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The Ontario Securities Commission

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Chapter 1

Notices

1.1 Notices

1.1.1 CSA Staff Notice 41-307 (Revised) – Concerns regarding an Issuer's Financial Condition and the Sufficiency of Proceeds from a Prospectus Offering



CSA Staff Notice 41-307 (Revised) *Concerns regarding an issuer's financial condition and the sufficiency of proceeds from a prospectus offering*

First published March 2, 2012, revised March 25, 2021.

March 25, 2021

The purpose of this staff notice is to alert issuers (other than investment fund issuers) and their advisors about our approach where there are concerns regarding the financial condition of an issuer and/or the sufficiency of proceeds in the context of a prospectus offering.¹ In limited circumstances, these concerns may affect our ability to recommend that a receipt be issued for a prospectus. This staff notice applies to all prospectus reviews, regardless of whether the offering is an IPO, new issue or secondary offering.

In this notice, we describe issues that have arisen in past prospectus reviews and explain the types of comments we have raised about an issuer's financial condition and/or the sufficiency of proceeds.

This guidance applies to issuers that have short-term liquidity concerns and/or offerings that do not appear to be raising sufficient proceeds. We recognize the importance of capital formation in Canada, and this guidance is not intended to inhibit capital raising through a prospectus offering other than where there are significant investor protection concerns.

Significant concerns may result in receipt refusal

Securities legislation provides that the authorized decision maker must issue a receipt for a prospectus unless it appears to the decision maker that it is not in the public interest to do so or for motives enumerated in securities legislation.²

Securities legislation also provides that the decision maker shall not issue a receipt for a prospectus or an amendment to a prospectus in specified circumstances. For example, a decision maker is prohibited from issuing a receipt for a prospectus if it appears that the proceeds from the prospectus offering, along with the issuer's other resources, will be insufficient to accomplish the purpose of the issue stated in the prospectus (the sufficiency of proceeds receipt refusal provision).³

As a result of these statutory provisions, consideration of an issuer's financial condition is a critical part of every prospectus review. A prospectus must contain clear disclosure on how the issuer intends to use the proceeds raised in the offering as well as disclosure of the issuer's financial condition, including any liquidity concerns. This disclosure is important to investors because it provides warnings about significant risks that the issuer is facing or may face in the short term and may help investors avoid or minimize negative consequences when making investment decisions. Relevant information in this context may include disclosure on negative cash flow from operating activities, working capital deficiencies, net losses and significant going concern risks.

¹ For additional guidance see OSC Staff Notice 52-719 *Going Concern Disclosure Review* (OSC Staff Notice 52-719).

² Relevant statutory provisions include: s. 120(1) of the *Securities Act* (Alberta), s. 65(2) of the *Securities Act* (British Columbia), s. 61(1) of the *Securities Act* (Ontario) and ss. 14 and 15 of the *Securities Act* (Quebec). Please refer to the securities legislation of the other Canadian jurisdictions to determine the applicable provisions for those jurisdictions.

³ See s. 120(2)(c) of the *Securities Act* (Alberta), s. 120 (2)(c) of the *Securities Rules* (British Columbia), s. 61(2)(c) of the *Securities Act* (Ontario) and s. 15(3) of the *Securities Act* (Quebec). Please refer to the securities legislation of the other Canadian jurisdictions to determine the applicable provisions for those jurisdictions.

However, disclosure on its own may not be sufficient to satisfy receipt refusal concerns in certain circumstances. For example, a recommendation of receipt refusal may be appropriate where an issuer lacks sufficient funds to continue operations, or if the proceeds from the prospectus offering will be insufficient to accomplish the purpose of the offering. When conducting prospectus reviews, we may consider the anticipated proceeds from a prospectus offering to be insufficient if they are raised:

- for a specific purpose but do not address the issuer’s short-term liquidity requirements
- through a best efforts offering without a minimum subscription, or a minimum subscription that does not appear to be sufficient to satisfy the issuer’s short-term liquidity requirements, or
- through a shelf prospectus offering that can be drawn down in small increments that, when considered separately, may not be sufficient to satisfy the issuer’s short-term liquidity requirements.

A principal purpose of the sufficiency of proceeds receipt refusal provision is to protect the integrity of the capital markets, which would be harmed if an issuer ceased operations on account of insufficient funds shortly after completing a public securities offering.

We have concerns with the potential implications to investors who invest in issuers that may not be able to continue operations for a reasonable period of time. We consider that an issuer should have sufficient resources to meet its short-term liquidity requirements. This will vary depending on the circumstances of each issuer. The table below sets out some guidelines.

Type of Issuer	Resources to meet short-term liquidity requirements
Exploration stage issuer	Sufficient to reach completion of the next phase of a project
Development stage issuer	Sufficient to achieve the issuer’s next significant milestone
Research & development issuer	Sufficient to achieve progress on the development of a key product
Issuer with active operations	Ability to continue operations for the short term ⁴

We may also consider the sufficiency of proceeds receipt refusal provision to be applicable where an issuer filing a base shelf prospectus does not appear to have sufficient cash resources to meet their short-term liquidity requirements for a reasonable period, which we generally consider to be 12 months.

Potential receipt refusal
<p>The decision maker will not issue a receipt for a prospectus where:</p> <ul style="list-style-type: none"> • it appears that the prospectus inadequately discloses an issuer’s financial condition and going concern risk, or • there is adequate disclosure about the issuer’s financial condition, but it appears that either the sufficiency of proceeds receipt refusal provision is applicable or that it is not in the public interest to issue the receipt.

Areas of focus

We may raise comments during the prospectus review process where we have identified concerns about an issuer’s financial condition and/or sufficiency of proceeds. This staff notice discusses the following five issues in respect of which we may raise comments:

1. Missing information regarding offering amount and pricing
2. Offering structure
3. Use of proceeds disclosure
4. Risk factor disclosure
5. Representations to support ability to continue operations

This list of issues is not exhaustive. The types of comments we raise in these circumstances may change and we will continue to assess and review each prospectus on its own merits.

⁴ While we generally consider this to be 12 months, the length of time an issuer with active operations will be able to continue operations will vary.

1. Missing information regarding offering amount and pricing

We require information regarding the size of the offering to assess whether the sufficiency of proceeds receipt refusal provision is applicable and whether it is in the public interest for the decision maker to issue a receipt. If a preliminary prospectus is filed with the offering amount and pricing information bulleted, we will issue a comment that we require a reasonable opportunity to review a blackline of the draft form of final prospectus (using strike through format for deletions of text) before being in a position to clear the final prospectus. The blackline should include the information currently bulleted in the preliminary prospectus, such as the offering amount, pricing and use of proceeds. If providing this information is not practicable, we may accept an estimate or range of these figures, as applicable. Issuers should note that we may have additional comments based on any new information disclosed in the blackline.

Practice point

In order to avoid unanticipated delays, issuers should ensure that the blackline of the draft form of final prospectus is filed not less than two business days prior to filing final materials.

We may also request a copy of any green sheets (and/or similar marketing materials) used in connection with an offering. A review of the green sheet allows us to assess at an early stage the financial condition of the issuer in the context of the then anticipated offering amount. It will also show whether the final offering amount is substantially less than originally anticipated.

2. Offering structure

We will review the overall structure of the proposed offering in the context of the issuer's financial condition.

While there is no requirement to have a minimum subscription for an offering (in National Instrument 41-101 *General Prospectus Requirements* or National Instrument 44-101 *Short Form Prospectus Distributions*), the absence of a minimum subscription could be a significant concern where there are questions about the issuer's financial condition or where a minimum amount of proceeds appears necessary to meet the stated purpose of the offering. Accordingly, item 6.3(3) of Form 41-101F1 *Information Required in a Prospectus* (Form 41-101F1) and item 4.2(3) of Form 44-101F1 *Short Form Prospectus* (Form 44-101F1) require certain disclosure where there is no certainty of proceeds. In any circumstance involving a base shelf prospectus in which there is a financial condition concern, we may raise certain comments, including one or more of the comments outlined in the discussion below. Ultimately, an issuer may need to change the structure of an offering to address concerns regarding the issuer's financial condition.

Base shelf prospectus offering

We may take the view that a base shelf prospectus is not appropriate given the issuer's financial condition and uncertainty of financing. As noted above, we may consider the sufficiency of proceeds receipt refusal provision to be applicable where the issuer does not appear to have sufficient cash resources to meet their short-term liquidity requirements for a reasonable period, which we generally consider to be 12 months. Under a base shelf prospectus, an issuer may raise small amounts of capital in increments over the period of 25 months. We may request submissions on the following:

- the issuer's rationale for filing a base shelf prospectus
- whether the issuer intends to file a prospectus supplement in the near future, and if so, the type of securities to be offered, the proceeds that are contemplated to be raised and the manner in which the proceeds will be used
- the availability of other sources of financing to provide working capital and fund the issuer's business if sufficient financing cannot be raised
- the proposed nature and timing of the offerings under the base shelf prospectus, including:
 - involvement of an agent or underwriter, if any
 - specific use of proceeds for offerings contemplated in the next 12 months
- details regarding concrete development milestones that would advance the issuer's business objectives and are expected to be completed in the next 12 months, including:
 - a description of the milestone
 - expected timing of completion, and
 - financing requirements.

Notices

In order to address the concern that incremental drawdowns may be insufficient to satisfy an issuer's short-term liquidity requirements, we may request that the issuer:

- file a short form prospectus with a minimum subscription
- file a short form prospectus with a fully underwritten commitment, and/or
- arrange for additional sources of financing.

Rights offering

We may raise a comment regarding alternatives to a minimum subscription, such as a stand-by commitment, where there is a concern about the sufficiency of proceeds to meet the stated objectives of the offering or there is a concern about the issuer's financial condition.

3. Use of proceeds disclosure

The use of proceeds disclosure in a prospectus informs our consideration of whether the proceeds of the offering will be sufficient to accomplish the stated purpose of the offering. We will assess whether the use of proceeds disclosure complies with all of the applicable requirements in item 6 of Form 41-101F1 or item 4 of Form 44-101F1.

We have noted inadequate use of proceeds disclosure in the following areas:

- principal purposes of the proceeds
- business objectives and milestones, and
- negative cash flow from operating activities.

An example of the type of disclosure that does not provide sufficient detail on the allocation of proceeds is set out below.

Example of insufficient use of proceeds disclosure

The net proceeds to the Corporation will be combined with the Corporation's working capital for total available funds of approximately \$3,000,000. The estimated net proceeds to the Corporation from this Offering are estimated as indicated below:

Principal Purpose	Amount
Exploration Activities	\$2,000,000
General Corporate Purposes	\$1,000,000
Total Available Funds	\$3,000,000

The net cash proceeds from the Offering will be used by the Corporation for exploration activities and general corporate purposes. The Corporation expects to accomplish the business objectives described in this Prospectus using the Total Available Funds. The Corporation intends to spend the funds available to it as stated in this Prospectus. There may be circumstances where, for sound business reasons, a reallocation of funds may be necessary.

The guidance below sets out the type of information we would expect to be included in the use of proceeds disclosure.

Principal purposes of the proceeds

Where the disclosure is overly general, we may request that the issuer provide additional information, such as:

- a breakdown of the proceeds towards a certain phase of a project, in the case of an exploration or development stage issuer
- a breakdown of the proceeds towards capital expenditures
- a breakdown of proceeds allocated to general and administrative expenditures, and
- clarification of how proceeds raised under recent financings have been or are being allocated.

If the offering is subject to a minimum subscription, the use of proceeds for both the minimum and maximum subscription must be disclosed. The disclosure should provide adjustments in spending if the proceeds raised are less than the maximum amount. This disclosure, as set out in item 6.3(3) of Form 41-101F1 and item 4.2(3) of Form 44-101F1, should be provided where:

- closing of the distribution is not subject to a minimum offering amount
- the distribution is on a best efforts basis, and
- the issuer has significant short-term non-discretionary expenditures.

Short-term non-discretionary expenditures include those for general corporate purposes, or significant short-term capital or contractual commitments, and an issuer may not have other readily accessible resources to satisfy those expenditures or commitments. We may request that the issuer discuss, both quantitatively and qualitatively, how the proceeds will be used with reference to various potential thresholds of proceeds raised, in the event the issuer raises less than the maximum subscription, and the resulting impact on the issuer's liquidity, operations, capital resources and solvency.

Finally, we remind issuers that statements such as "for general corporate purposes", are not considered to be sufficient disclosure⁵.

Business objectives and milestones

Where an issuer has not sufficiently described each significant event that must occur for the business objectives to be accomplished, we will request additional disclosure of each event as well as the specific time period in which each event is expected to occur and the costs related to it. Generally, we expect that the proceeds from the offering will be sufficient to meet the issuer's working capital and operational needs until its next significant milestone.

In the case of a mining issuer, the use of proceeds disclosure should be consistent with the recommendation and budget in the issuer's technical report(s). We take the view that general statements referring to completion of a "phase" of an exploration program may not be sufficient. We may request a further breakdown of the exploration activities contemplated in each phase, as the case may be, and the relevant time period to complete such activities.

Negative cash flow from operating activities

An issuer with negative cash flow from operating activities in its most recently completed financial year for which financial statements have been included in the prospectus should:

- prominently disclose that fact in the use of proceeds section of the prospectus
- disclose whether, and if so, to what extent, it will use the proceeds of the distribution to fund any anticipated negative cash flow from operating activities in future periods, and
- disclose negative cash flow from operating activities as a risk factor⁶.

We may also request additional information be disclosed in the prospectus relating to:

- the issuer's most current working capital amount
- the issuer's cash burn rate on a monthly or quarterly basis
- the period of time that the proceeds of the offering are expected to fund operations, and
- any significant debt obligations maturing in the short term.

Item 6.2 of Form 41-101F1 requires additional disclosure of certain information relating to junior issuers, such as disclosure of the total funds available, and the following breakdown of those funds:

- the estimated net proceeds from the sale of the securities offered under the prospectus
- the estimated consolidated working capital (deficiency) as at the most recent month end before filing the prospectus, and
- the total other funds available to be used to achieve the principal purposes identified by the junior issuer pursuant to this item.

⁵ As stated in subsection 4.3(2) of *Companion Policy to National Instrument 41-101 General Prospectus Requirements* (Companion Policy 41-101CP) and subsection 4.4(2) of *Companion Policy to National Instrument 44-101 Short Form Prospectus Distributions* (Companion Policy 44-101CP).

⁶ See the guidance set out in subsection 4.3(1) of Companion Policy 41-101CP and subsection 4.4(1) of Companion Policy 44-101CP.

Practice Point

Depending on the circumstances, we may take the view that this disclosure is a material fact for issuers that are not technically junior issuers and that this disclosure should be included in a prospectus in order to meet the requirement to provide “full, true and plain disclosure of all material facts”.

4. Risk factor disclosure

Item 21.1 of Form 41-101F1 and item 17.1 of Form 44-101F1 require disclosure of risk factors relating to an issuer and its business, such as cash flow and liquidity problems. The accompanying instructions provide guidance that the risks should be disclosed in order of seriousness, from the most serious to the least serious. We have noted insufficient or boilerplate disclosure in the prospectus for many key risk factors related to an issuer’s financial condition.

Example of insufficient boilerplate risk factor disclosure

The Corporation’s ability to continue as a going concern is dependent upon its ability to obtain adequate financing and to reach profitable levels of operation. The Corporation has no proven history of performance, earnings or success.

Issuer’s financial condition

A prospectus should clearly disclose an issuer’s going concern risk to allow readers to make an informed investment decision. This disclosure should explain the uncertainties that may create going concern risk and how the issuer is addressing that risk. As previously noted, even if the risk is adequately disclosed, we will exercise judgement to assess whether the sufficiency of proceeds receipt refusal provision is applicable or if there is a public interest concern in issuing a receipt.

When preparing risk factor disclosure about financial condition, issuers should consider disclosing the following:

- quantification of losses, working capital deficit, negative cash flow from operating activities, debt levels
- how the issuer expects to remedy the liquidity or solvency issues
- other sources of financing available to the issuer
- the implications to the issuer’s liquidity, capital resources, operations (i.e. scaling back exploration activities, capital expenditures, research and development expenditures, general and administrative expenditures etc.) and its ability to remain a going concern, and
- the period of time the proceeds raised under the prospectus are expected to fund operations.

In many circumstances, an issuer with going concern risk should include the disclosure required by item 8.7 of Form 41-101F1 for junior issuers. This item requires disclosure of:

- the period of time the proceeds raised under the prospectus are expected to fund operations
- the estimated total operating costs necessary for the issuer to achieve its stated business objectives during that period of time, and
- the estimated amount of other material capital expenditures during that period of time.

Practice Point

While item 8.7 of Form 41-101F1 applies specifically to junior issuers, this information may constitute a material fact for other issuers depending on their particular circumstances, and in that case, we may request this disclosure.

Risk associated with negative cash flow from operating activities

Issuers are reminded that section 4.3 of Companion Policy 41-101CP and section 4.4 of Companion Policy 44-101CP provide that issuers should disclose negative cash flow from operating activities as a risk factor.

Risk associated with offering structure - no minimum subscription

Where the offering is being conducted on a best efforts agency basis and we have accepted that a minimum subscription is not required, the issuer is required under item 1.4(3) of Form 41-101F1 and item 1.6(3) of Form 44-101F1 to include on the face page of the prospectus disclosure that there is no minimum amount of funds that must be raised under the offering.

5. Representations to support ability to continue operations

We take the view that an issuer contemplating an offering should be able to continue its operations for a reasonable period of time and meet its short-term liquidity requirements as described on page two of this staff notice. The length of time the issuer will be able to continue operations will vary among industries and among issuers within an industry group. Accordingly, issuers should anticipate comments regarding their ability to continue operations as a going concern.

Representation regarding ability to continue operations

In order to assess whether we have a receipt refusal concern, we may ask the issuer to provide us with a written representation of the number of months that it will be able to continue its operations given its financial condition. The proceeds from the offering should only be considered when making this determination where the offering is a bought deal, or where there is a minimum offering amount or stand-by commitment. Similarly, proceeds from alternative financing arrangements should only be included in this analysis where there is certainty of proceeds. We will generally also request that this representation be disclosed in the prospectus. The rationale for requiring this disclosure is that, in our view, this information is a material fact in the particular circumstances of the issuer due to concerns over its financial condition. We may take the view that the absence of this information may either be an omission of a material fact or raise a public interest concern.

Support for representations regarding ability to continue operations

It is the issuer's responsibility to determine the number of months during which it expects to be able to continue its operations given its financial condition. In some instances, the issuer's representations about its ability to continue as a going concern and the period during which it expects to be able to continue operations may:

- be inconsistent with the issuer's historical statement of cash flows (in particular, its cash flows from operating activities)
- be inconsistent with the disclosure in the preliminary prospectus, including disclosure regarding current and expected profitability, debt repayment schedules and potential sources of additional financing, or
- otherwise appear to be unreasonable.

In these cases, we may request that the issuer provide us with a forecasted cash flow summary to support its assumed period of liquidity (i.e. ability to continue operations). As noted above, the proceeds should only be included in this analysis when there is a bought deal, or where there is a minimum offering amount or stand-by commitment or, in the case of alternative financing arrangements, where there is certainty of proceeds.

The cash flow summary should project the issuer's significant sources and uses of cash for the period of time the issuer has represented that it can continue operations and address the issuer's working capital deficit, if one exists. The summary should also be accompanied by a set of material factors and assumptions to support management's estimates. We will assess whether the assumptions are consistent with the disclosure made in the prospectus as well as the issuer's historical financial performance and obligations. We may request supporting schedules and further details in order to assess the reasonableness of the assumptions made by the issuer. See the discussion below about whether this disclosure constitutes forward-looking information (FLI) and future-oriented financial information (FOFI).

Practice Point

In the limited circumstances where we request a cash flow summary, we may request additional disclosure in the prospectus. Specifically, we may ask that the following be included in the prospectus:

- the summary in its entirety along with all significant assumptions and the material risk factors that could cause actual results to differ materially from the summary, or
- significant portions of the cash flow summary or material factors and assumptions used to develop the summary.

This information supports the representation regarding the issuer's ability to continue operations and may inform investors' investment decisions. We may conclude that, in certain cases, the cash flow summary represents a material fact in the particular circumstances of the issuer due to concerns over its financial condition. Any disclosure included in the prospectus is subject to liability provisions.

Forward-looking information and future-oriented financial information

A representation regarding an issuer’s ability to continue operations constitutes FLI as defined in securities legislation. Generally, FLI means disclosure regarding possible events, conditions or results of operations that is based on assumptions about future economic conditions and courses of action⁷. Depending on its content, this representation may or may not also be FOFI. When this disclosure is included in the prospectus, the disclosure must comply with the FLI and FOFI requirements in Parts 4A and 4B of National Instrument 51-102 *Continuous Disclosure Obligations* (NI 51-102).

Any cash flow summary and related factors and assumptions provided to support this representation may also be subject to FLI and FOFI requirements.

Issuers will be required to update previously disclosed material FLI in Management’s Discussion & Analysis in accordance with section 5.8 of NI 51-102.

Conclusion

We will continue to raise comments in respect of the financial condition of an issuer and the sufficiency of proceeds from a prospectus offering where the concerns discussed above are identified. Additional disclosure may be required in a prospectus, depending on the particular circumstance of the issuer. In some cases where there are significant investor protection concerns, we may recommend that a receipt for a prospectus not be issued.

Questions

Questions may be referred to any of:

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⁷ For the definition of FLI see s. 1(1) of the *Securities Act* (Alberta), s. 1(1) of the *Securities Act* (British Columbia), s. 1(1) of the *Securities Act* (Ontario) and s. 5 of the *Securities Act* (Quebec).

Manitoba

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Nova Scotia

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1.4 Notices from the Office of the Secretary

1.4.1 Bardya Ziaian

FOR IMMEDIATE RELEASE
March 18, 2021

BARDYA ZIAIAN,
File No. 2020-34

TORONTO – The Commission issued its Reasons and Decision in the above named matter.

A copy of the Reasons and Decision dated March 17, 2021 is available at www.osc.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.2 Canada Cannabis Corporation et al.

FOR IMMEDIATE RELEASE
March 18, 2021

**CANADA CANNABIS CORPORATION,
CANADIAN CANNABIS CORPORATION,
BENJAMIN WARD,
SILVIO SERRANO, AND
PETER STRANG,**
File Nos. 2019-34 and 2020-13

TORONTO – Take notice that a confidential hearing in the Confidential Phase of the Motion and the Application in the above-named matters is scheduled to be heard on May 19, 2021.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Emerge Canada Inc.

Headnote

National Policy 11-203 – Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from NI 41-101 to funds offering exchange-traded and conventional mutual fund series under a single simplified prospectus and annual information form – subject to conditions – Technical relief granted from Parts 9, 10 and 14 of NI 81-102 to permit each fund to treat its exchange-traded and conventional mutual fund series as if each such class/series was a separate fund for the purpose of compliance with Parts 9, 10 and 14 of NI 81-102 – subject to conditions.

Applicable Legislative Provisions

National Instrument 41-101 General Prospectus Requirements, ss. 3.1(2) and 19.1.
National Instrument 81-102 – Investment Funds, Parts 9, 10 and 14 and s. 19.1.

March 9, 2021

**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
EMERGE CANADA INC.
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of each of the funds listed on Schedule A hereto each being an exchange-traded mutual fund (collectively, the **Existing Funds**), Emerge ARK Space Exploration Fund, being a mutual fund that plans to offer ETF Securities (as defined below) and Mutual Fund Securities (as defined below) (the **Proposed Fund**) and such other mutual funds as are managed or may be managed by the Filer now or in the future that offer ETF Securities and Mutual Fund Securities (the **Future Funds**

and together with the Existing Funds and the Proposed Fund, the **Funds**, and each, a **Fund**) for a decision under the securities legislation of the Jurisdiction (the **Legislation**) that grants exemptive relief to the Filer and each Fund as set forth below (collectively, the **Exemption Sought**):

- (a) an exemption from the requirement to prepare and file a long form prospectus for the ETF Securities (as defined below) in the form prescribed by Form 41-101F2 *Information Required in an Investment Fund Prospectus* (**Form 41-101F2**, and such requirement, the **ETF Prospectus Form Requirement**), provided that the Fund files a simplified prospectus for the ETF Securities in the form prescribed by Form 81-101F1 *Contents of Simplified Prospectus* (**Form 81-101F1**) and an annual information form in the form prescribed by Form 81-101F2 *Contents of Annual Information Form* (**Form 81-101F2**) in accordance with the provisions of National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (**NI 81-101**) for the ETF Securities; and
- (b) an exemption from the provisions of Parts 9, 10 and 14 of National Instrument 81-102 *Investment Funds* (**NI 81-102**) (the **Sales and Redemptions Requirements**) to permit the Filer and each Fund to treat the ETF Securities and the Mutual Fund Securities (as defined below) as if such securities were separate funds for the purposes of compliance with the provisions of the Sales and Redemptions Requirements.

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 all of the provinces and territories of Canada other than Ontario (together with Ontario, the **Canadian 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.

Affiliate Dealer means a registered dealer that is an affiliate of an Authorized Dealer or Designated Broker and that participates in the re-sale of Creation Units from time to time.

Authorized Dealer means a registered dealer that has entered, or intends to enter, into an agreement with the manager of a Fund authorizing the dealer to subscribe for, purchase and redeem Creation Units from one or more Funds on a continuous basis from time to time.

Basket of Securities means, in relation to the ETF Securities of a Fund, a group of securities or assets representing the constituents of the Fund.

Designated Broker means a registered dealer that has entered, or intends to enter, into an agreement with the Filer or an affiliate of the Filer on behalf of a Fund to perform certain duties in relation to the ETF Securities of the Fund, including the posting of a liquid two-way market for the trading of the Fund's ETF Securities on the NEO Exchange or another Marketplace.

ETF Securities means securities of an exchange-traded class or series of a Fund that are listed or will be listed on the NEO Exchange or another Marketplace and that will be distributed pursuant to a simplified prospectus prepared in accordance with NI 81-101 and Form 81-101F1.

Marketplace means a "marketplace" as defined in National Instrument 21-101 *Marketplace Operation* that is located in Canada.

Mutual Fund Securities means securities of a non-exchange-traded class or series of a Fund that are or will be distributed pursuant to a simplified prospectus prepared in accordance with NI 81-101 and Form 81-101F1.

NEO Exchange means NEO Exchange Inc.

Other Dealer means a registered dealer that is not an Authorized Dealer, Designated Broker or Affiliate Dealer.

Prescribed Number of ETF Securities means, in relation to a Fund, the number of ETF Securities of the Fund determined by the Filer from time to time for the purpose of subscription orders, exchanges, redemptions or for other purposes.

Securityholders means beneficial or registered holders of ETF Securities or Mutual Fund Securities of a Fund, as applicable.

Representations

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

The Filer

1. The Filer is a corporation incorporated under the laws of the Province of Ontario, with its head office located at 26 Wellington Street East, Suite 901, Toronto, Ontario.

2. The Filer is registered as an investment fund manager in Ontario, Newfoundland and Québec, a portfolio manager in Ontario and an exempt market dealer in Ontario, Québec and Newfoundland and Labrador.
3. The Filer is, or will be, the investment fund manager of each Fund.
4. The Filer is not in default of securities legislation in any of the Canadian Jurisdictions.

The Funds

5. Each Fund is, or will be, a mutual fund structured as a trust or a corporation or a class thereof that is governed by the laws of a Canadian Jurisdiction. Each Fund is, or will be, a reporting issuer in the Canadian Jurisdictions in which its securities are distributed. Each Existing Fund offers ETF Securities and may, in the future, offer Mutual Fund Securities. The Proposed Fund will offer Mutual Fund Securities and ETF Securities. Each Future Fund may offer Mutual Fund Securities and ETF Securities.
6. Subject to any exemptions therefrom that have been, or may be, granted by the applicable securities regulatory authorities, each Fund is, or will be, subject to NI 81-102.
7. The Existing Funds are distributed pursuant to a long form prospectus dated June 15, 2020 in the form prescribed by Form 41-101F2 (the **Existing Funds Prospectus**). Each Existing Fund currently offers two series of ETF Securities, each of which is listed on the NEO Exchange.
8. If the Exemption Sought from the ETF Prospectus Form Requirement is granted, it is expected that when the Existing Funds Prospectus is renewed in 2021, the Filer will file a preliminary pro forma simplified prospectus and annual information form in the forms prescribed by Form 81-101F1 and Form 81-101F2, respectively, in respect of the Existing Funds, pursuant to which the Filer will qualify for distribution Mutual Fund Securities of the Existing Funds and pursuant to which it will continue to offer ETF Securities of the Existing Funds. Fund facts documents in the form prescribed by Form 81-101F3 for each series of Mutual Fund Securities of the Existing Funds and ETF facts documents in the form prescribed by Form 41-101F4 *Information Required in an ETF Facts Document (NI 41-101F4)* for each series of ETF Securities of the Existing Funds will also be filed.
9. In or around March 2021, a simplified prospectus and annual information form in the forms prescribed by Form 81-101F1 and Form 81-101F2, respectively, in respect of the Mutual Fund Securities and the ETF Securities of the Proposed Fund, as well as fund facts documents in the form

- prescribed by Form 81-101F3 for each series of Mutual Fund Securities and ETF facts documents in the form prescribed by NI 41-101F4 for each series of ETF Securities of the Proposed Fund, will be filed with the securities regulatory authorities in each of the Canadian Jurisdictions.
10. If the Exemption Sought from the ETF Prospectus Form Requirement is granted, Mutual Fund Securities and ETF Securities of Future Funds will be distributed pursuant to a simplified prospectus and annual information form in the form prescribed by Form 81-101F1 and Form 81-101F2, respectively. Mutual Fund Securities of the Future Funds will be distributed pursuant to fund facts documents in the form prescribed by Form 81-101F3 and ETF Securities of the Future Funds will be distributed pursuant to ETF facts documents in the form prescribed by NI 41-101F4.
11. The Filer has applied to list the ETF Securities of the Proposed Fund on the NEO Exchange or another Marketplace.
12. The Filer will not file a final prospectus to qualify ETF Securities of a Fund until the applicable Marketplace has conditionally approved the listing of such ETF Securities.
13. Mutual Fund Securities will not be listed on a Marketplace.
14. Mutual Fund Securities may be subscribed for or purchased directly from a Fund through mutual fund dealers, investment dealers and their representatives that are registered under applicable securities legislation in the Canadian Jurisdictions in which they are offered for sale.
15. ETF Securities may generally only be subscribed for or purchased directly from the Funds (**Creation Units**) by Authorized Dealers or Designated Brokers. Generally, subscriptions or purchases may only be placed for a Prescribed Number of ETF Securities (or a multiple thereof) on any day when there is a trading session on the NEO Exchange or another Marketplace. Authorized Dealers or Designated Brokers subscribe for Creation Units for the purpose of facilitating investor purchases of ETF Securities on the NEO Exchange or another Marketplace.
16. In addition to subscribing for and re-selling their Creation Units, Authorized Dealers, Designated Brokers and Affiliate Dealers will also generally be engaged in purchasing and selling ETF Securities of the same class or series as the Creation Units in the secondary market. Other Dealers may also be engaged in purchasing and selling ETF Securities of the same class or series as the Creation Units in the secondary market despite not being an Authorized Dealer, Designated Broker or Affiliate Dealer.
17. Except for Authorized Dealer and Designated Broker subscriptions for Creation Units, as described above, ETF Securities generally will not be able to be purchased directly from a Fund. Investors are generally expected to purchase and sell ETF Securities, directly or indirectly, through dealers executing trades through the facilities of the NEO Exchange or another Marketplace. ETF Securities may also be issued directly to Securityholders upon a reinvestment of distributions of income or capital gains.
18. Securityholders that are not Designated Brokers or Authorized Dealers that wish to dispose of their ETF Securities may generally do so by selling their ETF Securities on the NEO Exchange or another Marketplace, through a registered dealer, subject only to customary brokerage commissions. A Securityholder that holds a Prescribed Number of ETF Securities or a multiple thereof may exchange such ETF Securities for Baskets of Securities or other securities and/or cash in the discretion of the Filer. Securityholders may also redeem ETF Securities for cash at a redemption price equal to 95% of the closing price of the ETF Securities on the NEO Exchange or other Marketplace on the date of redemption, subject to a maximum redemption price of the applicable net asset value per ETF Security.

ETF Prospectus Form Requirement

19. The Filer believes it is more efficient and expedient to include all of the series of each Fund, including the Mutual Fund Securities and ETF Securities of a Fund, in one prospectus form instead of two different prospectus forms, and that this presentation will assist in providing full, true and plain disclosure of all material facts relating to all classes and series of securities of a Fund. The Filer will file ETF facts documents in the form prescribed by Form 41-101F4 in respect of each class or series of ETF Securities, and will file fund facts documents in the form prescribed by Form 81-101F3 *Contents of Fund Facts Document* in respect of each class or series of Mutual Fund Securities.
20. The Filer will ensure that any additional disclosure included in the simplified prospectus and annual information form relating to the ETF Securities will not interfere with an investor's ability to differentiate between the Mutual Fund Securities and the ETF Securities and their respective attributes.
21. The Funds will comply with the provisions of NI 81-101 when filing any prospectus or amendment thereto.

Sales and Redemptions Requirement

22. Parts 9, 10 and 14 of NI 81-102 do not contemplate both Mutual Fund Securities and ETF Securities being offered in a single fund structure. Accordingly, without the Exemption Sought, the

Filer and the Funds would not be able to technically comply with those parts of NI 81-102.

23. The Exemption Sought will permit the Filer and the Funds to treat the ETF Securities and the Mutual Fund Securities as if such securities were separate funds in connection with their compliance with Parts 9, 10 and 14 of NI 81-102. The Exemption Sought will enable each of the ETF Securities and Mutual Fund Securities to comply with Parts 9, 10 and 14 of NI 81-102, as appropriate, for the type of security being offered.

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.

1. The decision of the principal regulator is that the Exemption Sought from the ETF Prospectus Form Requirement is granted, provided that the Filer will be in compliance with the following conditions:
 - a. the Filer files a simplified prospectus and annual information form in respect of the ETF Securities in accordance with the requirements of NI 81-101, Form 81-101F1 and Form 81-101F2, other than the requirements pertaining to the filing of fund facts documents;
 - b. the Filer includes disclosure required pursuant to Form 41-101F2 (that is not contemplated by Form 81-101F1 or Form 81-101F2) in respect of the ETF Securities, in each Fund's simplified prospectus and/or annual information form, as applicable; and
 - c. the Filer includes disclosure regarding this decision under the heading "Additional Information" and "Exemptions and Approvals" in each Fund's simplified prospectus and annual information form, respectively.
2. The decision of the principal regulator is that the Exemption Sought from the Sales and Redemptions Requirements is granted, provided that the Filer will be in compliance with the following conditions:
 - a. with respect to its Mutual Fund Securities, each Fund complies with the provisions of Parts 9, 10 and 14 of NI 81-102 that apply to mutual funds that are not exchange-traded mutual funds; and
 - b. with respect to its ETF Securities, each Fund complies with the provisions of Parts 9 and 10 of NI 81-102 that apply to exchange-traded mutual funds.

"Darren McKall"
Investment Funds & Structured Products
Ontario Securities Commission

SCHEDULE A

Existing Funds

Emerge ARK Global Disruptive Innovation ETF
Emerge ARK Genomics & Biotech ETF
Emerge ARK Fintech Innovation ETF
Emerge ARK AI & Big Data ETF
Emerge ARK Autonomous Tech & Robotics ETF

2.1.2 Fidelity Long-Term Leaders Fund and Fidelity Long-Term Leaders Currency Neutral Fund

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions - exemption from ss.2.1(2) of NI 81-101 to file a prospectus more than 90 days after the date of the receipt for the preliminary prospectus.

Applicable Legislative Provisions

National Instrument 81-101 Mutual Fund Prospectus Disclosure, ss. 2.1(2), 6.1.

VIA SEDAR

September 15, 2020

Fidelity Investments Canada ULC (the **Manager**)

Attention: Ryan Trimble

Dear Sir:

Re: Fidelity Long-Term Leaders Fund and Fidelity Long-Term Leaders Currency Neutral Fund (the "Funds")

Preliminary Simplified Prospectus, Annual Information Form, and Fund Facts dated April 7, 2020

Exemptive Relief Application under Part 6 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (NI 81-101)

Application No. 2020/0328; SEDAR Project Number 3042487

By letter dated June 12, 2020 (the **Application**), Fidelity Investments Canada ULC, the manager of the Funds, applied to the Director of the Ontario Securities Commission (the **Director**) under section 6.1 of NI 81-101 for relief from the operation of subsection 2.1(2) of NI 81-101, which prohibits an issuer from filing a prospectus more than 90 days after the date of the receipt for the preliminary prospectus.

This letter confirms that, based on the information and representations made in the Application, and for the purposes described in the Application, the Director intends to grant the requested exemption to be evidenced by the issuance of a receipt for the Fund's prospectus, subject to the condition that the prospectus be filed no later than **September 30, 2020**.

Yours very truly,

"Darren McKall"
Manager
Investment Funds and Structured Products Branch
Ontario Securities Commission

2.1.3 Trillium Therapeutics Inc.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Application for exemptive relief from the filing deadline under subsection 4.3(4) of NI 51-102 in respect of the issuer's restated interim financial reports prepared in accordance with U.S. GAAP for the interim periods since its most recently completed financial year for which annual financial statements have been filed – pursuant to paragraph 4.3(4)(d) of NI 51-102, the issuer is required to file its restated interim financial reports and the accompanying MD&A on or before the filing deadline for its audited annual financial statements for the year ended December 31, 2020 – the issuer has encountered unanticipated delays in its work plan and the required restated interim financial reports will not be finalized when its annual financial statements are filed – relief granted subject to conditions set out in decision document, including that the Issuer files its restated interim financial reports and related MD&A on or before 45 days following the filing deadline.

Applicable Legislative Provisions

National Instrument 51-102 Continuous Disclosure Obligations, s. 4.3(4)(d) and Part 13.

March 17, 2021

**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
TRILLIUM THERAPEUTICS INC.
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) granting relief from the requirement to file the Restated Interim Financial Reports (as defined herein) on or before the deadline set out in paragraph 4.2(a) of National Instrument 51-102 *Continuous Disclosure Obligations* (**NI 51-102**) and in accordance with paragraph 4.3(4)(d) of NI 51-102, provided that the Filer files the Restated Interim Financial Reports and related MD&A on or before the earlier of (i) 45 days from the date the Filer files its Annual Financial

Statements (as defined herein) and (ii) May 17, 2021 (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, Manitoba and Nova Scotia.

Interpretation

Terms defined in National Instrument 14-101 *Definitions*, MI 11-102 and NI 51-102 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 existing under the *Business Corporations Act* (British Columbia). The head office of the Filer is in Mississauga, Ontario.
2. The common shares (**Common Shares**) of the Filer are listed on the Toronto Stock Exchange and the Nasdaq Capital Market, under the symbol "TRIL".
3. The Filer is a reporting issuer in the provinces of British Columbia, Alberta, Manitoba, Ontario and Nova Scotia.
4. The Filer is subject to reporting obligations under the 1934 Act, and files continuous disclosure documents with the SEC.
5. As part of the Filer's obligations under the 1934 Act, the Filer was required by the SEC, at the end of every second fiscal quarter, to test whether it continued to qualify as a foreign private issuer as defined in Rule 405 of Regulation C under the 1933 Act and Rule 3b-4 under the 1934 Act.
6. As of June 30, 2020, the Filer determined that it no longer met the criteria for qualification as a foreign private issuer because (a) more than 50% of the outstanding Common Shares of the Filer were held by residents of the United States, and (b) the majority of the Filer's directors are resident in the United States.
7. Effective January 1, 2021, the Filer is subject to the reporting requirements applicable to U.S. domestic registrants.
8. In accordance with Section 6120.4 of the SEC's Division of Corporation Finance Financial Reporting Manual, as of January 1, 2021, the Filer

is required, to prepare its annual financial statements in accordance with U.S. GAAP.

9. Pursuant to subsection 4.3(4) of NI 51-102, the Filer is required to file restated interim financial reports prepared in accordance with U.S. GAAP for the interim periods since its most recently completed financial year for which annual financial statements have been filed (the **Restated Interim Financial Reports**) on or before the deadline for the Filer to file its audited annual financial statements for the year ended December 31, 2020 (the **Annual Financial Statements**). Pursuant to set paragraph 4.2(a) of NI 51-102, the deadline (the **Deadline**) for the Filer to file the Annual Financial Statements is the earlier of (i) April 1, 2021, being the 90th day after the end of its most recently completed financial year, and (ii) the date of filing, in a foreign jurisdiction, the Annual Financial Statements.
10. The Filer is expected to file its annual report on Form 10-K for the year ended December 31, 2020 (the **Annual Report**) on or about March 18, 2021 in accordance with the requirements of the SEC.
11. Although the Filer has transitioned its staff to work remotely since March 2020, the remote working environment and recent personnel changes have caused unanticipated delays in the Filer's work plan related to preparing the Restated Interim Financial Reports in accordance with U.S. GAAP.
12. The COVID-19 pandemic has also resulted in unanticipated time sensitive business matters which have diverted the attention of management from preparing the Restated Interim Financial Statements. These include, among other items that will be noted in the Annual Report: (i) delays in receiving supplies for the Filer's product candidates from its contract manufacturing organizations; and (ii) delays and challenges in enrolling and retaining patients in the Filer's clinical trials.
13. The Filer is not in default of securities legislation in any jurisdiction of Canada.

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, subject to all of the following conditions:

- (a) on or before the earlier of (i) 45 days from the date the Filer files its Annual Financial Statements and (ii) May 17, 2021, the Filer files the Restated Interim Financial Reports and related MD&A, for the interim periods since December 31, 2019;

- (b) the Filer issues and files on SEDAR, as soon as reasonably practicable, and in any event, no later than the date the Issuer files its Annual Financial Statements, a news release that discloses:
- a. it is relying on this exemption;
 - b. that its management and other insiders are subject to an insider trading black-out policy that reflects the principles in section 9 of National Policy 11-207 *Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions*; and
 - c. the anticipated date by which the Restated Interim Financial Reports and related MD&A are expected to be filed; and
- (c) the Filer does not file a preliminary prospectus or a final prospectus for an offering of securities until it has filed all documents for which it is relying on this exemption.

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

2.1.4 Purpose Investments Inc. and Purpose Structured Equity Yield Portfolio II

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted for extension of lapse date of prospectus – Filer inadvertently failed to file a pro forma prospectus not less than thirty days prior to the lapse date as required by the legislation – Lapse date extended by 20 days - No conditions.

Applicable Legislative Provisions

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

March 18, 2021

**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
PURPOSE INVESTMENTS INC.
(the Filer)**

AND

**IN THE MATTER OF
PURPOSE STRUCTURED EQUITY YIELD PORTFOLIO II
(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 (the **Current Prospectus**) be extended to those time limits that would apply if the lapse date was April 22, 2021 (the **Requested Relief**).

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

- (i) the Ontario Securities Commission is the principal regulator for this application; and
- (ii) 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 each of the other provinces and territories of Canada (together 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 Filer.

1. The Filer is a corporation amalgamated under the laws of the Province of Ontario. The Filer's head office is located in Toronto, Ontario.
2. The Filer is registered as a portfolio manager in British Columbia, Ontario and Québec, an exempt market dealer in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island, Québec and Saskatchewan, a commodity trading manager in Ontario and an investment fund manager in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island, Québec and Saskatchewan. The Filer is the investment fund manager of the Fund.
3. The Fund is an open-end mutual fund established under the laws of Ontario and is a reporting issuer as defined in the securities legislation of each of the Jurisdictions.
4. Other than the failure to meet the Pro Forma Filing Deadline (defined below), neither the Filer nor the Fund are in default of securities legislation in any of the Jurisdictions.
5. The Fund filed the Current Prospectus, a final simplified prospectus dated April 2, 2020, for which it obtained a receipt and under which it has been distributing securities in the Jurisdictions since the date of the Current Prospectus.
6. Pursuant to the Legislation, the lapse date of the Current Prospectus is April 2, 2021 (the **Current Lapse Date**). Accordingly, under the Legislation, the distribution of securities of the Fund would have to cease on the Current Lapse Date unless: (i) the Fund files a pro forma prospectus at least 30 days prior to the Current Lapse Date (the **Pro Forma Filing Deadline**); (ii) the final prospectus is filed no later than 10 days after the Current Lapse Date; and (iii) a receipt for the final prospectus is obtained within 20 days following the Current Lapse Date.
7. The Filer intended to file a pro forma simplified prospectus on or before the Pro Forma Filing Deadline but through inadvertence, the pro forma simplified prospectus of the Fund was not filed on or before the Pro Forma Filing Deadline. As soon as the Filer realized that the Pro Forma Filing Deadline had passed, it filed a pro forma simplified prospectus (the **Renewal Prospectus**) as expeditiously as possible.

8. The Filer desires to extend the Current Lapse Date of the Current Prospectus to April 22, 2021 to allow the principal regulator in the Jurisdiction sufficient time to review and comment on the Renewal Prospectus and for the Filer to prepare and file all documents for the Fund.
9. There have been no material changes in the affairs of the Fund since the date of the Current Prospectus. Accordingly, the Current Prospectus and current Fund Facts of the Fund represent current information regarding the Fund.
10. Given the disclosure obligations of the Filer and the Fund, should any material change in the business, operations or affairs of the Fund occur, the Current Prospectus and current Fund Facts of the Fund will be amended as required under the Legislation.
11. The Requested Relief will not affect the accuracy of the information contained in the Current Prospectus or the Fund Facts of the Fund and will therefore 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 Requested Relief is granted.

"Darren McKall"
Manager, Investment Funds and Structured Products
Ontario Securities Commission

2.1.5 CI Investments Inc. et al.

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-approved reorganizations and transfers in National Instrument 81-102 Investment Funds – terminating funds and continuing funds do not have substantially similar fundamental investment objectives – mergers otherwise comply with pre-approval criteria, including securityholder vote, IRC approval – securityholders provided with timely and adequate disclosure regarding the mergers

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 5.5(1)(b) and 19.1(2).

March 18, 2021

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
CI INVESTMENTS INC.
(the Manager)

AND

FIRST ASSET UTILITY PLUS FUND
FIRST ASSET CANADIAN DIVIDEND OPPORTUNITY
FUND
(each, a Terminating Fund, and collectively the
Terminating Funds)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Manager on behalf of the Terminating Funds for a decision under the securities legislation of the Jurisdiction (the **Legislation**) approving the proposed mergers (each a **Merger**, and collectively the **Mergers**) of each of the Terminating Funds into the applicable Continuing Fund (each as defined below) pursuant to paragraph 5.5(1)(b) of National Instrument 81-102 *Investment Funds* (**NI 81-102**) (the **Merger Approval**).

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 Manager 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, Quebec, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland and Labrador (together 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. The following additional terms shall have the following meanings:

Continuing Fund means each of Signature Global Infrastructure Fund and CI North American Dividend Fund;

Fund means each of the Terminating Funds and the Continuing Funds;

Income Tax Act means the *Income Tax Act* (Canada);

IRC means the independent review committee for the Funds; and

Representations

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

The Manager and the Funds

1. The Manager is a corporation amalgamated under the laws of Ontario. The Manager is registered as follows:
 - (a) under the securities legislation of all provinces and territories as a portfolio manager;
 - (b) under the securities legislation of Ontario, Quebec and Newfoundland and Labrador as an investment fund manager;
 - (c) under the securities legislation of all provinces and territories as an exempt market dealer; and
 - (d) under the *Commodity Futures Act* (Ontario) as a commodity trading counsel and a commodity trading manager.
2. The Manager is the manager of each Fund.
3. Each Terminating Fund and each Continuing Fund is an open-end mutual fund trust governed by a declaration of trust.

4. Neither the Manager nor the Funds are in default of securities legislation in any province or territory of Canada, as applicable.
5. Each Continuing Fund is a reporting issuer under the securities legislation of each province and territory of Canada and is subject to the requirements of NI 81-102 and National Instrument 81-101 *Mutual Fund Prospectus Disclosure*. Each Terminating Fund is a reporting issuer under the securities legislation of the Jurisdictions and is subject to the requirements of NI 81-102 and National Instrument 81-101 *Mutual Fund Prospectus Disclosure*.
6. Each Fund follows the standard investment restrictions and practices established under the securities legislation of the applicable jurisdictions, except to the extent that the Funds have received an exemption from the securities regulatory authority of a jurisdiction to deviate therefrom.
7. Each Terminating Fund currently distributes its securities in all the Jurisdictions pursuant to a simplified prospectus and annual information form dated May 8, 2020, as amended. Each Continuing Fund currently distributes its securities in all the provinces and territories of Canada pursuant to a simplified prospectus and annual information form dated June 25, 2020, as amended.

Reason for Merger Approval

8. Regulatory approval of the Mergers is required because none of the Mergers satisfy all of the criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102. In particular, in respect of each of Merger 1 and Merger 2 (each as defined below), a reasonable person may not consider the Terminating Fund to have a substantially similar fundamental investment objective as its corresponding Continuing Fund.
9. Other than the criteria described in paragraph 8, each Merger complies with all the other criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102.

The Proposed Mergers

10. The Manager intends to merge each Terminating Fund into the Continuing Fund shown opposite its name in the table below:
11. The proposed Mergers were announced in:
- (a) a press release dated January 18, 2021;
 - (b) a material change report dated January 20, 2021; and
 - (c) amendments dated January 20, 2021 to the simplified prospectus, annual information form and fund facts of each of

the Terminating Funds, each of which has been filed on SEDAR.

12. As required by National Instrument 81-107 *Independent Review Committee for Investment Funds*, the Manager presented the terms of the Mergers to the IRC for its review. The IRC determined that the Mergers, if implemented, will achieve a fair and reasonable result for each of the Funds.
13. The Manager is convening a special meeting of the securityholders of each Terminating Fund in order to seek the approval of the securityholders of the Terminating Fund to complete its Merger, as required by paragraph 5.1(1)(f) of NI 81-102 (the **Meeting**). The Meeting will be held on or about March 25, 2021.
14. The Manager has concluded that the Mergers are not material changes to the Continuing Funds, and accordingly, there is no intention to convene a meeting of securityholders of the Continuing Funds to approve the Mergers pursuant to paragraph 5.1(1)(g) of NI 81-102.
15. By way of order dated July 28, 2017, the Manager was granted relief (the **Notice-and-Access Relief**) from the requirement set out in paragraph 12.2(2)(a) of National Instrument 81-106 *Investment Fund Continuous Disclosure* to send a printed management information circular to securityholders while proxies are being solicited, and, subject to certain conditions, instead allows a notice-and-access document (as described in the Notice-and-Access Relief) to be sent to such securityholders. In accordance with the Manager's standard of care owed to the Funds pursuant to securities legislation, the Manager will only use the notice-and-access procedure for a particular meeting where it has concluded it is appropriate and consistent with the purposes of notice-and-access (as described in the Companion Policy to NI 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*) to do so, also taking into account the purpose of the meeting and whether the Funds would obtain a better participation rate by sending the management information circular with the other proxy-related materials.
16. Pursuant to requirements of the Notice-and-Access Relief, a notice-and-access document and applicable proxies in connection with the Meeting, along with the fund facts of the Continuing Funds, were mailed to securityholders on February 23, 2021 and were concurrently filed via SEDAR. The management information circular (the **Circular**), which the notice-and-access document provides a link to, was also filed via SEDAR at the same time.
17. If all required approvals for a Merger are obtained, it is intended that the Merger will occur after the close of business on or about April 16, 2021 (the

Effective Date). The Manager therefore anticipates that each securityholder of a Terminating Fund will become a securityholder of its Continuing Fund after the close of business on the Effective Date. Each Terminating Fund will be wound-up as soon as reasonably possible following its Merger.

18. The tax implications of the Mergers as well as the differences between the investment objectives and other features of the Terminating Funds and the Continuing Funds and the IRC's recommendation of the Mergers are described in the Circular, so that securityholders may make an informed decision before voting on whether to approve the Mergers. The Circular also describes the various ways in which securityholders can obtain a copy of the simplified prospectus, annual information form and fund facts for the Continuing Funds and their most recent interim and annual financial statements and management reports of fund performance.
19. Securityholders of each Terminating Fund will continue to have the right to redeem securities of the Terminating Fund at any time up to the close of business on the Effective Date. Following each Merger, all optional plans (including pre-authorized purchase programs, automatic withdrawal plans, systematic switch programs and automatic rebalancing services) which were established with respect to the Terminating Fund will be re-established in comparable plans with respect to its Continuing Fund, unless securityholders advise otherwise.
20. The costs of effecting the Mergers (consisting primarily of legal and regulatory fees, and proxy solicitation, printing and mailing costs) will be borne by the Manager.
21. No sales charges will be payable by securityholders of the Funds in connection with the Mergers.
22. Securities of the applicable Continuing Funds received by securityholders of the Terminating Funds as a result of the Mergers will have the same sales charge option and, for securities purchased under a deferred sales charge option, the same remaining deferred sales charge schedule, as their securities in the Terminating Funds.
23. The investment portfolio and other assets of each Terminating Fund to be acquired by the applicable Continuing Fund in order to effect the Mergers are currently, or will be, acceptable, on or prior to the Effective Date, to the portfolio manager(s) of the applicable Continuing Fund and are, or will be, consistent with the investment objective of the applicable Continuing Fund.

Merger Steps

24. The specific steps to implement each Merger are as follows:
 - (a) Prior to a Merger, if required, the Terminating Fund will sell any securities in its portfolio that do not meet the investment objective and investment strategies of the Continuing Fund. As a result, the Terminating Fund may temporarily hold cash or money market instruments and may not be fully invested in accordance with its investment objective for a brief period of time prior to that Merger being effected.
 - (b) The value of a Terminating Fund's investment portfolio and other assets will be determined at the close of business on the effective date of the applicable Merger in accordance with the constating documents of the Terminating Fund.
 - (c) Each of the Terminating Fund and the Continuing Fund may declare, pay and automatically reinvest a distribution to its securityholders of net realized capital gains and net income, if any, to ensure that it will not be subject to tax for its current tax year.
 - (d) The Terminating Fund will transfer substantially all of its assets to the Continuing Fund. In return, the Continuing Fund will issue to the Terminating Fund units of the Continuing Trust Fund having an aggregate net asset value equal to the value of the assets transferred to the Continuing Fund.
 - (e) The Continuing Fund will not assume 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 applicable Merger.
 - (f) Immediately thereafter, units of the Continuing Fund received by the Terminating Fund will be distributed to securityholders of the Terminating Fund in exchange for their units in the Terminating Fund on a dollar-for-dollar and series-by-series basis.
 - (g) The Terminating Fund will be wound-up within 30 days following its Merger.
25. The result of each Merger will be that investors in each Terminating Fund will cease to be securityholders of the Terminating Fund and will become securityholders of its Continuing Fund, and the Continuing Funds will continue as publicly-offered open-end mutual funds.

Benefits of the Mergers

26. In the opinion of the Manager, the Mergers will be beneficial to securityholders of the Funds for the following reasons:

- (a) it is expected that the Mergers will result in a more streamlined and simplified product line-up with less duplication that is easier for investors to understand;
- (b) following the Mergers, each Continuing Fund will have more assets, thereby allowing for increased portfolio diversification opportunities and a smaller proportion of assets to be set aside for fund redemptions;
- (c) securityholders of each Terminating Fund will benefit by moving to a Continuing Fund with a much larger net asset value, and each Continuing Fund will benefit from its larger profile in the marketplace; and
- (d) the management fee and fixed administration fee with respect to each series of each Continuing Fund will be lower than the management fee and current operating expenses that are currently payable by securityholders of the corresponding series of the applicable Terminating Fund.

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 Merger Approval is granted, provided that the Manager obtains the prior approval of the securityholders of the Terminating Funds at a special meeting held for that purpose.

“Darren McCall”
Manager, Investment Funds and Structured Products
Branch
Ontario Securities Commission

2.1.6 RP Investment Advisors LP

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – relief granted from subsection 5.1(4) of NI 81-101 to permit simplified prospectus of alternative mutual funds to be consolidated with simplified prospectus of mutual funds that are not alternative mutual funds.

Applicable Legislative Provisions

National Instrument 81-101 Mutual Fund Prospectus Disclosure, ss. 5.1(4) and 6.1.

March 19, 2021

**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
RP INVESTMENT ADVISORS LP
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of RP Alternative Global Bond Fund (the **Existing Alternative Fund**) and any alternative mutual fund established or restructured in the future and managed by the Filer or an affiliate of the Filer (collectively with the Existing Alternative Fund, the **Alternative Funds**) for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) that grants relief to the Alternative Funds from the requirement in subsection 5.1(4) of National Instrument 81-101 *Mutual Fund Prospectus Disclosure (NI 81-101)* which states that a simplified prospectus for an alternative mutual fund must not be consolidated with a simplified prospectus of another mutual fund if the other mutual fund is not an alternative mutual fund (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 each of the other provinces and territories of Canada (together with Ontario, the **Canadian Jurisdictions**).

Interpretation

Terms defined in National Instrument 14-101 *Definitions*, NI 11-102 and National Instrument 81-102 *Investment Funds (NI 81-102)* 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 limited partnership established under the laws of the Province of Ontario. The general partner of the Filer is RP Investment Advisors GP Inc., a corporation incorporated under the laws of the Province of Ontario. The Filer's head office is located in Toronto, Ontario.
2. The Filer is registered as (i) an investment fund manager in Ontario, Quebec and Newfoundland and Labrador; (ii) a portfolio manager in Ontario, Quebec and British Columbia; (iii) an exempt market dealer in each of the Canadian Jurisdictions; and (iv) a commodity trading manager in Ontario.
3. The Filer, or an affiliate of the Filer, is, or will be, the investment fund manager of each Alternative Fund.
4. The Filer is not in default of the securities legislation in any of the Canadian Jurisdictions.
5. Each Alternative Fund is, or will be, established under the laws of Ontario or Canada as a mutual fund that is a trust or a class of shares of a mutual fund corporation and is, or will be, a reporting issuer in one or more of the Canadian Jurisdictions.
6. The Existing Alternative Fund is not in default of the securities legislation in any of the Canadian Jurisdictions.
7. The securities of each Alternative Fund are, or will be, qualified for distribution in one or more of the Canadian Jurisdictions using a simplified prospectus, annual information form and fund facts documents prepared and filed in accordance with the securities legislation of such Canadian Jurisdictions. Each Alternative Fund is, or will be, subject to the requirements of NI 81-101 and NI 81-102.
8. The Filer wishes to combine the simplified prospectus of the Alternative Funds with the simplified prospectus of mutual funds existing today or created in the future (i) that are reporting issuers to which NI 81-101 and NI 81-102 apply, (ii) that are not alternative mutual funds, and (iii) for which the Filer, or an affiliate of the Filer, acts as the

investment fund manager (the **Conventional Funds**) in order to reduce renewal, printing and related costs. Offering the Alternative Funds using the same simplified prospectus and annual information form as the Conventional Funds would facilitate the distribution of the Alternative Funds in the Canadian Jurisdictions under the same prospectus disclosure and enable the Filer to streamline disclosure across the Filer's fund platform.

9. Even though the Alternative Funds are, or will be, alternative mutual funds, they share, or will share, many common operational and administrative features with the Conventional Funds and combining them in the same simplified prospectus will allow investors to more easily compare the features of the Alternative Funds and the Conventional Funds.
10. Investors will continue to receive the fund facts document(s) when purchasing securities of the Alternative Funds or Conventional Funds as required by applicable securities legislation. The form and content of the fund facts document(s) of the Alternative Funds and Conventional Funds will not change as a result of the Exemption Sought. The simplified prospectus and/or annual information form of the Alternative Funds and Conventional Funds will continue to be provided to investors, upon request, as required by applicable securities legislation.
11. National Instrument 41-101 *General Prospectus Requirements (NI 41-101)* does not contain a provision equivalent to subsection 5.1(4) of NI 81-101. Accordingly, an investment fund manager that manages exchange-traded funds (**ETFs**) is permitted to consolidate a prospectus under NI 41-101 for its ETFs that are alternative mutual funds with a prospectus for its ETFs that are conventional mutual funds. There is no reason why mutual funds filing a prospectus under NI 81-101 should be treated differently from ETFs filing a prospectus under NI 41-101.

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
Ontario Securities Commission

2.1.7 Lysander Funds Limited et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted to combine the simplified prospectus of an alternative mutual fund with the simplified prospectus of a conventional mutual fund.

Applicable Legislative Provisions

National Instrument 81-101 Mutual Fund Prospectus Disclosure, ss. 5.1(4) and 6.1.

March 19, 2021

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
LYSANDER FUNDS LIMITED
(the Filer),

LYSANDER-CANSO CREDIT OPPORTUNITIES FUND
AND

LYSANDER-TRIASIMA ALL COUNTRY LONG/SHORT
EQUITY FUND

(the Existing Alternative Funds)

AND

ANY ALTERNATIVE MUTUAL FUND ESTABLISHED OR
RESTRUCTURED IN THE FUTURE

AND

MANAGED BY THE FILER OR AN AFFILIATE OF THE
FILER

(collectively with the Existing Alternative Funds,
the Alternative Funds)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Alternative Funds for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) granting relief to the Alternative Funds from the requirement in subsection 5.1(4) of National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (**NI 81-101**) that a simplified prospectus (**SP**) for an alternative mutual fund must not be consolidated with a SP of another mutual fund if the other mutual fund is not an alternative mutual fund, to permit the SP(s) for one or more Alternative Fund(s) to be consolidated with the SP(s) of one or more mutual fund(s) existing today or created in the future (i) that are reporting issuers to which

NI 81-101 and National Instrument 81-102 *Investment Funds* (**NI 81-102**) apply, (ii) that are not alternative mutual funds, and (iii) for which the Filer, or an affiliate of the Filer, acts as the investment fund manager (the **Conventional Funds**, and together with the Alternative Funds, the **Funds**) (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 each of the other provinces and territories of Canada (together with Ontario, the **Canadian Jurisdictions**).

Interpretation

Terms defined in National Instrument 14-101 *Definitions*, MI 11-102 and NI 81-102 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 incorporated under the *Business Corporations Act* (Ontario) with its head office located in Toronto, Ontario.
2. The Filer is registered as: (i) an investment fund manager in Ontario, Quebec and Newfoundland and Labrador; (ii) a portfolio manager in Ontario; and (iii) an exempt market dealer in Ontario.
3. The Filer, or an affiliate of the Filer, is, or will be, the investment fund manager of each Fund.
4. The Filer is not in default of applicable securities legislation in any of the Canadian Jurisdictions.

The Funds

5. Each Alternative Fund is, or will be, established under the laws of Ontario or Canada as an alternative mutual fund that is a trust or a class of shares of a mutual fund corporation and is, or will be, a reporting issuer in one or more of the Canadian Jurisdictions.
6. Each Conventional Mutual Fund is not, or will not be, an alternative mutual fund.
7. The Existing Alternative Funds are not in default of applicable securities legislation in any of the Canadian Jurisdictions.

8. The securities of each Fund are, or will be, qualified for distribution in one or more of the Canadian Jurisdictions using a SP, annual information form (AIF) and fund facts documents prepared and filed in accordance with the securities legislation of such Canadian Jurisdictions. Each Fund is, or will be, subject to the requirements of NI 81-101 and NI 81-102.

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

“Darren McKall”
Manager, Investment Funds and Structured Products
Ontario Securities Commission

Reasons for the Exemption Sought

9. The Filer wishes to combine the SP(s) for one or more Alternative Funds with the SP(s) of one or more Conventional Funds in order to reduce renewal, printing and related costs. Offering the Alternative Funds using the same SP and AIF as the Conventional Funds would facilitate the distribution of the Alternative Funds in the Canadian Jurisdictions under the same prospectus disclosure and enable the Filer to streamline disclosure across the Filer’s fund platform.
10. Even though the Alternative Funds are, or will be, alternative mutual funds, they share, or will share, many common operational and administrative features with the Conventional Funds and combining them in the same SP will allow investors to more easily compare the features of the Alternative Funds and the Conventional Funds.
11. Investors will continue to receive the fund facts document(s) when purchasing securities of the Alternative Funds or Conventional Funds as required by applicable securities legislation. The form and content of the fund facts document(s) of the Alternative Funds and Conventional Funds will not change as a result of the Exemption Sought. The SP and/or AIF of the Alternative Funds and Conventional Funds will continue to be provided to investors, upon request, as required by applicable securities legislation.
12. National Instrument 41-101 *General Prospectus Requirements (NI 41-101)* does not contain a provision equivalent to subsection 5.1(4) of NI 81-101. Accordingly, an investment fund manager that manages exchange-traded funds (ETFs) is permitted to consolidate a prospectus under NI 41-101 for its ETFs that are alternative mutual funds with a prospectus for its ETFs that are conventional mutual funds. There is no reason why mutual funds filing a prospectus under NI 81-101 should be treated differently from ETFs filing a prospectus under NI 41-101.

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.

2.1.8 CI Investments Inc. and the Terminating ETFs

Headnote

NP 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Approval of merger of exchange traded mutual funds – approval required because mergers do not meet the criteria for pre-approved reorganizations and transfers in National Instrument 81-102 – merging funds may be considered not to have substantially similar investment objectives – one merger will not be a tax deferred transaction – approval granted subject to securityholder approval.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 5.5(1), 5.5(3), 5.6(1), 5.7(1).

March 19, 2021

**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
CI INVESTMENTS INC.
(the Manager)
AND
THE TERMINATING ETFS
(as defined below)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Manager on behalf of the Terminating ETFs in the table below for a decision under the securities legislation of the Jurisdiction (the **Legislation**) pursuant to paragraph 5.5(1)(b) of National Instrument 81-102 *Investment Funds (NI 81-102)* approving the proposed merger of each Terminating ETF into the Continuing ETF shown opposite its name in the table below (each a **Merger**, and collectively, the **Mergers**) (the **Merger Approval**) (the Terminating ETFs and Continuing ETFs, collectively, the **ETFs**).

Merger	Terminating ETF		Continuing ETF
1	CI First Asset Morningstar Canada Dividend Target 30 Index ETF <i>Common Units (DXM)</i>	→	CI WisdomTree Canada Quality Dividend Growth Index ETF <i>Non-Hedged Units (DGRC)</i>
2	CI First Asset Canadian Buyback Index ETF <i>Common Units (FBE)</i>	→	
3	CI First Asset U.S. Buyback Index ETF <i>Common Units (FBU)</i>	→	CI WisdomTree U.S. Quality Dividend Growth Index ETF <i>Hedged Units (DGR)</i>
4	CI First Asset European Bank ETF <i>Common Units (FHB)</i>	→	CI First Asset Global Financial Sector ETF <i>Common Units (FSF)</i>
5	CI First Asset Morningstar US Dividend Target 50 Index ETF <i>Common Units (UXM)</i> <i>Unhedged Common Units (UXM.B)</i>	→	CI WisdomTree U.S. Quality Dividend Growth Index ETF <i>Hedged Units (DGR)</i> <i>Non-Hedged Units (DGR.B)</i>

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 Manager 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, Quebec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Yukon, Northwest Territories and Nunavut (together 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 Manager:

The Manager and the ETFs

1. The Manager is a corporation amalgamated under the laws of Ontario with its head office located in Ontario. The Manager is registered as follows:
 - (a) under the securities legislation of all provinces and territories as a portfolio manager and an exempt market dealer;
 - (b) under the securities legislation of Ontario, Quebec and Newfoundland and Labrador as an investment fund manager; and
 - (c) under the *Commodity Futures Act* (Ontario) as a commodity trading counsel and a commodity trading manager.
2. The Manager is the manager of each ETF.
3. Each ETF is:
 - (a) an open-end mutual fund trust governed by a declaration of trust;
 - (b) an exchange-traded mutual fund whose securities are listed on the Toronto Stock Exchange (**TSX**);
 - (c) a reporting issuer under the securities legislation of each province and territory of Canada, subject to the requirements of NI 81-102 and National Instrument 41-101 *General Prospectus Requirements*; and
 - (d) not an alternative mutual fund as defined in NI 81-102.
4. Each ETF follows the standard investment restrictions and practices established under the securities legislation of the applicable Jurisdictions, except to the extent it has received an exemption from the securities regulatory authority of a Jurisdiction to deviate therefrom.
5. Each Terminating ETF and CI First Asset Global Financial Sector ETF, a Continuing ETF, currently distributes its securities in all the Jurisdictions pursuant to a prospectus dated April 22, 2020, as amended. Each other Continuing ETF currently distributes its securities in all the Jurisdictions pursuant to a prospectus dated June 19, 2020, as amended.
6. Neither the Manager nor any ETF is in default of securities legislation in any province or territory of Canada, as applicable.

Reason for Merger Approval

7. For each Merger, regulatory approval 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. In particular,
 - (a) in respect of each Merger, a reasonable person may not consider the Terminating ETF to have a substantially similar fundamental investment objective as its corresponding Continuing ETF; and
 - (b) in respect of Merger 4, the Merger will not be a “qualifying exchange” within the meaning of section 132.2 of the *Income Tax Act* (Canada) (the **Income Tax Act**) or a tax-deferred transaction under subsection 85(1), 85.1(1), 86(1) or 87(1) of the *Income Tax Act*.

8. Each Merger otherwise complies with all of the criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102.

The Proposed Mergers and Securityholder Disclosure

9. The Manager intends to merge each Terminating ETF into the Continuing ETF shown opposite its name in the table above and for Terminating ETF investors to receive the series of the Continuing ETF equivalent to their series in the Terminating ETF shown opposite its name in the table above.
10. The proposed Mergers were announced in the following documents, each of which has been filed on SEDAR:
- (a) a press release dated February 1, 2021;
 - (b) a material change report dated February 1, 2021; and
 - (c) amendment dated February 3, 2021 to the prospectus and revised ETF facts of each of the Terminating ETFs.
11. As required by National Instrument 81-107 *Independent Review Committee for Investment Funds*, the Manager presented the terms of the Mergers to the independent review committee of the Terminating ETFs (the **IRC**) for its review. The IRC determined that the Mergers, if implemented, will achieve a fair and reasonable result for each of the Terminating ETFs.
12. The Manager is convening a special meeting of the securityholders of each Terminating ETF in order to seek their approval to complete the applicable Merger, as required by paragraph 5.1(1)(f) of NI 81-102 (each, a **Meeting**). The Meetings will be held concurrently on or about April 1, 2021. As disclosed in the management information circular of the Terminating ETFs dated February 19, 2021 (the **Circular**), due to the COVID-19 pandemic and current restrictions placed on public gatherings, investors will not be able to attend the Meetings physically. Securityholders of the ETFs and duly-appointed proxyholders, regardless of geographic location, will have an equal opportunity to participate at the Meetings through teleconference as they would at a physical meeting, provided they remain connected on the telephone at all times during the Meetings. Securityholders and duly-appointed proxyholders will be able to listen to the Meetings and to ask questions when prompted while the Meetings are being held, and to submit their votes by the end of the Meetings.
13. The Manager has concluded that the Mergers are not material changes to the Continuing ETFs, and accordingly, there is no intention to convene meetings of securityholders of the Continuing ETFs to approve the Mergers pursuant to paragraph 5.1(1)(g) of NI 81-102.
14. By way of order dated July 28, 2017, the Manager was granted relief (the **Notice-and-Access Relief**) from the requirement set out in paragraph 12.2(2)(a) of National Instrument 81-106 *Investment Fund Continuous Disclosure* to send a printed management information circular to securityholders while proxies are being solicited that, subject to certain conditions, instead allows a notice-and-access document (as described in the Notice-and-Access Relief) to be sent to such securityholders.
15. Pursuant to requirements of the Notice-and-Access Relief, a notice-and-access document and applicable proxies in connection with the Meeting, along with the ETF facts of the Continuing ETFs, were mailed to securityholders of the Terminating ETFs on February 19, 2021 and were concurrently filed via SEDAR. The Circular, which the notice-and-access document provides a link to, was also filed via SEDAR at the same time.
16. If all required approvals for a Merger are obtained, it is intended that the Merger will occur after the close of business on or about April 16, 2021 (the **Effective Date**). The Manager therefore anticipates that each securityholder of a Terminating ETF will become a securityholder of its corresponding Continuing ETF after the close of business on the Effective Date. Each Terminating ETF will be wound-up as soon as reasonably possible following its Merger.
17. The Circular describes:
- (a) The tax implications of the Mergers;
 - (b) The differences between the investment objectives and other features of the Terminating ETFs and the Continuing ETFs;
 - (c) The IRC's recommendation in respect of the Mergers;
 - (d) The various ways in which securityholders can obtain a copy of the prospectuses and ETF facts for the Continuing ETFs and their most recent interim and annual financial statements and management reports of fund performance; and

- (e) The steps for implementing each Merger.
18. The Circular also discloses that:
- (a) Securityholders will continue to have the right to redeem their securities of the Terminating ETFs up to the close of business on the Effective Date. Securityholders of the Terminating ETFs will subsequently be able to redeem their securities of the corresponding Continuing ETFs acquired through the Mergers, which will be subject to the same redemption charges, if any, their securities of the Terminating ETFs were subject to;
 - (b) In respect of Merger 4, which is being effected on a taxable basis, the Continuing ETF has capital loss carryforwards for tax purposes that will be lost if that Merger is implemented on a tax-deferred basis. Merger 4 will be effected on a taxable basis and the Continuing ETF will preserve its unused capital loss carryforwards for use to shelter capital gains realized by it in future years;
 - (c) It is expected that only the Terminating ETFs involved in Mergers 2 and 5 will distribute net realized capital gains to their securityholders as a result of the Mergers in advance of the effective date(s) of the Mergers. For Merger 4, the Terminating ETF expects that it will have sufficient loss carryforwards or sufficient capital gains refund to offset any capital gains realized on the liquidation of assets prior to its Merger and on the transfer of its assets to the Continuing ETF. These expectations may change in advance of the Mergers due to market activity, portfolio manager activity and/or securityholder activity;
 - (d) Neither the Terminating ETFs nor the Continuing ETFs will bear any of the costs and expenses associated with the Mergers. Such costs will be borne by the Manager;
 - (e) If a proposed Merger is not approved by securityholders of a Terminating ETF, that Terminating ETF will instead be terminated on or about April 22, 2021.
19. The Manager believes the Circular provides securityholders of the Terminating ETFs with sufficient information to permit them to make an informed decision as to whether to approve the applicable Merger.

Merger Implementation

20. The specific steps to implement each Merger are as follows:
- (a) Prior to the Merger, if required, the Terminating ETF will sell any securities in its portfolio that do not meet the investment objective and investment strategies of the Continuing ETF. As a result, the Terminating ETF may temporarily hold cash or money market instruments and may not be fully invested in accordance with its investment objective for a brief period of time prior to the Merger being effected.
 - (b) The value of a Terminating ETF's investment portfolio and other assets will be determined at the close of business on the effective date of the applicable Merger in accordance with the constating documents of the Terminating ETF.
 - (c) Each of the Terminating ETF and the Continuing ETF may declare, pay and automatically reinvest a distribution to its securityholders of net realized capital gains and net income, if any, to ensure that it will not be subject to tax for its current tax year. In respect of Merger 4, for the Terminating ETF's securityholders, this will also ensure that they will not be subject to tax on any net income generated prior to the Merger in the Continuing ETF.
 - (d) The Terminating ETF will transfer substantially all of its assets to the Continuing ETF. In return, the Continuing ETF will issue to the Terminating ETF securities of the Continuing ETF having an aggregate net asset value equal to the value of the assets transferred to the Continuing ETF.
 - (e) The Continuing ETF will not assume liabilities of the Terminating ETF and the Terminating ETF will retain sufficient assets to satisfy its estimated liabilities, if any, as of the effective date of the applicable Merger.
 - (f) Immediately thereafter, securities of the Continuing ETF received by the Terminating ETF will be distributed to securityholders of the Terminating ETF in exchange for their securities in the Terminating ETF on a dollar-for-dollar and series-by-series basis (the term "series" as used here also includes class).
 - (g) The Terminating ETF's securities will be de-listed from the TSX and the Terminating ETF will cease to be reporting issuers in each of the provinces and territories of Canada.
 - (h) The Terminating ETF will be wound-up within 30 days following its Merger.
21. Each securityholder of the Terminating ETF will receive securities of the Continuing ETF with a value equal to the value of their securities of the Terminating ETF.

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22. The costs of effecting the Mergers (consisting primarily of legal and regulatory fees, and proxy solicitation, printing and mailing costs) will be borne by the Manager.
23. No brokerage charges or sales charges will be payable by the ETFs or securityholders of the ETFs in connection with the Mergers.
24. The investment portfolio and other assets of each Terminating ETF to be acquired by the applicable Continuing ETF in order to effect the Mergers are currently, or will be, acceptable, on or prior to the Effective Date, to the portfolio manager(s) of the applicable Continuing ETF and are, or will be, consistent with the investment objective of the applicable Continuing ETF.
25. The result of each Merger will be that investors in each Terminating ETF will cease to be securityholders of the Terminating ETF and will become securityholders of its corresponding Continuing ETF, and the Continuing ETFs will continue as publicly-offered open-end mutual funds.

Benefits of the Mergers

26. In the opinion of the Manager, the Mergers will be beneficial to securityholders of the ETFs for the following reasons:
 - (a) it is expected that the Mergers will result in a more streamlined and simplified product line-up with less duplication that is easier for investors to understand;
 - (b) following the Mergers, each Continuing ETF will have more assets and a smaller proportion of assets to be set aside for ETF redemptions;
 - (c) securityholders of each Terminating ETF will benefit by moving to a Continuing ETF with a much larger net asset value, and each Continuing ETF will benefit from its larger profile in the marketplace; and
 - (d) the management fee and fixed administration fee or operating expenses, as applicable, with respect to each series or class of each Continuing ETF, as applicable, will be the same as, or, in certain cases, lower than, the management fee and current fixed administration fee or operating expenses, as applicable, of the corresponding series of the applicable Terminating ETF.

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 decision maker under the Legislation is that the Merger Approval is granted provided that the Manager obtains the prior approval of securityholders of a Terminating ETF for its Merger prior to the Effective Date.

“Darren McKall”
Manager, Investment Funds and Structured Products Branch
Ontario Securities Commission

2.1.9 RBC Global Asset Management Inc. et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted to combine the simplified prospectus of an alternative mutual fund with the simplified prospectus of a conventional mutual fund.

Applicable Legislative Provisions

National Instrument 81-101 Mutual Fund Prospectus Disclosure, ss. 5.1(4) and 6.1

March 19, 2021

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
RBC GLOBAL ASSET MANAGEMENT INC.
(RBCGAM),
THE BLUEBAY GLOBAL ALTERNATIVE BOND FUND
(Canada)
AND
THE ALTERNATIVE MUTUAL FUNDS ESTABLISHED
OR RESTRUCTURED IN THE FUTURE
AND
MANAGED BY RBCGAM OR AN AFFILIATE
(collectively with RBCGAM, the Filer) (collectively, the
Alternative Funds)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Alternative Funds for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) granting relief to the Alternative Funds from the requirement in section 5.1(4) of National Instrument 81-101 *Mutual Fund Prospectus Disclosure (NI 81-101)* that a simplified prospectus (**SP**) for an alternative mutual fund must not be consolidated with a SP of another mutual fund if the other mutual fund is not an alternative mutual fund, to permit the SP(s) for one or more Alternative Fund(s) to be consolidated with the SP(s) of one or more mutual fund(s) existing today or created in the future (i) that are reporting issuers to which NI 81-101 and National Instrument 81-102 *Investment Funds (NI 81-102)* apply, (ii) that are not alternative mutual funds, and (iii) for which the Filer acts as the investment fund manager (collectively, the **RBC Mutual Funds**, together with

the Alternative Funds, the **Funds**) (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 section 4.7(1) of Multilateral Instrument 11-102 – *Passport System* is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Québec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, the Northwest Territories, Nunavut and Yukon (together with the Jurisdiction, the **Jurisdictions**).

Interpretation

Terms defined in National Instrument 14-101 *Definitions* or NI 81-102, as applicable, 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 formed by amalgamation pursuant to articles of amalgamation dated November 1, 2013 under the federal laws of Canada and its head office is located in Toronto, Ontario.
2. The Filer is an indirect, wholly-owned subsidiary of Royal Bank of Canada.
3. The Filer is registered as an adviser in the category of portfolio manager and as a dealer in the category of exempt market dealer under the securities legislation of each Jurisdiction, is registered as an investment fund manager in each of British Columbia, Ontario, Québec and Newfoundland and Labrador and is also registered in Ontario as a commodity trading manager.
4. The Filer is, or will be, the investment fund manager of the Funds.
5. RBCGAM is not in default of any of its obligations under the securities legislation of any Jurisdiction.

The Funds

6. Each Alternative Fund is, or will be, an alternative mutual fund established under the laws of the Province of Ontario or the laws of another Jurisdiction.
7. Each RBC Mutual Fund is, or will be, a conventional mutual fund and is not, or will not be, an alternative

- mutual fund.
8. The Funds are, or will be, subject to NI 81-102, subject to any exemptions therefrom that have been, or may be, granted by the securities regulatory authorities.
 9. The securities of each Fund are, or will be, offered by a SP and annual information form (**AIF**) prepared in accordance with NI 81-101 and filed in one or more Jurisdictions. Accordingly, each Fund is, or will be, a reporting issuer in one or more Jurisdictions.
 10. The BlueBay Global Alternative Bond Fund (Canada) is not in default of any of its obligations under the securities legislation of the Jurisdictions.

