

**The Ontario Securities Commission**

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# Table of Contents

<b>Chapter 1 Notices</b> .....	<b>8347</b>	<b>Chapter 12 Registrations</b> .....	<b>8465</b>
<b>1.1 Notices</b> .....	<b>8347</b>	12.1.1 Registrants.....	8465
1.1.1 CSA Multilateral Staff Notice 51-361 Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2020 and March 31, 2019.....	8347	<b>Chapter 13 SROs, Marketplaces, Clearing Agencies and Trade Repositories</b> .....	<b>8467</b>
<b>1.2 Notices of Hearing</b> .....	<b>(nil)</b>	<b>13.1 SROs</b> .....	<b>(nil)</b>
<b>1.3 Notices of Hearing with Related Statements of Allegations</b> .....	<b>(nil)</b>	<b>13.2 Marketplaces</b> .....	<b>8467</b>
<b>1.4 Notices from the Office of the Secretary</b> .....	<b>8365</b>	13.2.1 Liquidnet Canada Inc. – Proposed Changes to Broker Blocks Functionality – Notice of Withdrawal .....	8467
1.4.1 Majd Kitmitto et al. ....	8365	<b>13.3 Clearing Agencies</b> .....	<b>(nil)</b>
1.4.2 First Global Data Ltd.et al. ....	8365	<b>13.4 Trade Repositories</b> .....	<b>(nil)</b>
1.4.3 Derek F.C. Elliott .....	8366	<b>Chapter 25 Other Information</b> .....	<b>(nil)</b>
<b>1.5 Notices from the Office of the Secretary with Related Statements of Allegations</b> .....	<b>(nil)</b>	<b>Index</b> .....	<b>8469</b>
<b>Chapter 2 Decisions, Orders and Rulings</b> .....	<b>8367</b>		
<b>2.1 Decisions</b> .....	<b>8367</b>		
2.1.1 Baillie Gifford International LLC and Baillie Gifford Overseas Limited.....	8367		
2.1.2 Next Edge Capital Corp. and Next Edge Bio-Tech Plus Fund .....	8370		
2.1.3 Value Partners Investments Inc. and VPI Global Equity Pool.....	8372		
<b>2.2 Orders</b> .....	<b>8375</b>		
2.2.1 Derek F.C. Elliott – 127(1), 127(10).....	8375		
<b>2.3 Orders with Related Settlement Agreements</b> .....	<b>(nil)</b>		
<b>2.4 Rulings</b> .....	<b>(nil)</b>		
<b>Chapter 3 Reasons: Decisions, Orders and Rulings</b> .....	<b>8377</b>		
<b>3.1 OSC Decisions</b> .....	<b>8377</b>		
3.1.1 Derek F.C. Elliott – 127(1), 127(10).....	8377		
<b>3.2 Director’s Decisions</b> .....	<b>(nil)</b>		
<b>Chapter 4 Cease Trading Orders</b> .....	<b>8381</b>		
4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders .....	8381		
4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders .....	8381		
4.2.2 Outstanding Management & Insider Cease Trading Orders .....	8381		
<b>Chapter 5 Rules and Policies</b> .....	<b>(nil)</b>		
<b>Chapter 6 Request for Comments</b> .....	<b>(nil)</b>		
<b>Chapter 7 Insider Reporting</b> .....	<b>8383</b>		
<b>Chapter 9 Legislation</b> .....	<b>(nil)</b>		
<b>Chapter 11 IPOs, New Issues and Secondary Financings</b> .....	<b>8459</b>		



# Chapter 1

## Notices

### 1.1. Notices

#### 1.1.1 CSA Multilateral Staff Notice 51-361 Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2020 and March 31, 2019



### CSA Multilateral Staff Notice 51-361 *Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2020 and March 31, 2019*

October 29, 2020

#### Introduction

The Canadian Securities Administrators<sup>1</sup> (CSA) have prepared this Staff Notice (Notice) to report on the results of the reviews conducted by the CSA within the scope of its Continuous Disclosure Review Program (CD Review Program). The goal of the program is to improve the completeness, quality and timeliness of continuous disclosure (CD) provided by reporting issuers<sup>2</sup> (issuers) in Canada. This program was established to assess the compliance of CD documents with securities laws, including CD rules, and to help issuers understand and comply with their obligations under the CD rules so that investors receive high quality disclosure to assist them in making informed investment decisions.

In this Notice, we summarize the key findings and outcomes of the CD Review Program for the fiscal year ended March 31, 2020 (fiscal 2020) and the fiscal year ended March 31, 2019 (fiscal 2019). Appendix A - *Financial Statement, MD&A and Other Regulatory Deficiencies (Appendix A)* describes common deficiencies and includes some disclosure examples to help issuers address these deficiencies and to illustrate our expectations.

Given the impact of the COVID-19 pandemic (COVID-19) on the Canadian and global economy and potential impact on issuers' operating performance, financial position, liquidity and future prospects, Appendix A includes guidance on reporting the impact of COVID-19.

For further details on the CD Review Program, see CSA Staff Notice 51-312 (revised) *Harmonized Continuous Disclosure Review Program*.

#### Results for Fiscal 2020 and Fiscal 2019

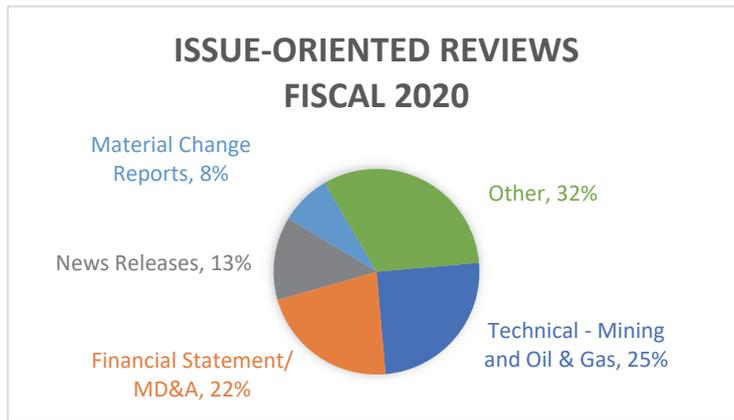
Issuers selected for a CD review (full or issue-oriented review (IOR)) are identified using a risk-based and outcomes-focused approach using both qualitative and quantitative criteria. IORs are focused on a specific accounting, legal or regulatory issue, an emerging issue or industry, implementation of recent rules or areas where we believe there may be a heightened risk of potential investor harm. A review may also stem from general monitoring of our issuers through news releases, media articles, complaints and other sources.

During fiscal 2020, a total of 583 CD reviews (fiscal 2019 – 514 CD reviews) were conducted with IORs consisting of 73% of the total (fiscal 2019 - 70%). The nature of an IOR will impact the time spent and outcome obtained from the review. The following charts outline the focus areas of the IORs conducted:

<sup>1</sup> This Notice is being published in all jurisdictions except British Columbia. It includes the results of the reviews conducted by the British Columbia Securities Commission (BCSC) as a result of its participation in the CD Review Program. The BCSC will advise of their approach after the final provincial interregnum period is over in mid-November.

<sup>2</sup> In this Notice "issuers" means those reporting issuers contemplated in National Instrument 51-102 *Continuous Disclosure Obligations (NI 51-102)*.

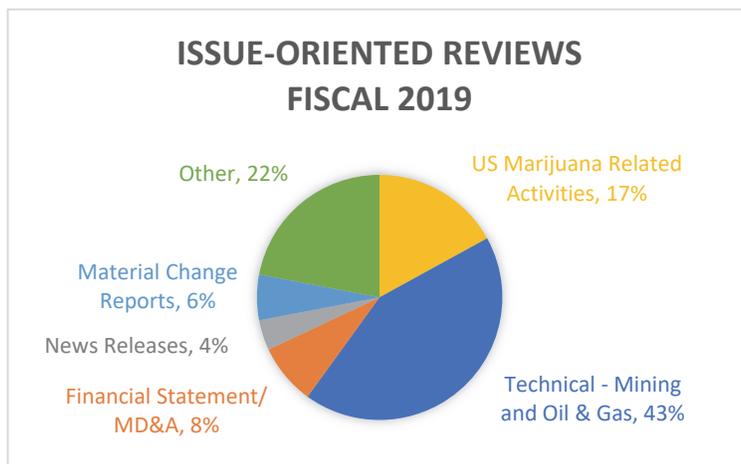
**Figure #1**



The “Other” category includes, but is not limited to, reviews of:

- Emerging industries (including cryptocurrencies and cannabis)
- Change of auditor notice

**Figure #2**



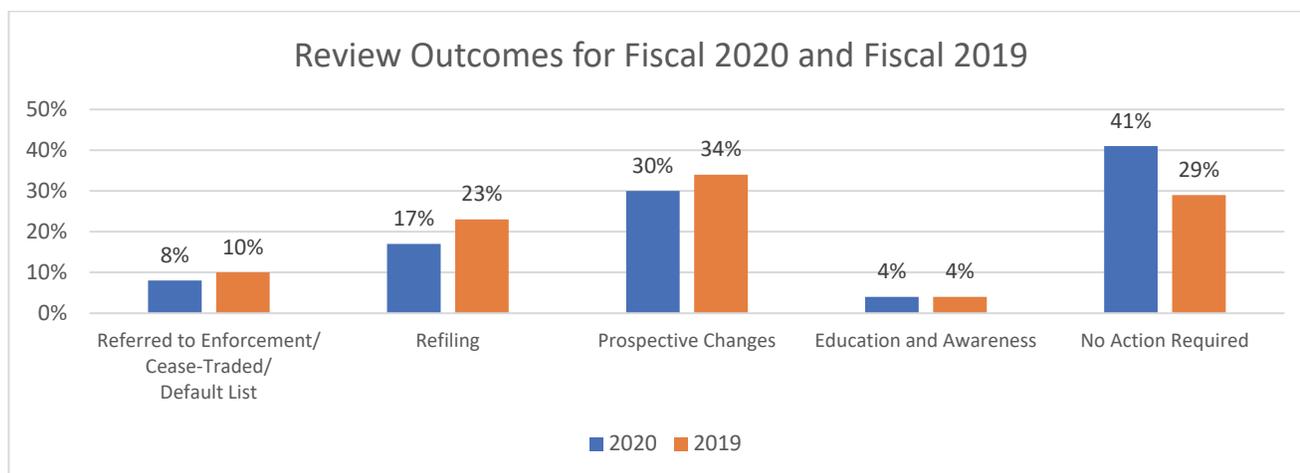
The “Other” category includes, but is not limited to, reviews of:

- Corporate governance
- Review of quarterly highlights
- Change of auditor notice

**CD Outcomes for Fiscal 2020 and Fiscal 2019**

In fiscal 2020, 55% (fiscal 2019 – 67%) of our review outcomes required issuers to improve and/or amend their disclosure, refile certain documents, or to file unfiled documents. Some of our reviews resulted in the issuer being referred to enforcement, cease-traded or placed on the default list. The chart below summarizes the key outcomes.

Figure #3



We classify the outcomes of the full reviews and IORs into five categories as described in Appendix B - *Categories of Outcomes*. Some CD reviews may generate more than one category of outcome. For example, an issuer may have been required to refile certain documents and also make certain changes on a prospective basis.

Given our risk-based approach noted above, the outcomes on a year to year basis may vary and cannot be interpreted as an emerging trend as the issues as well as the issuers reviewed each year are different. In fiscal 2020 and fiscal 2019, we continued to see substantive outcomes being obtained as a result of our reviews.

### Common Deficiencies

We have highlighted below some of the deficiencies that were encountered during our CD reviews in fiscal 2020 and fiscal 2019. We have discussed these deficiencies in further detail in Appendix A to this Notice.

- **Financial Statements:** compliance with recognition, measurement and disclosure requirements in International Financial Reporting Standards (**IFRS**) including impairment of non-financial assets, recognition and measurement of intangible assets, and disclosure of operating segments.
- **Management's Discussion and Analysis (MD&A):** compliance with Form 51-102F1 including forward-looking information, liquidity and capital resources, transactions between related parties, discussion of operations, and non-GAAP financial measures.
- **Other Regulatory Requirements:** compliance with other regulatory matters including overly promotional disclosure, insider reporting, early warning reporting, material change reporting, and mineral project disclosure.

In addition, Appendix A discusses disclosure considerations flowing from the impact of COVID-19.

### Results by Jurisdiction

All CSA jurisdictions participate in the CD review program and some local jurisdictions may publish staff notices and reports communicating results and findings of the CD reviews conducted in their jurisdictions. Refer to the individual regulator's website for copies of these notices and reports.

**APPENDIX A - FINANCIAL STATEMENT, MD&A AND OTHER REGULATORY DEFICIENCIES**

Our CD reviews identified a number of financial statement, MD&A and other regulatory disclosure deficiencies that resulted in issuers enhancing their disclosure and/or refiling their CD documents. To help issuers better understand and comply with their CD obligations, we present the key observations from our reviews. The Hot Buttons sections below include observations along with considerations for issuers including the relevant authoritative guidance. We have also included some examples of deficient disclosure contrasted against improved examples of entity-specific disclosure or a more in-depth explanation of the matters we observed.

Issuers must ensure that their CD record complies with all relevant securities laws. The quantity of disclosure filed does not necessarily equate to quality or level of compliance.

The following observations are provided for illustrative purposes only. This is not an exhaustive list and does not represent all the requirements that could apply to a particular issuer’s situation.

**Impact of COVID-19**

COVID-19 is impacting the economy and posing business challenges for some issuers, including reporting on and disclosing the effects of COVID-19. To support investors in making informed investment decisions, issuers should provide transparent and entity-specific disclosures, including information about the impact of COVID-19 on their operating performance, financial position, liquidity, and future prospects. Relevant regulatory guidance can be accessed at the CSA COVID-19 Information Hub at <https://www.securities-administrators.ca/aboutcsa.aspx?id=1885>.

The Hot Buttons and examples of deficient disclosure describe additional potential disclosure considerations in the context of the current environment; however, the observations below do not represent an exhaustive list. Issuers should consider their business and operations to provide clear and transparent disclosure of the impact of COVID-19.

**1. FINANCIAL STATEMENT DEFICIENCIES**

**HOT BUTTONS**

	OBSERVATIONS	CONSIDERATIONS
<b>FINANCIAL STATEMENTS</b>		
<b>Intangible Assets: Recognition and Measurement</b>	<ul style="list-style-type: none"> <li>❖ For issuers who acquire intangible assets as part of a business combination, the cost of that intangible asset is its fair value at the acquisition date. Some issuers do not measure the fair value in accordance with IFRS 13 <i>Fair Value Measurement</i>. This deficiency is often observed when the purchase price of a business or specific intangible asset is based on a fixed number of shares, and there is a significant fluctuation in the share price between the agreement date and the date the transaction closes. In this scenario, we observed issuers that inappropriately assigned the increase in the value of the shares to the acquired intangible assets, without using valuation techniques that were appropriate in the circumstances and for which sufficient data was available to measure fair value.</li> </ul>	<ul style="list-style-type: none"> <li>❖ An intangible asset shall be recognized if, and only if: it is probable that the expected future economic benefits that are attributable to the asset will flow to the entity; and the cost of the asset can be measured reliably.</li> <li>❖ Examples of future economic benefits from an intangible asset may include: revenue from the sale of products or services, cost savings, or other benefits resulting from the use of the asset by the issuer.</li> <li>❖ IFRS specifically prohibits issuers from recognizing intangible assets for most costs incurred on self-developed assets including brands, mastheads, publishing titles, customer lists and items similar in substance, as they cannot be distinguished from the cost of developing the business as a whole.</li> <li>❖ Measurement of intangible assets acquired as part of a business combination should be based on the fair value of the asset on the acquisition date. Fluctuations in the purchase price as a result of variations in the acquiror’s stock price should not influence the valuation of the acquired intangible assets.</li> <li>❖ Issuers should consult with their advisors regarding the recognition and measurement of intangible assets through both asset and business acquisitions.</li> </ul> <p><b>References: IAS 38 Intangible Assets, paragraphs 21, 33-37 and 63; IFRS 3 Business Combinations; IFRS 13 Fair Value Measurement.</b></p>
<b>Impairment</b>	<ul style="list-style-type: none"> <li>❖ Some issuers only test for impairment of</li> </ul>	<ul style="list-style-type: none"> <li>❖ Issuers should consider whether any triggers for</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
<p><b>of Non-Financial Assets</b></p>	<p>non-financial assets on an annual basis and do not consider possible indicators of impairment at the end of each interim period.</p>	<p>impairment are present for non-financial assets at the end of each reporting period. Examples of impairment indicators include: market value declines, volatile markets with negative trends, poor economic conditions, adverse changes to laws, net assets of the company higher than market capitalization, assets becoming idle, or poorer than expected performance.</p> <ul style="list-style-type: none"> <li>❖ Issuers are reminded that impairment tests for goodwill and intangible assets with an indefinite useful life are required to be done annually and whenever there is an indicator of impairment. Other non-financial assets (e.g., property, plant and equipment, non-indefinite life intangible assets) are required to be tested whenever there is an indicator of impairment.</li> </ul> <p><b>References: IAS 36 Impairment of Assets, paragraphs 9-14; IFRIC 10 Interim Financial Reporting and Impairment.</b></p>
<p><b>Operating Segments: Disclosure</b></p>	<ul style="list-style-type: none"> <li>❖ Some issuers do not provide required entity-wide disclosures related to products and services, geography, and major customers.</li> </ul>	<ul style="list-style-type: none"> <li>❖ In addition to providing guidance on operating and reportable segments, and determining such segments within an entity, certain entity-wide disclosures are also required for all issuers. Generally, these include disclosure of: <ul style="list-style-type: none"> <li>○ revenue derived from external customers for each individual type of product and service or each group of similar products and services;</li> <li>○ revenues from external customers and certain non-current assets on a country by country basis, if material; and</li> <li>○ the extent of reliance on major customers, including amongst other things, the amount of revenue attributed to each major customer that contributes to 10% or more of an entity's revenues.</li> </ul> </li> </ul> <p><b>References: IFRS 8 Operating Segments, paragraphs 31-34.</b></p>
<p><b>Significant judgements and estimation uncertainties in the context of COVID-19</b></p>	<ul style="list-style-type: none"> <li>❖ In light of the COVID-19 pandemic, issuers are preparing financial statements in an evolving and uncertain environment, with potentially imperfect information that could change after certain CD filings are made publicly available. COVID-19 impacts issuers in different ways and, as a result, new judgements or estimates may be needed in several areas including: <ul style="list-style-type: none"> <li>○ Going concern assessment;</li> <li>○ Impairment assessments;</li> <li>○ Fair value calculations;</li> <li>○ Government assistance;</li> <li>○ Revenue recognition; and</li> <li>○ Deferred tax recoverability.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>❖ Issuers' management need to use the best available information in making well-reasoned judgements and estimates and provide the required disclosure of significant judgements and estimation uncertainties required by IAS 1, <i>Presentation of Financial Statements</i>.</li> <li>❖ Detailed entity specific disclosure in an issuer's annual or interim financial statements is important because issuers with similar circumstances may have different judgements and estimates based on the information available. IAS 34 <i>Interim Financial Reporting</i> requires entities to include in their interim financial report an explanation of events and transactions that are significant to an understanding of the changes in financial position and performance of the entity since the end of the last annual reporting period. Given the rapidly changing environment, condensing or omitting certain disclosures in interim financial reports may no longer be appropriate because the information disclosed in the latest annual financial statements may be less relevant. Therefore, we remind issuers that they must consider, as new information becomes</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
		<p>available, whether their judgements and estimates need to be updated and prospectively reflected in their interim financial reports.</p> <ul style="list-style-type: none"> <li>❖ Issuers are also reminded to consider events and information up to the date of authorisation of the financial statements in performing the going concern assessment.</li> </ul> <p><b>References: IAS 1 Presentation of Financial Statements; IAS 12 Income Taxes; IAS 20 Accounting for Government Grants and Disclosure of Government Assistance; IAS 36 Impairment of Assets; IFRS 13 Fair Value Measurement; IFRS 15 Revenue from Contracts with Customers.</b></p>

2. MD&A DEFICIENCIES

HOT BUTTONS

	OBSERVATIONS	CONSIDERATIONS
<b>MD&amp;A</b>		
<p><b>Forward-Looking Information (FLI)</b></p>	<ul style="list-style-type: none"> <li>❖ We continue to see issuers provide boilerplate disclosure of FLI, or disclosure that does not identify the FLI, the material risk factors that could cause actual results to differ materially from the FLI, or the material factors or assumptions used to develop the FLI.</li> <li>❖ Some issuers do not disclose their policies for updating FLI, or state that they undertake no obligation to publicly release the results of any revisions to FLI.</li> <li>❖ Some issuers do not present FLI in a manner that allows an investor to readily identify it. In various instances, issuers</li> </ul>	<ul style="list-style-type: none"> <li>❖ An issuer must include specified disclosure when disclosing material FLI. Management should exercise judgement when determining whether information is material; however, we generally consider future-oriented financial information (FOFI) and financial outlooks to be material.</li> <li>❖ An issuer must specifically identify the FLI and avoid boilerplate disclosure. Also, an issuer must identify the material factors or assumptions and the material risk factors that are relevant to the FLI. For example, projections of revenue growth may be reasonable if based on new store openings or increased capacity. Specific disclosure with respect to these assumptions will enable investors to understand the FLI and to follow the progress in subsequent reporting periods.</li> <li>❖ Issuers must generally update previously disclosed material FLI in their MD&amp;A by including a discussion of: <ul style="list-style-type: none"> <li>○ the events and circumstances that occurred during the period that are reasonably likely to cause actual results to differ materially from those previously disclosed to the public and what the expected differences are.</li> <li>○ the material differences between the previously disclosed FLI and the actual outcome.</li> </ul> </li> <li>❖ Issuers must describe their policy for updating FLI if it includes any procedures in addition to updates in the MD&amp;A.</li> <li>❖ An issuer should present the FLI and the required accompanying disclosures in an easy to read manner, for example, by</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
	<p>referred readers to a separate section of the disclosure document, such as the “Risk Factors” section, for a discussion of the material risk factors related to the FLI.</p>	<p>providing the required FLI disclosure in close proximity to the FLI statement. Also, an issuer may consider using tables and other methods of presentation that clearly link specific material risk factors and material factors and assumptions to the particular FLI.</p> <p><b>Additional considerations in light of COVID-19</b></p> <ul style="list-style-type: none"> <li>❖ During the uncertainty of COVID-19, issuers should consider whether there remains a reasonable basis for previously announced FLI or FLI to be disclosed in prospective CD filings. In addition to updating previously disclosed FLI (as discussed above), issuers may have to consider withdrawing previously published guidance and financial outlooks in the event that these outlooks can no longer be supported by reasonable assumptions and there is no longer a reasonable basis for the achievement, or accurate updating, of conclusions, forecasts or projections in the FLI.</li> </ul> <p><b>References: Part 4A, 4B and section 5.8 of NI 51-102; and Part 4A of Companion Policy 51-102CP; CSA Staff Notice 51-330 Guidance Regarding the Application of Forward-looking Information Requirements under National Instrument 51-102 Continuous Disclosure Obligations.</b></p>
<p><b>Liquidity and Capital Resources</b></p>	<ul style="list-style-type: none"> <li>❖ We continue to see issuers that provide an incomplete, boilerplate discussion of their liquidity and capital resources or simply reproduce numbers from their financial statements without providing helpful contextual information.</li> </ul>	<ul style="list-style-type: none"> <li>❖ This section of the MD&amp;A provides critical information on what an issuer’s cash requirements are, how they intend to fund them and any associated trends, fluctuations and risks.</li> <li>❖ Cash requirements: Issuers are required to present an analysis of their cash requirements, in both the short and long term. This should include an analysis of their commitments, capital expenditures and working capital requirements. We remind issuers that their capital requirements should consider both growth and sustaining capital, those expenditures that are committed, and those that are uncommitted but planned.</li> <li>❖ Funding: Issuers are required to discuss how they intend to fund their identified cash requirements. This includes disclosure of funding that the issuer has currently arranged but not yet used as well as other sources of funding available to the issuer such as private or public debt, equity, and/or cash from operations. We remind issuers that they must have a reasonable basis to assume the sources of funding are available to them and they must clearly disclose if the financing is not yet finalized (e.g. letter of intent) or has conditions attached to it.</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
	<ul style="list-style-type: none"> <li>❖ We observed a number of issuers that had negative cash flow from operations or a material risk related to their ability to continue as a going concern, but did not provide a sufficient analysis on what the impact of this was on their operations and how they intended to manage this risk.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Trends, fluctuations and risks: Issuers are required to discuss any trends, fluctuations and risks associated with their cash requirements and funding and their plans to manage these. Examples of items requiring disclosure might include counterparty risk associated with working capital amounts, credit facilities being renewed on different terms (e.g. interest rate changes, principal reductions), default on credit facilities, the impact of acquisitions and dispositions on cash flows, etc.</li> <li>❖ Issuers that have negative cash flow from operations or a material risk related to their ability to continue as a going concern might consider disclosing:               <ul style="list-style-type: none"> <li>○ Their most current working capital amount;</li> <li>○ Significant obligations that are maturing in the short term;</li> <li>○ Their cash burn rate on a monthly or quarterly basis;</li> <li>○ The period of time that they expect to be able to fund operations;</li> <li>○ How they intend to prioritize expenditures in the short term;</li> <li>○ Their ability to meet their asset retirement obligations, etc.</li> </ul> </li> </ul> <p><b>Additional considerations in light of COVID-19</b></p> <ul style="list-style-type: none"> <li>❖ COVID-19 will have a significant impact on certain issuers' liquidity and capital resources. It will be particularly important for those issuers to provide a comprehensive discussion on both the current and expected effects of the pandemic, including quantifying the impact where possible. Examples of items requiring disclosure might include: any subsidies and/or funding received from government programs, increased counterparty risk (A/R collection), reduced cash flow from operations as a result of decreased demand, delays in capital project plans, impact of any cost cutting initiatives (employee layoffs, reduced hours), changes in the issuer's dividend policy, etc.</li> </ul> <p><b>References: Items 1.6 and 1.7 of Form 51-102F1.</b></p>
<p><b>Transactions between Related Parties</b></p>	<ul style="list-style-type: none"> <li>❖ We continue to see issuers that do not provide sufficient quantitative and qualitative information necessary for investors to understand the business purpose and economic substance of transactions between related parties.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Identifying transactions between related parties provides useful information to investors as it draws attention to the possibility that the transaction amount or terms may have been affected by the existence of related parties. IFRS requires disclosure of both the nature of the related party relationship as well as information about the transactions and outstanding</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
	<ul style="list-style-type: none"> <li>❖ Some issuers that enter into non-cash transactions between related parties do not provide sufficient and transaction-specific disclosure about the measurement basis used to determine the amount of the transaction.</li> </ul>	<p>balances, including commitments, necessary for users to understand the potential effect of the relationship on the financial statements.</p> <ul style="list-style-type: none"> <li>❖ For non-cash transactions, where issuers determine the transaction price by measuring the consideration received at fair value, required disclosure about the measurement basis includes the valuation technique management used to determine the fair value, as well as the assumptions and judgements management made to determine the exchange amount.</li> <li>❖ In explaining the measurement basis of a non-cash related party transaction in the MD&amp;A, management should ensure it has evidence to support that the transaction was entered into at market terms, if disclosing this.</li> </ul> <p><b>References: Item 1.9 of Form 51-102F1; IAS 24 Related Party Disclosures; IFRS 13 Fair Value Measurement.</b></p>

**MD&A DISCLOSURE EXAMPLES**

**a. DISCUSSION OF OPERATIONS AND THE IMPACT OF COVID-19**

The MD&A is a narrative explanation, through the eyes of management, of how an issuer performed during the period covered by the financial statements, and of an issuer’s financial condition and future prospects. In discussing an issuer’s operations for the reporting period, an issuer should avoid boilerplate disclosure, such as simply repeating information that is readily available in the financial statements. COVID-19 is likely to have had a significant impact on an issuer’s operations and financial position. Disclosure of such should not only be entity-specific and transparent, providing a detailed explanation and breakdown of the impact of COVID-19, but also of any other factors contributing to period over period variances. For example, an issuer should not incorrectly attribute or generally list COVID-19 as the sole reason for any period over period variances or other negative news.

The impact of COVID-19 may vary significantly from industry to industry or issuer to issuer; therefore, an issuer should discuss the specific impact on their operations that COVID-19 has had, as well as provide detailed disclosures regarding the methodology used to determine the impact. For example, retailers that have been forced to shut their doors during emergency orders will have decreased sales from their brick and mortar locations, whereas a manufacturer may be impacted by issues in the supply chain or operating with reduced staffing in order to practice safe social distancing. Providing entity-specific disclosure will help investors understand the effect COVID-19 has had on operations and the mitigation measures that have been put in place.

**Example of Deficient Disclosure – Information on Impact of COVID-19 on Financial Performance**

- Results from the last quarter were impacted by COVID-19.
- Revenues of \$4.8 million, down by 20% and up by 5% when excluding the impact of COVID-19 pandemic.
- Net earnings of \$1.2 million, down by 25%.
- Impact of COVID-19 represents a decrease in net earnings per share of approximately \$0.05.

In the above example, the issuer discloses precise quantitative information on the impact of COVID-19 on its financial performance. However, the MD&A does not provide disclosure on the methodology used by the issuer to determine the impact of COVID-19 on revenues, net earnings and earnings per share. Further, the issuer has not described the other factors that have contributed to the period over period variances.

It may be difficult for an issuer to determine with accuracy the quantitative impact of COVID-19 on its financial performance. Therefore, in order to avoid misleading investors, the issuer should explain the methodology used in its calculation and should provide information about the judgements and estimations made by management in determining those impacts.

**Example of Improved Disclosure – Information on Impact of COVID-19 on Financial Performance**

As described above, we shut down 25 locations country-wide in mid-March, and these locations remain closed as at the date of this MD&A. 14 locations remained open for take-out only. In order to mitigate the impacts of store closures and reduced revenues, we have temporarily laid off certain staff. Our mitigating efforts are described in further detail in the Recent Developments section.

- Results from the last quarter were impacted by COVID-19, specifically, as mentioned above, with the closure of 25 locations country-wide and 14 locations operating with limited capacity as take-out only.
- Revenue decreased by \$1.2 million, or 20% from the same period in the prior year. The closures noted above were in effect for 2 weeks during the reporting period. Based on our forecasts for each location, we estimate that the loss in revenues due to store closures was approximately \$1 million for the period ended March 31, 2020 (based on a 2-week average sales at those stores in prior periods). A further reduction of revenue of \$200 thousand is estimated from locations that remained open as take-out only due to a reduction in revenue/hour from the loss of customers dining in and shorter operating times.
- Cost of goods sold decreased by \$800 thousand, or 15% from the same period in the prior year. The decrease in cost of goods sold did not track the decrease in revenue exactly due to retaining staff members in open locations with reduced traffic due to operating as take-out only.
- Net earnings decreased by \$400 thousand, or 25% from the same period in the prior year. The decrease in net earnings is a result of the above decreases in revenue and cost of goods sold as certain fixed costs, such as leases, head office salaries and depreciation remained consistent from the prior period despite large decreases in revenue.

The above example provides a clear and detailed analysis of the impact of COVID-19, by providing entity-specific disclosure while also discussing other factors that may have contributed to period over period variances.

In uncertain times, clear and transparent disclosure is essential for investors to fully understand the impact of macro-economic factors, and also to ascertain information about the issuer’s future prospects.

**b. NON-GAAP FINANCIAL MEASURES (NGMs) – PROMINENCE AND LABELLING (including appropriate use of adjustments as a result of COVID-19)**

For a number of years, we have noted the proliferation of NGMs. Many of these measures are derived from profit or loss determined under an issuer’s GAAP and, by omission or inclusion of selected items, generally present a more positive picture of financial performance. While NGMs can supplement and explain financial performance, cash flows or financial conditions, we remind issuers to accompany them with appropriate explanatory disclosures, as contemplated in *CSA Staff Notice 52-306 (Revised) Non-GAAP Financial Measures (CSA SN 52-306)*.

We continue to see NGMs presented with greater prominence than the most directly comparable measure presented in an issuer’s financial statements, or NGMs not properly labeled. Consistent with CSA SN 52-306, in order to ensure that an NGM does not mislead investors, an issuer should present, with equal or greater prominence to that of the NGM, the most directly comparable measure specified, defined or determined under the issuer’s GAAP.

In addition, issuers are cautioned about adjustments or alternative profit measures defined as COVID-19 related. Not all COVID-19 effects are non-recurring and there may be a limited basis for management to conclude that a loss or expense is non-recurring, infrequent or unusual. This includes where the impact of COVID-19 crosses over multiple reporting periods. It could be misleading to describe an adjustment as COVID-19 related if management does not explain how the adjusted amount was specifically associated with COVID-19.

**Example of Deficient Disclosure – NGMs in a News Release**

**COMPANY ABC REPORTS FINANCIAL RESULTS FOR Q2 2020 OF \$10 MILLION**

**Highlights**

- Revenue decreased 2% from the same period in the prior year to \$52 million.
- Adjusted EBITDA\* increased by 1% from the same period in the prior year to \$10 million.
- Net Earnings decreased 25% from the same period in the prior year to \$4 million.

\*Adjusted EBITDA is adjusted earnings before interest, taxes, depreciation, amortization and COVID-19 effects, as reflected below:

Net earnings	\$4 million
Interest	\$1 million
Depreciation	<u>\$2 million</u>
EBITDA	\$7 million
Increased costs due to COVID-19 <sup>1</sup>	<u>\$3 million</u>
Adjusted EBITDA	\$10 million

1. The increased costs are non-recurring and are due to the COVID-19 pandemic.

In the above example, the issuer presented in the news release title “Financial Results of \$10 million”. In this title, Financial Results are neither identified as being Adjusted EBITDA, an NGM, nor accompanied by Net Earnings determined under the issuer’s GAAP. Investors may be confused and misinterpret the “Financial Results” as being a GAAP measure.

When presenting an NGM it may be misleading to present it without labeling the NGM properly and without identifying it as being an NGM. In this example, it is misleading to not present Net Earnings calculated in accordance with the issuer’s GAAP with equal or greater prominence than the NGM.

In addition, the NGM, Adjusted EBITDA, includes an adjustment which is described as being non-recurring as a result of COVID-19. However, the disclosure does not explain how management determined the increased costs are related to COVID-19, the nature of the increased costs, why the measure provides useful information for investors and the additional purposes, if any, for which management uses the NGM. Further, describing the adjustment as ‘non-recurring’ may be misleading if there is little basis for management to conclude that similar costs are unreasonably likely to occur within the next two years.

**Example of Improved Disclosure – NGMs in a News Release**

**COMPANY ABC REPORTS NET EARNINGS OF \$4 MILLION AND ADJUSTED EBITDA OF \$10 MILLION**

**Highlights**

- Revenue decreased 2% from the same period in the prior year to \$52 million.
- Net Earnings decreased 25% from the same period in the prior year to \$4 million.
- Adjusted EBITDA\* increased by 1% from the same period in the prior year to \$10 million.

\*Adjusted EBITDA is a Non-GAAP Financial Measure. For more information, refer to the section on Non-GAAP Financial Measures at the end of this news release, and below for a full reconciliation of adjusted EBITDA to the most comparable GAAP measure.

Net earnings	\$4 million
Interest	\$1 million
Depreciation	<u>\$2 million</u>
<b>EBITDA</b>	<b>\$7 million</b>
Restructuring costs <sup>1</sup>	\$2.5 million
Safety measures implemented at plant A <sup>2</sup>	<u>\$0.5 million</u>
<b>Adjusted EBITDA</b>	<b>\$10 million</b>

1. As a result of the COVID-19 pandemic, management expects decreased demand for our products for the remainder of 2020 and 2021. As a result, management has reorganized its operations to streamline production and reduce head office staff. These restructuring costs include the cost of laying off 10 employees and the cost of shifting the majority of the production to manufacturing plant A. Additional restructuring costs are expected in the subsequent interim period, although the majority of the restructuring costs have already been incurred. Please refer to the *COVID-19 impact* section of the company’s MD&A and the restructuring costs note in the financial statements, filed concurrently with this news release, for additional details on the impact of COVID-19 on the company’s operations.

2. As a result of public health directives, the company implemented safety measures at manufacturing plant A to ensure the safety of our employees. These costs include the cost of reconfiguring certain equipment to ensure physical distancing guidelines could be observed, the installation of physical barriers to production areas where safe physical distancing cannot be observed, and increased overhead costs of running three production shifts (previously two) to reduce the number of workers per shift. The costs relating to plant reconfiguration and installation of barriers are one-time costs, but the increased overhead costs (\$0.1M) are expected to recur until physical distancing measures are no longer recommended.

These two adjustments to EBITDA provide useful information to investors as the resulting “Adjusted EBITDA” measure is comparable to the prior year measure and provides investors with management’s calculation of earnings resulting from the company’s ongoing business operations.

The above discussion focused on a few aspects of NGMs’ disclosure expectations. Issuers should ensure that they refer to all of the guidance set forth in CSA SN 52-306 in preparing disclosure documents.

