

The Ontario Securities Commission

OSC Bulletin

October 1, 2020

Volume 43, Issue 40

(2020), 43 OSCB

The Ontario Securities Commission administers the *Securities Act* of Ontario (R.S.O. 1990, c. S.5) and the *Commodity Futures Act* of Ontario (R.S.O. 1990, c. C.20)

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
Toronto, Ontario
M1T 3V4

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

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

Fax: 416-593-2318



The OSC Bulletin is published weekly by Thomson Reuters Canada, under the authority of the Ontario Securities Commission.

Thomson Reuters Canada offers every issue of the Bulletin, from 1994 onwards, fully searchable on *SecuritiesSource*[™], Canada's pre-eminent web-based securities resource. *SecuritiesSource*[™] also features comprehensive securities legislation, expert analysis, precedents and a weekly Newsletter. For more information on *SecuritiesSource*[™], as well as ordering information, please go to:

<http://www.westlawecarswell.com/SecuritiesSource/News/default.htm>

or call Thomson Reuters Canada Customer Support at 1-416-609-3800 (Toronto & International) or 1-800-387-5164 (Toll Free Canada & U.S.).

Claims from *bona fide* subscribers for missing issues will be honoured by Thomson Reuters Canada up to one month from publication date.

Space is available in the Ontario Securities Commission Bulletin for advertisements. The publisher will accept advertising aimed at the securities industry or financial community in Canada. Advertisements are limited to tombstone announcements and professional business card announcements by members of, and suppliers to, the financial services industry.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise without the prior written permission of the publisher.

The publisher is not engaged in rendering legal, accounting or other professional advice. If legal advice or other expert assistance is required, the services of a competent professional should be sought.

Printed in the United States by Thomson Reuters.

© Copyright 2020 Ontario Securities Commission
ISSN 0226-9325
Except Chapter 7 ©CDS INC.



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

Table of Contents

<p>Chapter 1 Notices7709</p> <p>1.1 Notices (nil)</p> <p>1.2 Notices of Hearing..... (nil)</p> <p>1.3 Notices of Hearing with Related Statements of Allegations (nil)</p> <p>1.4 Notices from the Office of the Secretary7709</p> <p>1.4.1 Donald Bruce Wilson et al.7709</p> <p>1.4.2 Derek F.C. Elliott7709</p> <p>1.4.3 Epix Resource Finance Corporation.....7710</p> <p>1.4.4 Joseph Debus7710</p> <p>1.4.5 Evolution Mentor Capital Inc. and Pasqualino (Patrick) Michael Mazza7711</p> <p>1.4.6 First Global Data Ltd. et al.....7711</p> <p>1.5 Notices from the Office of the Secretary with Related Statements of Allegations (nil)</p> <p>Chapter 2 Decisions, Orders and Rulings7713</p> <p>2.1 Decisions7713</p> <p>2.1.1 Pembroke Private Wealth Management Ltd. and Pembroke Concentrated Fund7713</p> <p>2.1.2 National Bank Investment Inc. et al.7717</p> <p>2.2 Orders.....7720</p> <p>2.2.1 Donald Bruce Wilson – ss. 127(1), 127(10)....7720</p> <p>2.2.2 Epix Resource Finance Corporation.....7721</p> <p>2.2.3 Angus Mining Inc. – s. 1447721</p> <p>2.2.4 Frankly Inc.....7724</p> <p>2.2.5 Evolution Mentor Capital Inc. and Pasqualino (Patrick) Michael Mazza – ss. 127(8), 127(1).7727</p> <p>2.2.6 First Global Data Ltd. et al. – s. 1527727</p> <p>2.3 Orders with Related Settlement Agreements..... (nil)</p> <p>2.4 Rulings (nil)</p> <p>Chapter 3 Reasons: Decisions, Orders and Rulings7729</p> <p>3.1 OSC Decisions.....7729</p> <p>3.1.1 Donald Bruce Wilson et al. – ss. 127(1), 127(10).....7729</p> <p>3.2 Director’s Decisions.....7737</p> <p>3.2.1 Kyle Krajewski – s. 317737</p> <p>Chapter 4 Cease Trading Orders.....7741</p> <p>4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders7741</p> <p>4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders7741</p> <p>4.2.2 Outstanding Management & Insider Cease Trading Orders7741</p> <p>Chapter 5 Rules and Policies..... (nil)</p> <p>Chapter 6 Request for Comments..... (nil)</p> <p>Chapter 7 Insider Reporting.....7743</p>	<p>Chapter 9 Legislation.....(nil)</p> <p>Chapter 11 IPOs, New Issues and Secondary Financings..... 7817</p> <p>Chapter 12 Registrations..... 7823</p> <p>12.1.1 Registrants..... 7823</p> <p>Chapter 13 SROs, Marketplaces, Clearing Agencies and Trade Repositories 7825</p> <p>13.1 SROs(nil)</p> <p>13.2 Marketplaces 7825</p> <p>13.2.1 Nasdaq CXC Limited – Notice of Proposed Changes and Request for Comment 7825</p> <p>13.3 Clearing Agencies(nil)</p> <p>13.4 Trade Repositories(nil)</p> <p>Chapter 25 Other Information(nil)</p> <p>Index 7829</p>
--	---

Chapter 1

Notices

1.4. Notices from the Office of the Secretary

1.4.1 Donald Bruce Wilson et al.

FOR IMMEDIATE RELEASE
September 23, 2020

**DONALD BRUCE WILSON,
DAVID SCOTT WRIGHT and
PATRICK K. PRINSTER,
File No. 2020-27**

TORONTO – The Commission issued its Reasons and Decision and an Order pursuant to Subsections 127(1) and 127(10) of the *Securities Act* in the above named matter.

A copy of the Reasons and Decision and the Order dated September 22, 2020 are 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 Derek F.C. Elliott

FOR IMMEDIATE RELEASE
September 24, 2020

**DEREK F.C. ELLIOTT,
File No. 2020-31**

TORONTO – Take notice that a First Attendance in the above named matter is scheduled for October 2, 2020 at 10:00 a.m.

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

1.4.3 Epix Resource Finance Corporation

**FOR IMMEDIATE RELEASE
September 25, 2020**

**AN APPLICATION BY
EPIX RESOURCE FINANCE CORPORATION
REGARDING ABERDEEN INTERNATIONAL INC.,
File No. 2020-29**

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

A copy of the Order dated September 25, 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

1.4.4 Joseph Debus

**FOR IMMEDIATE RELEASE
September 25, 2020**

**JOSEPH DEBUS,
File No. 2019-16**

TORONTO – Take notice that the hearing with respect to the hearing and review in the above named matter scheduled to be heard on September 29 and 30, 2020 will not take place as scheduled, and will proceed by way of an attendance only on September 30, 2020 at 10:00 a.m.

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

**1.4.5 Evolution Mentor Capital Inc. and Pasqualino
(Patrick) Michael Mazza**

**FOR IMMEDIATE RELEASE
September 28, 2020**

**EVOLUTION MENTOR CAPITAL INC. and
PASQUALINO (PATRICK) MICHAEL MAZZA,
File No. 2020-19**

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

A copy of the Order dated September 28, 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

1.4.6 First Global Data Ltd. et al.

**FOR IMMEDIATE RELEASE
September 29, 2020**

**FIRST GLOBAL DATA LTD.,
GLOBAL BIOENERGY RESOURCES INC.,
NAYEEM ALLI,
MAURICE AZIZ,
HARISH BAJAJ, AND
ANDRE ITWARU,
File No. 2019-22**

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

A copy of the Order dated September 28, 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

This page intentionally left blank

Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Pembroke Private Wealth Management Ltd. and Pembroke Concentrated Fund

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from 15.3(2), 15.6(1)(a)(i) and 15.6(1)(d) of NI 81-102 to permit a mutual fund, that has not distributed securities under a simplified prospectus in a jurisdiction for 12 consecutive months, to include in their sales communications performance data for the period when the fund was not a reporting issuer – relief also granted from section 2.1 of NI 81-101 for the purposes of the relief requested from Item 5 of Part I of Form 81-101F3, to permit the mutual fund to include in its fund facts, the past performance data for the period when the fund was not a reporting issuer.

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from section 4.4 of NI 81-106 for the purposes of the relief requested from Form 81-106F1, items 3.1(7), 4.1(1), 4.1(2), 4.2(1), 4.3(1) and 4.3(2) of Part B of Form 81-106F1, and Items 3(1) and 4 of Part C of Form 81-106F1, to permit a mutual fund to include in annual and interim management reports of fund performance the financial highlights and past performance of the fund that are derived from the fund's annual financial statements that pertain to time periods when the fund was not a reporting issuer.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 15.3(2), 15.6(1)(a)(i), 15.6(1)(d) and 19.1.

National Instrument 81-101 Mutual Fund Prospectus Disclosure, s. 2.1.

Form 81-101F3 Contents of Fund Facts Document, Item 5 of Part I.

National Instrument 81-106 Investment Fund Continuous Disclosure, s. 4.4.

Form 81-0106F1 Contents of Annual and Interim Management Report of Fund Performance, Items 3.1(7), 4.1(1), 4.1(2), 4.2(1), 4.3(1) and 4.3(2) of Part B and Items 3(1) and 4 of Part C.

TRANSLATION

March 30, 2020

IN THE MATTER OF
THE SECURITIES LEGISLATION OF
QUEBEC AND ONTARIO
(the Jurisdictions)

AND

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

AND

IN THE MATTER OF
PEMBROKE PRIVATE WEALTH MANAGEMENT LTD.
(the Filer)

AND

IN THE MATTER OF
THE PEMBROKE CONCENTRATED FUND
(the Fund)

DECISION

Background

The securities regulatory authority or regulator in each of the Jurisdictions (the **Decision Maker**) has received an application (the **Application**) from the Filer on behalf of the Fund for a decision under the securities legislation of the Jurisdictions (the **Legislation**) exempting units of the Fund from:

- a) Sections 15.3(2), 15.6(1)(a)(i) and 15.6(1)(d) of *Regulation 81-102 respecting Investment Funds*, CQLR, c. V-1.1, r. 39 (**Regulation 81-102**) to permit the Fund to include performance data in sales communications notwithstanding that:
 - i) the performance data will relate to a period prior to the Fund offering its securities under a simplified prospectus, and
 - ii) the Fund has not distributed its securities under a simplified prospectus for 12 consecutive months,
- b) Section 2.1 of *Regulation 81-101 respecting Mutual Fund Prospectus Disclosure*, CQLR, c. V-1.1, r. 38 (**Regulation 81-101**) to meet the requirements from Form 81-101F3 *Contents of Fund Facts Document (Form 81-101F3)*,
- c) Items 5(2), 5(3) and 5(4) and Instructions (1) and (5) of Part I of Form 81-101F3 in respect of the requirement to comply with sections 15.3(2), 15.6(1)(a)(i) and 15.6(1)(d) of Regulation 81-102 to permit the Fund to include in its fund facts the past performance data of the Fund notwithstanding that:
 - i) such performance data relates to a period prior to the Fund offering its securities under a simplified prospectus, and
 - ii) the Fund has not distributed its securities under a simplified prospectus for 12 consecutive months,
- d) Section 4.4 of *Regulation 81-106 respecting Investment Fund Continuous Disclosure*, CQLR, c. V-1.1, r. 42 (**Regulation 81-106**) from Form 81-106F1 *Contents of Annual and Interim Management Report of Fund Performance (Form 81-106F1)*, and
- e) Items 3.1(7) and 4.1(1) in respect of the requirement to comply with section 15.3(2) of Regulation 81-102, 4.1(2), 4.2(1), 4.3(1) and 4.3(2) of Part B of Form 81-106F1 and Items 3(1) and 4 of Part C of Form 81-106F1 to permit the Fund to include, in its annual and interim management reports of fund performance (**MRFPs**), past performance data notwithstanding that such performance data relates to a period prior to the Fund offering its securities under a simplified prospectus,

(collectively, the **Exemption Sought**).

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

- a) the Autorité des marchés financiers is the principal regulator for this Application,
- b) the Filer has provided notice that section 4.7(1) of *Regulation 11-102 respecting Passport System*, CQLR, c. V-1.1, r. 1 (**Regulation 11-102**) is intended to be relied upon in Alberta, British Columbia, Prince Edward Island, Manitoba, New Brunswick, Nova Scotia, Saskatchewan and Newfoundland and Labrador (the **Notified Passport Jurisdictions**), and
- c) the decision is the decision of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

Interpretation

Terms defined in *Regulation 14-101 respecting Definitions*, CQLR, c. V-1.1, r. 3 and Regulation 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 Filer:

1. The Fund is an open-ended mutual fund trust created under the laws of Ontario on January 31, 2018.
2. The Filer's head office is in Québec.
3. The Filer is registered under securities legislation in Quebec, Ontario and Newfoundland and Labrador as an

investment fund manager and in Quebec, Ontario, Alberta, British Columbia, Prince Edward Island, Manitoba, New Brunswick, Nova Scotia, Saskatchewan and Newfoundland and Labrador as a dealer in the category of mutual fund dealer. The Filer is the investment fund manager, promoter and trustee of the Fund.

4. Pembroke Management Ltd., a registered portfolio manager in Quebec, Ontario, Alberta, British Columbia and Manitoba, has been appointed as the portfolio manager of the Fund. Since the Fund commenced operations, Pembroke Management Ltd. has been the portfolio manager of the Fund.
5. Units of the Fund were previously only distributed to investors in the Jurisdictions and Notified Passport Jurisdictions on a prospectus-exempt basis in accordance with *Regulation 45-106 respecting Prospectus Exemptions*, CQLR, V-1.1, r. 21.
6. In order to commence distributing its units pursuant to a simplified prospectus, the Fund filed on March 9, 2020 a preliminary simplified prospectus, a preliminary annual information form and preliminary fund facts. Upon the issuance of a receipt for the final simplified prospectus (the **Prospectus**), the Fund will become a reporting issuer in each of the Jurisdictions and the Notified Passport Jurisdictions and will become subject to the requirements of Regulation 81-102 and Regulation 81-106.
7. The Filer and the Fund are not in default of securities legislation in any of the Jurisdictions and the Notified Passport Jurisdictions.
8. Since the Fund commenced operations as a mutual fund, it has complied with its obligation to prepare and send audited annual and unaudited interim financial statements to all holders of its securities in accordance with Regulation 81-106.
9. Since the Fund commenced operations, it has complied with the investment restrictions and practices contained in Regulation 81-102, including not using leverage in the management of its portfolio.
10. Since the Fund commenced operations, the Fund has not paid any management fees to the Filer. Such fees have been paid directly by investors in the Fund, which will continue to be the case after the Fund becomes a reporting issuer.
11. The Fund will be managed substantially similarly after it becomes a reporting issuer as it was prior to becoming a reporting issuer. As a result of the Fund becoming a reporting issuer:
 - a) the Fund's investment objectives will not change, other than to provide additional detail as required by Regulation 81-101;
 - b) the day-to-day administration of the Fund in respect of its units will not change other than to comply with the additional regulatory requirements associated with being a reporting issuer (none of which impact the portfolio management of the Fund) and to provide additional features that are available to investors of mutual funds managed by the Filer, as described in the Prospectus; and
 - c) the intention of the Filer is to absorb expenses of the Fund to maintain the existing management expense ratio (**MER**) of the Fund at approximately the same level of the Fund prior to becoming a reporting issuer. Any such expense absorption may be discontinued in the future, however the Filer does not expect any material increase in MER once the absorption stops.
12. The Filer proposes to present the performance data of the Fund in sales communications and fund facts for a period prior to it becoming a reporting issuer.
13. Without the Exemption Sought, the sales communications and fund facts pertaining to the Fund cannot include performance data that relates to a period prior to the Fund becoming a reporting issuer.
14. Without the Exemption Sought, sales communications pertaining to the Fund would not be permitted to include performance data until the Fund has distributed securities under a simplified prospectus in a jurisdiction for 12 consecutive months.
15. The Filer proposes to include in the fund facts for the Fund past performance data in the chart required by items 5(2), 5(3) and 5(4) of Part I of Form 81-101F3 under the sub-headings "Year-by-year returns", "Best and worst 3-month returns" and "Average return" related to periods prior to the Fund becoming a reporting issuer in a jurisdiction.
16. Without the Exemption Sought, the MRFP of the Fund cannot include financial highlights and performance data that relates to a period prior to the Fund becoming a reporting issuer.

Decisions, Orders and Rulings

17. The past performance data and other financial data of the Fund for the time period before it became a reporting issuer is significant and meaningful information that can assist existing and prospective investors in making an informed decision whether to purchase units of the Fund.
18. The Filer submits that the Exemption Sought is not detrimental to the protection of investors.

Decision

Each of the Decision Makers is satisfied that the decision meets the test set out in the Legislation for the Decision Maker to make the decision.

The decision of the Decision Makers under the Legislation is that the Exemption Sought is granted provided that:

1. any sales communication and any fund facts that contain performance data of the Fund relating to a period prior to when the Fund was a reporting issuer discloses:
 - a) that the Fund was not a reporting issuer during such period;
 - b) that the expenses of the Fund would have been higher during such period had the Fund been subject to the additional regulatory requirements applicable to a reporting issuer; and
 - c) performance data of the Fund for 10, 5, 3 and one year periods when applicable;
2. the information contained under the heading "Fund Expenses Indirectly Borne by Investors" in Part B of the simplified prospectus of the Fund based on the MER for the Fund for the financial year ended December 31, 2019 be accompanied by disclosure that:
 - a) the information is based on the MER of the Fund for its last completed financial year when its units were offered privately; and
 - b) the MER of the Fund may increase as a result of the Fund offering its units under the simplified prospectus.
3. any MRFP that includes performance data of the Fund relating to a period prior to when the Fund was a reporting issuer discloses:
 - a) that the Fund was not a reporting issuer during such period;
 - b) that the expenses of the Fund would have been higher during such period had the Fund been subject to the additional regulatory requirements applicable to a reporting issuer;
 - c) that the financial statements of the Fund for such period are posted on the Fund's website and are available to investors upon request; and
 - d) performance data of the Fund for 10, 5, 3 and one year periods when applicable;
4. the Filer posts the financial statements of the Fund since it has commenced its operations on the Fund's website and makes those financial statements available to investors upon request.

"Jacinthe Des Marchais"
Acting Senior Director, Investment Funds

2.1.2 National Bank Investment Inc. et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted to mutual funds for extension of the lapse date of prospectus – Extension will permit filer to include annual audited financial statements when prospectus is renewed – Extension of lapse date will not affect the currency or accuracy of the information contained in the current prospectus.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., s. 62(5).

September 24, 2020

IN THE MATTER OF
THE SECURITIES LEGISLATION OF
QUÉBEC AND ONTARIO
(the Jurisdictions)

AND

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

AND

IN THE MATTER OF
NATIONAL BANK INVESTMENT INC.
(the Filer)

AND

IN THE MATTER OF
NBI GLOBAL REAL ASSETS INCOME ETF,
NBI ACTIVE CANADIAN PREFERRED SHARES ETF,
NBI UNCONSTRAINED FIXED INCOME ETF,
NBI HIGH YIELD BOND ETF,
NBI SUSTAINABLE CANADIAN BOND ETF,
NBI SUSTAINABLE CANADIAN EQUITY ETF,
NBI SUSTAINABLE GLOBAL EQUITY ETF,
NBI CANADIAN FAMILY ETF AND
NBI GLOBAL PRIVATE EQUITY ETF
(collectively, the Non-Alternative NBI ETFs)

AND

IN THE MATTER OF
NBI LIQUID ALTERNATIVES ETF
(the Alternative NBI ETF and, together with the Non-Alternative NBI ETFs,
collectively the NBI ETFs, each a NBI ETF)

DECISION

Background

The securities regulatory authority or regulator in each of the Jurisdictions (each a **Decision Maker**) has received an application from the Filer on behalf the NBI ETFs for a decision under the securities legislation of the Jurisdictions (the **Legislation**) to permit the NBI ETFs to extend the time limits for the renewal of both the Non-Alternative NBI ETFs and the Alternative NBI ETF Prospectuses (collectively defined as the **Prospectus**) as if its lapse date was April 23, 2021 (the **Exemption Sought**).

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

- (a) the Autorité des marchés financiers is the principal regulator for this application;

- (b) the Filer has provided notice that subsection 4.7(1) of *Regulation 11-102 respecting Passport System* (c. V-1.1, r. 1) (**Regulation 11-102**) is intended to be relied upon in the jurisdictions of Canada other than the Jurisdictions; and
- (c) the decision is the decision of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

Interpretation

Terms defined in *Regulation 14-101 respecting Definitions* (c. V-1.1, r. 3), *Regulation 11-102*, *Regulation 41-101 respecting General Prospectus Requirements* (c. V-1.1, r.14) (**Regulation 41-101**), *Regulation 81-102 respecting Investment Funds* (c. V-1.1, r. 39) (**Regulation 81-102**) and *Regulation 81-106 respecting Investment Fund Continuous Disclosure* (c. V-1.1, r. 42) (**Regulation 81-106**) have the same meaning if used in this decision, unless otherwise defined.

Representations

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

The Filer

1. The Filer is a corporation amalgamated under the laws of Canada with its head office in Québec.
2. The Filer is registered as an investment fund manager in Québec, Ontario and Newfoundland and Labrador and as a mutual fund dealer in each of the jurisdiction of Canada.
3. The Filer is the investment fund manager of the NBI ETFs.
4. The Filer is not in default of securities legislation in any of the jurisdiction of Canada.

The NBI ETFs

5. Each NBI ETF is a mutual fund governed by the provisions of Regulation 81-102 and established under the laws of Ontario.
6. Securities of each NBI ETF are offered by long form prospectuses dated January 23, 2020 and prepared pursuant to Regulation 41-101 and Form 41-101F2 *Information Required in an Investment Fund Prospectus*, which are filed in one or more jurisdiction of Canada. Accordingly, each NBI ETF is a reporting issuer or the equivalent in one or more jurisdiction of Canada.
7. The NBI ETFs are not in default of securities legislation in any of the jurisdiction of Canada.
8. Pursuant to section 62(1) of the *Securities Act* (Ontario) (R.S.O. 1990, c. S.5) and section 17(2) of Regulation 41-101, the lapse date for the Prospectus is January 23, 2021 (the **Current Lapse Date**). In accordance with applicable securities legislation, the distribution of securities of NBI ETFs would have to cease on the Current Lapse Date unless (i) a pro forma prospectus is delivered not less than 30 days before the Current Lapse Date (i.e. by December 24, 2020); (ii) a final prospectus is filed no later than 10 days after the Current Lapse Date (i.e. by February 2, 2021); and (iii) a receipt for such final prospectus is obtained within 20 days of the Current Lapse Date (i.e. February 12, 2021).
9. Pursuant to sections 10.1(1), 10.1(1.1) and 10.1(2) of Regulation 41-101, the NBI ETFs must file a written consent provided by their auditor no later than February 2, 2021, 10 days after the Current Lapse Date.
10. The fiscal year-end of the NBI ETFs is December 31 and, pursuant to section 2.2 of Regulation 81-106, the annual financial statements and auditor's report are required to be filed on or before the 90th day after the NBI ETFs' most recently completed financial year, which for the NBI ETFs will be December 31, 2020 (the **2020 Fiscal Year-End**).
11. Pursuant to section 4.3(1) of Regulation 41-101 and given the 2020 Fiscal Year-End, the NBI ETF's auditor will be required to review the NBI ETFs' unaudited interim financial statements (i.e. as at June 30, 2020).

Filing of Documents

12. The Filer must file annual financial statements for the NBI ETFs for the 2020 Fiscal Year-End by no later than March 31, 2021, which date is after the Current Lapse Date.
13. Considering the time required by the auditors and resources to prepare the Prospectus documents commencing from the 2020 Fiscal Year-End, the Filer submits that it is unworkable to have the Prospectus documents, including the auditor's written consent, audited financial statements and auditor's report, by February 2, 2021.

Decisions, Orders and Rulings

14. As audited financial statements will not be ready by the Current Lapse Date, the NBI ETFs currently will need to incorporate by reference unaudited interim financial information (as at June 30, 2020) into the Prospectus documents. In order to incorporate by reference the interim unaudited financial statements into the Prospectus documents, those interim unaudited financial statements must be reviewed by the NBI ETFs' auditor in accordance with the relevant standards set out in the Handbook of the Canadian Institute of Chartered Accountants for a review of financial statements.
15. Given that the audited financial statements of the NBI ETFs will be available no later than March 31, 2021, which is only a few weeks following the filing of the Prospectus documents pursuant to the Current Lapse Date, this review of the interim unaudited financial statements will incur time and expenses which will only be relevant for a short period of time.
16. Extending the Current Lapse Date to April 23, 2021 will provide the time necessary for the NBI ETF's auditor to complete the audit of the NBI ETF's financial statements for the 2020 Fiscal Year-End and provide its written consent as required by Regulation 41-101, and enable the Filer to renew the Prospectus and ETF Facts on a timeline that allows the inclusion of the most current audited financial information each year. In doing so, it will be more efficient and remove unnecessary financial burden on the NBI ETFs which is indirectly borne by the NBI ETFs securityholders.
17. There have been no material changes in the affairs of the NBI ETFs since the Prospectus dated January 23, 2020. Accordingly, the Prospectus and ETF Facts continue to provide accurate information regarding the NBI ETFs. Given the disclosure obligations of the Filer and NBI ETFs, should any changes occur, the Prospectus and ETF Facts would be amended accordingly.
18. The Filer submits that the Exemption Sought will not affect the reliability and accuracy of the information contained in the Prospectus and is not contrary to the public interest.

Decision

Each of the Decision Makers is satisfied that the decision meets the test set out in the Legislation for the Decision Maker to make the decision.

The decision of the Decision Makers under the Legislation is that the Exemption Sought is granted.

"Louis-Martin Ouellet"

Acting Director Investment Funds Oversight

2.2 Orders

2.2.1 Donald Bruce Wilson – ss. 127(1), 127(10)

File No. 2020-27

IN THE MATTER OF
DONALD BRUCE WILSON,
DAVID SCOTT WRIGHT AND
PATRICK K. PRINSTER

Lawrence P. Haber, Commissioner and Chair of the Panel

September 22, 2020

ORDER
(Subsections 127(1) and 127(10) of
the Securities Act, RSO 1990, c S.5)

WHEREAS the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider a request by Staff of the Commission (**Staff**) for an order imposing sanctions against Donald Bruce Wilson (**Wilson**), David Scott Wright (**Wright**) and Patrick K. Prinster (**Prinster**) (together, the **Respondents**) pursuant to subsections 127(1) and 127(10) of the *Securities Act*, RSO 1990, c S.5 (the **Act**);

ON READING the Findings of the British Columbia Securities Commission (the **BCSC**) dated April 30, 2019 and the order of the BCSC dated September 20, 2019 and on reading the materials filed by Staff, the Respondents not having filed any materials, although properly served;

IT IS ORDERED THAT:

1. Against Wilson:

- (a) pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Wilson cease permanently;
- (b) pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Wilson cease permanently;
- (c) pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Wilson permanently;
- (d) pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Wilson resign any positions that he holds as a director or officer of any issuer or registrant;
- (e) pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Wilson is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
- (f) pursuant to paragraph 8.5 of s.127(1) of the Act, Wilson is prohibited from

becoming or acting as a registrant or promoter.

2. Against Wright:

- (a) pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Wright cease permanently;
- (b) pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Wright cease permanently;
- (c) pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Wright permanently;
- (d) pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Wright resign any positions that he holds as a director or officer of any issuer or registrant;
- (e) pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Wright is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
- (f) pursuant to paragraph 8.5 of s.127(1) of the Act, Wright is prohibited from becoming or acting as a registrant or promoter.

3. Against Prinster:

- (a) pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Prinster cease permanently;
- (b) pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Prinster cease permanently;
- (c) pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Prinster permanently;
- (d) pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Prinster resign any positions that he holds as a director or officer of any issuer or registrant;
- (e) pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Prinster is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
- (f) pursuant to paragraph 8.5 of s.127(1) of the Act, Prinster is prohibited from becoming or acting as a registrant or promoter.

“Lawrence P. Haber”

2.2.2 Epix Resource Finance Corporation

File No. 2020-29

**IN THE MATTER OF
AN APPLICATION BY
EPIX RESOURCE FINANCE CORPORATION
REGARDING ABERDEEN INTERNATIONAL INC.**

Timothy Moseley, Vice-Chair and Chair of the Panel

September 25, 2020

ORDER

WHEREAS on September 25, 2020, the Ontario Securities Commission held a hearing by teleconference in this proceeding;

ON HEARING the submissions of the representatives for each of Epix Resource Finance Corporation (**Epix**), Aberdeen International Inc. (**Aberdeen**) and Staff of the Commission (**Staff**);

IT IS ORDERED THAT:

1. Epix shall serve and file its Amended Application in Word and PDF formats, and its Application Record, by no later than 4:30 p.m. on September 29, 2020;
2. Epix shall serve each party with its written submissions by no later than 4:30 p.m. on October 19, 2020;
3. Aberdeen shall serve each party with its responding written submissions by no later than 4:30 p.m. on November 2, 2020;
4. Staff shall serve each party with its responding written submissions by no later than 4:30 p.m. on November 10, 2020;
5. Epix shall serve each party with its reply written submissions, if any, by no later than 4:30 p.m. on November 13, 2020;
6. all parties shall file with the Commission their written submissions as soon as possible after service is effected and by no later than 4:30 p.m. on November 13, 2020; and
7. a hearing with respect to Epix's motion for standing to bring this application is scheduled for November 19, 2020, at 9:00 a.m., by videoconference, 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"

2.2.3 Angus Mining Inc. – s. 144

Headnote

Application by an issuer for a revocation of a cease trade order issued by the Commission – cease trade order issued because the issuer had failed to file certain continuous disclosure materials required by Ontario securities law – defaults subsequently remedied by bringing continuous disclosure filings up-to-date – cease trade order revoked.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., ss. 127 and 144.

**IN THE MATTER OF
THE SECURITIES ACT
R.S.O. 1990, C. S-5, AS AMENDED
(THE ACT)**

AND

**IN THE MATTER OF
ANGUS MINING INC.**

**ORDER
(Section 144 of the Act)**

WHEREAS the securities of Angus Mining Inc. (the "**Applicant**") are subject to a temporary cease trade order made by the Director of the Ontario Securities Commission (the "**Commission**") dated May 8, 2015 pursuant to paragraph 2 of subsection 127(1) and subsection 127(5) of the Act, and a further cease trade order dated May 20, 2015 made by the Director of the Commission pursuant to paragraph 2 of subsection 127(1) of the Act, ordering that trading in securities of the Applicant cease (together, the "**Cease Trade Order**");

AND WHEREAS additional cease trade orders were issued by the British Columbia Securities Commission ("**BCSC**") on May 11, 2015 and the Alberta Securities Commission ("**ASC**") on August 21, 2015 (collectively, the "**Other Cease Trade Orders**");

AND WHEREAS the Applicant has applied to the Commission pursuant to section 144 of the Act to revoke the Cease Trade Order (the "**Application**");

AND WHEREAS the Applicant has represented to the Commission that:

1. The Applicant was incorporated as "Golconda Capital Corp." under the *Business Corporations Act* (Alberta) on February 12, 2007 and was classified as a "capital pool company" pursuant to the policies of the TSX Venture Exchange (the "**TSXV**"). In order to effect its "qualifying transaction", on September 23, 2010, the Applicant changed its name from Golconda Capital Corp. to Angus Mining (Namibia) Inc. and on September 24, 2014, a wholly-owned subsidiary of the Applicant amalgamated with Angus Mining (Namibia) Ltd. As a result, Angus Mining (Namibia) Ltd. became a wholly-owned subsidiary of

the Applicant. On September 28, 2010, the Applicant continued into the Province of Ontario under the *Business Corporations Act* (Ontario). On July 16, 2012, the Applicant changed its name from Angus Mining (Namibia) Inc. to Angus Mining Inc.

2. The registered and records office of the Applicant, and the Applicants head office is 333 Bay Street, Suite 4600, Toronto, Ontario M5H 2S5.
3. The Applicant is a reporting issuer in Ontario, Alberta and British Columbia. The Applicant's principal regulator, as determined in accordance with Part 3 of National Policy 11-203 *Process for Exemptive Relief Applications in Multiple Jurisdictions ("NP 11-203")*, is Ontario.
4. The authorized capital of the Applicant comprises an unlimited number of common shares ("**Common Shares**"). As of the date hereof, 38,315,580 Common Shares are issued and outstanding.
5. The Common Shares were traded on the TSXV until May 8, 2015, on which date trading was suspended. Effective August 21, 2015, the Applicant's listing was transferred from the TSXV to the NEX Board and effective at the close of business on May 19, 2016, the Common Shares were delisted from the NEX Board.
6. On July 19, 2011, prior to the Cease Trade Order, the Company issued an unsecured promissory note (the "**Promissory Note**") in the amount of \$1,000,000 to an arm's length third party lender ("**Promissory Note Lender**"). The Company has been in default on the Promissory Note since July 19, 2012. The total outstanding balance of the Promissory Note as of September 30, 2019, including accrued but unpaid interest, is \$1,460,000.
7. On December 11, 2019, the Company entered into a debt settlement agreement (the "**Settlement Agreement**") with the Promissory Note Lender, pursuant to which the Promissory Note Lender agreed to accept a cash payment of \$250,000 in full settlement of the outstanding balance of the Promissory Note. The cash payment was made on December 11, 2019.
8. As a result of the Applicant's failure to file:
 - a. annual audited financial statements for the year ended December 31, 2014;
 - b. management's discussion and analysis relating to the audited annual financial statements for the year ended December 31, 2014; and
 - c. certification of the foregoing filings as required by National Instrument 52-109 *Certification of Disclosure in Issuers' Annual and Interim Filings ("NI 52-109")*;

the Commission issued the Cease Trade Order and the BCSC and ASC issued the Other Cease Trade

Orders. The Applicant has filed applications with each of the Commission, BCSC and ASC for a partial revocation of Cease Trade Order and the Other Cease Trade Orders, respectively.

9. Since December 1, 2014, the Applicant has not filed any continuous disclosure documents, including:
 - a. annual audited financial statements for the years ended December 31, 2014, 2015, 2016, 2017, 2018 and 2019;
 - b. management's discussion and analysis relating to the audited annual financial statements for the years ended December 31, 2014, 2015, 2016, 2017, 2018 and 2019;
 - c. interim financial statements for the interim periods from March 31, 2014 to June 30, 2020;
 - d. management's discussion relating to the interim financial statements for the interim periods from March 31, 2014 to June 30, 2020;
 - e. the certification of the foregoing filings as required by NI 52-109; and
 - f. the statements of executive compensation for the financial years ended December 31, 2014, 2015, 2016, 2017, 2018 and 2019.
10. On August 13, 2018, the Company's President, Chief Executive Officer and sole Director, advanced the Company \$12,500 in the form of a shareholder loan (the "**Shareholder Loan**"). The Applicant used the majority of the advances made under the Shareholder Loan to meet its operational and administrative expenses. The Applicant repaid the Shareholder Loan on October 30, 2018.
11. In October 2018, the Corporation received proceeds of US\$400,000 as a result of the sale of its minority ownership in a private company that held the Ondundu gold project (the "**Ondundu Sale**"). The proceeds were converted into \$523,167 Canadian dollars on October 30, 2018. The Corporation repaid the Shareholder Loan and a prior loan outstanding (the "**Chairman Loan**") from the proceeds of the Ondundu Sale. The Shareholder Loan and the Chairman Loan may have each constituted a "security". As such the acceptance of the Shareholder Loan and repayment of the Shareholder Loan and Chairman Loan may have constituted a violation of the Cease Trade Order.
12. Effective November 30, 2019, each of Donn Burchill and John McBride were appointed as independent directors of the Applicant (the "**Director Appointments**"). Other than these appointments, the Applicant has had no changes to its directors since the date of the Cease Trade Order.

13. If the Shareholder Loan (including the repayment thereof), the repayment of the Chairman Loan, the Ondundu Sale, the settlement of the Promissory Note and the Director Appointments, were material changes, the Applicant was required to, but did not, file material change reports in connection with such transactions. Although the Applicant has been inactive during most of the period since the date of the Cease Trade Order, there may have been additional events in which a material change report may have been required, but was not filed.
14. The Applicant has failed to pay certain fees to the Commission and the securities regulatory authorities where the Other Cease Trade Orders are in effect.
15. The Applicant has now filed the following documents on SEDAR:
- a. annual audited financial statements for the years ended December 31, 2017, 2018 and 2019;
 - b. management's discussion and analysis relating to the audited annual financial statements for the years ended December 31, 2017, 2018 and 2019;
 - c. unaudited interim financial statements for the three, six and nine month interim periods ended March 31, June 30 and September 30 for the years ended December 31, 2017, 2018 and 2019 and the three month interim period ended March 31, 2020 and the six month interim period ended June 30, 2020;
 - d. management's discussion relating to the interim financial statements for the three, six and nine month interim periods ended March 31, June 30 and September 30 for the years ended December 31, 2017, 2018 and 2019 and the three month interim period ended March 31, 2020 and the six month interim period ended June 30, 2020;
 - e. the certification of the foregoing filings as required by NI 52-109;
 - f. the statements of executive compensation for the financial years ended December 31, 2017, 2018 and 2019; and
 - g. the Notice of Change of Auditor, Letter of Former Auditor and Letter of Successor Auditor in connection with the change of auditors.
16. The applicant has also filed material change reports related to the Ondundu Sale, the Shareholder Loan and the Chairman Loan, the settlement of the Promissory Note and the appointment of Donn Burchill and John McBride as directors.
17. The Applicant has not filed (i) audited annual financial statements, and related management's discussion and analysis, and related NI 52-109 certificates for the fiscal years ended December 31, 2014 to December 31, 2016; (ii) unaudited interim financial statements, related MD&A, and related NI 52-109 certificates for the interim periods ended March 31, 2014 to September 30, 2019; and (iii) statements of executive compensation for the years ended December 31, 2014 to December 31, 2016 (collectively, the "Outstanding Filings").
18. Following the revocation of the Cease Trade Order and the Other Cease Trade Orders, the Applicant intends to conduct a private placement with certain insiders of the Applicant, as well as other arm's length parties (the "Private Placement"). The Applicant is of the view that preliminary discussions with potential subscribers regarding the Private Placement may have constituted an "act in furtherance of a trade" in contravention of the Cease Trade Order and the Other Cease Trade Orders.
19. Apart from the Outstanding Filings and the matters disclosed in paragraphs 9, 10, 11, 13 and 14, the Applicant is not to its knowledge, in default of any requirements of the Act or the rules and regulations made pursuant thereto. Apart from the matters disclosed in paragraph 11 and 18, the Applicant is not to its knowledge, in default of any requirements of the Cease Trade Order or the Other Cease Trade Orders. Apart from the Outstanding Filings, the Applicant is up-to-date on all its continuous disclosure obligations, except for the existence of the Cease Trade Order and the Other Cease Trade Orders.
20. The Applicant's issuer profile on the System for Electronic Document Analysis and Retrieval (SEDAR) and issuer profile supplement on the System for Electronic Disclosure by Insiders (SEDI) are current and accurate.
21. The Applicant has paid all outstanding activity, participation and late filing fees that are required to be paid to the Commission and has filed all forms associated with such payments.
22. The Applicant is concurrently being granted a revocation of the Other Cease Trade Orders by the BCSC and the ASC.
23. The Applicant is currently inactive and following the revocation of the Cease Trade Order, and the Other Cease Trade Orders, the Applicant intends to reactivate itself. The Applicant does not have any definitive plans in place for the operation of the business going forward. In particular, other than the Private Placement to fund its general working capital, and to attempt to settle with certain creditors for monies owing, the Applicant is not presently considering, nor is it involved in any discussions relating to, an acquisition, a reverse takeover or similar transaction. However, it is the intention of management of the Applicant to investigate opportunities going forward. The Applicant has provided the Commission with an undertaking that it will not complete:

- a. a restructuring transaction involving, directly or indirectly, an existing or proposed, material underlying business which is not located in Canada,
- b. a reverse takeover with a reverse takeover acquirer that has a direct or indirect, existing or proposed, material underlying business which is not located in Canada,
- c. a significant acquisition involving, directly or indirectly, an existing or proposed, material underlying business which is not located in Canada,

unless

- i. the Applicant files a preliminary prospectus and a final prospectus with the Ontario Securities Commission and obtains receipts for the preliminary prospectus and the final prospectus from the Director under the Act, and
- ii. the preliminary prospectus and final prospectus contain the information required by applicable securities legislation.

