	5	2020-11-27	51	9.75	220,014	-25,000
Kinross Gold Corporation	Restricted Shares	Gold, Geoffrey Peters	5	2020-12-01	59	9.19	752,341	-18,191
Kinross Gold Corporation	Restricted Shares	Rollinson, Jonathon Paul	4, 5	2020-12-01	59	9.19	1,694,830	-46,111
Kinross Gold Corporation	Restricted Shares	Tomory, Paul Botond Stilicho	5	2020-12-01	59	9.19	415,533	-11,148
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Van der Klugt, Marika	5	2020-09-15	00		387	
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Van der Klugt, Marika	5	2020-11-16	56		1,942	1,555
Kirkland Lake Gold Ltd.	Rights Restricted Share Units	Van der Klugt, Marika	5	2020-09-15	00		387	
Kirkland Lake Gold Ltd.	Rights Restricted Share Units	Van der Klugt, Marika	5	2020-11-16	56		1,942	1,555
Knight Therapeutics Inc.	Common Shares	Goodman, Jonathan Ross	4, 6, 5	2020-12-04	10	5.27	496,236	9,800
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2020-11-16	38	5.2989	75,300	75,300
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2020-11-17	38	5.3376	137,800	62,500
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2020-11-30	38		0	-137,800
Knight Therapeutics Inc.	Common Shares	Long Zone Holdings Inc.	3	2020-12-03	10	5.33	21,643,433	10,000
Knight Therapeutics Inc.	Common Shares	Long Zone Holdings Inc.	3	2020-12-03	10	5.3	21,645,933	2,500
KP Tissue Inc.	Deferred Share Units (DSU)	Hardy, James Richmond	4	2020-11-26	56	11.8	5,860	344
KP Tissue Inc.	Deferred Share Units (DSU)	Letellier, Michel	4	2020-11-26	56	11.8	14,023	1,059
KP Tissue Inc.	Deferred Share Units (DSU)	Wendling, Louise Michele	4	2020-11-26	56	11.8	13,401	1,059
Kraken Robotics Inc.	Common Shares	Kenny, Karl Andrew	3, 4, 5	2020-11-30	10	0.56	25,355,549	-154,500
Kraken Robotics Inc.	Common Shares	Kenny, Karl Andrew	3, 4, 5	2020-12-01	10	0.56	25,310,049	-45,500
Kraken Robotics Inc.	Common Shares	Kenny, Karl Andrew	3, 4, 5	2020-12-04	51	0.18	25,610,049	300,000
Kraken Robotics Inc.	Options	Kenny, Karl Andrew	3, 4, 5	2020-12-04	51	0.18	1,300,000	-300,000

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Lake Winn Resources Corp. (formerly Equitorial Exploration Corp.)	Options	DHILLON, SATVIR SINGH SAF	4	2020-11-24	50	0.23	445,000	400,000
Lake Winn Resources Corp. (formerly Equitorial Exploration Corp.)	Options	Doyle, Buddy James	4	2020-12-02	50	0.23	510,000	400,000
Lake Winn Resources Corp. (formerly Equitorial Exploration Corp.)	Options	Jassal, Brijender (Binny) Jassal	4, 5	2020-12-02	50	0.23	530,000	400,000
LaSalle Exploration Corp.	Common Shares	Campbell, Ian James	4	2020-11-30	10	0.11	731,818	181,818
LaSalle Exploration Corp.	Warrants	Campbell, Ian James	4	2020-11-30	10	0.15	240,909	90,909
LE CHATEAU INC.	Multiple Voting Shares Class B shares	gruman, molly	3	2020-12-04	10	0.02	3,894,320	-10,680
Leucrotta Exploration Inc.	Common Shares	Disbrow, Robert	3	2020-12-01	10	0.7	12,688,000	10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Etter, Gregory	4	2020-11-27	00			
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Etter, Gregory	4	2020-11-30	50		300,000	300,000
Lightspeed POS Inc.	Multiple Voting Shares	Dasilva, Dax	3, 4, 5	2020-12-01	36		0	-14,429,466
Lightspeed POS Inc.	Subordinate Voting Shares	Dasilva, Dax	3, 4, 5	2020-12-01	36		14,429,466	14,429,466
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Warrants	Thomvest Asset Management Ltd.	3	2020-11-25	53		4,116,102	789,473
Linamar Corporation	Common Shares	STODDART, MARK	4, 5	2020-12-01	10	62.96	135,942	-16,000
Linamar Corporation	Common Shares	Zucco, Agostino	8	2020-05-01	00		3,200	
Lions Bay Mining Corp.	Options	Heenan, Timothy William	4	2018-07-19	00			
Lions Bay Mining Corp.	Options	Heenan, Timothy William	4	2020-09-17	00		50,000	
Lithium Americas Corp.	Common Shares	Bangchak Corporation Public Company Limited	3	2020-11-30	10	11.431	9,612,502	-360,000
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47		18,001	-77
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47		17,924	-77
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47		17,770	-154
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-11	38	34.5	400	400
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-12	38	33.6	500	100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-12	38	33.52	1,000	500
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-12	38	33.5	1,100	100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-13	38	33.25	1,600	500
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-13	38		1,200	-400
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-20	38	34.98	1,300	100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-20	38		100	-1,200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-25	38	36	500	400
Logistec Corporation	Subordinate Voting	LOGISTEC	1	2020-11-25	38	35.65	600	100

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	Shares Class B	CORPORATION						
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-27	38	37	1,100	500
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-11-27	38		500	-600
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2020-12-02	38		0	-500
Loon Energy Corporation	Common Shares	Stein, Michael Brian	3	2020-12-03	11	0.005	5,992,750	2,203,000
Lumina Gold Corp.	Options	RIVADENEIRA, MARCELO	5	2020-11-25	50		1,062,298	100,000
Luminex Resources Corp.	Common Shares	Benalcazar Rojas, Diego Manuel	5	2020-12-02	51	0.25	252,896	13,500
Luminex Resources Corp.	Options	Benalcazar Rojas, Diego Manuel	5	2020-11-26	50	0.68	258,500	70,000
Luminex Resources Corp.	Options	Benalcazar Rojas, Diego Manuel	5	2020-12-02	51	0.25	245,000	-13,500
Luminex Resources Corp.	Options	RIVADENEIRA, MARCELO	5	2020-11-26	50		90,000	30,000
Luminex Resources Corp.	Options	Shumka, Donald	4	2020-11-26	50	0.68	265,000	75,000
Luminex Resources Corp.	Options	Youle, John	5	2020-11-26	50	0.68	202,500	70,000
Lundin Gold Inc.	Common Shares	Newcrest Mining Limited	3	2020-12-03	16	11.09	73,606,849	26,870
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	8.17		33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	8.17		33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.274		-33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.274		-33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	6.65		50,667
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	6.65		50,667
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.259		-50,667
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.259		-50,667
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	8.17	175,330	33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.274	142,000	-33,330
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	6.65	192,667	50,667
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-12-04	10	10.259	142,000	-50,667
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	8.17		-33,330
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	8.17		-33,330
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	6.65		-50,667
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	6.65		-50,667
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	8.17	407,660	-33,330
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-12-04	51	6.65	356,993	-50,667
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2018-03-20	00			
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	8.68		40,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	8.68		40,000

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Corporation		Lalumiere						
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10		-40,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10		-40,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	6.65		43,334
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	6.65		43,334
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10		-43,334
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10		-43,334
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	8.68	40,000	40,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10	0	-40,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	6.65	43,334	43,334
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2020-12-03	10	10	0	-43,334
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	8.68		-40,000
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	8.68		-40,000
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	8.68		-40,000
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	8.68		-40,000
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	6.65		-43,334
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	6.65		-43,334
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	8.68	284,000	-40,000
Lundin Mining Corporation	Options	Jean-Claude, Lalumiere	5	2020-12-03	51	6.65	240,666	-43,334
Lundin Mining Corporation	Common Shares	Laurenson, Annie	5	2020-12-04	10	8.34	8,000	8,000
Lundin Mining Corporation	Common Shares	Laurenson, Annie	5	2020-12-04	10	10.5	0	-8,000
Lundin Mining Corporation	Options	Laurenson, Annie	5	2020-12-04	51	8.34	51,000	-8,000
Lundin Mining Corporation	Common Shares	Magie, Jinhee	5	2020-12-04	10	4.32	245,000	25,000
Lundin Mining Corporation	Options	Magie, Jinhee	5	2020-12-04	51	4.32	583,990	-25,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.17		88,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.17		88,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.6		-88,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.6		-88,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.34		80,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.34		80,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.499		-80,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.499		-80,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.17	97,818	78,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.6	19,818	-78,000

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Corporation		Peter Haddock						
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	8.34	99,818	80,000
Lundin Mining Corporation	Common Shares	Richardson, Jonas Peter Haddock	5	2020-12-04	10	10.499	19,818	-80,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.17		-88,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.17		-88,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.34		-80,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.34		-80,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.17	597,000	-78,000
Lundin Mining Corporation	Options	Richardson, Jonas Peter Haddock	5	2020-12-04	51	8.34	517,000	-80,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	4.32		12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	4.32		12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	9.9975		-12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	9.9975		-12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	9.9975		-12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	4.32	25,343	12,000
Lundin Mining Corporation	Common Shares	Talbot, Ciara	5	2020-12-03	10	9.9975	13,343	-12,000
Lundin Mining Corporation	Options	Talbot, Ciara	5	2020-12-03	51	9.9975		-12,000
Lundin Mining Corporation	Options	Talbot, Ciara	5	2020-12-03	51	4.32		-12,000
Lundin Mining Corporation	Options	Talbot, Ciara	5	2020-12-03	51	4.32		-12,000
Lundin Mining Corporation	Options	Talbot, Ciara	5	2020-12-03	51	4.32	258,120	-12,000
Luxxfolio Holdings Inc.	Special Warrants	Wong, David Anthony	4	2019-03-21	00			
Luxxfolio Holdings Inc.	Special Warrants	Wong, David Anthony	4	2020-12-02	16	0.05	10,000	10,000
Magna International Inc.	Common Shares	Skudutis, Tommy Joseph	7, 5	2020-12-03	51	54.53	101,270	101,270
Magna International Inc.	Common Shares	Skudutis, Tommy Joseph	7, 5	2020-12-03	51	43.05	146,566	45,296
Magna International Inc.	Common Shares	Skudutis, Tommy Joseph	7, 5	2020-12-03	10	62.14	0	-146,566
Magna International Inc.	Options	Skudutis, Tommy Joseph	7, 5	2020-12-03	51	54.53	428,682	-101,270
Magna International Inc.	Options	Skudutis, Tommy Joseph	7, 5	2020-12-03	51	43.05	383,386	-45,296
Maitri Health Technologies Corp.	Common Shares	DiPasquale, Savino	4	2020-11-30	50	0.8		250,000
Maitri Health Technologies Corp.	Common Shares	DiPasquale, Savino	4	2020-11-30	50	0.8		250,000
Maitri Health Technologies Corp.	Options	DiPasquale, Savino	4	2020-11-19	00			
Maitri Health Technologies Corp.	Options	DiPasquale, Savino	4	2020-11-30	50	0.8	250,000	250,000
Maitri Health Technologies Corp.	Common Shares	Morton, Andrew Samuel	5	2020-11-30	50	0.8	1,100,000	100,000
Maitri Health Technologies Corp.	Common Shares	Pillersdorf, Solomon (Sam) Joseph	4	2020-11-30	50	0.8	250,000	150,000
Maitri Health Technologies Corp.	Options	Yassin, Marlis	5	2020-11-17	00			
Maitri Health	Options	Yassin, Marlis	5	2020-11-30	50	0.8	50,000	50,000

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Technologies Corp.								
Major Precious Metals Corp. (Formerly Eastern Zinc Corp.)	Common Shares	Platina Resources Limited	3	2020-11-27	00		55,000,000	
Mako Mining Corp.	Common Shares	Leisman, Akiba Jacob Issachar	4	2020-12-04	10	0.34	11,049,234	32,000
Mandalay Resources Corporation	Common Shares	Ackerman, Terrell	4	2019-06-18	00			
Mandalay Resources Corporation	Common Shares	Ackerman, Terrell	4	2020-11-30	57		9,260	9,260
Mandalay Resources Corporation	Restricted Share Unit	Ackerman, Terrell	4	2020-11-30	57		100,485	-9,260
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-12-03	10		8,274,514	30,000
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-11-30	10		413,574	105,009
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-12-01	10		428,696	15,122
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-12-02	10		442,049	13,353
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-12-02	10		455,813	13,764
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2020-12-03	10		469,368	13,555
Mangazeya Mining Ltd.	Common Shares	Yanchukov, Sergey	3	2020-11-30	10	0.08	2,594,000	3,000
Maple Gold Mines Ltd. (formerly Aurvista Gold Corporation)	Common Shares	Roth, Michelle	4	2020-11-05	00			
Maple Gold Mines Ltd. (formerly Aurvista Gold Corporation)	Common Shares	Roth, Michelle	4	2020-12-02	10	0.2965	70,000	70,000
Marathon Gold Corporation	Common Shares	Bache, Douglas	4	2020-12-01	51	0.2	832,500	120,000
Marathon Gold Corporation	Options	Bache, Douglas	4	2020-12-01	51	0.2	510,000	-120,000
Marathon Gold Corporation	Common Shares	BCI Ventures Inc	3	2020-11-27	10	2.5647	21,052,090	-60,400
Marathon Gold Corporation	Common Shares	BCI Ventures Inc	3	2020-11-30	10	2.56	21,012,490	-39,600
Marathon Gold Corporation	Common Shares	Spiteri, Joseph George	4	2020-12-01	51	0.2	607,550	120,000
Marathon Gold Corporation	Options	Spiteri, Joseph George	4	2020-12-01	51	0.2	510,000	-120,000
Marble Financial Inc.	Common Shares	Scharfe, Jason Wesley	4	2020-12-01	10	0.155	2,267,167	6,000
Marret High Yield Strategies Fund	Trust Units Class A units	Stratton, Neil	3	2020-11-30	10	0.06	5,437,600	1,000
Marret High Yield Strategies Fund	Trust Units Class A units	Stratton, Neil	3	2020-12-01	10	0.06	5,452,600	15,000
Marret High Yield Strategies Fund	Trust Units Class A units	Stratton, Neil	3	2020-12-03	10	0.06	5,478,600	26,000
Martello Technologies Group Inc.	Common Shares	Clarke, Colley	4	2020-11-30	51	0.11	50,000	50,000
Martello Technologies Group Inc.	Common Shares	Clarke, Colley	4	2020-12-01	51	0.11	320,000	270,000
Martello Technologies Group Inc.	Common Shares	Clarke, Colley	4	2020-12-01	10	0.2	164,156	-155,844
Martello Technologies Group Inc.	Common Shares	Clarke, Colley	4	2020-12-01	10	0.205	131,156	-33,000
Martello Technologies Group Inc.	Options	Clarke, Colley	4	2020-11-30	51	0.11	1,118,603	-50,000
Martello Technologies Group Inc.	Options	Clarke, Colley	4	2020-12-01	51	0.11	848,603	-270,000
Martello Technologies Group Inc.	Common Shares	Linton, Bruce	4, 5	2020-12-03	11	0.2	2,742,858	-192,000
Martello Technologies Group Inc.	Common Shares	Linton, Bruce	4, 5	2020-12-03	11	0.2	384,000	192,000

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Martinrea International Inc.	Common Shares	Alonso, Alfredo	5	2020-12-01	10	11.169	22,386	8,860
Martinrea International Inc.	Common Shares	Morsy, Hany	5	2020-12-03	10	15.4		-4,000
Martinrea International Inc.	Common Shares	Morsy, Hany	5	2020-12-03	10	15.4		-4,000
Martinrea International Inc.	Common Shares	Morsy, Hany	5	2020-12-04	10	15.4	28,000	-4,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-11-26	10	0.4	175,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-11-26	10	0.41	172,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-11-27	10	0.42	169,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-12-01	10	0.405	166,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-12-01	10	0.41	163,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-12-02	10	0.405	161,000	-2,000
Maxim Power Corp.	Options	Emmott, Robert	5	2020-12-01	50		841,667	166,667
Maxim Power Corp.	Options	Emmott, Robert	5	2020-12-01	52	2.11	675,000	-166,667
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2020-11-20	38	2	5,000	5,000
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2020-11-23	38	2	5,500	500
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2020-11-24	38	2	7,200	1,700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-01	38	6.0415	1,300	1,300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-01	38		0	-1,300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-02	38	6.0086	700	700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-02	38		0	-700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-03	38	6.044	500	500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-03	38		0	-500
Medcolcanna Organics Inc.	Common Shares	Reid, Christopher Donald	5	2020-11-26	10	0.05		147,000
Medcolcanna Organics Inc.	Common Shares	Reid, Christopher Donald	5	2020-11-26	10	0.05	5,864,846	147,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$11,757,470	-\$403,183
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$2,938,908	-\$100,780
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$45,887,161	-\$1,573,544
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$7,883,915	-\$270,352
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$85,876,390	-\$2,944,838
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2020-11-30	97		\$13,665,628	-\$468,614
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-13	10	0.19	4,166,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-14	10	0.21	4,066,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-15	10	0.2	3,966,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B	Bierman, Adam Nathaniel	4	2020-10-16	10	0.18	3,841,077	-125,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Ventures Corp.)	Subordinate Voting Shares							
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-19	10	0.155	3,726,077	-115,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-19	10	0.165	3,721,077	-5,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-20	10	0.15	3,651,077	-70,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-21	10	0.165	3,641,077	-10,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-22	10	0.15	3,541,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-23	10	0.15	3,441,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-26	10	0.15	3,341,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-28	10	0.1403	3,241,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-29	10	0.14	3,141,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-30	10	0.1424	3,041,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-10-30	10	0.15	2,941,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-02	10	0.155	2,841,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-02	10	0.17	2,791,077	-50,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-03	10	0.165	2,691,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-05	10	0.17	2,591,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-05	10	0.18	2,491,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-06	10	0.2	2,391,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-06	10	0.22	2,341,077	-50,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Ventures Corp.)	Subordinate Voting Shares							
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-06	10	0.24	2,291,077	-50,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-09	10	0.225	2,200,077	-91,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-10	10	0.19	2,100,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-11-11	10	0.185	2,000,077	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$11,757,470	-\$403,183
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$2,938,908	-\$100,780
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$45,887,161	-\$1,573,544
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$7,883,915	-\$270,352
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$85,876,390	-\$2,944,838
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2020-11-30	97		\$13,665,628	-\$468,614
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Options	Hyder, Zeeshan	5	2019-10-08	00		147,186	
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Options	Lynch, Thomas	5	2020-03-27	00			
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Options	Lynch, Thomas	5	2020-09-09	50		124,868	124,868
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Rights Restricted Share Units	Lynch, Thomas	5	2020-03-27	00			
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Rights Restricted Share Units	Lynch, Thomas	5	2020-09-09	56		437,813	437,813
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-08	10	0.15	13,762,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-13	10	0.19	13,588,913	-73,500
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-13	10	0.185	13,562,413	-26,500
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-14	10	0.21	13,556,413	-6,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-14	10	0.205	13,462,413	-94,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-15	10	0.2	13,362,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-16	10	0.18	13,237,413	-125,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-19	10	0.155	13,122,413	-115,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-19	10	0.165	13,117,413	-5,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-20	10	0.15	13,047,413	-70,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-21	10	0.165	13,042,413	-5,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-22	10	0.15	12,942,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-23	10	0.15	12,842,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-26	10	0.15	12,767,413	-75,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-26	10	0.14	12,742,413	-25,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-28	10	0.1401	12,642,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-29	10	0.14	12,542,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-30	10	0.14	12,442,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-10-30	10	0.1507	12,342,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-02	10	0.1509	12,242,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-02	10	0.17	12,192,413	-50,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-03	10	0.1665	12,092,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-05	10	0.17	11,992,413	-100,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-05	10	0.18	11,892,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-06	10	0.2	11,792,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-06	10	0.22	11,742,413	-50,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-06	10	0.24	11,692,413	-50,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-09	10	0.224	11,601,413	-91,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-10	10	0.1937	11,501,413	-100,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-11-11	10	0.185	11,401,413	-100,000
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2020-12-02	38	8.18	12,220	500
Metalla Royalty & Streaming Ltd.	Common Shares	Tucker, E.B.	4	2020-12-04	10	9.38	306,076	200
Metalla Royalty & Streaming Ltd.	Common Shares	Tucker, E.B.	4	2020-12-04	10	9.5	306,176	100
Metallic Minerals Corp.	Common Shares	Milne, Alicia	5	2018-09-05	00			
Metallic Minerals Corp.	Common Shares	Milne, Alicia	5	2020-11-26	16	0.77	5,000	5,000
Metal Manufacturing Inc. (formerly Muskrat Minerals Incorporated)	Common Shares	MacKenzie, Francis	4	2020-12-02	10	0.15	1,164,848	2,000
Metamaterial Inc.	Convertible Notes	Welch, Thomas Gordon	3	2020-03-05	00			
Metamaterial Inc.	Convertible Notes	Welch, Thomas Gordon	3	2020-11-30	11	0.5	\$5,500,000	\$5,500,000
Methanex Corporation	Rights Restricted Share Units	Cook, Phillip Henry	4	2020-12-01	59		5,305	-1,957
Methanex Corporation	Common Shares	Delbarre, Karine	7	2020-12-01	30	27.81	13,013	2,199
Methanex Corporation	Common Shares	Delbarre, Karine	7	2020-12-01	10	55	0	-13,013
Methanex Corporation	Common Shares	Delbarre, Karine	7	2020-12-02	30	27.81		2,199
Methanex Corporation	Rights Restricted Share Units	Kostelnik, Robert	4	2020-12-01	59		5,305	-1,957
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-11-27	10	42.244	3,850,219	-1,823
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-12-03	90	40.755	3,977,978	127,759
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-12-03	90	40.755	6,671,015	-127,759
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-11-27	10	42.244	504,895	-10,662
Methanex Corporation	Rights Restricted Share Units	WALKER, MARGARET REESE	4	2020-12-01	59		5,305	-1,957
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Bertrand, Maryse	4	2020-11-30	56	60.06	9,461	295
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Bertrand, Maryse	4	2020-11-30	35	60.94	9,495	34
Metro inc.	Common Shares	Boivin, Pierre	4	2020-11-10	35	64.113	5,054	17
Metro inc.	UnitOs d'actions	Boivin, Pierre	4	2020-11-30	56	60.06	2,188	479