**3. OTHER REGULATORY DISCLOSURE DEFICIENCIES**

**HOT BUTTONS**

	OBSERVATIONS	CONSIDERATIONS
<b>OTHER REGULATORY</b>		
<b>Overly Promotional Disclosure</b>	<ul style="list-style-type: none"> <li>❖ We noted disclosure by some issuers that is overly promotional and in certain circumstances, either untrue or unbalanced to such an extent that it may mislead investors.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Issuers are prohibited from making false or misleading statements or omitting facts from a statement necessary to make that statement true or not misleading.</li> <li>❖ Disclosure by issuers should be balanced, for example, by providing the risks and contingencies associated with positive news or events, in order to avoid being misleading.</li> <li>❖ Disclosure of early-stage plans of a new business, objective, or strategy, or material claims about an issuer’s business and the corresponding opportunity should be substantiated or balanced with a discussion of the issuer’s business plans, milestones and expected timing of such, capital requirements, and associated risks.</li> <li>❖ Issuers announcing pending favourable transactions should disclose material conditions necessary to complete the transaction, file the related material contracts (if required by section 12.2 of NI 51-102), and update the market promptly if the conditions are not expected to be met or the transaction is not completed.</li> <li>❖ Issuers should refrain from publishing numerous news releases that disclose no new material facts.</li> </ul> <p><b>References: National Policy 51-201 Disclosure Standards; CSA Staff Notice 51-348 Staff’s Review of Social Media Used by Reporting Issuers; CSA Staff Notice 51-356 Problematic Promotional Activities by Issuers.</b></p>
<b>Insider Reporting</b>	<ul style="list-style-type: none"> <li>❖ Reporting insiders: We continue to observe instances where insider reports are not being filed or not filed on a timely basis on the System for Electronic Disclosure by Insiders (SEDI). In particular, we frequently observe that SEDI reports related to securities issued under compensation arrangements</li> </ul>	<ul style="list-style-type: none"> <li>❖ Initial report: Reporting insiders are required to file an initial insider report within 10 days of becoming a reporting insider if they own or control, directly or indirectly, securities or related financial instruments involving a security of the issuer.</li> <li>❖ Subsequent reports: Reporting insiders are required to file a report within five days after</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
	<p>established by issuers are filed late, incorrectly or not filed at all.</p> <ul style="list-style-type: none"> <li>❖ Reporting insiders: We have also observed a number of insider reports being filed with inaccurate information; in particular, we frequently observe reports with inaccurate transaction dates.</li> <li>❖ Issuers: We continue to observe discrepancies between the number of securities held by reporting insiders as disclosed in an issuer's CD documents (e.g. information circulars) and the reporting insider's SEDI filings. This often occurs when an issuer grants securities to reporting insiders under compensation arrangements and they do not communicate this issuance to the reporting insiders on a timely basis.</li> </ul>	<p>any change in their holdings occurs. For example, an acquisition or disposition of securities, a grant or expiration of options, warrants or other securities issued under compensation arrangements, share consolidations, stock splits, etc.</p> <ul style="list-style-type: none"> <li>❖ In instances of acquisitions or dispositions of securities, the transaction date to be reported is the trade date, not the settlement date.</li> <li>❖ Issuers are encouraged to implement internal processes to ensure that the number of security holdings communicated to them by their reporting insiders are accurate and also to ensure that securities granted under compensation arrangements to reporting insiders are communicated to the insider on a timely basis. These processes will help to ensure consistency between the issuer's CD filings and SEDI, and will also allow reporting insiders to avoid late fees for filing insider reports after the prescribed deadline.</li> </ul> <p><b>References: National Instrument 55-104 Insider Reporting Requirements and Exemptions; CSA Staff Notice 55-315 Frequently Asked Questions about National Instrument 55-104 Insider Reporting Requirements and Exemptions; CSA Staff Notice 55-316 Questions and Answers on Insider Reporting and the System for Electronic Disclosure by Insiders (SEDI).</b></p>
<p><b>Early Warning Reporting<sup>3</sup></b></p>	<ul style="list-style-type: none"> <li>❖ We have observed a number of instances where security holders do not fulfill their early warning reporting requirements.</li> </ul>	<ul style="list-style-type: none"> <li>❖ The early warning reporting system is intended to provide transparency to the marketplace when a significant acquisition in the securities of an issuer occurs. The purpose of the requirement is to warn the marketplace that a take-over bid could be imminent. The acquiror must specifically disclose not only the details of the transaction and the percentage of securities held, but also its intention and the purpose in making the acquisition of securities.</li> <li>❖ The following events generally trigger the early warning requirements: <ul style="list-style-type: none"> <li>○ <b>10% ownership:</b> beneficial ownership of, or control or direction over, voting or equity securities of any class of an issuer, or securities convertible into voting or equity securities of any class of an issuer, that, together with the acquiror's securities of that class, constitute 10% or more of the outstanding securities of that class;</li> </ul> </li> </ul>

<sup>3</sup> Note that the reporting requirements differ for eligible institutional investors that choose to report under the alternative monthly reporting system. Refer to Part 4 of National Instrument 62-103 *The Early Warning System and Related Take-Over Bid and Insider Reporting Issues* for additional information.

	OBSERVATIONS	CONSIDERATIONS
		<ul style="list-style-type: none"> <li>○ 2% increases or decreases in the ownership percentage reported in the security holder’s most recent report;</li> <li>○ Decreases to less than 10% ownership<sup>4</sup>; and</li> <li>○ A change in a material fact reported in the security holder’s most recent report.</li> </ul> <ul style="list-style-type: none"> <li>❖ When a security holder triggers the early warning requirements, such security holder is required to inform the marketplace by:               <ul style="list-style-type: none"> <li>○ Issuing and filing a news release no later than the opening of trading on the business day following the event; and</li> <li>○ Filing Form 62-103F1 <i>Required Disclosure under the Early Warning Requirements</i>, no later than two business days following the event.</li> </ul> </li> <li>❖ A security holder is exempt from the early warning requirements if a change in their ownership percentage arises solely by actions taken by the Issuer and without any action being taken by the security holder.</li> </ul> <p><b>References: National Instrument 62-103 Early Warning System and Related Take-Over Bid and Insider Reporting Issues; Part 5 of National Instrument 62-104 Take-Over Bids and Issuer Bids; Part 3 of National Policy 62-203 Take-Over Bids and Issuer Bids.</b></p>
<p><b>Material Change Reporting</b></p>	<ul style="list-style-type: none"> <li>❖ Some issuers do not issue material change reports in relation to material changes, or do not do so in a timely manner.</li> </ul>	<ul style="list-style-type: none"> <li>❖ The term ‘material change’ is generally defined in each jurisdiction’s securities legislation and is usually based on a market impact test.</li> <li>❖ Upon occurrence of a material change, issuers are required to:               <ul style="list-style-type: none"> <li>○ Immediately issue and file a news release authorized by an executive officer disclosing the nature and substance of the change; and</li> <li>○ As soon as practicable, and in any event within 10 days of the date on which the change occurs, file Form 51-102F3 <i>Material Change Report</i>.</li> </ul> </li> </ul> <p><b>Additional considerations in light of COVID-19</b></p> <ul style="list-style-type: none"> <li>❖ Issuers should be aware of the impact of COVID-19, or resulting governmental or regulatory policies, that may be unique or more significant to them than to others in their industry. Examples of potentially material information that may result in a material change due to COVID-19 are:</li> </ul>

<sup>4</sup> Note that in the case of a decrease to less than 10% ownership, security holders are not required to report any further change in ownership unless they regain at least 10% ownership.

	OBSERVATIONS	CONSIDERATIONS
		<ul style="list-style-type: none"> <li>○ Significant disruptions to an issuer’s workforce or operations,</li> <li>○ Negative changes in markets, economy or laws,</li> <li>○ Supply chain delays or disruptions that are critical to an issuer’s business,</li> <li>○ Changes in credit arrangements</li> <li>○ Increased cost of goods or services,</li> <li>○ Suspension of exports, etc.</li> </ul> <p><b>References: Part 7 of NI 51-102, Form 51-102F3 Material Change Report.</b></p>

**4. MINERAL PROJECT DISCLOSURE**

National Instrument 43-101 *Standards of Disclosure for Mineral Projects (NI 43-101)* governs public disclosure of scientific and technical information about an issuer’s mining and mineral exploration projects including written documents, websites, and oral statements. Issuers must base their scientific and technical disclosure on information provided by a “qualified person” (QP), as defined in section 1.1 of NI 43-101. NI 43-101 also requires issuers to file a “technical report”, in a prescribed format, Form 43-101F1 *Technical Report (Technical Report)*, for significant corporate or mineral project milestones. The purpose of the Technical Report is to support disclosure of the issuer’s exploration, development, and production activities with additional information to assist current and prospective investors in making investment decisions. In some circumstances, QPs authoring the Technical Report must be independent of the issuer and the mineral property.

A major component of CSA mineral-industry reviews in 2018 and 2019 was a review of technical reports supporting the disclosure of mineral resource estimates. CSA Staff Notice 43-311 *Review of Mineral Resource Estimates in Technical Reports* provides detailed commentary on the results of the review and guidance on regulatory requirements and expectations. The main results of the review are included in the Hot Buttons below. Please note that this is not an exhaustive list.

**HOT BUTTONS**

	OBSERVATIONS	CONSIDERATIONS
<b>MINERAL PROJECTS</b>		
<b>Technical Report Content: Mineral Resource Estimates</b>	<ul style="list-style-type: none"> <li>❖ Some Technical Reports do not include adequate disclosure of important criteria the QP used to determine that the mineral resource has demonstrated reasonable prospects for eventual economic extraction. Specific examples include omission of the proposed mining method(s), metallurgical recovery factors, selected metal price(s) including justification for the selection, and the cut-off grade and how it was determined.</li> <li>❖ Some Technical Reports do not adequately describe the specific procedures the QP undertook in verifying the data or provide the QP’s opinion on the adequacy of the data used in the Technical Report. This deficiency was most pronounced where the QP was using data generated by earlier project operators.</li> </ul>	<ul style="list-style-type: none"> <li>❖ The Technical Report requires sufficient discussion of the key assumptions, parameters, and methods used to estimate the mineral resource for a reasonably informed reader to understand the basis for the mineral resource estimate and how it was generated. Absent these disclosures, it may be unclear if the mineral resource meets the threshold required by the Canadian Institute of Mining, Metallurgy and Petroleum (CIM) Definition Standards for Mineral Resources and Mineral Reserves.</li> <li>❖ “Data verification” is a defined term and is not merely ensuring that assay results have been accurately transferred, for example, into a mineral resource estimation database. It encompasses all efforts by the QP to verify that the database is fit for purpose. A QP is required to disclose the steps they have taken to verify the data used in the Technical Report and the QP cannot rely on data verification completed by other QP’s in previous reports on behalf of other issuers.</li> <li>❖ Legacy data, collected before the activities of the current project operator, may have</li> </ul>

	OBSERVATIONS	CONSIDERATIONS
	<ul style="list-style-type: none"> <li>❖ Some Technical Reports include tables showing the sensitivity of the mineral resource estimate to changes in cut-off grade without showing the base-case estimate clearly, or showing unreasonable cut-off grades.</li> <li>❖ Risk disclosure, required in Item 25 of the Technical Report, sometimes has the character of "boilerplate" text, and is not specific to the subject mineral project.</li> </ul>	<p>been generated using few quality assurance procedures, and the results of earlier verification may be unknown to the current operator or the QP. If so, efforts to verify the legacy data are essential to ensure the integrity of the mineral resource database.</p> <ul style="list-style-type: none"> <li>❖ Tables showing the estimate's sensitivity to cut-off grade are valuable, but the QP should ensure a table like that is not misleading. The actual mineral resource estimate being disclosed in the Technical Report should be clearly marked (for example, by bold type or shading). Tonnages and grades at other cut-offs should still have reasonable prospects for eventual economic extraction. Cut-off grades set lower than a plausible break-even level could be interpreted as potential mineral resources, and so are potentially misleading. Moreover, estimates with a zero cut-off grade have no way of meeting the definition of a mineral resource.</li> <li>❖ Risks set out should be those that are specific to the mineral project that is the subject of the Technical Report.</li> </ul> <p><b>References: Items 11, 12, 14(a), 14(b) and 25 of Form 43-101F1; section 1.1 of NI 43-101.</b></p>
<p><b>Disclosure of Estimates</b></p>	<ul style="list-style-type: none"> <li>❖ A common deficiency in routine disclosure of mineral project information is the failure to state both tonnage and grade of mineral resources or mineral reserves.</li> <li>❖ Another deficiency is the failure to disclose whether mineral reserves are included in, or excluded from, the mineral resource estimate.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Stand-alone disclosure of total contained metal or mineral (e.g., ounces of gold, pounds of uranium oxide, etc.) is contrary to NI 43-101. Tonnage and grade must be disclosed each time an estimate is cited. It is insufficient, for example, to point to earlier disclosure that complies with NI 43-101.</li> <li>❖ Conventions on the disclosure of mineral reserves are not uniform. Where an issuer discloses mineral reserves, the disclosure should avoid being misleading by showing, clearly and prominently, the convention the issuer is following: whether the mineral resource includes the mineral reserve, or is additional to the mineral reserve.</li> </ul> <p><b>References: Subsections 2.2(b), 2.2 (d) and 3.4(b) of NI 43-101.</b></p>
<p><b>Compliance with Part 3 of NI 43-101</b></p>	<ul style="list-style-type: none"> <li>❖ Some issuers rely on hyperlinks in news releases or other System for Electronic Document Analysis and Retrieval (SEDAR) filings to provide maps, sections, or tables, without filing the relevant information on SEDAR. Links provided on the issuer's website, or by dissemination services, may stop working and the required information will not be retrievable by users.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Issuers providing graphical or tabular information in their filings should include this information in the document that is filed, as hyperlinks may be broken over time. If information is important enough to be linked, it is important enough to be included in the issuer's permanent disclosure record on SEDAR.</li> </ul> <p><b>References: Subsection 4.1(2) of NI 13-101 System for Electronic Document Analysis and Retrieval (SEDAR); subsection 7.2(e)(i)(B) of the SEDAR Filer Manual.</b></p>

## APPENDIX B

### CATEGORIES OF OUTCOMES

**1. Referred to Enforcement/Cease-Traded/Default List**

If the issuer has substantive CD deficiencies, we may add the issuer to our default list, issue a cease-trade order and/or refer the issuer to enforcement.

**2. Refiling**

The issuer must amend and refile certain CD documents or must file a previously unfiled document.

**3. Prospective Changes**

The issuer is informed that certain changes or enhancements are required in its next filing as a result of deficiencies identified.

**4. Education and Awareness**

The issuer receives a proactive letter alerting it to certain disclosure enhancements that should be considered in its next filing or when staff of local jurisdictions publish staff notices and reports on a variety of continuous disclosure subject matters reflecting best practices and expectations.

**5. No Action Required**

The issuer does not need to make any changes or additional filings. The issuer could have been selected in order to monitor overall quality disclosure of a specific topic, observe trends and conduct research.

**Questions** – Please refer your questions to any of the following:

<p>Raymond Ho Senior Accountant, Corporate Finance Ontario Securities Commission 416-593-8106 rho@osc.gov.on.ca</p>	<p>Rebecca Moen Securities Analyst Alberta Securities Commission 403-297-4846 rebecca.moen@asc.ca</p>
<p>Heather Kuchuran Director, Corporate Finance Financial and Consumer Affairs Authority of Saskatchewan 306-787-1009 heather.kuchuran@gov.sk.ca</p>	<p>Patrick Weeks Analyst, Corporate Finance Manitoba Securities Commission 204-945-3326 patrick.weeks@gov.mb.ca</p>
<p>Nadine Gamelin Senior Analyst, Continuous Disclosure Autorité des marchés financiers 514-395-0337, ext. 4417 nadine.gamelin@lautorite.qc.ca</p>	<p>Joe Adair Senior Securities Analyst Financial and Consumer Services Commission (New Brunswick) 506-643-7435 joe.adair@fcbn.ca</p>
<p>Junjie (Jack) Jiang Securities Analyst, Corporate Finance Nova Scotia Securities Commission 902-424-7059 jack.jiang@novascotia.ca</p>	

**1.4 Notices from the Office of the Secretary**

**1.4.1 Majd Kitmitto et al.**

**FOR IMMEDIATE RELEASE  
October 23, 2020**

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

**TORONTO –** Take notice of the following merits hearing date changes in the above named matter:

- (1) the hearing scheduled to be heard on November 2 and 5, 2020 at 10:00 a.m. will proceed on November 2 and 5, 2020 at 9:30 a.m.;
- (2) the hearing on November 20, 2020 will not proceed as scheduled; and
- (3) additional hearing dates are scheduled for December 4 and December 7, 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

**1.4.2 First Global Data Ltd. et al.**

**FOR IMMEDIATE RELEASE  
October 26, 2020**

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

**TORONTO –** Take notice that the hearing in the above named matter scheduled to be heard on October 27, 2020 at 10:00 a.m. will be heard on October 27, 2020 at 9:00 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 Derek F.C. Elliott

**FOR IMMEDIATE RELEASE**  
**October 28, 2020**

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

**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 October 27, 2020 are available at [www.osc.gov.on.ca](http://www.osc.gov.on.ca).

OFFICE OF THE SECRETARY  
GRACE KNAKOWSKI  
SECRETARY TO THE COMMISSION

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[inquiries@osc.gov.on.ca](mailto:inquiries@osc.gov.on.ca)

## Chapter 2

# Decisions, Orders and Rulings

## 2.1 Decisions

### 2.1.1 Baillie Gifford International LLC and Baillie Gifford Overseas Limited

#### Headnote

Under paragraph 4.1(1)(b) of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations a registered firm must not permit an individual to act as a dealing, advising or associate advising representative of the registered firm if the individual is registered as a dealing, advising or associate advising representative of another registered firm. The Filers are affiliated entities and have valid business reasons for the individuals to be registered with both firms. The Filers have agreed that up to a maximum of ten individuals will be dually registered under the exemption at any point in time. The Filers have policies in place to handle potential conflicts of interest. The Filers are exempted from the prohibition.

#### Applicable Legislative Provisions

National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss. 4.1 and 15.1.

October 20, 2020

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

AND

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

AND

IN THE MATTER OF  
BAILLIE GIFFORD INTERNATIONAL LLC  
(BGI)

AND

BAILLIE GIFFORD OVERSEAS LIMITED  
(BGO, and together with BGI, the Filers)

#### DECISION

#### Background

The principal regulator in the Jurisdiction has received an application from the Filers for a decision under the

securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for relief from the restriction under paragraph 4.1(1)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103)* (such restriction, the **Dual-Registration Restriction**), pursuant to section 15.1 of NI 31-103, to permit Mr. Anthony Spagnolo – and future individuals (such individuals, the **Future Representatives** and together with Mr. Spagnolo, the **Representatives**) – to be registered as an advising representative, associate advising representative, and/or dealing representative of BGO, as the case may be, and as a dealing representative of BGI (the **Relief Sought**). For clarity, the Relief Sought will apply to up to ten representatives at any one time, including Mr. Spagnolo and any Future Representatives.

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

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

#### Interpretation

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

#### Representations

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

1. BGI is registered as an exempt market dealer in each of Ontario, Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland, Nova Scotia, Northwest Territories, Nunavut, Prince Edward Island, Québec, Saskatchewan and Yukon and has an office in Ontario. The head office of BGI is in New York, New York, USA. BGI is registered as an investment adviser with the U.S. Securities and Exchange Commission (the **SEC**).
2. BGO is registered as an exempt market dealer and portfolio manager in each of Ontario, Alberta,

- Manitoba, Newfoundland, Québec and Saskatchewan and as an exempt market dealer in each of British Columbia, New Brunswick, Northwest Territories, Nova Scotia, Nunavut, Prince Edward Island and Yukon. The head office of BGO is in Edinburgh, Scotland. BGO is registered as an investment adviser with the SEC and is also authorized in the United Kingdom by the Financial Conduct Authority (the **FCA**) to, among other things, advise on investments, arrange deals in investments, arrange safeguarding and administration of assets, deal in investments as agent, make arrangements with a view to transactions in investments and manage investments.
3. BGI and BGO are wholly-owned subsidiaries of the same ultimate parent entity, Baillie Gifford & Co, a Scottish partnership, and are therefore affiliates.
  4. Baillie Gifford & Co. Ltd (**BG&Co Ltd**) is another affiliate of BGI and BGO and is also a wholly-owned subsidiary of Baillie Gifford & Co. BG&Co Ltd is registered as a portfolio manager in Ontario and relies on the exemption from the investment fund manager registration requirement set out in section 4 of Multilateral Instrument 32-102 *Registration Exemptions for Non-Resident Investment Fund Managers (MI 32-102)* in Ontario, Newfoundland and Québec. In the United Kingdom, BG&Co Ltd is authorized by the FCA to, among other things, manage alternative investments funds.
  5. BG&Co Ltd currently acts as the investment fund manager for certain Baillie Gifford funds. Pursuant to an intra-group agreement dated September 14, 2014, as amended from time to time, BG&Co Ltd has appointed BGO as investment manager to provide advisory and other services in respect of a number of segregated and pooled funds under the Baillie Gifford name domiciled outside of the United Kingdom, including Baillie Gifford investment funds based in Ontario (**BG Funds Canada**). BG Funds Canada consist of international portfolios of equities and fixed income securities, the units of which are sold to institutional investors.
  6. BGO also manages segregated international portfolios for institutional investors and may act as a sub-advisor for investment funds managed by third parties. In addition to these adviser activities, BGO acts as an exempt market dealer primarily to distribute BG Funds Canada to institutional investors and other high net worth clients that qualify as “permitted clients” as defined in MI 32-102.
  7. BGI acts as agent for BG&Co Ltd for the provision of client service and marketing support in Canada for the investment funds managed by BG&Co Ltd. BGI does not act as dealer of record for any clients in Canada, but rather, acts in a marketing and business development role to build the Baillie Gifford brand at a strategy level. All clients, including any investors in the BG Funds Canada, are clients of BGO, which acts as dealer of record. BGI has no clients and is solely the marketing entity. All clients are contracted with BGO. This arrangement is consistent with Baillie Gifford’s organizational structure outside of Canada. BGI also acts as agent for BGO, in its capacity as sub-advisor for investment funds managed by third parties, for the provision of certain marketing services in Canada.
  8. BGI dealing representatives are permitted to trade in securities of BG Funds Canada on an exempt basis, subject to BGI procedures for permitted products.
  9. Mr. Spagnolo is currently the Business Development Director with BGI and is registered as an advising representative with BGO.
  10. As an advising representative of BGO, Mr. Spagnolo principally carries out advisory client relationship management services with institutional clients of BGO by managing previously established client relationships as well as creating and fostering new business relationships. Once Mr. Spagnolo becomes registered as a dealing representative of BGI, he will also provide marketing services in respect of BG Funds Canada to institutional clients resident in various provinces of Canada.
  11. It is anticipated that any Future Representatives would have similar duties at BGO and BGI to those described above for Mr. Spagnolo.
  12. Because each of BGO and BGI are affiliates, and because the Representatives will be advising, associate advising and/or dealing representatives of BGO and dealing representatives of BGI, the Representatives will be intimately familiar with all of the investment products offered by BGO and will be in the best position to act in the proposed dual roles with BGO and BGI.
  13. The dual registration of the Representatives will help optimize the Filers’ resources and increase their operational efficiency. In addition, the dual registration approach is consistent with the global organizational structure of the Baillie Gifford group of companies.
  14. The terms and conditions, if any, on a Representative’s advising, associate advising and/or dealing representative registration with BGO, as the case may be, would be the same as under his or her dealing representative registration with BGI.

15. Each Representative will be subject to supervision by each of the Filers and come under the applicable compliance requirements of both Filers.
16. The Filers each have compliance and supervisory policies and procedures in place to monitor the conduct of the Representatives and to ensure that they can deal appropriately with any conflict of interest that may arise as a result of the dual registration and each Representative will be subject to these policies and procedures.
17. BGI and BGO are affiliates and accordingly the dual registration of a Representative will not give rise to the conflicts of interest present in a similar arrangement involving unrelated, arm's-length firms.
18. BGO has been appointed as the investment manager of BG Funds Canada, and BGI acts as agent for BGO, in its capacity as sub-advisor for various investment funds managed by third parties for the provision of certain marketing services in Canada. The interests of the Filers are aligned, and because the role of a Representative is to support the business activities and interests of the Baillie Gifford group of companies (including BGI and BGO), the potential for conflicts of interest is remote.
19. There is adequate supervision of any identified conflicts of interest to ensure that each Representative, and each of the Filers, can deal appropriately with any conflict of interest that may arise. Each Representative will be under the supervision of both Filers.
20. Neither BGI nor BGO is in default of any requirement of securities legislation in any of the Jurisdictions.
21. The Filers are confident that each Representative will have sufficient time to adequately serve both firms.
22. Each of the Filers' respective Ultimate Designated Persons will ensure that a Representative has sufficient time and resources to adequately serve each Filer. Each of the Filers' respective Chief Compliance Officers will monitor and assess whether a Representative has sufficient time and resources to adequately serve each Filer and its clients.
23. Disclosure regarding the dual employment of a Representative will be disclosed in writing to clients of both BGO and BGI, as applicable, including in applicable client account opening documentation of BGO and marketing materials (such as information factsheets and client pitch presentations) provided by BGI.
24. Each Representative will act in the best interest of all clients of each Filer and will deal fairly, honestly and in good faith with these clients.

25. In the absence of the Relief Sought, the Filers would be prohibited by the Dual-Registration Restriction from permitting a Representative to be registered as an advising representative, associate advising representative, and/or dealing representative, as the case may be, of each Filer, even though the Filers are affiliates and have controls and compliance procedures in place to deal with such advising, associate advising and/or dealing activities.

**Decision**

The principal regulator is satisfied that the decision meets the test set out in the Legislation for the principal regulator to make the decision. The decision of the principal regulator under the Legislation is that the Relief Sought is granted on the following conditions:

- i. That at any point in time, no more than ten (10) representatives are dually registered with both Filers;
- ii. The Representatives are subject to supervision by, and the applicable compliance requirements of, both Filers;
- iii. The Chief Compliance Officer and Ultimate Designated Person of each Filer ensures that the Representatives have sufficient time and resources to adequately serve each Filer and its respective clients;
- iv. The Filers each have adequate policies and procedures in place to address any potential conflicts of interest that may arise as a result of the dual registration of the Representatives and deal appropriately with any such conflicts; and
- v. The relationship between the Filers and the fact that the Representatives are dually registered with both of them, is fully disclosed in writing to clients of each of them that deal with such person.

"Felicia Tedesco"  
Deputy Director, Compliance and Registrant Regulation  
Ontario Securities Commission

2.1.2 Next Edge Capital Corp. and Next Edge Bio-Tech Plus Fund

Newfoundland and Labrador, Nova Scotia, Quebec and Prince Edward Island (together with Ontario, the **Canadian Jurisdictions**).

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – relief granted under subsection 62(5) of the Securities Act to permit extension of fund's prospectus lapse date by 66 days to accommodate timing of a proposed fund merger – no conditions.

Applicable Legislative Provisions

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

October 20, 2020

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

AND

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

AND

IN THE MATTER OF  
NEXT EDGE CAPITAL CORP.  
(the Filer)

AND

NEXT EDGE BIO-TECH PLUS FUND  
(the Fund)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Fund for a decision under the securities legislation of the Jurisdiction (the **Legislation**) that the time limits for the renewal of the simplified prospectus of the Fund dated October 25, 2020 (the **Current Prospectus**) be extended to the time limits that would apply if the lapse date of the Current Prospectus was December 31, 2020 (the **Exemption Sought**).

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filer has provided notice that subsection 4.7(1) of Multilateral Instrument 11-102 - *Passport System* (**MI 11-102**) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, New Brunswick,

Interpretation

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

Representations

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

1. The Filer is a corporation incorporated under the laws of Canada with a head office in Toronto.
2. The Filer is registered as: (i) an Investment Fund Manager in Ontario, Québec and Newfoundland and Labrador; (ii) a Portfolio Manager in Alberta and Ontario; and (iii) as an Exempt Market Dealer in Alberta, British Columbia, Manitoba, New Brunswick, Nova Scotia, Ontario, Québec and Saskatchewan.
3. The Filer is the investment fund manager of the Fund.
4. The Fund is an open-ended mutual fund trust established under the laws of each of the Canadian Jurisdictions. The Fund is a reporting issuer as defined in the securities legislation of each of the Canadian Jurisdictions.
5. Neither the Filer nor the Fund are in default of securities legislation in any of the Canadian Jurisdictions.
6. The Fund currently distributes securities in the Canadian Jurisdictions under the Current Prospectus.
7. Pursuant to subsection 62(1) of the Act, the lapse date of the Current Prospectus is October 25, 2020 (the **Lapse Date**). Accordingly, under subsection 62(2) of the Act, the distribution of securities of the Fund would have to cease on the Lapse Date unless: (i) the Fund files a pro forma simplified prospectus at least 30 days prior to the Lapse Date; (ii) the final simplified prospectus is filed no later than 10 days after the Lapse Date; and (iii) a receipt for the final simplified prospectus is obtained within 20 days of the Lapse Date.
8. The pro forma prospectus of the Fund was required to have been filed by September 25, 2020 in order for securities of the Fund to continue to be distributed after the Lapse Date.
9. The Filer is considering merging the Fund into Next Edge Biotech and Life Sciences Opportunities Fund (the **Continuing Fund**), a related mutual fund (the **Proposed Merger**).

10. The Continuing Fund will be an open-ended mutual fund trust, established under the laws of Ontario by the Declaration of Trust and will be governed by the provisions of National Instrument 81-102 - *Investment Funds (NI 81-102)*. The Continuing Fund will also be an "alternative mutual fund" under NI 81-102
11. Securities of the Continuing Fund are expected to be qualified for sale in each of the provinces of Canada pursuant to a simplified prospectus, annual information form and related Fund Facts. To this end, a preliminary simplified prospectus, preliminary annual information form and preliminary Fund Facts each dated October 15, 2020 were filed on behalf of the Continuing Fund with the applicable securities regulatory authorities in each province of Canada. A final simplified prospectus, final annual information form and final Fund Facts for the Continuing Fund will be filed, and a final receipt will be issued in respect thereof, prior to the Effective Date (as defined below).
12. It is anticipated that the effective date of the Proposed Merger would be no later than December 31, 2020 so as to coincide with the Fund's year-end (the **Effective Date**).
13. A press release in respect of the Proposed Merger was disseminated on October 15, 2020, along with a related material change report.
14. In addition, if the Proposed Merger is implemented, the Fund will be wound up as soon as possible after the Effective Date.
15. If the Filer proceeds with the Proposed Merger, in the opinion of the Filer, it would be unduly costly to file pro forma renewal documents for the approximately two-month period prior to the Effective Date.
16. If the Exemption Sought is not granted by October 25, 2020, securities of the Fund will no longer be permitted to be distributed.
17. Given the disclosure obligations of the Fund, should a material change in the affairs of the Fund occur, the Current Prospectus and current fund fact documents of the Fund will be amended as required under applicable legislation. Consequently, as a result of the announcement of the Proposed Merger, the Filer will comply with all applicable securities law requirements, including, without limitation, filing appropriate amendments to the Current Prospectus (within the time frames required by applicable securities requirements) and seeking unitholder and regulatory approval where necessary.
18. New investors in the Fund will receive delivery of the most recently filed fund facts of the Fund. The Current Prospectus will still be available upon request.

19. The Exemption Sought will not affect the accuracy of the information contained in the Current Prospectus or the respectively filed fund facts of the Fund, and therefore will not be prejudicial to the public interest.

**Decision**

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

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

"Darren McKall"  
Manager  
Investment Funds and Structured Products Branch  
**ONTARIO SECURITIES COMMISSION**

**2.1.3 Value Partners Investments Inc. and VPI Global Equity Pool**

**Headnote**

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – approval of mutual fund mergers – approval required because mergers do not meet the criteria for pre-approval – securityholders of terminating funds provided with timely and adequate disclosure regarding the mergers.

**Applicable Legislative Provisions**

National Instrument 81-102 Investment Funds, ss. 5.5(1)(b), 5.6(1)(a), 5.6(1)(b), 5.7(1)(b) and 19.1

**October 20, 2020**

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

**AND**

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

**AND**

**IN THE MATTER OF  
VALUE PARTNERS INVESTMENTS INC.  
(the Filer)**

**AND**

**VPI GLOBAL EQUITY POOL  
(the Terminating Fund)**

**DECISION**

**Background**

The securities regulatory authority or regulator in each of the Jurisdictions (the **Decision Makers**) has received an application from the Filer on behalf of the Terminating Fund for a decision under the securities legislation of the Jurisdictions (the **Legislation**) for approval of the proposed merger (the **Merger**) of the Terminating Fund into VPI Foreign Equity Pool (the **Continuing Fund**, and together with the Terminating Fund, the **Funds**) under paragraph 5.5(1)(b) of National Instrument 81-102 *Investment Funds (NI 81-102)* (the **Exemption Sought**).

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

- (a) the Manitoba Securities Commission is the principal regulator for this application;
- (b) the Filer has provided notice that section 4.7(1) of Multilateral Instrument 11-102 *Passport System (MI 11-102)* is intended

to be relied upon in British Columbia, Alberta, Saskatchewan, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory and Nunavut (the **Other 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 National Instrument 14-101 *Definitions* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined.

**Representations**

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

*The Filer*

1. The Filer is a corporation organized under the laws of Canada with its head office in Winnipeg, Manitoba.
2. The Filer is registered under the securities legislation: (i) in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island and Saskatchewan, as an adviser in the category of portfolio manager; (ii) in Manitoba, Ontario and Newfoundland and Labrador as an investment fund manager; and (iii) in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island and Saskatchewan, as a dealer in the category of exempt market dealer.
3. The Filer is the investment fund manager and portfolio manager of the Funds.
4. The Filer is not in default of any requirement of securities legislation in any of the Jurisdictions, nor the Other Jurisdictions.

*The Funds*

5. The Funds are open ended mutual fund trusts established under the laws of Ontario.
6. Units of the Funds are currently qualified for sale under a simplified prospectus, annual information form and fund facts dated June 29, 2020 (collectively, the **Offering Documents**).
7. Each Fund is a reporting issuer under the applicable securities legislation of the Jurisdictions and the Other Jurisdictions.

8. The Funds are not in default of any requirement of securities legislation in any of the Jurisdictions, nor the Other Jurisdictions.
9. Each Fund follows the standard investment restrictions and practices established under NI 81-102. The Terminating Fund has done so, since inception (even though it was established before becoming a reporting issuer).
10. The net asset value for each series of the Funds is calculated on a daily basis in accordance with the Funds' valuation policy and as described in the Offering Documents.

*Reason for Exemption Sought*

11. The Exemption Sought is required because the Merger does not satisfy all of the criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102, given that the Merger will not be completed as a "qualifying exchange" under the *Income Tax Act* (Canada) (the **Tax Act**).
12. The Merger will be effected on a taxable basis because the Continuing Fund has significant loss carry-forwards that would be lost if the Merger were completed on a tax-deferred basis under the Tax Act.
13. Except as described in this decision, the proposed Merger complies with all of the other criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102, as the Continuing Fund has substantially similar investment objectives, fee structures and valuation procedures as the Terminating Fund.

*The Proposed Merger*

14. The Filer intends to reorganize by merging the Terminating Fund into the Continuing Fund such that unitholders of the Terminating Fund will become unitholders of the Continuing Fund.
15. Unitholders of the Terminating Fund will continue to have the right to redeem units of the Terminating Fund at any time up to the close of business on the business day immediately before the effective date of the Merger.
16. No sales charges will be payable by unitholders of the Terminating Fund in connection with the Merger.
17. Units of the Terminating Fund and the Continuing Fund are, and are expected to continue to be at all material times, "qualified investments" under the Tax Act for registered retirement savings plans, registered retirement income funds, deferred profit sharing plans, registered education savings plans, registered disability savings plans and tax free savings accounts.

18. As required by National Instrument 81-107 *Independent Review Committee for Investment Funds*, an Independent Review Committee (the **IRC**) has been appointed for the Funds. The Filer presented the potential conflict of interest matters related to the Merger to the IRC for its recommendation. The IRC reviewed the potential conflict of interest matters related to the Merger and on August 21, 2020, provided its positive recommendation for the Manager to proceed with the Merger after determining that the Merger, if implemented, would achieve a fair and reasonable result for each Fund.
19. In accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*, a press release announcing the proposed Merger was issued and filed by the Terminating Fund via SEDAR on August 28, 2020. A material change report with respect to the proposed Merger was filed via SEDAR on August 28, 2020.
20. The Filer has concluded that the Merger will not be a "material change" for the Continuing Fund.
21. A notice of meeting, a management information circular, a proxy and fund facts documents for the Continuing Fund in connection with a special meeting of unitholders will be mailed to unitholders of the Terminating Fund on or about October 27, 2020 and concurrently filed via SEDAR.
22. Unitholders of the Terminating Fund will be asked to approve the Merger at a special meeting to be held on or about November 19, 2020.
23. The Filer will pay for the costs of the Merger. These costs consist mainly of brokerage charges associated with the merger-related trades that occur both before and after the effective date of the Merger, and legal, proxy solicitation, printing, mailing and regulatory fees.
24. The Merger has been approved by the board of directors of the Filer.
25. If all required approvals for the Merger are obtained, it is intended that the Merger will occur at the close of business on or about November 20, 2020 (the **Effective Date**). The Filer therefore anticipates that each unitholder of the Terminating Fund will become a unitholder of the Continuing Fund after the close of business on the Effective Date.
26. The tax implications of the Merger, similarities between the investment objectives and fee structures of the Terminating Fund and the Continuing Fund and the IRC's recommendation of the Merger will be described in the management information circular so that the unitholders of the Terminating Fund can consider this information before voting on the Merger. The meeting materials will also describe the various

ways in which investors can obtain a copy of the simplified prospectus, annual information form and fund facts document(s) for the Continuing Fund and its most recent interim and annual financial statements and management reports of fund performance.

27. In light of the disclosure in the management information circular, unitholders of the Terminating Fund will have all the information necessary to determine whether the proposed Merger is appropriate for them.

*Merger Steps*

28. The proposed merger of the Terminating Fund into the Continuing Fund will be structured as follows:

- (a) The value of the Terminating Fund's portfolio and other assets will be determined at the close of business on the effective date of the Merger in accordance with the constating documents of the Terminating Fund.
- (b) The Continuing Fund will acquire the investment portfolio and other assets of the Terminating Fund in exchange for units of the Continuing Fund.
- (c) The Continuing Fund will not assume any liabilities of the Terminating Fund and the Terminating Fund will retain sufficient assets to satisfy its estimated liabilities, if any, as of the effective date of the Merger.
- (d) The Terminating Fund will distribute a sufficient amount of its net income and net realized capital gains, if any, to unitholders to ensure that they will not be subject to tax for their current tax year.
- (e) The units of the Continuing Fund received by the Terminating Fund will have an aggregate net asset value equal to the value of the portfolio assets and other assets that the Continuing Fund is acquiring from the Terminating Fund, and the units of the Continuing Fund will be issued at the applicable series net asset value per unit as of the close of business on the effective date of the Merger.
- (f) Immediately thereafter, units of the Continuing Fund received by the Terminating Fund will be distributed to unitholders of the Terminating Fund in exchange for their units in the Terminating Fund on a dollar-for-dollar basis, as applicable.
- (g) As soon as reasonably possible following the Merger, and in any case within 60 days following the effective date of the

Merger, the Terminating Fund will be wound up.