Reasons for the Exemption Sought

11. The Filer wishes to be able to consolidate the SP(s) and AIF(s) (collectively, the **SP Documents**) for one or more Alternative Funds with the SP Documents of one or more RBC Mutual Funds to reduce renewal, printing and related costs. Offering the Alternative Funds under the same SP Documents as the RBC Mutual Funds would facilitate the distribution of the Alternative Funds in the Jurisdictions under the same prospectus disclosure and enable the Filer to streamline disclosure across the Filer's fund platform.
12. Even though the Alternative Funds are, or will be, alternative mutual funds, they share, or will share, many common operational and administrative features with the RBC Mutual Funds and combining them in the same SP Documents will allow investors to more easily compare the features of the Alternative Funds and the RBC Mutual Funds.
13. The Filer may make changes to the features of the RBC Mutual Funds as part of the process of renewing the RBC Mutual Funds' SP Documents. The ability to file the SP Documents of the Alternative Funds with those of the RBC Mutual Funds will ensure that the Filer can make the operational and administrative features of the Alternative Funds and the RBC Mutual Funds consistent with each other, as appropriate.
14. Investors will continue to receive a fund facts document when purchasing securities of an Alternative Fund as required by applicable securities legislation. The form and content of the fund facts document of the Alternative Funds will not change as a result of the Exemption Sought.
15. The SP and/or AIF of the Alternative Funds will continue to be provided to investors, upon request, as required by applicable securities legislation.

16. National Instrument 41-101 *General Prospectus Requirements (NI 41-101)* does not contain a provision which is equivalent to subsection 5.1(4) of NI 81-101. Accordingly, an investment fund manager that manages exchange-traded funds (**ETFs**) is permitted to consolidate a prospectus under NI 41-101 for its ETFs that are alternative mutual funds with a prospectus for its ETFs that are conventional mutual funds. The Filer submits that there is no reason why mutual funds filing a prospectus under NI 81-101 should be treated differently from ETFs filing a prospectus under NI 41-101.
17. The Filer is of the view that the Exemption Sought is not prejudicial to the public interest and is in the best interests of the Alternative Funds and their securityholders.

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 is that the Exemption Sought is granted.

"Darren McKall"
Manager
Investment Funds and Structured Products Branch
Ontario Securities Commission

2.2 Orders

2.2.1 Investment Industry Regulatory Organization of Canada (IIROC) – s. 144 of the Act and s. 78(1) of the CFA

Headnote

Variation and restatement of the IIROC recognition order to clarify and update terms and conditions of recognition and reporting requirements.

Statutes Cited

Securities Act, R.S.O. 1990, c. S.5, as am., s. 144.
Commodity Futures Act, R.S.O. 1990, c. C.20, as am., s. 78(1).

**IN THE MATTER OF
THE SECURITIES ACT,
R.S.O 1990, CHAPTER S.5, AS AMENDED
(the "Act")**

AND

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

AND

**IN THE MATTER OF
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
("IIROC")**

**VARIATION AND RESTATEMENT OF RECOGNITION ORDER
(Section 144 of the Act and Subsection 78(1) of the CFA)**

WHEREAS the Commission issued an order dated May 16, 2008, as amended on May 28, 2010 and March 9, 2018, recognizing IIROC as a self-regulatory organization pursuant to section 21.1 of the Act and subsection 16(1) of the CFA ("Previous Order");

AND WHEREAS the Commission has determined that it is not prejudicial to the public interest to issue an order that varies and restates the Previous Order to amend Appendix A, Schedule 1 and Schedule 2 to clarify and update the terms and conditions of IIROC's recognition as a self-regulatory organization as well as its recognition criteria and reporting requirements;

IT IS ORDERED pursuant to section 144 of the Act and subsection 78(1) of the CFA that the Previous Order be varied and restated as follows:

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

AND

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

AND

**IN THE MATTER OF
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
(IIROC)**

**RECOGNITION ORDER
(Subsection 21.1(1) of the Act and Subsection 16(1) of the CFA)**

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The Investment Dealers Association of Canada (the IDA) had been recognized by the Alberta Securities Commission, British Columbia Securities Commission, Manitoba Securities Commission, Nova Scotia Securities Commission, Ontario Securities Commission, Saskatchewan Financial Services Commission, the Financial Services Regulation Division, Department of Government Services, Consumer & Commercial Affairs Branch (Newfoundland and Labrador) and the Autorité des marchés financiers (Québec), and had applied to the New Brunswick Securities Commission for recognition (together with the Securities Office, Consumer, Corporate and Insurance Services Division, Office of the Attorney General (Prince Edward Island), (the Recognizing Regulators) as a self-regulatory organization or self-regulatory body pursuant to applicable legislation.

Market Regulation Services Inc. (RS) had been recognized by the Autorité des marchés financiers (Québec) and the Alberta Securities Commission, British Columbia Securities Commission, Manitoba Securities Commission and Ontario Securities Commission as a self-regulatory organization or self-regulatory body pursuant to applicable securities legislation.

The IDA and RS agreed to combine their operations into IIROC.

IIROC will, among other things:

- a. regulate investment dealers, including alternative trading systems (ATs) and futures commission merchants (Dealer Members);
- b. if retained by an ATs pursuant to National Instrument 23-101 *Trading Rules*, regulate the ATs as a Marketplace Member (defined below) and the subscribers of the ATs;
- c. establish, administer and monitor its rules, policies and other similar instruments (Rules);
- d. enforce compliance with its Rules by Dealer Members and others subject to its jurisdiction;
- e. provide services to exchanges and quotation and trade reporting systems (QTRSs) (together with ATs, Marketplace Members) that choose to retain it as a regulation services provider, as that term is defined under National Instrument 21-101 *Marketplace Operation*;
- f. if retained by an exchange or QTRS, administer, monitor and/or enforce rules pursuant to a regulation services agreement between IIROC and that exchange or QTRS (RSA);
- g. conduct certain functions delegated to it by Recognizing Regulators, including registration functions; and
- h. perform investigation and enforcement functions on behalf of the IDA and RS for as long as each of the IDA and RS continues to be recognized by the Ontario Securities Commission (Commission) as a self-regulatory organization or a self-regulatory body.

On April 30, 2008, the Board of IIROC adopted the rules and policies of RS and the regulatory By-laws, Regulations, Forms and Policies of the IDA that were in force and effect at that time, subject to incidental conforming changes made to ensure consistency, and the Hearing Committees and Hearing Panels Rule as the Rules.

On April 30, 2008, the Board of IIROC adopted the market integrity notices issued by RS and all regulatory notices, bulletins, directives and guidance provided by the IDA that were in effect at that time.

IIROC applied to the Commission and the other Recognizing Regulators for recognition as a self-regulatory organization pursuant to subsection 21.1(1) of the Act and subsection 16(1) of the CFA.

The Commission issued an order dated May 16, 2008 and effective on June 1, 2008, recognizing IIROC as a self-regulatory organization pursuant to subsection 21.1(1) of the Act and subsection 16(1) of the CFA.

IIROC applied on May 14, 2010, to amend Appendix A of the order dated May 16, 2008, to: (i) extend the time for IIROC to develop an integrated fee model and submit it for approval with the Commission and (ii) extend the time IIROC must provide written quarterly reports on the status of the development of the fee model.

The Commission issued an order dated May 16, 2008, as amended on May 28, 2010, amending Appendix A pursuant to section 144 of the Act and subsection 16(1) of the CFA (Previous Order).

The Executive Director applied on February 6, 2018, to amend Appendix A and Schedule 2 of the Previous Order to clarify and update IIROC's reporting requirements.

The Executive Director applied on January 21, 2020, to amend Appendix A, Schedule 1 and Schedule 2 of the Previous Order to clarify and update the terms and conditions of IIROC's recognition as a self-regulatory organization.

The Commission is satisfied that continuing to recognize IIROC as a self-regulatory organization, subject to the terms and

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conditions set out in Appendix A, is not prejudicial to the public interest.

The Commission hereby continues to recognize IIROC as a self-regulatory organization pursuant to section 21.1 of the Act and subsection 16(1) of the CFA on the terms and conditions set out in Appendix A and the applicable provisions of the Memorandum of Understanding between the Recognizing Regulators, as amended from time to time (MOU).

Dated May 16, 2008, as amended on May 28, 2010, March 9, 2018, and October 22, 2020 to be effective on April 1, 2021.

“Cecilia Williams”
Commissioner
Ontario Securities Commission

“Garnet Fenn”
Commissioner
Ontario Securities Commission

APPENDIX A
TERMS AND CONDITIONS

1. Recognition Criteria

IIROC must continue to meet the criteria attached at Schedule 1.

2. Approval of Changes

- a. Prior Commission approval is required for any changes to the following:
 - (i) the corporate governance structure of IIROC, as reflected in IIROC's By-law No. 1 (By-law No. 1);
 - (ii) IIROC's articles of incorporation or continuance; and
 - (iii) the assignment, transfer, delegation or sub-contracting of the performance of all or a substantial part of its regulatory functions or responsibilities as a self-regulatory organization.
- b. Prior Commission approval is required for material changes to the following:
 - (i) the fee model;
 - (ii) the functions IIROC performs;
 - (iii) IIROC's organizational structure;
 - (iv) the activities, responsibilities, and authority of the District Councils; and
 - (v) the Regulation Services Agreement between IIROC and any Marketplace Member.

3. Status

- a. IIROC must operate on a not-for-profit basis.
- b. IIROC must comply with any terms and conditions the Commission may impose in the public interest concerning any transaction that would result in IIROC:
 - (i) ceasing to perform its services;
 - (ii) discontinuing, suspending or winding-up all or a significant portion of its operations;
 - (iii) disposing of all or substantially all of its assets; or
 - (iv) terminating its agreement with an information technology service provider providing critical technology systems.

4. Rules and Rule-Making

IIROC must comply with the process for filing and obtaining Commission approval for by-laws, Rules and any amendments to by-laws or Rules as outlined in Appendix B of the MOU, as amended from time to time.

5. Governance

- a. IIROC must:
 - (i) ensure that at least 50% of its board of directors (Board), other than the President of IIROC, are independent directors as defined in By-law No. 1;
 - (ii) ensure that one of the directors represents an exchange or ATS that is not affiliated with a marketplace
 - (A) that retains IIROC, and
 - (B) has at least a 40% Market Share as defined in By-law No. 1 (Market Share); and

- (iii) review the corporate governance structure, including the composition of the Board, at the request of the Commission,

to ensure that there is a proper balance between, and effective representation of, the public interest and the interests of marketplaces, dealers and other entities desiring access to the services provided by IIROC.

6. Due Process

Subject to applicable law and the Rules and by-laws of IIROC, before rendering a decision that affects the rights of a person or company in relation to membership, registration or enforcement matters, IIROC must provide that person or company an opportunity to be heard.

7. Performance of Regulatory Functions

- a. IIROC must set Rules governing its members and others subject to its jurisdiction.
- b. IIROC must administer and monitor compliance with the Rules and securities laws by members and others subject to its jurisdiction and enforce compliance with the Rules by Dealer Members, including ATSS, and others subject to its jurisdiction.
- c. If retained by an exchange or QTRS, IIROC must administer, monitor and/or enforce rules pursuant to an RSA.
- d. IIROC must, subject to applicable legislation, collect, use and disclose personal information only to the extent reasonably necessary to carry out its regulatory activities and mandate.
- e. IIROC must ensure that it is accessible for contact by the public for purposes relating to the performance of its functions as a self-regulatory organization.
- f. IIROC must publish concurrently in English and French each document issued to the public or generally to any class of members.
- g. IIROC must adopt policies and procedures designed to ensure that confidential information about its operations or those of any Dealer Member, Marketplace Member or marketplace participant is maintained in confidence and not shared inappropriately with other persons, and must use all reasonable efforts to comply with these policies and procedures.
- h. IIROC must, at least annually, self-assess IIROC's performance of its regulatory responsibilities, and report thereon to its Board, together with any recommendations for improvements.

8. Use of Fines and Settlements

All fines collected by IIROC and all payments made under settlement agreements entered into with IIROC may be used only as follows:

- a. as approved by the Corporate Governance Committee,
 - (i) for the development of systems or other expenditures that are necessary to address emerging regulatory issues and are directly related to protecting investors or the integrity of the capital markets, provided that any such use does not constitute normal course operating expenses;
 - (ii) for education or research projects that are directly relevant to the investment industry, are in the public interest, and which benefit the public or the capital markets;
 - (iii) to contribute to a non-profit, tax-exempt organization, the purposes of which include protection of investors, or those described in paragraph (a)(ii);
 - (iv) for such other purposes as may be subsequently approved by the Commission; or
- b. for reasonable costs associated with the administration of IIROC's hearing panels.

9. Disciplinary Matters

- a. Subject to paragraph (b), IIROC must
 - (i) promptly notify the public and the news media of:

- (A) the specifics relating to each disciplinary or settlement hearing once the hearing date is set, and
 - (B) the terms of each settlement and the disposition of each disciplinary action once the terms or disposition is determined; and
- (ii) ensure that disciplinary and settlement hearings are open to the public and the news media.
- b. Despite paragraph (a), IIROC may, on its own initiative or on request, order a closed-door hearing or prohibit the publication or release of information or documents if it determines that it is required for the protection of confidential matters. IIROC must establish written criteria for making a determination of confidentiality.

10. Capacity and Integrity of Systems

- a. IIROC must
 - (i) ensure that each of IIROC's critical technology systems has
 - (A) appropriate internal controls to ensure integrity and security of information; and
 - (B) reasonable and sufficient capacity, and backup to enable IIROC to properly carry on its business; and
 - (ii) have controls to manage the risks associated with its operations, including an annual review of its contingency and business continuity plans.
- b. IIROC must, on a reasonably frequent basis, and in any event at least annually, cause to be performed an independent review of the controls and capacity described in paragraph (a) above in accordance with established audit procedures and standards. The Board must conduct a review of the report containing the recommendations and conclusions of the independent review.

IIROC must also, on a reasonably frequent basis, and in any event at least annually, complete the following, which may be completed as part of the independent review:

 - (i) make reasonable current and future capacity estimates for its critical technology systems;
 - (ii) conduct capacity stress tests to determine the ability of those systems to perform its regulation functions in an accurate, timely and efficient manner;
 - (iii) review and keep current the development and testing methodology of those systems; and
 - (iv) review the vulnerability of those systems to internal and external threats including physical hazards and natural disasters.
- c. The term and condition in paragraph (b) above will not apply if:
 - (i) the information technology provider retained by IIROC is required, either by law or otherwise, to conduct an annual independent review; and
 - (ii) IIROC's Board obtains and reviews annually a copy of the independent review report of its information technology provider to ensure that it has controls in place to address the matters outlined in paragraphs (a) and (b) above.
- d. IIROC must, periodically or at the request of the Commission, benchmark surveillance systems and services provided by its information technology providers against comparable systems and services available from other third-party technology providers.

11. Ongoing Reporting Requirements

- a. IIROC must comply with reporting requirements set out in Schedule 2 of this Recognition Order, as amended from time to time by the Commission or its staff.
- b. IIROC must provide the Commission with other reports, documents and information as the Commission or its staff may request.

SCHEDULE 1

CRITERIA FOR RECOGNITION

1. Governance

- a. The governance structure and arrangements must ensure:
- (i) effective oversight of the entity;
 - (ii) fair, meaningful and diverse representation on the governing body (Board) and any committees of the Board, including a reasonable proportion of independent directors;
 - (iii) a proper balance among the interests of the different persons or companies subject to regulation by IIROC; and
 - (iv) each director or officer is a fit and proper person.

2. Public Interest

IIROC must regulate to serve the public interest in protecting investors and market integrity. It must articulate and ensure it meets a clear public interest mandate for its regulatory functions.

3. Conflicts of interest

IIROC must effectively identify and manage conflicts of interest.

4. Fees

- a. All fees imposed by IIROC must be equitably allocated. Fees must not have the effect of creating unreasonable barriers to access.
- b. The process for setting fees must be fair and transparent.
- c. IIROC must operate on a cost-recovery basis.

5. Compensation or Contingency Trust Funds

IIROC must comply with the Industry Agreement signed with the Canadian Investor Protection Fund (CIPF).

6. Access

- a. IIROC must have reasonable written criteria that permit all persons or companies that satisfy the criteria to access IIROC's regulatory services.
- b. The access criteria and the process for obtaining access should be fair and transparent.

7. Financial Viability

IIROC must have sufficient financial resources for the proper performance of its functions and to meet its responsibilities.

8. Capacity to Perform Regulatory Functions

- a. IIROC must maintain its capacity to effectively and efficiently perform its regulatory functions, which include governing the conduct of persons or companies subject to its regulation and monitoring and enforcing applicable requirements.
- b. IIROC must maintain in each jurisdiction where it has an office
 - (i) sufficient financial, technological, human and other resources; and
 - (ii) appropriate organizational structures and adequate technological systemsto efficiently, effectively and in a timely manner perform its regulatory functions and responsibilities.

9. Capacity and Integrity of Systems

IIROC must maintain controls to ensure capacity, integrity requirements and security of its technology systems.

10. Rules

- a. IIROC must establish and maintain Rules that:
 - (i) are necessary or appropriate to govern and regulate all aspects of its functions and responsibilities as a self-regulatory entity;
 - (ii) are designed to:
 - (A) ensure compliance with securities laws,
 - (B) prevent fraudulent and manipulative acts and practices,
 - (C) promote just and equitable principles of trade and the duty to act fairly, honestly and in good faith,
 - (D) foster cooperation and coordination with entities engaged in regulating, clearing, settling, processing information with respect to, and facilitating transactions in, securities,
 - (E) foster fair, equitable and ethical business standards and practices,
 - (F) promote the protection of investors, and
 - (G) provide for appropriate discipline of those whose conduct it regulates;
 - (iii) do not impose any burden or constraint on competition or innovation that is not necessary or appropriate in furtherance of IIROC's regulatory objectives;
 - (iv) do not impose costs or restrictions on the activities of market participants that are disproportionate to the goals of the regulatory objectives sought to be realized; and
 - (v) are not contrary to the public interest.

11. Disciplinary Matters

The process for discipline must be fair and transparent.

12. Information Sharing and Regulatory Cooperation

To assist the Commission and other regulatory authorities in carrying out their regulatory mandates, IIROC must share information and cooperate with:

- a. the Commission and any other securities regulatory authority, whether domestic or foreign;
- b. exchanges;
- c. self-regulatory organizations;
- d. clearing agencies;
- e. financial intelligence or law enforcement agencies or authorities; and
- f. investor protection or compensation funds, whether domestic or foreign.

This assistance includes the collection and sharing of information and other forms of assistance for the purpose of market surveillance, investigations, enforcement litigation, investor protection and compensation and for any other regulatory purpose and is subject to applicable laws related to information sharing and protection of personal information.

13. Other Criteria -- Québec

Constituting documents, by-laws and operating rules of IIROC should allow that the power to make decisions relating to the supervision of its activities in Québec will be exercised mainly by persons residing in Québec.

SCHEDULE 2
REPORTING REQUIREMENTS

1. Prior Notification

- a. IIROC will provide the Commission with at least twelve months' written notice prior to completing any transaction that would result in IIROC:
 - (i) ceasing to perform its services;
 - (ii) discontinuing, suspending or winding-up all or a significant portion of its operations; or
 - (iii) disposing of all or substantially all of its assets.
- b. IIROC will provide the Commission with at least three months' written notice prior to:
 - (i) terminating its agreement with an information technology service provider providing critical technology systems; or
 - (ii) any intended material change to its agreement with an information technology service provider regarding its critical technology systems.

2. Immediate Notification

IIROC will immediately notify the Commission of the following events:

- a. the admission of a new member, including the member's name, and any terms and conditions that are imposed on the member;
- b. members whose rights and privileges or membership will be suspended or terminated, including:
 - (i) the member's name;
 - (ii) the reasons for the proposed suspension or termination; and
 - (iii) a description of the steps being taken to ensure that the member's clients are being dealt with appropriately;
- c. receipt of a member's intention to resign.
- d. receipt of an application for a Board exemption or amendment to a Board exemption that could have a significant impact on:
 - (i) IIROC members and others subject to IIROC's jurisdiction, or
 - (ii) the capital markets generally including, for greater clarity, certain stakeholders or sectors.

The notice required by this section, other than in (d), may be provided by IIROC issuing a public notice containing the information, provided that such public notice will be issued immediately after the decision is made for admission, suspension or termination of membership and immediately after receipt of a notice of intention to resign, as the case may be.

3. Prompt Notification

IIROC will provide the Commission with prompt notice of the following events and situations, and in each case describe the circumstances that gave rise to the reportable event or situation, and IIROC's proposed response to ensure resolution, and, if appropriate, provide timely updates:

- a. situations that would reasonably be expected to raise concerns about IIROC's financial viability, including but not limited to, an inability to meet its expected expenses for the next quarter or the next year;
- b. any determination by IIROC, or notification from any of the Recognizing Regulators, that IIROC is not or will not be in compliance with one or more of the terms and conditions of its recognition in any jurisdiction, or with one or more of the criteria for recognition set out in Schedule 1;
- c. any material violations of securities legislation of which IIROC becomes aware in the ordinary course operation of its business;

- d. any material failures in the controls described in terms and conditions 10(a)(i) and (ii) of Appendix A to this Recognition Order;
- e. any failure, malfunction, delay or security breach, including material cyber security breaches, of IIROC's critical systems or technology systems that support IIROC's critical systems;
- f. any breach of security safeguards involving information under IIROC's control if it is reasonable in the circumstances to believe that the breach creates a real risk of significant harm to investors, issuers, registrants, other market participants, IIROC, CIPF, or the capital markets;
- g. any material change to the information set out in the application letter dated December 21, 2007;
- h. actual or apparent misconduct or non-compliance by members, Approved Persons, marketplace participants, or others, where investors, clients, creditors, members, CIPF, or IIROC may reasonably be expected to suffer serious damage as a consequence thereof, including but not limited to:
 - (i) where fraud appears to be present; or
 - (ii) where serious deficiencies in supervision or internal controls exist;
- i. situations that would reasonably be expected to raise concerns about a member's continued viability, including but not limited to, capital deficiency, early warning, and any condition which, in the opinion of IIROC, could give rise to payments being made out of CIPF, including any condition which, alone or together with other conditions, could, if appropriate corrective action is not taken, reasonably be expected to:
 - (i) inhibit the member from promptly completing securities transactions, promptly segregating clients' securities as required or promptly discharging its responsibilities to clients, other members, or creditors;
 - (ii) result in material financial loss to the member or its clients; or
 - (iii) result in material misstatement of the member's financial statements;
- j. any action taken by IIROC with respect to a member in financial difficulty;
- k. any terms and conditions imposed, varied or removed by IIROC relating to a member;
- l. any enforcement agreement and undertaking entered into, varied or rescinded at IIROC's request relating to a member.

4. Quarterly Reporting

IIROC will file on a quarterly basis with the Commission a report pertaining to IIROC's regulatory operations promptly after the report is reviewed or approved by IIROC's Board, board committees, or senior management, as the case may be, containing at a minimum the following information and documents:

- a. a summary of ongoing initiatives, policy changes, and emerging or key issues that arose in the previous quarter for each of IIROC's regulatory operations;
- b. a summary of all compliance examinations in progress or completed during the previous quarter, and all compliance examinations scheduled to be commenced in the upcoming quarter by IIROC office and department, including information on repeat or significant deficiencies;
- c. a summary of any terms and conditions imposed, varied or removed relating to Approved Persons during the previous quarter;
- d. a summary of all discretionary exemptions granted to individuals, members, and marketplace participants during the previous quarter;
- e. summary statistics for the previous quarter regarding all client complaints, and complaints received from other sources including, but not limited to, any other securities regulatory authority;
- f. summary statistics by IIROC office for the previous quarter regarding the caseload for each of case assessment, trading review and analysis, market surveillance, investigations and prosecutions, separated between Member and Marketplace Regulation cases, including the length of time the files have been open;

- g. a summary of enforcement files that were referred to any of the Recognizing Regulators during the previous quarter; and
- h. IIROC's regulatory staff complement, by function, and details of any material changes or reductions in regulatory staffing, by function, during the previous quarter.

5. Annual Reporting

IIROC will file on an annual basis with the Commission a report pertaining to IIROC's regulatory operations promptly after the report is reviewed or approved by IIROC's Board, board committees, or senior management, as the case may be, containing at a minimum the following documents:

- a. the self-assessment referred to in term and condition 7(h) of Appendix A to this Recognition Order. The self-assessment must contain information as specified by Commission staff from time to time and include the following information:
 - (i) an assessment of how IIROC is meeting its regulatory mandate, including an assessment against the recognition criteria in Schedule 1 to the Recognition Order and the terms and conditions in Appendix A to the Recognition Order;
 - (ii) an assessment against its strategic plan;
 - (iii) a description of trends seen as a result of compliance reviews, investigations and prosecutions conducted, and complaints received, including IIROC's plan to deal with any issues;
 - (iv) whether IIROC is meeting its benchmarks, and reasons for any benchmarks not being met;
 - (v) a description and update on significant projects undertaken by IIROC; and
 - (vi) a description of issues raised by any of the Recognizing Regulators, external auditors or internal audit, which are being tracked by IIROC's senior management, together with a summary of the progress made on their resolution; and
- b. certification by IIROC's Chief Executive Officer and General Counsel that IIROC is in compliance with the terms and conditions applicable to it in Appendix A to this Recognition Order.

6. Financial Reporting

- a. IIROC will file with the Commission unaudited quarterly financial statements with notes within 60 days after the end of each financial quarter.
- b. IIROC will file with the Commission audited annual financial statements accompanied by the report of an independent auditor within 90 days after the end of each fiscal year.

7. Other Reporting

- a. IIROC will provide the Commission on a timely basis with the following information and documents upon publication or completion of review and approval by IIROC's Board, board committees, or senior management, as the case may be:
 - (i) the results of any corporate governance review referred to in term and condition 5(a)(iii) of Appendix A to this Recognition Order;
 - (ii) material changes to the code of business ethics and conduct and the written policy about managing potential conflicts of interests of members of IIROC's Board;
 - (iii) changes in the members of IIROC's Board;
 - (iv) the financial budget for the current year, together with the underlying assumptions, that have been approved by IIROC's Board;
 - (v) the independent review report referred to in term and condition 10(b) of Appendix A to this Recognition Order;

- (vi) the results of benchmarking of surveillance systems and services referred to in term and condition 10(d) of Appendix A to this Recognition Order, together with a summary of the process undertaken and conclusions reached;
 - (vii) enterprise risk management reports, and any material changes to enterprise risk management methodology;
 - (viii) the internal audit charter, annual internal audit plan, and internal audit reports;
 - (ix) the annual report for the current year;
 - (x) the compliance examination plan for the current year;
 - (xi) material changes to the compliance or enforcement processes or scope of work, including risk assessment models for:
 - (A) Financial and Operations Compliance;
 - (B) Business Conduct Compliance; and
 - (C) Trading Conduct Compliance.
- b. IIROC will provide the Commission with reasonable prior notice of any document that it intends to publish or issue to the public or to any class of members which, in the opinion of IIROC, could have a significant impact on:
- (i) its members and others subject to its jurisdiction; or
 - (ii) the capital markets generally.
- c. IIROC will, upon request, provide the Commission with the following information and documents as soon as practicable:
- (i) information concerning closed investigations or prosecutions which did not lead to disciplinary or settlement proceedings including the final investigation report and recommendation memorandum; and
 - (ii) information concerning enforcement matters that resulted in disciplinary or settlement proceedings including the final penalty memorandum.

2.2.2 Mutual Fund Dealers Association of Canada (MFDA) – s. 144

Headnote

Variation and restatement of the MFDA recognition order to clarify and update terms and conditions of recognition and reporting requirements.

Statutes Cited

Securities Act, R.S.O. 1990, c. S.5, as am., s. 144.

**IN THE MATTER OF
THE SECURITIES ACT,
R.S.O 1990, CHAPTER S.5, AS AMENDED
(the "Act")**

AND

**IN THE MATTER OF
MUTUAL FUND DEALERS ASSOCIATION OF CANADA/
ASSOCIATION CANADIENNE DES COURTIER DE FONDS MUTUELS
(THE "MFDA")**

**VARIATION AND RESTATEMENT OF RECOGNITION ORDER
(Section 144)**

WHEREAS the Commission issued an order dated February 6, 2001, as amended on March 30, 2004, November 3, 2006, October 28, 2008, December 12, 2008, October 29, 2014, and March 9, 2018, recognizing the MFDA as a self-regulatory organization for mutual fund dealers pursuant to section 21.1 of the Act ("Previous Order");

AND WHEREAS the Recognizing Regulators entered into a Memorandum of Understanding regarding oversight of the MFDA effective October 2, 2013;

AND WHEREAS the Recognizing Regulators have entered into a new Memorandum of Understanding regarding oversight of the MFDA effective April 1, 2021 (MOU), which includes a Joint Rule Review Protocol (JRRP) for review and approval of, or non-objection to, Rule Changes (as defined in the MOU) of the MFDA;

AND WHEREAS the Commission has determined that it is not prejudicial to the public interest to issue an order that varies and restates the Previous Order to amend Schedule A and Appendix A to clarify and update the terms and conditions of the MFDA's recognition as a self-regulatory organization;

IT IS ORDERED pursuant to section 144 of the Act that the Previous Order be varied and restated as follows:

**IN THE MATTER OF
THE SECURITIES ACT,
R.S.O. 1990, CHAPTER S.5, AS AMENDED
(the "Act")**

AND

**IN THE MATTER OF
MUTUAL FUND DEALERS ASSOCIATION OF CANADA/
ASSOCIATION CANADIENNE DES COURTIER DE FONDS MUTUELS
(the "MFDA")**

**RECOGNITION ORDER
(Section 21.1)**

WHEREAS the Commission recognized the MFDA as a self-regulatory organization for mutual fund dealers by an order dated February 6, 2001, as amended on March 30, 2004, November 3, 2006, October 28, 2008, December 12, 2008, October 29, 2014, and March 9, 2018 ("Previous Order"), subject to terms and conditions;

AND WHEREAS the MFDA will continue to regulate, in accordance with its by-laws, rules, regulations, policies, forms, and other similar instruments ("Rules"), the operations and the standards of practice and business conduct of its members and their Approved Persons as defined under its Rules;

AND WHEREAS the Commission is satisfied that continuing to recognize the MFDA would not be prejudicial to the public interest;

THE COMMISSION HEREBY VARIES AND RESTATES the MFDA's recognition as a self-regulatory organization so that the recognition pursuant to section 21.1 of the Act continues, subject to the terms and conditions set out in Schedule A.

Dated February 6, 2001, as amended on March 30, 2004, November 3, 2006, October 28, 2008, December 12, 2008, October 29, 2014, March 9, 2018, and October 22, 2020 to be effective on April 1, 2021.

"Cecilia Williams"
Commissioner
Ontario Securities Commission

"Garnet Fenn"
Commissioner
Ontario Securities Commission

SCHEDULE A

**TERMS AND CONDITIONS OF
RECOGNITION OF THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA AS
A SELF-REGULATORY ORGANIZATION FOR MUTUAL FUND DEALERS**

1. Definitions

For the purposes of this Schedule:

"Approved Person" has the same meaning as that under the MFDA rules, as amended by the MFDA and approved by the Commission from time to time;

"member" means a member of the MFDA;

"MFDA IPC" means MFDA Investor Protection Corporation;

"rules" means the by-laws, rules, regulations, policies, forms, and other similar instruments of the MFDA; and

"securities legislation" has the same meaning as that defined in National Instrument 14-101.

2. Status

The MFDA is and shall remain a not-for-profit corporation.

3. Corporate Governance

(A) The MFDA's arrangements with respect to the appointment, removal from office and functions of the persons ultimately responsible for making or enforcing the rules of the MFDA, being the Board of Directors (the "Board"), shall secure a proper balance between the interests of the different members of the MFDA in order to ensure diversity of representation on the Board. In recognition that the protection of the public interest is a primary goal of the MFDA, a reasonable number and proportion of directors on the Board and on the committees of the Board shall be and remain during their term of office Public Directors as defined in By-law No. 1 of the MFDA.

(B) The MFDA's governance structure shall provide for:

- (i) at least 50% of its directors, other than its President and Chief Executive Officer, shall be Public Directors;
- (ii) the President and Chief Executive Officer of the MFDA is deemed to be neither a Public Director nor a non-Public Director;
- (iii) appropriate representation of Public Directors on committees and bodies of the Board, in particular:
 - (a) at least 50% of directors on the governance committee of the Board shall be Public Directors,
 - (b) a majority of directors on the audit committee of the Board shall be Public Directors,
 - (c) at least 50% of directors on the executive committee of the Board, if any, shall be Public Directors,
 - (d) meetings of the Board shall have a quorum requirement of a reasonable number and proportion of Public Directors and non-Public Directors, with at least two Public Directors, and
 - (e) meetings of any committee or body of the Board shall have a quorum requirement of a reasonable number and proportion of Public Directors and non-Public Directors, provided that if the committee or body has Public Directors then the quorum must require at least one Public Director be present;
- (iv) the remaining number of directors serving on the Board and on the above referred to committees and bodies of the Board, shall consist of directors representing the different members of the MFDA to ensure diversity of representation on the Board in accordance with paragraph (A);
- (v) appropriate qualification, remuneration, and conflict of interest provisions and provisions with respect to the limitation of liability of and indemnification protection for directors, officers and employees of the MFDA; and

- (vi) a chief executive officer and other officers, all of whom, except for the chair of the Board, are independent of any member.

4. Fees

- (A) Any and all fees imposed by the MFDA on its members shall be equitably allocated and bear a reasonable relation to the costs of regulating members, carrying out the MFDA's objects and protecting the public interest. Fees shall not have the effect of creating unreasonable barriers to membership and shall be designed to ensure that the MFDA has sufficient revenues to discharge its responsibilities.
- (B) The MFDA's process for setting fees shall be fair, transparent, and appropriate.

5. Compensation or Contingency Trust Funds

The MFDA shall co-operate with and assist the MFDA IPC and any compensation funds or contingency trust funds that are from time to time considered by the Commission under securities legislation to be compensation funds or contingency trust funds for mutual fund dealers. The MFDA shall ensure that its rules give it the power to assess members, and require members to pay such assessments, on account of assessments or levies made by or in respect of the MFDA IPC.

6. Membership Requirements

- (A) The MFDA's rules shall permit all properly registered mutual fund dealers who satisfy the membership criteria to become members thereof and shall provide for the non-transferability of membership.
- (B) Without limiting the generality of the foregoing, the MFDA's rules shall provide for:
 - (i) reasonable financial and operational requirements, including minimum capital and capital adequacy, debt subordination, bonding, insurance, record-keeping, new account, knowledge of clients, suitability of trades, supervisory practices, segregation, protection of clients' funds and securities, operation of accounts, risk management, internal control and compliance (including a written compliance program), client statement, settlement, order taking, order processing, account inquiries, confirmation and back office requirements;
 - (ii) reasonable proficiency requirements (including training, education and experience) with respect to Approved Persons of members;
 - (iii) consideration of disciplinary history, including breaches of applicable securities legislation, the rules of other self-regulatory organizations or MFDA rules, prior involvement in criminal, relevant quasi-criminal, administrative or insolvency proceedings or civil proceedings involving business conduct or alleging fraudulent conduct or deceit, and prior business and other conduct generally, of applicants for membership and any partners, directors and officers, in order that membership may, where appropriate, be refused where any of the foregoing have previously engaged in improper conduct, and shall be refused where the past conduct of any of the foregoing affords reasonable grounds for belief that the applicant's business would not be conducted with integrity;
 - (iv) reasonable consideration of relationships with other members and other business activities to ensure the appropriateness thereof; and
 - (v) consideration of the ownership of applicants for membership under the criteria established in paragraph 6(E).
- (C) The MFDA shall require members to confirm to the MFDA that persons that it wishes to sponsor, employ or associate with as Approved Persons comply with applicable securities legislation and are properly registered.
- (D) The MFDA rules shall require a member to give prior notice to the MFDA before any person or company acquires a material registered or beneficial interest in securities or indebtedness of or any other ownership interest in the member, directly or indirectly, or becomes a transferee of any such interests, or before the member engages in any business combination, merger, amalgamation, redemption or repurchase of securities, dissolution or acquisition of assets. In each case there may be appropriate exceptions in the case of publicly traded securities, de minimis transactions that do not involve changes in de facto or legal control or the acquisitions of material interests or assets, and non-participating indebtedness.
- (E) The MFDA rules shall require approval by the MFDA in respect of all persons or companies proposing to acquire an ownership interest in a member in the circumstances outlined in paragraph 6(D) and, except as provided in paragraph 6(F), for approval of all persons or companies that satisfy criteria providing for:

- (i) consideration of disciplinary history, including breaches of applicable securities legislation, the rules of other self-regulatory organizations or MFDA rules, involvement in criminal, relevant quasi-criminal, administrative or insolvency proceedings or civil proceedings involving business conduct or alleging fraudulent conduct or deceit, and prior business and other conduct generally; and
 - (ii) reasonable consideration of relationships with other members and involvement in other business activities to ensure the appropriateness thereof.
- (F) The MFDA rules shall give the MFDA the right to refuse approval of all persons or companies that are proposing to acquire an ownership interest in a member in the circumstances outlined in paragraph 6(D) who do not agree to:
- (i) submit to the jurisdiction of the MFDA and comply with its rules;
 - (ii) notify the MFDA of any changes in his, her or its relationship with the member or of any involvement in criminal, relevant quasi-criminal, administrative or insolvency proceedings or in civil proceedings involving business conduct or alleging fraudulent conduct or deceit;
 - (iii) accept service by mail in addition to any other permitted methods of service;
 - (iv) authorize the MFDA to co-operate with other regulatory and self-regulatory organizations, including sharing information with these organizations; and
 - (v) provide the MFDA with such information as it may from time to time request and full access to and copies of any records.

7. Compliance by Members with MFDA Rules

- (A) The MFDA shall enforce, as a matter of contract between itself and its members, compliance by its members and their Approved Persons with the rules of the MFDA and, to assist the Commission with carrying out its regulatory mandate, the MFDA shall cooperate with the Commission in ensuring compliance with applicable securities legislation relating to the operations, standards of practice and business conduct of members and Approved Persons, without prejudice to any action that may be taken by the Commission under securities legislation.
- (B) The MFDA shall conduct periodic reviews of its members and the members' Approved Persons to ensure compliance by its members and the members' Approved Persons with the rules of the MFDA and shall conduct such reviews at a frequency requested by the Commission or its staff. The MFDA shall also cooperate with the Commission in the conduct of reviews of its members and the members' Approved Persons as requested by the Commission or its staff, to ensure compliance by its members and their Approved Persons with applicable securities legislation.
- (C) The MFDA shall promptly advise the MFDA IPC of any actual or apparent material breach of the rules thereof of which the MFDA becomes aware.

8. Discipline of Members and Approved Persons

- (A) The MFDA shall, as a matter of contract, have the right to and shall appropriately discipline its members and their Approved Persons for violations of the rules of the MFDA and, to assist the Commission with carrying out its regulatory mandate, shall cooperate with the Commission in the enforcement of applicable securities legislation relating to the operations, standards of practice and business conduct of the members and Approved Persons, without prejudice to any action that may be taken by the Commission under securities legislation.
- (B) The MFDA rules shall enable it to prevent the resignation of a member from the MFDA if the MFDA considers that any matter affecting the member or any registered or beneficial holder of a direct or indirect ownership interest in securities, indebtedness or other interests in the member, or in a person or company associated or affiliated with the member or affecting the member's Approved Persons or any of them, should be investigated or that the member or any such person, company or Approved Person should be disciplined.
- (C) The MFDA shall require its members and their Approved Persons to be subject to the MFDA's review, enforcement and disciplinary procedures.
- (D) The MFDA shall notify the public and the media
 - (i) of any disciplinary or settlement hearing, as soon as practicable and in any event not less than 14 days prior to the date of the hearing, and

- (ii) of the disposition of any disciplinary action or settlement, including any discipline imposed, and shall promptly make available any written decision and reasons.
- (E) Any notification required under paragraph 8 (D) shall include, in addition to any other information specified in paragraph 8 (D), the names of the member and the relevant Approved Persons together with a summary of circumstances that gave rise to the proceedings.
- (F) The MFDA shall maintain a register to be made available to the public, summarizing the information which is required to be disclosed under paragraphs 8 (D) and (E).
- (G) The MFDA shall at least annually review all material settlements involving its members or their Approved Persons and their clients with a view to determining whether any action is warranted, and the MFDA shall prohibit members and their Approved Persons from imposing confidentiality restrictions on clients vis-à-vis the MFDA or the Commission, whether as part of a resolution of a dispute or otherwise.
- (H) Disciplinary and settlement hearings shall be open to the public and media except where confidentiality is required for the protection of confidential matters. The criteria and any changes thereto for determining these exceptions shall be specified and submitted to the Commission for approval.

9. Due Process

The MFDA shall ensure that the requirements of the MFDA relating to admission to membership, the imposition of limitations or conditions on membership, denial of membership and termination of membership are fair and reasonable, including in respect of notice, an opportunity to be heard or make representations, the keeping of a record, the giving of reasons and provision for appeals.

10. Use of Fines and Settlements

All fines collected by the MFDA and all payments made under settlement agreements entered into with the MFDA may be used only as follows:

- (A) as approved by the MFDA's Board,
 - (i) for funding the MFDA IPC;
 - (ii) for the development of systems or other expenditures that are necessary to address emerging regulatory issues and are directly related to protecting investors or the integrity of the capital markets, provided that any such use does not constitute normal course operating expenses;
 - (iii) for education or research projects that are directly relevant to the investment industry, are in the public interest, and which benefit the public or the capital markets;
 - (iv) to contribute to a non-profit, tax-exempt organization, the purposes of which include protection of investors, or those described in paragraph (A)(iii);
 - (v) for such other purposes as may be subsequently approved by the Commission; or
- (B) for reasonable costs associated with the administration of the MFDA's hearing panels.

11. Purpose of Rules

- (A) The MFDA shall, subject to the terms and conditions of its recognition and the jurisdiction and oversight of the Commission in accordance with securities legislation, establish such rules as are necessary or appropriate to govern and regulate all aspects of its business and affairs and shall in so doing:
 - (i) seek to ensure compliance by members and their Approved Persons with applicable securities legislation relating to the operations, standards of practice and business conduct of the members;
 - (ii) seek to prevent fraudulent and manipulative acts and practices and to promote the protection of investors, just and equitable principles of trade and high standards of operations, business conduct and ethics;
 - (iii) seek to promote public confidence in and public understanding of the goals and activities of the MFDA and to improve the competence of members and their Approved Persons;
 - (iv) seek to standardize industry practices where appropriate for investor protection;

- (v) seek to provide for appropriate discipline;

and shall not:

- (vi) permit unfair discrimination among investors, mutual funds, members or others; or
 - (vii) impose any barrier to competition that is not appropriate.
- (B) Unless otherwise approved by the Commission, the rules of the MFDA governing the conduct of member business regulated by the MFDA shall afford investors protection at least equivalent to that afforded by securities legislation, provided that higher standards in the public interest shall be permitted and are encouraged.

12. Rules and Rule-Making

MFDA will comply with the process for filing and obtaining Commission approval for by-laws, Rules and any amendments to by-laws or Rules as outlined in the JRRP, as amended from time to time.

13. Operational Arrangements and Resources

- (A) The MFDA shall have adequate arrangements and resources for the effective monitoring and enforcement of compliance with its rules. With the consent of the Commission, the arrangements for monitoring and enforcement may make provision for the following:
- (i) one or more parts of those functions to be performed (and without affecting its responsibility) by another body or person that is able and willing to perform it; and
 - (ii) its members and their Approved Persons to be deemed to be in compliance with its rules by complying with the substantially similar rules of such other body or person.

The Commission's consent may be varied or revoked from time to time and may be subject to terms and conditions.

- (B) The MFDA shall respond promptly and effectively to public inquiries and generally shall have effective arrangements for the investigation of complaints (including anonymous complaints) against its members or their Approved Persons. With the consent of the Commission, such arrangements may make provision for one or more parts of that function to be performed on behalf of the MFDA (and without affecting its responsibility) by another body or person that is able and willing to perform it. The Commission's consent may be varied or revoked from time to time and may be subject to terms and conditions. The MFDA and any other body or person performing such function on behalf of the MFDA shall not refrain from investigating complaints due to the anonymity of the complainant where the complaint is otherwise worthy of investigation and sufficiently detailed to permit investigation.
- (C) The MFDA shall ensure that it is accessible to the public and shall designate and make available to the public the names and telephone numbers of persons to be contacted for various purposes, including making complaints and enquiries.
- (D) The arrangements and resources referred to in paragraphs (A) and (B) above shall consist at a minimum of:
- (i) a sufficient complement of qualified staff, including professional and other appropriately trained staff;
 - (ii) an adequate supervisory structure;
 - (iii) adequate management information systems;
 - (iv) a compliance department and an enforcement department with appropriate reporting structures directly to senior management, and with written procedures wherever practicable;
 - (v) procedures and structures that minimize or eliminate conflicts of interest within the MFDA;
 - (vi) inquiry and complaint procedures and a public information facility, including with respect to the discipline history of members and their Approved Persons;
 - (vii) guidelines regarding appropriate disciplinary sanctions; and
 - (viii) the capacity and expertise to hold disciplinary hearings (including regarding proposed settlements) utilizing public representatives within the meaning of the current section 19.5 of the MFDA's By-law No. 1 together with member representatives.

- (E) The MFDA shall cooperate and assist with any reviews, scheduled or unscheduled, of its self-regulatory functions by the MFDA IPC or the Commission. In addition, in the event that the Commission is of the view that there has been a serious actual or apparent failure in the MFDA's fulfilment of its self-regulatory functions, the MFDA shall, where requested by the Commission, undergo an independent third-party review on terms and by a person or persons satisfactory to or determined by the Commission, which review shall be at the expense of the MFDA.
- (F) The MFDA shall cooperate and assist with any reviews, scheduled or unscheduled, of its corporate governance structure by the Commission. In addition, in the event that the Commission is of the view that there has been a serious weakness in the MFDA's corporate governance structure, the MFDA shall upon the request of the Commission undergo an independent third-party review on terms and by a person or persons satisfactory to or determined by the Commission, which review shall be at the expense of the MFDA.
- (G) The MFDA shall not make material changes to its organizational structure, which would affect its self-regulatory functions, without prior approval of the Commission.
- (H) The MFDA shall comply with reporting requirements set out in Appendix A, as amended from time to time by the Commission or its staff. The MFDA shall also provide the Commission with other reports, documents and information as the Commission or its staff may request.

14. Capacity and Integrity of CE Tracking System

- (A) The MFDA must ensure that its Continuing Education (CE) Tracking System, has
 - (i) appropriate internal controls to ensure integrity and security of information; and
 - (ii) has reasonable and sufficient capacity, and backup to enable the MFDA to properly carry on its business.
- (B) The MFDA must on a reasonably frequent basis, and at least biennially, cause a report to be prepared in accordance with established audit standards by a qualified party which provides details of a review designed to ensure that the CE Tracking System has an adequate system of internal controls (including, but not limited to, integration into the MFDA business continuity and disaster recovery plans).
- (C) Before finalizing any engagement to prepare the report described in (B), the MFDA must discuss the choice of qualified party and scope of the review with the Commission.

15. Information Sharing

The MFDA shall assist and cooperate with, by sharing information and otherwise, the MFDA IPC, the Commission and its staff, and other Canadian federal, provincial and territorial recognized self-regulatory organizations and regulatory authorities, including without limitation, those responsible for the supervision or regulation of securities firms, financial institutions, insurance matters and competition matters. The Commission and its staff shall have unrestricted access to the books and records, management, staff and systems of the MFDA.

APPENDIX A
REPORTING REQUIREMENTS

1. Prior Notification

The MFDA will provide the Commission with at least twelve months' written notice prior to completing any transaction that would result in the MFDA:

- (a) ceasing to perform its services;
- (b) discontinuing, suspending or winding-up all or a significant portion of its operations; or
- (c) disposing of all or substantially all of its assets.

2. Immediate Notification

The MFDA will immediately notify the Commission of the following events:

- (a) the admission of a new member, including the member's name, and any terms and conditions that are imposed on the member;
- (b) members whose rights and privileges or membership will be suspended or terminated, including:
 - (i) the member's name;
 - (ii) the reasons for the proposed suspension or termination; and
 - (iii) a description of the steps being taken to ensure that the member's clients are being dealt with appropriately;
- (c) receipt of a member's intention to resign;
- (d) receipt of an application for a Board exemption or amendment to a Board exemption that could have a significant impact on:
 - (i) MFDA members and others subject to the MFDA's jurisdiction, or
 - (ii) the capital markets generally including, for greater clarity, certain stakeholders or sectors.

The notice required by this section, other than in (d), may be provided by the MFDA issuing a public notice containing the information, provided that such public notice will be issued immediately after the decision is made for admission, suspension or termination of membership and immediately after receipt of a notice of intention to resign, as the case may be.

3. Prompt Notification

The MFDA will provide the Commission with prompt notice of the following events and situations, and in each case describe the circumstances that gave rise to the reportable event or situation, the MFDA's proposed response to ensure resolution, and, if appropriate, provide timely updates:

- (a) situations that would reasonably be expected to raise concerns about the MFDA's financial viability, including but not limited to, an inability to meet its expected expenses for the next quarter or the next year;
- (b) any determination by the MFDA, or notification from any of the Recognizing Regulators, that the MFDA is not or will not be in compliance with one or more of the terms and conditions of its recognition in any jurisdiction;
- (c) any material violations of securities legislation of which the MFDA becomes aware in the ordinary course operation of its business;
- (d) any breach of security safeguards involving information under the MFDA's control if it is reasonable in the circumstances to believe that the breach creates a real risk of significant harm to investors, issuers, registrants, other market participants, the MFDA, the MFDA IPC, or the capital markets;
- (e) actual or apparent misconduct or non-compliance by members, Approved Persons, or others, where investors, clients, creditors, members, the MFDA IPC or the MFDA may reasonably be expected to suffer serious damage as a consequence thereof, including but not limited to:

- (i) where fraud appears to be present; or
- (ii) where serious deficiencies in supervision or internal controls exist;
- (f) situations that would reasonably be expected to raise concerns about a member's continued viability, including but not limited to, capital deficiency, early warning, and any condition which, in the opinion of the MFDA, could give rise to payments being made out of the MFDA IPC, including any condition which, alone or together with other conditions, could, if appropriate corrective action is not taken, reasonably be expected to:
 - (i) inhibit the member from promptly completing securities transactions, promptly segregating clients' securities as required or promptly discharging its responsibilities to clients, other members, or creditors;
 - (ii) result in material financial loss to the member or its clients; or
 - (iii) result in material misstatement of the member's financial statements;
- (g) any action taken by the MFDA with respect to a member in financial difficulty;
- (h) any terms and conditions imposed, varied or removed by the MFDA relating to a member;
- (i) any enforcement agreement and undertaking entered into, varied or rescinded at the MFDA's request relating to a member.

4. Quarterly Reporting

The MFDA will file on a quarterly basis with the Commission a report pertaining to the MFDA's regulatory operations promptly after the report is reviewed or approved by the MFDA's Board, board committees, or senior management, as the case may be, containing at a minimum the following information and documents:

- (a) a summary of ongoing initiatives, policy changes, and emerging or key issues that arose in the previous quarter for each of the MFDA's regulatory operations;
- (b) a summary of all compliance examinations in progress or completed during the previous quarter, and all compliance examinations scheduled to be commenced in the upcoming quarter by the MFDA office and department, including information on repeat or significant deficiencies;
- (c) a summary of all discretionary exemptions granted to individuals and members during the previous quarter;
- (d) summary statistics for the previous quarter regarding all client complaints, and complaints received from other sources including, but not limited to, any other securities regulatory authority;
- (e) summary statistics by MFDA office for the previous quarter regarding the caseload for each of case assessment, investigations, and prosecutions, including the length of time the files have been open;
- (f) a summary of enforcement files that were referred to any of the Recognizing Regulators during the previous quarter; and
- (g) the MFDA's regulatory staff complement, by function, and details of any material changes or reductions in regulatory staffing, by function, during the previous quarter.

5. Annual Reporting

The MFDA will file on an annual basis with the Commission a report pertaining to the MFDA's regulatory operations promptly after the report is reviewed or approved by the MFDA's Board, board committees or senior management, as the case may be, containing at a minimum the following documents:

- (a) a self-assessment containing information as specified by Commission staff from time to time and include the following information:
 - (i) an assessment of how the MFDA is meeting its regulatory mandate, including an assessment against the recognition criteria and the terms and conditions in Schedule A to the Recognition Order;
 - (ii) an assessment against its strategic plan;
 - (iii) a description of trends seen as a result of compliance reviews, investigations and prosecutions conducted, and complaints received, including the MFDA's plan to deal with any issues;
 - (iv) whether the MFDA is meeting its benchmarks, and reasons for any benchmarks not being met;

- (v) a description and update on significant projects undertaken by the MFDA; and
 - (vi) a description of issues raised by any of the Recognizing Regulators, external auditors or internal audit, which are being tracked by the MFDA's senior management, together with a summary of the progress made on their resolution; and
- (b) certification by the MFDA's Chief Executive Officer and General Counsel that the MFDA is in compliance with the terms and conditions applicable to it in Schedule A to this Recognition Order.

6. Financial Reporting

- (a) The MFDA will file with the Commission unaudited quarterly financial statements with notes within 60 days after the end of each financial quarter.
- (b) The MFDA will file with the Commission audited annual financial statements accompanied by the report of an independent auditor within 90 days after the end of each fiscal year.

7. Other Reporting

- (a) The MFDA will provide the Commission on a timely basis with the following information and documents upon publication or completion of review and approval by the MFDA's Board, board committees, or senior management, as the case may be:
 - (i) the results of any corporate governance review referred to in term and condition 13(F) of Schedule A to this Recognition Order;
 - (ii) material changes to the code of business ethics and conduct and the written policy about managing potential conflicts of interests of members of the MFDA's Board;
 - (iii) changes in the members of the MFDA's Board;
 - (iv) the financial budget for the current year, together with the underlying assumptions, that have been approved by the MFDA's Board;
 - (v) enterprise risk management reports, and any material changes to enterprise risk management methodology;
 - (vi) the internal audit charter, annual internal audit plan, and internal audit reports, or similar interval review documents;
 - (vii) the annual report for the current year;
 - (viii) material changes to the compliance or enforcement processes or scope of work, including risk assessment models for:
 - (A) Financial Compliance;
 - (B) Sales Compliance; and
 - (C) Enforcement.
- (b) The MFDA will provide the Commission with reasonable prior notice of any document that it intends to publish or issue to the public, or to any class of members which, in the opinion of the MFDA, could have a significant impact on:
 - (i) its members and others subject to its jurisdiction; or
 - (ii) the capital markets generally.
- (c) The MFDA will, upon request, provide the Commission with the following information and documents as soon as practicable:
 - (i) information concerning closed investigations or prosecutions which did not lead to disciplinary or settlement proceedings including the final investigation report and recommendation memorandum; and
 - (ii) information concerning enforcement matters that resulted in disciplinary or settlement proceedings including the final investigation report and recommendation memorandum.

2.2.3 TORC Oil & Gas Ltd.

Headnote

Application for an order that the issuer is not a reporting issuer under applicable securities laws – requested relief granted.

Applicable Legislative Provisions

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

Citation: *Re TORC Oil & Gas Ltd.*, 2021 ABASC 30

March 17, 2021

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

AND

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

AND

**IN THE MATTER OF
TORC OIL & GAS LTD.
(the Filer)**

ORDER

Background

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

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

- (a) The Alberta Securities Commission is the principal regulator for this application;
- (b) the Filer has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 – *Passport System (MI 11-102)* is intended to be relied upon in British Columbia, Saskatchewan, Manitoba, Québec, New Brunswick, Prince Edward Island, Nova Scotia and Newfoundland and Labrador; and
- (c) this order is the order 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 order, unless otherwise defined.

Representations

This order is based on the following facts represented, on behalf of the Filer, by Whitecap Resources Inc. (**Whitecap**) as the successor of the Filer by way of amalgamation:

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

Order

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

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

“Tom Graham”, CPA, CA
Director
Corporate Finance

2.2.4 ProSmart Enterprises Inc.

Citation: 2020 BCSECCOM 478

**PROSMART ENTERPRISES INC.
UNDER THE SECURITIES LEGISLATION OF
BRITISH COLUMBIA AND ONTARIO
(the Legislation)**

REVOCATION ORDER

Background

- ¶ 1 ProSmart Enterprises Inc. (the Issuer) is subject to a failure-to-file cease trade order (the FFCTO) issued by the regulator or securities regulatory authority in each of British Columbia (the **Principal Regulator**) and Ontario (each a Decision Maker) respectively on February 1, 2019.
- ¶ 2 The Issuer has applied to each of the Decision Makers under National Policy 11-207 Failure-to-File Cease Trade Orders and Revocation in Multiple Jurisdictions (NP 11-207) for an order revoking the FFCTOs.
- ¶ 3 This order is the order of the Principal Regulator and evidences the decision of the Decision Maker in Ontario.

Interpretation

- ¶ 4 Terms defined in National Instrument 14-101 *Definitions* or in NP 11-207 have the same meaning if used in this order, unless otherwise defined.

Order

- ¶ 5 Each of the Decision Makers is satisfied that the order to revoke the FFCTO meets the test set out in the Legislation for the Decision Maker to make the decision.
- ¶ 6 The decision of the Decision Makers under the Legislation is that the FFCTO is revoked, as it applies to the Issuer.
- ¶ 7 November 27, 2020

"Allan Lim", CPA, CA
Manager
Corporate Finance

2.2.5 TMAC Resources Inc. – s. 1(6) of the OBCA

Headnote

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

Applicable Legislative Provisions

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

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

AND

**IN THE MATTER OF
TMAC RESOURCES INC.
(the Applicant)**

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

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

AND UPON the Applicant having represented to the Commission that:

1. The Applicant is an "offering corporation" as defined in subsection 1(1) of the OBCA.
2. The Applicant has no intention to seek public financing by way of an offering of securities.
3. On February 11, 2021 the Applicant was granted an order (the **Reporting Issuer Order**) pursuant to subclause 1(10)(a)(ii) of the *Securities Act* (Ontario) that it is not a reporting issuer in Ontario and is not a reporting issuer or the equivalent in any other jurisdiction in Canada in accordance with the simplified procedure set out in National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications*. The representations set out in the Reporting Issuer Order continue to be true.

AND UPON the Commission being satisfied that to grant this order would not be prejudicial to the public interest;

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

DATED at Toronto, Ontario this 18th day of February, 2021.

"Frances Kordyback"
Commissioner
Ontario Securities Commission

"Raymond Kindiak"
Commissioner
Ontario Securities Commission

2.2.6 Plant & Company Brands Group Inc.

Headnote

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

Applicable Legislative Provisions

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

March 16, 2021

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

AND

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

AND

IN THE MATTER OF
PLANT & COMPANY BRANDS GROUP INC.
(the Filer)

ORDER

Background

¶ 1 The securities regulatory authority or regulator in each of the Jurisdictions (Decision Maker) has received an application from the Filer for an order under the securities legislation of the Jurisdictions (the Legislation) that the Filer has ceased to be a reporting issuer in all jurisdictions of Canada in which it is a reporting issuer (the Order Sought).

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

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

Interpretation

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

Representations

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

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

Order

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

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

“Noreen Bent”
Chief, Corporate Finance Legal Services
British Columbia Securities Commission

Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Ardenton Financial Inc. – s. 28

**IN THE MATTER OF
THE REGISTRATION OF
ARDENTON FINANCIAL INC.**

**SUSPENSION OF REGISTRATION
UNDER SECTION 28 OF
THE SECURITIES ACT,
R.S.O. 1990, C. S.5, AS AMENDED**

1. Ardenton Financial Inc. (**Ardenton** or the **Firm**) is registered under the *Securities Act* (Ontario) (the **Act**) as a dealer in the category of exempt market dealer.
2. Ardenton was also registered under the securities laws of Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Prince Edward Island, Quebec, and Saskatchewan.
3. On March 5, 2021, Ardenton informed its principal regulator, the British Columbia Securities Commission (**BCSC**) that Ardenton Capital Corporation, an issuer that is related to Ardenton and the source of Ardenton's income, had petitioned for protection from its creditors under the *Companies' Creditors' Arrangement Act*, R.S.C. 1985, c. C-36. As a result, Ardenton had ceased conducting registrable activities.
4. On March 8, 2021, Ardenton consented to the suspension of its registration in British Columbia, Alberta, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Prince Edward Island, Quebec, and Saskatchewan, at the request of staff of the BCSC.
5. On March 8, 2021, the Executive Director of the BCSC accepted the recommendation of staff of the BCSC, with the consent of Ardenton, and suspended Ardenton's registration and suspended the Firm's registration in British Columbia, Alberta, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Prince Edward Island, Quebec, and Saskatchewan.
6. On March 12, 2021, Elizabeth King, Deputy Director, Registrant Conduct, Compliance and Registrant Regulation Branch, on behalf of staff of the Ontario Securities Commission (**Staff**), wrote to Ardenton. This letter stated that Staff had recommended to the Director that the registration of the firm be suspended (the **Notice**) on the basis that it would be objectionable for the firm to remain registered in Ontario when its registration has been suspended in the other Canadian jurisdictions in which it was registered.
7. The Notice advised Ardenton that it was entitled to an opportunity to be heard before the Director decided to accept Staff's recommendation.
8. On March 12, 2021, Ardenton advised Staff that it was not objecting to Staff's recommendation to suspend its registration.

Decision

9. My decision is that the registration of Ardenton be suspended, effective March 15, 2021.

March 15, 2021.

"Jeff Scanlon"
Manager, Registration
Compliance and Registrant Regulation Branch

3.1.2 Bardya Ziaian – s. 21.7

Citation: Ziaian (Re), 2021 ONSEC 9

Date: 2021-03-17

File No.: 2020-34

IN THE MATTER OF
BARDYA ZIAIAN

REASONS AND DECISION
(Section 21.7 of the *Securities Act*, RSO 1990, c S.5)

Hearing:	November 12, 2020	
Decision:	March 17, 2021	
Panel:	Timothy Moseley	Vice-Chair and Chair of the Panel
Appearances:	Joseph Groia Trevor Fairlie	For Bardya Ziaian
	Sylvia Samuel Andrew Werbowski	For Staff of the Investment Industry Regulatory Organization of Canada
	Gavin Mackenzie Alexandra Matushenko	For Staff of the Commission

REASONS AND DECISION

I. OVERVIEW

- [1] Mr. Ziaian applies to the Ontario Securities Commission to review a decision¹ of the Investment Industry Regulatory Organization of Canada (IIROC) about a proceeding brought by IIROC Staff against him.
- [2] The hearing on the merits of IIROC Staff's allegations has not started. It was initially to proceed as an oral hearing.
- [3] Before the IIROC hearing could begin, the COVID-19 pandemic intervened. IIROC decided that the hearing would instead proceed electronically. Mr. Ziaian objected, but IIROC overruled that objection. Mr. Ziaian asks the Commission to review that decision.
- [4] Mr. Ziaian argues that IIROC did not have authority to change the mode of the hearing over his objection. I disagree. I find that IIROC can hold the merits hearing as an electronic hearing. However, I reach that conclusion for reasons that differ in some respects from the IIROC hearing panel's reasons.

II. FACTUAL BACKGROUND

- [5] On July 31, 2019, IIROC Staff filed a Statement of Allegations against Mr. Ziaian. The following day, IIROC issued a Notice of Hearing, which advised that pursuant to s. 8409 of the *IIROC Rules of Practice and Procedure (IIROC Rules)*,² the merits hearing would be an oral hearing.
- [6] The merits hearing was initially scheduled for May 2020. However, as the widespread effects of the COVID-19 pandemic began to take hold, a pre-hearing conference was held. The merits hearing was adjourned to a date to be determined. The parties and the hearing panel reserved dates in October, although no order was made fixing those dates.
- [7] On August 26, IIROC's hearing co-ordinator advised the parties that the merits hearing could take place on the reserved dates, either by videoconference or at the offices of the court reporting service used by IIROC. The hearing co-ordinator asked whether the merits hearing would proceed on the dates the parties had reserved. IIROC Staff replied that the hearing should proceed by videoconference. Mr. Ziaian said that the hearing must be in person.
- [8] On August 27, IIROC's hearing co-ordinator confirmed to the parties that an electronic pre-hearing conference would take place on September 2. That conference proceeded as scheduled. At the conference, IIROC Staff advised that it was ready to proceed on the reserved dates.

¹ *Ziaian (Re)*, 2020 IIROC 34 (IIROC Decision)

² IIROC, online: <https://www.iiroc.ca/industry/rulebook/Documents/rule-8400.pdf>

- [9] On September 8, IIROC issued a *Pre-Hearing Conference Memorandum* signed by the hearing panel, which purported to confirm matters discussed at the pre-hearing conference. It stated that:
- a. Mr. Ziaian's request for "an oral in-person hearing" was denied;
 - b. Mr. Ziaian's request for an adjournment of the hearing to January 2021 was denied;
 - c. the hearing would be an electronic hearing;
 - d. the hearing would proceed on the reserved dates in October; and
 - e. if Mr. Ziaian wished to bring a motion asking for an adjournment and "an oral in-person hearing", he should do so expeditiously.
- [10] Mr. Ziaian says that he did not ask for an adjournment or an oral hearing, contrary to what the memorandum states.
- [11] On September 10, Mr. Ziaian filed a notice of motion with IIROC. He asked for an order that the merits hearing continue as an oral hearing or, in the alternative, that the proceeding be permanently stayed because IIROC had no jurisdiction to continue the merits hearing as an electronic hearing.
- [12] On September 23, the IIROC hearing panel heard the motion. The following day, it issued its decision, in which it dismissed Mr. Ziaian's motion and ordered that the merits hearing proceed on the reserved dates in October.
- [13] On September 30, Mr. Ziaian filed his application with the Commission to commence this proceeding. He asks the Commission to set aside the September 24 decision of the IIROC hearing panel and to order that the merits hearing be an in-person oral hearing.
- [14] On October 7, following an attendance that day by IIROC Staff and Mr. Ziaian, the IIROC hearing panel ordered that the merits hearing not proceed on the reserved dates, but rather on dates to be set following the issuance of this decision.

III. PRELIMINARY ISSUE – ROLE OF COMMISSION STAFF

- [15] Before I analyze the substantive issues raised by this application, I must address a preliminary issue raised by Mr. Ziaian about OSC Staff's role in this proceeding.
- [16] At midday on November 11, the day before the hearing, counsel for Mr. Ziaian wrote to the Registrar and to counsel for IIROC Staff and for OSC Staff. He advised that he intended to raise a preliminary issue at the hearing about whether OSC Staff has standing as a party in this proceeding. He had first informed OSC Staff the evening before of his intention to raise the issue.
- [17] At the hearing on November 12, I dismissed Mr. Ziaian's objection for the following reasons.
- [18] It is well established that OSC Staff is a party in proceedings of this kind.³
- [19] Furthermore, OSC Staff's role as a party to this proceeding was clear and undisputed no later than October 7, more than a month before this hearing. On that day, counsel for Mr. Ziaian wrote to the Registrar (with a copy to counsel for IIROC Staff and for OSC Staff), advising that "[c]ounsel for the Parties (Mr. Ziaian, IIROC Staff and OSC Staff)" had agreed on a schedule for the delivery of materials before the hearing. That schedule contemplated that OSC Staff, as one of the parties, would deliver its memorandum of fact and law by November 4.
- [20] The Commission issued an order on October 8 reflecting the agreed-upon schedule.⁴ The three parties delivered their materials by that schedule.
- [21] The parties exchanged correspondence on November 11, the day before the hearing. At approximately 5:00pm that day, counsel for Mr. Ziaian advised that "[t]his problem was caused entirely by [OSC] Staff making submissions in their factum that exceed any reasonable role that it can or should play." Counsel for Mr. Ziaian maintained that position at the hearing before me.
- [22] At the hearing, I declined Mr. Ziaian's invitation to rule formally on the reasonableness of OSC Staff's submissions. In particular, I declined to rule on whether any of those submissions went beyond Mr. Ziaian's suggested description of OSC Staff's role as an *amicus*, or friend of the tribunal. Even if some or all of the submissions were unreasonable or

³ See, e.g., *Derivative Services Inc (Re)*, (2001) 24 OSCB 4575 at para 34; *Market Regulation Services Inc (Re)*, 2009 ONSEC 37, (2009) 32 OSCB 8051 at para 11; *Hahn Investment Stewards & Co (Re)*, 2009 ONSEC 41, (2009) 32 OSCB 8683 at para 12; *CI Financial Corp (Re)*, 2011 ONSEC 27, (2011) 34 OSCB 10937 at para 11; *TD Securities Inc (Re)*, 2013 ONSEC 29, (2013) 36 OSCB 7492 at para 7

⁴ (2020) 43 OSCB 8066

excessive, that would not disqualify OSC Staff from being a party. It is open to me, as it would be to any hearing panel, to disregard submissions that cross the line.

[23] I conclude by finding that OSC Staff was properly a party from when Mr. Ziaian filed his application and that counsel for Mr. Ziaian agreed to that fact no later than October 7. There was no reasonable basis for Mr. Ziaian's counsel to resile from that agreement, particularly on the eve of the hearing. In any event, I have found no need to rely on OSC Staff's submissions in coming to my decision.

IV. ISSUES AND ANALYSIS

A. Introduction

[24] Before turning to the main issues, I set out the legal framework for this proceeding.

[25] Mr. Ziaian brings this application under s. 21.7 of the *Securities Act*,⁵ which provides that any person directly affected by a decision of a recognized self-regulatory organization may apply to the Commission for a review of that decision.

[26] On an application such as this, the Commission may confirm the IIROC decision or make such other decision as it considers proper.⁶ The Commission's review of an IIROC decision is a hearing *de novo* rather than an appeal. In other words, the Commission exercises original jurisdiction rather than a more limited appellate jurisdiction. The Commission need not defer to the IIROC hearing panel's decision.⁷

[27] Although such deference is not required, the Commission has chosen as a matter of practice to limit the circumstances under which it will substitute its own decision for that of a self-regulatory organization such as IIROC.⁸ This choice is consistent with the requirement in the Act that the Commission have regard to the fundamental principle that the Commission should "use the enforcement capability and regulatory expertise of recognized self-regulatory organizations."⁹

[28] The Commission has often stated¹⁰ that it will interfere with a decision of a self-regulatory organization only if:

- a. the hearing panel proceeded on an incorrect principle;
- b. the hearing panel erred in law;
- c. the hearing panel overlooked some material evidence;
- d. new and compelling evidence is presented to the Commission that was not presented to the hearing panel; or
- e. the hearing panel's perception of the public interest conflicts with that of the Commission.

B. Has Mr. Ziaian established that the Commission should interfere with the IIROC Decision?

[29] Mr. Ziaian submits that the first three of the above criteria are met in this case.

[30] As I have noted above, I reach the same conclusion as the IIROC hearing panel did, although I follow a different analytical path to that conclusion. I identify three aspects of the IIROC Decision that I would approach differently. It is a close call whether all three differences of view constitute errors. Still, I consider them sufficient, taken together, for me to exercise the original jurisdiction conferred by the Act.

[31] I respectfully depart from the IIROC panel's approach in the following ways.

[32] First, and most importantly, the IIROC panel's analysis of a respondent's entitlement about the hearing mode is perfunctory and confusing. In its brief reference to s. 8423(2)(i) of the IIROC Rules (which section prescribes a respondent's entitlement to be heard "in person" at a merits hearing), the panel presents a videoconference hearing and "an in-person hearing" as mutually exclusive alternatives. The panel states that the "sole difference between [a videoconference hearing] and an in-person hearing is the physicality of attending."¹¹

⁵ RSO 1990, c S.5

⁶ *Securities Act*, ss. 21.7(2) and 8(3)

⁷ *Johal v Funeral Services*, 2012 ONCA 785 at para 4

⁸ *Pariak-Lukic v Investment Industry Regulatory Organization of Canada*, 2016 ONSC 2564 (Div Ct) at para 14

⁹ Paragraph 4 of section 2.1 of the Act

¹⁰ See, e.g., *Canada Malting Co (Re)*, (1986) 9 OSCB 3565 at para 24; *Marek (Re)*, 2017 ONSEC 41, (2017) 40 OSCB 9167 at para 24

¹¹ IIROC Decision at para 34

- [33] The IIROC Rules contemplate three hearing modes: an “oral hearing”, an “electronic hearing”, and a “written hearing”. An “in-person hearing” is not among them.
- [34] It was a central question before the IIROC panel, and it is a central question before me, whether an electronic hearing conducted by videoconference would satisfy the “in person” requirement in the rule about a merits hearing. To present an electronic hearing and an “in-person hearing” as mutually exclusive is problematic, especially given the IIROC panel’s ultimate conclusion that the merits hearing could proceed electronically.
- [35] It may be that the IIROC panel meant “oral hearing” instead of “in-person hearing”. If so, then in my respectful view, while the panel’s analysis was correct (although misstated), the panel did not adequately confront the ordinary meaning of the words “in person” and whether it thought that the words could bear an interpretation that includes appearing by videoconference.
- [36] Whether or not the IIROC panel meant “oral hearing” instead of “in-person hearing”, the uncertainty and confusion remain. This alone is a sufficient basis for me to interfere with the IIROC panel’s decision.
- [37] My second point of divergence relates to the IIROC panel’s statement that Mr. Ziaian was effectively arguing that “the ultimate control of the hearing process for hearings on the merits lies with the Respondent, not the Panel.”¹² In my view, that is an overly broad mischaracterization of Mr. Ziaian’s submissions before the IIROC hearing panel.
- [38] The third point on which I diverge from the IIROC panel is about how it framed the choice of hearing mode. It stated: “when an in-person [oral?] hearing is not possible and may not be for some considerable period of time, an electronic hearing is a viable and fair alternative”¹³.
- [39] That phrase repeats the problematic juxtaposition of an “in-person hearing” and an “electronic hearing”. Apart from that, while it may be true that an electronic hearing is a viable and fair alternative to an oral hearing, the hearing panel’s authority to choose the hearing mode must be explicit. The viability and fairness of an electronic hearing are not a sufficient basis for changing the hearing mode without authority to do so.
- [40] For clarity (because I do not take the IIROC hearing panel to have suggested this), I note that an electronic hearing may be a viable and fair alternative even if an oral hearing is available. No inference should be drawn that a hearing panel can choose to proceed electronically only when an oral hearing is unavailable.
- [41] For these reasons, it is appropriate for me to exercise original jurisdiction and consider the issues anew. This application presents the following three principal issues, which I will address in turn:
- a. What is the source of IIROC’s authority to conduct a hearing and to choose the mode of the hearing?
 - b. Does a respondent’s entitlement to be “heard in person” at a merits hearing require physical presence in the same room as the panel and/or the witnesses?
 - c. What, if anything, flows from IIROC’s offer to conduct Mr. Ziaian’s hearing offsite?

C. IIROC’s authority to conduct a hearing and to choose the mode of the hearing

- [42] I begin by locating IIROC’s authority to conduct a hearing and to choose the hearing mode. It is common ground that:
- a. the IIROC tribunal has no inherent jurisdiction;
 - b. the *Statutory Powers Procedure Act*¹⁴ (SPPA) does not apply to proceedings before the IIROC tribunal; and
 - c. the tribunal’s authority to conduct a hearing and choose the hearing mode is found in s. 8409(1) of the IIROC Rules, which states that subject to enumerated subsections (to which I will return below), “a hearing panel may conduct a hearing as an oral hearing, electronic hearing or written hearing.”
- [43] Subsection 8409(3) states that in determining the hearing mode, “a hearing panel may consider any relevant factors, including... the... timeliness of the hearing [and] the fairness of the hearing process to, and the convenience of, each of the parties”.
- [44] It is important to note that the authority set out in s. 8409(1) is that of the hearing panel and that the list of relevant factors explicitly applies to the hearing panel’s choice. Further, it is important to note that the authority in s. 8409(1) is not time-

¹² IIROC Decision at para 24

¹³ IIROC Decision at para 45

¹⁴ RSO 1990, c S.22

limited; in other words, a hearing panel may exercise that authority at any time, subject to any constraints appearing elsewhere.

[45] Before considering how this authority is limited by a respondent's entitlement to be "heard in person" at a merits hearing, I wish to address two arguments made by Mr. Ziaian.

[46] First, he points out that s. 8409(9)(ii) gives a hearing panel the authority, "on its own motion, at any stage of a proceeding", to make an order "continuing" an oral hearing as an electronic hearing. The panel may exercise this authority only where no party objects. Mr. Ziaian objects, and he contends that his objection deprives the hearing panel of its only authority to choose to proceed with the hearing as an electronic hearing.

[47] I reject that submission because s. 8409(9)(ii) applies to a hearing panel "continuing" a hearing. As Mr. Ziaian has agreed, the merits hearing has not yet commenced. A hearing that has not yet begun cannot be said to "continue".

[48] Second, he notes that s. 8409(4) provides that a "party may request an electronic hearing or written hearing in a commencing notice." Subsections 8409(5) through 8409(8) set out various steps that may follow if a party makes the request contemplated by s. 8409(4). These steps include the right of another party to object to the request, and the powers and obligations of a hearing panel where a notice of objection has been filed.

[49] Mr. Ziaian asserted that s. 8409(4) through 8409(8) are relevant in this proceeding. He says that I must take them into account when considering the steps taken by IIROC or by IIROC Staff about the hearing mode.

[50] I disagree. Subsections 8409(4) through 8409(8) apply to a party's request "in a commencing notice", and another party's objection, if any, to that request. In this case, no request for an electronic hearing was made by a party in a commencing notice. The subsections are not relevant in this proceeding.

D. Does a respondent's entitlement to be "heard in person" require physical presence in the same room as the panel and/or the witnesses?

[51] Having located the hearing panel's authority to choose the hearing mode, I will now consider how a specific limitation on that authority applies.

[52] Mr. Ziaian points to s. 8423(2)(i), which provides that at a hearing on the merits, "other than a written hearing, a respondent is entitled to attend and be heard in person".

[53] Mr. Ziaian and IIROC Staff offer two competing interpretations of this subsection.

[54] Mr. Ziaian submits that the words "attend and be heard in person", properly interpreted, give the respondent the right to be physically present in the same room as the hearing panel.

[55] IIROC Staff contends that the words do not require physical presence in the same room. IIROC Staff submits that the words give the respondent the right to "attend" (*i.e.*, participate in the hearing in real time) and be heard "in person" (*i.e.*, directly, not just through counsel or an agent).

[56] There can be no doubt that in everyday use, the words "in person" first call to mind a situation where one is physically present in the same room as another. However, that reflexive interpretation may not be the only reasonable one in the context of an IIROC hearing.

[57] The IIROC Rules do not explicitly speak to whether physical presence is required. The question, therefore, is whether the words "in person" can reasonably bear the interpretation advanced by IIROC Staff (*i.e.*, that they include a videoconference hearing in which the respondent and the hearing panel are present).

[58] The words "a respondent is entitled to attend and be heard in person" must be viewed in context. In particular, I must consider the immediately preceding words: "At a hearing on the merits, other than a written hearing, a respondent is entitled...". The entitlement to be heard "in person" applies to a hearing on the merits, other than a written hearing.

[59] The exclusion of a written hearing is sensible. It would be stretching the words "attend and be heard in person" beyond recognition to interpret them as applying to a written hearing, where there is no real-time attendance by anyone.

[60] Electronic hearings are not excluded, however, and it is unclear why that is so. If, as Mr. Ziaian submits, the words "in person" necessarily invoke an oral hearing, why do the opening words not say "At an oral hearing on the merits" or "At a hearing on the merits, other than an electronic hearing or a written hearing"? The rule, as drafted, leaves open the possibility that a respondent can attend and be heard in person at an electronic hearing.

[61] I also note how the words contrast with those found in the definition of "oral hearing". The IIROC Rules define that term in s. 8402(1) to be a "hearing at which the parties or their counsel or agents attend before a hearing panel in person".

The words “before a hearing panel”, present in that definition, do not appear in s. 8423(2)(i). The reason for the difference is not evident. IIROC Staff submits that this is a deliberate distinction and that the words “before a hearing panel” necessarily require physical presence. I am not persuaded by that submission. I find the difference puzzling but not determinative one way or the other.