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Metro inc.	diffOrOes/Deferred Stock Units	Boivin, Pierre	4	2020-11-30	35	60.94	2,194	6
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coutu, Francois Jean	4	2020-11-30	56	60.06	2,400	440
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coutu, Francois Jean	4	2020-11-30	35	60.94	2,407	7
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coutu, Michel	4	2020-11-30	56	60.06	4,952	440
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coutu, Michel	4	2020-11-30	35	60.94	4,969	17
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coyles, Stephanie	4	2020-11-30	56	60.06	13,767	440
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Coyles, Stephanie	4	2020-11-30	35	60.94	13,816	49
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Dussault, Claude	4	2020-11-30	56	60.06	41,211	258
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Dussault, Claude	4	2020-11-30	35	60.94	41,362	151
Metro inc.	Common Shares	GIROUX, Marc	5	2019-09-30	00			
Metro inc.	Common Shares	GIROUX, Marc	5	2019-09-30	00		11,635	
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Goodman, Russell Andrew	4	2020-11-30	56	60.06	12,653	278
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Goodman, Russell Andrew	4	2020-11-30	35	60.94	12,699	46
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	GUAY, Marc	4	2020-11-30	56	60.06	9,547	479
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	GUAY, Marc	4	2020-11-30	35	60.94	9,580	33
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	HAUB, Christian W.E.	4	2020-11-30	56	60.06	58,369	440
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	HAUB, Christian W.E.	4	2020-11-30	35	60.94	58,583	214
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Magee, Christine	4	2020-11-30	56	60.06	11,033	440
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Magee, Christine	4	2020-11-30	35	60.94	11,072	39
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Raymond, RØal	4	2020-11-30	56	60.06	41,912	507
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Raymond, RØal	4	2020-11-30	35	60.94	42,065	153
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Rivard, Line	4	2020-11-30	56	60.06	18,862	479
Metro inc.	UnitOs d'actions diffOrOes/Deferred Stock Units	Rivard, Line	4	2020-11-30	35	60.94	18,930	68
MGX Minerals Inc.	Options	Foran, Neil	5	2019-08-15	00			
MGX Minerals Inc.	Options	Foran, Neil	5	2019-09-12	50	0.235	200,000	200,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
MGX Minerals Inc.	Options	Foran, Neil	5	2020-04-03	50	0.07	700,000	500,000
MGX Minerals Inc.	Options	Power, Patrick Edward	4	2020-03-23	00			
MGX Minerals Inc.	Options	Power, Patrick Edward	4	2020-04-03	50	0.07	2,000,000	2,000,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-24	10	0.36	744,707	129,500
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-25	10	0.397	794,707	50,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-25	10	0.4	808,274	13,567
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-25	10	0.395	818,274	10,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-25	10	0.41	828,274	10,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-26	10	0.4	837,274	9,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-26	10	0.4	878,274	41,000
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-24	10	0.352	36,585	29,085
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-24	10	0.352		29,085
Microbix Biosystems Inc.	Common Shares	Blecher, Peter Martin	4	2020-11-24	10	0.352		29,085
Micromem Technologies Inc.	Common Shares	Fuda, Diana	5	2020-11-30	11	0.035	357,587	200,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-11-26	38	9.2186	922,700	700
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-11-27	38	9.1438	924,300	1,600
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-11-30	38	9.151	930,100	5,800
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-01	38	9.1811	932,900	2,800
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-02	38	9.0682	934,000	1,100
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-03	38	9.07	935,100	1,100
Mimi's Rock Corp.	Common Shares	Patient, Andrew	5	2020-11-25	10	0.6	120,000	10,000
Minaurum Gold Inc.	Common Shares	Rader, Darrell	5	2020-12-01	10	0.51	1,268,500	-65,300
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Hurst, Stephen	4, 5	2020-11-18	90		544,706	-5,294
Minera IRL Limited	Common Shares	Benavides, Diego	4, 7, 5	2020-12-01	10	0.165	500,000	149,640
Minera IRL Limited	Common Shares	Perez Delgado, Gerardo	4	2016-05-12	00			
Minera IRL Limited	Common Shares	Perez Delgado, Gerardo	4	2020-11-27	10	0.135	110,000	110,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-11-30	38	5.1416	71,803,451	3,200
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-12-03	38	5.22	71,803,651	200
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2020-11-30	97	2.645	911,106	377
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2020-12-02	10	2.82	916,106	5,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Mohamed, Minhas	4	2020-11-30	97	2.645	98,172	207
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2020-11-30	97	2.645	158,514	561
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2020-11-30	97	2.645	124,259	61
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Wekerle, Michael A.	3, 4	2020-11-30	97	2.645	4,035,656	811

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Difference Capital Financial Inc.)								
Monarch Gold Corporation	Common Shares	Alamos Gold Inc.	3	2020-11-11	54	0.29	44,848,203	1,500,000
Monarch Gold Corporation	Warrants	Alamos Gold Inc.	3	2020-11-11	54	0.29	0	-1,500,000
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00			
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00			
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00			
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00			
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-10-09	50		1,500,000	1,500,000
Montage Gold Corp.	Common Shares	Spencer, Adam	4, 5	2020-12-03	10	0.8355	429,828	41,500
Morguard Corporation	Common Shares	King, David	4	2020-11-27	10	117.5	74,756	-300
Morguard Corporation	Common Shares	King, David	4	2020-11-27	10	117.03	74,556	-200
Morguard Real Estate Investment Trust	Units	Walker, Timothy James	4	2020-12-01	10	5.89	28,750	-1,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2020-11-17	38	0.155	100,000	100,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2020-12-04	38	0.155	0	-100,000
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2020-11-30	57	29.46	56,597	3,915
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2020-11-30	59	29.46	52,682	-3,915
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2020-11-30	57	29.46	62,049	9,367
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2020-11-30	59	29.46	52,682	-9,367
Morneau Shepell Inc.	Rights 2017 RSU	Chamberland, Pierre	5	2020-11-30	57	29.46	11,460	-9,367
Morneau Shepell Inc.	Rights PSU	Chamberland, Pierre	5	2020-11-30	56	29.46	6,756	1,373
Morneau Shepell Inc.	Rights PSU	Chamberland, Pierre	5	2020-11-30	57	29.46	2,841	-3,915
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-11-30	57	29.46	5,487	2,256
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-11-30	59	29.46	3,231	-2,256
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-11-30	57	29.46	9,138	5,907
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-11-30	59	29.46	3,231	-5,907
Morneau Shepell Inc.	Rights 2017 RSU	King, Neil	5	2020-11-30	57	29.46	13,762	-5,907
Morneau Shepell Inc.	Rights PSU	King, Neil	5	2020-11-30	56	29.46	4,147	791
Morneau Shepell Inc.	Rights PSU	King, Neil	5	2020-11-30	57	29.46	1,891	-2,256
Morneau Shepell Inc.	Common Shares	Levy, Bradford	4	2020-11-24	00			
Morneau Shepell Inc.	Rights 2017 DSU	Levy, Bradford	4	2020-11-24	00			
Morneau Shepell Inc.	Rights 2017 DSU	Levy, Bradford	4	2020-11-24	56	29.463	6,630	6,630
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2020-11-30	57	29.46	40,223	22,723
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2020-11-30	59	29.46	17,500	-22,723
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2020-11-30	57	29.46	34,516	17,016
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2020-11-30	59	29.46	17,500	-17,016
Morneau Shepell Inc.	Rights 2017 RSU	Liptrap, Stephen	5	2020-11-30	57	29.46	57,524	-17,016
Morneau Shepell Inc.	Rights PSU	Liptrap, Stephen	5	2020-11-30	56	29.46	38,539	7,968
Morneau Shepell Inc.	Rights PSU	Liptrap, Stephen	5	2020-11-30	57	29.46	15,816	-22,723
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-11-30	57	29.46	3,810	3,810
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-11-30	59	29.46	0	-3,810
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-11-30	57	29.46	9,117	9,117
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-11-30	59	29.46	0	-9,117
Morneau Shepell Inc.	Rights 2017 RSU	Milligan, Scott	5	2020-11-30	57	29.46	9,143	-9,117
Morneau Shepell Inc.	Rights PSU	Milligan, Scott	5	2020-11-30	56	29.46	6,183	1,336
Morneau Shepell Inc.	Rights PSU	Milligan, Scott	5	2020-11-30	57	29.46	2,373	-3,810
Morneau Shepell Inc.	Common Shares	Nayak, Chitra	4	2020-11-24	00			

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Morneau Shepell Inc.	Rights 2017 DSU	Nayak, Chitra	4	2020-11-24	00			
Morneau Shepell Inc.	Rights 2017 DSU	Nayak, Chitra	4	2020-11-24	56	29.463	6,630	6,630
Mydecine Innovations Group Inc.	Common Shares	Michaels, Damon	4, 5	2020-05-11	00		2,550,000	
Mydecine Innovations Group Inc.	Options	Michaels, Damon	4, 5	2020-05-11	00			
Mydecine Innovations Group Inc.	Options	Michaels, Damon	4, 5	2020-09-16	50		3,000,000	3,000,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-11-30	10	0.676	4,033,000	-100,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-11-30	10	0.065	3,933,000	-100,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-11-30	10	0.07	3,833,000	-100,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-11-30	10	0.085	3,726,000	-107,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.11	3,706,000	-20,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.115	3,660,000	-46,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.12	3,625,000	-35,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.12	3,552,000	-73,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.115	2,946,000	-606,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.13	2,906,000	-40,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.135	2,881,000	-25,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-02	10	0.125	2,901,000	20,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	3	2020-12-04	10	0.09	2,951,000	50,000
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-02	38		224	224
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-03	38		1,748	1,524
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-04	38		4,372	2,624
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-05	38		6,996	2,624
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-06	38		9,220	2,224
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-09	38		10,244	1,024
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-10	38		12,468	2,224
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-12	38		13,468	1,000
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-13	38		16,192	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-16	38		18,516	2,324
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-17	38		19,840	1,324
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-18	38		22,564	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-19	38		24,864	2,300
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-20	38		27,588	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-23	38		30,312	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-24	38		33,036	2,724

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Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-25	38		34,460	1,424
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-26	38		37,184	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-27	38		39,908	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-30	38		42,632	2,724
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2020-11-30	38		0	-42,632
Nevada Sunrise Gold Corporation	Options	Stanyer, Warren William	4, 5	2020-11-23	52	0.22	465,000	-60,000
New Pacific Metals Corp.	Common Shares	Austin, Jacob (Jack)	4	2020-12-02	57		580,950	7,975
New Pacific Metals Corp.	Rights Restricted Share Units	Austin, Jacob (Jack)	4	2020-12-02	57		15,950	-7,975
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-11-20	10	6.95	63,800	-11,200
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-02	10	7.11	55,100	-8,700
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-02	10	7.12	53,800	-1,300
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-03	10	7.11	37,900	-15,900
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-03	10	7.12	36,500	-1,400
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-03	10	7.13	35,100	-1,400
New Pacific Metals Corp.	Common Shares	CRUISE, MARK DANIEL	5	2020-12-03	10	7.1	35,000	-100
New Pacific Metals Corp.	Common Shares	Feng, Rui	4, 6, 5	2020-12-01	47		10,192,400	-35,000
New Pacific Metals Corp.	Common Shares	Kim, Yong-Jae	5	2020-12-02	57		5,000	5,000
New Pacific Metals Corp.	Rights Restricted Share Units	Kim, Yong-Jae	5	2020-12-02	57		10,000	-5,000
New Pacific Metals Corp.	Common Shares	Kong, David TokPay	4	2020-12-01	51	0.55	270,975	50,000
New Pacific Metals Corp.	Common Shares	Kong, David TokPay	4	2020-12-02	57	7.15	278,950	7,975
New Pacific Metals Corp.	Common Shares	Kong, David TokPay	4	2020-11-30	10	6.74	59,300	-4,000
New Pacific Metals Corp.	Common Shares	Kong, David TokPay	4	2020-12-01	10	7.01	38,300	-21,000
New Pacific Metals Corp.	Options	Kong, David TokPay	4	2020-12-01	51	0.55	240,000	-50,000
New Pacific Metals Corp.	Rights Restricted Share Units	Kong, David TokPay	4	2020-12-02	57	7.15	15,950	-7,975
New Pacific Metals Corp.	Common Shares	Liu, Derek Zhihua	6	2020-12-01	57		16,750	3,750
New Pacific Metals Corp.	Common Shares	Liu, Derek Zhihua	6	2020-12-02	57		20,500	3,750
New Pacific Metals Corp.	Rights Restricted Share Units	Liu, Derek Zhihua	6	2020-12-01	57		7,500	-3,750
New Pacific Metals Corp.	Rights Restricted Share Units	Liu, Derek Zhihua	6	2020-12-02	57		3,750	-3,750
New Pacific Metals Corp.	Common Shares	Wafforn, Martin	4	2020-12-02	57		15,950	7,975
New Pacific Metals Corp.	Rights Restricted Share Units	Wafforn, Martin	4	2020-12-02	57		15,950	-7,975
New Pacific Metals Corp.	Common Shares	Yuan, Jialiang	5	2020-11-26	10	6.8682	126,000	-10,000
New Pacific Metals Corp.	Common Shares	Yuan, Jialiang	5	2020-12-01	10	7.0142	116,000	-10,000
New Pacific Metals Corp.	Common Shares	Yuan, Jialiang	5	2020-12-02	57		123,500	7,500

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New Pacific Metals Corp.	Rights Restricted Share Units	Yuan, Jialiang	5	2020-12-02	57		15,000	-7,500
New Pacific Metals Corp.	Common Shares	ZHANG, YONGMING	5	2020-12-01	10	7.09	205,500	-12,000
New Pacific Metals Corp.	Common Shares	ZHANG, YONGMING	5	2020-12-01	10	7.15	203,900	-1,600
New Pacific Metals Corp.	Common Shares	ZHANG, YONGMING	5	2020-12-02	57		216,400	12,500
New Pacific Metals Corp.	Common Shares	ZHANG, YONGMING	5	2020-12-02	10	7.15	207,600	-8,800
New Pacific Metals Corp.	Rights Restricted Share Units	ZHANG, YONGMING	5	2020-12-02	57		25,000	-12,500
New Placer Dome Gold Corp. (formerly, Barrian Mining Corp.)	Common Shares	Sali, Maximilian	4, 5	2020-12-01	10	0.28	2,204,750	25,000
New Placer Dome Gold Corp. (formerly, Barrian Mining Corp.)	Common Shares	Sali, Maximilian	4, 5	2020-12-02	10	0.27	2,214,750	10,000
New Wave Holdings Corp. (formerly, New Wave Esports Corp.)	Common Shares	Kang, Ravinder	4	2020-11-26	10	0.06	200,000	-300,000
Newrange Gold Corp.	Common Shares	Archer, Robert Alexander	4	2020-12-01	10	0.11	1,462,000	100,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-12-03	10	1.24	9,848,142	7,100
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-12-04	10	1.24	9,861,042	12,900
Nighthawk Gold Corp.	Common Shares	Prychidny, Morris	4	2020-11-27	51	0.75	450,803	53,000
Nighthawk Gold Corp.	Options	Prychidny, Morris	4	2020-11-27	51	0.75	227,500	-53,000
Niobay Metals Inc. (formerly MDN INC.)	Common Shares	Dufresne, Claude	4, 5	2020-12-03	10	0.606	800,800	10,000
Niobay Metals Inc. (formerly MDN INC.)	Common Shares	Teevan, Derek	5	2020-12-03	16	0.68	94,000	37,000
NioCorp Developments Ltd.	Common Shares	Shah, Neal	5	2020-09-22	51	0.47	175,000	45,000
NioCorp Developments Ltd.	Common Shares	Shah, Neal	5	2020-12-04	51	0.62	204,500	29,500
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-09-22	51	0.47	1,279,500	-45,000
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-12-04	51	0.4814		-29,500
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-12-04	51	0.62	1,250,000	-29,500
Noble Iron Inc.	Options	Hunter, Malcolm	4	2020-11-26	50		81,000	11,000
Noble Iron Inc.	Options	Kassam, Nabil	3, 4	2020-11-26	50		1,250,000	350,000
Noble Iron Inc.	Options Expiring October 22, 2020	Kassam, Nabil	3, 4	2020-10-22	52		0	-100,000
Nomad Royalty Company Ltd.	Options	Cardin-Tremblay, Vincent	5	2020-12-01	00			
Nomad Royalty Company Ltd.	Options	Cardin-Tremblay, Vincent	5	2020-12-01	50		552,100	552,100
Nomad Royalty Company Ltd.	Rights Restricted Share Units	Cardin-Tremblay, Vincent	5	2020-12-01	00			
Nomad Royalty Company Ltd.	Rights Restricted Share Units	Cardin-Tremblay, Vincent	5	2020-12-01	56		148,400	148,400
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2019-10-18	00			
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2020-11-27	10	1.15	10,000	10,000
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2020-11-30	10	1.1	20,000	10,000
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2020-11-26	10	1.16	6,462,060	5,000
Norbord Inc.	Common Shares	Mackie, Gregory Richard	5	2020-12-01	51	21.44	2,886	1,000
Norbord Inc.	Common Shares	Mackie, Gregory	5	2020-12-01	10	50.61	2,586	-300

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Norbord Inc.	Common Shares	Richard Mackie, Gregory Richard	5	2020-12-01	10	50.62	1,886	-700
Norbord Inc.	Options	Mackie, Gregory Richard	5	2020-12-01	51	21.44	15,502	-1,000
NORTHERN LIGHTS RESOURCES CORP.	Common Shares	Bahnsen, Jason	4, 5	2020-11-30	10	0.075	3,046,500	5,000
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-09-30	00			
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-11-02	15	12.5	87,839	87,839
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-09-30	00			
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-11-02	15	12.5	212,707	212,707
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-09-30	00			
Northview Canadian High Yield Residential Fund	Units Class A	Drimmer, Daniel	4, 5	2020-11-02	15	12.5	193,743	193,743
Norvista Capital Corporation	Common Shares	Singer, Jeffrey	4	2020-12-01	10	0.125	226,000	100,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Desaulniers, Eric	4, 5	2020-12-01	51	0.2	1,481,750	375,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Desaulniers, Eric	4, 5	2020-12-01	10	0.705	1,281,750	-200,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Desaulniers, Eric	4, 5	2020-12-02	54	0.35	1,531,750	250,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Desaulniers, Eric	4, 5	2020-12-02	10	0.7	1,481,750	-50,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Options	Desaulniers, Eric	4, 5	2020-12-01	51		5,000,000	-375,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	Desaulniers, Eric	4, 5	2020-12-02	54		30,000	-250,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Tarte, Charles-Olivier	5	2020-11-27	57			100,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Tarte, Charles-Olivier	5	2020-11-27	57	0.35	418,750	100,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Tarte, Charles-Olivier	5	2020-11-27	10			-100,000

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Enterprises Inc.) Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Tarte, Charles-Olivier	5	2020-11-27	10	0.58	318,750	-100,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	Tarte, Charles-Olivier	5	2020-11-27	57			-100,000
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	Tarte, Charles-Olivier	5	2020-11-27	57	0.35	0	-100,000
NOVAGOLD RESOURCES INC.	Options	Dorward-King, Elaine Jay	4	2020-12-01	50	9.96	135,200	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Dorward-King, Elaine Jay	4	2020-12-01	56		1,178	536
NOVAGOLD RESOURCES INC.	Options	Dowdall, Sharon Elizabeth	4	2020-12-01	50	13	374,300	36,500
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Dowdall, Sharon Elizabeth	4	2020-12-01	56		35,342	536
NOVAGOLD RESOURCES INC.	Common Shares	Garrett, Diane Renee	4	2020-12-01	56		9,349	535
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2018-05-07	50	4.75		100,000
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2018-05-07	50	4.75	100,000	100,000
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2018-12-01	50	3.67		91,300
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2018-12-01	50	3.67	191,300	91,300
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2019-12-01	50	6.96		54,300
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2019-12-01	50	6.96	245,600	54,300
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2020-12-01	50		280,800	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2018-06-05	56	6.2766		265
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2018-06-05	56	6.2766	265	265
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2018-12-03	56	4.9417		1,175
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2018-12-03	56	4.9417		1,176
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2018-12-03	56	4.9417	1,441	1,176
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-03-01	56	5.1812		1,112
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-03-01	56	5.1812	2,553	1,112
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-06-03	56	5.2663		1,121
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-06-03	56	5.2663	3,674	1,121
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-09-03	56	10.139		573
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-09-03	56	10.139	4,247	573
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-12-02	56	8.9813		647
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-12-02	56	8.9813	4,894	647
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2020-03-02	56	11.711		609

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NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2020-03-02	56	11.711	5,503	609
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2020-06-01	56	13.822		535
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2020-06-01	56	13.822	6,038	535
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2020-12-01	36		573,125	46,650
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2020-12-01	38	13	561,462	-11,663
NOVAGOLD RESOURCES INC.	Options	HENNESSEY, MELANIE	5	2020-12-01	50	13	731,200	73,900
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	HENNESSEY, MELANIE	5	2020-12-01	56		158,300	26,100
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	HENNESSEY, MELANIE	5	2020-12-01	36		127,200	-31,100
NOVAGOLD RESOURCES INC.	Common Shares	Kaplan, Thomas	4	2020-11-25	51	5.02	304,229	67,175
NOVAGOLD RESOURCES INC.	Options	Kaplan, Thomas	4	2020-11-25	51		149,750	-109,700
NOVAGOLD RESOURCES INC.	Options	Kaplan, Thomas	4	2020-12-01	50	9.96	184,950	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Kaplan, Thomas	4	2020-12-01	56	12.991	73,071	1,070
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-11-27	51	5.02	158,800	153,800
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-11-27	38	12.78	98,365	-60,435
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-11-27	10	12.64	8,188	-90,177
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-11-27	90		5,000	-3,188
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-12-01	36		282,500	277,500
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2020-11-27	90		1,816,498	3,188
NOVAGOLD RESOURCES INC.	Options	Lang, Gregory Anthony	5	2020-11-27	51	5.02	3,674,200	-153,800
NOVAGOLD RESOURCES INC.	Options	Lang, Gregory Anthony	5	2020-12-01	50	9.96	4,073,000	398,800
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Lang, Gregory Anthony	5	2020-12-01	36		592,800	-185,000
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Lang, Gregory Anthony	5	2020-12-01	56		740,200	147,400
NOVAGOLD RESOURCES INC.	Options	Levental, Igor	4	2020-12-01	50	9.96	369,300	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Levental, Igor	4	2020-12-01	56		48,463	536
NOVAGOLD RESOURCES INC.	Options	Madhavpeddi, Kalidas	4	2020-12-01	50	9.96	369,300	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Madhavpeddi, Kalidas	4	2020-12-01	56		40,191	536
NOVAGOLD RESOURCES INC.	Options	Nauman, Clynton R.	4	2020-12-01	50	9.96	369,300	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Nauman, Clynton R.	4	2020-12-01	56		40,188	535
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2020-12-01	36		711,103	92,550
NOVAGOLD RESOURCES INC.	Options	Ottewell, David	5	2020-12-01	50	9.96	969,700	141,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Ottewell, David	5	2020-12-01	56		320,800	52,400
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Ottewell, David	5	2020-12-01	36		259,100	-61,700
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	2020-12-01	36		133,161	31,650

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NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	2020-12-01	38	9.96	119,124	-14,037
NOVAGOLD RESOURCES INC.	Options	Rimelman, Ronald	5	2020-12-01	50	9.96	533,400	80,500
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Rimelman, Ronald	5	2020-12-01	56		137,700	29,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Rimelman, Ronald	5	2020-12-01	36		116,600	-21,100
NOVAGOLD RESOURCES INC.	Options	Schutt, Ethan	4	2020-12-01	50	9.96	189,500	35,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Schutt, Ethan	4	2020-12-01	56		3,632	536
NOVAGOLD RESOURCES INC.	Options	Walsh, Anthony P.	4	2020-12-01	50	13	196,300	36,500
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Walsh, Anthony P.	4	2020-12-01	56		35,341	536
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2020-12-01	36		369,593	57,225
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2020-12-01	38	9.96	344,213	-25,380
NOVAGOLD RESOURCES INC.	Options	Williams, Richard	5	2020-12-01	50	9.96	852,400	87,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Williams, Richard	5	2020-12-01	56		198,450	32,400
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Williams, Richard	5	2020-12-01	36		160,300	-38,150
Novo Resources Corp.	Common Shares	Hennigh, Quinton Todd	4	2020-12-03	10	2.35	3,157,000	6,000
NUVISTA ENERGY LTD.	Notes Senior Unsecured Notes	Shaw, Brian Gordon	4	2014-08-12	00			
NUVISTA ENERGY LTD.	Notes Senior Unsecured Notes	Shaw, Brian Gordon	4	2020-12-01	10		\$500,000	\$500,000
NXT Energy Solutions Inc.	Common Shares	Liszicasz, George	3, 4, 5	2020-12-04	30	0.455	15,024,683	10,066
NXT Energy Solutions Inc.	Common Shares	Woychyshyn, Eugene Darryl	5	2020-12-04	30	0.455	44,442	8,242
O3 Mining Inc.	Common Shares	Tyshynski, Elijah	4	2020-12-01	10	2.92	30,000	20,000
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-11-30	10	2.92	2,784,755	17,100
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-12-01	10	2.99	2,801,485	16,730
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-12-02	10	3.07	2,817,765	16,280
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-12-03	10	3.07	2,834,045	16,280
Olympia Financial Group Inc.	Common Shares	McKenna, John Ryan	5	2020-11-30	30	39.698	539	19
Olympia Financial Group Inc.	Common Shares	McKenna, John Ryan	5	2020-12-01	30	39.898	542	3
Olympia Financial Group Inc.	Common Shares	Skauge, Rick	3, 4, 5	2020-12-02	10	39.9	21,962	60
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Brewster, Jason Allen Ross	5	2020-12-03	50		1,400,000	400,000
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Common Shares	LaPoint, Dennis	5	2020-10-01	00		850,000	
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	LaPoint, Dennis	5	2020-10-01	00		1,000,008	
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	LaPoint, Dennis	5	2020-12-03	50		1,400,008	400,000
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	McKenzie, Harvey	5	2020-12-03	50		600,000	100,000

