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Chapter 1

Notices

1.1 Notices

1.1.1 Staff Notice 21-329 Guidance for Crypto-Asset Trading Platforms: Compliance with Regulatory Requirements – Joint Canadian Securities Administrators/Investment Industry Regulatory Organization of Canada



Joint Canadian Securities Administrators/
Investment Industry Regulatory Organization of Canada

Staff Notice 21-329
Guidance for Crypto-Asset Trading Platforms: Compliance with Regulatory Requirements

March 29, 2021

Part 1. Introduction

The Canadian Securities Administrators (**CSA**) and the Investment Industry Regulatory Organization of Canada (**IIROC** and, together with the CSA, **we**) are publishing this Notice to provide guidance on how securities legislation¹ applies to platforms (**Crypto Asset Trading Platforms**, or **CTPs**) that facilitate or propose to facilitate the trading of:

- crypto assets that are securities (**Security Tokens**), or
- instruments or contracts involving crypto assets, as indicated in CSA Staff Notice 21-327 *Guidance on the Application of Securities Legislation to Entities Facilitating the Trading of Crypto-Assets (CSA SN 21-327) (Crypto Contracts)*.

This Notice also includes an overview of the applicable existing regulatory requirements and areas where there may be flexibility in how the requirements apply to CTPs, provided the key risks are addressed. Appendix A of this Notice includes a description of the key risks related to CTPs.

This Notice does not introduce new rules specifically applicable to CTPs, as CTPs are already subject to existing requirements under securities legislation in Canada. Rather, where appropriate, it provides guidance on how the existing requirements of securities legislation may be tailored through terms and conditions on the registration or recognition of CTPs and through discretionary exemptive relief with appropriate conditions. This approach allows CTPs to operate with appropriate regulatory oversight.

The overall goal of the approach outlined in this Notice is to ensure there is a balance between needing to be flexible in order to foster innovation in the Canadian capital markets and meeting our regulatory mandate of promoting investor protection and fair and efficient capital markets.

This Notice discusses CTPs that operate in a manner similar to marketplaces² (referred to as "**Marketplace Platforms**") and other CTPs that are in the business of trading Security Tokens or Crypto Contracts that are not marketplaces (referred to as "**Dealer Platforms**"). In some situations, a CTP may be carrying out activities that have elements of both Marketplace Platforms and Dealer Platforms, and this Notice describes how existing regulatory requirements could apply to these CTPs. We note that, as this industry is still developing, a wide variety of CTP models are emerging. Depending on the business model and activities conducted by a CTP and the risks it creates, the regulatory treatment of one CTP may differ from another.

The guidance in this Notice focuses on CTPs that facilitate the trading of Security Tokens and/or Crypto Contracts. There may be platforms that facilitate the trading of other products or contracts that are structured as "traditional" derivatives and that also provide exposure to crypto assets (including commodity futures contracts, contracts for difference or swaps). We remind these platforms

¹ As defined in National Instrument 14-101 *Definitions* and includes legislation related to both securities and derivatives.

² A marketplace is defined in National Instrument 21-101 *Marketplace Operation (NI 21-101)*. A marketplace is an entity that brings together the orders of multiple buyers and sellers of securities, and in some jurisdictions, parties to certain types of derivatives, using established, non-discretionary methods through which buyers and sellers agree to the terms of a trade.

that they are subject to our jurisdiction and to existing regulatory requirements and that they should contact their local securities regulatory authority to discuss possible approaches to comply with securities legislation.³

In the future, the CSA plans to examine the regulatory framework that applies to dealers and marketplaces that trade over-the-counter derivatives more generally. Any proposal will be subject to the normal course process for consultation (including publication for comment).

The guidance in this Notice is intended to provide clarity regarding the steps that a CTP needs to take to comply with securities legislation, including interim steps that will allow a CTP to operate as they prepare to fully integrate into the Canadian regulatory structure. The CSA welcomes innovation. We recognize the continued evolution of fintech businesses, the infrastructure that supports such businesses, and both Canadian and foreign regulatory structures. This continued evolution may result in the tailoring of requirements or providing exemptions to accommodate their novel business and any developments, or result in alternative regulatory frameworks from the one described in this Notice being suitable for CTP business models.

Part 2. Background

Since the creation of Bitcoin in 2008, there has been growing investor interest in crypto assets and, in turn, a proliferation of CTPs that allow investors to trade these crypto assets. On March 14, 2019, the CSA and IIROC published Joint CSA/IIROC Consultation Paper 21-402 *Proposed Framework for Crypto-Asset Trading Platforms (CP 21-402)*. In CP 21-402, we outlined a proposed regulatory framework for CTPs, with a focus on Marketplace Platforms, and solicited comments in a number of areas to better understand the industry, its risks, and how regulatory requirements may be tailored for CTPs operating as marketplaces in Canada.

We received 52 comments in response and thank all those that provided comments. A summary of comments and responses is attached at Appendix C of this Notice.

We also met with CTPs and consulted extensively with industry stakeholders on issues specific to CTPs.

After having considered this additional information, we are providing guidance for both Marketplace Platforms and Dealer Platforms that is generally consistent with CP 21-402, but also contemplates an interim regulatory approach.