- [62] Finally, I consider whether there is any policy reason to choose one interpretation over the other. I begin that inquiry by asking whether a requirement of physical co-location would protect an essential entitlement of a respondent who faces an IIROC proceeding.
- [63] In my view, it would not. I heard no convincing argument that a videoconference hearing deprives a respondent of due process or fairness. Indeed, such a conclusion would be contrary to Commission and judicial authority on the subject.¹⁵ Some respondents prefer to be in the same room as the hearing panel, but such a preference cannot determine the appropriate interpretation.
- [64] Mr. Ziaian submits that the only evidence before the IIROC hearing panel or before me about the fairness of a videoconference hearing is an affidavit of Mr. Richard, who was Mr. Ziaian’s counsel at the IIROC proceeding. Based on that affidavit, Mr. Ziaian’s counsel at the hearing before me (a member of the same firm) argued that a videoconference hearing imposes a significant impairment to effective cross-examination.
- [65] I cannot accept that submission as a general bar to the holding of merits hearings by videoconference. Over the past many months, courts and other tribunals (including this Commission) have held that for civil and administrative proceedings generally, videoconference hearings do not cause an impermissible unfairness to the parties.
- [66] I am aware of no authority to the contrary, and Mr. Ziaian could not identify any such authority.
- [67] I adopt the general approach of the courts and this Commission. As for Mr. Richard’s affidavit, it identifies no circumstances particular to this proceeding that would warrant a departure from the general approach. I do not find his affidavit to be persuasive.
- [68] In conclusion on the interpretation issue, and in my respectful view, the IIROC Rules are not well drafted on this point. Both the interpretation suggested by Mr. Ziaian and the interpretation suggested by IIROC Staff are reasonable. Each has its flaws.
- [69] Faced with these two alternative interpretations, I am guided by s. 8403(1), which provides that the IIROC Rules “shall be interpreted and applied to secure... the most expeditious and least expensive conduct of the proceeding.”
- [70] Applying that rule leads me to conclude, as the IIROC hearing panel did, that a videoconference hearing sufficiently meets a respondent’s entitlement to attend a merits hearing in person. That interpretation better satisfies the requirement of “the most expeditious... conduct of the proceeding.”

E. What, if anything, flows from IIROC’s offer to conduct Mr. Ziaian’s hearing offsite?

- [71] Having concluded that the IIROC Rules permit a hearing panel to decide that a merits hearing shall be held by videoconference, I turn to consider IIROC’s advice to Mr. Ziaian and IIROC Staff that the hearing could, at least at the time, be held at the offices of a court reporting service.
- [72] Mr. Ziaian places considerable emphasis on this communication. He asserts that the dispute between IIROC and Mr. Ziaian about the hearing mode is “deeply troubling” and “unnecessary”¹⁶ because the hearing on the merits can take place at the court reporter’s office. He also asserts that civil trials were taking place safely in courtrooms at the relevant time, and IIROC was scheduling in-person hearings in British Columbia.
- [73] I cannot accept the submission. I take notice¹⁷ of the fact that throughout the pandemic, circumstances have fluctuated significantly. Public health advice (which varies by jurisdiction) has changed frequently in response to the changing circumstances. The degree of safety associated with particular indoor locations depends on many factors. Evidence or assertions about what may have been happening in other venues inside or outside of Ontario, or at different times, are irrelevant.¹⁸
- [74] There is no evidence before me that the court reporter’s offices would have been a safe location for a hearing following IIROC’s decision to abandon that option. I emphatically reject Mr. Ziaian’s submission that IIROC’s decision was irrational.

¹⁵ See *First Global Data Ltd (Re)*, 2020 ONSEC 23, (2020) 43 OSCB 7349 (*First Global*), and the cases cited therein

¹⁶ Hearing Transcript, Ziaian (Re), November 12, 2020 at 48 lines 5-7

¹⁷ Pursuant to s. 16(a) of the SPPA

¹⁸ *First Global* at paras 61-65

[75] Following the hearing of this application, the parties advised that IIROC had issued a news release that indicated that a merits hearing in an unrelated matter was scheduled to proceed at the court reporter's offices. I do not consider that fact to be relevant to my decision for two reasons. First, it was expressly subject to change, and second, it was at a particular point in time.

V. CONCLUSION

[76] For the above reasons, I conclude that while I take a different analytical path to the result reached by the IIROC panel, the result is the correct one. Accordingly, the hearing on the merits of the allegations against Mr. Ziaian may proceed as the hearing panel directs, including by videoconference if that is its choice.

Dated at Toronto this 17th day of March, 2021.

"Timothy Moseley"

Chapter 4

Cease Trading Orders

4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders

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

Failure to File Cease Trade Orders

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

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

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

Guide to Codes

Relationship of Insider to Issuer (Rel'n)

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

Nature of Transaction (T/O)

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

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

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

² ©CDS INC.

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
1911 Gold Corporation	Common Shares	Anderson, Scott Douglas	5	2021-03-14	57		70,000	11,666
1911 Gold Corporation	Rights Restricted Share Units	Anderson, Scott Douglas	5	2021-03-14	57		0	-11,666
1911 Gold Corporation	Common Shares	Heinrichs, Shaun Perin	5	2021-03-14	57		222,000	11,666
1911 Gold Corporation	Rights Restricted Share Units	Heinrichs, Shaun Perin	5	2021-03-14	57		0	-11,666
48North Cannabis Corp.	Options	Byrne, Sean Thomas	5	2021-03-01	00			
48North Cannabis Corp.	Options	Byrne, Sean Thomas	5	2021-03-04	50		500,000	500,000
48North Cannabis Corp.	Rights Restricted Share Units	Byrne, Sean Thomas	5	2021-03-01	00			
48North Cannabis Corp.	Rights Restricted Share Units	Byrne, Sean Thomas	5	2021-03-04	56		100,000	100,000
48North Cannabis Corp.	Options	Highdale, Michael	5	2020-07-27	00		500,000	
48North Cannabis Corp.	Rights Restricted Share Units	Highdale, Michael	5	2020-07-27	00			
48North Cannabis Corp.	Rights Restricted Share Units	Highdale, Michael	5	2021-03-04	56		122,951	122,951
48North Cannabis Corp.	Rights Restricted Share Units	Vennat, Charles-Alexandre	4, 5	2021-03-04	56		225,410	225,410
79 Resources Ltd.	Common Shares	Rascan, William	4	2021-03-07	11	0.01	1,600,000	1,100,000
79 Resources Ltd.	Options	Rascan, William	4	2021-01-29	50	0.16	100,000	100,000
Accord Financial Corp.	Convertible Debentures	Adair, Stuart Adair	5	2021-03-19	10	985	\$0	-\$225
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Daino, Robert James	5	2021-03-17	36		186,744	34,707
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Daino, Robert James	5	2021-03-17	10	3.11	169,509	-17,235
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Daino, Robert James	5	2021-03-17	36		435,790	80,984
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Daino, Robert James	5	2021-03-17	10	6.22	395,641	-40,149
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Daino, Robert James	5	2021-03-17	36		291,702	-34,707
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Daino, Robert James	5	2021-03-17	36		680,640	-80,984
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Doherty, James	5	2021-03-17	36		101,208	28,873
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Doherty, James	5	2021-03-17	10	3.11	87,689	-13,519
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Doherty, James	5	2021-03-17	36		234,374	67,373
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Doherty, James	5	2021-03-17	10	6.22	202,882	-31,492
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Doherty, James	5	2021-03-17	36		280,038	-28,873
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Doherty, James	5	2021-03-17	36		655,251	-67,373
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Leibowitz, Glen	5	2021-03-17	36		87,131	28,873
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class D Subordinate Voting Shares	Leibowitz, Glen	5	2021-03-17	10	3.11	72,728	-14,403
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Leibowitz, Glen	5	2021-03-17	36		203,361	67,373
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Class E Subordinate Voting Shares	Leibowitz, Glen	5	2021-03-17	10	6.22	169,808	-33,553
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Leibowitz, Glen	5	2021-03-17	36			-34,707
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Leibowitz, Glen	5	2021-03-17	36			-34,707
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Leibowitz, Glen	5	2021-03-17	36		280,038	-28,873

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Leibowitz, Glen	5	2021-03-17	36		653,419	-67,373
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-15	10	19.458	134,170	-21,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-09	30	18.688	2,092,407	-200,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-11	30	19.043	2,089,057	-3,350
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-15	30	19.485	1,981,757	-107,300
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-16	30	19.81	1,960,757	-21,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-17	30	18.55	1,954,557	-6,200
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-18	30	18.58	1,947,057	-7,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-10	10	18.079		-110,900
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-10	10	18.079		-110,900
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-10	30	18.079	1,717,613	-110,900
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	18.693		-89,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	18.693		-89,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	19.043		-3,350
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	19.043		-3,350
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	30	18.693	1,628,513	-89,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	30	19.043	1,625,163	-3,350
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-15	10	19.485		-107,300
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-15	10	19.485		-107,300
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-15	30	19.485	1,517,863	-107,300
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-16	10	19.81		-21,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-16	10	19.81		-21,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-16	30	19.81	1,307,863	-210,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-17	10	18.55		-6,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-17	10	18.55		-6,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-17	30	18.55	1,301,663	-6,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-18	10	18.58		-7,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-18	10	18.58		-7,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-18	30	18.58	1,294,163	-7,500
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-09	30	18.7	2,182,894	-90,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-10	30	18.05	2,102,894	-80,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-11	30	18.55	1,935,294	-167,600
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-15	30	19.54	1,913,894	-21,400
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-16	30	20.05	1,837,894	-76,000
AcuityAds Holdings Inc.	Common Shares	Pollack, Sheldon M.	4	2021-03-09	10	18.975	1,167,519	-100,000
AF2 Capital Corp.	Options	Galloro, Michael Bernardino	3, 4, 5	2020-08-05	00			
AF2 Capital Corp.	Options	Galloro, Michael Bernardino	3, 4, 5	2021-03-15	50		250,000	250,000
AF2 Capital Corp.	Options	Held, Jonathan James	5	2020-08-05	00			
AF2 Capital Corp.	Options	Held, Jonathan James	5	2021-03-15	50	0.1	100,000	100,000
AF2 Capital Corp.	Options	Muffolini, John William	4	2020-08-05	00			
AF2 Capital Corp.	Options	Muffolini, John William	4	2021-03-15	50		100,000	100,000
AF2 Capital Corp.	Options	Simeon, Peter Emmanouil	4	2020-08-05	00			
AF2 Capital Corp.	Options	Simeon, Peter Emmanouil	4	2021-03-15	50		50,000	50,000
Africa Oil Corp.	Common Shares	Bartlett, Andrew Donald	4	2021-03-18	57	1.23	207,800	94,500
Africa Oil Corp.	Restricted Share Units	Bartlett, Andrew Donald	4	2021-03-18	57	1.23	234,400	-94,500
Africa Oil Corp.	Common Shares	Craig, John Hunter	4	2021-03-16	57	1.23		118,000
Africa Oil Corp.	Common Shares	Craig, John Hunter	4	2021-03-16	57	1.23	363,424	118,100
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-16	57	1.23		-118,000
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-16	57	1.23	293,000	-118,100
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-16	58 - Expiration of rights	1.23		122,000
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-16	56	1.23	415,000	122,000
Africa Oil Corp.	Common Shares	Gibbs, Ian	5	2021-03-16	57	1.23	1,082,695	99,145
Africa Oil Corp.	Performance Share Units	Gibbs, Ian	5	2021-03-16	57	1.23	982,655	-99,145
Africa Oil Corp.	Performance Share Units	Gibbs, Ian	5	2021-03-16	58 - Expiration of rights		693,745	-288,910
Africa Oil Corp.	Common Shares	Guidry, Gary Stephen	4	2021-03-16	57		249,800	94,500
Africa Oil Corp.	Restricted Share Units	Guidry, Gary Stephen	4	2021-03-16	57		234,400	-94,500
Africa Oil Corp.	Common Shares	Hill, Keith Charles	4, 5	2021-03-16	57		1,492,344	148,233
Africa Oil Corp.	Common Shares	Hill, Keith Charles	4, 5	2021-03-16	57		1,669,288	176,944
Africa Oil Corp.	Performance Share Units	Hill, Keith Charles	4, 5	2021-03-16	57		3,331,516	-176,944
Africa Oil Corp.	Performance Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights			-176,943

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Africa Oil Corp.	Performance Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights		2,398,700	-932,816
Africa Oil Corp.	Performance Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights			-2,554,973
Africa Oil Corp.	Performance Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights			-2,554,973
Africa Oil Corp.	Restricted Share Units	Hill, Keith Charles	4, 5	2021-03-16	57		457,834	-148,233
Africa Oil Corp.	Restricted Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights			-148,234
Africa Oil Corp.	Restricted Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights			-148,234
Africa Oil Corp.	Restricted Share Units	Hill, Keith Charles	4, 5	2021-03-16	58 - Expiration of rights		599,600	141,766
Africa Oil Corp.	Performance Share Units	Martinez, Paul	5	2021-03-16	57	1.21	1,389,844	-155,230
Africa Oil Corp.	Performance Share Units	Martinez, Paul	5	2021-03-16	57	1.21	1,545,074	155,230
Africa Oil Corp.	Performance Share Units	Martinez, Paul	5	2021-03-16	58 - Expiration of rights		1,058,300	-486,774
Africa Oil Corp.	Restricted Share Units	Martinez, Paul	5	2021-03-16	57	1.21	202,150	-65,283
Africa Oil Corp.	Restricted Share Units	Martinez, Paul	5	2021-03-16	57	1.21	267,388	65,238
Africa Oil Corp.	Restricted Share Units	Martinez, Paul	5	2021-03-16	58 - Expiration of rights		136,867	-130,521
Africa Oil Corp.	Common Shares	Nicodeme, Pascal Daniel	5	2021-03-16	57	1.23	37,916	27,250
Africa Oil Corp.	Restricted Share Units	Nicodeme, Pascal Daniel	5	2021-03-16	57	1.23	157,584	-27,250
Africa Oil Corp.	Common Shares	Thomas, Timothy James	5	2021-03-16	57		144,950	68,550
Africa Oil Corp.	Common Shares	Thomas, Timothy James	5	2021-03-16	57		229,077	84,127
Africa Oil Corp.	Common Shares	Thomas, Timothy James	5	2021-03-16	57		253,595	24,518
Africa Oil Corp.	Common Shares	Thomas, Timothy James	5	2021-03-16	57		324,462	70,867
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2019-03-16	57			-168,000
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2019-03-16	57		1,170,800	-76,400
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2020-03-16	59	0.95		24,518
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2020-03-16	59	0.95	1,735,782	-24,518
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2020-03-16	57	0.95		24,518
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2020-03-16	57	0.95	1,711,264	-24,518
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2020-03-18	57	0.95		24,518
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2021-03-16	57		2,216,637	-84,127
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2021-03-16	58 - Expiration of rights			709,237
Africa Oil Corp.	Performance Share Units	Thomas, Timothy James	5	2021-03-16	58 - Expiration of rights		1,507,400	-709,237
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	59	0.95		70,867
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	59	0.95	348,266	-70,867
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	57	0.95		70,867
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	57	0.95	277,399	-70,867
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	56			147,400
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2020-03-16	56			147,400
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2021-03-16	57		208,849	-68,550
Africa Oil Corp.	Restricted Share Units	Thomas, Timothy James	5	2021-03-16	58 - Expiration of rights		273,500	64,651
Agnico Eagle Mines Limited	Common Shares	Robitaille, Jean	5	2021-03-15	10	74.36	73,000	761
Air Canada	Class B Voting Shares	Guillemette, Lucie	5	2020-12-31	30	28.799	33,618	1,264
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2021-03-16	51	9.23	9,000	6,000
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2021-03-16	10	28.874	3,000	-6,000
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2021-03-16	51	9.23	4,500	1,500
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2021-03-16	10	28.86	3,000	-1,500
Air Canada	Options (Long-Term Incentive Plan)	Hadrovic, Carolyn	5	2021-03-16	51	9.23	40,265	-6,000
Air Canada	Options (Long-Term Incentive Plan)	Hadrovic, Carolyn	5	2021-03-16	51	9.23	38,765	-1,500
Air Canada	Class B Voting Shares	Kazzaz, Amos	5	2020-12-31	30	28.799		880
Air Canada	Class B Voting Shares	Kazzaz, Amos	5	2020-12-31	30	28.799		880
Air Canada	Class B Voting Shares	Kazzaz, Amos	5	2020-12-31	30	28.799	9,086	880

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Air Canada	Class B Voting Shares	Kazzaz, Amos	5	2021-01-31	30	28.799		880
Air Canada	Class B Voting Shares	Kazzaz, Amos	5	2021-01-31	30	28.799		880
Air Canada	Class B Voting Shares	Landry, Craig	5	2020-12-31	30	28.799	16,385	1,063
Air Canada	Class B Voting Shares	Luelo, Catherine	5	2020-12-31	30	28.799	6,564	1,334
Air Canada	Class B Voting Shares	Meloul-Wechsler, Arielle	5	2020-12-31	30	28.799	6,731	750
Air Canada	Class B Voting Shares	Nasr, Mark Youssef	5	2020-12-31	30	28.799	2,715	500
Air Canada	Class B Voting Shares	O'Connor, Kevin Patrick Cornelius	5	2020-12-31	30	28.799	3,642	612
Air Canada	Class B Voting Shares	Read, Robert Alan	5	2020-12-31	30	28.799	5,615	816
Air Canada	Class B Voting Shares	Shapiro, David	5	2020-12-31	30	28.799	14,523	705
Air Canada	Class B Voting Shares	Steer, Richard A.	5	2020-12-31	30	28.799	13,182	590
Air Canada	Class B Voting Shares	TURNER, Jon	5	2020-12-31	30	28.799	527	433
Air Canada	Class B Voting Shares	Yiu, Andrew Ka Hoi	5	2020-12-31	30	28.799	2,298	356
Alamos Gold Inc.	Common Shares Class A	Barwell, Christine	5	2021-03-10	30	10.1	32,218	387
Alamos Gold Inc.	Common Shares Class A	Bostwick, Christopher John	5	2021-03-10	30	10.1	57,668	499
Alamos Gold Inc.	Common Shares Class A	Chavez - Martinez, Mario Luis	5	2021-03-10	30	7.99	75,913	485
Alamos Gold Inc.	Common Shares Class A	Engelstad, Nils Frederik Jonas	8	2021-03-10	30	10.1	22,495	492
Alamos Gold Inc.	Common Shares Class A	Fisher, Gregory S.	5	2021-03-10	30	10.1	26,358	263
Alamos Gold Inc.	Common Shares Class A	MacPhail, Peter	5	2021-03-10	30	10.1	132,959	708
Alamos Gold Inc.	Common Shares Class A	McCluskey, John	4, 5	2021-03-10	30	10.1	673,462	1,144
Alamos Gold Inc.	Common Shares Class A	Parsons, Scott Kyle	5	2021-03-10	30	10.1	43,660	384
Alamos Gold Inc.	Common Shares Class A	Parsons, Scott Russell Gordon	5	2021-03-10	30	10.1	1,415	322
Alamos Gold Inc.	Common Shares Class A	PAULSE, ADRIAN	5	2021-03-10	30	10.1	16,642	294
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2021-03-10	30	10.1	111,928	708
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2021-03-15	30		66,587	478
Alamos Gold Inc.	Common Shares Class A	Webster, Colin	5	2021-03-10	30	10.1	17,142	286
Algonquin Power & Utilities Corp.	Restricted Share Units	Banskota, Arun	5	2021-03-15	56	20.995	47,631	47,631
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2021-03-15	10	0.105	1,000,000	30,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2019-05-28	10	0.05	9,732,515	10,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2021-03-15	10	0.1	9,920,993	50,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Weber, Jason Shawn	4, 5	2021-03-10	10	0.09	234,333	18,500
Almaden Minerals Ltd.	Options	McCleary, John Daniel	4	2021-03-21	52		550,000	-25,000
Almonty Industries Inc.	Common Shares	Trachuk, Mark	4	2021-03-18	54	0.75	860,000	80,000
Almonty Industries Inc.	Warrants	Trachuk, Mark	4	2021-03-18	54	0.75	0	-80,000
Altius Minerals Corporation	Common Shares	Gaumont, Andr�	4	2021-03-18	35	10.56	70,746	746
Altius Minerals Corporation	Common Shares	Gaumont, Andr�	4	2021-03-18	35	10.56	33,460	460
Altius Minerals Corporation	Common Shares	Gaumont, Andr�	4	2021-03-18	35	10.56	20,536	36
Altius Minerals Corporation	Common Shares	Lewis, Benjamin Gerard	5	2021-03-19	35	10.56	45,109	199
Altius Minerals Corporation	Common Shares	Winter, Stephen Lawrence	5	2021-03-19	35	10.44	78,194	850
Altius Minerals Corporation	Common Shares	Winter, Stephen Lawrence	5	2021-03-19	35	10.44	12,770	315
Alturas Minerals Corp.	Common Shares	Henry, Walter	4	2021-03-17	10	0.03	155,989	-50,000
American Hotel Income Properties REIT LP	Restricted Stock	Cameron, Christian	5	2021-03-15	57		94,356	-8,577
American Hotel Income Properties REIT LP	Units	Cameron, Christian	5	2019-02-11	00			
American Hotel Income Properties REIT LP	Units	Cameron, Christian	5	2021-03-15	57		8,577	8,577
American Hotel Income Properties REIT LP	Restricted Stock	Lalani, Azim	5	2021-03-15	58 - Expiration of rights		156,174	-6,232
American Hotel Income Properties REIT LP	Restricted Stock	Lalani, Azim	5	2021-03-15	57		149,919	-6,255
American Hotel Income Properties REIT LP	Units	Lalani, Azim	5	2021-03-15	57		93,662	6,255
American Hotel Income Properties REIT LP	Restricted Stock	Pittet, Bruce Douglas	5	2021-03-15	57		104,889	-9,535
American Hotel Income Properties REIT LP	Units	Pittet, Bruce Douglas	5	2021-03-15	57		53,175	9,535
American Hotel Income Properties REIT LP	Restricted Stock	Yu, Anne	5	2021-03-15	58 - Expiration of rights		77,128	-3,090
American Hotel Income Properties REIT LP	Restricted Stock	Yu, Anne	5	2021-03-15	57		73,976	-3,152
American Hotel Income Properties REIT LP	Units	Yu, Anne	5	2021-03-15	57		10,988	3,152

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Amerigo Resources Ltd	Common Shares	Dean, Steven	4, 5	2021-03-16	10	1	93,500	-700
Anaconda Mining Inc.	Common Shares	Dufour, Robert	5	2021-03-11	10	0.81	984,789	-10,000
Anaconda Mining Inc.	Common Shares	Lawrick, Victor Lewis	4	2021-03-15	10	0.79	567,555	-9,500
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Anderson, Terry Michael	5	2021-03-15	57		684,986	-47,687
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Anderson, Terry Michael	5	2021-03-15	57		70,198	-26,150
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Baldwin, Christopher David	5	2021-03-15	57		101,622	-10,286
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Baldwin, Christopher David	5	2021-03-15	57		18,341	-7,230
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Berrett, Ryan Victor	5	2021-03-15	57		103,488	-9,351
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Berrett, Ryan Victor	5	2021-03-15	57		19,266	-7,698
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Bibby, Kristen Jon	5	2021-03-15	57		216,060	-14,025
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Bibby, Kristen Jon	5	2021-03-15	57		40,031	-14,434
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Calder, Sean Ross Allen	5	2021-03-15	57		118,805	-11,688
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Calder, Sean Ross Allen	5	2021-03-15	57		21,856	-8,841
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Conrad, Larissa Marianne	5	2021-03-15	57		159,178	-15,429
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Conrad, Larissa Marianne	5	2021-03-15	57		29,045	-11,109
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Jahangiri, Armin	5	2021-03-15	57		149,258	-13,091
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Jahangiri, Armin	5	2021-03-15	57		27,973	-10,593
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Olsen, Lisa Ann	5	2021-03-15	57		110,864	-10,286
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Olsen, Lisa Ann	5	2021-03-15	57		20,310	-8,053
Argonaut Gold Inc.	Deferred Share Units	Walsh, Audra Beth	4	2016-04-06	00			
Argonaut Gold Inc.	Deferred Share Units	Walsh, Audra Beth	4	2021-02-18	56		43,243	43,243
Arizona Silver Exploration Inc.	Common Shares	Stark, Michael	4	2021-03-15	10	0.19	2,125,700	25,000
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-03-19	38	23.61	500	500
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-03-19	38	21.856	1,224	1,224
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2021-03-19	38	10.608	548,422	391,730
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-11	10	10.631	3,265,957	150,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-12	10	10.485	3,416,057	150,100
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-15	10	10.633	3,508,357	92,300
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-16	10	10.629	3,613,357	105,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-17	10	10.612	3,768,357	155,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-11	10	10.631	3,265,957	150,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-12	10	10.485	3,416,057	150,100
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-15	10	10.633	3,508,357	92,300
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-16	10	10.629	3,613,357	105,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-17	10	10.612	3,768,357	155,000
Artis Real Estate Investment Trust	Deferred Units	Irwin, Heather-Ann	4	2021-03-15	56	10.87	1,007	4
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-11	10	10.631	3,265,957	150,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-12	10	10.485	3,416,057	150,100
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-15	10	10.633	3,508,357	92,300
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-16	10	10.629	3,613,357	105,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-17	10	10.612	3,768,357	155,000

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Artis Real Estate Investment Trust	Restricted Units	Manji, Samir Aziz	4, 6, 5	2021-03-15	56	10.87	25,271	54
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-11	10	10.631	3,265,957	150,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-12	10	10.485	3,416,057	150,100
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-15	10	10.633	3,508,357	92,300
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-16	10	10.629	3,613,357	105,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-17	10	10.612	3,768,357	155,000
Artis Real Estate Investment Trust	Restricted Units	Martens, Philip	5	2021-03-15	56	10.87	14,183	60
Artis Real Estate Investment Trust	Restricted Units	Riley, Kimberly	5	2021-03-15	56	10.87	12,415	53
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2021-03-15	56	10.87	17,658	75
Artis Real Estate Investment Trust	Units	Rodney, Benjamin Ryan	4	2021-03-16	10	10.69	36,000	10,000
Artis Real Estate Investment Trust	Units	Rodney, Benjamin Ryan	4	2021-03-19	10	10.69	46,000	10,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-11	10	10.631	3,265,957	150,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-12	10	10.485	3,416,057	150,100
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-15	10	10.633	3,508,357	92,300
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-16	10	10.629	3,613,357	105,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-17	10	10.612	3,768,357	155,000
Artis Real Estate Investment Trust	Deferred Units	Shaikh, Mazhar H. (Mike)	4	2021-03-15	56	10.87	1,147	5
Artis Real Estate Investment Trust	Units	Shaikh, Mazhar H. (Mike)	4	2021-03-18	10	10.46	10,000	10,000
Artis Real Estate Investment Trust	Units	Shaikh, Mazhar H. (Mike)	4	2021-03-18	10	10.47	20,000	10,000
Artis Real Estate Investment Trust	Restricted Units	Sherlock, Stephen Francis Patrick	5	2021-03-15	56	10.87	14,183	60
Artis Real Estate Investment Trust	Deferred Units	Tammer, Aida Evelyn	4	2021-03-15	56	10.87	573	2
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00			
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00			
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00		4,000	
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2021-03-11	10	10.603	7,250	3,250
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2021-03-11	10	10.834	10,650	3,400
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2020-11-30	00			
Artis Real Estate Investment Trust	Units	Tammer, Aida Evelyn	4	2021-03-11	10	10.801	7,500	7,500
Artis Real Estate Investment Trust	Deferred Units	Wigmore, Elisabeth Shirley	4	2021-03-15	56	10.87	1,320	6
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-03-15	56	10.87	38,641	164
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	2021-03-12	10	0.15	17,385,018	2,000
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	2021-03-12	10	0.155	17,400,018	15,000
Aston Bay Holdings Ltd.	Common Shares	Liu-Ernsting, Jessie	4	2021-03-10	00		95,000	
Aston Bay Holdings Ltd.	Options	Liu-Ernsting, Jessie	4	2021-03-10	00		450,000	
ATCO LTD.	Rights 56.63 (SAR)	DeChamplain, Dennis A	7	2021-03-15	59	40.33	0	-2,000
Atico Mining Corporation	Common Shares	Szotlender, Mario	4	2021-03-18	51	0.345	2,039,485	153,374
Atico Mining Corporation	Options	Szotlender, Mario	4	2021-03-18	51		522,432	-153,374
Aura Minerals Inc.	Common Shares	Barbosa, Rodrigo Cardoso	5	2021-03-05	51	1.57		1,301,175
Aura Minerals Inc.	Common Shares	Barbosa, Rodrigo Cardoso	5	2021-03-05	51	1.57	1,310,937	1,279,737
Aura Minerals Inc.	Options	Barbosa, Rodrigo Cardoso	5	2021-03-04	50	13.75	2,008,854	707,679
Aura Minerals Inc.	Common Shares	Castanho, Sergio	5	2021-03-05	51	1.57		216,865
Aura Minerals Inc.	Common Shares	Castanho, Sergio	5	2021-03-05	51	1.57	203,383	203,383
Aura Minerals Inc.	Common Shares	Reade, Philip Vincent	4	2021-03-04	51	1.3533		296,250

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Aura Minerals Inc.	Common Shares	Reade, Philip Vincent	4	2021-03-04	51	1.3533	265,761	265,761
Aurania Resources Ltd.	Common Shares	LENARCIAK, ALFRED	4	2021-03-09	10	3.15	24,700	-1,400
Aurania Resources Ltd.	Common Shares	LENARCIAK, ALFRED	4	2021-03-09	10	3.16	23,100	-1,600
Aurcana Silver Corporation	Common Shares	Drover, Kevin Cameron	4	2021-03-15	10	0.72	936,006	25,000
Aurcana Silver Corporation	Common Shares	Drover, Kevin Cameron	4	2021-03-17	10	0.72	961,006	25,000
Aurcana Silver Corporation	Common Shares	Drover, Kevin Cameron	4	2021-03-18	10	0.73	986,006	25,000
AurCrest Gold Inc.	Common Shares	van de Water, Frank	4	2021-03-12	10	0.215	814,266	-30,000
Aurinia Pharmaceuticals Inc.	Common Shares	Solomons, Neil	5	2021-03-11	51	3.91	227,299	40,000
Aurinia Pharmaceuticals Inc.	Common Shares	Solomons, Neil	5	2021-03-11	10		187,299	-40,000
Aurinia Pharmaceuticals Inc.	Options	Solomons, Neil	5	2021-03-11	51	3.91	691,090	-40,000
Aurion Resources Ltd.	Options	Basha, Michael Gerard	3, 4	2021-03-17	50		490,000	100,000
Aurion Resources Ltd.	Options	Clarke, Dennis	4	2021-03-17	50		175,000	50,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-03-18	10	0.86	9,057,382	20,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-03-18	10	0.84	9,082,382	25,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-03-19	10	0.85	9,102,382	20,000
Aurion Resources Ltd.	Options	Loveys, David	5	2021-03-17	50		175,000	50,000
Aurion Resources Ltd.	Options	Mark, Diana Lynne	5	2021-03-17	50		65,000	30,000
Aurion Resources Ltd.	Options	Santarossa, Mark Davis	5	2021-03-17	50		400,000	100,000
Aurion Resources Ltd.	Options	Serdan, Mark	5	2021-03-17	50		590,000	200,000
Aurion Resources Ltd.	Options	Sparkes, Kerry Elwyn	4	2021-03-17	50		150,000	50,000
Aurion Resources Ltd.	Options	Talikka, Matti	4	2021-03-17	50		625,000	400,000
Aurora Cannabis Inc.	Common Shares	Ibbott, William Glen	5	2020-12-31	30		3,663	935
Aurora Spine Corporation	Common Shares	Clouse, Chad	5	2021-03-15	10	0.66	1,000	500
AURWEST RESOURCES CORPORATION	Common Shares	Stewart, Elmer	4	2021-03-12	51	0.025	1,059,500	400,000
AURWEST RESOURCES CORPORATION	Options	Stewart, Elmer	4	2021-03-12	51	0.025		400,000
AURWEST RESOURCES CORPORATION	Options	Stewart, Elmer	4	2021-03-12	51	0.025	0	-400,000
Australis Capital Inc.	Common Shares	Booth, Terry	3, 5	2021-03-08	00		90	
Australis Capital Inc.	Common Shares	Booth, Terry	3, 5	2021-03-08	47	0.5	200,090	200,000
Australis Capital Inc.	Common Shares	Booth, Terry	3, 5	2021-03-08	00		4,186,294	
Australis Capital Inc.	Common Shares	Booth, Terry	3, 5	2021-03-08	16	0.2	29,186,294	25,000,000
Australis Capital Inc.	Common Shares	Booth, Terry	3, 5	2021-03-08	36	0.5	30,686,294	1,500,000
Australis Capital Inc.	Options	Booth, Terry	3, 5	2021-03-08	00			
Australis Capital Inc.	Options	Booth, Terry	3, 5	2021-03-08	50		2,500,000	2,500,000
Australis Capital Inc.	Common Shares	Larssen, Thomas	3	2021-03-08	00		2,200,000	
Australis Capital Inc.	Common Shares	Larssen, Thomas	3	2021-03-08	16	0.2	27,200,000	25,000,000
Australis Capital Inc.	Common Shares	Larssen, Thomas	3	2021-03-08	47	0.5	27,400,000	200,000
Australis Capital Inc.	Options	Larssen, Thomas	3	2021-03-08	00			
Australis Capital Inc.	Options	Larssen, Thomas	3	2021-03-08	50		2,500,000	2,500,000
AutoCanada Inc.	Restricted share units	Borys, Michael	5	2021-03-16	56		69,245	6,587
AutoCanada Inc.	Restricted share units	Hong, Peter	5	2021-03-16	56		122,733	10,247
AutoCanada Inc.	Restricted share units	Rawluk, Michael	5	2021-03-16	56		140,625	11,345
Automotive Properties Real Estate Investment Trust	Deferred Units	Kalra, Andrew Atul	6, 5	2020-08-24	56		90,153	8,384
Automotive Properties Real Estate Investment Trust	Deferred Units	Lamb, Milton Donald	4, 5	2020-08-24	56		345,751	28,962
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-18	51	0.18	107,800	100,000
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-18	51	0.1	157,800	50,000
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-18	51	0.08	245,300	87,500
Avalon Advanced Materials Inc.	Options	Hu, Xi Hong	5	2021-03-18	51		990,000	-100,000
Avalon Advanced Materials Inc.	Options	Hu, Xi Hong	5	2021-03-18	51		940,000	-50,000
Avalon Advanced Materials Inc.	Options	Hu, Xi Hong	5	2021-03-18	51		852,500	-87,500
Avicanna Inc.	Common Shares	Davila Char, Giancarlo	3, 4	2021-03-17	36		422,072	58,870
Avicanna Inc.	Common Shares	Giesselman, Janet	4	2021-03-18	57		94,722	5,790
Avicanna Inc.	Rights Restricted Share Units	Giesselman, Janet	4	2021-03-18	57		10,412	-5,790
Avicanna Inc.	Common Shares	Leavenworth, Alden Benjamin	4	2021-03-18	57		57,457	5,007
Avicanna Inc.	Rights Restricted Share Units	Leavenworth, Alden Benjamin	4	2021-03-18	57		5,672	-5,007
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2021-03-16	10	0.31	7,931,865	30,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2021-03-17	10	0.31	7,991,865	60,000
BacTech Environmental Corporation	Options	Nagy, Louis Robert	5	2021-03-16	50	0.12	1,200,000	400,000
BacTech Environmental Corporation	Options	Naster, Jay Lawrence	4	2021-03-16	50		526,200	100,000

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BacTech Environmental Corporation	Options	Orr, Murray Ross	7	2021-03-16	50		2,920,000	400,000
BacTech Environmental Corporation	Options	Whalen, Donald Alexander	4	2021-03-12	51		130,000	-100,000
BacTech Environmental Corporation	Options	Whalen, Donald Alexander	4	2021-03-12	51		230,000	100,000
BacTech Environmental Corporation	Options	Whalen, Donald Alexander	4	2021-03-16	50		330,000	100,000
BacTech Environmental Corporation	Options	Whalen, Donald Alexander	4	2021-03-16	50		430,000	100,000
Badger Daylighting Ltd.	Common Shares	Roane, Glen Dawson	4	2021-03-17	10	23.5	33,400	-25,000
Badger Daylighting Ltd.	Common Shares	Wallace, Tracey Lynn	5	2021-03-19	10	44.004	0	-4,005
Ballard Power Systems Inc.	Common Shares	Campbell, Robert William	5	2021-03-12	57	32.87	40,130	16,545
Ballard Power Systems Inc.	Options	Campbell, Robert William	5	2021-03-12	46	32.66	45,101	4,092
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2021-03-11	46	32.66	105,560	6,108
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2021-03-12	46		105,052	-508
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2021-03-12	46		104,437	-615
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2021-03-12	46		104,255	-182
Ballard Power Systems Inc.	Units Restricted Share Units	Campbell, Robert William	5	2021-03-12	57		68,675	-35,580
Ballard Power Systems Inc.	Common Shares	COLBOW, KEVIN MICHAEL	5	2021-03-12	57	32.87	55,361	9,319
Ballard Power Systems Inc.	Options	COLBOW, KEVIN MICHAEL	5	2021-03-12	46	32.66	98,496	3,231
Ballard Power Systems Inc.	Units Restricted Share Units	COLBOW, KEVIN MICHAEL	5	2021-03-11	46	32.66	73,960	4,822
Ballard Power Systems Inc.	Units Restricted Share Units	COLBOW, KEVIN MICHAEL	5	2021-03-12	46		73,674	-286
Ballard Power Systems Inc.	Units Restricted Share Units	COLBOW, KEVIN MICHAEL	5	2021-03-12	46		73,203	-471
Ballard Power Systems Inc.	Units Restricted Share Units	COLBOW, KEVIN MICHAEL	5	2021-03-12	46		73,061	-142
Ballard Power Systems Inc.	Units Restricted Share Units	COLBOW, KEVIN MICHAEL	5	2021-03-12	57		53,019	-20,042
Ballard Power Systems Inc.	Common Shares	Guglielmin, Anthony Robert	5	2021-03-12	57	32.87	16,545	16,545
Ballard Power Systems Inc.	Common Shares	Guglielmin, Anthony Robert	5	2021-03-18	51	1.8	36,545	20,000
Ballard Power Systems Inc.	Common Shares	Guglielmin, Anthony Robert	5	2021-03-18	10	32	16,545	-20,000
Ballard Power Systems Inc.	Options	Guglielmin, Anthony Robert	5	2021-03-18	51	1.8	137,496	-20,000
Ballard Power Systems Inc.	Units Restricted Share Units	Guglielmin, Anthony Robert	5	2021-03-11	46	32.66	109,401	9,951
Ballard Power Systems Inc.	Units Restricted Share Units	Guglielmin, Anthony Robert	5	2021-03-12	46		108,893	-508
Ballard Power Systems Inc.	Units Restricted Share Units	Guglielmin, Anthony Robert	5	2021-03-12	46		108,278	-615
Ballard Power Systems Inc.	Units Restricted Share Units	Guglielmin, Anthony Robert	5	2021-03-12	46		108,096	-182
Ballard Power Systems Inc.	Units Restricted Share Units	Guglielmin, Anthony Robert	5	2021-03-12	57		72,516	-35,580
Ballard Power Systems Inc.	Common Shares	HILLIER, KERRY BRENT	5	2021-03-12	57	32.87	2,768	2,701
Ballard Power Systems Inc.	Options	HILLIER, KERRY BRENT	5	2021-03-12	46	32.66	41,709	1,708
Ballard Power Systems Inc.	Units Restricted Share Units	HILLIER, KERRY BRENT	5	2021-03-11	46	32.66	18,470	2,549
Ballard Power Systems Inc.	Units Restricted Share Units	HILLIER, KERRY BRENT	5	2021-03-12	46		18,387	-83
Ballard Power Systems Inc.	Units Restricted Share Units	HILLIER, KERRY BRENT	5	2021-03-12	46		18,289	-98
Ballard Power Systems Inc.	Units Restricted Share Units	HILLIER, KERRY BRENT	5	2021-03-12	46		18,261	-28
Ballard Power Systems Inc.	Units Restricted Share Units	HILLIER, KERRY BRENT	5	2021-03-12	57		12,452	-5,809
Ballard Power Systems Inc.	Common Shares	Laishey, Jan Louise	5	2021-03-12	57	32.87	8,768	2,701
Ballard Power Systems Inc.	Options	Laishey, Jan Louise	5	2021-03-12	46	32.66	28,356	1,777
Ballard Power Systems Inc.	Units Restricted Share Units	Laishey, Jan Louise	5	2021-03-11	46	32.66	34,084	2,652
Ballard Power Systems Inc.	Units Restricted Share Units	Laishey, Jan Louise	5	2021-03-12	46		34,001	-83
Ballard Power Systems Inc.	Units Restricted Share Units	Laishey, Jan Louise	5	2021-03-12	46		33,759	-242
Ballard Power Systems Inc.	Units Restricted Share Units	Laishey, Jan Louise	5	2021-03-12	46		33,680	-79
Ballard Power Systems Inc.	Units Restricted Share Units	Laishey, Jan Louise	5	2021-03-12	57		27,871	-5,809
Ballard Power Systems Inc.	Common Shares	MacEwen, Robert Randall	5	2021-03-12	57	32.87	295,406	46,427
Ballard Power Systems Inc.	Common Shares	MacEwen, Robert Randall	5	2021-03-16	51	4.82	319,081	23,675
Ballard Power Systems Inc.	Common Shares	MacEwen, Robert Randall	5	2021-03-16	51	14.22	332,358	13,277
Ballard Power Systems Inc.	Common Shares	MacEwen, Robert Randall	5	2021-03-16	10	32.21	295,406	-36,952
Ballard Power Systems Inc.	Options	MacEwen, Robert Randall	5	2021-03-12	46	32.66	149,973	20,308
Ballard Power Systems Inc.	Options	MacEwen, Robert Randall	5	2021-03-16	51	4.82	126,298	-23,675
Ballard Power Systems Inc.	Options	MacEwen, Robert Randall	5	2021-03-16	51	14.22	113,021	-13,277
Ballard Power Systems Inc.	Units Restricted Share Units	MacEwen, Robert Randall	5	2021-03-11	46	32.66	331,570	30,312
Ballard Power Systems Inc.	Units Restricted Share Units	MacEwen, Robert Randall	5	2021-03-12	46		330,144	-1,426
Ballard Power Systems Inc.	Units Restricted Share Units	MacEwen, Robert Randall	5	2021-03-12	46		328,354	-1,790
Ballard Power Systems Inc.	Units Restricted Share Units	MacEwen, Robert Randall	5	2021-03-12	46		327,616	-738
Ballard Power Systems Inc.	Units Restricted Share Units	MacEwen, Robert Randall	5	2021-03-12	57		227,771	-99,845
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-12	57	32.87	5,701	2,701
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-15	51	14.22	10,701	5,000
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-15	10	33.07	5,701	-5,000
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-16	51	4.82	8,201	2,500
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-16	10	34	5,701	-2,500
Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-19	51	14.22	7,367	1,666

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Ballard Power Systems Inc.	Common Shares	Murray, Jay Francis	5	2021-03-19	10	31	5,701	-1,666
Ballard Power Systems Inc.	Options	Murray, Jay Francis	5	2021-03-12	46	32.66	48,337	1,669
Ballard Power Systems Inc.	Options	Murray, Jay Francis	5	2021-03-15	51	14.22	43,337	-5,000
Ballard Power Systems Inc.	Options	Murray, Jay Francis	5	2021-03-16	51	4.82	40,837	-2,500
Ballard Power Systems Inc.	Options	Murray, Jay Francis	5	2021-03-19	51	14.22	39,171	-1,666
Ballard Power Systems Inc.	Units Restricted Share Units	Murray, Jay Francis	5	2021-03-11	46	32.66	18,413	2,492
Ballard Power Systems Inc.	Units Restricted Share Units	Murray, Jay Francis	5	2021-03-12	46		18,330	-83
Ballard Power Systems Inc.	Units Restricted Share Units	Murray, Jay Francis	5	2021-03-12	46		18,232	-98
Ballard Power Systems Inc.	Units Restricted Share Units	Murray, Jay Francis	5	2021-03-12	46		18,204	-28
Ballard Power Systems Inc.	Units Restricted Share Units	Murray, Jay Francis	5	2021-03-12	57		12,395	-5,809
Ballard Power Systems Inc.	Common Shares	Sidhu, Sarbjot	5	2021-03-12	57	32.87	32,354	2,701
Ballard Power Systems Inc.	Options	Sidhu, Sarbjot	5	2021-03-12	46	32.66	112,184	2,115
Ballard Power Systems Inc.	Units Restricted Share Units	Sidhu, Sarbjot	5	2021-03-11	46	32.66	47,861	3,158
Ballard Power Systems Inc.	Units Restricted Share Units	Sidhu, Sarbjot	5	2021-03-12	46		47,778	-83
Ballard Power Systems Inc.	Units Restricted Share Units	Sidhu, Sarbjot	5	2021-03-12	46		47,482	-296
Ballard Power Systems Inc.	Units Restricted Share Units	Sidhu, Sarbjot	5	2021-03-12	46		47,390	-92
Ballard Power Systems Inc.	Units Restricted Share Units	Sidhu, Sarbjot	5	2021-03-12	57		41,581	-5,809
Bank of Nova Scotia, The	Common Shares	Patterson, Lynn Katherine	4	2021-03-16	10	78.6	10,385	6,295
Bank of Nova Scotia, The	Common Shares	Porter, Brian J	4, 5	2021-03-17	51	63.98	212,103	78,628
Bank of Nova Scotia, The	Common Shares	Porter, Brian J	4, 5	2021-03-17	10	79.19	133,475	-78,628
Bank of Nova Scotia, The	Options	Porter, Brian J	4, 5	2021-03-17	51	63.98	982,450	-78,628
Barrick Gold Corporation	Common Shares	Walker, Gregory Alan Pool	5	2018-02-22	00			
Barrick Gold Corporation	Common Shares	Walker, Gregory Alan Pool	5	2020-12-31	30	27.8	144	144
Battle North Gold Corporation	Common Shares	Sun Valley Gold LLC	3	2021-03-18	10	1.25		-1,500,000
Battle North Gold Corporation	Common Shares	Sun Valley Gold LLC	3	2021-03-18	10	2.6132	13,840,591	-1,500,000
Battle North Gold Corporation	Common Shares	Sun Valley Gold LLC	3	2021-03-18	10	1.25		-2,965,000
Battle North Gold Corporation	Common Shares	Sun Valley Gold LLC	3	2021-03-18	10	2.6005	10,875,591	-2,965,000
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Ackermann, Christina	5	2021-03-11	57	32.82	80,136	1,463
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Ackermann, Christina	5	2021-03-11	97	32.82	79,340	-796
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Ackermann, Christina	5	2021-03-11	57		87,418	-1,463
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-09	10	0.1933		-150,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-09	10	0.1933		-150,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-09	10	0.1933		-150,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-09	10	0.1933	-55,000	-150,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-10	10	0.195		-12,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-10	10	0.195		-12,000
Bayhorse Silver Inc.	Common Shares	Klassen, Corey Dean	4	2021-03-10	10	0.195	95,000	-120,000
Baylin Technologies Inc.	Common Shares	Royer, Jeffrey	3, 4	2021-03-11	54	1.05	18,822,492	666,800
Baylin Technologies Inc.	Warrants	Royer, Jeffrey	3, 4	2021-03-11	54	1.05	0	-666,800
Baytex Energy Corp.	Common Shares	Bly, Mark	4	2021-03-19	10	1.102	328,353	30,000
Baytex Energy Corp.	Common Shares	LaFehr, Edward David	5	2021-03-15	10	1.48	1,120,561	16,891
BBTV Holdings Inc.	Options	Corbet, Blake	7	2021-03-08	00			
BBTV Holdings Inc.	Options	Corbet, Blake	7	2021-03-08	50		25,000	25,000
BBTV Holdings Inc.	Rights Performance Share Units	Corbet, Blake	7	2021-03-08	00			
BBTV Holdings Inc.	Rights Performance Share Units	Corbet, Blake	7	2021-03-08	56		134,715	134,715
BBTV Holdings Inc.	Rights Restricted Share Units	Corbet, Blake	7	2021-03-08	00			
BBTV Holdings Inc.	Rights Restricted Share Units	Corbet, Blake	7	2021-03-08	56		62,176	62,176
BBTV Holdings Inc.	Subordinate Voting Shares	Corbet, Blake	7	2021-03-08	00		700	
BBTV Holdings Inc.	Subordinate Voting Shares	Corbet, Blake	7	2021-03-08	00		14,500	
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-17	10	10.926	859,544	500
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-17	10	10.828	859,944	400
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-19	10	10.61	860,444	500
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Options	McGrath, Regan	4, 5	2021-02-08	00			
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Options	McGrath, Regan	4, 5	2021-03-12	50	0.1	200,000	200,000

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BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Options	McGrath, Regan	4, 5	2021-02-08	00			
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Options	McGrath, Regan	4, 5	2021-02-09	00			
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Options	McGrath, Regan	4, 5	2021-02-10	50	0.135	72,000	72,000
Better Plant Sciences Inc.	Common Shares	Chua, Perry	5	2021-03-08	00		274,292	
Better Plant Sciences Inc.	Warrants	Chua, Perry	5	2021-03-08	00		26,640	
Biosenta Inc.	Common Shares Class A Common Shares	Korhonen, Edwin	4	2016-06-29	37	0.15		-374,400
Biosenta Inc.	Common Shares Class A Common Shares	Korhonen, Edwin	4	2016-06-29	37	0.15	25,148	-352,084
BioSyent Inc.	Common Shares	Ashrafi, Seyed Ahmad	4	2021-03-19	56	7.3	41,543	4,395
BioSyent Inc.	Rights Restricted Share Units	Elford, Sara	4	2021-03-19	56		10,570	2,260
BioSyent Inc.	Common Shares	Lockhard, Peter Douglas	4	2021-03-19	56		165,992	4,897
BioSyent Inc.	Common Shares	MOOTHAN, RAMESH	4	2021-03-19	56	7.3	19,504	3,337
BioSyent Inc.	Common Shares	van der Mark, Joost	5	2021-03-19	56		36,845	6,825
Bird River Resources Inc.	Common Shares	Bridgman, Jon	4, 5	2020-11-17	37		27,083	-297,917
Bird River Resources Inc.	Common Shares	Hawkins, hawkins	4	2021-03-03	50	0.23		250,000
Bird River Resources Inc.	Common Shares	Hawkins, hawkins	4	2021-03-03	50	0.235	350,000	250,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2021-03-15	57		2,864,559	18,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2021-03-15	57		2,882,559	18,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2021-03-16	57		2,900,559	18,000
Black Diamond Group Limited	Options	Haynes, Trevor	4, 5	2021-03-17	50	3.3078	1,087,046	219,000
Black Diamond Group Limited	Rights Performance Share Units	Haynes, Trevor	4, 5	2021-03-15	58 - Expiration of rights		126,000	-18,000
Black Diamond Group Limited	Rights Performance Share Units	Haynes, Trevor	4, 5	2021-03-15	58 - Expiration of rights		108,000	-18,000
Black Diamond Group Limited	Rights Performance Share Units	Haynes, Trevor	4, 5	2021-03-16	58 - Expiration of rights		90,000	-18,000
Black Diamond Group Limited	Rights RSU	Haynes, Trevor	4, 5	2021-03-15	57	3.3038	90,000	-18,000
Black Diamond Group Limited	Rights RSU	Haynes, Trevor	4, 5	2021-03-15	57	3.3038	72,000	-18,000
Black Diamond Group Limited	Rights RSU	Haynes, Trevor	4, 5	2021-03-16	57	3.2168	54,000	-18,000
Black Diamond Group Limited	Rights RSU	Haynes, Trevor	4, 5	2021-03-17	56	3.3078	108,000	54,000
Black Diamond Group Limited	Common Shares	Hedges, Brian Robie	4	2021-03-18	10	3.3	20,000	10,000
Black Diamond Group Limited	Rights DSU	Hedges, Brian Robie	4	2021-03-04	00			
Black Diamond Group Limited	Rights DSU	Hedges, Brian Robie	4	2021-03-17	56		7,500	7,500
Black Diamond Group Limited	Rights DSU	Herdman, Robert	4	2021-03-17	56		44,098	7,500
Black Diamond Group Limited	Rights DSU	Kelley, Barbara Jean	4	2021-03-17	56		40,759	7,500
Black Diamond Group Limited	Rights DSU	Kernaghan, Edward Hume	3, 4	2021-03-17	56		30,000	7,500
Black Diamond Group Limited	Common Shares	LaBrie, Tobias Gerald	5	2021-03-15	57		140,615	10,500
Black Diamond Group Limited	Common Shares	LaBrie, Tobias Gerald	5	2021-03-15	57		150,615	10,000
Black Diamond Group Limited	Common Shares	LaBrie, Tobias Gerald	5	2021-03-16	57		160,615	10,000
Black Diamond Group Limited	Options	LaBrie, Tobias Gerald	5	2021-03-17	50	3.3078	521,877	93,000
Black Diamond Group Limited	Rights Performance Share Units	LaBrie, Tobias Gerald	5	2021-03-15	58 - Expiration of rights		60,500	-20,500
Black Diamond Group Limited	Rights Performance Share Units	LaBrie, Tobias Gerald	5	2021-03-16	58 - Expiration of rights		50,500	-10,000
Black Diamond Group Limited	Rights RSU	LaBrie, Tobias Gerald	5	2021-03-15	57	3.3038	50,000	-10,500
Black Diamond Group Limited	Rights RSU	LaBrie, Tobias Gerald	5	2021-03-15	57	3.3038	40,000	-10,000
Black Diamond Group Limited	Rights RSU	LaBrie, Tobias Gerald	5	2021-03-16	57	3.2168	30,000	-10,000
Black Diamond Group Limited	Rights RSU	LaBrie, Tobias Gerald	5	2021-03-17	56	3.3078	60,000	30,000
Black Diamond Group Limited	Rights DSU	Latimer, Leilani	4	2021-03-04	00			
Black Diamond Group Limited	Rights DSU	Latimer, Leilani	4	2021-03-17	56		7,500	7,500
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2021-03-15	57		105,561	10,500
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2021-03-15	57		115,561	10,000
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2021-03-15	10	3.3	110,508	-5,053
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2021-03-16	57		120,508	10,000
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2021-03-16	10	3.22	115,455	-5,053
Black Diamond Group Limited	Options	Melanson, Patrick	5	2021-03-17	50	3.3078	458,404	93,000
Black Diamond Group Limited	Rights Performance Share Units	Melanson, Patrick	5	2021-03-15	58 - Expiration of rights		60,500	-20,500

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Black Diamond Group Limited	Rights Performance Share Units	Melanson, Patrick	5	2021-03-16	58 - Expiration of rights		50,500	-10,000
Black Diamond Group Limited	Rights RSU	Melanson, Patrick	5	2021-03-15	57	3.3038	50,000	-10,500
Black Diamond Group Limited	Rights RSU	Melanson, Patrick	5	2021-03-15	57	3.3038	40,000	-10,000
Black Diamond Group Limited	Rights RSU	Melanson, Patrick	5	2021-03-16	57	3.2168	30,000	-10,000
Black Diamond Group Limited	Rights RSU	Melanson, Patrick	5	2021-03-17	57	3.3078	60,000	30,000
Black Diamond Group Limited	Rights DSU	Olsson, David	4	2021-03-17	56		87,063	7,500
Black Diamond Group Limited	Common Shares	Redmond, Edward John	5	2021-03-16	57		201,783	10,000
Black Diamond Group Limited	Options	Redmond, Edward John	5	2021-03-17	50	3.3078	276,000	93,000
Black Diamond Group Limited	Rights Performance Share Units	Redmond, Edward John	5	2021-03-16	58 - Expiration of rights		20,000	-10,000
Black Diamond Group Limited	Rights RSU	Redmond, Edward John	5	2021-03-16	57	3.2168	46,667	-10,000
Black Diamond Group Limited	Rights RSU	Redmond, Edward John	5	2021-03-17	50	3.3078	76,667	30,000
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-15	57		80,008	10,500
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-15	57		90,008	10,000
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-15	10	3.3	84,095	-5,913
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-15	10	3.3	78,463	-5,632
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-16	57		88,463	10,000
Black Diamond Group Limited	Common Shares	RIDLEY, MICHAEL LENARD	5	2021-03-16	10	3.22	82,831	-5,632
Black Diamond Group Limited	Options	RIDLEY, MICHAEL LENARD	5	2021-03-17	50	3.3078	418,292	93,000
Black Diamond Group Limited	Rights Performance Share Units	RIDLEY, MICHAEL LENARD	5	2021-03-15	58 - Expiration of rights		60,500	-20,500
Black Diamond Group Limited	Rights Performance Share Units	RIDLEY, MICHAEL LENARD	5	2021-03-16	58 - Expiration of rights		50,500	-10,000
Black Diamond Group Limited	Rights RSU	RIDLEY, MICHAEL LENARD	5	2021-03-15	57	3.3038	50,000	-10,500
Black Diamond Group Limited	Rights RSU	RIDLEY, MICHAEL LENARD	5	2021-03-15	57	3.3038	40,000	-10,000
Black Diamond Group Limited	Rights RSU	RIDLEY, MICHAEL LENARD	5	2021-03-16	57	3.2168	30,000	-10,000
Black Diamond Group Limited	Rights RSU	RIDLEY, MICHAEL LENARD	5	2021-03-17	57	3.3078	60,000	30,000
Black Diamond Group Limited	Rights DSU	Stein, Steve	4	2021-03-17	56		35,233	7,500
Black Diamond Group Limited	Rights DSU	Wagemakers, Robert	4	2021-03-17	56		40,813	7,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-06-04	10	0.18	2,444,000	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-09-04	10	0.2	2,400,000	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-09-07	10	0.2	2,366,000	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-09-13	10	0.215	2,360,000	-1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-10-05	10	0.2325	2,320,000	10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-11-01	10	0.2	2,268,500	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-11-14	10	0.2	2,233,500	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-11-16	10	0.2	2,236,000	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-06	10	0.2	2,221,000	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-17	10	0.19	2,218,000	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-31	10	0.2	2,199,000	-8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-15	10	0.17	2,113,000	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-25	10	0.14	2,063,000	-20,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-11	10	0.145	2,033,500	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-14	10	0.1506	2,084,375	-40,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-28	10	0.1816	2,039,375	-30,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-29	10	0.1785	2,044,375	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-17	10	0.16	2,060,375	-14,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-18	10	0.1512	2,061,375	-4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-26	10	0.16	2,096,375	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-26	10	0.16	2,095,375	-1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-10	10	0.16	2,075,375	-15,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-21	10	0.15	2,071,875	25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-05	10	0.145	2,146,875	25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-17	10	0.135	2,268,375	-28,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-20	10	0.127	2,293,375	25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-02	10	0.135	2,067,875	-8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-06	10	0.05	2,415,375	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-07	10	0.05	2,421,375	6,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-08	10	0.05	2,425,375	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-11	10	0.05	2,427,375	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-12	10	0.045	2,428,375	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-13	10	0.045	2,411,875	-16,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-13	10	0.045	2,412,875	1,000

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Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-15	10	0.055	2,454,375	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-18	10	0.055	2,479,375	-15,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-22	10	0.05	2,588,375	-21,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-25	10	0.045	2,623,875	-19,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-26	10	0.05	2,636,875	13,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-27	10	0.05	2,639,375	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-02	10	0.04	1,938,375	-26,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-02	10	0.04	1,939,375	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-04	10	0.04	1,790,875	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-09	10	0.04	1,940,375	-9,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-20	10	0.04	1,895,375	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-27	10	0.0398	1,682,875	-12,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-12-31	10	0.045	1,586,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-02	10	0.05	1,590,300	3,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-03	10	0.05	1,595,800	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-03	10	0.05	1,589,300	-6,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-06	10	0.06	1,585,300	-4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-22	10	0.07	1,588,300	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-24	10	0.07	1,721,800	3,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-01-28	10	0.06	1,702,300	-19,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-03	10	0.075	1,574,800	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-04	10	0.065	1,580,300	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-05	10	0.065	1,582,300	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-06	10	0.065	1,584,800	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-11	10	0.065	1,582,800	-2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-11	10	0.065	1,583,800	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-18	10	0.07	1,595,800	12,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-20	10	0.075	1,637,300	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-24	10	0.08	1,640,300	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-25	10	0.075	1,641,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-26	10	0.07	1,692,800	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-27	10	0.06	1,695,300	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-02-28	10	0.055	1,664,300	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-02	10	0.075	1,668,300	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-03	10	0.085	1,670,300	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-04	10	0.075	1,671,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-10	10	0.07	1,672,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-11	10	0.06	1,675,800	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-12	10	0.055	1,681,300	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-13	10	0.05	1,636,300	-45,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-13	10	0.055	1,637,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-16	10	0.0275	1,620,800	-17,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-16	10	0.05	1,621,800	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-18	10	0.05	1,573,800	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-19	10	0.05	1,575,300	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-23	10	0.05	1,576,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-27	10	0.06	1,487,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-03-31	10	0.055	1,488,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-01	10	0.055	1,489,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-02	10	0.05	1,480,800	-8,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-06	10	0.065	1,360,800	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-08	10	0.07	1,363,800	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-09	10	0.06	1,365,300	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-14	10	0.065	1,466,300	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-15	10	0.06	1,467,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-20	10	0.05	1,797,300	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-21	10	0.05	1,798,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-04-21	10	0.05	1,764,800	-34,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-01	10	0.05	1,640,800	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-05	10	0.05	1,642,300	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-06	10	0.055	1,647,300	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-12	10	0.055	1,634,800	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-13	10	0.06	1,639,300	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-14	10	0.055	1,645,800	6,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-14	10	0.055	1,613,300	-32,500

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-19	10	0.055	1,564,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-20	10	0.055	1,571,300	6,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-22	10	0.05	1,601,300	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-28	10	0.06	1,556,800	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-05-29	10	0.0566	1,558,300	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-01	10	0.06	1,562,800	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-02	10	0.065	1,566,800	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-03	10	0.06	1,538,300	-28,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-12	10	0.065	1,617,300	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-15	10	0.07	1,618,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-18	10	0.07	1,620,800	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-19	10	0.06	1,610,800	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-22	10	0.065	1,613,300	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-26	10	0.055	1,704,300	-9,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-30	10	0.065	1,712,300	8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-30	10	0.065		8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-06-30	10	0.065		8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-02	10	0.075	1,719,300	7,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-06	10	0.085	1,804,300	-15,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-06	10	0.085	1,805,800	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-07	10	0.08	1,721,300	15,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-08	10	0.08	1,771,300	50,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-09	10	0.075	1,840,800	-30,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-10	10	0.085	1,843,800	3,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-10	10	0.08	1,774,800	-69,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-13	10	0.085	1,785,300	10,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-14	10	0.08	1,787,300	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-16	10	0.08	1,841,800	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-17	10	0.075	1,812,300	-29,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-21	10	0.0683	1,843,800	6,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-22	10	0.07	1,853,300	9,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-27	10	0.07	1,693,225	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-07-31	10	0.07	1,794,725	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-05	10	0.07	1,994,725	200,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-07	10	0.065	2,000,225	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-10	10	0.07	2,005,725	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-11	10	0.065	2,032,225	26,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-11	10	0.065	2,005,225	-27,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-13	10	0.075	1,978,225	-27,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-13	10	0.075	1,979,225	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-14	10	0.0777	1,849,225	20,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-17	10	0.08	1,879,725	30,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-17	10	0.08		51,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-17	10	0.08		51,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-17	10	0.08	1,828,725	-51,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-18	10	0.0972	1,866,725	38,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-19	10	0.1	1,873,225	6,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-20	10	0.095	2,881,225	8,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-20	10	0.09	2,828,725	-52,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-24	10	0.08	2,828,225	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-08-28	10	0.08	2,836,725	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-02	10	0.085	2,744,225	2,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-03	10	0.08	2,746,225	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-04	10	0.08	2,754,725	8,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-08	10	0.075	2,569,725	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-10	10	0.08	2,564,725	6,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-11	10	0.08	2,518,725	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-14	10	0.08	2,419,725	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-22	10	0.08	2,515,225	16,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-09-23	10	0.08	2,519,225	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2020-10-02	10	0.073	2,653,725	5,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-10-17	10	0.05		500,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-10-17	10	0.05	2,562,001	467,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-12-03	10	0.045		-350,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-12-03	10	0.045	2,333,001	-300,000

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Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-12-09	10	0.05		-6,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-12-09	10	0.05		-6,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-04-28	10	0.05		-90,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-04-28	10	0.05	2,189,001	-80,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-08-17	10	0.09		-225,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-08-17	10	0.09	1,394,276	-135,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-15	10	0.07		-51,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-15	10	0.07		-51,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-16	10	0.07		-86,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-16	10	0.07		-86,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-23	10	0.06		-100,550
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-10-23	10	0.06	264,726	-50,550
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-20	10	0.07		-1,875,578
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-20	10	0.07		-1,733,578
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-20	10	0.07	83,150	-1,715,576
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-21	10	0.07		-39,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-21	10	0.066		-18,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2021-01-21	10	0.066	66,150	-17,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-04-29	10	0.05		-49,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-04-29	10	0.05	508,500	-24,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-05-29	10	0.055		-50,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-05-29	10	0.055		-50,000
Blue Thunder Mining Inc.	Common Shares	Williams, Chad	4, 6, 5	2021-03-17	10	0.075	5,084,476	241,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2021-03-12	10	0.21	1,025,000	-10,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2021-03-15	10	0.21	995,000	-30,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2021-03-16	10	0.215	985,000	-10,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2021-03-17	10	0.21	981,000	-4,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2021-03-18	10	0.21	965,000	-16,000
Bluestone Resources Inc.	Options	Beck, James Andrew	4	2021-03-18	50	1.7	389,000	114,000
Bluestone Resources Inc.	Options	Carotenuto, Nadia	5	2021-03-18	50	1.7	354,000	136,000
Bluestone Resources Inc.	Options	Cass, David Maurice	5	2021-03-18	50	1.7	659,000	166,000
Bluestone Resources Inc.	Options	Dicaire, David	4	2021-03-18	50	1.7	314,000	114,000
Bluestone Resources Inc.	Options	Hathaway, Peter Leofric	4	2021-03-18	50	1.7	189,000	114,000
Bluestone Resources Inc.	Common Shares	Hemstead, Peter Timothy	5	2021-03-19	54	1.65	383,000	50,900
Bluestone Resources Inc.	Options	Hemstead, Peter Timothy	5	2021-03-18	50	1.7	894,000	286,000
Bluestone Resources Inc.	Warrants	Hemstead, Peter Timothy	5	2021-03-19	54	1.65	29,100	-50,900
Bluestone Resources Inc.	Warrants	Hemstead, Peter Timothy	5	2021-03-19	55		0	-29,100
Bluestone Resources Inc.	Options	Johnson, Penny	5	2021-03-18	50	1.7	161,667	35,000
Bluestone Resources Inc.	Options	Klinck, Darren Ervin Charles	5	2021-03-18	50	1.7	1,658,000	521,000
Bluestone Resources Inc.	Warrants	Klinck, Darren Ervin Charles	5	2021-03-19	55	1.65	0	-40,000
Bluestone Resources Inc.	Options	Lundin, Jack Oliver	4, 5	2021-03-18	50	1.7	1,478,000	528,000
Bluestone Resources Inc.	Common Shares	Robins, John Edward	4	2021-03-19	54	1.65	856,100	120,000
Bluestone Resources Inc.	Options	Robins, John Edward	4	2021-03-18	50	1.7	514,000	114,000
Bluestone Resources Inc.	Warrants	Robins, John Edward	4	2021-03-19	54	1.65	0	-120,000
Bluestone Resources Inc.	Options	Williams, Stephen Charles Hadfield	5	2021-03-18	50	1.7	574,000	155,000
Bluestone Resources Inc.	Warrants	Williams, Stephen Charles Hadfield	5	2021-03-19	55	1.65	0	-17,500
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Bowers, John Eric	5	2020-12-31	30		3,332	42
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Bowers, John Eric	5	2021-03-12	56	37.73		297
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Bowers, John Eric	5	2021-03-12	56	37.73		297
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Bowers, John Eric	5	2021-03-12	56	37.73	3,926	594
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2020-12-31	30		3,427	63
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2021-03-12	56	37.73		251
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2021-03-12	56	37.73		251
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2021-03-12	56	37.73		502
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2021-03-12	56	37.73		502
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Davids, Leonora Heloise	5	2021-03-12	56	37.73	5,929	2,502

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Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goertz, Andrea	5	2020-12-31	30		6,505	136
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goertz, Andrea	5	2021-03-12	56	37.73		181
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goertz, Andrea	5	2021-03-12	56	37.73		181
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goertz, Andrea	5	2021-03-12	56	37.73	6,867	362
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goodman, Gary Michael	4	2020-12-31	30		17,551	474
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Goodman, Gary Michael	4	2021-03-12	56	37.73	17,823	272
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Ha, James	5	2020-12-31	30		8,679	156
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Ha, James	5	2021-03-12	56	37.73	9,607	928
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Havener, Jr., Arthur Lee	4	2020-12-31	30		21,644	593
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Havener, Jr., Arthur Lee	4	2021-03-12	56	37.73	21,826	182
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Jaraim, Bhavnesh	5	2020-12-31	30		1,560	39
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Jaraim, Bhavnesh	5	2021-03-12	56	37.73	2,560	1,000
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Klaus, Jeffrey Dave	5	2020-12-31	30		6,129	99
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Kolias-Gunn, Samantha Alyssa	5	2020-12-31	30		6,267	156
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Kolias-Gunn, Samantha Alyssa	5	2021-03-12	56	37.73	6,359	92
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Mix, Helen May	5	2020-12-31	30		19,209	487
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Mix, Helen May	5	2021-03-12	56	37.73	20,213	1,004
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Morrison, Scott Andrew	5	2020-12-31	30		9,239	233
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Morrison, Scott Andrew	5	2021-03-12	56	37.73	9,511	272
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Robinson, Brian	5	2020-12-31	30		11,602	305
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Robinson, Brian	5	2021-03-12	56	37.73	11,784	182
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Russell, Lisa Maureen	5	2020-12-31	30		24,096	586
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Russell, Lisa Maureen	5	2021-03-12	56	37.73	25,528	1,432
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Smandych, Lisa Dawn	5	2020-12-31	30		7,708	122
Boardwalk Real Estate Investment Trust	Deferred Units (Convert to TU and/or cash)	Smandych, Lisa Dawn	5	2021-03-12	56	37.73	8,692	984
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-03-12	10	4.36	4,238,237	1,600
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-03-18	10	3.83	4,244,237	6,000
Bonterra Energy Corp.	Options	Stewart, Donald Michael Godfrey	4	2021-03-17	00			
Bonterra Energy Corp.	Options	Stewart, Donald Michael Godfrey	4	2021-03-17	50	3.89	30,000	30,000
Bonterra Energy Corp.	Options	Stewart, Donald Michael Godfrey	4	2021-03-17	50	3.89	60,000	30,000
Bonterra Energy Corp.	Options	Stewart, Donald Michael Godfrey	4	2021-03-17	50	3.89	90,000	30,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2021-03-18	10	0.1075	7,377,001	10,000
Brigadier Gold Limited	Common Shares	Vanry, Steven Edward	4, 5	2021-03-16	11	0.2	1,096,000	125,000
Brigadier Gold Limited	Warrants	Vanry, Steven Edward	4, 5	2020-10-26	00			
Brigadier Gold Limited	Warrants	Vanry, Steven Edward	4, 5	2021-03-16	11	0.3	125,000	125,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4, 5	2021-01-29	00			
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4, 5	2021-01-29	00			
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-01-29	00		844,800	
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.78	844,900	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.8	845,000	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.87	847,100	2,100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.88	851,900	4,800
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.89	852,000	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-17	10	6.9	854,300	2,300
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.85	854,700	400

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Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.84	858,800	4,100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.5	861,800	3,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.86	175	175
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.86	0	-175
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.88	284	284
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.88	0	-284
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.895	106	106
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.895	0	-106
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.905	50	50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.905	0	-50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.91	148	148
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-12	38	37.91	0	-148
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.73	41	41
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.73	0	-41
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.84	73	73
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.84	0	-73
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.85	4	4
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.85	0	-4
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.86	94	94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.86	0	-94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.87	140	140
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.87	0	-140
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.88	141	141
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.88	0	-141
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.9	509	509
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.9	0	-509
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.915	136	136
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.915	0	-136
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.92	338	338
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.92	0	-338
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.94	278	278
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.94	0	-278
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.95	94	94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.95	0	-94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.96	288	288
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.96	0	-288
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.975	5	5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.975	0	-5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.98	47	47

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	37.98	0	-47
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	38	712	712
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-13	38	38	0	-712
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-14	38	37.965	255	255
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-14	38	37.965	0	-255
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.63	9	9
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.63	0	-9
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.64	112	112
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.64	0	-112
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.65	12	12
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.65	0	-12
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.7	50	50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.7	0	-50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.72	18	18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.72	0	-18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.73	55	55
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.73	0	-55
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.75	180	180
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.75	0	-180
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.77	85	85
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.77	0	-85
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.78	33	33
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.78	0	-33
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.79	69	69
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.79	0	-69
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.8	25	25
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.8	0	-25
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.81	5	5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.81	0	-5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.83	706	706
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.83	0	-706
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.9	77	77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.9	0	-77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.92	34	34
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.92	0	-34
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.93	66	66
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.93	0	-66
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.94	435	435

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Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.94	0	-435
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.96	32	32
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.96	0	-32
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.98	233	233
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.98	0	-233
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.99	174	174
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.99	0	-174
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.995	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	37.995	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	38	160	160
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-15	38	38	0	-160
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.9	64	64
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.9	0	-64
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.95	37	37
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.95	0	-37
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.97	14	14
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.97	0	-14
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.98	80	80
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	37.98	0	-80
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	38	444	444
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-19	38	38	0	-444
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.27	91	91
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.27	0	-91
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.295	81	81
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.295	0	-81
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.32	84	84
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.32	0	-84
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.34	48	48
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.34	0	-48
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.36	128	128
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.36	0	-128
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.37	18	18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.37	0	-18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.38	337	337
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.38	0	-337
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.385	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.385	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.46	53	53

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.86	0	-197
Brookfield Business Partners L.P.	Limited Partnership Units	Hamill, David John	4	2021-02-22	30	43.06	8,996	26
Brookfield Investments Corporation (Formerly Brascade Corporation)	Preferred Shares Class 2 Junior Preferred Shares, Series D	Brookfield Asset Management Inc.	3	2021-03-08	38		42,556,059	-402,521
BSR Real Estate Investment Trust	Performance Units	Brazeal, Franklin Blake	5	2021-03-12	56	10.91	86,414	19,798
BSR Real Estate Investment Trust	Restricted Units	Brazeal, Franklin Blake	5	2021-03-12	56	10.91	37,212	13,199
BSR Real Estate Investment Trust	Performance Units	Koehn, Susan Rosenbaum	5	2021-03-12	56	10.91	46,967	10,972
BSR Real Estate Investment Trust	Restricted Units	Koehn, Susan Rosenbaum	5	2021-03-12	56	10.91	20,209	7,314
BSR Real Estate Investment Trust	Performance Units	Oberste, Daniel Martin	5	2021-03-12	56	10.91	65,088	19,798
BSR Real Estate Investment Trust	Restricted Units	Oberste, Daniel Martin	5	2021-03-12	56	10.91	29,563	13,199
BSR Real Estate Investment Trust	Performance Units	Ray, Scott Allen	5	2021-03-12	56	10.91	18,587	4,235
BSR Real Estate Investment Trust	Restricted Units	Ray, Scott Allen	5	2021-03-12	56	10.91	8,005	2,823
BTB Real Estate Investment Trust	Trust Units	Bolt@, Mathieu	5	2021-03-17	10	4.33	11,362	5,267
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-15	10		205,635	-175,000
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-16	10		30,635	-175,000
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-17	10		-102,365	-133,000
C2C Gold Corp. (formerly Taku Gold Corp.)	Options	Wilson, Patricia	4	2021-03-16	51	0.07	690,000	130,000
C2C Gold Corp. (formerly Taku Gold Corp.)	Options	Wilson, Patricia	4	2021-03-16	51	0.1	660,000	-30,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	McNeice, John Darin	5	2021-03-15	54	0.1	1,952,090	125,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	McNeice, John Darin	5	2021-03-15	54	0.1	0	-125,000
Calfrac Well Services Ltd.	Common Shares	Glendon Capital Management L.P.	3	2021-03-11	10	4.5144	2,924,160	-100,000
Calfrac Well Services Ltd.	Common Shares	Glendon Capital Management L.P.	3	2021-03-12	10	4.25	2,899,160	-25,000
Calian Group Ltd.	Common Shares	Hamer, Seann	5	2021-03-12	10	60.51	1,468	6
Calibre Mining Corp.	Options	Becerra, Juan Carlos	5	2020-03-16	00			
Calibre Mining Corp.	Options	Becerra, Juan Carlos	5	2021-03-01	50		169,024	169,024
Calibre Mining Corp.	Restricted Share Units	Becerra, Juan Carlos	5	2020-03-16	00		500,000	
Calibre Mining Corp.	Restricted Share Units	Becerra, Juan Carlos	5	2021-03-01	56		569,955	69,955
Calibre Mining Corp.	Rights Performance Share Units	Walsh, Audra Beth	4	2019-10-08	00			
Calibre Mining Corp.	Rights Performance Share Units	Walsh, Audra Beth	4	2021-03-01	56		50,000	50,000
Cameco Corporation	Common Shares	Clark, Dale Robert	5	2021-03-17	51	19.3	19,087	8,500
Cameco Corporation	Common Shares	Clark, Dale Robert	5	2021-03-17	10	23.75	10,587	-8,500
Cameco Corporation	Common Shares	Clark, Dale Robert	5	2021-03-17	10	23.75	10,387	-200
Cameco Corporation	Options	Clark, Dale Robert	5	2021-03-17	51	23.75		-8,500
Cameco Corporation	Options	Clark, Dale Robert	5	2021-03-17	51	19.7	113,366	-8,500
Cameco Corporation	Common Shares	Girard, Rachelle Spring	5	2021-03-11	51	11.32	16,192	7,360
Cameco Corporation	Common Shares	Girard, Rachelle Spring	5	2021-03-11	10	20.585	8,832	-7,360
Cameco Corporation	Options	Girard, Rachelle Spring	5	2021-03-11	51	11.32	17,310	-7,360
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	51	11.32	527,352	157,517
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.618	514,184	-13,168
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.573	500,684	-13,500
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.549	493,986	-6,698
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.537	485,686	-8,300
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.505	473,586	-12,100
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.548	472,386	-1,200
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.577	469,786	-2,600
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.624	437,352	-32,434
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.84	431,769	-5,583
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.781	428,126	-3,643
Cameco Corporation	Common Shares	Gitzel, Tim Scott	5	2021-03-11	10	20.743	369,835	-58,291
Cameco Corporation	Options	Gitzel, Tim Scott	5	2021-03-11	51	11.32	1,553,900	-157,517
Cameco Corporation	Common Shares	Johnson, Jill Amanda	7	2021-03-16	10	24	4,039	-886