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Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Shaver, Lon Eric	4	2020-11-10	00			
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Shaver, Lon Eric	4	2020-12-03	50	0.21	500,000	500,000
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Stifano, Mario	4, 5	2020-12-03	50		3,500,000	2,500,000
Oncolytics Biotech Inc.	Common Shares	Brown, Deborah	4	2020-12-01	57		44,990	1,713
Oncolytics Biotech Inc.	Rights Restricted Share Units	Brown, Deborah	4	2020-12-01	57		8,134	-3,971
Oncolytics Biotech Inc.	Common Shares	Holtham, Angela Frances	4	2020-12-01	57		99,116	3,971
Oncolytics Biotech Inc.	Rights Restricted Share Units	Holtham, Angela Frances	4	2020-12-01	57		18,122	-3,971
Oncolytics Biotech Inc.	Common Shares	Pisano, Wayne	4	2020-12-01	57		158,135	3,971
Oncolytics Biotech Inc.	Rights Restricted Share Units	Pisano, Wayne	4	2020-12-01	57		28,503	-3,971
Oncolytics Biotech Inc.	Common Shares	Rice, William Glenn	4	2020-12-01	57		63,761	3,971
Oncolytics Biotech Inc.	Rights Restricted Share Units	Rice, William Glenn	4	2020-12-01	57		8,134	-3,971
Oncolytics Biotech Inc.	Common Shares	Seizinger, Bernd Robert	4	2020-12-01	57		229,512	3,971
Oncolytics Biotech Inc.	Rights Restricted Share Units	Seizinger, Bernd Robert	4	2020-12-01	57		33,369	-3,971
ONEX CORPORATION	Options	Mackay, Derek Christopher	5	2020-12-01	59	29.29	55,500	-1,000
ONEX CORPORATION	Subordinate Voting Shares	Schwartz, Gerald Wilfred	3, 4, 6, 7, 5	2020-11-27	11		0	-1,000,000
ONEX CORPORATION	Subordinate Voting Shares	Schwartz, Gerald Wilfred	3, 4, 6, 7, 5	2003-02-13	00			
ONEX CORPORATION	Subordinate Voting Shares	Schwartz, Gerald Wilfred	3, 4, 6, 7, 5	2020-11-27	11		1,000,000	1,000,000
Open Text Corporation	Common Shares OTEX Common	Slaunwhite, Michael William George	4	2020-11-27	10	44.614	209,952	34,200
Orbit Garant Drilling Inc.	Options	Alexandre, Eric	4, 5	2020-11-27	52		726,000	-200,000
Orbit Garant Drilling Inc.	Options	Alexandre, Eric	4, 5	2020-12-02	50		926,000	200,000
Orbit Garant Drilling Inc.	Options	Alexandre, Pierre	3, 4, 5	2020-11-27	52		384,000	-60,000
Orbit Garant Drilling Inc.	Options	Alexandre, Pierre	3, 4, 5	2020-12-02	50		414,000	30,000
Orbit Garant Drilling Inc.	Options	Gula, William	4	2020-11-27	52		148,000	-30,000
Orbit Garant Drilling Inc.	Options	Laliberté, Jean-Yves	4	2020-11-27	52		181,000	-30,000
Orbit Garant Drilling Inc.	Options	Laliberté, Jean-Yves	4	2020-12-02	50		211,000	30,000
Orbit Garant Drilling Inc.	Options	Laplante, Alain	5	2020-11-27	52		414,000	-100,000
Orbit Garant Drilling Inc.	Options	Laplante, Alain	5	2020-12-02	50		514,000	100,000
Orbit Garant Drilling Inc.	Options	Rougeau, Pierre	4	2020-12-02	50		87,000	12,000
Orea Mining Corp.	Common Shares	Mathiot, Laurent	3	2020-11-30	10	0.115	20,921,000	-8,500
Orea Mining Corp.	Common Shares	Mathiot, Laurent	3	2020-12-01	10	0.115	20,826,500	-94,500
Orea Mining Corp.	Common Shares	OCIM Finance SA	3	2020-11-30	10	0.115	20,921,000	-8,500
Orea Mining Corp.	Common Shares	OCIM Finance SA	3	2020-12-01	10	0.115	20,826,500	-94,500
Orford Mining Corporation	Common Shares	Christie, David William	4, 5	2020-11-30	16	0.18	777,021	250,698
Origen Resources Inc.	Common Shares	Morgan, Blake	5	2020-12-01	11	0.12		480,000

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Origen Resources Inc.	Common Shares	Morgan, Blake	5	2020-12-01	11	0.12	524,000	500,000
Origen Resources Inc.	Warrants	Morgan, Blake	5	2020-05-14	00			
Origen Resources Inc.	Warrants	Morgan, Blake	5	2020-12-01	11	0.2		240,000
Origen Resources Inc.	Warrants	Morgan, Blake	5	2020-12-01	11	0.2		240,000
Origen Resources Inc.	Warrants	Morgan, Blake	5	2020-12-01	11	0.2	250,000	250,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2020-12-01	11	0.12	1,614,750	835,000
Origen Resources Inc.	Warrants	Schellenberg, Gary David Albert	4	2020-12-01	11	0.2	505,000	417,500
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-05-06	00			
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-12-01	11	0.12	300,000	300,000
Origen Resources Inc.	Warrants	Schellenberg, Geoff	4	2020-05-06	00			
Origen Resources Inc.	Warrants	Schellenberg, Geoff	4	2020-12-01	11	0.2	150,000	150,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-11-30	10	1.51	1,791,100	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-11-30	10	1.52	1,781,100	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-12-01	10	1.53	1,771,100	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-12-01	10	1.52	1,751,100	-20,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-12-03	10	1.68	1,744,000	-7,100
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Allard, Guy Paul	5	2016-06-23	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Allard, Guy Paul	5	2020-12-02	16		\$10,000	\$10,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Allard, Guy Paul	5	2016-06-23	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Allard, Guy Paul	5	2020-12-02	16		5,000	5,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Leduc, Claude	5	2019-06-17	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Leduc, Claude	5	2020-12-02	16		\$115,000	\$115,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Leduc, Claude	5	2020-12-02	16	0.75	537,500	57,500
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Mainville, Luc	5	2018-09-18	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Mainville, Luc	5	2020-12-02	11	1000	\$60	\$60
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Mainville, Luc	5	2020-12-02	11		130,000	30,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Norton, Brent	4, 5	2016-07-26	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Norton, Brent	4, 5	2020-12-02	11	1000	\$60	\$60
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Norton, Brent	4, 5	2020-12-02	11	0.75	180,000	30,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Wright, Tom ES	4	2017-09-26	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Non-Convertible, Secured, 10%, 3 Years	Wright, Tom ES	4	2020-12-02	16		\$25,000	\$25,000

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TECHNOLOGIES INC.	Years							
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Wright, Tom ES	4	2020-12-02	16	0.75	62,500	12,500
Osino Resources Corp.	Common Shares	Ratzlaff, Leanne	5	2020-12-03	11		0	-36,666
Osisko Mining Inc.	Options	Anderson, Patrick Fergus Neill	4	2020-11-30	50		983,334	250,000
Osisko Mining Inc.	Options	Burzynski, John Feliks	4, 5	2020-11-30	50		2,700,000	600,000
Osisko Mining Inc.	Options	Calderon, Bernardo Alvarez	4	2020-11-30	50		854,701	200,000
Osisko Mining Inc.	Options	Drapack, Alexandra	5	2020-11-30	50		1,050,000	300,000
Osisko Mining Inc.	Options	Mance, Lili	5	2020-11-30	50		650,000	250,000
Osisko Mining Inc.	Options	Marcotte, Alexandria	5	2020-11-30	50		780,000	250,000
Osisko Mining Inc.	Options	McKay, Keith Douglas	4	2020-11-30	50		1,075,000	200,000
Osisko Mining Inc.	Options	Njegovan, Donald Robert	5	2020-11-30	50		1,000,000	350,000
Osisko Mining Inc.	Options	Roosen, Sean	4, 6	2020-11-30	50	3.56	1,000,000	200,000
Osisko Mining Inc.	Options	Satov, Amy Joy	4	2020-11-30	50		825,000	200,000
Osisko Mining Inc.	Options	Savard, Mathieu	5	2020-11-30	50		1,050,000	400,000
Osisko Mining Inc.	Options	Singer, Cathy	4	2020-11-30	50		400,000	200,000
Osisko Mining Inc.	Options	St-Germain, Andree	4	2020-11-30	50		400,000	200,000
Osisko Mining Inc.	Options	Vizquerra, Jose	4	2020-11-30	50		1,341,600	200,000
Osisko Mining Inc.	Options	Wares, Robert	5	2020-11-30	50		1,300,000	200,000
Osisko Mining Inc.	Options	Zaritsky, Blair David	5	2020-11-30	50		1,330,800	350,000
Ovintiv Inc.	Restricted Share Units	McCracken, Brendan Michael	5	2020-12-01	56	17.59	59,635	8,301
Ovintiv Inc.	Rights Performance Share Unit Plan	McCracken, Brendan Michael	5	2020-12-01	56	17.59	71,318	8,301
Pampa Metals Corporation	Common Shares	Bains, Gurdeep Singh	5	2020-11-27	11		850,000	800,000
Pampa Metals Corporation	Common Shares	Bavin, Julian Richard Frank	4, 5	2020-11-27	00		800,000	
Pampa Metals Corporation	Common Shares	Beale, Timothy J.	4	2020-11-27	00		800,000	
Pampa Metals Corporation	Common Shares	Manger, Adrian Phillip	4	2020-11-27	00		800,000	
Pampa Metals Corporation	Common Shares	Revelo Resources Corp.	3	2020-11-27	00		7,798,747	
Pampa Metals Corporation	Common Shares	Tsitos, Ioannis	4	2020-11-27	00		800,000	
Paramount Resources Ltd.	Options	Bell, James Geral	4	2020-12-02	50	3.84	75,000	15,000
Paramount Resources Ltd.	Options	Gobert, Wilfred Arthur	4	2020-12-02	50	3.84	60,000	15,000
Paramount Resources Ltd.	Options	Gorman, John C.	4	2020-12-02	50	3.84	75,000	15,000
Paramount Resources Ltd.	Common Shares Class A	HAN, MICHAEL S.	5	2020-12-02	10	4.16	0	-8,214
Paramount Resources Ltd.	Options	HAN, MICHAEL S.	5	2020-12-02	50	3.84	152,000	60,000
Paramount Resources Ltd.	Options	JungΘ, Dirk	4	2020-12-02	50	3.84	72,000	15,000
Paramount Resources Ltd.	Options	Kinvig, Paul Robert	5	2020-12-02	50	3.84	171,000	75,000
Paramount Resources Ltd.	Options	Lee, Bernard K.	5	2020-12-02	50	3.84	260,000	75,000
Paramount Resources Ltd.	Options	MacDonald, Robert M.	4	2020-12-02	50	3.84	60,000	15,000
Paramount Resources Ltd.	Options	MacLeod, Roderick Keith	4	2020-12-02	50	3.84	60,000	15,000
Paramount Resources Ltd.	Options	Reid, David Blake	5	2020-12-02	50	3.84	223,000	75,000
Paramount Resources	Options	Riddell Rose, Susan L.	3, 4	2020-12-02	50	3.84	75,000	15,000

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Ltd.								
Paramount Resources Ltd.	Options	Riddell, James H. T.	3, 4, 5	2020-12-02	50	3.84	658,233	150,000
Paramount Resources Ltd.	Options	Shier, E. Mitchell	5	2020-12-02	50	3.84	225,640	75,000
Paramount Resources Ltd.	Options	Sousa, Rodrigo	5	2020-12-02	50	3.84	250,000	100,000
Paramount Resources Ltd.	Options	Stotts, Garth W.J.	5	2020-12-02	50	3.84		60,000
Paramount Resources Ltd.	Options	Stotts, Garth W.J.	5	2020-12-02	50	3.84	198,000	60,000
Paramount Resources Ltd.	Options	Tahmazian, Phillip G.	5	2020-12-02	50	3.84		40,000
Paramount Resources Ltd.	Options	Tahmazian, Phillip G.	5	2020-12-02	50	3.84	125,000	40,000
Paramount Resources Ltd.	Options	Williams, John B.	5	2020-12-02	50	3.84	154,557	40,000
Paramount Resources Ltd.	Options	Wittenberg, Joerg	5	2020-12-02	50	3.84		40,000
Paramount Resources Ltd.	Options	Wittenberg, Joerg	5	2020-12-02	50	3.84	125,000	40,000
Pasinex Resources Limited	Promissory Notes	Seeley, Larry Edward	3, 4	2020-12-02	11		\$1,258,356	\$50,000
Pason Systems Inc.	common share options	Boston, Celine	5	2020-11-30	00			
Pason Systems Inc.	common share options	Boston, Celine	5	2020-11-30	50	7.33	41,250	41,250
Pason Systems Inc.	RSU	Boston, Celine	5	2020-11-30	00			
Pason Systems Inc.	RSU	Boston, Celine	5	2020-11-30	56		28,138	28,138
Pason Systems Inc.	Units PSU	Boston, Celine	5	2020-11-30	00			
Pason Systems Inc.	Units PSU	Boston, Celine	5	2020-11-30	56		103,125	103,125
Pason Systems Inc.	common share options	Boston, Kevin	5	2020-11-30	50	7.33	306,283	44,550
Pason Systems Inc.	common share options	Boston, Kevin	5	2020-11-30	52	20.62	263,283	-43,000
Pason Systems Inc.	RSU	Boston, Kevin	5	2020-11-30	59		5,409	-2,704
Pason Systems Inc.	RSU	Boston, Kevin	5	2020-11-30	56		35,798	30,389
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2020-11-30	59		214,196	-232,889
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2020-11-30	56		325,571	111,375
Pason Systems Inc.	Options	Elliott, David Robert	5	2020-11-30	50	7.33	121,845	41,250
Pason Systems Inc.	Options	Elliott, David Robert	5	2020-11-30	52	20.62	105,130	-16,715
Pason Systems Inc.	RSU	Elliott, David Robert	5	2020-11-30	59		5,379	-4,063
Pason Systems Inc.	RSU	Elliott, David Robert	5	2020-11-30	56		33,517	28,138
Pason Systems Inc.	Units PSU	Elliott, David Robert	5	2006-12-21	00			
Pason Systems Inc.	Units PSU	Elliott, David Robert	5	2020-11-30	56		103,125	103,125
Pason Systems Inc.	common share options	Faber, Jonathan	5	2020-11-30	50	7.33	432,500	90,000
Pason Systems Inc.	common share options	Faber, Jonathan	5	2020-11-30	52	20.62	372,500	-60,000
Pason Systems Inc.	RSU	Faber, Jonathan	5	2020-11-30	59		8,748	-4,374
Pason Systems Inc.	RSU	Faber, Jonathan	5	2020-11-30	56		39,444	30,696
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2020-11-30	59		332,666	-325,167
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2020-11-30	56		782,666	450,000
Pason Systems Inc.	common share options	Fenez, Natalie	5	2020-11-30	50	7.33	33,304	8,200
Pason Systems Inc.	RSU	Fenez, Natalie	5	2020-11-30	59		7,143	-2,504
Pason Systems Inc.	RSU	Fenez, Natalie	5	2020-11-30	56		15,533	8,390
Pason Systems Inc.	Options	Kessler, Marcel	5	2020-11-30	52	20.62	690,000	-100,000
Pason Systems Inc.	RSU	Kessler, Marcel	5	2020-11-30	59		20,736	-10,368
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2020-11-30	59		733,333	-666,667
Pason Systems Inc.	common share options	McLean, Bryce	5	2020-11-30	50	7.33	229,305	41,250
Pason Systems Inc.	common share	McLean, Bryce	5	2020-11-30	52	20.62	220,250	-9,055

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	options							
Pason Systems Inc.	RSU	McLean, Bryce	5	2020-11-30	59		4,407	-2,203
Pason Systems Inc.	RSU	McLean, Bryce	5	2020-11-30	56		32,545	28,138
Pason Systems Inc.	Units PSU	McLean, Bryce	5	2020-11-30	59		207,667	-155,000
Pason Systems Inc.	Units PSU	McLean, Bryce	5	2020-11-30	56		310,792	103,125
Pason Systems Inc.	common share options	Olesen, Lars	5	2020-11-30	50	7.33	184,635	41,250
Pason Systems Inc.	common share options	Olesen, Lars	5	2020-11-30	52	20.62	171,750	-12,885
Pason Systems Inc.	RSU	Olesen, Lars	5	2020-11-30	59		4,212	-2,106
Pason Systems Inc.	RSU	Olesen, Lars	5	2020-11-30	56		32,350	28,138
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2020-11-30	59		166,667	-162,500
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2020-11-30	56		269,792	103,125
Pason Systems Inc.	common share options	Smith, Russell	5	2020-11-30	50	7.33	304,250	44,550
Pason Systems Inc.	common share options	Smith, Russell	5	2020-11-30	52	20.62	261,250	-43,000
Pason Systems Inc.	RSU	Smith, Russell	5	2020-11-30	59		4,665	-2,333
Pason Systems Inc.	RSU	Smith, Russell	5	2020-11-30	56		35,054	30,389
Pason Systems Inc.	Units PSU	Smith, Russell	5	2020-11-30	59		186,668	-193,333
Pason Systems Inc.	Units PSU	Smith, Russell	5	2020-11-30	56		298,043	111,375
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2020-11-30	50	7.33	159,560	30,250
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2020-11-30	52	20.62	145,630	-13,930
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2020-11-30	59		4,212	-2,106
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2020-11-30	56		35,164	30,952
Pason Systems Inc.	Units PSU	van Beurden, Ryan	5	2020-11-30	59		166,667	-162,500
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	JOSEPH, Johnson	4, 5	2020-11-30	51	0.5	817,011	100,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	JOSEPH, Johnson	4, 5	2020-12-01	47		717,011	-100,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Options	JOSEPH, Johnson	4, 5	2020-11-30	51	0.5	1,937,000	-100,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Tessier, Charles-Andr�	4	2020-11-30	51	0.5	131,498	30,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Options	Tessier, Charles-Andr�	4	2020-11-30	51	0.5	814,500	-30,000
Peekaboo Beans Inc.	Common Shares	Saunders, Graham Edward	3	2020-11-24	10	0.035	4,952,834	3,000
Perk Labs Inc. (formerly Glance Technologies Inc.)	Common Shares	Hoyles, Jonathan	4, 5	2020-11-30	57	0.045	2,760,986	40,000
Perk Labs Inc. (formerly Glance Technologies Inc.)	Common Shares	Hoyles, Jonathan	4, 5	2020-12-04	10	0.06	2,800,986	40,000
Perk Labs Inc. (formerly Glance Technologies Inc.)	Restricted share units	Hoyles, Jonathan	4, 5	2020-11-30	57		936,492	-40,000
Perk Labs Inc. (formerly Glance Technologies Inc.)	Restricted share units	Hoyles, Jonathan	4, 5	2020-12-01	56		992,436	55,944
Perk Labs Inc. (formerly Glance Technologies Inc.)	Restricted share units	Tan, Norman Ming	5	2020-12-01	56		362,765	41,958
Perk Labs Inc.	Common Shares	Zhang, Jian Qun	5	2020-12-01	46	0.055	1,325,242	145,455

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(formerly Glance Technologies Inc.)								
Perk Labs Inc. (formerly Glance Technologies Inc.)	Common Shares	Zou, Liang	5	2020-12-01	46	0.055	521,808	177,455
Pershimex Resources Corporation	Common Shares	Bureau, Roger	3, 4, 6	2020-12-02	10	0.055	11,361,333	60,000
Pershimex Resources Corporation	Common Shares	Bureau, Roger	3, 4, 6	2020-12-02	10	0.06	11,362,333	1,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Reeder, Jeffrey	4	2020-12-02	10	0.05	4,028,191	6,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Reeder, Jeffrey	4	2020-12-04	10	0.045	4,038,191	10,000
Petrus Resources Ltd.	Director Share Units	Arnell, Patrick	4	2020-11-30	56	0.235	539,568	121,277
Petrus Resources Ltd.	Rights Director Share Units	CORMACK, Donald Gordon	4	2020-11-30	56	0.235	539,568	121,277
Petrus Resources Ltd.	Options New Options	Graham, Chris	5	2020-11-30	50	0.235	144,000	48,000
Petrus Resources Ltd.	Director Share Units	Gray, Don	4	2020-11-30	56	0.235	539,568	121,277
Petrus Resources Ltd.	Options New Options	Korchinski, Neil	5	2020-11-30	50	0.235	499,901	63,999
Petrus Resources Ltd.	Director Share Units	White, Stephen	4	2020-11-30	56	0.235	539,568	121,277
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-11-26	10	1.35	3,096,551	1,000
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-11-27	10	1.35	3,098,151	1,600
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-11-30	10	1.35	3,101,651	3,500
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Options	Field-Dyte, Quinn	4	2016-12-30	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Options	Field-Dyte, Quinn	4	2020-08-10	50	0.25	250,000	250,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Options	Field-Dyte, Quinn	4	2020-11-10	51	0.74	240,000	-10,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-11-27	10	0.2852	6,220,861	-50,001
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-11-27	10	0.2852	6,170,860	-50,001
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-11-26	10	0.29	9,515,748	-10,000
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-11-26	10	0.3	9,505,748	-10,000
Platinex Inc.	Common Shares	Ferron, Greg	4	2020-11-25	10	0.05	1,400,000	300,000
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-11-30	10	2.61	13,806	-5,000
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-11-30	10	3.4	8,806	-5,000
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-11-27	57	3.22	38,535	15,127
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-11-27	10	3.1	36,735	-1,800
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-11-27	10	3.1	36,335	-400
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-11-27	10	3.21	35,935	-400
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-11-27	10	3.26	25,435	-10,500
Platinum Group Metals Ltd.	Rights Restricted Share Units	Hallam, Frank	4, 5	2020-11-27	57		84,255	-15,127
Platinum Group Metals Ltd.	Common Shares	Walters, Diana	4	2020-11-30	99		0	-400
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Common Shares	Kiesman, Robert Jalun	4, 5	2020-12-03	10	0.315	381,000	9,500
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Common Shares	Paterson, Ian	4, 5	2020-12-03	10	0.315	1,457,480	7,000