*Benefits of the Merger*

29. The Filer believes that the Merger is beneficial to unitholders of each Fund for the following reasons:
- (a) the Merger will result in a more streamlined and simplified product line-up that is easier for investors to understand;
  - (b) there is significant overlap between the portfolio holdings of the Terminating Fund and the portfolio holdings of the Continuing Fund, and thus the Merger will contribute towards reducing duplication and redundancy across the fund line-up;
  - (c) unitholders of the Terminating Fund will have options to (a) switch to another investment, (b) redeem their investment, or (c) maintain an investment with the Filer in the Continuing Fund, which provides the unitholders of the Terminating Fund with flexibility, convenience and potential cost savings;
  - (d) the Merger will eliminate the administrative and regulatory costs of operating each of the Terminating Fund and Continuing Fund as separate funds;
  - (e) following the Merger, the Continuing Fund will have a portfolio of greater value, which may allow for increased portfolio diversification opportunities if desired; and
  - (f) following the Merger, the Continuing Fund, as a result of its greater size, may benefit from its larger profile in the marketplace.

**Decision**

Each of the Decision Makers is satisfied that the decision meets the test set out in the Legislation of 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 the Filer obtains the prior approval of the unitholders of the Terminating Fund for the Merger at a special meeting held for that purpose.

"Christopher Besko"  
Director, General Counsel  
The Manitoba Securities Commission

**2.2 Orders**

**2.2.1 Derek F.C. Elliott – 127(1), 127(10)**

File No. 2020-31

**IN THE MATTER OF  
DEREK F.C. ELLIOTT**

Wendy Berman, Vice-Chair and Chair of the Panel

**October 27, 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 Derek F.C. Elliott (**Elliott**) pursuant to subsections 127(1) and 127(10) of the Act;

**ON READING** the materials filed by Staff and Elliott, and on considering the consent of the parties to the making of this order;

**IT IS ORDERED THAT:**

1. pursuant to paragraph 2 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**), trading in any securities or derivatives by Elliott shall cease permanently, except that this order does not preclude Elliott from trading in securities or derivatives in a registered retirement savings plan, registered education savings plan, any registered retirement income funds, and/or tax-free savings account (as defined in the *Income Tax Act* (Canada)) in which he has sole legal and beneficial ownership, provided that he carries out any permitted trading through a registered dealer (which dealer must be given a copy of this order) and through accounts opened in his name only;
2. pursuant to paragraph 2.1 of subsection 127(1) of the Act, acquisition of any securities by Elliott shall be prohibited permanently, except that this order does not preclude Elliott from purchasing securities in a registered retirement savings plan, registered education savings plan, any registered retirement income funds, and/or tax-free savings account (as defined in the *Income Tax Act* (Canada)) in which he has sole legal and beneficial ownership, provided that he carries out any permitted acquisitions through a registered dealer (which dealer must be given a copy of this order) and through accounts opened in his name only;
3. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Elliott permanently;

4. pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Elliott resign any positions that he holds as a director or officer of any issuer or registrant;
5. pursuant to paragraphs 8 and 8.2 of subsection 127(1) of the Act, Elliott be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and
6. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Elliott be prohibited permanently from becoming or acting as a registrant or promoter.

“Wendy Berman”

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## Chapter 3

# Reasons: Decisions, Orders and Rulings

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### 3.1 OSC Decisions

#### 3.1.1 Derek F.C. Elliott – 127(1), 127(10)

**Citation:** Elliott (Re), 2020 ONSEC 27  
**October 27, 2020**  
**File No.** 2020-31

#### IN THE MATTER OF DEREK F.C. ELLIOTT

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

**Hearing:** In Writing  
**Decision:** October 27, 2020  
**Panel:** Wendy Berman Vice-Chair and Chair of the Panel  
**Submissions:** Alvin Qian For Staff of the Commission  
Nader Hasan For Derek F.C. Elliott  
Carlo Di Carlo

#### REASONS AND DECISION

#### I. OVERVIEW

- [1] On August 27, 2014, Derek F.C. Elliott was convicted in the United States District Court for the Northern District of California (the “**US Court**”) of one count of conspiracy to commit fraud in violation of Title 18 of the United States Code, Section 1349. In pleading guilty to the offence, Mr. Elliott admitted to engaging in a conspiracy to defraud investors.<sup>1</sup> Mr. Elliott was sentenced to 24 months imprisonment and was ordered to make full restitution to harmed investors in the amount of approximately US\$38.7 million.
- [2] Staff of the Ontario Securities Commission (**Staff**) applies for a protective order in the public interest pursuant to s. 127(10) of the *Securities Act*, RSO 1990 c.S.5 (the **Act**), which provides that an order may be made under s. 127(1) of the Act against a person who has been convicted of an offence arising from a transaction, business or course of conduct related to securities or derivatives. Staff submits that this precondition has been met and that it is in the public interest based on these circumstances to make an inter-jurisdictional enforcement order on the terms proposed.
- [3] Mr. Elliott consents to the order requested by Staff, subject to the inclusion of carve-outs that allow Mr. Elliott to trade in personal accounts, as described more fully below. Staff consents to the requested carve-outs to the proposed order.
- [4] For the reasons that follow, I find that Mr. Elliott’s conviction arose from transactions and a course of conduct related to securities, and that it is in the public interest to issue the order requested by Staff, subject to certain limited carve-outs requested by Mr. Elliott.

#### II. RESPONDENT’S PARTICIPATION

- [5] Mr. Elliott participated in this proceeding and was represented by counsel.
- [6] Staff brought this inter-jurisdictional proceeding under the expedited procedure providing for a hearing in writing.<sup>2</sup> On September 17, 2020, Mr. Elliott requested an oral hearing in this matter.

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<sup>1</sup> Exhibit 1, Staff’s Hearing Brief, Plea Agreement of Derek F.C. Elliott dated August 27, 2014, Tab 6

<sup>2</sup> *Ontario Securities Commission Rules of Procedure and Forms*, (2019) 42 OSCB 9714, r 11(3)

[7] On October 8, 2020, Mr. Elliott advised the Commission that he would consent to the sanctions proposed by Staff with carve-outs to permit him to trade securities or derivatives in his personal registered retirement, registered education or tax-fee savings accounts held through a registered dealer. Staff consented to such carve-outs. Accordingly, on the consent of the parties, this matter was heard in writing.

### III. FACTUAL BACKGROUND

#### A. Conduct at issue, Guilty Plea and Conviction

[8] Mr. Elliott is a resident of Ontario and has never been registered with the Commission in any capacity.

[9] Between August 2006 and July 2008 (the **Material Time**), Mr. Elliott was the President and Chief Executive Officer of a number of entities related to the hospitality business in the Dominican Republic, including a resort in the Dominican Republic called the Sun Village Juan Dolio Resort (**Juan Dolio**).

[10] During the Material Time, Mr. Elliott and a co-conspirator, either directly or through sales agents, raised approximately US\$91.3 million from investors in two types of investment products related to the Juan Dolio, one investment product where investors were promised a guaranteed interest rate of 8% to 12% for a five year term (the **Residence Investment**) and the second where investors were told that they invested through a trust and received the option of using a room at the resort or collecting a share of room revenues, and could resell their investment at market rate (the **Passport Investment**).

[11] Mr. Elliott and his co-conspirator made misleading material statements to, and omitted material information from, investors.

[12] Instead of investing the funds into the Juan Dolio and completing renovations as represented to investors, substantial portions of the funds raised were diverted to pay sales commissions to agents, make interest payments to investors in the Residence Investment, and fund other real estate development projects not connected to Juan Dolio. Investors were not told that their money would be diverted in this fashion.

[13] Mr. Elliott and his co-conspirator made misrepresentations in promotional materials provided to investors regarding the status of the renovations and time frame for opening the Juan Dolio when, in fact, the renovations were never completed and the investor money was spent on, among other things, a different project.

[14] Mr. Elliott and his co-conspirator made misrepresentations to investors, directly or through sales agents, regarding guaranteed investment returns when they knew that such returns in the Residence Investment could not be reasonably expected.

[15] On August 27, 2014, Mr. Elliott plead guilty to conspiracy to commit fraud before the US Court.

#### B. Sentencing

[16] On November 20, 2019, Mr. Elliott was sentenced to 24 months imprisonment<sup>3</sup> and also ordered to make restitution to harmed investors in the amount of US\$38,724,570.17.<sup>4</sup>

[17] The US Court considered Mr. Elliott's guilty plea, his cooperation with the prosecution and the prosecutor's recommendation of a three-year term of probation<sup>5</sup> but concluded that the seriousness of the conduct warranted a custodial sentence of two years.

### IV. LEGAL FRAMEWORK

[18] Subsection 127(10) of the Act provides that an order may be made under s. 127(1) where a person has been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities or derivatives. If that precondition is met, the Commission must consider whether it should exercise its jurisdiction to make a protective order in the public interest.

[19] In determining whether such an order should be made in the public interest, the Commission may consider, among other factors, the seriousness of the misconduct, the harm suffered by investors, specific and general deterrence and any aggravating or mitigating factors. The purpose of such an order is "protective and preventative" and made to

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<sup>3</sup> Exhibit 1, Staff's Hearing Brief, Judgment in Criminal Case of the United States District Court for the Northern District of California dated November 20, 2019, Tab 7A

<sup>4</sup> Exhibit 1, Staff's Hearing Brief, Stipulation and Amended Order Regarding Restitution of the United States District Court for the Northern District of California, San Francisco Division, dated February 24, 2020, Tab 10

<sup>5</sup> Exhibit 1, Staff's Hearing Brief, United States District Court for the Northern District of California Sentencing Memorandum dated October 30, 2019, Tab 15 at 22

restrain potential conduct that could be detrimental to the integrity of the capital markets and therefore prejudicial to the public interest.<sup>6</sup>

## V. ANALYSIS AND CONCLUSION

- [20] I am satisfied that Mr. Elliott's conviction for conspiracy to commit fraud arises from transactions and a course of conduct related to securities.
- [21] The Residence Investment and the Passport Investment both involved investments of funds with an expectation of profit, in a common enterprise, which was to be derived solely from the efforts of Mr. Elliott and others relating to the development of the Juan Dolio resort.<sup>7</sup> The investors in one investment product were promised high rates of return and in the other investment product were promised a share of the revenues and an ability to sell their investment at "market rates".
- [22] These investment products sold to investors constitute securities for the purposes of the Act.
- [23] Mr. Elliott's misconduct was extremely serious. Over a period of approximately two years, Mr. Elliott and his co-conspirator solicited investor funds of approximately US\$91.3 million through fraudulent representations. Investors suffered significant losses, which caused significant financial and personal hardship for some investors.<sup>8</sup>
- [24] Fraud is one of the most egregious securities regulatory violations. It causes direct and immediate harm to investors, and it significantly undermines confidence in the capital markets.
- [25] Given these circumstances, it is important that this Commission impose sanctions that will protect Ontario investors by specifically deterring Mr. Elliott from engaging in similar or other misconduct in Ontario, and by acting as a general deterrent to other like-minded persons.
- [26] Mr. Elliott does not contest the sanctions proposed by Staff, subject to his request for limited carve-outs for personal trading. Given the nature of the misconduct, it is not necessary to prohibit Mr. Elliott from trading in registered accounts for which he has beneficial ownership, subject to the conditions specified below.
- [27] For the reasons set out above, I find that it is in the public interest to limit Mr. Elliott's future participation in Ontario's capital markets on the following terms. I therefore order that:
- a. pursuant to paragraph 2 of subsection 127(1) of the Act, trading in any securities or derivatives by Mr. Elliott shall cease permanently, except that he shall not be precluded from trading in securities or derivatives in a registered retirement savings plan, registered education savings plan, any registered retirement income funds, and/or tax-free savings account (as defined in the *Income Tax Act* (Canada)<sup>9</sup>) in which he has sole legal and beneficial ownership, provided that he carries out any permitted trading through a registered dealer (which dealer must be given a copy of the order that I will issue) and through accounts opened in his name only;
  - b. pursuant to paragraph 2.1 of subsection 127(1) of the Act, acquisition of any securities by Mr. Elliott shall be prohibited permanently, except that he shall not be precluded from purchasing securities in a registered retirement savings plan, registered education savings plan, any registered retirement income funds, and/or tax-free savings account (as defined in the *Income Tax Act* (Canada)) in which he has sole legal and beneficial ownership, provided that he carries out any permitted acquisitions through a registered dealer (which dealer must be given a copy of the order that I will issue) and through accounts opened in his name only;
  - c. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Mr. Elliott permanently;
  - d. pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Mr. Elliott must 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 subsection 127(1) of the Act, Mr. Elliott is prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and

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<sup>6</sup> *Theroux (Re)*, 2019 ONSEC 20, (2019) 42 OSCB 5043 at paras 22 and 23.

<sup>7</sup> *Furtak v Ontario (Securities Commission)*, 2018 ONSC 6616 at para 36 (Div Ct); *Reeve (Re)*, 2018 ONSEC 55, (2018) 41 OSCB 9433 at paras 18-22.

<sup>8</sup> Exhibit 1, Staff's Hearing Brief, United States District Court for the Northern District of California Transcript of Proceedings dated November 6, 2019, Tab 14B at 42-45, 49-50, 53-56

<sup>9</sup> RSC, 1985, c 1 (5<sup>th</sup> Supp)

- f. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Mr. Elliott is prohibited permanently from becoming or acting as a registrant or promoter.

Dated at Toronto this 27th day of October, 2020.

“Wendy Berman”

## 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
Sunshine Oilsands Ltd.	October 26, 2020	November 9, 2020		

### Failure to File Cease Trade Orders

Company Name	Date of Order	Date of Revocation
Agrios Global Holdings Ltd.	October 20, 2020	
Alchemist Mining Incorporated	October 7, 2020	October 22, 2020
Blacksteel Energy Inc.	October 20, 2020	
Tajiri Resources Corp.	October 7, 2020	October 21, 2020
Teal Valley Health Inc.	October 7, 2020	October 21, 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	

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## Chapter 7

# Insider Reporting

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The following is a weekly summary of insider transactions by insiders of *Ontario reporting issuers* in SEDI® (the System for Electronic Disclosure by Insiders).<sup>1</sup> 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).<sup>2</sup>

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### 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.

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**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
01 Communique Laboratory Inc.	Common Shares	Train, William, Archibald	4	2020-10-22	10	0.385	337,500	-2,500
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-19	38	1.8932	19,700	6,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-19	38		13,200	-6,500
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-20	38	1.9082	19,800	6,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-20	38		13,200	-6,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-21	38	1.9834	19,900	6,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-21	38		13,300	-6,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-22	38	1.9779	20,100	6,800
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-22	38		13,500	-6,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-23	38	2.0168	20,417	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-10-23	38		13,717	-6,700
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Normand	4	2020-10-20	10	0.22	1,817,000	45,000
Accord Financial Corp.	Common Shares	Carlson, Barrett	5	2020-10-01	00		61,930	
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Van Faasen, William, Cornelius	4	2020-10-14	46		82,408	7,500
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Van Faasen, William, Cornelius	4	2020-10-15	10	2.5867	79,489	-2,919
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Van Faasen, William, Cornelius	4	2020-10-14	46		192,286	17,500
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Van Faasen, William, Cornelius	4	2020-10-15	10	2.7928	184,922	-7,364
Advantagewon Oil Corp.	Common Shares	hughes, stephen	4	2019-10-01	00		2,000,000	
Aequus Pharmaceuticals Inc.	Common Shares	JANZEN, DOUG	4, 5	2020-10-20	10	0.101	8,624,800	150,000
AGF Management Limited	Common Shares Restricted Share Units	BASARABA, Adrian	5	2020-10-19	56	6.03	84,288	1,103
AGF Management Limited	Common Shares Deferred Share Units	BUCHAN, JANE MELISSA	4	2020-10-19	56	6.03	74,723	978
AGF Management Limited	Common Shares Deferred Share Units	Camilli, Kathleen Mary	4	2020-10-19	56	6.03	19,050	249
AGF Management Limited	Common Shares Deferred Share Units	Davis, Sarah Ruth	4	2020-10-19	56	6.03	70,055	917
AGF Management Limited	Common Shares Deferred Share Units	Derry, Douglas	4	2020-10-19	56	6.03	113,342	1,484
AGF Management Limited	Restricted Share Units	Goldring, Blake Charles	4, 5	2020-10-19	56	6.03	200,962	2,631
AGF Management Limited	Restricted Share Units	Goldring, Judy	4, 5	2020-10-19	56	6.03	82,872	1,085
AGF Management Limited	Common Shares Deferred Share Units	Guay, Charles	4	2020-10-19	56	6.03	20,311	266
AGF Management Limited	Common Shares Restricted Share Units	Jackson, Charles Christopher	5	2020-10-19	56	6.03	38,517	504
AGF Management Limited	Common Shares Deferred Share Units	MCCREADIE, KEVIN ANDREW	5	2020-10-19	56	6.03	503,864	6,597
AGF Management Limited	Common Shares Restricted Share Units	MCCREADIE, KEVIN ANDREW	5	2020-10-19	56	6.03	118,385	1,550
AGF Management Limited	Common Shares Deferred Share Units	Squibb, Geoffrey Wayne	4	2020-10-19	56	6.03	180,327	2,361
AIM5 Ventures Inc.	Common Shares	Friedman, Alan Mark	3, 4	2020-10-19	00		400,000	
AIM5 Ventures Inc.	Common Shares	Goldenberg, Zachary	3, 4, 5	2020-10-19	00		400,000	
AIM5 Ventures Inc.	Common Shares	Salz, Aaron	3, 4, 5	2020-10-19	00		400,000	
AIM5 Ventures Inc.	Common Shares	Sontrop, J Marc	3, 4	2020-10-19	00		600,000	
AIM5 Ventures Inc.	Common Shares	Sontrop, J Marc	3, 4	2020-10-19	00		400,000	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
AIM5 Ventures Inc.	Common Shares	Unger, Aaron Isaac	3, 4	2020-10-19	00		400,000	
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-10-01	30			15
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-10-01	30		173	17
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-10-15	30		187	14
Akumin Inc.	Common Shares	Fernandes, Leigh Anne	7	2020-10-15	30		274	17
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2020-10-15	30		352	4
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2020-10-15	30		1,002	11
Akumin Inc.	Common Shares	Luckey, Michael	5	2020-10-15	30		911	12
Akumin Inc.	Common Shares	Meredith, Michael	5	2020-10-15	30		312	10
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2020-10-15	30		349	14
Akumin Inc.	Common Shares	Richardson, Jason	5	2020-10-15	30		1,003	11
Alaris Equity Partners Income Trust	Restricted Trust Units	Bertram, Robert	4	2020-10-20	56		23,065	8,065
Alaris Equity Partners Income Trust	Restricted Trust Units	Bertram, Robert	4	2020-10-20	57		18,065	-5,000
Alaris Equity Partners Income Trust	Trust Units	Bertram, Robert	4	2020-10-20	57		39,337	5,000
Alaris Equity Partners Income Trust	Restricted Trust Units	DEL COURT, GREGG	5	2020-10-20	58 - Expiration of rights		26,898	-3,042
Alaris Equity Partners Income Trust	Restricted Trust Units	DEL COURT, GREGG	5	2020-10-20	57		23,106	-3,792
Alaris Equity Partners Income Trust	Trust Units	DEL COURT, GREGG	5	2020-10-20	57		13,692	3,792
Alaris Equity Partners Income Trust	Restricted Trust Units	Driscoll, Darren John	5	2020-10-20	58 - Expiration of rights		41,811	-4,153
Alaris Equity Partners Income Trust	Restricted Trust Units	Driscoll, Darren John	5	2020-10-20	57		35,463	-6,348
Alaris Equity Partners Income Trust	Trust Units	Driscoll, Darren John	5	2020-10-20	57		390,436	6,348
Alaris Equity Partners Income Trust	Restricted Trust Units	ERVIN, MICHAEL DONALD	5	2020-10-20	58 - Expiration of rights		28,640	-3,723
Alaris Equity Partners Income Trust	Restricted Trust Units	ERVIN, MICHAEL DONALD	5	2020-10-20	57		23,762	-4,878
Alaris Equity Partners Income Trust	Trust Units	ERVIN, MICHAEL DONALD	5	2020-10-20	57		25,502	4,878
Alaris Equity Partners Income Trust	Restricted Trust Units	Evans, Marla May	5	2020-10-20	58 - Expiration of rights		10,470	-250
Alaris Equity Partners Income Trust	Restricted Trust Units	Evans, Marla May	5	2020-10-20	57		10,220	-250
Alaris Equity Partners Income Trust	Trust Units	Evans, Marla May	5	2020-10-20	58 - Expiration of rights		1,402	250
Alaris Equity Partners Income Trust	Restricted Trust Units	FRAZER, AMANDA MAI	5	2020-10-20	58 - Expiration of rights		17,279	-2,163
Alaris Equity Partners Income Trust	Restricted Trust Units	FRAZER, AMANDA MAI	5	2020-10-20	57		13,845	-3,434
Alaris Equity Partners Income Trust	Trust Units	FRAZER, AMANDA MAI	5	2020-10-20	57		11,700	3,434
Alaris Equity Partners Income Trust	Restricted Trust Units	King, Stephen Walter	5	2020-10-20	58 - Expiration of rights		80,576	-7,339
Alaris Equity Partners Income Trust	Restricted Trust Units	King, Stephen Walter	5	2020-10-20	57		70,349	-10,227
Alaris Equity Partners Income Trust	Trust Units	King, Stephen Walter	5	2020-10-20	57		793,991	10,227
Alaris Equity Partners Income Trust	Restricted Trust Units	KRAWETZ, CURTIS JAMES	5	2020-10-20	58 - Expiration of rights		24,714	-1,824

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Alaris Equity Partners Income Trust	Restricted Trust Units	KRAWETZ, CURTIS JAMES	5	2020-10-20	57		21,850	-2,864
Alaris Equity Partners Income Trust	Trust Units	KRAWETZ, CURTIS JAMES	5	2020-10-20	57		45,800	2,864
Alaris Equity Partners Income Trust	Restricted Trust Units	Langlois, Sophia Jane	4	2020-09-01	00			
Alaris Equity Partners Income Trust	Restricted Trust Units	Langlois, Sophia Jane	4	2020-10-20	56		28,228	28,228
Alaris Equity Partners Income Trust	Restricted Trust Units	Langlois, Sophia Jane	4	2020-10-20	57		24,195	-4,033
Alaris Equity Partners Income Trust	Trust Units	Langlois, Sophia Jane	4	2020-09-01	00			
Alaris Equity Partners Income Trust	Trust Units	Langlois, Sophia Jane	4	2020-10-20	57		4,033	4,033
Alaris Equity Partners Income Trust	Restricted Trust Units	MacEachern, Daniel	5	2020-10-20	58 - Expiration of rights		15,875	-1,543
Alaris Equity Partners Income Trust	Restricted Trust Units	MacEachern, Daniel	5	2020-10-20	57		14,207	-1,668
Alaris Equity Partners Income Trust	Trust Units	MacEachern, Daniel	5	2020-10-20	57		6,410	1,668
Alaris Equity Partners Income Trust	Restricted Trust Units	McCarthy, Elizabeth Teresa	5	2020-10-20	58 - Expiration of rights		12,553	-1,341
Alaris Equity Partners Income Trust	Restricted Trust Units	McCarthy, Elizabeth Teresa	5	2020-10-20	57		10,712	-1,841
Alaris Equity Partners Income Trust	Trust Units	McCarthy, Elizabeth Teresa	5	2020-10-20	57		4,503	1,841
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2020-09-01	00			
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2020-09-01	00			
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2020-09-01	00			
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2020-09-01	00		567	
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2020-09-01	00		975	
Alaris Equity Partners Income Trust	Restricted Trust Units	Ripley, John Frederick	4	2020-10-20	56		27,408	11,593
Alaris Equity Partners Income Trust	Restricted Trust Units	Ripley, John Frederick	4	2020-10-20	57		20,896	-6,512
Alaris Equity Partners Income Trust	Trust Units	Ripley, John Frederick	4	2020-10-20	57		306,512	6,512
Alaris Equity Partners Income Trust	Restricted Trust Units	Ritchie, Mary C.	4	2020-10-20	56		23,065	8,065
Alaris Equity Partners Income Trust	Restricted Trust Units	Ritchie, Mary C.	4	2020-10-20	57		18,065	-5,000
Alaris Equity Partners Income Trust	Trust Units	Ritchie, Mary C.	4	2020-10-20	57	5000	47,337	5,000
Alaris Equity Partners Income Trust	Restricted Trust Units	Shier, E. Mitchell	4	2020-10-20	56		23,065	8,065
Alaris Equity Partners Income Trust	Restricted Trust Units	Shier, E. Mitchell	4	2020-10-20	57		18,065	-5,000
Alaris Equity Partners Income Trust	Trust Units	Shier, E. Mitchell	4	2020-10-20	57		27,500	5,000
Alaris Equity Partners Income Trust	Restricted Trust Units	TIMBERLAKE, DEVIN	5	2020-10-20	58 - Expiration of rights		19,537	-1,760
Alaris Equity Partners Income Trust	Restricted Trust Units	TIMBERLAKE, DEVIN	5	2020-10-20	57		16,968	-2,569
Alaris Equity Partners Income Trust	Trust Units	TIMBERLAKE, DEVIN	5	2020-10-20	57		8,754	2,569
Algonquin Power & Utilities Corp.	Performance Share Units	Banskota, Arun	5	2020-10-15	30	20.497	75,308	539

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Algonquin Power & Utilities Corp.	Performance Share Units	Banskota, Arun	5	2020-10-15	30	20.497	75,519	211
Algonquin Power & Utilities Corp.	Restricted Share Units	Banskota, Arun	5	2020-10-15	30	20.497	111,423	1,107
Algonquin Power & Utilities Corp.	Performance Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	245,592	907
Algonquin Power & Utilities Corp.	Performance Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	246,499	907
Algonquin Power & Utilities Corp.	Performance Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	247,139	640
Algonquin Power & Utilities Corp.	Restricted Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	288,901	479
Algonquin Power & Utilities Corp.	Restricted Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	289,445	544
Algonquin Power & Utilities Corp.	Restricted Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	289,883	438
Algonquin Power & Utilities Corp.	Restricted Share Units	Jarratt, Christopher Kenneth	5	2020-10-15	30	20.497	291,315	1,432
Algonquin Power & Utilities Corp.	Performance Share Units	Johnston, Anthony Hunter	5	2020-10-15	30	20.497	48,530	265
Algonquin Power & Utilities Corp.	Performance Share Units	Johnston, Anthony Hunter	5	2020-10-15	30	20.497	48,749	219
Algonquin Power & Utilities Corp.	Restricted Share Units	Johnston, Anthony Hunter	5	2020-10-15	30	20.497	64,951	392
Algonquin Power & Utilities Corp.	Restricted Share Units	Johnston, Anthony Hunter	5	2020-10-15	30	20.497	65,207	256
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2020-10-15	30	20.497	18,299	67
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2020-10-15	30	20.497	18,345	46
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2020-10-15	30	20.497	18,372	27
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2020-10-15	30	20.497	18,415	43
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2020-10-15	30	20.497	58,192	129
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2020-10-15	30	20.497	58,427	235
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2020-10-15	30	20.497	58,646	219
Algonquin Power & Utilities Corp.	Restricted Share Units	Norman, Jeffery Todd	5	2020-10-15	30	20.497	36,447	137
Algonquin Power & Utilities Corp.	Restricted Share Units	Norman, Jeffery Todd	5	2020-10-15	30	20.497	36,674	227
Algonquin Power & Utilities Corp.	Performance Share Units	Olsen, Kirsten	5	2020-10-15	30	20.497	8,022	80
Algonquin Power & Utilities Corp.	Performance Share Units	Paravalos, Mary Ellen	5	2020-10-15	30	20.497	24,259	140
Algonquin Power & Utilities Corp.	Performance Share Units	Paravalos, Mary Ellen	5	2020-10-15	30	20.497	24,361	102
Algonquin Power & Utilities Corp.	Restricted Share Units	Paravalos, Mary Ellen	5	2020-10-15	30	20.497	16,143	160
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2020-10-15	30	20.497	61,968	196
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2020-10-15	30	20.497	62,193	225
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2020-10-15	30	20.497	62,392	199
Algonquin Power & Utilities Corp.	Restricted Share Units	Tindale, Jennifer Sara	5	2020-10-15	30	20.497	22,863	227
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2020-10-15	30	20.497	53,783	195
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2020-10-15	30	20.497	53,977	194
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2020-10-15	30	20.497	54,125	148

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Algonquin Power & Utilities Corp.	Restricted Share Units	Trisic, George	5	2020-10-15	30	20.497	63,561	165
Algonquin Power & Utilities Corp.	Restricted Share Units	Trisic, George	5	2020-10-15	30	20.497	63,684	123
Algonquin Power & Utilities Corp.	Restricted Share Units	Trisic, George	5	2020-10-15	30	20.497	63,903	219
Algonquin Power & Utilities Corp.	Restricted Share Units	Trisic, George	5	2020-10-15	30	20.497	64,032	129
Alimentation Couche-Tard Inc.	Subordinate Voting Shares Catégorie B	Lamothe, Marie Josee	4	2020-10-19	10	44.36	1,729	1,125
Alimentation Couche-Tard Inc.	Subordinate Voting Shares Catégorie B	Miller, Alex	5	2020-10-21	10	33.15	6,225	1,509
Altiplano Metals Inc.	Common Shares	Bourassa, Justin	5	2020-10-19	11	0.175	1,298,187	93,245
Altiplano Metals Inc.	Warrants	Bourassa, Justin	5	2020-10-19	11	0.25	193,245	93,245
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2020-10-16	10	0.24	1,384,000	20,000
Altiplano Metals Inc.	Common Shares	McIntyre, Alastair	5	2020-10-16	11	0.175	749,317	57,150
Altiplano Metals Inc.	Warrants	McIntyre, Alastair	5	2020-10-16	11		140,484	57,150
Altus Group Limited	Deferred Share Units	Brown, Angela Louise	4	2020-10-15	56	55.44	18,080	744
Altus Group Limited	Deferred Share Units	Brown, Angela Louise	4	2020-10-15	56	55.44	18,127	47
Altus Group Limited	Deferred Share Units	Dyer, Colin	4	2020-10-15	56	55.44	4,090	533
Altus Group Limited	Deferred Share Units	Dyer, Colin	4	2020-10-15	56	55.44	4,100	10
Altus Group Limited	Deferred Share Units	Gaffney, Thomas Anthony	4	2020-10-15	56	55.44	32,963	744
Altus Group Limited	Deferred Share Units	Gaffney, Thomas Anthony	4	2020-10-15	56	55.44	33,050	87
Altus Group Limited	Deferred Share Units	Gordon, Michael	4, 5	2020-10-15	56	55.44	25,379	68
Altus Group Limited	Deferred Share Units	Long, Anthony	4	2020-10-15	56	55.44	6,400	977
Altus Group Limited	Deferred Share Units	Long, Anthony	4	2020-10-15	56	55.44	6,415	15
Altus Group Limited	Deferred Share Units	MacDiarmid, Diane	4	2020-10-15	56	55.44	33,576	744
Altus Group Limited	Deferred Share Units	MacDiarmid, Diane	4	2020-10-15	56	55.44	33,665	89
Altus Group Limited	Deferred Share Units	Mikulich, Raymond	4	2020-10-15	56	55.44	32,681	889
Altus Group Limited	Deferred Share Units	Mikulich, Raymond	4	2020-10-15	56	55.44	32,767	86
Altus Group Limited	Deferred Share Units	Woodruff, Janet Patricia	4	2020-10-15	56	55.44	20,274	406
Altus Group Limited	Deferred Share Units	Woodruff, Janet Patricia	4	2020-10-15	56	55.44	20,328	54
American Creek Resources Ltd.	Common Shares	Edwards, Dennis Gibb	4	2020-10-19	10	0.33	170,500	-30,000
American Creek Resources Ltd.	Common Shares	Edwards, Dennis Gibb	4	2020-10-20	10	0.35	110,500	-60,000
American Creek Resources Ltd.	Common Shares	Edwards, Dennis Gibb	4	2020-10-23	10	0.35	100,500	-10,000
AMP German Cannabis Group Inc. (formerly Chinook Tyee Industry Limited)	Options	Feuerstein, Stefan	4, 5	2020-10-19	50	0.35	650,000	240,000
AMPD Ventures Inc.	Common Shares	HURSTHOUSE, JAMES ROGER	5	2020-10-20	54	0.0006	1,844,418	250,000
AMPD Ventures Inc.	Warrants	HURSTHOUSE, JAMES ROGER	5	2020-10-20	54		750,000	-250,000
Anaconda Mining Inc.	Common Shares	Oke, Mary-Lynn Ida	4	2020-09-30	57		63,333	13,333
Anaconda Mining Inc.	Rights Restricted Share Units	Oke, Mary-Lynn Ida	4	2020-09-30	57		37,667	-13,333
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer Management Group Inc.	3	2020-10-16	97		30,100	-12,700
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2020-10-16	97		247,750	-18,300
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2020-10-16	97		30,100	-12,700
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-10-22	10	1.3649	5,708,101	5,500
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-10-23	10	1.3607	5,709,601	1,500

**Insider Reporting**

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Aquila Resources Inc.	Common Shares	Dunn, Andrew William	4	2020-10-21	10	0.135	386,500	36,500
Aquila Resources Inc.	Common Shares	Dunn, Andrew William	4	2020-10-22	10	0.135	400,000	13,500
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	Smith, Adrian Allister	4, 5	2020-07-09	00			
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	Smith, Adrian Allister	4, 5	2020-10-23	10	0.08	25,000	25,000
Ares Strategic Mining Inc.	Common Shares	Sanabria, Raul	4	2020-10-21	10	0.28	502,000	-100,000
Ares Strategic Mining Inc.	Common Shares	Sanabria, Raul	4	2020-10-22	51	0.13	702,000	200,000
Ares Strategic Mining Inc.	Options	Sanabria, Raul	4	2019-06-01	00			
Ares Strategic Mining Inc.	Options	Sanabria, Raul	4	2020-08-30	50	0.13	500,000	500,000
Ares Strategic Mining Inc.	Options	Sanabria, Raul	4	2020-10-22	51	0.13	300,000	-200,000
Ares Strategic Mining Inc.	Options	Walker, James	4, 5	2016-11-30	00			
Ares Strategic Mining Inc.	Options	Walker, James	4, 5	2020-03-09	50	0.1	2,800,000	2,800,000
Ares Strategic Mining Inc.	Options	Walker, James	4, 5	2020-08-30	50	0.13	3,250,000	450,000
Argo Gold Inc.	Common Shares	Schu, Reinhard	4	2020-08-17	00			
Argo Gold Inc.	Common Shares	Schu, Reinhard	4	2020-10-19	10	0.14	71,500	71,500
Aritzia Inc.	Subordinate Voting Shares	Morgan, Philippa (Pippa)	5	2020-10-20	10	22.415	0	-8,700
Artis Real Estate Investment Trust	Units	Joyce, Ron	3	2019-12-19	11	11.83		-2,492,000
Artis Real Estate Investment Trust	Units	Joyce, Ron	3	2019-12-19	11	11.83		-2,492,000
Artis Real Estate Investment Trust	Units	Joyce, Ron	3	2019-12-19	11	11.83		-2,492,000
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2020-10-15	56	8.73	11,987	51
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Preferred Shares Series I	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			

**Insider Reporting**

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Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00		14,500,100	
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00		213,517	
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00		26,700	
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2018-01-01	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Artis Real Estate Investment Trust	Units	Steven Joyce (Ronald V. Joyce Alter Ego Trust No. 3)	3	2019-01-31	00			
Asia Green Biotechnology Corp.	Common Shares	kingma, johannes	5	2020-10-19	10	0.1	13,373,333	500
Aston Bay Holdings Ltd.	Common Shares	Ullrich, Thomas David	4	2020-10-20	10	0.045	2,900,000	100,000
Avante Logixx Inc.	Options	Reed, Geoffrey	5	2020-07-01	00			
AVINO SILVER & GOLD MINES LTD.	Common Shares	Latta, Peter	5	2020-10-20	00		16,500	
Bank of Montreal	Deferred Share Units	Cope, George	4	2020-10-15	56	81.01	50,491	306
Bank of Montreal	Deferred Share Units	Edwards, Christine A.	4	2020-10-15	56	81.01	42,505	674
Bear Creek Mining Corporation	Common Shares	Tweddle, Frank R.	4	2020-10-15	10	3.3	59,917	-5,000
BELLUS Health Inc.	Common Shares	BELLINI, FRANCESCO	4	2020-10-22	15	2.25	522,000	100,000
BELLUS Health Inc.	Common Shares	Bellini, Roberto	4, 6, 5	2019-08-15	37			-1,527,660
BELLUS Health Inc.	Common Shares	Bellini, Roberto	4, 6, 5	2019-08-15	37		587,561	-1,527,661
BELLUS Health Inc.	Common Shares	Bellini, Roberto	4, 6, 5	2020-10-20	10	2.31	630,061	42,500
BELLUS Health Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-10-22	15	2.25	698,918	177,777
Better Plant Sciences Inc.	Common Shares	Mullen, Bruce Wayne	3, 4	2020-10-09	00		7,300,000	
Better Plant Sciences Inc.	Common Shares	Mullen, Bruce Wayne	3, 4	2020-10-09	00		11,127,767	
Better Plant Sciences Inc.	Common Shares	Mullen, Bruce Wayne	3, 4	2020-10-09	00		10	
Better Plant Sciences Inc.	Options	Mullen, Bruce Wayne	3, 4	2020-10-09	00		500,000	
Better Plant Sciences Inc.	Warrants	Mullen, Bruce Wayne	3, 4	2020-10-09	00		7,300,000	
Better Plant Sciences Inc.	Warrants	Mullen, Bruce Wayne	3, 4	2020-10-09	00		11,127,767	
Better Plant Sciences Inc.	Warrants	Mullen, Bruce Wayne	3, 4	2020-10-09	00		10	
BevCanna Enterprises Inc.	Common Shares	Campbell, Norman John	4, 5	2019-06-21	00			