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Cameco Corporation	Common Shares	McNally-Power, Lynn Debra	5	2021-03-12	51	11.32	20,100	9,200
Cameco Corporation	Common Shares	McNally-Power, Lynn Debra	5	2021-03-12	10	21.32	10,900	-9,200
Cameco Corporation	Options	McNally-Power, Lynn Debra	5	2021-03-12	51	11.32	79,417	-9,200
Cameco Corporation	Common Shares	Quinn, Sean Anthony	5	2021-03-15	51	11.32	80,284	37,234
Cameco Corporation	Common Shares	Quinn, Sean Anthony	5	2021-03-15	10	22.975	76,031	-4,253
Cameco Corporation	Common Shares	Quinn, Sean Anthony	5	2021-03-15	10	22.924	43,050	-32,981
Cameco Corporation	Options	Quinn, Sean Anthony	5	2021-03-15	51	11.32	349,267	-37,234
Cameco Corporation	Common Shares	Reilly, Brian Arthur	5	2021-03-11	51	19.3	46,150	18,192
Cameco Corporation	Common Shares	Reilly, Brian Arthur	5	2021-03-11	51	11.32	89,100	42,950
Cameco Corporation	Common Shares	Reilly, Brian Arthur	5	2021-03-11	10	20.702	70,908	-18,192
Cameco Corporation	Common Shares	Reilly, Brian Arthur	5	2021-03-11	10	20.525	47,958	-22,950
Cameco Corporation	Common Shares	Reilly, Brian Arthur	5	2021-03-11	10	20.64	27,958	-20,000
Cameco Corporation	Options	Reilly, Brian Arthur	5	2021-03-11	51	19.3	132,795	-18,192
Cameco Corporation	Options	Reilly, Brian Arthur	5	2021-03-11	51	11.32	89,845	-42,950
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	51	14.7	130,270	50,000
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	10	24.25	125,170	-5,100
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	10	24.143	122,070	-3,100
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	10	24.071	95,270	-26,800
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	10	24.15	90,270	-5,000
Cameco Corporation	Common Shares	Wong, Alice Louise	5	2021-03-16	10	24.216	80,270	-10,000
Cameco Corporation	Options	Wong, Alice Louise	5	2021-03-16	51	14.7	313,600	-50,000
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Bralver, Charles Norman	4	2021-03-10	56	11.797	100,137	549
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Denham, Gillian H. (Jill)	4	2021-03-10	56	11.797	4,195	23
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Harris, Michael Deane	4	2021-03-10	56	11.797	193,701	1,061
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Jones, Merri	4	2021-03-10	56	11.797	27,425	150
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Lyons, Terrence	4	2021-03-10	56	11.797	114,353	627
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Rosenfeld, Eric Stuart	4	2021-03-10	56	11.797	4,195	23
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	2021-03-10	56	11.797	87,420	479
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Tennant, Sally Jennifer	4	2021-03-10	56	11.797	22,760	125
Canacol Energy Ltd.	Common Shares	Fourth Sail Capital, LP	3	2021-03-09	10	3.6	30,923,629	968,000
Canacol Energy Ltd.	Common Shares	Fourth Sail Capital, LP	3	2021-03-10	10	3.6	30,924,229	600
Canada Nickel Company Inc.	Common Shares	BALCH, STEPHEN JAMES	5	2020-02-25	00			
Canada Nickel Company Inc.	Common Shares	BALCH, STEPHEN JAMES	5	2021-03-10	57		140,000	140,000
Canada Nickel Company Inc.	Restricted Share Units	BALCH, STEPHEN JAMES	5	2021-03-10	57		186,559	-140,000
Canada Nickel Company Inc.	Common Shares	Quinn, Francisca Helena	4	2021-01-29	00			
Canada Nickel Company Inc.	Common Shares	Quinn, Francisca Helena	4	2021-02-01	10	2.4	10,000	10,000
Canada Nickel Company Inc.	Common Shares	Quinn, Francisca Helena	4	2021-03-15	10	3.5	20,000	10,000
Canada Nickel Company Inc.	Common Shares	Quinn, Francisca Helena	4	2021-02-01	10	2.4		10,000
Canada Nickel Company Inc.	Common Shares	Smith, David	4	2020-08-13	54	0.57	561,785	53,928
Canada Nickel Company Inc.	Warrants	Smith, David	4	2020-08-13	54	0.57	0	-53,928
Canada Nickel Company Inc.	Common Shares	Starr, James Russell Nelles	4	2020-02-25	00			
Canada Nickel Company Inc.	Common Shares	Starr, James Russell Nelles	4	2021-03-10	57		68,750	68,750
Canada Nickel Company Inc.	Common Shares	Starr, James Russell Nelles	4	2021-03-12	10	3.59	0	-100,000
Canada Nickel Company Inc.	Restricted Share Units	Starr, James Russell Nelles	4	2021-03-10	57		45,510	-68,750
Canadian Imperial Bank of Commerce	Common Shares	Stevenson, Katharine Berghuis	4	2021-03-12	10	124.2	22,693	400
Canadian National Railway Company	Directors Deferred Share Units	Bruder, Shauneen Elizabeth	4	2021-03-10	56	144.62	16,528	116
Canadian National Railway Company	Common Shares	Cairns, James Barry	5	2021-02-28	35	93.69	1,861	253
Canadian National Railway Company	Common Shares	Cairns, James Barry	5	2021-03-17	10	146.68	746	-1,115
Canadian National Railway Company	Common Shares	DRYSDALE, Janet	5	2021-02-28	35	120.75	15,466	409
Canadian National Railway Company	Common Shares	DRYSDALE, Janet	5	2021-03-15	10	145.32	13,466	-2,000
Canadian National Railway Company	Common Shares	Finn, Sean	5	2021-02-28	30	104.29	24,800	749
Canadian National Railway Company	Common Shares	Finn, Sean	5	2021-03-19	10	146.69	19,900	-700
Canadian National Railway Company	Common Shares	Houle, Ghislain	5	2021-02-28	35	109.75	105,432	1,590

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Canadian National Railway Company	Common Shares	Klein, Dorothea Gisela	5	2021-02-28	35	92.04	456	371
Canadian National Railway Company	Common Shares	MacDonald, Douglas Allan	5	2021-02-28	35	125.04	13,200	291
Canadian National Railway Company	Common Shares	Malenfant, Dominique	5	2021-02-28	35	127.95	243	181
Canadian National Railway Company	Common Shares	Reardon, Donald K	5	2021-02-28	35	74.29	13,236	501
Canadian National Railway Company	Common Shares	Reilly, Robert Martin	5	2021-02-28	35	69.13	788	483
Canadian National Railway Company	Common Shares	Ruest, Jean-Jacques	4	2021-02-28	35	93.85	188,327	2,569
Canadian National Railway Company	Common Shares	Ryhorchuk, Doug	5	2021-02-28	35	112.58	25,855	840
Canadian Natural Resources Limited	Common Shares	Andersen, Troy John Peter	5	2020-12-31	30	30.4	3,530	3,530
Canadian Natural Resources Limited	Options	Andersen, Troy John Peter	5	2021-03-11	50	40.12	422,500	50,000
Canadian Natural Resources Limited	PSUs	Andersen, Troy John Peter	5	2020-12-31	30	24.03	38,305	840
Canadian Natural Resources Limited	PSUs	Andersen, Troy John Peter	5	2020-12-31	30	24.03	39,141	836
Canadian Natural Resources Limited	PSUs	Andersen, Troy John Peter	5	2020-12-31	30	22.64	39,683	542
Canadian Natural Resources Limited	Common Shares	Bradley, Bryan Charles	5	2021-03-19	30	24.11	32,248	6,118
Canadian Natural Resources Limited	Options	Edwards, Norman Murray	4, 5	2021-03-11	50	40.12	2,375,000	400,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-03-15	51	35.27	46,180	10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-03-15	10	40.3	36,180	-10,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-03-15	51	35.27	277,500	-10,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-03-12	10	40.275	2,280,112	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-03-15	10	40.36	2,275,112	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-03-18	10	37.3	2,273,237	-1,875
Canadian Natural Resources Limited	Options	McIntyre, Pamela Anne	5	2021-03-11	50	40.12	317,500	50,000
Canadian Natural Resources Limited	Options	Stainthorpe, Mark Allen	5	2021-03-11	50	40.12	363,050	87,500
Canadian Natural Resources Limited	Options	Stauth, Scott Gerald	5	2021-03-11	50	40.12	635,000	87,500
Canadian Premium Sand Inc.	Common Shares	Williams, Richard David	4, 5	2021-03-17	10	0.27	196,583	5,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-04	38	30.129	160,000	160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-04	38		0	-160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-05	38	30.377	160,000	160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-05	38		0	-160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-08	38	31.289	160,000	160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-08	38		0	-160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-09	38	31.562	125,300	125,300
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-09	38		0	-125,300
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-10	38	31.802	160,000	160,000
Canadian Utilities Limited	Non-Voting Shares Class A	Canadian Utilities Limited	1	2021-03-10	38		0	-160,000
Canadian Utilities Limited	Rights 49.47 (SAR)	DeChamplain, Dennis A	7	2021-03-15	59	32.96	0	-2,000
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2021-03-15	90		12,924	8,464
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2021-03-15	30	30.38	13,278	354
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2021-03-15	90		11,536	-8,464
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2021-03-15	30	33.11	4,000	-7,536
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2021-03-15	30		0	-4,000
Canadian Western Bank	Common Shares	Ahmad, Vladimir	5	2020-12-31	30	25.24	4,385	1,565
Canadian Western Bank	Common Shares	Ahmad, Vladimir	5	2020-12-31	30	23.409	4,510	125
Canadian Western Bank	Options	Ahmad, Vladimir	5	2020-12-14	50		32,933	7,855
Canadian Western Bank	Rights Performance Share Units	Ahmad, Vladimir	5	2020-12-31	56		9,411	4,067
Canadian Western Bank	Rights Performance Share Units	Ahmad, Vladimir	5	2020-12-31	59		7,855	-1,556
Canadian Western Bank	Rights Restricted Share Units	Ahmad, Vladimir	5	2020-12-31	56		7,894	3,504

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Canadian Western Bank	Rights Restricted Share Units	Ahmad, Vladimir	5	2020-12-31	59		6,127	-1,767
Canadian Western Bank	Rights Deferred Share Units	Bibby, Andrew John	4	2021-03-15	56	34.37	15,851	581
Canadian Western Bank	Common Shares	Boles, Niall	5	2020-12-31	30	25.24	3,288	1,816
Canadian Western Bank	Options	Boles, Niall	5	2020-12-14	50		49,824	9,113
Canadian Western Bank	Rights Performance Share Units	Boles, Niall	5	2020-12-31	56		11,080	4,726
Canadian Western Bank	Rights Performance Share Units	Boles, Niall	5	2020-12-31	59		9,178	-1,902
Canadian Western Bank	Rights Restricted Share Units	Boles, Niall	5	2020-12-31	56		10,704	4,106
Canadian Western Bank	Rights Restricted Share Units	Boles, Niall	5	2020-12-31	59		7,215	-3,489
Canadian Western Bank	Common Shares	Bowling, James Jeffrey	5	2020-12-31	30	25.24	6,295	1,368
Canadian Western Bank	Options	Bowling, James Jeffrey	5	2020-12-14	50		41,198	6,861
Canadian Western Bank	Rights Performance Share Units	Bowling, James Jeffrey	5	2020-12-31	56		8,244	3,554
Canadian Western Bank	Rights Performance Share Units	Bowling, James Jeffrey	5	2020-12-31	59		6,871	-1,373
Canadian Western Bank	Rights Restricted Share Units	Bowling, James Jeffrey	5	2020-12-31	56		7,888	3,086
Canadian Western Bank	Rights Restricted Share Units	Bowling, James Jeffrey	5	2020-12-31	59		5,367	-2,521
Canadian Western Bank	Rights Deferred Share Units	Filippelli, Maria	4	2021-03-15	56	34.37	2,771	1,272
Canadian Western Bank	Common Shares	Fowler, Christopher Hector	5	2020-12-31	30	25.24	123,878	4,755
Canadian Western Bank	Common Shares	Fowler, Christopher Hector	5	2020-12-31	30		2,384	108
Canadian Western Bank	Options	Fowler, Christopher Hector	5	2020-12-14	50		314,215	49,412
Canadian Western Bank	Rights Performance Share Units	Fowler, Christopher Hector	5	2020-12-31	56		76,196	32,471
Canadian Western Bank	Rights Performance Share Units	Fowler, Christopher Hector	5	2020-12-31	59		61,587	-14,609
Canadian Western Bank	Rights Restricted Share Units	Fowler, Christopher Hector	5	2020-12-31	56		29,367	12,264
Canadian Western Bank	Rights Restricted Share Units	Fowler, Christopher Hector	5	2020-12-31	59		20,365	-9,002
Canadian Western Bank	Common Shares	Furlan, Mario Vittorio	5	2020-12-31	30	25.24	25,547	1,613
Canadian Western Bank	Options	Furlan, Mario Vittorio	5	2020-12-14	50		59,066	8,090
Canadian Western Bank	Rights Performance Share Units	Furlan, Mario Vittorio	5	2020-12-31	56		9,720	4,190
Canadian Western Bank	Rights Performance Share Units	Furlan, Mario Vittorio	5	2020-12-31	59		8,101	-1,619
Canadian Western Bank	Rights Restricted Share Units	Furlan, Mario Vittorio	5	2020-12-31	56		9,299	3,639
Canadian Western Bank	Rights Restricted Share Units	Furlan, Mario Vittorio	5	2020-12-31	59		6,328	-2,971
Canadian Western Bank	Rights Deferred Share Units	Hohol, Linda Margaret Owerri	4	2021-03-15	56	34.37	18,520	581
Canadian Western Bank	Rights Deferred Share Units	Manning, Robert Adrian	4	2021-03-15	56	34.37	32,187	945
Canadian Western Bank	Common Shares	Martin, Kelly	5	2020-12-31	30	25.24	2,628	1,635
Canadian Western Bank	Options	Martin, Kelly	5	2020-12-14	50		17,806	8,200
Canadian Western Bank	Rights Performance Share Units	Martin, Kelly	5	2020-12-31	56		5,871	4,062
Canadian Western Bank	Rights Restricted Share Units	Martin, Kelly	5	2020-12-31	56		6,673	3,593
Canadian Western Bank	Rights Restricted Share Units	Martin, Kelly	5	2020-12-31	59		5,621	-1,052
Canadian Western Bank	Rights Deferred Share Units	Mitchell, Elizabeth Gay	4	2021-03-15	56	34.37	9,814	836
Canadian Western Bank	Rights Deferred Share Units	Morgan-Silvester, Sarah Alyson	4	2021-03-15	56	34.37	22,578	1,527
Canadian Western Bank	Rights Deferred Share Units	Mulligan, Margaret Jean	4	2021-03-15	56	34.37	19,960	1,382
Canadian Western Bank	Rights Deferred Share Units	Phillips, Robert L.	4	2021-03-15	56	34.37	28,253	727
Canadian Western Bank	Rights Deferred Share Units	Protti, Raymond Joseph	4	2021-03-15	56	34.37	22,513	581
Canadian Western Bank	Rights Deferred Share Units	Reid, Ian MacNevin	4	2021-03-15	56	34.37	30,668	581
Canadian Western Bank	Rights Deferred Share Units	Riley, Sanford	4	2021-03-15	56	34.37	37,103	1,272
Canadian Western Bank	Common Shares	Thomson, David Leslie John	5	2020-12-31	30	25.24	21,337	1,481
Canadian Western Bank	Options	Thomson, David Leslie John	5	2020-12-14	50		54,054	7,429
Canadian Western Bank	Rights Performance Share Units	Thomson, David Leslie John	5	2020-12-31	56		8,876	3,846
Canadian Western Bank	Rights Performance Share Units	Thomson, David Leslie John	5	2020-12-31	59		7,418	-1,458
Canadian Western Bank	Rights Restricted Share Units	Thomson, David Leslie John	5	2020-12-31	56		8,482	3,340
Canadian Western Bank	Rights Restricted Share Units	Thomson, David Leslie John	5	2020-12-31	59		5,779	-2,703

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Canadian Western Bank	Common Shares	Wright, Jeffrey Isaac Louis	5	2020-12-31	30	25.24	1,657	775
Canadian Western Bank	Options	Wright, Jeffrey Isaac Louis	5	2020-12-14	50		26,020	8,110
Canadian Western Bank	Rights Performance Share Units	Wright, Jeffrey Isaac Louis	5	2020-12-31	56		7,884	4,114
Canadian Western Bank	Rights Restricted Share Units	Wright, Jeffrey Isaac Louis	5	2020-12-31	56	25.34	13,441	3,678
Canadian Western Bank	Rights Restricted Share Units	Wright, Jeffrey Isaac Louis	5	2020-12-31	59		18,011	4,570
CanAlaska Uranium Ltd.	Common Shares	Belyk, Cory Lane	5	2021-03-15	10	0.54	464,157	-30,000
CanAlaska Uranium Ltd.	Common Shares	Belyk, Cory Lane	5	2021-03-16	10	0.592	444,157	-20,000
CanAlaska Uranium Ltd.	Common Shares	Belyk, Cory Lane	5	2021-03-16	10	0.62	424,157	-20,000
CanAlaska Uranium Ltd.	Common Shares	Chan, Harry	5	2021-03-15	10	0.6	100,500	-51,500
CanAlaska Uranium Ltd.	Common Shares	Chan, Harry	5	2021-03-16	10	0.6	62,000	-38,500
CanAlaska Uranium Ltd.	Common Shares	Chan, Harry	5	2021-03-18	10	0.62	31,000	-31,000
CanAlaska Uranium Ltd.	Common Shares	Graham, Thomas	4	2021-03-17	10	0.4726	408,555	-68,500
Canfor Corporation	Common Shares	Hislop, Barbara	4	2021-03-16	10	27.2		-11,200
Canfor Corporation	Common Shares	Hislop, Barbara	4	2021-03-16	10	27.7	1,069,661	-11,200
Canntab Therapeutics Limited	Common Shares	Goldstein, Richard	3, 4, 5	2021-03-17	10	1.05	31,600	6,600
Canntab Therapeutics Limited	Common Shares	Goldstein, Richard	3, 4, 5	2021-03-17	10	1.066	34,400	2,800
Canntab Therapeutics Limited	Common Shares	Goldstein, Richard	3, 4, 5	2021-03-17	10	1.05	59,400	25,000
CANSORTIUM INC.	Common Shares	Fonseca, Patricia	5	2021-03-09	00			
CANSORTIUM INC.	Options (Common Shares)	Fonseca, Patricia	5	2021-03-09	00			
CANSORTIUM INC.	Options (Common Shares)	Fonseca, Patricia	5	2021-03-09	50	0.79	250,000	250,000
CANSORTIUM INC.	Options (Proportionate Voting Shares)	Fonseca, Patricia	5	2021-03-09	00			
CANSORTIUM INC.	Proportionate Voting Shares	Fonseca, Patricia	5	2021-03-09	00			
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-16	10	0.09	20,300,000	100,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-17	10	0.09	20,400,000	100,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-18	10	0.09	20,500,000	100,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-19	10	0.09	20,650,000	150,000
Capella Minerals Limited	Common Shares	Roth, Eric	4, 5	2021-03-19	10	0.085	426,440	11,000
Capital Power Corporation	Common Shares	Chisholm, Burness Kathryn	5	2020-12-31	30	29.562	22,165	2,584
Capital Power Corporation	Common Shares	Chisholm, Burness Kathryn	5	2020-12-31	30	29.716	22,359	194
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2020-08-21	00		150,000	
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-11	10	0.23	168,000	18,000
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-12	10	0.23	174,500	6,500
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-15	10	0.23	177,500	3,000
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.23	200,000	22,500
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.23	241,500	41,500
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.23	250,000	8,500
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.23	278,000	28,000
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.24	286,000	8,000
Capitan Mining Inc.	Common Shares	Bonillas, Arturo	4	2021-03-16	10	0.23	300,000	14,000
Cardinal Energy Ltd.	Common Shares	Brussa, John Albert	4	2021-03-11	36		99,000	40,000
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Featherstone, Travis	7	2021-03-12	56		1,402,103	10,660
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Freier, Narinder	5	2021-03-12	56		657,497	19,372
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Grewal, Alpinder	7	2021-03-12	56		29,894	9,994
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Khanna, Puneet	5	2021-03-12	56		32,063	17,500
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	MAY, JEFFREY GORDON	5	2021-03-12	56		40,636	28,500
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Mok, Andrew Wai-Kit	4	2021-03-12	56		771,650	39,000
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Mok, Andrew Wai-Kit	4	2021-03-15	57	5.15	771,103	-547
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Murphy, David	5	2021-03-12	56		1,810,000	235,000
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Murphy, David	5	2021-03-15	57	5.15	1,780,582	-29,418
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Oberg, Lyle	4, 7	2021-03-15	57	5.15	107,163	-1,414
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Rakowski, Paul	5	2021-03-12	56		812,369	22,660

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CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Stempfle, Ryan	7	2021-03-12	56		31,650	11,750
Cargojet Inc.	Rights Deferred Share Units	Alan, Gershenhorn	4	2021-03-16	56		715	715
Cargojet Inc.	Rights Deferred Share Units	Alan, Gershenhorn	4	2021-03-17	00			
Cargojet Inc.	Common Voting Shares	Dhillon, Pauline	5	2021-03-16	57		10,207	791
Cargojet Inc.	Options	Dhillon, Pauline	5	2021-03-16	50		19,290	1,053
Cargojet Inc.	Rights Performance Share Units	Dhillon, Pauline	5	2021-03-16	56		2,175	604
Cargojet Inc.	Rights Restricted Share Units	Dhillon, Pauline	5	2021-03-16	56		2,656	43
Cargojet Inc.	Rights Restricted Share Units	Dhillon, Pauline	5	2021-03-16	57		953	-1,703
Cargojet Inc.	Rights Deferred Share Units	Dickinson, Arlene	4	2021-03-16	56		1,519	566
Cargojet Inc.	Rights Deferred Share Units	Godfrey, Paul Victor	4	2021-03-16	56		1,519	566
Cargojet Inc.	Common Voting Shares	Kim, John	5	2021-03-16	57		10,155	155
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	56			17
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	56			17
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	57			-334
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	57			-334
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	56		652	17
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2021-03-16	57		318	-334
Cargojet Inc.	Common Voting Shares	Porteous, Jamie Bennett	4, 5	2021-03-16	57		2,592	1,445
Cargojet Inc.	Options	Porteous, Jamie Bennett	4, 5	2021-03-16	50		12,146	1,629
Cargojet Inc.	Rights Performance Share Units	Porteous, Jamie Bennett	4, 5	2021-03-16	56		4,175	935
Cargojet Inc.	Rights Restricted Share Units	Porteous, Jamie Bennett	4, 5	2021-03-16	56		4,682	78
Cargojet Inc.	Rights Restricted Share Units	Porteous, Jamie Bennett	4, 5	2021-03-16	57		1,572	-3,110
Cargojet Inc.	Common Voting Shares	Rinaldo, Paul David	5	2021-03-16	57		9,025	393
Cargojet Inc.	Options	Rinaldo, Paul David	5	2021-03-16	50		6,689	658
Cargojet Inc.	Rights Performance Share Units	Rinaldo, Paul David	5	2021-03-16	56		1,687	378
Cargojet Inc.	Rights Restricted Share Units	Rinaldo, Paul David	5	2021-03-16	56		1,163	22
Cargojet Inc.	Rights Restricted Share Units	Rinaldo, Paul David	5	2021-03-16	57		318	-845
Cargojet Inc.	Common Voting Shares	Sugar, George Stephen	5	2021-03-16	57		2,166	369
Cargojet Inc.	Options	Sugar, George Stephen	5	2021-03-16	50		6,219	658
Cargojet Inc.	Rights Performance Share Units	Sugar, George Stephen	5	2021-03-16	56		1,687	378
Cargojet Inc.	Rights Restricted Share Units	Sugar, George Stephen	5	2021-03-16	56		1,111	21
Cargojet Inc.	Rights Restricted Share Units	Sugar, George Stephen	5	2021-03-16	57		318	-793
Cargojet Inc.	Common Voting Shares	Virmani, Ajay Kumar	5	2021-03-16	57		143,837	9,243
Cargojet Inc.	Options	Virmani, Ajay Kumar	5	2021-03-16	50		69,543	4,813
Cargojet Inc.	Rights Performance Share Units	Virmani, Ajay Kumar	5	2021-03-16	56		12,335	2,761
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2021-03-16	56		19,891	444
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2021-03-16	57		0	-19,891
Cargojet Inc.	Rights Deferred Share Units	Webster, John Philip	4	2021-03-16	56		1,519	566
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2021-03-15	30	15.08	2,765	31
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2021-03-15	30	15.08	1,851	21
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2021-03-15	30	15.08	1,249	11
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2021-03-15	30	15.08	1,158	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2021-03-15	30	15.08	1,158	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2021-03-15	30	15.08	1,158	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Macfee, Mark Roderick	4	2021-03-15	30	15.08	4,566	49

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Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Powell, Eddinton M.	4	2021-03-15	30	15.08	878	9
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Powell, Eddinton M.	4	2021-03-15	30	15.08	12,281	281
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2021-03-15	30	15.08	44,693	12
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2021-03-15	30	15.08	1,546	17
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2021-03-15	30	15.08	7,419	85
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2021-03-15	30	15.08	4,524	51
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2021-03-15	30	15.08	5,620	63
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2021-03-15	30	15.08	6,534	74
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2021-03-19	11	15.05	9,630	3,096
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Tibbetts, Sacha Nikolai	5	2021-03-15	30	15.08	6,365	62
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2021-03-15	30	15.08	10,249	115
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2021-03-15	30	15.08	1,904	17
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2021-03-15	30	15.08	590	6
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2021-03-15	30	15.08	504	4
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2021-03-18	10	0.445	290,785	8,500
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2021-03-18	10	0.45	332,285	41,500
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, Stephen Joseph James	4	2021-03-17	10	0.43	2,783,307	20,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, Stephen Joseph James	4	2021-03-17	10	0.44	2,793,307	10,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2021-03-17	10	0.42	223,014	500
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2021-03-17	10	0.43	239,014	16,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2021-03-17	10	0.435	252,514	13,500
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	69	4,000	-1,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	51	58.032	10,750	7,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.72	9,150	-1,600
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.725	7,550	-1,600
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.73	7,350	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.735	7,250	-100
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.74	6,250	-1,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	70	4,250	-2,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.745	4,050	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.75	3,950	-100
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-12	10	69.755	3,750	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	51	58.032	6,750	3,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.65	6,150	-600
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.685	6,050	-100
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.64	4,450	-1,600
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.57	4,250	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.58	4,150	-100
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.54	3,950	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-16	10	68.55	3,750	-200
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-17	10	69	2,000	-1,750
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-17	10	69.5	0	-2,000
CCL Industries Inc.	Options	Kotecha, Kamal Chandrakant	5	2021-03-12	51	58.032	43,000	-7,000
CCL Industries Inc.	Options	Kotecha, Kamal Chandrakant	5	2021-03-16	51	58.032	40,000	-3,000
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	51	58.032	69,557	17,500
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69	61,857	-7,700
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.01	61,657	-200
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.025	60,157	-1,500
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.03	59,057	-1,100
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.06	58,857	-200

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CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.065	57,757	-1,100
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.07	56,157	-1,600
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.09	55,357	-800
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.1	53,357	-2,000
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.13	53,257	-100
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.19	52,157	-1,100
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-16	10	69.23	52,057	-100
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-17	51	58.032	69,557	17,500
CCL Industries Inc.	Non-Voting Shares Class B	Washchuk, Sean	5	2021-03-17	10	69	52,057	-17,500
CCL Industries Inc.	Options	Washchuk, Sean	5	2021-03-16	51	58.032	185,500	-17,500
CCL Industries Inc.	Options	Washchuk, Sean	5	2021-03-17	51	58.032	168,000	-17,500
Cenovus Energy Inc.	Common Shares	Hart, Jeffrey Ryan	5	2021-03-15	10	10.59	29,679	23,607
Centerra Gold Inc.	Rights Restricted Share Units	D'Orazio, Claudia	5	2021-03-15	56	12.5	48,986	22,371
Centerra Gold Inc.	Performance Share Units	Desjardins, Daniel Richard	5	2020-12-31	59	13.3	75,284	-10,969
Centerra Gold Inc.	Performance Share Units	Desjardins, Daniel Richard	5	2020-12-31	59	15.05	59,136	-16,148
Centerra Gold Inc.	Rights Restricted Share Units	Desjardins, Daniel Richard	5	2021-03-15	56	12.5	81,167	47,129
Centerra Gold Inc.	Rights Restricted Share Units	Kwong, Dennis	5	2021-03-15	56	12.5	77,888	16,284
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	51	6.71	33,270	16,800
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.66	26,470	-6,800
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.67	16,470	-10,000
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	51	6.77	92,520	76,050
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.66	77,120	-15,400
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.67	69,520	-7,600
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.68	48,220	-21,300
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.69	39,520	-8,700
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.7	28,820	-10,700
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.71	25,720	-3,100
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.72	22,070	-3,650
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.75	19,870	-2,200
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-03-15	10	12.79	16,470	-3,400
Centerra Gold Inc.	Options	Millman, Darren	5	2021-03-15	51	6.71	389,893	-16,800
Centerra Gold Inc.	Options	Millman, Darren	5	2021-03-15	51	6.77	313,843	-76,050
Centerra Gold Inc.	Rights Restricted Share Units	Millman, Darren	5	2021-03-15	56	12.5	139,796	22,867
Centerra Gold Inc.	Rights Restricted Share Units	Pearson, John William	5	2021-03-15	56	12.5	38,170	10,012
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	51	6.77	111,822	40,822
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	10	12.16	71,000	-40,822
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	51	6.77	111,000	40,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	10	12.17	71,000	-40,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	51	6.77	96,000	25,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	10	12.2	71,000	-25,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	51	6.71	114,649	43,649
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	10	12.26	71,000	-43,649
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	51	6.71	121,000	50,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-08	10	12.31	71,000	-50,000
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-15	57	12.69	98,096	27,096
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-15	57	12.7	125,914	27,818
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-15	57	12.69	137,844	11,930
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-15	57	12.67	156,386	18,542
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-17	10	13.03	111,000	-45,386
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-03-17	10	13.07	71,000	-40,000
Centerra Gold Inc.	Options	Perry, Scott Graeme	5	2021-03-08	51	6.77	600,388	-40,822
Centerra Gold Inc.	Options	Perry, Scott Graeme	5	2021-03-08	51	6.77	560,388	-40,000
Centerra Gold Inc.	Options	Perry, Scott Graeme	5	2021-03-08	51	6.77	535,388	-25,000
Centerra Gold Inc.	Options	Perry, Scott Graeme	5	2021-03-08	51	6.71	491,739	-43,649
Centerra Gold Inc.	Options	Perry, Scott Graeme	5	2021-03-08	51	6.71	441,739	-50,000
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	57	12.69	222,814	-27,096
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	59	12.69	191,467	-31,347
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	57	12.7	163,649	-27,818
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	59	12.7	131,467	-32,182

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Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	57	12.69	119,537	-11,930
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	59	12.69	105,734	-13,803
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	57	12.67	87,192	-18,542
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	59	12.67	65,734	-21,458
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-03-15	56	12.5	193,725	127,991
Centerra Gold Inc.	Common Shares	Pressler, Sheryl	4	2021-03-12	10	10.042	37,117	-3,851
Centerra Gold Inc.	Rights Restricted Share Units	Rehman, Yousef	5	2021-03-15	56	12.5	60,590	15,934
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Alpha Capital Anstalt	3	2021-03-11	10	0.3491	58,518,256	-66,000
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Alpha Capital Anstalt	3	2021-03-12	10	0.34	58,514,756	-3,500
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Alpha Capital Anstalt	3	2021-03-15	10	0.327	58,452,256	-62,500
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Alpha Capital Anstalt	3	2021-03-16	10	0.3268	58,413,756	-38,500
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2021-03-15	10	0.042	862,971	1,000
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2021-03-17	10	0.123	733,056	-129,915
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2021-03-19	10	0.0565	833,056	100,000
Certive Solutions Inc.	Common Shares	WAREHAM, JEFFREY	4	2021-03-16	10	0.08	325,500	-232,693
Certive Solutions Inc.	Common Shares	WAREHAM, JEFFREY	4	2021-03-16	10	0.075	278,500	-47,000
Certive Solutions Inc.	Common Shares	WAREHAM, JEFFREY	4	2021-03-16	10	0.06	78,500	-200,000
CES Energy Solutions Corp.	Restricted Share Units	Armour III, Spencer Davis	4	2021-03-17	56	1.9125	135,036	117,366
CES Energy Solutions Corp.	Common Shares	Aulicino, Anthony Michael	5	2021-03-17	57	1.9235	337,499	171,595
CES Energy Solutions Corp.	Common Shares	Aulicino, Anthony Michael	5	2021-03-17	10	1.7125	245,886	-91,613
CES Energy Solutions Corp.	Common Shares	Aulicino, Anthony Michael	5	2021-03-17	57	1.9235	338,636	92,750
CES Energy Solutions Corp.	Common Shares	Aulicino, Anthony Michael	5	2021-03-17	10	1.7125	289,118	-49,518
CES Energy Solutions Corp.	Restricted Share Units	Aulicino, Anthony Michael	5	2021-03-17	57	1.9125	564,810	-171,595
CES Energy Solutions Corp.	Restricted Share Units	Aulicino, Anthony Michael	5	2021-03-17	57	1.9235	472,060	-92,750
CES Energy Solutions Corp.	Restricted Share Units	Aulicino, Anthony Michael	5	2021-03-17	56	1.704	777,579	305,519
CES Energy Solutions Corp.	Restricted Share Units	Aulicino, Anthony Michael	5	2021-03-17	56	1.704	1,059,991	282,412
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2021-03-17	57	1.9235	707,827	274,552
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2021-03-17	10	1.7125	583,435	-124,392
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2021-03-17	57	1.9235	731,835	148,400
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2021-03-17	10	1.7125	666,884	-64,951
CES Energy Solutions Corp.	Restricted Share Units	Baxter, Richard Lee	5	2021-03-17	57	1.9235	964,207	-274,552
CES Energy Solutions Corp.	Restricted Share Units	Baxter, Richard Lee	5	2021-03-17	57	1.9235	815,807	-148,400
CES Energy Solutions Corp.	Restricted Share Units	Baxter, Richard Lee	5	2021-03-17	56	1.704	1,121,326	305,519
CES Energy Solutions Corp.	Restricted Share Units	Baxter, Richard Lee	5	2021-03-17	56	1.704	1,403,738	282,412
CES Energy Solutions Corp.	Restricted Share Units	Cosby, Stella	4	2021-03-17	56	1.9125	134,973	117,366
CES Energy Solutions Corp.	Common Shares	Disney, Vernon James	5	2021-03-17	57	1.9235	274,552	274,552
CES Energy Solutions Corp.	Common Shares	Disney, Vernon James	5	2021-03-17	10	1.7125	126,152	-148,400
CES Energy Solutions Corp.	Common Shares	Disney, Vernon James	5	2021-03-17	57	1.9235	274,552	148,400
CES Energy Solutions Corp.	Common Shares	Disney, Vernon James	5	2021-03-17	10	1.7125	0	-274,552
CES Energy Solutions Corp.	Restricted Share Units	Disney, Vernon James	5	2021-03-17	57	1.9235	964,233	-274,552
CES Energy Solutions Corp.	Restricted Share Units	Disney, Vernon James	5	2021-03-17	57	1.9235	815,833	-148,400
CES Energy Solutions Corp.	Restricted Share Units	Disney, Vernon James	5	2021-03-17	56	1.704	1,121,352	305,519
CES Energy Solutions Corp.	Restricted Share Units	Disney, Vernon James	5	2021-03-17	56	1.704	1,403,764	282,412
CES Energy Solutions Corp.	Restricted Share Units	Hooks, John Michael	4	2021-03-17	56	1.9125	134,947	117,366
CES Energy Solutions Corp.	Restricted Share Units	Kitagawa, Kyle	4	2021-03-17	56	1.9125	134,947	117,366
CES Energy Solutions Corp.	Restricted Share Units	Scherman, Philip	4	2021-03-17	56	1.9125	134,947	117,366
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-16	57	1.8893	2,804,110	64,040
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-16	10	1.7982	2,771,615	-32,495
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-17	57	1.9235	3,114,805	343,190
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-17	10	1.7125	2,931,580	-183,225
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-17	57	1.9235	3,117,081	185,501
CES Energy Solutions Corp.	Common Shares	Simons, Thomas James	4, 5	2021-03-17	10	1.7125	3,018,044	-99,037
CES Energy Solutions Corp.	Restricted Share Units	Simons, Thomas James	4, 5	2021-03-16	57	1.8893	1,548,403	-64,040
CES Energy Solutions Corp.	Restricted Share Units	Simons, Thomas James	4, 5	2021-03-17	57	1.9235	1,205,213	-343,190
CES Energy Solutions Corp.	Restricted Share Units	Simons, Thomas James	4, 5	2021-03-17	57	1.9235	1,019,712	-185,501

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CES Energy Solutions Corp.	Restricted Share Units	Simons, Thomas James	4, 5	2021-03-17	56	1.704	1,390,700	370,988
CES Energy Solutions Corp.	Restricted Share Units	Simons, Thomas James	4, 5	2021-03-17	56	1.704	1,733,629	342,929
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-16	10	1.9	1,725,712	-58,500
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-16	57	1.8893	1,776,944	51,232
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-16	10	1.7982	1,776,943	-1
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-17	57	1.9235	2,051,495	274,552
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-17	57	1.9235	2,199,895	148,400
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-18	10	1.84		-41,500
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-18	10	1.72	2,158,395	-41,500
CES Energy Solutions Corp.	Restricted Share Units	Zinger, Kenneth Earl	5	2021-03-16	57	1.8893	1,238,723	-51,232
CES Energy Solutions Corp.	Restricted Share Units	Zinger, Kenneth Earl	5	2021-03-17	57	1.9235	964,171	-274,552
CES Energy Solutions Corp.	Restricted Share Units	Zinger, Kenneth Earl	5	2021-03-17	57	1.9235	815,771	-148,400
CES Energy Solutions Corp.	Restricted Share Units	Zinger, Kenneth Earl	5	2021-03-17	56	1.9235	1,121,290	305,519
CES Energy Solutions Corp.	Restricted Share Units	Zinger, Kenneth Earl	5	2021-03-17	56	1.704	1,403,702	282,412
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Hammer, Russell	5	2021-03-15	36		17,281	789
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Rights Restricted Share Awards	Hammer, Russell	5	2021-03-15	36		48,651	-1,111
Chartwell Retirement Residences	Rights Restricted Trust Units	Boulakia, Jonathan	5	2021-03-12	56	11.465	96,943	31,139
Chartwell Retirement Residences	Rights Restricted Trust Units	Boulakia, Jonathan	5	2021-03-15	59	11.053	87,229	-9,714
Chartwell Retirement Residences	Rights Restricted Trust Units	Harris, Sheri Lynn	5	2021-03-12	56	11.465	97,635	31,509
Chartwell Retirement Residences	Rights Restricted Trust Units	Harris, Sheri Lynn	5	2021-03-15	59	11.053	87,921	-9,714
Chartwell Retirement Residences	Rights Restricted Trust Units	Sullivan, Karen Leslie	5	2021-03-12	56	11.465	113,880	35,718
Chartwell Retirement Residences	Rights Restricted Trust Units	Sullivan, Karen Leslie	5	2021-03-15	59	11.053	102,066	-11,814
Chartwell Retirement Residences	Rights Restricted Trust Units	Volodarski, Vlad	4, 5	2021-03-12	56	11.465	189,731	76,321
Chartwell Retirement Residences	Rights Restricted Trust Units	Volodarski, Vlad	4, 5	2021-03-15	59	11.053	177,917	-11,814
Chemtrade Logistics Income Fund	Trust Units	Rook, Scott William	5	2021-03-18	10	6.95	38,536	10,068
Chesswood Group Limited	Common Shares	Souverein, Gary	7	2021-03-15	51	7.79	318,357	60,000
Chesswood Group Limited	Options	Souverein, Gary	7	2021-03-15	51	7.79	295,000	-60,000
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Adams, Kerry Dawn	4	2021-03-15	30		64,441	903
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Clark, Christie James Beckett	4, 7	2021-03-15	30		26,789	372
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Cross, L. Jay	4	2021-03-15	30		2,515	25
Choice Properties Real Estate Investment Trust	Trust Units	Currie, Gordon Andrew McDonald	6, 7	2021-03-15	30			614
Choice Properties Real Estate Investment Trust	Trust Units	Currie, Gordon Andrew McDonald	6, 7	2021-03-15	30		3,682	751
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	2021-03-15	30			637
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	2021-03-15	30		3,588	784
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Eadie, Graeme McAllister	4	2021-03-15	30		33,743	463
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Kinsley, Karen	4	2021-03-15	30		27,094	371
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Latimer, Robert Michael	4	2021-03-15	30		26,504	363
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Lockhart, Nancy	4, 6	2021-03-15	30		15,979	214
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Ponder, Dale Rosa Winnifred	4	2021-03-15	30		16,112	216
Choice Properties Real Estate Investment Trust	Trust Units	Radic, Ana	5	2021-03-15	30			373
Choice Properties Real Estate Investment Trust	Trust Units	Radic, Ana	5	2021-03-15	30		4,503	463
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Weston, Willard Galen Garfield	3, 4	2021-03-15	30		81,355	1,134
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-03-15	10	0.72	7,760,747	5,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-03-15	10	0.71	7,762,247	1,500
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-03-17	10	0.69	7,763,247	1,000

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CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-17	10	0.72	1,977,100	54,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-18	10	0.72	1,982,100	5,000
Cineplex Inc.	Common Shares	Stanghieri, Fabrizio	5	2019-12-27	99			635
Cineplex Inc.	Common Shares	Stanghieri, Fabrizio	5	2019-12-27	99		5,809	650
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2021-03-15	30	0.9	78,704	1,184
Cipher Pharmaceuticals Inc.	Common Shares	Wolkin, Harold Morton	4	2021-03-15	30	0.9	287,699	5,099
Clean Seed Capital Group Ltd.	Warrants	Anderson, Gary Keith	4	2021-03-15	11	0.05	500,000	-300,000
Clean Seed Capital Group Ltd.	Common Shares	Schultz, Jason	3	2021-03-17	10	0.65	2,803,024	-50,000
Cloud Nine Education Group Ltd.	Common Shares	Larson, Dalton Leroy	4	2021-03-05	10		358,750	-100,000
Cloud Nine Education Group Ltd.	Common Shares	Lee, Peter	4	2021-03-15	10	1.77	65,000	-10,000
Cloud Nine Web3 Technologies Inc.	Common Shares	Lee, Peter	4	2021-03-19	10	2.11	55,000	-10,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2021-03-18	10	2.05	338,000	2,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2021-03-19	10	0.105	1,211,000	8,500
COLLIERS INTERNATIONAL GROUP INC.	Options	Curtin, John	4	2021-03-15	51	31.62	37,500	-5,000
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-15	51	31.62	30,560	5,000
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	101.81		100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	101.81		-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	101.81	30,460	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	101.87		100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	101.87	30,360	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	102.27	30,260	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.1	29,960	-300
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.17	29,660	-300
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.29	29,562	-98
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.32	29,462	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.4	29,262	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.43	29,187	-75
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.44	29,066	-121
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.46	28,769	-297
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.48	28,768	-1
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.5	28,568	-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.5		-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.5		-200
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.57	28,467	-101
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.62	28,367	-100
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.64	28,185	-182
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Curtin, John	4	2021-03-18	10	103.68	28,085	-100
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-15	10	0.66	10,469,000	94,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-16	10	0.66	10,475,000	6,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-19	10	0.65	109,000	50,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Olson, Bryan Lamont	5	2021-03-18	10	8.59	167,222	-4,000

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Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-03-08	10	6.9007	153,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-03-09	10	6.5722	152,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-03-10	10	6.1741	151,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-03-11	10	6.0879	150,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-03-12	10	6.2865	149,407	-1,000
Cominar Real Estate Investment Trust	Trust Units	Armoyan, Sime	3	2021-03-15	10	9.6481	18,766,900	-162,600
Cominar Real Estate Investment Trust	Trust Units	Armoyan, Sime	3	2021-03-16	10	9.7	18,716,900	-50,000
Cominar Real Estate Investment Trust	Trust Units	Armoyan, Sime	3	2021-03-16	10	9.6942	18,671,000	-45,900
Cominar Real Estate Investment Trust	Trust Units	Armoyan, Sime	3	2021-03-17	10	9.75	18,521,000	-150,000
Cominar Real Estate Investment Trust	Trust Units	Armoyan, Sime	3	2021-03-17	10	9.707	18,460,200	-60,800
Compel Capital Inc.	Common Shares	Kozovski, Lena	8	2021-03-04	00		2,344,293	
Compel Capital Inc.	Common Shares	McMullen, John A. D.	5	2021-03-16	10	0.0825	14,718,758	553,000
Computer Modelling Group Ltd.	Rights Deferred Share Units	Athaide, Judith	4	2021-03-15	30		9,922	79
Computer Modelling Group Ltd.	Rights Performance Share Units	Balic, Sandra	5	2021-03-15	30		12,061	96
Computer Modelling Group Ltd.	Rights Restricted Share Units	Balic, Sandra	5	2021-03-15	30		10,012	80
Computer Modelling Group Ltd.	Rights Deferred Share Units	Billowits, John Edward	4	2021-03-15	30		1,825	15
Computer Modelling Group Ltd.	Rights Performance Share Units	Close, Jason	5	2021-03-15	30		7,664	61
Computer Modelling Group Ltd.	Rights Restricted Share Units	Close, Jason	5	2021-03-15	30		8,764	70
Computer Modelling Group Ltd.	Common Shares	Dedeluk, Kenneth Michael	4	2021-03-16	10	6.5	878,900	-4,400
Computer Modelling Group Ltd.	Common Shares	Dedeluk, Kenneth Michael	4	2021-03-16	10	6.5	878,400	-500
Computer Modelling Group Ltd.	Rights Deferred Share Units	Dedeluk, Kenneth Michael	4	2021-03-15	30		8,124	65
Computer Modelling Group Ltd.	Rights Performance Share Units	Erdle, James Craig	5	2021-03-15	30		12,061	96
Computer Modelling Group Ltd.	Rights Restricted Share Units	Erdle, James Craig	5	2021-03-15	30		8,286	66
Computer Modelling Group Ltd.	Rights Deferred Share Units	Fong, Christopher Lee	4	2021-03-15	30		9,922	79
Computer Modelling Group Ltd.	Rights Performance Share Units	Hicks, Robert David	5	2021-03-15	30		12,061	96
Computer Modelling Group Ltd.	Rights Restricted Share Units	Hicks, Robert David	5	2021-03-15	30		8,286	66
Computer Modelling Group Ltd.	Rights Deferred Share Units	Jamieson, Patrick	4	2021-03-15	30		11,919	95
Computer Modelling Group Ltd.	Rights Deferred Share Units	Kinash, Peter Harry	4	2021-03-15	30		11,214	90
Computer Modelling Group Ltd.	Rights Performance Share Units	Kumar, Anjani	5	2021-03-15	30		12,061	96
Computer Modelling Group Ltd.	Rights Restricted Share Units	Kumar, Anjani	5	2021-03-15	30		10,012	80
Computer Modelling Group Ltd.	Rights Deferred Share Units	Miller, Mark Robert	4	2021-03-15	30		6,357	51
Computer Modelling Group Ltd.	Rights Performance Share Units	Nghiem, Long X	5	2021-03-15	30		12,061	96
Computer Modelling Group Ltd.	Rights Restricted Share Units	Nghiem, Long X	5	2021-03-15	30		10,012	80
Computer Modelling Group Ltd.	Rights Performance Share Units	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-15	30		25,215	201
Computer Modelling Group Ltd.	Rights Restricted Share Units	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-15	30		20,740	166
Computer Modelling Group Ltd.	Rights Deferred Share Units	Zaozirny, John Brian	4	2021-03-15	30		14,869	119
Conifex Timber Inc.	Common Shares	Tang, Winny	5	2021-03-16	00		2,958	
Conifex Timber Inc.	Incentive Shares	Tang, Winny	5	2021-03-16	00		25,000	
Conifex Timber Inc.	Restricted Shares	Tang, Winny	5	2021-03-16	00		5,000	
Constellation Software Inc.	Common Shares	Dennison, Mark	5	2021-03-15	30	1680	-1,012	99
Constellation Software Inc.	Common Shares	Gayner, Susan Schilthuis	4	2021-03-17	30	1695	91	31
Constellation Software Inc.	Common Shares	Parr, Donna	4	2020-06-25	00			
Constellation Software Inc.	Common Shares	Parr, Donna	4	2020-06-25	00			
Constellation Software Inc.	Common Shares	Parr, Donna	4	2021-02-26	30	1680	20	20
Contact Gold Corp.	Common Shares	Lennox-King, Matthew	4, 5	2021-03-10	97	0.11	3,793,267	16,667

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Contact Gold Corp.	Restricted Share Units	Lennox-King, Matthew	4, 5	2020-01-16	56			50,000
Contact Gold Corp.	Restricted Share Units	Lennox-King, Matthew	4, 5	2021-03-10	36	0.11	95,833	-16,667
Contact Gold Corp.	Rights	Lennox-King, Matthew	4, 5	2019-05-22	57			53,978
Contact Gold Corp.	Rights	Lennox-King, Matthew	4, 5	2019-05-22	57		0	-258,621
Contact Gold Corp.	Common Shares	Wenger, John Eric	5	2021-03-10	57		757,245	15,000
Contact Gold Corp.	RSU	Wenger, John Eric	5	2021-03-10	57		80,000	-15,000
Core Assets Corp.	Common Shares	Hodge, David	4	2021-03-16	10	0.09	2,310,000	187,500
Core Assets Corp.	Common Shares	Zimtu Capital Corp.	3	2020-12-10	11	0.09	8,250,000	1,000,000
Core Assets Corp.	Warrants	Zimtu Capital Corp.	3	2020-07-08	00			
Core Assets Corp.	Warrants	Zimtu Capital Corp.	3	2021-03-17	15	0.15		1,812,500
Core Assets Corp.	Warrants	Zimtu Capital Corp.	3	2021-03-17	15	0.15	1,812,500	1,812,500
Corsa Coal Corp.	Common Shares	Scott, Robert	4	2021-03-17	10	0.4292	0	-94,650
Crestview Exploration Inc.	Options	JOUBIN, Gisele Therese Eba	5	2021-03-16	50		250,000	250,000
Crestview Exploration Inc.	Options	Lapointe, Louis	4	2021-03-16	50		75,000	75,000
Crestview Exploration Inc.	Options	MacKenzie, Donald James	4	2021-03-16	50		300,000	300,000
Crew Energy Inc.	Common Shares	Taylor, James A	5	2021-03-15	57	1.21	408,146	90,000
Crew Energy Inc.	Common Shares	Taylor, James A	5	2021-03-15	57	1.21	428,146	20,000
Crew Energy Inc.	Performance Awards	Taylor, James A	5	2021-03-15	57		278,225	-60,000
Crew Energy Inc.	Restricted Awards	Taylor, James A	5	2021-03-15	57		92,742	-20,000
Crombie Real Estate Investment Trust	Trust Units Special Voting	Empire Company Limited	3	2021-03-15	30	15.489	64,742,118	5,607
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2016-05-27	00			
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	54	0.245	1,250,000	1,250,000
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	51	0.5	5,562,426	83,334
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	59	13.11	5,559,247	-3,179
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	51	1.23	6,759,247	1,200,000
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	59	1.23	6,646,661	-112,586
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	54	0.245	9,383,793	2,737,132
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-12	59		9,332,641	-51,152
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-15	10	10.653	8,879,831	-452,810
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-17	10	10.066		-714,759
Cronos Group Inc.	Common Shares	Adler, Jason Marc	4	2021-03-17	51	10.066	8,165,072	-714,759
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51			-83,334
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51			-83,334
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51			-1,200,000
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51			-1,200,000
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51		3,150,000	-83,334
Cronos Group Inc.	Options	Adler, Jason Marc	4	2021-03-12	51		1,950,000	-1,200,000
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2021-03-12	54		0	-1,250,000
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2021-03-12	54			-2,737,132
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2021-03-12	54			-2,737,132
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2021-03-12	54		2	-2,737,132
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-11	10	10.195		-8,712,536
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-11	10	10.195		-8,712,536
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-11	10	10.195	8,712,636	-324,411
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-12	10	10.35	8,562,636	-150,000
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-15	10	10.732	8,432,636	-130,000
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	2.42	8,870,136	437,500
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	13.35	8,694,958	-175,178
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	3.14	9,967,874	1,272,916
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	13.35	9,407,914	-559,960
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	7.57	9,511,039	103,125
Cronos Group Inc.	Common Shares	Gorenstein, Michael Ryan	4	2021-03-16	51	13.35	9,440,612	-70,427
Cronos Group Inc.	Options	Gorenstein, Michael Ryan	4	2021-03-16	51	2.42	2,610,291	-437,500
Cronos Group Inc.	Options	Gorenstein, Michael Ryan	4	2021-03-16	51	3.14	1,337,375	-1,272,916
Cronos Group Inc.	Options	Gorenstein, Michael Ryan	4	2021-03-16	51	7.57	1,234,250	-103,125
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-03-15	10	0.2	210,500	5,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-03-17	10	0.2	220,500	10,000
CT Real Estate Investment Trust	Performance Units	Gibson, Lesley P.	5	2021-03-15	56	16.025	65,619	16,833
CT Real Estate Investment Trust	Performance Units	Salsberg, Kevin Mark	5	2021-03-15	56	16.025	74,915	19,266
CT Real Estate Investment Trust	Performance Units	Silver, Kenneth	4, 5	2021-03-15	56	16.025	178,019	40,561
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	Bayern, Joseph	5	2021-03-11	50	15.525	723,745	171,770

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Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Carlotti, Michael Jon	5	2021-03-12	36		409,548	-136,516
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Carlotti, Michael Jon	5	2020-02-03	00			
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Carlotti, Michael Jon	5	2021-03-12	36		136,516	136,516
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Carlotti, Michael Jon	5	2021-03-12	10	19.341	82,292	-54,224
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	Davidson, Neil	5	2021-03-11	51	15.525	982,028	36,501
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Davidson, Neil	5	2021-03-11	36		394,517	-204,119
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Davidson, Neil	5	2021-03-11	36		410,812	204,119
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Davidson, Neil	5	2021-03-11	10	19.64	329,733	-81,079
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Derby, Peter	4	2021-03-11	56	15.525	5,744	5,744
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Grover, Jaswinder	4	2021-03-11	56	15.525	46,182	3,123
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Rights Restricted Share Units	Johansson, Karl	4	2021-03-11	56	15.525	5,744	5,744
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	Shorris, James	5	2021-03-11	50	15.525	129,491	94,473
Currency Exchange International, Corp.	Common Shares	Mickleborough, Mark Douglas	4	2021-03-18	10	12	28,000	8,000
Currency Exchange International, Corp.	Common Shares	Mickleborough, Mark Douglas	4	2021-03-18	10	12	48,250	2,350
Currency Exchange International, Corp.	Common Shares	Mickleborough, Mark Douglas	4	2021-03-18	10	12	5,350	500
CWC Energy Services Corp.	Common Shares	Apps, Robert Charles Nelson	5	2021-03-17	10	0.15	207,847	-10,000
CWC Energy Services Corp.	Common Shares	King, Stuart James	5	2021-03-11	57	0.14	420,847	193,847
CWC Energy Services Corp.	Restricted Share Units	King, Stuart James	5	2021-03-11	57		666,000	-193,847
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Common Shares	Fahel, Gabriel	5	2021-03-19	10	1.6	30,000	25,000
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Greene, Brett	5	2021-03-08	22			11,495
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Greene, Brett	5	2021-03-11	22		261,827	11,495
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Nivorozhkin, Alex	5	2021-03-08	22			13,937
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Nivorozhkin, Alex	5	2021-03-11	22		317,434	13,937
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Palfreyman, Michael Gavin	5	2021-03-08	22			3,844
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Palfreyman, Michael Gavin	5	2021-03-11	22		87,549	3,844
Cyberpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-03-09	10	0.3469	18,606,167	-381,000
Cyberpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-03-10	54	0.1	19,106,167	500,000
Cyberpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-03-10	51	0.1	20,106,167	1,000,000
Cyberpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-03-10	10	0.355	20,086,667	-19,500
Cyberpunk Holdings Inc.	Options	Guoga, Antanas (Tony)	4, 5	2021-03-10	51	0.1	0	-1,000,000
Cyberpunk Holdings Inc.	Warrants Class D	Guoga, Antanas (Tony)	4, 5	2021-03-10	54	0.1	905,834	-500,000
D-Box Technologies Inc.	Options	Chamberland, Denis	4	2021-03-10	50		112,500	82,500
D-Box Technologies Inc.	Common Shares Class A	Gemme, Yannick	5	2021-03-12	10	0.09	380,622	2,000
D-Box Technologies Inc.	Common Shares Class A	Gemme, Yannick	5	2021-03-15	10	0.095	451,472	70,850
DATA Communications Management Corp.	Common Shares	Cochrane, Gregory James	4	2021-03-12	10	0.6	1,202,003	1,000,000
DATA Communications Management Corp.	Common Shares	Kellam, Richard Clarence	4, 5	2021-03-08	00		143,500	
DATA Communications Management Corp.	Common Shares	Kellam, Richard Clarence	4, 5	2021-03-12	10	0.6	643,500	500,000
DATA Communications Management Corp.	Options	Kellam, Richard Clarence	4, 5	2021-03-08	00		2,500,000	
DATA Communications Management Corp.	Common Shares	Sifton, Michael	3, 4, 5	2021-03-12	10	0.6	1,954,783	300,000
DATA Communications Management Corp.	Common Shares	Ward, J. R. Kingsley	4	2021-03-12	10	0.6	1,667,565	1,095,500

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DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Gallander, Benjamin	4	2021-03-12	51		500,000	500,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Options	Gallander, Benjamin	4	2021-03-12	51	0.1	550,000	-500,000
DeFi Technologies Inc. (formerly Routemaster Capital Inc.)	Common Shares	Choi, Kenny	5	2021-03-09	16	2	186,701	180,000
Denison Mines Corp.	Common Shares	McDonald, Gabriel Ernst	5	2021-03-09	51	0.85	1,505,341	1,400,900
Denison Mines Corp.	Common Shares	McDonald, Gabriel Ernst	5	2021-03-09	10		155,341	-1,350,000
Denison Mines Corp.	Options	McDonald, Gabriel Ernst	5	2021-03-08	50	1.26	3,547,081	377,000
Denison Mines Corp.	Options	McDonald, Gabriel Ernst	5	2021-03-09	51	0.85	2,146,181	-1,400,900
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Greencastle Resources Ltd.	3	2021-03-10	10	0.73	10,386,500	-145,500
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Greencastle Resources Ltd.	3	2021-03-11	10	0.74	10,337,000	-49,500
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Greencastle Resources Ltd.	3	2021-03-12	10	0.73	10,169,000	-168,000
Dexterra Group Inc.	Common Shares	Graham, Roderick William	4	2021-03-12	51	3.05	226,700	200,000
Dexterra Group Inc.	Common Shares	Graham, Roderick William	4	2021-03-12	10	6.03	26,700	-200,000
Dexterra Group Inc.	Options	Graham, Roderick William	4	2021-03-12	51	3.05	0	-200,000
Dexterra Group Inc.	Common Shares	Johnston, David Lloyd	4	2021-03-16	10	6.04	62,258	300
Dexterra Group Inc.	Common Shares	Johnston, David Lloyd	4	2021-03-16	10	6.05	62,758	500
Dexterra Group Inc.	Common Shares	Johnston, David Lloyd	4	2021-03-16	10	6.06	62,783	25
Dexterra Group Inc.	Common Shares	Newmark, Russell	4	2021-03-18	10	5.85	68,700	10,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-03-15	10	0.55	1,414,934	20,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-03-16	10	0.55	1,429,934	15,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-03-17	10	0.54	1,481,934	52,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-03-17	10	0.53	1,531,934	50,000
Diamond Estates Wines & Spirits Inc.	Deferred Share Units	Lassonde Industries Inc.	3	2021-03-12	56	0.18	416,058	80,556
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-12	38	12.196	710,500	700
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-15	38	12.212	711,000	500
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-16	38	12.4	711,900	900
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-17	38	12.366	712,600	700
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-18	38	12.276	714,200	1,600
Direct Communication Solutions, Inc.	Options	Gomberg, Richard	5	2021-03-19	50	1.99	375,000	125,000
Direct Communication Solutions, Inc.	Options	Placzek, Eric	5	2021-03-19	50	1.99	500,000	250,000
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-10	10	3.8609	10,178,415	17,000
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-11	10	3.8604	10,189,415	11,000
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-12	10	3.8486	10,289,515	100,100
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-15	10	4	10,339,515	50,000
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-16	10	4.13	10,369,515	30,000
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-17	10	4.1174	10,440,915	71,400
DIRTT Environmental Solutions Ltd.	Common Shares	MAK Capital One LLC	3	2021-03-18	10	4.1128	10,492,915	52,000
Discover Wellness Solutions Inc.	Options	Chen, Eason	4	2020-12-22	00			
Discover Wellness Solutions Inc.	Options	Chen, Eason	4	2021-03-17	50	0.49	100,000	100,000
Discover Wellness Solutions Inc.	Rights Restricted Share Units (RSU)	Chen, Eason	4	2020-12-22	00			
Discover Wellness Solutions Inc.	Rights Restricted Share Units (RSU)	Chen, Eason	4	2021-03-17	56		50,000	50,000
Discovery Metals Corp.	Common Shares	O'Dea, Mark Gerard	4	2021-03-17	10	2.16	4,950,000	-125,000
Discovery Metals Corp.	Common Shares	O'Dea, Mark Gerard	4	2021-03-18	10	2.17	4,825,000	-125,000
Discovery Metals Corp.	Common Shares	O'Dea, Mark Gerard	4	2021-03-19	10	2.08	4,700,000	-125,000
Discovery Metals Corp.	Common Shares	O'Dea, Mark Gerard	4	2021-03-16	10	2.08		-125,000
Discovery Metals Corp.	Common Shares	O'Dea, Mark Gerard	4	2021-03-16	10	2.17	50,000	-125,000

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Discovery Metals Corp.	Options	Wagner, Jennifer Laura	4	2021-03-11	00			
Discovery Metals Corp.	Options	Wagner, Jennifer Laura	4	2021-03-11	50		300,000	300,000
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	Herdler, Garry Peter	4	2021-03-16	56	2.2724	61,436	4,368
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	Morrison, Sean	5	2021-03-16	56	2.2724	194,975	21,811
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-16	10	42.454		-2,500
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-16	10	42.454	12,500	-2,500
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-17	10	42.293		-2,500
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-17	10	42.293	10,000	-2,500
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-18	10	40.932		-1,956
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-18	10	40.932	8,044	-1,956
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-18	10	41.25		-544
Docebo Inc.	Common Shares	Perry, Kristin Halpin	4	2021-03-18	10	41.25	7,500	-544
Draganfly Inc.	Common Shares	Aasen, Olen John	4	2021-03-17	10		101,478	-65,530
Draganfly Inc.	Common Shares	Aasen, Olen John	4	2021-03-18	10		91,478	-10,000
Draganfly Inc.	Common Shares	Aasen, Olen John	4	2021-03-19	10		81,478	-10,000
Draganfly Inc.	Common Shares	CARD, ANDREW HILL	4	2021-03-11	36		170,952	125,000
Draganfly Inc.	Restricted Share Units	CARD, ANDREW HILL	4	2021-03-11	36		212,619	-125,000
Draganfly Inc.	Restricted Share Units	CARD, ANDREW HILL	4	2021-03-11	56		337,619	125,000
Draganfly Inc.	Common Shares	Mitnick, John Marshall	4	2021-03-11	57		188,011	125,000
Draganfly Inc.	Restricted Share Units	Mitnick, John Marshall	4	2021-03-11	56		416,667	125,000
Draganfly Inc.	Restricted Share Units	Mitnick, John Marshall	4	2021-03-11	57		291,667	-125,000
Dream Office Real Estate Investment Trust	Rights deferred trust units	Charter, Donald Kinloch	4, 6	2020-12-31	30		85,534	3,513
Dundee Corporation	Subordinate Voting Shares Class A	Goodman, Jonathan Carter	4, 5	2020-12-31	30	1.2612	194,265	82,337
Dundee Corporation	Subordinate Voting Shares Class A	Sellars, Robert	7, 5	2020-12-31	30	1.2612	112,433	69,986
Dundee Precious Metals Inc.	Common Shares	Tawil, Marie-Anne	4	2021-03-16	51	2.21	10,000	10,000
Dundee Precious Metals Inc.	Common Shares	Tawil, Marie-Anne	4	2021-03-16	10	7.93	5,014	-4,986
Dundee Precious Metals Inc.	Options	Tawil, Marie-Anne	4	2021-03-16	51	2.21	38,620	-10,000
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2021-03-05	38	7.9597	104,438	104,438
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2021-03-05	38	7.9597	0	-104,438
ECN Capital Corp.	Deferred Share Units	Goldman, Carol Elizabeth	4	2021-03-01	56	7.8043	261,580	4,157
ECN Capital Corp.	Deferred Share Units	Goldman, Carol Elizabeth	4	2021-03-01	56	7.8043	275,775	14,195
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-01	10	8.3046	12,770,354	-49,800
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-02	10	8.1148	12,670,354	-100,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-03	10	8.109	12,645,354	-25,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-09	10	8.3608	12,295,554	-349,800
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-10	10	8.4355	12,098,254	-197,300
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-03-11	10	8.24	11,920,154	-178,100
ECN Capital Corp.	Performance Share Units	Koenig, Mary Beth	5	2021-01-04	56	6.3564	210,332	60,190
ECN Capital Corp.	Performance Share Units	LEPORE, MICHAEL SHANE	5	2021-01-04	56	6.3564	604,185	100,316
ECN Capital Corp.	Deferred Share Units	Lortie, Pierre	4	2021-03-01	56	7.8043	217,799	4,766
ECN Capital Corp.	Deferred Share Units	Lortie, Pierre	4	2021-03-01	56	7.8043	231,994	14,195
ECN Capital Corp.	Deferred Share Units	Lovatt, William Wayne	4	2021-03-01	56	7.8043	950,496	20,482
ECN Capital Corp.	Deferred Share Units	Lovatt, William Wayne	4	2021-03-01	56	7.8043	1,022,689	72,193
ECN Capital Corp.	Deferred Share Units	Martin, Karen Lynne	4	2021-03-01	56	7.8043	60,356	4,157
ECN Capital Corp.	Deferred Share Units	Martin, Karen Lynne	4	2021-03-01	56	7.8043	74,551	14,195
ECN Capital Corp.	Deferred Share Units	Morris, David Dyson	4	2021-03-01	56	7.8043	225,596	2,383
ECN Capital Corp.	Deferred Share Units	Morris, David Dyson	4	2021-03-01	56	7.8043	239,791	14,195
ECN Capital Corp.	Deferred Share Units	Stoyan, Paul James	4	2021-03-01	56	7.8043	159,333	14,195
ECN Capital Corp.	Performance Share Units	YASNY, RANDALL LYLE JEFFREY	5	2021-01-04	56	6.3564	458,486	200,632
Edison Cobalt Corp.	Options	Moreno, Luisa de Fatima Furtado	4	2021-03-15	00		300,000	
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2021-03-16	30	14.257	1,689	35
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2021-03-16	30	14.257	4,216	90
Eldorado Gold Corporation	Options	Aram, Karen Christine	5	2021-03-15	52		35,294	-3,014
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-03-12	36	14.22	277,283	40,619
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-03-12	10	14.22	260,526	-16,757
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-03-16	30	14.257	27,052	415
Eldorado Gold Corporation	Restricted Share Units	Burns, George Raymond	4, 5	2021-03-12	38		301,385	-26,408
Eldorado Gold Corporation	Restricted Share Units	Burns, George Raymond	4, 5	2021-03-12	38		287,174	-14,211
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2021-03-16	30	14.257	8,391	91
Eldorado Gold Corporation	Options	CHO, JASON	5	2021-03-15	52		169,636	-50,905

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Eldorado Gold Corporation	Common Shares	Dick, Joseph Dennis	5	2019-12-02	00			
Eldorado Gold Corporation	Common Shares	Dick, Joseph Dennis	5	2021-03-12	36	14.22	4,941	4,941
Eldorado Gold Corporation	Restricted Share Units	Dick, Joseph Dennis	5	2021-03-12	38		83,768	-4,941
Eldorado Gold Corporation	Common Shares	Eldorado Gold Corporation	1	2021-03-12	36		502,381	-62,205
Eldorado Gold Corporation	Options	Gibson, Pamela Mae	4	2021-03-15	52		0	-17,543
Eldorado Gold Corporation	Common Shares	Gill, Brock	5	2021-03-15	00			
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2021-03-16	30	14.257	2,530	154
Eldorado Gold Corporation	Common Shares	Lewis, Peter Dubois	5	2021-03-12	36	14.22	45,719	6,560
Eldorado Gold Corporation	Common Shares	Lewis, Peter Dubois	5	2021-03-12	10	14.22	43,023	-2,696
Eldorado Gold Corporation	Options	Lewis, Peter Dubois	5	2021-03-15	52		124,517	-46,790
Eldorado Gold Corporation	Restricted Share Units	Lewis, Peter Dubois	5	2021-03-12	38		100,196	-4,202
Eldorado Gold Corporation	Restricted Share Units	Lewis, Peter Dubois	5	2021-03-12	38		97,838	-2,358
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2021-03-12	36	14.22	8,450	5,454
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2021-03-12	10	14.22	6,226	-2,224
Eldorado Gold Corporation	Restricted Share Units	Ower, Lisa Marie	5	2021-03-12	38		76,934	-3,421
Eldorado Gold Corporation	Restricted Share Units	Ower, Lisa Marie	5	2021-03-12	38		74,901	-2,033
Eldorado Gold Corporation	Common Shares	Silva, Lincoln	5	2021-03-12	36	14.22	32,825	4,631
Eldorado Gold Corporation	Options	Silva, Lincoln	5	2021-03-15	52		67,189	-36,052
Eldorado Gold Corporation	Restricted Share Units	Silva, Lincoln	5	2021-03-12	38		70,812	-3,141
Eldorado Gold Corporation	Restricted Share Units	Silva, Lincoln	5	2021-03-12	38		69,322	-1,490
Eldorado Gold Corporation	Options	Stanca, Nicolae	5	2021-03-15	52		69,053	-24,098
Eldorado Gold Corporation	Options	Webster, John	4	2021-03-15	52		9,264	-7,017
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2021-03-16	30	14.257	4,369	91
Eldorado Gold Corporation	Options	Yilmaz, Mehmet	5	2021-03-15	52		60,208	-8,000
Electrovaya Inc.	Common Shares	McLean, Alexander	4	2021-03-15	10	2.05	985,000	-36,000
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Addicott, Virginia Claire	4	2020-12-31	30		4,121	21
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Addicott, Virginia Claire	4	2021-03-12	56	13.244	7,962	3,841
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Baxter, Aaron	5	2020-12-31	30		26,249	476
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Baxter, Aaron	5	2021-03-12	56	13.244	58,930	32,681
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Baxter, Aaron	5	2020-12-31	30		27,905	598
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Baxter, Aaron	5	2021-03-12	56	13.244	38,799	10,894
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Clarke, Andrew	4	2020-12-31	30		56,440	894
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Clarke, Andrew	4	2021-03-12	56	13.244	60,281	3,841
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Colman, David	5	2020-12-31	30		117	117
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Colman, David	5	2021-03-15	51	5.73	27,341	27,224
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Colman, David	5	2021-03-15	10	14.24	117	-27,224
Element Fleet Management Corp. (formerly Element Financial Corporation)	Options	Colman, David	5	2021-03-15	51	5.73	15,534	-27,224
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Colman, David	5	2020-12-31	30		100,387	1,825
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Colman, David	5	2021-03-12	56	13.244	80,144	48,454
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Colman, David	5	2020-12-31	30		13,348	352
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Colman, David	5	2021-03-12	56	13.244	20,649	7,301

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Colman, David	5	2021-03-15	59	13.355	13,512	-7,137
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Damp, Paul	4	2020-12-31	30		110,605	1,932
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Damp, Paul	4	2021-03-12	56	13.244	114,565	3,960
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Denison, David Francis	4	2020-12-31	30		80,203	1,216
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Denison, David Francis	4	2021-03-12	56	13.244	87,198	6,995
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2020-12-31	30		702,261	12,775
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244		314,916
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244		314,916
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2021-03-12	30	13.244		12,775
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2021-03-12	30	13.244		12,775
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244	861,737	314,916
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2020-12-31	30		102,051	2,009
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244		84,946
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244		84,946
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2021-03-12	30	13.244		2,009
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2021-03-12	30	13.244		2,009
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Forbes, Jay A.	4, 5	2021-03-12	56	13.244	186,997	84,946
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Gittens, Christopher Michael Wyndham	5	2020-12-31	30		66,890	1,217
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Gittens, Christopher Michael Wyndham	5	2021-03-12	56	13.244	84,729	17,839
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Gittens, Christopher Michael Wyndham	5	2020-12-31	30		20,162	544
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Gittens, Christopher Michael Wyndham	5	2021-03-12	56	13.244	26,108	5,946
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Graham, George Keith	4	2020-12-31	30		45,654	763
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Graham, George Keith	4	2021-03-12	56	13.244	47,575	1,921
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Greene, Alexander David	4	2020-12-31	30		56,440	894
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Greene, Alexander David	4	2021-03-12	56	13.244	58,361	1,921
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Gupta, Vineet	5	2020-12-31	30		77,744	1,414
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Gupta, Vineet	5	2021-03-12	56	13.244	103,228	25,484

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Gupta, Vineet	5	2020-12-31	30		35,814	651
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Gupta, Vineet	5	2021-03-12	56	13.244	44,309	8,495
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Gupta, Vineet	5	2021-03-15	59	13.355	31,106	-13,203
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Halliday, James	5	2020-12-31	30	13.244	344,078	6,261
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Halliday, James	5	2021-03-12	56	13.244	296,745	121,998
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Halliday, James	5	2020-12-31	30		200,142	989
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Halliday, James	5	2021-03-12	56	13.244	218,992	18,850
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Halliday, James	5	2021-03-15	59	13.355	40,260	-178,732
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Kaufman, Israel	5	2020-12-31	30		22,586	411
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Kaufman, Israel	5	2021-03-12	56	13.244	44,886	22,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Kaufman, Israel	5	2020-12-31	30		37,006	869
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Kaufman, Israel	5	2021-03-12	56	13.244	44,439	7,433
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Lamm-Tennant, Joan	4	2020-12-31	30		189,472	3,310
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Lamm-Tennant, Joan	4	2021-03-12	56	13.244	191,452	1,980
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Madrigal Gonzalez, Carlos David	5	2020-12-31	30		49,727	906
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Madrigal Gonzalez, Carlos David	5	2021-03-12	56	13.244	79,603	29,876
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Madrigal Gonzalez, Carlos David	5	2020-12-31	30		15,997	424
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Madrigal Gonzalez, Carlos David	5	2021-03-12	56	13.244	25,956	9,959
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	McDougal, Rubin Jay	4	2020-12-31	30		60,453	963
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	McDougal, Rubin Jay	4	2021-03-12	56	13.244	64,413	3,960
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	McGillivray, Jacqueline Angela Thomson	5	2020-12-31	30		115,439	2,097
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	McGillivray, Jacqueline Angela Thomson	5	2021-03-12	56	13.244	133,286	29,949
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	McGillivray, Jacqueline Angela Thomson	5	2020-12-31	30		12,072	243
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	McGillivray, Jacqueline Angela Thomson	5	2021-03-12	56	13.244	20,496	8,424
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Rosen, Andrea Sarah	4	2020-12-31	30		33,776	481
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Rosen, Andrea Sarah	4	2021-03-12	56	13.244	37,617	3,841
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Ruperto, Frank	5	2021-01-25	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Ruperto, Frank	5	2021-03-12	56	13.244		61,886
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Ruperto, Frank	5	2021-03-12	56	13.244		61,886
Element Fleet Management Corp. (formerly Element Financial Corporation)	Performance Share Units	Ruperto, Frank	5	2021-03-12	56	13.244	61,886	61,886
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Ruperto, Frank	5	2021-01-25	00			
Element Fleet Management Corp. (formerly Element Financial Corporation)	Restricted Share Units	Ruperto, Frank	5	2021-03-12	56	13.244	141,082	141,082
Elixer Ltd.	Common Shares	Haddad, Mazen	4	2021-03-11	10	0.02	13,130,856	-250,000
Endurance Gold Corporation	Common Shares	Mitchell, John Christopher	4, 5	2021-03-12	10		265,000	65,000
Endurance Gold Corporation	Common Shares	Pease, Robert	4	2021-03-03	11	0.05		150,000
Endurance Gold Corporation	Common Shares	Pease, Robert	4	2021-03-03	51	0.05	470,000	150,000
Endurance Gold Corporation	Common Shares	Pease, Robert	4	2021-03-05	11	0.31		85,000
Endurance Gold Corporation	Common Shares	Pease, Robert	4	2021-03-12	11	0.31	555,000	85,000
Endurance Gold Corporation	Warrants	Pease, Robert	4	2021-03-12	53		42,500	42,500
Enghouse Systems Limited	Common Shares	Lassonde, Pierre	3, 4	2021-03-15	10	17.225	20,000	20,000
Enghouse Systems Limited	Common Shares	Lassonde, Pierre	3, 4	2021-03-16	10	62.06	0	-20,000
Enghouse Systems Limited	Options Employee Stock Option	Lassonde, Pierre	3, 4	2021-03-15	51		20,000	-20,000
Enghouse Systems Limited	Options Employee Stock Option	Mowat, Jane	4	2021-03-15	50	61.41	26,000	10,000
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-15	10	61.1	6,656,500	-500
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-16	10	62	6,640,000	-16,500
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-16	10	62.25	6,637,700	-2,300
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-17	10	61.33	6,600,000	-37,700
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-19	10	62	6,599,500	-500
Ensign Energy Services Inc.	Options	Conway, Brent John	5	2021-03-15	50	1.56	113,500	50,000
Ensign Energy Services Inc.	Rights Performance Share Units (2019-Conway)	Conway, Brent John	5	2021-03-15	59		0	-37,470
Ensign Energy Services Inc.	Options	Edwards, Norman Murray	3, 4, 5	2021-03-15	50	1.56	637,000	150,000
Ensign Energy Services Inc.	Options	Geddes, Robert Harold	5	2021-03-15	50	1.56		150,000
Ensign Energy Services Inc.	Options	Geddes, Robert Harold	5	2021-03-15	50	1.56	637,000	150,000
Ensign Energy Services Inc.	Rights Performance Share Units - 2018 Grant	Geddes, Robert Harold	5	2021-03-15	59		0	-166,442
Ensign Energy Services Inc.	Options	Gray, Michael	5	2021-03-15	50	1.56	213,500	50,000
Ensign Energy Services Inc.	Rights Performance Share Units - 2018 Grant	Gray, Michael	5	2021-03-15	59		0	-45,256
Ensign Energy Services Inc.	Options	Nuss, Michael Rudy	7	2021-03-15	50	1.56	213,500	50,000
Ensign Energy Services Inc.	Rights Performance Share Units - 2018 Grant	Nuss, Michael Rudy	7	2021-03-15	59		0	-81,488
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-03-12	10	0.75	43,210,678	1,024,000
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-16	38	3.9152	95,000	1,900
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-17	38	3.9493	100,700	5,700
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-18	38	3.9256	110,800	10,100
Equinox Gold Corp.	Subscription Receipts	Beaty, Ross J.	4	2021-03-17	16		4,000,000	4,000,000
Equitable Group Inc.	Common Shares	Moor, Andrew	5	2021-03-12	10	140.42	55,495	-1,000
Ero Copper Corp.	Common Shares	Lynn, Courtney Raquel Bordone	5	2021-03-16	00			
Ero Copper Corp.	Options	Lynn, Courtney Raquel Bordone	5	2021-03-16	00			
Ero Copper Corp.	Options	Lynn, Courtney Raquel Bordone	5	2021-03-19	50	24.45	50,000	50,000
Eupraxia Pharmaceuticals Inc.	Convertible Loan	Geyer, Paul	4	2021-03-08	00			
Eupraxia Pharmaceuticals Inc.	Convertible Loan	Geyer, Paul	4	2021-03-08	00		202,959	
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-08	00			
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-09	15	0.001		12,500
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-09	15	0.001		12,500
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-08	00		31,877	
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-08	00			
Eupraxia Pharmaceuticals Inc.	Warrants	Geyer, Paul	4	2021-03-08	00		12,500	
Eupraxia Pharmaceuticals Inc.	Warrants Founder Warrants	Geyer, Paul	4	2021-03-08	00		25,000	
Eupraxia Pharmaceuticals Inc.	Common Shares	Montalbano, John	4	2021-03-09	15	7.999	647,126	43,750
Eupraxia Pharmaceuticals Inc.	Common Shares	Montalbano, John	4	2021-03-09	36	7.999	769,721	122,595
Eupraxia Pharmaceuticals Inc.	Convertible Loan	Montalbano, John	4	2021-03-03	00		242,737	

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Eupraxia Pharmaceuticals Inc.	Notes	Montalbano, John	4	2021-03-03	00		\$122,595	
Eupraxia Pharmaceuticals Inc.	Notes	Montalbano, John	4	2021-03-09	36	7.999	\$0	-\$122,595
Eupraxia Pharmaceuticals Inc.	Warrants	Montalbano, John	4	2021-03-09	15	0.002	178,160	21,875
Eupraxia Pharmaceuticals Inc.	Common Shares	Rothwell, Alexander John	4	2021-03-03	00		50,000	
Eupraxia Pharmaceuticals Inc.	Common Shares	Rothwell, Alexander John	4	2021-03-03	00			
Eupraxia Pharmaceuticals Inc.	Common Shares	Rothwell, Alexander John	4	2021-03-03	00			
Eupraxia Pharmaceuticals Inc.	Options	Rothwell, Alexander John	4	2021-03-03	00		100,000	
Eupraxia Pharmaceuticals Inc.	Options	Rothwell, Alexander John	4	2021-03-09	15	8	487,500	387,500
Exploits Discovery Corp.	Common Shares	Collins, John Michael William	3	2021-03-15	16	0.45	814,000	45,000
Exploits Discovery Corp.	Common Shares	Collins, John Michael William	3	2021-03-18	10	0.445	815,500	1,500
Exploits Discovery Corp.	Warrants	Collins, John Michael William	3	2021-03-15	16	0.67	102,000	45,000
Exploits Discovery Corp.	Common Shares	Huggins, Christopher	4	2021-03-18	10	0.47	50,500	7,500
Exploits Discovery Corp.	Common Shares	Sutton, Monty	5	2021-03-17	15	0.45	130,000	50,000
Exploits Discovery Corp.	Warrants	Sutton, Monty	5	2021-03-17	15		75,000	50,000
Extencicare Inc.	Rights - Performance Share Units	Bacon, David Eric	5	2020-12-31	30			7,668
Extencicare Inc.	Rights - Performance Share Units	Bacon, David Eric	5	2020-12-31	30		109,394	7,339
Extencicare Inc.	Common Shares	Everson, Elaine E.	5	2012-07-01	00			
Extencicare Inc.	Common Shares	Everson, Elaine E.	5	2021-03-17	57	7.24	5,610	5,610
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2020-12-31	30			3,233
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2020-12-31	30		45,245	3,143
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-15	30		61,200	278
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-15	57			-5,610
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-17	30			278
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-17	38		57,934	-3,266
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-17	57		52,324	-5,610
Extencicare Inc.	Rights - Performance Share Units	Everson, Elaine E.	5	2021-03-17	59		45,860	-6,464
Extencicare Inc.	Common Shares	Fountain, Jillian Elizabeth	5	2021-03-17	57	7.24	9,800	1,200
Extencicare Inc.	Common Shares	Fountain, Jillian Elizabeth	5	2021-03-18	10	7.32	10,000	200
Extencicare Inc.	Common Shares	Fountain, Jillian Elizabeth	5	2021-03-18	10	7.33	10,300	300
Extencicare Inc.	Common Shares	Fountain, Jillian Elizabeth	5	2012-07-01	00			
Extencicare Inc.	Common Shares	Fountain, Jillian Elizabeth	5	2021-03-17	57	7.24	3,148	3,148
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2020-12-31	30			2,136
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2020-12-31	30		29,888	2,076
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2021-03-17	30		40,428	184
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2021-03-17	38		38,271	-2,157
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2021-03-17	57		33,923	-4,348
Extencicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2021-03-17	59		30,295	-3,628
Extencicare Inc.	Rights - Performance Share Units	Guerriere, Michael Robert	4, 5	2020-12-31	30			16,745
Extencicare Inc.	Rights - Performance Share Units	Guerriere, Michael Robert	4, 5	2020-12-31	30		234,752	16,252
Extencicare Inc.	Common Shares	Harris, Michael Andrew	7	2021-03-17	57	7.24	5,514	3,374
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2020-12-31	30			2,012
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2020-12-31	30		28,202	1,953
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2021-03-15	30		38,562	168
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2021-03-17	38		36,598	-1,964
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2021-03-17	57		33,224	-3,374
Extencicare Inc.	Rights - Performance Share Units	Harris, Michael Andrew	7	2021-03-17	59		29,336	-3,888
Extencicare Inc.	Common Shares	Hibben, Alan Roy	4	2021-03-18	10	7.3	49,217	5,000
Extencicare Inc.	Common Shares	Loder, Gary M.	7	2021-03-17	57	7.24	13,493	7,046