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Industries Inc.)								
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Common Shares	Paterson, Ian	4, 5	2020-12-03	10	0.31	1,457,980	500
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Common Shares	Paterson, Ian	4, 5	2020-12-04	10	0.36	1,458,480	500
Points International Ltd.	Common Shares	Boyd, Christopher	5	2020-12-03	57	12.27		3,434
Points International Ltd.	Common Shares	Boyd, Christopher	5	2020-12-03	57	12.27	14,997	3,434
Points International Ltd.	Rights Share Units	Boyd, Christopher	5	2020-12-03	57		19,665	-7,500
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2020-12-03	10	26.25	1,550	-4,700
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2020-12-04	10	26.25	50	-1,500
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2020-12-04	10	26.26	0	-50
Power Corporation of Canada	Subordinate Voting Shares	Barrett, Deborah Jean	7	2020-02-18	22			203
Power Corporation of Canada	Subordinate Voting Shares	Barrett, Deborah Jean	7	2020-02-18	22		369	203
Power Corporation of Canada	Subordinate Voting Shares	Conway, Heather	7	2020-02-20	22		637	245
Power Financial Corporation	Common Shares	Barrett, Deborah Jean	7	2020-02-18	22			-194
Power Financial Corporation	Common Shares	Barrett, Deborah Jean	7	2020-02-18	22		0	-194
Power Financial Corporation	Common Shares	Conway, Heather	7	2020-02-20	22		0	-225
PrairieSky Royalty Ltd.	Options	KAZEIL, PAMELA PEARL	5	2020-11-24	52		255,495	-35,438
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2020-11-20	10	18.175		1,250
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2020-11-20	10	18.175	2,000	1,250
Premier Diversified Holdings Inc.	Options	Cooke, Geoffrey Andrew	8, 4, 6, 7	2020-04-07	52		0	-40,000
Premier Diversified Holdings Inc.	Options	Cooke, Geoffrey Andrew	8, 4, 6, 7	2020-12-04	50		750,000	750,000
Premier Diversified Holdings Inc.	Options	Davidson, Marta Catherine	5	2019-07-11	52		0	-150,000
Premier Diversified Holdings Inc.	Options	Davidson, Marta Catherine	5	2020-12-04	50		750,000	750,000
Premier Diversified Holdings Inc.	Options	Durand, Donald John	4	2020-12-04	50		750,000	750,000
Premier Diversified Holdings Inc.	Options	Mohan, Alnesh	8, 4, 6, 7, 5	2020-12-04	50		1,250,000	1,250,000
Premier Diversified Holdings Inc.	Options	Parsad, Sanjeev	4, 6, 7, 5	2020-12-04	50		2,250,000	2,250,000
Premier Diversified Holdings Inc.	Options	Sutcliffe, Simon Bruce	4, 5	2019-07-11	52		0	-150,000
Premier Diversified Holdings Inc.	Options	Sutcliffe, Simon Bruce	4, 5	2020-12-04	50		750,000	750,000
Premier Diversified Holdings Inc.	Options	Tsung, Eric	5	2020-12-04	50		350,000	350,000
Pro Real Estate Investment Trust	Units	Lawlor, Gordon G.	5	2020-12-02	10	5.9	203,421	500
Pro Real Estate Investment Trust	Units	Lawlor, Gordon G.	5	2020-12-02	10	5.91	204,321	900
Pro Real Estate Investment Trust	Units	Lawlor, Gordon G.	5	2020-12-02	10	5.92	206,921	2,600
ProntoForms Corporation	Common Shares	Deck, Philip Charles	4	2015-10-06	00			
ProntoForms Corporation	Common Shares	Deck, Philip Charles	4	2020-12-01	90		6,466,611	6,466,611

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ProntoForms Corporation	Common Shares	Deck, Philip Charles	4	2020-12-01	90		0	-7,999,450
Prosper Gold Corp. (formerly Lander Energy Corporation)	Warrants	Plethora Precious Metals Fund Management	3	2020-11-29	55		390,909	-250,000
Prosper Gold Corp. (formerly Lander Energy Corporation)	Warrants	Stichting Depository Plethora Precious Metals Fund	3	2020-11-29	55		390,909	-250,000
Puma Exploration Inc.	Common Shares	Brisson G., Ginette	5	2020-12-02	16	0.2	135,000	35,000
Puma Exploration Inc.	Warrants	Brisson G., Ginette	5	2020-12-02	53	0.25	134,167	17,500
Puma Exploration Inc.	Common Shares	Gosselin, ROjean	4	2020-08-12	00			
Puma Exploration Inc.	Common Shares	Gosselin, ROjean	4	2020-12-03	16	0.15	400,000	400,000
Puma Exploration Inc.	Warrants	Gosselin, ROjean	4	2020-08-12	00			
Puma Exploration Inc.	Warrants	Gosselin, ROjean	4	2020-12-03	16		400,000	400,000
Q Investments Ltd.	Common Shares	Martin, John Howard	4	2018-11-29	10	0.46		-10,000
Q Investments Ltd.	Common Shares	Martin, John Howard	4	2018-11-29	10	0.46	158,834	-12,666
Q Investments Ltd.	Common Shares	Martin, John Howard	4	2018-12-05	11	0.3		33,333
Q Investments Ltd.	Common Shares	Martin, John Howard	4	2018-12-05	11	0.3	193,500	34,666
QuestCap Inc	Options	Atin, Aaron	5	2020-12-03	50	0.16	600,000	300,000
QuestCap Inc	Options	Baizak, Daniyal	4	2020-12-03	50	0.16	150,000	50,000
QuestCap Inc	Options	Battiston, Deborah	5	2020-12-03	50	0.16	895,000	427,500
QuestCap Inc	Options	Sommerville, Doug	4, 5	2020-12-03	50	0.16	2,345,000	845,000
QuestCap Inc	Options	Ye, Wen	4	2020-07-06	00			
QuestCap Inc	Options	Ye, Wen	4	2020-12-03	50	0.16	100,000	100,000
Quizam Media Corp.	Common Shares	Rossi, Russ	5	2020-12-02	16	0.24	597,456	208,000
Quizam Media Corp.	Warrants	Rossi, Russ	5	2020-12-02	16	0.4	486,502	104,000
RAMM Pharma Corp.	Common Shares	RAMM Pharma Corp.	1	2020-12-02	38		0	-265,000
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	2020-12-02	90	0.41	221,225	-50,000
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	2020-12-02	90	0.41	87,668	50,000
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Brasseur, Jeremy	6	2020-11-26	10	14.45	1,100	100
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Brasseur, Jeremy	6	2020-11-30	10	14.678	2,200	1,100
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Brasseur, Jeremy	6	2020-12-02	10	14.5	2,400	200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-10	38	22.998	413,818	413,818
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-10	38	22.998	0	-413,818
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-11	38	23	400	400
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-11	38	23	0	-400
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-20	38	22.368	24,400	24,400
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-20	38	22.368	0	-24,400
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-23	38	20.506	26,800	26,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-23	38	20.506	0	-26,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-24	38	19.624	131,758	131,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-24	38	19.624	0	-131,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-25	38	19.574	134,758	134,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-25	38	19.574	0	-134,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-26	38	20.489	67,500	67,500
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-26	38	20.489	0	-67,500
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-27	38	19.971	105,758	105,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-27	38	19.971	0	-105,758
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-30	38	19.263	67,900	67,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2020-11-30	38	19.263	0	-67,900
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-11-30	10	19.378	3,730,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-01	10	18.635	3,727,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-02	10	18.758	3,724,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-03	10	18.601	3,721,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-04	10	18.786	3,718,384	-3,000
Reconnaissance Energy Africa Ltd.	Common Shares	Dhanani, Shiraz	4	2020-02-18	00			

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Reconnaissance Energy Africa Ltd.	Common Shares	Dhanani, Shiraz	4	2020-11-27	10	0.51	100,000	100,000
Reconnaissance Energy Africa Ltd.	Common Shares	Dhanani, Shiraz	4	2020-11-27	10	1.73	0	-100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	51	0.51		-100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	51	0.51		-100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	10	0.51		100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	10	0.51		100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	10	1.73		-100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	10	1.73		-100,000
Reconnaissance Energy Africa Ltd.	Options	Dhanani, Shiraz	4	2020-11-27	51	0.51	250,000	-100,000
Reconnaissance Energy Africa Ltd.	Common Shares	Tudela, Anna Maria	5	2020-12-02	10	1.87	0	-25,000
Reko International Group Inc.	Options	Cutting, Barrie	7	2018-12-12	50	2.9		2,400
Reko International Group Inc.	Options	Cutting, Barrie	7	2018-12-12	50	2.9		2,400
Reko International Group Inc.	Options	Cutting, Barrie	7	2020-06-11	00			
Reko International Group Inc.	Options	Cutting, Barrie	7	2020-06-11	00		12,400	
Reko International Group Inc.	Options	Rauch, Paul	7	2018-12-12	50	2.9		2,600
Reko International Group Inc.	Options	Rauch, Paul	7	2018-12-12	50	2.9		2,600
Reko International Group Inc.	Options	Rauch, Paul	7	2020-06-11	00			
Reko International Group Inc.	Options	Rauch, Paul	7	2020-06-11	00		12,600	
RepliCel Life Sciences Inc.	Common Shares	Hoffmann, Rolf	4, 5	2020-10-26	10	0.15	505,698	-15,000
RepliCel Life Sciences Inc.	Common Shares	Hoffmann, Rolf	4, 5	2020-11-30	10	0.21	489,572	-16,126
Revival Gold Inc.	Common Shares	Hubert, Wayne	4	2020-11-30	10	0.7258	133,333	50,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Marshall, Stephen, Anthony	5	2020-11-30	51	0.24	21,136,666	500,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	Marshall, Stephen, Anthony	5	2020-11-30	51	0.24	2,500,000	-500,000
Rhyolite Resources Ltd.	Common Shares	Tsung, Cybill	5	2020-11-25	11	0.3	138,500	138,500
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Di Gennaro, Enzo	5	2005-05-25	00			
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Di Gennaro, Enzo	5	2020-11-26	11	67.25	11,500	11,500
Richards Packaging Income Fund	Special Voting Units	Di Gennaro, Enzo	5	2005-05-25	00			
Richards Packaging Income Fund	Special Voting Units	Di Gennaro, Enzo	5	2020-11-26	11	0.001	11,500	11,500
Richards Packaging Income Fund	Trust Units	Di Gennaro, Enzo	5	2020-11-26	10	67.25	38,500	-11,500
Richards Packaging Income Fund	Trust Units	Edwards, Terry	5	2020-11-27	10	66.25	8,200	1,000

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Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2004-04-07	00			
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	66.06	63,212	63,212
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	66.06	0	-52,121
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-26	11	67.25	15,650	-11,500
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-26	11	67.25	5,241	-10,409
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	66.06	0	-5,241
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	66.06	0	-5,850
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2004-04-07	00			
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	0.0001	63,212	63,212
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	0.0001	0	-52,121
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-26	11	0.0001	15,650	-11,500
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-26	11	0.001	5,241	-10,409
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	0.001	0	-5,241
Richards Packaging Income Fund	Special Voting Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	11	0.001	0	-5,850
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	90	66.06	0	-564,093
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2004-04-07	00			
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	90	66.06	2,193,156	2,193,156
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	90	66.06	0	-169,433
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-26	10	67.25	1,336,630	11,500
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	90	66.06	0	-1,336,630
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-11-27	90	66.06	0	-123,000
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Prupas, David Lewis	7	2004-04-07	00			
Richards Packaging Income Fund	Exchangeable Shares of Richards Packaging Holdings Inc.	Prupas, David Lewis	7	2020-11-26	11	67.25	10,409	10,409
Richards Packaging Income Fund	Special Voting Units	Prupas, David Lewis	7	2004-04-07	00			
Richards Packaging Income Fund	Special Voting Units	Prupas, David Lewis	7	2020-11-26	11	0.01	10,409	10,409
Richelieu Hardware	UnitOs d'actions	Chabot, Lucie	4	2020-11-30	56	37.06	1,536	506

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Ltd.	diffOrOes							
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Courteau, Robert	4, 5	2020-11-30	56	37.06	67,934	573
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Gauvin, Mathieu	4	2020-11-30	56	37.06	75,252	573
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Martin, Luc	4	2020-11-30	56	37.06	1,536	506
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Pomerleau, Pierre	4	2020-11-30	56	37.06	11,759	506
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Poulin, Marc	4	2020-11-30	56	37.06	21,971	506
Richelieu Hardware Ltd.	UnitOs d'actions diffOrOes	Vachon, Sylvie	4	2020-11-30	56	37.06	13,450	1,012
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-11-27	10	17	10,766,763	2,733
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-11-27	10	17	10,765,424	-1,339
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-11-30	10	17.23	10,772,224	6,800
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-11-30	10	17.23	10,765,410	-6,814
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-01	10	17.11	10,765,461	51
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-01	10	17.11	10,765,410	-51
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-03	10	17.186	10,790,242	24,832
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-03	10	17.21	10,770,770	-19,472
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-03	10	17.1	10,768,760	-2,010
Rise Gold Corp.	Common Shares	Boon, Vince	5	2020-11-27	10	0.84	0	-9,607
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-11-26	10	2.95	2,206,050	-800
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-11-26	10	2.96	2,205,850	-200
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-11-26	10	2.98	2,203,950	-1,900
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-11-27	10	2.98	2,194,950	-9,000
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-11-27	10	2.91	2,186,850	-8,100
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-11-26	10	2.95	2,206,050	-800
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-11-26	10	2.96	2,205,850	-200
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-11-26	10	2.98	2,203,950	-1,900
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-11-27	10	2.98	2,194,950	-9,000
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-11-27	10	2.91	2,186,850	-8,100
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-11-26	10	2.95	2,206,050	-800
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-11-26	10	2.96	2,205,850	-200
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-11-26	10	2.98	2,203,950	-1,900
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-11-27	10	2.98	2,194,950	-9,000
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-11-27	10	2.91	2,186,850	-8,100
RJK Explorations Ltd.	Common Shares	Kasner, Glenn Charles	4, 5	2020-11-26	10	0.18	834,968	55,000
RMMI Corp.	Common Shares	Chen, Eugene	4	2020-12-01	11		465,000	45,000
Rogers Communications Inc.	Restricted Share Units	Johnston, Brent Russell	5	2020-12-01	30		18,916	652
Rogers Communications Inc.	Restricted Share Units	Johnston, Brent Russell	5	2020-12-01	59	60.87	0	-18,916
Rogers Sugar Inc.	Common Shares	Collins, Gary	4	2020-12-01	10	5.58	264	-8,000
Roughrider Exploration Limited (formerly,	Common Shares	Travis, Adam Robert	4, 5	2020-12-01	10	0.14	4,326,500	10,000

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Westham Resources Corp.)								
Royal Helium Ltd.	Common Shares	Halabura, Stephen Philip	5	2020-11-30	10	0.27	593,000	-39,500
RT Minerals Corp.	Common Shares	CLARK, DONALD M.	3, 4, 5	2020-12-01	10	0.175	4,556,050	9,000
Rubicon Organics Inc.	Common Shares	Disher, John Bryan	4	2020-11-30	54	3.5	47,000	18,500
Rubicon Organics Inc.	Warrants	Disher, John Bryan	4	2020-11-30	54		0	-18,500
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-11-30	10	5.57	19,674,300	-7,300
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-11-30	10	5.65	19,674,200	-100
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-11-30	10	20.8	115,000	-405
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-03	51	18.11	125,000	10,000
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-03	10	21.203	115,000	-10,000
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	47	21.19	105,000	-10,000
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	51	18.11	126,528	21,528
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.38	123,828	-2,700
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.36	121,828	-2,000
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.37	119,500	-2,328
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.33	118,900	-600
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.34	118,800	-100
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.395	117,900	-900
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.39	114,000	-3,900
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.385	112,200	-1,800
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.4	110,200	-2,000
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.43	108,700	-1,500
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.445	108,600	-100
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.41	107,300	-1,300
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.415	106,900	-400
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.42	106,600	-300
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.35	105,700	-900
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.405	105,100	-600
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	10	21.44	105,000	-100
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-04	47	21.19	20,000	10,000
Russel Metals Inc.	Options	Hedges, Brian Robie	4	2020-12-03	51	18.11	526,773	-10,000
Russel Metals Inc.	Options	Hedges, Brian Robie	4	2020-12-04	51	18.11	505,245	-21,528
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-11-23	10	0.27	1,823,888	3,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-11-30	10	0.22	1,834,888	11,000
Santacruz Silver Mining Ltd.	Common Shares	PrOstamo Elizondo, Arturo	3, 4, 5	2020-12-03	51	0.15	7,825,441	1,000,000
Santacruz Silver Mining Ltd.	Common Shares	PrOstamo Elizondo, Arturo	3, 4, 5	2020-12-03	54	0.18	8,225,441	400,000
Santacruz Silver Mining Ltd.	Common Shares	PrOstamo Elizondo, Arturo	3, 4, 5	2020-12-03	11		6,825,441	-1,400,000
Santacruz Silver Mining Ltd.	Options	PrOstamo Elizondo, Arturo	3, 4, 5	2020-12-03	51		1,000,000	-1,000,000
Santacruz Silver Mining Ltd.	Warrants	PrOstamo Elizondo, Arturo	3, 4, 5	2020-12-03	54		1,872,727	-400,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-08-17	10	0.317	14,972,000	-28,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-08-18	10	0.315	14,872,000	-100,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-08-19	10	0.288	14,797,000	-75,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-08-20	10	0.287	14,762,000	-35,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-08-21	10	0.286	14,661,500	-100,500
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-15	10	0.326	14,574,500	-87,000

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Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-16	10	0.328	14,245,000	-329,500
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-19	10	0.303	14,211,500	-33,500
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-21	10	0.294	14,044,500	-167,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-22	10	0.294	14,011,500	-33,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-23	10	0.28	14,003,500	-8,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-26	10	0.281	13,921,500	-82,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-10-27	10	0.28	13,920,000	-1,500
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-11-03	10	0.282	13,890,000	-30,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-11-05	10	0.294	13,750,500	-139,500
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-11-06	10	0.304	13,681,500	-69,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-11-09	10	0.288	13,661,500	-20,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-12-03	51	0.18	14,561,500	900,000
Santacruz Silver Mining Ltd.	Common Shares	Silva, Carlos Alberto	4, 5	2020-12-03	11		13,661,500	-900,000
Santacruz Silver Mining Ltd.	Options	Silva, Carlos Alberto	4, 5	2020-12-03	51		600,000	-900,000
Saputo Inc.	Common Shares	Guido, Frank	5	2020-11-30	10	36.203	3,351	400
Saputo Inc.	Common Shares	Guido, Frank	5	2020-11-27	10	35.74	1,904	400
Score Media and Gaming Inc. (formerly theScore, Inc.)	Subordinate Voting Shares - Class A	Cooper, Brian	4	2020-04-22	00			
Score Media and Gaming Inc. (formerly theScore, Inc.)	Subordinate Voting Shares - Class A	Cooper, Brian	4	2020-12-01	10	1.483	16,633	16,633
ScoZinc Mining Ltd.	Common Shares	Mehra, Ashwath	4	2020-05-18	11	0.3875	1,538,334	913,334
Search Minerals Inc.	Options	Bennett, Jocelyn Mary	4	2020-11-16	50		2,150,000	1,500,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-03	38	145.24	1,000	1,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-09	38	149.5	2,000	1,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-10	38	148	3,000	1,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-11	38	149	3,300	300
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-12	38	145	3,700	400
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-16	38	151	3,900	200
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2020-11-30	38		0	-3,900
ShaMaran Petroleum Corp.	Common Shares	Nemesia S.a.r.l.	3	2020-12-04	11		13,400,000	2,280,000
Sharc International Systems Inc.	Common Shares	Despotovski, Sasko	4	2020-09-22	10	0.275	0	-60,000
Sharc International Systems Inc.	Common Shares	Despotovski, Sasko	4	2020-12-03	51	0.075	60,000	60,000
Sharc International Systems Inc.	Options	Despotovski, Sasko	4	2020-12-03	51	0.075	130,000	-60,000
Sherritt International Corporation	Common Shares	Lapthorne, Sir Richard Douglas	4	2020-12-04	10	33.5		200,000
Sherritt International Corporation	Common Shares	Lapthorne, Sir Richard Douglas	4	2020-12-04	10	0.335	290,500	200,000
Shopify Inc.	RSU	Finkelstein, Harley Michael	5	2020-12-01	57		11,965	-1,220
Shopify Inc.	Subordinate Voting Shares Class A	Finkelstein, Harley Michael	5	2020-11-30	30	1045	547	-332
Shopify Inc.	Subordinate Voting Shares Class A	Finkelstein, Harley Michael	5	2020-12-01	30	1078.8	140	-407

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Shopify Inc.	Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-01	57		1,360	1,220
Shopify Inc.	Subordinate Voting Shares Class A	Finkelstein, Harley Michael	5	2020-12-01	10	1069.5	675	-685
Shopify Inc.	Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-04	30	1066.4	138	-537
Shopify Inc.	Options	Forsyth, Brittany Jean	5	2020-12-01	51	22.44	62,982	-2,076
Shopify Inc.	RSU	Forsyth, Brittany Jean	5	2020-12-01	57		9,371	-611
Shopify Inc.	Subordinate Voting Shares Class A	Forsyth, Brittany Jean	5	2020-11-30	30	1045	298	-221
Shopify Inc.	Subordinate Voting Shares	Forsyth, Brittany Jean	5	2020-12-01	30	1078.8	44	-254
Shopify Inc.	Subordinate Voting Shares Class A	Forsyth, Brittany Jean	5	2020-12-01	51	22.44	2,120	2,076
Shopify Inc.	Subordinate Voting Shares	Forsyth, Brittany Jean	5	2020-12-01	30	1071	44	-2,076
Shopify Inc.	Subordinate Voting Shares Class A	Forsyth, Brittany Jean	5	2020-12-01	57		655	611
Shopify Inc.	Subordinate Voting Shares	Forsyth, Brittany Jean	5	2020-12-01	10	1069.5	329	-326
Shopify Inc.	Subordinate Voting Shares Class A	Forsyth, Brittany Jean	5	2020-12-04	30	1066.4	60	-269
Shopify Inc.	Subordinate Voting Shares	Frasca, Joseph Andrew	5	2020-12-01	57		6,493	-915
Shopify Inc.	Subordinate Voting Shares Class A	Frasca, Joseph Andrew	5	2020-11-25	10	998.72		-496
Shopify Inc.	Subordinate Voting Shares	Frasca, Joseph Andrew	5	2020-11-25	10	998.72	873	-496
Shopify Inc.	Subordinate Voting Shares Class A	Frasca, Joseph Andrew	5	2020-12-01	57		1,788	915
Shopify Inc.	Subordinate Voting Shares	Frasca, Joseph Andrew	5	2020-12-01	10	1090.4		-505
Shopify Inc.	Subordinate Voting Shares Class A	Frasca, Joseph Andrew	5	2020-12-01	10	1090.4	1,275	-513
Shopify Inc.	Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-12-01	57		10,789	-457
Shopify Inc.	Subordinate Voting Shares Class A	Lemieux, Jean-Michel	5	2020-11-30	30	1045	9,629	-1,000

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Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-12-01	57		10,086	457
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-12-01	30	1090.4		-252
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-12-01	10	1090.4	9,847	-239
Shopify Inc.	Options	Lutke, Tobias Albin	4, 5	2020-12-01	51	136.55	225,619	-12,770
Shopify Inc.	RSU	Lutke, Tobias Albin	4, 5	2020-12-01	57		5,458	-2,441
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-11-30	30	1045	111	-1,327
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-01	51	136.55	12,881	12,770
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-01	30	1069.6		-12,770
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-01	30	1069.6	111	-12,770
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-01	57		2,552	2,441
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-01	10	1069.5	1,181	-1,371
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-04	30	1066.4	107	-1,074
Shopify Inc.	RSU	Shannan, Toby David	5	2020-12-01	57		9,005	-305
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Toby David	5	2020-12-01	57		16,389	305
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Toby David	5	2020-12-01	10	1090.4	16,218	-171
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-11-25	10	971.24		-510
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-11-25	10	971.24	17,610	-496
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-20	10	15.03	28,902	-5,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-24	10	15.03		-5,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-25	10	18.32	23,902	-5,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-26	10	18.92	22,902	-1,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-27	10	18.32		-5,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason	5	2020-11-27	10	19.28	17,902	-5,000