24. The Applicant has given the Commission a written undertaking that it will hold an annual meeting of its shareholders within three months after the date on which the Cease Trade Order is revoked. The information circular in respect of such meeting shall include the "reporting package" (as defined in section 4.11 of National Instrument 51-102 *Continuous Disclosure Obligations*) for the change of auditor.

25. Upon the issuance of this revocation order and concurrent revocation orders from the ASC and the BCSC, the Applicant will issue a news release announcing the revocation of the Cease Trade Order and the Other Cease Trade Orders and concurrently file the news release and a related material change report on SEDAR.

AND WHEREAS considering this application and the recommendation of the staff of the Commission;

AND WHEREAS the Director being satisfied that it would not be prejudicial to the public interest to revoke the Cease Trade Order;

IT IS ORDERED under section 144 of the Act that the Cease Trade Order is revoked.

DATED at Toronto on this 18th day of September, 2020.

"Jo-Anne Matear"
Manager, Corporate Finance
Ontario Securities Commission

2.2.4 Frankly Inc.

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – Securities Act s. 1(10)(a)(ii) – Cease to be a reporting issuer in Ontario – The securities of the issuer are beneficially owned by more than 50 persons and are not traded through any exchange or market – Following an arrangement, all of the issuer's common shares were acquired by another company; all of the issuer's other outstanding securities are either exercisable for securities of the acquirer or redeemable based on the value of the shares of the acquirer; the acquirer is a reporting issuer and in compliance with its continuous disclosure obligations; security holders were provided with relevant material information to make voting decisions on the arrangement; the issuer disclosed its intention to cease to be a reporting issuer; securities of the issuer are not traded through any exchange or market.

Applicable Legislative Provisions

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

August 4, 2020

**IN THE MATTER OF
THE SECURITIES LEGISLATION OF
BRITISH COLUMBIA AND ONTARIO
(the Jurisdictions)**

AND

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

AND

**IN THE MATTER OF
FRANKLY INC.
(the Filer)**

ORDER

1 Background

The securities regulatory authority or regulator in each of the Jurisdictions (Decision Maker) has received an application from the Filer for an order under the securities legislation of the Jurisdictions (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 dual application):

- (a) the British Columbia 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 Alberta, and

- (c) this order is the order of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

2 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.

3 Representations

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

1. the Filer is a company continued pursuant to the *Business Corporations Act* (British Columbia) (the BCBCA) on July 11, 2016; the Filer's head office is located at 33 Whitehall Street, 8th Floor, New York, New York, 10004, USA and its registered office is located at 2900-550 Burrard Street, Vancouver, British Columbia, V6C 0A3, Canada;
2. the Filer was an SEC issuer (as that term is defined under National Instrument 51-102 *Continuous Disclosure Obligations* (NI 51-102)) from August 2017 until its securities were deregistered with the SEC on April 1, 2019, from which time the Filer no longer qualified as an SEC issuer under Canadian securities laws; under National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards* (NI 52-107), as an SEC issuer, the Filer was permitted to prepare its financial statements in accordance with U.S. GAAP and have them audited in accordance with U.S. PCAOB GAAS, and to file its management's discussion and analysis in accordance with requirements applicable to SEC issuers;
3. on May 8, 2020 (Effective Date), Torque Esports Corp. (formerly Millennial Esports Corp.) (Torque) acquired all of the issued and outstanding common shares of the Filer (Filer Shares), pursuant to an arrangement under the BCBCA (the Arrangement);
4. Torque is a corporation existing under the laws of the *Business Corporations Act* (Ontario); the authorized share capital of Torque consists of an unlimited number of common shares (Torque Shares) and an unlimited number of preference shares; the Torque Shares are listed on the TSX Venture Exchange (TSXV) under the symbol "GAME";

5. the Filer distributed meeting materials to the holders of record of the Filer Shares in connection with a special meeting of Filer shareholders to consider the Arrangement (Special Meeting), which occurred on April 23, 2020, and which meeting materials included a management information circular, notice of special meeting, and the interim order of the British Columbia Supreme Court dated March 25, 2020 in respect of the Arrangement and the Special Meeting; at the Special Meeting, the Arrangement was approved by the requisite majorities of the holders of Filer Shares;

6. prior to the Effective Date, the Filer had the following issued and outstanding securities: (i) Filer Shares; (ii) options to acquire Filer Shares (Legacy Options); (iii) restricted stock units to acquire Filer Shares (Legacy RSUs); and (iv) common share purchase warrants to acquire Filer Shares (Filer Warrants);

7. pursuant to the terms of the Arrangement, on the Effective Date, all of the issued and outstanding Filer Shares were exchanged for common shares in the capital of Torque (each such share, a Torque Share), on a one-for-one basis (the Exchange Ratio); in addition, the outstanding Legacy Options were exchanged for replacement options to acquire Torque Shares, and the outstanding Legacy RSUs were exchanged for replacement restricted stock units to acquire Torque Shares, in each case, on the same terms and conditions as the Legacy Options and Legacy RSUs, and on the basis of the Exchange Ratio;

8. under the terms of the Arrangement, Torque agreed, from the Effective Date until the respective date(s) and time(s) of expiry of the Filer Warrants (in accordance with their respective terms), that Torque will assume all of the covenants and obligations of the Filer under the Filer Warrants such that each Filer Warrant will entitle the holder to receive Torque Shares in accordance with the Exchange Ratio, and the Filer Warrants will otherwise be valid and binding obligations of Torque;

9. the Filer is not required to remain a reporting issuer pursuant to the terms of the Filer Warrants; the terms of the Filer Warrants contain adjustment provisions addressing, amongst others, a corporate merger, amalgamation, arrangement or business combination, including the Arrangement, and provide for the payment of Torque Shares in lieu of Filer Shares subsequent to such an event; as a result, no consents or approvals are required from the holders of Filer Warrants;

10. Torque is a reporting issuer in British Columbia, Alberta and Ontario and is subject to continuous disclosure requirements; Torque's continuous disclosure is relevant to holders of Filer Warrants as such holders are entitled to receive Torque Shares upon exercise of such securities;
11. Torque is not in default of its obligations as a reporting issuer under securities legislation in any jurisdiction;
12. the Filer is applying for the Order Sought that it be deemed to have ceased to be a reporting issuer in all of the jurisdictions in which it is currently a reporting issuer;
13. the Filer Shares were listed on the TSXV under the symbol "TLK" until they were delisted following the completion of the Arrangement at the close of business on May 14, 2020; 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;
14. the Filer has relied on and, except as noted in the following paragraph, has complied with the requirements of the exemptions for market participants impacted by the COVID-19 pandemic in accordance with BC Instrument 51-515 – *Temporary Exemption from Certain Corporate Finance Requirements* (BCI 51-515) and corresponding exemptions in the other jurisdictions in which the Filer is a reporting issuer, in respect of the filing of its (i) audited annual consolidated financial statements and accompanying management's discussion and analysis and related CEO and CFO certificates for the fiscal year ended December 31, 2019 (the 2019 Annual Filings) which were required to be filed on or before April 29, 2020, and which were required under BCI 51-515 to be filed by June 13, 2020 (the Extended Annual Filings Deadline); and (ii) interim financial report and accompanying management's discussion and analysis and related CEO and CFO certificates for the period ended March 31, 2020 (the Interim Filings) which were required to be filed on or before June 1, 2020, and which were required under BCI 51-515 to be filed by July 16, 2020 (the Extended Interim Filings Deadline);
15. the Filer is not in default of securities legislation in any jurisdiction, except for the following: (i) the Filer's annual financial statements for the year ended December 31, 2018 and the interim financial reports for the periods ended March 31, 2019, June 30, 2019 and September 30, 2019 were prepared in accordance with U.S. GAAP (as defined under NI 52-107), rather than Canadian GAAP applicable to publicly accountable enterprises as required in section 3.2 of NI 52-107; (ii) the corresponding management's discussion and analysis for the year ended December 31, 2018 and the interim periods ended March 31, 2019, June 30, 2019 and September 30, 2019 were prepared in accordance with Item 303 of Regulation S-K under the 1934 Act, rather than in accordance with Form 51-102F1 of NI 51-102; (iii) the annual financial statements for the year ended December 31, 2018 were audited in accordance with U.S. PCAOB GAAS (as defined in NI 52-107), rather than in accordance with Canadian GAAS as required by section 3.3. of NI 52-107; (iv) the Filer did not file its 2019 Annual Filings on or before the Extended Annual Filings Deadline; and (v) the Filer did not file its Interim Filings on or before the Extended Interim Filings Deadline;
16. the Filer is not eligible to use the simplified procedure in NP 11-206 *Process for Cease to be a Reporting Issuer Applications* because the Filer is in default of securities legislation, and the outstanding securities of the Filer (specifically the Filer Warrants) are not 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;
17. the Filer has no intention to seek public financing by way of an offering of securities;
18. the Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*; and
19. upon the granting of the Order Sought, the Filer will not be a reporting issuer or the equivalent in any jurisdiction in Canada.

4 Order

Each of the Decision Makers is satisfied that the order meets the test set out in the Legislation for the Decision Maker to make the order.

The decision of the Decision Makers under the Legislation is that the Order Sought is granted.

"John Hinze"
 Director, Corporate Finance
 British Columbia Securities Commission

**2.2.5 Evolution Mentor Capital Inc. and Pasqualino
(Patrick) Michael Mazza – ss. 127(8), 127(1)**

File No. 2020-19

**IN THE MATTER OF
EVOLUTION MENTOR CAPITAL INC. AND
PASQUALINO (PATRICK) MICHAEL MAZZA**

Timothy Moseley, Vice-Chair and Chair of the Panel

September 28, 2020

**ORDER
(Subsections 127(8) and 127(1) of
the Securities Act, RSO 1990 c S.5)**

WHEREAS the Ontario Securities Commission held a hearing in writing to consider a motion by Staff of the Commission (**Staff**) to further extend a temporary order dated June 17, 2020, and extended on June 30, 2020, against the Respondents;

ON READING the materials filed by Staff and on considering that the Respondents consent to the making of this order;

IT IS ORDERED:

1. pursuant to subsection 127(8) and paragraph 2 of subsection 127(1) of the *Securities Act*, RSO 1990 c S.5 (the **Act**), that until December 30, 2020, all trading in any securities by the Respondents shall cease; and
2. pursuant to subsection 127(8) and paragraph 3 of subsection 127(1) of the Act, that until December 30, 2020, any exemptions contained in Ontario securities law do not apply to the Respondents.

“Timothy Moseley”

2.2.6 First Global Data Ltd. et al. – s. 152

File No. 2019-22

**IN THE MATTER OF
FIRST GLOBAL DATA LTD.,
GLOBAL BIOENERGY RESOURCES INC.,
NAYEEM ALLI,
MAURICE AZIZ,
HARISH BAJAJ, and
ANDRE ITWARU**

Timothy Moseley, Vice-Chair and Chair of the Panel

September 28, 2020

**ORDER
(Section 152 of the Securities Act)**

WHEREAS the Ontario Securities Commission held a hearing in writing to consider a request of Maurice Aziz for an order pursuant to section 152 of the *Securities Act*, RSO 1990, c S.5 (the **Act**);

ON READING Mr. Aziz’s Motion Record and on considering that no party opposes the relief sought;

IT IS ORDERED THAT Mr. Aziz may initiate an application to the Ontario Superior Court of Justice pursuant to section 152 of the Act for an Order:

- a) appointing the members of the panel assigned to the merits hearing in the above-named matter (the **Hearing Panel**) to take the evidence of Steven Roch, an individual who resides in Laval, Québec, and Michel Faille, an individual who resides in Montreal, Québec for use in the merits hearing before the Commission;
- b) providing for the issuance of a letter of request directed to the judicial authorities of the Province of Québec, requesting the issuing of such process as is necessary to compel Steven Roch and Michel Faille to attend and give testimony before the Hearing Panel by video link and audio link, on oath or otherwise, in the merits hearing before the Commission;
- c) providing that the testimony of Steven Roch and Michel Faille shall take place by videoconference at such location(s) as may be advised by Mr. Aziz upon reasonable notice, so that the Hearing Panel, sitting in Toronto, is able to observe and participate by video link and audio link and make any required evidentiary rulings;
- d) providing that Steven Roch and Michel Faille shall give their testimony during the merits hearing before the Commission, commencing on October 5, 2020 at 10:00 a.m. Eastern Time or on such other dates and times thereafter as Mr. Aziz may advise upon reasonable notice;
- e) prescribing that the procedural and evidentiary rules of Ontario will apply to the examinations of

Steven Roch and Michel Faille to the extent permissible by the laws of Québec; and

- f) providing for the payment by the Commission of the greater of any witness fees and travel expenses as may be required by the laws of Ontario and by the laws of Québec, as applicable.

“Timothy Moseley”

Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Donald Bruce Wilson et al. – ss. 127(1), 127(10)

Citation: *Wilson (Re)*, 2020 ONSEC 24
September 22, 2020
File No. 2020-27

IN THE MATTER OF
DONALD BRUCE WILSON,
DAVID SCOTT WRIGHT and
PATRICK K. PRINSTER

REASONS AND DECISION
(Subsections 127(1) and 127(10) of the *Securities Act*, RSO 1990, c S.5)

Hearing: In Writing

Decision: September 22, 2020

Panel: Lawrence P. Haber

Commissioner and Chair of the Panel

Submissions: Ryan Lapensee

For Staff of the Commission

No hearing brief or written submissions were filed by or on behalf of Donald Bruce Wilson, David Scott Wright or Patrick K. Prinster

REASONS AND DECISION

I. INTRODUCTION

- [1] Staff of the Ontario Securities Commission (**Staff of the Commission**) requests that an order under s.127(1) of the *Securities Act*¹ be made against Donald Bruce Wilson (**Wilson**), David Scott Wright (**Wright**) and Patrick K. Prinster (**Prinster**) (together, the **Respondents**) pursuant to the inter-jurisdictional enforcement provisions in s.127(10) of the Act.
- [2] In a decision issued by the British Columbia Securities Commission (the **BCSC**) on April 30, 2019,² the BCSC found that each of the Respondents perpetrated a fraud, contrary to s.57(b) of the British Columbia *Securities Act*,³ through their respective roles as directors of two corporate entities.
- [3] On September 20, 2019, the BCSC ordered sanctions against the Respondents, including a \$150,000 administrative penalty against Wilson, a \$250,000 administrative penalty against each of Wright and Prinster, and permanent prohibitions from participating in the securities markets and acting as a director or officer for each of the Respondents.⁴
- [4] For the reasons that follow, I find that it is in the public interest to issue an order substantially in the form requested by Staff.

II. SERVICE AND PARTICIPATION

- [5] Staff filed a Statement of Allegations dated August 10, 2020 naming Wilson, Wright and Prinster as respondents in this proceeding and electing to proceed with a hearing in writing.⁵ The same day, the Commission issued a Notice of Hearing commencing this proceeding.

¹ RSO 1990, c S.5 (the **Act**)

² *Re DominionGrand*, 2019 BCSECCOM 150 (the **BCSC Findings**)

³ RSO 1996, c 418 (the **BC Act**)

⁴ *Re DominionGrand*, 2019 BCSECCOM 335 (the **BCSC Sanctions Order**)

⁵ *Ontario Securities Commission Rules of Procedure and Forms*, (2019) 42 OSCB 9714 (**Rules of Procedure**), r 11(3)

[6] The Respondents were served with the Notice of Hearing, Statement of Allegations and Staff's written submissions, hearing brief and brief of authorities on August 11, 2020, via email. Staff filed an Affidavit of Service sworn on August 20, 2020.⁶ I find that Staff properly effected service on each of the Respondents.

[7] No request for an oral hearing was made and no materials were filed by the Respondents. The Commission may proceed in the absence of a party where that party has been given notice of the hearing.⁷ I am satisfied that the Respondents had adequate notice of this written hearing and that it is appropriate to proceed in their absence.

III. THE BCSC PROCEEDINGS

A. Background

[8] The Respondents' misconduct took place between June 2011 and August 2013 (the **Material Time**).⁸

[9] The Respondents were all residents of Vancouver, British Columbia. Wilson was previously registered to sell mutual funds and was a licensed mortgage broker during the Material Time.⁹ Neither Wright nor Prinster have been registered under the BC Act.¹⁰ Prinster was a lawyer called to the bar in one or more jurisdictions in the United States.¹¹

[10] DominionGrand II Mortgage Investment Corporation (**MIC II**) was a BC company incorporated on March 30, 2011. Wright and Wilson were directors of MIC II.¹² The BCSC found that Prinster was a *de facto* director of MIC II.¹³

[11] DominionGrand Investment Fund Inc. (**MIC III**) was a BC company incorporated on August 24, 2012. Wright was a director of MIC III. Wilson did not have any role with respect to the business or affairs of MIC III.¹⁴ The BCSC found that Prinster was a *de facto* director of MIC III.¹⁵

[12] MIC II and MIC III were respondents at the hearing on the merits at the BCSC. Both companies are now dissolved. Staff are not seeking to reciprocate the BCSC Sanctions Order as it relates to MIC II and MIC III as the two-year limitation period¹⁶ imposed by the British Columbia *Business Corporations Act* on commencing proceedings against dissolved corporations has passed. MIC II was dissolved on February 16, 2015¹⁷ and MIC III was dissolved on July 6, 2015¹⁸.

1. History of the Business and Organizational Structure

[13] In 2007, Wright and Prinster formed DominionGrand Development Group (**DDG**). The business purpose of DDG was to develop, market and manage real estate-based investment products. These investment products would ultimately include mortgage investment corporations (i.e. MIC II and MIC III).¹⁹

[14] DDG had a number of affiliated entities, including MIC II and MIC III. The specific business affairs and assets of DDG's affiliated entities (other than MIC II and MIC III) were not clear but appear to have included investments in hotels and other real estate assets.²⁰

[15] An offering memorandum and marketing materials were prepared for the sale of shares in MIC II and at least one salesperson was retained to sell these shares to investors. All of the Respondents had input into the creation and information contained in the offering memorandum and the marketing materials.²¹

[16] Both MIC II and MIC III had managers who were licensed mortgage brokers under the British Columbia *Mortgage Brokers Act*.²² DominionGrand Financial Corporation (**DFC**) was the manager of MIC II. Wilson and Wright were both directors of DFC during the Material Time, and Wilson was the registered mortgage broker for DFC. DominionGrand

⁶ Marked as Exhibit 1 in this proceeding

⁷ *Statutory Powers Procedure Act*, RSO 1990, c S.22, s 7(2); *Rules of Procedure*, r 21(3)

⁸ BCSC Findings at para 2

⁹ BCSC Findings at para 6

¹⁰ BCSC Findings at paras 7 and 8

¹¹ BCSC Findings at para 8

¹² BCSC Findings at para 9

¹³ BCSC Findings at para 92

¹⁴ BCSC Findings at para 10

¹⁵ BCSC Findings at para 92

¹⁶ SBC 2002, c 57, s 346(1)(b); Section 346(1)(b) of the *Business Corporations Act* (**BC Business Corporations Act**) deals with dissolved companies deemed to continue for the purposes of litigation. It states that even though a company is dissolved under the BC *Business Corporations Act*, litigation may continue as if the company is not dissolved if a legal proceeding is brought against the company within 2 years of its dissolution.

¹⁷ Exhibit 2, Staff's Hearing Brief, BC Company Summary for DominionGrand II Mortgage Investment Corporation, Tab 4

¹⁸ Exhibit 2, Staff's Hearing Brief, BC Company Summary for DominionGrand Investment Fund Inc., Tab 5

¹⁹ BCSC Findings at para 11

²⁰ BCSC Findings at para 12

²¹ BCSC Findings at para 18

²² RSBC 1996, c 313

Asset Management Inc. (**DAM**) was the manager of MIC III, and Wright was a director of DAM during the Material Time.²³

2. Sales of Shares of MIC II

- [17] During the Material Time, there were sales of shares of MIC II which totaled \$604,530 to 18 investors.²⁴
- [18] MIC II had a bank account at a large Canadian financial institution. Signing authorities on that account included all of the Respondents. All cheques that were issued on that account were signed by Wilson and one of the other two Respondents.²⁵
- [19] All of the Respondents confirmed that MIC II did not invest any of the funds raised by the sale of shares in MIC II in any mortgages.²⁶
- [20] A cease trade order (**CTO**) relating to the securities of MIC II was issued on December 3, 2012. As of April 30, 2019, that CTO had not been revoked.²⁷

3. Sales of Shares of MIC III

- [21] During the Material Time, there were sales of shares of MIC III which totaled \$506,693 to 26 investors. Although this evidence was uncontested, BCSC investigators were only able to trace \$454,375 into the bank account of MIC III.²⁸
- [22] MIC III also had a bank account at a large credit union that was opened in September 2012 with Wright and Prinster listed as the authorized signing authorities. All cheques that were issued on that account were signed by Wright and Prinster.²⁹
- [23] MIC III did not invest any of the funds raised by the sale of shares in MIC III in any mortgages.³⁰

4. Marketing Materials

- [24] Investors who purchased shares of MIC II and MIC III received an offering memorandum. A variety of promotional materials were also prepared in connection with the sale of these shares, including websites, term sheets, frequently asked questions and an executive summary. Investors also entered into a subscription agreement with the issuers, which included a form of risk acknowledgement (collectively, the **Marketing Materials**).³¹
- [25] The primary representation in the Marketing Materials regarding use of investor funds was that MIC II and MIC III would be investing in mortgages secured by real estate. The Marketing Materials also included references as to how an investment in MIC II and MIC III would be less risky than other investments due to the security provided by mortgages.³²
- [26] There was no disclosure anywhere in the Marketing Materials to suggest that investor funds would be required to cover start-up costs of MIC II, MIC III or their manager. Similarly, there was no disclosure that funds would not be invested in mortgages until a certain amount of funds had been raised.³³
- [27] The BCSC concluded that a reasonable investor would believe that MIC II and MIC III represented to them, through their Marketing Materials, that they would primarily invest funds raised from investors in mortgages secured by real estate.³⁴
- [28] Evidence from the BCSC's review of the bank accounts for MIC II and MIC III details that the majority of investors' funds was paid by MIC II and MIC III to related companies of the Respondents. The BCSC found that the diversion of funds from investing in mortgages secured by real estate to related companies and other persons on an unsecured basis caused both the risk of loss and actual loss to investors.³⁵

²³ BCSC Findings at para 19

²⁴ BCSC Findings at para 20

²⁵ BCSC Findings at para 21

²⁶ BCSC Findings at para 24

²⁷ BCSC Findings at para 25

²⁸ BCSC Findings at para 26

²⁹ BCSC Findings at para 27

³⁰ BCSC Findings at para 29

³¹ BCSC Findings at para 30

³² BCSC Findings at para 77

³³ BCSC Findings at para 79

³⁴ BCSC Findings at para 80

³⁵ BCSC Findings at paras 82 and 88

B. BCSC Findings

[29] The BCSC found that Wright, Wilson and Prinster, as directors and officers of MIC II and MIC III, committed fraud based on the following:

- a. all of Wright, Wilson and Prinster, in the case of MIC II, and both Wright and Prinster, in the case of MIC III, were responsible for the preparation and contents of the Marketing Materials in respect of those entities. The Respondents would have had knowledge that investors were told that MIC II and MIC III were principally be investing in mortgages;
- b. the Respondents, in their respective roles, were the signing authorities for the bank accounts of MIC II and MIC III. The Respondents would have had knowledge about the use of investors' funds;
- c. as a consequence, the Respondents, in their respective roles, would have had knowledge of the diversion of investors' funds; and
- d. any business person would know that the diversion of investors' funds from their intended use into unsecured investments mainly in related companies (primarily for start-up costs) would result in deprivation (both the risk of loss and actual loss). Each Respondent was a sophisticated business person with experience in the real estate industry as they themselves admitted and reiterated through the proceedings.³⁶

[30] The BCSC concluded that:

- a. each of Wright, Wilson and Prinster contravened s.57(b) of the BC Act with respect to 19 investors for \$610,134; and
- b. both Wright and Prinster contravened s.57(b) of the BC Act with respect to 21 investors for \$506,693.³⁷

C. BCSC Sanctions Order

[31] The BCSC Sanctions Order imposed the following sanctions, conditions, restrictions or requirements upon the Respondents pursuant to the BC Act:

- a. Against Wilson:
 - i. under s.161(1)(d)(i) of the BC Act, Wilson resign any position he holds as a director or officer of an issuer or registrant;
 - ii. under s.161(1)(b)(ii) of the BC Act, Wilson is permanently prohibited from trading in or purchasing any securities or exchange contracts;
 - iii. under s.161(1)(c) of the BC Act, Wilson is permanently prohibited from relying on any of the exemptions set out in the BC Act, the regulations or a decision;
 - iv. under s.161(1)(d)(ii) of the BC Act, Wilson is permanently prohibited from becoming or acting as a director or officer of any issuer or registrant
 - v. under s.161(1)(d)(iii) of the BC Act, Wilson is permanently prohibited from becoming or acting as a registrant or promoter;
 - vi. under s.161(1)(d)(iv) of the BC Act, Wilson is permanently prohibited from acting in a management or consultative capacity in connection with activities in the securities market;
 - vii. under s.161(1)(d)(v) of the BC Act, Wilson is permanently prohibited from engaging in investor relations activities; and
 - viii. under s.162 of the BC Act, Wilson pay to the BCSC an administrative penalty of \$150,000;
- b. Against Wright:
 - i. under s.161(1)(d)(i) of the BC Act, Wright resign any position he holds as a director or officer of an issuer or registrant;

³⁶ BCSC Findings at para 93

³⁷ BCSC Findings at para 100

- ii. under s.161(1)(b)(ii) of the BC Act, Wright is permanently prohibited from trading in or purchasing any securities or exchange contracts;
 - iii. under s.161(1)(c) of the BC Act, Wright is permanently prohibited from relying on any of the exemptions set out in the BC Act, the regulations or a decision;
 - iv. under s.161(1)(d)(ii) of the BC Act, Wright is permanently prohibited from becoming or acting as a director or officer of any issuer or registrant
 - v. under s.161(1)(d)(iii) of the BC Act, Wright is permanently prohibited from becoming or acting as a registrant or promoter;
 - vi. under s.161(1)(d)(iv) of the BC Act, Wright is permanently prohibited from acting in a management or consultative capacity in connection with activities in the securities market;
 - vii. under s.161(1)(d)(v) of the BC Act, Wright is permanently prohibited from engaging in investor relations activities; and
 - viii. under s.162 of the BC Act, Wright pay to the BCSC an administrative penalty of \$250,000;
- c. Against Prinster:
- i. under s.161(1)(d)(i) of the BC Act, Prinster resign any position he holds as a director or officer of an issuer or registrant;
 - ii. under s.161(1)(b)(ii) of the BC Act, Prinster is permanently prohibited from trading in or purchasing any securities or exchange contracts;
 - iii. under s.161(1)(c) of the BC Act, Prinster is permanently prohibited from relying on any of the exemptions set out in the BC Act, the regulations or a decision;
 - iv. under s.161(1)(d)(ii) of the BC Act, Prinster is permanently prohibited from becoming or acting as a director or officer of any issuer or registrant
 - v. under s.161(1)(d)(iii) of the BC Act, Prinster is permanently prohibited from becoming or acting as a registrant or promoter;
 - vi. under s.161(1)(d)(iv) of the BC Act, Prinster is permanently prohibited from acting in a management or consultative capacity in connection with activities in the securities market;
 - vii. under s.161(1)(d)(v) of the BC Act, Prinster is permanently prohibited from engaging in investor relations activities; and
 - viii. under s.162 of the BC Act, Prinster pay to the BCSC an administrative penalty of \$250,000.³⁸

IV. ANALYSIS AND DECISION

[32] Staff seeks an order imposing sanctions that substantially mirror those in the BCSC Sanctions Order.

[33] The issues for the Panel to consider are:

- a. whether one or more of the circumstances under s. 127(10) of the Act apply to the Respondents, namely, are the Respondents subject to an order made by a securities regulatory authority imposing sanctions, conditions, restrictions or requirements (s.127(10)4); and
- b. if so, whether the Commission should exercise its public interest jurisdiction to make an order pursuant to s.127(1) of the Act.

A. Subsection 127(10) of the Act

[34] Subsection 127(10) of the Act does not itself empower the Commission to make an order; rather, it provides a basis for an order under s.127(1). This provision facilitates cross-jurisdictional enforcement by allowing the Commission to issue protective, preventive and prospective orders to ensure that misconduct that has taken place in another jurisdiction will

³⁸ BCSC Sanctions Order at para 57

not be repeated in Ontario's capital markets. In exercising its jurisdiction to make an order in reliance on s. 127(10) of the Act, the Commission does not require that the underlying conduct have a connection to Ontario.³⁹

- [35] The BCSC is a securities regulatory authority. The BCSC Sanctions Order imposes sanctions on the Respondents. Therefore, the threshold test under s.127(10)4 of the Act is satisfied.

B. Subsection 127(1) of the Act

- [36] Subsection 127(1) empowers the Commission to make orders where it is in the public interest to do so. The Commission is not required to make an order similar to that made by the originating jurisdiction. Rather, the Panel must first satisfy itself that an order for sanctions is necessary to protect the public interest in Ontario and then consider what the appropriate sanctions should be in the circumstances.

- [37] Orders made under s.127(1) of the Act are "protective and preventive" and are made to restrain future conduct that is likely to be prejudicial to the public interest in fair and efficient capital markets.⁴⁰

- [38] The Commission must make its own determination of what is in the public interest. It is also important that the Commission be aware of and responsive to an interconnected, inter-provincial securities industry. The threshold for reciprocity is low.⁴¹ A low threshold is supported by the principle found in s.2.1 of the Act, which provides that "[t]he integration of capital markets is supported and promoted by the sound and responsible harmonization and co-ordination of securities regulation regimes."

- [39] Staff submits that the Respondents' fraudulent conduct warrants imposing significant protective sanctions against each of Wilson, Wright and Prinster. In determining the nature and scope of sanctions to be ordered, the Commission can consider a number of factors, including the seriousness of the misconduct, harm to the capital markets, specific and general deterrence, and any mitigating factors.⁴²

- [40] The Commission has consistently held that fraud is one of the most egregious securities regulatory violations. The BCSC found that "nothing strikes more viciously at the integrity of our capital markets than fraud."⁴³ While the BCSC distinguished the Respondents misconduct, to some extent, from more serious cases of fraud such as Ponzi schemes, direct theft of investor funds or wholly fictitious securities,⁴⁴ they ultimately concluded that those who commit fraud represent a serious risk to the capital markets.⁴⁵

- [41] The BCSC found that investors had been substantially harmed by the Respondents' misconduct. All of the approximately \$1.1 million raised from investors, other than a small amount which was paid to investors as purported returns, were lost.⁴⁶ The BCSC highlighted the very specific risks that the individual Respondents pose when they act in the capacity of directors and officers of corporate entities.⁴⁷

- [42] The BCSC acknowledged that the Respondents had no history of regulatory misconduct. No other mitigating factors or aggravating factors were found.⁴⁸

- [43] The Commission has held that serious fraudulent misconduct warrants permanent removal from the capital markets to protect investors and to deliver a deterrent message to others who might contemplate similar misconduct.⁴⁹ I accept Staff's submission that the sanctions requested are proportionate to the Respondents' misconduct and it would be appropriate for me to issue an order substantially similar to that of the BCSC.

- [44] As noted above in paragraph [12], Staff do not seek to reciprocate the BCSC Sanctions Order as it relates to MIC II and MIC III, as this proceeding is outside of the two-year limitation period for litigation involving dissolved companies specified by the BC Business Corporations Act for both companies.⁵⁰

³⁹ *Nickford (Re)*, 2018 ONSEC 24, (2018) 41 OSCB 3846 at para 13; *Hable (Re)*, 2018 ONSEC 11, (2018) 41 OSCB 2351 at para 8; *Cook (Re)*, 2018 ONSEC 6, (2018) 41 OSCB 1497 at para 9

⁴⁰ *Committee for Equal Treatment of Asbestos Minority Shareholders v Ontario (Securities Commission)*, 2001 SCC 37 at paras 42-43

⁴¹ *JV Raleigh Superior Holdings Inc (Re)*, 2013 ONSEC 18, (2013) 36 OSCB 4639 at para 21

⁴² *Belteco Holdings Inc (Re)*, (1998) 21 OSCB 7743 at 7746; *MCJC Holdings Inc (Re)*, (2002) 25 OSCB 1133 at 1136

⁴³ BCSC Sanctions Order at para 10

⁴⁴ BCSC Sanctions Order at para 11

⁴⁵ BCSC Sanctions Order at para 15

⁴⁶ BCSC Sanctions Order at para 12

⁴⁷ BCSC Sanctions Order at paras 17 and 18

⁴⁸ BCSC Sanctions Order at paras 19 and 22

⁴⁹ *Black Panther Trading Corp (Re)*, 2017 ONSEC 8, (2017) 40 OSCB 3727 at para 68

⁵⁰ BC Business Corporations Act, s 346(1)(b); see para 12 of these Reasons for a further explanation.

C. Differences between British Columbia and Ontario Statutes

[45] Due to differences between the Act and the BC Act, some of the sanctions I impose in Ontario differ from those imposed in British Columbia, as outlined below.

[46] First, the BCSC prohibited the Respondents from trading in or purchasing “exchange contracts”. Subsection 127(1) of the Act does not expressly refer to exchange contracts. The BC Act defines “exchange contract” to mean a futures contract or option that meets certain specific requirements. As a result, Staff seeks an order prohibiting the Respondents from trading in derivatives. In my view, when considering the factors described above that support the making of an order prohibiting trading, there is no reason to distinguish between securities and derivatives. In the circumstances of this case, it is equally in the public interest to protect Ontario investors and the capital markets by prohibiting the Respondents from trading in derivatives. I will therefore make the order requested by Staff.

[47] Second, the BCSC Sanctions Order prohibits the Respondents from engaging in “investor relations activities” and from “acting in a management or consultative capacity in connection with activities in the securities market”. In Ontario, the Act does not use those terms. Instead, such activities would largely be covered by the prohibitions already requested, against individuals acting as a director or officer of an issuer or as a registrant or promoter.

V. CONCLUSION

[48] For the reasons set out above, I find that it is in the public interest to impose the sanctions requested by Staff. This will protect Ontario’s capital markets from the Respondents, as well as deter other persons who may wish to conduct similar misconduct in Ontario. I therefore order that:

a. Against Wilson:

- i. pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Wilson cease permanently;
- ii. pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Wilson cease permanently;
- iii. pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Wilson permanently;
- iv. pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Wilson resign any positions that he holds as a director or officer of any issuer or registrant;
- v. pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Wilson is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
- vi. pursuant to paragraph 8.5 of s.127(1) of the Act, Wilson is prohibited from becoming or acting as a registrant or promoter.

b. Against Wright:

- i. pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Wright cease permanently;
- ii. pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Wright cease permanently;
- iii. pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Wright permanently;
- iv. pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Wright resign any positions that he holds as a director or officer of any issuer or registrant;
- v. pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Wright is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
- vi. pursuant to paragraph 8.5 of s.127(1) of the Act, Wright is prohibited from becoming or acting as a registrant or promoter.

- c. Against Prinster:
- i. pursuant to paragraph 2 of s.127(1) of the Act, trading in any securities or derivatives by Prinster cease permanently;
 - ii. pursuant to paragraph 2.1 of s.127(1) of the Act, the acquisition of any securities by Prinster cease permanently;
 - iii. pursuant to paragraph 3 of s.127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Prinster permanently;
 - iv. pursuant to paragraphs 7 and 8.1 of s.127(1) of the Act, Prinster resign any positions that he holds as a director or officer of any issuer or registrant;
 - v. pursuant to paragraphs 8 and 8.2 of s.127(1) of the Act, Prinster is prohibited from becoming or acting as a director or officer of any issuer or registrant; and
 - vi. pursuant to paragraph 8.5 of s.127(1) of the Act, Prinster is prohibited from becoming or acting as a registrant or promoter.

Dated at Toronto this 22nd day of September, 2020.

“Lawrence P. Haber”

3.2 Director's Decisions

3.2.1 Kyle Krajewski – s. 31

**IN THE MATTER OF
STAFF'S RECOMMENDATION FOR
THE REFUSAL OF THE REACTIVATION OF REGISTRATION FOR
KYLE KRAJEWSKI**

**OPPORTUNITY TO BE HEARD
BY THE DIRECTOR UNDER SECTION 31 OF THE SECURITIES ACT (Ontario)**

Decision

1. For the reasons outlined below, my decision is to reactivate the registration of Kyle Krajewski (**Krajewski** or the **Applicant**) as a dealing representative in the category of mutual fund dealer, sponsored by Royal Mutual Funds Inc. (**RMFI**), with the following term and condition:

Within 4 months of Krajewski's registration being reactivated that he completes and successfully passes the Ethics and Professional Conduct course administered by IFSE.

Overview

2. The Applicant is 24 years old and a recent university graduate. While attending university, he obtained a part-time position with TD Bank (**TD**) as a teller and progressed to a personal banking advisor. He was employed with TD from April 2018 to September 2019. Between March 20, 2019 to September 13, 2019, the Applicant obtained and was registered as a mutual fund dealing representative with TD Investment Services Inc. (**TDIS**).
3. Krajewski was terminated for cause by TD and TDIS, effective September 13, 2019, for inappropriately accessing customer profiles out of curiosity and without a valid business purpose which breached TD's Code of Conduct and Ethics policy as it relates to Protecting Confidential Information - Protecting Customer Information. The customer banking profiles contain extensive portfolio and customer details. Over an approximate four-month period, Krajewski accessed 45 customer profiles and searched 33 names who were not TD customers.
4. As required by National Instrument 33-109 *Registration* Information, TDIS submitted a Form 33-109F1 *Notice of Termination of Registered Individuals and Permitted Individuals* for Krajewski. The reason provided for the termination is:

"Dismissed for Cause for breaching the Bank's Code of Conduct and Ethics policy. Misconduct relates to inappropriate access of TD customer information. There was no involvement with mutual funds. This matter will be reported to the Mutual Fund Dealers Association of Canada."
5. Krajewski was then hired by Royal Bank (**RBC**), effective November 3, 2019 as a banking advisor. During the interview process with RBC, Krajewski disclosed that he had been terminated for cause from TD and TDIS.
6. On March 9, 2020, RMFI submitted an application for reactivation of Krajewski's mutual fund dealing representative registration. The termination for cause disclosure was appropriately disclosed in Item 12 – *Resignations and Terminations* of Form 33-109F4 - *Registration of Individuals and Review of Permitted Individuals*.
7. Due to the Applicant's disclosure in Item 12, the file was assigned to the Registrant Conduct Team (**Staff**) of the Compliance and Registrant Regulation Branch for further review. During the course of Staff's review, information obtained from TD appears to indicate that Krajewski had not been initially forthcoming with TD about his conduct but later admitted to the conduct.
8. Staff conducted a voluntary interview with Krajewski on May 7, 2020. During the interview, Staff explored the circumstances that resulted Krajewski's termination.
9. At the conclusion of the further review, Staff informed Krajewski by letter dated July 2, 2020, that it is Staff's assessment that the Applicant is not suitable for registration because it appears to Staff that Krajewski was not honest and forthcoming with the TD investigator. Staff recommends to the Director that Krajewski's registration application be refused.
10. The Ontario Securities Commission (the **Commission**) oversees the registration process for firms registered in the category of mutual fund dealer and individuals registered as mutual fund dealing representatives.

11. Pursuant to section 31 of the Act, the Applicant is entitled to an opportunity to be heard (**OTBH**) before the Director makes a decision on Staff's recommendation. The OTBH occurred via teleconference on August 17, 2020. Mark Skuce, Senior Legal Counsel, Compliance and Registrant Regulation represented Staff and Krajewski appeared on his own behalf. Ms. Julie Scrocco, Community Manger, RBC attended as a character reference for the Applicant.

Law and Reasons

12. Subsection 27(1) of the *Securities Act*, RSO 1990, c.S.5, as amended (the **Act**) provides that the Director shall reinstate the registration of the person unless it appears to the Director that the person is not suitable for registration or that the registration is otherwise objectionable. Subsection 27(2) of the Act states that in considering whether a person is suitable for registration, the Director shall consider the requirements prescribed in the regulations relating to proficiency, solvency and integrity. Subsection 27(3) of the Act provides that the Director has the ability to impose terms and conditions on the registration of any person or company.