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Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2020-12-31	30			1,992
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2020-12-31	30		27,934	1,933
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2021-03-15	30		38,289	163
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2021-03-17	38		36,383	-1,906
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2021-03-17	57			-7,046
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2021-03-17	57		29,337	-7,046
Extencicare Inc.	Rights - Performance Share Units	Loder, Gary M.	7	2021-03-17	59		29,336	-1
Extencicare Inc.	Rights - Performance Share Units	Mir, Ali Mohammad	7	2020-12-31	30			3,166
Extencicare Inc.	Rights - Performance Share Units	Mir, Ali Mohammad	7	2020-12-31	30		43,964	3,095
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2020-12-31	30			1,754
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2020-12-31	30		24,552	1,705
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2021-03-15	30		34,944	151
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2021-03-17	38		33,177	-1,767
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2021-03-17	57		30,141	-3,036
Extencicare Inc.	Rights - Performance Share Units	Mulcahy, Tracey Lynn	7	2021-03-17	59		26,644	-3,497
Extencicare Inc.	Rights - Performance Share Units	Patel, Prakash Jayanti	7	2020-12-31	30			1,105
Extencicare Inc.	Rights - Performance Share Units	Patel, Prakash Jayanti	7	2020-12-31	30		16,750	1,004
Extencicare Inc.	Rights - Performance Share Units	Sarauer, Leslie Jan	5	2020-12-31	30			1,466
Extencicare Inc.	Rights - Performance Share Units	Sarauer, Leslie Jan	5	2020-12-31	30		22,219	1,332
Extencicare Inc.	Rights - Performance Share Units	Toffoletto, John	5	2020-12-31	30			1,759
Extencicare Inc.	Rights - Performance Share Units	Toffoletto, John	5	2020-12-31	30		26,663	1,599
Extencicare Inc.	Rights - Performance Share Units	TRENHOLM, MARK	7	2020-12-31	30			1,083
Extencicare Inc.	Rights - Performance Share Units	TRENHOLM, MARK	7	2020-12-31	30		16,408	984
Falcon Gold Corp.	Common Shares	Rayani, Karim	4	2021-03-04	10	0.08	4,627,000	44,000
Fancamp Exploration Ltd.	Options	ANKCORN, PAUL RUSSELL	4	2021-03-12	50	0.1	1,750,000	150,000
Fancamp Exploration Ltd.	Options	Billings, Mark Anthony	4	2021-03-12	50	0.1	2,350,000	600,000
Fancamp Exploration Ltd.	Options	Chapman, Debra Joan	4, 5	2021-03-12	50	0.1	1,750,000	200,000
Fancamp Exploration Ltd.	Options	Mehra, Ashwath	4	2021-03-12	50	0.1	1,550,000	150,000
Fancamp Exploration Ltd.	Options	Sharma, Rajesh	4, 5	2021-03-12	50	0.1	1,750,000	750,000
Fandom Sports Media Corp.	Common Shares	brett, tristan	4	2021-03-15	59	0.49	318,000	-40,000
Fandom Sports Media Corp.	Common Shares	brett, tristan	4	2021-03-18	59	0.45	278,000	-40,000
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	18.19	16,150	-1,500
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	18.175	14,550	-1,600
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	18.04	14,450	-100
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	18.002	13,850	-600
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	18	13,350	-500
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	17.995	50	-13,300
Farmers Edge Inc.	Common Shares	Zucker, Lawrence	4	2021-03-12	10	17.99	0	-50
Fasttask Technologies Inc.	Common Shares	Margaris, Spiros	4	2019-08-15	00			
Fasttask Technologies Inc.	Common Shares	Margaris, Spiros	4	2021-03-15	46	0.1	200,000	200,000
Fasttask Technologies Inc.	Warrants	Margaris, Spiros	4	2019-08-15	00			
Fasttask Technologies Inc.	Warrants	Margaris, Spiros	4	2021-03-15	46		200,000	200,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-15	10	0.135	22,365,811	112,500
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-18	10	0.135	22,493,311	127,500
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-19	10	0.135	22,509,811	16,500
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Bryson, Nathan John	5	2020-10-01	00		5,831	
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Bryson, Nathan John	5	2021-03-17	15	6.5	11,662	5,831

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Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	del Moral, Joseph	4, 5	2021-03-17	15	6.5	38,462	38,462
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Hewitt, Paula Amy	5	2020-10-01	00			
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Hewitt, Paula Amy	5	2021-03-17	15	6.5	3,647	3,647
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Manhas, Amardeep	5	2020-10-01	00		55,555	
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Wong, Donna Kar Yin	5	2020-10-01	00			
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Wong, Donna Kar Yin	5	2021-03-17	15	6.5	7,693	7,693
Fiera Capital Corporation	Subordinate Voting Shares Class A	Beattie, William Geoffrey	4	2020-11-19	10	10.81	15,000	5,000
Fiera Capital Corporation	Subordinate Voting Shares Class A	Kumbhani, Nitin N.	4	2021-03-16	90		2,461,501	1,707,771
Fiera Capital Corporation	Subordinate Voting Shares Class A	Kumbhani, Nitin N.	4	2021-03-16	90		0	-1,707,771
Fiera Capital Corporation	Options	Stock, Peter	5	2021-03-17	00		250,000	
Fiera Capital Corporation	Subordinate Voting Shares Class A	Stock, Peter	5	2021-03-17	00		22,145	
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Common Shares	Herchak, Andriyko	4, 5	2021-02-22	10	0.125	122,300	-4,225,000
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Common Shares	Herchak, Andriyko	4, 5	2021-03-11	16	0.125	4,521,500	4,399,200
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Warrants	Herchak, Andriyko	4, 5	2021-03-11	16	0.18	3,449,600	2,199,600
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Common Shares	Scott, Robert James	5	2021-02-22	10	0.125	0	-1,829,000
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Common Shares	Scott, Robert James	5	2021-03-11	16	0.125	2,064,000	2,064,000
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Common Shares	Scott, Robert James	5	2021-03-01	10	0.13	0	-134,000
FinCanna Capital Corp. (formerly Astar Minerals Ltd.)	Warrants	Scott, Robert James	5	2021-03-11	16	0.18	4,282,000	1,032,000
Finning International Inc.	Common Shares	Marks, Anna Pia	5	2021-03-10	51	29.17	28,651	1,604
Finning International Inc.	Common Shares	Marks, Anna Pia	5	2021-03-10	10	34.011	27,047	-1,604
Finning International Inc.	Options	Marks, Anna Pia	5	2021-03-10	51	29.17	73,907	-12,910
FireFox Gold Corp.	Common Shares	Magnus Minerals Ltd.	3	2021-03-10	10	0.171		208,500
FireFox Gold Corp.	Common Shares	Magnus Minerals Ltd.	3	2021-03-10	10	0.174	9,822,500	298,500
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Goldreich, Mark	5	2020-10-22	00			
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Goldreich, Mark	5	2021-03-16	50		4,000	4,000
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Goldreich, Mark	5	2021-03-16	50		10,000	6,000
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Kalyk, Valentina	4	2020-02-12	00			
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Kalyk, Valentina	4	2021-03-16	50	7.5	12,500	12,500
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Kalyk, Valentina	4	2021-03-16	50	8.3	30,000	17,500
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Mair, Jonathon	4	2020-08-11	00			
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Mair, Jonathon	4	2021-03-16	50	7.5	12,500	12,500

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Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Mair, Jonathon	4	2021-03-16	50	8.3	30,000	17,500
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Parker, Robert	4	2020-09-15	00			
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Parker, Robert	4	2021-03-16	50		12,500	12,500
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Options	Parker, Robert	4	2021-03-16	50		30,000	17,500
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2021-03-15	51	11.7	5,000	5,000
Firm Capital Mortgage Investment Corporation	Options	Baril, Boris	5	2021-03-15	51	11.7	60,000	-5,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.30% (FC.DB.H)	Dadouch, Eli	4, 5	2021-03-12	10	102	\$0	-\$50,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.40% (FC.DB.I)	Dadouch, Eli	4, 5	2021-03-12	10	102	\$0	-\$65,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.50% (FC.DB.J)	Dadouch, Eli	4, 5	2021-03-12	10	102	\$0	-\$50,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures FC.DB.G 5.20%	Dadouch, Eli	4, 5	2021-03-12	10	102	\$0	-\$54,250
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.20% (FC.DB.G)	Mair, Jonathon	4, 5	2021-03-11	10	102	\$160,000	\$26,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.20% (FC.DB.G)	Mair, Jonathon	4, 5	2021-03-12	10	102	\$234,000	\$74,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.30% (FC.DB.H)	Mair, Jonathon	4, 5	2021-03-12	10	102	\$254,690	\$50,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.30% (FC.DB.H)	Mair, Jonathon	4, 5	2021-03-15	10	101	\$259,690	\$5,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.40% (FC.DB.I)	Mair, Jonathon	4, 5	2021-03-12	10	102	\$205,060	\$20,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.40% (FC.DB.I)	Mair, Jonathon	4, 5	2021-03-17	10	101	\$211,060	\$6,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.50% (FC.DB.J)	Mair, Jonathon	4, 5	2021-03-12	10	102	\$361,116	\$59,000
Firm Capital Mortgage Investment Corporation	Options	Newbould, Francis J.C.	4	2020-08-14	50	11.7		50,000
Firm Capital Mortgage Investment Corporation	Options	Newbould, Francis J.C.	4	2020-08-14	50	11.7	95,000	60,000
Firm Capital Mortgage Investment Corporation	Options	Oliver, Joseph	4	2020-08-14	50	11.7		50,000
Firm Capital Mortgage Investment Corporation	Options	Oliver, Joseph	4	2020-08-14	50	11.7	95,000	60,000
First Capital Real Estate Investment Trust	Trust Units	Douglas, Paul Campbell	4	2021-03-16	10	16.7	35,000	15,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2021-03-16	10	21.3	40,000	-5,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2021-03-17	10	21	35,000	-5,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2021-03-18	10	21.82	10,000	-25,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2021-03-19	51	10.84	35,000	25,000
First Majestic Silver Corp.	Options	Anthony, Todd Olson	5	2021-03-19	51	10.84	162,500	-25,000
First Majestic Silver Corp.	Common Shares	Figueroa, Jose Luis	5	2021-01-06	57		2,159	2,159
First Majestic Silver Corp.	Common Shares	Figueroa, Jose Luis	5	2021-03-16	10	21.09	0	-2,159
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2021-03-17	10	22	106,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2021-03-18	51	11.59	111,500	5,000
First Majestic Silver Corp.	Options	Lillico, Connie	5	2021-03-18	51	11.59	397,500	-5,000
Focus Graphite Inc.	Common Shares	Weatherdon, Lindsay Thomas	4	2020-12-29	16	0.05	2,000,474	1,000,000
Focus Graphite Inc.	Warrants	Weatherdon, Lindsay Thomas	4	2020-12-29	16		3,230,768	1,000,000
Focus Graphite Inc.	Common Shares	York, Jeffrey	4	2020-11-17	16	0.05	17,782,008	4,000,000
Focus Graphite Inc.	Warrants	York, Jeffrey	4	2021-03-18	16		6,000,000	4,000,000
Foran Mining Corporation	Common Shares	Morcombe, Darren James	4	2021-03-19	57	0.29	17,694,527	499,660
Foran Mining Corporation	Rights DSU	Morcombe, Darren James	4	2021-03-15	56	0.29	499,660	395,979
Foran Mining Corporation	Rights DSU	Morcombe, Darren James	4	2021-03-19	57		0	-499,660
Fortis Inc.	Performance Share Units (ITC)	Apsey, Linda	7	2020-03-02	30		111,718	924

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Fortis Inc.	Performance Share Units (ITC)	Apsey, Linda	7	2020-06-01	30		112,735	1,017
Fortis Inc.	Performance Share Units (ITC)	Apsey, Linda	7	2020-09-01	30		113,759	1,024
Fortis Inc.	Performance Share Units (ITC)	Apsey, Linda	7	2020-12-01	30		114,849	1,090
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Apsey, Linda	7	2020-03-02	30		16,505	138
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Apsey, Linda	7	2020-06-01	30		16,655	150
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Apsey, Linda	7	2020-09-01	30		16,806	151
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Apsey, Linda	7	2020-12-01	30		16,967	161
Fortis Inc.	Restricted Share Units (ITC)	Apsey, Linda	7	2020-03-02	30		39,361	330
Fortis Inc.	Restricted Share Units (ITC)	Apsey, Linda	7	2020-06-01	30		39,719	358
Fortis Inc.	Restricted Share Units (ITC)	Apsey, Linda	7	2020-09-01	30		40,080	361
Fortis Inc.	Restricted Share Units (ITC)	Apsey, Linda	7	2020-12-01	30		40,464	384
Fortis Inc.	Performance Share Unit	Hinsley, Ronald	5	2020-03-02	30		356	3
Fortis Inc.	Performance Share Unit	Hinsley, Ronald	5	2020-06-01	30		359	3
Fortis Inc.	Performance Share Unit	Hinsley, Ronald	5	2020-09-01	30		362	3
Fortis Inc.	Performance Share Unit	Hinsley, Ronald	5	2020-12-01	30		366	4
Fortis Inc.	Performance Share Units (ITC)	Hinsley, Ronald	5	2020-03-02	30		12,230	100
Fortis Inc.	Performance Share Units (ITC)	Hinsley, Ronald	5	2020-06-01	30		12,341	111
Fortis Inc.	Performance Share Units (ITC)	Hinsley, Ronald	5	2020-09-01	30		12,452	111
Fortis Inc.	Performance Share Units (ITC)	Hinsley, Ronald	5	2020-12-01	30		12,571	119
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Hinsley, Ronald	5	2020-03-02	30		2,177	18
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Hinsley, Ronald	5	2020-06-01	30		2,197	20
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Hinsley, Ronald	5	2020-09-01	30		2,217	20
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Hinsley, Ronald	5	2020-12-01	30		2,238	21
Fortis Inc.	Restricted Share Units (ITC)	Hinsley, Ronald	5	2020-03-02	30		4,058	34
Fortis Inc.	Restricted Share Units (ITC)	Hinsley, Ronald	5	2020-06-01	30		4,094	36
Fortis Inc.	Restricted Share Units (ITC)	Hinsley, Ronald	5	2020-09-01	30		4,130	36
Fortis Inc.	Restricted Share Units (ITC)	Hinsley, Ronald	5	2020-12-01	30		4,169	39
Fortis Inc.	Performance Share Units (ITC)	Holloway, Gretchen	7	2020-03-02	30		38,190	316
Fortis Inc.	Performance Share Units (ITC)	Holloway, Gretchen	7	2020-06-01	30		38,537	347
Fortis Inc.	Performance Share Units (ITC)	Holloway, Gretchen	7	2020-09-01	30		38,887	350
Fortis Inc.	Performance Share Units (ITC)	Holloway, Gretchen	7	2020-12-01	30		39,260	373
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Holloway, Gretchen	7	2020-03-02	30		5,632	47
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Holloway, Gretchen	7	2020-06-01	30		5,683	51
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Holloway, Gretchen	7	2020-09-01	30		5,735	52
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Holloway, Gretchen	7	2020-12-01	30		5,790	55
Fortis Inc.	Restricted Share Units (ITC)	Holloway, Gretchen	7	2020-03-02	30		13,465	113
Fortis Inc.	Restricted Share Units (ITC)	Holloway, Gretchen	7	2020-06-01	30		13,588	123
Fortis Inc.	Restricted Share Units (ITC)	Holloway, Gretchen	7	2020-09-01	30		13,711	123
Fortis Inc.	Restricted Share Units (ITC)	Holloway, Gretchen	7	2020-12-01	30		13,842	131
Fortis Inc.	Performance Share Units (UNS)	Hutchens, David Gerard	7	2021-03-12	59	52.358	33,885	-28,515
Fortis Inc.	Performance Share Units (ITC)	Jipping, Jon	7	2020-03-02	30		56,793	470
Fortis Inc.	Performance Share Units (ITC)	Jipping, Jon	7	2020-06-01	30		57,311	518
Fortis Inc.	Performance Share Units (ITC)	Jipping, Jon	7	2020-09-01	30		57,831	520
Fortis Inc.	Performance Share Units (ITC)	Jipping, Jon	7	2020-12-01	30		58,385	554
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Jipping, Jon	7	2020-03-02	30		8,294	69

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Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Jipping, Jon	7	2020-06-01	30		8,370	76
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Jipping, Jon	7	2020-09-01	30		8,446	76
Fortis Inc.	Restricted Share Units (2020 RSU Plan)	Jipping, Jon	7	2020-12-01	30		8,526	80
Fortis Inc.	Restricted Share Units (ITC)	Jipping, Jon	7	2020-03-02	30		20,107	169
Fortis Inc.	Restricted Share Units (ITC)	Jipping, Jon	7	2020-06-01	30		20,290	183
Fortis Inc.	Restricted Share Units (ITC)	Jipping, Jon	7	2020-09-01	30		20,474	184
Fortis Inc.	Restricted Share Units (ITC)	Jipping, Jon	7	2020-12-01	30		20,670	196
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2021-03-15	57		35,530	11,448
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2021-03-15	57		42,475	6,945
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2021-03-19	57		56,024	13,549
Fortuna Silver Mines Inc.	Common Shares	Chapman, Eric	5	2021-03-19	57		77,194	21,170
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-15	57		127,470	-11,448
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-15	57		120,525	-6,945
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-15	58 - Expiration of rights		119,838	-687
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-19	57		106,289	-13,549
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-19	57		85,119	-21,170
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Chapman, Eric	5	2021-03-19	58 - Expiration of rights		78,064	-7,055
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Jorge A.	4	2021-03-15	57		1,131,820	70,605
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Jorge A.	4	2021-03-15	57		1,174,654	42,834
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Jorge A.	4	2021-03-19	57		1,246,849	72,195
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Jorge A.	4	2021-03-19	57		1,440,794	193,945
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-15	57		874,511	-70,605
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-15	57		831,677	-42,834
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-15	58 - Expiration of rights		827,441	-4,236
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-19	57		755,246	-72,195
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-19	57		561,301	-193,945
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Jorge A.	4	2021-03-19	58 - Expiration of rights		496,652	-64,649
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Luis Dario	5	2021-03-15	57		328,498	28,166
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Luis Dario	5	2021-03-15	57		345,585	17,087
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Luis Dario	5	2021-03-19	57		382,759	37,174
Fortuna Silver Mines Inc.	Common Shares	Ganoza Durant, Luis Dario	5	2021-03-19	57		515,750	132,991
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-15	57		431,400	-28,166
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-15	57		414,313	-17,087
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-15	58 - Expiration of rights		412,623	-1,690
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-19	57		375,449	-37,174
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-19	57		242,458	-132,991
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ganoza Durant, Luis Dario	5	2021-03-19	58 - Expiration of rights		198,127	-44,331
Fortuna Silver Mines Inc.	Common Shares	Jang, Gordon	5	2021-03-15	57		46,744	13,161
Fortuna Silver Mines Inc.	Common Shares	Jang, Gordon	5	2021-03-15	57		54,728	7,984
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Jang, Gordon	5	2021-03-15	57		104,449	-13,161
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Jang, Gordon	5	2021-03-15	57		96,465	-7,984
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Jang, Gordon	5	2021-03-15	58 - Expiration of rights		95,675	-790
Fortuna Silver Mines Inc.	Common Shares	Pacora Puga, Jose Alberto	5	2021-03-15	57		120,296	21,101

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Fortuna Silver Mines Inc.	Common Shares	Pacora Puga, Jose Alberto	5	2021-03-15	57		133,097	12,801
Fortuna Silver Mines Inc.	Common Shares	Pacora Puga, Jose Alberto	5	2021-03-19	57		159,062	25,965
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Pacora Puga, Jose Alberto	5	2021-03-15	57		188,458	-21,101
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Pacora Puga, Jose Alberto	5	2021-03-15	57		175,657	-12,801
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Pacora Puga, Jose Alberto	5	2021-03-15	58 - Expiration of rights		174,391	-1,266
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Pacora Puga, Jose Alberto	5	2021-03-19	57		148,426	-25,965
Fortuna Silver Mines Inc.	Common Shares	Ruiz-Conejo, Juan Manuel	5	2021-03-15	57		100,807	21,118
Fortuna Silver Mines Inc.	Common Shares	Ruiz-Conejo, Juan Manuel	5	2021-03-15	57		113,619	12,812
Fortuna Silver Mines Inc.	Common Shares	Ruiz-Conejo, Juan Manuel	5	2021-03-19	57		141,610	27,991
Fortuna Silver Mines Inc.	Common Shares	Ruiz-Conejo, Juan Manuel	5	2021-03-19	57	27707	169,317	27,707
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-15	57		227,560	-21,118
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-15	57		214,748	-12,812
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-15	58 - Expiration of rights		213,481	-1,267
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-19	57		185,490	-27,991
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-19	57		157,783	-27,707
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Ruiz-Conejo, Juan Manuel	5	2021-03-19	58 - Expiration of rights		148,548	-9,235
Fortuna Silver Mines Inc.	Common Shares	Volkert, David	5	2021-03-15	57		46,758	19,411
Fortuna Silver Mines Inc.	Common Shares	Volkert, David	5	2021-03-15	57		58,534	11,776
Fortuna Silver Mines Inc.	Common Shares	Volkert, David	5	2021-03-19	57		79,340	20,806
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Volkert, David	5	2021-03-15	57		166,106	-19,411
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Volkert, David	5	2021-03-15	57		154,330	-11,776
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Volkert, David	5	2021-03-15	58 - Expiration of rights		153,165	-1,165
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Volkert, David	5	2021-03-19	57		132,359	-20,806
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (cash settled)	Whittall, Sally	5	2021-03-15	59		48,536	-6,211
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (cash settled)	Whittall, Sally	5	2021-03-19	57		40,472	-8,064
Freegold Ventures Limited	Common Shares	DAWSON, GARNET L.	4	2011-02-01	00			
Freegold Ventures Limited	Common Shares	DAWSON, GARNET L.	4	2011-02-01	00			
Freegold Ventures Limited	Common Shares	DAWSON, GARNET L.	4	2011-02-01	00			
Freegold Ventures Limited	Common Shares	DAWSON, GARNET L.	4	2021-02-16	10	0.21		125,000
Freegold Ventures Limited	Common Shares	DAWSON, GARNET L.	4	2021-02-16	51	0.21	125,000	125,000
Freehold Royalties Ltd.	Deferred Share Units	BUGEAUD, GARY RONALD JOSEPH	4	2021-03-15	30	7.58	58,876	155
Freehold Royalties Ltd.	Common Shares	Farstad, Lisa	5	2021-03-18	10	7.4287	12,865	6,615
Freehold Royalties Ltd.	Common Shares	Farstad, Lisa	5	2021-03-18	10	7.39	12,990	125
Freehold Royalties Ltd.	Deferred Share Units	HARRISON, PETER T	4	2021-03-15	30	7.58	25,498	67
Freehold Royalties Ltd.	Deferred Share Units	Kay, J. Douglas	4	2021-03-15	30	7.58	52,835	139
Freehold Royalties Ltd.	Deferred Share Units	Korpach, Arthur Neil	4	2021-03-15	30	7.58	71,549	188
Freehold Royalties Ltd.	Deferred Share Units	MacKenzie, Susan Mary	4	2021-03-15	30	7.58	62,760	165
Freehold Royalties Ltd.	Deferred Share Units	Romanow, Marvin F.	4	2021-03-15	30	7.58	83,867	221
Freehold Royalties Ltd.	Common Shares	Spyker, David Michael	5	2021-03-17	10	7.692	36,000	3,250
Freehold Royalties Ltd.	Common Shares	Spyker, David Michael	5	2021-03-18	10	7.679	40,500	4,500
Freehold Royalties Ltd.	Common Shares	Spyker, David Michael	5	2021-03-18	10	7.651	43,500	3,000
Freehold Royalties Ltd.	Deferred Share Units	Walsh, Aidan Murphy	4	2021-03-15	30	7.58	66,828	176
Freeman Gold Corp. (formerly, Lodge Resources Inc.)	Common Shares	Randall, William	5	2021-03-18	10	0.47	2,654,500	70,000
Frontera Energy Corporation	Restricted Stock Units	Cabrales Segovia, Orlando	4, 5	2018-11-07	00			
Frontera Energy Corporation	Restricted Stock Units	Cabrales Segovia, Orlando	4, 5	2021-03-15	56	6.4477	49,460	49,460
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-23	10			\$386,263
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-23	10		\$650,000	\$650,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-25	10			\$1,889,366

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Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-25	10		\$3,650,000	\$3,000,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-27	10			\$998,396
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-27	10		\$5,150,000	\$1,500,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-27	10			\$1,586,731
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-27	10		\$7,525,000	\$2,375,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-30	10			\$668,367
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-03-30	10		\$8,525,000	\$1,000,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-12	10			-\$1,753,452
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-12	10		\$6,809,000	-\$1,716,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-05-07	10			\$137,329
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-05-07	10		\$200,000	\$200,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-05-08	10			\$258,766
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-05-08	10		\$600,000	\$400,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-11-17	10			\$449,650
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2020-11-17	10		\$1,100,000	\$500,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-01-06	10			\$296,051
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-01-06	10		\$1,410,000	\$310,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-12	10			-\$290,198
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-12	10		\$1,126,000	-\$284,000
FRONTIER LITHIUM INC.	Common Shares	Letwin, Stephen Joseph James	4	2020-09-24	00			
FRONTIER LITHIUM INC.	Common Shares	Letwin, Stephen Joseph James	4	2021-03-15	11		50,000	50,000
FRONTIER LITHIUM INC.	Warrants	Letwin, Stephen Joseph James	4	2020-09-24	00			
FRONTIER LITHIUM INC.	Warrants	Letwin, Stephen Joseph James	4	2021-03-15	11	1.25	25,000	25,000
FRONTIER LITHIUM INC.	Options	MEEKIS, BARTHOLEMEW	4	2021-03-16	00			
FRONTIER LITHIUM INC.	Options	MEEKIS, BARTHOLEMEW	4	2021-03-16	50	1.05	500,000	500,000
FRONTIER LITHIUM INC.	Common Shares	Walker, Reginald Frank	3, 4	2021-03-15	11		13,680,215	255,000
FRONTIER LITHIUM INC.	Warrants	Walker, Reginald Frank	3, 4	2021-03-15	11	1.25	1,111,591	127,500
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2010-01-06	00			
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2021-03-15	11		6,000	6,000
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2010-01-06	00			
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2021-03-15	11		6,000	6,000
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2021-03-15	11		187,375	33,000
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2010-01-06	00			
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2021-03-15	11	1.25	3,000	3,000
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2010-01-06	00			
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2021-03-15	11	1.25	3,000	3,000
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2010-01-06	00			
FRONTIER LITHIUM INC.	Warrants	Walker, Trevor	5	2021-03-15	53		16,500	16,500
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	BADYLAK, MACIEJ	5	2020-08-17	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	BADYLAK, MACIEJ	5	2021-03-10	97		144,200	144,200
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	de Groot, Marcel H.	4	2009-07-02	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	de Groot, Marcel H.	4	2021-03-10	97		130,700	130,700
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	de Groot, Marcel H.	4	2021-01-21	52		377,000	-40,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	Di Trapani, Fausto	5	2021-01-21	52		1,069,000	-100,000

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Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	Di Trapani, Fausto	5	2017-01-11	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	Di Trapani, Fausto	5	2021-03-10	97		142,400	142,400
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Fretwell, Gordon	4	2004-02-24	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Fretwell, Gordon	4	2021-03-10	97		130,700	130,700
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	McCunn, Gregory John	5	2019-04-01	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Performance Share Units	McCunn, Gregory John	5	2021-03-10	97		322,400	322,400
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Mosely, Judith	4	2020-01-01	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Mosely, Judith	4	2021-03-10	97		130,700	130,700
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Price, Michael	4	2014-02-06	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Price, Michael	4	2021-03-10	97		130,700	130,700
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Wallace, Shawn	4	2010-02-26	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Wallace, Shawn	4	2021-03-10	97		130,700	130,700
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Wright, Paul Nicholas	4	2020-04-01	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	DSU	Wright, Paul Nicholas	4	2021-03-10	97		130,700	130,700
Galleon Gold Corp.	Options	Colantonio, Mario, Santino	4	2021-03-16	52		650,000	-50,000
Galleon Gold Corp.	Options	Dupont, Chris	4, 5	2021-03-16	52		4,500,000	-500,000
Galleon Gold Corp.	Options	Merkel, Gerhard	4	2021-03-16	52		650,000	-50,000
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2021-03-16	10	0.8092	1,979,553	1,915
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2021-03-16	10	0.81	1,986,088	6,535
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-12	10	0.25	6,400,000	100,000
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-12	10	0.245	6,445,000	45,000
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-15	10	0.245	6,450,000	5,000
GDI Integrated Facility Services Inc.	Multiple Voting Shares	Bigras, Claude	3, 4, 5	2021-03-19	36	48.3	2,726,089	-250,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Bigras, Claude	3, 4, 5	2021-03-19	36	48.3	250,000	250,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Bigras, Claude	3, 4, 5	2021-03-19	11	48.3	0	-250,000
GDI Integrated Facility Services Inc.	Multiple Voting Shares	Gestion Claude Bigras Inc.	3	2021-03-19	36	48.3	2,726,089	-250,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Gestion Claude Bigras Inc.	3	2021-03-19	36	48.3	250,000	250,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Gestion Claude Bigras Inc.	3	2021-03-19	11	48.3	0	-250,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-03-16	10	0.18	2,050,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-03-17	10	0.185	2,051,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-03-19	10	0.18	2,052,186	1,000
Geodrill Limited	Options	Borsk, Gregory	5	2021-03-15	50		700,000	90,000
Geodrill Limited	Options	Burling, Terrance Frederick	5	2021-03-15	50		745,000	90,000
Geodrill Limited	Options	Geodrill Limited	1	2018-07-01	00			
Geodrill Limited	Options	Harper, David Michael	5	2021-03-15	50		900,000	420,000
Geodrill Limited	Options	Prentice, Victoria Kay	5	2021-03-10	51	0.79		71,000
Geodrill Limited	Options	Prentice, Victoria Kay	5	2021-03-10	51	0.79	184,000	-71,000
Geodrill Limited	Options	Prentice, Victoria Kay	5	2021-03-14	52	0.79	135,000	-49,000
Geodrill Limited	Options	Rodger, Greig	5	2021-03-15	50	1.94	655,000	90,000
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2021-03-12	10	1.9693	7,527,327	-4,600
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2021-03-15	10	1.9506	7,428,727	-98,600
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2021-03-16	10	1.9333	7,337,227	-91,500
George Weston Limited	Common Shares	Binning, Paviter Singh	4, 6	2021-03-15	30		5,628	32
George Weston Limited	Common Shares	Binning, Paviter Singh	4, 6	2021-03-15	30		61	1
George Weston Limited	Common Shares	Currie, Gordon Andrew McDonald	5	2021-03-15	30		6,017	35
George Weston Limited	Common Shares	Currie, Gordon Andrew McDonald	5	2021-03-15	30		335	2
George Weston Limited	Common Shares	Davis, Sarah Ruth	7	2021-03-15	30		1,241	7
George Weston Limited	Common Shares	Dufresne, Richard	5	2021-03-15	30		4,378	152

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George Weston Limited	Common Shares	Dufresne, Richard	5	2021-03-15	30		203	1
George Weston Limited	Common Shares	Myers, Darren	7	2021-03-15	30		73	1
Gibson Energy Inc.	Common Shares	Brown, Sean	5	2021-03-15	30		139,838	34,945
Gibson Energy Inc.	Restricted Share Units	Brown, Sean	5	2021-03-15	56		134,567	25,089
Gibson Energy Inc.	Restricted Share Units	Brown, Sean	5	2021-03-15	30		65,984	-68,583
Gibson Energy Inc.	Restricted Share Units	Brown, Sean	5	2021-03-15	56	22.18	105,551	39,567
Gibson Energy Inc.	Common Shares	DeGruchy, Kyle John	5	2021-03-15	30		19,661	7,006
Gibson Energy Inc.	Restricted Share Units	DeGruchy, Kyle John	5	2021-03-15	56		91,523	1,241
Gibson Energy Inc.	Restricted Share Units	DeGruchy, Kyle John	5	2021-03-15	30		77,773	-13,750
Gibson Energy Inc.	Restricted Share Units	DeGruchy, Kyle John	5	2021-03-15	56	22.18	108,961	31,188
Gibson Energy Inc.	Common Shares	Saif, Omar Ali Khan	5	2021-03-15	30		14,071	6,141
Gibson Energy Inc.	Deferred Share Units	Saif, Omar Ali Khan	5	2021-03-15	56	22.18	17,627	7,439
Gibson Energy Inc.	Restricted Share Units	Saif, Omar Ali Khan	5	2021-03-15	56		35,587	3,034
Gibson Energy Inc.	Restricted Share Units	Saif, Omar Ali Khan	5	2021-03-15	30		23,534	-12,053
Gibson Energy Inc.	Restricted Share Units	Saif, Omar Ali Khan	5	2021-03-15	56	22.18	51,937	28,403
Gibson Energy Inc.	Common Shares	SPAULDING, STEVEN R.	4, 5	2021-03-15	30		233,510	112,514
Gibson Energy Inc.	Restricted Share Units	SPAULDING, STEVEN R.	4, 5	2021-03-15	56		438,782	80,774
Gibson Energy Inc.	Restricted Share Units	SPAULDING, STEVEN R.	4, 5	2021-03-15	30		217,965	-220,817
Gibson Energy Inc.	Restricted Share Units	SPAULDING, STEVEN R.	4, 5	2021-03-15	56	22.18	336,990	119,025
Gibson Energy Inc.	Common Shares	WILSON, SEAN	7	2021-03-15	30		114,095	26,040
Gibson Energy Inc.	Deferred Share Units	WILSON, SEAN	7	2021-03-15	56	22.18	37,916	9,017
Gibson Energy Inc.	Restricted Share Units	WILSON, SEAN	7	2021-03-15	56		105,020	18,358
Gibson Energy Inc.	Restricted Share Units	WILSON, SEAN	7	2021-03-15	30		53,915	-51,105
Gibson Energy Inc.	Restricted Share Units	WILSON, SEAN	7	2021-03-15	56	22.18	85,473	31,558
Gildan Activewear Inc.	Common Shares	Chamandy, Glenn J.	4, 5	2019-03-05	10	47.89	140,159	-52,466
Gildan Activewear Inc.	Common Shares	Chamandy, Glenn J.	4, 5	2015-03-27	37		1,600	800
Gildan Activewear Inc.	Restricted Share Units	Ward, Chuckie J.	7	2021-03-01	56	30.37		5,170
Gildan Activewear Inc.	Restricted Share Units	Ward, Chuckie J.	7	2021-03-01	56	30.37	9,630	5,284
Global Battery Metals Ltd.	Common Shares	Matthews, Alan Forrester	4	2021-03-15	51	0.1	288,277	78,000
Global Battery Metals Ltd.	Options	Matthews, Alan Forrester	4	2021-03-15	51		350,000	-78,000
Global Battery Metals Ltd.	Common Shares	Paiement, Jean-Philippe	5	2021-03-16	10	0.55	35,500	-9,500
Global Battery Metals Ltd.	Common Shares	Paiement, Jean-Philippe	5	2021-03-16	10	0.56	35,000	-500
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2021-03-12	38	12.75	5,414,005	900
Global Hemp Group Inc.	Common Shares Class A	Lebeuf, Michel	4	2020-05-21	00			
Global Hemp Group Inc.	Common Shares Class A	Lebeuf, Michel	4	2021-03-09	51	0.055	500,000	500,000
Global Hemp Group Inc.	Options	Lebeuf, Michel	4	2021-03-09	51		0	-500,000
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-03-12	38	13.855	1,230,300	1,600
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-03-16	38	14.01	1,230,700	400
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-03-17	38	13.973	1,231,100	400
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-03-18	38	13.935	1,232,100	1,000
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2021-03-12	38	13.95	674,000	900
Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Common Shares	Falck, Gregory Stanley	4	2021-03-03	00		1,250,000	
Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Options	Falck, Gregory Stanley	4	2021-03-03	00			
Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Options	Falck, Gregory Stanley	4	2021-03-04	50		300,000	300,000
Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Warrants	Falck, Gregory Stanley	4	2021-03-03	00			
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Ali Khan, Mir Farhan	5	2020-09-14	00			
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Ali Khan, Mir Farhan	5	2021-03-15	50		4,906	4,906
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Ali Khan, Mir Farhan	5	2021-03-15	50		7,596	2,690
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Ali Khan, Mir Farhan	5	2021-03-15	56		7,204	1,643
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Ali Khan, Mir Farhan	5	2021-03-15	56		12,704	5,500
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Ali Khan, Mir Farhan	5	2021-03-15	56		13,632	928
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Anzini, Sabrina	5	2021-03-15	50		11,782	2,586
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Anzini, Sabrina	5	2021-03-15	56		5,779	894

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goeasy Ltd. (formerly, easyhome Ltd.)	Options	Appel, Jason	5	2021-03-15	50		59,409	5,200
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Appel, Jason	5	2021-03-15	56		10,615	1,796
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Cooper, David Thomas	4	2021-03-15	50		18,546	2,586
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Cooper, David Thomas	4	2021-03-15	56		5,617	894
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Eubanks, Michael Anthony	5	2021-03-15	50		15,572	3,312
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Eubanks, Michael Anthony	5	2021-03-15	56		7,207	1,144
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Fiederer, Andrea	5	2021-03-15	50		87,259	5,434
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Fiederer, Andrea	5	2021-03-15	56		12,900	1,876
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2021-03-15	51	35.5	206,940	30,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2021-03-15	10	131.35	192,969	-13,971
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2021-03-15	90		176,940	-16,029
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2021-03-15	90		198,286	16,029
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2021-03-15	10	131.43	194,286	-4,000
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Ingram, David	4, 5	2021-03-15	51	35.5	130,840	-30,000
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Khoury, Halim	5	2021-03-15	50		48,867	6,210
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Khoury, Halim	5	2021-03-15	56		22,894	2,146
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Mullins, Jason	5	2021-03-15	50		156,915	14,880
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Mullins, Jason	5	2021-03-15	50		158,856	1,941
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Mullins, Jason	5	2021-03-15	56		59,792	5,140
goeasy Ltd. (formerly, easyhome Ltd.)	Options	Poole, Steven Donald	5	2021-03-15	50		24,634	2,664
goeasy Ltd. (formerly, easyhome Ltd.)	Restricted Share Unit	Poole, Steven Donald	5	2021-03-15	56		6,169	920
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Common Shares	Povey, Michael	4	2020-08-31	45	0.2	795,900	45,900
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Options	Povey, Michael	4	2020-11-06	50		2,150,000	1,500,000
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Povey, Michael	4	2020-07-10	00			
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Povey, Michael	4	2020-07-10	00			
Gold Hunter Resources Inc.	Common Shares	Sutton, Brayden Robert	3	2021-03-19	10	0.53	2,120,000	10,000
Gold Royalty Corp.	Common Shares	Adnani, Amir	4, 6	2021-03-11	00		333,333	
Gold Royalty Corp.	Common Shares	Adnani, Amir	4, 6	2021-03-11	00			
Gold Royalty Corp.	Common Shares	Adnani, Amir	4, 6	2021-03-11	15	5	50,000	50,000
Gold Royalty Corp.	Options	Adnani, Amir	4, 6	2021-03-11	00		500,000	
Gold Royalty Corp.	Restricted Shares	Adnani, Amir	4, 6	2021-03-11	00		666,667	
Gold Royalty Corp.	Warrants	Adnani, Amir	4, 6	2021-03-11	00			
Gold Royalty Corp.	Warrants	Adnani, Amir	4, 6	2021-03-11	15		25,000	25,000
Gold Royalty Corp.	Common Shares	Griffith, John	5	2021-03-11	00			
Gold Royalty Corp.	Common Shares	Griffith, John	5	2021-03-11	15	5	25,000	25,000
Gold Royalty Corp.	Options	Griffith, John	5	2021-03-11	00		275,000	
Gold Royalty Corp.	Warrants	Griffith, John	5	2021-03-11	00			
Gold Royalty Corp.	Warrants	Griffith, John	5	2021-03-11	15		12,500	12,500
Gold Standard Ventures Corp.	Common Shares	Neeser, Jordan	5	2021-03-16	00		100,000	
Gold Standard Ventures Corp.	Options	Neeser, Jordan	5	2021-03-16	00			
Gold Standard Ventures Corp.	Options	Neeser, Jordan	5	2021-03-16	00		823,753	
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	Neeser, Jordan	5	2021-03-16	00			
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	Neeser, Jordan	5	2021-03-16	00		223,581	

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Goldblock Capital Inc	Common Shares	Dhalla, Azim	3, 4	2021-03-12	11	0.1	651,600	-162,900
Goldblock Capital Inc	Common Shares	Dhalla, Azim	3, 4	2021-03-12	11	0.1	2,940,000	-735,000
Golden Dawn Minerals Inc.	Common Shares	Anderson, Christopher Ross	4	2021-03-15	10	0.145	7,775,000	100,000
Golden Dawn Minerals Inc.	Common Shares	Anderson, Christopher Ross	4	2021-03-15	10	0.145	7,850,000	75,000
Golden Lake Exploration Inc.	Options	England, Michael Bruno John Franz	4, 5	2021-03-12	50	0.45	700,000	500,000
Golden Lake Exploration Inc.	Options	MAH, GEORGE PETER	4	2021-03-15	50	0.45	275,000	125,000
Golden Lake Exploration Inc.	Options	Masters, John Parker	4, 5	2021-03-12	50	0.45	400,000	200,000
Golden Predator Mining Corp.	Options	Goldfarb, Richard	4	2020-09-30	52	0.91	410,000	-225,000
Golden Predator Mining Corp.	Options	Goldfarb, Richard	4	2021-02-26	52	0.75	350,000	-60,000
Golden Predator Mining Corp.	Options	Harris, William	4	2020-09-30	52	0.91	225,000	225,000
Golden Predator Mining Corp.	Options	Harris, William	4	2020-09-30	52	0.91	300,000	-225,000
Golden Predator Mining Corp.	Options	Harris, William	4	2021-02-26	52	75	75,000	75,000
Golden Predator Mining Corp.	Options	Harris, William	4	2021-02-26	52	75	225,000	-75,000
Golden Predator Mining Corp.	Options	Lee-Sheriff, Janet	5	2020-03-21	52	1.6	600,000	-100,000
Golden Predator Mining Corp.	Options	Lee-Sheriff, Janet	5	2021-02-26	52	0.75	600,000	-100,000
Golden Predator Mining Corp.	Options	Lesiak, Anthony	4	2021-02-26	52	0.75	225,000	-60,000
Golden Predator Mining Corp.	Options	Sheriff, William Morris	4	2021-02-26	52	0.75	550,000	-75,000
Golden Predator Mining Corp.	Options	Thiele, Bradley Glen	4	2020-03-21	52	1.6	235,000	-50,000
Golden Predator Mining Corp.	Options	Thiele, Bradley Glen	4	2021-02-26	52	0.75	225,000	-60,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	DAWSON, GARNET L.	4, 5	2021-03-11	51	2.07	365,111	150,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	DAWSON, GARNET L.	4, 5	2021-03-11	10	2.0477	287,111	-78,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Options	DAWSON, GARNET L.	4, 5	2021-03-11	51	0.73	1,130,000	-150,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Pereira Neto, Paulo Valle	5	2021-03-15	51	2.08	864,166	150,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Options	Pereira Neto, Paulo Valle	5	2021-03-15	51	0.73	425,000	-150,000
GovEx Uranium Inc.	Options	Krafft, Eric Sten	4	2021-02-22	00			
GovEx Uranium Inc.	Options	Krafft, Eric Sten	4	2021-03-18	50		500,000	500,000
Gran Colombia Gold Corp.	Common Shares	Gran Colombia Gold Corp.	1	2021-03-09	38	6.0381	76,700	76,700
Gran Colombia Gold Corp.	Common Shares	Gran Colombia Gold Corp.	1	2021-03-10	38	6.0992	131,700	55,000
Gran Colombia Gold Corp.	Common Shares	Gran Colombia Gold Corp.	1	2021-03-12	38	6.2	0	-131,700
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2021-03-18	30	0.83	170,667	3,434
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2021-03-18	30	0.83	68,536	1,515
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2021-03-18	30	0.83	255,742	4,847
Gran Tierra Energy Inc.	Common Shares	Mah, Glen	5	2021-03-18	30	1.03	19,098	485
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2021-03-18	30	0.83	120,471	2,424
Grande West Transportation Group Inc.	Common Shares	White, James David Alexander	4	2021-03-19	54	0.38	787,616	30,000
Grande West Transportation Group Inc.	Warrants	White, James David Alexander	4	2021-03-19	54	0.38	105,000	-30,000
Granite REIT Inc.	Deferred Share Units	Aghar, Peter	4	2021-03-15	35	75.81	10,884	36
Granite REIT Inc.	Deferred Share Units	Daal, Remco	4	2021-03-15	35	75.81	9,581	31
Granite REIT Inc.	Performance Share Units	Gorrie, Kevan Stuart	4, 5	2021-03-15	35	75.81	35,219	116
Granite REIT Inc.	Restricted Share Units	Gorrie, Kevan Stuart	4, 5	2021-03-15	35	75.81	32,733	108
Granite REIT Inc.	Deferred Share Units	Grodner, Fern Phyllis	4	2021-03-15	35	75.81	3,314	11
Granite REIT Inc.	Performance Share Units	KUMER, LORNE	5	2021-03-15	35	75.81	10,441	34
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2021-03-15	35	75.81	12,676	42
Granite REIT Inc.	Deferred Share Units	Marshall, Kelly John	4	2021-03-15	35	75.81	13,895	46
Granite REIT Inc.	Deferred Share Units	Mawani, Al	4	2021-03-15	35	75.81	10,582	35
Granite REIT Inc.	Deferred Share Units	Miller, Gerald	4	2021-03-15	35	75.81	13,167	43
Granite REIT Inc.	Deferred Share Units	Murray, Sheila A.	4	2021-03-15	35	75.81	4,629	15
Granite REIT Inc.	Performance Share Units	Neto, Teresa	5	2021-03-15	35	75.81	8,092	27
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2021-03-15	35	75.81	9,361	31
Granite REIT Inc.	Performance Share Units	Ramparas, Michael Anthony	5	2021-03-15	35	75.81	7,624	25
Granite REIT Inc.	Restricted Share Units	Ramparas, Michael Anthony	5	2021-03-15	35	75.81	7,344	24
Granite REIT Inc.	Deferred Share Units	Warren, Edna Jennifer	4	2021-03-15	35	75.81	6,726	22
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Warrants	Easdale, Andrew James Alexander	7	2021-02-16	00			
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Warrants	Easdale, Andrew James Alexander	7	2021-02-16	53		7,500,000	7,500,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Haber, Paul	4	2021-03-17	10	0.18	0	-800,000

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Gratomic Inc. (formerly CKR Carbon Corporation)	Options	Helmel, Alexander	4	2021-03-02	50		350,000	350,000
Great Canadian Gaming Corporation	Units Restricted Shares	Essery, Garth Matthew	5	2020-12-29	56	42.94		3,500
Great Canadian Gaming Corporation	Units Restricted Shares	Essery, Garth Matthew	5	2021-01-29	56	42.94	5,834	3,500
GreenBank Capital Inc.	Common Shares	Wettreich, Zara	3	2021-02-23	10	0.415	7,359,562	-42,500
GreenBank Capital Inc.	Common Shares	Wettreich, Zara	3	2021-03-15	10	0.482	6,859,562	-500,000
GreenBank Capital Inc.	Common Shares	Wettreich, Zara	3	2021-03-16	10	0.795	6,625,562	-234,000
GreenBank Capital Inc.	Common Shares	Wettreich, Zara	3	2021-03-17	10	0.81	6,525,562	-100,000
Greenlane Renewables Inc.	Common Shares	Demers, David Robert	4	2021-03-16	11		2,749,484	-708,506
Greenlane Renewables Inc.	Warrants	Demers, David Robert	4	2021-03-16	11		437,500	-791,494
Greenlane Renewables Inc.	Options	Fleming, Tonya Louise	5	2021-03-16	50		100,000	100,000
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-17	54	0.26	4,975,735	1,075,245
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-17	54	0.26	375,000	125,000
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-18	10	1.8	376,200	1,200
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-17	54	0.26	161,250	53,750
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-18	10	1.8	160,050	-1,200
Greenlane Renewables Inc.	Warrants	Nesmith, Wade Donald	4, 5	2021-03-17	54		0	-1,075,245
Greenlane Renewables Inc.	Warrants	Nesmith, Wade Donald	4, 5	2021-03-17	54		0	-125,000
Greenlane Renewables Inc.	Warrants	Nesmith, Wade Donald	4, 5	2021-03-17	54		0	-53,750
Gryphon Gold Corporation	Common Shares	Herald, Christopher	4	2005-12-09	00			
Gryphon Gold Corporation	Common Shares	Herald, Christopher	4	2005-12-19	00		500,000	
Gryphon Gold Corporation	Options	Herald, Christopher	4	2005-12-09	00			
Gryphon Gold Corporation	Options	Herald, Christopher	4	2005-12-19	00		150,000	
GTEC Holdings Ltd.	Warrants	Dow, Aaron Paul George	4	2021-01-01	55		0	-44,850
GTEC Holdings Ltd.	Warrants	Dow, Aaron Paul George	4	2021-01-01	55		0	-83,334
GTEC Holdings Ltd.	Options	Lynn, David Frederick	5	2021-03-15	52	0.6	200,000	-170,000
Hammond Power Solutions Inc.	Common Shares Class A	Wood, John Davidson Martin	4	2021-03-18	10	9.5	1,000	1,000
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Anderson, James	3	2021-03-03	10	0.1823	7,582,500	968,500
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Anderson, James	3	2021-03-04	10	0.165	7,682,500	100,000
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Anderson, James	3	2021-03-08	10	0.1477	7,535,000	-147,500
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Anderson, James	3	2021-03-09	10	0.145	7,460,000	-75,000
Harrys Manufacturing Inc. (formerly, Westridge Resources Inc.)	Common Shares	Pavenham Developments Inc	3	2021-03-09	00		7,460,000	
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Christman, Bradley	5	2021-03-12	50	4.66	800,000	200,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Danku, Terry Ryan	5	2021-03-12	50	4.66	800,000	200,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Grimwood, Jonathan L.	5	2021-03-12	50	4.66	800,000	200,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Horvath, Alexandra	5	2021-03-12	50	4.66	850,000	250,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Jaskela, Jason Jowill	4, 5	2021-03-12	50	4.66	850,000	250,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Knoll, Phillip R.	4	2021-03-12	50	4.66	258,000	58,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Larke, Stephen Phillip	4	2021-03-12	50	4.66	258,000	58,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Olson, Kevin	4	2021-03-12	50	4.66	258,000	58,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Pearce, David Lawrence	4	2021-03-12	50	4.66	258,000	58,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Rideout, Scott Earl	5	2021-03-12	50	4.66	800,000	200,000

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Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	ROSZELL, NEIL JACK	4, 5	2021-03-12	50	4.66	1,000,000	250,000
HealthSpace Data Systems Ltd.	Options	Dhillon, Sheryl	5	2021-03-18	50	1.5	45,500	8,000
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Garrison, Silas	4	2021-03-18	50	1.5	662,500	250,000
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Hakimzadeh, Ali	3, 4	2021-03-18	50	1.5	247,500	185,000
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Hakimzadeh, Ali	3, 4	2021-03-18	50		243,750	50,000
HealthSpace Data Systems Ltd.	Options	Kropivnitski, Zula	5	2021-03-18	50		69,375	10,000
HealthSpace Data Systems Ltd.	Options	Mohan, Alnesh	4	2021-03-18	50	1.5	78,750	10,000
HealthSpace Data Systems Ltd.	Options	Redcliffe, Mark	4	2021-03-18	50	1.5	72,500	10,000
HealthSpace Data Systems Ltd.	Options Restricted Share Unit	Willmott, Joseph Douglas	4, 5	2021-03-18	50	1.5	106,250	25,000
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Lawani, Temitope	4, 5	2020-12-08	00			
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Lawani, Temitope	4, 5	2021-03-15	10	5.5	4,500	4,500
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Schwede, David	5	2021-02-04	00			
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Schwede, David	5	2021-03-11	10	0.17	70,000	70,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Sharples, Clint	4	2021-03-16	10	0.14	3,990,000	150,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Sharples, Clint	4	2021-03-17	15	0.14	4,635,000	645,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Warrants	Sharples, Clint	4	2021-03-17	15		645,000	645,000
High Arctic Energy Services Inc.	Options	Batcup, Simon	4	2021-03-19	52	3.46	0	-25,000
High Arctic Energy Services Inc.	Rights Performance Share Units	Maguire, Michael Joseph	5	2021-03-19	38		291,665	-8,333
High Liner Foods Incorporated	Common Shares	van der Giesen, Ronald	5	2019-09-04	00			
High Liner Foods Incorporated	Common Shares	van der Giesen, Ronald	5	2021-03-15	51	13.59	3,741	3,741
High Liner Foods Incorporated	Options	van der Giesen, Ronald	5	2021-03-15	51	7.51	24,254	-8,361
High Tide Inc.	Options	Grover, Harkirat	5	2021-03-12	50	0.626	4,500,000	3,000,000
High Tide Inc.	Options	Kanji, Rahim	5	2021-03-12	50	0.626	1,500,000	750,000
High Tide Inc.	RSU - Restricted Share Units	Kaushal, Nitin	4	2018-11-20	00			
High Tide Inc.	Units RSU - Restricted Share Units	Kaushal, Nitin	4	2018-11-20	00			
High Tide Inc.	Units RSU - Restricted Share Units	Kaushal, Nitin	4	2021-03-12	97		400,000	400,000
High Tide Inc.	Units RSU - Restricted Share Units	Kwan, Arthur	4	2018-11-20	00			
High Tide Inc.	Units RSU - Restricted Share Units	Kwan, Arthur	4	2021-03-12	97		400,000	400,000
High Tide Inc.	Options	Palalas, Andreas - Alexander	5	2021-03-12	50	0.626	1,500,000	750,000
High Tide Inc.	Units RSU - Restricted Share Units	Sinclair, Christian	4	2020-11-18	00			
High Tide Inc.	Units RSU - Restricted Share Units	Sinclair, Christian	4	2021-03-12	97		200,000	200,000
Hill Street Beverage Company Inc.	Options	Chambers, Hinta	5	2021-03-15	50		3,290,702	1,500,000
Hill Street Beverage Company Inc.	Options	Nadesan, Reuban	5	2021-03-15	50		1,300,000	900,000
Hill Street Beverage Company Inc.	Options	Nicholson, June	5	2021-03-15	50		3,303,378	1,500,000
Hill Street Beverage Company Inc.	Options	Senecal, Lori Ann	4	2021-03-15	50		690,000	375,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-15	10	4.98	229,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-16	10	4.55	226,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-17	10	4.31	223,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-18	10	4.75	220,000	-3,000

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HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-19	10	4.62	217,000	-3,000
HLS Therapeutics Inc.	Options	Spence, David Andrew	5	2021-03-17	00		23,720	
HLS Therapeutics Inc.	Performance Share Units	Spence, David Andrew	5	2021-03-17	00		12,000	
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-15	10	0.23	2,007,500	296,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-15	10	0.235	2,032,500	25,000
Hydro One Limited	Common Shares	Bowness, Brad Mitchell	5	2021-03-11	59	27.82	707	-8,403
Hydro One Limited	Rights (Deferred Share Units)	Harricks, Paul Hugh	5	2019-09-09	00			
Hydro One Limited	Rights (Deferred Share Units)	Harricks, Paul Hugh	5	2021-03-19	56	28.8	1,257	1,257
Hydro One Limited	Rights (Deferred Share Units)	Lebeter, David Leonard	5	2020-01-02	00			
Hydro One Limited	Rights (Deferred Share Units)	Lebeter, David Leonard	5	2021-03-19	56	28.8	2,152	2,152
Hydro One Limited	Rights (Deferred Share Units)	Lopez, Christopher Felix	5	2021-03-19	56	28.8	40,291	10,967
Hydro One Limited	Rights (Deferred Share Units)	Poweska, Mark John	5	2021-03-19	56	28.8	5,811	3,471
IAMGOLD Corporation	Common Shares	Little, Benjamin Richard	5	2021-03-17	10	4.21	38,617	-16,562
IBI Group Inc.	Options Stock Option Plan	Stewart, Scott	4, 6	2021-03-10	50		510,438	41,166
IBI Group Inc.	Rights Performance Share Units	Stewart, Scott	4, 6	2021-03-10	56		103,271	19,760
IBI Group Inc.	Options Stock Option Plan	Taylor, Stephen	5	2021-03-10	50		125,156	13,795
IBI Group Inc.	Rights Performance Share Units	Taylor, Stephen	5	2021-03-10	56		33,158	6,621
IBI Group Inc.	Options Stock Option Plan	Thom, David Maxwell	4	2021-03-10	50		251,028	31,135
IBI Group Inc.	Rights Performance Share Units	Thom, David Maxwell	4	2021-03-10	56		78,156	14,945
IGM Financial Inc.	Common Shares	Asman, Todd	7	2008-02-29	00			
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	34.88	21,240	21,240
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.19	19,440	-1,800
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.18	18,640	-800
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.17	17,240	-1,400
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.16	14,140	-3,100
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.15	10,340	-3,800
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.15	10,140	-200
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.14	9,940	-200
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.14	9,840	-100
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.1	9,540	-300
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.07	9,240	-300
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.03	8,840	-400
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.02	7,080	-1,760
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.02	6,400	-680
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39.01	4,800	-1,600
IGM Financial Inc.	Common Shares	Asman, Todd	7	2021-03-16	51	39	0	-4,800
IGM Financial Inc.	Options	Asman, Todd	7	2021-03-16	51	34.88	93,925	-21,240
ImagineAR Inc.	Common Shares	Silverstieen, Alen Paul	5	2021-03-16	10	0.422	174,900	-170,000
ImagineAR Inc.	Common Shares	Silverstieen, Alen Paul	5	2021-03-17	10	0.3814	0	-174,900
IMAX Corporation	Options 1:1	Gelfond, Richard L.	4, 5	2021-03-15	52	28.19	2,713,015	-683,328
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Arca, Gary Vittorio	4, 5	2021-03-11	10	0.6	705,000	-60,283
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Eadie, Robert	3, 4, 5	2021-03-12	54	0.3	4,406,000	400,000
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Eadie, Robert	3, 4, 5	2021-03-12	10	0.69	3,934,000	-472,000
iMining Blockchain and Cryptocurrency Inc.	Warrants	Eadie, Robert	3, 4, 5	2021-03-12	54	0.3	0	-400,000
ImmunoPrecise Antibodies Ltd.	Common Shares	Andreola, Gianpaolo	4	2021-03-16	10	13.57	247,840	300
INEO Tech Corp.	Common Shares	Gattesco, Serge	4	2021-03-10	15	0.36	98,000	98,000
INEO Tech Corp.	Options	Gattesco, Serge	4	2021-03-10	53		249,000	49,000
IntelGenx Technologies Corp.	Common Shares	atai Life Sciences AG	3	2021-03-17	00		37,300,000	
IntelGenx Technologies Corp.	Warrants	atai Life Sciences AG	3	2021-03-17	00		22,380,000	
International Clean Power Dividend Fund	Trust Units	Brasseur, Jeremy	6	2021-03-18	00			
International Clean Power Dividend Fund	Trust Units	Brasseur, Jeremy	6	2021-03-18	15	10	35,000	35,000
International Clean Power Dividend Fund	Trust Units	Brasseur, Jeremy	6	2021-03-18	00			
International Clean Power Dividend Fund	Trust Units	Brasseur, Jeremy	6	2021-03-18	15	10	35,000	35,000

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International Clean Power Dividend Fund	Trust Units	Lauzon, Robert	7	2021-03-18	00			
International Clean Power Dividend Fund	Trust Units	Lauzon, Robert	7	2021-03-18	15	10	70,000	70,000
International Clean Power Dividend Fund	Trust Units	Orrico, Dean	6	2021-03-18	00			
International Clean Power Dividend Fund	Trust Units	Orrico, Dean	6	2021-03-18	15	10	70,000	70,000
Intertape Polymer Group Inc.	Options	Booth, Randi	5	2021-03-18	50	29.34	158,413	22,451
Intertape Polymer Group Inc.	Options	Crystal, Jeffrey	5	2021-03-18	50	29.34	288,747	28,438
Intertape Polymer Group Inc.	Common Shares	Foster, Robert J	4	2021-03-17	10	30.002	58,100	-2,000
Intertape Polymer Group Inc.	Common Shares	Foster, Robert J	4	2021-03-17	10	29.9	56,100	-2,000
Intertape Polymer Group Inc.	Common Shares	Foster, Robert J	4	2021-03-18	10	29.5	54,100	-2,000
Intertape Polymer Group Inc.	Common Shares	Foster, Robert J	4	2021-03-18	10	29.5	51,100	-3,000
Intertape Polymer Group Inc.	Options	Iaboni, Silvano	5	2021-03-18	50	29.34	130,754	14,967
Intertape Polymer Group Inc.	Options	Nalette, Douglas	5	2021-03-18	50	29.34	155,772	17,961
Intertape Polymer Group Inc.	Options	Nelson, Shawn	5	2021-03-18	50	29.34	155,772	17,961
Intertape Polymer Group Inc.	Options	Thompson, Mary Beth Thompson	5	2021-03-18	50	29.34	148,116	14,967
Intertape Polymer Group Inc.	Options	Tocci, Joseph	5	2021-03-18	50	29.34	154,275	16,464
Intertape Polymer Group Inc.	Options	Yull, Gregory	4, 5	2021-03-18	50	29.34	1,500,525	109,943
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2018-10-31	00			
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-03-16	51	0.38	10,000	10,000
Intouch Insight Ltd.	Options	Brohman, Paul	5	2021-03-16	51	0.38	240,000	-10,000
Intouch Insight Ltd.	Common Shares	Oliver, William	4	2021-03-16	10	0.802	50,000	-25,000
INV Metals Inc.	Options	Farsangi, Parviz	4	2021-03-15	50		1,100,000	50,000
INV Metals Inc.	Options	Goldman, Jason Ira	5	2021-03-15	50		195,000	20,000
INV Metals Inc.	Options	Klein, Eric	4	2021-03-15	50		741,675	50,000
INV Metals Inc.	Options	Lowe, Sunny	5	2021-03-15	50		750,000	100,000
INV Metals Inc.	Restricted Share Units	Lowe, Sunny	5	2021-03-12	56		175,617	175,617
INV Metals Inc.	Options	MacGibbon, Candace Joan	4, 5	2021-03-15	50		2,175,000	125,000
INV Metals Inc.	Restricted Share Units	MacGibbon, Candace Joan	4, 5	2021-03-12	56		625,528	257,662
INV Metals Inc.	Options	MacGibbon, Terry	4	2021-03-15	50		1,550,000	50,000
INV Metals Inc.	Options	Pollock, Robert	4	2021-03-15	50		766,675	50,000
INV Metals Inc.	Options	RAE, DAVID	4	2021-03-15	50		300,000	50,000
INV Metals Inc.	Options	Shaver, William M	5	2021-03-15	50		1,050,000	100,000
INV Metals Inc.	Restricted Share Units	Shaver, William M	5	2021-03-12	56		401,157	203,157
INV Metals Inc.	Options	Weisman, Robin Leslie	4	2021-03-15	50		691,675	50,000
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2015-04-23	00			
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2015-04-23	00			
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2019-09-30	57			64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2019-09-30	57			64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2019-10-21	10	1.35		-35,000
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Anthony	4	2019-10-21	10	1.35		-35,000
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2015-04-23	00			
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2015-04-23	00			
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2019-02-01	56			64,286
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2019-02-01	56			64,286
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2019-09-30	57			-64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2019-09-30	57			-64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2020-03-25	56			207,093
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2020-03-25	56			207,093
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Anthony	4	2020-03-26	56			207,093
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Antonio	4	2019-09-30	57		64,125	64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Antonio	4	2019-10-21	10		29,125	-35,000

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Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Antonio	4	2020-02-05	90		221,511	11
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Antonio	4	2020-02-05	90		0	-11
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Antonio	4	2019-02-01	56		371,986	64,286
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Antonio	4	2019-09-30	57		307,861	-64,125
Itafos (formerly, MBAC Fertilizer Corp.)	Restricted Share Units	Cina, Antonio	4	2020-03-25	56		309,779	207,093
Ivanhoe Mines Ltd.	Common Shares Class A	de Selliers de Moranville, Guy Jacques	4	2021-03-12	10	7	970,000	60,000
Jade Leader Corp.	Options	Difley, Shari Lynn	5	2021-03-13	52		130,000	-150,000
Jade Leader Corp.	Options	Megaw, Peter	4	2021-03-13	52		255,000	-130,000
Josemaria Resources Inc.	Options	STOKKE KEMP, JULIE ANN	5	2021-03-11	52	0.81	362,000	-100,000
Josemaria Resources Inc.	Options	Vitaler, Alfredo	5	2021-03-11	52	0.81	783,000	-100,000
Josemaria Resources Inc.	Debentures 2018	Zebra Holdings and Investments S.a.r.l.	3	2020-12-12	11		\$0	-\$5,000,000
Josemaria Resources Inc.	Debentures 2019 US\$10 Million	Zebra Holdings and Investments S.a.r.l.	3	2020-12-12	11		\$0	-\$10,000,000
Juva Life Inc.	Common Shares	Ruditsky, Neil	5	2021-03-15	10	1.1875	1,790,000	-10,000
Juva Life Inc.	Common Shares	Ruditsky, Neil	5	2021-03-16	10	1.1725	1,780,000	-10,000
Juva Life Inc.	Common Shares	Ruditsky, Neil	5	2021-03-16	10	1.1725	0	-10,000
Juva Life Inc.	Common Shares	Ruditsky, Neil	5	2021-03-17	10	1.0853	1,770,000	-10,000
K9 Gold Corp.	Common Shares	Morrison, Brian	4, 5	2021-02-22	16	0.35	1,113,833	343,000
K9 Gold Corp.	Warrants	Morrison, Brian	4, 5	2021-02-22	16	0.4	468,000	343,000
Karora Resources Inc.	Common Shares	Karora Resources Inc.	1	2021-03-15	38	3.27	188,000	10,000
Karora Resources Inc.	Common Shares	Karora Resources Inc.	1	2021-03-16	38	3.29	198,000	10,000
Kiaro Holdings Corp.	Common Shares	Hoffar, Janet	4, 5	2021-03-11	16	0.16	635,416	156,250
Kiaro Holdings Corp.	Warrants	Hoffar, Janet	4, 5	2020-10-13	00			
Kiaro Holdings Corp.	Warrants	Hoffar, Janet	4, 5	2021-03-11	16	0.23	78,125	78,125
Kiaro Holdings Corp.	Common Shares	Petrov, Daniel	3, 4, 5	2020-10-13	00			
Kiaro Holdings Corp.	Common Shares	Petrov, Daniel	3, 4, 5	2021-03-11	16	0.16	1,250,000	1,250,000
Kiaro Holdings Corp.	Warrants	Petrov, Daniel	3, 4, 5	2020-10-13	00			
Kiaro Holdings Corp.	Warrants	Petrov, Daniel	3, 4, 5	2021-03-11	16	0.23	625,000	625,000
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	Banks, Timothy	4	2021-03-15	56	18.669	7,195	321
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	Landry, Aldea	4	2021-03-15	56	18.669	8,217	589
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	Lloyd, Arthur G.	4	2021-03-15	56	18.669	17,431	803
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	MacKeigan, Laurie	4	2020-05-07	00			
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	MacKeigan, Laurie	4	2021-03-15	56	18.669	884	884
Killam Apartment Real Estate Investment Trust	Rights Restricted Units	WALT, MANFRED	4	2021-03-15	56	18.669	19,170	951
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2021-03-16	51	45.31	83,816	25,000
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2021-03-17	10	148.47	58,816	-25,000
Kinaxis Inc.	Options	Monkman, Richard George	5	2021-03-16	51	45.31	160,014	-25,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	Beltgens, Christopher Jon Mackenzie	4, 5	2021-03-12	22	0.05	300,000	100,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	Beltgens, Christopher Jon Mackenzie	4, 5	2021-03-12	16	0.25	340,000	40,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	Beltgens, Christopher Jon Mackenzie	4, 5	2021-03-12	50		125,000	25,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	Beltgens, Christopher Jon Mackenzie	4, 5	2021-03-12	50		275,000	150,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Warrants	Beltgens, Christopher Jon Mackenzie	4, 5	2018-05-14	00			
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Warrants	Beltgens, Christopher Jon Mackenzie	4, 5	2021-03-12	16		40,000	40,000
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	Loretto, David	4, 5	2021-03-12	00		4,000,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	Loretto, David	4, 5	2021-03-12	00		800,000	

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Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	MacNeil, Barry	5	2021-03-12	00		210,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	MacNeil, Barry	5	2021-03-12	00		475,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Warrants	MacNeil, Barry	5	2021-03-12	00		210,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	Perone, Giuseppe (Pino)	4, 5	2021-03-12	00		3,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	Perone, Giuseppe (Pino)	4, 5	2021-03-12	00		475,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Common Shares	Perry, Dustin	4, 5	2021-03-12	00		4,200,000	
Kingfisher Metals Corp. (formerly Seasore Resource Partners Corp)	Options	Perry, Dustin	4, 5	2021-03-12	00		1,300,000	
Kinross Gold Corporation	Common Shares	Hicks, Scott J.	5	2021-03-17	10	8.7	2,066	-18,699
Kinross Gold Corporation	Options	Hicks, Scott J.	5	2021-03-18	59	4.5	5,518	-9,331
Kinross Gold Corporation	Common Shares	Shaver, David C.	5	2021-03-08	00		1,000	
KP Tissue Inc.	Common Shares	BIANCO, DINO JOE	4, 5	2021-03-17	10	10.96	11,529	1,500
KP Tissue Inc.	Common Shares	BIANCO, DINO JOE	4, 5	2021-03-18	10	10.98	12,729	1,200
KP Tissue Inc.	Common Shares	BIANCO, DINO JOE	4, 5	2021-03-19	10	10.944	14,529	1,800
Leon's Furniture Limited	Common Shares	Pefanis, Constantine	5	2021-02-25	90	20.52	47,780	-1,327
Leon's Furniture Limited	Common Shares	Pefanis, Constantine	5	2021-02-25	90	20.52	6,542	1,327
Leucrotta Exploration Inc.	Options	Brussa, John Albert	4	2021-03-14	50	0.78	240,000	50,000
Leucrotta Exploration Inc.	Options	Chicoine, Nolan Gregory	5	2021-03-14	50	0.78	1,572,000	390,000
Leucrotta Exploration Inc.	Options	Cochrane, Peter James Roy	5	2021-03-14	50	0.78	1,424,000	390,000
Leucrotta Exploration Inc.	Options	Cowie, Donald	4	2021-03-14	50	0.78	300,000	50,000
Leucrotta Exploration Inc.	Options	Eckert, Helmut	5	2021-03-14	50	0.78	1,472,000	390,000
Leucrotta Exploration Inc.	Options	Gilbert, Daryl Harvey	4	2021-03-14	50	0.78	310,000	60,000
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-15	15	0.75	10,133,350	1,593,300
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-15	15	0.75	13,318,460	3,307,300
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-15	15	0.75	18,375,160	2,810,000
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-15	15	0.75	5,306,300	2,000,000
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-15	15	0.75	1,745,120	289,400
Leucrotta Exploration Inc.	Options	Krausert, Brian Murray	4	2021-03-14	50	0.78	300,000	50,000
Leucrotta Exploration Inc.	Options	Lancaster, William	4	2021-03-14	50	0.78	170,000	50,000
Leucrotta Exploration Inc.	Options	Medvedic, Tom	4	2021-03-14	50	0.78	300,000	50,000
Leucrotta Exploration Inc.	Options	Peterson, Greg	5	2021-03-14	50		95,000	20,000
Leucrotta Exploration Inc.	Options	Sereda, Richard Douglas	5	2021-03-14	50	0.78	1,520,000	200,000
Leucrotta Exploration Inc.	Options	Trudeau, Terry	5	2021-03-14	50	0.78	2,751,000	640,000
Leucrotta Exploration Inc.	Options	Zakresky, Robert John	5	2021-03-14	50	0.78	3,851,000	1,740,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-05	51	0.52	520,111	250,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-08	10	1.42		10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-08	10	1.42	510,111	-10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-08	10	1.45		10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-08	10	1.45	500,111	-10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-09	10	1.53		30,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-09	10	1.53	470,111	-30,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-10	10	1.55		20,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-10	10	1.55	450,111	-20,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-10	10	1.54		10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-10	10	1.54	440,111	-10,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-11	10	1.6		13,300
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-11	10	1.6	426,811	-13,300

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Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-11	10	1.57		6,700
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-03-11	10	1.57	420,111	-6,700
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	McInnes, Donald Arthur	4	2021-03-05	51	0.52	954,200	-250,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	O'Dea, Mark Gerard	4	2021-03-15	10	1.75	5,096,322	-100,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	O'Dea, Mark Gerard	4	2021-03-15	10	1.77	5,046,322	-50,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	O'Dea, Mark Gerard	4	2021-03-16	10	1.74	4,923,922	-122,400
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Pease, Robert	4	2021-03-02	11	0.52		150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Pease, Robert	4	2021-03-02	51	0.52	613,583	150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Pease, Robert	4	2021-03-10	11			150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Pease, Robert	4	2021-03-10	51		763,583	150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Pease, Robert	4	2021-03-12	51	0.52		150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Pease, Robert	4	2021-03-12	51	0.52	1,423,495	-150,000
Lightspeed POS Inc.	Options	Saint-Martin, Jean-David	5	2021-03-16	51	30.28	251,650	-3,333
Lightspeed POS Inc.	Options	Saint-Martin, Jean-David	5	2021-03-16	51	35.45	247,650	-4,000
Lightspeed POS Inc.	Options	Saint-Martin, Jean-David	5	2021-03-16	51	33.39	246,997	-653
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	51	30.28	5,872	3,333
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	10	90.15	2,539	-3,333
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	51	35.45	6,539	4,000
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	10	88.99	2,539	-4,000
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	51	33.39	3,192	653
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2021-03-16	10	87.38	2,539	-653
Linamar Corporation	Common Shares	Bennett, Ronald Dale	4	2021-03-19	10	79.791		1,150
Linamar Corporation	Common Shares	Bennett, Ronald Dale	4	2021-03-19	10	79.791	0	-1,150
Linamar Corporation	Common Shares	Bowman, Steven Keith	5	2021-03-15	10		80	-2,200
Lithium Americas Corp.	Common Shares	GEOLOGIC RESOURCE PARTNERS LLC	3	2021-03-17	37		6,403,861	-25,615,444
Lithium South Development Corporation	Warrants on placements	Dai, Yi Hua	3	2020-03-28	55		666,666	-41,667
Loblaws Companies Limited	Common Shares	Binning, Paviter Singh	4, 6	2021-03-15	30		2,937	251
Loblaws Companies Limited	Common Shares	Columb, Kieran Barry	5	2021-03-15	30		843	132
Loblaws Companies Limited	Common Shares	Currie, Gordon Andrew McDonald	5	2021-03-15	30		3,324	17
Loblaws Companies Limited	Common Shares	Davis, Sarah Ruth	5	2021-03-15	30		11,334	264
Loblaws Companies Limited	Common Shares	Dufresne, Richard	6	2021-03-15	30		1,500	8
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2020-11-06	11			-5,471,981
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2020-11-06	11			-5,471,981
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2020-11-06	11			5,471,981
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2020-11-06	11			5,471,981
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2021-03-15	38	66.16	3,663,498	-166,114
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2021-03-16	38	67.42	3,500,720	-162,778
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2021-03-17	38	66.68	3,340,165	-160,555
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2021-03-18	38	66.64	3,181,094	-159,071
Loblaws Companies Limited	Common Shares	George Weston Limited	3	2021-03-19	38	66.59	3,020,539	-160,555
Loblaws Companies Limited	Common Shares	Myers, Darren	5	2021-03-15	30		2,404	189
Lomiko Metals Inc.	Warrants	AJS Management Corp.	4	2021-03-10	11	0.1		1,500,000
Lomiko Metals Inc.	Warrants	AJS Management Corp.	4	2021-03-10	11	0.1	7,370,000	1,750,000
Lomiko Metals Inc.	Warrants	AJS Management Corp.	4	2021-03-11	11	0.1	6,870,000	-500,000
Lomiko Metals Inc.	Warrants	AJS Management Corp.	4	2021-03-11	11	0.1	6,670,000	-200,000
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-15	16	0.15	9,558,528	1,000,000
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-17	10	0.21	9,552,028	-6,500
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-17	10	0.2	9,546,528	-5,500
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-17	10	0.2	9,535,928	-10,600
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-17	10	0.2	9,285,928	-250,000
Lomiko Metals Inc.	Warrants	Gill, Amrit Paul Singh	5	2021-03-15	53	0.25	11,140,000	1,000,000
Loncor Resources Inc.	Options	BARKER, JOHN KENNETH	5	2021-03-15	50	0.65	600,000	250,000
Loncor Resources Inc.	Options	Chen, Zhengquan	4	2021-03-15	50	0.65	250,000	75,000
Loncor Resources Inc.	Options	COWLEY, PETER	4, 5	2021-03-15	50	0.65	750,000	250,000
Loncor Resources Inc.	Options	Farr, Geoffrey Guy	5	2021-03-15	50	0.65	425,000	75,000