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		Lawrence						
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-11-27	10	19.8	7,902	-10,000
Silver Shield Resources Corp.	Common Shares	Kordy, Frank	4	2013-12-27	00			
Silver Shield Resources Corp.	Common Shares	Kordy, Frank	4	2013-12-27	00		33,333	
SILVERCORP METALS INC.	Common Shares without par value	Kong, David TokPay	4	2020-11-30	10	7.62	150,333	-3,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2020-12-03	10	0.22	2,569,000	1,000
SITKA GOLD CORP.	Common Shares	Maclean, Peter George	4	2020-12-02	10	0.16	703,000	5,000
Skarb Exploration Corp.	Options	Parry, Craig Andrew	3, 4, 5	2020-11-27	50	2.52		250,000
Skarb Exploration Corp.	Options	Parry, Craig Andrew	3, 4, 5	2020-11-27	50	2.52		250,000
Skeena Resources Limited	Options	Coles, Jr., Walter	4	2020-11-27	50		6,152,500	1,200,000
Skeena Resources Limited	Options	Hayre, Sukhjot	4	2020-11-27	50	2.52	575,000	200,000
Skeena Resources Limited	Options	Parry, Craig Andrew	4	2020-11-27	50	2.52	1,710,000	250,000
Skeena Resources Limited	Options	Putnam, III, Borden Roger	4	2020-11-27	50	2.52	475,000	200,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	adelson, marc	4	2019-04-23	00			
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	adelson, marc	4	2020-12-02	50	0.77	19,000	19,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Common Shares	Brogan, Thomas	4	2020-01-27	00			
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Common Shares	Brogan, Thomas	4	2020-12-03	10	0.86	8,500	8,500
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Common Shares	Brogan, Thomas	4	2020-12-03	10	0.82	10,000	1,500
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Brogan, Thomas	4	2020-01-27	00			
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Brogan, Thomas	4	2020-12-02	50	77	10,000	10,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Cummins, Peter	4	2019-07-31	00			
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Cummins, Peter	4	2020-12-02	50	0.77	13,000	13,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Qureshi, Kashaf	4	2020-12-02	50	0.77	2,868,220	1,500,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Sekar, Pradyum	4	2020-12-02	50	0.77	2,868,220	1,500,000
SLANG Worldwide Inc.	Common Shares	Driessen, Christopher Lee	4, 5	2020-12-04	57	0.28	3,619,563	294,957
SLANG Worldwide Inc.	Rights Restricted Share Units	Driessen, Christopher Lee	4, 5	2020-12-04	57	0.28	2,500,000	-500,000
SLANG Worldwide Inc.	Common Shares	Ehler, Kelly Tyler	4	2020-12-04	57	0.28	388,500	375,000
SLANG Worldwide Inc.	Rights Restricted Share Units	Ehler, Kelly Tyler	4	2020-12-04	57	0.28	375,000	-375,000
SLANG Worldwide Inc.	Common Shares	Miller, Peter William John	4, 5	2020-12-01	36	0.24		4,359,481
SLANG Worldwide Inc.	Common Shares	Miller, Peter William John	4, 5	2020-12-01	57	0.24		4,359,481

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SLANG Worldwide Inc.	Common Shares	Miller, Peter William John	4, 5	2020-12-01	57	0.24	12,859,481	4,359,481
SLANG Worldwide Inc.	Convertible Notes Convertible Promissory Note	Miller, Peter William John	4, 5	2020-12-01	57	0.24		-\$807,000
SLANG Worldwide Inc.	Convertible Notes Convertible Promissory Note	Miller, Peter William John	4, 5	2020-12-01	57		\$1,843,030	-\$807,000
SLANG Worldwide Inc.	Common Shares	Moynan, Johnathan	4	2020-12-04	57	0.28	730,931	217,962
SLANG Worldwide Inc.	Restricted Shares	Moynan, Johnathan	4	2020-08-26	00			
SLANG Worldwide Inc.	Restricted Shares	Moynan, Johnathan	4	2020-08-26	00		138,107	
SLANG Worldwide Inc.	Rights Restricted Share Units	Moynan, Johnathan	4	2020-12-04	57	0.28	2,375,000	-375,000
SLANG Worldwide Inc.	Common Shares	Rutherford, Mikel Patrick Alexander	5	2020-12-04	57	0.28	387,321	174,264
SLANG Worldwide Inc.	Rights Restricted Share Units	Rutherford, Mikel Patrick Alexander	5	2020-12-04	57	0.28	2,375,000	-375,000
SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2020-12-03	10	0.31	1,620,800	-50,000
SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2020-12-03	10	0.32	1,580,800	-40,000
SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2020-12-04	10	0.33	1,530,800	-50,000
SLANG Worldwide Inc.	Restricted Shares	Verdun, Robert	4	2020-07-08	00			
SLANG Worldwide Inc.	Restricted Shares	Verdun, Robert	4	2020-07-08	00		270,376	
SLANG Worldwide Inc. (formerly Fire Cannabis Inc.)	Restricted Shares	Driessen, Christopher Lee	4, 5	2019-01-22	45			683,630
SLANG Worldwide Inc. (formerly Fire Cannabis Inc.)	Restricted Shares	Driessen, Christopher Lee	4, 5	2019-01-22	45			647,832
SLANG Worldwide Inc. (formerly Fire Cannabis Inc.)	Restricted Shares	Driessen, Christopher Lee	4, 5	2019-01-22	45			691,282
SLANG Worldwide Inc. (formerly Fire Cannabis Inc.)	Restricted Shares	Driessen, Christopher Lee	4, 5	2019-01-22	45		690,535	690,535
Slate Office REIT	Trust Units	Duke, Nora	4	2020-12-03	10	4.23	19,100	5,000
Smart Employee Benefits Inc	Convertible Debentures 5 years at 10%	The Co-operators Group Limited	3	2020-11-30	00		\$20,000,000	
Solution Financial Inc.	Options	Smyth, John Randall	4	2020-11-16	00		350,000	
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-11-25	10	0.26	583,318	-8,500
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-11-25	10	0.255	581,818	-1,500
SponsorsOne Inc.	Options	Bartholomew, Gary	4	2020-11-30	50	0.01	6,200,000	4,000,000
SponsorsOne Inc.	Options	Bartholomew, Myles	3	2020-12-01	50	0.01		1,000,000
SponsorsOne Inc.	Options	Bartholomew, Myles	3	2020-12-01	50	0.01	2,950,000	2,000,000
SponsorsOne Inc.	Options	Beynon, William	4	2020-11-30	50		3,375,000	2,000,000
SponsorsOne Inc.	Options	Kokkinis, Sandy	5	2020-11-30	50	0.01	2,800,000	2,000,000
SponsorsOne Inc.	Options	Ostrenko, Witold	4	2020-11-22	00			
SponsorsOne Inc.	Options	Ostrenko, Witold	4	2020-11-23	50		1,000,000	1,000,000
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	2020-12-01	10	0.035	2,556,458	5,000
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	2020-12-03	10	0.03	2,561,458	5,000
Spot Coffee (Canada) Ltd.	Common Shares	Lorenzo, John Michael	4	2020-11-27	10	0.03	10,949,050	30,000
Spot Coffee (Canada) Ltd.	Common Shares	Lorenzo, John Michael	4	2020-11-30	10	0.03	10,964,050	15,000
Spot Coffee (Canada) Ltd.	Common Shares	Lorenzo, John Michael	4	2020-12-01	10	0.035	10,974,050	10,000
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Antal, Rod	4, 5	2020-09-16	00		536,687	
SSR Mining Inc. (Silver Standard Resources	Common Shares	Bates, Thomas Robert	4	2020-09-16	00		16,230	

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Inc.)								
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Beckman, Stewart	5	2020-09-16	00		66,758	
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Dowling, Edward Camp	4	2020-09-16	00		33,657	
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Dowling, Edward Camp	4	2020-12-01	10	18.95	0	-33,657
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Farid, Fady Adel Edward	5	2020-09-16	00		43,772	
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Krusi, Alan Peter	4	2020-09-16	00		27,591	
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Priestly, Kay Gravolet	4	2020-09-16	00			
SSR Mining Inc. (Silver Standard Resources Inc.)	Common Shares	Sparks, Michael John	5	2020-09-16	00		65,549	
St-Georges Eco-Mining Corp.	Common Shares	Vilhjalmsson, Vilhjalmur Thor	4	2020-11-25	11	0.1	909,000	500,000
St-Georges Eco-Mining Corp.	Warrants	Vilhjalmsson, Vilhjalmur Thor	4	2020-11-25	11		800,000	500,000
Standard Lithium Ltd.	Options	Norman, Kara Leah	5	2020-03-09	50	0.76	650,000	350,000
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-09	38	38.831	220,614	220,614
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-09	38	38.831	0	-220,614
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-10	38	38.785	54,579	54,579
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-10	38	38.785	0	-54,579
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-11	38	38.751	51,579	51,579
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-11	38	38.751	0	-51,579
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-12	38	38.51	56,679	56,679
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-12	38	38.51	0	-56,679
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-13	38	38.949	56,679	56,679
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-13	38	38.949	0	-56,679
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-16	38	38.993	52,179	52,179
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-16	38	38.993	0	-52,179
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-17	38	39.122	56,146	56,146
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-17	38	39.122	0	-56,146
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-18	38	39.337	56,146	56,146
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-18	38	39.337	0	-56,146
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-19	38	39.166	50,546	50,546
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-19	38	39.166	0	-50,546
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-20	38	39.217	52,746	52,746
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-20	38	39.217	0	-52,746
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-24	38	39.1	236,100	236,100
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-24	38	39.1	0	-236,100
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-25	38	39.311	44,700	44,700
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-25	38	39.311	0	-44,700
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-26	38	39.42	20,700	20,700
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-26	38	39.42	0	-20,700
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-27	38	39.368	14,300	14,300
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-27	38	39.368	0	-14,300
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-30	38	39.246	50,246	50,246
Stantec Inc.	Common Shares	Stantec Inc.	1	2020-11-30	38	39.246	0	-50,246
Stella-Jones Inc.	Common Shares	Dallas, Jason	5	2020-12-01	00			
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-24	10	2	616,440	1,000
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-25	10	2.05	617,040	600
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-25	10	2.06	618,440	1,400
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-25	10	2.07	619,380	940

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Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-25	10	2.11	620,305	925
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-26	10	2.08	620,955	650
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-11-30	10	1.99	623,735	2,780
Stingray Group Inc.	Deferred Share Units (DSU)	Boyko, Jiric	3, 4, 5	2020-11-30	56	6.7002	239,910	22,690
Storm Resources Ltd.	Options	Wignes, Ingrid Emily	5	2020-12-01	52		454,000	-180,000
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2020-12-01	51	21.53	114,153	28,106
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2020-12-01	10	57.61	86,047	-28,106
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2020-12-01	51	21.53	1,246,554	-28,106
Sun Life Financial Inc.	Common Shares	Coyles, Stephanie	4	2020-12-04	10	56.86	6,100	400
Suncor Energy Inc.	Common Shares	Francoeur, Bruno	5	2020-12-01	10	19.553		53
Suncor Energy Inc.	Common Shares	Francoeur, Bruno	5	2020-12-01	10	19.553		53
Suncor Energy Inc.	Common Shares	Francoeur, Bruno	5	2020-12-01	10	19.553	1,229	53
Suncor Energy Inc.	Common Shares	Francoeur, Bruno	5	2020-12-01	10	21.548	0	-1,229
SunOpta Inc.	Common Shares	Barnett, Jill	5	2020-12-01	30	7.9679	59,055	791
SunOpta Inc.	Common Shares	Buick, Mike	5	2020-12-01	30	7.9679	96,274	740
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-02	38	1.29	3,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-03	38	1.2637	6,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-05	38	1.29	12,000	6,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-06	38	1.29	15,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-09	38	1.27	18,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-10	38	1.27	21,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-11	38	1.3	24,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-12	38	1.3	27,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-13	38	1.51	30,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-16	38	1.48	33,000	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-17	38	1.49	35,500	2,500
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-18	38	1.51	38,300	2,800
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-19	38	1.51	40,900	2,600
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-20	38	1.53	43,500	2,600
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-23	38	1.54	46,000	2,500
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-24	38	1.65	48,300	2,300
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-27	38	1.73	51,300	3,000
Supremex Inc.	Common Shares	Supremex Inc	1	2020-11-30	38	1.73	54,300	3,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-11-27	38	10.65	567,000	400
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-11-30	38	10.579	570,100	3,100
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-12-02	38	10.58	570,500	400
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-12-03	38	10.643	570,800	300
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-08-14	00			
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-11-30	10	9.5446	3,900	3,900
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-11-26	38	9.5795	266,300	10,800
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-11-27	38	9.532	269,300	3,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-11-30	38	9.4893	282,300	13,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-01	38	9.4904	294,600	12,300

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Fund		Fund						
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-02	38	9.4806	301,400	6,800
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-03	38	9.4468	310,700	9,300
Synex International Inc.	Options	Sgro, Danny	4	2020-11-20	50	0.225	220,000	100,000
Taal Distributed Information Technologies Inc.	Options	Diaz, Esteban	8	2020-12-03	50	2.1	25,000	20,000
Taal Distributed Information Technologies Inc.	Options	Druzeta, Conrad M.	5	2020-12-03	50	2.1	60,000	40,000
Taal Distributed Information Technologies Inc.	Options	Holowaychuk, Angela	4, 5	2020-12-03	50	2.1	95,000	50,000
Taal Distributed Information Technologies Inc.	Common Shares	Matthew, Whitcomb	8	2020-12-02	10	1.95	5,500	3,000
Taal Distributed Information Technologies Inc.	Options	Matthew, Whitcomb	8	2020-01-01	00			
Taal Distributed Information Technologies Inc.	Options	Matthew, Whitcomb	8	2020-12-03	50	2.1	20,000	20,000
Taal Distributed Information Technologies Inc.	Options	Matthews, Stefan	4	2020-12-03	50	2.1	340,000	300,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Ma, Kevin	4	2020-11-25	10	3.06	0	-42,800
Taiga Building Products Ltd.	Common Shares	Flagel, Brian	4	2012-08-22	10			10,000
Taiga Building Products Ltd.	Common Shares	Flagel, Brian	4	2012-10-04	10			10,000
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2012-08-22	10		25,000	10,000
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2012-10-04	10		35,000	10,000
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-11-27	10		25,500	-11,000
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-11-30	10		24,700	-800
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-01	10		23,700	-1,000
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-02	10		22,900	-800
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-03	10			-19,700
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-03	10			-19,700
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-03	10		3,200	-19,700
Taiga Building Products Ltd.	Common Shares TBL.TO	Flagel, Brian	4	2020-12-04	10		0	-3,200
Tamarack Valley Energy Ltd.	Common Shares	Price, Floyd Ray	4	2020-11-30	57	1.01	137,334	11,628
Tamarack Valley Energy Ltd.	Common Shares	Price, Floyd Ray	4	2020-11-30	10	1.01	133,517	-3,817
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	Price, Floyd Ray	4	2020-11-30	57	1.01	101,581	-11,628
Tarachi Gold Corp. (formerly Kal Minerals Corp.)	Common Shares	Liyanage, Mahesh Nalinda	5	2020-12-01	00			
Tarachi Gold Corp. (formerly Kal Minerals)	Options	Liyanage, Mahesh Nalinda	5	2020-12-01	00			

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Corp.)								
Tarachi Gold Corp. (formerly Kal Minerals Corp.)	Warrants	Liyanage, Mahesh Nalinda	5	2020-12-01	00			
Taranis Resources Inc.	Common Shares	Gardiner, John James	3, 4, 5	2020-12-03	10	0.12	5,282,025	50,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-11-27	10	0.315	13,918,750	10,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-11-27	10	0.32	13,930,750	12,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-11-27	10	0.325	13,960,250	29,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-01	10	0.31	13,965,250	5,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-02	10	0.305	13,969,750	4,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-03	10	0.29	13,980,750	11,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-03	10	0.297	13,987,250	6,500
TC Energy Corporation	Common Shares	Brown, Nathaniel A.	7	2020-03-31	10	43		1,000
TC Energy Corporation	Common Shares	Brown, Nathaniel A.	7	2018-02-21	00			
TC Energy Corporation	Common Shares	Brown, Nathaniel A.	7	2020-03-31	10	43	1,000	1,000
TC Energy Corporation	Common Shares	Jalbert, Andrea E	5	2020-12-02	10	58.04	1,890	690
TC Energy Corporation	Common Shares	Johnson, Nancy Angenita	5	2020-12-01	10	57.15	1,442	100
Teal Valley Health Inc. (formerly Radiant Health Care Inc.)	Common Shares	Folk, Trevor	4	2019-07-24	00			
Teal Valley Health Inc. (formerly Radiant Health Care Inc.)	Common Shares	Folk, Trevor	4	2019-07-24	00			
Teal Valley Health Inc. (formerly Radiant Health Care Inc.)	Common Shares	Folk, Trevor	4	2019-12-05	36			4,833,334
Teal Valley Health Inc. (formerly Radiant Health Care Inc.)	Common Shares	Folk, Trevor	4	2019-12-05	36			4,833,334
Tecsyst Inc.	Options Stock Options	Hublou, Rani Marie	4	2020-09-10	00			
Tecsyst Inc.	Options Stock Options	Hublou, Rani Marie	4	2020-12-02	50		3,257	3,257
Tecsyst Inc.	Options Stock Options	Miller, Kathleen M	4	2020-09-10	00			
Tecsyst Inc.	Options Stock Options	Miller, Kathleen M	4	2020-12-02	50		3,257	3,257
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2020-11-25	30		1,282,469	107,487
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2020-11-25	30		1,328,451	45,982
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2020-11-25	30	24.726	784,468	-543,983
TELUS Corporation	Common Shares	French, Douglas	5	2020-12-02	30		69,794	492
TELUS Corporation	Common Shares	French, Douglas	5	2020-12-02	30		69,961	167
TELUS Corporation	Common Shares	French, Douglas	5	2020-12-02	10		101,254	31,293
TELUS Corporation	Restricted Share Units	French, Douglas	5	2020-11-30	30		336,787	26,413
TELUS Corporation	Restricted Share Units	French, Douglas	5	2020-11-30	30		348,933	12,146
TELUS Corporation	Restricted Share Units	French, Douglas	5	2020-11-30	30	24.654	345,820	-3,113
TELUS Corporation	Restricted Share Units	French, Douglas	5	2020-11-30	30	24.726	212,145	-133,675
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-11-30	90		139,378	2,564
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-11-30	90		-780	-2,564
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-02	30		710	1,490
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-02	30		766	56
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2020-11-30	30		313,880	22,112
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2020-11-30	30		325,298	11,418
TELUS Corporation	Restricted Share	Geheran, Tony	5	2020-11-30	30	24.654	322,826	-2,472

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	Units							
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2020-11-30	30	24.726	210,920	-111,906
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2020-11-30	30		280,132	22,112
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2020-11-30	30		290,230	10,098
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2020-11-30	30	24.654	287,591	-2,639
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2020-11-30	30	24.726	175,685	-111,906
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2020-11-30	30		270,489	24,569
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2020-11-30	30		280,113	9,624
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2020-11-30	30	24.654	277,762	-2,351
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2020-11-30	30	24.726	153,417	-124,345
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2020-11-30	30		318,739	27,641
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2020-11-30	30		330,132	11,393
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2020-11-30	30	24.654	326,845	-3,287
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2020-11-30	30	24.726	186,951	-139,894
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-11-27	10	0.75	27,484,208	7,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-11-27	11		27,460,208	-24,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-11-30	10	0.75	27,470,208	10,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-12-01	10	0.75	27,479,208	9,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-12-02	10	0.75	27,489,208	10,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-08-21	10	0.14	439,559	10,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-08-25	10	0.14	429,559	-10,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-09-18	10	0.125	449,559	20,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-09-25	10	0.13	469,559	20,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-09-28	10	0.12	479,559	10,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-10-06	10	0.12	499,559	20,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-10-08	10	0.12	504,559	5,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-10-08	10	0.11	514,559	10,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-10-09	10	0.12	529,559	15,000
TGS Esports Inc.	Common Shares	Zhai, Tao	6	2020-11-02	10	0.1	539,559	10,000
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Diederik, Raimond	5	2020-11-30	97		3,481	-748
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Gardner, Edward James	5	2020-11-30	97		3,171	-769
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Jones, Christopher	5	2020-11-30	97		3,944	-859
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Parker, Robert	5	2020-11-30	97		3,148	-667
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Roszeko, Andrew	5	2020-11-30	97		1,464	-182
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Verhoeve, Michael	5	2020-11-30	97		3,342	-646
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			

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The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		7,874,762	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		1,005,470	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		934,000	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		164,970	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		119,693	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Insight Holdings Group, LLC	3	2020-12-02	00		7,187,947	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		7,874,762	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		1,005,470	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		934,000	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		164,970	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		119,693	
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Warrants	Insight Holdings Group, LLC	3	2020-12-02	00		7,187,947	
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Buysen, Christopher Michael	5	2020-11-30	57		333,173	3,968
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2020-11-30	57		67,460	-3,968
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2020-11-30	59		63,492	-3,968
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Fallows, Jeffrey William	5	2020-11-30	57		138,210	6,678
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Fallows, Jeffrey William	5	2020-11-30	57		113,514	-6,678
The Valens Company	Restricted Share Unit	Fallows, Jeffrey	5	2020-11-30	59		106,837	-6,677

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Inc. (formerly Valens Groworks Corp.)		William						
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-11-30	57		19,460	-1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-11-30	59		18,315	-1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-11-30	57		19,460	1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-11-30	57		25,946	-1,526
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-11-30	59		24,420	-1,526
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-11-30	57		25,946	1,526
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-11-30	57		19,460	-1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-11-30	59		18,315	-1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-11-30	57		19,460	1,145
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-11-30	57		89,190	-5,247
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-11-30	59		83,944	-5,246
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-11-30	57		89,191	5,247
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-11-30	57		340,545	-20,032
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-11-30	59		320,513	-20,032
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-11-30	57		340,545	20,032
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-11-30	57		15,567	-916
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-11-30	59		14,652	-915
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-11-30	57		15,568	916
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-11-30	57		17,513	-1,031
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-11-30	59		16,483	-1,030
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-11-30	57		17,514	1,031
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-11-30	57		14,594	-859
The Valens Company Inc. (formerly Valens	Restricted Share Unit	Zlamalik, Borna	5	2020-11-30	59		13,736	-858