Staff's Submissions

13. Staff submits that Krajewski's apparent dishonesty with the TD Bank investigator and the breach of the TD Code of Conduct and Ethics calls into question his integrity and therefore, his suitability for registration, as well as a concern that his actions would make his registration otherwise objectionable.
14. Included in TD's reasons for termination was a finding that Krajewski breached TD Code of Conduct and Ethics as it relates to Protecting Confidential Information – Protecting Customer Information.
15. Another provision of the TD Code of Conduct and Ethics covers "Cooperating with Audits, Reviews and Investigations", the Code of Conduct instructs employees that they must "fully cooperate" with internal investigations, and continues: "Further, we must not in any way obstruct, hinder or delay any internal investigation. The obligation to cooperate may extend to providing truthful information pursuant to, or in the defense or prosecution of, legal proceedings and investigations involving TD, its customers, or employees." However, the TD Investigative Report did not cite this provision of the Code of Conduct and Ethics as one of the reasons for termination.
16. The investigative report indicates that Krajewski admitted viewing two profiles and initially denied viewing other profiles. After further discussion he admitted to viewing 45 other customer profiles without authorization and searching 33 other non-customer names. He also initially denied knowing a customer but later admitted to knowing the customer, after being presented with the evidence.
17. During the voluntary interview with Staff, when asked about the specific details that lead to his termination and his apparent lack of cooperation with the TD investigation, Krajewski did not appear to be forthright. The responses included statements that he did not know how many customer profiles were improperly accessed and estimated that it was "around 15 to 20", which was less than half of the actual number. Other responses included vague answers to questions such as he did not have a good recollection of the events.

Applicant's submissions

18. During the OTBH, Krajewski explained that he was not trying to be vague or evasive with Staff about the number of client profiles he accessed. He contends that the circumstances that lead to his termination is a difficult mental place to think back to, so he wasn't trying to be evasive.
19. As for the interaction with the TD investigator, Krajewski reiterates that his actions were because of nervousness and not knowing where the conversation was going. His actions were not coming from a position of dishonesty, trying to mislead, or attempt to be evasive.
20. Krajewski did not share any of the personal information with anyone. The searches were conducted out of curiosity.
21. Krajewski provided further context to his personal situation at the time of the TD interview and thereafter. He was working, attending university, taking on a new position and planning a wedding so with all those factors he did not have a good recollection of the events.
22. Throughout the voluntary interview and the OTBH, Krajewski repeatedly stated that he takes full responsibility for his actions.

Findings

23. The outcome of this OTBH turns on two issues. The first is whether Krajewski was intentionally dishonest with the TD Investigator and Staff by being vague and evasive which would impugn his integrity. The second is whether the reactivation of Krajewski's registration would be otherwise objectionable.

24. On the issue of integrity, integrity is not defined under the Act. However, in considering the integrity of an individual to be registered, the Commission has held in prior cases that an assessment of integrity should be guided by the criteria set out in paragraph 2.1(2)(iii) of the Act: "This provision states that an important principle that the Commission shall consider in pursuing the purposes of the Act is 'the maintenance of high standards of fitness and business conduct to ensure honest and responsible conduct by market participants.'"¹
25. Upon reviewing the information submitted in this matter, it is my opinion that during the voluntary interview with Staff, Krajewski did not appear to be intentionally evasive or attempting to downplay the severity of the breaches of the TD Code of Conduct and Ethics. Staff read statements from the TD Investigative Report to Krajewski and he was reacting to the statements from a report that he was not familiar with, relying on his memory and the general statement provided on the Notice of Termination for context. Krajewski received a copy of the TD Investigative Report as part of Staff's materials for this OTBH. Krajewski's other responses and explanations seemed credible.
26. As for the claim that Krajewski was dishonest during the TD investigation, due to his young age and lack of experience in a professional environment, it is reasonable that an unsolicited call to human resources without understanding the purpose of the meeting could be intimidating and make it difficult to formulate initial responses. In the end, Krajewski did admit to all of the conduct and took full responsibility for his actions.
27. I do not have any evidence that TD considered Krajewski's conduct during the investigation to be a breach of the TD Code of Conduct and Ethics as it relates to Cooperating with Audits, Reviews and Investigations. Staff did not put forth any information that they discussed this claim with TD so without knowing TD's position on this point, I am unable to make a finding.
28. Based on the above, I find that Krajewski's integrity has not been impugned by his conduct.
29. On the issue of whether the reactivation of registration would be otherwise objectionable, the term "otherwise objectionable" is not defined in the Act. However, "the Commission has previously determined that a purposive approach should be taken in considering whether registration is objectionable. The purposes of the Act, as described in section 1.1, are to provide protection to investors from unfair, improper or fraudulent practices and to foster fair and efficient capital markets and confidence in capital markets."²
30. Krajewski acted in an improper manner when he accessed 45 customer profiles without a valid business purpose and searched 33 names of non-TD customers which was determined to be a breach of the TD Code of Conduct and Ethics as it relates to Protecting Confidential Information - Protecting Customer Information. This breach of privacy harmed investors and permitting the reactivation of registration without Krajewski taking appropriate steps to rehabilitate his fitness for registration would erode confidence in Ontario's capital markets. Therefore, I find his reactivation of registration to be otherwise objectionable.
31. During the intervening time since his termination with TD and this OTBH, Krajewski has taken steps to rehabilitate his fitness for registration which I believe affords him a second chance without further delay.
32. In *Re Sawh* (2016), 39 OSCB 2477, the Director set out six factors that must be considered in making a determination on an applicant's suitability for registration after a finding by the Director or the Commission that the applicant was not suitable for registration. Such determination includes evaluating the evidence supporting each of the factors, prior to making a decision on the subsequent application for registration:
 - a. the applicant must show by a sufficient course of conduct that he/she can be trusted in performing business duties;
 - b. the applicant must introduce evidence of other independent, trustworthy persons with whom the applicant has been associated since the prior refusal, suspension or revocation of registration;
 - c. a sufficient period of time must have elapsed for the purposes of general and specific deterrence;
 - d. where proficiency is at issue, the applicant must demonstrate how he or she has specifically remediated his or her proficiency;
 - e. the applicant must demonstrate that the misconduct that led to the prior refusal, suspension or revocation is unlikely to recur in the future by no longer engaging in business with non-compliant business associates; and
 - f. the applicant must demonstrate remorse and take full responsibility for his or her past conduct.

¹ *Re Pyasetsky* (2013), 36 OSCB 3897 at paras. 96-97

² *Re Bouji*, 2017 ONSEC 38 para. 35, citing *Re Sawh*, 2012 ONSEC 27 at paras. 16-17

33. Krajewski, during this OTBH, responded to the factors as follows:
- a. Since being terminated from TD, Krajewski has demonstrated a sufficient course of conduct that demonstrates that he can be trusted to perform business duties. At his initial and subsequent interviews with his current employer, he proactively informed the hiring managers that he was terminated for cause and the conduct that led to his termination. Also, when applying for a reactivation of his registration he disclosed the termination on the registration forms.
 - b. Julie Scrocco, Community Manager, RBC attended the OTBH and provided a character statement and discussed her interactions with Krajewski. Scrocco stated that “during his tenure, Krajewski has represented himself with pure honesty and integrity”. Also, “his ethical behaviour is extremely reflective in client experience surveys, feedback from his team, feedback from his partners, as well as reflective in his holistic advice that he's actually providing”.
 - c. Krajewski registration was terminated in September 2019. He started working at RBC in November 2019 and applied for reactivation of his registration on March 9, 2020. But for the termination disclosure, it is likely that Krajewski's reactivation of his registration would have been granted because Staff did not raise any other ground to refuse his registration. Allotting for a 5-day service standard, Krajewski could have been registered on or about March 13, 2020. Therefore, I will consider the more than 6-month period between applying for registration and the date of this decision to be sufficient time to have elapsed for specific and general deterrence.
 - d. Proficiency is not at issue in this matter.
 - e. Scrocco stated that there has been no unauthorized access to client information and having knowledge of the prior conduct, RBC has not put any tailored supervisory procedures in place restricting access. Further, Krajewski has sought opportunities to educate himself in both ethics and integrity by thoroughly studying and reviewing course materials for the Personal Financial Planner exam along with other books on this topic.
 - f. Finally, Krajewski expressed remorse and fully understands that client privacy is a very serious matter and sincerely takes full responsibility for his actions. Further he has also expressed this remorse to Scrocco and has reassured her that that conduct will not happen again.
34. While Krajewski did complete some self-study in the area of ethics, I believe he would benefit from a course in ethics. Therefore, it is my decision to impose a term and condition on his registration that limits the duration of Krajewski's registration to four months unless he completes and successfully passes the Ethics and Professional Conduct course administered by IFSE before his registration expires.
35. My rationale for proceeding in this manner, is that the Applicant is in the very early stages of his career with limited professional experience and seemed credible during this OTBH. He took responsibility for his actions, took steps to learn from his mistake, had a relevant and credible character witness from his current employer and he disclosed the reasons for his termination to his new employer and the regulator. Despite his conduct while employed at TD and TDIS, Krajewski has appeared to make efforts to rehabilitate himself and learn from his mistakes. My decision may have been different if there was a failure to disclose detrimental information to a current employer or the regulator, or there was a more experienced or mature applicant.

“Debra Foubert”, J.D.
Director
Compliance and Registrant Regulation Branch
Ontario Securities Commission
September 23, 2020

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
Tree of Knowledge International Corp.	July 15, 2020	September 23, 2020
Green 2 Blue Energy Corp.	January 29, 2020	September 25, 2020

4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders

Company Name	Date of Order	Date of Lapse
THERE IS NOTHING TO REPORT THIS WEEK.		

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	
Mountain Valley MD Holdings Inc.	September 17, 2020	
Sproutly Canada, Inc.	September 16, 2020	

This page intentionally left blank

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
12 Exploration Inc.	Common Shares	Marrelli, Carmelo	5	2020-06-12	00			
12 Exploration Inc.	Common Shares	Marrelli, Carmelo	5	2020-06-12	00			
12 Exploration Inc.	Common Shares	Marrelli, Carmelo	5	2020-06-12	00			
12 Exploration Inc.	Common Shares	Marrelli, Carmelo	5	2020-06-12	00		146,666	
1933 Industries Inc	Common Shares	Farrell, Brian George	4	2020-09-04	15	0.075	1,375,000	400,000
1933 Industries Inc	Warrants	Farrell, Brian George	4	2018-04-24	00			
1933 Industries Inc	Warrants	Farrell, Brian George	4	2020-09-04	15	0.125	200,000	200,000
1933 Industries Inc	Common Shares	rosen, paul	5	2020-09-22	10	0.06	2,080,000	40,000
1933 Industries Inc	Common Shares	Ruiz, Eugene	5	2020-09-22	10	0.045	932,878	100,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-21	38		6,917	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-22	38		0	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-22	38	1.8065	6,200	6,200
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-23	38	1.8	6,600	400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-24	38	1.7929	11,300	4,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-24	38		5,100	-6,200
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-09-25	38		4,700	-400
ABCOURT MINES INC.	Common Shares catégorie B	Adam, Daniel	4	2020-09-21	54	0.1	168,600	20,000
ABCOURT MINES INC.	Warrants	Adam, Daniel	4	2020-09-21	54	0.1	0	-20,000
ABCOURT MINES INC.	Warrants	Adam, Daniel	4	2020-09-21	54	0.1		20,000
ABCOURT MINES INC.	Warrants	Adam, Daniel	4	2020-09-21	54	0.1		20,000
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Normand	4	2020-09-21	11	0.16		60,000
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Normand	4	2020-09-21	54	0.16	5,917,688	60,000
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Normand	4	2020-09-21	11	0.13		25,000
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Normand	4	2020-09-21	54	0.13	5,942,688	25,000
ABCOURT MINES INC.	Warrants	Hinse, Normand	4	2020-09-21	54	0.16	360,000	-60,000
ABCOURT MINES INC.	Warrants	Hinse, Normand	4	2020-09-21	54	0.13	335,000	-25,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-09-21	30	3.54	3,468,760	-2,667
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-09-22	30	3.54	3,462,427	-6,333
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-09-23	30	3.41	3,460,427	-2,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2020-09-24	30	3.33	3,456,427	-4,000
AcuityAds Holdings Inc.	Warrants	Hayek, Tal	4, 5	2018-10-11	55	1.84		50,000
AcuityAds Holdings Inc.	Warrants	Hayek, Tal	4, 5	2018-10-11	55	1.84	57,857	-50,000
AcuityAds Holdings Inc.	Warrants	Hayek, Tal	4, 5	2018-11-10	55		0	-57,857
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-09-21	30	3.54	2,850,560	-2,667
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-09-22	30	3.54	2,844,227	-6,333
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-09-23	30	3.41	2,842,227	-2,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2020-09-24	30	3.33	2,838,227	-4,000
AcuityAds Holdings Inc.	Warrants	Kapcan, Rachel	5	2018-10-11	55	1.84		33,333
AcuityAds Holdings Inc.	Warrants	Kapcan, Rachel	5	2018-10-11	55		62,857	-33,333
AcuityAds Holdings Inc.	Warrants	Kapcan, Rachel	5	2018-11-10	55		50,000	-12,857
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-09-21	30	3.54	3,306,153	-2,667
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-09-22	30	3.54	3,299,820	-6,333
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-09-23	30	3.41	3,297,820	-2,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2020-09-24	30	3.33	3,293,820	-4,000
AcuityAds Holdings Inc.	Warrants	Ontman, Joe	4, 5	2018-11-10	55		33,333	-12,857
Africa Energy Corp.	Common Shares	Africa Oil Corp.	3	2020-09-24	11	0.3382	276,982,414	20,000,000
Africa Energy Corp.	Common Shares	Soden, Garrett	5	2020-09-25	11	0.45	2,750,000	50,000
Aimia Inc.	Deferred Share Units	Leonard, Steven Clark	5	2019-05-06	00			
Aimia Inc.	Deferred Share Units	Leonard, Steven Clark	5	2020-09-24	56	4.09	300,000	300,000
Aimia Inc.	Rights - Performance Share Units - Aimia LTIP	Leonard, Steven Clark	5	2020-09-24	58 - Expiration of rights		0	-47,903

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-09-24	97		15,088,233	-40,000
AIRBOSS OF AMERICA CORP.	Common Shares	Watson, Alan JD	4	2020-09-22	10	17.18	145,000	-25,000
Alamos Gold Inc.	Common Shares Class A	Mercier, Monique	4	2020-09-21	10	12.29	16,567	4,000
Alexco Resource Corp.	Options	Jones, Paul Vernon	5	2020-09-08	00			
Alexco Resource Corp.	Options	Jones, Paul Vernon	5	2020-09-08	50	3.86	50,000	50,000
Alexco Resource Corp.	Common Shares	Van Nieuwenhuysse, Rick	4	2020-09-21	10	3.87	57,758	-33,000
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	2020-09-25	10	18.792	209,402	-250,000
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2020-09-18	56	17.631	18,232	4,321
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Options	Duncan, Robert Andrew	5	2020-08-10	00		200,000	
Alimentation Couche-Tard Inc.	Deferred Share Units	Bernier, Jean	4	2020-09-25	35	45.51	1,436	2
Alimentation Couche-Tard Inc.	Deferred Share Units	Boyko, Éric	4	2020-09-25	35	45.51	11,217	17
Alimentation Couche-Tard Inc.	Deferred Share Units	D'Amours, Jacques	4	2020-09-25	35	45.51	20,168	31
Alimentation Couche-Tard Inc.	Deferred Share Units	Fortin, Richard	4, 6, 7, 5	2020-09-25	35	45.51	48,056	74
Alimentation Couche-Tard Inc.	Subordinate Voting Shares Catégorie B	Fortin, Richard	4, 6, 7, 5	2020-09-21	10	44.557	606,200	-71,000
Alimentation Couche-Tard Inc.	Subordinate Voting Shares Catégorie B	Fortin, Richard	4, 6, 7, 5	2020-09-21	10	44.864	420,600	-30,000
Alimentation Couche-Tard Inc.	Deferred Share Units	Kau, Mélanie	4	2020-09-25	35	45.51	147,284	226
Alimentation Couche-Tard Inc.	Deferred Share Units	Lamothe, Marie Josee	4	2020-09-25	35	45.51	2,506	3
Alimentation Couche-Tard Inc.	Deferred Share Units	Leroux, Monique F.	4	2020-09-25	35	45.51	17,954	28
Alimentation Couche-Tard Inc.	Deferred Share Units	Plourde, Réal	4, 6, 7, 5	2020-09-25	35	45.51	20,086	31
Alimentation Couche-Tard Inc.	Deferred Share Units	Rabinowicz, Daniel	5	2020-09-25	35	45.51	14,500	22
Alimentation Couche-Tard Inc.	Deferred Share Units	Têtu, Louis	4	2020-09-25	35	45.51	2,244	3
Alithya Group inc.	Options (Class A Subordinate Voting Shares)	Smith, Russell	5	2019-09-26	52		264,844	-89,385
Allegiant Gold Ltd.	Options	Gianulis, Peter Lawrence	4, 6	2020-09-21	38	0.6	500,000	-750,000
Allied Properties Real Estate Investment Trust	Units	Clark, Hugh Fletcher	5	2020-09-22	10	35.988	15,647	2,000
Amilot Capital Inc. (formerly Tolima Gold Inc.)	Common Shares	Martin, John William	7, 5	2020-09-23	10	0.05	18,000	3,000
AMP German Cannabis Group Inc. (formerly Chinook Tye Industry Limited)	Options	Furber, Nicholas John	4, 5	2020-09-17	97	0.5	210,500	-200,000
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2020-09-16	11	15		-58,800
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2020-09-16	11	15	358,200	-58,800
Ansar Financial and Development Corporation	Common Shares	Jalaluddin, Mohammed	3, 4, 5	2020-09-21	10	0.5	1,407,549	3,000
Ansar Financial and Development Corporation	Common Shares	Nasim, Pervez	3, 4, 5	2020-09-21	10	0.5	1,407,549	3,000
Antibe Therapeutics Inc.	Common Shares	Batal, Rami	5	2020-05-11	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Antibe Therapeutics Inc.	Common Shares	Batal, Rami	5	2020-09-21	10	0.36	28,169	28,169
Antibe Therapeutics Inc.	Common Shares	Curtis, Scott Wilson	5	2020-09-21	10	0.35	309,000	30,000
Antibe Therapeutics Inc.	Common Shares	Legault, Daniel Marcel	4, 6, 5	2020-09-24	10	0.34	375,000	75,000
Antibe Therapeutics Inc.	Common Shares	Stauffer, Joseph	5	2020-09-24	10	0.34	98,039	98,039
Antibe Therapeutics Inc.	Common Shares	Vaughan, David James	5	2020-09-24	10	0.34	52,500	52,500
Antibe Therapeutics Inc.	Common Shares	Wallace, John Lawrence	4, 6, 5	2020-09-22	10	0.37	348,270	71,500
Appia Energy Corp.	Common Shares	Drivas, Anastasios (Tom)	3, 4, 5	2020-09-24	10	0.25	716,250	560,000
Appia Energy Corp.	Warrants	Drivas, Anastasios (Tom)	3, 4, 5	2020-09-24	10	0.35	358,125	280,000
Appia Energy Corp.	Common Shares	Skimming, Thomas	4	2020-09-24	10	0.2	320,000	100,000
Appia Energy Corp.	Warrants	Skimming, Thomas	4	2020-09-24	10	0.3	90,000	50,000
Appia Energy Corp.	Common Shares	van de Water, Frank	4, 5	2020-09-24	16	0.25	158,000	100,000
Appia Energy Corp.	Warrants	van de Water, Frank	4, 5	2020-09-24	16	0.35	75,000	50,000
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-09-22	10	1.2	5,821,701	-2,000
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-09-25	10	1.2225	5,776,201	-45,500
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-09-17	10	0.105	2,072,901	-50,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-09-18	10	0.08	2,022,901	-50,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-09-18	10	0.08	1,932,901	-90,000
Arbutus Biopharma Corporation	Options	Collier, William Hugh	4	2020-09-23	50	3.35	1,811,400	70,000
Arbutus Biopharma Corporation	Options	PICCHIO, GASTON RAFAEL	5	2020-09-23	50	3.35	537,500	50,000
ARC Resources Ltd.	Common Shares	Jahangiri, Armin	5	2020-09-16	30	6.22	12,844	2,213
Arizona Silver Exploration Inc.	Common Shares	Stiles, Brady	4	2020-03-06	16	0.15		5,433,067
Arizona Silver Exploration Inc.	Common Shares	Stiles, Brady	4	2020-03-06	16	0.15		5,433,067
Arizona Silver Exploration Inc.	Common Shares	Stiles, Brady	4	2020-09-25	16	0.15	6,372,530	4,542,400
Arizona Silver Exploration Inc.	Common Shares	Stiles, Brady	4	2020-09-25	16	0.15	1,548,167	890,667
Arizona Silver Exploration Inc.	Common Shares	Stiles, Brady	4	2020-09-25	54	0.15	1,876,917	328,750
Arizona Silver Exploration Inc.	Warrants	Stiles, Brady	4	2020-03-06	16	0.22		2,716,533
Arizona Silver Exploration Inc.	Warrants	Stiles, Brady	4	2020-03-06	16	0.22		2,716,533
Arizona Silver Exploration Inc.	Warrants	Stiles, Brady	4	2020-09-25	53	0.22	2,271,200	2,271,200
Arizona Silver Exploration Inc.	Warrants	Stiles, Brady	4	2020-09-25	53	0.22	774,083	445,333
Arizona Silver Exploration Inc.	Warrants	Stiles, Brady	4	2020-09-25	54	0.15	445,333	-328,750
Artis Real Estate Investment Trust	Units	Riley, Kimberly	4	2020-09-23	10	8.22	4,087	1,500
Asante Gold Corporation	Options	Norwich, Roger	4	2020-09-21	50	0.15	500,000	150,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Athabasca Minerals Inc.	Common Shares	Archibald, Dana Forbes	5	2020-09-15	30	0.135	86,660	5,710
Athabasca Minerals Inc.	Common Shares	Beekhuizen, Robet James	5	2020-09-15	30	0.135	529,493	8,488
Athabasca Minerals Inc.	Common Shares	Smith, Mark Gregory Edward	5	2020-09-15	30	0.135	142,225	4,630
Aurelius Minerals Inc. (formerly Galena International Resources Ltd.)	Common Shares	Leskovec, Michael George	4	2020-09-23	00		300,000	
Aurelius Minerals Inc. (formerly Galena International Resources Ltd.)	Options	Leskovec, Michael George	4	2020-09-23	00		500,000	
Aurelius Minerals Inc. (formerly Galena International Resources Ltd.)	Warrants	Leskovec, Michael George	4	2020-09-23	00		150,000	
Aurinia Pharmaceuticals Inc.	Common Shares	Huh, Chin Kyu	3	2020-09-21	10	15.086	6,499,881	-48,458
Aurinia Pharmaceuticals Inc.	Common Shares	Huh, Chin Kyu	3	2020-09-25	10	15.086		-48,458
Aurinia Pharmaceuticals Inc.	Common Shares	Huh, Chin Kyu	3	2020-09-25	10	15.086		-48,458
Aurora Cannabis Inc.	Common Shares	Funk, Ronald	4	2018-11-30	56			6,000
Aurora Cannabis Inc.	Common Shares	Funk, Ronald	4	2018-11-30	56			6,000
Aurora Cannabis Inc.	Common Shares	Funk, Ronald	4	2019-09-10	56	7.91		6,637
Aurora Cannabis Inc.	Common Shares	Funk, Ronald	4	2020-05-11	37			7,805
Aurora Cannabis Inc.	Common Shares	Funk, Ronald	4	2020-05-11	37		6,752	19,389
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2018-07-25	00			
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2018-11-30	56		6,000	6,000
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2019-09-10	56	7.91	12,637	6,637
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2020-02-28	56		19,888	7,251
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2020-05-11	37		1,657	-18,231
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2020-05-31	56		2,338	681
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2020-09-10	56		3,639	1,301
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-02-28	50		84,858	22,159
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-05-11	37			-62,699
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-05-11	37		7,072	-77,786
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-05-11	37			5,224
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-05-11	37			5,224
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-05-31	50		9,203	2,131
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-09-10	50		13,785	4,582
Aurora Cannabis Inc.	Options	Ibbott, William Glen	5	2020-09-11	50	10.09	200,540	5,727
Aurora Cannabis Inc.	Options	Ibbott, William Glen	5	2020-09-11	56		229,227	28,687
Aurora Cannabis Inc.	Options	Ibbott, William Glen	5	2020-09-11	56		263,487	34,260
AURWEST RESOURCES CORPORATION	Common Shares	Brown, Warren	4	2020-05-25	11	0.02		500,000
AURWEST RESOURCES CORPORATION	Common Shares	Brown, Warren	4	2020-05-25	16	0.02		500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AURWEST RESOURCES CORPORATION	Common Shares	Brown, Warren	4	2020-05-25	16	0.02	535,714	500,000
AURWEST RESOURCES CORPORATION	Common Shares	Brown, Warren	4	2020-09-15	11	0.05		200,000
AURWEST RESOURCES CORPORATION	Common Shares	Brown, Warren	4	2020-09-15	16	0.05	735,714	200,000
AURWEST RESOURCES CORPORATION	Options	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Options	Brown, Warren	4	2020-06-20	50	0.025	600,000	600,000
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Warrants	Brown, Warren	4	2020-09-15	16	0.1	200,000	200,000
AURWEST RESOURCES CORPORATION	Common Shares	Christensen, Colin Byrne	4, 5	2020-09-15	11	0.05		200,000
AURWEST RESOURCES CORPORATION	Common Shares	Christensen, Colin Byrne	4, 5	2020-09-15	16	0.05	907,500	200,000
AURWEST RESOURCES CORPORATION	Warrants	Christensen, Colin Byrne	4, 5	2020-09-15	11	0.05		200,000
AURWEST RESOURCES CORPORATION	Warrants	Christensen, Colin Byrne	4, 5	2020-09-15	16	0.05	200,000	200,000
AURWEST RESOURCES CORPORATION	Common Shares	Stewart, Elmer	4	2020-05-25	11	0.02		300,000
AURWEST RESOURCES CORPORATION	Common Shares	Stewart, Elmer	4	2020-05-25	16	0.02	459,500	300,000
AURWEST RESOURCES CORPORATION	Common Shares	Stewart, Elmer	4	2020-09-16	11	0.05		200,000
AURWEST RESOURCES CORPORATION	Common Shares	Stewart, Elmer	4	2020-09-16	16	0.05	659,500	200,000
AURWEST RESOURCES CORPORATION	Options	Stewart, Elmer	4	2020-02-28	00			
AURWEST RESOURCES CORPORATION	Options	Stewart, Elmer	4	2020-09-22	50	0.025	400,000	400,000
AURWEST RESOURCES CORPORATION	Warrants	Stewart, Elmer	4	2020-09-16	11			200,000
AURWEST RESOURCES CORPORATION	Warrants	Stewart, Elmer	4	2020-09-16	16		200,000	200,000
Auryn Resources Inc.	Common Shares	Cook, Steven Mark	4	2020-09-23	51	1.96	202,500	87,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Auryn Resources Inc.	Common Shares	Cook, Steven Mark	4	2020-09-23	51	1.42	252,500	50,000
Auryn Resources Inc.	Common Shares	Cook, Steven Mark	4	2020-09-23	10	2.62	181,500	-71,000
Auryn Resources Inc.	Options	Cook, Steven Mark	4	2020-09-23	51		112,500	-87,500
Auryn Resources Inc.	Options	Cook, Steven Mark	4	2020-09-23	51		62,500	-50,000
Auryn Resources Inc.	Common Shares	Rowa, Stacy Jennifer	5	2020-09-24	51	1.42	83,833	75,000
Auryn Resources Inc.	Common Shares	Rowa, Stacy Jennifer	5	2020-09-24	10	2.548	38,833	-45,000
Auryn Resources Inc.	Options	Rowa, Stacy Jennifer	5	2020-09-24	51	1.42	305,000	-75,000
Auxico Resources Canada Inc.	Options	Lau, Joseph Wan Pui	4	2020-09-16	50	0.105	550,000	150,000
Auxico Resources Canada Inc.	Options	West, Kenneth Reginald	4	2020-09-16	50	0.105	250,000	50,000
Avicanna Inc.	Common Shares	Ali, Sheik Muhamad Amza	5	2020-09-15	57		8,361	4,609
Avicanna Inc.	Rights Restricted Share Units	Ali, Sheik Muhamad Amza	5	2020-09-15	57		40,754	-4,609
Avicanna Inc.	Common Shares	Azadian, Aras	4, 5	2020-09-15	57		2,553,522	11,415
Avicanna Inc.	Rights Restricted Share Units	Azadian, Aras	4, 5	2020-09-14	56	1.24	84,844	12,097
Avicanna Inc.	Rights Restricted Share Units	Azadian, Aras	4, 5	2020-09-15	57		73,429	-11,415
Avicanna Inc.	Common Shares	Davila Char, Giancarlo	3, 4	2019-07-10	00			
Avicanna Inc.	Common Shares	Davila Char, Giancarlo	3, 4	2020-09-15	57		9,589	9,589
Avicanna Inc.	Rights Restricted Share Units	Davila Char, Giancarlo	3, 4	2020-09-15	57		19,178	-9,589
Avicanna Inc.	Common Shares	Giesselman, Janet	4	2020-09-15	57		37,201	3,174
Avicanna Inc.	Rights Restricted Share Units	Giesselman, Janet	4	2020-09-15	57		37,408	-3,174
Avicanna Inc.	Common Shares	Nosiglia, Lucas Pablo	7, 5	2020-09-15	57		372,077	4,994
Avicanna Inc.	Rights Restricted Share Units	Nosiglia, Lucas Pablo	7, 5	2020-09-15	57		60,017	-4,994
Avicanna Inc.	Common Shares	Panchal, Chandra	4	2020-09-15	57		166,092	2,451
Avicanna Inc.	Rights Restricted Share Units	Panchal, Chandra	4	2020-09-15	57		38,481	-2,451
Avicanna Inc.	Common Shares	Purohit, Setu Nimish	4, 5	2020-09-15	57		2,582,829	6,507
Avicanna Inc.	Rights Restricted Share Units	Purohit, Setu Nimish	4, 5	2020-09-15	57		55,246	-6,507
Avicanna Inc.	Common Shares	Sohi, Davender	5	2020-09-15	57		161,627	6,507
Avicanna Inc.	Rights Restricted Share Units	Sohi, Davender	5	2020-09-15	57		54,746	-6,507
Avicanna Inc.	Common Shares	White, David	4	2020-09-15	57		41,583	3,259
Avicanna Inc.	Rights Restricted Share Units	White, David	4	2020-09-15	57		38,419	-3,259
Avidian Gold Corp.	Options	Anderson, David Charles	4	2020-09-03	50	0.28	3,200,000	1,000,000
Aylen Capital Inc.	Common Shares	Pennal, John Duncan	4, 5	2020-09-24	90		0	-5,270,284
Aylen Capital Inc.	Common Shares	Pennal, John Edward	4	2020-09-24	00		500	
BacTech Environmental Corporation	Options	Nagy, Louis Robert	5	2020-09-20	50	0.05	1,200,000	500,000
BacTech Environmental Corporation	Options	Orr, Murray Ross	7	2020-08-20	50			1,500,000
BacTech Environmental Corporation	Options	Orr, Murray Ross	7	2020-08-20	50		2,520,000	1,500,000
Ballard Power Systems Inc.	Common Shares	Guglielmin, Anthony Robert	5	2020-09-18	10	21	56,379	-10,000
Bank of Nova Scotia, The	Common Shares	Frew, Robin Nicole	5	2020-09-11	00		408	
Bank of Nova Scotia, The	Options	Frew, Robin Nicole	5	2020-09-11	00		32,150	
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Frew, Robin Nicole	5	2020-09-11	00		13,477	
Battle North Gold Corporation	Options	Hayduk, Nicholas James	5	2020-09-21	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Battle North Gold Corporation	Options	Hayduk, Nicholas James	5	2020-09-21	00			
Battle North Gold Corporation	Options	Hayduk, Nicholas James	5	2020-09-21	00			
Battle North Gold Corporation	Options	Hayduk, Nicholas James	5	2020-09-21	50		200,000	200,000
Battle North Gold Corporation	PPSU	Hayduk, Nicholas James	5	2020-09-21	00			
Battle North Gold Corporation	PPSU	Hayduk, Nicholas James	5	2020-09-21	56		55,000	55,000
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2018-11-16	11			3,656,870
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2018-11-16	11			2,856,870
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-02-06	11			853,130
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-02-20	97	0.05		1,996,904
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-08-02	90			-5,706,904
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2020-03-06	97	0.12		730,771
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2020-06-19	97	0.0675		592,168
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2018-11-16	11		2,856,870	2,856,870
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-02-06	11		3,710,000	853,130
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-02-20	97	0.05	5,706,904	1,996,904
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2019-08-02	90		1,237,996	-5,706,904
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2020-03-06	97	0.12	2,119,751	730,771
BE Resources Inc.	Common Shares	Marrelli, Carmelo	4, 5	2020-06-19	97	0.0675	2,711,919	592,168
Benchmark Botanics Inc.	Common Shares	Stowell, Claude Clifford	4	2020-09-17	10	0.2	636,600	-136,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 4, 5	2020-09-15	10	0.08	16,950,721	2,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 4, 5	2020-09-24	10	0.07	16,980,721	30,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-10	46	0.25	320,000	320,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-11	59	0.255		11,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-11	59	0.255	308,500	-11,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-17	59	0.245		10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-17	59	0.245	298,500	-10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-21	59	0.245	777,000	-1,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	59	0.245	768,000	-9,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	59	0.245	753,000	-15,000
BeWhere Holdings Inc.	Common Shares	Khanna, Rajiv	5	2020-09-25	10	0.18	350,000	76,790
BeWhere Holdings Inc.	Common Shares	Panczuk, Christopher John	3, 4, 5	2020-09-21	10	0.18	8,687,443	35,000
Big Rock Brewery Inc.	Restricted Awards	Kohut, Michael G	4	2020-09-21	56		1,803	880
Big Rock Brewery Inc.	Rights Share Appreciation Rights (SARs)	Kohut, Michael G	4	2020-09-10	58 - Expiration of rights	5.82	109,345	-3,000
Big Rock Brewery Inc.	Rights Share Appreciation Rights (SARs)	Kohut, Michael G	4	2020-09-21	56	4.49	111,491	2,146
Big Rock Brewery Inc.	Common Shares	Noone, Patrick Donnell	4	2020-09-22	10	3.2	1,882,000	2,200
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-09-17	10	0.175	1,158,000	15,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-09-17	10	0.18	1,163,000	5,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-09-21	10	0.16	1,183,000	20,000
Biome Grow Inc.	Options	Lievonen, John Mark	4	2018-10-03	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Biome Grow Inc.	Options	Lievonen, John Mark	4	2020-07-31	50		500,000	500,000
Biome Grow Inc.	Options	Malik, Khurram	4, 5	2018-10-03	00			
Biome Grow Inc.	Options	Malik, Khurram	4, 5	2020-07-31	50		500,000	500,000
Biome Grow Inc.	Options	Poirier, Steven	4	2018-10-03	00			
Biome Grow Inc.	Options	Poirier, Steven	4	2020-07-31	50		500,000	500,000
Bird Construction Inc.	Deferred Share Units	Bird, John Richard	4	2020-09-18	35		27,066	131
Bird Construction Inc.	Deferred Share Units	Brooks, Karyn Anne	4	2020-09-18	35		62,656	304
Bird Construction Inc.	Deferred Share Units	Charette, Paul Alphonse	4	2020-09-18	35		46,002	223
Bird Construction Inc.	Deferred Share Units	Doyle, Donald Gregory	4	2020-09-18	35		113,188	549
Bird Construction Inc.	Deferred Share Units	DuPont, Bonnie Dianne Rose	4	2020-09-18	35		73,491	357
Bird Construction Inc.	Deferred Share Units	Messier, Luc Jean-Francois	4	2020-09-18	35		64,945	315
Bird Construction Inc.	Deferred Share Units	Munkley, Ronald David	4	2020-09-18	35		92,592	450
Bird Construction Inc.	Deferred Share Units	Raboud, Paul Robert	4	2020-09-18	35		24,539	119
Bird Construction Inc.	Deferred Share Units	Thorsteinson, Arni Clayton	4	2020-09-18	35		97,163	471
Blue Thunder Mining Inc.	Warrants	Red Cloud Mining Capital Inc.	3	2020-06-30	53	0.1	1,069,756	1,069,756
Blue Thunder Mining Inc.	Warrants	Red Cloud Mining Capital Inc.	3	2020-07-15	53	0.1	1,546,156	176,400
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-04	10	0.5378		20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-04	10	0.5378	16,087,269	20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.4995		20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.4995	16,107,269	20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.47		204,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.47	16,311,269	204,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5255		10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5255	16,321,269	10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5185		10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5185	16,331,269	10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-07	10	0.435	16,351,269	20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.416		-10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.416	16,341,269	-10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.42		-3,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.42	16,338,269	-3,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.45		-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.45	16,318,269	-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.4098		50,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.4098	16,368,269	50,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.36		5,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.36	16,373,269	5,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.41		-12,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.41	16,361,269	-12,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.42		-500
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.42	16,360,769	-500
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.3947		550,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.3947	16,910,769	550,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.38		-26,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.38	16,884,769	-26,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.4179	16,909,769	25,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.47		-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.47	16,889,769	-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.455		-715,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.455	16,174,769	-715,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-18	10	0.47	16,154,769	-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-19	10	0.44	16,134,769	-20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-24	10	0.45	16,067,269	-67,500
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-09-23	10	0.41	16,548,798	481,529
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-09-23	10	0.415	17,217,269	668,471
Bonterra Resources Inc.	Options	Hamelin, Pascal	5	2020-09-22	52		546,111	-1,603
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-17	10	0.15	13,742,000	-120,000
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-18	10	0.12	13,262,000	-480,000
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-21	10	0.13	12,602,000	-660,000
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-22	10	0.13	11,612,000	-990,000
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-23	10	0.11	11,472,000	-140,000
Braille Energy Systems Inc.	Common Shares	Grafoid Inc.	3	2020-09-24	10	0.13	10,602,000	-870,000
Braveheart Resources Inc.	Common Shares	Keele, Philip Abbott	4, 5	2020-09-23	10	0.082	3,773,500	50,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-09-22	10	0.095	7,045,001	6,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-09-24	10	0.0804	7,056,001	11,000
Brigadier Gold Limited	Options	Clark, James Garnet (Garry)	4	2020-09-18	50	0.35	100,000	100,000
Brigadier Gold Limited	Options	FUNSTON, BEV	4	2018-11-15	00			
Brigadier Gold Limited	Options	FUNSTON, BEV	4	2020-09-18	50	0.35	100,000	100,000
Brigadier Gold Limited	Common Shares	Hodges, Leah	5	2020-06-24	00			
Brigadier Gold Limited	Options	Hodges, Leah	5	2020-06-24	00			
Brigadier Gold Limited	Options	Hodges, Leah	5	2020-09-18	50	0.35	150,000	150,000
Brigadier Gold Limited	Rights Restricted Share Units	Hodges, Leah	5	2020-06-24	00			
Brigadier Gold Limited	Rights Restricted Share Units	Hodges, Leah	5	2020-09-18	56		100,000	100,000
Brigadier Gold Limited	Options	Sharan, Dillon	4	2018-11-22	00			
Brigadier Gold Limited	Options	Sharan, Dillon	4	2020-09-18	50	0.35	100,000	100,000
Brigadier Gold Limited	Options	Sundher, Ranjeet	4, 5	2019-06-05	00			
Brigadier Gold Limited	Options	Sundher, Ranjeet	4, 5	2020-09-18	50	0.35	1,225,000	1,225,000
Brigadier Gold Limited	Rights Restricted Share Units	Sundher, Ranjeet	4, 5	2019-06-05	00			
Brigadier Gold Limited	Rights Restricted Share Units	Sundher, Ranjeet	4, 5	2020-09-18	56		350,000	350,000
Brigadier Gold Limited	Options	WRIGHT, MATTHEW GEORGE	5	2019-05-07	00			
Brigadier Gold Limited	Options	WRIGHT, MATTHEW GEORGE	5	2020-09-18	50	0.35	100,000	100,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-09-22	11	43.27	18,626,871	-200,000
BURCON NUTRASCIENCE CORPORATION	Common Shares	Kappel, Peter Henry	4	2020-09-18	10	2.8	84	-20,500
BWR Exploration Inc.	Common Shares	Diges, Carmen Lydia	5	2020-09-23	16		3,067,000	1,000,000
BWR Exploration Inc.	Warrants	Diges, Carmen Lydia	5	2020-09-23	16		1,699,500	500,000
Cadillac Ventures Inc.	Common Shares	Brewster, Norman	5	2020-09-18	10	0.02	6,513,720	-100,000
Caledonia Mining Corporation Plc	Common Shares	KELLY, JOHN LAWSON	4	2020-09-16	10	19.62	24,312	-5,181
Caledonia Mining Corporation Plc	Common Shares	KELLY, JOHN LAWSON	4	2020-09-18	10	19.4	16,330	-7,982