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Loncor Resources Inc.	Options	KONDRAT, ARNOLD T.	3, 4, 5	2021-03-15	50	0.65	1,125,000	250,000
Loncor Resources Inc.	Options	Lachcik, Richard Joseph	4	2021-03-15	50	0.65	325,000	75,000
Loncor Resources Inc.	Options	MADILO, DONAT	5	2021-03-15	50	0.65	550,000	150,000
Loncor Resources Inc.	Options	WILSON, WILLIAM ROBERT	4	2021-03-15	50	0.65	325,000	75,000
Loop Energy Inc.	Common Shares	Murdoch, W. Neil	4	2021-02-25	00		1,184,129	
Loop Energy Inc.	Common Shares	Murdoch, W. Neil	4	2021-02-25	00			
Loop Energy Inc.	Common Shares	Nyland, Ben	4, 5	2021-02-25	00		210,000	
Loop Energy Inc.	Common Shares	Nyland, Ben	4, 5	2021-02-25	00			
Lucara Diamond Corp.	Options	Armstrong, John Patrick	5	2021-03-17	52		438,000	-60,000
Lucara Diamond Corp.	Options	Lahri, Naseem Banu	7	2021-03-17	52		366,000	-50,000
Lumiera Health Inc. (formerly, Mondias Natural Products Inc.)	Common Shares	Chamberland, Guy	3	2021-03-15	10	0.045	9,938,929	-55,000
Lumiera Health Inc. (formerly, Mondias Natural Products Inc.)	Common Shares	Chamberland, Guy	3	2021-03-16	10	0.045	9,833,929	-105,000
Lundin Gold Inc.	Common Shares	Newcrest Mining Limited	3	2021-03-12	16	10.07	73,636,707	29,858
Luxxfolio Holdings Inc.	Options	McCord, Geoffrey Keith	5	2021-03-11	50	0.45	200,000	75,000
Magna International Inc.	Common Shares	Mayer, Anton	5	2021-03-16	10	93.03	5,050	235
Magna International Inc.	Common Shares	Wilds, Eric Jon Wilds	5	2021-03-18	51	54.53	33,134	9,532
Magna International Inc.	Common Shares	Wilds, Eric Jon Wilds	5	2021-03-18	10	93.07	23,602	-9,532
Magna International Inc.	Common Shares	Wilds, Eric Jon Wilds	5	2021-03-19	51	55.64	25,399	1,797
Magna International Inc.	Options	Wilds, Eric Jon Wilds	5	2021-03-18	51	54.53	126,487	-9,532
Magna International Inc.	Options	Wilds, Eric Jon Wilds	5	2021-03-19	51	55.64	124,690	-1,797
Mako Mining Corp.	Common Shares	Leisman, Akiba Jacob Issachar	4	2021-03-17	10	0.33	11,578,734	75,000
Mandalay Resources Corporation	Options	Labatte, Belinda Elaine	5	2021-02-25	50	2.14	266,748	33,948
Mandalay Resources Corporation	Performance Share Units	Labatte, Belinda Elaine	5	2009-12-07	00			
Mandalay Resources Corporation	Performance Share Units	Labatte, Belinda Elaine	5	2021-02-25	56		67,624	67,624
Mandalay Resources Corporation	Restricted Share Unit	Labatte, Belinda Elaine	5	2009-12-07	00			
Mandalay Resources Corporation	Restricted Share Unit	Labatte, Belinda Elaine	5	2021-02-25	56		33,812	33,812
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	51		30,627	6,600
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	51		34,827	4,200
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	51		47,927	13,100
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	10		41,327	-6,600
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	10		37,127	-4,200
Maple Leaf Foods Inc.	Common Shares	Brooks, Bentley Andrew	5	2021-03-15	10		24,027	-13,100
Maple Leaf Foods Inc.	Options Employee	Brooks, Bentley Andrew	5	2021-03-15	51		143,050	-6,600
Maple Leaf Foods Inc.	Options Employee	Brooks, Bentley Andrew	5	2021-03-15	51		138,850	-4,200
Maple Leaf Foods Inc.	Options Employee	Brooks, Bentley Andrew	5	2021-03-15	51		125,750	-13,100
Maple Leaf Foods Inc.	Common Shares	Detlefsen, Michael Erik	5	2020-07-13	00			
Maple Leaf Foods Inc.	Common Shares	Detlefsen, Michael Erik	5	2021-03-12	10	26.902	2,760	2,760
Maple Leaf Foods Inc.	Common Shares	Detlefsen, Michael Erik	5	2020-07-13	00			
Maple Leaf Foods Inc.	Common Shares	Detlefsen, Michael Erik	5	2021-03-12	10	27.049	2,240	2,240
Marble Financial Inc.	Common Shares	Marrandino, Michele	3, 4, 5	2021-03-12	10	0.225	3,415,486	100,000
Marble Financial Inc.	Common Shares	Marrandino, Michele	3, 4, 5	2021-03-18	10	0.25	3,440,486	25,000
Marifil Mines Limited	Common Shares	Burnett, Gregory Clifford	4	2021-03-17	16	0.05	2,980,250	500,000
Marifil Mines Limited	Warrants	Burnett, Gregory Clifford	4	2021-03-17	53	0.055	2,500,000	500,000
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Common Shares	Greenstone Resources L.P.	3	2020-12-02	15	3.15	4,827,545	524,458
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Common Shares	Greenstone Resources L.P.	3	2021-03-11	16	3.3	5,707,764	880,219
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Common Shares	Greenstone Resources L.P.	3	2020-12-02	15	3.15	12,795,952	4,719,542
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Common Shares	Greenstone Resources L.P.	3	2021-03-11	16	3.3	16,121,066	3,325,114
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2015-06-16	00			
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2020-12-02	15	3.15	262,229	262,229
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2021-03-11	16	3.3	702,339	440,110
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2015-06-16	00			
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2020-12-02	15	3.15	2,359,771	2,359,771
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Warrants	Greenstone Resources L.P.	3	2021-03-11	16	3.3	4,022,328	1,662,557

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Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Rights	Locke, Hayden Thomas	5	2020-07-20	00			
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Rights	Locke, Hayden Thomas	5	2021-03-10	56		40,000	40,000
Marimaca Copper Corp. (formerly, Coro Mining Corp.)	Common Shares	Tembo Capital Mining GP Limited	3	2021-03-15	11	4.32	10,173,905	-1,000,000
Martello Technologies Group Inc.	Common Shares	Crowe, Erin Blythe	5	2021-03-18	15	0.19	300,000	100,000
Martello Technologies Group Inc.	Warrants	Crowe, Erin Blythe	5	2018-08-16	00			
Martello Technologies Group Inc.	Warrants	Crowe, Erin Blythe	5	2021-03-18	15		50,000	50,000
Martello Technologies Group Inc.	Common Shares	Matthews, Terence Hedley	3, 4, 5	2021-03-18	15	0.19	45,436,045	5,263,200
Martello Technologies Group Inc.	Warrants	Matthews, Terence Hedley	3, 4, 5	2018-08-16	00			
Martello Technologies Group Inc.	Warrants	Matthews, Terence Hedley	3, 4, 5	2021-03-18	15		2,631,600	2,631,600
Martello Technologies Group Inc.	Common Shares	Michalyshyn, Michael Paul	4	2021-03-18	15	0.19	1,666,316	526,316
Martello Technologies Group Inc.	Warrants	Michalyshyn, Michael Paul	4	2018-08-16	00			
Martello Technologies Group Inc.	Warrants	Michalyshyn, Michael Paul	4	2021-03-18	15		263,158	263,158
Martello Technologies Group Inc.	Common Shares	Proctor, Simon John	4, 5	2018-08-16	00			
Martello Technologies Group Inc.	Common Shares	Proctor, Simon John	4, 5	2021-03-18	15	0.19	100,000	100,000
Martello Technologies Group Inc.	Warrants	Proctor, Simon John	4, 5	2018-08-16	00			
Martello Technologies Group Inc.	Warrants	Proctor, Simon John	4, 5	2021-03-18	15		50,000	50,000
Martinrea International Inc.	Common Shares	Cirulis, Peter	5	2021-03-15	10	11.24	38,062	2,669
Martinrea International Inc.	Common Shares	Morsy, Hany	5	2021-03-11	10	13.85	32,200	3,200
Martinrea International Inc.	Common Shares	Paine, Lawrence Arthur	5	2021-03-16	10	14.11		7,200
Martinrea International Inc.	Common Shares	Paine, Lawrence Arthur	5	2021-03-16	10	14.11		7,200
Martinrea International Inc.	Common Shares	Paine, Lawrence Arthur	5	2021-03-16	10	14.11	37,553	7,200
Matachewan Consolidated Mines, Limited	Common Shares	McCloskey, Richard Duncan	4, 5	2020-01-31	10	0.115	4,119,500	500
Matachewan Consolidated Mines, Limited	Common Shares	McCloskey, Richard Duncan	4, 5	2020-01-31	10	0.115	4,127,500	8,000
Mayfair Gold Corp.	Common Shares	Heeney, Henry	3	2021-03-05	00		12,654,800	
Mayfair Gold Corp.	Common Shares	Pi, Sean	4	2021-03-05	00		8,008,619	
Mayfair Gold Corp.	Options	Pi, Sean	4	2021-03-05	00		200,000	
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2021-03-17	10	0.175	1,175,000	20,000
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2021-03-17	10	0.175	1,185,000	10,000
Mazarin Inc.	Common Shares	Tremblay, Robert	4	2021-03-15	10	0.16	2,430,000	18,000
MBAC Fertilizer Corp.	Common Shares	Cina, Anthony	4	2015-04-23	00			
MBAC Fertilizer Corp.	Common Shares	Cina, Anthony	4	2015-04-23	00			
MBAC Fertilizer Corp.	Common Shares	Cina, Anthony	4	2015-04-23	00			
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-12	38	6.5981	5,900	5,900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-12	38		0	-5,900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-15	38	6.5703	3,800	3,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-15	38		0	-3,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-16	38	6.4536	5,500	5,500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-16	38		0	-5,500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-18	38	6.444	500	500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-18	38		0	-500
McChip Resources Inc	Common Shares	McCloskey, Richard Duncan	4, 5	2020-01-31	10	0.115		500
McChip Resources Inc	Common Shares	McCloskey, Richard Duncan	4, 5	2020-01-31	10	0.115		500
McChip Resources Inc	Common Shares	McCloskey, Richard Duncan	4, 5	2020-02-03	10	0.115		8,000
McChip Resources Inc	Common Shares	McCloskey, Richard Duncan	4, 5	2020-02-03	10	0.115		8,000
mdf commerce inc.	Common Shares	Eigenbauer, Mark	7	2021-03-15	15	14.5	14,600	2,000
mdf commerce inc.	Common Shares	Sabourin, Jean-Francois	4	2021-03-15	15	14.5	12,287	7,000

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mdf commerce inc.	Common Shares	Shchupak, Zoya	4	2019-09-11	00			
mdf commerce inc.	Common Shares	Shchupak, Zoya	4	2021-03-15	15	14.5	2,000	2,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	d'Entremont, Kenneth	4, 5	2021-03-11	10	6.77	335,767	700
MedXtractor Corp	Options	Crawford, Gordon Neil	4	2021-02-26	50	0.27		475,000
MedXtractor Corp	Options	Crawford, Gordon Neil	4	2021-02-26	50	0.27	425,000	425,000
MedXtractor Corp	Common Shares	Durward, James	3, 4, 5	2021-03-15	16	0.2	9,952,500	375,000
MedXtractor Corp	Warrants	Durward, James	3, 4, 5	2021-03-15	16	0.35	375,000	375,000
MedXtractor Corp	Common Shares	Kuzma, Dusan	4	2021-03-15	11	0.2	211,500	211,500
MedXtractor Corp	Warrants	Kuzma, Dusan	4	2019-10-10	00			
MedXtractor Corp	Warrants	Kuzma, Dusan	4	2021-03-15	11	0.35	211,500	211,500
MedXtractor Corp	Common Shares	Price, George Steven	4, 5	2021-03-15	11	0.2	1,150,000	150,000
MedXtractor Corp	Options	Price, George Steven	4, 5	2021-02-26	50		800,000	425,000
MedXtractor Corp	Warrants	Price, George Steven	4, 5	2019-10-10	00			
MedXtractor Corp	Warrants	Price, George Steven	4, 5	2021-03-15	11	0.2	150,000	150,000
MedXtractor Corp	Common Shares	Vinck, Dwayne Albert	5	2021-03-15	11	0.2	751,250	650,000
MedXtractor Corp	Warrants	Vinck, Dwayne Albert	5	2021-03-15	11	0.35	650,000	650,000
Mega Uranium Ltd.	Common Shares	Reeson, Douglas	4	2021-03-15	10	0.215	1,192,000	-20,000
Mega Uranium Ltd.	Common Shares	Reeson, Douglas	4	2021-03-16	10	0.215	1,152,000	-40,000
MegaWatt Lithium and Battery Metals Corp. (formerly, Walcott Resources Ltd.)	Options	Thornley-Hall, David	4, 5	2021-03-02	50	0.44		500,000
MegaWatt Lithium and Battery Metals Corp. (formerly, Walcott Resources Ltd.)	Options	Thornley-Hall, David	4, 5	2021-03-02	50	0.44	850,000	500,000
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-16	38	6	19,235	3,200
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-17	38	6	22,442	3,207
Meryllion Resources Corporation	Common Shares	Jeremy, Edelman	3, 4, 5	2021-03-17	16	0.065	3,088,076	1,923,076
Meryllion Resources Corporation	Common Shares	Steinepreis, David	3, 4, 5	2020-06-12	00			
Meryllion Resources Corporation	Common Shares	Steinepreis, David	3, 4, 5	2021-03-17	16	0.065	1,923,076	1,923,076
Metals Creek Resources Corp.	Options	Maclsaac, Michael	5	2021-03-11	52	0.11	850,000	-175,000
Metals Creek Resources Corp.	Options	Reid, Newman Wayne	4, 5	2021-03-11	52	0.11	625,000	-110,000
Metals Creek Resources Corp.	Options	Stares, Alexander	4	2021-03-11	52	0.11	975,000	-225,000
Metals Creek Resources Corp.	Options	Stares, Michael	4	2021-03-11	52	0.11	625,000	-110,000
Methanex Corporation	Rights Share Appreciation Rights	Bell, Colin	5	2021-03-12	59	29.27	22,400	-2,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-12	38	8.69	1,069,200	1,200
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-15	38	8.8271	1,069,900	700
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-16	38	8.8122	1,070,800	900
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-17	38	8.6589	1,074,600	3,800
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-18	38	8.5924	1,076,300	1,700
Midland Exploration Inc.	Options	Dutil, Annie	4	2021-03-18	00			
Midland Exploration Inc.	Options	Dutil, Annie	4	2021-03-18	50		80,000	80,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Options incentive stock options	Dellelce, Perry Nicholas	4	2021-03-09	51	0.33	0	-150,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-03-09	51	0.33	238,125	150,000
MindBeacon Holdings Inc.	Common Shares	Green Shield Canada	3	2020-12-17	00		2,810,743	
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-12	38	5.5825	71,853,151	1,200
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-15	38	5.5771	71,853,851	700
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-16	38	5.5875	71,854,251	400
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-17	38	5.6571	71,854,951	700
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-18	38	5.65	71,855,351	400
Montage Gold Corp.	Common Shares	Spencer, Adam	4, 5	2021-03-12	10	0.69	482,328	2,500
Morneau Shepell Inc.	Common Shares	Branker, Nigel Bernard	5	2020-12-31	30	30.44	3,200	466
Morneau Shepell Inc.	Common Shares	Branker, Nigel Bernard	5	2020-12-31	35	30.38	3,219	19
Morneau Shepell Inc.	Common Shares	Joyce, Norah	5	2020-12-31	30	30.85	3,186	276
Morneau Shepell Inc.	Common Shares	Joyce, Norah	5	2020-12-31	30	30.58		89
Morneau Shepell Inc.	Common Shares	Joyce, Norah	5	2020-12-31	35	30.58	3,275	89

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Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-12-31	30	30.66	371	368
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-12-31	30	30.1		8
Morneau Shepell Inc.	Common Shares	King, Neil	5	2020-12-31	35	30.1	379	8
Morneau Shepell Inc.	Common Shares	Marsh, Susan Elizabeth	5	2020-12-31	35	30.61	486	15
Morneau Shepell Inc.	Common Shares	Marsh, Susan Elizabeth	5	2015-11-01	00			
Morneau Shepell Inc.	Common Shares	Marsh, Susan Elizabeth	5	2020-12-31	30	30.61		15
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-12-31	30	30.56		302
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2020-12-31	35	30.56	10,947	302
Morneau Shepell Inc.	Common Shares	Przybylski, Kajetan Maciej	5	2019-09-03	00			
Morneau Shepell Inc.	Common Shares	Przybylski, Kajetan Maciej	5	2020-12-31	30	30.65	251	251
Morneau Shepell Inc.	Common Shares	Przybylski, Kajetan Maciej	5	2020-12-31	35	29.98	255	4
Morneau Shepell Inc.	Common Shares	Whitebread, Gillian	5	2020-12-31	30	30.64	258	210
Morneau Shepell Inc.	Common Shares	Whitebread, Gillian	5	2020-12-31	35	30.36	267	9
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-12	38	12.463	71,536	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-15	38	12.479	89,420	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-16	38	12.272	107,304	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-17	38	12.308	125,188	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-18	38	12.369	143,072	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-19	38	12.374	160,956	17,884
NanoXplore Inc.	Common Shares	Nazarpour, Soroush	3, 4, 5	2021-03-18	10	3.2	11,886,785	1,500
NanoXplore Inc.	Common Shares	Nazarpour, Soroush	3, 4, 5	2021-03-18	10	3.25	11,886,985	200
National Bank of Canada	Common Shares	Ren�, S�bastien	7	2021-03-16	10	87.35	1,135	-100
Nerds On Site Inc.	Subordinate Voting Shares	Regan, Charles Donald	4, 5	2021-03-12	10	0.23	801,424	6,550
New Found Gold Corp.	Common Shares	Kettell, Collin	4, 6, 5	2021-03-19	11	3.75	4,655,000	375,000
New Found Gold Corp.	Common Shares	Laviolette, Denis Roland	4, 5	2021-03-19	11	3.75	3,125,000	-375,000
New Pacific Metals Corp.	Common Shares	ZHANG, YONGMING	5	2021-03-15	51	0.55	251,200	160,000
New Pacific Metals Corp.	Options	ZHANG, YONGMING	5	2021-03-15	51	0.55	275,000	-160,000
New Placer Dome Gold Corp.	Common Shares	Sali, Maximilian	4, 5	2021-03-05	10	0.16	2,464,750	10,000
New Placer Dome Gold Corp.	Common Shares	Sali, Maximilian	4, 5	2021-03-12	10	0.2	2,474,750	10,000
NexgenRx Inc.	Common Shares	Crossett, Paul Everett	3	2021-03-16	10	0.265	2,231,638	15,000
NexJ Systems Inc.	Options	Sapra, Rajneesh	5	2021-03-02	52	2.54	155,625	-2,500
NextSource Materials Inc.	Common Shares	Vision Blue Resources Limited	3	2021-03-15	00		120,000,000	
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2021-03-15	10	1.06	10,106,742	47,400
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2021-03-16	10	1.06	10,109,342	2,600
Northcliff Resources Ltd.	Options	Snyman, Marchand	4, 5	2021-03-16	52	0.12	300,000	-129,800
Northcliff Resources Ltd.	Options	Snyman, Marchand	4, 5	2021-03-16	52	0.12		-129,800
Northcliff Resources Ltd.	Options	Snyman, Marchand	4, 5	2021-03-16	52	0.12		-129,800
Northcliff Resources Ltd.	Restricted Share Units	Snyman, Marchand	4, 5	2021-01-31	56			2,550,783
Northcliff Resources Ltd.	Restricted Share Units	Snyman, Marchand	4, 5	2021-01-31	56		3,780,844	1,181,641
Northern Vertex Mining Corp.	Common Shares	Allen, Michael	5	2021-02-18	57		3,388,574	54,500
Northern Vertex Mining Corp.	Restricted Share Unit	Allen, Michael	5	2021-02-18	57		109,000	-54,500
Northern Vertex Mining Corp.	Common Shares	Board, Warwick	5	2021-02-16	57		136,145	90,833
Northern Vertex Mining Corp.	Common Shares	Board, Warwick	5	2021-03-09	10	0.41	122,145	-14,000
Northern Vertex Mining Corp.	Common Shares	Board, Warwick	5	2021-03-10	10	0.405	121,975	-170
Northern Vertex Mining Corp.	Restricted Share Unit	Board, Warwick	5	2021-02-16	57		181,667	-90,833
Northern Vertex Mining Corp.	Restricted Share Unit	Board, Warwick	5	2021-03-09	10	0.41		-14,000
Northern Vertex Mining Corp.	Restricted Share Unit	Board, Warwick	5	2021-03-09	10	0.41		-14,000
Northern Vertex Mining Corp.	Restricted Share Unit	Board, Warwick	5	2021-03-10	10	0.405		-170
Northern Vertex Mining Corp.	Restricted Share Unit	Board, Warwick	5	2021-03-10	10	0.405		-170
Nova Leap Health Corp.	Common Shares	Myles, R. Wayne	4	2021-03-16	10	0.65	1,188,833	25,000
Nova Leap Health Corp.	Common Shares	Myles, R. Wayne	4	2021-03-16	10	0.67	1,192,833	4,000
NSJ Gold Corp.	Options	Grewal, Narinder Paul Singh	5	2021-02-25	00			
NSJ Gold Corp.	Options	Grewal, Narinder Paul Singh	5	2021-03-08	50		150,000	150,000
NSJ Gold Corp.	Options	Sandhu, Jag	3, 4, 5	2021-02-25	00			
NSJ Gold Corp.	Options	Sandhu, Jag	3, 4, 5	2021-03-08	50		300,000	300,000
NSJ Gold Corp.	Common Shares	Stevens, Rodney	4	2021-02-25	00			
NSJ Gold Corp.	Common Shares	Stevens, Rodney	4	2021-03-15	16	0.36	105,000	105,000
NSJ Gold Corp.	Options	Stevens, Rodney	4	2021-02-25	00			
NSJ Gold Corp.	Options	Stevens, Rodney	4	2021-03-08	50		150,000	150,000
NSJ Gold Corp.	Options	Zerga, Christopher	4	2021-02-25	00			
NSJ Gold Corp.	Options	Zerga, Christopher	4	2021-03-08	50		150,000	150,000
Nuinsco Resources Limited	Common Shares	Galipeau, Ren� R�al	4	2021-03-17	10	0.02	15,826,327	-400,000
Nuinsco Resources Limited	Common Shares	Jones, Paul, Latimer	4, 5	2021-03-11	10	0.02	21,894,993	-3,000,000
Nuran Wireless Inc.	Options	Fonseca, Vitor M	4	2021-03-11	50		550,000	50,000
Nuvo Pharmaceuticals Inc. (d/b/a Miravo Healthcare)	Common Shares	Ledger, Jesse Francis	5	2021-03-16	10	1.8557	105,386	6,500

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O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2021-03-16	10	2.523	3,011,655	44,340
Olympia Financial Group Inc.	Common Shares	Skaug, Rick	3, 4, 5	2021-03-18	10	41.5	22,042	55
Opawica Explorations Inc.	Common Shares	Morgan, Blake	7	2021-03-15	10	0.28	1,013,000	5,000
Opawica Explorations Inc.	Common Shares	Morgan, Blake	7	2021-03-15	10	0.31	1,023,000	10,000
Opawica Explorations Inc.	Common Shares	Morgan, Blake	7	2021-03-15	10	0.35	1,033,000	10,000
Opawica Explorations Inc.	Common Shares	Morgan, Blake	7	2021-03-15	10	0.345	1,035,500	2,500
Opawica Explorations Inc.	Common Shares	Morgan, Blake	7	2021-03-19	10	0.393	1,038,500	3,000
Open Text Corporation	Common Shares OTEX Common	Lengyel, Kristina	5	2021-03-08	00			
Open Text Corporation	Deferred Share Units	Lengyel, Kristina	5	2021-03-08	00			
Open Text Corporation	Options All OTEX Option Plans	Lengyel, Kristina	5	2021-03-08	00			
Open Text Corporation	Performance Share Units	Lengyel, Kristina	5	2021-03-08	00			
Open Text Corporation	Restricted Share Units	Lengyel, Kristina	5	2021-03-08	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Options	Halligan, Matthew	7	2021-02-01	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Options	Halligan, Matthew	7	2021-03-12	50	32.45	100,000	100,000
Orezone Gold Corporation	Common Shares	Downey, Patrick	4	2021-03-19	10	0.98	4,816,000	22,000
Orezone Gold Corporation	Common Shares	Downey, Patrick	4	2021-03-19	10	0.99	4,869,000	53,000
Organigram Holdings Inc.	Common Shares	British American Tobacco p.l.c.	3	2021-03-10	00		58,336,392	
OrganiMax Nutrient Corp.	Common Shares	Naughty, Blair Lawrence	3	2021-03-12	10	0.25	2,616,000	51,500
Origen Resources Inc.	Common Shares	Morgan, Blake	5	2021-03-12	10	0.19	577,500	8,500
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2021-03-17	10	0.185	100,833	10,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2021-03-17	10	0.175	107,833	7,000
Orla Mining Ltd.	Common Shares	Newmont Corporation	3	2021-03-15	10	5.113	41,219,776	-196,500
Orla Mining Ltd.	Common Shares	Newmont Corporation	3	2021-03-16	10	5.1097	41,205,976	-13,800
Orla Mining Ltd.	Common Shares	Newmont Corporation	3	2021-03-18	10	5.0099	41,204,976	-1,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-10	10	0.2875	21,159,515	75,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-11	10	0.2937	21,304,515	145,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-15	10	0.3	21,315,015	10,500
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-18	10	0.3	21,321,015	6,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-19	10	0.3	21,323,515	2,500
Orogen Royalties Inc.	Common Shares	Felder, Robert	4	2020-08-18	00		1,076,584	
Orogen Royalties Inc.	Options	Felder, Robert	4	2020-08-18	00		834,016	
Orvana Minerals Corp.	Options	Guimaraes, Edmundo Gontardo	4	2018-03-07	52	1.02	25,000	-125,000
Orvana Minerals Corp.	Options	Guimaraes, Edmundo Gontardo	4	2018-03-29	52	1.05	0	-25,000
Orvana Minerals Corp.	Options	Pridham, Gordon E.	4	2019-12-18	52	0.3	0	-125,000
Orvana Minerals Corp.	Restricted Share Units	Vu, Binh	5	2021-03-15	58 - Expiration of rights		249,557	-703,211
Orvana Minerals Corp.	Restricted Share Units	Vu, Binh	5	2021-03-15	58 - Expiration of rights	0.307	0	-249,557
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit's d'actions différées	Baird, John Russell	4	2020-12-31	35	15.46		61
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit's d'actions différées	Baird, John Russell	4	2021-01-15	35	15.46	18,937	61
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit's d'actions différées	Bertrand, Franroise	4	2021-01-15	35	15.46	66,100	213
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit's d'actions différées	Burzynski, John Feliks	4	2021-01-15	35	15.46	35,827	116
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unit's d'actions différées	Curfman, Christopher C.	4	2021-01-15	35	15.46	48,856	158
OSISKO GOLD ROYALTIES LTD	Common Shares	Desharnais, Guy	5	2020-12-31	30	13.57	3,684	1,770
OSISKO GOLD ROYALTIES LTD	Common Shares	Desharnais, Guy	5	2020-12-31	35	14.97	3,695	11
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unit's d'actions restreintes	Desharnais, Guy	5	2021-01-15	35	15.46	20,125	65
OSISKO GOLD ROYALTIES LTD	Common Shares	Farmer, Iain Wesley	5	2020-12-31	35	14.24	13,670	30

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OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Farmer, Iain Wesley	5	2021-01-15	35	15.46	21,842	70
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	2021-01-15	35	15.46	99,375	322
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	John, William Murray	4	2021-01-15	35	15.46	18,490	60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbe, Pierre	4	2021-01-15	35	15.46	55,986	181
OSISKO GOLD ROYALTIES LTD	Common Shares	Le Bel, Andr�	5	2020-12-31	30	13.57	64,545	1,771
OSISKO GOLD ROYALTIES LTD	Common Shares	Le Bel, Andr�	5	2020-12-31	35	13.93	64,667	122
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, Andr�	5	2021-01-15	35	15.46	100,276	324
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	2021-01-15	35	15.46	66,318	214
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2020-12-31	30	13.57	664,061	1,771
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2020-12-31	35	13.93	664,183	122
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2021-03-16	51	13.38	711,783	127,600
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2021-03-16	10	14.077	584,183	-127,600
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2021-03-18	51	13.38		127,600
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2021-03-18	10	14.077		-127,600
OSISKO GOLD ROYALTIES LTD	Options	Roosen, Sean	4, 5	2021-03-16	51	13.38	517,930	-127,600
OSISKO GOLD ROYALTIES LTD	Options	Roosen, Sean	4, 5	2021-03-18	51	13.38		-127,600
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	2021-01-15	35	15.46	219,162	706
OSISKO GOLD ROYALTIES LTD	Common Shares	Ruel, Fr�d�ric	5	2020-12-31	30	13.57	24,311	1,771
OSISKO GOLD ROYALTIES LTD	Common Shares	Ruel, Fr�d�ric	5	2020-12-31	30	13.93	24,433	122
OSISKO GOLD ROYALTIES LTD	Common Shares	Ruel, Fr�d�ric	5	2021-03-18	51	13.38	39,933	15,500
OSISKO GOLD ROYALTIES LTD	Common Shares	Ruel, Fr�d�ric	5	2021-03-18	10	14.3	24,433	-15,500
OSISKO GOLD ROYALTIES LTD	Options	Ruel, Fr�d�ric	5	2021-03-18	51	13.38	301,300	-15,500
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Fr�d�ric	5	2021-01-15	35	15.46	70,014	226
OSISKO GOLD ROYALTIES LTD	Common Shares	Singh, Sandeep	5	2020-12-31	30	14.84	139,791	1,211
OSISKO GOLD ROYALTIES LTD	Common Shares	Singh, Sandeep	5	2020-12-31	35	15.42	139,795	4
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Singh, Sandeep	5	2021-01-15	35	15.46	203,201	655
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Spencer, Michael David Saynor	7	2020-07-15	35	14.48	66,735	235
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Spencer, Michael David Saynor	7	2020-10-15	35	16.35	66,943	208
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Spencer, Michael David Saynor	7	2021-01-15	35	15.46	67,163	220
Osisko Mining Inc.	Common Shares	Anderson, Patrick Fergus Neill	4	2021-03-12	51	1.08	65,883	60,000
Osisko Mining Inc.	Common Shares	Anderson, Patrick Fergus Neill	4	2021-03-12	10	3.07	35,883	-30,000
Osisko Mining Inc.	Common Shares	Anderson, Patrick Fergus Neill	4	2021-03-12	10	3	5,883	-30,000
Osisko Mining Inc.	Options	Anderson, Patrick Fergus Neill	4	2021-03-12	51	1.08	923,334	-60,000
Osisko Mining Inc.	Common Shares	Calderon, Bernardo Alvarez	4	2021-03-16	51	1.08	44,934	29,701
Osisko Mining Inc.	Common Shares	Calderon, Bernardo Alvarez	4	2021-03-16	10	3.042	33,731	-11,203
Osisko Mining Inc.	Options	Calderon, Bernardo Alvarez	4	2021-03-16	51	1.08	825,000	-29,701

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Osisko Mining Inc.	Common Shares	McKay, Keith Douglas	4	2021-03-12	51	1.08	262,070	250,000
Osisko Mining Inc.	Options	McKay, Keith Douglas	4	2021-03-12	51	1.08	825,000	-250,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-11	51	1.08	2,282,110	50,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-11	10	3.02	2,232,110	-50,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-12	51	1.08	2,332,110	100,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-12	10	3.05	2,232,110	-100,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-15	51	1.08	2,282,110	50,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-15	10	3.15	2,232,110	-50,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2021-03-15	10	3.15	2,282,110	50,000
Osisko Mining Inc.	Options	Wares, Robert	5	2021-03-11	51	1.08	1,200,000	-50,000
Osisko Mining Inc.	Options	Wares, Robert	5	2021-03-12	51	1.08	1,100,000	-100,000
Osisko Mining Inc.	Options	Wares, Robert	5	2021-03-15	51	1.08	1,050,000	-50,000
Osisko Mining Inc.	Common Shares	Zaritsky, Blair David	5	2021-03-19	51	1.08	188,320	130,800
Osisko Mining Inc.	Common Shares	Zaritsky, Blair David	5	2021-03-19	10	3.077	57,520	-130,800
Osisko Mining Inc.	Options	Zaritsky, Blair David	5	2021-03-19	51	1.08	1,200,000	-130,800
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-03-17	10	0.54	383,000	10,000
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-03-18	10	0.53	393,000	10,000
Outback Goldfields Corp.	Common Shares	Parry, Craig Andrew	3, 4, 5	2021-03-17	10	0.56	5,665,000	80,000
Pacific Empire Minerals Corp.	Options	Casswell, Kim Charisse	5	2021-03-10	50	0.06	185,000	50,000
Pacific Empire Minerals Corp.	Options	Peters, Bradley	4, 5	2021-03-10	50	0.06	1,650,000	650,000
Pacific Empire Minerals Corp.	Options	Reed, Douglas Leigh	5	2021-03-10	50	0.06	442,500	150,000
Pacific Empire Minerals Corp.	Options	Schloo, Peter	4	2021-03-10	50	0.06	550,000	300,000
Palladium One Mining Inc.	Restricted Share Units	Pettigrew, Neil Thomas	4	2019-07-03	00			
Palladium One Mining Inc.	Restricted Share Units	Pettigrew, Neil Thomas	4	2021-03-15	56		168,966	168,966
Palladium One Mining Inc.	Common Shares	Weyrauch, Derrick Horst	4	2021-03-19	54	0.12	2,054,168	500,000
Palladium One Mining Inc.	Common Shares	Weyrauch, Derrick Horst	4	2021-03-19	10	0.34	1,779,168	-275,000
Palladium One Mining Inc.	Restricted Share Unit	Weyrauch, Derrick Horst	4	2019-03-28	00			
Palladium One Mining Inc.	Restricted Share Unit	Weyrauch, Derrick Horst	4	2021-03-15	56		255,172	255,172
Palladium One Mining Inc.	Warrants	Weyrauch, Derrick Horst	4	2021-03-18	54	0.12	-1	-500,000
Pan Global Resources Inc.	Common Shares	evans, patrick charles	4	2021-03-12	10	0.46	1,985,000	119,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2021-03-15	51	15.66	123,300	50,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2021-03-15	10	22.39	73,300	-50,000
Parex Resources Inc.	Options	Fowler, Ryan	5	2021-03-15	51	15.66	84,680	-50,000
Parex Resources Inc.	Restricted Share Unit (cash)	Meunier, Jeff	5	2021-03-15	59	23.57	50,749	-19,000
Parex Resources Inc.	Common Shares	Sylvain, Carmen	4	2021-03-11	10	23.58	2,344	-940
Park Lawn Corporation	Deferred Share Units	Brophy, Marilyn Anne	4	2020-12-31	56			2
Park Lawn Corporation	Deferred Share Units	Brophy, Marilyn Anne	4	2020-12-31	56			2
Park Lawn Corporation	Deferred Share Units	Brophy, Marilyn Anne	4	2020-12-31	30		524	2
Park Lawn Corporation	Restricted Share Units	Dodds, Jay Dallas	4, 5	2020-12-31	30		10,141	187
Park Lawn Corporation	Restricted Share Units (Performance-based)	Dodds, Jay Dallas	4, 5	2020-12-31	56			227
Park Lawn Corporation	Restricted Share Units (Performance-based)	Dodds, Jay Dallas	4, 5	2020-12-31	56			227
Park Lawn Corporation	Restricted Share Units (Performance-based)	Dodds, Jay Dallas	4, 5	2020-12-31	30		12,059	227
Park Lawn Corporation	Deferred Share Units	Freedman, Amy Leanne	4	2020-12-31	56			4
Park Lawn Corporation	Deferred Share Units	Freedman, Amy Leanne	4	2020-12-31	56			4
Park Lawn Corporation	Deferred Share Units	Freedman, Amy Leanne	4	2020-12-31	30		949	4
Park Lawn Corporation	Restricted Share Units	Gilbert, Linda	5	2020-12-31	30		7,852	187
Park Lawn Corporation	Restricted Share Units	Green, James Bradley	4, 5	2020-12-31	30		10,141	187
Park Lawn Corporation	Restricted Share Units (Performance-based)	Green, James Bradley	4, 5	2020-12-31	56			227
Park Lawn Corporation	Restricted Share Units (Performance-based)	Green, James Bradley	4, 5	2020-12-31	56			227
Park Lawn Corporation	Restricted Share Units (Performance-based)	Green, James Bradley	4, 5	2020-12-31	30		12,059	227
Park Lawn Corporation	Restricted Share Units	Harlow, William Clark	5	2020-12-31	30		9,627	171
Park Lawn Corporation	Restricted Share Units	Hay, Jennifer Wiers	5	2020-12-31	30		6,727	171
Park Lawn Corporation	Restricted Share Units	Johnson, Lorie Jane	5	2020-12-31	30		9,297	165
Park Lawn Corporation	Restricted Share Units	Millett, Daniel	5	2020-12-31	30		4,983	20
Park Lawn Corporation	Restricted Share Units	PARKER, JEFFREY SCOTT	5	2020-12-31	30		9,297	165
Park Lawn Corporation	Common Shares	Price, James Deloney Jr.	7	2016-03-08	00			
Park Lawn Corporation	Common Shares	Price, James Deloney Jr.	7	2020-12-31	57		14,351	14,351
Park Lawn Corporation	Common Shares	Price, James Deloney Jr.	7	2020-12-31	10	28.271	11,023	-3,328
Park Lawn Corporation	Restricted Share Units	Price, James Deloney Jr.	7	2020-12-31	30		14,351	247
Park Lawn Corporation	Restricted Share Units	Price, James Deloney Jr.	7	2020-12-31	57		0	-14,351

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Park Lawn Corporation	Deferred Share Units	Robinson, Deborah Wallis	4	2020-12-31	56			22
Park Lawn Corporation	Deferred Share Units	Robinson, Deborah Wallis	4	2020-12-31	56			22
Park Lawn Corporation	Deferred Share Units	Robinson, Deborah Wallis	4	2020-12-31	30		1,221	22
Park Lawn Corporation	Deferred Share Units	Scott, Steven Robert	4	2020-12-31	56			203
Park Lawn Corporation	Deferred Share Units	Scott, Steven Robert	4	2020-12-31	56			203
Park Lawn Corporation	Deferred Share Units	Scott, Steven Robert	4	2020-12-31	30		12,499	203
Park Lawn Corporation	Deferred Share Units	Smith, Paul G.	4	2020-12-31	56			99
Park Lawn Corporation	Deferred Share Units	Smith, Paul G.	4	2020-12-31	56			99
Park Lawn Corporation	Deferred Share Units	Smith, Paul G.	4	2020-12-31	30		5,894	99
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2020-12-31	56			195
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2020-12-31	56			195
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2020-12-31	30		11,981	195
Parkit Enterprise Inc.	Common Shares	Khan, Iqbal	4	2021-03-18	16	1.5	635,617	56,667
Parkland Corporation	Deferred Share Unit Plan	Bechtold, John Frederick	4	2021-03-16	56	39.68	43,097	2,520
Parkland Corporation	Deferred Share Unit Plan	Colnett, Lisa	4	2021-03-16	56	39.68	25,555	2,520
Parkland Corporation	Restricted Common Shares	Elliott, Christy	5	2021-03-16	56		31,360	10,216
Parkland Corporation	Share Options	Elliott, Christy	5	2021-03-16	50	39.68	73,366	11,062
Parkland Corporation	Restricted Common Shares	Espey, Robert Berthold	5	2021-03-16	56		166,649	50,088
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2021-03-16	50	39.68	946,899	54,733
Parkland Corporation	Restricted Common Shares	Graves, Chad Jason	5	2021-03-16	56		18,714	7,281
Parkland Corporation	Share Options	Graves, Chad Jason	5	2021-03-16	50	39.68	20,685	7,100
Parkland Corporation	Restricted Common Shares	Haugh, Douglas Scott	5	2021-03-16	56		70,229	17,883
Parkland Corporation	Share Options	Haugh, Douglas Scott	5	2021-03-16	50	39.68	232,861	19,180
Parkland Corporation	Deferred Share Unit Plan	Hogarth, Timothy	4	2021-03-16	56	39.68	20,857	2,520
Parkland Corporation	Restricted Common Shares	Krogmeier, Ryan Curtis	5	2021-03-16	56		78,788	19,623
Parkland Corporation	Share Options	Krogmeier, Ryan Curtis	5	2021-03-16	50	39.68	169,830	21,046
Parkland Corporation	Restricted Common Shares	Magnan, Pierre Patrick Gerard	5	2021-03-16	56		46,012	15,769
Parkland Corporation	Share Options	Magnan, Pierre Patrick Gerard	5	2021-03-16	50	39.68	240,579	16,912
Parkland Corporation	Deferred Share Unit Plan	Pantelidis, James	4	2021-03-16	56	39.68	113,075	4,788
Parkland Corporation	Deferred Share Unit Plan	PILLA, DOMENICO	4	2021-03-16	56	39.68	33,894	2,520
Parkland Corporation	Restricted Common Shares	Pugliese, Ferio	5	2021-03-16	56		20,333	11,944
Parkland Corporation	Share Options	Pugliese, Ferio	5	2021-03-16	50	39.68	29,910	12,649
Parkland Corporation	Deferred Share Unit Plan	Richardson, Steven P.	4	2021-03-16	56	39.68	13,294	2,520
Parkland Corporation	Restricted Common Shares	Sanker, Donna Lynn	5	2021-03-16	56		30,096	15,241
Parkland Corporation	Share Options	Sanker, Donna Lynn	5	2021-03-16	50	39.68	47,117	16,551
Parkland Corporation	Restricted Common Shares	Smart, Darren Robert	5	2021-03-16	56		44,283	13,813
Parkland Corporation	Share Options	Smart, Darren Robert	5	2021-03-16	50	39.68	239,640	14,612
Parkland Corporation	Deferred Share Unit Plan	Spencer, David	4	2021-03-16	56	39.68	43,097	2,520
Parkland Corporation	Deferred Share Unit Plan	Stein, Deborah Susan	4	2021-03-16	56	39.68	17,618	2,520
Parkland Corporation	Restricted Common Shares	Teunissen, Marcel	5	2021-03-16	56		26,145	15,469
Parkland Corporation	Share Options	Teunissen, Marcel	5	2021-03-16	50	39.68	41,672	19,704
Parkland Corporation	Restricted Common Shares	White, Ian James	5	2021-03-16	56		35,843	10,756
Parkland Corporation	Share Options	White, Ian James	5	2021-03-16	50	39.68	201,189	11,628
Pason Systems Inc.	RSU	Kessler, Marcel	5	2021-03-17	59		0	-20,736
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2021-03-17	59		0	-733,333
Payfare Inc.	Common Shares	Deslippe, Ryan Charles	5	2021-03-16	00		1,992,596	
Payfare Inc.	Options	Deslippe, Ryan Charles	5	2021-03-16	00		20,503	
Payfare Inc.	Restricted Share Units	Deslippe, Ryan Charles	5	2021-03-16	00		159,309	
Payfare Inc.	Common Shares	Margiotta, Marco	4, 5	2021-03-16	00		820,255	
Payfare Inc.	Options	Margiotta, Marco	4, 5	2021-03-16	00		404,173	
Payfare Inc.	Restricted Share Units	Margiotta, Marco	4, 5	2021-03-16	00		212,677	
Payfare Inc.	Common Shares	McKenzie, Keith	4	2021-03-16	00		2,013,723	
Payfare Inc.	Common Shares	Miller, Brian Charles	5	2021-03-16	00		85,517	
Payfare Inc.	Options	Miller, Brian Charles	5	2021-03-16	00		137,515	
Payfare Inc.	Restricted Share Units	Miller, Brian Charles	5	2021-03-16	00		135,412	
Payfare Inc.	Common Shares	Park, Charles	5	2021-03-16	00		191,378	
Payfare Inc.	Options	Park, Charles	5	2021-03-16	00		119,274	
Payfare Inc.	Restricted Share Units	Park, Charles	5	2021-03-16	00		159,309	
Pembina Pipeline Corporation	Common Shares	Ainsworth, Anne-Marie	4	2021-03-15	10	30.04	22,749	95
Pembina Pipeline Corporation	Rights	Andersen, Harold	5	2021-03-15	30		78,339	5,415
Pembina Pipeline Corporation	Rights	Andersen, Harold	5	2021-03-15	59	32.53	66,482	-11,857
Pembina Pipeline Corporation	Rights	Balfour, Carl Ian	5	2021-03-15	30		24,739	1,997
Pembina Pipeline Corporation	Rights	Balfour, Carl Ian	5	2021-03-15	59	32.53	20,124	-4,615
Pembina Pipeline Corporation	Rights	Burrows, J. Scott	5	2021-03-15	30		105,171	7,697
Pembina Pipeline Corporation	Rights	Burrows, J. Scott	5	2021-03-15	59	32.53	88,556	-16,615

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pembina Pipeline Corporation	Rights	Charlesworth, Allan	5	2021-03-15	30		40,838	3,306
Pembina Pipeline Corporation	Rights	Charlesworth, Allan	5	2021-03-15	59	32.53	33,318	-7,520
Pembina Pipeline Corporation	Rights	Croney, Craig	5	2021-03-15	30		25,034	1,996
Pembina Pipeline Corporation	Rights	Croney, Craig	5	2021-03-15	59	32.53	20,440	-4,594
Pembina Pipeline Corporation	Rights	Day, Craig	5	2021-03-15	30		29,755	2,086
Pembina Pipeline Corporation	Rights	Day, Craig	5	2021-03-15	59	32.53	24,816	-4,939
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	30			1,995
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	30			1,995
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	59	32.53		-4,584
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	59	32.53		-4,584
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	30		24,107	1,995
Pembina Pipeline Corporation	Rights	De la Mare, John	5	2021-03-15	59	32.53	19,523	-4,584
Pembina Pipeline Corporation	Rights	Dilger, Michael H.	5	2021-03-15	30		343,923	26,853
Pembina Pipeline Corporation	Rights	Dilger, Michael H.	5	2021-03-15	59	32.53	293,004	-50,919
Pembina Pipeline Corporation	Rights	Diocee, Tony	5	2021-03-15	30		22,862	2,328
Pembina Pipeline Corporation	Rights	Diocee, Tony	5	2021-03-15	59	32.53	18,400	-4,462
Pembina Pipeline Corporation	Rights	Forrest, Jennifer	5	2021-03-15	30		20,432	1,088
Pembina Pipeline Corporation	Rights	Forrest, Jennifer	5	2021-03-15	59	32.53	17,528	-2,904
Pembina Pipeline Corporation	Rights	Goldade, Cameron	5	2021-03-15	30		24,713	1,997
Pembina Pipeline Corporation	Rights	Goldade, Cameron	5	2021-03-15	59	32.53	20,098	-4,615
Pembina Pipeline Corporation	Rights	Hecker, Tracy Krista	5	2021-03-15	30		25,458	1,997
Pembina Pipeline Corporation	Rights	Hecker, Tracy Krista	5	2021-03-15	59	32.53	20,843	-4,615
Pembina Pipeline Corporation	Rights	Kohlsmith, Brad	5	2021-03-15	30		25,375	1,997
Pembina Pipeline Corporation	Rights	Kohlsmith, Brad	5	2021-03-15	59	32.53	20,760	-4,615
Pembina Pipeline Corporation	Rights	Koski, Michael James	5	2021-03-15	30		21,628	77
Pembina Pipeline Corporation	Rights	Koski, Michael James	5	2021-03-15	59	32.53	20,629	-999
Pembina Pipeline Corporation	Rights	Loduca, Janet C.	5	2021-03-15	30		25,623	3
Pembina Pipeline Corporation	Rights	Loduca, Janet C.	5	2021-03-15	56	32.53	25,377	-246
Pembina Pipeline Corporation	Rights	Lunt, Laura	5	2021-03-15	30		23,038	1,836
Pembina Pipeline Corporation	Rights	Lunt, Laura	5	2021-03-15	59	32.53	18,801	-4,237
Pembina Pipeline Corporation	Rights	Marine, Darren	5	2021-03-15	30		38,487	3,407
Pembina Pipeline Corporation	Rights	Marine, Darren	5	2021-03-15	59	32.53	30,763	-7,724
Pembina Pipeline Corporation	Rights	Murphy, Paul John	5	2021-03-15	30		99,405	7,666
Pembina Pipeline Corporation	Rights	Murphy, Paul John	5	2021-03-15	59	32.53	83,099	-16,306
Pembina Pipeline Corporation	Rights	Rawcliffe, Brenda Lynn	5	2021-03-15	30		8,181	544
Pembina Pipeline Corporation	Rights	Rawcliffe, Brenda Lynn	5	2021-03-15	59	32.53	6,554	-1,627
Pembina Pipeline Corporation	Rights	Scherman, Chris	5	2021-03-15	30		29,404	2,012
Pembina Pipeline Corporation	Rights	Scherman, Chris	5	2021-03-15	59	32.53	24,599	-4,805
Pembina Pipeline Corporation	Rights	Schwann, Sarah Jane	5	2021-03-15	30		17,167	273
Pembina Pipeline Corporation	Rights	Schwann, Sarah Jane	5	2021-03-15	59	32.53	12,462	-4,705
Pembina Pipeline Corporation	Common Shares	Sprott, Jaret	5	2021-03-15	10	38.169	2,081	11
Pembina Pipeline Corporation	Rights	Sprott, Jaret	5	2021-03-15	30		74,243	4,897
Pembina Pipeline Corporation	Rights	Sprott, Jaret	5	2021-03-15	59	32.53	63,342	-10,901
Pembina Pipeline Corporation	Rights	STUBBS, CATHERINE JENNIFER	5	2021-03-15	30		17,380	1,055
Pembina Pipeline Corporation	Rights	STUBBS, CATHERINE JENNIFER	5	2021-03-15	59	32.53	14,551	-2,829
Pembina Pipeline Corporation	Common Shares	Taylor, Stuart	5	2021-03-15	10	37.76	1,419	7
Pembina Pipeline Corporation	Rights	Taylor, Stuart	5	2021-03-15	30		103,288	7,690
Pembina Pipeline Corporation	Rights	Taylor, Stuart	5	2021-03-15	59	32.53	86,774	-16,514
Pembina Pipeline Corporation	Rights	Tuffs, Brian Robert	5	2021-03-15	30		19,431	51
Pembina Pipeline Corporation	Rights	Tuffs, Brian Robert	5	2021-03-15	59	32.53	18,627	-804
Pembina Pipeline Corporation	Rights	Walsh, Patrick Scott	5	2021-03-15	30		31,405	2,693
Pembina Pipeline Corporation	Rights	Walsh, Patrick Scott	5	2021-03-15	59	32.53	25,230	-6,175
Pembina Pipeline Corporation	Rights	Wiun, Jason Travis	5	2021-03-15	30		74,801	4,897
Pembina Pipeline Corporation	Rights	Wiun, Jason Travis	5	2021-03-15	59	32.53	63,900	-10,901
Perpetual Energy Inc.	Common Shares	Shay, Ryan	4	2021-03-15	11	0.23	1,260,000	1,000,000
Perpetual Energy Inc.	Options	Shay, Ryan	4	2021-03-18	50	0.23	468,000	350,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-12	10	0.1	11,630,752	10,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-18	10	0.095	11,680,752	50,000
PESA Corporation	Warrants	Astle, Thomas Blair	4	2012-12-01	00			
PESA Corporation	Warrants	Astle, Thomas Blair	4	2021-03-15	11		130,000	130,000
PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2012-08-31	00			
PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2021-03-11	56		3,808,583	3,808,583

Insider Reporting

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PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2012-08-31	00			
PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2021-03-11	56		50,647,203	50,647,203
PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2012-08-31	00			
PetroShale Inc.	Rights	Chernoff, M. Bruce	3, 4	2021-03-11	56		10,000,000	10,000,000
PetroShale Inc.	Rights	Izzo, Antonio Vincenzo	5	2013-11-25	00			
PetroShale Inc.	Rights	Izzo, Antonio Vincenzo	5	2021-03-11	56		774,058	774,058
PetroShale Inc.	Rights	McCagherty, Kenneth Campbell	4	2013-11-25	00			
PetroShale Inc.	Rights	McCagherty, Kenneth Campbell	4	2021-03-11	56		360,275	360,275
Petrus Resources Ltd.	Common Shares	Gray, Kenneth Graham	4	2021-03-11	00		23,400	
Pharmadrug Inc.	Options	Li, Ka Yin Keith	5	2021-02-04	50		500,000	250,000
PHX Energy Services Corp.	Common Shares	Brown, Craig	5	2021-03-11	10	2.778	103,437	8,700
PHX Energy Services Corp.	Common Shares	Brown, Craig	5	2021-03-16	10	2.899		7,400
PHX Energy Services Corp.	Common Shares	Brown, Craig	5	2021-03-16	10	2.899		7,400
PHX Energy Services Corp.	Common Shares	Brown, Craig	5	2021-03-18	10	2.9	129,937	26,500
PHX Energy Services Corp.	Common Shares	Hooks, John Michael	5	2021-03-15	10	2.8594	4,748,900	13,300
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-15	10	0.285	21,603,500	100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-17	10	0.29	21,503,500	-100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-17	10	0.29	21,603,500	100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-15	10	0.285	22,616,000	100,000
Pine Cliff Energy Ltd.	Common Shares	Fink, George Frederick	3, 4, 5	2021-03-18	10	0.296	23,457,132	20,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Performance Share Units	Erickson, Darcy Glen	5	2021-03-17	56		335,857	119,681
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Erickson, Darcy Glen	5	2021-03-17	56		209,199	79,787
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Performance Share Units	Hoffman, Dustin Lee	5	2021-03-17	56		611,489	191,489
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Hoffman, Dustin Lee	5	2021-03-17	56		367,660	127,660
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Performance Share Units	Nieboer, Craig Frederick	5	2021-03-17	56		611,489	191,489
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Nieboer, Craig Frederick	5	2021-03-17	56		367,660	127,660
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Performance Share Units	van Kessel, Daniel	5	2021-03-17	56		322,622	119,681
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	van Kessel, Daniel	5	2021-03-17	56		203,316	79,787
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Performance Share Units	Wanklyn, Robert Paul	4, 5	2021-03-17	56		1,050,810	390,957
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Wanklyn, Robert Paul	4, 5	2021-03-17	56		663,128	260,638
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-10	10	1.1668	2,385,107	-200,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-10	10	1.19	2,285,107	-100,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-11	10	1.23	2,163,007	-122,100
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-12	10	1.0409	1,963,007	-200,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-12	10	1.025	1,863,007	-100,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, Katie	7	2021-03-09	10	0.9987	2,935,604	-70,500
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, Katie	7	2021-03-10	10	1.1328	2,406,104	-529,500
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Moxness, Ralph Allan	4	2021-02-26	00		40,000	
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Moxness, Ralph Allan	4	2021-02-26	00		52,955	
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Moxness, Ralph Allan	4	2021-02-26	00		100,000	
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Moxness, Ralph Allan	4	2021-02-26	00		45,455	
Platinum Group Metals Ltd.	Options	Mlibo, Mgodlwa	5	2021-03-19	00		155,500	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Platinum Group Metals Ltd.	Rights Restricted Share Units	Mlibo, Mgodlwa	5	2021-03-19	00		23,334	
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2021-03-15	30	3.84	2,761	16
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2021-03-15	30	3.84	7,065	41
Plaza Retail REIT	RSUs	Penney, Stephen	5	2021-03-15	30	3.84	2,761	16
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2021-03-15	30	3.84	372	2
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Options	Falconer de Ramel, Molly	4	2021-03-14	00			
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Options	Falconer de Ramel, Molly	4	2021-03-14	50		300,000	300,000
Pond Technologies Holdings Inc.	Warrants	Gamble, Jacob	4	2020-05-12	00			
Pond Technologies Holdings Inc.	Warrants	Gamble, Jacob	4	2020-05-12	53	0.25	540,000	540,000
Pond Technologies Holdings Inc.	Warrants	Gamble, Jacob	4	2021-02-24	54	0.25		256,000
Pond Technologies Holdings Inc.	Warrants	Gamble, Jacob	4	2021-02-24	54	0.25	284,000	-256,000
Pond Technologies Holdings Inc.	Common Shares	Howard, Peter	5	2021-03-01	11	0.35	34,000	30,000
Pontus Protein Ltd.	Common Shares	Ding, Jason	5	2021-03-01	00		600,000	
Pontus Protein Ltd.	Options	Ding, Jason	5	2021-03-01	00		200,000	
Pontus Protein Ltd.	Common Shares	Niu, Alson	3, 5	2020-03-12	00			
Pontus Protein Ltd.	Common Shares	Niu, Alson	3, 5	2020-03-12	00		3,820,527	
Pontus Protein Ltd.	Common Shares	Yuen, Connor	4, 5	2021-03-03	10	1.06	3,883,434	100
Pontus Protein Ltd.	Common Shares	Yuen, Connor	4, 5	2021-03-03	10	1.07	3,884,684	1,250
Pontus Protein Ltd.	Common Shares	Yuen, Connor	4, 5	2021-03-04	10	0.98	3,885,744	1,060
PreveCeutical Medical Inc. (formerly, Carrara Exploration Corp.)	Common Shares Without Par Value or Special Rights or Restrictions attached	Anderson, Keith	4	2019-06-21	00			
PreveCeutical Medical Inc. (formerly, Carrara Exploration Corp.)	Common Shares Without Par Value or Special Rights or Restrictions attached	Anderson, Keith	4	2021-03-12	46	0.032	1,640,625	1,640,625
PreveCeutical Medical Inc. (formerly, Carrara Exploration Corp.)	Common Shares Without Par Value or Special Rights or Restrictions attached	Lotz, Mark	4	2019-06-18	00			
PreveCeutical Medical Inc. (formerly, Carrara Exploration Corp.)	Common Shares Without Par Value or Special Rights or Restrictions attached	Lotz, Mark	4	2021-03-17	46	0.032	1,640,625	1,640,625
Pro Real Estate Investment Trust	Deferred Units	Aghar, Peter	4	2020-12-31	30		38,526	3,533
Pro Real Estate Investment Trust	Deferred Units	Beckerleg, James Walter	4, 5	2020-12-31	30		350,285	32,565
Pro Real Estate Investment Trust	Rights Restricted Units	Beckerleg, James Walter	4, 5	2020-12-31	30		119,230	10,399
Pro Real Estate Investment Trust	Deferred Units	Chiara, Vincent	4	2020-12-31	30		38,526	3,533
Pro Real Estate Investment Trust	Deferred Units	C [t]O, Martin	4	2020-12-31	30		38,526	3,533
Pro Real Estate Investment Trust	Units	C [t]O, Martin	4	2020-12-31	30	4.92	18,680	1,591
Pro Real Estate Investment Trust	Deferred Units	Jadavji, Shenoor	4	2020-12-31	30		45,164	4,157
Pro Real Estate Investment Trust	Deferred Units	Lawlor, Gordon G.	5	2020-12-31	30		243,626	22,592
Pro Real Estate Investment Trust	Rights Restricted Units	Lawlor, Gordon G.	5	2020-12-31	30		100,601	8,723
Pro Real Estate Investment Trust	Deferred Units	Levitt, John	4	2020-12-31	30		67,252	6,225
Pro Real Estate Investment Trust	Deferred Units	Limoges, GOrard A.	4	2020-12-31	30		67,252	6,225
Pro Real Estate Investment Trust	Deferred Units	Smith, Ronald	4	2020-12-31	30		58,115	5,369
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Options	Lavoie, Cynthia Ann	4	2021-03-02	00			
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Options	Lavoie, Cynthia Ann	4	2021-03-11	50	28.16	10,000	10,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2021-03-15	10	0.44	15,024,499	23,500
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2021-03-16	10	0.44	15,250,999	226,500
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2021-03-17	10	0.385	15,251,999	1,000

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Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2021-03-18	10	0.385	15,285,999	34,000
ProntoForms Corporation	Common Shares	Deck, Philip Charles	4	2021-03-16	90	1.22	6,486,611	6,466,611
ProntoForms Corporation	Common Shares	Deck, Philip Charles	4	2021-03-16	90	1.22	0	-6,466,611
Prospero Silver Corp.	Common Shares	Murray, William	4	2021-03-12	10	0.59	36,033	-5,000
Prospero Silver Corp.	Common Shares	Murray, William	4	2021-03-15	10	0.555	31,033	-5,000
Prospero Silver Corp.	Common Shares	Murray, William	4	2021-03-16	10	0.53	28,033	-3,000
Providence Gold Mines Inc.	Common Shares	Young, Rodger Crawford	4, 5	2019-05-02	51	0.15		300,000
Providence Gold Mines Inc.	Common Shares	Young, Rodger Crawford	4, 5	2019-05-02	51	0.15		300,000
Providence Gold Mines Inc.	Common Shares	Young, Rodger Crawford	4, 5	2020-07-22	15	8		1,250,000
Providence Gold Mines Inc.	Common Shares	Young, Rodger Crawford	4, 5	2020-07-22	15	8		1,250,000
Providence Gold Mines Inc.	Options	Young, Rodger Crawford	4, 5	2019-04-17	00			
Providence Gold Mines Inc.	Options	Young, Rodger Crawford	4, 5	2019-05-03	50	0.15	300,000	300,000
Providence Gold Mines Inc.	Options	Young, Rodger Crawford	4, 5	2020-07-13	50	0.12	400,000	100,000
Psyched Wellness Ltd. (formerly Duncan Park Holdings Corporation)	Options	Stodulski, Marsha Janet	4	2021-03-15	00		500,000	
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2015-09-23	00			
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2015-09-23	00			
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2015-09-23	00		125,000	
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2019-10-25	37			-427,500
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2019-10-25	37		42,500	-382,500
Puma Exploration Inc.	Options	Brisson G., Ginette	5	2021-03-10	52		300,000	-2,500
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Meadows, Brian	5	2020-12-07	00			
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Meadows, Brian	5	2021-03-18	11		84,543	84,543
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Yauck, Jeff	4	2021-03-18	11		3,508,569	-84,543
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-15	10	2		12,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-15	10	2		12,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-15	10	2.5	212,000	12,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-15	57	2.59	224,524	12,524
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-16	10	2.48	234,604	10,080
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-17	10	2.44	244,884	10,280
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Hill, Paul	4	2021-03-17	10	2.46	253,034	8,150
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Restricted Share Unit	Hill, Paul	4	2020-05-21	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Hill, Paul	4	2020-05-21	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Hill, Paul	4	2021-03-15	56	2.59	75,141	75,141
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Hill, Paul	4	2021-03-15	57	2.59	62,617	-12,524
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Malhotra, Rish	5	2021-03-15	57	2.59	15,751	5,096
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Malhotra, Rish	5	2020-06-01	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Malhotra, Rish	5	2021-03-15	56	2.59	30,571	30,571
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Malhotra, Rish	5	2021-03-15	57	2.59	25,475	-5,096
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Rim, John	5	2020-10-01	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Rim, John	5	2021-03-15	57	2.59	1,056	1,056
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Rim, John	5	2020-10-01	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Rim, John	5	2021-03-15	56	2.59	6,332	6,332
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Rim, John	5	2021-03-15	57	2.59	5,276	-1,056
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Vladescu, Michael	5	2021-03-15	57	2.59	127,512	11,757
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Vladescu, Michael	5	2021-03-15	57	2.59	134,512	7,000

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Quarterhill Inc. (formerly, Wi-LAN Inc.)	Performance Stock Units	Vladescu, Michael	5	2021-03-15	57	2.59	21,000	-7,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Vladescu, Michael	5	2019-02-28	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Vladescu, Michael	5	2021-03-15	56	2.59	70,540	70,540
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Vladescu, Michael	5	2021-03-15	57	2.59	58,783	-11,757
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Watchmaker, Prashant	5	2021-03-15	57	2.59	74,866	8,811
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Watchmaker, Prashant	5	2021-03-15	57	34312		34,312
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Watchmaker, Prashant	5	2021-03-15	57	2.59	109,178	34,312
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Watchmaker, Prashant	5	2021-03-17	10	2.44	105,178	-4,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Watchmaker, Prashant	5	2021-03-17	10	2.43	98,178	-7,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Performance Stock Units	Watchmaker, Prashant	5	2021-03-15	57	2.59	102,936	-34,312
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Restricted Share Unit	Watchmaker, Prashant	5	2021-03-15	56	2.59		52,863
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Restricted Share Unit	Watchmaker, Prashant	5	2021-03-15	56	2.59		52,863
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Watchmaker, Prashant	5	2007-10-01	00			
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Watchmaker, Prashant	5	2021-03-15	56	2.59	52,863	52,863
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Rights Share RSU	Watchmaker, Prashant	5	2021-03-15	57	2.59	44,052	-8,811
Quartz Mountain Resources Ltd.	Common Shares	Dickinson, Matthew Robert	4	2021-03-18	47		2,701,273	-26,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Pruneau, Jean-Francois	7	2021-03-18	10	35.85	247,500	-50,000
Radial Research Corp.	Options	Hall, Chris	4, 5	2020-09-07	00			
Radial Research Corp.	Options	Hall, Chris	4, 5	2021-03-16	50		250,000	250,000
Ravensource Fund (formerly The First Asia Income Fund)	Trust Units	Reid, Scott	3	2021-03-16	10	16.5	141,267	-500
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Orrico, Dean	4, 6, 5	2021-03-17	10	14.81	19,500	400
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-15	10	15.403	3,517,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-16	10	15.365	3,514,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-17	10	15.309	3,511,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-18	10	14.914	3,508,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-19	10	14.859	3,505,384	-3,000
Reconnaissance Energy Africa Ltd.	Common Shares	Allen, Douglas Raymore	5	2021-03-15	54	1	1,452,000	700,000
Reconnaissance Energy Africa Ltd.	Warrants	Allen, Douglas Raymore	5	2021-03-15	54		52,000	-700,000
Reconnaissance Energy Africa Ltd.	Warrants	Steinsberger, Nicholas	5	2021-03-17	36		400,000	200,000
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2021-03-15	10	0.2956	4,851,800	4,500
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2021-03-19	10	0.24	4,867,800	16,000
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2021-03-19	10	0.24	4,874,300	6,500
Red Pine Exploration Inc.	Common Shares	Anwyll, Edward William Drew	4	2021-03-15	37		224,000	-2,016,000
Red Pine Exploration Inc.	Options	Anwyll, Edward William Drew	4	2019-06-20	50			875,000
Red Pine Exploration Inc.	Options	Anwyll, Edward William Drew	4	2019-06-20	50		875,000	875,000
Red Pine Exploration Inc.	Warrants	Anwyll, Edward William Drew	4	2019-12-31	16			1,400,000
Red Pine Exploration Inc.	Warrants	Anwyll, Edward William Drew	4	2019-12-31	16		1,400,000	1,400,000
Red Pine Exploration Inc.	Common Shares	Dodds, Robert Brian	4	2021-03-15	37		54,909	-494,182
Red Pine Exploration Inc.	Common Shares	Dodds, Robert Brian	4	2021-03-15	37		96,140	-865,266
Red Pine Exploration Inc.	Common Shares	Dodds, Robert Brian	4	2021-03-15	37		7,803	-70,231
Red Pine Exploration Inc.	Common Shares	Dodds, Robert Brian	4	2021-03-15	37		432,220	-3,889,984
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2017-04-11	50	0.12		2,128,000
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2017-04-11	50	0.12	2,128,000	2,128,000
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2018-08-21	50	0.06		200,000
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2018-08-21	50	0.06	2,328,000	200,000
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2019-06-20	50	0.06		500,000
Red Pine Exploration Inc.	Options	Dodds, Robert Brian	4	2019-06-20	50	0.06	2,828,000	500,000
Red Pine Exploration Inc.	Warrants	Dodds, Robert Brian	4	2019-12-31	11	0.05		714,286
Red Pine Exploration Inc.	Warrants	Dodds, Robert Brian	4	2019-12-31	11	0.05	714,286	714,286
Red Pine Exploration Inc.	Common Shares	Rolf von den Baumen, Andrew	4	2021-03-15	37		71,428	-642,857

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Red Pine Exploration Inc.	Options	Rolf von den Baumen, Andrew	4	2019-06-20	50			875,000
Red Pine Exploration Inc.	Options	Rolf von den Baumen, Andrew	4	2019-06-20	50		875,000	875,000
Red Pine Exploration Inc.	Warrants	Rolf von den Baumen, Andrew	4	2019-12-31	16			714,285
Red Pine Exploration Inc.	Warrants	Rolf von den Baumen, Andrew	4	2019-12-31	16		714,285	714,285
Red Pine Exploration Inc.	Common Shares	Yarie, Quentin	4	2021-03-15	37		269,604	-2,426,436
REGULUS RESOURCES INC.	Common Shares	Pickmann, Fernando	4, 5	2021-03-15	10	0.93	1,376,602	-15,200
REGULUS RESOURCES INC.	Common Shares	Pickmann, Fernando	4, 5	2021-03-16	10	1.18	1,393,102	16,500
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-15	38	3.79	600	600
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-15	38	3.79	0	-600
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-18	38	3.79	1,000	1,000
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-18	38	3.79	0	-1,000
Relay Medical Corp. (formerly, ChroMedX Corp).	Common Shares	Thomas, Sudhir	4	2021-02-09	54	0.3	2,527,898	1,250,000
RESAAS Services Inc.	Common Shares	Barton, R. Craig	3	2021-03-16	10	0.9	1,092,600	30,000
RESAAS Services Inc.	Options	Williams, Alexander	5	2018-02-27	50	1	25,000	25,000
RESAAS Services Inc.	Options	Williams, Alexander	5	2019-04-01	00			
RESAAS Services Inc.	Options	Williams, Alexander	5	2019-06-03	50	0.3	125,000	100,000
Restaurant Brands International Inc.	Common Shares	Machado, Fernando De Araujo	7	2021-03-15	51		134,992	123,000
Restaurant Brands International Inc.	Common Shares	Machado, Fernando De Araujo	7	2021-03-15	51		185,693	50,701
Restaurant Brands International Inc.	Common Shares	Machado, Fernando De Araujo	7	2021-03-15	10	64.01	65,203	-120,490
Restaurant Brands International Inc.	Common Shares	Machado, Fernando De Araujo	7	2021-03-16	51		65,922	719
Restaurant Brands International Inc.	Common Shares	Machado, Fernando De Araujo	7	2021-03-16	10	64	65,351	-571
Restaurant Brands International Inc.	Options	Machado, Fernando De Araujo	7	2021-03-15	51	27.28	103,920	-123,000
Restaurant Brands International Inc.	Options	Machado, Fernando De Araujo	7	2021-03-15	51	42.26	53,219	-50,701
Restaurant Brands International Inc.	Options	Machado, Fernando De Araujo	7	2021-03-16	51	42.26	52,500	-719
Rex Opportunity Corp.	Options	Carpenter, Adam	5	2021-03-17	50		300,000	100,000
Rex Opportunity Corp.	Options	Ibbitson, Douglas Scott	5	2021-03-17	50		830,000	300,000
Rex Opportunity Corp.	Options	McKittrick, Kyle	5	2021-03-17	50		300,000	100,000
Rex Resources Corp.	Common Shares	Cheung, Ryan	5	2020-07-29	00			
Rex Resources Corp.	Common Shares	Hitchborn, Alan Douglas	4	2020-07-29	00			
Rex Resources Corp.	Common Shares	Taylor, Craig	4, 5	2020-07-29	00		1,650,000	
Rex Resources Corp.	Common Shares	Vasquez, Isidro Flores	4	2020-07-29	00			
Rex Resources Corp.	Common Shares	Zelen, Anthony	4	2020-07-29	00		850,000	
RF Capital Group Inc.	Rights Deferred Share Units (DSU)	Brown, David G.	4	2021-03-11	56		290,101	24,769
RF Capital Group Inc.	Rights Deferred Share Units (DSU)	Leith, David Gordon	4	2020-12-03	00			
RF Capital Group Inc.	Rights Deferred Share Units (DSU)	Leith, David Gordon	4	2021-03-11	56		6,314	6,314
Richards Packaging Income Fund	Trust Units	Sullivan, Therese	5	2021-03-10	10	67.88	880	150
Ridgeline Minerals Corp.	Common Shares	Harp, Michael	5	2020-07-31	00		292,000	
Ridgeline Minerals Corp.	Options	Harp, Michael	5	2020-07-31	00		600,000	
Ridgeline Minerals Corp.	Restricted Share Units	Harp, Michael	5	2020-07-31	00			
Ridgeline Minerals Corp.	Restricted Share Units	Harp, Michael	5	2020-11-25	46		100,000	100,000
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-15	10	16.98	11,499,270	1,497
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-16	10	16.98	11,527,935	28,665
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-16	10	16.98	11,499,213	-28,722
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-18	10	16.98	11,499,996	783
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Dansereau, Richard	4	2021-03-15	56	19.37	31,608	1,097
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Godfrey, Paul Victor	4	2021-03-15	30	19.37		1,452
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Godfrey, Paul Victor	4	2021-03-15	56	19.37	81,909	1,452
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Lastman, Dale Howard	4	2021-03-15	30	19.37		632
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Lastman, Dale Howard	4	2021-03-15	56	19.37	54,025	632

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RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Marshall, S. Jane	4	2021-03-15	56	19.37	45,034	1,032
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Sallows, Sharon	4	2021-03-15	30	19.37		903
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Sallows, Sharon	4	2021-03-15	56	19.37	72,797	903
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Vanaselja, Siim A.	4	2021-03-15	56	19.37	43,364	1,161
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Winograd, Charles	4	2021-03-15	56	19.37	67,774	1,032
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Wong, Jason	7	2021-03-19	10		0	-1,400
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Wong, Jason	7	2021-03-19	10		0	-4,151
Ritchie Bros. Auctioneers Incorporated	Common Shares	Ackley, Matthew Farrell	5	2021-03-15	57	56.49	20,966	5,439
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Ackley, Matthew Farrell	5	2021-03-15	57	56.49	13,729	-8,407
Ritchie Bros. Auctioneers Incorporated	Common Shares	Driscoll, Sharon	5	2021-03-15	57	56.49	15,841	1,922
Ritchie Bros. Auctioneers Incorporated	Common Shares	Driscoll, Sharon	5	2021-03-15	57	56.49	26,259	10,418
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Driscoll, Sharon	5	2021-03-15	57	56.49	5,388	-22,406
Ritchie Bros. Auctioneers Incorporated	Rights Restricted Share Units	Driscoll, Sharon	5	2021-03-15	57	56.49	0	-3,911
Ritchie Bros. Auctioneers Incorporated	Common Shares	Holm, Kieran	5	2021-03-15	57	56.49	18,768	1,083
Ritchie Bros. Auctioneers Incorporated	Common Shares	Holm, Kieran	5	2021-03-15	57	56.49	22,087	3,319
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Holm, Kieran	5	2021-03-15	57	56.49		-7,138
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Holm, Kieran	5	2021-03-15	57	56.49	-493	-7,138
Ritchie Bros. Auctioneers Incorporated	Rights Restricted Share Units	Holm, Kieran	5	2021-03-15	57	56.49	0	-2,204
Ritchie Bros. Auctioneers Incorporated	Common Shares	Jeter, James Jeffrey	5	2021-03-15	57	56.49	28,641	9,383
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Jeter, James Jeffrey	5	2021-03-15	57	56.49	3,779	-13,549
Ritchie Bros. Auctioneers Incorporated	Common Shares	Watt, Darren	5	2021-03-12	30	57	11,978	-500
Ritchie Bros. Auctioneers Incorporated	Common Shares	Watt, Darren	5	2021-03-15	57	56.49	12,959	981
Ritchie Bros. Auctioneers Incorporated	Common Shares	Watt, Darren	5	2021-03-15	57	56.49	16,767	3,808
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Watt, Darren	5	2021-03-15	57	56.49	1,434	-8,189
Ritchie Bros. Auctioneers Incorporated	Rights Restricted Share Units	Watt, Darren	5	2021-03-15	57	56.49	0	-1,996
Ritchie Bros. Auctioneers Incorporated	Common Shares	Werner, Karl William	5	2021-03-15	57	56.49	38,240	2,718
Ritchie Bros. Auctioneers Incorporated	Common Shares	Werner, Karl William	5	2021-03-15	57	56.49	48,135	9,895
Ritchie Bros. Auctioneers Incorporated	Common Shares	Werner, Karl William	5	2021-03-16	59	57.5	35,522	-12,613
Ritchie Bros. Auctioneers Incorporated	Common Shares	Werner, Karl William	5	2021-03-16	59	57.5	33,245	-2,277
Ritchie Bros. Auctioneers Incorporated	Options	Werner, Karl William	5	2021-03-15	59	32.16	43,222	-8,375
Ritchie Bros. Auctioneers Incorporated	Options	Werner, Karl William	5	2021-03-15	59	33.79	34,111	-9,111
Ritchie Bros. Auctioneers Incorporated	Options	Werner, Karl William	5	2021-03-15	59	40.64	25,777	-8,334
Ritchie Bros. Auctioneers Incorporated	Rights Performance Share Units	Werner, Karl William	5	2021-03-15	57	56.49	-9,152	-13,136
Ritchie Bros. Auctioneers Incorporated	Rights Restricted Share Units	Werner, Karl William	5	2021-03-15	57	56.49	0	-3,400
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1		-300,000
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1		-300,000
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1	841,500	-300,000
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1		300,000

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RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1		300,000
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-16	51	1.1	188,720	181,720
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1		-233,333
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1		-233,333
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Options	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1	666,667	-233,333
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2018-09-17	00			
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1		233,333
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1		233,333
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-16	51	1.1	141,337	141,337
Rogers Communications Inc.	Restricted Share Units	Agius, Eric Philip	5	2021-03-01	59	55.204	8,978	-7,527
Rogers Communications Inc.	Performance Restricted Share Units	Natale, Joe	4, 5	2020-04-19	56		186,378	2,860
Rokmaster Resources Corp.	Options	Cojuco, Dennis Lindsey Tagle	5	2020-12-28	50	0.45	805,000	200,000
Rokmaster Resources Corp.	Common Shares	Cowin, Michael	4	2021-03-21	51	0.1	3,148,000	400,000
Rokmaster Resources Corp.	Warrants	Cowin, Michael	4	2021-03-16	54	0.1	250,000	-400,000
Rokmaster Resources Corp.	Common Shares	Mirko, John Martin	4, 5	2021-03-16	16	0.1	4,753,228	293,834
Rokmaster Resources Corp.	Options	Mirko, John Martin	4, 5	2020-01-02	50	0.1	500,000	200,000
Rokmaster Resources Corp.	Options	Mirko, John Martin	4, 5	2020-04-20	50	0.15	700,000	200,000
Rokmaster Resources Corp.	Options	Mirko, John Martin	4, 5	2020-12-28	50	0.45	900,000	200,000
Rokmaster Resources Corp.	Warrants	Mirko, John Martin	4, 5	2021-03-16	54	0.1	1,450,000	-293,834
Routemaster Capital Inc. (formerly known as Rodinia Lithium Inc.)	Warrants	Choi, Kenny	5	2018-12-21	00			
Routemaster Capital Inc. (formerly known as Rodinia Lithium Inc.)	Warrants	Choi, Kenny	5	2018-12-21	00		83,334	
Royal Bank of Canada	Common Shares	Bolger, Rod	5	2021-03-19	51	48.933	2,236	968
Royal Bank of Canada	Common Shares	Bolger, Rod	5	2021-03-19	10	116.44	1,661	-575
Royal Bank of Canada	Options	Bolger, Rod	5	2021-03-19	51	48.933	224,302	-968
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2021-03-19	51	48.933	1,909	581
Royal Bank of Canada	Common Shares	Gottschling, Helena	5	2021-03-19	10	116.49	1,328	-581
Royal Bank of Canada	Options	Gottschling, Helena	5	2021-03-19	51	48.933	85,651	-581
Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2021-03-19	51	48.933	11,195	5,322
Royal Bank of Canada	Common Shares	McKay, David Ian	4, 5	2021-03-19	10	116.39	5,873	-5,322
Royal Bank of Canada	Options	McKay, David Ian	4, 5	2021-03-19	51	48.933	1,053,910	-5,322
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2021-03-16	10	4.2	19,693,900	-5,400
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Bryant, Gregg Edward	5	2021-03-15	56		2,790	41
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Clark, John	4	2021-03-15	56		59,619	866
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Coleman, Lesley Margaret Seppings	5	2021-03-15	56		10,316	150
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Dinning, James Francis	4	2021-03-15	56		57,595	836
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Halcrow, David	5	2021-03-15	56		9,124	132
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Hedges, Brian Robie	4	2021-03-15	56		23,645	343
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Juravsky, Martin Leb	5	2021-03-15	56		14,756	214
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Kelly, Maureen Ann	5	2021-03-15	56		10,989	159
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Laberge, Alice D.	4	2021-03-15	56		44,539	647
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacDermid, Ryan Wallace	5	2021-03-15	56		9,396	136
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacLean, John	5	2021-03-15	56		10,989	159
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	McKelvey, Sherri Lynn	5	2021-03-15	56		1,268	18
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	O'Reilly, William Michael	4	2021-03-15	56		46,515	675
Russel Metals Inc.	Common Shares	Paiva, Roger	4	2021-03-18	10	25.29	2,300	2,300