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Growworks Corp.) The Valens Company Inc. (formerly Valens Growworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-11-30	57		14,595	859
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7815	3,437,431	500
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7817	3,438,431	1,000
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7818	3,439,931	1,500
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7822	3,440,931	1,000
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7891	3,684,631	243,700
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-11-30	10	1.7892	3,686,931	2,300
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	2020-12-03	10	0.21	982,808	2,500
Thermal Energy International Inc.	Options	Crossland, William	4, 5	2020-11-26	50		3,000,360	500,000
Thermal Energy International Inc.	Options	Mawby, Samuel Thomas	5	2020-11-26	50		1,504,000	250,000
Thermal Energy International Inc.	Options	Sands, Vincent Joseph	5	2020-11-26	50		750,000	250,000
Thermal Energy International Inc.	Options	Spagnolo, David Andrew	4	2020-11-26	50		250,000	250,000
Thermal Energy International Inc.	Options	Triebe, Robert William	5	2020-11-26	50		1,879,000	375,000
Thermal Energy International Inc.	Options	Wales, Isobel Catriona	5	2020-11-26	50		1,504,000	250,000
Thermal Energy International Inc.	Options	Zhang, Jie (Julia)	5	2020-11-26	50		750,000	250,000
Thesis Gold Inc.	Common Shares	Bonnell, Roy	4	2020-10-30	00			
Thesis Gold Inc.	Common Shares	Bonnell, Roy	4	2020-11-30	16		1,600,000	1,600,000
Thesis Gold Inc.	Options	Bonnell, Roy	4	2020-10-30	00			
Thesis Gold Inc.	Options	Bonnell, Roy	4	2020-11-10	50		300,000	300,000
Thesis Gold Inc.	Common Shares	Stajduhar, Nicholas	4	2020-10-30	00			
Thesis Gold Inc.	Common Shares	Stajduhar, Nicholas	4	2020-10-30	16		1,600,000	1,600,000
Thesis Gold Inc.	Common Shares	Zours, Wilhelm K. T.	3	2020-10-30	00		2,800,000	
Thesis Gold Inc.	Options	Zours, Wilhelm K. T.	3	2020-10-30	00		2,800,000	
ThreeD Capital Inc.	Common Shares	1313366 Ontario Inc.	3	2020-12-01	10	0.5	856,000	50,000
ThreeD Capital Inc.	Common Shares	Kopman, Jeff	6	2020-12-01	10	0.5	856,000	50,000
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2020-03-09	11	9.58		905,099
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2020-03-09	11	9.58	905,099	905,099
Timbercreek Financial Corp.	Common Shares	Goodnough, Cameron	7	2020-11-25	10	8.9		-6,550
Timbercreek Financial Corp.	Common Shares	Goodnough, Cameron	7	2020-11-25	10	8.9	0	-6,550
Timbercreek Financial Corp.	Common Shares	Hawkings, Peter Michael	7	2016-06-30	00			
Timbercreek Financial Corp.	Common Shares	Hawkings, Peter Michael	7	2016-06-30	00		1,517	
Timbercreek Financial Corp.	Common Shares	Wong, Gigi	7	2019-05-07	00			
Timbercreek Financial Corp.	Common Shares	Wong, Gigi	7	2019-05-07	00		2,096	
TIMIA Capital Corp.	Preferred Shares 8% Series A	Andrew, Abouchar	5	2016-09-30	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Andrew, Abouchar	5	2020-11-27	15	1	28,000	28,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Andrew, Abouchar	5	2020-12-03	10	100	28,100	100

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TIMIA Capital Corp.	Preferred Shares Series A Pref Shares	Andrew, Abouchar	5	2016-09-30	00			
TIMIA Capital Corp.	Preferred Shares Series A Pref Shares	Andrew, Abouchar	5	2016-09-30	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Demers, David Robert	4	2017-05-10	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Demers, David Robert	4	2020-11-27	15	1	50,000	50,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2019-05-01	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2020-11-27	15	1	100,000	100,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2019-05-01	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2020-11-27	15	1	300,000	300,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2019-05-01	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Geyer, Paul	4	2020-11-27	15	1	200,000	200,000
TIMIA Capital Corp.	Convertible Debentures	Thealzel Lee	4	2020-11-27	11	1	\$0	-\$17,500
TIMIA Capital Corp.	Preferred Shares	Thealzel Lee	4	2014-04-15	00			
TIMIA Capital Corp.	Preferred Shares	Thealzel Lee	4	2020-11-27	11	1	7,500	7,500
TIMIA Capital Corp.	Preferred Shares	Thealzel Lee	4	2020-11-27	11	1	25,000	17,500
TIMIA Capital Corp.	Common Shares	Walkinshaw, Michael Christopher	4	2020-11-30	10	0.22	4,283,086	20,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Walkinshaw, Michael Christopher	4	2014-05-15	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Walkinshaw, Michael Christopher	4	2020-11-27	15	1	25,000	25,000
TIMIA Capital Corp.	Preferred Shares 8% Series A	Walkinshaw, Michael Christopher	4	2014-05-15	00			
TIMIA Capital Corp.	Preferred Shares 8% Series A	Walkinshaw, Michael Christopher	4	2020-11-27	15	1	87,500	87,500
Titan Mining Corporation	Options	Gould, Lynette	5	2020-12-01	00		250,000	
Top Strike Resources Corp	Common Shares	McGorman, David Gordon	5	2020-11-27	10	0.015	7,230,500	100,000
Top Strike Resources Corp	Common Shares	Top Strike Resources Corp.	1	2020-11-27	10	0.015	500,000	500,000
Topaz Energy Corp.	Common Shares	Wigham, Ron	6	2020-12-01	47	14.15	127,000	-3,000
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2020-11-30	56		3,336	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2020-11-30	56		22,458	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2020-11-30	56		26,867	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2020-11-30	56		15,541	145
Toromont Industries Ltd.	Common Shares	Gregg, Miles Sean Ryan	5	2020-12-02	10	88.574	2,750	84
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2020-11-30	56		14,305	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2020-11-30	56		3,025	145
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-11-26	10	90.42	11,458	-500
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-11-26	10	90.41	11,258	-200
Toromont Industries	Common Shares	Jewer, Paul Randolph	5	2020-11-26	10	90.4	9,458	-1,800

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ltd.								
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-11-30	10	90.1	6,958	-2,500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	51	36.65		7,476
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	51	36.65	183,529	5,024
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	91.16		-7,476
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	91.16		-7,476
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	51	36.65	196,029	12,500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	93.135	195,929	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	93.12	195,729	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.655	195,629	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.74	194,429	-1,200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.81	194,229	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.765	194,129	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.7	193,729	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.71	193,629	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.68	192,929	-700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.67	191,729	-1,200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.64	190,829	-900
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.65	190,329	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.75	189,629	-700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.76	189,329	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.72	188,229	-1,100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.69	188,029	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.63	187,529	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.58	186,829	-700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.6	186,029	-800
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.57	185,829	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.56	185,429	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.54	185,229	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.515	185,129	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.45	184,729	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.43	184,529	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.39	184,029	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.4	183,829	-200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ltd.								
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-27	10	92.34	183,529	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	51	36.65	193,529	10,000
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	90.14	193,229	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	90.05	193,129	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.95	191,829	-1,300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.94	190,029	-1,800
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.89	189,729	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.86	189,329	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.85	189,029	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.84	188,829	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.82	188,229	-600
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.8	187,929	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.81	187,829	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.73	186,829	-1,000
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.52	186,729	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.525	186,629	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.59	185,629	-1,000
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.55	184,129	-1,500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.58	183,929	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.53	183,629	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-11-30	10	89.51	183,529	-100
Toromont Industries Ltd.	Options	Medhurst, Scott	4, 5	2020-11-27	51	36.65	562,500	-12,500
Toromont Industries Ltd.	Options	Medhurst, Scott	4, 5	2020-11-27	51	36.65	550,000	-12,500
Toromont Industries Ltd.	Options	Medhurst, Scott	4, 5	2020-11-30	51	36.65	540,000	-10,000
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.51	185,780	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.47	185,580	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.46	185,180	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.43	184,480	-700
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.39	184,080	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.38	183,680	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.37	183,480	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.35	182,880	-600
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.34	181,880	-1,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ltd.								
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.32	181,680	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.31	181,480	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.27	181,080	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.26	180,180	-900
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-30	10	90.25	161,080	-19,100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-27	10	92.7	1,207,148	-7,900
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-27	10	92.71	1,206,948	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-27	10	92.72	1,205,548	-1,400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-11-27	10	92.73	1,205,048	-500
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	2020-11-30	56		58,143	358
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2020-11-30	56		24,241	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2020-11-30	56		4,616	145
Torrent Capital Ltd.	Common Shares	Dawe, Wade K.	5	2020-11-27	10	0.75	5,108,000	24,500
Torrent Capital Ltd.	Common Shares	Dawe, Wade K.	5	2020-11-30	10	0.75	5,118,500	10,500
Total Energy Services Inc.	Common Shares	Chow, George K.	4	2020-11-30	10	3.101	7,135	-1,000
Total Energy Services Inc.	Common Shares	Dagenais, Glenn Orval James	4	2020-11-30	10	3.1426	22,325	2,580
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-11-30	10	3.1	270,000	10,000
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-12-03	10	3.17	280,000	10,000
Total Energy Services Inc.	Common Shares	Melchin, Gregory Knowles	4	2020-11-25	10	2.9	60,816	200
Total Energy Services Inc.	Common Shares	Melchin, Gregory Knowles	4	2020-11-27	10	3.2	63,196	2,380
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2020-12-03	10	17.648	8,736,337	5,000
TraceSafe Inc.	Options	Loy, Betty Anne	5	2020-12-03	52		75,000	-2,500
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-25	10	8.95	19,565,814	44,151
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-26	10	8.95	19,571,048	5,234
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-27	10	8.96	19,585,026	13,978
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-30	10	8.91	19,615,938	30,912
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-25	10	8.95	13,695,251	27,549
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-26	10	8.95	13,698,517	3,266
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-27	10	8.96	13,707,239	8,722
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-11-30	10	8.91	13,726,527	19,288
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Drinkwater, David William	4	2020-11-30	56	17.94	29,556	129
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Hagerman, Allen R.	4	2020-11-30	56	17.94	30,507	133
TransAlta Renewables Inc.	DSU (Deferred Share Units)	McQuade, Kathryn Ann Bova	4	2020-11-30	56	17.94	30,667	133

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
TransAlta Renewables Inc.	DSU (Deferred Share Units)	TAYLOR, PAUL H. E.	4	2020-11-30	56	17.94	34,162	149
TransCanada Corporation	Common Shares	Johnston, Christine R.	7	2019-03-04	10	59.73		725
TransCanada Corporation	Common Shares	Johnston, Christine R.	7	2019-03-04	10	59.73	725	725
Transcanna Holdings Inc.	Options	Brown, Jennifer	4	2020-11-16	00			
Transcanna Holdings Inc.	Options	Brown, Jennifer	4	2020-12-01	50	1	100,000	100,000
Transcanna Holdings Inc.	Options	Gangandeeep, Khangura	5	2020-07-08	00			
Transcanna Holdings Inc.	Options	Gangandeeep, Khangura	5	2020-12-01	50	1	100,000	100,000
Transcanna Holdings Inc.	Common Shares	Mason, Douglas Lawrence	4	2020-11-18	11	0.55	469,000	250,000
Transcanna Holdings Inc.	Options	Mason, Douglas Lawrence	4	2020-03-18	00			
Transcanna Holdings Inc.	Options	Mason, Douglas Lawrence	4	2020-12-01	50		200,000	200,000
Transcanna Holdings Inc.	Warrants	Mason, Douglas Lawrence	4	2020-11-18	53		450,000	250,000
Treasury Metals Inc.	Options	Bourchier, Frazer William	4	2020-11-10	50			160,000
Treasury Metals Inc.	Options	Bourchier, Frazer William	4	2020-11-10	50			160,000
Tree Island Steel Ltd.	Common Shares	Bull, Peter Morris	3	2020-11-30	10	2.4735		25,000
Tree Island Steel Ltd.	Common Shares	Bull, Peter Morris	3	2020-11-30	10	2.4735		25,000
Tree Island Steel Ltd.	Common Shares	Bull, Peter Morris	3	2020-11-30	10	2.4692	6,464,350	40,800
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.1473	1,500	1,500
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.1467	1,800	300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.15	1,821	21
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.143	2,821	1,000
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.14	3,121	300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.1	3,321	200
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-10-30	38	2.1	3,342	21
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-02	38	2.17	5,742	2,400
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-02	38	2.17	6,642	900
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-02	38	2.17	6,663	21
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-03	38	2.178	7,163	500
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-03	38	2.21	7,363	200
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-03	38	2.17	7,384	21
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-09	38	2.2436	10,037	2,653
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-10	38	2.2914	10,737	700
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-10	38	2.31	11,037	300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-10	38	2.31	11,090	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-12	38	2.3369	12,390	1,300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-12	38	2.34	12,443	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-13	38	2.25	14,443	2,000
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-13	38	2.25	15,043	600
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-13	38	2.25	15,096	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-16	38	2.25	15,596	500
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-16	38	2.25	15,696	100
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-16	38	2.25	15,749	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-17	38	2.25	16,749	1,000
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-17	38	2.25	16,802	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-18	38	2.25	18,102	1,300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-18	38	2.25	18,402	300
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-18	38	2.25	18,455	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-19	38	2.34	19,455	1,000
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-19	38	2.3	19,755	300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-19	38	2.35	19,808	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-20	38	2.482	21,308	1,500
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-20	38	2.378	21,808	500
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-20	38	2.33	21,861	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-23	38	2.4665	22,014	153
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-24	38	2.5	23,714	1,700
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-24	38	2.4744	24,614	900
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-11-24	38	2.48	24,667	53
Tree Island Steel Ltd.	Common Shares	Tree Island Steel Ltd.	1	2020-12-01	38		0	-24,667
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2020-11-30	10	2.08	587,300	5,000
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2020-12-01	10	2.141	598,700	11,400
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2020-12-02	10	2.17	608,700	10,000
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2020-12-03	10	2.1161	657,700	49,000
Tri Origin Exploration Ltd.	Common Shares	Valliant, Robert Irwin	4	2020-11-27	11		10,076,688	911,881
Trican Well Service Ltd.	Rights Deferred Share Units (DSUs)	Pourbaix, Alex	4	2020-12-01	59	1.44	0	-520,293
Trilogy International Partners Inc.	Common Shares	Horwitz, Brad	7	2020-11-25	10	1.299	1,886,558	250,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Gowans, James Kitchener	4	2020-12-01	56		85,892	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Hayden, William	4	2020-12-01	56		102,735	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Hensley, William L. Iggiagruk	4	2020-12-01	56		100,696	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Lang, Gregory Anthony	4	2020-12-01	56		202,172	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Madhavpeddi, Kalidas	4	2020-12-01	56		212,769	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Stairs, Janice Alayne	4	2020-12-01	56		206,460	2,856
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Walters, Diana	4	2020-12-01	56		125,441	2,856
Trisura Group Ltd.	Common Shares	Clare, David James	4, 5	2020-12-03	10	79.94	73,909	625
TRYP Therapeutics Inc.	Common Shares	Molloy, Peter Robert	4	2020-09-30	00		200,000	
Tucows Inc.	Common Shares	Johannson, Jessica	5	2020-11-25	10	94.4	2,720	-100
Tucows Inc.	Common Shares	Johannson, Jessica	5	2020-11-27	10	94.038	1,410	-1,310
Tudor Gold Corp.	Common Shares	Pownall, Sean Patrick	4	2020-11-27	10	3	4,556,371	-455,200
Ubique Minerals Limited	Common Shares	Cullingham, Paul Winston	3	2020-12-04	10	0.07	5,614,876	-14,000
UEX Corporation	Common Shares	Thody, Graham Campbell	4	2020-12-02	16	0.14	1,156,000	250,000
UEX Corporation	Common Shares	Thody, Graham Campbell	4	2020-12-02	16	0.12	1,456,000	300,000
UEX Corporation	Warrants	Thody, Graham Campbell	4	2002-07-17	00			
UEX Corporation	Warrants	Thody, Graham Campbell	4	2020-12-02	16	0.18	150,000	150,000
UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-11-30	10	1.5	1,213,669	2,000

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UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-11-30	10	1.47		2,000
UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-11-30	10	1.47	1,215,669	2,000
UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-11-30	10	1.53	1,216,669	1,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-12-03	10	1.495	195,023	100
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-12-03	10	1.51	196,023	1,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-12-03	10	1.48	207,423	11,400
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-12-03	10	1.512	219,923	12,500
UGE International Ltd.	Options	Ronka, Kristaps	4	2020-12-01	50	0.78	380,000	50,000
UGE International Ltd.	Options	Yang, Jian	5	2020-09-18	50	0.78		50,000
UGE International Ltd.	Options	Yang, Jian	5	2020-10-19	50	0.78	260,000	50,000
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-02	10	93	500	500
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-04	10	93	600	100
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-05	10	93.733	1,200	600
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-30	38		700	-500
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-30	38		100	-600
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-11-30	38		0	-100
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-12-04	10	93		100
United Corporations Limited	Common Shares	United Corporations Limited	1	2020-12-04	10	93		100
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Dehn, Michael	4, 5	2018-10-22	00			
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Dehn, Michael	4, 5	2020-11-06	50	0.64	400,000	400,000
Uranium Participation Corporation	Common Shares	Uranium Participation Corporation	1	2020-11-23	38		201,200	-250,000
Uranium Participation Corporation	Common Shares	Uranium Participation Corporation	1	2020-11-27	38		0	-201,200
Uranium Participation Corporation	Common Shares	Uranium Participation Corporation	1	2020-12-02	10	4.085	70,852	70,852
Uranium Participation Corporation	Common Shares	Uranium Participation Corporation	1	2020-12-03	10	4.105	135,004	64,152
Uranium Participation Corporation	Common Shares	Uranium Participation Corporation	1	2020-12-04	10	4.135	222,600	87,596
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2020-11-30	90		14,305	3,840
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2020-11-30	90		121,226	-3,840
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2015-12-10	90	2.05		-389
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2016-12-05	90			-7,641
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2020-11-30	90		17,916	5,150
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2015-12-10	90	2.05	184,111	-389
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2016-12-05	90		176,470	-7,641
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2020-11-30	90		157,871	-5,150
Val-d'Or Mining Corporation (formerly Nunavik Nickel Mines Ltd.)	Common Shares	Golden Valley Mines Ltd.	3	2020-11-30	45	0.13	25,687,444	4,166,667
Valterra Resource	Common Shares	McGrath, Brian	4	2019-12-11	37			-17,774

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Corporation		Timothy						
Valterra Resource Corporation	Common Shares	McGrath, Brian Timothy	4	2019-12-11	37		116,667	-17,744
Valterra Resource Corporation	Common Shares	McGrath, Brian Timothy	4	2019-12-11	37	5		1,774
Valterra Resource Corporation	Common Shares	McGrath, Brian Timothy	4	2019-12-11	37	5		1,777
Valterra Resource Corporation	Common Shares	McGrath, Brian Timothy	4	2019-12-11	37	5	118,441	1,774
Valterra Resource Corporation	Common Shares	McGrath, Brian Timothy	4	2020-11-30	11	0.075	76,770	13,330
Valterra Resource Corporation	Warrants	McGrath, Brian Timothy	4	2020-11-30	11	0.125	67,331	6,665
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-04	10	6.11	1,201,300	300
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-04	10	6.1	1,204,200	2,900
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-04	10	6	1,205,300	1,100
Velocity Minerals Ltd.	Common Shares	CRUISE, MARK DANIEL	3, 4, 5	2017-07-21	00			
Velocity Minerals Ltd.	Common Shares	CRUISE, MARK DANIEL	3, 4, 5	2020-12-01	10	0.48	-50,500	-50,500
Velocity Minerals Ltd.	Common Shares	CRUISE, MARK DANIEL	3, 4, 5	2020-12-03	51	0.17	49,500	100,000
Velocity Minerals Ltd.	Options	CRUISE, MARK DANIEL	3, 4, 5	2020-08-11	50	0.48		20,000
Velocity Minerals Ltd.	Options	CRUISE, MARK DANIEL	3, 4, 5	2020-08-11	50	0.48		20,000
Velocity Minerals Ltd.	Options	CRUISE, MARK DANIEL	3, 4, 5	2020-12-03	51	0.17	320,000	-100,000
Velocity Minerals Ltd.	Common Shares	HENDERSON, KEITH J.	3, 4, 5	2020-12-01	10	0.4819	7,073,750	-126,250
Velocity Minerals Ltd.	Common Shares	HENDERSON, KEITH J.	3, 4, 5	2020-12-03	51	0.17	7,323,750	250,000
Velocity Minerals Ltd.	Options	HENDERSON, KEITH J.	3, 4, 5	2020-12-03	51	0.17	680,000	-250,000
Velocity Minerals Ltd.	Common Shares	Marinov, Daniel	3, 4, 5	2017-07-21	00			
Velocity Minerals Ltd.	Common Shares	Marinov, Daniel	3, 4, 5	2020-12-01	10	0.48	-50,500	-50,500
Velocity Minerals Ltd.	Common Shares	Marinov, Daniel	3, 4, 5	2020-12-03	51	0.17	49,500	100,000
Velocity Minerals Ltd.	Options	Marinov, Daniel	3, 4, 5	2020-12-03	51	0.17	100,000	-100,000
Velocity Minerals Ltd.	Common Shares	Mills, Stuart	3, 5	2020-12-01	10	0.4819	7,690,350	-126,250
Velocity Minerals Ltd.	Common Shares	Mills, Stuart	3, 5	2020-12-03	51	0.17		-250,000
Velocity Minerals Ltd.	Common Shares	Mills, Stuart	3, 5	2020-12-03	51	0.17	7,940,350	250,000
Velocity Minerals Ltd.	Options	Mills, Stuart	3, 5	2020-12-03	51	0.17	600,000	-250,000
Velocity Minerals Ltd.	Common Shares	Musial, Joyce	5	2020-12-01	10	0.48	-52,500	-252,500
Velocity Minerals Ltd.	Common Shares	Musial, Joyce	5	2020-12-03	51	0.17	447,500	500,000
Velocity Minerals Ltd.	Options	Musial, Joyce	5	2020-12-03	51	0.17	290,000	-500,000
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2020-12-04	97	0.1	24,508	24,508
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2020-12-04	97	0.1	16,338	16,338
Vermilion Energy Inc.	Common Shares	Preston, Kyle	5	2020-11-23	10	5.22	0	-10,000
VersaBank	Common Shares	Hockin, Thomas A	4	2014-08-21	00			
VersaBank	Common Shares	Hockin, Thomas A	4	2020-11-30	10	7.47	230	230
VersaBank	Common Shares	Hockin, Thomas A	4	2020-11-30	10	7.47	5,500	130
VersaBank	Common Shares	Hockin, Thomas A	4	2020-11-30	10	7.45	6,200	700
VersaBank	Common Shares	Inam, Saad	5	2020-11-24	00		1,725	
VersaBank	Common Shares	McCutcheon, Nancy Joan	5	2020-11-24	00		100	
VersaBank	Preferred Shares Series 1	McCutcheon, Nancy Joan	5	2020-11-24	00		500	