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Caledonia Mining Corporation Plc	Common Shares	WILSON, LEIGH ALAN	4	2020-09-22	10	17.32	40,000	-12,000
Calfrac Well Services Ltd.	Options 2004 Stock Option Plan	Milgate, Gordon Troy	5	2020-04-01	50	0.26	213,700	20,000
Calfrac Well Services Ltd.	Options 2004 Stock Option Plan	Milgate, Gordon Troy	5	2020-08-18	52	7.89		-10,000
Calfrac Well Services Ltd.	Options 2004 Stock Option Plan	Milgate, Gordon Troy	5	2020-08-18	52	7.89	203,700	-10,000
Calfrac Well Services Ltd.	Performance Share Units	Milgate, Gordon Troy	5	2020-04-01	56		36,544	10,000
Calfrac Well Services Ltd.	Deferred Share Units	Ramsay, Douglas Robert	4	2020-09-21	38		25,000	-25,000
Calfrac Well Services Ltd.	Deferred Share Units	Ramsay, Douglas Robert	4	2020-09-21	38		0	-25,000
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2020-09-23	51	29.55	7,206	1,000
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2020-09-23	10	63.5	6,206	-1,000
Calian Group Ltd.	Options	loeb, kenneth jeffrey	4	2020-09-23	51	29.55	11,300	-1,000
Cameco Corporation	Rights Deferred Share Units	Bruce, Ian	4	2020-09-18	56		76,198	3,226
Cameco Corporation	Rights Deferred Share Units	Camus, Daniel Robert	4	2020-09-18	56		85,637	989
Cameco Corporation	Rights Deferred Share Units	Deranger, Donald Hearl Felix	4	2020-09-18	56		70,614	882
Cameco Corporation	Rights Deferred Share Units	Gowans, James Kitchener	4	2020-09-18	56		80,347	1,901
Cameco Corporation	Rights Deferred Share Units	Jackson, Kathryn	4	2020-09-18	56		34,986	2,065
Cameco Corporation	Common Shares	Johnson, Jill Amanda	7	2020-06-09	00			
Cameco Corporation	Common Shares	Johnson, Jill Amanda	7	2020-06-09	00		6,483	
Cameco Corporation	Rights Restricted Share Units	Johnson, Jill Amanda	7	2020-06-09	00		3,339	
Cameco Corporation	Rights Deferred Share Units	Kayne, Don	4	2020-09-18	56		82,203	3,957
Cameco Corporation	Rights Deferred Share Units	McLellan, A. Anne	4	2020-09-18	56		55,907	929
Cameco Corporation	Rights Deferred Share Units	van Leeuwen-Atkins, Leontine	4	2020-08-01	00			
Cameco Corporation	Rights Deferred Share Units	van Leeuwen-Atkins, Leontine	4	2020-09-18	56		1,376	1,376
Canaccord Genuity Group Inc.	Common Shares	Esfandi, David	7	2020-09-17	10	7.0088	193,521	-9,100
Canaccord Genuity Group Inc.	Common Shares	Esfandi, David	7	2020-09-18	10	7	193,321	-200
Canadian General Investments, Limited	Common Shares	Brown, Marcia Lewis	4	2020-09-24	10	25.11	1,600	100
Canadian Imperial Bank of Commerce	Common Shares	Caldwell, Nanci Ellen	4	2020-09-21	10	75.34	5,377	795
Canadian National Railway Company	Common Shares	Finn, Sean	5	2020-09-18	51	70.13	22,824	7,211
Canadian National Railway Company	Common Shares	Finn, Sean	5	2020-09-18	10	140.73	15,613	-7,211
Canadian National Railway Company	Options	Finn, Sean	5	2020-09-18	51	70.13	145,669	-7,211
Canadian National Railway Company	Common Shares	Holiday, Edith E.	4	2020-09-25	10	106.16	62,998	-4,000
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	52	47.175		32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	52	47.175		32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	51	47.175	199,838	32,780

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		-32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		-32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		-32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18		-32,780
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2020-09-15	10	108.18	167,058	-32,780
Canadian National Railway Company	Options	Ruest, Jean-Jacques	4	2020-09-15	51	47.175		-32,780
Canadian National Railway Company	Options	Ruest, Jean-Jacques	4	2020-09-15	51	47.175		-32,780
Canadian National Railway Company	Options	Ruest, Jean-Jacques	4	2020-09-15	51	47.175	708,779	-32,780
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2010-11-01	00			
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2020-09-22	90		46,197	46,197
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2020-09-22	30	25.147	46,198	2,082
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2020-09-22	90		1	-46,197
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2020-09-22	10	23.455	0	-1
Canadian Overseas Petroleum Limited	Common Shares	Christensen, Rodney Jay	5	2011-01-01	00			
Canadian Overseas Petroleum Limited	Common Shares	Christensen, Rodney Jay	5	2020-09-18	16	0.003	16,623,097	16,623,097
Cannara Biotech Inc. (formerly, Dunbar Capital Corp.)	Common Shares	Ryer, Lennie	5	2020-09-23	10	0.085	433,078	59,000
Canopy Rivers Inc.	Rights Restricted Share Units	Bell, John K.	4	2020-09-23	56		102,603	28,884
Canstar Resources Inc.	Common Shares	Bruggeman, Robert John	4, 5	2020-09-15	00			
Canstar Resources Inc.	Common Shares	Bruggeman, Robert John	4, 5	2020-09-15	00		250,000	
Canstar Resources Inc.	Common Shares	Bruggeman, Robert John	4, 5	2020-09-15	00		300,000	
Canstar Resources Inc.	Common Shares	Bruggeman, Robert John	4, 5	2020-09-15	00			
Canstar Resources Inc.	Common Shares	Bruggeman, Robert John	4, 5	2020-09-15	00		450,000	
Canstar Resources Inc.	Warrants	Bruggeman, Robert John	4, 5	2020-09-15	00		300,000	
Canstar Resources Inc.	Warrants	Bruggeman, Robert John	4, 5	2020-09-15	00			
Canstar Resources Inc.	Warrants	Bruggeman, Robert John	4, 5	2020-09-15	00		450,000	
Canstar Resources Inc.	Warrants	Bruggeman, Robert John	4, 5	2020-09-15	00			
Canstar Resources Inc.	Warrants	Bruggeman, Robert John	4, 5	2020-09-15	00		250,000	
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-09-22	10	0.245	8,010,000	40,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-09-23	10	0.22	8,020,000	10,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-09-24	10	0.22	8,025,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-09-24	11	0.1	8,125,000	100,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-09-25	10	0.2	8,137,500	12,500
Canuc Resources Corporation	Common Shares	Li, Hao	5	2020-09-24	11	0.1	245,500	100,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Capstone Mining Corp.	Common Shares	Brack, George Leslie	8	2020-09-22	51	0.33	2,200,000	200,000
Capstone Mining Corp.	Common Shares	Brack, George Leslie	8	2020-09-22	10		2,000,000	-200,000
Capstone Mining Corp.	Options	Brack, George Leslie	8	2020-09-22	51	0.33	615,698	-200,000
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-17	51	0.33	127,069	50,000
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-17	10		77,069	-50,000
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-18	51	0.33	127,069	50,000
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-18	10		77,069	-50,000
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-21	51	0.33	91,669	14,600
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-21	10		77,069	-14,600
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-22	51	0.33	112,469	35,400
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-22	10		77,069	-35,400
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-23	51	0.33	158,979	81,910
Capstone Mining Corp.	Common Shares	Zimmer, Richard Norman	4	2020-09-23	10		77,069	-81,910
Capstone Mining Corp.	Options	Zimmer, Richard Norman	4	2020-09-18	51	0.33	442,478	-50,000
Capstone Mining Corp.	Options	Zimmer, Richard Norman	4	2020-09-21	51	0.33	427,878	-14,600
Capstone Mining Corp.	Options	Zimmer, Richard Norman	4	2020-09-22	51	0.33	392,478	-35,400
Capstone Mining Corp.	Options	Zimmer, Richard Norman	4	2020-09-23	51	0.33	310,568	-81,910
Cardero Resource Corp.	Common Shares	Kopple, Robert Charles	3	2020-09-25	10	0.0305	24,260,823	35,000
Cardero Resource Corp.	Options	MALHOTRA, DEEPAK	4	2020-09-18	50	0.05	125,000	75,000
Cardero Resource Corp.	Options	VAN ALPHEN, HENDRIK	4	2020-09-18	50	0.05	125,000	75,000
Cardero Resource Corp.	Options	van Doorn, Robert	4	2020-09-18	50	0.05	300,000	150,000
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-09-17	10	0.81		\$200
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-09-17	10	81	\$8,300	\$200
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-09-18	10	81		\$200
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-09-18	10	81		\$200
Cardinal Energy Ltd.	Debentures 5.50%	Ratushny, M. Scott	4, 5	2020-09-21	10	820	\$37	\$25
Cardinal Resources Limited	Common Shares	Shipway, Sarah	5	2020-09-18	51		791,168	457,500
Cardinal Resources Limited	Options (Unlisted)	Shipway, Sarah	5	2020-09-18	51		0	-457,500
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	ESTEPA, JORGE	6, 5	2020-09-17	16	0.07	2,296,591	493,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	ESTEPA, JORGE	6, 5	2020-09-17	16		521,333	493,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	Horvath, Alexander	4	2017-09-28	00			
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	Horvath, Alexander	4	2020-09-17	16	0.07	300,000	300,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	Horvath, Alexander	4	2017-09-28	00			
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	Horvath, Alexander	4	2020-09-17	16		300,000	300,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	LARSEN, THOMAS	4, 5	2020-09-17	16	0.07	3,584,019	1,000,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	LARSEN, THOMAS	4, 5	2020-09-17	16		1,050,000	1,000,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	NAGAMATSU, MILES	5	2020-09-17	16	0.07	2,057,203	500,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	NAGAMATSU, MILES	5	2003-05-27	00			
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	NAGAMATSU, MILES	5	2020-09-17	16		500,000	500,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Common Shares	SAUVE, FRANCIS	4	2020-09-17	16	0.07	1,374,675	500,000
Cartier Iron Corporation (Formerly Northfield Metals Inc.)	Warrants	SAUVE, FRANCIS	4	2020-09-17	16		725,000	500,000
Cascadero Copper Corporation	Common Shares	Cascadero Copper Corporation	1	2017-04-27	11	0.09	16,498,026	-1,333,333
Cascadero Copper Corporation	Common Shares	Cascadero Copper Corporation	1	2020-09-14	38		0	-16,498,026
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Gladwin, Kaesy Sean	5	2020-09-23	37		50,000	-200,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Jin, Wenhong	4	2020-09-23	37		120,000	-480,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, James Alan	4	2020-09-23	37		30,631	-122,524
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, James Alan	4	2020-09-23	37		56,387	-225,548
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, James Alan	4	2020-09-23	37		322,201	-1,288,803
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Letwin, James Alan	4	2020-09-23	37		459,000	-1,836,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, Stephen Joseph James	4	2020-09-23	37		2,713,307	-10,853,227
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Letwin, Stephen Joseph James	4	2020-09-23	37		339,000	-1,356,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	NGUYEN, DON	5	2018-02-01	00			
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	NGUYEN, DON	5	2020-09-23	37		87,000	-348,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Rice, Hugh Tyler	5	2020-09-23	37		119,444	-477,778
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Rice, Hugh Tyler	5	2020-09-23	37		388,378	-1,553,511
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Rice, Hugh Tyler	5	2020-09-23	37		215,000	-860,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Stewart, Christopher Alexander	4	2020-09-23	37		10,000	-40,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Stewart, Christopher Alexander	4	2020-09-23	37		300,000	-1,000,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2020-09-23	00		142,514	
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Wood, Michael Andrew James	4	2020-09-23	00		185,714	
Cathedral Energy Services Ltd.	Options	Brown, Ian Stephen	4	2020-09-19	52	1.02	49,000	-21,000
Cathedral Energy Services Ltd.	Options	DIACHOK, DAVID NICHOLAS	5	2020-09-19	52	1.02	100,000	-40,000
Cathedral Energy Services Ltd.	Options	MACFARLANE, PETER SCOTT	5	2020-09-19	52	1.02	220,000	-110,000
Cathedral Energy Services Ltd.	Options	MAXWELL, RODERICK DONALD	4	2020-09-19	52	1.02	77,500	-23,500
Cathedral Energy Services Ltd.	Options	Miller, Kevin Michael	5	2020-09-19	52	1.02	67,500	-27,000
Cathedral Energy Services Ltd.	Options	Piciooreanu, Bogdan Alexandru	8	2020-09-19	52	1.02	100,000	-40,000
Cathedral Energy Services Ltd.	Options	PUSTANYK, RANDAL HAROLD	4	2020-09-19	52	1.02	220,000	-110,000
Cathedral Energy Services Ltd.	Options	SARJEANT, SCOTT DOUGLAS	4	2020-09-19	52	1.02	49,000	-21,000
Cathedral Energy Services Ltd.	Options	Tremblay, Dale E.	4	2020-01-24	52	1.31		-30,000
Cathedral Energy Services Ltd.	Options	Tremblay, Dale E.	4	2020-01-24	52	1.13	90,000	-30,000
Cathedral Energy Services Ltd.	Options	Tremblay, Dale E.	4	2020-09-18	52	1.02	58,000	-32,000
CB2 Insights Inc.	Common Shares	Cummins, Peter	4	2020-09-24	11	0.15	354,000	250,000
CB2 Insights Inc.	Warrants	Cummins, Peter	4	2019-07-31	00			
CB2 Insights Inc.	Warrants	Cummins, Peter	4	2020-09-24	11		125,000	125,000
CENTR Brands Corp.	Common Shares	Drescher, Anton J.	4	2020-09-24	16	0.35	2,635,000	100,000
CENTR Brands Corp.	Warrants	Drescher, Anton J.	4	2014-05-05	00			
CENTR Brands Corp.	Warrants	Drescher, Anton J.	4	2020-09-24	16	0.6	100,000	100,000
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Goulet, Guy	4, 5	2020-09-18	10	0.35	3,271,044	1,000
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2020-09-23	10	0.7948	2,740,070	56,000
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2010-01-01	00			
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2020-09-23	10	0.7948	24,000	24,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-18	10	1.84	156,735,130	20,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-18	10	1.83	156,745,130	10,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-21	10	1.85	156,820,130	75,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-21	10	1.84	156,895,130	75,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-21	10	1.797	156,925,130	30,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.77	157,051,830	126,700
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.78	157,106,830	55,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.8	157,111,830	5,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.75	157,126,730	14,900
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.76	157,153,130	26,400
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-22	10	1.7789	157,166,030	12,900
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.77	157,239,030	73,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.78	157,279,230	40,200
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.73	157,371,330	92,100
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.72	157,422,430	51,100
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.74	157,509,430	87,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.79	157,524,530	15,100
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.75	157,529,530	5,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.76	157,596,230	66,700
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.7042	157,646,230	50,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-23	10	1.7034	157,696,230	50,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.65	157,721,030	24,800
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.64	157,751,030	30,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.58	157,766,030	15,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.59	157,865,930	99,900
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.61	157,870,930	5,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.62	157,965,930	95,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.56	157,990,930	25,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.57	158,026,030	35,100
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.66	158,266,230	240,200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.67	158,301,230	35,000
China Gold International Resources Corp. Ltd.	Common Shares	China National Gold Group Hong Kong Limited	3	2020-09-24	10	1.63	158,371,230	70,000
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Adams, Kerry Dawn	4	2020-09-15	30		60,326	862
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Clark, Christie James Beckett	4, 7	2020-09-15	30		23,703	336
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Eadie, Graeme McAlister	4	2020-09-15	30		27,464	382
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Kinsley, Karen	4	2020-09-15	30		21,387	296
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Latimer, Robert Michael	4	2020-09-15	30		21,123	293
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Lockhart, Nancy	4, 6	2020-09-15	30		10,891	145
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Ponder, Dale Rosa Winnifred	4	2020-09-15	30		10,982	147
Choice Properties Real Estate Investment Trust	Trust Units	Wasti, Rashid	7	2020-09-18	10	12.65	50,000	1,000
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Weston, Willard Galen Garfield	6	2020-09-15	30		73,751	1,048
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-05-31	30		3,627	57
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-06-15	10	11.99	3,645	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-07-16	10	12.4	3,663	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-08-15	10	12.52	3,681	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-09-17	10	12.78	3,698	17
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-10-15	10	11.86	3,717	19
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-11-15	10	12.2	3,735	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-17	10	12.1	3,754	19
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-31	30			165
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-01-15	10	12.03	3,773	19
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-02-15	10	13.5	3,790	17
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-03-15	10	13.67	3,807	17
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-04-15	10	14.11	3,823	16
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-05-15	10	13.68	3,840	17
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-06-17	10	13.88	3,857	17
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-03-16	10	11.99	3,876	19
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-04-15	10	13.08	3,894	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-05-15	10	11.93	3,914	20
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-06-15	10	13.02	3,932	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-07-15	10	13.21	3,950	18
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-08-17	10	12.85	3,968	18

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2017-12-31	30			50
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-03-05	30		5,105	50
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-05-31	30		5,187	82
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-06-15	10	11.99	5,213	26
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-07-16	10	12.4	5,238	25
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-08-15	10	12.52	5,263	25
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-09-17	10	12.78	5,288	25
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-10-15	10	11.86	5,315	27
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-11-15	10	12.2	5,341	26
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-17	10	12.1	5,368	27
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-01-15	10	12.03	5,395	27
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-02-15	10	13.5	5,419	24
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-03-15	10	13.67	5,443	24
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-04-15	10	14.11	5,466	23
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-05-15	10	13.68	5,490	24
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-06-17	10	13.88	5,514	24
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-03-16	10	11.99	5,542	28
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-04-15	10	13.08	5,568	26
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-05-15	10	11.93	5,596	28
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-06-15	10	13.02	5,622	26
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-07-15	10	13.21	5,648	26
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-08-17	10	12.85	5,675	27
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-05-31	30		875	12
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-06-15	10	11.99	879	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-07-16	10	12.4	883	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-08-15	10	12.52	887	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-09-17	10	12.78	891	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-10-15	10	11.86	895	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-11-15	10	12.21	899	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-17	10	12.1	903	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-31	30			36
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-01-15	10	12.03	907	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-02-15	10	13.5	911	4

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-03-15	10	13.67	915	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-04-15	10	14.11	918	3
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-05-15	10	13.68	922	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-06-17	10	13.88	926	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-07-15	10	13.9	930	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-08-15	10	13.65	934	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-09-16	10	14.08	938	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-10-15	10	14.41	942	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-11-15	10	13.52	946	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-16	10	13.49	950	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			51
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			51
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-01-15	10	14.42	954	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-02-18	10	15.1	957	3
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-03-09	30			7
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-03-09	30			7
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-03-16	10	11.99	961	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-04-15	10	13.08	965	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-05-15	10	11.93	969	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-06-15	10	13.02	973	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-07-15	10	13.21	977	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2020-08-17	10	12.85	981	4
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			122
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			122
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2018-12-31	30			236
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			173
Choice Properties Real Estate Investment Trust	Trust Units	Williams, David Evan	5	2019-12-31	30			173
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-09-18	10	0.65	7,527,747	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-09-18	10	0.6674	4,360,000	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-09-21	10	0.68	4,404,500	44,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-09-22	10	0.69	4,406,800	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-09-23	10	0.69	4,409,100	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-09-24	10	0.68	4,411,400	2,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
City View Green Holdings Inc.	Options	Fia, Roberto	3, 4, 5	2020-09-21	52	0.1	11,340,000	7,000,000
City View Green Holdings Inc.	Options	MacLeod, Randall Stephen	8	2020-09-21	00		420,000	
City View Green Holdings Inc.	Options	McNeill, Stephen William	4	2020-09-14	50	0.1	1,430,000	700,000
City View Green Holdings Inc.	Options	Myung, Sung Min	5	2020-09-14	50		700,000	400,000
Cobalt Blockchain Inc.	Options	Copetti, Peter	5	2020-08-17	00			
Cobalt Blockchain Inc.	Options	Copetti, Peter	5	2020-09-21	50	0.065	9,200,000	9,200,000
Cobalt Blockchain Inc.	Options	O'Donnell, John Frederick	4	2020-09-21	00		500,000	
COIN HODL INC. (formerly Malbex Resources Inc.)	Common Shares	Cubitt, Benedict Giles	4, 5	2020-09-24	10	0.1734	2,441,700	31,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-09-24	10	3.22	197,112	500
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-09-24	10	3.2196	197,212	100
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-09-24	10	3.2124	197,312	100
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-09-24	10	3.2201	197,512	200
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-09-24	10	3.2199	197,612	100
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-04	10	3.3537	154,103	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-08	10	3.6039	153,203	-900
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-11	10	3.646	152,203	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-14	10	3.7	151,203	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-15	10	3.6153	150,303	-900
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-16	10	3.3612	149,303	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-17	10	3.3409	148,403	-900
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-09-17	10	4.15	38,049,225	-1,000,000
Cominar Real Estate Investment Trust	Trust Units	Rousseau, Nathalie	5	2020-09-15	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Computer Modelling Group Ltd.	Common Shares	Tomyn, Kelly Ann	5	2020-09-21	00			
Computer Modelling Group Ltd.	Rights Deferred Share Units	Tomyn, Kelly Ann	5	2020-09-21	00			
Computer Modelling Group Ltd.	Rights Performance Share Units	Tomyn, Kelly Ann	5	2020-09-21	00			
Computer Modelling Group Ltd.	Rights Restricted Share Units	Tomyn, Kelly Ann	5	2020-09-21	00			
Condor Gold plc	Ordinary Shares	Mellon, James	4	2020-09-23	10	0.43	15,837,080	100,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-18	10	0.5826	2,197,750	-29,750
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-18	10	0.5826	2,168,000	-29,750
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-21	10	0.6	2,155,500	-12,500
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-21	10	0.6	2,143,000	-12,500
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-22	10	0.6	2,142,000	-1,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-22	10	0.6	2,141,000	-1,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-22	10	0.58	2,123,000	-18,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-23	10	0.573	2,114,750	-8,250
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-22	10	0.58	2,282,500	-18,000
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-09-23	10	0.573	2,274,250	-8,250
Copper Mountain Mining Corporation	Common Shares	Klue, Edward Richard	5	2020-09-15	10	1.1		10,000
Copper Mountain Mining Corporation	Common Shares	Klue, Edward Richard	5	2020-09-15	10	1.1	0	-10,000
Core Assets Corp.	Common Shares	Hodge, David	4	2020-09-23	10	0.135	2,567,000	17,000
Core Assets Corp.	Common Shares	Hodge, David	4	2020-09-24	10	0.0135	2,584,000	17,000
CounterPath Corporation	Rights Deferred Share Units	Carothers, Todd	5	2020-09-25	56		94,824	20,000
CounterPath Corporation	Rights Deferred Share Units	Karp, David Lawrence	5	2020-09-25	56		203,198	30,000
Crew Energy Inc.	Common Shares	Brussa, John Albert	4	2020-09-18	10	0.37	1,282,319	65,500
Crew Energy Inc.	Common Shares	Brussa, John Albert	4	2020-09-21	10	0.36	1,367,319	85,000
Crew Energy Inc.	Common Shares	Taylor, James A	5	2020-09-21	10	0.36	318,146	1,500
CT Real Estate Investment Trust	Units	Court, David	6	2015-08-13	00			
CT Real Estate Investment Trust	Units	Court, David	6	2020-09-22	10	13.865	3,600	3,600
CT Real Estate Investment Trust	Units	Court, David	6	2020-09-22	10	13.875	7,200	3,600
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	White, Jason	5	2020-02-03	00		106,263	
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	White, Jason	5	2020-05-20	50	7.94	681,113	574,850
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-17	10	0.15	2,078,500	30,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-18	10	0.14	2,138,500	60,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-18	10	0.13	2,179,500	41,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-21	10	0.15	2,183,500	4,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-22	10	0.15	2,282,500	99,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-22	10	0.15	2,288,500	6,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-09-23	10	0.155	2,328,500	40,000
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2020-09-22	10	0.15	900,666	-100,000
Decklar Resources Inc.	Common Shares	Halpin, David John	7	2020-09-01	00		740,000	
Decklar Resources Inc.	Options	Halpin, David John	7	2020-09-01	00			
Decklar Resources Inc.	Options	Halpin, David John	7	2020-09-03	50	0.28	450,000	450,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-22	10	0.24	2,014,934	10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-23	10	0.24	2,044,934	30,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-24	10	0.25	2,106,934	62,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-24	10	0.245	2,109,934	3,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-24	10	0.24	2,119,934	10,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.27	2,126,934	7,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.26	2,146,934	20,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.265	2,149,934	3,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.285	2,157,434	7,500
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.275	2,169,934	12,500
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-09-25	10	0.28	2,174,934	5,000
Digital Consumer Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-09-22	10	11.5	13,500	-5,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-09-21	38	11.264	639,900	2,100
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-09-23	38	11.45	640,300	400
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-09-24	38	11.624	642,400	2,100
Digital Consumer Dividend Fund	Trust Units	Lauzon, Robert	7	2020-09-21	10	11.242	17,200	-5,000
Digital Consumer Dividend Fund	Trust Units	Orrico, Dean	6	2020-09-22	10	11.449	35,000	-5,000
Dream Industrial Real Estate Investment Trust	Units	Dream Office Real Estate Investment Trust	3	2020-09-24	10	10.853	4,808,919	-1,125,250
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	Arora, Manish	5	2020-09-24	50		300,000	200,000
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	DI BENEDETTO, PAUL	5	2020-09-24	50		1,850,000	350,000
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	Irwin, Christopher	4	2020-09-24	50			100,000
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	Irwin, Christopher	4	2020-09-24	50		950,000	100,000
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	Sherkin, Kevin David	4	2020-09-24	50	0.7	300,000	100,000
Drone Delivery Canada Corp. (formerly Asher Resources Corporation)	Options	Zahra, Michael Francis	5	2020-09-24	50		1,450,000	350,000
Duncan Park Holdings Corporation	Common Shares	Hazelton, Chris	4	2020-04-23	46	0.02		1,000,000
Duncan Park Holdings Corporation	Common Shares	Hazelton, Chris	4	2020-04-23	46	0.02		1,000,000
Dundee Corporation	Subordinate Voting Shares Class A	Sinclair, Alistair Murray	4	2020-09-21	10	1.41	2,035,800	26,500
Dundee Corporation	Subordinate Voting Shares Class A	Sinclair, Alistair Murray	4	2020-09-22	10	1.4032	2,057,800	22,000
Dundee Corporation	Subordinate Voting Shares Class A	Sinclair, Alistair Murray	4	2020-09-23	10	1.39	2,058,500	700
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Hoffman, Raymond Wayne	4	2020-09-23	50	0.1	7,797,200	325,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Options	Hoffman, Raymond Wayne	4	2020-09-23	51	0.1	2,000,000	325,000
E Split Corp.	Common Shares Class A	Brasseur, Jeremy	6	2020-09-22	15	11.75	54,000	10,000
Earth Alive Clean Technologies Inc.	Common Shares	Blais, Jean Paul	5	2020-09-22	10	0.1	600,000	100,000
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2020-09-17	30	14.797	1,310	33

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2020-09-17	30	14.797	3,255	84
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2020-09-17	30	14.797	23,137	282
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2020-09-17	30	14.797	7,412	86
Eldorado Gold Corporation	Common Shares	Eldorado Gold Corporation	1	2020-08-20	36		564,586	-1,292
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2020-09-17	30	14.797	865	146
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2020-08-20	36	15.03	3,644	1,292
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2020-08-21	10	14.43	2,996	-648
Eldorado Gold Corporation	Restricted Share Units	Ower, Lisa Marie	5	2020-08-20	38		46,964	-1,292
Eldorado Gold Corporation	Common Shares	Silva, Lincoln	5	2020-08-31	51	5.68	35,690	7,496
Eldorado Gold Corporation	Common Shares	Silva, Lincoln	5	2020-08-31	10	15	28,194	-7,496
Eldorado Gold Corporation	Options	Silva, Lincoln	5	2020-08-31	51	5.68	94,791	-7,496
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2020-09-17	30	14.797	3,381	86
Elores Resources Ltd.	Common Shares	LARSEN, THOMAS	4, 5	2020-09-18	10	1.8	2,561,150	5,000
Elores Resources Ltd.	Common Shares	LARSEN, THOMAS	4, 5	2020-09-21	10	1.6	2,566,150	5,000
Elores Resources Ltd.	Common Shares	LARSEN, THOMAS	4, 5	2020-09-23	10	1.37	2,576,150	10,000
Empower Clinics Inc. (formerly Adira Energy Ltd.)	Common Shares	Klein, Dustin	4	2020-09-22	10	0.035	10,029,411	-1,000,000
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	2020-09-17	16	0.05	17,465,914	3,508,000
Enerdynamic Hybrid Technologies Corp.	Warrants	Woolford, David	4	2020-09-17	16	0.05	9,493,466	3,808,000
Enerflex Ltd.	Common Shares	Reinhart, Kevin Jerome	4	2020-09-25	10	4.9961	41,250	20,000
Energy Fuels Inc.	Common Shares	Morrison, Alexander	4	2020-09-24	10	1.5858	64,742	18,000
Enerplus Corporation	Common Shares	Jenson Labrie, Jodine Julene	5	2020-09-23	10	2.41	78,468	10,000
Entree Resources Ltd.	Common Shares	Rio Tinto plc	3	2020-09-14	16	0.43	17,441,796	875,000
Entree Resources Ltd.	Common Shares	Rio Tinto plc	3	2007-06-27	00			
Entree Resources Ltd.	Common Shares	Rio Tinto plc	3	2012-01-27	90		13,799,333	13,799,333
Entree Resources Ltd.	Common Shares	Rio Tinto plc	3	2020-09-14	16	0.43	14,539,333	740,000
Entree Resources Ltd.	Warrants	Rio Tinto plc	3	2007-06-27	00			
Entree Resources Ltd.	Warrants	Rio Tinto plc	3	2020-09-14	16		437,500	437,500
Entree Resources Ltd.	Warrants	Rio Tinto plc	3	2007-06-27	00			
Entree Resources Ltd.	Warrants	Rio Tinto plc	3	2020-09-14	16		370,000	370,000
Environmental Waste International Inc.	Common Shares	Russell, Ana	6	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Russell, Ana	6	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Russell, Ana	6	2014-11-05	00		9,825,586	
Environmental Waste International Inc.	Warrants	Russell, Ana	6	2019-11-05	55		2,500,000	-1,800,000
Environmental Waste International Inc.	Common Shares	Russell, Ian	6	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Russell, Ian	6	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Russell, Ian	6	2014-11-05	00		9,825,586	
Environmental Waste International Inc.	Warrants	Russell, Ian	6	2019-11-05	55		2,500,000	-1,800,000
Environmental Waste International Inc.	Common Shares	Savage, Robert	4	2020-09-18	36	0.08	46,897,500	23,125,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Environmental Waste International Inc.	Common Shares	Savage, Robert	4	2020-09-18	36	0.135	48,886,537	1,989,037
Environmental Waste International Inc.	Convertible Debentures	Savage, Robert	4	2020-09-18	36	0.08	\$0	-\$1,850,000
Environmental Waste International Inc.	Common Shares	Thornbury Holdings Ltd.	3	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Thornbury Holdings Ltd.	3	2014-11-05	00			
Environmental Waste International Inc.	Common Shares	Thornbury Holdings Ltd.	3	2014-11-05	00		9,825,586	
Environmental Waste International Inc.	Warrants	Thornbury Holdings Ltd.	3	2019-11-05	55		2,500,000	-1,800,000
Equinox Gold Corp.	Common Shares	Heffernan, Robert Scott	5	2020-09-18	10	17.07	64,992	-20,000
Equinox Gold Corp.	Common Shares	Heffernan, Robert Scott	5	2020-09-24	54	12.5	92,617	27,625
Equinox Gold Corp.	Warrants (Luna)	Heffernan, Robert Scott	5	2020-09-24	54	12.5	0	-1,250,000
ESSA Pharma Inc.	Common Shares	Glickman, Richard	4	2020-09-23	10	6.4	39,490	5,740
ESSA Pharma Inc.	Common Shares	Glickman, Richard	4	2020-09-23	10	6.4	5,580	580
ESSA Pharma Inc.	Common Shares	Glickman, Richard	4	2020-09-24	10	6.39	7,080	1,500
Etruscus Resources Corp.	Options Exer 0.36	Aliperti, Fiore	4	2017-07-01	00			
Etruscus Resources Corp.	Options Exer 0.36	Aliperti, Fiore	4	2020-09-21	50	0.36	50,000	50,000
Etruscus Resources Corp.	Options Exer 0.36	LAM, GORDON	4	2017-07-01	00			
Etruscus Resources Corp.	Options Exer 0.36	LAM, GORDON	4	2020-09-21	50	0.36	150,000	150,000
Etruscus Resources Corp.	Options \$0.36 expire 9/21/25	Lever, Jon Stacy	5	2018-03-01	00			
Etruscus Resources Corp.	Options \$0.36 expire 9/21/25	Lever, Jon Stacy	5	2020-09-21	50	0.36	65,000	65,000
Etruscus Resources Corp.	Options exer \$0.36	Sikich, Michael	4	2017-07-01	00			
Etruscus Resources Corp.	Options exer \$0.36	Sikich, Michael	4	2020-09-21	50	0.36	50,000	50,000
Etruscus Resources Corp.	Options	Webb, David Ralph	5	2019-01-25	00		50,000	
Euro Manganese Inc.	Common Shares	Stepien, Thomas Michael	4	2020-09-22	00			
Euro Manganese Inc.	Options	Stepien, Thomas Michael	4	2020-09-22	00		500,000	
Euro Manganese Inc.	Common Shares	Zaradic, Andrea Melissa	5	2020-09-22	00		172,876	
Euro Manganese Inc.	Options	Zaradic, Andrea Melissa	5	2020-09-22	00		506,000	
Exco Technologies Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-09-23	10	6.55	7,342,200	201,900
EXMceuticals Inc.	Common Shares	Summers, Jonathan	5	2020-09-17	11	0.3	16,184,818	1,340,000
Exploits Discovery Corp.	Common Shares	Collins, John Michael William	3	2020-09-18	22		595,000	175,000
Finning International Inc.	Units Deferred Share Units	Avril, Vicki	4	2020-09-18	56	20.692	29,422	2,112
Finning International Inc.	Units Deferred Share Units	Carter, James Edward Clark	4	2020-09-18	56	20.692	86,202	1,667
Finning International Inc.	Units Deferred Share Units	Cote, Jacynthe	4	2020-09-18	56	20.692	47,033	1,667
Finning International Inc.	Units Deferred Share Units	Hartery, Nicholas	4	2020-09-18	56	20.692	60,824	2,760
Finning International Inc.	Units Deferred Share Units	Kelley, Mary Lou	4	2020-09-18	56	20.692	28,191	2,702
Finning International Inc.	Units Deferred Share Units	Kuhlmann, Andres	4	2020-09-18	56	20.692	11,748	2,557
Finning International Inc.	Units Deferred Share Units	Kvisle, Harold N.	4	2020-09-18	56	20.692	44,765	4,391

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Finning International Inc.	Units Deferred Share Units	Levenick, Stuart L.	4	2020-09-18	56	20.692	47,055	2,856
Finning International Inc.	Units Deferred Share Units	O'Neill, Kathleen M.	4	2020-09-18	56	20.692	77,931	1,667
Finning International Inc.	Units Deferred Share Units	Patterson, Christopher William	4	2020-09-18	56	20.692	45,544	1,667
Finning International Inc.	Units Deferred Share Units	Seraphim, Edward	4	2020-09-18	56	20.692	15,871	2,557
Firm Capital Property Trust	Units	WALT, MANFRED	4	2020-09-21	10	5.27	198,311	5,000
Firm Capital Property Trust	Units	WALT, MANFRED	4	2020-09-22	10	5.25	203,311	5,000
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-09-22	10	13.28	1,296,802	6,050
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-09-23	10	13.11	1,312,802	16,000
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-09-24	10	12.9	1,321,802	9,000
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-09-25	10	12.86	1,322,802	1,000
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-09-24	10	12.95	1,115,718	2,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-09-24	10	0.15	350,667	5,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-09-24	10	0.185	361,667	11,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-09-25	10	0.18	366,667	5,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-09-21	10	14.65	62,500	2,500
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-09-21	10	14.45	65,000	2,500
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-09-23	10	13.39	67,500	2,500
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-09-21	10	14.47	1,000	1,000
First Quantum Minerals Ltd	Common Shares	Buck, Wyatt McKinlay	5	2020-09-17	51		71,756	36,087
First Quantum Minerals Ltd	Common Shares	Buck, Wyatt McKinlay	5	2020-09-17	10	14.3	35,669	-36,087
First Quantum Minerals Ltd	Options	Buck, Wyatt McKinlay	5	2020-09-17	51	11.47	84,344	-36,087
First Quantum Minerals Ltd	Bonds	Meyer, Hannes	5	2012-03-15	00			
First Quantum Minerals Ltd	Bonds	Meyer, Hannes	5	2020-09-17	10	250000		\$250,000
First Quantum Minerals Ltd	Bonds	Meyer, Hannes	5	2020-09-17	97	250000	\$250,000	\$250,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-21	10	163.57	185,200	-2,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-21	10	164	183,200	-2,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-22	10	165.78	181,200	-2,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-22	10	166	180,200	-1,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-24	10	167.01	179,200	-1,000
FIRSTSERVICE CORPORATION	Common Shares	Rakusin, Jeremy Alan	5	2020-09-24	10	168	177,200	-2,000
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-09-25	51	30.73	32,688	6,004
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-09-25	51	33.58	33,184	496
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2020-09-25	10	53.098	26,684	-6,500
Fortis Inc.	Options	Gosse, Karen J.	5	2020-09-25	51		52,912	-6,004
Fortis Inc.	Options	Gosse, Karen J.	5	2020-09-25	51		52,416	-496