**Insider Reporting**

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BevCanna Enterprises Inc.	Common Shares	Campbell, Norman John	4, 5	2020-10-21	51	0.3	300,000	300,000
BevCanna Enterprises Inc.	Options	Campbell, Norman John	4, 5	2020-10-21	51		525,000	-300,000
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		-11,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-11	10	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		-10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-17	10	0.245	298,500	-10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-21	59	0.245		-1,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-21	10	0.245	777,000	-1,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	59	0.245		-9,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	10	0.245	768,000	-9,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	59	0.245		-15,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-22	10	0.245	753,000	-15,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-24	59	0.24		-13,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-24	10	0.24	740,000	-13,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-24	59	0.25		-12,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-24	10	0.25		-12,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-24	10	0.25	727,500	-12,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-28	59	0.26		-14,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-09-28	10	0.26	713,000	-14,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-01	59	0.25		-12,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-01	10	0.25	700,500	-12,500
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	59	0.25		-3,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	10	0.25	697,500	-3,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	59	26.5		-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	10	26.5	692,500	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	59	0.26		-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	10	0.26	687,500	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	59	0.255		-10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	10	0.255	677,500	-10,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	59	0.25		-25,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-02	10	0.25	652,500	-25,000

**Insider Reporting**

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BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-06	59	0.3		-15,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-06	10	0.3	637,500	-15,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-06	59	0.305		-20,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-10-06	10	0.305	617,500	-20,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-10-21	10	0.22	1,233,000	10,000
Biocure Technology Inc.	Common Shares	Kim, Sang Goo	4	2020-10-16	16	0.14		36,000
Biocure Technology Inc.	Common Shares	Kim, Sang Goo	4	2020-10-16	16	0.14	104,181	36,000
Biocure Technology Inc.	Options	Kim, Sang Goo	4	2015-08-28	00			
Biocure Technology Inc.	Options	Kim, Sang Goo	4	2020-10-16	53	0.21	36,000	36,000
Biocure Technology Inc.	Common Shares	LEE, SANG MOK	6	2020-10-16	11	0.14		35,839
Biocure Technology Inc.	Common Shares	LEE, SANG MOK	6	2020-10-16	16	0.14	27,317,506	35,839
Biocure Technology Inc.	Options	LEE, SANG MOK	6	2020-10-16	53	0.21	935,839	35,839
Biocure Technology Inc.	Common Shares	Lichtenwald, Konstantin	4, 5	2020-10-16	16	0.14	47,100	36,000
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Berd, David	5	2020-09-30	00			
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Berd, David	5	2020-10-20	50		750,000	750,000
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Kovan, Kenneth	5	2020-09-30	00			
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Kovan, Kenneth	5	2020-10-20	50		750,000	750,000
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Passin, James	3, 4, 5	2020-09-30	00			
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Passin, James	3, 4, 5	2020-10-20	50		750,000	750,000
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Wang, David	4	2020-10-20	00			
BioVaxys Technology Corp. (formerly Lions Bay Mining Corp.)	Options	Wang, David	4	2020-10-20	50		150,000	150,000
Birchcliff Energy Ltd.	Common Shares	Geremia, Bruno P.	5	2020-10-21	10	2.07	173,170	4,400
Birchcliff Energy Ltd.	Common Shares	Tonken, Aaron Jeffery	4, 5	2020-10-21	10	2.075	135,495	2,100
Birchcliff Energy Ltd.	Common Shares	Tonken, Aaron Jeffery	4, 5	2020-10-21	10	2.08	135,545	50
Birchcliff Energy Ltd.	Common Shares	Tonken, Aaron Jeffery	4, 5	2020-10-21	10	2.09	23,800	700
Bird Construction Inc.	Deferred Share Units	Bird, John Richard	4	2020-10-20	35		30,425	145
Bird Construction Inc.	Deferred Share Units	Brooks, Karyn Anne	4	2020-10-20	35		66,184	315
Bird Construction Inc.	Deferred Share Units	Charette, Paul Alphonse	4	2020-10-20	35		51,679	246
Bird Construction Inc.	Deferred Share Units	Doyle, Donald Gregory	4	2020-10-20	35		120,914	575
Bird Construction Inc.	Deferred Share Units	DuPont, Bonnie Dianne Rose	4	2020-10-20	35		77,434	368
Bird Construction Inc.	Deferred Share Units	Messier, Luc Jean-Francois	4	2020-10-20	35		71,713	341
Bird Construction Inc.	Deferred Share Units	Munkley, Ronald David	4	2020-10-20	35		96,263	458
Bird Construction Inc.	Deferred Share Units	Raboud, Paul Robert	4	2020-10-20	35		27,612	131

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Bird Construction Inc.	Deferred Share Units	Thorsteinson, Arni Clayton	4	2020-10-20	35		104,085	495
Bird River Resources Inc.	Common Shares	Dallaire, Martin	4	2020-10-23	00		112,000	
Bird River Resources Inc.	Common Shares	Dallaire, Martin	4	2020-10-23	00		100,000	
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	2020-10-22	90		214,483	-5,000
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	2014-06-01	00			
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	2020-10-22	90		5,000	5,000
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	2020-10-22	90		100,948	-9,144
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	2020-10-22	90		21,427	9,144
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-21	10	0.13	2,177,144	7,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-21	10	0.135	2,236,644	59,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-21	10	0.14	2,240,144	3,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-23	10	0.145	2,361,144	121,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-23	10	0.15	2,382,144	21,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-10-23	10	0.155	2,402,144	20,000
Blue Sky Energy Inc.	Common Shares	Apollo Lighting Corp.	3	2020-10-14	00		6,042,743	
Blue Sky Energy Inc.	Common Shares	Wachsberg, Charles	3	2018-05-23	00		6,042,743	
Blue Sky Energy Inc.	Common Shares	Wachsberg, Charles	3	2020-10-14	11		0	-6,042,743
Blue Sky Energy Inc.	Common Shares	Wachsberg, Sonia	3	2020-10-14	00		6,042,743	
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-10-16	10	0.036	2,400,097	200
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-10-19	10	0.036	2,575,097	175,000
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-10-19	10	0.035	2,588,097	13,000
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-10-20	10	0.035	2,645,097	57,000
BLUEROCK VENTURES CORP.	Common Shares	Kang, Ravinder	4	2020-10-22	11	0.05	50,000	-200,000
Bluesky Digital Assets Corp.	Common Shares	Pearlman, Anthony R.	5	2020-10-23	00		500,000	
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-10-14	10	0.3962	16,932,269	-50,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-10-15	10	0.393	16,832,269	-100,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-10-19	10	0.4058	16,433,269	-399,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-10-19	10	0.41	16,423,269	-10,000
BRP Inc.	Multiple Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-15	36		17,605,649	-190,966
BRP Inc.	Multiple Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-16	36		17,414,626	-191,023

**Insider Reporting**

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BRP Inc.	Multiple Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-21	36		15,796,615	-1,618,011
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-15	36		190,966	190,966
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-15	47		0	-190,966
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-16	36		191,023	191,023
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-16	47		0	-191,023
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-21	36		1,618,011	1,618,011
BRP Inc.	Subordinate Voting Shares	Bain Capital Luxembourg Investments S.à r.l.	3	2020-10-21	15	75.45	0	-1,618,011
BRP Inc.	Subordinate Voting Shares	Bekenstein, Joshua	4	2020-10-15	11		21,211	21,211
BRP Inc.	Subordinate Voting Shares	Bekenstein, Joshua	4	2020-10-15	47		0	-21,211
BRP Inc.	Subordinate Voting Shares	Bekenstein, Joshua	4	2020-10-16	11		21,213	21,213
BRP Inc.	Subordinate Voting Shares	Bekenstein, Joshua	4	2020-10-16	47		0	-21,213
BURCON NUTRASCIENCE CORPORATION	Common Shares	Kappel, Peter Henry	4	2020-10-19	10	2.3	300,678	91
C21 Investments Inc.	Warrants	Kidd, Michael Starrett	4, 5	2019-06-14	55		0	-230,000
C21 Investments Inc.	Common Shares	Macdonald, Donald Bruce	4	2020-10-15	11	0.65	1,000,500	100,000
C21 Investments Inc.	Convertible Debentures	Macdonald, Donald Bruce	4	2018-12-31	16	1000		\$200
C21 Investments Inc.	Convertible Debentures	Macdonald, Donald Bruce	4	2018-12-31	16	0.8	\$200,000	\$200,000
C21 Investments Inc.	Warrants	Macdonald, Donald Bruce	4	2019-06-14	55		0	-300,000
C21 Investments Inc.	Common Shares	Werden, Leonard	4	2020-10-15	51	0.65	365,000	100,000
C21 Investments Inc.	Common Shares	Werden, Leonard	4	2020-10-15	11	0.65	265,000	-100,000
C21 Investments Inc.	Options	Werden, Leonard	4	2020-10-15	51	0.65	210,000	-100,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Manini, Anthony	4	2020-10-16	10	0.055	1,106,944	1,000,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Manini, Anthony	4	2020-10-16	10	0.055	106,944	-1,000,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Manini, Anthony	4	2020-10-16	10	0.055	6,000,014	1,000,000
Cadillac Ventures Inc.	Common Shares	Brewster, Norman	5	2020-10-22	10	0.025	6,413,720	-100,000
Canacol Energy Ltd.	Common Shares	Fourth Sail Capital, LP	3	2020-10-13	10	3.3808	29,916,429	158,100
Canacol Energy Ltd.	Common Shares	Fourth Sail Capital, LP	3	2020-10-15	10	3.3818	29,927,629	11,200
Canadian National Railway Company	Directors Deferred Share Units	McKenzie, Margaret Anne	4	2020-10-06	00			
Canadian National Railway Company	Directors Deferred Share Units	McKenzie, Margaret Anne	4	2020-10-22	56	137.93	690	690
Canadian Silver Hunter Inc.	Common Shares	Towers, Timothy D.	4	2020-10-16	10	0.09	15,000	4,000
Canarc Resource Corp.	Warrants	MALHOTRA, DEEPAK	4	2020-10-07	53			100,000
Canarc Resource Corp.	Warrants	MALHOTRA, DEEPAK	4	2020-10-07	53		125,000	50,000

**Insider Reporting**

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CANEX Metals Inc. (formerly Northern Abitibi Mining Corp.)	Common Shares	Altius Minerals Corporation	3	2020-10-15	54	0.1	6,805,000	2,000,000
CANEX Metals Inc. (formerly Northern Abitibi Mining Corp.)	Warrants	Altius Minerals Corporation	3	2020-10-15	54	0.1	500,000	-2,000,000
Cannara Biotech Inc. (formerly, Dunbar Capital Corp.)	Common Shares	Ryer, Lennie	5	2020-10-15	10	0.085	591,078	150,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-19	10	0.21	8,215,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-19	10	0.215	8,222,000	7,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-20	10	0.215	8,230,000	8,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-21	10	0.215	8,235,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-21	10	0.21	8,242,000	7,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-22	10	0.215	8,247,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-22	10	0.21	8,252,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-23	10	0.21	8,257,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-23	10	0.215	8,262,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-10-23	10	0.2	8,272,000	10,000
Cardero Resource Corp.	Common Shares	Kopple, Robert Charles	3	2020-10-23	10	0.04	24,309,823	49,000
Centerra Gold Inc.	Deferred Share Units	Connor, Richard Webster	4	2020-08-28	30		58,649	176
Centerra Gold Inc.	Common Shares	D'Orazio, Claudia	5	2020-02-10	00			
Centerra Gold Inc.	Common Shares	D'Orazio, Claudia	5	2020-10-09	30	15.45	656	656
Centerra Gold Inc.	Performance Share Units	D'Orazio, Claudia	5	2020-08-28	30		22,956	69
Centerra Gold Inc.	Rights Restricted Share Units	D'Orazio, Claudia	5	2020-08-28	30		26,514	79
Centerra Gold Inc.	Common Shares	Desjardins, Daniel Richard	5	2020-08-28	30		111,923	35
Centerra Gold Inc.	Common Shares	Desjardins, Daniel Richard	5	2020-10-09	30	15.45	112,894	971
Centerra Gold Inc.	Performance Share Units	Desjardins, Daniel Richard	5	2020-08-28	30		85,926	260
Centerra Gold Inc.	Rights Restricted Share Units	Desjardins, Daniel Richard	5	2020-08-28	30		33,909	102
Centerra Gold Inc.	Rights Restricted Share Units	Kasenov, Dushenaly	4	2020-08-28	30		5,252	15
Centerra Gold Inc.	Rights Restricted Share Units	Kobonbaev, Maksat	4	2020-08-28	30		5,277	15
Centerra Gold Inc.	Common Shares	Kwong, Dennis	5	2020-08-28	30		42,080	22
Centerra Gold Inc.	Common Shares	Kwong, Dennis	5	2020-10-09	30	15.45	43,000	920
Centerra Gold Inc.	Performance Share Units	Kwong, Dennis	5	2020-08-28	30		119,464	363
Centerra Gold Inc.	Rights Restricted Share Units	Kwong, Dennis	5	2020-08-28	30		61,371	183
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2020-08-28	30		14,382	22
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2020-10-09	30	15.45	15,397	1,015
Centerra Gold Inc.	Performance Share Units	Millman, Darren	5	2020-08-28	30		149,773	455
Centerra Gold Inc.	Rights Restricted Share Units	Millman, Darren	5	2020-08-28	30		116,485	348
Centerra Gold Inc.	Rights Restricted Share Units	Oskombaev, Askar	4	2020-08-28	30		15,988	48

**Insider Reporting**

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Centerra Gold Inc.	Rights Restricted Share Units	Parrett, Michael S.	4	2020-08-28	30		95,643	287
Centerra Gold Inc.	Common Shares	Pearson, John William	5	2020-08-28	30		16,677	20
Centerra Gold Inc.	Common Shares	Pearson, John William	5	2020-10-09	30	15.45	17,056	379
Centerra Gold Inc.	Performance Share Units	Pearson, John William	5	2020-08-28	30		36,349	110
Centerra Gold Inc.	Rights Restricted Share Units	Pearson, John William	5	2020-08-28	30		28,052	83
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2020-08-28	30		112,203	1
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2020-10-09	30	15.45	113,852	1,649
Centerra Gold Inc.	Performance Share Units	Perry, Scott Graeme	5	2020-08-28	30		335,816	1,022
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2020-08-28	30		248,958	748
Centerra Gold Inc.	Deferred Share Units	Pressler, Sheryl	4	2020-08-28	30		32,289	97
Centerra Gold Inc.	Common Shares	Rehman, Yousef	5	2020-08-28	30		17,296	44
Centerra Gold Inc.	Common Shares	Rehman, Yousef	5	2020-10-09	30	15.45	18,166	870
Centerra Gold Inc.	Performance Share Units	Rehman, Yousef	5	2020-08-28	30		109,350	332
Centerra Gold Inc.	Rights Restricted Share Units	Rehman, Yousef	5	2020-08-28	30		44,486	133
Centerra Gold Inc.	Deferred Share Units	Walter, Bruce V.	4	2020-08-28	30		162,112	487
Centerra Gold Inc.	Rights Restricted Share Units	Walter, Bruce V.	4	2020-08-28	30		29,665	89
Centerra Gold Inc.	Deferred Share Units	Wright, Paul Nicholas	4	2020-08-28	30		809	2
Centerra Gold Inc.	Rights Restricted Share Units	Wright, Paul Nicholas	4	2020-08-28	30		539	1
Centerra Gold Inc.	Deferred Share Units	Yurkovich, Susan L.	4	2020-08-28	30		47,267	142
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Bouchard, Alain	4	2020-10-22	56	87.45	20,837	450
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Cope, George	4	2020-10-22	56	87.45	1,346	451
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Doré, Paule	4	2020-10-22	56	87.45	13,295	226
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Evans, Richard B.	4	2020-10-22	56	87.45	35,027	596
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Hearn, Timothy James	4	2020-10-22	56	87.45	8,328	250
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Labbé, Gilles	4	2020-10-22	56	87.45	29,809	501
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Pedersen, Mike	4	2020-10-22	56	87.45	8,221	450
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Poloz, Stephen Shawn	4	2020-10-22	56	87.45	298	225
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Roach, Michael	4	2020-10-22	56	87.45	5,104	225
CGI Inc.	Deferred Stock Unit (DSUs) / Unités d'actions différées UAD	Waller, Kathy Nadine	4	2020-10-22	56	87.45	3,712	298
CHAR Technologies Ltd.	Common Shares	Anderson, Ian	4	2020-10-16	16	0.1	1,046,809	100,000
CHAR Technologies Ltd.	Common Shares	Beutel, Eric Marshall	4, 5	2020-10-16	16	0.1	1,645,272	300,000
CHAR Technologies Ltd.	Common Shares	Bobbie, Brian Andrew	5	2020-10-16	16	0.1	327,348	100,000
CHAR Technologies Ltd.	Common Shares	Clarke, Lyle Frank	4	2013-12-11	00			

**Insider Reporting**

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CHAR Technologies Ltd.	Common Shares	Clarke, Lyle Frank	4	2020-10-16	16	0.1	100,000	100,000
CHAR Technologies Ltd.	Common Shares	Gallander, Benjamin	4	2020-07-01	00			
CHAR Technologies Ltd.	Common Shares	Gallander, Benjamin	4	2020-10-16	16	0.1	100,000	100,000
CHAR Technologies Ltd.	Common Shares	Korol, Mark	5	2020-04-01	00			
CHAR Technologies Ltd.	Common Shares	Korol, Mark	5	2020-10-16	16	0.1	200,000	200,000
CHAR Technologies Ltd.	Common Shares	Macri, Enzo	4	2020-10-16	16	0.1	1,164,026	200,000
CHAR Technologies Ltd.	Common Shares	Sbrolla, James	3, 4	2020-10-16	16	0.1	5,897,606	500,000
CHAR Technologies Ltd.	Common Shares	White, Andrew James	3, 5	2020-10-16	16	0.1	5,075,000	200,000
CHAR Technologies Ltd.	Common Shares	White, William	4, 5	2020-10-16	16	0.1	801,780	150,000
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Hammer, Russell	5	2020-10-15	36		11,949	789
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Rights Restricted Share Awards	Hammer, Russell	5	2020-10-15	36		53,095	-1,111
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Stanley, Joel	4	2020-10-16	10	4.1331	549,208	63,000
Chorus Aviation Inc.	Options	RIDOLFI, Steven	7	2020-10-01	52		0	-500,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-10-21	10	0.7	7,549,747	2,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-10-21	10	0.7	7,551,247	1,500
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-10-21	10	0.7	7,552,747	1,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-10-16	10	0.72	4,705,600	50,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-10-19	10	0.7	4,731,100	25,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-10-20	10	0.7	4,733,400	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-10-22	10	0.7	4,735,400	2,000
Citation Growth Corp.	Common Shares	CORNISH, KEVIN	1, 5	2020-08-04	46	0.097	2,769,482	51,547
Citation Growth Corp.	Common Shares	CORNISH, KEVIN	1, 5	2020-10-15	46	0.0915	2,879,510	110,028
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Lee, Daniel Chung Man	5	2020-10-19	00			
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Lee, Daniel Chung Man	5	2020-10-19	00		5,250	
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Options	Lee, Daniel Chung Man	5	2020-10-19	00			
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Options	Lee, Daniel Chung Man	5	2020-10-21	50	2.4	400,000	400,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2020-10-19	10	0.06	995,000	30,000

**Insider Reporting**

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Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2020-10-22	10	0.06	1,005,000	10,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2020-10-23	10	0.055	1,009,000	4,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-13	10	3.7443	134,003	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-14	10	3.9407	133,003	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-15	10	3.6981	132,003	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-16	10	3.8301	131,003	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-19	10	3.8462	130,003	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-10-20	10	3.8101	129,003	-1,000
Conquest Resources Limited	Common Shares	OBRADOVICH, THOMAS JOHN	4, 5	2020-10-16	00		2,300,000	
Conquest Resources Limited	Options	OBRADOVICH, THOMAS JOHN	4, 5	2020-10-16	00		800,000	
Contact Gold Corp.	Rights Deferred Share Units	Davies, Richard	4	2020-10-15	56		145,567	50,000
Contact Gold Corp.	Rights Deferred Share Units	Lalani, Riyaz	4	2020-10-15	56		320,982	57,142
Contact Gold Corp.	Common Shares	Salamis, George	4	2020-10-15	56		185,292	50,000
Contact Gold Corp.	Rights	Wellings, Mark	4	2020-10-15	56		280,859	50,000
COPPER REEF MINING CORPORATION	Common Shares	Cudney, Robert Douglas	3	2019-11-22	10	0.39		6,000
COPPER REEF MINING CORPORATION	Common Shares	Cudney, Robert Douglas	3	2019-11-22	10	0.39		6,000
COPPER REEF MINING CORPORATION	Common Shares	Cudney, Robert Douglas	3	2020-01-08	10	0.4216		15,000
COPPER REEF MINING CORPORATION	Common Shares	Cudney, Robert Douglas	3	2020-01-08	10	0.4216		15,000
Corsa Coal Corp.	Options	Cushmore, Frederick N.	7	2020-10-09	52		0	-527,500
Corvus Gold Inc.	Common Shares	Aaker, Steve	4	2020-10-15	10	3.481		54,500
Corvus Gold Inc.	Common Shares	Aaker, Steve	4	2020-10-15	10	3.481	375,500	-54,500
Corvus Gold Inc.	Common Shares	Aaker, Steve	4	2020-10-15	51	1.4	475,500	100,000
Corvus Gold Inc.	Common Shares	Aaker, Steve	4	2020-10-15	51	0.46	525,500	50,000
Corvus Gold Inc.	Common Shares	Aaker, Steve	4	2020-10-15	10	0.49	575,500	50,000
Corvus Gold Inc.	Options	Aaker, Steve	4	2020-10-15	51	1.4	675,000	-100,000
Corvus Gold Inc.	Options	Aaker, Steve	4	2020-10-15	51	0.46	625,000	-50,000
Corvus Gold Inc.	Options	Aaker, Steve	4	2020-10-15	51	0.49	575,000	-50,000
Corvus Gold Inc.	Common Shares	BRECHTEL, Carl	5	2020-10-15	10	3.481	196,100	-78,900
Corvus Gold Inc.	Common Shares	BRECHTEL, Carl	5	2020-10-16	51	0.46	241,100	45,000
Corvus Gold Inc.	Common Shares	BRECHTEL, Carl	5	2020-10-16	51	0.49	366,100	125,000
Corvus Gold Inc.	Options	BRECHTEL, Carl	5	2020-10-16	51	0.46	875,000	-45,000
Corvus Gold Inc.	Options	BRECHTEL, Carl	5	2020-10-16	51	0.49	750,000	-125,000
Corvus Gold Inc.	Options	BRECHTEL, Carl	5	2020-10-22	52	0.92	650,000	-100,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Corvus Gold Inc.	Common Shares	Drescher, Anton J.	4	2020-10-16	51	0.46	1,040,838	50,000
Corvus Gold Inc.	Common Shares	Drescher, Anton J.	4	2020-10-16	51	0.49	1,115,838	75,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.46	650,000	-50,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.49	575,000	-75,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.46	525,000	-50,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.49	450,000	-75,000
Corvus Gold Inc.	Options	LARGENT, RONALD	4	2019-03-11	00			
Corvus Gold Inc.	Options	LARGENT, RONALD	4	2019-03-11	00		350,000	
Corvus Gold Inc.	Common Shares	PONTIUS, Jeffrey A.	4, 5	2020-10-16	51	1.4		250,000
Corvus Gold Inc.	Common Shares	PONTIUS, Jeffrey A.	4, 5	2020-10-16	51	1.4	3,497,366	220,000
Corvus Gold Inc.	Common Shares	Yarrow, Edward William	4	2020-10-16	51	0.46	275,000	50,000
Corvus Gold Inc.	Common Shares	Yarrow, Edward William	4	2020-10-16	51	0.49	325,000	50,000
Corvus Gold Inc.	Common Shares	Yarrow, Edward William	4	2020-10-16	51	3.2515	225,000	-100,000
Corvus Gold Inc.	Common Shares	Yarrow, Edward William	4	2020-10-20	51	1.4	325,000	100,000
Corvus Gold Inc.	Common Shares	Yarrow, Edward William	4	2020-10-22	10	3.0159	250,000	-75,000
Corvus Gold Inc.	Options	Yarrow, Edward William	4	2020-10-16	51	0.46	725,000	-50,000
Corvus Gold Inc.	Options	Yarrow, Edward William	4	2020-10-16	51	0.49	675,000	-50,000
Corvus Gold Inc.	Options	Yarrow, Edward William	4	2020-10-20	51	1.4	575,000	-100,000
Crest Resources Inc.	Options	Huggins, Christopher	5	2020-09-09	00			
Crest Resources Inc.	Options	Huggins, Christopher	5	2020-10-05	50	0.12	200,000	200,000
Crew Energy Inc.	Common Shares	Dever, Paul Andrew	5	2020-10-16	10	0.41	218,239	1,000
Crew Energy Inc.	Common Shares	Shwed, Dale Orest	5	2020-10-20	10	0.44	2,564,540	20,000
Cross River Ventures Corp.	Common Shares	Fraser, John Gordon	4, 5	2019-01-16	00		833,333	
Crown Capital Partners Inc.	Common Shares	EdgePoint Investment Group Inc.	3	2018-01-23	00		179,693	
Crown Capital Partners Inc.	Common Shares	EdgePoint Investment Group Inc.	3	2018-01-23	00		899,573	
Crown Capital Partners Inc.	Common Shares	EdgePoint Investment Group Inc.	3	2018-01-23	00		580,584	
Cryptologic Corp. (formerly, Vogogo Inc.)	Options	Johnson, Dale Patrick	4	2020-10-20	50		1,500,000	1,500,000
Cryptologic Corp. (formerly, Vogogo Inc.)	Options	Lebovic, Joshua Saul Gideon	5	2020-06-30	00			
Cryptologic Corp. (formerly, Vogogo Inc.)	Options	Lebovic, Joshua Saul Gideon	5	2020-10-20	50		100,000	100,000
Current Water Technologies Inc.	Options	Kammourie, MOHAMAD NIZAR	4	2020-10-15	50	0.05	1,800,000	550,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-10-16	10	0.145	319,500	27,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-10-19	10	0.145	324,000	4,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-10-20	10	0.145	331,000	7,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-10-22	10	0.15	360,000	29,000
DealNet Capital Corp.	Common Shares	De Laurentiis, Joanne	4	2020-10-19	22	0.16	0	-692,800
DealNet Capital Corp.	Options	De Laurentiis, Joanne	4	2020-10-19	22		0	-1,350,000
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2020-09-11	10	0.099	2,316,699	385,000
Delphi Energy Corp.	Common Shares Class A	Concise Capital Management LP	3	2020-10-16	00		186,350	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Delphi Energy Corp.	Common Shares Class A	Concise Capital Management LP	3	2020-10-16	00		228,114	
Delphi Energy Corp.	Common Shares Class A	Concise Capital Management LP	3	2020-10-16	00		459,135	
Delphi Energy Corp.	Common Shares Class A	Concise Capital Management LP	3	2020-10-16	00		34,113	
Delphi Energy Corp.	Common Shares Class A	Concise Capital Management LP	3	2020-10-16	00		14,996	
Delphi Energy Corp.	Options	Gallie, Peter Eric	4	2019-09-23	00			
Delphi Energy Corp.	Options	Gallie, Peter Eric	4	2020-10-16	50			53,733
Delphi Energy Corp.	Options	Gallie, Peter Eric	4	2020-10-16	50	15	53,733	53,733
Delphi Energy Corp.	Restricted Share Units	Gallie, Peter Eric	4	2019-09-23	00			
Delphi Energy Corp.	Restricted Share Units	Gallie, Peter Eric	4	2020-10-16	56			68,668
Delphi Energy Corp.	Restricted Share Units	Gallie, Peter Eric	4	2020-10-16	56	0.01	68,668	68,668
Delphi Energy Corp.	Common Shares	Galvin, Michael	5	2020-10-16	38		0	-24,665
Delphi Energy Corp.	Common Shares	Galvin, Michael	5	2020-10-16	38		0	-15,253
Delphi Energy Corp.	Options	Galvin, Michael	5	2020-10-16	38		0	-38,333
Delphi Energy Corp.	Options	Galvin, Michael	5	2010-04-29	00			
Delphi Energy Corp.	Options	Galvin, Michael	5	2020-10-16	50			36,532
Delphi Energy Corp.	Options	Galvin, Michael	5	2020-10-16	50	15	36,532	36,532
Delphi Energy Corp.	Restricted Share Units	Galvin, Michael	5	2010-04-29	00			
Delphi Energy Corp.	Restricted Share Units	Galvin, Michael	5	2020-10-16	56			11,569
Delphi Energy Corp.	Restricted Share Units	Galvin, Michael	5	2020-10-16	56	0.01	11,569	11,569
Delphi Energy Corp.	Common Shares	Luminus Delphi Holdings II Ltd.	3	2020-10-16	38		0	-14,065,138
Delphi Energy Corp.	Common Shares	Luminus Energy IE Designated Activity Company	3	2020-10-16	38		0	-14,065,138
Delphi Energy Corp.	Common Shares Class A	Luminus Energy IE Designated Activity Company	3	2019-10-21	00			
Delphi Energy Corp.	Common Shares Class A	Luminus Energy IE Designated Activity Company	3	2020-10-16	36		2,601,167	2,601,167
Delphi Energy Corp.	Warrants 4/15/23	Luminus Energy IE Designated Activity Company	3	2020-10-16	38		0	-33,204,500
Delphi Energy Corp.	Common Shares	Nobakht, Morteza	5	2020-10-16	38		0	-3,276
Delphi Energy Corp.	Options	Nobakht, Morteza	5	2020-10-16	38		0	-18,333
Delphi Energy Corp.	Options	Nobakht, Morteza	5	2019-11-15	00			
Delphi Energy Corp.	Options	Nobakht, Morteza	5	2020-10-16	50	15	26,182	26,182
Delphi Energy Corp.	Restricted Share Units	Nobakht, Morteza	5	2019-11-15	00			
Delphi Energy Corp.	Restricted Share Units	Nobakht, Morteza	5	2020-10-16	56	0.01	10,351	10,351
Delphi Energy Corp.	Common Shares	Quansah, Karyssa B.	5	2020-10-16	38		0	-3,230
Delphi Energy Corp.	Common Shares Class A	Quansah, Karyssa B.	5	2019-11-22	00			
Delphi Energy Corp.	Common Shares RRSP	Quansah, Karyssa B.	5	2020-10-16	38		0	-9,515
Delphi Energy Corp.	Options	Quansah, Karyssa B.	5	2020-10-16	38		0	-5,333
Delphi Energy Corp.	Options	Quansah, Karyssa B.	5	2019-11-22	00			
Delphi Energy Corp.	Options	Quansah, Karyssa B.	5	2020-10-16	50	15	26,182	26,182
Delphi Energy Corp.	Restricted Share Units	Quansah, Karyssa B.	5	2019-11-22	00			
Delphi Energy Corp.	Restricted Share Units	Quansah, Karyssa B.	5	2020-10-16	56	0.01	10,351	10,351
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	2020-10-16	38		0	-86,363
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	2020-10-16	38		0	-6,918
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	2020-10-16	38		0	-353
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	2020-10-16	38		0	-129
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	2020-10-16	38		0	-36,882
Delphi Energy Corp.	Options	Reid, David James	4, 5	2020-10-16	38		0	-48,333
Delphi Energy Corp.	Options	Reid, David James	4, 5	2003-06-19	00			
Delphi Energy Corp.	Options	Reid, David James	4, 5	2020-10-16	50	15	67,128	67,128
Delphi Energy Corp.	Restricted Share Units	Reid, David James	4, 5	2003-06-19	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Delphi Energy Corp.	Restricted Share Units	Reid, David James	4, 5	2020-10-16	56	0.01	85,090	85,090
Delphi Energy Corp.	Common Shares Class A	Schneider, Timothy James	4	2019-09-23	00			
Delphi Energy Corp.	Options	Schneider, Timothy James	4	2019-09-23	00			
Delphi Energy Corp.	Options	Schneider, Timothy James	4	2020-10-16	50			67,128
Delphi Energy Corp.	Options	Schneider, Timothy James	4	2020-10-16	50	15	67,128	67,128
Delphi Energy Corp.	Restricted Share Units	Schneider, Timothy James	4	2019-09-23	00			
Delphi Energy Corp.	Restricted Share Units	Schneider, Timothy James	4	2020-10-16	56			85,090
Delphi Energy Corp.	Restricted Share Units	Schneider, Timothy James	4	2020-10-16	56	0.01	85,090	85,090
Delphi Energy Corp.	Options	Singh, Shawn Raju	4	2020-03-10	00			
Delphi Energy Corp.	Options	Singh, Shawn Raju	4	2020-10-16	50	15	27,551	27,551
Delphi Energy Corp.	Restricted Share Units	Singh, Shawn Raju	4	2020-03-10	00			
Delphi Energy Corp.	Restricted Share Units	Singh, Shawn Raju	4	2020-10-16	56	0.01	33,317	33,317
Denison Mines Corp.	Common Shares	Cates, David Daniel	4, 5	2020-10-14	15	0.37	915,000	30,000
Desert Mountain Energy Corp.	Common Shares	Schiller, Edward A.	4	2020-10-22	10	1.7	0	-5,000
Devonian Health Group Inc.	Subordinate Voting Shares	Bernier, Jacques	4	2020-10-19	45	0.149	943,290	33,832
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-09-15	10	0.27	1,943,500	6,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-09-30	10	0.24	1,972,000	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-01	10	0.24	1,974,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-05	10	0.22	1,977,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-05	10	0.24	1,978,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.235	2,011,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.27	2,013,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.26	2,017,000	4,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.265	2,027,000	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.25	2,032,000	5,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.275	2,034,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.25	2,036,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.25	2,038,500	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-06	10	0.245	2,040,000	1,500

**Insider Reporting**

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DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-07	10	0.26	2,046,000	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-07	10	0.26	2,047,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-08	10	0.25	2,049,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-09	10	0.24	2,050,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-14	10	0.21	2,055,000	5,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-14	10	0.21	2,060,000	5,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-14	10	0.21	2,070,000	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-15	10	0.19	2,080,000	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-15	10	0.19	2,105,000	25,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-16	10	0.215	2,107,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-16	10	0.215	2,115,000	8,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-19	10	0.21	2,130,000	15,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-19	10	0.215	2,132,500	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-19	10	0.2	2,157,500	25,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-19	10	0.215	2,160,000	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-20	10	0.21	2,162,500	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-21	10	0.235	2,163,611	1,111
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-21	10	0.23	2,166,111	2,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-21	10	0.235	2,176,111	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-21	10	0.235	2,186,111	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-21	10	0.235	2,196,111	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-22	10	0.225	2,201,111	5,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-13	10	0.21	424,500	3,000

**Insider Reporting**

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DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-22	10	0.2	415,000	-9,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-10-22	10	0.22	436,500	21,500
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-10-16	10	0.64	1,617,934	15,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-10-16	10	0.56	1,667,934	50,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-10-19	10	0.62	1,672,934	5,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-10-19	10	0.63	1,572,934	-100,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-10-19	10	0.61	4,445,292	100,000
Diagnos Inc.	Common Shares	Massue, Marc-André	5	2020-10-14	51	0.2	75,000	75,000
Diagnos Inc.	Options	Massue, Marc-André	5	2020-10-14	51	0.2		75,000
Diagnos Inc.	Options	Massue, Marc-André	5	2020-10-14	51	0.2	210,000	-75,000
Digital Consumer Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-10-19	10	12.415	0	-1,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-10-19	38	12.383	656,000	400
Digital Consumer Dividend Fund	Trust Units	Lauzon, Robert	7	2020-10-19	10	12.403	10,600	-6,600
Digital Consumer Dividend Fund	Trust Units	Lauzon, Robert	7	2020-10-20	10	12.33	7,200	-3,400
Dore Copper Mining Corp.	Common Shares	Mast, Ernest Mast	4, 5	2020-10-16	10	0.6	1,260,800	10,000
Dundee Corporation	Rights Deferred Share Units	Murphy, Lila	4	2020-10-15	56	1.3615	48,067	4,590
Dundee Corporation	Rights Deferred Share Units	Nixon, Peter	4	2020-10-15	56	1.3615	73,840	7,344
Dundee Corporation	Rights Deferred Share Units	Palmiere, Allen J.	4	2020-10-15	56	1.3615	56,453	8,377
Dundee Precious Metals Inc.	Rights Performance Share Units	Dorfman, Michael Ryan	5	2020-10-15	35	10	78,185	216
Dundee Precious Metals Inc.	Rights Restricted Share Units	Dorfman, Michael Ryan	5	2020-10-15	35	10	51,102	144
Dundee Precious Metals Inc.	Rights Performance Share Units	Garkov, Iliya	5	2020-10-15	35	10	46,148	122
Dundee Precious Metals Inc.	Rights Restricted Share Units	Garkov, Iliya	5	2020-10-15	35	10	28,633	76
Dundee Precious Metals Inc.	Rights Deferred Share Units	Gillin, Robert Peter Charles	4	2020-10-15	35	10.32	295,077	776
Dundee Precious Metals Inc.	Rights Deferred Share Units	Goodman, Jonathan Carter	4	2020-10-15	35	0.0265	609,962	1,578
Dundee Precious Metals Inc.	Rights Performance Share Units	Hristov, Nikolay	7	2020-10-15	35	10	70,924	187
Dundee Precious Metals Inc.	Rights Restricted Share Units	Hristov, Nikolay	7	2020-10-15	35	10	45,024	119
Dundee Precious Metals Inc.	Rights Performance Share Units	Kasete, Zebra Karirondua	7	2020-10-15	35	10	46,148	122
Dundee Precious Metals Inc.	Rights Performance Share Units	Kasete, Zebra Karirondua	7	2020-10-15	35	10	46,270	122
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kasete, Zebra Karirondua	7	2020-10-15	35	10	28,633	76
Dundee Precious Metals Inc.	Rights Deferred Share Units	Kinsman, Jeremy	4	2020-10-15	35	10.32	131,477	360
Dundee Precious Metals Inc.	Rights Performance Share Units	Kyle, Hume	5	2020-10-15	35	10	149,385	394
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kyle, Hume	5	2020-10-15	35	10	94,791	250
Dundee Precious Metals Inc.	Rights Deferred Share Units	Montalvo, Juanita	4	2020-10-15	35	10.32	134,812	353
Dundee Precious Metals Inc.	Rights Deferred Share Units	Nixon, Peter	4	2020-10-15	35	10.32	164,251	450
Dundee Precious Metals Inc.	Rights Performance Share Units	RAE, DAVID	5	2020-10-15	35	10	198,071	523