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VersaBank	Preferred Shares Series 1	McCutcheon, Nancy Joan	5	2020-11-24	00		100	
VersaBank	Preferred Shares Series 3	McCutcheon, Nancy Joan	5	2020-11-24	00		100	
VersaBank	Common Shares	Todres, Barbara Lynn	5	2020-11-24	00		143	
VersaBank	Preferred Shares Series 1	Todres, Barbara Lynn	5	2020-11-24	00		100	
VersaBank	Common Shares	Wilson, Terri Ann	5	2020-11-24	00		109	
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Common Shares	Williams, Caroline Marie-Clothilde	4	2020-11-30	10	0.64	65,000	15,000
Village Farms International, Inc.	Common Shares	Ruffini, Stephen	5	2020-11-30	10	14.295	718,599	-50,000
Village Farms International, Inc.	Common Shares	Ruffini, Stephen	5	2020-11-30	57		818,599	100,000
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Ruffini, Stephen	5	2020-11-30	57		270,000	-100,000
VIQ Solutions Inc.	Common Shares	Quarin, Joseph	4	2020-12-01	54	3.24	58,954	5,372
VIQ Solutions Inc.	Warrants	Quarin, Joseph	4	2020-12-01	54	3.24	27,505	-5,372
VIQ Solutions Inc.	Warrants	Quarin, Joseph	4	2020-12-01	55	3.24	0	-27,505
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	2020-11-30	54	3.24	460,956	5,412
VIQ Solutions Inc.	Warrants	Taylor, Larry Douglas	4	2020-11-30	54	3.24	0	-5,412
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-11-30	54	0.96	1,736,715	1,736,715
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Warrants	Linton, Bruce	3	2020-11-30	54	0.96	0	-1,736,715
Visible Gold Mines Inc.	Common Shares	Dallaire, Martin	4, 5	2020-12-02	10	0.246	400,000	40,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2018-08-23	11	0.15		1,000,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2018-08-23	11	0.1	1,000,000	1,000,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-04-16	10	0.24		156,249
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2018-08-23	00			
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-04-16	10	0.24	156,249	156,249
ViveRE Communities Inc.	Convertible Debentures	Turner, Thomas Richard	4	2020-04-16	10	0.27		\$37,500
ViveRE Communities Inc.	Convertible Debentures	Turner, Thomas Richard	4	2018-08-23	00			
ViveRE Communities Inc.	Convertible Debentures	Turner, Thomas Richard	4	2018-08-23	00			
ViveRE Communities Inc.	Convertible Debentures	Turner, Thomas Richard	4	2018-08-23	00			
ViveRE Communities Inc.	Convertible Debentures	Turner, Thomas Richard	4	2020-04-16	10	0.27	\$37,500	\$37,500
Vizsla Resources Corp.	Common Shares	Liyanage, Mahesh Nalinda	5	2020-12-01	00		5,540	
Vizsla Resources Corp.	Options	Liyanage, Mahesh Nalinda	5	2020-12-01	00			
Vizsla Resources Corp.	Options	Liyanage, Mahesh Nalinda	5	2020-12-01	50	1.46	100,000	100,000
Vizsla Resources Corp.	Warrants	Liyanage, Mahesh Nalinda	5	2020-12-01	00			
Voyager Digital (Canada) Ltd.	Common Shares	Ehrlich, Stephen	4	2020-05-27	54	0.195		46,875
Voyager Digital (Canada) Ltd.	Common Shares	Ehrlich, Stephen	4	2020-05-27	54	0.195		46,875

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Voyager Digital Ltd.	Options	Ehrlich, Stephen	4	2020-08-14	50	0.9	2,900,000	1,000,000
Voyager Digital Ltd.	Common Shares	Eytan, Philip	4	2020-12-02	10	1.21	559,533	40,405
Wajax Corporation	Common Shares	Taylor, Alexander S.	4	2020-11-30	10	16.93	3,000	-3,000
Wajax Corporation	Common Shares	Taylor, Alexander S.	4	2020-11-30	10	17	1,300	-1,700
Wajax Corporation	Common Shares	Taylor, Alexander S.	4	2020-12-01	10	17.17	0	-1,300
Western Copper and Gold Corporation	Common Shares	Williams, William Conard	4	2020-11-06	00			
Western Copper and Gold Corporation	Common Shares	Williams, William Conard	4	2020-11-30	10	1.62	15,000	15,000
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-05	38	14.215	23,600	23,600
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-05	38		0	-23,600
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-06	38	14.343	17,900	17,900
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-06	38		0	-17,900
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-09	38	14.908	400	400
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-09	38		0	-400
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-10	38	14.717	4,300	4,300
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-10	38		0	-4,300
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-11	38	14.74	100	100
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-11	38		0	-100
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-12	38	14.716	1,100	1,100
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	2020-11-12	38		0	-1,100
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2020-12-04	10	1.78	125,629	-3,253
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2020-12-01	10	1.74	404,273	-4,000
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2020-12-04	10	1.75	400,053	-4,220
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2020-12-03	10	1.84	0	-24,180
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Deferred Share Units (Variable Voting)	Landry, Steve Michael	4	2020-11-27	46	1.26	212,358	14,074
Winpak Ltd	Common Shares	Aarnio-Wihuri, Antti	3, 4, 5	2020-11-24	10	42.445	175,300	60,000
Winpak Ltd	Common Shares	Suominen, Ilkka Tapio	4, 6	2020-11-27	10	42.499	3,000	3,000
Wolverine Energy and Infrastructure Inc.	Common Shares	Peterson, Darrell	4	2020-11-30	00			
Xtra-Gold Resources Corp.	Options	Clement, Yves, Pierre	5	2020-10-23	50	1.23	974,000	50,000
Yangarra Resources Ltd.	Options	Bowerman, Gordon	4	2020-12-01	52		181,668	-10,000
Yangarra Resources Ltd.	Options	Bowerman, Gordon	4	2020-12-01	50	0.61	191,668	10,000
Yangarra Resources Ltd.	Options	Bowerman, Gordon	4	2020-12-02	50	0.58	291,668	100,000
Yangarra Resources Ltd.	Options	Evaskevich, James Grant	4, 5	2020-12-01	52		873,336	-83,333
Yangarra Resources	Options	Evaskevich, James	4, 5	2020-12-01	50	0.61	956,669	83,333

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Ltd.		Grant						
Yangarra Resources Ltd.	Options	Evaskevich, James Grant	4, 5	2020-12-02	50	0.58	1,656,669	700,000
Yangarra Resources Ltd.	Options	Faminow, Randall	5	2020-12-01	52	0.62	411,667	-33,333
Yangarra Resources Ltd.	Options	Faminow, Randall	5	2020-12-01	50	0.61	445,000	33,333
Yangarra Resources Ltd.	Options	Faminow, Randall	5	2020-12-02	50	0.58	545,000	100,000
Yangarra Resources Ltd.	Options	Gill, Gurdeep Singh	5	2020-12-02	50		595,000	300,000
Yangarra Resources Ltd.	Options	Glessing, James, Alan	5	2020-12-01	52	0.62	393,890	-33,333
Yangarra Resources Ltd.	Options	Glessing, James, Alan	5	2020-12-01	50	0.61	427,223	33,333
Yangarra Resources Ltd.	Options	Glessing, James, Alan	5	2020-12-02	50	0.58	727,223	300,000
Yangarra Resources Ltd.	Options	MacKenzie, Neil M.	4	2020-12-01	52		207,778	-10,000
Yangarra Resources Ltd.	Options	MacKenzie, Neil M.	4	2020-12-01	50	0.61	217,778	10,000
Yangarra Resources Ltd.	Options	MacKenzie, Neil M.	4	2020-12-02	50	0.58	317,778	100,000
Yangarra Resources Ltd.	Options	Morton, Frederick Lee	4	2020-12-01	52		86,668	-13,332
Yangarra Resources Ltd.	Options	Morton, Frederick Lee	4	2020-12-01	50	0.61	100,000	13,332
Yangarra Resources Ltd.	Options	Morton, Frederick Lee	4	2020-12-02	50	0.58	250,000	150,000
Yangarra Resources Ltd.	Options	Olynyk, Patricia	5	2020-12-01	52		545,001	-50,000
Yangarra Resources Ltd.	Options	Olynyk, Patricia	5	2020-12-01	50	0.61	595,001	50,000
Yangarra Resources Ltd.	Options	Olynyk, Patricia	5	2020-12-02	50	0.58	995,001	400,000
Yangarra Resources Ltd.	Options	Simpson, Lorne David	5	2020-12-01	52		486,112	-16,667
Yangarra Resources Ltd.	Options	Simpson, Lorne David	5	2020-12-01	50	0.61	502,779	16,667
Yangarra Resources Ltd.	Options	Simpson, Lorne David	5	2020-12-02	50	0.58	902,779	400,000
Yangarra Resources Ltd.	Options	Weir, Robert	4	2020-12-01	52		230,001	-10,000
Yangarra Resources Ltd.	Options	Weir, Robert	4	2020-12-01	50	0.61	240,001	10,000
Yangarra Resources Ltd.	Options	Weir, Robert	4	2020-12-02	50	0.58	340,001	100,000
Yellow Pages Limited	Common Shares	GoldenTree Asset Management LP	3	2020-11-30	10	12.46	451,832	-30,000
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-02	38	12.72	1,408,833	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-03	38	12.69	1,411,343	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-04	38	12.57	1,413,853	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-05	38	12.72	1,416,363	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-06	38	12.48	1,418,873	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-09	38	12.67	1,420,873	2,000
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-11	38	12.71	1,421,973	1,100
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-12	38	12	1,423,173	1,200
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-13	38	12.45	1,424,073	900
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-16	38	12.51	1,426,573	2,500
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-18	38	12.48	1,428,573	2,000
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-19	38	12.6	1,430,673	2,100
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-20	38	12.66	1,431,973	1,300
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-23	38	12.75	1,434,483	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-24	38	12.89	1,436,993	2,510

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Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-25	38	12.74	1,487,093	50,100
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-26	38	12.82	1,489,603	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-27	38	12.54	1,490,603	1,000
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-27	38		1,406,623	-83,980
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-30	38	12.56	1,409,133	2,510
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2020-11-30	38		1,406,623	-2,510
Yorbeau Resources Inc.	Common Shares Class A	Bodnar jr., Georges	4, 5	2020-11-26	16	0.065	1,854,950	620,000
Yorbeau Resources Inc.	Common Shares Class A	Gagnier, Pierre	4	2020-11-26	16	0.065	3,890,283	154,000
Yorbeau Resources Inc.	Common Shares Class A	GÖlinas, Henri	4	2020-11-26	16	0.065	20,134,458	2,500,000
Yorbeau Resources Inc.	Common Shares Class A	GÖlinas, Henri	4	2020-11-27	16	0.065		2,500,000
Yorbeau Resources Inc.	Common Shares Class A	Gendron, JÖrjme	4	2020-11-26	16	0.065	11,760,466	620,000
Yorbeau Resources Inc.	Common Shares Class A	Jacobsen, John	4	2020-11-26	16	0.065	1,538,500	1,538,500
Yorbeau Resources Inc.	Common Shares Class A	Kocisko, Terry	4	2020-11-26	16	0.065	3,448,976	1,538,500
Yorbeau Resources Inc.	Common Shares Class A	LÖpine, Sylvain	5	2020-06-17	00			
Yorbeau Resources Inc.	Common Shares Class A	LÖpine, Sylvain	5	2020-11-26	16	0.065	153,900	153,900
Yorkton Equity Group Inc.	Options	Theiss, Jason	4	2020-11-17	00			
Yorkton Equity Group Inc.	Options	Theiss, Jason	4	2020-11-17	50	0.2	50,000	50,000
ZEN Graphene Solutions Ltd.	Common Shares	Jordan, James	5	2020-02-04	00			
ZEN Graphene Solutions Ltd.	Common Shares	Jordan, James	5	2020-11-25	51	0.72	100,000	100,000
ZEN Graphene Solutions Ltd.	Options	Jordan, James	5	2020-11-25	51	0.72	350,000	-100,000
ZEN Graphene Solutions Ltd.	Options	Jordan, James	5	2020-11-25	51	0.72		-100,000
ZEN Graphene Solutions Ltd.	Options	Jordan, James	5	2020-11-25	51	0.72		-100,000
ZEN Graphene Solutions Ltd.	Common Shares	KLEES, FRANK	4	2018-07-12	00			
ZEN Graphene Solutions Ltd.	Common Shares	KLEES, FRANK	4	2020-12-03	10	1.486	20,000	20,000
ZEN Graphene Solutions Ltd.	Common Shares	KLEES, FRANK	4	2018-07-12	00			
ZEN Graphene Solutions Ltd.	Common Shares	KLEES, FRANK	4	2020-12-03	10	1.4	20,000	20,000
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Common Shares	Benne, Leo	5	2003-10-21	00			
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Common Shares	Benne, Leo	5	2003-10-24	00			
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Rights	Benne, Leo	5	2003-10-21	00			
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Rights	Benne, Leo	5	2003-10-24	00			
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Rights	Benne, Leo	5	2003-10-21	00			
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Rights	Benne, Leo	5	2003-10-24	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	Dumas, Francois	4, 5	2020-12-03	10	0.195	1,364,825	10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	Dumas, Francois	4, 5	2020-12-03	10	0.205	1,371,825	7,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	Dumas, Francois	4, 5	2020-12-03	10	0.21	1,382,325	10,500
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-01	51	9.82	7,840	4,122
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-01	51	11.84	21,985	14,145
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-01	30	55.195	3,718	-18,267
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-02	51	9.82	3,845	127
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-02	51	11.84	4,419	574
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-02	30	55.011	3,718	-701
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-04	51	9.82	6,568	2,850
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-04	51	11.84	9,750	3,182
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2020-12-04	30	55.119	3,718	-6,032
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-01	51		287,815	-4,122
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-01	51		273,670	-14,145
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-02	51		273,543	-127
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-02	51		272,969	-574
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-04	51		270,119	-2,850
Zymeworks Inc.	Options	Hausman, Diana	5	2020-12-04	51		266,937	-3,182

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

CI Galaxy Bitcoin Fund
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 4, 2020
NP 11-202 Receipt dated December 7, 2020

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

CIBC World Markets Inc.
BMO Nesbitt Burns Inc.
Canaccord Genuity Corp.
Industrial Alliance Securities Inc.
Richardson GMP Limited
Echelon Wealthy Partners Inc.
Hampton Securities Limited
Leede Jones Gable Inc.
Mackie Research Capital Corporation
PI Financial Corp.

Promoter(s):

CI Investments Inc.
Project #3135996

Issuer Name:

The Ether Fund
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 1, 2020
NP 11-202 Receipt dated December 2, 2020

Offering Price and Description:

Maximum Issue: US\$107,500,000 (10,000,000 Class A Units and/or Class F Units)
Minimum Issue: US\$20,000,009.50 (1,860,466 Class A Units and/or Class F Units)
US\$10.75 per Class A Unit and US\$10.53 per Class F Unit

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

3iQ CORP.
Project #3086427

Issuer Name:

BlueBay \$U.S. Global Investment Grade Corporate Bond Fund (Canada)
BlueBay Canadian Institutional Global High Yield Bond Fund
BlueBay Global High Yield Bond Fund (Canada)
RBC \$U.S. Core Bond Pool
RBC \$U.S. Core Plus Bond Pool
RBC \$U.S. Global Balanced Portfolio
RBC \$U.S. Global Bond Fund
RBC \$U.S. Short-Term Government Bond Fund
RBC Short-Term Global Bond Fund
RBC Vision Fossil Fuel Free Balanced Fund
RBC Vision Fossil Fuel Free Bond Fund
RBC Vision Fossil Fuel Free Emerging Markets Equity Fund
RBC Vision Fossil Fuel Free Short-Term Bond Fund
RBC Vision QUBE Fossil Fuel Free Low Volatility Canadian Equity Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Dec 4, 2020
NP 11-202 Preliminary Receipt dated Dec 4, 2020

Offering Price and Description:

Series T5 units, Series D units, Series A units, Series O units, Series FT5 units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A
Project #3148097

Issuer Name:

RGP Global Sector Fund
RGP Global Sector Class
Sectorwise Conservative Portfolio
Sectorwise Balanced Portfolio
Sectorwise Growth Portfolio
Principal Regulator - Quebec

Type and Date:

Amendment #1 to Final Simplified Prospectus dated November 20, 2020
NP 11-202 Final Receipt dated Dec 4, 2020

Offering Price and Description:

Series A, F, P, R, T5, FT5, PT5 and RT5 Shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A
Project #3023452

Issuer Name:

First Trust Cboe Vest U.S. Equity Buffer ETF – November
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Long Form Prospectus dated
November 26, 2020

NP 11-202 Final Receipt dated Dec 3, 2020

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #2974074

Issuer Name:

FÉRIQUE American Equity Fund

FÉRIQUE Conservative Portfolio

FÉRIQUE Moderate Portfolio

FÉRIQUE Balanced Portfolio

Principal Regulator - Quebec

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
November 19, 2020

NP 11-202 Final Receipt dated Dec 2, 2020

Offering Price and Description:

Series A units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3047227

Issuer Name:

Purpose Multi-Asset Income Fund

Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
November 19, 2020

NP 11-202 Final Receipt dated Dec 1, 2020

Offering Price and Description:

ETF units, Series A units, Series B units, Series F units,

Series I units, Series P units,

Series TA6 units, Series UF units and Series X units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3053465

Issuer Name:

BMO Dividend Fund

BMO Sustainable Opportunities Canadian Equity Fund

Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
November 27, 2020

NP 11-202 Final Receipt dated Dec 7, 2020

Offering Price and Description:

Advisor Series, Series A, Series D, Series F, Series F4,
Series F6, Series G, Series I, BMO Private Sustainable
Opportunities Canadian Equity Fund Series O and Series
T5

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3042622

NON-INVESTMENT FUNDS

Issuer Name:

10557536 Canada Corp.

Type and Date:

Preliminary Long Form Prospectus dated November 27, 2020

(Preliminary) Received on December 1, 2020

Offering Price and Description:

No securities are being offered pursuant to this Prospectus

Underwriter(s) or Distributor(s):

-

Promoter(s):

Brian Kalish

Project #3146912

Issuer Name:

Antibe Therapeutics Inc.

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 4, 2020

NP 11-202 Preliminary Receipt dated December 7, 2020

Offering Price and Description:

US\$50,000,000.00

Common Shares

Preferred Shares

Debt Securities

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3148234

Issuer Name:

Auxly Cannabis Group Inc.

Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated November 30, 2020

NP 11-202 Preliminary Receipt dated December 1, 2020

Offering Price and Description:

\$12,000,000.00

40,000,000 Units

\$0.30 per Unit

Underwriter(s) or Distributor(s):

Mackie Research Capital Corporation

Promoter(s):

-

Project #3145533

Issuer Name:

BIP Investment Corporation

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

C\$3,000,000,000.00

Senior Preferred Shares

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147576

Issuer Name:

Brookfield Infrastructure Finance Limited

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

\$3,000,000,000.00

Debt Securities

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147574

Issuer Name:

Brookfield Infrastructure Finance LLC

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

C\$3,000,000,000.00

Debt Securities

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147572

Issuer Name:

Brookfield Infrastructure Finance Pty Ltd
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020
NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

C\$3,000,000,000.00

Debt Securities

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147575

Issuer Name:

Brookfield Infrastructure Finance ULC
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020
NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

C\$3,000,000,000.00

Debt Securities

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147571

Issuer Name:

Delta 9 Cannabis Inc.
Principal Regulator - Manitoba

Type and Date:

Preliminary Short Form Prospectus dated December 4, 2020
NP 11-202 Preliminary Receipt dated December 4, 2020

Offering Price and Description:

\$5,000,000.50

9,090,910 Units

Offering Price: \$0.55 per Unit

Underwriter(s) or Distributor(s):

LEEDE JONES GABLE INC.

Promoter(s):

-

Project #3145712

Issuer Name:

Drone Delivery Canada Corp. (formerly Asher Resources Corporation)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 4, 2020

NP 11-202 Preliminary Receipt dated December 4, 2020

Offering Price and Description:

\$12,003,200.00

13,640,000 Units

\$0.88 per Unit

Underwriter(s) or Distributor(s):

Cormark Securities Inc.
Echelon Wealth Partners Inc.

Canaccord Genuity Corp.

Promoter(s):

Tony Di Benedetto

Paul Di Benedetto

Richard Buzbuzian

Project #3147134

Issuer Name:

Genworth MI Canada Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 3, 2020
NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

\$3,000,000,000.00

Debt Securities

Preferred Shares

Common Shares

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147745

Issuer Name:

Kovo Healthtech Corporation

Type and Date:

Preliminary Long Form Prospectus dated December 2, 2020

(Preliminary) Receipted on December 3, 2020

Offering Price and Description:

No securities are being offered pursuant to this Prospectus.

Underwriter(s) or Distributor(s):

-

Promoter(s):

Gregory L Noble

Jeana Noble

Peter Bak

Project #3146671

Issuer Name:

MindBeacon Holdings Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated December 7, 2020

NP 11-202 Preliminary Receipt dated December 7, 2020

Offering Price and Description:

\$50,000,000.00

* Common Shares

Underwriter(s) or Distributor(s):

TD SECURITIES INC.
CREDIT SUISSE SECURITIES (CANADA), INC.
CANACCORD GENUITY CORP.
BLOOM BURTON SECURITIES INC.
BEACON SECURITIES LIMITED
ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3148573

Issuer Name:

Nuvei Corporation
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated December 1, 2020

NP 11-202 Preliminary Receipt dated December 1, 2020

Offering Price and Description:

US\$850,000,000.00

Subordinate Voting Shares

Preferred Shares

Debt Securities

Warrants

Subscription Receipts

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3146961

Issuer Name:

Pasofino Gold Limited
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 3, 2020

Offering Price and Description:

\$10,020,000.00

33,400,000 Units Issuable upon Exercise of 33,400,000
Special Warrants

Underwriter(s) or Distributor(s):

STIFEL NICOLAUS CANADA INC.
BEACON SECURITIES LIMITED
CLARUS SECURITIES INC.
PI FINANCIAL CORP.
EIGHT CAPITAL
HAYWOOD SECURITIES INC.

Promoter(s):

-

Project #3147432

Issuer Name:

Saputo Inc.
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 2, 2020

Offering Price and Description:

\$3,000,000,000.00

Common Shares

Debt Securities

Warrants

Subscription Receipts

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147335

Issuer Name:

Score Media and Gaming Inc. (formerly theScore, Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 4, 2020

NP 11-202 Preliminary Receipt dated December 4, 2020

Offering Price and Description:

\$40,000,800.00

28,572,000 Class A Subordinate Voting Shares

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

EIGHT CAPITAL

CORMARK SECURITIES INC.

INFOR FINANCIAL INC.

SCOTIA CAPITAL INC.

Promoter(s):

-

Project #3146660

Issuer Name:

Seabridge Gold Inc.

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 2, 2020

Offering Price and Description:

US\$775 Million

COMMON SHARES

WARRANTS

UNITS

SUBSCRIPTION RECEIPTS

DEBT SECURITIES

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147452

Issuer Name:

Standard Lithium Ltd.

Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated December 2, 2020

NP 11-202 Preliminary Receipt dated December 2, 2020

Offering Price and Description:

Up To \$[*]

Up To [*] Offered Shares

PRICE: \$[*] PER OFFERED SHARE

Underwriter(s) or Distributor(s):

Roth Canada, ULC

Roth Capital Partners LLC

Echelon Wealth Partners Inc.

Promoter(s):

-

Project #3147502

Issuer Name:

SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)

Principal Regulator - Alberta

Type and Date:

Preliminary Shelf Prospectus dated December 1, 2020

NP 11-202 Preliminary Receipt dated December 1, 2020

Offering Price and Description:

\$10,000,000.00

Common Shares

Preferred Shares

Debt Securities

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147012

Issuer Name:

CI Financial Corp.

Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated December 4, 2020

NP 11-202 Receipt dated December 7, 2020

Offering Price and Description:

US\$2,000,000,000.00

Debt Securities (unsecured)

Subscription Receipts

Preference Shares

Common Shares

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3144959

Issuer Name:

Euro Asia Pay Holdings Inc.

Principal Regulator - British Columbia

Type and Date:

Amendment #1 dated November 30, 2020 to Final Long Form Prospectus dated October 27, 2020

NP 11-202 Receipt dated December 1, 2020

Offering Price and Description:

Minimum Offering: \$2,000,000.00 or 8,000,000 Units

Maximum Offering: \$3,000,000.00 or 12,000,000 Units

Price: \$0.25 per Unit

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

Promoter(s):

Morris Chen

Project #3090191

Issuer Name:

Fortis Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated December 4, 2020
NP 11-202 Receipt dated December 4, 2020

Offering Price and Description:

\$2,000,000,000.00
COMMON SHARES
FIRST PREFERENCE SHARES
SECOND PREFERENCE SHARES
SUBSCRIPTION RECEIPTS
DEBT SECURITIES

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3142659

Issuer Name:

Marimaca Copper Corp. (formerly, Coro Mining Corp.)
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated November 30, 2020
NP 11-202 Receipt dated December 1, 2020

Offering Price and Description:

\$25,200,000.00
8,000,000 Units
PRICE: \$3.15 PER UNIT

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
BMO NESBITT BURNS INC.
PARADIGM CAPITAL INC.