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10	56,582	-17,500
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10.01	49,282	-7,300
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10.03	49,082	-200
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10.04	41,582	-7,500
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10.06	39,082	-2,500
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	0.09	31,582	-7,500
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2020-09-18	10	10.12	24,082	-7,500
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Mitchell, John Christopher	5	2020-09-14	10		1,000,110	-20,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Mitchell, John Christopher	5	2020-09-15	10		980,110	-20,000
Freegold Ventures Limited	Common Shares	2176423 Ontario Ltd.	3	2020-09-18	36		47,432,604	8,516,326
Freegold Ventures Limited	Common Shares	2176423 Ontario Ltd.	3	2020-09-18	36		60,766,604	13,334,000
Freegold Ventures Limited	Common Shares	2176423 Ontario Ltd.	3	2020-09-18	36		78,948,504	18,181,900
Freegold Ventures Limited	Subscription Rights	2176423 Ontario Ltd.	3	2020-09-18	36		31,515,900	-8,516,326
Freegold Ventures Limited	Subscription Rights	2176423 Ontario Ltd.	3	2020-09-18	36		18,181,900	-13,334,000
Freegold Ventures Limited	Subscription Rights	2176423 Ontario Ltd.	3	2020-09-18	36		0	-18,181,900
Freegold Ventures Limited	Warrants	2176423 Ontario Ltd.	3	2020-09-18	36	0.28	21,404,552	4,258,163
Freegold Ventures Limited	Warrants	2176423 Ontario Ltd.	3	2020-09-18	36	0.45		13,334,000
Freegold Ventures Limited	Warrants	2176423 Ontario Ltd.	3	2020-09-18	36	0.45	28,071,552	6,667,000
Freegold Ventures Limited	Warrants	2176423 Ontario Ltd.	3	2020-09-18	36	1.65	37,162,502	9,090,950
Freegold Ventures Limited	Common Shares	Sprott, Eric S.	3	2020-09-18	36		47,432,604	8,516,326
Freegold Ventures Limited	Common Shares	Sprott, Eric S.	3	2020-09-18	36		60,766,604	13,334,000
Freegold Ventures Limited	Common Shares	Sprott, Eric S.	3	2020-09-18	36		78,948,504	18,181,900
Freegold Ventures Limited	Subscription Rights	Sprott, Eric S.	3	2020-09-18	36		31,515,900	-8,516,326
Freegold Ventures Limited	Subscription Rights	Sprott, Eric S.	3	2020-09-18	36		18,181,900	-13,334,000
Freegold Ventures Limited	Subscription Rights	Sprott, Eric S.	3	2020-09-18	36		0	-18,181,900
Freegold Ventures Limited	Warrants	Sprott, Eric S.	3	2020-09-18	36	0.28	21,404,552	4,258,163
Freegold Ventures Limited	Warrants	Sprott, Eric S.	3	2020-09-18	36	0.45	28,071,552	6,667,000
Freegold Ventures Limited	Warrants	Sprott, Eric S.	3	2020-09-18	36	1.65	37,162,502	9,090,950
FRONTIER LITHIUM INC.	Options	Didone, John Ralph	4	2020-09-23	50	0.25	1,360,000	510,000
FRONTIER LITHIUM INC.	Options	Drever, Garth Lloyd	5	2020-09-23	50	0.25	1,450,000	250,000
FRONTIER LITHIUM INC.	Options	Kelly, John G	4	2020-09-23	50	0.25	1,660,000	310,000
FRONTIER LITHIUM INC.	Options	Kozioł, Marian	4	2020-09-23	50	0.25	1,110,000	260,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
FRONTIER LITHIUM INC.	Options	Koziol, Marian	4	2020-09-27	38		710,000	-400,000
FRONTIER LITHIUM INC.	Options	MARCOTTE, ERNEST JOSEPH	4	2020-09-23	50	0.25	1,100,000	250,000
FRONTIER LITHIUM INC.	Options	Walker, Reginald Frank	3, 4	2020-09-23	50	0.25	2,150,000	650,000
FRONTIER LITHIUM INC.	Options	Walker, Trevor	5	2020-09-23	50	0.25	2,150,000	650,000
Galane Gold Ltd.	Common Shares	Sood, Ravi	4	2020-09-24	54	0.05	14,712,382	7,563,850
Galane Gold Ltd.	Warrants	Sood, Ravi	4	2020-09-22	11	0.2	7,563,850	7,563,850
Galane Gold Ltd.	Warrants	Sood, Ravi	4	2020-09-24	54		0	-7,563,850
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	Begg, David Michael	8	2020-09-18	51	2.05	521,952	97,952
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-09-21	10	1.385	14,156,519	8,000
Genesis Land Development Corp.	Common Shares	Mitchell, Garfield Robert	3	2020-09-16	10	1.4	18,085,120	3,600
Genesis Land Development Corp.	Common Shares	Mitchell, Garfield Robert	3	2020-09-23	10	1.4	18,117,320	32,200
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-09-22	10	0.245	1,730,686	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-09-23	10	0.255	1,732,686	2,000
GIGA Metals Corporation	Common Shares	Morris, Robert A.	4	2019-03-21	10	0.243	65,000	30,000
GIGA Metals Corporation	Common Shares	Morris, Robert A.	4	2020-09-18	10	1.31	35,000	-30,000
GIGA Metals Corporation	Common Shares	Morris, Robert A.	4	2020-09-18	10	1.32	0	-35,000
GIGA Metals Corporation	Common Shares	Morris, Robert A.	4	2020-09-21	51	0.35	100,000	100,000
GIGA Metals Corporation	Options	Morris, Robert A.	4	2020-09-21	51	0.35	200,000	-100,000
Giyani Metals Corp.	Options	Birchall, Robin Jonathan Eckford	4, 5	2020-09-24	50	0.185	3,300,000	600,000
Giyani Metals Corp.	Options	Henry, Jonathan	4	2020-09-24	50	0.185		150,000
Giyani Metals Corp.	Options	Henry, Jonathan	4	2020-09-24	50	0.185		150,000
Giyani Metals Corp.	Options	Henry, Jonathan	4	2020-09-24	50	0.185	950,000	150,000
Giyani Metals Corp.	Options	Jones, Michael Shivas	4	2020-09-24	50	0.185	800,000	150,000
Giyani Metals Corp.	Options	Lee, Eugene	4	2020-09-24	50	0.185	1,100,000	150,000
Giyani Metals Corp.	Options	Petersen, John	4	2020-09-24	50		800,000	150,000
Giyani Metals Corp.	Common Shares	RAB Capital Holdings Limited	3	2020-09-18	11	0.125	12,000,000	1,000,000
Giyani Metals Corp.	Warrants	RAB Capital Holdings Limited	3	2020-09-18	11	0.2	6,000,000	500,000
Giyani Metals Corp.	Options	Siddiqui, Aamer Faraz	5	2020-09-24	50	0.185	150,000	50,000
Giyani Metals Corp.	Common Shares	Webster, Judith Lynne	5	2020-09-23	00		80,000	
Giyani Metals Corp.	Options	Webster, Judith Lynne	5	2020-09-23	00			
Giyani Metals Corp.	Options	Webster, Judith Lynne	5	2020-09-24	50	0.185	75,000	75,000
Giyani Metals Corp.	Warrants	Webster, Judith Lynne	5	2020-09-23	00		40,000	
Global Crossing Airlines Inc.	Common Shares Common & Variable Voting Shares	Goepel, Ryan	4, 5	2020-09-24	10	0.5869	667,784	6,000
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2020-09-18	38	12.13	5,397,105	100
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2020-09-21	38	11.978	5,397,505	400
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2020-09-23	38	12.048	5,398,005	500
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-09-21	38	11.975	1,182,800	800
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-09-22	38	12.069	1,183,700	900
Global Li-Ion Graphite Corp.	Common Shares	Walsh, Jason	4	2020-09-23	10	0.11	1,995,523	14,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Global Li-Ion Graphite Corp.	Common Shares	Walsh, Jason	4	2020-09-23	10	0.11	2,006,023	10,500
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-09-18	38	13.2	648,700	300
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-09-21	38	13	649,000	300
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-09-23	38	13.185	650,300	1,300
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-09-24	38	13.125	650,500	200
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Anzini, Sabrina	5	2017-09-18	00			
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Anzini, Sabrina	5	2020-09-17	57	64.15	2,159	2,159
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Anzini, Sabrina	5	2020-09-22	10	61.806	501	-1,658
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Anzini, Sabrina	5	2020-09-17	57	64.15	7,359	-2,159
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-21	38	62.156	52,220	8,920
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-22	38	61.961	60,040	7,820
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-22	38		16,740	-43,300
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-23	38	61.059	25,360	8,620
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-24	38	60.484	34,380	9,020
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-25	38		9,020	-25,360
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-09-25	38	62.089	16,240	7,220
Gold Port Corporation	Options	Ambrose, Allen Vernon	4	2020-09-16	50			100,000
Gold Port Corporation	Options	Ambrose, Allen Vernon	4	2020-09-16	50		250,000	250,000
Gold Port Corporation	Options	Cherry, Christopher	4, 5	2020-09-16	50			500,000
Gold Port Corporation	Options	Cherry, Christopher	4, 5	2020-09-16	50		425,000	425,000
Gold Port Corporation	Options	Feyerabend, William	4	2020-09-16	50		250,000	250,000
Gold Port Corporation	Options	hobkirk, adrian frederick	4, 5	2020-09-16	50			500,000
Gold Port Corporation	Options	hobkirk, adrian frederick	4, 5	2020-09-16	50		425,000	425,000
Gold Port Corporation	Common Shares	Urata, Jan	5	2020-09-25	16	0.12	490,390	115,000
Gold Port Corporation	Options	Urata, Jan	5	2020-09-16	50		65,000	65,000
Gold Port Corporation	Warrants	Urata, Jan	5	2020-09-25	16	0.16	240,000	115,000
Gold Springs Resource Corp. (formerly, TriMetals Mining Inc.)	Common Shares	van Doorn, Robert	4	2020-09-18	54	0.11	5,375,000	250,000
Gold Springs Resource Corp. (formerly, TriMetals Mining Inc.)	Common Shares	van Doorn, Robert	4	2020-09-21	10	0.13	5,288,500	-86,500
Gold Springs Resource Corp. (formerly, TriMetals Mining Inc.)	Warrants	van Doorn, Robert	4	2020-09-18	54		0	-250,000
Gold Terra Resource Corp.	Options	Lévesque, Elif	4	2020-09-08	52	0.61	200,000	-150,000
Gold Terra Resource Corp.	Options	Rogers, Stuart	4, 5	2020-09-08	52		0	-250,000
Gold X Mining Corp.	Common Shares	Matysek, Paul Frank	4, 5	2020-09-18	10	3.75		200,000
Gold X Mining Corp.	Common Shares	Matysek, Paul Frank	4, 5	2020-09-18	10	3.75		200,000
Gold X Mining Corp.	Common Shares	Matysek, Paul Frank	4, 5	2020-09-18	10	3.75		-200,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Gold X Mining Corp.	Common Shares	Matysek, Paul Frank	4, 5	2020-09-18	10	3.75		-200,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Macpherson, Derek	4	2020-09-23	00		200,000	
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Options	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Options	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Options	Macpherson, Derek	4	2020-09-23	00		500,000	
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Warrants	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Warrants	Macpherson, Derek	4	2020-09-23	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Warrants	Macpherson, Derek	4	2020-09-23	00		80,000	
Golden Predator Mining Corp.	Common Shares Class "A"	Lesiak, Anthony	4	2020-09-23	16	0.4	380,000	100,000
Golden Predator Mining Corp.	Options	Lesiak, Anthony	4	2020-03-21	52	1.6	235,000	-50,000
Golden Predator Mining Corp.	Warrants	Lesiak, Anthony	4	2018-07-26	55	1	0	-50,000
Golden Predator Mining Corp.	Common Shares Class "A"	Sheriff, William Morris	4	2020-09-23	16	0.4	13,281,945	25,000
Golden Predator Mining Corp.	Options	Sheriff, William Morris	4	2020-03-21	52	1.6	525,000	-75,000
Golden Predator Mining Corp.	Warrants	Sheriff, William Morris	4	2020-02-13	55	1	0	-41,250
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2020-09-22	10	0.15	590,000	500
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2020-09-23	10	0.14	591,000	1,000
Goldseek Resources Inc.	Common Shares	Steven, Lauzier	5	2020-09-16	00		100,000	
Goldseek Resources Inc.	Options	Steven, Lauzier	5	2020-09-16	00		150,000	
Goldseek Resources Inc.	Warrants	Steven, Lauzier	5	2020-09-16	00		50,000	
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Mazoff, Peter	5	2020-09-24	10	0.17		4,000
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Mazoff, Peter	5	2020-09-24	10	0.17	4,000	4,000
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Mazoff, Peter	5	2020-09-24	10	0.18	6,000	2,000
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Mazoff, Peter	5	2020-09-25	10	0.175	8,500	2,500
Gourmet Ocean Products Inc.	Common Shares	Dorin, George Graham	4	2020-09-21	10	0.01	0	-175,000
Grande West Transportation Group Inc.	Rights Rights Restricted Share Units	Buckle, Danial	5	2020-09-21	56		150,000	150,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Grande West Transportation Group Inc.	DSU	LaGourgue, John	4	2016-06-21	00			
Grande West Transportation Group Inc.	DSU	LaGourgue, John	4	2020-09-21	46	0.475	18,640	18,640
Grande West Transportation Group Inc.	Rights Rights Restricted Share Units	LaGourgue, John	4	2020-09-21	56		180,000	150,000
Grande West Transportation Group Inc.	DSU	Miller, Joseph	4	2020-09-21	46	0.475	74,772	37,280
Grande West Transportation Group Inc.	DSU	Strong, Christopher Davis	4	2020-09-21	46	0.475	80,413	41,265
Grande West Transportation Group Inc.	Common Shares	White, James David Alexander	4	2020-09-21	10	0.46	538,616	3,500
Grande West Transportation Group Inc.	DSU	White, James David Alexander	4	2020-09-21	56		51,264	37,280
Graphite Energy Corp.	Options	Cherry, Teresa	4, 5	2020-08-21	50	0.66		250,000
Graphite Energy Corp.	Options	Cherry, Teresa	4, 5	2020-08-21	50	0.66		200,000
Graphite Energy Corp.	Options	Cherry, Teresa	4, 5	2020-08-21	50	0.66	250,000	250,000
Great Bear Royalties Corp.	Common Shares	Robins, John Edward	5	2020-09-23	51		501,637	95,375
Great Bear Royalties Corp.	Options	Robins, John Edward	5	2020-09-23	51		0	-95,375
Great Panther Mining Limited	Common Shares	Henderson, Robert	4, 5	2020-09-25	10	1.13	57,500	20,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-09-21	10	1.25	363,011	10,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-07-21	10	16.3	735,086	-50,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-09-15	10	17.76	553,886	-35,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-09-25	10	16.1	453,886	-100,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-09-25	10	16.4	353,886	-100,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-09-25	10	16.55	303,886	-50,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-09-15	10	17.76	35,000	35,000
GreenBank Capital Inc.	Common Shares	Wettrich, Zara	3	2020-09-21	47		7,907,062	-600,000
Grown Rogue International Inc.	Common Shares	August, Adam Michael Barnard	7	2020-09-16	10	0.08	1,584,058	50,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-09-22	10	0.1	29,225,266	20,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-09-24	10	0.105	29,235,266	10,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-09-24	10	0.1	29,255,266	20,000
H2O INNOVATION INC.	Options	BLANCHET, Marc	5	2020-09-21	52		436,667	-24,000
H2O INNOVATION INC.	Options	Clairret, Guillaume	5	2020-09-21	52		491,667	-9,000
H2O INNOVATION INC.	Options	Dugré, Frédéric	4, 5	2020-09-21	52			-100,000
H2O INNOVATION INC.	Options	Dugré, Frédéric	4, 5	2020-09-21	52		1,375,000	-100,000
H2O INNOVATION INC.	Options	Madden, Gregory Lynn	5	2020-09-21	52		0	-5,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Mojela, Louisa Madiako	4, 5	2020-07-18	00		15,038,864	
Hamilton Thorne Ltd.	Common Shares	Wolf, David	4, 5	2020-09-22	10	1.37	1,312,902	-200,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Hammond Power Solutions Inc.	Common Shares Class A	David, FitzGibbon	4	2020-09-24	10	4.49	17,000	2,000
Harte Gold Corp.	Options	Bourchier, Frazer William	4, 5	2020-09-21	00			
Harte Gold Corp.	Options	Bourchier, Frazer William	4, 5	2020-09-22	50		2,451,605	2,451,605
Harte Gold Corp.	Restricted Share Units (RSUs)	Bourchier, Frazer William	4, 5	2020-09-21	00			
Harte Gold Corp.	Restricted Share Units (RSUs)	Bourchier, Frazer William	4, 5	2020-09-22	56		1,543,210	1,543,210
Healthcare Special Opportunities Fund	Trust Units Class A Units	LDIC Inc.	3	2020-09-23	10	12.21	2,418,692	-660
Healthcare Special Opportunities Fund	Trust Units Class A Units	LDIC Inc.	3	2020-09-23	10	12.216	2,418,524	-168
HealthSpace Data Systems Ltd.	Common Shares	Garrison, Silas	4	2020-09-23	54	0.05	3,528,671	750,000
HealthSpace Data Systems Ltd.	Warrants	Garrison, Silas	4	2020-09-23	54	0.05	985,000	-750,000
HealthSpace Data Systems Ltd.	Common Shares	Willmott, Joseph Douglas	4, 5	2020-09-23	54	0.05	4,630,140	40,000
HealthSpace Data Systems Ltd.	Warrants	Willmott, Joseph Douglas	4, 5	2020-09-23	54	0.05	330,000	-40,000
HealthSpace Data Systems Ltd.	Warrants	Willmott, Joseph Douglas	4, 5	2020-09-23	99		230,000	-100,000
High Arctic Energy Services Inc.	Common Shares	Oliver, Joseph	4	2020-09-25	10	0.59	100,000	50,000
iA Financial Corporation Inc.	Common Shares	Jobin, Éric	5	2020-09-25	10	45.29	4,348	290
iCo Therapeutics Inc.	Common Shares	Jarosz, William Wasyl	4	2020-09-22	10	0.0349	1,248,556	272,000
iCo Therapeutics Inc.	Common Shares	Jarosz, William Wasyl	4	2020-09-22	10	0.0349	1,483,556	235,000
iCo Therapeutics Inc.	Common Shares	Jarosz, William Wasyl	4	2020-09-22	10	0.035	1,533,556	50,000
IGM Financial Inc.	Executive Performance Share Units	Murchison, Damon	7	2020-09-21	56	31.85	21,732	6,508
IGM Financial Inc.	Options	Murchison, Damon	7	2020-09-21	56	31.85	183,820	65,000
IGM Financial Inc.	Executive Performance Share Units	O'Sullivan, James Patrick	4, 5	2020-09-14	00			
IGM Financial Inc.	Executive Performance Share Units	O'Sullivan, James Patrick	4, 5	2020-09-21	56	31.85	12,559	12,559
IGM Financial Inc.	Options	O'Sullivan, James Patrick	4, 5	2020-09-14	00			
IGM Financial Inc.	Options	O'Sullivan, James Patrick	4, 5	2020-09-21	56	31.85	125,500	125,500
IGM Financial Inc.	Options	O'Sullivan, James Patrick	4, 5	2020-09-21	56	31.85	502,200	376,700
IMC International Mining Corp.	Common Shares	McMillan, David	5	2020-09-22	00		140,000	
IMC International Mining Corp.	Warrants	McMillan, David	5	2020-09-22	00		20,000	
IMC International Mining Corp.	Common Shares	Sun Tzu Ventures Inc.	5	2020-09-22	00		160,000	
IMC International Mining Corp.	Warrants	Sun Tzu Ventures Inc.	5	2020-09-22	00		130,000	
Imperial Metals Corporation	Common Shares	KYNOCH, J. BRIAN	4, 5	2020-09-09	30	1.53	1,326,148	3,135
Indigo Books & Music Inc.	Common Shares	Parizadeh, Bahman	5	2019-04-01	00			
Indigo Books & Music Inc.	Common Shares	Parizadeh, Bahman	5	2020-09-25	10	2.0686	5,000	5,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-09-18	10	0.1	4,480,000	16,000
Inner Spirit Holdings Ltd.	Common Shares	Auxly Cannabis Group Inc.	3	2020-09-17	10		19,941,177	-6,000,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Inner Spirit Holdings Ltd.	Convertible Debentures 12% Senior Secured	Auxly Cannabis Group Inc.	3	2020-09-17	10	1000	\$0	-\$400
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-09-21	38	8	83,500	9,000
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-09-22	38	7.9522	101,500	18,000
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-09-23	38	7.8262	122,300	20,800
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-09-24	38	7.2381	132,700	10,400
Intact Financial Corporation	Common Shares	Fortin, Anne	5	2020-09-23	10	144.01	7,040	-544
Intact Financial Corporation	Common Shares	Fortin, Anne	5	2020-09-23	10	144.28	6,540	-500
Intermap Technologies Corporation	Warrants	Blott, Patrick	5	2020-09-24	55		0	-327,878
Intermap Technologies Corporation	Common Shares Class A	Hild, John Howard	4	2020-04-30	00			
Intermap Technologies Corporation	Common Shares Class A	Hild, John Howard	4	2020-04-30	00		95,652	
Inventus Mining Corp.	Warrants	Marrelli, Carmelo	5	2019-09-07	55	0.25	0	-66,666
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-09-15	10	0.34	3,742,783	4,000
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-09-23	10	0.3	3,746,883	4,100
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-09-23	10	0.32	3,750,383	3,500
Izotropic Corporation	Common Shares	Sodagar, Ali Reza	4	2018-05-15	00			
Izotropic Corporation	Common Shares	Sodagar, Ali Reza	4	2020-09-25	10	0.5	10,000	10,000
Jaguar Mining Inc.	Common Shares	Ahmed, Hashim	5	2020-09-24	10	7.04	50,500	37,600
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ahmed, Hashim	5	2020-09-17	56		141,653	745
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Baker, Vernon Casey	5	2020-09-17	56		5,052	52
Jaguar Mining Inc.	Deferred Share Units (DSUs)	de Freitas, Marina Fagundes	5	2020-09-17	56		7,508	8
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Duarte Ferreira, Eric Alexandre	5	2020-09-17	56		1,516	16
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ellis, John Jackson	4	2020-09-17	56		81,079	832
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Guenther, Benjamin Wayne	4, 5	2020-09-17	56		147,916	1,516
Jaguar Mining Inc.	Deferred Share Units (DSUs)	HILL, JONATHAN VICTOR	5	2020-09-17	56		14,398	148
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-19	56			50,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-19	56			50,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-19	56			50,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-19	56		50,000	50,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-27	37			-45,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-27	37			-45,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-08-27	37		5,000	-45,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-09-17	56			52
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-09-17	56			52
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ramnath, Shastri Meranda	4	2020-09-17	56		5,052	52
Jaguar Mining Inc.	Deferred Share Units (DSUs)	WENG, THOMAS SUN	4	2020-09-17	56		84,076	862

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
James Bay Resources Limited	Options	Brennan, Mark Peter	3, 4	2020-09-21	50		2,000,000	1,500,000
James Bay Resources Limited	Options	Egan, Wayne T.	4	2020-09-21	50		950,000	700,000
James Bay Resources Limited	Options	Gauthier, Jean Jacques	4	2020-09-21	50		650,000	500,000
James Bay Resources Limited	Options	Olaniyan, Adeniyi Olusegun	4, 5	2020-09-21	50		2,350,000	750,000
James Bay Resources Limited	Options	Pereira, Jon	4	2020-09-21	50		1,250,000	750,000
James Bay Resources Limited	Options	Shesky, Stephen Mitchell	3, 4, 5	2020-09-21	50		4,200,000	2,500,000
James Bay Resources Limited	Options	Szustak, Eric	5	2020-09-21	50		600,000	500,000
Jourdan Resources Inc.	Common Shares	Aberdeen International Inc.	3	2020-09-21	16	0.015	13,333,333	5,000,000
Jourdan Resources Inc.	Warrants	Aberdeen International Inc.	3	2020-09-21	16	0.015	13,333,333	5,000,000
Jourdan Resources Inc.	Common Shares	Sulliden Mining Capital Inc.	3	2020-09-21	00		9,100,000	
Jourdan Resources Inc.	Warrants	Sulliden Mining Capital Inc.	3	2020-09-21	00		6,100,000	
Jushi Holdings Inc.	Restricted Stock	Adderton, Peter	4	2020-09-22	56	3.23	100,323	41,152
Jushi Holdings Inc.	Restricted Stock	Bambach, Kimberly	5	2020-09-22	56	3.23	1,079,218	329,218
Jushi Holdings Inc.	Restricted Stock	Barack, Louis (Jonathan)	3, 5	2020-09-22	56	3.23	993,725	493,827
Jushi Holdings Inc.	Restricted Stock	Cacioppo, James	3, 4, 5	2020-09-22	56	3.23	1,532,374	1,399,177
Jushi Holdings Inc.	Restricted Stock	Cohen, Joseph (Max)	4, 5	2020-09-22	56	3.23	114,681	41,152
Jushi Holdings Inc.	Restricted Stock	Cross, Benjamin	4	2020-09-22	56	3.23	100,323	41,152
Jushi Holdings Inc.	Restricted Stock	Mauff, Erich	3, 4, 5	2020-09-22	56	3.23	758,334	658,436
Jushi Holdings Inc.	Restricted Stock	Monroe, Stephen	4	2020-09-22	56	3.23	150,484	61,728
Kanadario Gold Inc.	Common Shares	Gignac, Louis-Pierre	3	2020-09-17	00		4,100,000	
Kanadario Gold Inc.	Common Shares	Gignac, Mathieu	3	2020-09-17	00		4,100,000	
Kanadario Gold Inc.	Common Shares	Gignac, Michael	3	2020-09-17	00		4,100,000	
Karora Resources Inc.	Common Shares	Huet, Paul André	4	2020-09-21	51	2.52	202,585	40,500
Karora Resources Inc.	Common Shares	Huet, Paul André	4	2020-09-21	10	3.92	162,085	-40,500
Karora Resources Inc.	Options	Huet, Paul André	4	2020-09-21	51		1,598,500	-40,500
Katapult Technology Corp.	Restricted Share Units	Craig, Brian Norman	4	2020-09-01	36			-150,000
Katapult Technology Corp.	Restricted Share Units	Craig, Brian Norman	4	2020-09-01	36		0	-150,000
Katapult Technology Corp.	Common Shares	Dawson, Jeffrey Scott	4	2020-09-01	57	0.24		182,609
Katapult Technology Corp.	Common Shares	Dawson, Jeffrey Scott	4	2020-09-09	57	0.24	263,254	182,609
Killi Ltd. (formerly, Freckle Ltd.)	Common Shares	Fernicola, Robert	4	2020-09-23	10	0.28	890,000	-45,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-09-23	47		2,000	2,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-09-23	10	187.49	0	-2,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-09-17	51	3.2	25,816	2,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-09-23	47		23,816	-2,000
Kinaxis Inc.	Options	Monkman, Richard George	5	2020-09-17	51		245,014	-2,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Warrants	Sorace, Vincenzo	4, 5	2020-09-23	11		384,909	340,909
Leon's Furniture Limited	Common Shares	Cooney, John Andrew	5	2020-09-24	10	18.45	7,945	-1,417
Leon's Furniture Limited	Common Shares	Nakonechny, Gregory Paul	5	2020-09-16	30	15.05	26,052	22,814

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Leon's Furniture Limited	Common Shares	Nakonechny, Gregory Paul	5	2020-09-17	10	19.23	3,238	-22,814
Leon's Furniture Limited	Non-Voting Shares	Nakonechny, Gregory Paul	5	2020-09-16	30	15.05	13,948	-22,814
Leucrotta Exploration Inc.	Common Shares	Vejvoda, Josef	4	2020-09-18	10	0.668	12,483,224	100,000
Lions Bay Capital Inc.	Common Shares	Byrne, John Joseph	3, 4, 5	2020-09-23	10	0.06	3,696,000	112,000
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-09-18	51	8.05	80,000	80,000
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-09-18	57			124,512
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-09-18	57		124,512	44,512
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-09-18	10	13.75	0	-124,512
Lithium Americas Corp.	Options	Meikle, Alexander Hamilton	5	2020-09-18	51	8.05	400,000	-80,000
Lithium Americas Corp.	Rights Restricted Stock Unit	Meikle, Alexander Hamilton	5	2020-09-18	57		294,395	-44,512
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Campbell, Philip Andrew	4, 5	2020-09-22	16	0.016	2,000,000	2,000,000
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Coles, Elizabeth	5	2020-06-24	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Coles, Elizabeth	5	2020-09-22	11	0.016	937,500	937,500
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-06-25	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-06-25	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-06-25	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-09-22	11	0.016		562,500
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-09-22	16	0.016	562,500	562,500
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-06-25	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Kirkham, Roderick Wayne	8	2020-09-22	46	0.025	4,800,000	4,800,000
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	South, Jeremy Thomas	4	2019-06-25	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	South, Jeremy Thomas	4	2020-09-22	16	0.016	3,000,000	3,000,000
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Sweeney, John	5	2020-06-24	00			
Luff Enterprises Ltd. (formerly Ascent Industries Corp.)	Common Shares	Sweeney, John	5	2020-09-22	11	0.016	625,000	625,000
Macarthur Minerals Limited	Common Shares	Lanskey, Daniel Joseph	4	2019-09-20	00			
Macarthur Minerals Limited	Common Shares	Lanskey, Daniel Joseph	4	2019-12-19	99	0.2259	0	200,000
Macarthur Minerals Limited	Common Shares	Lanskey, Daniel Joseph	4	2020-08-07	99	0.2586		200,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Macarthur Minerals Limited	Common Shares	Lanskey, Daniel Joseph	4	2020-08-07	99	0.2586	0	200,000
Macarthur Minerals Limited	Common Shares	McCall, Cameron Hugh	4	2019-07-29	10			-200,000
Macarthur Minerals Limited	Common Shares	McCall, Cameron Hugh	4	2019-07-29	10		5,539,804	-200,000
Macarthur Minerals Limited	Common Shares	McCall, Cameron Hugh	4	2019-12-19	99	0.2259	5,739,804	200,000
Macarthur Minerals Limited	Common Shares	Suckling, Andrew Paul	4	2019-05-21	00			
Macarthur Minerals Limited	Common Shares	Suckling, Andrew Paul	4	2019-12-19	99	0.2259	200,000	200,000
Macarthur Minerals Limited	Common Shares	Suckling, Andrew Paul	4	2020-08-07	99	0.2586	450,000	250,000
Macarthur Minerals Limited	Common Shares	Suckling, Andrew Paul	4	2020-09-17	97		950,000	500,000
Macarthur Minerals Limited	Restricted Share Units	Suckling, Andrew Paul	4	2019-09-03	97			2,000,000
Macarthur Minerals Limited	Restricted Share Units	Suckling, Andrew Paul	4	2019-09-03	97			2,000,000
Macarthur Minerals Limited	Restricted Share Units	Suckling, Andrew Paul	4	2020-09-17	97		-2,000,000	-2,000,000
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2020-09-21	10			-21,500
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2020-09-21	10	2.7	5,914,917	-21,500
MAG Silver Corp.	Common Shares	Curlook, Michael John	5	2020-09-18	51	9.28	100,343	3,600
MAG Silver Corp.	Common Shares	Curlook, Michael John	5	2020-09-18	10	23.93	96,743	-3,600
MAG Silver Corp.	Options	Curlook, Michael John	5	2020-09-18	51	9.28	70,300	-3,600
MAG Silver Corp.	Common Shares	Taddei, Larry	5	2020-09-18	10	23.96	64,001	-11,700
MAG Silver Corp.	Common Shares	Taddei, Larry	5	2020-09-21	51	23.36	75,639	11,638
MAG Silver Corp.	Options	Taddei, Larry	5	2020-09-21	51	13.91	113,670	-28,771
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-09-17	38	7.515	63,565	7,155
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-09-18	38	7.5	128,065	64,500
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-09-21	38	7.1851	134,965	6,900
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-09-22	38	7.1245	142,065	7,100
Magna Gold Corp.	Options	Díaz Nieves, Laura Cristina	4	2020-09-15	00		200,000	
Magnetic North Acquisition Corp. (Formerly Black Bull Resources Inc.)	Options	Kowal, John Stanley	4	2019-12-02	50			300,000
Magnetic North Acquisition Corp. (Formerly Black Bull Resources Inc.)	Options	Kowal, John Stanley	4	2019-12-02	50		300,000	300,000
Magnetic North Acquisition Corp. (Formerly Black Bull Resources Inc.)	Options	Kowal, John Stanley	4	2020-06-01	50			150,000
Magnetic North Acquisition Corp. (Formerly Black Bull Resources Inc.)	Options	Kowal, John Stanley	4	2020-06-01	50		450,000	150,000
Mako Mining Corp.	Common Shares	Leisman, Akiba Jacob Issachar	4	2020-09-22	10	0.38	10,861,734	100,000
Mako Mining Corp.	Common Shares	Leisman, Akiba Jacob Issachar	4	2020-09-24	10	0.375	10,978,734	117,000
Mandalay Resources Corporation	Common Shares	Duffy, Dominic Francis	4, 5	2020-09-22	10	1.6088	45,300	15,300
Mandalay Resources Corporation	Common Shares	Jonker, Abraham	4	2020-09-24	10	1.55	53,430	1,200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Mandalay Resources Corporation	Common Shares	Jonker, Abraham	4	2020-09-24	10	1.57	54,230	800
Maple Leaf Foods Inc.	Rights Restricted Share Units settled with market shares	Rawle, Michael Ross	5	2020-09-21	56		8,220	1,945
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Options	Decher, Petra	4	2020-09-25	50	3.2	3,220,059	275,000
Martinrea International Inc.	Common Shares	Cirulis, Peter	5	2020-09-22	10	7.24	32,118	6,215
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-03-12	10	4.02		400
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-03-12	10	4.02	6,088	300
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-09-23	10	6.78	8,138	2,000
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-09-23	10	6.75	8,438	300
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-09-23	10	6.69	8,613	175
Maverix Metals Inc.	Common Shares	Beil, Charles Warren	5	2020-09-23	10	6.73	8,625	12
Maverix Metals Inc.	Common Shares	Bonney, Brent Alexander	5	2020-09-23	10	6.55	188,216	2,000
Maxtech Ventures Inc.	Common Shares	Wilson, Peter Grant	4, 5	2020-09-22	10	0.075	2,583,000	65,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-18	38	6.1318	2,800	2,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-18	38		0	-2,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-21	38	6.1886	700	700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-21	38		0	-700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-22	38	6.2284	3,100	3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-09-22	38		0	-3,100
mdf commerce inc.	Droits à la plus-value des actions (DPVA)	Filiatreault, Luc	4, 5	2020-09-23	38		0	-28,571
mdf commerce inc.	Options	Laporte, Gilles	4	2011-09-16	00			
mdf commerce inc.	Options	Laporte, Gilles	4	2020-09-23	50		5,000	5,000
mdf commerce inc.	Options	Larivière, Natalie	4	2017-06-06	00			
mdf commerce inc.	Options	Larivière, Natalie	4	2020-09-23	50		5,000	5,000
mdf commerce inc.	Options	Laurin, Gilles	4	2009-02-06	00			
mdf commerce inc.	Options	Laurin, Gilles	4	2020-09-23	50		5,000	5,000
mdf commerce inc.	Options	Poulin, Marc-André	5	2020-03-17	00			
mdf commerce inc.	Options	Poulin, Marc-André	5	2020-09-23	50		10,000	10,000
mdf commerce inc.	Options	Sabourin, Jean-François	4	2008-08-05	00			
mdf commerce inc.	Options	Sabourin, Jean-François	4	2020-09-23	50		5,000	5,000
mdf commerce inc.	Options	Shchupak, Zoya	4	2019-09-11	00			
mdf commerce inc.	Options	Shchupak, Zoya	4	2020-09-23	50		5,000	5,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Bierman, Adam Nathaniel	4	2020-09-18	10	0.2111	5,052,827	-795,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Modlin, Andrew Max	4, 5	2020-09-18	10	0.2111	14,414,163	-795,000
MegumaGold Corp.	Common Shares	Quinn, Michael Cooper	4	2020-09-14	00		418,666	
MegumaGold Corp.	Options	Quinn, Michael Cooper	4	2020-09-14	00		587,500	
MegumaGold Corp.	Warrants	Quinn, Michael Cooper	4	2020-09-14	00		166,666	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-09-21	38	6.34	6,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-09-22	38	6.32	7,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-09-23	38	6.32	8,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-09-24	38	6.2	9,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-09-25	38	6.129	10,000	1,000
Melcor Developments Ltd.	Common Shares	Melton, Timothy Charles	3, 4, 5	2020-09-24	10	6.11	1,949,994	6,200
Metalcorp Limited	Common Shares	Dougherty, Chris	4	2010-06-23	00			
Metalcorp Limited	Common Shares	Dougherty, Chris	4	2020-09-18	16	0.03	1,073,500	1,073,500
Metalcorp Limited	Common Shares	Dougherty, Chris	4	2020-09-18	16	0.03	13,509,496	5,666,666
Metalcorp Limited	Common Shares	Gagne, Pierre	4	2004-05-27	00			
Metalcorp Limited	Common Shares	Gagne, Pierre	4	2020-09-18	16	0.03	3,583,333	3,583,333
Metalcorp Limited	Common Shares	Gagne, Pierre	4	2020-09-18	16	0.03	4,043,957	2,465,017
Metalcorp Limited	Common Shares	Garofalo, Justin Paul	5	2020-09-18	16	0.03	1,210,000	1,130,000
Metalcorp Limited	Common Shares	Sheldon, Donald A.	4	2020-09-18	16	0.03	7,585,835	7,585,835
Metalla Royalty & Streaming Ltd.	Common Shares	Heath, Brett	4, 5	2020-09-23	10	10.18	1,078,091	250
Metalla Royalty & Streaming Ltd.	Common Shares	Tucker, E.B.	4	2020-09-23	10	7.55	304,276	20
Metalla Royalty & Streaming Ltd.	Common Shares	Tucker, E.B.	4	2020-09-23	10	7.5	304,776	500
Methanex Corporation	Common Shares	Arnell, Douglas James	4	2020-09-21	10	30.85	4,655	1,500
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-09-22	10	22.959		40,400
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-09-22	10	22.959		40,400
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-09-23	10	22.959	2,815,491	40,400
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-09-23	10	22.959	6,295,735	59,600
Micromem Technologies Inc.	Options	amadori, dan peter	5	2020-09-18	97	0.34	250,000	-650,000
Micromem Technologies Inc.	Options	Dey, Alex	4	2020-09-18	97	0.34	100,000	-200,000
Micromem Technologies Inc.	Options	Fuda, Diana	5	2020-09-18	97	0.34	100,000	-115,000
Micromem Technologies Inc.	Options	Fuda, Joseph	4, 5	2020-09-18	97	0.34	250,000	-650,000
Micromem Technologies Inc.	Options	Khan, Bash	5	2020-09-18	97	0.34	100,000	-125,000
Micromem Technologies Inc.	Options	McGroarty, Martha	5	2020-09-18	97	0.34	100,000	-150,000
Micromem Technologies Inc.	Options	Nepomuceno, Oliver	4	2020-09-18	97	0.34	100,000	-150,000
Middlefield Can-Global REIT Income Fund	Trust Units	Middlefield Can-Global REIT Income Fund	1	2020-09-22	38	9.6786	5,332,541	700
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-09-18	38	8.83	814,300	2,200
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-09-21	38	8.6367	817,600	3,300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-09-22	38	8.5529	819,000	1,400
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-09-23	38	8.5844	819,900	900
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-09-24	38	8.53	820,500	600
Minifocus Exploration Corp.	Options	Manns, Francis Tucker	3	2020-09-10	50	0.07	407,143	107,143
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-09-18	38	4.9783	71,779,651	1,800