**Insider Reporting**

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Dundee Precious Metals Inc.	Rights Restricted Share Units	RAE, DAVID	5	2020-10-15	35	10	140,707	371
Dundee Precious Metals Inc.	Rights Performance Share Units	Stark-Anderson, Kelly Elizabeth	5	2020-10-15	35	10	69,040	182
Dundee Precious Metals Inc.	Rights Performance Share Units	Stark-Anderson, Kelly Elizabeth	5	2020-10-15	35	10	69,222	182
Dundee Precious Metals Inc.	Rights Restricted Share Units	Stark-Anderson, Kelly Elizabeth	5	2020-10-15	35	10	49,110	130
Dundee Precious Metals Inc.	Rights Deferred Share Units	Tawil, Marie-Anne	4	2020-10-15	35	10.32	189,189	495
Dundee Precious Metals Inc.	Rights Deferred Share Units	Walsh, Anthony P.	3	2020-10-15	35	10.32	194,881	515
Dundee Precious Metals Inc.	Rights Deferred Share Units	Young, Donald Walter	4	2020-10-15	35	10.32	120,765	327
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	2020-10-23	54	0.35	6,121,500	200,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	2020-10-22	10	0.57	2,901,834	-29,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	2020-10-23	10	0.56	2,871,834	-30,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Strashin, Elliot Phillip	4	2020-10-23	54	0.35	800,000	-200,000
Dynacor Gold Mines Inc.	Common Shares	ROCHA, ISABEL	4	2020-10-21	10	1.86	13,225	4,000
Eastern Platinum Limited	Options	Cosic, Michael	4	2020-10-16	50	0.37	500,000	150,000
Eastern Platinum Limited	Options	Guan, Xin	4	2020-10-16	50	0.37	400,000	150,000
Eastern Platinum Limited	Options	Hanson, Marie Hannele	7	2020-10-16	50	0.37	220,000	120,000
Eastern Platinum Limited	Options	HU, DAXIN	4, 5	2020-10-16	50	0.37	1,300,000	450,000
Eastern Platinum Limited	Options	Shi, Bielin	4	2020-10-16	50	0.37	500,000	150,000
Eastern Platinum Limited	Options	Wallenius, Lars Rowland	5	2020-10-16	50	0.37	900,000	300,000
Eastern Platinum Limited	Options	Xiao, Zhang	5	2020-10-16	50	0.37	900,000	300,000
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2020-10-16	30	18.08	1,372	27
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2020-10-16	30	18.08	3,412	69
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2020-10-16	30	18.08	23,662	230
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2020-10-16	30	18.08	7,576	74
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2020-10-16	30	18.08	1,137	119
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2020-10-16	30	18.08	3,545	74
Elemental Royalties Corp.	Common Shares	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00		2,136,584	
Elemental Royalties Corp.	Common Shares	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	22			2,136,584
Elemental Royalties Corp.	Common Shares	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	22			2,136,584

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Elemental Royalties Corp.	Options	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00			
Elemental Royalties Corp.	Options	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00		30,000	
Elemental Royalties Corp.	Options	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	50			30,000
Elemental Royalties Corp.	Options	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	50			30,000
Elemental Royalties Corp.	Performance Share Units	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00			
Elemental Royalties Corp.	Performance Share Units	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00		1,713,640	
Elemental Royalties Corp.	Performance Share Units	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	56			1,713,640
Elemental Royalties Corp.	Performance Share Units	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	56			1,713,640
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	00		1,935,016	
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	22			1,935,016
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	22			1,935,016
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	00		1,105,468	
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	22			1,105,468
Elemental Royalties Corp.	Common Shares	Evans, Richard	5	2020-07-28	22			1,105,468
Elemental Royalties Corp.	Options	Evans, Richard	5	2020-07-28	00			
Elemental Royalties Corp.	Options	Evans, Richard	5	2020-07-28	00		30,000	
Elemental Royalties Corp.	Options	Evans, Richard	5	2020-07-28	50			30,000
Elemental Royalties Corp.	Options	Evans, Richard	5	2020-07-28	50			30,000
Elemental Royalties Corp.	Performance Share Units	Evans, Richard	5	2020-07-28	00			
Elemental Royalties Corp.	Performance Share Units	Evans, Richard	5	2020-07-28	00		615,374	
Elemental Royalties Corp.	Performance Share Units	Evans, Richard	5	2020-07-28	56			615,374
Elemental Royalties Corp.	Performance Share Units	Evans, Richard	5	2020-07-28	56			615,374
Elemental Royalties Corp.	Common Shares	Owen, Gregor Drennan Stewart	5	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Owen, Gregor Drennan Stewart	5	2020-07-28	00		42,129	
Elemental Royalties Corp.	Common Shares	Owen, Gregor Drennan Stewart	5	2020-07-28	22			42,129
Elemental Royalties Corp.	Common Shares	Owen, Gregor Drennan Stewart	5	2020-07-28	22			42,129
Elemental Royalties Corp.	Options	Owen, Gregor Drennan Stewart	5	2020-07-28	00			
Elemental Royalties Corp.	Options	Owen, Gregor Drennan Stewart	5	2020-07-28	00		30,000	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Elemental Royalties Corp.	Options	Owen, Gregor Drennan Stewart	5	2020-07-28	50			30,000
Elemental Royalties Corp.	Options	Owen, Gregor Drennan Stewart	5	2020-07-28	50			30,000
Elemental Royalties Corp.	Performance Share Units	Owen, Gregor Drennan Stewart	5	2020-07-28	00			
Elemental Royalties Corp.	Performance Share Units	Owen, Gregor Drennan Stewart	5	2020-07-28	00		191,581	
Elemental Royalties Corp.	Performance Share Units	Owen, Gregor Drennan Stewart	5	2020-07-28	56			191,581
Elemental Royalties Corp.	Performance Share Units	Owen, Gregor Drennan Stewart	5	2020-07-28	56			191,581
Elemental Royalties Corp.	Common Shares	Turenne, Martin Emery Joseph	4	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Turenne, Martin Emery Joseph	4	2020-07-28	00		30,072	
Elemental Royalties Corp.	Common Shares	Turenne, Martin Emery Joseph	4	2020-07-28	22			30,072
Elemental Royalties Corp.	Common Shares	Turenne, Martin Emery Joseph	4	2020-07-28	22			30,072
Elemental Royalties Corp.	Options	Turenne, Martin Emery Joseph	4	2020-07-28	00			
Elemental Royalties Corp.	Options	Turenne, Martin Emery Joseph	4	2020-07-28	00		175,000	
Elemental Royalties Corp.	Options	Turenne, Martin Emery Joseph	4	2020-07-28	50			175,000
Elemental Royalties Corp.	Options	Turenne, Martin Emery Joseph	4	2020-07-28	50			175,000
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	00		1,983,860	
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	22			1,983,860
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	22			1,983,860
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	00			
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	00		967,511	
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	22			967,511
Elemental Royalties Corp.	Common Shares	Williams, Peter Kym	4	2020-07-28	22			967,511
Elemental Royalties Corp.	Options	Williams, Peter Kym	4	2020-07-28	00			
Elemental Royalties Corp.	Options	Williams, Peter Kym	4	2020-07-28	00		175,000	
Elemental Royalties Corp.	Options	Williams, Peter Kym	4	2020-07-28	50			175,000
Elemental Royalties Corp.	Options	Williams, Peter Kym	4	2020-07-28	50			175,000
Empire Company Limited	Rights PSU (Performance Share Units)	Sanderson, Sandra	5	2020-10-21	56		7,306	3,905
enCore Energy Corp.	Common Shares	Cherry, Richard	4	2020-10-22	16	0.4	320,000	20,000
enCore Energy Corp.	Warrants	Cherry, Richard	4	2014-12-31	00			
enCore Energy Corp.	Warrants	Cherry, Richard	4	2020-10-22	16	0.6	10,000	10,000
enCore Energy Corp.	Common Shares	Goranson, William Paul	4, 5	2020-10-22	16	0.4	288,500	67,500
enCore Energy Corp.	Warrants	Goranson, William Paul	4, 5	2020-09-14	00			
enCore Energy Corp.	Warrants	Goranson, William Paul	4, 5	2020-10-22	16	0.6	33,750	33,750
enCore Energy Corp.	Common Shares	Harris, William	4	2020-10-22	16	0.4	503,333	20,000
enCore Energy Corp.	Warrants	Harris, William	4	2009-10-30	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
enCore Energy Corp.	Warrants	Harris, William	4	2020-10-22	16	0.6	10,000	10,000
enCore Energy Corp.	Common Shares	Pelizza, Mark	4	2020-10-22	16	0.4	420,000	20,000
enCore Energy Corp.	Warrants	Pelizza, Mark	4	2014-12-18	00			
enCore Energy Corp.	Warrants	Pelizza, Mark	4	2020-10-22	16	0.6	10,000	10,000
enCore Energy Corp.	Common Shares	Sheriff, William Morris	4	2020-10-22	16	0.4	6,124,667	210,000
enCore Energy Corp.	Warrants	Sheriff, William Morris	4	2020-10-22	16	0.6	105,000	105,000
enCore Energy Corp.	Common Shares	Stover, Dennis Eugene	4, 5	2020-10-22	16	0.4	925,000	100,000
enCore Energy Corp.	Warrants	Stover, Dennis Eugene	4, 5	2015-08-01	00			
enCore Energy Corp.	Warrants	Stover, Dennis Eugene	4, 5	2020-10-22	16	0.6	50,000	50,000
enCore Energy Corp.	Common Shares	Tewalt, Nathan A.	4	2020-10-22	16	0.4		20,000
enCore Energy Corp.	Common Shares	Tewalt, Nathan A.	4	2020-10-22	16	0.4		20,000
enCore Energy Corp.	Common Shares	Tewalt, Nathan A.	4	2020-10-22	16	0.4	1,120,000	20,000
enCore Energy Corp.	Warrants	Tewalt, Nathan A.	4	2013-05-17	00			
enCore Energy Corp.	Warrants	Tewalt, Nathan A.	4	2020-10-22	16	0.6	10,000	10,000
Enerplus Corporation	Common Shares	DUNDAS, Ian Charles	5	2020-10-21	10	2.63	184,852	20,000
Enerplus Corporation	Common Shares	Hutchings, Wade Don	5	2020-10-21	10	2.0089	200,000	13,000
Enghouse Systems Limited	Common Shares	demirian, eric	4	2020-10-16	10	75	12,100	-1,900
Enghouse Systems Limited	Common Shares	demirian, eric	4	2020-10-16	10	75	9,600	-2,500
Enghouse Systems Limited	Common Shares	demirian, eric	4	2020-10-16	10	75.3	9,500	-100
Enghouse Systems Limited	Common Shares	demirian, eric	4	2020-10-19	10	75.59	7,000	-2,500
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2020-10-19	10	75.65	6,720,100	-28,900
eQube Gaming Limited	Common Shares	janko, andrew charles	4	2018-11-22	11		3,169,371	169,100
Ero Copper Corp.	Common Shares	Wright, John H	4	2020-10-22	11		870,332	-3,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-11	38	12.153	4,400	4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-11	38		0	-4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-14	38	12.298	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-14	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-15	38	12.353	3,600	3,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-15	38		0	-3,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-16	38	11.97	4,400	4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-16	38		0	-4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-17	38	11.986	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-17	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-18	38	12.009	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-18	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-21	38	11.781	4,500	4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-21	38		0	-4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-22	38	11.898	4,200	4,200
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-22	38		0	-4,200

**Insider Reporting**

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Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-23	38	11.87	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-23	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-24	38	11.949	4,400	4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-24	38		0	-4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-25	38	11.971	4,500	4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-25	38		0	-4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-28	38	11.94	4,500	4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-28	38		0	-4,500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-29	38	11.83	2,200	2,200
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-29	38		0	-2,200
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-30	38	11.621	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2020-09-30	38		0	-4,600
Evertz Technologies Limited	Options	Moore, Douglas	5	2020-07-10	52	15.37	70,000	-4,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2020-10-16	10	12.01	331,900	-2,800
Evertz Technologies Limited	Options	Patel, Rakesh Thakor	7	2020-07-10	52			-40,000
Evertz Technologies Limited	Options	Patel, Rakesh Thakor	7	2020-07-10	52	15.37	250,000	-40,000
Evertz Technologies Limited	RSUs - can only be exercised for cash	Patel, Rakesh Thakor	7	2020-03-10	56		250,000	120,000
Evertz Technologies Limited	Options	Piccioni, Brian	7	2020-07-10	52	15.2	10,000	-4,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Adam, Louis	5	2020-08-01	00			
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Adam, Louis	5	2020-10-15	56	3.92	2,296	2,296
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Adam, Louis	5	2020-10-15	56	3.92	14,042	4,592
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Benamar, Abdelkrim	5	2020-10-15	56	3.92	27,711	15,862
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Benamar, Abdelkrim	5	2020-10-15	56	3.92	73,533	15,862
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Benamar, Abdelkrim	5	2020-10-15	56	3.92	78,490	4,957
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	BULL, STEPHEN	5	2020-10-15	56	3.92	26,244	14,839
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	BULL, STEPHEN	5	2020-10-15	56	3.92	119,096	14,839

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	BULL, STEPHEN	5	2020-10-15	56	3.92	122,394	3,298
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	BULL, STEPHEN	5	2020-10-15	57	3.92	99,990	-22,404
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	BULL, STEPHEN	5	2020-10-15	57	3.92	70,863	22,404
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	BULL, STEPHEN	5	2020-10-19	10	3.7112	48,459	-22,404
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Chabot, Stéphane	5	2020-10-15	56	3.92	17,906	10,168
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Chabot, Stéphane	5	2020-10-15	56	3.92	75,898	10,168
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Chabot, Stéphane	5	2020-10-15	56	3.92	78,684	2,786
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Chabot, Stéphane	5	2020-10-15	57	3.92	66,920	-11,764
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Chabot, Stéphane	5	2020-10-15	57	3.92	11,764	11,764
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Chabot, Stéphane	5	2020-10-19	10	3.7112	0	-11,764
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Daneau, Suzanne	5	2020-10-15	56	3.92	11,965	7,015
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Daneau, Suzanne	5	2020-10-15	56	3.92	11,965	7,015
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Daneau, Suzanne	5	2020-10-15	56	3.92	14,516	2,551
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Duford, Gabriel	5	2020-10-15	56	3.92	4,500	4,027
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Duford, Gabriel	5	2020-10-15	56	3.92	13,999	8,054
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Gagnon, Etienne	5	2020-10-15	56	3.92	13,907	8,189
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Etienne	5	2020-10-15	56	3.92	20,838	8,189
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Etienne	5	2020-10-15	56	3.92		2,551

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Etienne	5	2020-10-15	56	3.92	23,543	2,705
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Gagnon, Luc	5	2020-10-19	57	3.74		-2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	5,335	-2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-15	57	3.92	60,385	-16,944
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	57,681	-2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	46,299	-11,382
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	36,721	-9,578
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	30,137	-6,584
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Gagnon, Luc	5	2020-10-19	57	3.74	21,907	-8,230
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-15	57	3.92	42,927	16,944
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.7112	25,983	-16,944
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	28,687	2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	25,983	-2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	28,687	2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	25,983	-2,704
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	37,365	11,382
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	46,943	9,578
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	53,527	6,584

**Insider Reporting**

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EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	57	3.74	61,757	8,230
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	50,375	-11,382
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	40,797	-9,578
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	34,213	-6,584
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Gagnon, Luc	5	2020-10-19	10	3.5858	25,983	-8,230
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Johnston, Floyd Allen	5	2020-10-15	56	2.95	34,868	19,610
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Johnston, Floyd Allen	5	2020-10-15	56	2.95	64,868	19,610
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Labarre, Jean-Luc	5	2020-08-01	00			
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Labarre, Jean-Luc	5	2020-10-15	56	3.92	2,488	2,488
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Labarre, Jean-Luc	5	2020-10-15	56	3.92	14,076	4,976
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Mazzuca, Claudio	5	2020-10-15	56	3.92	19,562	10,728
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Mazzuca, Claudio	5	2020-10-15	56	3.92	97,276	10,728
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Mazzuca, Claudio	5	2020-10-15	56	3.92		3,065
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Mazzuca, Claudio	5	2020-10-15	56	3.92	98,502	1,226
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Mazzuca, Claudio	5	2020-10-15	57	3.92	80,238	-18,264
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Mazzuca, Claudio	5	2020-10-15	57	3.92	32,635	18,264
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Mazzuca, Claudio	5	2020-10-19	10	3.7112	22,513	-10,122
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Morin, Philippe	5	2020-10-15	56	3.92	66,839	37,874

**Insider Reporting**

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EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Morin, Philippe	5	2020-10-15	56	3.92	332,477	37,874
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Morin, Philippe	5	2020-10-15	56	3.92	339,363	6,886
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Pelletier, Luc	5	2020-10-15	56	3.92	9,117	7,334
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Pelletier, Luc	5	2020-10-15	56	3.92	13,399	7,334
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Plamondon, Pierre	7, 5	2020-10-15	56	3.92	31,935	18,057
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Plamondon, Pierre	7, 5	2020-10-15	56	3.92	148,474	18,057
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Plamondon, Pierre	7, 5	2020-10-15	56	3.92	152,487	4,013
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Plamondon, Pierre	7, 5	2020-10-15	57	3.92	125,347	-27,140
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Plamondon, Pierre	7, 5	2020-10-15	57	3.92	139,645	27,140
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Plamondon, Pierre	7, 5	2020-10-19	10	3.7112	124,606	-15,039
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Ringuette, Benoit	5	2020-10-15	56	3.92	4,825	2,746
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Ringuette, Benoit	5	2020-10-15	56	3.92	23,736	5,491
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Schepcke, Michael William	5	2020-10-15	56	3.92	24,064	13,335
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Schepcke, Michael William	5	2020-10-15	56	3.92	79,991	13,335
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Schepcke, Michael William	5	2020-10-19	57	3.74	77,991	-2,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Schepcke, Michael William	5	2020-10-19	57	3.74	2,000	2,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Schepcke, Michael William	5	2020-10-19	10	3.5858	0	-2,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Performance Share Units	Te Niet, Willem Jan	5	2020-10-15	56	3.92	27,798	16,245

**Insider Reporting**

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EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Te Niet, Willem Jan	5	2020-10-15	56	3.92	108,534	16,245
Exploits Discovery Corp.	Options	Collins, John Michael William	3	2020-07-27	00			
Exploits Discovery Corp.	Options	Collins, John Michael William	3	2020-10-15	50		300,000	300,000
Exploits Discovery Corp.	Common Shares	Sheriff, William Morris	4	2020-10-09	00			
Exploits Discovery Corp.	Common Shares	Sheriff, William Morris	4	2020-10-15	16	0.35	35,000	35,000
Exploits Discovery Corp.	Options	Sheriff, William Morris	4	2020-10-09	00			
Exploits Discovery Corp.	Options	Sheriff, William Morris	4	2020-10-15	50	0.57	250,000	250,000
Exploits Discovery Corp.	Warrants	Sheriff, William Morris	4	2020-10-09	00			
Exploits Discovery Corp.	Warrants	Sheriff, William Morris	4	2020-10-15	16	0.7	17,500	17,500
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Kanters, William	4	2019-10-09	37		91,840	82,657
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Kanters, William	4	2020-10-16	10	10.42	86,440	-5,400
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Kanters, William	4	2020-10-19	10	10.03	81,240	-5,200
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-16	10	3.4467	88,385	2,099
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-19	10	3.4642	90,484	2,099
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-20	10	3.5286	92,583	2,099
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-21	10	3.4133	94,682	2,099
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-22	10	3.4738	96,781	2,099
Fairfax Africa Holdings Corporation	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2020-10-23	10	3.4715	98,781	2,000
Fairfax Financial Holdings Limited	Subordinate Voting Shares	McLean, Christine N.	4	2020-09-25	10	375.01	849	21
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2020-09-25	10	375.01	25,262	47
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Weldon, William Conrad	4	2020-09-25	10	375.01	91	48
Fairfax India Holdings Corporation	Restricted Stock Units	Templeton, Lauren Cortney	4	2020-08-03	57	7.92	4,961	-621
Fairfax India Holdings Corporation	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2020-06-29	10	8.52	1,482	861
Fairfax India Holdings Corporation	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2020-06-29	10	8.52	2,292	810
Fairfax India Holdings Corporation	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2020-08-03	57	7.92	2,913	621
Fairfax India Holdings Corporation	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2020-09-25	10	7.15	3,892	979
Falcon Gold Corp.	Common Shares	Bossio, John	4	2020-02-03	50	0.05		100,000
Falcon Gold Corp.	Common Shares	Bossio, John	4	2020-02-03	50	0.05		100,000
Falcon Gold Corp.	Common Shares	Bossio, John	4	2020-07-28	51	0.05		100,000
Falcon Gold Corp.	Common Shares	Bossio, John	4	2020-07-28	51	0.05		100,000
Falcon Gold Corp.	Common Shares	Bossio, John	4	2020-07-28	51	0.05	241,000	100,000
Falcon Gold Corp.	Options	Bossio, John	4	2020-02-03	50	0.05	300,000	100,000
Falcon Gold Corp.	Options	Bossio, John	4	2020-07-28	51	0.05	200,000	-100,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Falcon Gold Corp.	Common Shares	Farley, James Donald	4	2020-10-19	10	0.145	3,434,400	20,000
Firm Capital Property Trust	Units	WALT, MANFRED	4	2020-10-19	10	5.25	227,711	5,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-19	10	0.205	478,667	7,500
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-19	10	0.22	489,167	10,500
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-19	10	0.225	503,667	14,500
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-20	10	0.21	511,167	7,500
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-20	10	0.21	516,167	5,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-22	10	0.195	525,167	9,000
First Energy Metals Limited	Common Shares	Sangha, Gurminder Singh	4, 5	2020-10-22	10	0.2	532,167	7,000
First Majestic Silver Corp.	Common Shares	Neumeyer, Keith	4, 5	2020-10-19	10	14.11	3,564,501	-30,000
First Majestic Silver Corp.	Common Shares	Neumeyer, Keith	4, 5	2020-10-20	10	14.08	3,544,501	-20,000
First Majestic Silver Corp.	Common Shares	Neumeyer, Keith	4, 5	2020-10-21	51	4.69	3,644,501	100,000
First Majestic Silver Corp.	Options	Neumeyer, Keith	4, 5	2020-10-21	51	4.69		100,000
First Majestic Silver Corp.	Options	Neumeyer, Keith	4, 5	2020-10-21	51	4.69	1,220,000	-100,000
Fortune Bay Corp.	Common Shares	Lee, Melinda	4	2020-10-22	10	1.2	9,500	2,500
Fortune Bay Corp.	Common Shares	Lee, Melinda	4	2020-10-23	10	1.2	9,600	100
Founders Advantage Capital Corp.	Common Shares Class A	Belcorp Industries Inc.	3	2020-10-19	10	1.5	7,991,000	422,500
Founders Advantage Capital Corp.	Common Shares Class A	Bruno, Trevor	4	2020-10-19	11	1.5	7,991,000	422,500
Founders Advantage Capital Corp.	Common Shares Class A	Kayat, Christopher Mark	4	2020-10-19	11	1.5	12,453,331	400,000
Founders Advantage Capital Corp.	Common Shares Class A	Mauris, Gary Brian	4	2020-10-19	11	1.5	12,453,331	400,000
Fox River Resources Corporation	Common Shares	Lotan Holdings Inc.	3	2020-10-13	10	0.07	5,150,500	6,000
Fox River Resources Corporation	Common Shares	Lotan Holdings Inc.	3	2020-10-15	10	0.07	5,153,500	3,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Bradshaw, Peter Martin Devenish	5	2020-10-21	36	0.55	30,815,078	7,750,037
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	knoche, allyn	3	2020-10-21	11	0.55		3,636,364
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	knoche, allyn	3	2020-10-21	11	0.55	27,684,457	3,636,364
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Pease, Robert	4	2020-10-21	11	0.55	1,308,300	200,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Unsecured Loan	Lord of Seven Hills Holdings FZE	3	2020-10-18	11		\$39,850,000	\$2,500,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Atkinson, Bryan Roy	5	2020-10-09	00		14,863	
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Atkinson, Bryan Roy	5	2020-10-09	00		150,000	
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Cook, Steven Mark	4	2020-10-20	50		130,000	130,000

**Insider Reporting**

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Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Henrichsen, Michael	5	2020-10-20	50		455,000	300,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Hoffman, Michael	4	2020-10-09	00		87,781	
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2016-03-11	50	3.09	29,121	29,121
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2017-09-14	50	3.04	37,872	8,751
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2018-09-18	50	1.54	49,541	11,669
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2020-01-23	50	0.86	84,547	35,006
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2020-10-09	00			
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Hoffman, Michael	4	2020-10-20	50	2.05	214,547	130,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Mason, Jeffrey Robert	4	2020-10-20	50	2.05	130,000	130,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Senez, Elizabeth Kathryn	5	2020-10-09	37		6,080	-2,920
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Senez, Elizabeth Kathryn	5	2020-10-22	10	2.02	13,080	7,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Senez, Elizabeth Kathryn	5	2020-07-01	00			
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Senez, Elizabeth Kathryn	5	2020-10-20	50	2.05	150,000	150,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Timmins, Michael	4, 5	2020-10-09	00			
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Timmins, Michael	4, 5	2020-10-20	50	2.05	1,000,000	1,000,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Options	Williams, Alison Sagateh	4	2020-10-09	00		130,000	
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Taylor, Ian McLeod	7, 5	2020-10-16	36		625,000	-279,450
Galaxy Digital Holdings Ltd.	Common Shares	Taylor, Ian McLeod	7, 5	2020-10-16	36		529,087	279,450
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-10-19	10	1.3	14,177,519	4,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-10-19	10	1.31	14,181,519	4,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-10-20	10	1.29	14,186,519	5,000

**Insider Reporting**

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Genesis Land Development Corp.	Common Shares	Mitchell, Garfield Robert	3	2020-10-15	10	1.45	18,216,020	48,700
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-10-15	10	0.225	1,752,186	3,000
Geodrill Limited	Common Shares	Geodrill Limited	1	2020-10-13	38		0	-30,200
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-10-19	10	1.97	7,934,700	-1,800
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-10-21	10	1.97	7,935,300	600
Gitennes Exploration Inc.	Common Shares	booth, kenneth david	4, 5	2020-09-11	37		382,000	-3,438,000
Gitennes Exploration Inc.	Common Shares	booth, kenneth david	4, 5	2020-09-11	37		14,450	-130,050
Gitennes Exploration Inc.	Options	booth, kenneth david	4, 5	2020-09-11	37		225,000	-2,025,000
Gitennes Exploration Inc.	Options	booth, kenneth david	4, 5	2020-10-13	52	0.165	575,000	350,000
Gitennes Exploration Inc.	Options	Matthews, George Robert	4	2020-10-13	50	0.165	1,150,000	200,000
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2020-10-16	38	12.233	5,401,105	700
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-10-15	38	12.928	1,188,900	400
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-10-19	38	13.143	1,190,100	1,200
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-10-16	38	14.083	654,700	900
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-10-19	38	13.935	656,000	1,300
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-02	10	0.12	29,035,951	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-06	10	0.115	29,036,951	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-06	10	0.12	29,037,951	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-07	10	0.12	29,038,201	250
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-09	10	0.12	29,038,701	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-10	10	0.12	29,039,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-13	10	0.12	29,040,451	750
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-15	10	0.125	29,040,951	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-15	10	0.105	29,041,451	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-20	10	0.076	29,042,451	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-27	10	0.14	29,042,951	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-07-29	10	0.125	29,043,451	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-04	10	0.15	29,043,951	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-06	10	0.16	29,044,451	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-10	10	0.107	29,044,951	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-12	10	0.155	29,046,451	1,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-13	10	0.155	29,046,951	500

**Insider Reporting**

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GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-14	10	0.15	29,047,451	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-17	10	0.15	29,048,201	750
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-17	10	0.145	29,048,701	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-18	10	0.15	29,049,201	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-19	10	0.155	29,049,701	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-25	10	0.095	29,050,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-08-31	10	0.13	29,051,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-10	10	0.11	29,059,701	8,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-10	10	0.12	29,060,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-10	10	0.115	29,063,201	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-11	10	0.082	29,065,701	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-14	10	0.12	29,070,701	5,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-14	10	0.11	29,087,701	17,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-15	10	0.12	29,088,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-17	10	0.11	29,090,701	2,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-21	10	0.12	29,091,201	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-21	10	0.11	29,092,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-23	10	0.12	29,093,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-09-25	10	0.12	29,094,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-01	10	0.11	29,097,201	3,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-01	10	0.087	29,098,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-02	10	0.115	29,103,201	5,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-05	10	0.115	29,105,701	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-06	10	0.092	29,106,701	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-07	10	0.12	29,107,201	500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-08	10	0.095	29,177,201	70,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-09	10	0.11	29,178,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-09	10	0.105	29,187,201	9,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-13	10	0.105	29,188,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-14	10	0.11	29,189,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-16	10	0.12	29,191,201	2,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-19	10	0.115	29,193,201	2,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-10-22	10	0.125	29,195,701	2,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
GMP Capital Inc.	Common Shares	Dalpe, Marc	4	2020-10-06	00			
GMP Capital Inc.	Common Shares	Dalpe, Marc	4	2020-10-20	22		604,037	604,037
GMP Capital Inc.	Common Shares	Marsh, Andrew	7	2020-10-20	00		2,028,547	
GMP Capital Inc.	Common Shares	Marsh, Andrew	7	2020-10-20	00		2,000	
GMP Capital Inc.	Common Shares	Marsh, Andrew	7	2020-10-20	00		756,583	
GMP Capital Inc.	Common Shares	Richardson Financial Group Limited	3	2020-10-20	16	2.42	67,300,139	49,129,564
GMP Capital Inc.	Common Shares	Richardson Financial Group Limited	3	2009-11-12	00			
GMP Capital Inc.	Common Shares	Richardson Financial Group Limited	3	2020-10-20	16	2.42	2,385,137	2,385,137
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	goeasy Ltd	1	2020-10-20	38		0	-6,140
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	McNeice, John Darin	5	2020-10-20	10	0.1	4,373,934	15,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	McNeice, John Darin	5	2020-10-21	10	0.1	4,395,934	22,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	McNeice, John Darin	5	2020-10-21	10	0.11	4,409,434	13,500
Golden Independence Mining Corp.	Options	Leonard, Joel	5	2020-09-09	00		250,000	
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Finkielsztain, Andres	4	2020-10-19	57		63,285	9,703
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Finkielsztain, Andres	4	2020-10-19	57		40,940	-9,703
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2020-10-14	57		66,569	4,851
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Fray, steve	5	2020-10-14	57		172,102	-4,851
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2020-10-14	57		590,134	42,239
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Premoli, Alessandro	5	2020-10-14	57		83,334	-42,239
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Turk, James J	4	2020-10-14	57		2,179,799	13,390
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Turk, James J	4	2020-10-14	57		0	-13,390
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2020-10-20	30	0.22	101,061	12,167
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2020-10-20	30	0.22	37,828	5,367
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-14	10	0.21	18,132,030	-119,900
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-15	10	0.21	18,098,330	-33,700
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-16	10	0.21	17,978,530	-119,800
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-14	10	0.22	22,462,790	-149,300
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-15	10	0.21	22,420,790	-42,000
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-16	10	0.21	22,271,490	-149,300
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-14	10	0.22	31,810,908	-210,900
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-15	10	0.21	31,751,708	-59,200
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-16	10	0.21	31,540,708	-211,000
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-14	10	0.22	2,995,100	-19,900

**Insider Reporting**

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Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-15	10	0.21	2,989,500	-5,600
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	2020-10-16	10	0.21	2,969,600	-19,900
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2020-10-20	30	0.22	157,478	17,176
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2020-10-20	30	0.22	71,338	8,588
Grande West Transportation Group Inc.	DSU	LaGourgue, John	4	2020-10-23	46	0.78	22,646	4,006
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-04-28	00			
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-20	10	0.94	11,000	11,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-20	10	0.92	36,000	25,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-20	10	0.94	40,000	4,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-21	10	0.93	59,000	19,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	0.96	109,000	50,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.03	110,000	1,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	116,000	6,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	151,000	35,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	183,500	32,500
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	184,500	1,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	0.98	207,000	22,500
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	0.98	208,000	1,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	209,000	1,000
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.03	218,700	9,700
Grande West Transportation Group Inc.	Common Shares	Leskewich, Jonathan	5	2020-10-22	10	1.02	229,200	10,500
Grande West Transportation Group Inc.	DSU	Miller, Joseph	4	2020-10-23	46	0.78		8,012
Grande West Transportation Group Inc.	DSU	Miller, Joseph	4	2020-10-23	46	0.78	82,784	8,012
Grande West Transportation Group Inc.	DSU	Strong, Christopher Davis	4	2020-10-23	46	0.78	88,963	8,550

**Insider Reporting**

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Grande West Transportation Group Inc.	DSU	White, James David Alexander	4	2020-10-23	56	0.78	59,276	8,012
Granite REIT Inc.	Deferred Share Units	Aghar, Peter	4	2020-10-15	35	77.04	8,496	27
Granite REIT Inc.	Deferred Share Units	Daal, Remco	4	2020-10-15	35	77.04	7,657	24
Granite REIT Inc.	Performance Share Units	Gorrie, Kevan Stuart	4, 5	2020-10-15	35	77.04	26,555	83
Granite REIT Inc.	Restricted Share Units	Gorrie, Kevan Stuart	4, 5	2020-10-15	35	77.04	28,663	89
Granite REIT Inc.	Deferred Share Units	Grodner, Fern Phyllis	4	2020-10-15	35	77.04	1,489	4
Granite REIT Inc.	Performance Share Units	KUMER, LORNE	5	2020-10-15	35	77.04	6,855	21
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2020-10-15	35	77.04	10,479	33
Granite REIT Inc.	Deferred Share Units	Marshall, Kelly John	4	2020-10-15	35	77.04	10,825	34
Granite REIT Inc.	Deferred Share Units	Mawani, Al	4	2020-10-15	35	77.04	9,432	30
Granite REIT Inc.	Deferred Share Units	Miller, Gerald	4	2020-10-15	35	77.04	11,975	38
Granite REIT Inc.	Performance Share Units	Neto, Teresa	5	2020-10-15	35	77.04	4,545	14
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2020-10-15	35	77.04	7,216	23
Granite REIT Inc.	Deferred Share Units	Warren, Edna Jennifer	4	2020-10-15	35	77.04	4,846	15
Graycliff Exploration Ltd.	Common Shares	Hardy, Samuel Anthony Kyler	4	2018-03-01	00		10,000	
Graycliff Exploration Ltd.	Options	Hardy, Samuel Anthony Kyler	4	2020-10-13	50	0.85	200,000	50,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-10-20	10	1.08	373,011	10,000
Grown Rogue International Inc.	Common Shares	Rigg, Robert John	5	2020-10-12	10	0.08	683,500	1,000
Grown Rogue International Inc.	Common Shares	Rigg, Robert John	5	2020-10-13	10	0.08	706,075	22,575
Hammond Manufacturing Company Limited	Common Shares	Hammond, Robert F	3, 4, 5	2020-10-21	11	2	349,237	18
Happy Creek Minerals Ltd.	Common Shares	GRAY, RODGER	4	2020-10-19	10	0.09	844,702	60,000
Heatherdale Resources Ltd.	Common Shares	McLeod, Robert John	4, 5	2020-10-16	10	0.8	1,766,495	4,500
Hello Pal International Inc.	Options	Gang, Zhou	4, 5	2019-03-07	00			
Hello Pal International Inc.	Options	Gang, Zhou	4, 5	2020-10-16	50	0.1	1,309,000	1,309,000
Hello Pal International Inc.	Options	Liang, James Yan	4	2019-09-01	00			
Hello Pal International Inc.	Options	Liang, James Yan	4	2020-10-16	50	0.1	616,000	616,000
Hello Pal International Inc.	Options	McMorran, Robert George	4	2020-10-16	50		215,500	115,500
Hello Pal International Inc.	Options	Roehlig, Axel Gunther Ruediger	4, 5	2020-10-16	50	0.1	596,500	346,500
Hello Pal International Inc.	Options	Wong, KL	5	2020-10-16	50	0.1	2,840,000	1,540,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-09-30	10	0.54	4,215,129	20,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-09-30	10	0.56	4,225,129	10,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-09-30	10	0.58	4,235,129	10,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-09-30	10	0.58	4,245,129	10,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-10-02	10	0.54	4,255,129	10,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-10-05	10	0.57	4,256,129	1,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-10-07	10	0.6	4,265,629	9,500

**Insider Reporting**

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HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-10-08	10	0.6	4,268,129	2,500
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-10-09	10	0.6	4,275,129	7,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Banducci, Carol	4	2020-09-25	30		111,898	198
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Banducci, Carol	4	2020-10-15	56		121,719	9,821
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-20	10	4.82	9,915,390	59,600
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-21	10	5.13	9,945,990	30,600
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-22	10	4.98	9,922,390	-23,600
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-20	10	4.87	14,367,228	137,607
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-21	10	5.13	14,437,721	70,493
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-22	10	4.98	14,403,521	-34,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-20	10	4.82	17,741,737	133,400
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-21	10	5.13	17,810,037	68,300
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-22	10	4.98	17,767,837	-42,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-20	10	4.82	1,690,500	13,800
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-21	10	5.13	1,697,500	7,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-10-22	10	4.98	1,693,500	-4,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Gonzales, Igor	4	2020-09-25	30		87,139	154
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Gonzales, Igor	4	2020-10-15	56		92,070	4,931
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Howes, Richard Allan	4	2020-09-25	30		52,392	93
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Howes, Richard Allan	4	2020-10-15	56		60,937	8,545
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Kavanagh, Sarah Baldwin	4	2020-09-25	30		87,139	154
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Kavanagh, Sarah Baldwin	4	2020-10-15	56		92,070	4,931
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Knickel, Carin Shirley	4	2020-09-25	30		169,190	300
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Knickel, Carin Shirley	4	2020-10-15	56		178,586	9,396