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Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Paiva, Roger	4	2021-03-15	56		957	14
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Reid, John Gregory	5	2021-03-15	56		179,225	2,602
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Thabet, Annie	4	2021-03-15	56		22,728	330
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Tulloch, John Russell	4	2021-03-15	56		30,054	436
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2021-02-23	56			718
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2021-02-23	56		2,469	397
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2021-03-15	56		2,505	36
Sabina Gold & Silver Corp.	Common Shares	McLeod, Donald Bruce	4	2021-03-16	15	1.95	2,055,400	10,000
Saifish Royalty Corp.	Common Shares	Lostritto, Paolo	5	2021-03-15	00		123,138	
Saifish Royalty Corp.	Options	Lostritto, Paolo	5	2021-03-15	00		500,000	
Sanatana Resources Inc.	Options	Anderson, Simon	5	2007-06-30	00			
Sanatana Resources Inc.	Options	Anderson, Simon	5	2020-09-30	50		300,000	300,000
Sanatana Resources Inc.	Common Shares	Doyle, Buddy James	5	2020-08-06	11	0.12		375,000
Sanatana Resources Inc.	Common Shares	Doyle, Buddy James	5	2020-08-06	11	0.12	311,400	275,000
Sanatana Resources Inc.	Options	Doyle, Buddy James	5	2020-09-30	50	0.35	600,000	500,000
Sanatana Resources Inc.	Warrants	Doyle, Buddy James	5	2005-12-09	00			
Sanatana Resources Inc.	Warrants	Doyle, Buddy James	5	2020-08-06	11	0.2	137,500	137,500
Sanatana Resources Inc.	Options	Miles, Peter Leighton	4, 5	2020-09-30	50	0.35	2,900,000	600,000
Sanatana Resources Inc.	Options	Smith, Ian Barrowman	4	2019-01-29	00			
Sanatana Resources Inc.	Options	Smith, Ian Barrowman	4	2020-09-30	56	0.35	450,000	450,000
Sanatana Resources Inc.	Options	WILL, DARCY	4	2020-05-11	36	0.6	100,000	-900,000
Sanatana Resources Inc.	Options	WILL, DARCY	4	2020-09-30	50	0.35	500,000	400,000
Sangoma Technologies Corporation	Common Shares	Laliberte, Yves	4	2021-03-17	51	0.3	98,310	30,472
Sangoma Technologies Corporation	Common Shares	Laliberte, Yves	4	2021-03-17	10	3.5775	88,613	-9,697
Sangoma Technologies Corporation	Options	Laliberte, Yves	4	2021-03-17	51	0.3		-30,472
Sangoma Technologies Corporation	Options	Laliberte, Yves	4	2021-03-17	51	0.3	54,684	-30,472
Saputo Inc.	Common Shares	Bockmann, Kai	5	2020-12-31	30	34.641	49,589	133
Saputo Inc.	Common Shares	Bockmann, Kai	5	2020-12-31	30	24.95	49,741	152
Saputo Inc.	Common Shares	Brockman, Terry	7, 5	2020-12-31	30	24.225	103,810	287
Saputo Inc.	Common Shares	Canuto, Gianfranco	5	2020-12-31	30	33.387	5,735	192
Saputo Inc.	Common Shares	CarriFre, Louis-Philippe	4	2020-12-31	30	31.996		52
Saputo Inc.	Common Shares	CarriFre, Louis-Philippe	4	2020-12-31	30	31.996		52
Saputo Inc.	Common Shares	Colizza, Carl	5	2020-12-31	30	34.572	28,345	152
Saputo Inc.	Common Shares	Edwards, Robert L.	7	2020-12-31	30	24.837	2,688	216
Saputo Inc.	Common Shares	Fata, Anthony M.	4	2020-07-09	30	31.61		10
Saputo Inc.	Common Shares	Fata, Anthony M.	4	2020-07-09	35	31.61	12,010	10
Saputo Inc.	Common Shares	Fata, Anthony M.	4	2020-10-02	35	32.88	12,020	10
Saputo Inc.	Common Shares	Gagnon, Martin	5	2020-07-09	35	31.61	14,064	72
Saputo Inc.	Common Shares	Gagnon, Martin	5	2020-10-02	35	32.88	14,132	68
Saputo Inc.	Common Shares	Gagnon, Martin	5	2020-12-31	30	33.892	14,269	137
Saputo Inc.	Common Shares	Guido, Frank	5	2020-12-31	30	34.511	3,488	137
Saputo Inc.	Common Shares	Poutchigian, Haig	7	2020-12-31	30	33.908	3,717	138
Saputo Inc.	Common Shares	Rivard, Richard	5	2020-12-31	30	33.966	6,676	138
Saputo Inc.	Common Shares	Rivard, Richard	5	2020-12-31	30	32.273	6,686	10
Saputo Inc.	Common Shares	Rothstein, David	7	2020-12-31	30	25.315	5,031	191
Saputo Inc.	Common Shares	Saputo, Lino Anthony	4, 7, 5	2020-11-11	10	34.217		60,000
Saputo Inc.	Common Shares	Saputo, Lino Anthony	4, 7, 5	2020-12-31	30	32.273	94,926	35
Saputo Inc.	Common Shares	Saputo, Lino Anthony	4, 7, 5	2020-11-11	10	34.217	100,000	60,000
Saputo Inc.	Common Shares	Therrien, Maxime	7, 5	2020-10-02	35	32.88	26,084	96
Saputo Inc.	Common Shares	Therrien, Maxime	7, 5	2020-12-31	30	33.166	39,720	252
Saputo Inc.	Common Shares	Therrien, Maxime	7, 5	2020-12-31	30	34.629	39,801	81
Saputo Inc.	Common Shares	Turcotte, Patrick	5	2020-12-31	30	36.65	7,102	156
Saputo Inc.	Common Shares	Wagner, GaOtane	5	2020-07-09	35	31.61	32,889	147
Saputo Inc.	Common Shares	Wagner, GaOtane	5	2020-10-02	35	32.88	33,036	147
Saputo Inc.	Common Shares	Wagner, GaOtane	5	2020-12-31	30	33.704	33,193	157
Saputo Inc.	Common Shares	Wallace, Richard	5	2020-12-31	30	33.564	4,143	125
Satori Resources Inc.	Common Shares	Shippen, Peter James	3, 4	2021-03-15	10	0.1345	2,153,500	20,000

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Scandium International Mining Corp.	Common Shares	Dickinson, Edward	5	2021-03-15	51	0.15	750,708	100,000
Scandium International Mining Corp.	Options	Dickinson, Edward	5	2021-03-15	51		1,800,000	-100,000
Seabridge Gold Inc.	Common Shares	FCMI Parent Co.	3	2021-03-12	10	17.266	4,035,667	7,084
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-08	10	9		20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-08	51	9		20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-08	51	9	29,400	20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-11	10			10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-11	51		19,400	10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-16	10			10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-16	51		19,400	10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-22	10			10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-22	51		19,400	10,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-24	10			15,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-02-24	51		24,400	15,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-10	10			30,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-10	51		39,400	30,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-10	10		9,400	-30,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-12	10			20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-12	51		29,400	20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-12	10		9,400	-20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-15	51	9	29,400	20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-15	10		9,400	-20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-17	51	9	29,400	20,000
Seabridge Gold Inc.	Common Shares	Layman, Jay Scott	5	2021-03-17	10		9,400	-20,000
Seabridge Gold Inc.	Options	Layman, Jay Scott	5	2021-03-10	51	9	780,000	-30,000
Seabridge Gold Inc.	Options	Layman, Jay Scott	5	2021-03-12	51	9	760,000	-20,000
Seabridge Gold Inc.	Options	Layman, Jay Scott	5	2021-03-15	51	9	740,000	-20,000
Seabridge Gold Inc.	Options	Layman, Jay Scott	5	2021-03-17	51	9	720,000	-20,000
Seabridge Gold Inc.	Common Shares	Reynolds, Christopher Justin	5	2021-03-15	51	13.52	154,766	25,000
Seabridge Gold Inc.	Common Shares	Reynolds, Christopher Justin	5	2021-03-15	10	21.9	147,696	-7,070
Seabridge Gold Inc.	Common Shares	Reynolds, Christopher Justin	5	2021-03-15	10	22.2	137,188	-10,508
Seabridge Gold Inc.	Options	Reynolds, Christopher Justin	5	2021-03-15	51	13.52	107,500	-10,000
Seabridge Gold Inc.	Options	Reynolds, Christopher Justin	5	2021-03-15	51	13.52	92,500	-15,000
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-10	10	0.65	918,700	-83,000
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.68	919,200	500
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.64	929,200	10,000
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.67	934,200	5,000
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.67	934,700	500
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.7	935,200	500
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-11	10	0.68	939,700	4,500
Seahawk Gold Corp. (formerly Seahawk Ventures Inc.)	Common Shares	Ekholm, Ian Jack	3	2021-03-19	10	0.62	939,200	-500
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.07	580,125	400,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2014-09-05	00			
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.07	200,000	200,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.07	502,125	300,000
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.1	213,100	200,000
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2014-09-05	00			
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.1	100,000	100,000
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-03-12	15	0.1	164,700	150,000
Search Minerals Inc.	Common Shares	Dreisinger, David Bruce	4	2021-03-12	11	0.07		360,000
Search Minerals Inc.	Common Shares	Dreisinger, David Bruce	4	2021-03-12	16	0.07	2,800,625	360,000
Search Minerals Inc.	Warrants	Dreisinger, David Bruce	4	2021-03-12	16	0.1	357,500	180,000
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	11	3.9	272,520	-1,300,000
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	57		382,487	109,967
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	10	3.9364	327,659	-54,828
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	57		329,237	1,578
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	10	3.9364	328,443	-794
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	57		347,408	18,965

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	57		365,672	18,264
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	57		383,146	17,474
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	10	3.9364	373,684	-9,462
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	10	3.9364	364,572	-9,112
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	10	3.9364	355,854	-8,718
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-03-16	11	3.9	0	-1,200,000
Secure Energy Services Inc.	Rights Performance Unit Awards	Amirault, Rene	3, 4, 5	2021-03-16	57		330,114	-109,697
Secure Energy Services Inc.	Rights Performance Unit Awards	Amirault, Rene	3, 4, 5	2021-03-16	57		328,536	-1,578
Secure Energy Services Inc.	Rights Performance Unit Awards	Amirault, Rene	3, 4, 5	2021-03-16	58 - Expiration of rights		325,135	-3,401
Secure Energy Services Inc.	Units Restricted Share Units	Amirault, Rene	3, 4, 5	2021-03-16	57		88,643	-18,965
Secure Energy Services Inc.	Units Restricted Share Units	Amirault, Rene	3, 4, 5	2021-03-16	57		70,379	-18,264
Secure Energy Services Inc.	Units Restricted Share Units	Amirault, Rene	3, 4, 5	2021-03-16	57		52,905	-17,474
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2021-03-16	57		30,000	2,360
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2021-03-16	57		31,499	1,499
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2021-03-16	10	3.9364	30,315	-1,184
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2021-03-16	10	3.9364	29,561	-754
Secure Energy Services Inc.	Units RSUs	Callihoo, Michael Wayne	5	2021-03-16	57		19,709	-2,360
Secure Energy Services Inc.	Units RSUs	Callihoo, Michael Wayne	5	2021-03-16	57		18,210	-1,499
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	57		266,591	54,983
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	10	3.9364	239,174	-27,417
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	57		239,963	789
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	10	3.9364	239,563	-400
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	57		249,036	9,473
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	10	3.9364	244,306	-4,730
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	57		253,481	9,175
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	10	3.9364	248,900	-4,581
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	57		257,637	8,737
Secure Energy Services Inc.	Common Shares	Engel, David Glenn	5	2021-03-16	10	3.9364	253,274	-4,363
Secure Energy Services Inc.	Units Performance Share Unit	Engel, David Glenn	5	2021-03-16	57		155,180	-54,983
Secure Energy Services Inc.	Units Performance Share Unit	Engel, David Glenn	5	2021-03-16	57		154,391	-789
Secure Energy Services Inc.	Units Performance Share Unit	Engel, David Glenn	5	2021-03-16	58 - Expiration of rights		152,690	-1,701
Secure Energy Services Inc.	Units Restricted Share Units	Engel, David Glenn	5	2021-03-16	57		44,358	-9,473
Secure Energy Services Inc.	Units Restricted Share Units	Engel, David Glenn	5	2021-03-16	57		35,183	-9,175
Secure Energy Services Inc.	Units Restricted Share Units	Engel, David Glenn	5	2021-03-16	57		26,446	-8,737
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	57		495,741	54,983
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	10	3.9364	468,324	-27,417
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	57		469,113	789
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	10	3.9364	468,713	-400
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	57		478,186	9,473
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	10	3.9364	473,456	-4,730
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	57		482,631	9,175
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	10	3.9364	478,050	-4,581
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	57		491,155	13,105
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-16	10	3.9364	484,615	-6,540
Secure Energy Services Inc.	Units Performance Share Unit	Gransch, Allen Peter	5	2021-03-16	57		116,835	-54,983
Secure Energy Services Inc.	Units Performance Share Unit	Gransch, Allen Peter	5	2021-03-16	57		116,046	-789
Secure Energy Services Inc.	Units Performance Share Unit	Gransch, Allen Peter	5	2021-03-16	58 - Expiration of rights		114,345	-1,701
Secure Energy Services Inc.	Units Restricted Share Units	Gransch, Allen Peter	5	2021-03-16	57		84,438	-9,473
Secure Energy Services Inc.	Units Restricted Share Units	Gransch, Allen Peter	5	2021-03-16	57		75,263	-9,175
Secure Energy Services Inc.	Units Restricted Share Units	Gransch, Allen Peter	5	2021-03-16	57		62,158	-13,105
Secure Energy Services Inc.	Common Shares	Higham, Corey Ray	5	2021-03-16	57		212,983	789
Secure Energy Services Inc.	Common Shares	Higham, Corey Ray	5	2021-03-16	10	3.9364	212,583	-400
Secure Energy Services Inc.	Rights PSU	Higham, Corey Ray	5	2021-03-16	57		209,374	-789
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	57		158,574	54,983
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	10	3.9364	131,157	-27,417
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	57		131,292	135
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	10	3.9364	131,218	-74

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Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	57		140,691	9,473
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	10	3.9364	135,961	-4,730
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	57		145,095	9,134
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	10	3.9364	140,534	-4,561
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	57		149,271	8,737
Secure Energy Services Inc.	Common Shares	Magus, Chad William	5	2021-03-16	10	3.9364	144,908	-4,363
Secure Energy Services Inc.	Units Performance Share Units	Magus, Chad William	5	2021-03-16	57		155,180	-54,983
Secure Energy Services Inc.	Units Performance Share Units	Magus, Chad William	5	2021-03-16	57		155,045	-135
Secure Energy Services Inc.	Units Performance Share Units	Magus, Chad William	5	2021-03-16	58 - Expiration of rights		153,344	-1,701
Secure Energy Services Inc.	Units Restricted Share Units	Magus, Chad William	5	2021-03-16	57		44,316	-9,473
Secure Energy Services Inc.	Units Restricted Share Units	Magus, Chad William	5	2021-03-16	57		35,182	-9,134
Secure Energy Services Inc.	Units Restricted Share Units	Magus, Chad William	5	2021-03-16	57		26,445	-8,737
Secure Energy Services Inc.	Common Shares	Mattinson, David William	5	2021-03-16	57		446,730	789
Secure Energy Services Inc.	Common Shares	Mattinson, David William	5	2021-03-16	10	3.9364	446,330	-400
Secure Energy Services Inc.	Subscription Rights Performance Unit Awards	Mattinson, David William	5	2021-03-16	57		162,658	-789
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	57		657,305	54,983
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	10	3.9364	635,027	-22,278
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	57		635,816	789
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	10	3.9364	635,489	-327
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	57		644,987	9,498
Secure Energy Services Inc.	Common Shares	Steinke, Daniel	4	2021-03-16	10	3.9364	641,143	-3,844
Secure Energy Services Inc.	Rights Performance Unit Awards	Steinke, Daniel	4	2021-03-16	57		1,553	-54,983
Secure Energy Services Inc.	Rights Performance Unit Awards	Steinke, Daniel	4	2021-03-16	57		764	-789
Secure Energy Services Inc.	Rights Performance Unit Awards	Steinke, Daniel	4	2021-03-16	58 - Expiration of rights		0	-764
Secure Energy Services Inc.	Units Restricted Share Units	Steinke, Daniel	4	2021-03-16	57		0	-9,448
Seven Generations Energy Ltd.	Common Shares Class A	Aylesworth, William Derek	5	2020-12-31	30	3.62	36,061	21,539
Seven Generations Energy Ltd.	Common Shares Class A	Brunner, Kyle	5	2020-12-31	30	3.63	26,968	15,861
Seven Generations Energy Ltd.	Common Shares Class A	Chrumka, Lynne Patricia	5	2020-12-31	30	3.62	29,207	14,656
Seven Generations Energy Ltd.	Common Shares Class A	Feltin, Christopher Wade	5	2020-12-31	30	3.63	28,849	15,272
Seven Generations Energy Ltd.	Common Shares Class A	Holt, David Barry	5	2020-12-31	30	3.62	34,636	21,281
Seven Generations Energy Ltd.	Common Shares Class A	Johnston, Kevin James	5	2020-12-31	30	6.72	5,745	791
Seven Generations Energy Ltd.	Common Shares Class A	Newmarch, Brian John	5	2020-12-31	30	3.63	32,096	15,271
Seven Generations Energy Ltd.	Common Shares Class A	Nielsen, Karen Ann	5	2020-12-31	30	3.62	26,065	20,374
Seven Generations Energy Ltd.	Common Shares Class A	Proctor, Marty Leigh	4, 5	2020-12-31	30	3.61	60,541	27,351
Seven Generations Energy Ltd.	Common Shares Class A	Ramotowski, Pamela Anne	5	2020-12-31	30	3.63	24,721	15,271
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Pew, Paul Kenneth	4	2008-01-10	00			
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Pew, Paul Kenneth	4	2021-03-16	10	34.224	6,000	6,000
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Pew, Paul Kenneth	4	2008-01-10	00			
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Pew, Paul Kenneth	4	2021-03-16	10	34.231	25,000	25,000
Shawcor Ltd.	Deferred Share Unit	Cillis, Laura Ann	4	2020-12-31	56		38,476	37,866
Shawcor Ltd.	Options	Cistrone, Frank	5	2021-03-12	50		89,138	17,519
Shawcor Ltd.	Options	Dewey, Simon Laurence	5	2021-03-12	50		39,872	11,786
Shawcor Ltd.	Options	Dunn, Ronald Joseph	5	2021-03-12	50		132,154	14,972
Shawcor Ltd.	Deferred Share Unit	Forbes, Kevin John	4	2020-12-31	56		123,954	77,690
Shawcor Ltd.	Deferred Share Unit	Hanley, Michael	4	2020-12-31	56		70,405	47,214
Shawcor Ltd.	Options	Havern, Christopher	5	2021-03-12	50		46,276	13,966
Shawcor Ltd.	Deferred Share Unit	Hibben, Alan Roy	4	2020-06-01	00			
Shawcor Ltd.	Deferred Share Unit	Hibben, Alan Roy	4	2020-12-31	56		29,392	29,392
Shawcor Ltd.	Options	Hutzul, Timothy	5	2021-03-12	50		52,592	11,996
Shawcor Ltd.	Options	Laferriere, Pascal, Bryan	5	2021-02-18	00			
Shawcor Ltd.	Options	Laferriere, Pascal, Bryan	5	2021-03-12	50		6,401	6,401
Shawcor Ltd.	Deferred Share Unit	Mionis, Robert Andrew	4	2020-12-31	56		44,990	38,181
Shawcor Ltd.	Deferred Share Unit	Pierce, Pamela Sue	4	2020-12-31	56		89,559	71,356
Shawcor Ltd.	Options	Reeves, Michael Edward	5	2021-03-03	00			
Shawcor Ltd.	Options	Reeves, Michael Edward	5	2021-03-12	50		133,132	133,132
Shawcor Ltd.	Common Shares	Reizer, Kevin Dominic	5	2021-03-12	57	7.35	12,186	59

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Shawcor Ltd.	Common Shares	Reizer, Kevin Dominic	5	2021-03-12	10	7.35	12,127	-59
Shawcor Ltd.	Employee Share Unit	Reizer, Kevin Dominic	5	2021-03-12	57	7.35	29,937	-59
Shawcor Ltd.	Options	Reizer, Kevin Dominic	5	2021-03-12	50		140,455	24,440
Shawcor Ltd.	Options	Smith, Geoffrey William	5	2021-03-12	50		33,230	11,615
Shawcor Ltd.	Options	Tabak, Joseph	5	2021-03-12	50		76,080	17,140
Shawcor Ltd.	Options	Tano, Gaston Alfonso	5	2021-03-12	50		215,089	65,464
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-03-18	30	1145	534	-516
Shopify Inc.	Options	Lemieux, Jean-Michel	5	2021-03-15	51	62.15	54,998	-500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2021-03-15	51	62.15	9,071	500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2021-03-15	30	1137.2	8,571	-500
Shopify Inc.	Options	Lutke, Tobias Albin	4, 5	2021-03-15	51	180.38	231,650	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-15	51	180.38	3,238	3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-15	30	1124.7	38	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-15	30	1137.6	147,000	-1,750
Shopify Inc.	Options	Shannan, Tobyn David	5	2021-03-15	51	22.44	54,748	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Tobyn David	5	2021-03-15	51	22.44	18,249	1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Tobyn David	5	2021-03-15	30	1137.2	17,249	-1,000
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2021-03-18	51	137.72	51,208	-575
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2021-03-18	51	137.72	21,653	575
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2021-03-18	30	1145	21,078	-575
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.204	312,200	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.202	308,200	-4,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.203	305,200	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.152	303,200	-2,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.244	300,200	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.24	297,200	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-15	10	14.2	294,200	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-16	10	14.224	292,200	-2,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-16	10	14.235	290,000	-2,200
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-16	10	14.245	287,000	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-16	10	14.275	284,000	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-16	10	14.2	282,000	-2,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-17	10	14.27	279,000	-3,000

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Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-17	10	14.309	276,000	-3,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-17	10	14.339	272,000	-4,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-17	10	14.33	268,900	-3,100
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-17	10	14.28	264,900	-4,000
Sierra Wireless, Inc.	Common Shares	Ryan, James Patrick	5	2021-03-11	10	16.573	12,429	10,000
Sierra Wireless, Inc.	Common Shares	Ryan, James Patrick	5	2021-03-11	10	16.573	8,348	-4,081
Sierra Wireless, Inc.	Restricted Share Units	Ryan, James Patrick	5	2021-03-11	58 - Expiration of rights	16.573		-10,000
Sierra Wireless, Inc.	Restricted Share Units	Ryan, James Patrick	5	2021-03-11	57	16.573	112,085	-10,000
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2021-03-18	10	6.82	85,000	-7,500
Silverton Metals Corp.	Common Shares	Roehlig, Axel Gunther Ruediger	4, 5	2020-07-14	37		120,000	-1,080,000
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.05	929,600	6,200
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.06	931,000	1,400
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.12	932,900	1,900
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.15	935,500	2,600
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.17	943,300	7,800
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.18	944,300	1,000
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.2	944,400	100
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.23	944,700	300
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.25	948,600	3,900
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.26	951,000	2,400
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.29	953,100	2,100
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-12	10	6.3	1,035,000	81,900
SIR Royalty Income Fund	Exchangeable Shares Class A GP Units	SIR CORP.	3	2021-01-01	36			153,201
SIR Royalty Income Fund	Exchangeable Shares Class A GP Units	SIR CORP.	3	2021-01-29	36		1,971,552	153,201
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2021-03-11	10	0.165	2,636,500	2,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2021-03-11	10	0.195	2,638,500	2,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2021-03-18	10	0.18	2,640,500	2,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2021-03-19	10	0.18	2,642,000	1,500
Sixth Wave Innovations Inc.	Options	Fransen, David Warren	4	2020-11-26	00			
Sixth Wave Innovations Inc.	Options	Fransen, David Warren	4	2021-03-15	50		250,000	250,000
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2021-03-12	10	0.235	1,609,056	3,500
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2021-03-12	10	0.24	1,615,556	6,500
Sky Gold Corp.	Options	England, Michael Bruno John Franz	4	2021-03-12	50	0.12	675,000	400,000
Sky Gold Corp.	Options	Fitzgerald, Catherine	4	2021-03-12	50	0.12	600,000	200,000
Sky Gold Corp.	Options	Masters, John Parker	4	2021-03-12	50	0.12	325,000	150,000
Sky Gold Corp.	Options	McKinnon, Donald Laughlin	4	2021-03-12	50	0.12	750,000	150,000
Sky Gold Corp.	Options	St-Amour, JC	4	2021-03-18	50		400,000	150,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Elinesky, Andrew	5	2021-03-12	00		200,000	
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	McNamee, Patrick	4	2021-03-16	00		45,900	
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-01-15	30		33,563	235
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-02-18	30		33,881	318
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-03-16	30		34,389	508
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-04-15	30		37,657	453
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-05-15	30		38,009	352
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-06-15	30		38,417	408
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-07-15	30		41,142	437
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-08-17	30		41,508	366

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-09-15	30		41,877	369
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-10-15	30		43,575	357
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-11-16	30		43,924	349
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Flatley, Patrick William	4	2020-12-15	30		44,291	367
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Rouleau, Marc Pierre Martin	4	2020-09-15	30		7	7
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Rouleau, Marc Pierre Martin	4	2020-10-15	30		828	7
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Rouleau, Marc Pierre Martin	4	2020-11-16	30		835	7
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Rouleau, Marc Pierre Martin	4	2020-12-15	30			15
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Rouleau, Marc Pierre Martin	4	2020-12-15	30		848	13
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-01-15	30		16,710	117
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-02-18	30		16,868	158
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-03-16	30		17,154	286
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-04-15	30		21,163	256
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-05-15	30		21,362	199
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-06-15	30		21,608	246
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-07-15	30		24,854	264
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-08-17	30		25,075	221
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-09-15	30		25,306	231
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-10-15	30		27,318	224
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-11-16	30		27,537	219
Slate Grocery REIT (formerly, Slate Retail REIT)	Deferred Units	Stephen, Andrea	4	2020-12-15	30		27,774	237
Slave Lake Zinc Corp.	Common Shares	Braden, Maxwell John	3, 4	2021-03-17	10	0.1488	4,446,000	-100,000
Sleep Country Canada Holdings Inc.	Common Shares	Friesema, David	4	2021-03-18	57	31.318	428,250	3,295
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Friesema, David	4	2021-03-18	57		52,964	-7,098
Sleep Country Canada Holdings Inc.	Common Shares	Howcroft, Dave	5	2021-03-18	57	31.318	11,005	1,647
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Howcroft, Dave	5	2021-03-18	57		26,674	-3,549
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	57	31.318	224,295	2,980
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Schaefer, Stewart	5	2021-03-18	57		44,034	-6,388
Sleep Country Canada Holdings Inc.	Common Shares	Solomon, Eric	5	2021-03-16	51	30.88	31,213	1,634
Sleep Country Canada Holdings Inc.	Common Shares	Solomon, Eric	5	2021-03-16	10	30.88	29,579	-1,634
Sleep Country Canada Holdings Inc.	Common Shares	Solomon, Eric	5	2021-03-18	57	31.318	30,485	906
Sleep Country Canada Holdings Inc.	Common Shares	Solomon, Eric	5	2021-03-18	10	31.318		-906
Sleep Country Canada Holdings Inc.	Common Shares	Solomon, Eric	5	2021-03-18	10	31.318		-906
Sleep Country Canada Holdings Inc.	Options	Solomon, Eric	5	2021-03-16	51	30.88	14,789	-4,629
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Solomon, Eric	5	2021-03-18	57		6,722	-1,952
Sleep Country Canada Holdings Inc.	Common Shares	Will, Sieg	5	2021-03-16	10	30.42	64,106	-3,083
Sleep Country Canada Holdings Inc.	Common Shares	Will, Sieg	5	2021-03-18	57	31.318	65,424	1,318
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Will, Sieg	5	2021-03-18	57		20,399	-2,839
SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.4	10,800	800

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SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.41	10,900	100
SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.41	13,100	2,200
SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.45	13,400	300
SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.43	13,700	300
SNC-Lavalin Group Inc.	Common Shares	Bell, Mary-Ann	4	2021-03-11	10	26.44	13,800	100
SNC-Lavalin Group Inc.	Common Shares	Clark, Christie James Beckett	4	2020-05-07	00			
SNC-Lavalin Group Inc.	Common Shares	Clark, Christie James Beckett	4	2021-03-18	10	29.14	3,600	3,600
SNC-Lavalin Group Inc.	Common Shares	CLARKE, Dale	5	2020-12-31	30	21.73	15,987	376
SNC-Lavalin Group Inc.	Common Shares	Cullens, Alan James	5	2020-12-31	30	21.73	5,509	2,765
SNC-Lavalin Group Inc.	Common Shares	Edwards, Ian L.	4, 5	2020-12-31	30	21.73	14,306	5,952
SNC-Lavalin Group Inc.	Equity Swap-Long Position 11,611 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 11,611 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 193,951 Com Shares/Exp Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 193,951 Com Shares/Exp Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 41,184 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 41,184 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 414,000 Com Shares/Exp:Mar 11,2021	Groupe SNC-Lavalin inc.	1	2021-03-11	70		0	-1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 478,917 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 478,917 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 56,963 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 56,963 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 59,500 Com Shares/Exp:Mar 11, 2021	Groupe SNC-Lavalin inc.	1	2021-03-11	70		0	-1
SNC-Lavalin Group Inc.	Equity Swap-Long Position 92,797 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2003-06-01	00			
SNC-Lavalin Group Inc.	Equity Swap-Long Position 92,797 Shares/Exp: Mar.15 2024	Groupe SNC-Lavalin inc.	1	2021-03-11	70		1	1
SNC-Lavalin Group Inc.	Common Shares	Muir, Craig Hugh	5	2020-12-31	30	21.73	3,282	2,851
SNC-Lavalin Group Inc.	Common Shares	Ryan, Erik J.	5	2020-12-31	30	21.73	11,158	2,910
SNC-Lavalin Group Inc.	Common Shares	Taylor, Alexander S.	5	2020-12-31	30	21.73	15,800	4,102
SNC-Lavalin Group Inc.	Common Shares	Vaillancourt, StOphanie	5	2020-12-31	30	21.73	6,128	2,463
SNC-Lavalin Group Inc.	Common Shares	VØronneau, Louis G.	5	2020-01-27	00			
SNC-Lavalin Group Inc.	Common Shares	VØronneau, Louis G.	5	2020-12-31	30	21.73	2,271	2,271
Solaris Resources Inc.	Options	Thomson, Kevin James	4	2021-03-16	00			
Solaris Resources Inc.	Options	Thomson, Kevin James	4	2021-03-16	50	7.24	300,000	300,000
Solution Financial Inc.	Convertible Debentures	Hodgins, Sean	4, 5	2018-06-22	00			
Solution Financial Inc.	Convertible Debentures	Hodgins, Sean	4, 5	2021-03-08	16		\$100,000	\$100,000
Solvbl Solutions Inc. (formerly Stowe One Investments Corp.)	Options	Rootenberg, Alan	4	2021-02-23	50	0.1	500,000	500,000
Solvbl Solutions Inc. (formerly Stowe One Investments Corp.)	Options	Rootenberg, Alan	4	2021-03-01	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Archibald, Donald	4	2021-03-11	50		61,500	11,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Archibald, Donald	4	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Archibald, Donald	4	2021-03-11	56		13,800	13,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Berg, Randy Murray	5	2021-03-11	50		225,400	73,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Berg, Randy Murray	5	2020-06-01	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Berg, Randy Murray	5	2021-03-11	56		88,500	88,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Greenall, Geraldine Louise	5	2021-03-11	50		244,900	75,100
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Greenall, Geraldine Louise	5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Greenall, Geraldine Louise	5	2021-03-11	56		90,100	90,100
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Greenslade, Reginald James	4	2021-03-11	50		61,500	11,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Greenslade, Reginald James	4	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Greenslade, Reginald James	4	2021-03-11	56		13,800	13,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Hodgson, Mark Alan	5	2021-03-11	50		218,600	67,000
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Hodgson, Mark Alan	5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Hodgson, Mark Alan	5	2021-03-11	56		80,400	80,400
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	Hohm, Ashley Dawn	5	2021-03-11	00		306,906	
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Hohm, Ashley Dawn	5	2021-03-11	00		97,000	
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Hohm, Ashley Dawn	5	2021-03-11	50		156,000	59,000
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Hohm, Ashley Dawn	5	2021-03-11	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Hohm, Ashley Dawn	5	2021-03-11	56		70,800	70,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Warrants	Hohm, Ashley Dawn	5	2021-03-11	00		300,000	
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	KALANTZIS, FOTIS	4, 5	2021-03-11	50		712,900	227,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	KALANTZIS, FOTIS	4, 5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	KALANTZIS, FOTIS	4, 5	2021-03-11	56		273,400	273,400
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	MacDonald, Tamara	4	2021-03-11	50		61,500	11,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	MacDonald, Tamara	4	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	MacDonald, Tamara	4	2021-03-11	56		13,800	13,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Martin, Craig Christopher	5	2021-03-11	50		218,600	67,000
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Martin, Craig Christopher	5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Martin, Craig Christopher	5	2021-03-11	56		80,400	80,400
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	McHardy, Richard Francis	4, 5	2021-03-11	50		625,500	201,100
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	McHardy, Richard Francis	4, 5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	McHardy, Richard Francis	4, 5	2021-03-11	56		241,300	241,300
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Natras, Thanos Athanassios	5	2021-03-11	50		225,400	73,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Natras, Thanos Athanassios	5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Natras, Thanos Athanassios	5	2021-03-11	56		88,500	88,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Overstrom, Kevin	4	2021-03-11	50		61,500	11,500
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Overstrom, Kevin	4	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Overstrom, Kevin	4	2021-03-11	56		13,800	13,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Paton, Brendan Archibald	5	2019-12-19	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	Paton, Brendan Archibald	5	2021-03-11	00		364,151	
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Paton, Brendan Archibald	5	2021-03-11	00		97,000	
Spartan Delta Corp. (formerly Return Energy Inc.)	Options	Paton, Brendan Archibald	5	2021-03-11	50		156,000	59,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Paton, Brendan Archibald	5	2021-03-11	00			
Spartan Delta Corp. (formerly Return Energy Inc.)	Rights Restricted Stock Units	Paton, Brendan Archibald	5	2021-03-11	56		70,800	70,800
Spartan Delta Corp. (formerly Return Energy Inc.)	Warrants	Paton, Brendan Archibald	5	2021-03-11	00		375,000	
SPC Nickel Corp.	Common Shares	McLean, Scott	4	2021-03-17	35		409,650	59,650
SPC Nickel Corp.	Common Shares	McLean, Scott	4	2021-02-24	00			
SPC Nickel Corp.	Common Shares	McLean, Scott	4	2021-03-17	35		31,269	31,269
SPC Nickel Corp.	Common Shares	McLean, Scott	4	2021-03-17	35		306,652	209,985
SPC Nickel Corp.	Common Shares	Montgomery, Brian Lyle	4	2021-03-17	35		98,464	12,947
SPC Nickel Corp.	Common Shares	Mourre, Grant Albert	4, 5	2021-03-19	10	0.35	134,917	11,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-17	10	0.5275	12,093,847	-56,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-19	10	0.531	12,073,847	-20,000
Spearmint Resources Inc.	Common Shares	CAI, YANGPING	5	2021-03-15	10	0.17	1,762,000	-8,000
Spearmint Resources Inc.	Common Shares	CAI, YANGPING	5	2021-03-16	10	0.17	1,670,000	-92,000
Spearmint Resources Inc.	Common Shares	Kay, Seth	5	2021-03-15	10	0.17	1,543,000	-50,000
Spearmint Resources Inc.	Common Shares	Kay, Seth	5	2021-03-16	10	0.17	1,493,000	-50,000
Spearmint Resources Inc.	Common Shares	Nelson, James	4	2021-03-15	10	0.17	1,525,000	-50,000
Spearmint Resources Inc.	Common Shares	Nelson, James	4	2021-03-16	10	0.17	1,524,500	-500
Spearmint Resources Inc.	Common Shares	Nelson, James	4	2021-03-19	10	0.17	1,519,500	-5,000
Sphinx Resources Ltd.	Options	Bourgoin, Martin	4	2021-03-15	00			
Sphinx Resources Ltd.	Options	Bourgoin, Martin	4	2021-03-15	50	0.1	175,000	175,000
Spin Master Corp.	Subordinate Voting Shares	Segal, Mark	5	2021-03-11	47	39.83	197,926	-2,500
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Glaser, Steven	4	2019-05-31	00			
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Glaser, Steven	4	2021-03-16	46	0.03	283,333	283,333
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Pelchovitz, Daniel	4, 5	2021-03-16	46	0.03	3,321,641	983,333
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Pelchovitz, Mark	4, 5	2021-03-16	46	0.03	11,781,755	6,666,666
St-Georges Eco-Mining Corp.	Common Shares	Di Cesare, Enrico	4	2021-03-08	51	0.2	3,100,000	150,000
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2009-12-30	00			
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2020-01-16	11	0.1	250,000	250,000
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2021-03-12	10	0.64	215,000	-35,000
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2021-03-15	54	0.185	465,000	250,000
St-Georges Eco-Mining Corp.	Common Shares	Dumas, Francois	4, 5	2021-03-15	10	0.64	430,000	-35,000
St-Georges Eco-Mining Corp.	Warrants	Dumas, Francois	4, 5	2009-12-30	00			
St-Georges Eco-Mining Corp.	Warrants	Dumas, Francois	4, 5	2020-01-16	11		250,000	250,000
St-Georges Eco-Mining Corp.	Warrants	Dumas, Francois	4, 5	2021-03-15	10		0	-250,000
Stantec Inc.	Common Shares	DiManno, Valentino	7, 5	2021-03-17	51	31.75	37,201	10,000
Stantec Inc.	Common Shares	DiManno, Valentino	7, 5	2021-03-17	10	54.007	27,201	-10,000
Stantec Inc.	Options	DiManno, Valentino	7, 5	2021-03-17	51	31.75	26,958	-10,000
Stantec Inc.	Common Shares	Gomes, Robert	4	2021-03-17	51	32.83	175,752	20,000
Stantec Inc.	Common Shares	Gomes, Robert	4	2021-03-17	10	54	155,752	-20,000
Stantec Inc.	Options	Gomes, Robert	4	2021-03-17	51	32.83	164,344	-20,000
Stantec Inc.	Common Shares	Samji, Asifa	7	2021-03-17	51	32.98	1,544	1,337
Stantec Inc.	Common Shares	Samji, Asifa	7	2021-03-17	10	53.91	525	-1,019
Stantec Inc.	Options	Samji, Asifa	7	2021-03-17	51	32.98	1,339	-1,337
Stantec Inc.	Common Shares	Take, John David	7	2021-03-15	51	32.83	14,760	2,214
Stantec Inc.	Common Shares	Take, John David	7	2021-03-15	10	52.203	12,973	-1,787
Stantec Inc.	Options	Take, John David	7	2021-03-15	51	32.83	18,696	-2,214
Stelco Holdings Inc.	Common Shares	Montiel, Adolfo	5	2021-03-16	10	26.64	300	100
Stella-Jones Inc.	Performance Share Units (PSUs)	Bourgault, Lyne	7	2007-03-10	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Bourgault, Lyne	7	2021-03-13	56	49.39	354	354
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Bourgault, Lyne	7	2021-03-13	56	49.39	1,408	709
Stella-Jones Inc.	Common Shares	Brandt, Jeff	7	2019-06-03	00			
Stella-Jones Inc.	Common Shares	Brandt, Jeff	7	2020-09-15	30	46.16	51	51
Stella-Jones Inc.	Common Shares	Brandt, Jeff	7	2020-12-15	30	44.97	112	61
Stella-Jones Inc.	Performance Share Units (PSUs)	Brandt, Jeff	7	2019-06-03	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Brandt, Jeff	7	2021-03-13	56	49.39	594	594
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Brandt, Jeff	7	2019-06-03	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Brandt, Jeff	7	2021-03-13	56	49.39	1,189	1,189
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-03-15	30	30.97	3,713	111
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-04-24	30	33.1	3,726	13
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-06-15	30	34.496	3,844	118
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-06-26	30	34	3,856	12
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-09-15	30	46.16	3,928	72
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-09-18	30	44.89	3,938	10
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-12-15	30	44.97	4,024	86
Stella-Jones Inc.	Common Shares	Caric, George	7	2020-12-17	30	46.47	4,034	10
Stella-Jones Inc.	Performance Share Units (PSUs)	Caric, George	7	2011-10-20	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Caric, George	7	2021-03-13	56	49.39	742	742
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Caric, George	7	2021-03-13	56	49.39	8,008	1,484
Stella-Jones Inc.	Common Shares	Comerford, Kevin Patrick	7	2020-04-24	30	33.1	1,391	1
Stella-Jones Inc.	Common Shares	Comerford, Kevin Patrick	7	2020-06-26	30	34	1,392	1
Stella-Jones Inc.	Common Shares	Comerford, Kevin Patrick	7	2020-09-18	30	44.89	1,393	1
Stella-Jones Inc.	Common Shares	Comerford, Kevin Patrick	7	2020-12-17	30	46.47	1,394	1
Stella-Jones Inc.	Performance Share Units (PSUs)	Comerford, Kevin Patrick	7	2013-05-30	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39		1,655
Stella-Jones Inc.	Performance Share Units (PSUs)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39		1,655
Stella-Jones Inc.	Performance Share Units (PSUs)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39	827	827
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39		1,655
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39		1,655
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Comerford, Kevin Patrick	7	2021-03-13	56	49.39	15,293	1,655
Stella-Jones Inc.	Performance Share Units (PSUs)	Couture, Sylvain	5	2020-01-20	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Couture, Sylvain	5	2021-03-13	56	49.39	531	531
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Couture, Sylvain	5	2021-03-13	56	49.39	1,653	1,063
Stella-Jones Inc.	Performance Share Units (PSUs)	Dallas, Jason	5	2020-12-01	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Dallas, Jason	5	2021-03-13	56	49.39	456	456
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Dallas, Jason	5	2020-12-01	00			
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Dallas, Jason	5	2021-03-13	56	49.39	911	911
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-03-15	30	30.97	2,600	111
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-04-24	30	33.1	2,609	9
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-06-15	30	34.496	2,727	118
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-06-26	30	34	2,735	8
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-09-15	30	46.16	2,807	72
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-09-18	30	44.89	2,814	7
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-12-15	30	44.97	2,899	85
Stella-Jones Inc.	Common Shares	Downy, William Garfield Jr.	7	2020-12-17	30	46.47	2,908	9
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-03-15	30	27.87	5,310	121
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-04-24	30	33.1	5,334	24
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-06-15	30	31.05	5,460	126
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-06-26	30	34	5,484	24
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-09-15	30	41.54	5,573	89
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-09-18	30	44.89	5,591	18
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-12-15	56	40.48	5,699	108
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-12-17	30	46.47	5,717	18
Stella-Jones Inc.	Performance Share Units (PSUs)	Eichenbaum, Marla	5	2003-06-15	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Eichenbaum, Marla	5	2021-03-13	56	49.39	911	911
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Eichenbaum, Marla	5	2021-03-13	56	49.39	13,095	1,822
Stella-Jones Inc.	Performance Share Units (PSUs)	Goeller, Michael	5	2020-10-09	00			

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Stella-Jones Inc.	Performance Share Units (PSUs)	Goeller, Michael	5	2021-03-13	56	49.39	456	456
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Goeller, Michael	5	2021-03-13	56	49.39		911
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Goeller, Michael	5	2021-03-13	56	49.39		911
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Goeller, Michael	5	2021-03-13	56	49.39	2,302	911
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-03-15	30	30.97	1,360	100
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-04-24	30	33.1	1,365	5
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-06-15	30	34.496	1,471	106
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-06-26	30	34	1,476	5
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-09-15	30	46.16	1,541	65
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-09-18	30	44.89	1,545	4
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-12-15	30	44.97	1,622	77
Stella-Jones Inc.	Common Shares	James, Kenner	7	2020-12-17	30	46.47	1,626	4
Stella-Jones Inc.	Performance Share Units (PSUs)	James, Kenner	7	2011-10-20	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	James, Kenner	7	2021-03-13	56	49.39	826	826
Stella-Jones Inc.	Restricted Stock Units (RSU's)	James, Kenner	7	2021-03-13	56	49.39	13,176	1,652
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-03-15	30	27.87	1,979	155
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-04-24	30	33.1	1,988	9
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-06-15	30	31.05	2,150	162
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-06-26	30	34	2,159	9
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-09-15	30	41.54	2,263	104
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-09-18	30	44.89	2,270	7
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-12-15	30	40.48	2,394	124
Stella-Jones Inc.	Common Shares	Jones, Ian	7	2020-12-17	30	46.47	2,403	9
Stella-Jones Inc.	Performance Share Units (PSUs)	Jones, Ian	7	2006-07-01	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Jones, Ian	7	2021-03-13	56	49.39	3,038	3,038
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Jones, Ian	7	2021-03-13	56	49.39	32,468	6,075
Stella-Jones Inc.	Performance Share Units (PSUs)	Kirkham, Patrick	7	2016-03-21	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Kirkham, Patrick	7	2021-03-13	56	49.39	617	617
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Kirkham, Patrick	7	2021-03-13	56	49.39	11,973	1,233
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-03-15	30	30.97		11
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-03-15	30	30.97		11
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-03-15	30	30.97	237	11
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-04-24	30	33.1		1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-04-24	30	33.1		1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-04-24	30	33.1	238	1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-06-15	30	34.496	250	12
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-06-26	30	34	251	1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-09-15	30	46.16	258	7
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-09-18	30	44.89	259	1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-12-15	30	44.97	268	9
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2020-12-17	30	46.47	269	1
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2021-03-11	30	30.97		11
Stella-Jones Inc.	Common Shares	Marcell, Driessen	7	2021-03-11	30	30.97		11
Stella-Jones Inc.	Performance Share Units (PSUs)	Marcell, Driessen	7	2019-03-18	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Marcell, Driessen	7	2021-03-13	56	49.39	579	579
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Marcell, Driessen	7	2021-03-13	56	49.39	8,283	1,157
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-03-15	30	30.97	222	14
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-04-24	30	33.1	223	1
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-06-15	30	34.496	238	15
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-06-26	30	34	239	1
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-09-15	30	46.16	248	9
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-09-18	30	44.89	249	1
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-12-15	30	44.97	260	11
Stella-Jones Inc.	Common Shares	Morgan, Andy	7	2020-12-17	30	46.47	261	1

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Stella-Jones Inc.	Performance Share Units (PSUs)	Morgan, Andy	7	2019-03-18	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Morgan, Andy	7	2021-03-13	56	49.39		577
Stella-Jones Inc.	Performance Share Units (PSUs)	Morgan, Andy	7	2021-03-13	56	49.39		577
Stella-Jones Inc.	Performance Share Units (PSUs)	Morgan, Andy	7	2021-03-13	56	49.39	577	577
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Morgan, Andy	7	2021-03-13	56	49.39		1,154
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Morgan, Andy	7	2021-03-13	56	49.39		1,154
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Morgan, Andy	7	2021-03-13	56	49.39	9,528	1,154
Stella-Jones Inc.	Performance Share Units (PSUs)	Murray, Gordon	5	1997-11-01	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Murray, Gordon	5	2021-03-13	56	49.39	628	628
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Murray, Gordon	5	2021-03-13	56	49.39	8,219	1,256
Stella-Jones Inc.	Performance Share Units (PSUs)	Pittman, George Glynn	5	2020-10-09	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Pittman, George Glynn	5	2021-03-13	56	49.39	547	547
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Pittman, George Glynn	5	2021-03-13	56	49.39	1,995	1,093
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-03-15	30	30.97	3,826	101
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-04-24	30	33.1	3,839	13
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-06-15	30	34.496	3,946	107
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-06-26	30	34	3,959	13
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-09-15	30	46.16	4,024	65
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-09-18	30	44.89	4,034	10
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-12-15	30	44.97	4,112	78
Stella-Jones Inc.	Common Shares	Raines, James	7	2020-12-17	30	46.47	4,122	10
Stella-Jones Inc.	Performance Share Units (PSUs)	Raines, James	7	2016-03-21	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Raines, James	7	2021-03-13	56	49.39	607	607
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Raines, James	7	2021-03-13	56	49.39	11,595	1,215
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-03-15	30	30.97	829	20
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-04-24	30	33.1	832	3
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-06-15	30	34.496	853	21
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-06-26	30	34	856	3
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-09-15	30	46.16	869	13
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-09-18	30	44.89	871	2
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-12-15	30	44.97	886	15
Stella-Jones Inc.	Common Shares	Stark, Patrick	7	2020-12-17	30	46.47	888	2
Stella-Jones Inc.	Performance Share Units (PSUs)	Stark, Patrick	7	2019-03-18	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Stark, Patrick	7	2021-03-13	56	49.39	514	514
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Stark, Patrick	7	2021-03-13	56	49.39	7,020	1,027
Stella-Jones Inc.	Performance Share Units (PSUs)	Sylvester, Mike	7	2011-10-20	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Sylvester, Mike	7	2021-03-13	56	49.39	2,297	2,297
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Sylvester, Mike	7	2021-03-13	56	49.39	31,542	4,593
Stella-Jones Inc.	Performance Share Units (PSUs)	Travaglini, Silvana	5	2020-01-13	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Travaglini, Silvana	5	2021-03-13	56	49.39	2,592	2,592
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Travaglini, Silvana	5	2020-01-13	00			
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Travaglini, Silvana	5	2021-03-13	56	49.39	5,183	5,183
Stella-Jones Inc.	Performance Share Units (PSUs)	Vachon, Eric	7	2007-03-10	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Vachon, Eric	7	2021-03-13	56	49.39	6,074	6,074
Stella-Jones Inc.	Performance Share Units (PSUs)	Vachon, Eric	7	2021-03-13	56	49.39		2,592

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Stella-Jones Inc.	Performance Share Units (PSUs)	Vachon, Eric	7	2021-03-13	56	49.39		2,592
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-13	56	49.39	26,222	12,148
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-13	56	49.39		5,183
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-13	56	49.39		5,183
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-03-15	30	30.97	974	33
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-04-24	30	33.1	977	3
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-06-15	30	34.496	1,012	35
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-06-26	30	34	1,015	3
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-09-15	30	46.16	1,017	2
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-09-18	30	44.89	1,020	3
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-12-15	30	44.97	1,022	2
Stella-Jones Inc.	Common Shares	Whitted, David	7	2020-12-17	30	46.47	1,025	3
Stella-Jones Inc.	Performance Share Units (PSUs)	Whitted, David	7	2016-03-21	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Whitted, David	7	2021-03-13	56	49.39	571	571
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Whitted, David	7	2021-03-13	56	49.39	11,476	1,142
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-03-15	30	30.97	1,908	29
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-04-24	30	33.1	1,914	6
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-06-15	30	34.496	1,945	31
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-06-26	30	34	1,951	6
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-09-15	30	46.16	1,970	19
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-09-18	30	44.89	1,975	5
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-12-15	30	44.97	1,997	22
Stella-Jones Inc.	Common Shares	Younce, Jon	7	2020-12-17	30	46.47	2,003	6
Stella-Jones Inc.	Performance Share Units (PSUs)	Younce, Jon	7	2013-07-03	00			
Stella-Jones Inc.	Performance Share Units (PSUs)	Younce, Jon	7	2021-03-13	56	49.39	668	668
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Younce, Jon	7	2021-03-13	56	49.39	12,474	1,336
Stingray Group Inc.	Deferred Share Units (DSU)	Boyko, Eric	3, 4, 5	2021-03-15	56	7.1291	249,696	1,426
StorageVault Canada Inc.	Common Shares	Access Self Storage Inc.	3	2021-03-15	16	3.929	125,550,831	432,683
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-01-15	30	11.88	27,053	289
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-02-15	30	13.53	27,308	255
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-03-15	30	12.04	27,596	288
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-04-15	30	9.97	27,945	349
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-05-15	30	9.74	28,304	359
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-06-15	30	11.34	28,614	310
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-07-15	30	11.25	28,927	313
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-08-15	30	12.14	29,219	292
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-09-15	30	12.1	29,513	294
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-10-15	30	12.97	29,795	282
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-11-15	30	13.66	30,057	262
Summit Industrial Income REIT	Trust Units	Drake, Ross	5	2020-12-15	30	13.08	30,332	275
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-01-15	30	11.88	13,601	214
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-02-15	30	13.53	13,789	188
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-03-15	30	12.04	14,003	214
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-04-15	30	9.97	14,261	258
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-05-15	30	9.74	14,526	265
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-06-15	30	11.34	14,755	229
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-07-15	30	11.25	14,987	232
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-08-15	30	12.14	15,202	215
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-09-15	30	12.1	15,419	217
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-10-15	30	12.97	15,627	208
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-11-15	30	13.66	15,821	194
Summit Industrial Income REIT	Trust Units	Hill, Kimberley	5	2020-12-15	30	13.08	16,024	203
Summit Industrial Income REIT	Trust Units	Morassutti, Lawrence	4	2021-03-15	30	13.49	124,470	413
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-01-15	30	11.88	13,136	598
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-02-15	30	13.53	13,663	527
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-03-15	30	12.04	14,258	595
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-04-15	30	9.97	16,979	721
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-05-15	30	9.74	17,721	742

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Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-06-15	30	11.34	18,361	640
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-07-15	30	11.25	19,009	648
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-08-15	30	12.14	19,612	603
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-09-15	30	12.1	20,219	607
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-10-15	30	12.97	18,801	582
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-11-15	30	13.66	19,343	542
Summit Industrial Income REIT	Trust Units	Robbins, Jonathan J.	5	2020-12-15	30	13.08	19,911	568
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-01-15	30	11.88	188,533	625
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-02-15	30	13.53	189,084	551
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-03-15	30	12.04	189,705	621
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-04-15	30	9.97	190,458	753
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-05-15	30	9.74	191,233	775
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-06-15	30	11.34	191,902	669
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-07-15	30	11.25	192,579	677
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-08-15	30	12.14	193,209	630
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-09-15	30	12.1	193,843	634
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-10-15	30	12.97	194,451	608
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-11-15	30	13.66	195,017	566
Summit Industrial Income REIT	Trust Units	Shulman, Saul	4	2020-12-15	30	13.08	205,646	629
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-01-15	30	11.88	91,625	228
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-02-15	30	13.53	91,826	201
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-03-15	30	12.04	92,053	227
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-04-15	30	9.97	92,328	275
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-05-15	30	9.74	92,611	283
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-06-15	30	11.34	92,855	244
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-07-15	30	11.25	93,102	247
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-08-15	30	12.14	93,332	230
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-09-15	30	12.1	93,564	232
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-10-15	30	12.97	93,786	222
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-11-15	30	13.66	93,993	207
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2020-12-15	30	13.08	94,210	217
Summit Industrial Income REIT	Trust Units	Tadeson, Thomas James	4	2021-03-15	30	12.04		227
Sundial Growers Inc.	Deferred Share Units	Cannon, Margaret Elizabeth	4	2021-02-16	56	2.08	786,309	250,000
Sundial Growers Inc.	Deferred Share Units	Mills, James Gregory	4	2021-02-16	56	2.08	1,978,486	500,000
Sundial Growers Inc.	Deferred Share Units	Pinney, Bryan Daniel	4	2021-02-16	56	2.08	997,154	250,000
SunOpta Inc.	Common Shares	Ennen, Joseph	4	2021-03-11	57		1,105,977	151,190
SunOpta Inc.	Performance Share Units	Ennen, Joseph	4	2021-03-11	57		915,164	-297,619
SunOpta Inc.	Common Shares	Huckins, Scott	5	2021-03-11	57		358,441	29,348
SunOpta Inc.	Performance Share Units	Huckins, Scott	5	2021-03-11	57		266,368	-57,773
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-18	10	14.251	25,590,000	125,000
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-19	10	14.251	25,720,000	130,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-12	38	10.419	728,400	1,200
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-15	38	10.552	730,600	2,200
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-16	38	10.573	732,100	1,500
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-17	38	10.57	733,100	1,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-18	38	10.494	734,700	1,600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-12	38	9.3418	458,700	3,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-15	38	9.3292	461,100	2,400
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-16	38	9.25	461,600	500
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-17	38	9.1212	464,900	3,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-18	38	9.3	465,200	300
Synex International Inc.	Common Shares	sunell, gregory jack	3	2021-03-18	10	0.31	5,370,389	-3,000
TAG Oil Ltd	Common Shares	MacNeil, Barry	5	2021-03-15	10	0.3	991,600	58,000
Taiga Gold Corp.	Common Shares	Campbell, Jesse	4, 5	2021-03-12	54	0.12	327,500	16,500
Taiga Gold Corp.	Warrants	Campbell, Jesse	4, 5	2021-03-12	54	0.12	117,500	-16,500
Talon Metals Corp.	Options	Kicis, Michael David	5	2021-03-19	50		2,500,000	607,736
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2021-03-15	10	0.708		-11,589
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2021-03-15	10	0.708	3,414,456	-15,789

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Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2021-03-15	10	0.7023		-6,000
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2021-03-15	10	0.7023		-6,000
Tarachi Gold Corp. (formerly Kal Minerals Corp.)	Common Shares	Mcclay, Cole Anthony	4	2021-03-18	00		270,000	
TC Energy Corporation	Common Shares	Alexander, Duane G.	7	2020-12-31	30	59.65	207	180
TC Energy Corporation	Common Shares	Alexander, Duane G.	7	2020-12-31	30	57.07	211	4
TC Energy Corporation	Executive Share Units	Alexander, Duane G.	7	2020-12-31	30		7,607	376
TC Energy Corporation	Executive Share Units	Alexander, Duane G.	7	2021-03-12	59		5,348	-2,259
TC Energy Corporation	Executive Share Units	Avery, Joseph	7	2020-03-02	56		5,735	1,239
TC Energy Corporation	Executive Share Units	Avery, Joseph	7	2020-12-31	30		4,803	236
TC Energy Corporation	Executive Share Units	Avery, Joseph	7	2021-03-12	59		3,207	-1,596
TC Energy Corporation	Common Shares	Bennett, Terry J.	7	2020-12-31	30	61.5	7,074	219
TC Energy Corporation	Common Shares	Bennett, Terry J.	7	2020-12-31	30	61.85	7,437	363
TC Energy Corporation	Executive Share Units	Bennett, Terry J.	7	2020-03-02	56		12,114	2,498
TC Energy Corporation	Executive Share Units	Bennett, Terry J.	7	2020-12-31	30		9,314	457
TC Energy Corporation	Executive Share Units	Bennett, Terry J.	7	2021-03-12	59		6,265	-3,049
TC Energy Corporation	Common Shares	Bertovic, Jasmin	7	2020-12-31	30	61.91	27	2
TC Energy Corporation	Executive Share Units	Bertovic, Jasmin	7	2020-03-02	56		12,046	2,243
TC Energy Corporation	Executive Share Units	Bertovic, Jasmin	7	2020-12-31	30		9,194	448
TC Energy Corporation	Executive Share Units	Bertovic, Jasmin	7	2021-03-12	59		6,034	-3,160
TC Energy Corporation	Common Shares	Brown, Nathaniel A.	7	2018-02-21	00			
TC Energy Corporation	Common Shares	Brown, Nathaniel A.	7	2021-03-15	10	47.07	956	956
TC Energy Corporation	Executive Share Units	Brown, Nathaniel A.	7	2020-03-02	56		7,122	1,784
TC Energy Corporation	Executive Share Units	Brown, Nathaniel A.	7	2020-12-31	30		5,521	275
TC Energy Corporation	Executive Share Units	Brown, Nathaniel A.	7	2021-03-12	59		4,071	-1,450
TC Energy Corporation	Common Shares	Carlsen, Hejdi A.	7	2020-12-31	30	61.42	734	427
TC Energy Corporation	Common Shares	Carlsen, Hejdi A.	7	2020-12-31	30	60.22	759	25
TC Energy Corporation	Executive Share Units	Carlsen, Hejdi A.	7	2020-03-02	56		3,529	1,768
TC Energy Corporation	Executive Share Units	Carlsen, Hejdi A.	7	2020-12-31	30		3,729	200
TC Energy Corporation	Common Shares	Chapman III, Stanley G.	5	2021-03-16	10	47.006	39,821	6,379
TC Energy Corporation	Executive Share Units	Chapman III, Stanley G.	5	2020-03-02	56		61,172	17,771
TC Energy Corporation	Executive Share Units	Chapman III, Stanley G.	5	2020-12-31	30		55,980	2,794
TC Energy Corporation	Executive Share Units	Chapman III, Stanley G.	5	2021-03-12	59		41,398	-14,582
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2021-03-16	10	58.6	3,416	100
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2021-03-17	10	58.2	3,716	300
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2021-03-18	10	57.9	3,916	200
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2021-03-18	10	57	4,091	175
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2020-12-31	30	61.51	442	260
TC Energy Corporation	Common Shares	DAVIS, MARY CATHARINE	7	2020-12-31	30	60.2	457	15
TC Energy Corporation	Executive Share Units	DAVIS, MARY CATHARINE	7	2020-03-02	56		15,755	3,110
TC Energy Corporation	Executive Share Units	DAVIS, MARY CATHARINE	7	2020-12-31	30		12,290	600
TC Energy Corporation	Executive Share Units	DAVIS, MARY CATHARINE	7	2021-03-12	59		8,081	-4,209
TC Energy Corporation	Executive Share Units	de Lima, Dawn Elizabeth	5	2020-12-31	30		8,136	117
TC Energy Corporation	Common Shares	Ebl, Trevor	7	2020-10-01	00			
TC Energy Corporation	Common Shares	Ebl, Trevor	7	2020-12-31	30	56.8	5	5
TC Energy Corporation	Executive Share Units	Ebl, Trevor	7	2020-12-31	30		2,252	65
TC Energy Corporation	Common Shares	Eckert, James	7	2020-12-31	30	43.898	2,710	64
TC Energy Corporation	Executive Share Units	Eckert, James	7	2020-03-02	56		12,403	2,867
TC Energy Corporation	Executive Share Units	Eckert, James	7	2020-12-31	30		10,595	521
TC Energy Corporation	Executive Share Units	Eckert, James	7	2021-03-12	59		7,290	-3,305
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	60.211		45
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	60.211	654	45
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	61.36		190
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	61.36	1,441	191
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	61.64	1,510	69
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	68.71	1,062	6
TC Energy Corporation	Common Shares	Engel, Kevin B.	7	2020-12-31	30	61.9	1,118	56
TC Energy Corporation	Executive Share Units	Engel, Kevin B.	7	2020-03-02	56		6,329	1,871
TC Energy Corporation	Executive Share Units	Engel, Kevin B.	7	2020-12-31	30		5,470	269
TC Energy Corporation	Executive Share Units	Engel, Kevin B.	7	2021-03-12	59		3,750	-1,720
TC Energy Corporation	Executive Share Units	Faraca, Tina	7	2020-12-31	30		12,772	683
TC Energy Corporation	Common Shares	Fedorchuk, Darcy Orest	7	2020-05-01	00			
TC Energy Corporation	Common Shares	Fedorchuk, Darcy Orest	7	2020-12-31	30	58.67	138	138
TC Energy Corporation	Common Shares	Fedorchuk, Darcy Orest	7	2020-12-31	30	54.51	140	2
TC Energy Corporation	Executive Share Units	Fedorchuk, Darcy Orest	7	2020-12-31	30		3,955	164
TC Energy Corporation	Common Shares	Foster, Christopher T.	7	2020-12-31	30	61.45	778	217

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TC Energy Corporation	Common Shares	Foster, Christopher T.	7	2020-12-31	30	61.28	812	34
TC Energy Corporation	Common Shares	Foster, Christopher T.	7	2021-03-17	30	60.39	159	10
TC Energy Corporation	Common Shares	Foster, Christopher T.	7	2021-03-17	10	58.32	0	-159
TC Energy Corporation	Executive Share Units	Foster, Christopher T.	7	2020-03-02	56		10,137	2,493
TC Energy Corporation	Executive Share Units	Foster, Christopher T.	7	2020-12-31	30		8,830	427
TC Energy Corporation	Executive Share Units	Foster, Christopher T.	7	2021-03-12	59		5,511	-3,319
TC Energy Corporation	Common Shares	Gateman, Richard N.	5	2020-12-31	30	61.956		565
TC Energy Corporation	Common Shares	Gateman, Richard N.	5	2020-12-31	30	61.956	2,751	565
TC Energy Corporation	Common Shares	Gateman, Richard N.	5	2020-12-31	30	61.57	6,239	181
TC Energy Corporation	Common Shares	Gateman, Richard N.	5	2020-12-31	30	61.86	6,560	321
TC Energy Corporation	Executive Share Units	Gateman, Richard N.	5	2020-03-02	56		14,513	2,867
TC Energy Corporation	Executive Share Units	Gateman, Richard N.	5	2020-12-31	30		11,127	541
TC Energy Corporation	Executive Share Units	Gateman, Richard N.	5	2021-03-12	59		7,189	-3,938
TC Energy Corporation	Common Shares	Gibbon, Joshua	7	2020-12-31	30	43.219	3,521	121
TC Energy Corporation	Executive Share Units	Gibbon, Joshua	7	2020-03-02	56		8,484	2,004
TC Energy Corporation	Executive Share Units	Gibbon, Joshua	7	2020-12-31	30		6,502	324
TC Energy Corporation	Executive Share Units	Gibbon, Joshua	7	2021-03-12	59		4,762	-1,740
TC Energy Corporation	Common Shares	Grant, Greg	7	2019-10-01	00			
TC Energy Corporation	Common Shares	Grant, Greg	7	2020-12-31	30	62.47	411	411
TC Energy Corporation	Common Shares	Grant, Greg	7	2020-12-31	30	58.69	421	10
TC Energy Corporation	Executive Share Units	Grant, Greg	7	2020-03-02	56		33,328	17,862
TC Energy Corporation	Executive Share Units	Grant, Greg	7	2020-12-31	30		35,211	1,883
TC Energy Corporation	Executive Share Units	Hadzic, Amir	7	2019-11-11	00			
TC Energy Corporation	Executive Share Units	Hadzic, Amir	7	2020-03-02	56		2,595	2,595
TC Energy Corporation	Executive Share Units	Hadzic, Amir	7	2020-09-10	56		4,782	2,187
TC Energy Corporation	Executive Share Units	Hadzic, Amir	7	2020-12-31	30		4,994	212
TC Energy Corporation	Common Shares	Hanrahan, Wendy	5	2020-12-31	30	61.4	8,019	460
TC Energy Corporation	Common Shares	Hanrahan, Wendy	5	2020-12-31	30	61.8	8,423	404
TC Energy Corporation	Executive Share Units	Hanrahan, Wendy	5	2020-03-02	56		55,146	13,834
TC Energy Corporation	Executive Share Units	Hanrahan, Wendy	5	2020-12-31	30		45,669	2,267
TC Energy Corporation	Executive Share Units	Hanrahan, Wendy	5	2021-03-12	59		32,939	-12,730
TC Energy Corporation	Common Shares	Hartl, Gloria L.	5	2019-02-01	00			
TC Energy Corporation	Common Shares	Hartl, Gloria L.	5	2021-03-16	10	58.526	500	500
TC Energy Corporation	Common Shares	Hartl, Gloria L.	5	2020-12-31	30	61.47	2,845	198
TC Energy Corporation	Common Shares	Hartl, Gloria L.	5	2020-12-31	30	61.78	2,987	142
TC Energy Corporation	Executive Share Units	Hartl, Gloria L.	5	2020-03-02	56		5,310	1,905
TC Energy Corporation	Executive Share Units	Hartl, Gloria L.	5	2020-12-31	30		5,595	285
TC Energy Corporation	Executive Share Units	Hartl, Gloria L.	5	2021-03-12	59		4,498	-1,097
TC Energy Corporation	Common Shares	Hebert, Dennis	5	2020-12-31	30	61.48	923	258
TC Energy Corporation	Common Shares	Hebert, Dennis	5	2020-12-31	30	61.28	963	40
TC Energy Corporation	Executive Share Units	Hebert, Dennis	5	2020-03-02	56		15,815	3,577
TC Energy Corporation	Executive Share Units	Hebert, Dennis	5	2020-12-31	30		11,528	568
TC Energy Corporation	Executive Share Units	Hebert, Dennis	5	2021-03-12	59		8,010	-3,518
TC Energy Corporation	Common Shares	Hendy, Ralph Ian	7	2020-12-31	30	61.47	3,648	206
TC Energy Corporation	Common Shares	Hendy, Ralph Ian	7	2020-12-31	30	61.8	3,832	184
TC Energy Corporation	Executive Share Units	Hendy, Ralph Ian	7	2020-03-02	56		9,113	2,478
TC Energy Corporation	Executive Share Units	Hendy, Ralph Ian	7	2020-12-31	30		7,544	374
TC Energy Corporation	Executive Share Units	Hendy, Ralph Ian	7	2021-03-12	59		5,369	-2,175
TC Energy Corporation	Executive Share Units	Hessen, Corey	7	2020-12-31	30		6,381	184
TC Energy Corporation	Executive Share Units	Humes, Christopher	7	2020-12-31	30		3,498	101
TC Energy Corporation	Common Shares	Hunter, Joel E.	7	2021-03-15	10	46.68	4,000	3,500
TC Energy Corporation	Common Shares	Hunter, Joel E.	7	2020-12-31	30	61.33	1,347	317
TC Energy Corporation	Common Shares	Hunter, Joel E.	7	2020-12-31	30	61.4	1,407	60
TC Energy Corporation	Executive Share Units	Hunter, Joel E.	7	2020-03-02	56		21,850	5,832
TC Energy Corporation	Executive Share Units	Hunter, Joel E.	7	2020-12-31	30		18,085	895
TC Energy Corporation	Executive Share Units	Hunter, Joel E.	7	2021-03-12	59		12,789	-5,296
TC Energy Corporation	Common Shares	Ingrouille, Martin	7	2020-05-19	00			
TC Energy Corporation	Common Shares	Ingrouille, Martin	7	2020-12-31	30	55.58	51	51
TC Energy Corporation	Executive Share Units	Ingrouille, Martin	7	2020-12-31	30		3,138	131
TC Energy Corporation	Common Shares	Jacobucci, Robert C.	7	2020-12-31	30	61.91	617	31
TC Energy Corporation	Common Shares	Jacobucci, Robert C.	7	2020-12-31	30	61.49	300	225
TC Energy Corporation	Common Shares	Jacobucci, Robert C.	7	2020-12-31	30	59.34	308	8
TC Energy Corporation	Executive Share Units	Jacobucci, Robert C.	7	2020-03-02	56		11,309	2,430
TC Energy Corporation	Executive Share Units	Jacobucci, Robert C.	7	2020-12-31	30		9,037	443
TC Energy Corporation	Executive Share Units	Jacobucci, Robert C.	7	2021-03-12	59		6,093	-2,944

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TC Energy Corporation	Common Shares	Jalbert, Andrea E	5	2020-12-31	30	61.91	3,506	174
TC Energy Corporation	Executive Share Units	Jalbert, Andrea E	5	2020-03-02	56		12,508	2,788
TC Energy Corporation	Executive Share Units	Jalbert, Andrea E	5	2020-12-31	30		9,953	489
TC Energy Corporation	Executive Share Units	Jalbert, Andrea E	5	2021-03-12	59		6,754	-3,199
TC Energy Corporation	Common Shares	Johnson, Nancy Angenita	5	2020-12-31	30	61.69	2,777	310
TC Energy Corporation	Common Shares	Johnson, Nancy Angenita	5	2020-12-31	30	61.7	2,912	135
TC Energy Corporation	Executive Share Units	Johnson, Nancy Angenita	5	2020-03-02	56		9,362	1,983
TC Energy Corporation	Executive Share Units	Johnson, Nancy Angenita	5	2020-12-31	30		7,987	383
TC Energy Corporation	Executive Share Units	Johnson, Nancy Angenita	5	2021-03-12	59		4,740	-3,247
TC Energy Corporation	Common Shares	Johnston, Christine R.	7	2020-12-31	30	61.49	575	263
TC Energy Corporation	Common Shares	Johnston, Christine R.	7	2020-12-31	30	60.73	597	22
TC Energy Corporation	Executive Share Units	Johnston, Christine R.	7	2020-03-02	56		15,582	3,305
TC Energy Corporation	Executive Share Units	Johnston, Christine R.	7	2020-12-31	30		12,304	602
TC Energy Corporation	Executive Share Units	Johnston, Christine R.	7	2021-03-12	59		8,286	-4,018
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2020-12-31	30	61.298	61,743	2,984
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2020-12-31	30	61.49	12,716	485
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2020-12-31	30	61.84	13,366	650
TC Energy Corporation	Executive Share Units	Jones, Robert E.	7	2020-03-02	56		21,407	4,738
TC Energy Corporation	Executive Share Units	Jones, Robert E.	7	2020-12-31	30		16,830	825
TC Energy Corporation	Executive Share Units	Jones, Robert E.	7	2021-03-12	59		11,352	-5,478
TC Energy Corporation	Common Shares	Kass, Leslie	5	2020-12-31	30	61.4	569	386
TC Energy Corporation	Common Shares	Kass, Leslie	5	2020-12-31	30	59.76	586	17
TC Energy Corporation	Executive Share Units	Kass, Leslie	5	2020-03-02	56		34,872	10,389
TC Energy Corporation	Executive Share Units	Kass, Leslie	5	2020-12-31	30		36,843	1,971
TC Energy Corporation	Common Shares	Keys, Patrick M.	5	2020-12-31	30	61.23	9,549	391
TC Energy Corporation	Common Shares	Keys, Patrick M.	5	2020-12-31	30	61.83	10,035	486
TC Energy Corporation	Executive Share Units	Keys, Patrick M.	5	2020-03-02	56		29,729	12,029
TC Energy Corporation	Executive Share Units	Keys, Patrick M.	5	2020-12-31	30		27,087	1,391
TC Energy Corporation	Executive Share Units	Keys, Patrick M.	5	2021-03-12	59		22,863	-4,224
TC Energy Corporation	Executive Share Units	Khayum, Omar	7	2021-03-15	00		7,123	
TC Energy Corporation	Common Shares	Kirby, Sonya	7	2020-12-31	30	61.44	892	270
TC Energy Corporation	Common Shares	Kirby, Sonya	7	2020-12-31	30	61.22	930	38
TC Energy Corporation	Executive Share Units	Kirby, Sonya	7	2020-03-02	56		13,044	2,721
TC Energy Corporation	Executive Share Units	Kirby, Sonya	7	2020-12-31	30		9,415	463
TC Energy Corporation	Executive Share Units	Kirby, Sonya	7	2021-03-12	59		6,471	-2,944
TC Energy Corporation	Executive Share Units	Kirstine, Jessica A.	7	2020-12-31	30		6,446	186
TC Energy Corporation	Common Shares	Lord, Bryce A.	7	2020-12-31	30	61.49	3,713	715
TC Energy Corporation	Common Shares	Lord, Bryce A.	7	2020-12-31	30	61.5	3,884	171
TC Energy Corporation	Common Shares	Lord, Bryce A.	7	2020-12-31	30	61.91	2,084	103
TC Energy Corporation	Executive Share Units	Lord, Bryce A.	7	2020-03-02	56		11,093	2,414
TC Energy Corporation	Executive Share Units	Lord, Bryce A.	7	2020-12-31	30		8,866	435
TC Energy Corporation	Executive Share Units	Lord, Bryce A.	7	2021-03-12	59		5,978	-2,888
TC Energy Corporation	Common Shares	Mahan, Russell	7	2020-12-31	30	42.942	3,912	114
TC Energy Corporation	Executive Share Units	Mahan, Russell	7	2020-03-02	56		12,084	2,688
TC Energy Corporation	Executive Share Units	Mahan, Russell	7	2020-12-31	30		9,772	479
TC Energy Corporation	Executive Share Units	Mahan, Russell	7	2021-03-12	59		6,563	-3,209
TC Energy Corporation	Common Shares	Marchand, Donald R.	5	2021-03-17	10	58.235	3,126	500
TC Energy Corporation	Common Shares	Marchand, Donald R.	5	2020-12-31	30	61.47	16,789	565
TC Energy Corporation	Common Shares	Marchand, Donald R.	5	2020-12-31	30	61.85	17,649	860
TC Energy Corporation	Common Shares	Marchand, Donald R.	5	2021-03-15	10	58.4	2,000	2,000
TC Energy Corporation	Executive Share Units	Marchand, Donald R.	5	2020-03-02	56		93,664	22,353
TC Energy Corporation	Executive Share Units	Marchand, Donald R.	5	2020-12-31	30		76,006	3,775
TC Energy Corporation	Executive Share Units	Marchand, Donald R.	5	2021-03-12	59		54,885	-21,121
TC Energy Corporation	Common Shares	Marselle, Victoria C.	7	2020-12-31	30	61.47	6,896	226
TC Energy Corporation	Common Shares	Marselle, Victoria C.	7	2020-12-31	30	61.85	7,250	354
TC Energy Corporation	Executive Share Units	Marselle, Victoria C.	7	2020-03-02	56		10,250	2,123
TC Energy Corporation	Executive Share Units	Marselle, Victoria C.	7	2020-12-31	30		8,496	426
TC Energy Corporation	Executive Share Units	Marselle, Victoria C.	7	2021-03-12	59		6,506	-1,990
TC Energy Corporation	Common Shares	Masud, Jawad	7	2021-03-15	10	58.676		1,306
TC Energy Corporation	Common Shares	Masud, Jawad	7	2021-03-15	10	58.676	3,270	1,360
TC Energy Corporation	Common Shares	Masud, Jawad	7	2020-12-31	30	67.7	340	64
TC Energy Corporation	Common Shares	Masud, Jawad	7	2020-12-31	30	61.5	358	18
TC Energy Corporation	Executive Share Units	Masud, Jawad	7	2020-03-02	56		8,397	2,673
TC Energy Corporation	Executive Share Units	Masud, Jawad	7	2020-04-15	56		7,375	510
TC Energy Corporation	Executive Share Units	Masud, Jawad	7	2020-12-31	30		7,766	391

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TC Energy Corporation	Executive Share Units	Masud, Jawad	7	2021-03-12	59		6,007	-1,759
TC Energy Corporation	Executive Share Units	McWilliams, John J.	7	2020-03-02	56		11,288	2,206
TC Energy Corporation	Executive Share Units	McWilliams, John J.	7	2020-07-01	56		8,718	874
TC Energy Corporation	Executive Share Units	McWilliams, John J.	7	2020-12-31	30		9,161	443
TC Energy Corporation	Executive Share Units	McWilliams, John J.	7	2021-03-12	59		6,446	-2,715
TC Energy Corporation	Common Shares	Menuz, G. Glenn	5	2020-12-31	30	61.5	5,059	251
TC Energy Corporation	Common Shares	Menuz, G. Glenn	5	2020-12-31	30	61.82	5,316	257
TC Energy Corporation	Executive Share Units	Menuz, G. Glenn	5	2020-03-02	56		15,196	2,964
TC Energy Corporation	Executive Share Units	Menuz, G. Glenn	5	2020-12-31	30		11,507	560
TC Energy Corporation	Executive Share Units	Menuz, G. Glenn	5	2021-03-12	59		7,434	-4,073
TC Energy Corporation	Common Shares	Moneta, David B.	7	2020-12-31	30	61.63	11,554	57
TC Energy Corporation	Common Shares	Moneta, David B.	7	2020-12-31	30	61.9	12,156	602
TC Energy Corporation	Executive Share Units	Moneta, David B.	7	2020-03-02	56		12,563	2,624
TC Energy Corporation	Executive Share Units	Moneta, David B.	7	2020-12-31	30		9,851	482
TC Energy Corporation	Executive Share Units	Moneta, David B.	7	2021-03-12	59		6,580	-3,271
TC Energy Corporation	Executive Share Units	Moran, Millie S.	7	2020-03-02	56		9,285	2,188
TC Energy Corporation	Executive Share Units	Moran, Millie S.	7	2020-12-31	30			392
TC Energy Corporation	Executive Share Units	Moran, Millie S.	7	2020-12-31	30		7,978	393
TC Energy Corporation	Executive Share Units	Moran, Millie S.	7	2021-03-12	59		5,488	-2,490
TC Energy Corporation	Common Shares	Muwanga, Roland	7	2021-03-15	10	58.676		1,360
TC Energy Corporation	Common Shares	Muwanga, Roland	7	2021-03-15	10	58.73	1,501	675
TC Energy Corporation	Common Shares	Muwanga, Roland	7	2020-12-31	30	61.63	1,254	125
TC Energy Corporation	Common Shares	Muwanga, Roland	7	2020-12-31	30	61.71	1,316	62
TC Energy Corporation	Executive Share Units	Muwanga, Roland	7	2020-03-02	56		6,759	1,888
TC Energy Corporation	Executive Share Units	Muwanga, Roland	7	2020-12-31	30		5,944	295
TC Energy Corporation	Executive Share Units	Muwanga, Roland	7	2021-03-12	59		4,224	-1,720
TC Energy Corporation	Executive Share Units	Newton, Lauri	7	2020-03-02	56		7,897	1,402
TC Energy Corporation	Executive Share Units	Newton, Lauri	7	2020-12-31	30		6,172	303
TC Energy Corporation	Executive Share Units	Newton, Lauri	7	2021-03-12	59		4,134	-2,038
TC Energy Corporation	Executive Share Units	Palazzo, Marc	7	2020-12-31	30		4,792	199
TC Energy Corporation	Executive Share Units	Parks, James M.	7	2020-03-02	56		6,153	1,159
TC Energy Corporation	Executive Share Units	Parks, James M.	7	2020-12-31	30		4,657	225
TC Energy Corporation	Executive Share Units	Parks, James M.	7	2021-03-12	59		2,882	-1,775
TC Energy Corporation	Common Shares	Pierce, Jennifer	7	2021-03-19	10	57.53	4,309	1,040
TC Energy Corporation	Common Shares	Pierce, Jennifer	7	2020-12-31	30	61.48	454	283
TC Energy Corporation	Common Shares	Pierce, Jennifer	7	2020-12-31	30	60.04	469	15
TC Energy Corporation	Executive Share Units	Pierce, Jennifer	7	2020-03-02	56		17,907	4,593
TC Energy Corporation	Executive Share Units	Pierce, Jennifer	7	2020-12-31	30		18,919	1,012
TC Energy Corporation	Common Shares	Poirier, Francois Lionel	5	2020-12-31	30	60.81	1,503	325
TC Energy Corporation	Common Shares	Poirier, Francois Lionel	5	2020-12-31	30	61.45	1,571	68
TC Energy Corporation	Executive Share Units	Poirier, Francois Lionel	5	2020-03-02	56		72,463	27,996
TC Energy Corporation	Executive Share Units	Poirier, Francois Lionel	5	2020-12-31	30		65,799	3,318
TC Energy Corporation	Executive Share Units	Poirier, Francois Lionel	5	2021-03-12	59		51,217	-14,582
TC Energy Corporation	Common Shares	Prior, Richard	7	2020-12-31	30	44.06	9,818	243
TC Energy Corporation	Common Shares	Prior, Richard	7	2020-12-31	30	57.546	9,897	79
TC Energy Corporation	Common Shares	Prior, Richard	7	2020-12-31	30	74.31	677	-1
TC Energy Corporation	Common Shares	Prior, Richard	7	2020-12-31	30	61.91	712	35
TC Energy Corporation	Executive Share Units	Prior, Richard	7	2020-03-02	56		14,607	3,706
TC Energy Corporation	Executive Share Units	Prior, Richard	7	2020-12-31	30		12,734	632
TC Energy Corporation	Executive Share Units	Prior, Richard	7	2021-03-12	59		9,204	-3,530
TC Energy Corporation	Common Shares	Robinson, Tracy	7	2020-12-31	30	61.29	2,655	690
TC Energy Corporation	Common Shares	Robinson, Tracy	7	2020-12-31	30	61.33	2,771	116
TC Energy Corporation	Executive Share Units	Robinson, Tracy	7	2020-03-02	56		50,268	17,771
TC Energy Corporation	Executive Share Units	Robinson, Tracy	7	2020-12-31	30			2,421
TC Energy Corporation	Executive Share Units	Robinson, Tracy	7	2020-12-31	30		47,315	2,421
TC Energy Corporation	Executive Share Units	Robinson, Tracy	7	2021-03-12	59		39,430	-7,885
TC Energy Corporation	Common Shares	Salsman, Gary M.	7	2021-03-15	00		4,404	
TC Energy Corporation	Executive Share Units	Salsman, Gary M.	7	2021-03-15	00		8,888	
TC Energy Corporation	Common Shares	Sillner, Robert M.	7	2021-03-15	00		977	
TC Energy Corporation	Common Shares	Sillner, Robert M.	7	2021-03-15	00		13,815	
TC Energy Corporation	Executive Share Units	Sillner, Robert M.	7	2021-03-15	00		7,907	
TC Energy Corporation	Common Shares	Steeves, Terri	7	2020-12-31	30	61.42	5,006	254
TC Energy Corporation	Common Shares	Steeves, Terri	7	2020-12-31	30	61.81	5,260	254
TC Energy Corporation	Executive Share Units	Steeves, Terri	7	2020-03-02	56		11,102	2,734
TC Energy Corporation	Executive Share Units	Steeves, Terri	7	2020-12-31	30		9,043	446