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-09-21	38	4.8286	71,780,351	700
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-09-23	38	4.84	71,780,851	500
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-09-24	38	4.805	71,781,251	400
Molecule Holdings Inc.	Common Shares	Audet, André	4	2020-09-17	10	0.08	7,504,670	100,000
Molecule Holdings Inc.	Common Shares	Audet, André	4	2020-09-17	10	0.15	7,514,670	10,000
Molecule Holdings Inc.	Common Shares	Audet, André	4	2020-09-17	10	0.2	7,524,670	10,000
Molecule Holdings Inc.	Common Shares	Audet, André	4	2020-09-18	10	0.13	7,554,670	30,000
Molecule Holdings Inc.	Common Shares	Audet, André	4	2020-09-18	57		7,617,170	62,500
Molecule Holdings Inc.	Restricted Share Units (Molecule)	Audet, André	4	2020-09-18	57		187,500	-62,500
Molecule Holdings Inc.	Common Shares	Reingold, David	4	2020-09-16	00			
Molecule Holdings Inc.	Common Shares	Reingold, David	4	2020-09-18	57		125,000	125,000
Molecule Holdings Inc.	Restricted Share Units (Molecule)	Reingold, David	4	2020-09-18	57		375,000	-125,000
Molecule Holdings Inc.	Common Shares	Stutt, Brendan	5	2019-03-01	00			
Molecule Holdings Inc.	Common Shares	Stutt, Brendan	5	2020-09-18	57		125,000	125,000
Molecule Holdings Inc.	Restricted Share Units (Molecule)	Stutt, Brendan	5	2020-09-18	57		375,000	-125,000
Molecule Holdings Inc.	Common Shares	Waddington, Philip	3, 4	2020-09-18	57		2,062,500	62,500
Molecule Holdings Inc.	Restricted Share Units (Molecule)	Waddington, Philip	3, 4	2020-09-18	57		187,500	-62,500
Monarch Gold Corporation	Common Shares	Desjardins, Lucie	5	2017-12-04	00			
Monarch Gold Corporation	Common Shares	Desjardins, Lucie	5	2020-09-17	16	0.57	20,000	20,000
Monarch Gold Corporation	Warrants	Desjardins, Lucie	5	2017-12-04	00			
Monarch Gold Corporation	Warrants	Desjardins, Lucie	5	2020-09-17	16		10,000	10,000
Monarch Gold Corporation	Common Shares	Lavergne, Marc-André	5	2020-09-17	11	0.57	31,000	10,000
Monarch Gold Corporation	Warrants	Lavergne, Marc-André	5	2017-10-02	00			
Monarch Gold Corporation	Warrants	Lavergne, Marc-André	5	2020-09-17	53	0.6	5,000	5,000
Monarch Gold Corporation	Common Shares	Séguin, Mathieu	5	2020-09-23	10	0.45	2,700,000	100,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-09-24	10	0.17	337,700	5,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2020-09-18	10	0.0756	1,182,250	-200,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2020-09-23	10	0.075	1,032,250	-150,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2020-09-23	10	0.08	1,015,250	-17,000
Monument Mining Limited	Common Shares	Dickson, Graham	4	2009-06-01	00			
Monument Mining Limited	RSU	Dickson, Graham	4	2009-06-01	00			
Monument Mining Limited	RSU	Dickson, Graham	4	2020-09-18	38	0.0765	400,000	400,000
Monument Mining Limited	RSU	Dickson, Graham Cranstoun	4	2020-09-18	97		800,000	-400,000
Monument Mining Limited	Common Shares	Harun, Zaidi	4	2020-06-10	97		1,700,000	1,200,000
Monument Mining Limited	RSU	Harun, Zaidi	4	2020-06-10	97		1,071,833	-1,200,000
Monument Mining Limited	Common Shares	Kitney, Michael John	4	2015-11-20	00			
Monument Mining Limited	Common Shares	Kitney, Michael John	4	2020-09-18	97	0.0756	500,000	500,000
Monument Mining Limited	RSU	Kitney, Michael John	4	2020-09-18	97		0	-500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Monument Mining Limited	Common Shares	Zhai, Cathy Y	4, 5	2020-05-22	97		1,720,450	1,000,000
Monument Mining Limited	RSU	Zhai, Cathy Y	4, 5	2020-05-22	97		3,479,800	-1,000,000
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-09-24	38	105.71	1,000	1,000
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-09-24	38		0	-1,000
Mosaic Capital Corporation	Common Shares	KUNIK, Harold	6	2020-09-21	10	1.75	247,415	-5,000
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-09-21	38	9.0595	600,000	40,500
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-09-22	38	9.3868	633,300	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-09-23	38	9.4093	666,600	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-09-24	38	9.3083	699,900	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-09-25	38	9.0774	733,200	33,300
MYM Nutraceuticals Inc.	Options	Elsdon, Sheryl	5	2020-09-22	50		450,000	280,000
NetCents Technology Inc.	Common Shares	Moore, Clayton	4, 7, 5	2019-12-10	46	0.1875	11,885,875	3,696,205
New Dimension Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2020-09-18	36	0.06	16,065,552	3,727,666
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2020-09-25	97		0	-2,400
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2020-09-25	97		0	-1,000
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2020-09-23	10	0.085	302,446	123,328
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2020-09-23	90		342,192	39,746
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2016-06-23	00			
New Millennium Iron Corp.	Common Shares	Leckie, William Scott	4	2020-09-25	90		377,808	377,808
New Oroperu Resources Inc.	Common Shares	Livingstone, Kent Wayne	4, 5	2020-05-07	16	0.7	561,214	50,143
New Oroperu Resources Inc.	Common Shares	Livingstone, Kent Wayne	4, 5	2020-07-09	54	0.2	576,214	15,000
New Oroperu Resources Inc.	Common Shares	Livingstone, Kent Wayne	4, 5	2020-07-09	54	0.2	724,000	200,000
New Oroperu Resources Inc.	Warrants	Livingstone, Kent Wayne	4, 5	2020-05-07	16	0.85	40,071	25,071
New Oroperu Resources Inc.	Warrants	Livingstone, Kent Wayne	4, 5	2020-07-09	16			-15,000
New Oroperu Resources Inc.	Warrants	Livingstone, Kent Wayne	4, 5	2020-07-09	54		25,071	-15,000
New Oroperu Resources Inc.	Warrants	Livingstone, Kent Wayne	4, 5	2020-07-09	16			-200,000
New Oroperu Resources Inc.	Warrants	Livingstone, Kent Wayne	4, 5	2020-07-09	54		100,000	-200,000
New Tech Minerals Corp.	Common Shares	Naughty, Blair Lawrence	3	2020-09-19	10	0.05		1,500,000
New Tech Minerals Corp.	Common Shares	Naughty, Blair Lawrence	3	2020-09-19	16	0.05	3,094,750	1,500,000
New Tech Minerals Corp.	Warrants	Naughty, Blair Lawrence	3	2019-10-03	00			
New Tech Minerals Corp.	Warrants	Naughty, Blair Lawrence	3	2020-09-19	16	0.1	1,500,000	1,500,000
NexgenRx Inc.	Common Shares	Crossett, Paul Everett	3	2020-09-21	10	0.17	7,590,000	8,000
Nextech AR Solutions Corp.	Common Shares	Winschel, Eugen	5	2020-09-09	00			
Nextech AR Solutions Corp.	Common Shares	Winschel, Eugen	5	2020-09-24	46		15,000	15,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Cochran, Phyllis Elaine	4	2020-09-25	57		16,330	1,958

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Cochran, Phyllis Elaine	4	2020-09-25	10	17.07	16,305	-25
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Cochran, Phyllis Elaine	4	2020-09-25	56		1,958	1,958
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Cochran, Phyllis Elaine	4	2020-09-25	57		0	-1,958
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Edwards, Larry Dean	7	2020-09-25	56		28,832	1,958
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Hoeg, Krystyna	4	2020-09-25	56		24,411	3,525
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Marinucci, Giovanni (John)	4	2020-09-25	56		28,832	1,958
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Nunes, Paulo Cezar	4	2020-09-25	57		10,027	1,959
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Nunes, Paulo Cezar	4	2020-09-25	10	17.07	9,125	-902
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Nunes, Paulo Cezar	4	2020-09-25	56		1,959	1,959
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Nunes, Paulo Cezar	4	2020-09-25	57		0	-1,959
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Robertson, Colin	7	2019-05-28	00			
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Robertson, Colin	7	2020-09-25	56		1,958	1,958
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Tobin, Brian Vincent	4	2020-09-25	56		27,780	3,133
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Winter, Katherine S.	4	2020-09-25	56		9,302	1,958
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-09-22	10	1.33	9,615,942	10,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-09-23	10	1.3	9,625,942	10,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-09-23	10	1.34	9,635,942	10,000
NioCorp Developments Ltd.	options	Beling, David	4	2020-09-18	50	0.6364		250,000
NioCorp Developments Ltd.	options	Beling, David	4	2020-09-18	50	0.6364	1,300,000	250,000
NioCorp Developments Ltd.	Options	Carrabba, Joe	4	2020-09-18	50	0.6364		250,000
NioCorp Developments Ltd.	Options	Carrabba, Joe	4	2020-09-18	50	0.6364	1,575,000	250,000
NioCorp Developments Ltd.	Options	Guerrero Mahon, Nilsa	4	2020-09-18	50	0.6364		300,000
NioCorp Developments Ltd.	Options	Guerrero Mahon, Nilsa	4	2020-09-18	50	0.6364	1,100,000	300,000
NioCorp Developments Ltd.	Options	Morris, Michael	4	2020-09-18	50	0.6364		250,000
NioCorp Developments Ltd.	Options	Morris, Michael	4	2020-09-18	50	0.6364	1,450,000	250,000
NioCorp Developments Ltd.	Common Shares	Shah, Neal	5	2020-09-18	51	0.4697		30,000
NioCorp Developments Ltd.	Common Shares	Shah, Neal	5	2020-09-18	51	0.4697	130,000	30,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-09-18	51	0.4697		-30,000
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-09-18	51	0.4697	1,324,500	-30,000
NioCorp Developments Ltd.	Common Shares	Sims, James	5	2020-09-18	51	0.4697		134,117
NioCorp Developments Ltd.	Common Shares	Sims, James	5	2020-09-18	51	0.4697		134,117
NioCorp Developments Ltd.	Common Shares	Sims, James	5	2020-09-18	51	0.3564	167,536	134,117
NioCorp Developments Ltd.	Options	Sims, James	5	2020-09-18	51	0.3564	1,225,000	-300,000
NioCorp Developments Ltd.	Options	Wightman, Anna Castner	4	2020-09-18	50	0.6364		250,000
NioCorp Developments Ltd.	Options	Wightman, Anna Castner	4	2020-09-18	50	0.6364	1,550,000	250,000
Norbord Inc.	Common Shares	Dubois-Phillips, Mark Richard	5	2020-09-21	10	38.55	2,711	650
Norbord Inc.	Common Shares	Mackie, Gregory Richard	5	2020-09-21	10	38.52	1,886	150
Norsemont Mining Inc. (formerly Norsemont Capital Inc.)	Options	Freeze, Arthur Charles	4	2020-09-02	00		100,000	
Northern Dynasty Minerals Ltd.	Options	Collier, Thomas Cleveland	7	2020-09-18	50	2.01	954,000	102,000
Northern Dynasty Minerals Ltd.	Options	Collier, Thomas Cleveland	7	2020-09-18	50	2.01	1,056,000	102,000
Northern Dynasty Minerals Ltd.	Options	Fueg, James Eduard	2	2020-09-18	50	2.01	142,000	51,000
Northern Dynasty Minerals Ltd.	Options	Hamilton, Mark Randall	2	2020-09-18	50	2.01	190,000	75,000
Northern Dynasty Minerals Ltd.	Options	Harrington, Shalon	7	2020-09-18	50	2.01	190,000	75,000
Northern Dynasty Minerals Ltd.	Options	Heatwole, Michael	7	2020-09-17	50	2.01	599,000	102,000
Northern Dynasty Minerals Ltd.	Options	Robertson, Peter Dunn	5	2020-09-18	50	2.01	749,000	102,000
Northern Dynasty Minerals Ltd.	Options	Shively, John	7	2020-09-18	50	2.01	419,000	102,000
Northern Superior Resources Inc.	Common Shares	Morris, Thomas, Findlay	5	2020-09-21	10	0.81	260,733	-9,000
Northern Superior Resources Inc.	Common Shares	Morris, Thomas, Findlay	5	2020-09-23	10	0.68	251,733	-9,000
Northern Superior Resources Inc.	Common Shares	Morris, Thomas, Findlay	5	2020-09-24	10	0.68	228,733	-23,000
Northland Power Inc.	Deferred Rights	Patton, Troy Christopher	5	2020-09-18	57		0	-14,000
Northland Power Inc.	Class A Shares	Temerty, James C.	3, 4, 5	2020-09-24	36		0	-1,000,000
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-09-24	47		4,079,148	-6,224,067
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-09-24	36		9,377,467	1,000,000
Northstar Gold Corp.	Common Shares	McKnight, Greg	4	2019-06-28	00		300,000	
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-09-14	10	33.856	7,450,795	-150,000
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-09-15	10	33.851	7,378,495	-72,300
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-09-16	10	33.961	7,209,095	-169,400
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-09-25	10	35.312	7,110,395	-98,700
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2020-09-16	10	34.17	1,268,632	319,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Norvista Capital Corporation	Common Shares	Singer, Jeffrey	4	2019-11-21	00			
Norvista Capital Corporation	Common Shares	Singer, Jeffrey	4	2020-09-21	10	0.145	98,000	98,000
Norvista Capital Corporation	Common Shares	Singer, Jeffrey	4	2020-09-24	10	0.12	126,000	28,000
Nova Mentis Life Science Corp. (Formerly Liberty Leaf Holdings Ltd.)	Options	Feldman, Steven	4	2020-09-17	50	0.2	1,530,000	600,000
Nova Mentis Life Science Corp. (Formerly Liberty Leaf Holdings Ltd.)	Options	McConnell, Jacqueline	4	2020-09-17	00			
Nova Mentis Life Science Corp. (Formerly Liberty Leaf Holdings Ltd.)	Options	McConnell, Jacqueline	4	2020-09-17	50	0.2	500,000	500,000
Nova Mentis Life Science Corp. (Formerly Liberty Leaf Holdings Ltd.)	Options	Rascan, William	4, 5	2020-09-17	50	0.2	2,027,500	800,000
Nova Mentis Life Science Corp. (Formerly Liberty Leaf Holdings Ltd.)	Options	Robinson, Jamie	5	2020-09-17	50	0.2	900,000	250,000
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-06-05	16	0.21		2,774,498
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-06-05	16	0.21		2,774,498
NRG Metals Inc.	Options	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Options	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-06-05	16	0.35		2,774,498
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-06-05	16	0.35		2,774,498
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-04-01	00		3,300,000	
NRG Metals Inc.	Common Shares	Gold Port Corporation	3	2020-06-05	16	0.21	6,074,498	2,774,498
NRG Metals Inc.	Options	Gold Port Corporation	3	2020-04-01	00			
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-04-01	00		3,300,000	
NRG Metals Inc.	Warrants on placements	Gold Port Corporation	3	2020-06-05	16	0.35	6,074,498	2,774,498
Nuvei Corporation	Options	Atherton, Philip	5	2020-09-16	00			
Nuvei Corporation	Options	Atherton, Philip	5	2020-09-22	50			5,889
Nuvei Corporation	Options	Atherton, Philip	5	2020-09-22	50			5,889
Nuvei Corporation	Options	Atherton, Philip	5	2020-09-22	50	26	5,889	5,889
Nuvei Corporation	Subordinate Voting Shares	Atherton, Philip	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Atherton, Philip	5	2020-09-22	11	26	3,846	3,846
Nuvei Corporation	Class A Common Shares	Birdsong, Keith	5	2020-09-16	00		747,149	
Nuvei Corporation	Class A Common Shares	Birdsong, Keith	5	2020-09-22	36		0	-747,149
Nuvei Corporation	Class A Preferred Shares	Birdsong, Keith	5	2020-09-16	00		10	
Nuvei Corporation	Class A Preferred Shares	Birdsong, Keith	5	2020-09-22	36		0	-10

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Nuvei Corporation	Class B Preferred Shares	Birdsong, Keith	5	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Birdsong, Keith	5	2020-09-22	36		10	10
Nuvei Corporation	Class B Preferred Shares	Birdsong, Keith	5	2020-09-22	11	146861		-10
Nuvei Corporation	Class B Preferred Shares	Birdsong, Keith	5	2020-09-22	11	146861		-10
Nuvei Corporation	Class B Preferred Shares	Birdsong, Keith	5	2020-09-22	11	146861	0	-10
Nuvei Corporation	Subordinate Voting Shares	Birdsong, Keith	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Birdsong, Keith	5	2020-09-22	36		409,695	409,695
Nuvei Corporation	Options	Bring, Mordechay	5	2020-09-16	00			
Nuvei Corporation	Options	Bring, Mordechay	5	2020-09-22	50	26	3,846	3,846
Nuvei Corporation	Subordinate Voting Shares	Bring, Mordechay	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Bring, Mordechay	5	2020-09-22	11	26	1,538	1,538
Nuvei Corporation	Options	Darrin, Matityahu Nahum	7	2020-09-16	00		50,000	
Nuvei Corporation	Options	Darrin, Matityahu Nahum	7	2020-09-22	36		0	-50,000
Nuvei Corporation	Options	Darrin, Matityahu Nahum	7	2020-09-16	00			
Nuvei Corporation	Options	Darrin, Matityahu Nahum	7	2020-09-22	36		17,857	17,857
Nuvei Corporation	Options	Darrin, Matityahu Nahum	7	2020-09-22	50	26	21,703	3,846
Nuvei Corporation	Class A Common Shares	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Class A Common Shares	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Class A Common Shares	Fayer, Philip	3, 4, 5	2020-09-16	00		64,452,133	
Nuvei Corporation	Class A Common Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		0	-64,452,133
Nuvei Corporation	Class A Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		0	-783
Nuvei Corporation	Class B Common Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		0	-1,703
Nuvei Corporation	Class B Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		783	783
Nuvei Corporation	Class B Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-22	11	146861		-783
Nuvei Corporation	Class B Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-22	11	146861		-783
Nuvei Corporation	Class B Preferred Shares	Fayer, Philip	3, 4, 5	2020-09-22	11	146861	0	-783
Nuvei Corporation	Multiple Voting Shares	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		34,205,100	34,205,100
Nuvei Corporation	Options	Fayer, Philip	3, 4, 5	2020-09-16	00		287,937	
Nuvei Corporation	Options	Fayer, Philip	3, 4, 5	2020-09-22	36		0	-287,937
Nuvei Corporation	Options	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Options	Fayer, Philip	3, 4, 5	2020-09-22	36		102,835	102,835
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		34,205,100	34,205,100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2020-09-22	36		0	-34,205,100
Nuvei Corporation	Class A Common Shares	Gagnon, Jocelyne	5	2020-09-16	00		384	
Nuvei Corporation	Class A Common Shares	Gagnon, Jocelyne	5	2020-09-22	36		0	-384
Nuvei Corporation	Class B Common Shares	Gagnon, Jocelyne	5	2020-09-16	00		2,433	
Nuvei Corporation	Class B Common Shares	Gagnon, Jocelyne	5	2020-09-22	36		0	-2,433
Nuvei Corporation	Options	Gagnon, Jocelyne	5	2020-09-16	00		14,881	
Nuvei Corporation	Options	Gagnon, Jocelyne	5	2020-09-22	36		0	-14,881
Nuvei Corporation	Options	Gagnon, Jocelyne	5	2020-09-16	00			
Nuvei Corporation	Options	Gagnon, Jocelyne	5	2020-09-22	36		5,315	5,315
Nuvei Corporation	Options	Gagnon, Jocelyne	5	2020-09-22	50	26	9,161	3,846
Nuvei Corporation	Subordinate Voting Shares	Gagnon, Jocelyne	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Gagnon, Jocelyne	5	2020-09-22	11	26	190	190
Nuvei Corporation	Subordinate Voting Shares	Gagnon, Jocelyne	5	2020-09-22	36		1,196	1,006
Nuvei Corporation	Class A Common Shares	Garcia, Edward (Ed)	5	2020-09-16	00		546,526	
Nuvei Corporation	Class A Common Shares	Garcia, Edward (Ed)	5	2020-09-22	36		0	-546,526
Nuvei Corporation	Class A Preferred Shares	Garcia, Edward (Ed)	5	2020-09-16	00		7	
Nuvei Corporation	Class A Preferred Shares	Garcia, Edward (Ed)	5	2020-09-22	36		0	-7
Nuvei Corporation	Class B Preferred Shares	Garcia, Edward (Ed)	5	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Garcia, Edward (Ed)	5	2020-09-22	36		7	7
Nuvei Corporation	Class B Preferred Shares	Garcia, Edward (Ed)	5	2020-09-22	11	146861		-7
Nuvei Corporation	Class B Preferred Shares	Garcia, Edward (Ed)	5	2020-09-22	11	146861		-7
Nuvei Corporation	Class B Preferred Shares	Garcia, Edward (Ed)	5	2020-09-22	11	146861	0	-7
Nuvei Corporation	Options	Garcia, Edward (Ed)	5	2020-09-16	00		300,000	
Nuvei Corporation	Options	Garcia, Edward (Ed)	5	2020-09-22	36		0	-300,000
Nuvei Corporation	Options	Garcia, Edward (Ed)	5	2020-09-16	00			
Nuvei Corporation	Options	Garcia, Edward (Ed)	5	2020-09-22	36		107,143	107,143
Nuvei Corporation	Subordinate Voting Shares	Garcia, Edward (Ed)	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Garcia, Edward (Ed)	5	2020-09-22	36		295,030	295,030
Nuvei Corporation	Rights Deferred Stock Units	Hanley, Michael	4	2020-09-16	00			
Nuvei Corporation	Rights Deferred Stock Units	Hanley, Michael	4	2020-09-22	56		841	841
Nuvei Corporation	Subordinate Voting Shares	Hanley, Michael	4	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Hanley, Michael	4	2020-09-22	11	26	38,460	38,460
Nuvei Corporation	Options	Katz, Shemer	5	2020-09-16	00		15,000	
Nuvei Corporation	Options	Katz, Shemer	5	2020-09-22	36		0	-15,000
Nuvei Corporation	Options	Katz, Shemer	5	2020-09-16	00			
Nuvei Corporation	Options	Katz, Shemer	5	2020-09-22	36		5,357	5,357
Nuvei Corporation	Subordinate Voting Shares	Katz, Shemer	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Katz, Shemer	5	2020-09-22	11	26	15,385	15,385

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nuvei Corporation	Class B Common Shares	Lacoste, Allan	5	2020-09-16	00		85,158	
Nuvei Corporation	Class B Common Shares	Lacoste, Allan	5	2020-09-22	36		0	-85,158
Nuvei Corporation	Options	Lacoste, Allan	5	2020-09-16	00		297,619	
Nuvei Corporation	Options	Lacoste, Allan	5	2020-09-22	36		0	-297,619
Nuvei Corporation	Options	Lacoste, Allan	5	2020-09-16	00			
Nuvei Corporation	Options	Lacoste, Allan	5	2020-09-22	36		106,293	106,293
Nuvei Corporation	Options	Lacoste, Allan	5	2020-09-22	50	26	110,139	3,846
Nuvei Corporation	Subordinate Voting Shares	Lacoste, Allan	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Lacoste, Allan	5	2020-09-22	36		30,414	30,414
Nuvei Corporation	Rights Deferred Stock Units	Lewin, David	4	2020-09-16	00			
Nuvei Corporation	Rights Deferred Stock Units	Lewin, David	4	2020-09-22	56		745	745
Nuvei Corporation	Options	Ludwig, Craig	5	2020-09-16	00		500,000	
Nuvei Corporation	Options	Ludwig, Craig	5	2020-09-22	36		0	-500,000
Nuvei Corporation	Options	Ludwig, Craig	5	2020-09-16	00			
Nuvei Corporation	Options	Ludwig, Craig	5	2020-09-22	36		178,571	178,571
Nuvei Corporation	Rights Deferred Stock Units	Mielke, Daniela	4	2020-09-16	00			
Nuvei Corporation	Rights Deferred Stock Units	Mielke, Daniela	4	2020-09-22	56		745	745
Nuvei Corporation	Subordinate Voting Shares	Mielke, Daniela	4	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Mielke, Daniela	4	2020-09-22	11	26	15,385	15,385
Nuvei Corporation	Options	Morar, Praful	5	2020-09-16	00			
Nuvei Corporation	Options	Morar, Praful	5	2020-09-22	50	26	3,846	3,846
Nuvei Corporation	Subordinate Voting Shares	Morar, Praful	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Morar, Praful	5	2020-09-22	11	26	3,846	3,846
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		2,982,743	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-2,982,743
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		19,531,172	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-19,531,172
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		25,123,643	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-25,123,643
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		34,006,458	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-34,006,458
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		1,224,254	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-1,224,254
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		26,961,914	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-26,961,914
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		388,615	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-388,615
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		24,293	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-24,293
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-16	00		843,295	
Nuvei Corporation	Class A Common Shares	Novacap Management Inc.	3	2020-09-22	36		0	-843,295
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	22	22
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-22
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	134	134
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-134
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	183	183
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-183
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	8	8
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-8
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	186	186
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-186
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	3	3
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-3
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	1	1
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-1
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	16	146861	6	6
Nuvei Corporation	Class B Preferred Shares	Novacap Management Inc.	3	2020-09-22	38	0.01	0	-6
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		949,773	949,773
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		6,259,341	6,259,341
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		7,999,939	7,999,939

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		12,145,164	12,145,164
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		392,349	392,349
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		8,640,741	8,640,741
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		123,744	123,744
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		7,785	7,785
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2020-09-22	36		270,259	270,259
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		1,065,265	1,065,265
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		115,492	-949,773
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-115,492
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		6,975,419	6,975,419
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		716,078	-6,259,341
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-716,078
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		8,972,729	8,972,729
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		972,790	-7,999,939
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-972,790
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		12,145,164	12,145,164
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		0	-12,145,164
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		437,234	437,234
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		44,885	-392,349
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-44,885
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		9,629,255	9,629,255

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		988,514	-8,640,741
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-988,514
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		138,791	138,791
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		15,047	-123,744
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-15,047
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		8,676	8,676
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		891	-7,785
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-891
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		301,177	301,177
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	36		30,918	-270,259
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2020-09-22	15	26	0	-30,918
Nuvei Corporation	Class A Common Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-16	00		34,006,458	
Nuvei Corporation	Class A Common Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-22	36		0	-34,006,458
Nuvei Corporation	Multiple Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-16	00			
Nuvei Corporation	Multiple Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-22	36		12,145,164	12,145,164
Nuvei Corporation	Subordinate Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-22	36		12,145,164	12,145,164
Nuvei Corporation	Subordinate Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2020-09-22	36		0	-12,145,164
Nuvei Corporation	Class B Common Shares	Pyke, Mark	5	2020-09-16	00		729,927	
Nuvei Corporation	Class B Common Shares	Pyke, Mark	5	2020-09-22	36		0	-729,927
Nuvei Corporation	Options	Pyke, Mark	5	2020-09-16	00		3,655,196	
Nuvei Corporation	Options	Pyke, Mark	5	2020-09-22	36		0	-3,655,196
Nuvei Corporation	Options	Pyke, Mark	5	2020-09-16	00			
Nuvei Corporation	Options	Pyke, Mark	5	2020-09-22	36		1,254,011	1,254,011
Nuvei Corporation	Options	Pyke, Mark	5	2020-09-22	36		1,305,427	51,416
Nuvei Corporation	Subordinate Voting Shares	Pyke, Mark	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Pyke, Mark	5	2020-09-22	36		260,688	260,688
Nuvei Corporation	Options	Satov, Amy Joy	5	2020-09-16	00			
Nuvei Corporation	Options	Satov, Amy Joy	5	2020-09-22	50		3,846	3,846
Nuvei Corporation	Subordinate Voting Shares	Satov, Amy Joy	5	2020-09-16	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Nuvei Corporation	Subordinate Voting Shares	Satov, Amy Joy	5	2020-09-22	16	26	960	960
Nuvei Corporation	Class A Common Shares	Schwartz, David	5	2020-09-16	00		13,440	
Nuvei Corporation	Class A Common Shares	Schwartz, David	5	2020-09-22	36		0	-13,440
Nuvei Corporation	Class B Common Shares	Schwartz, David	5	2020-09-16	00		85,158	
Nuvei Corporation	Class B Common Shares	Schwartz, David	5	2020-09-22	36		0	-85,158
Nuvei Corporation	Options	Schwartz, David	5	2020-09-16	00		2,484,786	
Nuvei Corporation	Options	Schwartz, David	5	2020-09-22	36		0	-2,484,786
Nuvei Corporation	Options	Schwartz, David	5	2020-09-16	00			
Nuvei Corporation	Options	Schwartz, David	5	2020-09-22	36		836,007	836,007
Nuvei Corporation	Options	Schwartz, David	5	2020-09-22	36		887,423	51,416
Nuvei Corporation	Subordinate Voting Shares	Schwartz, David	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Schwartz, David	5	2020-09-22	36		35,213	35,213
Nuvei Corporation	Options	Strikberger, Nathan Doru	7	2020-09-16	00		50,000	
Nuvei Corporation	Options	Strikberger, Nathan Doru	7	2020-09-22	36		0	-50,000
Nuvei Corporation	Options	Strikberger, Nathan Doru	7	2020-09-16	00			
Nuvei Corporation	Options	Strikberger, Nathan Doru	7	2020-09-22	36		17,857	17,857
Nuvei Corporation	Options	Strikberger, Nathan Doru	7	2020-09-22	50	26	21,703	3,846
Nuvei Corporation	Rights Deferred Stock Units	Tremblay, Pascal	4, 6	2020-09-16	00			
Nuvei Corporation	Rights Deferred Stock Units	Tremblay, Pascal	4, 6	2020-09-22	56		745	745
Nuvei Corporation	Class A Common Shares	Ziv, Yuval	5	2020-09-16	00		11,741	
Nuvei Corporation	Class A Common Shares	Ziv, Yuval	5	2020-09-22	36		0	-11,741
Nuvei Corporation	Class B Common Shares	Ziv, Yuval	5	2020-09-16	00		74,392	
Nuvei Corporation	Class B Common Shares	Ziv, Yuval	5	2020-09-22	36		0	-74,392
Nuvei Corporation	Options	Ziv, Yuval	5	2020-09-16	00		1,304,136	
Nuvei Corporation	Options	Ziv, Yuval	5	2020-09-22	36		0	-1,304,136
Nuvei Corporation	Options	Ziv, Yuval	5	2020-09-16	00			
Nuvei Corporation	Options	Ziv, Yuval	5	2020-09-22	36		108,620	108,620
Nuvei Corporation	Options	Ziv, Yuval	5	2020-09-22	36		465,763	357,143
Nuvei Corporation	Subordinate Voting Shares	Ziv, Yuval	5	2020-09-16	00			
Nuvei Corporation	Subordinate Voting Shares	Ziv, Yuval	5	2020-09-22	11	26	5,769	5,769
Nuvei Corporation	Subordinate Voting Shares	Ziv, Yuval	5	2020-09-22	36		36,531	30,762
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-09-21	10	2.9	2,383,770	17,100
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-09-22	10	2.947	2,400,720	16,950
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-09-23	10	2.81	2,418,525	17,805
Olympia Financial Group Inc.	Common Shares	Balasubramanian, Antony	4	2019-06-30	00		515	
Olympia Financial Group Inc.	Common Shares	Balasubramanian, Antony	4	2020-09-25	10	38.5	565	50
OneSoft Solutions Inc.	Common Shares	Johnston, Paul Douglas	5	2020-09-17	10	0.68	50,000	-50,000
OneSoft Solutions Inc.	Common Shares	Johnston, Paul Douglas	5	2020-09-18	10	0.7	38,500	-11,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-16	10	0.7	537,257	-12,000
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-17	10	0.67	526,257	-11,000
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-18	10	0.68	511,257	-15,000
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-18	10	0.7	510,757	-500
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-18	10	0.69	507,757	-3,000
OneSoft Solutions Inc.	Common Shares	Tam, David Shong-Tak	5	2020-09-21	10	0.68	498,257	-9,500
Orezone Gold Corporation	Common Shares	Archambeault, Louis	5	2020-09-21	10	0.9	536,000	4,000
Orezone Gold Corporation	Common Shares	Pickering, Vanessa	5	2020-09-17	10		13,632	1,275
Orezone Gold Corporation	Common Shares	Pickering, Vanessa	5	2020-09-21	10		13,909	277
OrganiMax Nutrient Corp.	Common Shares	Rook, Brandon	4	2020-09-25	11	0.06		-800,000
OrganiMax Nutrient Corp.	Common Shares	Rook, Brandon	4	2020-09-25	11	0.06	1,633,333	800,000
OrganiMax Nutrient Corp.	Warrants	Rook, Brandon	4	2020-09-25	11			-800,000
OrganiMax Nutrient Corp.	Warrants	Rook, Brandon	4	2020-09-25	11		1,633,333	800,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2020-09-22	10	0.17	623,750	50,000
Orla Mining Ltd.	Common Shares	Simpson, Jason Douglas	4, 5	2020-09-23	57		1,201,759	500,000
Orla Mining Ltd.	Rights BONUS SHARES ENTITLEMENT	Simpson, Jason Douglas	4, 5	2020-09-23	57		0	-500,000
Oroco Resource Corp.	Options	Dalziel, Craig James	4, 5	2020-07-31	11	0.075		150,000
Oroco Resource Corp.	Options	Dalziel, Craig James	4, 5	2020-07-31	11	0.075	0	-150,000
Oroco Resource Corp.	Options	Friesen, Robert George	4	2020-07-30	11	0.075		450,000
Oroco Resource Corp.	Options	Friesen, Robert George	4	2020-07-30	11	0.075		450,000
Oroco Resource Corp.	Options	Friesen, Robert George	4	2020-07-30	11	0.075	0	-450,000
Oroco Resource Corp.	Common Shares	Vanry, Steven Edward	4, 5	2020-07-17	11	0.7	135,000	-150,000
Oroco Resource Corp.	Common Shares	Vanry, Steven Edward	4, 5	2020-09-21	10	1.06	60,000	-4,500
Osino Resources Corp.	Common Shares	Ratzlaff, Leanne	5	2020-09-22	51	0.3	20,000	20,000
Osino Resources Corp.	Common Shares	Ratzlaff, Leanne	5	2020-09-22	51	0.8	36,666	16,666
Osino Resources Corp.	Options	Ratzlaff, Leanne	5	2020-09-22	51	0.3	60,000	-20,000
Osino Resources Corp.	Options	Ratzlaff, Leanne	5	2020-09-22	51	0.8	43,334	-16,666
Osisko Mining Inc.	Common Shares	Mance, Lili	5	2020-09-24	10	3.477	18,200	10,000
Osisko Mining Inc.	Rights Restricted Share Unit	Savard, Mathieu	5	2020-09-16	56		450,000	100,000
Ovintiv Inc.	Common Shares	Mayson, Howard John	4	2020-09-25	10	8.481	16,121	-8,100
Ovintiv Inc.	Common Shares	Suttles, Douglas James	4, 5	2020-09-23	10	8.5	94,535	1,200
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2019-08-08	00			
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-04-28	37	0.3		78,750
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-04-28	11	0.3	78,750	78,750
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-05-04	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2019-08-08	00			
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2019-08-08	00		4,133,100	
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-04-28	11	0.3	4,266,200	133,100
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Options	Elliott, Patrick	4, 5	2019-08-08	00			
Pac Roots Cannabis Corp.	Options	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Options	Elliott, Patrick	4, 5	2020-06-08	50	0.205	750,000	750,000
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2019-08-08	00			
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2020-04-28	11		78,750	78,750
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2020-05-04	00			
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2020-06-08	50	0.205		750,000
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2019-08-08	00			
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2020-04-28	11		133,100	133,100
Pac Roots Cannabis Corp.	Warrants	Elliott, Patrick	4, 5	2020-05-04	00			
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-23	10	0.27	832,916	11,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-23	10	0.24	835,416	2,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-23	10	0.27	981,800	1,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-25	10	0.26	989,800	8,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-18	10	17.5		1,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-09-18	10	17.5		1,500
Pembina Pipeline Corporation	Common Shares	Charlesworth, Allan	5	2020-09-22	10	29.709	8,555	5,400
Pembina Pipeline Corporation	Common Shares	Charlesworth, Allan	5	2020-09-16	10	31.38	-896	-5,344
Pembina Pipeline Corporation	Common Shares	Charlesworth, Allan	5	2020-09-22	30	34.456	35	931
Pembina Pipeline Corporation	Common Shares	Howe, Maureen	4	2020-09-18	10	30.46	9,688	3,500
Pembina Pipeline Corporation	Common Shares	O'Donoghue, Leslie	4	2020-09-24	10	27.909	17,629	2,800
Pembina Pipeline Corporation	Common Shares	O'Donoghue, Leslie	4	2020-09-24	10	24.263	14,629	-3,000
Perk Labs Inc. (formerly Glance Technologies Inc.)	Common Shares	Hoyles, Jonathan	4, 5	2020-09-18	10	0.045	2,254,986	40,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2020-09-21	10	0.045	10,038,000	38,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2020-09-21	10	0.04	10,050,000	12,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2020-09-23	10	0.045	10,139,000	89,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2020-09-24	11		10,439,000	300,000
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-09-21	10	17	1,134,400	-800
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-09-21	10	0.17	23,190,500	50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pine Cliff Energy Ltd.	Common Shares	Fink, George Frederick	3, 4, 5	2020-09-24	10	0.19	23,337,132	48,000
Pine Cliff Energy Ltd.	Common Shares	Lee, Chris	5	2020-09-23	10	0.17	152,000	26,600
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-09-21	10	1.28	3,055,751	100
Pinnacle Renewable Energy Inc.	Options	Khan, Adnan	5	2020-08-15	56			8,000
Pinnacle Renewable Energy Inc.	RSU	Khan, Adnan	5	2019-08-19	00			
Pinnacle Renewable Energy Inc.	RSU	Khan, Adnan	5	2020-08-15	56		8,000	8,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2014-10-30	00			
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2020-09-17	10	970	2,000	2,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2014-10-30	00			
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2020-09-17	11	970	4,610	4,610
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2014-10-30	00			
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2020-09-17	11	970	4,470	4,470
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2014-10-30	00			
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	GMT Capital Corp	4	2020-09-17	10	970	460	460
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Nieboer, Craig Frederick	5	2020-09-21	10	0.52	261,331	17,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Nieboer, Craig Frederick	5	2020-09-23	10	0.51	284,331	23,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Convertible Preferred Shares	Riverstone Pipestone LP	3	2020-09-17	00		52,690	
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Wanklyn, Robert Paul	4, 5	2020-09-24	10	0.5	254,246	55,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-18	10	0.3024	6,525,862	-31,250
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-18	10	0.3024	6,494,362	-31,500
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-23	10	0.2857	6,485,612	-8,750
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-23	10	0.2857	6,476,862	-8,750
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-24	10	0.2852	6,453,862	-23,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-09-24	10	0.2852	6,430,862	-23,000
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-09-17	11	0.19		133,812
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-09-17	11	0.19		133,812
Platinex Inc.	Common Shares	Treasury Metals Inc.	3	2020-09-11	54	0.05	16,500,000	3,000,000
Platinex Inc.	Warrants 2020C (Common Shares)	Treasury Metals Inc.	3	2020-09-11	54		2,000,000	-3,000,000
Platinex Inc.	Warrants 2020C (Common Shares)	Treasury Metals Inc.	3	2020-09-11	11	0.2	5,000,000	3,000,000
Plurilock Security Inc.	Common Shares	Carlson, Barry	4	2020-09-17	00		440,297	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Plurilock Security Inc.	Common Shares	Hammersla, III, William Edward	4	2020-09-17	00		14,126	
Plurilock Security Inc.	Common Shares	McConnell, Michael Admiral	4	2020-09-17	00		28,251	
Plurilock Security Inc.	Common Shares	Paterson, Ian	4, 5	2020-09-17	00		1,450,480	
Plurilock Security Inc.	Warrants	Paterson, Ian	4, 5	2020-09-17	00		54,721	
Plurilock Security Inc.	Common Shares	Sartorius, Roland Carlos	5	2020-09-17	00		275,783	
Plurilock Security Inc.	Common Shares	Sartorius, Roland Carlos	5	2020-09-17	00		568,839	
Plurilock Security Inc.	Warrants	Sartorius, Roland Carlos	5	2020-09-17	00		44,444	
Plurilock Security Inc.	Common Shares	Tanner, Jord	5	2020-09-17	00		209,012	
Plurilock Security Inc.	Warrants	Tanner, Jord	5	2020-09-17	00		24,445	
Plymouth Rock Technologies Inc.	Common Shares	Katsuris, Vivian Andrea	5	2020-09-18	10	0.28	142,500	-15,000
Plymouth Rock Technologies Inc.	Common Shares	Katsuris, Vivian Andrea	5	2020-09-21	10	0.27	127,500	-15,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-09-23	10	17.9	89,900	700
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Menawat, Dr., Arun	4, 5	2020-09-21	54	14	241,988	7,500
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Warrants	Menawat, Dr., Arun	4, 5	2020-09-21	54	14	7,500	-7,500
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2020-09-22	10	0.5	2,836,027	7,500
ProntoForms Corporation	Common Shares	Chenier, Glenn Michael	5	2020-09-18	51	0.28	100,000	100,000
ProntoForms Corporation	Common Shares	Chenier, Glenn Michael	5	2020-09-18	10	0.8	0	-100,000
ProntoForms Corporation	Options	Chenier, Glenn Michael	5	2020-09-17	50		1,152,500	182,500
ProntoForms Corporation	Options	Chenier, Glenn Michael	5	2020-09-18	51		1,052,500	-100,000
ProntoForms Corporation	Options	Cho, Michael	5	2020-09-17	50		1,025,000	150,000
ProntoForms Corporation	Options	Cristinziano, Michael	4	2020-09-17	50		245,000	30,000
ProntoForms Corporation	Common Shares	Croucher, David	5	2020-09-18	51	0.76		170,000
ProntoForms Corporation	Common Shares	Croucher, David	5	2020-09-18	51	0.28	340,000	170,000
ProntoForms Corporation	Common Shares	Croucher, David	5	2020-09-18	10	0.8	220,000	-120,000
ProntoForms Corporation	Options	Croucher, David	5	2020-09-17	50		1,042,500	182,500
ProntoForms Corporation	Options	Croucher, David	5	2020-09-18	51		872,500	-170,000
ProntoForms Corporation	Common Shares	Davies, James Norman	4	2020-09-18	10	0.8	208,000	-30,000
ProntoForms Corporation	Options	Davies, James Norman	4	2020-09-17	50		225,000	20,000
ProntoForms Corporation	Options	Deck, Philip Charles	4	2020-09-17	50	0.76	225,000	20,000
ProntoForms Corporation	Options	Gowling, Martin Ralph	5	2020-09-17	50		907,500	182,500
ProntoForms Corporation	Options	Joyce, Bruce Allan Russell	4	2020-09-17	50		255,000	30,000
ProntoForms Corporation	Options	Matthews, Terence, Hedley	3, 4	2020-09-17	50		340,000	40,000
ProntoForms Corporation	Options	Mawani, Aly	5	2020-06-01	00		145,000	
ProntoForms Corporation	Options	Mawani, Aly	5	2020-09-17	50		265,000	120,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
ProntoForms Corporation	Options	Nelson, Mansell James	5	2020-09-17	50		1,490,000	150,000
ProntoForms Corporation	Options	Ogonek, Edward Anthony	4	2020-09-17	50		225,000	20,000
ProntoForms Corporation	Common Shares	Pombo, Alvaro	4, 5	2020-09-18	51	0.28	4,634,053	640,000
ProntoForms Corporation	Common Shares	Pombo, Alvaro	4, 5	2020-09-18	10	0.8	4,254,053	-380,000
ProntoForms Corporation	Options	Pombo, Alvaro	4, 5	2020-09-17	50		3,730,000	590,000
ProntoForms Corporation	Options	Pombo, Alvaro	4, 5	2020-09-18	51		3,090,000	-640,000
ProntoForms Corporation	Options	Scian, Lisa Anne	5	2020-09-17	50		602,500	182,500
ProntoForms Corporation	Options	Scott, Mark	5	2020-09-17	50		1,010,000	150,000
ProntoForms Corporation	Options	Shantz, Jonathan	4	2020-09-17	50		185,000	20,000
Prospero Silver Corp.	Common Shares	Oliver, Murray	4	2020-07-07	37		12,700	-114,300
Prospero Silver Corp.	Common Shares	Oliver, Murray	4	2020-09-22	10	0.21	0	-12,700
Prospero Silver Corp.	Common Shares	Oliver, Murray	4	2020-07-07	37		5,000	-45,000
Prospero Silver Corp.	Common Shares	Oliver, Murray	4	2020-09-22	10	0.19	0	-5,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-11	38		68,000	-55,600
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-14	10	1.826	90,500	22,500
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-15	10	1.8422	140,500	50,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-15	10		72,500	-68,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-16	10	1.84	112,000	39,500
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-17	10	1.8385	145,600	33,600
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-18	10	1.8363	195,600	50,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-09-22	38		0	-195,600
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-15	38	0.12	1,317,500	16,000
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-16	38	0.12	1,382,500	65,000
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-17	38	0.12	1,451,000	68,500
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-18	38	0.125	1,609,000	158,000
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-21	38	0.12	1,679,500	70,500
Quinsam Capital Corporation	Common Shares	Quinsam Capital Corporation	1	2020-09-22	38	0.12	1,795,000	115,500
RavenSource Fund (formerly The First Asia Income Fund)	Trust Units	Reid, Scott	3	2020-09-23	10	15	137,787	400
RavenSource Fund (formerly The First Asia Income Fund)	Trust Units	Reid, Scott	3	2020-09-23	10	15.69	116,687	-21,100
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-09-21	10	23.453	3,877,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-09-22	10	23.939	3,874,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-09-23	10	23.614	3,871,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-09-24	10	23.157	3,868,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-09-25	10	23.681	3,865,384	-3,000
Red White & Bloom Brands Inc. (formerly Tidal Royalty Corp.)	Common Shares	Rogers, Bradley	4, 5	2020-09-24	15	0.75	3,266,666	866,666