**Insider Reporting**

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Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Kukielski, Peter Gerald Jan	4, 5	2020-09-25	30		188,296	334
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Lang, Stephen A.	4	2020-09-25	30		41,152	73
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Lang, Stephen A.	4	2020-10-15	56		50,399	9,247
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	MUNIZ QUINTANILLA, DANIEL	4	2020-09-25	30		27,143	48
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	MUNIZ QUINTANILLA, DANIEL	4	2020-10-15	56		32,074	4,931
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Osborne, Colin	4	2020-09-25	30		90,233	160
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Osborne, Colin	4	2020-10-15	56		99,841	9,608
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Smith, David	4	2020-09-25	30		27,143	48
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Deferred Share Units	Smith, David	4	2020-10-15	56		32,074	4,931
Hylands International Holdings Inc.	Common Shares	Peng, Hang	3	2020-10-05	11		57,640,932	-1,200,000
Imagin Medical Inc.	Options	Daignault, Kenneth	4	2017-11-28	50	0.25	650,000	100,000
Imagin Medical Inc.	Options	Hutchens, Edward J	4	2017-11-28	50	0.25	1,400,000	250,000
Imagin Medical Inc.	Options	Hutchens, Edward J	4	2018-04-18	50	0.31	2,750,000	550,000
Imagin Medical Inc.	Options	Vacha, John Francis	4, 5	2018-04-18	50	0.31	1,100,000	500,000
Imperial Metals Corporation	Options	COLWILL, SHEILA	5	2020-10-15	52	11.55	150,000	-80,000
Imperial Metals Corporation	Options	KYNOCH, J. BRIAN	4, 5	2020-10-15	52	11.55	400,000	-400,000
Infinite Ore Corp.	Common Shares	St-Amour, JC	4, 5	2020-07-03	00			
Infinite Ore Corp.	Common Shares	St-Amour, JC	4, 5	2020-10-16	16	0.05		1,000,000
Infinite Ore Corp.	Common Shares	St-Amour, JC	4, 5	2020-10-16	16	0.05		1,000,000
Infinite Ore Corp.	Units	St-Amour, JC	4, 5	2020-07-03	00			
Infinite Ore Corp.	Units	St-Amour, JC	4, 5	2020-10-16	16	0.05	1,000,000	1,000,000
Information Services Corporation	Rights Deferred Share Units	Brooks, Karyn Anne	4	2020-10-15	56	18.47	9,824	103
Information Services Corporation	Rights Performance Share Units	Budzak, Ken	5	2020-10-15	56	18.47	7,002	75
Information Services Corporation	Rights Deferred Share Units	Christiansen, Tom	4	2020-10-15	56	18.47	13,970	146
Information Services Corporation	Rights Performance Share Units	Cisyk, Loren Allen	5	2020-10-15	56	18.47	7,966	85
Information Services Corporation	Rights Performance Share Units	Colledge, Clare Emma	7	2020-10-15	56	18.47	8,133	87
Information Services Corporation	Rights Deferred Share Units	Emsley, Doug	4	2020-10-15	56	18.47	13,970	146
Information Services Corporation	Rights Performance Share Units	Garven, Laurel	5	2020-10-15	56	18.47	3,435	37
Information Services Corporation	Rights Deferred Share Units	Guglielmin, Anthony Robert	4	2020-10-15	56	18.47	13,970	146
Information Services Corporation	Rights Performance Share Units	Hillman-Weir, Katherine	5	2020-10-15	56	18.47	7,735	83
Information Services Corporation	Rights Performance Share Units	McLean, Catherine Irene	5	2020-10-15	56	18.47	3,901	42
Information Services Corporation	Rights Deferred Share Units	Musgrave, Scott	4	2020-10-15	56	18.47	13,970	146
Information Services Corporation	Rights Performance Share Units	Peters, Shawn	5	2020-10-15	56	18.47	8,712	93

**Insider Reporting**

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Information Services Corporation	Rights Deferred Share Units	Pourian, Iraj	4	2020-10-15	56	18.47	9,824	103
Information Services Corporation	Rights Deferred Share Units	Powers, Laurie Lynn	4	2020-10-15	56	18.47	6,262	66
Information Services Corporation	Rights Deferred Share Units	Ross, Heather	4	2020-10-15	56	18.47	6,262	66
Information Services Corporation	Rights Performance Share Units	Stusek, Jeff	5	2020-10-15	56	18.47	23,095	247
Information Services Corporation	Rights Deferred Share Units	Tchorzewski, Dion Edwin	4	2020-10-15	56	18.47	13,970	146
Information Services Corporation	Rights Deferred Share Units	Teal, Joel Douglas	4	2020-10-15	56	18.47	24,446	256
Information Services Corporation	Rights Performance Share Units	White, Dennis Scott	5	2020-10-15	56	18.47	4,540	49
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-10-19	38	7.77	37,900	6,000
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-10-20	38	7.74	40,900	3,000
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-10-21	38	7.7527	42,400	1,500
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-10-22	38	7.76	45,400	3,000
Intact Financial Corporation	Deferred Share Units for Directors	De Silva, Janet	4	2020-10-15	46	143.97	9,644	410
Intact Financial Corporation	Deferred Share Units for Directors	Dussault, Claude	4, 5	2020-10-15	46	143.97	16,512	373
Intact Financial Corporation	Deferred Share Units for Directors	Kinney, Jane Elizabeth	4	2020-10-15	46	143.97	2,434	439
Intact Financial Corporation	Deferred Share Units for Directors	Leary, Robert	4	2020-10-15	46	143.97	11,208	439
Intact Financial Corporation	Deferred Share Units for Directors	Paquette, Sylvie	4	2020-10-15	46	143.97	6,857	410
Intact Financial Corporation	Common Shares	Penner, Timothy Herbert	4	2020-10-15	46	144.21	19,155	128
Intact Financial Corporation	Common Shares	Russell, Stuart Jonathan	4	2020-10-15	46	144.21	302	185
Intact Financial Corporation	Deferred Share Units for Directors	Singer, Frederick Glenn Ian	4	2020-10-15	46	143.97	15,630	403
Intact Financial Corporation	Common Shares	Stephenson, Carol M.	4	2020-10-15	46	144.21	8,232	137
Intact Financial Corporation	Deferred Share Units for Directors	Young, William	4	2020-10-15	46	143.97	3,212	252
International Battery Metals Ltd. (formerly, Rheingold Exploration Corp.)	Common Shares	Ensorcia Metals Corporation	3	2019-09-25	00			
International Battery Metals Ltd. (formerly, Rheingold Exploration Corp.)	Common Shares	Ensorcia Metals Corporation	3	2020-10-21	10	0.1	25,000,000	25,000,000
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Curyer, Leigh Robert	4	2020-10-15	50	0.54	300,000	75,000
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Milewski, Anthony	4	2020-10-15	50		140,000	40,000
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Raguz, Mark	4	2020-08-06	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Raguz, Mark	4	2020-10-15	50	0.54	40,000	40,000
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Thiele, Trevor John	4	2020-10-15	50	0.54	165,000	40,000
International Consolidated Uranium Inc. (formerly, NxGold Ltd.)	Options	Williams, Philip	4, 5	2020-10-15	50	0.54	550,000	150,000
Intertape Polymer Group Inc.	Common Shares	Cawston, Christopher Robert	4	2020-10-15	00			
Intertape Polymer Group Inc.	Common Shares	Craighead, Jane	4	2020-10-15	00		3,000	
Ion Energy Ltd.	Options	Haji, Ali	4, 5	2020-08-26	00			
Ion Energy Ltd.	Options	Haji, Ali	4, 5	2020-10-21	50	0.32	600,000	600,000
Ion Energy Ltd.	Options	Tumur-Ochir, Bataa	4	2020-10-21	50	0.32	1,051,981	600,000
Ion Energy Ltd.	Options	Waraich, Aneel Singh	4	2020-10-21	50	0.32	1,051,981	600,000
Ion Energy Ltd.	Options	Wood, Matthew Gaden Western	4	2020-08-26	00			
Ion Energy Ltd.	Options	Wood, Matthew Gaden Western	4	2020-10-21	50	0.32	600,000	600,000
Itasca Capital Ltd.	Common Shares	Doman, Jaspaul Rick Harbins	4	2020-10-22	00		1,000,000	
Itasca Capital Ltd.	Convertible Debentures	Doman, Jaspaul Rick Harbins	4	2020-10-22	00			
Itasca Capital Ltd.	Convertible Debentures	Doman, Jaspaul Rick Harbins	4	2020-10-22	00			
Itasca Capital Ltd.	Convertible Debentures	Doman, Jaspaul Rick Harbins	4	2020-10-22	00		\$2,000,000	
Itasca Capital Ltd.	Options	Doman, Jaspaul Rick Harbins	4	2020-10-22	00			
Itasca Capital Ltd.	Options	Doman, Jaspaul Rick Harbins	4	2020-10-22	50		80,000	80,000
Itasca Capital Ltd.	Warrants	Doman, Jaspaul Rick Harbins	4	2020-10-22	00		1,000,000	
Itasca Capital Ltd.	Common Shares	Rivett, Paul	4	2020-10-22	00			
Itasca Capital Ltd.	Common Shares	Rivett, Paul	4	2020-10-22	00			
Itasca Capital Ltd.	Common Shares	Rivett, Paul	4	2020-10-22	00		800,000	
Itasca Capital Ltd.	Convertible Debentures	Rivett, Paul	4	2020-10-22	00		\$1,600,000	
Itasca Capital Ltd.	Options	Rivett, Paul	4	2020-10-22	00			
Itasca Capital Ltd.	Options	Rivett, Paul	4	2020-10-22	50			80,000
Itasca Capital Ltd.	Options	Rivett, Paul	4	2020-10-22	50			80,000
Itasca Capital Ltd.	Options	Rivett, Paul	4	2020-10-22	50		80,000	80,000
Itasca Capital Ltd.	Warrants	Rivett, Paul	4	2020-10-22	00		800,000	
ITOK Capital Corp.	Convertible Debentures	Fazil, Mohammad (Mo) Shahid	4	2020-10-13	00		\$2,300,000	
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-21	10	1.55	86,100	500
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-21	10	1.574	87,100	1,000
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-21	10	1.61	87,600	500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-21	10	1.629	88,600	1,000
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-21	10	1.63	90,100	1,500
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-22	10	1.35	95,100	5,000
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-22	10	1.36	99,300	4,200
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-22	10	1.355	104,300	5,000
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Barakat, George	3, 4, 5	2020-10-22	10	1.363	105,800	1,500
Just Energy Group Inc.	Rights Options - 2020 Equity Compensation Plan	Ross, M. Dallas H.	4	2017-06-27	00			
Just Energy Group Inc.	Rights Options - 2020 Equity Compensation Plan	Ross, M. Dallas H.	4	2017-06-27	00			
Just Energy Group Inc.	Rights Options - 2020 Equity Compensation Plan	Ross, M. Dallas H.	4	2020-10-12	10		29,783	29,783
K9 Gold Corp.	Common Shares	Morrison, Brian	4, 5	2020-10-20	10	0.39	741,333	9,000
Kelt Exploration Ltd.	Common Shares	Wilson, David John	3, 4, 5	2020-10-14	10	1.47	2,455,567	20,000
Kelt Exploration Ltd.	Common Shares	Wilson, David John	3, 4, 5	2020-10-16	10	1.56	2,612,367	156,800
KP Tissue Inc.	Common Shares	BIANCO, DINO JOE	4, 5	2020-10-15	30	13.709	9,864	127
KP Tissue Inc.	Deferred Share Units (DSU)	Hardy, James Richmond	4	2020-10-15	30	13.41	5,516	73
KP Tissue Inc.	Common Shares	Holbrook, Mark Kenneth	7, 5	2020-10-15	30	13.709	2,990	37
KP Tissue Inc.	Rights to acquire common shares pursuant to Exchange Agreement	Kruger II, Joseph	3, 6, 7	2020-10-15	56		56,460,928	376,406
KP Tissue Inc.	Rights to acquire common shares pursuant to Exchange Agreement	Kruger Inc.	3	2020-10-15	56		56,460,928	376,406
KP Tissue Inc.	Deferred Share Units (DSU)	Letellier, Michel	4	2020-10-15	30	13.41	12,964	171
KP Tissue Inc.	Common Shares	Spraley, David A	4, 6, 7	2020-10-15	30	13.709	20,530	203
KP Tissue Inc.	Deferred Share Units (DSU)	Wendling, Louise Michele	4	2020-10-15	30	13.41	12,342	163
Leucrotta Exploration Inc.	Common Shares	Disbrow, Robert	3	2020-10-21	10	0.675	9,677,900	25,000
Leucrotta Exploration Inc.	Common Shares	Disbrow, Robert	3	2020-10-21	10	0.675	9,683,400	5,500
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Bailey, Joanna	5	2020-10-20	10	1.896	212,050	-50,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Bailey, Joanna	5	2020-10-21	10	1.94	192,050	-20,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Bailey, Joanna	5	2020-10-22	10	1.93	172,050	-20,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Bailey, Joanna	5	2020-10-23	10	1.9	152,050	-20,000
Link Global Technologies Inc.	Common Shares	Ali, Munaf	4	2020-09-06	00			
Link Global Technologies Inc.	Common Shares	Ali, Munaf	4	2020-09-09	11	0.33	1,515,151	1,515,151
Link Global Technologies Inc.	Deferred Share Units	Ali, Munaf	4	2020-09-06	00			
Link Global Technologies Inc.	Deferred Share Units	Ali, Munaf	4	2020-09-17	56		500,000	500,000
Link Global Technologies Inc.	Options	Ali, Munaf	4	2020-09-06	00			
Link Global Technologies Inc.	Options	Ali, Munaf	4	2020-09-17	50		750,000	750,000
Link Global Technologies Inc.	Warrants	Ali, Munaf	4	2020-09-06	00			
Link Global Technologies Inc.	Warrants	Ali, Munaf	4	2020-09-09	53		757,575	757,575
Link Global Technologies Inc.	Common Shares	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-06	00			
Link Global Technologies Inc.	Common Shares	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-06	00			
Link Global Technologies Inc.	Common Shares	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-09	11	0.33	1,515,151	1,515,151
Link Global Technologies Inc.	DSU	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-06	00			
Link Global Technologies Inc.	DSU	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-17	56		500,000	500,000
Link Global Technologies Inc.	Options	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-06	00			
Link Global Technologies Inc.	Options	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-17	50		750,000	750,000
Link Global Technologies Inc.	Warrants	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-06	00			
Link Global Technologies Inc.	Warrants	ALIZADEHFARD, SEYEDMOHAMMAD	4	2020-09-09	53		757,575	757,575
Loncor Resources Inc.	Common Shares	Chen, Zhengquan	4	2019-06-28	00			
Loncor Resources Inc.	Common Shares	Chen, Zhengquan	4	2020-10-16	11	0.5	30,000	30,000
Loon Energy Corporation	Common Shares	Elliott, Timothy M.	4	2020-10-14	10	0.005		50,000
Loon Energy Corporation	Common Shares	Elliott, Timothy M.	4	2020-10-14	10	0.005		50,000
Loon Energy Corporation	Common Shares	Elliott, Timothy M.	4	2020-10-14	10	0.005	4,039,750	-50,000
Loon Energy Corporation	Common Shares	Elliott, Timothy M.	4	2020-10-14	10	0.04	4,009,750	-30,000
Loon Energy Corporation	Common Shares	Elliott, Timothy M.	4	2020-10-14	10	0.01	3,789,750	-220,000
Lumina Gold Corp.	Common Shares	Steinmann, Michael	4	2020-10-21	51	0.28	1,459,000	85,000
Lumina Gold Corp.	Options	Steinmann, Michael	4	2020-10-21	51	0.28	950,000	-85,000
Luminex Resources Corp.	Common Shares	Hicks, Scott Victor Andrew	5	2020-10-20	10	0.79	73,500	5,000
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-10-15	38	6.9934	65,520	4,400
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-10-16	38	7.3293	71,620	6,100
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-10-19	38	7.3111	78,775	7,155
Magellan Aerospace Corporation	Common Shares	Magellan Aerospace Corporation	1	2020-10-20	38	7.529	83,575	4,800
Mako Mining Corp.	Common Shares	Leisman, Akiba Jacob Issachar	4	2020-10-22	10	0.35	11,017,234	38,500

**Insider Reporting**

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Mangazeya Mining Ltd.	Common Shares	Yanchukov, Sergey	3	2020-10-21	10	0.075	2,124,000	96,000
ManifestSeven Holdings Corporation (formerly, P&P Ventures Inc.)	Subordinate Voting Shares Class A	Gordeychev, Dmitry	5	2020-10-21	10	0.3768	3,500	500
ManifestSeven Holdings Corporation (formerly, P&P Ventures Inc.)	Subordinate Voting Shares Class A	Gordeychev, Dmitry	5	2020-10-21	10	0.3921	3,600	100
Maple Leaf Foods Inc.	Options Employee	Theodore, Nadia Beatrice	5	2020-10-13	00			
Maple Leaf Foods Inc.	Options Employee	Theodore, Nadia Beatrice	5	2020-10-19	50	24.91	22,800	22,800
Maple Leaf Foods Inc.	Rights PSU - Performance Share Units settled with market shares	Theodore, Nadia Beatrice	5	2020-10-13	00			
Maple Leaf Foods Inc.	Rights PSU - Performance Share Units settled with market shares	Theodore, Nadia Beatrice	5	2020-10-19	56		2,145	2,145
Maple Leaf Foods Inc.	Rights Restricted Share Units settled with market shares	Theodore, Nadia Beatrice	5	2020-10-13	00			
Maple Leaf Foods Inc.	Rights Restricted Share Units settled with market shares	Theodore, Nadia Beatrice	5	2020-10-19	56		2,145	2,145
Marble Financial Inc.	Options	Abbas, Farhan	4	2019-10-22	00			
Marble Financial Inc.	Options	Abbas, Farhan	4	2019-11-01	46		175,000	175,000
Marble Financial Inc.	Common Shares	Scharfe, Jason Wesley	4	2020-10-16	10	0.165	1,839,500	8,000
Marble Financial Inc.	Common Shares	Scharfe, Jason Wesley	4	2020-10-16	10	0.15	1,847,500	8,000
Mariner Resources Corp.	Common Shares	Williamson, John	4, 5	2019-05-01	00			
Mariner Resources Corp.	Common Shares	Williamson, John	4, 5	2019-05-19	00		1,255,000	
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-16	10	0.47	252,000	-10,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-19	10	0.49	242,000	-10,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-19	10	0.48	232,000	-10,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-20	10	0.46	227,000	-5,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-21	10	0.47	226,000	-1,000
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2020-10-16	10	0.11	1,063,500	500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-15	38	6.1927	1,100	1,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-15	38		0	-1,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-16	38	6.28	900	900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-16	38		0	-900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-19	38	6.3513	4,800	4,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-19	38		0	-4,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-20	38	6.3484	4,300	4,300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-20	38		0	-4,300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-22	38	6.3402	4,100	4,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-10-22	38		0	-4,100
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-06-29	30	12.427	12,970	47
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-06-30	30	12.565	13,319	349

**Insider Reporting**

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MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-07-14	30	13.316	13,363	44
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-07-30	30	13.532	13,406	43
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-08-14	30	13.97	13,448	42
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-08-28	30	13.929	13,490	42
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-09-14	30	14.187	13,531	41
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-09-30	30	13.1	13,881	350
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-09-30	30	13.269	13,925	44
MCAN Mortgage Corporation	Performance Deferred Share Units	Pinto, Sylvia	5	2020-03-30	30	11.145	4,595	64
MCAN Mortgage Corporation	Performance Deferred Share Units	Pinto, Sylvia	5	2020-09-30	30	13.1	4,777	58
MCAN Mortgage Corporation	Performance Deferred Share Units	Pinto, Sylvia	5	2020-09-30	30	13.1	4,812	35
MCAN Mortgage Corporation	Performance Deferred Share Units	Pinto, Sylvia	5	2020-09-30	30	13.1	4,842	30
MCAN Mortgage Corporation	Restricted Share Units	Pinto, Sylvia	5	2020-09-30	30	13.1	3,702	64
MCAN Mortgage Corporation	Restricted Share Units	Pinto, Sylvia	5	2020-09-30	30	13.1	3,733	31
MCAN Mortgage Corporation	Common Shares	Serra, Derek	5	2020-09-30	30	13.1	1,478	36
MCAN Mortgage Corporation	Common Shares	Serra, Derek	5	2020-09-30	30	13.27	1,526	48
MCAN Mortgage Corporation	Common Shares	Serra, Derek	5	2020-10-14	30	13.24	1,574	48
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-13	38	5.999	10,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-14	38	6	11,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-15	38	5.96	12,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-16	38	6	13,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-19	38	5.924	14,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-20	38	6	15,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2020-10-21	38	6	16,000	1,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-10-15	10	27.424	4,146,610	-300,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-10-15	10	27.189	4,146,223	-387
Mich Resources Ltd.	Common Shares	Giustra, Frank	3	2020-10-19	51	0.08	2,100,000	100,000
Mich Resources Ltd.	Common Shares	Giustra, Frank	3	2020-10-19	10	0.25	2,000,000	-100,000
Mich Resources Ltd.	Common Shares	Giustra, Frank	3	2019-11-21	00			
Mich Resources Ltd.	Common Shares	Giustra, Frank	3	2020-10-19	10	0.25	600,000	600,000
Mich Resources Ltd.	Options	Giustra, Frank	3	2020-10-19	51	0.08	0	-100,000
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2019-11-21	00			
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2020-10-19	51	0.08	500,000	500,000
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2020-10-19	10	0.25	0	-500,000
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2019-11-21	00			
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2020-10-19	51	0.08	50,000	50,000
Mich Resources Ltd.	Common Shares	Keep, Gordon	7	2020-10-19	10	0.255	0	-50,000
Mich Resources Ltd.	Options	Keep, Gordon	7	2020-10-19	51	0.08	0	-500,000
Mich Resources Ltd.	Options	Keep, Gordon	7	2020-10-19	51	0.08	0	-50,000

**Insider Reporting**

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Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-19	10	0.17	726,500	-51,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-19	10	0.18	708,000	-18,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-20	10	0.175	702,500	-5,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-21	10	0.165	652,500	-50,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-21	10	0.175	607,500	-45,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-21	10	0.17	592,000	-15,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-22	10	0.155	556,500	-35,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-10-23	10	0.15	3,955,000	-45,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-15	38	9.005	855,800	1,200
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-16	38	8.996	857,300	1,500
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-19	38	9.0124	859,800	2,500
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-20	38	8.9907	862,800	3,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-21	38	9.032	863,300	500
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-10-22	38	9.1	863,600	300
Millrock Resources Inc.	Common Shares	Beischer, Gregory Allan	5	2020-10-21	10	0.0961	1,021,206	5,000
Millrock Resources Inc.	Common Shares	Beischer, Gregory Allan	5	2020-10-22	10	0.098	1,026,206	5,000
Millrock Resources Inc.	Common Shares	Beischer, Gregory Allan	5	2020-10-23	10	0.098	1,031,206	5,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Options incentive stock options	Halperin Wernli, Miriam	4, 5	2020-08-13	50		3,450,000	2,250,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2020-10-16	97			-5,000,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2020-10-16	97		5,095,000	-5,000,000
Minnova Corp	Options	Glenn, Gorden	4	2020-10-19	50		841,436	550,000
Minnova Corp	Options	Irwin, Christopher	4	2020-10-19	50		610,000	100,000
Minnova Corp	Options	Robertson, Brian Ernest	4	2020-10-19	50		760,000	100,000
Minnova Corp	Options	White, James David Alexander	4	2020-10-19	50		700,000	100,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-10-15	38	5.005	71,795,651	400

**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	2020-10-16	38	5	71,795,951	300
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-10-19	38	5.0025	71,796,351	400
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00			
MONETA PORCUPINE MINES INC.	Options	Macintosh, Jason	5	2020-09-28	00		1,500,000	
Montage Gold Corp.	Common Shares	Clark, Richard Peter	4	2020-10-23	00		1,132,696	
Montage Gold Corp.	Options	Clark, Richard Peter	4	2020-10-23	00		450,000	
Montage Gold Corp.	Common Shares	De Witt, David E.	4	2020-10-23	00		471,090	
Montage Gold Corp.	Common Shares	Field, David	4	2020-10-23	00		626,444	
Montage Gold Corp.	Options	Field, David	4	2020-10-23	00		300,000	
Montage Gold Corp.	Options	Kondo, Glenn	5	2020-10-23	00			
Montage Gold Corp.	Options	Kondo, Glenn	5	2020-10-23	00		750,000	
Montage Gold Corp.	Common Shares	Mitchell, Peter	4	2020-10-23	00		443,799	
Montage Gold Corp.	Options	Mitchell, Peter	4	2020-10-23	00		300,000	
Montage Gold Corp.	Common Shares	Ross, Kevin John	4	2020-10-23	00		45,455	
Montage Gold Corp.	Options	Ross, Kevin John	4	2020-10-23	00		300,000	
Montage Gold Corp.	Common Shares	Spencer, Adam	4, 5	2020-10-23	00		388,328	
Montage Gold Corp.	Options	Spencer, Adam	4, 5	2020-10-23	00		750,000	
Montage Gold Corp.	Common Shares	Stuart, Hugh David	4, 5	2020-10-23	00		288,131	
Montage Gold Corp.	Options	Stuart, Hugh David	4, 5	2020-10-23	00		750,000	
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-09-10	10	0.3		2,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-09-10	10	0.3		2,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-10-20	10	0.16	501,200	10,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2020-10-20	10	0.09	882,250	-33,000
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-10-16	38	104.86	1,000	1,000
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-10-16	38		0	-1,000
Morguard Real Estate Investment Trust	Units	Morguard Corporation	3	2020-10-15	30	4.4458	12,275,326	340,136
Morguard Real Estate Investment Trust	Units	Morguard Real Estate Investment Trust	1	2020-10-16	38	4.54	10,900	10,900
Morguard Real Estate Investment Trust	Units	Morguard Real Estate Investment Trust	1	2020-10-16	38		0	-10,900
MPX International Corporation	Options	Blumer, Jeremy Daniel	5	2020-10-15	00			
MPX International Corporation	Options	Blumer, Jeremy Daniel	5	2020-10-15	50	0.25	250,000	250,000
MPX International Corporation	Options	Blumer, Jeremy Daniel	5	2020-10-15	50	0.35	500,000	250,000
MPX International Corporation	Convertible Debentures	Crawford, Alastair Duncan Hadfield	4	2020-10-20	11	0.12	\$198	\$86
MPX International Corporation	Convertible Debentures	Crawford, Alastair Duncan Hadfield	4	2019-01-31	00			
MPX International Corporation	Convertible Debentures	Crawford, Alastair Duncan Hadfield	4	2020-10-20	11	0.12	\$50	\$50
MPX International Corporation	Warrants	Crawford, Alastair Duncan Hadfield	4	2020-10-20	53	0.2	5,556,313	602,000
MPX International Corporation	Warrants	Crawford, Alastair Duncan Hadfield	4	2019-01-31	00			
MPX International Corporation	Warrants	Crawford, Alastair Duncan Hadfield	4	2020-10-20	53	0.2	350,000	350,000
NamSys Inc. (Formerly Cencotech Inc.)	Common Shares	Siemens, John Raymond	3	2020-10-19	10	0.95	0	-3,711
National Bank of Canada	Common Shares	Boivin, Pierre	4	2017-02-01	35	46.07	14,985	430
National Bank of Canada	Common Shares	Boivin, Pierre	4	2018-02-01	35	57.62	15,587	498

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
National Bank of Canada	Common Shares	Boivin, Pierre	4	2019-02-01	35	61.98	16,210	516
National Bank of Canada	Common Shares	Boivin, Pierre	4	2020-02-01	35	64.2	16,891	565
National Bank of Canada	Common Shares	Charest, Yvon	4	2020-04-24	00			
National Bank of Canada	Common Shares	Charest, Yvon	4	2020-04-24	00		12,391	
Nevada Exploration Inc.	Options	Buskard, James Livingstone	5	2020-10-19	52		675,000	-355,000
Nevada Exploration Inc.	Options	Buskard, James Livingstone	5	2020-10-21	50	0.185	975,000	300,000
Nevada Exploration Inc.	Options	Higgs, Darcy Alan	3	2020-10-21	50		825,000	125,000
Nevada Exploration Inc.	Options	Higgs, Dennis	4	2020-10-19	52		450,000	-300,000
Nevada Exploration Inc.	Options	Higgs, Dennis	4	2020-10-21	50		750,000	300,000
New Era Minerals Inc.	Common Shares	Peng, Hang	3	2019-12-31	00		58,840,932	
New Era Minerals Inc.	Common Shares	Peng, Hang	3	2019-12-31	00			
New Millennium Iron Corp.	Common Shares	Caron, Mario	4	2020-10-16	10	0.105	1,042,000	327,000
New Millennium Iron Corp.	Common Shares	Owen, Daniel	4	2020-02-25	90		282,553	82,933
New Millennium Iron Corp.	Common Shares	Owen, Daniel	4	2020-02-26	90		1,836,486	960,886
New Millennium Iron Corp.	Common Shares	Owen, Daniel	4	2020-10-19	10	0.155	3,148,486	1,000,000
New Oropu Resources Inc.	Common Shares	Brown, Maynard Elliott	4	2020-10-21	51	0.17	503,000	200,000
New Oropu Resources Inc.	Options	Brown, Maynard Elliott	4	2020-10-21	51		500,000	-200,000
New Oropu Resources Inc.	Common Shares	Carr-Hilton, James Frank	4	2020-10-21	51	0.17	507,001	200,000
New Oropu Resources Inc.	Options	Carr-Hilton, James Frank	4	2020-10-21	51	0.17	500,000	-200,000
New Oropu Resources Inc.	Common Shares	Livingstone, Kent Wayne	4, 5	2020-10-21	51	0.17	976,214	400,000
New Oropu Resources Inc.	Options	Livingstone, Kent Wayne	4, 5	2020-10-21	51	0.17	940,000	-400,000
New Oropu Resources Inc.	Common Shares	Morfopoulos, Aris	5	2020-10-21	51	0.17	202,500	200,000
New Oropu Resources Inc.	Options	Morfopoulos, Aris	5	2020-10-21	51	0.17	500,000	-200,000
Next Green Wave Holdings Inc.	Common Shares	DZISIAK, ROBERT MICHAEL	4	2020-10-19	10	0.31	184,500	-50,000
Next Green Wave Holdings Inc.	Common Shares	DZISIAK, ROBERT MICHAEL	4	2020-10-19	10	0.325	134,500	-50,000
Next Green Wave Holdings Inc.	Common Shares	DZISIAK, ROBERT MICHAEL	4	2020-10-21	10	0.31	84,500	-50,000
Next Green Wave Holdings Inc.	Common Shares	DZISIAK, ROBERT MICHAEL	4	2020-10-21	10	0.33	59,500	-25,000
Next Green Wave Holdings Inc.	Common Shares	Jennings, Michael	4	2020-10-19	11		30,500,000	-1,000,000
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2020-10-19	10	0.135	9,241,529	15,000
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2020-10-19	10	0.12	9,251,529	10,000
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2020-10-21	10	0.12	9,271,529	20,000
Nicola Mining Inc.	Common Shares	Hogel, Frank	4	2020-10-21	10	12.5	234,289	50,000
Niobay Metals Inc. (formerly MDN INC.)	Common Shares	David, Jean-Sébastien	4	2020-10-16	10	0.65	754,052	3,500
Nomad Royalty Company Ltd.	Common Shares	Metcalfe, Vincent	4, 5	2020-10-19	10	1.39	6,467,060	10,000
Nomad Royalty Company Ltd.	Common Shares	Metcalfe, Vincent	4, 5	2020-10-19	10	1.37	6,472,060	5,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nomad Royalty Company Ltd.	Common Shares	Metcalfe, Vincent	4, 5	2020-10-21	10	1.35	6,482,060	10,000
Noront Resources Ltd.	Common Shares	Resource Capital Fund V L.P.	3	2020-10-20	97		87,403,838	2,308,966
NORTHERN LIGHTS RESOURCES CORP.	Common Shares	Bahnsen, Jason	4, 5	2020-10-20	11		3,016,500	300,000
NORTHERN LIGHTS RESOURCES CORP.	Common Shares	Bahnsen, Jason	4, 5	2020-10-22	10	0.075	3,026,500	10,000
NORTHERN LIGHTS RESOURCES CORP.	Common Shares	Bahnsen, Jason	4, 5	2020-10-22	10	0.08	3,031,500	5,000
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-10-21	10	36.05	7,130,395	5,000
Northview Apartment Real Estate Investment Trust	Trust Units	Credit Suisse Securities (Canada), Inc.	3	2020-10-22	10	36.06	7,132,095	1,700
Norvista Capital Corporation	Common Shares	Spavold, Stanley William Leo	4	2020-10-21	10	0.13	10,967,371	2,000,000
O3 Mining Inc.	Common Shares	Burzynski, John Feliks	4, 6	2020-10-16	10	3.38	15,300	-16,700
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-10-16	10	3.1996	2,596,795	15,600
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-10-19	10	3.122	2,612,805	16,010
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-10-20	10	3.062	2,629,125	16,320
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-10-21	10	3.037	2,645,575	16,450
Olympia Financial Group Inc.	Common Shares	Balasubramanian, Antony	4	2020-10-14	10	38.69	595	30
Olympia Financial Group Inc.	Common Shares	McKenna, John Ryan	5	2020-10-20	10	38.75	2,200	28
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Common Shares	Silvercorp Metals Inc.	3	2020-10-01	00		30,000,000	
Orea Mining Corp.	Common Shares	Mathiot, Laurent	3	2020-10-16	10	0.13	21,434,000	-321,500
Orea Mining Corp.	Common Shares	Mathiot, Laurent	3	2020-10-19	10	0.13	21,422,000	-12,000
Orea Mining Corp.	Options	Mathiot, Laurent	3	2020-09-24	52		0	-1,000,000
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-10-20	10	0.135	112,000	21,000
Orla Mining Ltd.	Common Shares	Hall, Richard James	4	2020-10-19	51	0.15	2,432,000	175,000
Orla Mining Ltd.	Options	Hall, Richard James	4	2020-10-19	51		520,743	-175,000
Orosur Mining Inc.	Options	Castro, Louis Emmanuel	4	2020-04-14	00			
Orosur Mining Inc.	Options	Castro, Louis Emmanuel	4	2020-05-04	50		240,000	240,000
Orosur Mining Inc.	Options	George, Bradley William	4, 5	2020-05-01	00			
Orosur Mining Inc.	Options	George, Bradley William	4, 5	2020-05-04	50		200,000	200,000
Orosur Mining Inc.	Options	Sarroca Etcheverry, Joaquín Lauro	5	2020-05-12	00		600,000	
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Mainville, Luc	5	2020-10-19	10	0.6	906,000	1,000
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Baird, John Russell	4	2020-07-15	35	14.48	18,819	64
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Baird, John Russell	4	2020-10-15	35			57
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Baird, John Russell	4	2020-10-15	35	16.35	18,876	57

**Insider Reporting**

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OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Bertrand, Françoise	4	2020-07-15	35	14.48	65,687	226
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Bertrand, Françoise	4	2020-10-15	35	16.35	65,887	200
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Brunet, Benoit	5	2020-07-15	35	14.48	10,536	36
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Brunet, Benoit	5	2020-10-15	35	16.35	10,568	32
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Burzynski, John Feliks	4	2020-07-15	35	14.48	35,603	122
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Burzynski, John Feliks	4	2020-10-15	35	16.35	35,711	108
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Curfman, Christopher C.	4	2020-07-15	35	14.48	48,550	167
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Curfman, Christopher C.	4	2020-10-15	35	16.35	48,698	148
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Desharnais, Guy	5	2020-10-15	35	16.35	20,060	61
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Farmer, Iain Wesley	5	2020-07-15	35	14.48	21,706	74
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Farmer, Iain Wesley	5	2020-10-15	35	16.35	21,772	66
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Ferstman, Joanne Shari	4	2020-07-15	35	14.48	98,751	339
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Ferstman, Joanne Shari	4	2020-10-15	35	14.48	99,053	302
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	John, William Murray	4	2020-07-15	35	14.48	18,373	63
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	John, William Murray	4	2020-10-15	35	16.35	18,430	57
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Labbé, Pierre	4	2020-07-15	35	14.48	55,635	191
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	Labbé, Pierre	4	2020-10-15	35	16.35	55,805	170
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Le Bel, André	5	2020-07-15	35	14.48	106,280	343
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Le Bel, André	5	2020-10-15	35	16.35	106,585	305