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TC Energy Corporation	Executive Share Units	Steeves, Terri	7	2021-03-12	59		6,315	-2,728
TC Energy Corporation	Common Shares	Stewart, Donald Michael Godfrey	4	2020-12-31	30	61.91	17,333	860
TC Energy Corporation	Common Shares	Stewart, Donald Michael Godfrey	4	2020-12-31	30	61.881	2,378	116
TC Energy Corporation	Common Shares	Stewart, Donald Michael Godfrey	4	2020-12-31	30	61.682	173	7
TC Energy Corporation	Common Shares	Stewart, Donald Michael Godfrey	4	2020-12-31	30	61.682	173	7
TC Energy Corporation	Common Shares	Stuart, Samantha	7	2018-01-08	00			
TC Energy Corporation	Common Shares	Stuart, Samantha	7	2021-03-18	10	57.85	1,500	1,500
TC Energy Corporation	Executive Share Units	Stuart, Samantha	7	2020-03-02	56		7,657	2,191
TC Energy Corporation	Executive Share Units	Stuart, Samantha	7	2020-12-31	30		8,052	395
TC Energy Corporation	Executive Share Units	Stuart, Samantha	7	2021-03-12	59		5,441	-2,611
TC Energy Corporation	Common Shares	Sunderji, Fareen	7	2020-12-31	30	62.61	1,764	300
TC Energy Corporation	Common Shares	Sunderji, Fareen	7	2020-12-31	30	61.54	1,848	84
TC Energy Corporation	Executive Share Units	Sunderji, Fareen	7	2020-03-02	56		6,522	1,985
TC Energy Corporation	Executive Share Units	Sunderji, Fareen	7	2020-12-31	30		5,784	293
TC Energy Corporation	Executive Share Units	Sunderji, Fareen	7	2021-03-12	59		4,584	-1,200
TC Energy Corporation	Executive Share Units	Sweeney, Neil	7	2020-12-31	30		2,627	75
TC Energy Corporation	Executive Share Units	Tally, Troy	7	2020-03-02	56		8,546	1,589
TC Energy Corporation	Executive Share Units	Tally, Troy	7	2020-12-31	30		6,880	337
TC Energy Corporation	Executive Share Units	Tally, Troy	7	2021-03-12	59		4,595	-2,285
TC Energy Corporation	Common Shares	Tarvydas, Robert	7	2020-12-31	30	61.53	925	891
TC Energy Corporation	Common Shares	Tarvydas, Robert	7	2020-12-31	30	57.55	945	20
TC Energy Corporation	Executive Share Units	Tarvydas, Robert	7	2020-03-02	56		7,537	1,902
TC Energy Corporation	Executive Share Units	Tarvydas, Robert	7	2020-12-31	30		5,992	296
TC Energy Corporation	Executive Share Units	Tarvydas, Robert	7	2021-03-12	59		4,134	-1,858
TC Energy Corporation	Common Shares	West, Wendy N.	7	2020-12-31	30	61.36	2,708	331
TC Energy Corporation	Common Shares	West, Wendy N.	7	2020-12-31	30	61.66	2,839	131
TC Energy Corporation	Common Shares	West, Wendy N.	7	2020-12-31	30	61.5	1,738	108
TC Energy Corporation	Common Shares	West, Wendy N.	7	2020-12-31	30	61.79	1,825	87
TC Energy Corporation	Executive Share Units	West, Wendy N.	7	2020-03-02	56		6,592	1,786
TC Energy Corporation	Executive Share Units	West, Wendy N.	7	2020-12-31	30		5,530	274
TC Energy Corporation	Executive Share Units	West, Wendy N.	7	2021-03-12	59		3,954	-1,576
TC Energy Corporation	Executive Share Units	White, Jay J.	7	2020-03-02	56		10,500	2,539
TC Energy Corporation	Executive Share Units	White, Jay J.	7	2020-12-31	30		8,788	436
TC Energy Corporation	Executive Share Units	White, Jay J.	7	2021-03-12	59		6,300	-2,488
TC Energy Corporation	Common Shares	Wirzba, Bevin Mark	7	2020-12-31	30	61.45	537	382
TC Energy Corporation	Common Shares	Wirzba, Bevin Mark	7	2020-12-31	30	59.56	553	16
TC Energy Corporation	Executive Share Units	Wirzba, Bevin Mark	7	2020-03-02	56		42,292	11,543
TC Energy Corporation	Executive Share Units	Wirzba, Bevin Mark	7	2020-12-31	30		44,682	2,390
TC Energy Corporation	Common Shares	Yeomans, Mark	7	2020-12-31	30	57.295	1,061	23
TC Energy Corporation	Common Shares	Yeomans, Mark	7	2020-12-31	30	56.8	362	44
TC Energy Corporation	Executive Share Units	Yeomans, Mark	7	2020-03-02	56		12,441	2,640
TC Energy Corporation	Executive Share Units	Yeomans, Mark	7	2020-12-31	30		9,891	484
TC Energy Corporation	Executive Share Units	Yeomans, Mark	7	2021-03-12	59		6,620	-3,271
Tempus Capital Inc.	Common Shares	Tanz, Russell	5	2021-03-17	10	0.17	5,808,503	1,500
TeraGo Inc.	Common Shares	Levy, Candice	5	2018-03-05	00			
TeraGo Inc.	Common Shares	Levy, Candice	5	2021-03-15	57		4,504	4,504
TeraGo Inc.	Restricted Share Units	Levy, Candice	5	2021-03-15	57		3,309	-4,504
TerraVest Industries Inc. (formerly TerraVest Capital Inc.)	Common Shares	MacBean, Michael	6	2021-03-12	10	17.8	5,004	-5,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-03-12	10	0.64	27,771,708	500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-03-15	10	0.64	27,772,208	500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-03-16	10	0.64	27,776,208	4,000
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	56	0.19		263,157
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	56	0.19		263,157
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	57	0.19		263,157
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	57	0.19		263,157
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	59	0.19		-263,157
Tetra Bio-Pharma Inc.	Common Shares	CHELIAK, WILLIAM	4	2021-03-10	59	0.19		-263,157
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	CHELIAK, WILLIAM	4	2017-07-10	00			
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	CHELIAK, WILLIAM	4	2021-03-10	56	0.19	263,157	263,157
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	MERTON, Carl	4	2017-07-10	00			
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	MERTON, Carl	4	2021-03-10	56		263,157	263,157

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Tetra Bio-Pharma Inc.	deferred share unit	Norton, Brent	4	2021-03-10	56	0.19		263,157
Tetra Bio-Pharma Inc.	deferred share unit	Norton, Brent	4	2021-03-10	56	0.19		263,157
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	Norton, Brent	4	2020-09-15	00			
Tetra Bio-Pharma Inc.	Rights Deferred Share Units	Norton, Brent	4	2021-03-10	56	0.19	263,157	263,157
Tetra Bio-Pharma Inc.	Common Shares deferred share unit	Weil, Dale	4	2020-09-14	00			
Tetra Bio-Pharma Inc.	Common Shares deferred share unit	Weil, Dale	4	2021-03-10	56	0.19	263,157	263,157
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Bajwa, David	4, 5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Hodgson, Eugene	5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Keith, Gordon Thomas	4	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Sawchuk, John Benjamin	3, 4, 5	2021-03-15	00		2,500,000	
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Sawchuk, John Benjamin	3, 4, 5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Sawchuk, John Benjamin	3, 4, 5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Sawchuk, John Benjamin	3, 4, 5	2021-03-15	00		12,499,999	
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Sawchuk, John Benjamin	3, 4, 5	2021-03-15	00		3,500,000	
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Common Shares	Scovenna, Christian	4	2021-03-15	00			
TFI International Inc.	Common Shares	BØdard, Alain	4, 5	2021-03-18	51	25.14	4,187,704	22,560
TFI International Inc.	Common Shares	BØdard, Alain	4, 5	2021-03-18	10	95.6	4,165,144	-22,560
TFI International Inc.	Options	BØdard, Alain	4, 5	2021-03-18	51		1,563,897	-22,560
TGS Esports Inc.	Options	Khourri, Spiro	4, 5	2021-03-10	50		2,050,000	300,000
THC BIOMED INTL LTD.	Warrants	Miller, John	3, 4	2021-03-15	55		9,390,363	-132,979
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	2021-03-17	10	0.275	1,052,308	3,000
Therma Bright Inc.	Common Shares	Heng, Joseph, Ching-Hiang	4	2021-03-11	10		40,000	-300,000
Thomson Reuters Corporation	Deferred Share Units	Arnold, Kirk Eveleth	4	2021-03-15	46		4,179	784
Thomson Reuters Corporation	Deferred Share Units	Arnold, Kirk Eveleth	4	2021-03-17	30		4,195	16
Thomson Reuters Corporation	Common Shares	Bello, Stephane	5	2021-03-15	57		59,259	15,844
Thomson Reuters Corporation	Restricted Share Units	Bello, Stephane	5	2021-03-15	57		49,014	-26,847
Thomson Reuters Corporation	Deferred Share Units	Binet, David W.	4, 6	2021-03-15	30	87.71	33,826	154
Thomson Reuters Corporation	Deferred Share Units	Binet, David W.	4, 6	2021-03-17	46	87.71	34,467	641
Thomson Reuters Corporation	Common Shares	Cannizzaro, Sean	7	2021-03-15	57		2,430	1,466
Thomson Reuters Corporation	Restricted Share Units	Cannizzaro, Sean	7	2021-03-15	57		4,107	-2,200
Thomson Reuters Corporation	Common Shares	Clamp-Held, Ruth	7	2021-03-15	57		1,831	1,831
Thomson Reuters Corporation	Restricted Share Units	Clamp-Held, Ruth	7	2021-03-15	57		3,326	-1,946
Thomson Reuters Corporation	Deferred Share Units	Clark, William Edmund	4	2021-03-15	46		28,871	783
Thomson Reuters Corporation	Deferred Share Units	Clark, William Edmund	4	2021-03-17	30		29,000	129
Thomson Reuters Corporation	Deferred Share Units	Daniels, Michael Elie	4	2021-03-15	46		29,167	784
Thomson Reuters Corporation	Deferred Share Units	Daniels, Michael Elie	4	2021-03-17	30		29,297	130
Thomson Reuters Corporation	Common Shares	Eastwood, Michael Keith	5	2021-03-15	57		9,724	4,257
Thomson Reuters Corporation	Restricted Share Units	Eastwood, Michael Keith	5	2021-03-15	57			-4,257
Thomson Reuters Corporation	Restricted Share Units	Eastwood, Michael Keith	5	2021-03-15	57			-4,257
Thomson Reuters Corporation	Restricted Share Units	Eastwood, Michael Keith	5	2021-03-15	57			-4,257
Thomson Reuters Corporation	Restricted Share Units	Eastwood, Michael Keith	5	2021-03-15	57		39,319	-8,557
Thomson Reuters Corporation	Common Shares	Fischer, Paul	7	2021-03-15	57		3,961	3,539
Thomson Reuters Corporation	Restricted Share Units	Fischer, Paul	7	2021-03-15	57		36,805	-5,101
Thomson Reuters Corporation	Common Shares	Gold, Marc E.	7	2021-03-15	57		6,722	3,514
Thomson Reuters Corporation	Restricted Share Units	Gold, Marc E.	7	2021-03-15	57		8,430	-5,120
Thomson Reuters Corporation	Deferred Share Units	Koenigsbauer, Kirk James	4	2021-03-15	46		3,186	641
Thomson Reuters Corporation	Deferred Share Units	Koenigsbauer, Kirk James	4	2021-03-17	30		3,198	12
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2021-03-15	57		2,477	1,117
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2021-03-15	57		4,629	-2,406
Thomson Reuters Corporation	Deferred Share Units	Oppenheimer, Deanna	4	2021-03-15	46		1,030	641
Thomson Reuters Corporation	Deferred Share Units	Oppenheimer, Deanna	4	2021-03-17	30		1,032	2
Thomson Reuters Corporation	Deferred Share Units	Opperman, Vance K.	4	2021-03-15	46		143,564	1,069
Thomson Reuters Corporation	Deferred Share Units	Opperman, Vance K.	4	2021-03-17	30		144,217	653
Thomson Reuters Corporation	Deferred Share Units	Paris, Simon	4	2021-03-15	46		1,030	641
Thomson Reuters Corporation	Deferred Share Units	Paris, Simon	4	2021-03-17	30		1,032	2
Thomson Reuters Corporation	Common Shares	Peccarelli, Brian S.	7, 5	2021-03-15	57		9,188	9,158
Thomson Reuters Corporation	Restricted Share Units	Peccarelli, Brian S.	7, 5	2021-03-15	57		150,031	-15,102

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Thomson Reuters Corporation	Deferred Share Units	Rivera, Kim Marie	4	2021-03-15	46		4,222	641
Thomson Reuters Corporation	Deferred Share Units	Rivera, Kim Marie	4	2021-03-17	30		4,238	16
Thomson Reuters Corporation	Common Shares	Rushton, Charlotte	7, 5	2021-03-15	57		14,629	7,490
Thomson Reuters Corporation	Common Shares	Rushton, Charlotte	7, 5	2021-03-15	10	87.66	10,884	-3,745
Thomson Reuters Corporation	Restricted Share Units	Rushton, Charlotte	7, 5	2021-03-15	57		15,495	-12,350
Thomson Reuters Corporation	Deferred Share Units	Salzberg, Barry	4	2021-03-15	46		22,668	356
Thomson Reuters Corporation	Deferred Share Units	Salzberg, Barry	4	2021-03-17	30		22,770	102
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-11	47	109.3	327,566,048	-95,000
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-17	30	110.65	327,622,199	56,151
Thomson Reuters Corporation	Deferred Share Units	Thomson, David Kenneth Roy	4, 6	2021-03-15	30	87.71	101,948	465
Thomson Reuters Corporation	Deferred Share Units	Thomson, David Kenneth Roy	4, 6	2021-03-17	46	87.71	103,658	1,710
Thomson Reuters Corporation	Deferred Share Units	Thomson, Peter J.	4, 6	2021-03-15	30	87.71	12,469	57
Thomson Reuters Corporation	Deferred Share Units	Thomson, Peter J.	4, 6	2021-03-17	46	87.71	12,683	214
Thomson Reuters Corporation	Deferred Share Units	von Schimmelmann, Wulf	4	2021-03-15	46		41,997	641
Thomson Reuters Corporation	Deferred Share Units	von Schimmelmann, Wulf	4	2021-03-17	30		42,186	189
Thomson Reuters Corporation	Common Shares	Vuicic, Mary Alice	5	2021-03-15	57		31,276	5,048
Thomson Reuters Corporation	Restricted Share Units	Vuicic, Mary Alice	5	2021-03-15	57		62,477	-10,865
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-15	57		30,421	6,905
Thomson Reuters Corporation	Restricted Share Units	Walker, Linda	7, 5	2021-03-15	57		20,751	-10,953
Tier One Silver Inc. (formerly, Tier One Metals Inc.)	Common Shares	Mason, Jeffrey Robert	4	2021-03-02	11	1	1,160,000	100,000
TIMIA Capital Corp.	Common Shares	Walkinshaw, Michael Christopher	4	2021-03-15	10	0.2	4,320,086	3,000
TMX Group Limited	Rights Restricted Share Units	Fortin, Luc	5	2020-12-31	56	132.3	4,894	105
TMX Group Limited	Rights Restricted Share Units	Fortin, Luc	5	2019-01-15	59	75.3		-1,297
TMX Group Limited	Rights Restricted Share Units	Fortin, Luc	5	2019-01-15	59	75.3	3,559	-1,391
TMX Group Limited	Rights Deferred Share Units	Graden, Cheryl	5	2020-12-31	56	132.3	4,356	93
TMX Group Limited	Rights Performance Share Units	Graden, Cheryl	5	2020-12-31	56	132.3	3,797	81
TMX Group Limited	Rights Performance Share Units	Graden, Cheryl	5	2015-03-01	00			
TMX Group Limited	Rights Performance Share Units	Graden, Cheryl	5	2015-03-01	00		980	
TMX Group Limited	Rights Restricted Share Units	Graden, Cheryl	5	2020-12-31	56	132.3	4,055	87
TMX Group Limited	Rights Restricted Share Units	Graden, Cheryl	5	2015-03-01	00		2,218	
TMX Group Limited	Rights Restricted Share Units	Graden, Cheryl	5	2015-12-31	56	49.2		75
TMX Group Limited	Rights Restricted Share Units	Graden, Cheryl	5	2015-12-31	56	49.2	2,350	132
TMX Group Limited	Rights Deferred Share Units	McKenzie, John	5	2020-12-31	56	132.3	7,499	160
TMX Group Limited	Rights Deferred Share Units	McKenzie, John	5	2016-12-31	56	54.96		109
TMX Group Limited	Rights Deferred Share Units	McKenzie, John	5	2016-12-31	56	54.96	4,340	59
TMX Group Limited	Rights Performance Share Units	McKenzie, John	5	2020-12-31	56	132.3	6,595	141
TMX Group Limited	Rights Performance Share Units	McKenzie, John	5	2016-12-31	56	54.96		71
TMX Group Limited	Rights Performance Share Units	McKenzie, John	5	2016-12-31	56	54.96	2,384	32
TMX Group Limited	Rights Restricted Share Units	McKenzie, John	5	2020-12-31	56	132.3	11,930	255
TMX Group Limited	Rights Restricted Share Units	McKenzie, John	5	2016-12-31	56	54.96		106
TMX Group Limited	Rights Restricted Share Units	McKenzie, John	5	2016-12-31	56	54.96	3,569	49
TMX Group Limited	Rights Deferred Share Units	Rajarathinam, Jayakumar	5	2020-12-31	56	132.3	1,676	36
TMX Group Limited	Rights Performance Share Units	Rajarathinam, Jayakumar	5	2020-12-31	56	132.3	6,686	143
TMX Group Limited	Rights Performance Share Units	Rajarathinam, Jayakumar	5	2017-12-31	56	68.73		36
TMX Group Limited	Rights Performance Share Units	Rajarathinam, Jayakumar	5	2017-12-31	56	68.73	1,292	19
TMX Group Limited	Rights Restricted Share Units	Rajarathinam, Jayakumar	5	2020-12-31	56	132.3	5,546	119

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TMX Group Limited	Rights Restricted Share Units	Rajaratnam, Jayakumar	5	2017-12-31	56	68.73		368
TMX Group Limited	Rights Restricted Share Units	Rajaratnam, Jayakumar	5	2017-12-31	56	68.73	12,291	179
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2012-09-14	00			
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2018-12-31	56	81.1		1,405
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2018-12-31	56	81.1		1,405
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2018-12-31	56	81.1	1,405	1,405
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2019-12-31	56	99.363		1,853
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2019-12-31	56	99.363		1,853
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2019-12-31	56	99.363	3,258	1,853
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2020-12-31	56	125.18		1,566
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2020-12-31	56	125.18		1,566
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2020-12-31	56	125.18		1,566
TMX Group Limited	Rights Deferred Share Units	Wetlaufer, Eric Michael	4	2020-12-31	56	125.18	4,824	1,566
Top Strike Resources Corp	Common Shares	Sharun, Jonathan Robert	5	2021-03-15	10	0.07	19,249,433	28,000
Topicus.com Inc.	Subordinate Voting Shares	Ootjers, Sebastian	7	2021-03-16	30	68.76	3,038	2,325
Topicus.com Inc.	Subordinate Voting Shares	van den Heuvel, Ivo Martinus Cornelis	7	2021-03-12	30	68.76	3,703	2,947
Topicus.com Inc.	Subordinate Voting Shares	van Poelje, Robin	6	2021-03-15	30	68.76	15,172	9,320
Total Energy Services Inc.	Common Shares	Melchin, Gregory Knowles	4	2021-03-15	10	4.14	65,776	2,580
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-16	10	24.626	8,778,837	5,000
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-17	10	24.3	8,781,337	2,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-17	10	24.354	8,783,837	2,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-18	10	24.228	8,788,837	5,000
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-18	10	23.358	8,793,837	5,000
Tourmaline Oil Corp.	Common Shares	Weiss, Janet	4	2021-03-16	10	19.93	5,419	1,234
TransAlta Corporation	DSU (Deferred Share Units)	Ambrose, Ronalee Hope	4	2021-03-16	56	11.23	46,343	1,781
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-03-10	10	10.96	21,654,798	308
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-03-10	10	10.96	13,744,737	192
TransAlta Corporation	Common Shares	Dielwart, John Patrick	4	2021-03-17	30	10.99	20,978	3,753
TransAlta Corporation	DSU (Deferred Share Units)	Fohrer, Alan John	4	2021-03-16	56	11.23	113,168	2,222
TransAlta Corporation	DSU (Deferred Share Units)	Mansour, Yakout	4	2021-03-16	56	11.23	118,871	2,222
TransAlta Corporation	Common Shares	Nelson, Georgia Ricci	4	2021-03-17	30	10.989	7,270	2,270
TransAlta Corporation	Common Shares	O'Reilly, Kerry Lynn	5	2021-03-15	10	11.23		-6
TransAlta Corporation	Common Shares	O'Reilly, Kerry Lynn	5	2021-03-15	10	11.23		-6
TransAlta Corporation	Common Shares	O'Reilly, Kerry Lynn	5	2021-03-18	10	11.31	67,393	-6
TransAlta Corporation	DSU (Deferred Share Units)	Park, Beverlee Faye	4	2021-03-16	56	11.23	93,051	1,781
TransAlta Corporation	DSU (Deferred Share Units)	Pinney, Bryan Daniel	4	2021-03-16	56	11.23	59,473	3,562
TransAlta Corporation	DSU (Deferred Share Units)	SHARMAN, SANDY	4	2021-03-16	56	11.23	16,744	3,562
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-03-13	59			-36,978
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-03-13	59			-36,978
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-03-15	56	11.19	182,435	38,947
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Drinkwater, David William	4	2021-03-15	56	19.85	30,813	441
TransAlta Renewables Inc.	DSU (Deferred Share Units)	TAYLOR, PAUL H. E.	4	2021-03-15	56	19.85	35,206	315
Transition Metals Corp.	Options	McLean, Scott	5	2021-03-18	52		650,000	-312,000
Tree Island Steel Ltd.	Common Shares	Stachowiak, Remy Gilbert Theophil	5	2021-03-17	10	2.9	40,400	4,000
Tree Island Steel Ltd.	Common Shares	Stachowiak, Remy Gilbert Theophil	5	2021-03-17	10	2.9	28,100	1,000
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-15	10	1.9863	888,200	9,800
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-16	10	1.9876	915,400	27,200
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-17	10	1.9788	935,400	20,000
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-18	10	1.9585	963,300	27,900
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-19	10	1.965	994,400	31,100
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-15	10	1.9863	888,200	9,800
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-16	10	1.9877	915,400	27,200
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-17	10	1.9789	935,400	20,000

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Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-18	10	1.9585	963,300	27,900
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-19	10	1.965	994,400	31,100
Tribe Property Technologies Inc.	Options	Defer, James Peter	5	2021-03-15	00		150,000	
Tribe Property Technologies Inc.	Options	Kiguel, Andres	4	2021-03-15	00		20,000	
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-03-15	00		2,717,655	
Tribe Property Technologies Inc.	Options	Yassin, Talal Riad	3	2021-03-15	00		32,700	
Trican Well Service Ltd.	Common Shares	Onwuekwe, Chika Benjamin	5	2021-03-09	51	1.47	110,659	79,334
Trican Well Service Ltd.	Common Shares	Onwuekwe, Chika Benjamin	5	2021-03-09	10	1.9493	31,325	-79,334
Trican Well Service Ltd.	Options Employee Stock Options	Onwuekwe, Chika Benjamin	5	2021-03-09	51	1.47	438,166	-79,334
Trican Well Service Ltd.	Rights Restricted Share Units (RSUs)	Onwuekwe, Chika Benjamin	5	2021-03-16	59	2.01	45,667	-22,833
Trican Well Service Ltd.	Rights Restricted Share Units (RSUs)	Sweany, Dawn Amanda	5	2021-03-16	59	2.01	45,667	-22,833
Trican Well Service Ltd.	Rights Restricted Share Units (RSUs)	Westlund, David Jason	5	2021-03-16	59			-48,266
Trican Well Service Ltd.	Rights Restricted Share Units (RSUs)	Westlund, David Jason	5	2021-03-16	59	2.01	96,534	-48,266
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, David	3, 4, 6, 5	2021-03-15	59	12.546	72,262	-51,564
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, Gary	4, 5	2021-03-15	59	12.546	267,125	-194,795
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Carmody, Andrew	5	2021-03-15	59	12.546	62,534	-38,672
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Ellenzweig, Jonathan	5	2021-03-15	59	12.546	81,174	-60,708
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Francis, Wissam	5	2021-03-15	59	12.546	73,298	-53,533
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Joyner, Andrew	5	2021-03-15	59	12.546	36,398	-24,750
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2021-03-15	59	12.546	34,402	-27,782
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Veneziano, David	5	2021-03-15	59	12.546	39,599	-27,071
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-03-12	51	4.23	2,917	2,917
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-03-12	10	11.97	0	-2,917
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2021-03-12	51	4.23	96,011	-2,917
Trisura Group Ltd.	Common Shares	Clare, David James	4, 5	2021-03-08	10	126.05	36,907	-5,002
True North Commercial Real Estate Investment Trust	Restricted Units	Allison, Margaret Ann	5	2021-03-12	30	6.5869	3,522	1,661
True North Commercial Real Estate Investment Trust	Restricted Units	Baryshnik, Jeff Matthew	4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Biggar, William John	4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Cardy, Roland	4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Drimmer, Daniel	3, 4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Ossip, Alon Samuel	4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Poklar, Sandy Ivan	4	2021-03-12	30	6.5869	1,761	831
True North Commercial Real Estate Investment Trust	Restricted Units	Sherren, Tracy	4, 5	2021-03-12	30	6.5869	28,191	13,291
TRYP Therapeutics Inc.	Options	Hayes, Luke James	5	2021-03-08	00		1,500,000	
Tucows Inc.	Common Shares	Noss, Elliot Lawrence	4, 5	2021-03-17	47		534,326	-1,950
TWC Enterprises Limited	Common Shares	Sahi, Kuldip Rai	3, 4, 6, 5	2021-03-12	10	18.75	15,817,049	43,134
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2021-03-16	10	6.004	12,300	-2,500
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2021-03-17	10	5.9831	9,700	-2,600
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2021-03-19	10	6.0325	9,300	-400
Universal PropTech Inc.	Common Shares	Cohen, Daniel	4	2021-03-15	36	0.0524	572,766	368,337
Universal PropTech Inc.	Convertible Debentures 12%	Cohen, Daniel	4	2021-03-15	36	0.0524		-\$19,320

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Universal PropTech Inc.	Convertible Debentures 12%	Cohen, Daniel	4	2021-03-15	36	0.0524		-\$19,320
Universal PropTech Inc.	Convertible Debentures 12%	Cohen, Daniel	4	2021-03-15	36	0.0524		\$368,337
Universal PropTech Inc.	Convertible Debentures 12%	Cohen, Daniel	4	2021-03-15	36	0.0524		\$368,337
Universal PropTech Inc.	Convertible Debentures 12%	Cohen, Daniel	4	2021-03-15	36	0.0524	\$0	-\$19,320
Ur-Energy Inc.	Common Shares	Cash, John William	5	2021-03-16	51	0.73	368,666	181,106
Ur-Energy Inc.	Common Shares	Cash, John William	5	2021-03-16	10	1.71	187,560	-181,106
Ur-Energy Inc.	Options	Cash, John William	5	2021-03-16	51	0.73	603,949	-181,106
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2021-03-16	51	0.73	2,954,290	178,118
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2021-03-16	10	1.6579	2,776,172	-178,118
Ur-Energy Inc.	Options	Klenda, Jeffrey T.	5	2021-03-16	51	0.73	1,492,198	-178,118
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2021-03-12	11	3	391,200	200,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-16	10	8.3	1,321,300	1,600
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.4	1,335,300	14,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.38	1,337,100	1,800
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.37	1,337,300	200
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.36	1,338,900	1,600
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.3	1,340,300	1,400
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.29	1,340,700	400
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-03-17	10	8.28	1,340,800	100
Verde AgriTech Plc	Common Shares	Paolucci, Felipe Buscacio	5	2021-03-15	54	1	448,894	83,333
Verde AgriTech Plc	Warrants	Paolucci, Felipe Buscacio	5	2019-03-04	00		83,333	
Verde AgriTech Plc	Warrants	Paolucci, Felipe Buscacio	5	2021-03-15	54	1	0	-83,333
Verde AgriTech Plc	Common Shares	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2021-03-15	54	1		41,666
Verde AgriTech Plc	Common Shares	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2021-03-15	54	1	157,339	41,666
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2018-06-01	00			
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2019-03-12	53			41,666
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2021-03-15	54	1		-41,666
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2018-06-01	00			
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2019-03-12	53		41,666	41,666
Verde AgriTech Plc	Warrants	ST. ALDWYN, MICHAEL HENRY HICKS BEACH	4	2021-03-15	54	1	0	-41,666
Vermilion Energy Inc.	Common Shares	Donadeo, Lorenzo	4, 5	2021-03-18	46	10.605	2,794,533	6,465
Vermilion Energy Inc.	Common Shares	Glemser, Lars William	5	2021-03-18	46	10.605	38,132	9,476
Vermilion Energy Inc.	Common Shares	Hatcher, Dion	5	2021-03-18	46	10.605	58,646	9,061
Vermilion Energy Inc.	Common Shares	Hergott, Terrance Gerald	5	2021-03-18	10	10.5	61,156	-8,152
Vermilion Energy Inc.	Common Shares	Hergott, Terrance Gerald	5	2021-03-18	46	10.605	66,342	5,186
Vermilion Energy Inc.	Common Shares	Hicks, Curtis W.	5	2021-03-18	46	10.605	70,486	13,738
Vermilion Energy Inc.	Common Shares	Kerwin, Darcy Blake	5	2021-03-18	46	10.605	113,961	7,454
Vermilion Energy Inc.	Common Shares	Preston, Kyle	5	2021-03-18	46	10.605	49,476	6,129
Vermilion Energy Inc.	Common Shares	Tan, Jenson Jit-Chang	5	2021-03-18	46	10.605	73,591	9,061
VersaBank	Common Shares	McGovern, Susan Teresa	4	2013-08-20	00			
VersaBank	Common Shares	McGovern, Susan Teresa	4	2013-08-20	00			
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-05	10	15.73		300
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-05	10	15.73		300
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-09	10	15.59		200
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-09	10	15.59		200
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-10	10	15.63		500
VersaBank	Common Shares	McGovern, Susan Teresa	4	2021-03-10	10	15.63		500
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-16	00		1,000	
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-16	00		3,700	
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Dosanjh, Mandesh	7	2021-03-16	00		254,300	
Village Farms International, Inc.	Common Shares	Ruffini, Stephen	5	2021-03-15	57		888,599	70,000
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Ruffini, Stephen	5	2021-03-15	59			-70,000
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Ruffini, Stephen	5	2021-03-15	59			-70,000
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Ruffini, Stephen	5	2021-03-15	57		150,000	-70,000
Voleo Trading Systems Inc.	Options	Brophy, Kenneth	4	2021-03-12	50		225,000	125,000
Voleo Trading Systems Inc.	Options	Lee, Dong Yool	5	2021-03-12	50		200,000	100,000
Voleo Trading Systems Inc.	Options	Lotz, Mark	4	2021-03-12	50		250,000	125,000

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Voleo Trading Systems Inc.	Options	Morabito, Mark Joseph	4	2021-03-12	50		500,000	250,000
Voleo Trading Systems Inc.	Options	Taylor, Anthony, Philip	4	2021-03-12	50		225,000	125,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-09-01	15	0.85	746,667	330,000
Voyager Digital Ltd.	Common Shares	Hanshe, Gerard	5	2021-03-15	10	22.61	78,875	-80,000
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Common Shares	Howlett, Brian	4, 5	2021-03-15	10	0.445	234,000	5,000
Wajax Corporation	2018 Performance Share Units	Auld, Stuart Harrison	5	2021-03-11	38	20.76	0	-7,811
Wajax Corporation	Common Shares	Auld, Stuart Harrison	5	2021-03-11	38	20.76	5,806	1,405
Wajax Corporation	2018 Performance Share Units	Carson, Trevor	5	2021-03-11	38	20.76	0	-1,674
Wajax Corporation	Common Shares	Carson, Trevor	5	2021-03-11	38	20.76	300	300
Wajax Corporation	2018 Performance Share Units	Deck, Steven	5	2021-03-11	38	20.76	0	-8,880
Wajax Corporation	Common Shares	Deck, Steven	5	2021-03-11	38	20.76	12,550	1,597
Wajax Corporation	2018 Performance Share Units	Foote, Alan Mark	4	2021-03-11	38	20.76	0	-32,841
Wajax Corporation	Common Shares	Foote, Alan Mark	4	2021-03-11	38	20.76	107,295	5,907
Wajax Corporation	2018 Performance Share Units	Stretton, Irene	5	2021-03-11	38	20.76	0	-689
Wajax Corporation	Common Shares	Stretton, Irene	5	2021-03-11	38	20.76	514	123
Wajax Corporation	2018 Performance Share Units	Tam, Andrew	5	2021-03-11	38	20.76	0	-1,600
Wajax Corporation	Common Shares	Tam, Andrew	5	2021-03-11	38	20.76	5,600	288
Waseco Resources Inc.	Options	bartlett, derek	4	2021-03-15	52	0.075	0	-400,000
Waseco Resources Inc.	Options	Williams, Richard David	4, 5	2021-03-16	52	0.075	0	-400,000
Weekend Unlimited Industries Inc.	Options	Keane, Brian D.	4	2021-03-10	50	0.285	85,000	50,000
Weekend Unlimited Industries Inc.	Options	Lamb, Charles	4, 5	2021-03-10	50	0.285	282,000	200,000
Weekend Unlimited Industries Inc.	Options	Payment, Robert	5	2021-03-10	50	0.285	220,000	150,000
WesCan Energy Corp.	Common Shares	Busby, Gregory Timothy John	4, 5	2021-03-15	16	0.05	1,784,556	500,000
WesCan Energy Corp.	Common Shares	Cassels, John Hamilton	5	2021-03-15	11	0.05	1,206,668	500,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-15	10	83.09	944,100	-50,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-16	10	85.05	694,100	-250,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-16	10	84.566	471,900	-222,200
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-17	10	83.12	465,800	-6,100
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-18	10	82.45	312,300	-153,500
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-19	10	81.958	0	-312,300
West Fraser Timber Co. Ltd.	Common Shares	KETCHAM, HENRY HOLMAN III	4, 5	2021-03-12	47		317,168	-55,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-15	38	66.208	718,289	35,654
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-15	38	82.615	743,114	24,825
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-16	38	67.892	778,768	35,654
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-16	38	84.373	802,224	23,456
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-17	38	66.24	837,878	35,654
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-17	38	82.568	862,708	24,830
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-18	38	66.117	898,362	35,654
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-18	38	82.389	923,384	25,022
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-18	38		121,160	-802,224
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-19	38	65.272	156,814	35,654
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-19	38	81.626	182,550	25,736
West Vault Mining Inc.	Common Shares	Falcon, Kevin Matthew	4	2021-03-18	10	1.23	29,833	1,800
Westbridge Energy Corporation	Common Shares	Kelly, Scott	4, 5	2014-12-19	00			
Westbridge Energy Corporation	Common Shares	Kelly, Scott	4, 5	2021-03-10	90		1,400,000	1,400,000
Westbridge Energy Corporation	Common Shares	Kelly, Scott	4, 5	2021-03-10	90		0	-1,400,000
Western Forest Products Inc.	Common Shares	Alexander, Bruce Lindsay	5	2018-12-15	00			
Western Forest Products Inc.	Common Shares	Alexander, Bruce Lindsay	5	2021-03-17	51	1.05	47,620	47,620
Western Forest Products Inc.	Options	Alexander, Bruce Lindsay	5	2021-03-17	51	1.05	902,660	-47,620
Western Forest Products Inc.	Common Shares	Cillis, Laura Ann	4	2021-03-17	10	1.69	232,000	32,300
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-17	51	0.77	1,031,335	186,335
Western Forest Products Inc.	Options	Demens, Donald Eugene	5	2021-03-17	51	0.77	9,219,048	-465,000
Western Forest Products Inc.	Common Shares	Foster, Jennifer Eileen	5	2021-03-18	10	1.76	87,100	8,600

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Western Forest Products Inc.	Common Shares	Foster, Jennifer Eileen	5	2021-03-18	10	1.76	92,800	5,700
Western Forest Products Inc.	Common Shares	Foster, Jennifer Eileen	5	2021-03-18	10	1.76	31,200	5,700
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Bernardi, Curzio Domenico	5	2021-03-16	57	33.47	9,975	4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Bernardi, Curzio Domenico	5	2021-03-16	10	49.12	5,900	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Bernardi, Curzio Domenico	5	2021-03-16	50		205,800	25,940
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Bernardi, Curzio Domenico	5	2021-03-16	57	33.47	19,890	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Bernardi, Curzio Domenico	5	2021-03-16	56		25,460	5,570
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Bernardi, Curzio Domenico	5	2021-03-16	97		62,701	11,150
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brack, George Leslie	4	2021-03-16	57	33.47	14,015	2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brack, George Leslie	4	2021-03-16	57	33.47	15,998	-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brack, George Leslie	4	2021-03-16	56		18,808	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brough, John	4	2021-03-16	56		27,045	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brown, Gary Duncan	5	2021-03-16	57	33.47	34,538	4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brown, Gary Duncan	5	2021-03-16	10	49.12	30,463	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Brown, Gary Duncan	5	2021-03-16	50		183,650	25,940
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brown, Gary Duncan	5	2021-03-16	57	33.47	8,090	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brown, Gary Duncan	5	2021-03-16	56		13,660	5,570
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Brown, Gary Duncan	5	2021-03-16	97		62,701	11,150
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Drouin, Patrick Eugene	5	2021-03-16	57	33.47	2,960	2,960
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Drouin, Patrick Eugene	5	2021-03-16	10	49.12	0	-2,960
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Drouin, Patrick Eugene	5	2021-03-16	50		144,850	18,850
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Drouin, Patrick Eugene	5	2021-03-16	57	33.47	5,745	-2,960
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Drouin, Patrick Eugene	5	2021-03-16	56		9,795	4,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Drouin, Patrick Eugene	5	2021-03-16	97		44,400	8,100
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Gillin, Robert Peter Charles	4	2021-03-16	56		63,336	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Gosselin, Chantal	4	2021-03-16	56		38,490	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Hodaly, Haytham Henry	5	2021-03-16	57	33.47	4,075	4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Hodaly, Haytham Henry	5	2021-03-16	10	49.12	0	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Hodaly, Haytham Henry	5	2021-03-16	50		161,500	25,940
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Hodaly, Haytham Henry	5	2021-03-16	57	33.47	8,090	-4,075
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Hodaly, Haytham Henry	5	2021-03-16	56		13,660	5,570
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Hodaly, Haytham Henry	5	2021-03-16	97		62,701	11,150
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Holtby, Douglas Martin	7	2021-03-16	57	33.47	46,442	3,285
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Holtby, Douglas Martin	7	2021-03-16	10	49.12	43,157	-3,285
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Holtby, Douglas Martin	7	2021-03-16	57	33.47	6,625	-3,285
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Holtby, Douglas Martin	7	2021-03-16	56		11,235	4,610
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Ives, Glenn Antony	4	2021-03-16	56		4,040	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Jeannes, Charles A.	4	2021-03-16	56		10,940	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Luna, Eduardo	7, 5	2021-03-16	57	33.47	112,068	2,015

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Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Luna, Eduardo	7, 5	2021-03-16	10	49.12	110,053	-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Luna, Eduardo	7, 5	2021-03-16	57	33.47		-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Luna, Eduardo	7, 5	2021-03-16	57	33.47		-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Luna, Eduardo	7, 5	2021-03-16	57	33.47	42,844	-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Luna, Eduardo	7, 5	2021-03-16	56		45,654	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Schonberner, Marilyn Joy	4	2021-03-16	57	33.47	5,985	2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Schonberner, Marilyn Joy	4	2021-03-16	57	33.47	10,085	-2,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Schonberner, Marilyn Joy	4	2021-03-16	56		12,895	2,810
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-16	57	33.47	218,655	9,905
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-16	10	49.12	208,750	-9,905
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	51	23.26		250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	51	23.26		250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	10	49.342		-114,800
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	10	49.342		-114,800
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	51	23.26	458,750	250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-18	10	49.342	343,950	-114,800
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-19	10	49.29	303,750	-40,200
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Smallwood, Randy	5	2021-03-16	50		751,040	63,130
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Smallwood, Randy	5	2021-03-18	51	23.26		-250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Smallwood, Randy	5	2021-03-18	51	23.26		-250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Smallwood, Randy	5	2021-03-18	51	23.26	501,040	-250,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Smallwood, Randy	5	2021-03-16	57	33.47	19,680	-9,905
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Smallwood, Randy	5	2021-03-16	56		33,240	13,560
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Smallwood, Randy	5	2021-03-16	97		152,582	27,120
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Tatarikin, Nikola	5	2021-03-16	57	24.11	23,920	3,115
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Tatarikin, Nikola	5	2021-03-16	50		73,420	17,990
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Tatarikin, Nikola	5	2021-03-16	57	24.11	6,090	-3,115
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Tatarikin, Nikola	5	2021-03-16	56		9,920	3,830
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Tatarikin, Nikola	5	2021-03-16	97		45,601	7,650
Whitecap Resources Inc.	Common Shares	Dunlop, Darin Roy	5	2021-03-19	47	5.45	292,317	-3,220
Wilmington Capital Management Inc.	Options	Casgrain, Tim	3, 4	2021-03-12	50	3.75	85,000	35,000
Wilmington Capital Management Inc.	Options	Cockwell, Ian G.	4, 5	2021-03-12	50	3.75	85,000	35,000
Wilmington Capital Management Inc.	Options	Cooke, John Francis	5	2021-03-12	50	3.75	50,000	35,000
Wilmington Capital Management Inc.	Options	Craddock, Patrick Richard	5	2021-03-12	50	3.75	170,000	50,000
Wilmington Capital Management Inc.	Options	Grypiuk, Shane	7	2021-03-12	50	3.75	85,000	10,000
Wilmington Capital Management Inc.	Options	Killi, Christopher	4, 5	2021-03-12	50	3.75	225,000	75,000
Wilmington Capital Management Inc.	Options	KILLI, Joseph F.	4, 6	2021-03-12	50	3.75	85,000	35,000
Wilmington Capital Management Inc.	Options	KILLI, Joseph F.	4, 6	2021-03-12	50	3.75		35,000

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Wilmington Capital Management Inc.	Options	KILLI, Joseph F.	4, 6	2021-03-12	50	3.75		35,000
Wilmington Capital Management Inc.	Options	POWELL, ALEXA JEAN	5	2021-03-12	50	3.75	75,000	25,000
Wilmington Capital Management Inc.	Options	Sardachuk, Marc Dale	4	2021-03-12	50	3.75	85,000	35,000
Windfall Geotek Inc.	Common Shares	Inwentash, Sheldon	6	2021-03-18	10	0.35	10,000,000	1,000,000
Windfall Geotek Inc.	Warrants	Inwentash, Sheldon	6	2021-03-18	10		2,000,000	1,000,000
Windfall Geotek Inc.	Common Shares	Kandanchatha, Dinesh	5	2021-03-17	11	0.35	5,022,069	226,415
Windfall Geotek Inc.	Warrants	Kandanchatha, Dinesh	5	2021-03-17	11	0.5	2,433,429	226,415
Windfall Geotek Inc.	Common Shares	ThreeD Capital Inc.	3	2021-03-18	10	0.35	10,000,000	1,000,000
Windfall Geotek Inc.	Warrants	ThreeD Capital Inc.	3	2021-03-18	10		2,000,000	1,000,000
Winston Gold Corp. (formerly Winston Gold Mining Corp.)	Options	Stewin, Stanley Allan	4	2021-03-17	50		1,180,000	1,000,000
WSP Global Inc.	Common Shares	Ouellette, Robert	5	2021-03-17	51	59.75	10,461	4,542
WSP Global Inc.	Common Shares	Ouellette, Robert	5	2021-03-17	51	57.98	13,050	2,589
WSP Global Inc.	Common Shares	Ouellette, Robert	5	2021-03-17	10	122	5,919	-7,131
WSP Global Inc.	Options	Ouellette, Robert	5	2021-03-17	51	59.75	17,386	-4,542
WSP Global Inc.	Options	Ouellette, Robert	5	2021-03-17	51	57.98	14,797	-2,589
Xenon Pharmaceuticals Inc.	Options	Empfield, James	5	2021-03-12	50		302,500	65,000
Xenon Pharmaceuticals Inc.	Options	Mortimer, Ian Charles	5	2021-03-12	50		774,340	100,000
Xenon Pharmaceuticals Inc.	Options	Pimstone, Simon Neil	4	2021-03-12	50		1,416,348	225,000
Xenon Pharmaceuticals Inc.	Options	Sherrington, Robin Paul	5	2021-03-12	50		397,754	65,000
Xenon Pharmaceuticals Inc.	Options	Von Seggern, Christopher	5	2021-03-12	50		160,000	60,000
XTM Inc.	Common Shares	Haber, Paul	4	2021-03-16	10	0.56	456,875	-80,625
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-15	38	1.2	5,200	5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-15	38		0	-5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-16	38	1.18	8,200	8,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-16	38		0	-8,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-17	38	1.1651	8,200	8,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-17	38		0	-8,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-18	38	1.1451	8,200	8,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-18	38		0	-8,200
Yamana Gold Inc.	Common Shares	Bouchard, Yohann	5	2021-03-19	57		141,160	4,171
Yamana Gold Inc.	Common Shares	Bouchard, Yohann	5	2021-03-19	10	5.77	138,888	-2,272
Yamana Gold Inc.	Restricted Shares	Bouchard, Yohann	5	2021-03-19	57		133,852	-4,171
Yamana Gold Inc.	Common Shares	CAMPBELL, RICHARD	5	2021-03-19	57		120,356	2,735
Yamana Gold Inc.	Common Shares	CAMPBELL, RICHARD	5	2021-03-19	10	5.77	118,866	-1,490
Yamana Gold Inc.	Restricted Shares	CAMPBELL, RICHARD	5	2021-03-19	57		113,325	-2,735
Yamana Gold Inc.	Common Shares	Fernandez-Tobar, Gerardo	5	2021-03-19	57		213,770	4,602
Yamana Gold Inc.	Common Shares	Fernandez-Tobar, Gerardo	5	2021-03-19	10	5.77	211,263	-2,507
Yamana Gold Inc.	Restricted Shares	Fernandez-Tobar, Gerardo	5	2021-03-19	57		132,590	-4,602
Yamana Gold Inc.	Common Shares	Gallinger, Ross Douglas	5	2021-03-19	57		99,340	4,659
Yamana Gold Inc.	Common Shares	Gallinger, Ross Douglas	5	2021-03-19	10	5.77	96,802	-2,538
Yamana Gold Inc.	Restricted Shares	Gallinger, Ross Douglas	5	2021-03-19	57		104,418	-4,659
Yamana Gold Inc.	Common Shares	LeBlanc, Jason	5	2021-03-19	57		154,855	2,050
Yamana Gold Inc.	Common Shares	LeBlanc, Jason	5	2021-03-19	10	5.77	153,738	-1,117
Yamana Gold Inc.	Restricted Shares	LeBlanc, Jason	5	2021-03-19	57		131,001	-2,050
Yamana Gold Inc.	Common Shares	Marrone, Peter	4, 5	2021-03-18	57		2,200,918	16,458
Yamana Gold Inc.	Common Shares	Marrone, Peter	4, 5	2021-03-18	10	5.8005	2,192,112	-8,806
Yamana Gold Inc.	Restricted Shares	Marrone, Peter	4, 5	2021-03-18	57		499,477	-16,458
Yamana Gold Inc.	Common Shares	Racine, Daniel	5	2021-03-19	57		575,388	2,735
Yamana Gold Inc.	Common Shares	Racine, Daniel	5	2021-03-19	10	5.77	573,898	-1,490
Yamana Gold Inc.	Restricted Shares	Racine, Daniel	5	2021-03-19	57		449,026	-2,735
Yamana Gold Inc.	Common Shares	Tsakos, Sofia	5	2021-03-19	57		242,961	4,103
Yamana Gold Inc.	Common Shares	Tsakos, Sofia	5	2021-03-19	10	5.77	240,726	-2,235
Yamana Gold Inc.	Restricted Shares	Tsakos, Sofia	5	2021-03-19	57		125,907	-4,103
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-03-15	56	12.084	11,635	105
Yellow Pages Limited	Deferred Share Unit	Eckert, David Alan	5	2021-03-15	56	12.084	25,920	234
Yellow Pages Limited	Restricted Share Unit	Eckert, David Alan	5	2021-03-15	56	12.084	330,600	2,982
Yellow Pages Limited	Deferred Share Unit	Forman, Craig	4	2021-03-15	56	12.084	66,139	597
Yellow Pages Limited	Deferred Share Unit	Hall, Rob	4	2021-03-15	56	12.084	47,468	428
Yellow Pages Limited	Restricted Share Unit	King, Sherilyn Ann	5	2021-03-15	56	12.084	9,955	90
Yellow Pages Limited	Deferred Share Unit	Kudzman, Susan	4	2021-03-15	56	12.084	108,235	976
Yellow Pages Limited	Deferred Share Unit	Raina, Kalpana	4	2021-03-15	56	12.084	56,361	508
Yellow Pages Limited	Deferred Share Unit	Russo, Paul W.	4	2021-03-15	56	12.084	43,845	395

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Ynvisible Interactive Inc.	Common Shares	Kuusisto, Jani-Mikael	4, 5	2021-03-15	11		629,405	-629,405
Zephyr Minerals Ltd.	Options	Grant, John Frederick Dewar	4	2021-03-09	50	0.19	475,000	100,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	St-Georges Eco-Mining Corp.	3	2021-03-09	97			-11,249,825
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	St-Georges Eco-Mining Corp.	3	2021-03-09	97		8,750,175	-11,249,825
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	St-Georges Eco-Mining Corp.	3	2021-03-10	54	0.3		1,386,016
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Common Shares	St-Georges Eco-Mining Corp.	3	2021-03-10	54	0.3	10,136,191	1,386,016
Zymeworks Inc.	Common Shares	O'Driscoll, Kathryn	5	2021-03-15	10	34.72	5,003	-786
Zymeworks Inc.	Common Shares	O'Driscoll, Kathryn	5	2021-03-15	51	34.24	5,840	837
Zymeworks Inc.	Options	O'Driscoll, Kathryn	5	2021-03-15	51		148,535	-837

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Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

Canada Life Canadian Dividend Fund
Canada Life Canadian Focused Growth Fund
Canada Life Floating Rate Income Fund
Canada Life Foreign Equity Fund
Canada Life Global Balanced Fund
Canada Life Strategic Income Fund
Canada Life US All Cap Growth Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 17, 2021
NP 11-202 Final Receipt dated Mar 18, 2021

Offering Price and Description:

QF5 series units, QFW series units, N series units, N8 series units, Q series units, I series units, HW series units, L8 series units, H5 series units, L series units, D8 series units, HW5 series units, N5 series units, HW8 series units, QF series units, QFW5 series units, L5 series units, H series units, H8 series units and D5 series units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3168783

Issuer Name:

Emerge ARK Space Exploration Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 19, 2021
NP 11-202 Final Receipt dated Mar 22, 2021

Offering Price and Description:

Series A units, Series O units, ETF CAD Series units, ETF USD Series units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3171738

Issuer Name:

Invesco NASDAQ 100 Equal Weight Index ETF
Invesco NASDAQ Next Gen 100 Index ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Mar 18, 2021
NP 11-202 Preliminary Receipt dated Mar 19, 2021

Offering Price and Description:

CAD Hedged Units and CAD Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3189244

Issuer Name:

Mackenzie CL Canadian Dividend LP
Mackenzie CL Canadian Growth LP
Mackenzie CL Ivy Foreign Equity LP
Mackenzie CL Ivy Global Balanced (Fixed Income) LP
Mackenzie CL Ivy Global Balanced LP
Mackenzie CL Strategic Income (Fixed Income) LP
Mackenzie CL Strategic Income LP
Mackenzie CL US All Cap Growth LP
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 16, 2021
NP 11-202 Final Receipt dated Mar 19, 2021

Offering Price and Description:

Limited Partnership Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3170378

Issuer Name:

Manulife Climate Action Class
Manulife Climate Action Fund
Manulife U.S. Dollar U.S. Dividend Income Fund
Manulife U.S. Dollar U.S. Equity Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 19, 2021
NP 11-202 Preliminary Receipt dated Mar 19, 2021

Offering Price and Description:

Series FT6, Series T6, Series F and Advisor Series

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3189611

Issuer Name:

Dynamic Active Retirement Income+ ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Mar 16, 2021
NP 11-202 Final Receipt dated Mar 17, 2021

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3173966

Issuer Name:

Dynamic Active International ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Mar 16, 2021
NP 11-202 Final Receipt dated Mar 17, 2021

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3173964

Issuer Name:

Fidelity Asset Allocation Private Pool Trust
Fidelity Balanced Income Private Pool Trust
Fidelity Balanced Private Pool Trust
Fidelity Climate Leadership Balanced Fund
Fidelity Climate Leadership Bond Fund
Fidelity Climate Leadership Fund
Fidelity Global Intrinsic Value Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 22, 2021
NP 11-202 Preliminary Receipt dated Mar 22, 2021

Offering Price and Description:

Series F5 units, Series T5 units, Series I units, Series F units, Series O units, Series P3T5 units, Series B units, Series E4T5 units, Series E5 units, Series E1T5 units, Series A units, Series S8 units, Series P4 units, Series E4 units, Series T8 units, Series I8 units, Series F8 units, Series P2T5 units, Series P3 units, Series E3 units, Series E3T5 units, Series P5 units, Series P2 units, Series E2 units, Series P4T5 units, Series P1T5 units, Series S5 units, Series E2T5 units, Series P1 units, Series E1 units and Series I5 units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3190419

Issuer Name:

IG Aristotle U.S. Small Cap Class
IG Mackenzie Low Volatility Canadian Equity Class
IG Irish Life Low Volatility Global Equity Class
Principal Regulator - Manitoba

Type and Date:

Amendment #1 to Final Simplified Prospectus dated March 12, 2021
NP 11-202 Final Receipt dated Mar 16, 2021

Offering Price and Description:

Series A, Series B, Series JDSC, Series JNL and Series U Shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3088426

Issuer Name:

Templeton Global Bond Fund (Hedged)
Principal Regulator - Ontario

Type and Date:

Amendment #3 to Final Simplified Prospectus dated March 12, 2021

NP 11-202 Final Receipt dated Mar 17, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3059902

Issuer Name:

IG Mackenzie Low Volatility Canadian Equity Fund

IG Irish Life Low Volatility Global Equity Fund

IG Putnam U.S. Growth Fund II

IG Core Portfolio - Global Income

IG CI Canadian Balanced Fund

Principal Regulator - Manitoba

Type and Date:

Amendment #1 to Final Simplified Prospectus dated March 12, 2021

NP 11-202 Final Receipt dated Mar 16, 2021

Offering Price and Description:

Series A, Series B, Series C, Series JDSC, Series JNL, Series TC, Series TDSC, Series TJDSC, Series TJNL, Series TNL, Series TU and Series U Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3088395

Issuer Name:

Mackenzie Global Leadership Impact ETF
(to be renamed Mackenzie Global Women's Leadership ETF)

Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Long Form Prospectus dated March 15, 2021

NP 11-202 Final Receipt dated Mar 16, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3079126

Issuer Name:

Black Diamond Global Equity Fund

Black Diamond Distressed Opportunities Fund

Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated March 10, 2021

NP 11-202 Final Receipt dated Mar 16, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3102892

Issuer Name:

RBC Private Overseas Equity Pool

Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated March 19, 2021

NP 11-202 Final Receipt dated Mar 22, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3058745

Issuer Name:

NBI Floating Rate Income Fund
NBI Tactical Mortgage & Income Fund
NBI Dividend Fund
NBI Global Bond Fund
NBI Global Tactical Bond Fund
NBI Jarislowsky Fraser Select Income Fund
NBI Conservative Portfolio
National Bank Secure Diversified Fund
National Bank Conservative Diversified Fund
National Bank Moderate Diversified Fund
National Bank Balanced Diversified Fund
National Bank Growth Diversified Fund
NBI Jarislowsky Fraser Select Balanced Fund
NBI Strategic U.S. Income and Growth Fund
NBI Jarislowsky Fraser Select Canadian Equity Fund
NBI Canadian Equity Fund
NBI Small Cap Fund
NBI U.S. Dividend Fund
NBI SmartData U.S. Equity Fund
NBI SmartData International Equity Fund
NBI Diversified Emerging Markets Equity Fund
NBI Emerging Markets Fund (formerly NBI Westwood Emerging Markets Fund)
NBI Canadian Index Fund
NBI Canadian Equity Index Fund
NBI U.S. Index Fund
NBI U.S. Equity Index Fund
NBI U.S. Currency Neutral Index Fund
NBI International Index Fund
NBI International Equity Index Fund
NBI International Currency Neutral Index Fund
NBI Municipal Bond Plus Private Portfolio
NBI Canadian Diversified Bond Private Portfolio
NBI High Yield Bond Private Portfolio
NBI Canadian Small Cap Equity Private Portfolio
NBI International Equity Private Portfolio
NBI Real Assets Private Portfolio
Meritage Tactical ETF Fixed Income Portfolio
Meritage Canadian Equity Class Portfolio
Meritage Global Equity Class Portfolio
Meritage Growth Class Portfolio
Meritage Growth Plus Class Portfolio
Meritage Global Growth Class Portfolio
Meritage Global Growth Plus Class Portfolio
Principal Regulator - Quebec

Type and Date:

Amendment #5 to Final Simplified Prospectus dated March 9, 2021

NP 11-202 Final Receipt dated Mar 19, 2021

Offering Price and Description:

O Series Securities, Advisor Series Securities, F Series Securities, F5 Series Securities, T Series Securities, R-2 Series Securities, Advisor-2 Series Securities, Investor-2 Series Securities, F-2 Series Securities, NR Series securities, R Series Securities, NR Series Securities, U.S.\$-F Series Securities, T5 Series Securities, U.S.\$-Advisor Series Securities, Investor Series Securities, U.S.\$-O Series Securities, N Series Securities, U.S.\$-FT Series Securities, E Series Securities, U.S.\$-T Series Securities, O Series securities, Investor-2 Securities, FH Series Securities, N Series securities, F Securities, H Series Securities and FT Series Securities

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3031758

Issuer Name:

Mackenzie Global Credit Opportunities Fund
Mackenzie USD Global Tactical Bond Fund
Principal Regulator - Ontario

Type and Date:

Amendment #3 to Final Simplified Prospectus dated March
12, 2021

NP 11-202 Final Receipt dated Mar 16, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3093522

NON-INVESTMENT FUNDS

Issuer Name:

48North Cannabis Corp.
Principal Regulator - Ontario

Type and Date:

Amendment dated March 16, 2021 to Preliminary Short Form Prospectus dated March 11, 2021

NP 11-202 Preliminary Receipt dated March 17, 2021

Offering Price and Description:

Minimum Offering: \$4,200,000.00 (20,000,000 Units)

Maximum Offering: \$5,040,000.00 (24,000,000 Units)

Price: \$0.21 per Unit

Underwriter(s) or Distributor(s):

CANTOR FITZGERALD CANADA CORPORATION
CORMARK SECURITIES INC.

Promoter(s):

-

Project #3185878

Issuer Name:

Advance United Holdings Inc.

Type and Date:

Preliminary Long Form Prospectus dated March 15, 2021 (Preliminary) Received on March 16, 2021

Offering Price and Description:

No securities are being offered pursuant to this prospectus.

Underwriter(s) or Distributor(s):

-

Promoter(s):

James Atkinson

Project #3187256

Issuer Name:

Aurania Resources Ltd.

Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 17, 2021

NP 11-202 Preliminary Receipt dated March 17, 2021

Offering Price and Description:

\$6,750,000.00 • Units

PRICE: \$• PER UNIT

Underwriter(s) or Distributor(s):

CANTOR FITZGERALD CANADA CORPORATION
CANACCORD GENUITY CORP.
ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3188434

Issuer Name:

Aurania Resources Ltd.

Principal Regulator - Ontario

Type and Date:

Amendment dated March 18, 2021 to Preliminary Short Form Prospectus dated March 17, 2021

NP 11-202 Preliminary Receipt dated March 18, 2021

Offering Price and Description:

\$6,758,000.00 - 2,180,000 Units

PRICE: \$3.10 PER UNIT

Underwriter(s) or Distributor(s):

CANTOR FITZGERALD CANADA CORPORATION
CANACCORD GENUITY CORP.
ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3188434

Issuer Name:

Boat Rocker Media Inc.

Principal Regulator - Ontario

Type and Date:

Amendment dated March 16, 2021 to Preliminary Long Form Prospectus dated February 17, 2021

NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

\$170,100,000.00 - 18,900,000 Subordinate Voting Shares

Price: \$[*] per Subordinate Voting Share

Underwriter(s) or Distributor(s):

RBC DOMINION SECURITIES INC.
TD SECURITIES INC.

J.P. MORGAN SECURITIES CANADA INC.

BMO NESBITT BURNS INC.

SCOTIA CAPITAL INC.

CORMARK SECURITIES INC.

CANACCORD GENUITY CORP.

Promoter(s):

-

Project #3173008

Issuer Name:

Brookfield Business Partners L.P.

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated March 19, 2021

NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

US\$1,500,000,000.00 - Limited Partnership Units,

Preferred Limited Partnership Units, Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3189852

Issuer Name:

Cedarmont Capital Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary CPC Prospectus dated March 19, 2021
NP 11-202 Preliminary Receipt dated March 19, 2021

Offering Price and Description:

\$300,000.00 - 3,000,000 Common Shares Price: \$0.10 per
Common Share

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.

Promoter(s):

Jaimie Grossman
Jonathan Pollack
Mark Goodman

Project #3189631

Issuer Name:

Chorus Aviation Inc.
Principal Regulator - Nova Scotia

Type and Date:

Preliminary Short Form Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

\$50,094,000.00 - 10,890,000 Units and
\$50,000,000.00 - 6.00% Convertible Senior Unsecured
Debentures due June 30, 2026

Underwriter(s) or Distributor(s):

RBC Dominion Securities Inc.
CIBC World Markets Inc.
BMO Nesbitt Burns Inc.
Scotia Capital Inc.
Cormark Securities Inc.
National Bank Financial Inc.
TD Securities Inc.
Canaccord Genuity Corp.
Paradigm Capital Inc.

Promoter(s):

-

Project #3188008

Issuer Name:

CLS Holdings USA, Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated March 15, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

US\$25,000,000 Common Shares Preferred Shares Debt
Securities Subscription Receipts Warrants Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3187491

Issuer Name:

GTEC Holdings Ltd.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated March 16, 2021
NP 11-202 Preliminary Receipt dated March 17, 2021

Offering Price and Description:

\$20,000,000.00 - 25,000,000 Units
Price: \$0.80 per Unit

Underwriter(s) or Distributor(s):

DESJARDINS SECURITIES INC.
EIGHT CAPITAL

Promoter(s):

-

Project #3185597

Issuer Name:

Imperial Helium Corp.
Principal Regulator - Alberta

Type and Date:

Preliminary Long Form Prospectus dated March 17, 2021
NP 11-202 Preliminary Receipt dated March 18, 2021

Offering Price and Description:

56,059,468 Units Issuable on Conversion of Outstanding
Subscription Receipts
7,550,275 Shares Issuable on Conversion of Outstanding
Debentures

Underwriter(s) or Distributor(s):

-

Promoter(s):

Samuel Anthony Kyler Hardy
Project #3189094

Issuer Name:

Ion Energy Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

\$5,000,000.00 - 10,000,000 Units
Price: \$0.50 per Unit

Underwriter(s) or Distributor(s):

PI FINANCIAL CORP.
STIFEL NICOLAUS CANADA INC.

Promoter(s):

-

Project #3188084

Issuer Name:

LAURENTIAN BANK OF CANADA
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated March 15, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

\$1,000,000,000.00 - Debt Securities (subordinated
indebtedness) Common Shares Class A Preferred Shares
Subscription Receipts Warrants

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3187284

Issuer Name:

Leucrotta Exploration Inc.
Principal Regulator – Alberta

Type and Date:

Preliminary Short Form Prospectus dated March 19, 2021
NP 11-202 Preliminary Receipt dated March 19, 2021

Offering Price and Description:

\$30,000,080.00 - 41,096,000 Units
Per Unit: \$0.73

Underwriter(s) or Distributor(s):

Haywood Securities Inc.
Echelon Wealth Partners Inc.
Acumen Capital Finance Partners Limited
Desjardins Securities Inc.
ATB Capital Markets Inc.
Raymond James Ltd.
Stifel Nicolaus Canada Inc.
Beacon Securities Limited

Promoter(s):

-

Project #3189667

Issuer Name:

MDA Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

\$500,000,000.00 - * Common Shares
Price: \$* per Offered Share

Underwriter(s) or Distributor(s):

BMO Nesbitt Burns Inc.
Morgan Stanley Canada Limited
Scotia Capital Inc.
Barclays Capital Canada Inc.
RBC Dominion Securities Inc.
Canaccord Genuity Corp.
CIBC World Markets Inc.
National Bank Financial Inc.
Stifel Nicolaus Canada Inc.

Promoter(s):

-

Project #3190351

Issuer Name:

New Found Gold Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 19, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

Up to \$100,000,000.00 - Common Shares, Warrants,
Subscription Receipts, Units, Debt Securities, Share
Purchase Contracts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3190386

Issuer Name:

Perpetua Resources Corp. (formerly Midas Gold Corp.)
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 19, 2021
NP 11-202 Preliminary Receipt dated March 19, 2021

Offering Price and Description:

US\$100,000,000.00 - COMMON SHARES, WARRANTS,
SUBSCRIPTION RECEIPTS, UNITS

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3189700

Issuer Name:

PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)
Principal Regulator - Ontario

Type and Date:

Amendment dated March 15, 2021 to Preliminary Short
Form Prospectus dated March 4, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

A minimum of \$12,000,010.00 - 5,581,400 Common
Shares

Underwriter(s) or Distributor(s):

CORMARK SECURITIES INC.
STIFEL NICOLAUS CANADA INC.

Promoter(s):

-

Project #3182296

Issuer Name:

Roscan Gold Corporation (formerly, Roscan Minerals
Corporation)
Principal Regulator - Ontario

Type and Date:

Amendment dated March 16, 2021 to Preliminary Short
Form Prospectus dated March 15, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

Up to \$15,000,090.00 - Up to 35,714,500 Common Shares
PRICE: \$0.42 PER Common Share

Underwriter(s) or Distributor(s):

CLARUS SECURITIES INC.
BEACON SECURITIES LIMITED
ECHELON WEALTH PARTNERS INC.
CORMARK SECURITIES INC.
PARADIGM CAPITAL INC.

Promoter(s):

-

Project #3187126

Issuer Name:

SRHI Inc. (formerly Sprott Resource Holdings Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 19, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

\$10,010,000.00 - 18,200,000 Units
PRICE: \$0.55 PER UNIT

Underwriter(s) or Distributor(s):

PI FINANCIAL CORP.
EIGHT CAPITAL
RED CLOUD SECURITIES INC.

Promoter(s):

-

Project #3189846

Issuer Name:

TeraGo Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

TD SECURITIES INC.

Promoter(s):

-

Project #3190350

Issuer Name:

Titanium Transportation Group Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 16, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

\$35,000,250.00 - 9,333,400 Common Shares
Price: \$3.75 per Common Share

Underwriter(s) or Distributor(s):

CORMARK SECURITIES INC.
DESJARDINS SECURITIES INC.
PARADIGM CAPITAL INC.

Promoter(s):

-

Project #3185426

Issuer Name:

Vendasta Technologies Inc.
Principal Regulator - Saskatchewan

Type and Date:

Preliminary Long Form Prospectus dated March 16, 2021
NP 11-202 Preliminary Receipt dated March 16, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

CIBC WORLD MARKETS INC.
TD SECURITIES INC.
NATIONAL BANK FINANCIAL INC.
BMO NESBITT BURNS INC.
CANACCORD GENUITY CORP.
DESJARDINS SECURITIES INC.
PARADIGM CAPITAL INC.

Promoter(s):

-

Project #3187836

Issuer Name:

Vendasta Technologies Inc.
Principal Regulator - Saskatchewan

Type and Date:

Amendment dated March 22, 2021 to Preliminary Long
Form Prospectus dated March 16, 2021

NP 11-202 Preliminary Receipt dated March 22, 2021

Offering Price and Description:

\$100,000,000.00 - * Common Shares

Price: \$* per common share

Underwriter(s) or Distributor(s):

CIBC WORLD MARKETS INC.
TD SECURITIES INC.
NATIONAL BANK FINANCIAL INC.
BMO NESBITT BURNS INC.
CANACCORD GENUITY CORP.
DESJARDINS SECURITIES INC.
PARADIGM CAPITAL INC.

Promoter(s):

-

Project #3187836

Issuer Name:

Veteran Capital Corp.
Principal Regulator - Alberta

Type and Date:

Preliminary CPC Prospectus (TSX-V) dated March 19,
2021

NP 11-202 Preliminary Receipt dated March 19, 2021

Offering Price and Description:

Offering: \$225,000.00 or 2,250,000 Common Shares

Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

-

Project #3189685

Issuer Name:

Auxly Cannabis Group Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 18, 2021

NP 11-202 Receipt dated March 19, 2021

Offering Price and Description:

\$200,000,000.00 - COMMON SHARES PREFERRED
SHARES DEBT SECURITIES SUBSCRIPTION RECEIPTS
WARRANTS UNITS

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3176246

Issuer Name:

Boat Rocker Media Inc.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated March 19, 2021
NP 11-202 Receipt dated March 19, 2021

Offering Price and Description:

\$170,100,000.00 - 18,900,000 Subordinate Voting Shares
Price: \$9.00 per Subordinate Voting Share

Underwriter(s) or Distributor(s):

RBC DOMINION SECURITIES INC.
TD SECURITIES INC.
J.P. MORGAN SECURITIES CANADA INC.
BMO NESBITT BURNS INC.
SCOTIA CAPITAL INC.
CORMARK SECURITIES INC.
CANACCORD GENUITY CORP.

Promoter(s):

-

Project #3173008

Issuer Name:

Cen-ta Real Estate Ltd.

Type and Date:

Final Long Form Prospectus dated March 17, 2021
Received on March 19, 2021

Offering Price and Description:

0.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3173170

Issuer Name:

Eloro Resources Ltd.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 18, 2021
NP 11-202 Receipt dated March 18, 2021

Offering Price and Description:

Cdn\$21,750,000.00 - 5,800,000 Units
Price: Cdn\$3.75 per Unit

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.
CORMARK SECURITIES INC.
CANTOR FITZGERALD CANADA CORPORATION

Promoter(s):

-

Project #3184142

Issuer Name:

Energy Fuels Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 16, 2021
NP 11-202 Receipt dated March 18, 2021

Offering Price and Description:

US\$300,000,000.00 - Common Shares, Preferred Shares,
Warrants, Subscription Receipts, Debt Securities, Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3179995

Issuer Name:

Payfare Inc.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated March 15, 2021
NP 11-202 Receipt dated March 16, 2021

Offering Price and Description:

\$65,400,000.00 - 10,900,000 Common Shares
Price: \$6.00 per Common Share

Underwriter(s) or Distributor(s):
STIFEL NICOLAUS CANADA INC.

Promoter(s):

Marco Margiotta
Ryan Deslippe

Project #3170567

Issuer Name:

Giyani Metals Corp.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 19, 2021
NP 11-202 Receipt dated March 22, 2021

Offering Price and Description:

C\$10,002,800.00 - 14,710,000 Units
C\$0.68 per Unit

Underwriter(s) or Distributor(s):

CORMARK SECURITIES INC.
BEACON SECURITIES LIMITED

Promoter(s):

-

Project #3181569

Issuer Name:

Plum Financial Group Inc. (formerly Plum Financial
Planning Ltd.)

Type and Date:

Final Long Form Prospectus dated March 17, 2021
Received on March 19, 2021

Offering Price and Description:

0.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3173173

Issuer Name:

iFabric Corp.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 18, 2021
NP 11-202 Receipt dated March 18, 2021

Offering Price and Description:

\$11,499,996.30 - 2,948,717 Units Issuable upon
Conversion of 2,948,717 Subscription Receipts

Price: \$3.90

Underwriter(s) or Distributor(s):

STIFEL NICOLAUS CANADA INC.
IA PRIVATE WEALTH INC.
CANACCORD GENUITY CORP.

Promoter(s):

Hylton Karon
Hilton Price

Project #3175894

Issuer Name:

POCML 6 Inc.
Principal Regulator - Ontario

Type and Date:

Final CPC Prospectus dated March 17, 2021
NP 11-202 Receipt dated March 17, 2021

Offering Price and Description:

\$2,800,000.00 - 2,800,000 Common Shares
PRICE: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

IA PRIVATE WEALTH INC.

Promoter(s):

-

Project #3163460

Issuer Name:

Points International Ltd.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 22, 2021
NP 11-202 Receipt dated March 22, 2021

Offering Price and Description:

C\$27,513,750.00 - 1,467,400 Common Shares
Price: C\$18.75 per Offered Share

Underwriter(s) or Distributor(s):

ACUMEN CAPITAL FINANCE PARTNERS LIMITED
CORMARK SECURITIES INC.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.

Promoter(s):

-

Project #3183284

Issuer Name:

Rex Resources Corp.
Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated March 18, 2021
NP 11-202 Receipt dated March 18, 2021

Offering Price and Description:

3,000,000 COMMON SHARES AT A PRICE OF \$0.15 PER SHARE

Underwriter(s) or Distributor(s):

Mackie Reseach Capital Coporation

Promoter(s):

-

Project #3162783

Issuer Name:

Starlight U.S. Multi-Family (No. 2) Core Plus Fund
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated March 19, 2021
NP 11-202 Receipt dated March 19, 2021

Offering Price and Description:

Maximum: US\$170,800,000.00 of Class A Units and/or Class C Units and/or Class D Units and/or Class E Units and/or Class F Units and/or Class G Units and/or Class U Units, Price: C\$10.00 per Class A Unit, C\$10.00 per Class C Unit, C\$10.00 per Class D Unit, US\$10.00 per Class E Unit, C\$10.00 per Class F Unit, US\$10.00 per Class G Unit, US\$10.00 per Class U Unit

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3167992

Issuer Name:

Sun Life Financial Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 19, 2021
NP 11-202 Receipt dated March 19, 2021

Offering Price and Description:

\$5,000,000,000.00 - Debt Securities, Class A Shares, Class B Shares, Common Shares, Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3183407

Issuer Name:

Tamarack Valley Energy Ltd.
Principal Regulator - Alberta

Type and Date:

Final Short Form Prospectus dated March 18, 2021
NP 11-202 Receipt dated March 19, 2021

Offering Price and Description:

\$68,181,750.00 - 30,303,000 Common Shares \$2.25 per Common Share

Underwriter(s) or Distributor(s):

NATIONAL BANK FINANCIAL INC.
PETERS & CO. LIMITED
STIFEL NICOLAUS CANADA INC
CIBC WORLD MARKETS INC.
EIGHT CAPITAL
DESJARDINS SECURITIES INC.
ATB CAPITAL MARKETS INC.
BMO NESBITT BURNS INC.
RAYMOND JAMES LTD.

Promoter(s):

-

Project #3183492

Issuer Name:

Westport Fuel Systems Inc.
Principal Regulator - British Columbia

Type and Date:

Final Shelf Prospectus dated March 16, 2021
NP 11-202 Receipt dated March 17, 2021

Offering Price and Description:

U.S.\$400,000,000 Common Shares Preferred Shares Subscription Receipts Warrants Debt Securities Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3183130

Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Change of Registration Category	Chronicle Investments Ltd.	From: Portfolio Manager and Exempt Market Dealer To: Portfolio Manager, Exempt Market Dealer, and Investment Fund Manager	March 17, 2021
Name Change	From: BNY Mellon Wealth Management, Advisory Services, Inc. To: Guardian Partners Inc.	Portfolio Manager, Exempt Market Dealer, and Investment Fund Manager	March 1, 2021
Voluntary Surrender	FSIMI Inc.	Portfolio Manager and Exempt Market Dealer	March 18, 2021
New Registration	RedJay Asset Management Inc.	Portfolio Manager and Exempt Market Dealer	March 22, 2021

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Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – Variation and Restatement of Recognition Order – Notice of Commission Approval

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

VARIATION AND RESTATEMENT OF RECOGNITION ORDER

NOTICE OF COMMISSION APPROVAL

The Commission issued an order (Variation Order) pursuant to section 144 of the *Securities Act* (Ontario) and subsection 78(1) of the *Commodity Futures Act* (Ontario), varying and restating an order dated May 16, 2008, as amended May 28, 2010, March 9, 2018 and October 22, 2020 recognizing IIROC as a self-regulatory organization.

The Variation Order clarifies and updates IIROC's terms and conditions of recognition and reporting requirements.

The Variation Order comes into effect on April 1, 2021 and is also published on the OSC website and in Chapter 2 of the OSC Bulletin, dated March 25, 2021.

13.1.2 Mutual Fund Dealers Association of Canada (MFDA) – Variation and Restatement of Recognition Order – Notice of Commission Approval

MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

VARIATION AND RESTATEMENT OF RECOGNITION ORDER

NOTICE OF COMMISSION APPROVAL

The Commission issued an order (Variation Order) pursuant to section 144 of the *Securities Act* (Ontario), varying and restating an order dated February 6, 2001, as amended on March 30, 2004, November 3, 2006, October 28, 2008, December 12, 2008, October 29, 2014, March 9, 2018 and October 22, 2020 recognizing the MFDA as a self-regulatory organization.

The Variation Order clarifies and updates the MFDA's terms and conditions of recognition and reporting requirements.

The Variation Order comes into effect on April 1, 2021 and is also published on the OSC website and in Chapter 2 of the OSC Bulletin, dated March 25, 2021.

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