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Red White & Bloom Brands Inc. (formerly Tidal Royalty Corp.)	Warrants	Rogers, Bradley	4, 5	2020-04-24	00			
Red White & Bloom Brands Inc. (formerly Tidal Royalty Corp.)	Warrants	Rogers, Bradley	4, 5	2020-09-24	15	1	866,666	866,666
Registered Plan Private Investments Inc.	Redeemable Common Shares	Furber, Nicholas John	5	2016-11-01	00			
Registered Plan Private Investments Inc.	Redeemable Common Shares	Furber, Nicholas John	5	2020-09-23	16	0.05	1,657,920	1,657,920
Registered Plan Private Investments Inc.	Warrants Redeemable Commons Share Warrants	Furber, Nicholas John	5	2016-11-01	00			
Registered Plan Private Investments Inc.	Warrants Redeemable Commons Share Warrants	Furber, Nicholas John	5	2020-09-23	53	0.07	1,657,920	1,657,920
Relay Medical Corp. (formerly, ChroMedX Corp).	Common Shares	Minder, Michael	4	2020-09-17	46	0.23	968,210	82,610
Relay Medical Corp. (formerly, ChroMedX Corp).	Common Shares	Tekeste, Medhanie	4	2020-09-17	46	0.23	945,247	43,480
Relay Medical Corp. (formerly, ChroMedX Corp).	Options	Van Staveren, Gregory Joseph	4	2020-08-25	50	0.205	1,450,000	400,000
Reyna Silver Corp. (formerly Century Metals Inc.)	Common Shares	MAG Silver Corp.	3	2020-09-21	10	1.15	14,104,006	-146,100
Reyna Silver Corp. (formerly Century Metals Inc.)	Common Shares	MAG Silver Corp.	3	2020-09-22	10	1.08	13,773,906	-330,100
Reyna Silver Corp. (formerly Century Metals Inc.)	Common Shares	MAG Silver Corp.	3	2020-09-23	10	1	13,606,906	-167,000
Reyna Silver Corp. (formerly Century Metals Inc.)	Common Shares	MAG Silver Corp.	3	2020-09-24	10	1	12,994,381	-612,525
Reyna Silver Corp. (formerly Century Metals Inc.)	Common Shares	MAG Silver Corp.	3	2020-09-25	10	0.98	12,714,481	-279,900
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-09-17	30	35.518	2,718	25
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-09-17	30	35.518	11,289	58
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-09-17	30	35.518	49,528	83
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2020-09-17	30	35.518	4,227,048	54
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-17	10	16.4	10,715,124	338
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-17	10	16.4	10,714,784	-340
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-18	10	16.4	10,719,359	4,575
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-22	10	16.56	10,721,033	1,674
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-22	10	16.56	10,720,550	-483
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-23	10	16.56	10,721,545	995
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-23	10	16.56	10,720,645	-900

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-24	10	16.56	10,724,357	3,712
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-09-24	10	16.56	10,724,325	-32
Rift Valley Resources Corp.	Warrants	Jones, Griffin	4	2018-09-25	11	0.075		533,334
Rift Valley Resources Corp.	Warrants	Jones, Griffin	4	2018-09-25	11	0.075	2,100,001	533,334
Rift Valley Resources Corp.	Common Shares	Martin, Stephen Edward	3	2020-09-25	16	0.05	19,361,674	4,000,000
Rift Valley Resources Corp.	Warrants	Martin, Stephen Edward	3	2018-09-25	16	0.15		666,667
Rift Valley Resources Corp.	Warrants	Martin, Stephen Edward	3	2018-09-25	16	0.15	833,334	666,667
Rift Valley Resources Corp.	Warrants	Martin, Stephen Edward	3	2020-09-25	16	0.15	8,103,334	2,000,000
Rise Gold Corp.	Options	Mossman, Benjamin Wyane	4, 5	2020-09-22	50	0.9	1,338,500	1,338,500
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-09-21	10	3.7	2,226,150	-800
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-09-22	10	3.55	2,221,750	-4,400
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-09-24	10	3.55	2,221,450	-300
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-09-21	10	3.7	2,226,150	-800
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-09-22	10	3.55	2,221,750	-4,400
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-09-24	10	3.55	2,221,450	-300
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-09-21	10	3.7	2,226,150	-800
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-09-22	10	3.55	2,221,750	-4,400
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-09-24	10	3.55	2,221,450	-300
Rockex Mining Corporation	Common Shares	Tondeur, Jonathan	4	2020-09-17	16	0.05	8,729,326	300,000
Rockex Mining Corporation	Warrants	Tondeur, Jonathan	4	2020-09-17	54	0.05	3,950,000	-300,000
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2020-09-22	51	52.595	1,965	692
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2020-09-22	10	94.304	1,273	-692
Royal Bank of Canada	Options	Gottschling, Helena	5	2020-09-22	51	52.595	69,676	-692
Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2020-09-22	51	52.595	13,388	7,515
Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2020-09-22	10	94.253	5,873	-7,515
Royal Bank of Canada	Options	McKay, David Ian	4, 5	2020-09-22	51	52.595	935,442	-7,515
RT Minerals Corp.	Common Shares	CLARK, DONALD M.	3, 4, 5	2020-09-21	10	0.11	4,525,050	13,000
RT Minerals Corp.	Common Shares	Lofthouse, Mark Allen	4	2020-09-23	10	0.11	345,500	35,000
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	2020-09-18	10	3	11,034,465	18,700
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-09-25	10	4	19,791,800	-15,000
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-09-25	10	4.05	19,786,800	-5,000
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-09-25	10	4.1	19,766,800	-20,000
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-18	10	3.47	1,036,500	-5,900
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-18	10	3.47	1,022,400	-14,100
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-18	10	3.47	1,011,300	-11,100
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-18	10	3.5	1,001,300	-10,000
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-21	10	3.41	991,500	-9,800
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-21	10	3.4	976,300	-15,200
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-09-23	10	3.6	951,300	-25,000
Sanatana Resources Inc.	Common Shares	Dutton, Anthony John Guy	4	2020-09-22	00		95,200	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Sanatana Resources Inc.	Common Shares	Dutton, Anthony John Guy	4	2020-09-22	00		119,000	
Sanatana Resources Inc.	Warrants	Dutton, Anthony John Guy	4	2020-09-22	00		42,500	
Satori Resources Inc.	Options	Hanson, Wesley Clay	4	2020-09-23	00		400,000	
Satori Resources Inc.	Common Shares	Kilborn, Jeffrey Keith	4	2020-09-23	00		14,200	
Satori Resources Inc.	Options	Kilborn, Jeffrey Keith	4	2020-09-23	00			
Satori Resources Inc.	Options	Kilborn, Jeffrey Keith	4	2020-09-23	00		100,000	
Savaria Corporation	Common Shares	Reitknecht, Stephen	5	2020-09-21	00			
Savaria Corporation	Options	Reitknecht, Stephen	5	2020-09-21	00			
Savaria Corporation	Options	Reitknecht, Stephen	5	2020-09-21	50	15.35	50,000	50,000
Sernova Corp.	Common Shares	Bacha, Jeffrey	4	2020-09-22	16	0.3	578,314	16,666
Sernova Corp.	Warrants	Bacha, Jeffrey	4	2020-09-22	16		36,666	16,666
Sernova Corp.	Common Shares	Brown, Deborah	4	2019-04-26	00			
Sernova Corp.	Common Shares	Brown, Deborah	4	2020-09-22	16	0.3	100,000	100,000
Sernova Corp.	Warrants	Brown, Deborah	4	2019-04-26	00			
Sernova Corp.	Warrants	Brown, Deborah	4	2020-09-22	16		100,000	100,000
Sernova Corp.	Common Shares	Holler, Frank	4	2020-09-22	16	0.3	333,333	83,333
Sernova Corp.	Warrants	Holler, Frank	4	2020-09-22	16		283,333	83,333
Sernova Corp.	Common Shares	Parsons, James Todd	4	2020-09-22	16	0.3	224,728	10,000
Sernova Corp.	Warrants	Parsons, James Todd	4	2020-09-22	16		60,000	10,000
Sernova Corp.	Common Shares	Toleikis, Philip Michael	4, 5	2020-09-22	16	0.3	4,803,425	45,002
Sernova Corp.	Warrants	Toleikis, Philip Michael	4, 5	2020-09-22	16		45,002	45,002
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Deverell, Paul	5	2020-09-15	00		2,555	
SHAW COMMUNICATIONS INC.	Options	Deverell, Paul	5	2020-09-15	00		70,000	
SHAW COMMUNICATIONS INC.	Restricted Share Units	Deverell, Paul	5	2020-09-15	00		1,621	
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2020-09-24	51	22.44	120,755	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-09-24	51	22.44	907	790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-09-24	30	909.55	117	-790
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2020-09-21	51	5.17	1,000	1,000
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2020-09-21	36		0	-1,000
Shopify Inc.	Options	Lemieux, Jean-Michel	5	2020-09-21	51	5.17	29,574	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-09-21	36		14,398	1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-09-21	30	883.06	13,398	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-09-21	30	906.44	88,000	-2,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2020-09-17	51	137.72	59,967	-656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-09-17	51	137.72	15,768	656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-09-17	30	858.86	15,112	-656
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	McAllister, Michael	5	2020-09-21	10	1.8769	78,895	650
Silver Dollar Resources Inc.	Common Shares	2176423 Ontario Ltd.	3	2020-09-17	16	1.4	5,221,241	4,621,241
Silver Dollar Resources Inc.	Warrants	2176423 Ontario Ltd.	3	2019-03-31	00		300,000	
Silver Dollar Resources Inc.	Warrants	2176423 Ontario Ltd.	3	2019-03-31	00			
Silver Dollar Resources Inc.	Common Shares	Clark, James Garnet (Garry)	4	2020-09-24	10	1.51	480,000	-20,000
Silver Dollar Resources Inc.	Common Shares	First Majestic Silver Corp.	3	2020-09-21	00		5,646,401	
Silver Dollar Resources Inc.	Common Shares	Smulders, Joseph Jerome	5	2020-09-22	10	1.734	455,000	-5,000
Silver Dollar Resources Inc.	Common Shares	Smulders, Joseph Jerome	5	2020-09-22	10	1.75	452,100	-2,900
Silver Dollar Resources Inc.	Common Shares	Smulders, Joseph Jerome	5	2020-09-23	10	1.56	450,000	-2,100
Silver Dollar Resources Inc.	Common Shares	Sprott, Eric S.	3	2019-02-19	00		600,000	
Silver Dollar Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-09-17	16	1.4		4,621,241
Silver Dollar Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-09-17	16	1.4		4,621,241
Silver Dollar Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-09-17	16	1.4	5,221,241	4,621,241
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Anaka, Michael T.	4	2020-09-17	54	0.17	330,500	100,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Warrants	Anaka, Michael T.	4	2020-09-17	54	0.17	0	-100,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Holmes, Glenn	4, 5	2020-09-17	54	0.17	1,831,007	25,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Warrants	Holmes, Glenn	4, 5	2020-09-17	54	0.17	0	-25,000
SilverCrest Metals Inc.	Options	Hassan, Tara	5	2020-09-14	00		100,000	
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2020-09-23	10	0.22	1,741,500	10,000
Slave Lake Zinc Corp.	Options	Braden, Maxwell John	3, 4	2020-09-15	10	0.1	88,000	-212,000
Slave Lake Zinc Corp.	Options	Braden, Maxwell John	3, 4	2020-09-16	10	0.1	60,000	-28,000
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Gobin, Rudy	5	2020-09-25	10	19.8	20,000	10,000
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	10	20.69	2,151,178	20,000
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	11	20.65	2,168,778	17,600

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	10	20.61	2,171,178	2,400
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	10	20.6	2,194,478	23,300
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	10	20.56	2,219,478	25,000
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Trust Units	Goldhar, Mitchell	3	2020-09-22	10	20.52	2,239,478	20,000
SNC-Lavalin Group Inc.	Common Shares	Smati, Zine Edine	4	2020-09-21	10	16.992	4,091	2,941
Société d'exploration minière Vior Inc.	Options	Desaulniers, Eric	4	2020-09-25	50		375,000	75,000
Société d'exploration minière Vior Inc.	Common Shares	Eustache, Laurent	4, 5	2020-09-24	10	0.13	410,000	400,000
Société d'exploration minière Vior Inc.	Common Shares	Eustache, Laurent	4, 5	2020-09-25	10	0.13	460,000	50,000
Société d'exploration minière Vior Inc.	Options	St-Jacques, Claude	4, 5	2020-09-25	50	0.13		175,000
Société d'exploration minière Vior Inc.	Options	St-Jacques, Claude	4, 5	2020-09-25	50	0.13		175,000
Société d'exploration minière Vior Inc.	Options	St-Jacques, Claude	4, 5	2020-09-25	50	0.13		75,000
Société d'exploration minière Vior Inc.	Options	St-Jacques, Claude	4, 5	2020-09-25	50	0.13		75,000
Société d'exploration minière Vior Inc.	Options	St-Jacques, Claude	4, 5	2020-09-25	50	0.13	700,000	75,000
SOL Global Investments Corp. (formerly Scythian Biosciences Corp.)	Common Shares	DeFrancesco, Andrew A.	4	2020-09-22	16	0.74		55,000
SOL Global Investments Corp. (formerly Scythian Biosciences Corp.)	Common Shares	DeFrancesco, Andrew A.	4	2020-09-22	11	0.74	505,000	55,000
Sona Nanotech Inc.	Common Shares	Whittaker, Daniel Davies	4	2020-09-18	10	7.31	354,314	-20,000
Sona Nanotech Inc.	Common Shares	Whittaker, Daniel Davies	4	2020-09-21	10	7.46	1,812,806	-20,000
Sona Nanotech Inc.	Common Shares	Whittaker, Daniel Davies	4	2020-09-22	10	7.02	1,802,806	-10,000
Southern Arc Minerals Inc.	Common Shares	Morris, Klid	4	2020-09-21	51	0.32	576,020	60,000
Southern Arc Minerals Inc.	Common Shares	Morris, Klid	4	2020-09-21	51	40000	616,020	40,000
Southern Arc Minerals Inc.	Options	Morris, Klid	4	2020-09-21	51	0.32	40,000	-60,000
Southern Arc Minerals Inc.	Options	Morris, Klid	4	2020-09-21	51	0.35	0	-40,000
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-09-18	48 - Acquisition by inheritance or disposition by bequest		110,958	-532,198
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2018-01-12	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-09-18	48 - Acquisition by inheritance or disposition by bequest		266,099	266,099
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2018-01-12	00			
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-09-18	48 - Acquisition by inheritance or disposition by bequest		266,099	266,099
Spanish Mountain Gold Ltd.	Common Shares	Beattie, Morris John Vreugde	4	2020-09-22	54	0.05	4,330,979	716,500
Spanish Mountain Gold Ltd.	Common Shares	Beattie, Morris John Vreugde	4	2020-09-22	54	0.05	2,544,281	716,500
Spanish Mountain Gold Ltd.	Warrants	Beattie, Morris John Vreugde	4	2020-09-22	54	0.05	312,500	-716,500
Spanish Mountain Gold Ltd.	Warrants	Beattie, Morris John Vreugde	4	2020-09-22	54	0.05	312,500	-716,500
Spectra7 Microsystems Inc.	Common Shares	Pasek, Ronald James	4	2020-09-25	16	0.025	67,825,541	3,425,240
Spectra7 Microsystems Inc.	Warrants 2020	Pasek, Ronald James	4	2020-09-25	16		4,431,420	1,712,620
Spectral Medical Inc.	Options	Nosenzo, John Ernest	4	2020-08-04	00			
Spectral Medical Inc.	Options	Nosenzo, John Ernest	4	2020-08-04	50	0.51	100,000	100,000
Sprott Inc.	Common Shares	Grosskopf, Peter	4, 6, 7, 5	2020-09-18	10	49.995	246,600	-10,100
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Boggio, Lenard	4	2020-09-18	56	0.3	332,736	248,945
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Dunne, Joan	4	2020-09-18	56	0.3	332,736	248,945
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Lyons, Terrence	4	2020-09-18	56	0.3	332,736	248,945
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Smith, David	4	2018-05-10	00			
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Smith, David	4	2020-09-18	56	0.3	248,945	248,945
SRHI Inc. (formerly Sprott Resource Holdings Inc.)	EPSP Designation	Smith, David	4	2020-09-18	56	0.3	497,890	248,945
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2020-09-18	10	0.08	10,797,641	75,000
Stampede Drilling Inc. (formerly known as MATRIX Energy Technologies Inc.)	Common Shares	Whitmarsh, Lyle Clarence	4, 5	2017-08-15	00			
Stampede Drilling Inc. (formerly known as MATRIX Energy Technologies Inc.)	Common Shares	Whitmarsh, Lyle Clarence	4, 5	2020-09-18	10	0.087	185,000	185,000
Standard Uranium Ltd.	Common Shares	McCallum, Neil	5	2020-05-04	50	0.15		250,000
Standard Uranium Ltd.	Common Shares	McCallum, Neil	5	2020-05-04	50	0.15		250,000
Standard Uranium Ltd.	Options	McCallum, Neil	5	2020-05-04	00		250,000	
Stella-Jones Inc.	Common Shares	Lafamme, Karen	4	2020-09-21	10	44.51	5,000	1,000
Steppe Gold Ltd.	Common Shares	South, Jeremy Thomas	5	2018-05-03	00			
Steppe Gold Ltd.	Common Shares	South, Jeremy Thomas	5	2020-09-21	10	2.65	3,000	3,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Steppe Gold Ltd.	Common Shares	South, Jeremy Thomas	5	2020-09-21	10	2.56	8,000	5,000
Steppe Gold Ltd.	Common Shares	South, Jeremy Thomas	5	2020-09-23	10	2.5	12,000	4,000
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-15	10	2.59	609,690	950
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-23	10	2.44	610,090	400
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-23	10	2.45	611,090	1,000
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-23	10	2.36	611,290	200
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-23	10	2.48	611,340	50
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-23	10	2.47	611,940	600
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-24	10	2.39	612,240	300
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	2020-09-24	10	2.44	613,440	1,200
Stevens Gold Nevada Inc.	Options	Bordian, James	4	2020-02-12	00			
Stevens Gold Nevada Inc.	Options	Bordian, James	4	2020-09-17	50	0.25	500,000	500,000
Stevens Gold Nevada Inc.	Options	Fields, Terry Robert	4	2020-02-12	00			
Stevens Gold Nevada Inc.	Options	Fields, Terry Robert	4	2020-09-17	50	0.25	300,000	300,000
Stevens Gold Nevada Inc.	Options	MaLette, Charles Henry	4	2020-02-12	00			
Stevens Gold Nevada Inc.	Options	MaLette, Charles Henry	4	2020-09-17	51	0.25		500,000
Stevens Gold Nevada Inc.	Options	MaLette, Charles Henry	4	2020-09-17	50	0.25	500,000	500,000
StorageVault Canada Inc.	SWAP Notional Shares	Access Self Storage Inc.	3	2015-04-28	00			
StorageVault Canada Inc.	SWAP Notional Shares	Access Self Storage Inc.	3	2020-09-23	97	3.185	9,500,000	9,500,000
Strata-X Energy Ltd.	Common Shares	Prefontaine, Ronald Francis	4	2020-09-22	10		12,569,283	275,000
Strata-X Energy Ltd.	Common Shares	Prefontaine, Ronald Francis	4	2020-09-23	10		12,719,283	150,000
Stria Lithium Inc.	Options	Dow, Robin	4	2020-01-15	52		0	-100,000
Stria Lithium Inc.	Options	Dow, Robin	4	2020-04-10	50		150,000	150,000
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-18	10	0.7132		-19,000
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-18	10	0.7132	222,166	-19,500
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-22	10	0.7	213,166	-9,000
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-24	10	0.7	210,166	-3,000
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-24	10	0.65	192,166	-18,000
Stroud Resources Ltd.	Common Shares	Jobin-Bevans, Laurence Scott	4, 5	2020-09-25	10	0.67	170,666	-21,500
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Common Shares	Kondrosky, John	5	2020-09-22	10	0.0343	2,100,100	100,000
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Common Shares	Kondrosky, John	5	2020-09-22	10	0.035	2,250,100	150,000
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Common Shares	Kondrosky, John	5	2020-09-23	10	0.0344	2,445,100	195,000
Summit Industrial Income REIT	Trust Units	Morassutti, Lawrence	4	2020-09-15	30	11.52	117,941	458
Supremex Inc.	Common Shares	Kobrynsky, Georges	4	2013-02-21	00			
Supremex Inc.	Common Shares	Kobrynsky, Georges	4	2020-09-23	10	1.27	6,500	6,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217		-1,696
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217		-772
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217	19,557	-10,359
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217		-924
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217	77,067	-12,407
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2019-05-14	00		64,388	
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-09-24	90		141,455	77,067
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-09-24	90		0	-64,388
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-09-24	90		0	-77,067
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-09-21	38	9.868	470,400	3,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-09-22	38	9.902	472,400	2,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-09-23	38	9.8924	474,100	1,700
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-09-24	38	9.9344	475,700	1,600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-09-18	38	9.8537	8,200	6,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-09-21	38	9.6701	16,500	8,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-09-22	38	9.767	18,500	2,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-09-23	38	9.7083	20,300	1,800
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-09-24	38	9.653	23,600	3,300
Sweet Earth Holdings Corporation (formerly, Seaway Energy Services Inc.)	Common Shares	Espig, Peter Edward	4	2020-08-24	11	0.2	1,395,400	175,000
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Veit, Roland	4	2020-09-21	10	2.13	86,300	9,100
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Veit, Roland	4	2020-09-21	10	2.13	86,600	300
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Veit, Roland	4	2020-09-21	10	2.1286	86,900	300
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Veit, Roland	4	2020-09-24	10	2.08	96,900	10,000
TAG Oil Ltd	Options	MacNeil, Barry	5	2020-09-11	50	0.25	325,000	100,000
TAG Oil Ltd	Options	Perone, Giuseppe (Pino)	5	2020-09-11	50	0.25	275,000	75,000
TAG Oil Ltd	Options	Pierce, Toby Robert	4, 5	2020-09-11	50	0.25	650,000	150,000
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-09-16	10	0.7506	3,260,870	-7,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-09-17	10	0.75	3,253,370	-7,500
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-09-18	10	0.722	3,248,366	-5,004
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-09-21	10	0.72	3,238,366	-10,000
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-09-24	10	0.7	3,230,366	-8,000
Target Capital Inc.	Common Shares	Zunich, Theodore Sebastian	4	2020-09-22	10	0.015	164,166	60,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	00		2,753,910	
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.21	13,262,250	9,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.22	13,272,250	10,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.225	13,302,250	30,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.23	13,322,250	20,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.232	13,332,250	10,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.24	13,332,750	500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.242	13,344,750	12,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.245	13,359,750	15,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.25	13,367,750	8,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.255	13,381,750	14,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.257	13,387,750	6,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.26	13,406,750	19,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.265	13,421,750	15,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.27	13,425,750	4,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	10	0.277	13,427,750	2,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-22	10	0.26	13,447,750	20,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-23	10	0.28	13,460,750	13,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-23	10	0.29	13,481,250	20,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-23	10	0.3	13,486,250	5,000
Tartisan Nickel Corp.	Options	Appleby, D. Mark	4, 5	2020-09-21	00			
Tartisan Nickel Corp.	Options	Appleby, D. Mark	4, 5	2020-09-21	00			
Tartisan Nickel Corp.	Options	Appleby, D. Mark	4, 5	2020-09-21	50		700,000	700,000
Tartisan Nickel Corp.	Options	Clement, Yves, Pierre	4	2020-09-21	50	0.35	900,000	400,000
Tartisan Nickel Corp.	Options	Flett, Douglas Melville	4	2020-09-20	50	0.35	900,000	400,000
Tartisan Resources Corp.	Common Shares	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	00		650,000	
Tartisan Resources Corp.	Common Shares	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-09-21	00		100,000	
Tartisan Resources Corp.	Options	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Options	Appleby, D. Mark	4, 5	2020-09-21	00			
Tartisan Resources Corp.	Options Exercisable at \$0.07 for 5 years from June 7, 2016	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Options Exercisable at \$0.07 for 5 years from June 7, 2016	Appleby, D. Mark	4, 5	2020-09-21	00		500,000	
Tartisan Resources Corp.	Warrants	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Warrants	Appleby, D. Mark	4, 5	2020-09-21	00			
Tartisan Resources Corp.	Warrants	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Warrants	Appleby, D. Mark	4, 5	2020-09-21	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tartisan Resources Corp.	Warrants For a full share at \$0.20 expiring Nov 11 2018	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Warrants For a full share at \$0.20 expiring Nov 11 2018	Appleby, D. Mark	4, 5	2020-09-21	00		100,000	
Tartisan Resources Corp.	Warrants Warrant for a full share at \$0.10 expiring February 8, 2019	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Warrants Warrant for a full share at \$0.10 expiring February 8, 2019	Appleby, D. Mark	4, 5	2020-09-21	00		500,000	
Tartisan Resources Corp.	Warrants Warrant for full share at \$0.07 expiring March 5, 2018	Appleby, D. Mark	4, 5	2010-12-21	00			
Tartisan Resources Corp.	Warrants Warrant for full share at \$0.07 expiring March 5, 2018	Appleby, D. Mark	4, 5	2020-09-21	00		148,000	
Taseko Mines Limited	Common Shares	Battison, Brian	5	2020-09-18	10	1.68	299,420	-100,000
Taseko Mines Limited	Common Shares	McDonald, Stuart David	5	2020-09-18	51	0.38	680,000	70,000
Taseko Mines Limited	Common Shares	McDonald, Stuart David	5	2020-09-18	10	1.724	610,000	-70,000
Taseko Mines Limited	Options	McDonald, Stuart David	5	2020-09-18	51	0.38	1,005,250	-70,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-09-18	51	0.69	389,880	50,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-09-18	10	1.716	339,880	-50,000
Taseko Mines Limited	Options	McManus, John	5	2020-09-18	51	0.69	980,550	-50,000
TC Energy Corporation	Common Shares	Grant, Greg	7	2019-10-01	00		93	
Tecsys Inc.	Common Shares	Lobo, Vernon	4	2020-09-22	10	28	49,400	-3,000
TECSYS Inc.	Common Shares	Brereton, Peter	4, 5	2002-05-31	00			
TECSYS Inc.	Common Shares	Brereton, Peter	4, 5	2002-05-31	00		370,671	
TeraGo Inc.	Common Shares	BREKKA, Richard James	3, 4	2020-09-22	46		1,341,439	2,682
TeraGo Inc.	Common Shares	Buckner, Laurel	4	2020-09-22	46		12,346	1,722
TeraGo Inc.	Common Shares	Campbell, Kenneth	4	2020-08-05	00			
TeraGo Inc.	Common Shares	Campbell, Kenneth	4	2020-09-22	46		807	807
TeraGo Inc.	Common Shares	Gerber, Matthew	4	2020-09-22	46		66,818	4,780
TeraGo Inc.	Common Shares	Martin, Michael James	4	2020-09-22	46		19,794	2,716
TeraGo Inc.	Common Shares	Sherlock, Gary Neil	4	2020-09-22	46		36,738	2,173
TerraX Minerals Inc.	Options	Campbell, Joseph William	4, 5	2017-09-08	50			250,000
TerraX Minerals Inc.	Options	Campbell, Joseph William	4, 5	2020-09-08	52		150,000	-250,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-09-18	10	0.68	26,163,208	15,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-09-21	10	0.6	26,188,208	25,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-09-22	10	0.634	26,230,708	42,500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-09-23	10	0.65	26,280,708	50,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-09-24	10	0.65	26,295,708	15,000
The Mosport Park Entertainment Corporation	Common Shares	Bravio Technologies Limited	3	2020-09-22	00			
The Mosport Park Entertainment Corporation	Common Shares	Bravio Technologies Limited	3	2020-09-22	11	0.0202	742,481,810	742,481,810

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-09-24	10	1.65	1,460,887	7,000
Theralase Technologies Inc.	Common Shares	Dumoulin-White, Roger John	3, 4, 5	2020-09-25	10	0.16	7,190,087	33,000
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2020-09-22	57		1,356	1
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2020-09-22	57			4
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2020-09-22	57			4
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2020-09-22	57			4
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2020-09-22	57		1,360	4
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2020-09-22	30	76.51	5,810	3
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2020-09-22	57		5,807	-3
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2020-09-22	30	76.51	5,817	10
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2020-09-22	57		5,807	-10
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2020-09-24	47	103.42	327,614,633	-1,465
Thunderstruck Resources Ltd.	Options	Roulston, Lawrence	4	2020-09-23	50	0.15	800,000	200,000
Tidewater Midstream and Infrastructure Ltd.	Restricted Share Units	Wong-Chor, Trevor	4	2020-09-18	56		150,547	17,500
Titan Mining Corporation	Common Shares	Boggio, Lenard	4	2020-09-22	11	0.5	134,000	100,000
Titan Mining Corporation	Warrants	Boggio, Lenard	4	2017-10-13	00			
Titan Mining Corporation	Warrants	Boggio, Lenard	4	2020-09-22	53	0.75	50,000	50,000
Titan Mining Corporation	Common Shares	Horna, Susy H.	5	2020-09-22	11	0.5	15,500	10,000
Titan Mining Corporation	Warrants	Horna, Susy H.	5	2017-10-06	00			
Titan Mining Corporation	Warrants	Horna, Susy H.	5	2020-09-22	53	0.75	5,000	5,000
Titan Mining Corporation	Common Shares	McClelland, Michael Shawn	5	2020-09-22	11	0.5	25,000	20,000
Titan Mining Corporation	Warrants	McClelland, Michael Shawn	5	2018-03-26	00			
Titan Mining Corporation	Warrants	McClelland, Michael Shawn	5	2020-09-22	53	0.75	10,000	10,000
Titan Mining Corporation	Common Shares	Parikh, Purni	4	2020-09-22	11	0.5	2,318,200	300,000
Titan Mining Corporation	Warrants	Parikh, Purni	4	2017-10-13	00			
Titan Mining Corporation	Warrants	Parikh, Purni	4	2020-09-22	53	0.75	150,000	150,000
Titan Mining Corporation	Common Shares	TAYLOR, DONALD RICHARD	4	2020-09-22	11	0.5	4,778,571	500,000
Titan Mining Corporation	Warrants	TAYLOR, DONALD RICHARD	4	2020-09-22	53	0.75	964,285	250,000
Titan Mining Corporation	Common Shares	Torpy, Kevin Joseph	5	2018-10-08	00			
Titan Mining Corporation	Common Shares	Torpy, Kevin Joseph	5	2020-09-22	11	0.5	40,000	40,000
Titan Mining Corporation	Warrants	Torpy, Kevin Joseph	5	2018-10-08	00			
Titan Mining Corporation	Warrants	Torpy, Kevin Joseph	5	2020-09-22	53	0.75	20,000	20,000
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2020-09-22	11	0.5	26,605,612	7,000,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Titan Mining Corporation	Warrants	Warke, Richard William	4	2020-09-22	53	0.75	12,736,072	3,500,000
Tocvan Ventures Corp.	Options	Ball, Gregory Edward	4, 5	2020-09-21	50	0.4	175,000	50,000
Tocvan Ventures Corp.	Options	Jones, Fred	4	2020-02-18	50	0.2	150,000	150,000
Tocvan Ventures Corp.	Options	Jones, Fred	4	2020-09-21	50	0.4	275,000	50,000
Tocvan Ventures Corp.	Options	Smethurst, Mark Trevelyan	4	2020-09-21	50	0.4	775,000	50,000
Tocvan Ventures Corp.	Options	Sutherland, Brodie Alan	4	2020-09-21	50	0.4	275,000	50,000
Top Strike Resources Corp	Common Shares	Top Strike Resources Corp.	1	2020-04-30	38		0	-3,394,000
TORC Oil & Gas Ltd.	Performance Awards	Brown, Alexander C. (Sandy)	5	2020-09-18	30		329,676	63,731
TORC Oil & Gas Ltd.	Performance Awards	Brown, Alexander C. (Sandy)	5	2020-09-18	30		195,150	-134,526
TORC Oil & Gas Ltd.	Restricted Awards	Brown, Alexander C. (Sandy)	5	2020-09-18	30		68,948	2,463
TORC Oil & Gas Ltd.	Restricted Awards	Brown, Alexander C. (Sandy)	5	2020-09-18	30		48,786	-20,162
TORC Oil & Gas Ltd.	Restricted Awards	Brussa, John Albert	4	2020-09-18	30		101,711	3,725
TORC Oil & Gas Ltd.	Restricted Awards	Brussa, John Albert	4	2020-09-18	30		71,585	-30,126
TORC Oil & Gas Ltd.	Restricted Awards	Canada Pension Plan Investment Board	3	2020-09-18	30		60,173	3,725
TORC Oil & Gas Ltd.	Restricted Awards	Canada Pension Plan Investment Board	3	2020-09-18	57		30,047	-30,126
TORC Oil & Gas Ltd.	Restricted Awards	Case, Mary-Jo	4	2020-09-18	30		92,957	2,291
TORC Oil & Gas Ltd.	Restricted Awards	Case, Mary-Jo	4	2020-09-18	30		71,585	-21,372
TORC Oil & Gas Ltd.	Restricted Awards	Chernoff, M. Bruce	4	2020-09-18	30		101,711	3,725
TORC Oil & Gas Ltd.	Restricted Awards	Chernoff, M. Bruce	4	2020-09-18	30		71,585	-30,126
TORC Oil & Gas Ltd.	Restricted Awards	Gordon, John	4	2020-03-12	56		74,433	41,538
TORC Oil & Gas Ltd.	Restricted Awards	Gordon, John	4	2020-09-18	30		75,511	1,078
TORC Oil & Gas Ltd.	Restricted Awards	Gordon, John	4	2020-09-18	30		63,468	-12,043
TORC Oil & Gas Ltd.	Performance Awards	Herman, Brett	5	2020-09-18	30		1,061,717	202,808
TORC Oil & Gas Ltd.	Performance Awards	Herman, Brett	5	2020-09-18	30		632,979	-428,738
TORC Oil & Gas Ltd.	Restricted Awards	Herman, Brett	5	2020-09-18	30		222,558	7,830
TORC Oil & Gas Ltd.	Restricted Awards	Herman, Brett	5	2020-09-18	30		158,246	-64,312
TORC Oil & Gas Ltd.	Restricted Awards	Johnson, David Daniel	4	2020-09-18	30		101,711	3,725
TORC Oil & Gas Ltd.	Restricted Awards	Johnson, David Daniel	4	2020-09-18	30		71,585	-30,126
TORC Oil & Gas Ltd.	Performance Awards	Manchester, Shane	5	2020-09-18	30		329,676	63,731
TORC Oil & Gas Ltd.	Performance Awards	Manchester, Shane	5	2020-09-18	30		195,150	-134,526
TORC Oil & Gas Ltd.	Restricted Awards	Manchester, Shane	5	2020-09-18	30		68,948	2,463
TORC Oil & Gas Ltd.	Restricted Awards	Manchester, Shane	5	2020-09-18	30		48,786	-20,162
TORC Oil & Gas Ltd.	Restricted Awards	Shwed, Dale Orest	4	2020-09-18	30		101,711	3,725
TORC Oil & Gas Ltd.	Restricted Awards	Shwed, Dale Orest	4	2020-09-18	30		71,585	-30,126
TORC Oil & Gas Ltd.	Performance Awards	Tang, Marvin	5	2020-09-18	30		182,155	32,794
TORC Oil & Gas Ltd.	Performance Awards	Tang, Marvin	5	2020-09-18	30		111,998	-70,157
TORC Oil & Gas Ltd.	Restricted Awards	Tang, Marvin	5	2020-09-18	30		38,609	1,269
TORC Oil & Gas Ltd.	Restricted Awards	Tang, Marvin	5	2020-09-18	30		28,000	-10,609
TORC Oil & Gas Ltd.	Performance Awards	Wallis, Jeremy	5	2020-09-18	30		394,278	76,430
TORC Oil & Gas Ltd.	Performance Awards	Wallis, Jeremy	5	2020-09-18	30		233,116	-161,162
TORC Oil & Gas Ltd.	Restricted Awards	Wallis, Jeremy	5	2020-09-18	30		82,418	2,955
TORC Oil & Gas Ltd.	Restricted Awards	Wallis, Jeremy	5	2020-09-18	30		58,280	-24,138
TORC Oil & Gas Ltd.	Performance Awards	Wihak, Michael	5	2020-09-18	30		394,278	76,430