**Insider Reporting**

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OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Lessard, Luc	5	2020-07-15	35	14.48	153,704	498
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Lessard, Luc	5	2020-10-15	35	16.35	154,147	443
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	PAGE, CHARLES ELIJAH	4	2020-07-15	35	14.48	65,903	227
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit&eacute;s d'actions diff&eacute;r&eacute;es	PAGE, CHARLES ELIJAH	4	2020-10-15	35	16.35	66,104	201
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Roosen, Sean	4, 5	2020-07-15	35	14.48	227,333	749
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Roosen, Sean	4, 5	2020-10-15	35	16.35	227,999	666
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Ruel, Frédéric	5	2020-07-15	35	14.48	73,842	239
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Ruel, Frédéric	5	2020-10-15	35	16.35	74,055	213
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Singh, Sandeep	5	2020-07-15	35	14.48	252,835	870
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Singh, Sandeep	5	2020-10-15	35	16.35	253,608	773
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Vézina, François	5	2020-07-15	35	14.48	63,223	214
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit&eacute;s d'actions restreintes	Vézina, François	5	2020-10-15	35	16.35	63,413	190
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2020-10-20	10	3.62	789,700	-50,000
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2020-10-20	10	3.63	759,700	-30,000
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2020-10-21	10	3.75	739,700	-20,000
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-10-14	10	0.2	4,528,700	16,500
Pac Roots Cannabis Corp.	Common Shares	Elliott, Patrick	4, 5	2020-10-21	10	0.18	4,533,200	4,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-15	10	0.26	890,916	4,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-15	10	0.27	893,416	2,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-15	10	0.25	896,916	3,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-19	10	0.24	902,416	5,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-21	10	0.24	904,416	2,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-21	10	0.28	906,416	2,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-20	10	0.233	357,584	6,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-15	10	0.24	1,022,800	1,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-19	10	0.24	241,700	2,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-10-20	10	0.24	242,200	500
Paramount Resources Ltd.	Restricted Share Units	HAN, MICHAEL S.	5	2020-10-19	56	2.483	29,576	26,313
Paramount Resources Ltd.	Restricted Share Units	Kinvig, Paul Robert	5	2020-10-19	56	2.483	37,073	32,891
Paramount Resources Ltd.	Restricted Share Units	Lee, Bernard K.	5	2020-10-19	56	2.483	37,245	32,891
Paramount Resources Ltd.	Restricted Share Units	Reid, David Blake	5	2020-10-19	56	2.483	36,483	32,864
Paramount Resources Ltd.	Common Shares Class A	Riddell, James H. T.	3, 4, 5	2020-10-19	46	2.483	1,249,988	100,000
Paramount Resources Ltd.	Restricted Share Units	Shier, E. Mitchell	5	2020-10-19	56	2.483	36,538	32,891

**Insider Reporting**

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Paramount Resources Ltd.	Restricted Share Units	Sousa, Rodrigo	5	2020-10-19	56	2.483	40,318	35,576
Paramount Resources Ltd.	Restricted Share Units	Stotts, Garth W.J.	5	2020-10-19	56	2.483	28,287	24,668
Paramount Resources Ltd.	Restricted Share Units	Tahmazian, Phillip G.	5	2020-10-19	56	2.483	26,430	23,661
Paramount Resources Ltd.	Restricted Share Units	Williams, John B.	5	2020-10-19	56	2.483	15,191	13,014
Paramount Resources Ltd.	Restricted Share Units	Wittenberg, Joerg	5	2020-10-19	56	2.483	14,731	12,828
Parex Resources Inc.	Common Shares	DiStefano, Leo Nicholas	5	2020-10-19	51	10.96	223,969	44,000
Parex Resources Inc.	Common Shares	DiStefano, Leo Nicholas	5	2020-10-19	10	14.38	183,955	-40,014
Parex Resources Inc.	Common Shares	DiStefano, Leo Nicholas	5	2020-10-19	57	0.01	194,955	11,000
Parex Resources Inc.	Common Shares	DiStefano, Leo Nicholas	5	2020-10-19	10	14.4	190,370	-4,585
Parex Resources Inc.	Options	DiStefano, Leo Nicholas	5	2020-10-19	51	10.96	137,500	-44,000
Parex Resources Inc.	Restricted Share Unit	DiStefano, Leo Nicholas	5	2020-10-19	57	0.01	60,000	-11,000
Peekaboo Beans Inc.	Common Shares	Saunders, Graham Edward	3	2020-10-14	10	0.045	4,746,834	197,000
Peekaboo Beans Inc.	Common Shares	Saunders, Graham Edward	3	2020-10-15	10	0.045	4,749,834	3,000
Pender Growth Fund Inc.	Common Shares Class C	PenderFund Capital Management Ltd.	2	2020-10-22	10	3.22	71,191	5,400
Pershimex Resources Corporation	Common Shares	Bureau, Roger	3, 4, 6	2020-10-16	10	0.05	11,181,333	180,000
Pershimex Resources Corporation	Common Shares	Bureau, Roger	3, 4, 6	2020-10-16	10	0.055	11,271,333	90,000
Petrus Resources Ltd.	Options New Options	Graham, Chris	5	2020-10-16	00			
Petrus Resources Ltd.	Options New Options	Graham, Chris	5	2020-10-16	50	0.23	96,000	96,000
Pieridae Energy Limited	Options	Normand, Carolyn	5	2020-10-08	50	0.86	45,000	45,000
Pieridae Energy Limited	Options	Normand, Carolyn	5	2020-10-20	00			
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-10-21	10	0.29	19,891,500	-88,004
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-10-21	10	0.29	22,150,000	-149,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-10-22	10	0.285	22,154,500	4,500
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Common Shares	SMITH, MARILYN LAZANE	4	2020-10-21	36		75,000	20,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	SMITH, MARILYN LAZANE	4	2020-10-21	36		10,000	-20,000
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-10-21	10	0.22	9,525,748	-8,500
Platinum Group Metals Ltd.	Common Shares	Hosken Consolidated Investments Limited	3	2020-10-15	11	2.18	21,228,778	1,146,790
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-10-15	30	3.44	4,252	27
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-10-15	30	3.44	5,522	34
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-10-15	30	3.44	4,252	27
Plaza Retail REIT	RSUs	Petrie, James M.	5	2020-10-15	30	3.44	6,548	41
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2020-10-15	30	3.44	1,126	6
Power Corporation of Canada	Subordinate Voting Shares	Beaudoin, Pierre	4	2020-10-19	10	26.772	63,098	18,600
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Common Shares	GRAFSTEIN, Jerahmiel Samson	4	2020-10-06	11	0.18	237,374	55,556

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Common Shares	James, Grimes	4	2020-09-30	54	0.055	363,636	181,818
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Common Shares	James, Grimes	4	2020-10-06	11	0.18	419,192	55,556
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Warrants	James, Grimes	4	2020-09-30	54	0.055	0	-181,818
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Common Shares	Qureshi, Khurram	5	2020-10-06	11	0.18	2,061,012	55,556
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	Kales, Sheldon	4, 5	2020-10-20	10	0.5		5,000
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	Kales, Sheldon	4, 5	2020-10-20	10	0.5		5,000
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	Kales, Sheldon	4, 5	2020-10-20	10	0.5	29,029,500	8,500
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	Kales, Sheldon	4, 5	2020-10-20	10	0.495	29,032,500	3,000
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	Kales, Sheldon	4, 5	2020-10-20	10	0.49	29,041,000	8,500
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Common Shares	MALHOTRA, RAKESH	5	2020-10-15	51	0.15	350,000	50,000
Predictmedix Inc. (formerly Cultivar Holdings Inc.)	Options	MALHOTRA, RAKESH	5	2020-10-15	51	0.15	50,000	-50,000
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-14	10	0.1	11,414,481	-500
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-15	10	0.1	11,413,981	-500
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-16	10	0.1	11,413,481	-500
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-19	10	0.1	11,408,481	-5,000
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-20	10	0.1	11,405,481	-3,000
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-10-21	10	0.1	11,403,481	-2,000
Progressive Planet Solutions Inc.	Common Shares	Harpur, Stephen Kenneth	4, 5	2020-09-25	11	0.08	1,078,333	50,000
Progressive Planet Solutions Inc.	Common Shares	Harpur, Stephen Kenneth	4, 5	2020-09-25	11	0.065	1,153,333	75,000
Progressive Planet Solutions Inc.	Options	Harpur, Stephen Kenneth	4, 5	2020-02-22	52	0.3	688,333	-66,667
Progressive Planet Solutions Inc.	Options	Harpur, Stephen Kenneth	4, 5	2020-08-14	52	0.165	630,000	-158,333
Progressive Planet Solutions Inc.	Warrants	Harpur, Stephen Kenneth	4, 5	2020-06-22	55	0.075	416,666	-200,000
Progressive Planet Solutions Inc.	Warrants	Harpur, Stephen Kenneth	4, 5	2020-07-28	55	0.075	166,666	-250,000
Progressive Planet Solutions Inc.	Warrants	Harpur, Stephen Kenneth	4, 5	2020-08-09	55	0.3	100,000	-66,666
Progressive Planet Solutions Inc.	Warrants	Harpur, Stephen Kenneth	4, 5	2020-09-25	11	0.1	125,000	25,000
Progressive Planet Solutions Inc.	Warrants	Harpur, Stephen Kenneth	4, 5	2020-09-25	11	0.1	162,500	37,500
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2019-12-23	11	0.07		1,450,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2019-12-23	11	0.07	1,450,000	1,450,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2019-12-23	11	0.07		1,450,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2020-10-01	54	2E+06		1,667,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2020-10-01	54	0.05	9,527,333	1,667,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Progressive Planet Solutions Inc.	Warrants	Richardson, George David	3	2020-06-23	55	0.075	6,000,000	-1,450,000
Progressive Planet Solutions Inc.	Warrants	Richardson, George David	3	2020-08-10	54	0.3	1,667,000	-666,667
Progressive Planet Solutions Inc.	Warrants	Richardson, George David	3	2020-10-01	54	0.05	0	-1,667,000
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2020-10-21	10	0.42	2,672,527	7,000
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2020-10-21	10	0.45	2,678,527	6,000
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2020-10-22	10	0.4	2,703,527	25,000
Prosper Gold Corp. (formerly Lander Energy Corporation)	Common Shares	Miller-tait, James	4	2020-09-08	37		33,000	-297,000
Prosper Gold Corp. (formerly Lander Energy Corporation)	Options	Miller-tait, James	4	2020-09-08	37		57,500	-517,500
Puma Exploration Inc.	Common Shares	Robillard, Marcel	4, 5	2020-10-17	10	0.185	6,088,965	2,000
Puma Exploration Inc.	Common Shares	Robillard, Marcel	4, 5	2020-10-20	10	0.18	6,090,965	2,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-10-13	10	2.137	221,900	35,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-10-14	10	2.112	70,000	35,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-10-15	10	2.301	90,000	20,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-10-16	10	2.3902	110,000	20,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-10-20	38		0	-110,000
QuestEx Gold & Copper Ltd. (formerly Colorado Resources Ltd.)	Common Shares	Barresi, Tony	5	2020-10-16	10	0.67	28,286	7,500
QuestEx Gold & Copper Ltd. (formerly Colorado Resources Ltd.)	Common Shares	Barresi, Tony	5	2020-10-19	10	0.68	29,786	1,500
QuestEx Gold & Copper Ltd. (formerly Colorado Resources Ltd.)	Common Shares	morgan, fletcher	4	2020-10-15	10	0.63	32,500	1,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-10-19	10	25.955	3,820,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-10-20	10	25.74	3,817,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-10-21	10	25.896	3,814,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-10-22	10	25.696	3,811,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-10-23	10	25.3	3,808,384	-3,000
REGULUS RESOURCES INC.	Options	Tudela, Anna Maria	4	2020-10-19	00			
REGULUS RESOURCES INC.	Options	Tudela, Anna Maria	4	2020-10-19	50	1.49	200,000	200,000
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-10-20	38	2.8	1,400	1,400
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-10-20	38	2.8	0	-1,400
Restaurant Brands International Inc.	Common Shares	Siddiqui, Sami	5	2020-10-13	00		48,275	
Restaurant Brands International Inc.	Exchangeable Units of Restaurant Brands International LP	Siddiqui, Sami	5	2020-10-13	00			
Restaurant Brands International Inc.	Options	Siddiqui, Sami	5	2020-10-13	00		218,363	

**Insider Reporting**

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Restaurant Brands International Inc.	Units Restricted Shares	Siddiqui, Sami	5	2020-10-13	00		280,497	
Restaurant Brands International Limited Partnership	Units Class B Exchangeable Limited Partnership	Siddiqui, Sami	6	2020-10-13	00			
Rex Opportunity Corp.	Options	Boyle, James Patrick	4, 5	2012-07-27	00			
Rex Opportunity Corp.	Options	Boyle, James Patrick	4, 5	2020-10-16	50		1,060,000	1,060,000
Rex Opportunity Corp.	Options	Carpenter, Adam	5	2020-05-22	00			
Rex Opportunity Corp.	Options	Carpenter, Adam	5	2020-10-16	50		200,000	200,000
Rex Opportunity Corp.	Options	Datsyuk, Sofiya	5	2020-05-01	00			
Rex Opportunity Corp.	Options	Datsyuk, Sofiya	5	2020-10-16	50		200,000	200,000
Rex Opportunity Corp.	Options	Destunis, Evan	5	2020-03-15	00			
Rex Opportunity Corp.	Options	Destunis, Evan	5	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	Guebert, David Dean	4	2020-06-24	00			
Rex Opportunity Corp.	Options	Guebert, David Dean	4	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	Ibbitson, Douglas Scott	5	2020-07-01	00			
Rex Opportunity Corp.	Options	Ibbitson, Douglas Scott	5	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	Im, Daniel	4	2020-06-24	00			
Rex Opportunity Corp.	Options	Im, Daniel	4	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	Kofman, Thomas	4	2020-06-24	00			
Rex Opportunity Corp.	Options	Kofman, Thomas	4	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	Lau, Nelson	5	2020-08-04	00			
Rex Opportunity Corp.	Options	Lau, Nelson	5	2020-10-16	50			530,000
Rex Opportunity Corp.	Options	Lau, Nelson	5	2020-10-16	50		530,000	530,000
Rex Opportunity Corp.	Options	McKittrick, Kyle	5	2020-05-22	00			
Rex Opportunity Corp.	Options	McKittrick, Kyle	5	2020-10-16	50		200,000	200,000
Reyna Silver Corp. (formerly Century Metals Inc.)	Options	Langer, Alexander	4	2020-06-03	00			
Reyna Silver Corp. (formerly Century Metals Inc.)	Options	Langer, Alexander	4	2020-10-15	50	1.13	250,000	250,000
Rhyolite Resources Ltd.	Common Shares	Pohl, Demetrius	4	2020-10-19	10	0.366	0	-150,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-16	51	12.71	12,718	10,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-16	10	38.61	2,718	-10,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-16	51	14.5	22,718	20,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-16	10	38.61	2,718	-20,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-21	30	37.409	2,742	24
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-10-21	30	37.409	11,344	55

**Insider Reporting**

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Richelieu Hardware Ltd.	Options	Auclair, Antoine	5	2020-10-16	51	12.71	115,000	-10,000
Richelieu Hardware Ltd.	Options	Auclair, Antoine	5	2020-10-16	51	14.5	95,000	-20,000
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-10-21	30	37.409	49,607	79
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2020-10-21	30	37.409	4,227,099	51
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-16	10	16.7	10,741,937	1,194
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-19	10	16.71	10,743,099	1,162
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-19	10	16.71	10,741,999	-1,100
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-20	10	16.71	10,756,427	14,428
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-20	10	16.71	10,743,321	-13,106
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-21	10	16.71	10,743,708	387
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-10-21	10	16.71	10,743,408	-300
Riley Gold Corp. (formerly Riley Resources Corp.)	Options	Laval, Cyndi Dianna	4	2020-10-15	50	0.3	188,000	75,000
Rise Gold Corp.	Common Shares	Au, Eileen	5	2020-10-22	10		12,730	12,730
Riverside Resources Inc.	Options	Dare, Jeffrey	5	2020-10-19	50	0.3	228,000	15,000
Riverside Resources Inc.	Options	Ellis, Carol Elizabeth	4	2020-10-19	50	0.3	285,000	50,000
Riverside Resources Inc.	Options	Groves, Brian John	4	2020-10-19	50	0.3	540,000	50,000
Riverside Resources Inc.	Options	Scott, Robert James	5	2020-10-19	50	0.3	285,000	100,000
Riverside Resources Inc.	Options	Staude, John-Mark Gardner	5	2020-10-19	50	0.3	1,040,000	170,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2020-10-23	54	0.1	1,900,000	1,300,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2020-10-20	10	0.27	1,843,000	-85,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2020-10-21	10	0.27	1,553,000	-290,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2020-10-22	10	0.27	1,448,000	-105,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2020-10-23	54	0.1	2,748,000	1,300,000
Rokmaster Resources Corp.	Warrants	Cowin, Michael	4	2020-10-23	54	0.1	600,000	-1,300,000
Rokmaster Resources Corp.	Common Shares	Mirko, John Martin	4, 5	2020-10-20	10	0.27	4,189,394	76,000
Roughrider Exploration Limited (formerly, Westham Resources Corp.)	Common Shares	Travis, Adam Robert	4, 5	2020-10-22	10	0.21	4,316,500	7,500
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2020-10-22	51	52.595	1,964	691
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2020-10-22	10	97.227	1,273	-691
Royal Bank of Canada	Options	Gottschling, Helena	5	2020-10-22	51	52.595	68,985	-691

**Insider Reporting**

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Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2020-10-22	50	52.595	13,388	7,515
Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2020-10-22	10	97.191	5,873	-7,515
Royal Bank of Canada	Options	McKay, David Ian	4, 5	2020-10-22	51	52.595	927,927	-7,515
Royal Coal Corp.	Common Shares	Campbell, Michael	4	2020-10-22	00		345,824	
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-10-19	10	5.22	19,685,400	1,200
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-10-19	10	5.23	19,687,100	1,700
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-10-14	10	0.235	1,800,888	5,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-10-14	10	0.24	1,807,388	6,500
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-10-14	10	0.25	1,815,888	8,500
Sanatana Resources Inc.	Common Shares	Smith, Ian Barrowman	4	2020-10-22	10	0.278	597,000	20,000
Santacruz Silver Mining Ltd.	Common Shares	Okada, Larry Minoru	4	2015-05-05	00		467,917	
Santacruz Silver Mining Ltd.	Common Shares	Okada, Larry Minoru	4	2020-10-23	10	0.29	457,917	-10,000
Santacruz Silver Mining Ltd.	Common Shares	Préstamo Elizondo, Arturo	3, 4, 5	2020-10-16	16	0.22	7,067,441	2,272,727
Santacruz Silver Mining Ltd.	Warrants	Préstamo Elizondo, Arturo	3, 4, 5	2020-10-16	16		2,272,727	2,272,727
Sarama Resources Ltd.	Options	Byass, Adrian Paul	4	2020-10-07	37		250,000	-500,000
Sarama Resources Ltd.	Common Shares	Dinning, Andrew Robert Mune	4	2020-10-07	37		4,150,275	-8,300,552
Sarama Resources Ltd.	Options	Dinning, Andrew Robert Mune	4	2020-10-07	37		2,166,666	-4,333,334
Sarama Resources Ltd.	Common Shares	Evangelista, Luigi	5	2020-10-07	37		96,315	-192,630
Sarama Resources Ltd.	Options	Evangelista, Luigi	5	2020-10-07	37		1,250,000	-2,500,000
Sarama Resources Ltd.	Common Shares	Hamilton, Jack	5	2020-10-07	37		1,932,175	-3,864,352
Sarama Resources Ltd.	Options	Hamilton, Jack	5	2020-10-07	37		1,250,000	-2,500,000
Sarama Resources Ltd.	Common Shares	Jackson, Lawrence Simon	4	2020-10-07	37		423,499	-846,999
Sarama Resources Ltd.	Options	Jackson, Lawrence Simon	4	2020-10-07	37		450,000	-900,000
Sarama Resources Ltd.	Common Shares	Schmiede, Paul Raymond Paul	5	2020-10-07	37		531,570	-1,063,140
Sarama Resources Ltd.	Options	Schmiede, Paul Raymond Paul	5	2020-10-07	37		1,250,000	-2,500,000
Sarama Resources Ltd.	Common Shares	Silver Lake Resources	3	2020-10-07	37		10,706,636	-21,413,273
Sarama Resources Ltd.	Common Shares	Sun Valley Gold LLC	3	2020-10-07	37			-30,866,667
Sarama Resources Ltd.	Common Shares	Sun Valley Gold LLC	3	2020-10-07	37			-30,866,667
Sarama Resources Ltd.	Common Shares	Sun Valley Gold LLC	3	2020-10-07	37		15,433,333	-30,866,667
Sarama Resources Ltd.	Common Shares	Sun Valley Gold Master Fund, Ltd.	3	2020-10-07	37		15,433,333	-30,866,667
Sarama Resources Ltd.	Common Shares	Zaninovich, Steven Evan	4	2020-10-07	37		33,333	-66,667
Sarama Resources Ltd.	Options	Zaninovich, Steven Evan	4	2020-10-07	37		250,000	-500,000
Sassy Resources Corporation	Common Shares	Scott, Mark	4, 5	2020-10-22	16	0.9		27,000

**Insider Reporting**

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Sassy Resources Corporation	Common Shares	Scott, Mark	4, 5	2020-10-22	16	0.9		27,000
Sassy Resources Corporation	Common Shares	Scott, Mark	4, 5	2020-10-22	15	0.9	630,000	30,000
Sassy Resources Corporation	Warrants	Scott, Mark	4, 5	2020-10-22	16		615,000	15,000
Search Minerals Inc.	Options	Andrews, Gregory Paul	4, 5	2020-06-30	52		2,600,000	-1,225,000
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2020-10-22	51	22.44	117,595	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-10-22	51	22.44	907	790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-10-22	30	1027.5	117	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-10-19	30	1069.5	12,200	-1,198
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-10-19	30	1076.9	65,000	-5,000
Shopify Inc.	Options	Shannan, Toby David	5	2020-09-29	00		1,041	
Shopify Inc.	RSU	Shannan, Toby David	5	2020-09-29	00		7,610	
Silk Energy Limited	Common Shares	Corporate Action Ventures AG, Corporate Action Ventures AG	3	2020-10-22	11		30,543,118	-2,600,000
Silver Bear Resources Plc	Ordinary Shares	Gualtieri, Dominic	4	2020-10-16	46	0.14	495,295	83,625
Silver Elephant Mining Corp.	Common Shares without par value	Plavutska, Irina	5	2020-10-19	51	0.35	100,000	100,000
Silver Elephant Mining Corp.	Common Shares without par value	Plavutska, Irina	5	2020-10-19	10		0	-100,000
Silver Elephant Mining Corp.	Options	Plavutska, Irina	5	2020-10-19	51	0.35	522,500	-100,000
Sire Bioscience Inc.	Common Shares	Burke, Adrian	4, 5	2020-10-16	37		2,036,364	-18,327,281
Sire Bioscience Inc.	Options	Burke, Adrian	4, 5	2020-10-16	37		15,000	-135,000
Sire Bioscience Inc.	Common Shares	Crudo, Domenic	5	2020-10-16	37			-6,300,000
Sire Bioscience Inc.	Common Shares	Crudo, Domenic	5	2020-10-16	37		700,000	-6,300,000
Sire Bioscience Inc.	Options	Crudo, Domenic	5	2020-10-16	37		800,000	-7,200,000
Sire Bioscience Inc.	Common Shares	Hipfner, Layton	3	2020-10-16	37		700,000	-6,300,000
Sire Bioscience Inc.	Options	Hipfner, Layton	3	2020-10-16	37		300,000	-2,700,000
Sire Bioscience Inc.	Common Shares	Lines, Michael Edward	4	2020-10-16	37		3,000	-27,000
Sire Bioscience Inc.	Common Shares	Lines, Michael Edward	4	2020-10-16	37		700,000	-6,300,000
Sire Bioscience Inc.	Options	Lines, Michael Edward	4	2020-10-16	37		800,000	-7,200,000
Sire Bioscience Inc.	Common Shares	Nugent, Brian	4	2020-10-16	37		1,120,000	-10,080,000
Sire Bioscience Inc.	Options	Nugent, Brian	4	2020-10-16	37		100,000	-900,000
Sire Bioscience Inc.	Common Shares	Polla, Brian	4, 5	2020-10-16	37		3,069,000	-27,621,000
Sire Bioscience Inc.	Options	Polla, Brian	4, 5	2020-10-16	37		500,000	-4,500,000
Sixty North Gold Mining Ltd.	Common Shares	BLOCK, Grant	4	2020-10-16	10		740,000	-560,000
Sixty North Gold Mining Ltd.	Options	BLOCK, Grant	4	2020-08-24	50		575,000	200,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-10-16	10		6,449,500	-375,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-10-15	10		4,550,000	-750,000
Sixty North Gold Mining Ltd.	Common Shares	Herchak, Andriyko	4	2020-10-16	10		1,426,667	-440,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Sixty North Gold Mining Ltd.	Common Shares	Herchak, Andriyko	4	2020-10-16	10		350,000	-150,000
SLANG Worldwide Inc.	Options	Miller, Peter William John	4, 5	2020-08-14	50	0.15		441,800
SLANG Worldwide Inc.	Options	Miller, Peter William John	4, 5	2020-08-14	50	0.15		441,800
SLANG Worldwide Inc.	Restricted Shares	Verdun, Robert	4	2020-10-15	11	0.05	3,401,457	3,130,907
Slate Office REIT	Deferred Units	Baker, Robert Montgomery	4	2020-09-30	30	3.61	37,670	4,852
Solaris Resources Inc.	Common Shares	Warke, Richard William	4	2020-10-22	10	4.7	19,460,577	935,000
Solaris Resources Inc.	Common Shares	Warke, Richard William	4	2020-10-23	10	4.7	20,110,577	650,000
Solarvest BioEnergy Inc.	Common Shares	Greenham, Gerri Joseph	4	2020-10-21	10	0.085	9,695,500	20,000
Solarvest BioEnergy Inc.	Common Shares	Greenham, Gerri Joseph	4	2020-10-22	10	0.08	9,703,500	8,000
Sombrero Resources Inc.	Common Shares	Arribas, Antonio	4	2020-10-09	00		26,100	
Sombrero Resources Inc.	Common Shares	Senez, Elizabeth Kathryn	5	2020-10-09	00		9,000	
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-10-15	10	0.2607	611,818	-10,000
Sonoro Gold Corp.	Common Shares	Taylor, James Gordon	4	2020-10-20	47		1,407,000	-200,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-16	11	0.89	40,000	-750,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-16	97		224,450	150,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-21	99		0	-6,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-16	11	0.89	2,298,805	750,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-16	11	0.89	2,898,805	600,000
Southern Arc Minerals Inc.	Common Shares	Proust, John Graham	4, 5	2020-10-16	97		2,748,805	-150,000
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-10-19	48 - Acquisition by inheritance or disposition by bequest		110,956	-2
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-10-19	48 - Acquisition by inheritance or disposition by bequest		266,100	1
Southern Arc Minerals Inc.	Common Shares	Subin, Neil S.	3	2020-10-19	48 - Acquisition by inheritance or disposition by bequest		266,100	1
Speakeasy Cannabis Club Ltd.	Options	Davidson, Malcolm	1	2020-08-01	00		750,000	
Sprott Inc.	Rights Deferred Share Units	Birch, Graham John	4	2020-10-15	46	44.91	9,297	352
SQI Diagnostics Inc.	Common Shares	Connor, Gerald R.	3, 4	2020-10-20	97		3,037,468	-700
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-10-21	10	0.145	132,500	22,500
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-10-21	10	0.1495	160,000	27,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-10-21	10	0.15	170,000	10,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-10-21	15	0.2	195,000	25,000
Starcore International Mines Ltd.	Common Shares	2176423 Ontario Ltd.	3	2020-10-23	10	0.3327	6,163,193	-148,500
Starcore International Mines Ltd.	Common Shares	Sprott, Eric S.	3	2020-10-23	10	0.3327	6,163,193	-148,500
Starrex International Ltd.	Common Shares	Burns, Charles	4	2020-10-20	10	0.46	817,500	27,500
Steppe Gold Ltd.	Restricted Stock Units	Tumur-Ochir, Bataa	4, 5	2018-05-03	00			
Steppe Gold Ltd.	Restricted Stock Units	Tumur-Ochir, Bataa	4, 5	2020-07-21	56		200,000	200,000
Strategic Resources Inc.	Common Shares	Rip, Martin Raymond Danziger	5	2020-10-20	10	0.35	386,000	60,000
Strategic Resources Inc.	Warrants	Rip, Martin Raymond Danziger	5	2019-06-17	00			
Strategic Resources Inc.	Warrants	Rip, Martin Raymond Danziger	5	2020-10-20	11	0.55	30,000	30,000
Summit Industrial Income REIT	Trust Units	Morassutti, Lawrence	4	2020-10-15	30	12.07	118,380	439
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-15	38	10.443	520,000	1,100
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-16	38	10.513	523,300	3,300
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-19	38	10.637	527,300	4,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-20	38	10.66	532,900	5,600
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-21	38	10.681	533,700	800
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-10-22	38	10.662	534,300	600
Sustainable Innovation & Health Dividend Fund	Trust Units	Orrico, Dean	6	2020-10-21	10	9.78	24,500	1,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-15	38	9.715	101,700	1,600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-16	38	9.7781	103,300	1,600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-19	38	9.76	105,300	2,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-20	38	9.6926	108,800	3,500
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-21	38	9.595	109,800	1,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-10-22	38	9.7571	110,500	700
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-16	40	2.96	-28,000	-28,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	51	0.25	72,000	100,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	51	1.04	84,500	12,500
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	40	2.984		-34,400
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	51	2.984		-34,400
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	10	2.984	50,100	-34,400
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	40	3		-22,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	51	3		-22,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Common Shares	Cumming, John Charles Richard	4	2020-10-19	10	3	28,100	-22,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Options	Cumming, John Charles Richard	4	2020-10-19	51	0.25	37,500	-100,000
TAAT Lifestyle & Wellness Ltd. (formerly Molori Energy Inc.)	Options	Cumming, John Charles Richard	4	2020-10-19	51	1.04	25,000	-12,500
TAG Oil Ltd	Options	Hill, Keith Charles	4	2020-09-11	11	0.25	625,000	100,000
Talon Metals Corp.	Common Shares	DEISLEY, DAVID LEE	4	2016-04-12	00			
Talon Metals Corp.	Common Shares	DEISLEY, DAVID LEE	4	2020-10-19	51	0.156	300,000	300,000
Talon Metals Corp.	Options	DEISLEY, DAVID LEE	4	2020-10-19	51	0.156	646,132	-300,000
Talon Metals Corp.	Common Shares	Kinross, Gregory Stephen	4	2020-10-22	51	0.156	365,000	365,000
Talon Metals Corp.	Common Shares	Kinross, Gregory Stephen	4	2020-10-19	10	0.305	0	-141,478
Talon Metals Corp.	Options	Kinross, Gregory Stephen	4	2020-10-22	51	0.156	786,127	-365,000
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2005-04-05	00			
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-20	51	0.156	815,000	815,000
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-15	10	0.302	14,533,690	-91,000
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-16	10	0.3	14,524,690	-9,000
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-16	10	0.315	14,474,690	-50,000
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-19	10	0.32	14,434,190	-40,500
Talon Metals Corp.	Common Shares	Newfield, Warren Eric	4	2020-10-19	10	0.305	14,398,690	-35,500
Talon Metals Corp.	Options	Newfield, Warren Eric	4	2020-10-20	51	0.156	1,755,325	-815,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-10-21	10	0.245	13,725,250	4,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-10-22	10	0.23	13,731,250	6,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-10-22	10	0.25	13,746,250	15,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-10-22	10	0.255	13,747,250	1,000
Tembo Gold Corp.	Common Shares	Benstead, Simon Charles	3, 4, 5	2020-10-16	10	0.13	11,635,111	80,500
TerraVest Industries Inc. (formerly TerraVest Capital Inc.)	Common Shares	Gering, Michael	1	2020-10-21	10	15.05	0	-400
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-10-16	10	0.7487	26,962,208	127,500

**Insider Reporting**

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Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-10-19	10	0.75	27,012,208	50,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-10-21	10	0.75	27,032,708	20,500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-10-22	10	0.75	27,067,708	35,000
TGS Esports Inc.	Options	Smyl, Spencer	4	2020-08-01	00		600,000	
THC BIOMED INTL LTD.	Warrants	Miller, John	3, 4	2020-10-20	55		11,084,592	-83,333
The Green Organic Dutchman Holdings Ltd.	Options	Bertrand, Marc	4	2020-06-01	52		585,000	-153,000
The Green Organic Dutchman Holdings Ltd.	Options	Bertrand, Marc	4	2020-10-02	52		270,000	-315,000
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Anand, Deepak Satish	4	2019-05-13	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Anand, Deepak Satish	4	2020-10-19	56		43,956	43,956
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Buysen, Christopher Michael	5	2020-10-19	57			-11,905
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Buysen, Christopher Michael	5	2020-10-19	57			-11,905
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Buysen, Christopher Michael	5	2020-10-19	57		279,205	11,905
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Buysen, Christopher Michael	5	2020-10-19	50	1.73	895,238	95,238
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2018-06-12	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2020-10-19	56		95,238	95,238
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2020-10-19	57		83,333	-11,905
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Buysen, Christopher Michael	5	2020-10-19	59		71,428	-11,905
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Cockwell, Andrew William Walter	4	2020-06-12	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Cockwell, Andrew William Walter	4	2020-10-19	56		18,315	18,315
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Fallows, Jeffrey William	5	2020-10-19	57		71,032	20,032
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Fallows, Jeffrey William	5	2020-10-19	50	1.73	960,256	160,256
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Fallows, Jeffrey William	5	2019-06-01	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Fallows, Jeffrey William	5	2020-10-19	56		160,256	160,256
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Fallows, Jeffrey William	5	2020-10-19	57		140,224	-20,032
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Fallows, Jeffrey William	5	2020-10-19	59		120,192	-20,032

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Howard, Daniel	5	2019-10-07	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Howard, Daniel	5	2020-10-19	57		3,434	3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Howard, Daniel	5	2020-10-19	50	1.73	177,473	27,473
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2019-10-07	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-10-19	56		27,473	27,473
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-10-19	57		24,039	-3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Howard, Daniel	5	2020-10-19	59		20,605	-3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Kaushal, Nitin	4	2018-09-05	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Kaushal, Nitin	4	2020-10-19	56		43,956	43,956
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Knight, Everett	5	2020-10-19	57		268,779	4,579
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Knight, Everett	5	2020-10-19	50	1.73	686,630	36,630
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2019-01-01	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-10-19	56		36,630	36,630
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-10-19	57		32,051	-4,579
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Knight, Everett	5	2020-10-19	59		27,472	-4,579
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Kunynetz, Paul Adrian	5	2019-08-19	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Kunynetz, Paul Adrian	5	2020-10-19	57		3,434	3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Kunynetz, Paul Adrian	5	2020-10-19	50	1.73	77,473	27,473
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2019-08-19	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-10-19	56		27,473	27,473
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-10-19	57		24,039	-3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Kunynetz, Paul Adrian	5	2020-10-19	59		20,605	-3,434
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	McCaskill, Karin Ann	4	2020-06-12	00			

**Insider Reporting**

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The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	McCaskill, Karin Ann	4	2020-10-19	56		18,315	18,315
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	McGrath, Ashley Ervin	4	2018-09-04	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	McGrath, Ashley Ervin	4	2020-10-19	56		43,956	43,956
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Merrifield, Renee Dena	4	2020-06-12	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Rights Deferred Share Unit	Merrifield, Renee Dena	4	2020-10-19	56		18,315	18,315
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Popoff, Chantel	5	2020-10-19	57		280,740	15,740
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Popoff, Chantel	5	2020-10-19	50	1.73	825,916	125,916
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2018-06-01	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-10-19	56		125,916	125,916
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-10-19	57		110,176	-15,740
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Popoff, Chantel	5	2020-10-19	59		94,437	-15,739
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Robson, Andrew Tyler	4, 5	2020-10-19	57		2,619,658	60,096
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Robson, Andrew Tyler	4, 5	2020-10-19	50	1.73	680,769	480,769
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2016-06-13	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-10-19	56		480,769	480,769
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-10-19	57		420,673	-60,096
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Robson, Andrew Tyler	4, 5	2020-10-19	59		360,577	-60,096
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Smith, Anderson Paul	5	2020-10-19	57		55,848	2,748
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Smith, Anderson Paul	5	2020-10-19	50	1.73	221,978	21,978
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-05-01	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-10-19	56		21,978	21,978
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-10-19	57		19,230	-2,748
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Smith, Anderson Paul	5	2020-10-19	59		16,483	-2,747