Promoter(s):

-

Project #3136707

Issuer Name:

Seabridge Gold Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated December 3, 2020
NP 11-202 Receipt dated December 3, 2020

Offering Price and Description:

US\$775 Million
COMMON SHARES
WARRANTS
UNITS
SUBSCRIPTION RECEIPTS
DEBT SECURITIES

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147452

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Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
New Registration	GloRes Securities Inc.	Exempt Market Dealer	December 2, 2020
Name Change	From: Richardson GMP Limited / Richardson GMP Limitée To: Richardson Wealth Limited / Patrimoine Richardson Limitée	Investment Dealer	November 10, 2020
New Registration	Sentinel Financial Management Corp.	Mutual Fund Dealer	December 3, 2020
Change in Registration Category	Regulus Capital Management Inc.	From: Portfolio Manager To: Investment Fund Manager and Portfolio Manager	December 4, 2020
Voluntary Surrender	Return on Innovation Advisors Ltd.	Investment Fund Manager, Exempt Market Dealer and Portfolio Manager	December 4, 2020
Consent to Suspension (Pending Surrender)	Pillarfour Securities Inc.	Exempt Market Dealer	December 1, 2020
Consent to Suspension (Pending Surrender)	GMO Canada LLC	Exempt Market Dealer	December 1, 2020
Change in Registration Category	Highstreet Asset Management Inc.	From: Exempt Market Dealer, Portfolio Manager, Investment Fund Manager and Commodity Trading Manager To: Exempt Market Dealer, Portfolio Manager and Commodity Trading Manager	December 7, 2020
Consent to Suspension (Pending Surrender)	Silver Maple Ventures Inc.	Exempt Market Dealer	December 1, 2020

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Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – Amendments to Dealer Member Rules to Early Adopt Certain IIROC Rules – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

AMENDMENTS TO DEALER MEMBER RULES TO EARLY ADOPT CERTAIN IIROC RULES

The Ontario Securities Commission has approved IIROC's proposed amendments to its Dealer Member Rules to align with their parallel provisions in the IIROC Dealer Member Plain Language Rule Book (IIROC Rules) that were approved by the CSA in mid-2019¹ (the Amendments).

IIROC published the proposed amendments for comment on July 23, 2020 and two comment letters were received. A summary of the public comments and IIROC's responses, as well as the IIROC Notice including the Amendments, can be found at <http://www.osc.gov.on.ca>.

The Amendments will be effective on January 1, 2021 or as otherwise determined by IIROC.

In addition, the Alberta Securities Commission, the Autorité des marchés financiers, the British Columbia Securities Commission, the Financial and Consumer Affairs Authority of Saskatchewan, the Financial and Consumer Services Commission of New Brunswick, the Manitoba Securities Commission, the Northwest Territories Office of the Superintendent of Securities, the Nova Scotia Securities Commission, the Nunavut Securities Office, the Office of the Superintendent of Securities, Service Newfoundland and Labrador, the Office of the Yukon Superintendent of Securities, and the Prince Edward Island Office of the Superintendent of Securities have approved or not objected to the Amendments.

¹ See OSC Notice of Commission Approval published on August 22, 2019 at https://www.osc.gov.on.ca/en/Marketplaces_iiroc_20190822_dealer-member-plain-language-rule-book.htm

13.2 Marketplaces

13.2.1 TSX Inc. and TSX Venture Exchange Inc. – Notice of Proposed Amendments and Request for Comments

TSX INC.

AND

TSX VENTURE EXCHANGE INC.

NOTICE OF PROPOSED AMENDMENTS AND REQUEST FOR COMMENTS

TSX Inc. (“**TSX**”) is publishing this Notice of Proposed Amendments and Request for Comments in accordance with the “Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto”.

TSX Venture Exchange Inc. (“**TSXV**”, and together with TSX, the “**Exchanges**”) is publishing this Notice of Proposed Amendments and Request for Comments.

Market participants are invited to provide comments on the Proposed Amendments. Comments should be in writing and delivered by January 29, 2021 to:

Denno Chen
Director, Regulatory Affairs
TMX Group
100 Adelaide Street West, Suite 300
Toronto, Ontario M5H 1S3
Email: tsxrequestforcomments@tsx.com

A copy should also be provided to:

Market Regulation Branch
Ontario Securities Commission
20 Queen Street West
Toronto, Ontario M5H 3S8
Email: marketregulation@osc.gov.on.ca

Comments will be made publicly available unless confidentiality is requested. Upon completion of the review by staff at the Ontario Securities Commission (“**OSC**”), British Columbia Securities Commission (the “**BCSC**”) and Alberta Securities Commissions (the “**ASC**”), and in the absence of any regulatory concerns, a notice will be published to confirm the approval by each of the OSC, BCSC and ASC.

Background and Rationale

The Exchanges strive to maintain and operate resilient trading systems. However, technology may fail as a result of unforeseen circumstances. The Exchanges have in place detailed Incident Management Guidelines (the “**Incident Guidelines**”) that represent the key operational protocols in the event of a critical incident impacting the operations and availability of the Exchanges. An incident is generally considered to be a significant service interruption to trading as a result of a system failure related to either the access or proper functioning of the trading systems or the respective market data feeds (an “**Incident**”). The Incident Guidelines can be found here: <https://www.tsx.com/trading/toronto-stock-exchange/member-notices/incident-management>

Although the operational protocols followed during an Incident may vary depending on the nature and complexity of an Incident, the Incident Guidelines are intended to provide pertinent information, transparency and a level of certainty to participants around how the Exchanges will be managed during an Incident.

Currently, in the event of an Incident where the Exchanges’ Market-on-Close functionality (“**MOC**”) cannot be facilitated through our contingency process, the last board lot sale price on the applicable Exchange will be the closing price for the day. Similarly, in the event of an Incident, non MOC eligible securities will use the last board lot sale price on the applicable Exchange as their closing price for the day.

The Exchanges conducted extensive discussions and consultations with key stakeholders, and received feedback that an alternative closing price was required to provide clients with a more accurate closing price than our current contingency plan (i.e., the last known board lot price) in the event of an Incident. The Exchanges developed the Alternative Closing Price (as defined below) in response to such feedback.

Details of Proposed Amendments

The Alternative Closing Price will be calculated as follows:

- using the volume-weighted average price (“**VWAP**”) of the consolidated last-sale eligible prices of the last five minutes of trading during regular trading hours (the “**5 Minute Window**”), including any closing transactions on an exchange and any trade breaks or corrections up to the time the VWAP is processed.
- If there is no VWAP during the 5 Minute Window, the Alternative Closing Price will be calculated using the last known market-wide last sale eligible trade that day.
- If there are no trades on that day for a particular security, the Alternative Closing Price will be the closing price for such security on the last day in which it traded on the applicable Exchange.

The Alternative Closing Price will apply to all securities trading on the Exchanges and replace the last board lot sale price as the contingency plan as outlined in the Incident Guidelines. If either of the Exchanges are unable to recover trading functionality for the day, the applicable Exchange will utilize the Alternative Closing Price.

Other than as indicated in the third bullet, the Alternative Closing Price will be calculated using the last sale price of the applicable Exchanges’ securities trading on all other Canadian marketplaces.

Expected Date of Implementation

The Alternative Closing Price is expected to be implemented following receipt of regulatory approval, and is anticipated to be implemented in Q2, 2021.

Expected Impact

There will be no impact on market structure or issuers. The Exchanges do not anticipate that any market participant will be negatively impacted by the Alternative Closing Price. The Alternative Closing Price is anticipated to provide market participants with a more accurate closing price in the event of an Incident.

Expected Impact of Alternative Closing Price on the Exchanges’ Compliance with Applicable Securities Law

The Alternative Closing Price is in compliance with applicable securities laws and does not impact fair access to markets or the maintenance of fair and orderly markets.

Estimated Time Required by Members and Service Vendors to Modify Their Own Systems after Implementation of the Alternative Closing Price

We intend to disseminate the Alternative Closing Price in the same manner as we currently disseminate the last known board lot price contingency plan. We anticipate that the communication of the Alternative Closing Price will be made through a Production Alert email and posted on the TMX website at: <https://www.tsx.com/trading/toronto-stock-exchange/member-notices/equities-trading-notices>.

TSX does not anticipate that market participants need to make any changes to accommodate the Alternative Closing Price.

Does the Alternative Closing Price Currently Exist in Other Markets or Jurisdictions

The Exchanges are not aware of any other market or jurisdiction utilizing a similar alternative closing price to the Alternative Closing Price.

13.2.2 Canadian Securities Exchange – Significant Change Subject to Public Comment – Amendments to Trading System Functionality & Features – Notice and Request for Comment

CANADIAN SECURITIES EXCHANGE
SIGNIFICANT CHANGE SUBJECT TO PUBLIC COMMENT
AMENDMENTS TO TRADING SYSTEM FUNCTIONALITY & FEATURES
NOTICE AND REQUEST FOR COMMENT

CNSX Markets Inc., (“CSE”) is filing this Notice in accordance with the process for the Review and Approval of Rules and Information Contained in Form 21-101F1 and the Exhibits Thereto attached as Appendices to the Exchange’s recognition orders (the “Protocol”). The CSE intends to implement enhancements to its trading system in response to customer feedback. The proposed changes are described below.

A. Description of the Proposed Changes

The CSE is proposing the addition of new features that enhance dark trading opportunities on the CSE.

The features being proposed are already present in Canadian market structure and will be familiar to many participants who have used them on other market venues.

The enhancements are 1) non-display order execution at the protected Best Bid or Offer (also referred to as At-the-touch), 2) an enhancement to the Seek Dark Liquidity Only order type to take advantage of execution at-the-touch, and 3) a non-display order type where participants can rest their hidden liquidity on the CSE without using a dark peg.

Following is a detailed description of the proposed features.

1) At-the-touch (ATT) non-display execution

- Execution will be governed by UMIR rule 6.6 – Provision of Price Improvement by a Dark Order, which requires that the active order be greater than 50 board lots and \$30,000 in value, or \$100,000 in value. If either of these criteria are met, the CSE will match the incoming order against any resting non-display order types at-the-touch.
- Visible orders at the protected NBBO will be traded ahead of any dark orders at-the-touch.
- At-the-touch will apply only to non-display orders.
- In Notice 2018-006 the CSE filed for a CSE At the Touch Pegged Order type. It should be noted that this order is based on the same execution principles and it was [approved](#) by the OSC, but never implemented.

2) Enhance the Seek Dark Liquidity Only Order type

Seek Dark Liquidity orders are active IOC orders that will trade against dark resting orders only.

- Seek Dark orders will trade at prices up to and including Protected NBBO (or at the order’s limit price if less aggressive).
- Seek Dark orders may trade against existing odd lots or odd lot portions of mixed lot tradable contra dark orders at or between the NBBO including automated odd lot fills by the CSE market maker where one is assigned.
- Any volume that is not immediately traded will be cancelled.
- Orders can be marked as “Trade with price improvement only” or “Trade with price improvement or dark at-the-touch”.

3) **Non-display Order type**

Additional support for non-display orders:

- Non-display orders only trade during the continuous trading session.
- Non-display orders are accepted in the pre-open.
- They are not eligible for execution during the opening auction, or during the last sale session.
- During a trading session, a symbol may become ineligible to trade non-display orders due to locked, crossed, or threshold market conditions.
- Non-display orders generally offer price improvement but may trade at the National Best Bid or Offer if the active contra order meets ATT requirements.
- Non-display orders can be entered with a MKT price, a full tick limit or a fractional tick limit price.
- The CSE will assign a trading price based on the original limit or the existing bid/ask tick limits.
- Time-in-force can be Good-till-Date (GTD), Good-till-Cancel (GTC), immediate-or-cancel (IOC), fill-or-kill (FOK), and DAY.
- Non-display orders will support min quantity.
- Non-display orders will support 'post-only' instructions.
- Aggressive non-display orders will be prevented from causing a trade-through, trading with visible orders where allowed and booking the remaining volume as non-displayed.
- Non-display orders will be submitted using the disclosed volume FIX tag (MaxFloor <111> = 0).

Trading functionality of non-display orders

- If an order is entered as non-display with a price instruction of MKT or an aggressive limit price, and the order is not marked as post-only, this order will be treated like a regular order insofar as it is immediately executable against lit or dark resting orders. Any untraded volume will be booked as a non-display order at the allowable executable price.
- If a non-display order is post-only, and the order is priced as MKT or has an aggressive limit price, the full volume will be booked as a non-display order at the allowable executable price.
- If a non-display order is entered with a price that is not immediately executable, the full volume will be booked as a non-display order with price/time priority.
- In all cases, the CSE will prevent unintentional trade-throughs by non-display orders only executing these orders at or inside the National Best Bid/Offer.

Execution considerations for non-display orders at the National Best Bid or Ask (NBBO)

- Resting non-display orders interact with incoming (active) orders, lit or dark, through an allocation sequence that ensures the priority of resting displayed orders over non-display orders. To be explicit, displayed orders resting at the NBBO will be filled ahead of non-display orders resting at the same price.
- There is full post-trade transparency of non-display order execution prices which will update the last sale price.
- Non-display orders will trade at the NBBO if the contra active order is >50 board lots in volume **and** \$30 000 in value, **or** \$100 000 in value. They will not trade at the NBBO if the contra order is marked Seek Dark with price-improved-only.

Examples of non-display order behaviour:

1. A non-display buy order is entered with a MKT price.

Best Bid/Offer:	9.00/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display	200	MKT	9.01	100
	100	9.00		
	100	8.99		

A trade occurs at 9.01 for 100 shares and the remaining 100 volume is booked as a non-display order at the maximum allowable price limit.

Best Bid/Offer:	9.00/			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display	100	9.51		
	100	9.00		
C	100	8.99		

Should there be an offer entered on another protected trading venue at a price less than 9.51 which ‘sets’ the National Best Offer, any incoming sell order to the CSE would execute against the resting non-display order 1 tick inside the National Best Offer.

Said more generally, regardless of the booked price execution is subject to visible liquidity on other markets.

2. A non-display buy order for 300 shares is entered with an aggressive limit price of 9.02.

Best Bid/Offer:	8.99/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display (active)	300	9.02	9.01	100
	100	8.99	9.02	100
	100	8.98	9.03	100

A trade would occur for 100 shares at 9.01, 100 shares at 9.02, with the remaining 100 shares being booked as a non-display order at 9.02.

Best Bid/Offer:	8.99/9.03			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display (passive)	100	9.02	9.03	100
	100	8.99	9.04	100
	100	8.98	9.05	100

3. A non-display buy order for 300 shares is entered with an aggressive limit price of 9.02 and post-only instructions. The allowable executable price is restricted 1 tick inside the best offer, up to the limit of 9.02

Best Bid/Offer:	8.95/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display (passive)	300	(limit price) 9.02 (allowable executable price) 9.00	9.01	100
	100		8.95	100
	100		8.94	100

If an aggressive incoming sell order for 100 shares were to be sent to the market an execution against the Non-display order would occur at 9.00, removing 100 shares from the non-display order balance.

Best Bid/Offer:	8.95/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display (passive)	200	(limit price) 9.02 (allowable executable price) 9.00	9.01	100
	100		8.95	100
	100		8.94	100

4. A non-display buy order for 300 shares is entered with an aggressive limit price of 9.02 and post-only instructions. The allowable execution price is restricted to 1 tick inside the best offer up to the limit of 9.02, which in this case is the mid-point between the bid and offer.

Best Bid/Offer:	9.00/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display	300	(limit price) 9.02 (allowable executable price) 9.005	9.01	100
	100		9.00	100
	100		8.99	100

If an aggressive incoming sell order for 100 shares were to be sent to the market an execution against the Non-display order would occur at the mid-point 9.005, removing 100 volume from the order.

Best Bid/Offer:	9.00/9.01			
	Bid Vol	Bid Price	Offer Price	Offer Vol
CSE – Non-display (passive)	200	(Limit price) 9.02 (allowable executable price) 9.005	9.01	100
	100	9.00	9.02	100
	100	8.99	9.03	100

So long as the NBBO is less than (or equal) to the limit price of 9.02 then executions would occur within the spread if the incoming contra order does not meet the size/value requirements of UMIR rule 6.6, or at the NBBO if it does.

B. Expected Implementation Date

The proposed Significant Change is expected to be implemented in Q2, 2021.

C. Rationale for the Proposal

The CSE is expanding its non-display (dark) execution functionality to match the features already present on other marketplaces in Canada.

At-the-touch execution for dark/non-display orders, enhancement of the Seek Dark order, as well as the non-display order type, have been requested by clients and will improve the CSE execution facilities for this segment.

D. Expected Impact

The expected impact of the Significant Change on:

- Market Structure: The proposed changes are currently used on other Canadian exchanges (TSX, Nasdaq Canada). There may be a marginal increase in dark trading on the CSE. The impact is expected to be relatively insignificant.
- Members: A number of CSE Dealers have asked for the proposed order type. The order type is optional.
- Investors, Issuers, and the Capital Markets: There is a possibility of price improvement if there is an increase in dark trading.

E. Compliance with Ontario and British Columbia Securities Law

There is no expected impact on the CSE's compliance with Ontario or British Columbia securities laws. The changes will not affect fair access or the maintenance of fair and orderly markets. The changes are consistent with the fair access requirements set out in section 5.1 of NI21-101 as they are not confined to a limited number of marketplace participants and all marketplace participants will remain subject to the same rules and conditions.

F. Technology Changes

Clients already support similar features (to the ones proposed) on other Canadian marketplaces. The CSE does not anticipate there will be any need for material technology changes.

G. Other Markets or Jurisdictions

The table below identifies where the proposed functionality is new or currently available.

FUNCTIONALITY	MARKETS AVAILABLE
Execution at-the-touch for non-display order types	TSX, Nasdaq Canada
Seek dark enhancement	TSX
Non-display order type	TSX, Nasdaq Canada

Comments

Please submit comments on the proposed amendments no later than January 25, 2021 to:

Mark Faulkner

Vice President, Listings and Regulation
CNSX Markets Inc.
220 Bay Street, 9th Floor
Toronto, ON, M5J 2W4
Email: Mark.Faulkner@thecse.com

Market Regulation Branch

Ontario Securities Commission
20 Queen Street West, 20th Floor
Toronto, ON, M5H 3S8
Email: marketregulation@osc.gov.on.ca

Vida Mehin

Senior Legal Counsel, Capital Markets Regulation
British Columbia Securities Commission
701 West Georgia Street
P.O. Box 10142, Pacific Centre
Vancouver, BC, V7Y 1L2
Email: vmehin@bcsc.bc.ca

13.2.3 Canadian Securities Exchange – Significant Change Subject to Public Comment – Amendments to Trading System Functionality & Features – Notice and Request for Comment

**CANADIAN SECURITIES EXCHANGE
SIGNIFICANT CHANGE SUBJECT TO PUBLIC COMMENT
AMENDMENTS TO TRADING SYSTEM FUNCTIONALITY & FEATURES
NOTICE AND REQUEST FOR COMMENT**

CNSX Markets Inc., (“CSE”) is filing this Notice in accordance with the process for the Review and Approval of Rules and Information Contained in Form 21-101F1 and the Exhibits Thereto attached as Appendices to the Exchange’s recognition orders (the “Protocol”). The CSE intends to implement enhancements to its trading system in response to customer feedback. The proposed changes are described below.

A. Description of the Proposed Changes

Immediate-or-cancel (IOC) instruction for peg order types

The addition of IOC pricing instructions is available to all peg order types.

- The addition of the IOC option allows peg orders to support IOC time in force.
- If an IOC peg order is sent to the CSE, any volume that is not filled upon receipt will be cancelled.

Examples

1. No fill IOC peg

The market is at 9.00/9.01. A bid @9.01 with a midpoint peg, and pricing instruction IOC, is sent to the market.

Best Bid/Offer:	9.00/9.01			
Comment	Vol	Price	Price	Vol
CSE – Peg (midpoint) IOC	300	9.01	9.01	100
	100	9.00	9.02	100
	100	8.99	9.03	100

There is no hidden liquidity resting at the midpoint or better and the order is cancelled upon receipt.

Best Bid/Offer:	9.00/9.01		
Vol	Price	Price	Vol
100	9.00	9.01	100
100	8.99	9.02	100
		9.03	100

2. Partial fill IOC peg

The market is at is at 9.00/9.01. There is a CSE midpoint peg resting on the offer for 100 volume which is set to execute against any aggressive incoming bids.

Best Bid/Offer:	9.00/9.01				
Comment	Vol	Price	Price	Vol	Comment
	100	9.00	9.00	100	Resting CSE – Peg(midpoint)
	100	8.99	9.01	100	
			9.02	100	

A bid @9.01 for 300 volume, with a midpoint peg, and pricing instruction IOC, is sent to the market.

Best Bid/Offer:	9.00/9.01				
Comment	Vol	Price	Price	Vol	Comment
CSE – Peg (midpoint) IOC	300	9.01	9.00	100	Resting CSE – Peg(midpoint)
	100	9.00	9.01	100	
	100	8.99	9.02	100	

100 shares will execute at 9.005 (the midpoint price), with the outstanding unfilled volume (200 shares) on the midpoint IOC bid being cancelled as this portion of volume did not receive an immediate fill.

After these order interactions there is no hidden liquidity resting at the midpoint or better.

Best Bid/Offer:	9.00/9.01		
Vol	Price	Price	Vol
100	9.00	9.01	100
100	8.99	9.02	100

B. Expected Implementation Date

The proposed Significant Change is expected to be implemented in Q2, 2021.

C. Rationale for the Proposal

This feature will allow clients to use the currently available dark order types (pegs) to send an IOC ping to the CSE, targeting hidden liquidity within the National Best Bid or Offer, and having the order cancel should it not receive an immediate fill.

This would enhance our dark peg offering to include features that already exist on other marketplaces in Canada.

D. Expected Impact

There is no expected impact on market structure as this feature is already present on other marketplaces in Canada. This pricing instruction is optional and will have minimal impact on market participants.

E. Compliance with Ontario and British Columbia Securities Law

There is no expected impact on the CSE's compliance with Ontario or British Columbia securities laws. The changes will not affect fair access or the maintenance of fair and orderly markets. The changes are consistent with the fair access requirements set out in section 5.1 of NI21-101 as they are not confined to a limited number of marketplace participants and all marketplace participants will remain subject to the same rules and conditions.

F. Technology Changes

Clients already support similar features (to the ones proposed) on other Canadian marketplaces. The CSE does not anticipate there will be any need for material technology changes.

G. Other Markets or Jurisdictions

The table below identifies where the proposed functionality is new or currently available.

ORDER TYPE	MARKETS AVAILABLE
IOC on Dark pegs	TSX

Comments

Please submit comments on the proposed amendments no later than January 25, 2021 to:

Mark Faulkner

Vice President, Listings and Regulation
CNSX Markets Inc.
220 Bay Street, 9th Floor
Toronto, ON, M5J 2W4
Fax: 416.572.4160
Email: Mark.Faulkner@thecse.com

Market Regulation Branch

Ontario Securities Commission
20 Queen Street West, 20th Floor
Toronto, ON, M5H 3S8
Fax: 416.595.8940
Email: marketregulation@osc.gov.on.ca

Vida Mehin

Senior Legal Counsel, Capital Markets Regulation
British Columbia Securities Commission
701 West Georgia Street
P.O. Box 10142, Pacific Centre
Vancouver, BC, V7Y 1L2
Email: vmehin@bcsc.bc.ca

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