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TORC Oil & Gas Ltd.	Performance Awards	Wihak, Michael	5	2020-09-18	30		233,116	-161,162
TORC Oil & Gas Ltd.	Restricted Awards	Wihak, Michael	5	2020-09-18	30		82,418	2,955
TORC Oil & Gas Ltd.	Restricted Awards	Wihak, Michael	5	2020-09-18	30		58,280	-24,138
TORC Oil & Gas Ltd.	Performance Awards	Zabinsky, Jason	5	2020-09-18	30		482,711	94,045
TORC Oil & Gas Ltd.	Performance Awards	Zabinsky, Jason	5	2020-09-18	30		284,624	-198,087
TORC Oil & Gas Ltd.	Restricted Awards	Zabinsky, Jason	5	2020-09-18	30		100,805	3,638
TORC Oil & Gas Ltd.	Restricted Awards	Zabinsky, Jason	5	2020-09-18	30		71,156	-29,649
Tornado Global Hydrovacacs Ltd.	Common Shares Class "A" Common Shares	Marshall, Robert Glenn	4	2020-09-09	00		651	
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77.11	7,900	-308
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77.07	7,800	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77.04	7,700	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77.02	7,600	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77.01	7,500	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	77	5,000	-2,500
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.77	4,500	-500
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.76	3,900	-600
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.7	3,700	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.68	3,600	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.67	3,200	-400
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.66	3,100	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.65	3,000	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.64	2,900	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.63	2,800	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.62	2,600	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.61	2,400	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.59	2,200	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.58	2,100	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.57	2,000	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.56	1,800	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.55	1,600	-200
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.54	1,500	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.52	1,400	-100
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.51	100	-1,300
Toromont Industries Ltd.	Common Shares	Jewer, Paul Randolph	5	2020-09-17	10	76.5	0	-100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-09-21	10	2.12	1,624,400	500
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-09-22	10	2.18	1,630,000	5,600
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-09-23	10	2.2	1,650,000	20,000
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-09-24	10	2.15	1,690,000	40,000
Total Energy Services Inc.	Common Shares	Total Energy Services Inc	1	2020-09-25	10	2.18	91,100	21,100
Transcanna Holdings Inc.	Common Shares	Mason, Douglas Lawrence	4	2020-03-18	00			
Transcanna Holdings Inc.	Common Shares	Mason, Douglas Lawrence	4	2020-09-22	11	0.5	200,000	200,000
Transcanna Holdings Inc.	Common Shares	Wesik, Stephanie	4, 5	2020-09-15	10	0.99	281,000	5,000
Treasury Metals Inc.	Common Shares	Ferron, Greg	5	2020-09-16	10	1.49	183,466	-35,000
Treasury Metals Inc.	Common Shares	Ferron, Greg	5	2020-09-18	10	1.45	158,466	-25,000
Treasury Metals Inc.	Common Shares	Ferron, Greg	5	2020-09-18	51	1.2	391,799	233,333
Treasury Metals Inc.	Options	Ferron, Greg	5	2020-09-18	51	1.2	251,667	-233,333
Treasury Metals Inc.	Common Shares	Gibson, Dennis George	5	2020-09-18	51	1.2	186,986	150,000
Treasury Metals Inc.	Common Shares	Gibson, Dennis George	5	2020-09-18	10	1.4153	66,986	-120,000
Treasury Metals Inc.	Options	Gibson, Dennis George	5	2020-09-18	51	1.2	125,000	-150,000
Tree Island Steel Ltd.	Common Shares	Doman, Amar	3, 4	2020-09-18	10	2.18	9,445,350	3,600
Trican Well Service Ltd.	Options Employee Stock Options	Thue, Todd Garth	5	2020-09-14	00			
Trican Well Service Ltd.	Options Employee Stock Options	Thue, Todd Garth	5	2020-09-17	50	1.07	500,000	500,000
Trichome Financial Corp.	Common Shares	Cohen, Daniel Ian	5	2019-10-04	00			
Trichome Financial Corp.	Common Shares	Cohen, Daniel Ian	5	2020-09-02	36		11,618	11,618
Trichome Financial Corp.	Options TJAC stock option	Cohen, Daniel Ian	5	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Cohen, Daniel Ian	5	2020-08-28	50		227,857	227,857
Trichome Financial Corp.	RSU Options	Cohen, Daniel Ian	5	2020-04-09	56		173,000	73,000
Trichome Financial Corp.	RSU Options	Cohen, Daniel Ian	5	2020-09-02	36		161,382	-11,618
Trichome Financial Corp.	Options TJAC stock option	Diamond, Timothy	4	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Diamond, Timothy	4	2020-08-28	50		51,786	51,786
Trichome Financial Corp.	Common Shares	Grywacheski, Karl	5	2020-09-02	36		21,618	11,618
Trichome Financial Corp.	Common Shares	Grywacheski, Karl	5	2020-09-15	10	1.43	21,600	-18
Trichome Financial Corp.	Common Shares	Grywacheski, Karl	5	2020-09-18	10	1.27	10,000	-11,600
Trichome Financial Corp.	Options TJAC stock option	Grywacheski, Karl	5	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Grywacheski, Karl	5	2020-08-28	50		227,857	227,857
Trichome Financial Corp.	RSU Options	Grywacheski, Karl	5	2020-04-09	56		200,000	70,000
Trichome Financial Corp.	RSU Options	Grywacheski, Karl	5	2020-09-02	36		188,382	-11,618
Trichome Financial Corp.	Common Shares	Jarrett, Kevin	5	2020-09-02	36		131,618	11,618
Trichome Financial Corp.	Options TJAC stock option	Jarrett, Kevin	5	2019-10-04	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trichome Financial Corp.	Options TJAC stock option	Jarrett, Kevin	5	2020-08-28	50		227,587	227,587
Trichome Financial Corp.	RSU Options	Jarrett, Kevin	5	2020-04-09	56		355,000	75,000
Trichome Financial Corp.	RSU Options	Jarrett, Kevin	5	2020-09-02	36		343,382	-11,618
Trichome Financial Corp.	Options TJAC stock option	Lauder, Marissa	4	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Lauder, Marissa	4	2020-08-28	50		51,786	51,786
Trichome Financial Corp.	Options TJAC stock option	Lustig, Marc	4	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Lustig, Marc	4	2020-08-28	50		1,035,714	1,035,714
Trichome Financial Corp.	RSU Options	Lustig, Marc	4	2019-10-04	00			
Trichome Financial Corp.	RSU Options	Lustig, Marc	4	2020-04-09	56		300,000	300,000
Trichome Financial Corp.	Options TJAC stock option	Ruscetta, Michael	4, 5	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Ruscetta, Michael	4, 5	2020-08-28	50		1,553,571	1,553,571
Trichome Financial Corp.	RSU Options	Ruscetta, Michael	4, 5	2020-04-09	56		865,000	145,000
Trichome Financial Corp.	Options TJAC stock option	Steinberg, Howard	4	2019-10-04	00			
Trichome Financial Corp.	Options TJAC stock option	Steinberg, Howard	4	2020-08-28	50		1,553,571	1,553,571
Trichome Financial Corp.	RSU Options	Steinberg, Howard	4	2020-04-09	56		220,000	100,000
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	KNOWLTON, JOHN MICHAEL ARTHUR	4	2020-09-18	10	11.25	26,700	9,341
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	17.85	100	100
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	17.9	4,974	4,874
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	17.83	5,000	26
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.01	8,675	3,675
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.008	10,000	1,325
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.05	10,006	6
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.054	10,506	500
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.06	14,800	4,294
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.03	15,000	200
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	O'Donnell, Michael Jay	4	2020-09-23	10	18.01	20,000	5,000
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Options	Powers III, Raymond, Eric	5	2020-09-24	00		73,575	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-06-02	00			
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-09-23	10	17.842	200	200
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-09-23	10	17.856	700	500
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-09-23	10	17.836	2,200	1,500
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-09-23	10	17.86	2,280	80
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-09-23	10	17.856	2,780	500
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Thronson, Susan	4	2020-06-02	00			
Tsodilo Resources Limited	Options	Bruchs, James	4, 5	2020-09-21	50	0.09	2,775,000	150,000
Tsodilo Resources Limited	Options	Bruington, Thomas Seldon	4	2020-09-21	50		450,000	50,000
Tsodilo Resources Limited	Options	Scowcroft, Mark	4	2020-09-21	50	0.09	350,000	50,000
Tudor Gold Corp.	Options	Konkin, Ken	5	2019-01-07	00			
Tudor Gold Corp.	Options	Konkin, Ken	5	2019-03-20	50	0.3	500,000	500,000
Tudor Gold Corp.	Options	Konkin, Ken	5	2019-08-02	50	0.67	1,000,000	500,000
Tudor Gold Corp.	Options	Konkin, Ken	5	2020-01-10	50	0.66	1,800,000	800,000
Tudor Gold Corp.	Options	Konkin, Ken	5	2020-08-21	50	2.82	2,050,000	250,000
Turquoise Hill Resources Ltd.	Common Shares	Saint-Laurent, Maryse C.	4	2020-09-22	10	1.11	30,800	10,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-06-26	10	0.25		10,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-06-26	10	0.25		11,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-06-26	10	0.25	125,423	10,000
UGE International Ltd.	Common Shares	Blum, Stephen	4	2020-09-16	10	0.48	194,923	68,500
UGE International Ltd.	Common Shares	Roszbach, Peter van Egmond	4	2020-09-18	00		446,500	
Velocity Minerals Ltd.	Common Shares	Kopple, Robert Charles	3	2020-09-21	10	0.3647	3,013,072	85,000
Velocity Minerals Ltd.	Common Shares	Kopple, Robert Charles	3	2020-09-25	10	0.3361	3,124,572	111,500
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2019-12-17	00			
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2020-09-25	11	0.075	68,907	68,907
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2019-12-17	00			
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Hodgkinson, Robert	4	2020-09-25	11	0.075	42,859	42,859
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4	2019-04-08	37			-620,571
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4	2019-04-08	37		103,428	-620,572
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4	2019-04-08	37			-2,644,429
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4	2019-04-08	37		440,737	-2,644,430
VOTI Detection Inc. (formerly Steamsand Capital Corp.)	Options	Gimmig, Maxime	5	2020-09-24	00		150,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
VOTI Detection Inc. (formerly Steamsand Capital Corp.)	Restricted Share Units	Gimmig, Maxime	5	2020-09-24	00		30,000	
Walcott Resources Ltd.	Common Shares	Cowin, Michael	4	2020-07-27	11	0.02	650,000	-650,000
Wall Financial Corporation.	Common Shares	BJW Capital Ltd.	3	2020-09-24	10	17	3,687,460	100
Wall Financial Corporation.	Common Shares	BJW Capital Ltd.	3	2020-09-25	10	17.93	3,692,460	5,000
Wallbridge Mining Company Limited	Common Shares	2176423 Ontario Ltd.	3	2020-05-22	22		150,023,018	17,668,955
Wallbridge Mining Company Limited	Warrants	2176423 Ontario Ltd.	3	2020-05-22	22	0.4225	4,588,234	2,088,234
Wallbridge Mining Company Limited	Common Shares	Sprott, Eric S.	3	2020-05-22	22		150,023,018	17,668,955
Wallbridge Mining Company Limited	Warrants	Sprott, Eric S.	3	2020-05-22	22	0.4225	4,588,234	2,088,234
Water Ways Technologies Inc.	Common Shares	Haber, Ohad	3, 4, 5	2020-09-16	10	0.06	57,055,000	-105,000
Water Ways Technologies Inc.	Common Shares	Haber, Ohad	3, 4, 5	2020-09-23	10	0.06	56,954,000	-101,000
WAVERLEY PHARMA INC.	Common Shares	Uddin, Haaris	5	2020-09-21	10	0.155	22,000	12,000
Wescan Goldfields Inc.	Common Shares	MacNeill, Tom	6	2020-09-22	10	0.075	1,246,587	10,000
West High Yield (W.H.Y.) Resources Ltd.	Options	Hirji, Shelina	5	2020-09-04	00			
West High Yield (W.H.Y.) Resources Ltd.	Options	Hirji, Shelina	5	2020-09-04	00			
West High Yield (W.H.Y.) Resources Ltd.	Options	Hirji, Shelina	5	2020-09-04	50		350,000	350,000
Western Copper and Gold Corporation	Common Shares	Spivak, Elena	5	2020-09-21	51	0.9	25,000	25,000
Western Copper and Gold Corporation	Common Shares	Spivak, Elena	5	2020-09-21	10	0.9	0	-25,000
Western Copper and Gold Corporation	Options	Spivak, Elena	5	2020-09-21	51	0.9	150,000	-25,000
White Metal Resources Corp.	Warrants	Strashin, Elliot Phillip	3, 4, 5	2020-09-21	55	0.25	2,200,000	-167,500
Whitecap Resources Inc.	Common Shares	Fagerheim, Grant Bradley	4, 5	2020-09-22	10	2.55	2,308,852	11,000
Wilmington Capital Management Inc.	Common Shares Class A	Killi, Christopher	4, 5	2020-09-22	10	4	148,355	100,700
Wilmington Capital Management Inc.	Common Shares Class B	KILLI, Joseph F.	4, 6	2020-09-22	10	4	460,792	2,700
WSP Global Inc.	Common Shares	Norgaard, Birgit	4	2020-09-24	10	84.45	4,500	500
XORTX Therapeutics Inc. (formerly: APAC Resources Inc.)	Common Shares	Rowlands, William Bruce	4	2020-09-18	10	0.18	834,643	5,000
XORTX Therapeutics Inc. (formerly: APAC Resources Inc.)	Common Shares	Rowlands, William Bruce	4	2020-09-23	10	0.16	839,643	5,000
XORTX Therapeutics Inc. (formerly: APAC Resources Inc.)	Common Shares	Rowlands, William Bruce	4	2020-09-24	10	0.155	840,143	500
Xtra-Gold Resources Corp.	Common Shares	Longshore, James	7	2020-09-18	10	1.1		27,000
Xtra-Gold Resources Corp.	Common Shares	Longshore, James	7	2020-09-18	11	1.1	1,091,500	27,000
Yangaroo Inc.	Common Shares	Boone, Horace Shepard	3, 4	2020-09-15	97	0.105	9,493,000	35,000
Zenabis Global Inc.	Common Shares	Burns, Daniel Allan	4	2020-06-25	15	0.13	1,051,281	384,615
Zenabis Global Inc.	Common Shares	Burns, Daniel Allan	4	2020-09-18	16	0.085	4,660,104	358,823
Zenabis Global Inc.	Warrants	Burns, Daniel Allan	4	2019-01-08	00			
Zenabis Global Inc.	Warrants	Burns, Daniel Allan	4	2020-06-25	15	0.16	384,615	384,615

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Zenabis Global Inc.	Warrants	Burns, Daniel Allan	4	2020-09-18	15	0.1	743,438	358,823
Zenabis Global Inc.	Common Shares	Kiernan, Natascha	4	2020-09-18	36	3E+06	4,415,383	3,200,000
Zenabis Global Inc.	Rights RSU Rights	Kiernan, Natascha	4	2020-09-18	57		1,100,000	-3,200,000
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-09-16	10	0.22	1,233,325	15,000
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-09-16	10	0.215	1,243,325	10,000
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-09-18	10	0.215	1,273,325	30,000
ZTEST Electronics Inc.	Common Shares	Smith, Steve	4, 5	2020-03-27	46	0.15	1,318,000	910,000
ZTEST Electronics Inc.	Common Shares	Smith, Steve	4, 5	2020-09-22	10	0.21	1,325,000	7,000

This page intentionally left blank

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

PIMCO Tactical Income Fund

Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated September 25, 2020

NP 11-202 Receipt dated September 28, 2020

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3106521

Issuer Name:

Probity Mining 2020-II Short Duration Flow-Through

Limited Partnership - British Columbia Class

Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated September 24, 2020

NP 11-202 Receipt dated September 24, 2020

Offering Price and Description:

Maximum Offering: \$40,000,000 comprising
\$20,000,000 for National Class Units - 2,000,000 NC-A
and/or NC-F Units

\$10,000,000 for British Columbia Class Units - 1,000,000
BC-A and/or BC-F Units and

\$10,000,000 for Québec Class Units - 1,000,000 QC-A
and/or QC-F Units

Minimum Offering: \$1,500,000 (150,000 Class A and/or
Class F Units)

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.

Richardson GMO Limited

Canaccord Genuity Corp.

Raymond James

Echelon Wealth Partners Inc.

PI Financial Corp.

Hampton Securities Limited

Sherbrooke Street Capital (SSC) Inc.

Wellington-Altus Private Wealth Inc..

Promoter(s):

Probity Capital Corporation

Project #3110486

Issuer Name:

Probity Mining 2020-II Short Duration Flow-Through

Limited Partnership - National Class

Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated September 24, 2020

NP 11-202 Receipt dated September 24, 2020

Offering Price and Description:

Maximum Offering: \$40,000,000 comprising
\$20,000,000 for National Class Units - 2,000,000 NC-A
and/or NC-F Units

\$10,000,000 for British Columbia Class Units - 1,000,000
BC-A and/or BC-F Units and

\$10,000,000 for Québec Class Units - 1,000,000 QC-A
and/or QC-F Units

Minimum Offering: \$1,500,000 (150,000 Class A and/or
Class F Units)

Price per Unit: \$10.00 per Unit.

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.

Richardson GMO Limited

Canaccord Genuity Corp.

Raymond James

Echelon Wealth Partners Inc.

PI Financial Corp.

Hampton Securities Limited

Sherbrooke Street Capital (SSC) Inc.

Wellington-Altus Private Wealth Inc..

Promoter(s):

Probity Capital Corporation

Project #3110496

Issuer Name:

Probity Mining 2020-II Short Duration Flow-Through
Limited Partnership - Quebec Class
Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated September 24, 2020
NP 11-202 Receipt dated September 24, 2020

Offering Price and Description:

Maximum Offering: \$40,000,000 comprising
\$20,000,000 for National Class Units - 2,000,000 NC-A
and/or NC-F Units
\$10,000,000 for British Columbia Class Units - 1,000,000
BC-A and/or BC-F Units and
\$10,000,000 for Québec Class Units - 1,000,000 QC-A
and/or QC-F Units
Minimum Offering: \$1,500,000 (150,000 Class A and/or
Class F Units)

Price per Unit: \$10.00 per Unit.

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.
Richardson GMO Limited
Canaccord Genuity Corp.
Raymond James
Echelon Wealth Partners Inc.
PI Financial Corp.
Hampton Securities Limited
Sherbrooke Street Capital (SSC) Inc.
Wellington-Altus Private Wealth Inc..

Promoter(s):

Probity Capital Corporation

Project #3110507

Issuer Name:

Chou Asia Fund
Chou Associates Fund
Chou Bond Fund
Chou Europe Fund
Chou RRSP Fund
Principal Regulator – Ontario

Type and Date:

Combined Preliminary and Pro Forma Simplified
Prospectus dated Sep 23, 2020

NP 11-202 Final Receipt dated Sep 25, 2020

Offering Price and Description:

Series F Units, Series D Units and Series A Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3096744

Issuer Name:

Fidelity Long-Term Leaders Currency Neutral Fund
Fidelity Long-Term Leaders Fund
Principal Regulator - Ontario

Type and Date:

Preliminary Simplified Prospectus dated Sep 18, 2020
NP 11-202 Final Receipt dated Sep 22, 2020

Offering Price and Description:

Series F5 units, Series T5 units, Series A units, Series O
units, Series B units, Series S8 units, Series T8 units,
Series F8 units, Series P3 units, Series E3 units, Series P2
units, Series E2 units, Series P1 units, Series E1 units,
Series S5 units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3042487

Issuer Name:

Evolve Gold Miners Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Sep 25, 2020
NP 11-202 Final Receipt dated Sep 25, 2020

Offering Price and Description:

ETF Shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3098175

Issuer Name:

RBC 6-10 Year Laddered Canadian Corporate Bond ETF
RBC Strategic Global Dividend Leaders ETF
RBC Strategic Global Equity Leaders ETF
RBC Quant Global Infrastructure Leaders ETF
RBC Quant Global Real Estate Leaders ETF
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Long Form Prospectus dated
September 22, 2020

NP 11-202 Final Receipt dated Sep 23, 2020

Offering Price and Description:

CAD Units and USD Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3029437

Issuer Name:

Manulife Strategic Balanced Yield Fund
Manulife U.S. Dollar Strategic Balanced Yield Fund
Manulife Value Balanced Class
Manulife Value Balanced Fund
Manulife Strategic Income Fund
Manulife Strategic Investment Grade Global Bond Fund
Manulife U.S. Dollar Strategic Income Fund
Manulife Global Fixed Income Private Trust
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
September 24, 2020
NP 11-202 Final Receipt dated Sep 25, 2020

Offering Price and Description:

Advisor Series securities, Series C securities, Series CT6
securities, Series D securities, Series F securities, Series
FT6 securities, Series T6 securities

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3069734

Issuer Name:

Desjardins Short-Term Income Fund
Desjardins SocieTerra Environmental Bond Fund
Desjardins Global Tactical Bond Fund
Desjardins Canadian Preferred Share Fund
Desjardins Tactical Balanced Fund
Desjardins Canadian Equity Income Fund
Desjardins Canadian Equity Fund
Desjardins Canadian Equity Value Fund
Desjardins SocieTerra Canadian Equity Fund
Desjardins American Equity Value Fund
Desjardins American Equity Growth Fund
Desjardins American Equity Growth Currency Neutral Fund
Desjardins SocieTerra American Equity Fund
Desjardins SocieTerra International Equity Fund
Desjardins Global Equity Fund
Desjardins SocieTerra Positive Change Fund
Desjardins Global Small Cap Equity Fund
Desjardins SocieTerra Cleantech Fund
Desjardins Emerging Markets Opportunities Fund
Desjardins SocieTerra Emerging Markets Equity Fund
Desjardins Global Infrastructure Fund
Melodia Very Conservative Income Portfolio
Melodia Conservative Income Portfolio
Melodia Moderate Income Portfolio
Melodia Diversified Income Portfolio
Melodia Moderate Growth Portfolio
Melodia Diversified Growth Portfolio
Melodia Balanced Growth Portfolio
Melodia Aggressive Growth Portfolio
Melodia Maximum Growth Portfolio
Melodia 100% Equity Growth Portfolio
SocieTerra Conservative Portfolio
SocieTerra Moderate Portfolio
SocieTerra Balanced Portfolio
SocieTerra Growth Portfolio
SocieTerra Maximum Growth Portfolio
SocieTerra 100% Equity Portfolio
Chorus II Aggressive Growth Portfolio
Chorus II Maximum Growth Portfolio
Chorus II 100% Equity Growth Portfolio
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
September 2, 2020
NP 11-202 Final Receipt dated Sep 25, 2020

Offering Price and Description:

A-Class Units, T6-Class Units, T8-Class Units, I-Class
Units, C-Class Units, R-Class Units, R4-Class Units, R6-
Class Units, R8-Class Units, F-Class Units, S-Class Units,
S4-Class Units, S6-Class Units, O-Class Units, P6-Class
Units, P8-Class Units and D-Class Units, N-Class Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3014121

NON-INVESTMENT FUNDS

Issuer Name:

AIM5 Ventures Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary CPC Prospectus dated September 25, 2020
NP 11-202 Preliminary Receipt dated September 25, 2020

Offering Price and Description:

Minimum Offering: \$300,000.00 or 3,000,000 Common Shares
Maximum Offering: \$330,000.00 or 3,300,000 Common Shares

Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.

Promoter(s):

-

Project #3116747

Issuer Name:

Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated September 25, 2020
NP 11-202 Preliminary Receipt dated September 25, 2020

Offering Price and Description:

US\$1,000,000,000.00
Subordinate Voting Shares

Debt Securities

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3116979

Issuer Name:

Else Nutrition Holdings Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated September 21, 2020
NP 11-202 Preliminary Receipt dated September 22, 2020

Offering Price and Description:

\$18,000,000.00

8,000,000 Units

Price: \$2.25 per Unit

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

HAYWOOD SECURITIES INC.

Promoter(s):

-

Project #3115125

Issuer Name:

Enbridge Pipelines Inc.
Principal Regulator - Alberta

Type and Date:

Preliminary Shelf Prospectus dated September 23, 2020
NP 11-202 Preliminary Receipt dated September 23, 2020

Offering Price and Description:

\$2,000,000,000.00
MEDIUM TERM NOTES (UNSECURED)

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3115780

Issuer Name:

Gold Lion Resources Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated September 25, 2020
NP 11-202 Preliminary Receipt dated September 28, 2020

Offering Price and Description:

Minimum Offering: \$3,000,000.00 (6,666,667 Units)
Maximum Offering: \$5,000,000.00 (11,111,111 Units)

Underwriter(s) or Distributor(s):

EIGHT CAPITAL

Promoter(s):

-

Project #3117071

Issuer Name:

Montage Gold Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated September 22, 2020

NP 11-202 Preliminary Receipt dated September 23, 2020

Offering Price and Description:

\$*

* Common Shares

\$* per Common Share

Underwriter(s) or Distributor(s):

RAYMOND JAMES LTD.

STIFEL NICOLAUS CANADA INC.

BMO NESBITT BURNS INC.

CANACCORD GENUITY CORP.

BEACON SECURITIES LIMITED

CORMARK SECURITIES INC.

SPROTT CAPITAL PARTNERS LP

Promoter(s):

-

Project #3115569

Issuer Name:

Nomad Royalty Company Ltd.
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated September 23, 2020
NP 11-202 Preliminary Receipt dated September 23, 2020

Offering Price and Description:

US \$300,000,000.00

Common Shares
Preference Shares
Subscription Receipts
Warrants
Debt Securities
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3115785

Issuer Name:

Pivotree Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated September 25, 2020
NP 11-202 Preliminary Receipt dated September 28, 2020

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
NATIONAL BANK FINANCIAL INC.

Promoter(s):

-

Project #3117064

Issuer Name:

TIMIA Capital Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated September 24, 2020
NP 11-202 Preliminary Receipt dated September 24, 2020

Offering Price and Description:

Minimum \$6,500,000.00 (6,500,000 Non-Cumulative, Preferred Shares, Series A)
and Maximum \$10,000,000.00 (10,000,000 Non-Cumulative, Preferred Shares, Series A)
Price: \$1.00 per Preferred Share to yield 8.00% per annum

Underwriter(s) or Distributor(s):

ECHELON WEALTH PARTNERS INC.
INDUSTRIAL ALLIANCE SECURITIES INC.
PI FINANCIAL CORP.
HAYWOOD SECURITIES INC.
WELLINGTON-ALTUS PRIVATE WEALTH INC.

Promoter(s):

-

Project #3116432

Issuer Name:

Topaz Energy Corp.
Principal Regulator - Alberta

Type and Date:

Preliminary Long Form Prospectus dated September 24, 2020

NP 11-202 Preliminary Receipt dated September 24, 2020

Offering Price and Description:

\$252,500,000.00

* Common Shares

Underwriter(s) or Distributor(s):

Peters & Co. Limited

Promoter(s):

Tourmaline Oil Corp.

Project #3116426

Issuer Name:

Vox Royalty Corp. (formerly AIM3 Ventures Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated September 25, 2020
NP 11-202 Preliminary Receipt dated September 25, 2020

Offering Price and Description:

C\$200,000,000.00

Ordinary Shares
Preferred Shares
Debt Securities
Warrants
Subscription Receipts
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

Kyle Floyd

Project #3116733

Issuer Name:

BRP Inc.
Principal Regulator - Quebec

Type and Date:

Final Shelf Prospectus dated September 24, 2020
NP 11-202 Receipt dated September 25, 2020

Offering Price and Description:

\$2,500,000,000.00

Subordinate Voting Shares
Preferred Shares
Debt Securities
Warrants
Subscription Receipts
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3114330

Issuer Name:

Flagship Communities Real Estate Investment Trust
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated September 28, 2020
NP 11-202 Receipt dated September 28, 2020

Offering Price and Description:

\$93,750,000.00
6,250,000 Units
Price: \$15.00 per Unit

Underwriter(s) or Distributor(s):

MHC MANAGEMENT, LLC, D/B/A SSK COMMUNITIES
CANACCORD GENUITY CORP.
BMO NESBITT BURNS INC.
TD SECURITIES INC.
ECHELON WEALTH PARTNERS INC.
INDUSTRIAL ALLIANCE SECURITIES INC.
CIBC WOLD MARKETS INC.
NATIONAL BANK FINANCIAL INC.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.
TD SECURITIES INC.

Promoter(s):

MHC MANAGEMENT, LLC, D/B/A SSK COMMUNITIES
Project #3110653

Issuer Name:

IBI Group Inc.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated September 28, 2020
NP 11-202 Receipt dated September 28, 2020

Offering Price and Description:

\$23,175,000.00
6.50% Listed Senior Unsecured Debentures due December
31, 2025
Price: \$1,000.00 per Debenture

Underwriter(s) or Distributor(s):

CIBC WORLD MARKETS INC.
NATIONAL BANK FINANCIAL INC.
TD SECURITIES INC.
DESJARDINS SECURITIES INC.
RAYMOND JAMES LTD.
SCOTIA CAPITAL INC.
LAURENTIAN BANK SECURITIES INC.
ACUMEN CAPITAL FINANCE PARTNERS LIMITED
INDUSTRIAL ALLIANCE SECURITIES INC.

Promoter(s):

-

Project #3113230

Issuer Name:

Victoria Gold Corp.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated September 25, 2020
NP 11-202 Receipt dated September 25, 2020

Offering Price and Description:

\$50,014,000.00
2,942,000 Common Shares
\$17.00 per Common Share

Underwriter(s) or Distributor(s):

BMO NESBITT BURNS INC.
CIBC WORLD MARKETS INC.
PI FINANCIAL CORP.

Promoter(s):

-

Project #3113483

Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
New Registration	Brintab Corp.	Portfolio Manager	September 23, 2020
New Registration	Price Street, Inc.	Portfolio Manager and Exempt Market Dealer	September 22, 2020
Voluntary Surrender	PanVest Capital Corporation	Exempt Market Dealer	September 3, 2020
Change in Registration Category	Bolton Capital Canada Inc.	From: Investment Fund Manager, Portfolio Manager and Exempt Market Dealer To: Commodity Trading Manager, Investment Fund Manager, Portfolio Manager and Exempt Market Dealer	September 24, 2020
Consent to Suspension (Pending Surrender)	Gemini Asset Management Inc.	Portfolio Manager	September 25, 2020

This page intentionally left blank

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.2 Marketplaces

13.2.1 Nasdaq CXC Limited – Notice of Proposed Changes and Request for Comment

NASDAQ CXC LIMITED

NOTICE OF PROPOSED CHANGES AND REQUEST FOR COMMENT

Nasdaq CXC Limited (Nasdaq Canada) has announced plans to implement the changes described below in Q4, 2020 subject to regulatory approval. Nasdaq Canada is publishing this Notice of Proposed Changes in accordance with the requirements set out in the Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto (Exchange Protocol). Pursuant to the Exchange Protocol, market participants are invited to provide the Commission with comment on the proposed changes.

Comment on the proposed changes should be in writing and submitted by November 2, 2020 to:

Market Regulation Branch
Ontario Securities Commission
20 Queen Street West, 22nd Floor
Toronto, ON M5H 3S8
Fax 416 595 8940
Email: marketregulation@osc.gov.on.ca

And to:

Matt Thompson
Chief Compliance Officer
Nasdaq CXC Limited
25 York St., Suite 900
Toronto, ON M5J 2V5
Email: matthew.thompson@nasdaq.com

Comments received will be made public on the OSC website. Upon completion of the review by OSC staff, and in the absence of any regulatory concerns, notice will be published to confirm the completion of Commission staff's review and to outline the intended implementation date of the changes.

NASDAQ CXC LIMITED

NOTICE OF PROPOSED CHANGES

Nasdaq Canada has announced plans to introduce the following change in Q4, 2020 subject to regulatory approval. Nasdaq Canada is publishing this Notice of Proposed Changes in accordance with the requirements set out in the Exchange Protocol.

Summary of Proposed Changes

Nasdaq Canada currently supports odd lot trading on each of its Trading Books where Odd Lot Members guarantee auto-execution fills at the Protected National Best Bid and Offer (PNBBO) for odd lot orders that are both marketable and marked Immediate-or-Cancel. We are proposing to change the reference price for auto-execution fills for odd lot trading from the PNBBO to the Consolidated National Best Bid and Offer (CNBBO) which includes the best bid and best offer of at least one board lot displayed across all marketplaces (protected and unprotected). Where the CNBBO for a security is in a locked or crossed an odd lot order will be executed at the PNBBO. (Proposed Change)

Rationale for the Proposal

The Canadian equity market is comprised of a combination of marketplaces that are protected for the purposes of the Order Protection Rule (OPR) and marketplaces that are not protected for OPR purposes. Under OPR the obligation to not trade through protects against orders trading through protected quotes only; orders are permitted to trade-through quotes on unprotected marketplaces that may have a better price. The Proposed Change is being made to provide odd lot orders with the best available price based on the best quote across all lit marketplaces. Because it is common for retail investors to use odd lot orders, the Proposed Change will result at times in these investors receiving a better execution price.

Expected Date of Implementation

Subject to regulatory approval, we are expecting to introduce the new options in Q4, 2020.

Expected Impact on Market Structure

Members that enter odd lot orders may receive a superior price than what would otherwise be available today.

Expected Impact on the Exchange's Compliance with Ontario Securities Law

There is no impact to Nasdaq Canada's compliance with Ontario Securities Law. All participants are able to enter odd lot orders and potentially benefit from the Proposed Change.

Consultation and Review

This Proposed Changes are being made in response to participant feedback.

Estimated Time Required by Subscribers and Vendors (or why a reasonable estimate is not provided)

There are no changes required by members or vendors to make to their Systems in response of the Proposed Change.

Will Proposed Fee Change or Significant Change introduce a Fee Model or Feature that Currently Exists in other Markets or Jurisdictions

Yes. Auto execution facilities for odd lot orders are currently supported by Nasdaq Canada, the CSE and Neo Exchange.

Any questions regarding these changes should be addressed to Matt Thompson, Nasdaq CXC Limited: matthew.thompson@nasdaq.com, T: 647-243-6242.

Appendix A

Text of the Public Interest Rule Change to Nasdaq Canada Trading Rules and Policies

1.1 Definitions and Interpretation

<u>Consolidated National Best Bid and Offer or "CNBBO"</u>	<u>The best bid and best offer of at least one Board lot displayed on all marketplaces.</u>
<u>Consolidated National Best Bid or "CNBB"</u>	<u>The best bid of at least one Board Lot displayed on all marketplaces.</u>
<u>Consolidated National Best Offer or "CNBO"</u>	<u>The best offer of at least one Board Lot displayed on all marketplaces.</u>

5.11 Odd Lot Trading

Each Nasdaq Canada Trading Book provides Members with guaranteed fills at the CNBBO for Odd Lot IOC marketable orders. Odd Lot trading has the following features:

1. Odd Lot orders that are not IOC or immediately marketable are canceled back.
2. Odd Lot execution is available between 9:30 am and 4:00 pm ET or as otherwise determined by the Exchange.
3. The Exchange System will accept either Mixed Lots or Odd Lots that are marked IOC.
4. Odd Lot executions will be filled at the NBBO if the CNBBO for a security is in a locked or crossed condition.
5. Odd Lot execution is not allowed when the NBBO for a security is in a locked or crossed market condition.
6. Members are not permitted to send two or more orders that would trigger auto-execution by Odd Lot Members as this would violate the just and equitable principles imposed by UMIR Policy 2.1. This would include, for example, shredding a Board Lot order.
7. Members may not enter the Odd Lot portion of a Mixed Lot order immediately prior to entering the Board Lot portion.
8. Odd Lot trading is subject to the policies imposed by UMIR prohibiting unfair trading practices, including but not limited to the following activities:
 - a. Effecting pre-arranged wash sales in Odd Lots, which are trades in which an offer to buy is coupled with an offer to sell back at the same or advanced price (or vice versa).
 - b. Entering orders for the purpose of affecting the execution price of the Odd Lot trades.
9. If a Member is engaged in Odd Lot trading activity that is unfair, the Exchange may restrict the Member or suspend the Approved Trader from Odd Lot Activity or take other action that is appropriate under the circumstances.

This page intentionally left blank

Index

Aberdeen International Inc.		Itwaru, Andre	
Notice from the Office of the Secretary	7710	Notice from the Office of the Secretary	7711
Order.....	7721	Order – s. 152	7727
Agrios Global Holdings Ltd.		Kyle Krajewski	
Cease Trading Order	7741	Director's Decision (Opportunity to be Heard) –	
Alli, Nayeem		s. 31	7737
Notice from the Office of the Secretary	7711	Mazza, Pasqualino (Patrick) Michael	
Order – s. 152	7727	Notice from the Office of the Secretary	7711
Angus Mining Inc.		Order – ss. 127(8), 127(1).....	7727
Order – s. 144	7721	Mountain Valley MD Holdings Inc.	
Aziz, Maurice		Cease Trading Order.....	7741
Notice from the Office of the Secretary	7711	Nasdaq CXC Limited	
Order – s. 152	7727	Marketplaces – Notice of Proposed Changes and	
Bajaj, Harish		Request for Comment	7825
Notice from the Office of the Secretary	7711	National Bank Investment Inc.	
Order – s. 152	7727	Decision.....	7717
Bolton Capital Canada Inc.		NBI Active Canadian Preferred Shares ETF	
Change in Registration Category	7823	Decision.....	7717
Brintab Corp.		NBI Canadian Family ETF	
New Registration.....	7823	Decision.....	7717
Debus, Joseph		NBI Global Private Equity ETF	
Notice from the Office of the Secretary	7710	Decision.....	7717
Elliott, Derek F.C.		NBI Global Real Assets Income ETF	
Notice from the Office of the Secretary	7709	Decision.....	7717
Epix Resource Finance Corporation		NBI High Yield Bond ETF	
Notice from the Office of the Secretary	7710	Decision.....	7717
Order.....	7721	NBI Liquid Alternatives ETF	
Evolution Mentor Capital Inc.		Decision.....	7717
Notice from the Office of the Secretary	7711	NBI Sustainable Canadian Bond ETF	
Order – ss. 127(8), 127(1).....	7727	Decision.....	7717
First Global Data Ltd.		NBI Sustainable Canadian Equity ETF	
Notice from the Office of the Secretary	7711	Decision.....	7717
Order – s. 152	7727	NBI Sustainable Global Equity ETF	
Frankly Inc.		Decision.....	7717
Order.....	7724	NBI Unconstrained Fixed Income ETF	
Gemini Asset Management Inc.		Decision.....	7717
Consent to Suspension (Pending Surrender).....	7823	PanVest Capital Corporation	
Global Bioenergy Resources Inc.		Voluntary Surrender	7823
Notice from the Office of the Secretary	7711	Pembroke Concentrated Fund	
Order – s. 152	7727	Decision.....	7713
Green 2 Blue Energy Corp.		Pembroke Private Wealth Management Ltd.	
Cease Trading Order	7741	Decision.....	7713

Performance Sports Group Ltd.

Cease Trading Order 7741

Price Street, Inc.

New Registration 7823

Prinster, Patrick K.

Notice from the Office of the Secretary 7709

Order – ss. 127(1), 127(10)..... 7720

Reasons and Decision – ss. 127(1), 127(10)..... 7729

Sproutly Canada, Inc.

Cease Trading Order 7741

Tree of Knowledge International Corp.

Cease Trading Order 7741

Wilson, Donald Bruce

Notice from the Office of the Secretary 7709

Order – ss. 127(1), 127(10)..... 7720

Reasons and Decision – ss. 127(1), 127(10)..... 7729

Wright, David Scott

Notice from the Office of the Secretary 7709

Order – ss. 127(1), 127(10)..... 7720

Reasons and Decision – ss. 127(1), 127(10)..... 7729