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Zakrevsky, Ernestina	5	2019-08-19	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Zakrevsky, Ernestina	5	2020-10-19	57		3,091	3,091
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Zakrevsky, Ernestina	5	2020-10-19	50	1.73	74,725	24,725
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2019-08-19	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-10-19	56		24,725	24,725
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-10-19	57		21,634	-3,091
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zakrevsky, Ernestina	5	2020-10-19	59		18,544	-3,090
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Zlamalik, Borna	5	2020-02-20	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Common Shares	Zlamalik, Borna	5	2020-10-19	57		2,576	2,576
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Zlamalik, Borna	5	2020-02-20	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Options	Zlamalik, Borna	5	2020-10-19	50	1.73	20,604	20,604
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-02-20	00			
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-10-19	56		20,604	20,604
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-10-19	58 - Expiration of rights			-2,576
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-10-19	58 - Expiration of rights			-2,576
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-10-19	59		18,029	-2,575
The Valens Company Inc. (formerly Valens Groworks Corp.)	Restricted Share Unit	Zlamalik, Borna	5	2020-10-19	57		15,453	-2,576
The Very Good Food Company Inc. (formerly The Very Good Butchers Inc.)	Common Shares	Scott, Mitchell Andrew	3, 4, 5	2020-10-20	10	2.038	14,533,333	-100,000
Tidewater Midstream and Infrastructure Ltd.	Common Shares	Wong-Chor, Trevor	4	2020-10-20	57	0.73	203,637	31,837
Tidewater Midstream and Infrastructure Ltd.	Restricted Share Units	Wong-Chor, Trevor	4	2020-10-20	57		118,710	-31,837
Tier One Metals Inc.	Common Shares	Arribas, Antonio	4	2020-10-09	00		26,100	
Tier One Metals Inc.	Common Shares	Senez, Elizabeth Kathryn	5	2020-10-09	00		9,000	
Top Strike Resources Corp	Options	Gill, Sanjib Singh	5	2020-10-21	97		0	-779,171
Topaz Energy Corp.	Common Shares	Angevine, Jill Terilee	6	2020-10-16	00		10,000	
Topaz Energy Corp.	Common Shares	Armstrong, William D.	6	2020-10-16	00		636,036	
Topaz Energy Corp.	Common Shares	Bush, Allan Joseph	6	2020-10-16	00		35,000	
Topaz Energy Corp.	Options	Causgrove, Tanya	4	2020-10-16	00		200,000	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Topaz Energy Corp.	Common Shares	Gordon, John	4	2020-10-16	00		50,000	
Topaz Energy Corp.	Options	Gordon, John	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Harris, Darlene Gay	4	2020-06-11	00			
Topaz Energy Corp.	Common Shares	Harris, Darlene Gay	4	2020-10-16	00		3,000	
Topaz Energy Corp.	Options	Harris, Darlene Gay	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Larke, Stephen Phillip	4	2020-10-16	00			
Topaz Energy Corp.	Common Shares	Larke, Stephen Phillip	4	2020-10-16	00			
Topaz Energy Corp.	Common Shares	Larke, Stephen Phillip	4	2020-10-16	00			
Topaz Energy Corp.	Common Shares	Larke, Stephen Phillip	4	2020-10-16	00		60,000	
Topaz Energy Corp.	Common Shares	Larke, Stephen Phillip	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Options	Larke, Stephen Phillip	4	2020-10-16	00			
Topaz Energy Corp.	Options	Larke, Stephen Phillip	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Robinson, Brian	4	2020-10-16	00		25,000	
Topaz Energy Corp.	Common Shares	Robinson, Brian	4	2020-10-16	00		50,000	
Topaz Energy Corp.	Options	Robinson, Brian	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Rose, Mike	4	2020-10-16	00		5,000	
Topaz Energy Corp.	Common Shares	Rose, Mike	4	2020-10-16	00		140,000	
Topaz Energy Corp.	Common Shares	Rose, Mike	4	2020-10-16	00		185,000	
Topaz Energy Corp.	Common Shares	Rose, Mike	4	2020-10-16	00		110,000	
Topaz Energy Corp.	Options	Rose, Mike	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Staples, Marty	5	2020-10-16	00		32,000	
Topaz Energy Corp.	Common Shares	Staples, Marty	5	2020-10-16	00		41,727	
Topaz Energy Corp.	Options	Staples, Marty	5	2020-10-16	00		250,000	
Topaz Energy Corp.	Common Shares	Stephenson, Cheree	5	2020-10-16	00		20,000	
Topaz Energy Corp.	Common Shares	Stephenson, Cheree	5	2020-10-16	00		20,500	
Topaz Energy Corp.	Options	Stephenson, Cheree	5	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Tahmazian, Rafi	4	2020-10-16	00		27,273	
Topaz Energy Corp.	Options	Tahmazian, Rafi	4	2020-10-16	00		200,000	
Topaz Energy Corp.	Common Shares	Tourmaline Oil Corp.	3	2020-10-16	00		59,149,494	
Topaz Energy Corp.	Common Shares	Wigham, Ron	6	2020-10-16	00		20,000	
Topaz Energy Corp.	Common Shares	Wigham, Ron	6	2020-10-16	00		130,000	
Transcanna Holdings Inc.	Warrants	Mason, Douglas Lawrence	4	2020-03-18	00			
Transcanna Holdings Inc.	Warrants	Mason, Douglas Lawrence	4	2020-10-20	11	0.75	200,000	200,000
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	7,061	22
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	7,091	30
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	7,137	46
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	8,305	22
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	8,353	48
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Bendavid, Salomon	5	2020-10-19	56	16.17	8,398	45
Transcontinental Inc.	Participation Units d'actions differees (UAD-administrateurs) / (DSU-directors)	Brues, Peter	4	2020-10-19	56	16.2	16,339	224

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Cote, Jacynthe	4	2020-10-19	56	16.2	29,242	401
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Depras, Magali	5	2020-10-19	56	16.17	5,089	32
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Depras, Magali	5	2020-10-19	56	16.17		39
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Depras, Magali	5	2020-10-19	56	16.17		39
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Depras, Magali	5	2020-10-19	56	16.17	5,127	38
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Depras, Magali	5	2020-10-19	56	16.17	5,089	32
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Depras, Magali	5	2020-10-19	56	16.17	5,127	38
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Desaulniers, Christine	7, 5	2020-10-19	56	16.17	32,106	441
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Desaulniers, Christine	7, 5	2020-10-19	56	16.17	42,933	212
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Desaulniers, Christine	7, 5	2020-10-19	56	16.17	43,088	155
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Desaulniers, Christine	7, 5	2020-10-19	53	16.17	43,316	228
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	1,995	27
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	7,022	44
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	7,075	53
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	12,187	71
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	12,231	44
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoît	5	2020-10-19	56	16.17	12,285	54
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	179	3

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	18,382	143
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	18,493	111
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	37,325	78
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	37,468	143
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-10-19	56	16.17	37,766	298
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Leduc, Yves	4	2020-10-19	56	16.2	17,420	239
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Marcoux, Isabelle	4	2020-10-19	56	16.17	7,250	99
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2020-10-19	56	16.17	25,229	97
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2020-10-19	56	16.17	25,346	117
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2020-10-19	56	16.17	25,482	136
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Marcoux, Nathalie	4, 6	2020-10-19	56	16.2	28,724	394
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Martel, Lyne	5	2020-10-19	56	16.17	14,561	107
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Martel, Lyne	5	2020-10-19	56	16.17	14,655	94
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Martel, Lyne	5	2020-10-19	56	16.17	14,560	106
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Martel, Lyne	5	2020-10-19	56	16.17	14,654	94
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Martini, Anna	4	2020-10-19	56	16.2	63,092	864
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Morin, Thomas Gaston Louis	5	2020-10-19	56	16.17	53,281	385
Transcontinental Inc.	Participation Units d'actions differees liees au rendement (UADLR) (DPSU)	Morin, Thomas Gaston Louis	5	2020-10-19	58 - Expiration of rights	16.17	53,631	350

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Olivier, François	4, 7, 5	2020-10-19	56	16.17	224,805	3,085
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, François	4, 7, 5	2020-10-19	56	16.17	537,036	2,007
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, François	4, 7, 5	2020-10-19	56	16.17	539,529	2,493
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, François	4, 7, 5	2020-10-19	56	16.17	542,474	2,945
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Plourde, Mario	4	2020-10-19	56	16.2	31,387	429
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Raymond, Jean	4	2020-10-19	56	16.2	20,907	286
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Reid, Brian	7, 5	2020-10-19	56	16.17	22,796	312
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2020-10-19	56	16.17	130,825	523
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2020-10-19	56	16.17	131,475	650
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2020-10-19	56	16.17	132,115	640
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Roy, François R.	4	2020-10-19	56	16.2	19,619	269
Transcontinental Inc.	Participation Units d'actions différées (UAD)/Deferred share unit (DSU)	Taschereau, François	5	2020-10-19	56	16.17	3,308	46
Transcontinental Inc.	Participation Units d'actions différées (UAD-administrateurs) / (DSU-directors)	Thabet, Annie	4	2020-10-19	56	16.2	19,197	263
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Baldrige, Kevin	7	2020-10-15	30	11.46	21,998	134
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Berman, David	3, 4, 6, 5	2020-10-16	57		1,420,149	75,000
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Berman, David	3, 4, 6, 5	2020-10-16	11	11.52	1,345,149	-75,000
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, David	3, 4, 6, 5	2020-10-15	30	11.46	491,875	2,986
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Berman, David	3, 4, 6, 5	2020-10-16	57		110,000	-75,000
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, David	3, 4, 6, 5	2020-10-15	30	11.46	71,247	433

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, Gary	4, 5	2020-10-15	30	11.46	831,091	5,046
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, Gary	4, 5	2020-10-15	30	11.46	271,136	1,646
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Carmody, Andrew	5	2020-10-15	30	11.46	63,632	386
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Carmody, Andrew	5	2020-10-15	30	11.46	56,918	346
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Douglas, Camille	4	2020-10-15	30	11.46	14,833	80
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Dube, Evelyne	5	2020-10-15	30	11.46	18,458	112
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Ellenzweig, Jonathan	5	2020-10-15	30	11.46	78,348	476
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Ellenzweig, Jonathan	5	2020-10-15	30	11.46	83,944	510
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Francis, Wissam	5	2020-10-15	30	11.46	58,659	356
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Francis, Wissam	5	2020-10-15	30	11.46	74,688	453
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Gluskin, Ira	4	2020-10-15	30	11.46	42,499	238
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Joyner, Andrew	5	2020-10-15	30	11.46	55,590	337
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Joyner, Andrew	5	2020-10-15	30	11.46	34,362	209
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	KNOWLTON, JOHN MICHAEL ARTHUR	4	2020-10-15	30	11.46	34,026	197
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Matthews, Sian Margaret	4	2020-10-15	30	11.46	53,954	307
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-10-15	30	11.46	33,551	291
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-10-15	30	11.46	35,351	216
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Quesnel, Douglas Paul	5	2015-08-13	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Quesnel, Douglas Paul	5	2020-10-15	57		7,210	7,210
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Quesnel, Douglas Paul	5	2020-10-15	10		0	-7,210
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Quesnel, Douglas Paul	5	2020-10-15	30	11.46	35,971	218
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Quesnel, Douglas Paul	5	2020-10-15	38		32,210	-22,790
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Quesnel, Douglas Paul	5	2020-10-15	57		25,000	-7,210

**Insider Reporting**

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Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Sacks, Peter	4	2020-10-15	30	11.46	11,582	72
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Sherren, Tracy	4	2020-10-15	30	11.46	10,046	51
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Veneziano, David	5	2020-10-16	57		1,240	773
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Veneziano, David	5	2020-10-15	30	11.46	34,772	211
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Veneziano, David	5	2020-10-16	38		94,847	-7,561
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Veneziano, David	5	2020-10-16	57		94,074	-773
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Veneziano, David	5	2020-10-15	30	11.46	38,529	234
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2015-06-19	00			
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2020-10-21	51	0.5	100,000	100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2020-10-21	51	0.44	175,000	75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2020-10-21	38	2.24	137,945	-37,055
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Hayden, William	4	2020-10-21	51	0.5		-100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Hayden, William	4	2020-10-21	51	0.5		-100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Hayden, William	4	2020-10-21	51	0.5	375,000	-100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Hayden, William	4	2020-10-21	51	0.44	300,000	-75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Madhavpeddi, Kalidas	4	2020-10-20	51	0.44	229,293	75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Madhavpeddi, Kalidas	4	2020-10-20	51	0.5	329,293	100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Madhavpeddi, Kalidas	4	2020-10-20	51	0.44	400,000	-75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Madhavpeddi, Kalidas	4	2020-10-20	51	0.5	300,000	-100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Sanders, Elaine	5	2020-10-15	51	0.5	1,511,875	200,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Sanders, Elaine	5	2020-10-15	51	0.44	1,711,875	200,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Sanders, Elaine	5	2020-10-15	38	2.35	1,631,874	-80,001
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Sanders, Elaine	5	2020-10-15	10	1.77	1,531,874	-100,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Sanders, Elaine	5	2020-10-16	10	1.77	1,501,874	-30,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Sanders, Elaine	5	2020-10-15	51	0.5	1,400,000	-200,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Sanders, Elaine	5	2020-10-15	51	0.44	1,200,000	-200,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Stairs, Janice Alayne	4	2020-10-16	51	0.5	198,658	100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Stairs, Janice Alayne	4	2020-10-16	51	0.4		75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Stairs, Janice Alayne	4	2020-10-16	51	0.44	273,658	75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Stairs, Janice Alayne	4	2020-10-16	51	0.5	375,000	-100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Stairs, Janice Alayne	4	2020-10-16	51	0.4		-75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Stairs, Janice Alayne	4	2020-10-16	51	0.44	300,000	-75,000
TriStar Gold Inc.	Common Shares	Jones, III, Mark E.	4	2020-05-12	48 - Acquisition by inheritance or disposition by bequest		9,417,346	425,000
Tucows Inc.	Common Shares	Noss, Elliot Lawrence	4, 5	2020-10-20	51	10.16	556,221	6,250
Tucows Inc.	Options	Noss, Elliot Lawrence	4, 5	2020-10-20	51	10.16	560,750	-6,250
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2020-10-23	10	1.08	1,982,000	3,500
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Burns, George Raymond	4	2020-10-20	56	1.12	160,020	22,320
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Robertson, Russel Clark	4	2020-10-20	56	0.98	725,358	38,270
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Robertson, Russel Clark	4	2020-10-20	56	1.12	758,838	33,480
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2020-10-19	38	11.5	41,000	41,000
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2020-10-19	38		0	-41,000
UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-10-23	10	0.8415	1,201,669	5,000
UGE International Ltd.	Common Shares	Blitterswyk, Nicolas Adrian	3, 4, 5	2020-10-23	10	0.8435	1,211,669	10,000
UGE International Ltd.	Common Shares	Van Duynhoven, Robert Anthony	7	2020-10-23	10	1.25	429,574	3,000
UGE International Ltd.	Options	Yang, Jian	5	2020-09-18	50	0.78	260,000	50,000
Uranium Royalty Corp.	Common Shares	Gregson, Neil	4	2020-10-13	00			
Uranium Royalty Corp.	Warrants	Gregson, Neil	4	2020-10-13	00			
Valterra Resource Corporation	Common Shares	Page, Lawrence Peter	4, 5	2019-12-11	37		5,000	-45,000
Velocity Minerals Ltd.	Common Shares	Kopple, Robert Charles	3	2020-10-23	10	0.44	3,301,072	15,500
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Subordinate Voting Shares	cameron, brian	5	2020-02-17	00		475,000	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Warrants	cameron, brian	5	2020-02-17	00		475,000	
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Eaton, David	4	2019-05-03	00			
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Eaton, David	4	2020-10-20	50	0.75	250,000	250,000
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Lok, Denise	5	2020-02-10	00			
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Lok, Denise	5	2020-05-12	50	0.75	150,000	150,000
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Williams, Caroline Marie-Clothilde	4	2020-02-18	00			
VEXT Science, Inc. (formerly, Vapen MJ Ventures Corporation)	Options	Williams, Caroline Marie-Clothilde	4	2020-05-12	50	0.75	250,000	250,000
Vibe Growth Corporation (formerly Vibe Bioscience Ltd.)	Options	Anderson, Gordon Douglas	4	2020-09-17	00		100,000	
Victory Square Technologies Inc.	Common Shares	Khimji, Mehdi	3	2020-10-19	10	0.6433	6,207,667	-60,500
Victory Square Technologies Inc.	Common Shares	Khimji, Mehdi	3	2020-10-20	10	0.6644	5,954,667	-253,000
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-10-14	10	1.4271	408,273	-86,700
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-10-15	10	1.3674	361,673	-46,600
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-10-16	10	1.3644	246,973	-114,700
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4	2020-10-20	15	0.55	1,414,737	64,000
Volcanic Gold Mines Inc	Options	Ridgway, Simon T.P.	4	2019-04-08	37			-642,857
Volcanic Gold Mines Inc	Options	Ridgway, Simon T.P.	4	2019-04-08	37		107,141	-642,859
Volcanic Gold Mines Inc	Warrants	Ridgway, Simon T.P.	4	2020-10-20	15		332,000	32,000
Volcanic Gold Mines Inc	Common Shares	Silvercorp Metals Inc.	3	2020-10-20	16	0.55		3,117,100
Volcanic Gold Mines Inc	Common Shares	Silvercorp Metals Inc.	3	2020-10-20	16	0.55	8,809,272	3,117,100
Volcanic Gold Mines Inc	Warrants	Silvercorp Metals Inc.	3	2020-10-20	16	0.55		1,558,550
Volcanic Gold Mines Inc	Warrants	Silvercorp Metals Inc.	3	2020-10-20	16	0.55	4,404,636	1,558,550

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Common Shares	Cudney, Robert Douglas	3	2020-07-20	11	0.3	6,869,702	2,500,000
Wall Financial Corporation.	Common Shares	BJW Capital Ltd.	3	2020-10-21	10	16.95	3,697,460	5,000
WELL Health Technologies Corp.	Common Shares	Shahbazi, Hamed	3, 4, 5	2020-10-22	15	6.75	12,246,486	6,750
WELL Health Technologies Corp.	Common Shares	Shahbazi, Hamed	3, 4, 5	2020-10-22	15	6.75	6,402,548	750
West Fraser Timber Co. Ltd.	Deferred Share Unit	Carter, Reid Ewart	4	2020-10-14	56		10,108	33
West Fraser Timber Co. Ltd.	Deferred Share Unit	Floren, John	4	2020-10-14	56		6,687	21
West Fraser Timber Co. Ltd.	Deferred Share Unit	Kenning, Brian Graham	4	2020-10-14	56		4,891	15
West Fraser Timber Co. Ltd.	Deferred Share Unit	Ketcham, John Kendall	4	2020-10-14	56		8,196	26
West Fraser Timber Co. Ltd.	Deferred Share Unit	Miller, Gerald	4	2020-10-14	56		13,625	44
West Fraser Timber Co. Ltd.	Deferred Share Unit	Phillips, Robert L.	4	2020-10-14	56		15,751	50
West Fraser Timber Co. Ltd.	Deferred Share Unit	Rennie, Janice Gaye	4	2020-10-14	56		20,473	66
West Fraser Timber Co. Ltd.	Deferred Share Unit	Winckler, Gillian	4	2020-10-14	56		5,431	17
West Vault Mining Inc.	Common Shares	Jones, R. Michael	4	2020-10-22	10	1.62	285,191	1,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-10-15	10	0.25	22,904,500	4,967,000
Westshore Terminals Investment Corporation	Common Shares	Stinson, William W.	4, 5	2020-10-19	10	14.909	68,974	762
Wolfpack Gold Corp.	Common Shares	Tewalt, Nathan A.	4	2013-05-17	00			
Wolfpack Gold Corp.	Common Shares	Tewalt, Nathan A.	4	2013-05-17	00			
Wolfpack Gold Corp.	Common Shares	Tewalt, Nathan A.	4	2013-05-17	00		700,000	
WSP Global Inc.	Common Shares	Canada Pension Plan Investment Board	3	2020-10-15	35		21,536,837	93,698
Ximen Mining Corp.	Common Shares	Warthe-Anderson, Wesley	4	2020-10-20	10	0.37	513,500	-22,500
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2020-10-20	10	0.25	6,961,736	-1,000,000
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2020-10-21	10	0.25	6,461,736	-500,000
Zonetail Inc.	Common Shares	Rogers, William Morris	4	2018-11-08	00			
Zonetail Inc.	Common Shares	Rogers, William Morris	4	2020-10-05	46	0.05	300,000	300,000
Zonetail Inc.	Options	Rogers, William Morris	4	2018-11-08	00			
Zonetail Inc.	Options	Rogers, William Morris	4	2020-07-29	50	0.05	500,000	500,000

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## Chapter 11

# IPOs, New Issues and Secondary Financings

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### INVESTMENT FUNDS

**Issuer Name:**

The Bitcoin Fund  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Shelf Prospectus (NI 44-102) dated October 22, 2020

NP 11-202 Preliminary Receipt dated October 23, 2020

**Offering Price and Description:**

Maximum Offering: US\$300,000,000 - Class A Units and Class F Units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

3iQ CORP.

Project #3125542

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**Issuer Name:**

CIBC Conservative Fixed Income Pool  
CIBC Core Fixed Income Pool  
CIBC Core Plus Fixed Income Pool  
Principal Regulator – Ontario

**Type and Date:**

Combined Preliminary and Pro Forma Simplified Prospectus dated Oct 20, 2020

NP 11-202 Final Receipt dated Oct 20, 2020

**Offering Price and Description:**

Series S units, Series A units, Series O units, ETF Series units and Series F units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3111672

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**Issuer Name:**

Scotia Canadian Bond Index Tracker ETF  
Scotia Canadian Large Cap Equity Index Tracker ETF  
Scotia International Equity Index Tracker ETF  
Scotia U.S. Equity Index Tracker ETF  
Principal Regulator – Ontario

**Type and Date:**

Preliminary Long Form Prospectus dated Oct 20, 2020

NP 11-202 Final Receipt dated Oct 21, 2020

**Offering Price and Description:**

Units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3114029

**Issuer Name:**

Canada Life Pathways Canadian Concentrated Equity Fund

Canada Life Pathways Canadian Equity Fund

Canada Life Pathways Core Bond Fund

Canada Life Pathways Core Plus Bond Fund

Canada Life Pathways Emerging Markets Equity Fund

Canada Life Pathways Emerging Markets Large Cap Equity Fund

Canada Life Pathways Global Core Plus Bond Fund

Canada Life Pathways Global Multi Sector Bond Fund

Canada Life Pathways Global Tactical Fund

Canada Life Pathways International Concentrated Equity Fund

Canada Life Pathways International Equity Fund

Canada Life Pathways Money Market Fund

Canada Life Pathways U.S. Concentrated Equity Fund

Canada Life Pathways U.S. Equity Fund

Canada Life Risk Reduction Pool

Canada Life Risk-Managed Balanced Portfolio

Canada Life Risk-Managed Conservative Income Portfolio

Canada Life Risk-Managed Growth Portfolio

Principal Regulator – Ontario

**Type and Date:**

Combined Preliminary and Pro Forma Simplified

Prospectus dated Oct 21, 2020

NP 11-202 Final Receipt dated Oct 22, 2020

**Offering Price and Description:**

N series securities, L series securities, QF series securities,

I series securities, QFW series securities, R series

securities, HW series securities, H series securities, Q

series securities and Quadrus series securities

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3100178

**Issuer Name:**

Invesco Tactical Bond ETF Fund  
Principal Regulator - Ontario

**Type and Date:**

Amendment #3 to Final Simplified Prospectus dated  
October 16, 2020

NP 11-202 Final Receipt dated Oct 20, 2020

**Offering Price and Description:**

Series A units, Series F units, Series F4 units, Series F6  
units, Series I units, Series T4 units and Series T6 units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #3069832**

**Issuer Name:**

Invesco Tactical Bond ETF  
Invesco DWA Global Momentum Index ETF  
Principal Regulator - Ontario

**Type and Date:**

Amendment #2 to Final Long Form Prospectus dated  
October 16, 2020

NP 11-202 Final Receipt dated Oct 20, 2020

**Offering Price and Description:**

CAD Hedged Units, CAD Units and USD Units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #2993417**

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**Issuer Name:**

Sun Life Excel India Fund  
Principal Regulator - Ontario

**Type and Date:**

Amendment #1 to Final Simplified Prospectus dated  
October 15, 2020

NP 11-202 Final Receipt dated Oct 22, 2020

**Offering Price and Description:**

Series A securities, Series DB securities, Series F  
securities, Series I securities and Series O securities

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #3074012**

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**Issuer Name:**

Next Edge Bio-Tech Plus Fund  
Principal Regulator - Ontario

**Type and Date:**

Amendment #1 to Final Simplified Prospectus dated  
October 15, 2020

NP 11-202 Final Receipt dated Oct 21, 2020

**Offering Price and Description:**

Class A Units, Class F Units

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #2973082**

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NON-INVESTMENT FUNDS

**Issuer Name:**

4Front Ventures Corp.  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Short Form Prospectus dated October 26, 2020  
NP 11-202 Preliminary Receipt dated October 26, 2020

**Offering Price and Description:**

\$15,001,000.00  
21,430,000 Units  
Price: \$0.70 per Unit

**Underwriter(s) or Distributor(s):**

BEACON SECURITIES LIMITED  
CANACCORD GENUITY CORP.  
HAYWOOD SECURITIES INC.

**Promoter(s):**

-

**Project #**3124685

**Issuer Name:**

Hempfusion Wellness Inc.  
Principal Regulator - British Columbia

**Type and Date:**

Preliminary Long Form Prospectus dated October 20, 2020  
NP 11-202 Preliminary Receipt dated October 21, 2020

**Offering Price and Description:**

Up to \$7,000,000.00 / Up to \* Common Shares Up to  
\$10,000,000.00 / Up to \* Units  
Price: \$\* per Common Share Price: \$\* per Unit

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.  
HAYWOOD SECURITIES INC.  
PI FINANCIAL CORP.

**Promoter(s):**

-

**Project #**3125033

**Issuer Name:**

Acreage Holdings, Inc. (formerly Applied Inventions  
Management Corp.)  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Shelf Prospectus dated October 21, 2020  
NP 11-202 Preliminary Receipt dated October 22, 2020

**Offering Price and Description:**

USD\$300,000,000.00  
Fixed Shares  
Floating Shares  
Debt Securities  
Warrants  
Subscription Receipts  
Units

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #**2933242

**Issuer Name:**

mdf commerce inc.  
Principal Regulator - Quebec

**Type and Date:**

Preliminary Short Form Prospectus dated October 23, 2020  
NP 11-202 Preliminary Receipt dated October 23, 2020

**Offering Price and Description:**

\$41,570,000.00  
4,157,000 Common Shares  
Price: \$10.00 per Common Share

**Underwriter(s) or Distributor(s):**

STIFEL NICOLAUS CANADA INC.  
DESJARDINS SECURITIES INC.  
ECHELON WEALTH PARTNERS INC.  
LAURENTIAN BANK SECURITIES INC.  
NATIONAL BANK FINANCIAL INC.  
SCOTIA CAPITAL INC.

**Promoter(s):**

-

**Project #**3124247

**Issuer Name:**

CloudMD Software & Services Inc. (formerly Premier  
Health Group Inc.)  
Principal Regulator - British Columbia

**Type and Date:**

Preliminary Short Form Prospectus dated October 23, 2020  
NP 11-202 Preliminary Receipt dated October 23, 2020

**Offering Price and Description:**

\$32,400,000.00  
13,500,000 Common Shares  
Price: \$2.40 per Common Share

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.  
BEACON SECURITIES LIMITED  
ECHELON WEALTH PARTNERS INC.

**Promoter(s):**

-

**Project #**3124365

**Issuer Name:**

NeuPath Health Inc. (formerly, Klinik Health Ventures  
Corp.)  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Short Form Prospectus dated October 23, 2020  
NP 11-202 Preliminary Receipt dated October 26, 2020

**Offering Price and Description:**

\$10,440,000.00  
11,600,000 Units  
Price: \$0.90 per Unit

**Underwriter(s) or Distributor(s):**

STIFEL NICOLAUS CANADA INC.  
INFOR FINANCIAL INC.  
HAYWOOD SECURITIES INC.

**Promoter(s):**

-

**Project #**3124646

**Issuer Name:**

Optimi Health Corp.  
Principal Regulator - British Columbia

**Type and Date:**

Preliminary Long Form Prospectus dated October 20, 2020  
NP 11-202 Preliminary Receipt dated October 21, 2020

**Offering Price and Description:**

17,963,005 Common Shares on Exercise of 17,963,005  
Outstanding Special Warrants

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #3124788**

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**Issuer Name:**

Planet 13 Holdings Inc.  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Short Form Prospectus dated October 23, 2020  
NP 11-202 Preliminary Receipt dated October 23, 2020

**Offering Price and Description:**

\$25,047,500.00  
5,825,000 Units  
Price: \$4.30 per Unit

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.  
BEACON SECURITIES LIMITED

**Promoter(s):**

ROBERT GROESBECK  
LARRY SCHEFFLER

**Project #3124362**

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**Issuer Name:**

PYROGENESIS CANADA INC.  
Principal Regulator - Quebec

**Type and Date:**

Preliminary Short Form Prospectus dated October 20, 2020  
NP 11-202 Preliminary Receipt dated October 20, 2020

**Offering Price and Description:**

\$10,501,200.00  
2,917,000 Units  
\$3.60 per Unit

**Underwriter(s) or Distributor(s):**

MACKIE RESEARCH CAPITAL CORPORATION

**Promoter(s):**

-

**Project #3123532**

**Issuer Name:**

StageZero Life Sciences Ltd.  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 20, 2020 to Preliminary Short  
Form Prospectus dated October 19, 2020

NP 11-202 Preliminary Receipt dated October 22, 2020

**Offering Price and Description:**

Minimum Offering: \$5,000,034.00 (6,410,300 Units)  
Maximum Offering: \$10,000,068.00 (12,820,600 Units)  
Price: \$0.78 per Unit

**Underwriter(s) or Distributor(s):**

ECHELON WEALTH PARTNERS INC.  
CLARUS SECURITIES INC.

**Promoter(s):**

-

**Project #3124157**

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**Issuer Name:**

Sunshine Silver Mining & Refining Corporation  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 21, 2020 to Preliminary Long  
Form Prospectus dated October 16, 2020  
NP 11-202 Preliminary Receipt dated October 22, 2020

**Offering Price and Description:**

US\$\*  
18,750,000 Shares of Common Stock  
Price: US\$\* per Share

**Underwriter(s) or Distributor(s):**

BMO NESBITT BURNS INC.  
GOLDMAN SACHS CANADA INC.  
RBC DOMINION SECURITIES INC.  
CANACCORD GENUITY CORP.  
CIBC WORLD MARKETS INC.

**Promoter(s):**

THE ELECTRUM GROUP LLC  
ELECTRUM SILVER US LLC

**Project #3119650**

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**Issuer Name:**

Trimel Capital Corp.  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 20, 2020 to Preliminary CPC  
Prospectus dated September 30, 2020  
NP 11-202 Preliminary Receipt dated October 21, 2020

**Offering Price and Description:**

Minimum of \$300,000.00 and Maximum of \$1,500,000.00  
Minimum of 1,500,000 and Maximum of 7,500,000  
Common Shares \$0.20 per Common Share

**Underwriter(s) or Distributor(s):**

MACKIE RESEARCH CAPITAL CORPORATION

**Promoter(s):**

Eugene Melnyk

**Project #3118197**

**Issuer Name:**

Aurania Resources Ltd.  
Principal Regulator - Ontario

**Type and Date:**

Final Short Form Prospectus dated October 22, 2020  
NP 11-202 Receipt dated October 23, 2020

**Offering Price and Description:**

\$10,019,000.00  
2,330,000 Units  
PRICE: \$4.30 PER UNIT

**Underwriter(s) or Distributor(s):**

CANTOR FITZGERALD CANADA CORPORATION  
CANACCORD GENUITY CORP.  
ECHELON WEALTH PARTNERS INC.  
EIGHT CAPITAL  
HAYWOOD SECURITIES INC.  
RAYMOND JAMES LTD.

**Promoter(s):**

Keith Barron  
Project #3118800

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**Issuer Name:**

BBTV Holdings Inc.  
Principal Regulator - British Columbia

**Type and Date:**

Final Long Form Prospectus dated October 22, 2020  
NP 11-202 Receipt dated October 22, 2020

**Offering Price and Description:**

\$172,400,000.00  
10,775,000 Subordinate Voting Shares  
Price: \$16.00 per Offered Share

**Underwriter(s) or Distributor(s):**

Canaccord Genuity Corp.  
Scotia Capital Inc.  
CIBC World Markets Inc.  
BMO Nesbitt Burns Inc.  
Eight Capital  
Stifel Nicolaus Canada Inc.  
Cormark Securities Inc.  
PI Financial Corp.

**Promoter(s):**

-  
Project #3121220

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**Issuer Name:**

Docebo Inc.  
Principal Regulator - Ontario

**Type and Date:**

Final Shelf Prospectus dated October 22, 2020  
NP 11-202 Receipt dated October 22, 2020

**Offering Price and Description:**

\$750,000,000.00  
Common Shares  
Preferred Shares  
Debt Securities  
Subscription Receipts  
Warrants  
Units

**Underwriter(s) or Distributor(s):**

-  
**Promoter(s):**

-  
Project #3123162

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**Issuer Name:**

Kraken Robotics Inc.  
Principal Regulator - Ontario

**Type and Date:**

Final Short Form Prospectus dated October 20, 2020  
NP 11-202 Receipt dated October 21, 2020

**Offering Price and Description:**

\$10,050,000.00  
15,000,000 Common Shares  
\$0.67 per Common Share

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.  
STIFEL NICOLAUS CANADA INC.  
BEACON SECURITIES LIMITED

**Promoter(s):**

-  
Project #3120927

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**Issuer Name:**

Pivotree Inc.  
Principal Regulator - Ontario

**Type and Date:**

Final Long Form Prospectus dated October 23, 2020  
NP 11-202 Receipt dated October 23, 2020

**Offering Price and Description:**

\$60,001,500.00  
7,059,000 COMMON SHARES  
Price: \$8.50 per Share

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.  
NATIONAL BANK FINANCIAL INC.  
CORMARK SECURITIES INC.  
PARADIGM CAPITAL INC.

**Promoter(s):**

-  
Project #3117064

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**Issuer Name:**

Subversive Real Estate Acquisition REIT LP  
Principal Regulator - Ontario

**Type and Date:**

Final Long Form Prospectus dated October 19, 2020  
NP 11-202 Receipt dated October 20, 2020

**Offering Price and Description:**

Up to US\$65 million aggregate principal amount of Senior Secured Convertible Debentures and Up to 262,500 Limited Partnership Units Issuable upon Conversion of Subscription Receipts

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.

**Promoter(s):**

SUBVERSIVE REAL ESTATE SPONSOR LLC  
INCEPTION ALTANOVA SPONSOR, LLC  
CG INVESTMENTS INC. IV

**Project #3120996**

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**Issuer Name:**

Superior Gold Inc.  
Principal Regulator - Ontario

**Type and Date:**

Final Short Form Prospectus dated October 23, 2020  
NP 11-202 Receipt dated October 23, 2020

**Offering Price and Description:**

\$15,001,000.00  
21,430,000 Common Shares  
Price: \$0.70 per Offered Common Share

**Underwriter(s) or Distributor(s):**

PI FINANCIAL CORP.  
CLARUS SECURITIES INC.  
STIFEL NICOLAUS CANADA INC.  
BMO NESBITT BURNS INC.  
CORMARK SECURITIES INC.  
HAYWOOD SECURITIES INC.  
LAURENTIAN BANK SECURITIES INC.

**Promoter(s):**

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**Project #3122255**

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## Chapter 12

# Registrations

### 12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Name Change	From: Stratigis Capital Advisors Inc. To: CanCity Capital Inc.	Portfolio Manager, Investment Fund Manager, and Exempt Market Dealer	October 9, 2020
New Registration	Group RMC Advisors Inc.	Exempt Market Dealer	October 23, 2020
Change in Registration Category	Qtrade Asset Management Inc.	From: Mutual Fund Dealer and Exempt Market Dealer To: Mutual Fund Dealer	October 26, 2020

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## Chapter 13

# SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### 13.2 Marketplaces

#### 13.2.1 Liquidnet Canada Inc. – Proposed Changes to Broker Blocks Functionality – Notice of Withdrawal

##### LIQUIDNET CANADA INC.

##### NOTICE OF WITHDRAWAL OF PROPOSED CHANGES TO BROKER BLOCKS FUNCTIONALITY

In accordance with the Process for the Review and Approval of the Information Contained in Form 21-101F2 and the Exhibits thereto (the "ATS Protocol"), Liquidnet Canada Inc. ("Liquidnet Canada") has withdrawn the Notice of Proposed Changes and Request for Comment published on November 21, 2019 relating to changes to existing "broker blocks" functionality. To the extent Liquidnet Canada decides to pursue the proposal again, it will be published for comment in accordance with the requirements of the ATS Protocol.

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# Index

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<b>Agrios Global Holdings Ltd.</b>		
Cease Trading Order .....	8381	
<b>Alchemist Mining Incorporated</b>		
Cease Trading Order .....	8381	
<b>Alli, Nayeem</b>		
Notice from the Office of the Secretary .....	8365	
<b>Aziz, Maurice</b>		
Notice from the Office of the Secretary .....	8365	
<b>Baillie Gifford International LLC</b>		
Decision .....	8367	
<b>Baillie Gifford Overseas Limited</b>		
Decision .....	8367	
<b>Bajaj, Harish</b>		
Notice from the Office of the Secretary .....	8365	
<b>Blacksteel Energy Inc.</b>		
Cease Trading Order .....	8381	
<b>CanCity Capital Inc.</b>		
Name Change.....	8465	
<b>Candusso, Christopher</b>		
Notice from the Office of the Secretary .....	8365	
<b>Candusso, Claudio</b>		
Notice from the Office of the Secretary .....	8365	
<b>CSA Multilateral Staff Notice 51-361 Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2020 and March 31, 2019</b>		
Notice.....	8347	
<b>Elliott, Derek F.C.</b>		
Notice from the Office of the Secretary .....	8366	
Order – 127(1), 127(10) .....	8375	
Reasons and Decision – 127(1), 127(10) .....	8377	
<b>Fakhry, Frank</b>		
Notice from the Office of the Secretary .....	8365	
<b>Fielding, John</b>		
Notice from the Office of the Secretary .....	8365	
<b>First Global Data Ltd.</b>		
Notice from the Office of the Secretary .....	8365	
<b>Global Bioenergy Resources Inc.,</b>		
Notice from the Office of the Secretary .....	8365	
<b>Goss, Donald Alexander (Sandy)</b>		
Notice from the Office of the Secretary .....	8365	
<b>Group RMC Advisors Inc.</b>		
New Registration.....	8465	
<b>Itwaru, Andre</b>		
Notice from the Office of the Secretary .....	8365	
<b>Kitmitto, Majd</b>		
Notice from the Office of the Secretary .....	8365	
<b>Liquidnet Canada Inc.</b>		
Marketplaces – Proposed Changes to Broker		
Blocks Functionality – Notice of Withdrawal .....	8467	
<b>Next Edge Bio-Tech Plus Fund</b>		
Decision.....	8370	
<b>Next Edge Capital Corp.</b>		
Decision.....	8370	
<b>Performance Sports Group Ltd.</b>		
Cease Trading Order.....	8381	
<b>Qtrade Asset Management Inc.</b>		
Change in Registration Category .....	8465	
<b>Stratigis Capital Advisors Inc.</b>		
Name Change .....	8465	
<b>Sunshine Oilsands Ltd.</b>		
Cease Trading Order.....	8381	
<b>Tajiri Resources Corp.</b>		
Cease Trading Order.....	8381	
<b>Teal Valley Health Inc.</b>		
Cease Trading Order.....	8381	
<b>Value Partners Investments Inc.</b>		
Decision.....	8372	
<b>Vannatta, Steven</b>		
Notice from the Office of the Secretary .....	8365	
<b>VPI Global Equity Pool</b>		
Decision.....	8372	

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