Part 3. Application of Securities Legislation to CTPs

The requirements that will be applicable to a CTP will depend on how it operates and what activities it undertakes. Generally, this will depend on whether the CTP operates as a Dealer Platform or a Marketplace Platform.

Below, we describe characteristics of Dealer Platforms and Marketplace Platforms and provide guidance on steps for CTPs to take in order to comply with securities legislation. We also provide guidance on the application process.

a. Dealer Platforms

The two most common characteristics of a CTP that suggest it would be a Dealer Platform and not a Marketplace Platform are as follows:

- it only facilitates the primary distribution of Security Tokens, and
- it is the counterparty to each trade in Security Tokens and/or Crypto Contracts, and client orders do not otherwise interact with one another on the CTP.

CTPs that are Dealer Platforms may also be engaged in other activities or perform other functions that marketplaces typically do not undertake. These include, but are not limited to:

- onboarding of retail clients onto the CTP,
- acting as agent for clients for trades in Security Tokens or Crypto Contracts, and
- offering custody of assets, either directly or through a third-party provider.

³ For example, certain dealers are in the business of trading contracts for difference and similar “over-the-counter” derivative products that are currently treated as both securities and derivatives for the purposes of securities legislation in certain jurisdictions, and therefore compliance with the registration and prospectus requirements is required (in certain jurisdictions, contracts for difference and other “over-the-counter” derivative products are exclusively derivatives and therefore compliance with registration and other applicable provisions is required). Another example relates to certain foreign marketplaces operating facilities or markets that trade derivatives (e.g., swap execution facilities) that currently operate their business locally under an exemption from the requirement to register as an exchange. Depending on the functions or operations of the platform that is in the business of trading derivatives, the platform may be operating as a dealer, a marketplace, a clearing agency or a combination of these categories, and therefore, registration or recognition requirements will apply.

i. Registration Categories for Dealer Platforms

The appropriate category of dealer registration for a Dealer Platform will depend on the nature of its activities.

If the Dealer Platform only facilitates distributions or the trading of Security Tokens in reliance on prospectus exemptions and does not offer margin or leverage, registration as an exempt market dealer, or in some circumstances, restricted dealer may be appropriate, although this would not preclude the Dealer Platform from seeking registration as an investment dealer. Dealer Platforms may not offer margin or leverage for Security Tokens unless they are registered as an investment dealer and are IIROC members.

Similarly, Dealer Platforms that trade Crypto Contracts are expected to be registered in an appropriate dealer category, and where they trade or solicit trades for retail investors that are individuals, they will generally be expected to be registered as investment dealers and be IIROC members, subject to the interim approach described below.

In Québec, Dealer Platforms that are in the business of trading Crypto Contracts that are derivatives will be required to register as derivatives dealers under the Québec Derivatives Act (**QDA**). Dealer Platforms that also create and market derivatives must be qualified by the Autorité des marchés financiers (**AMF**) before derivatives are offered to the public.⁴

We recognize that some of the requirements under securities legislation including, as applicable, National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) or the IIROC Dealer Member Rules may need to be tailored. Summaries of existing regulatory requirements applicable to dealers are included at Appendix C of CP 21-402.⁵ In the Summary of Comments and Responses to CP 21-402, at Appendix C of this Notice, we have indicated some of the areas where we think that flexibility in the application of existing regulatory requirements may be provided. We encourage Dealer Platforms to reach out to us to discuss their business models, the appropriate registration category and how requirements may be tailored. The CSA and, as applicable, IIROC may, on application, consider discretionary exemptions from existing applicable rules where the Dealer Platform demonstrates that it can comply with the policy intent of the existing regulatory requirements in alternative ways.

Existing registered firms introducing crypto asset products and/or services are required to report changes in their business activities to their principal regulator and, in the case of investment dealers, to IIROC. The proposed changes to activities may be subject to review to assess, among other requirements, whether there is adequate investor protection. If a Dealer Platform starts conducting marketplace activities that would cause it to be considered a Marketplace Platform, the regulatory framework applicable to Marketplace Platforms will also apply.

ii. Interim approach for Dealer Platforms trading Crypto Contracts

As noted above, to foster innovation and provide flexibility, the CSA has considered an interim approach that would facilitate the development and growth of Dealer Platforms trading Crypto Contracts, while ensuring that they operate within an appropriately regulated environment. We acknowledge that in some cases the time it takes to prepare for and obtain registration as an investment dealer and IIROC membership may delay operations or impact the development of such Dealer Platform's business in this nascent industry. Further, we understand that some CTPs are interested in a testing environment to assess the technical merits of their proposed platform. Accordingly, we contemplate that, as an interim measure, a Dealer Platform that trades Crypto Contracts may operate by seeking registration as a restricted dealer, provided it does not offer leverage or margin trading. The interim approach will be time limited and the Dealer Platform must take steps during the interim period to transition to a long-term regulatory framework.

We contemplate that under this interim approach Dealer Platforms that trade Crypto Contracts will be subject to terms and conditions that will be tailored to their business model, as appropriate, and that will address key risks to clients. This approach may also involve certain limitations on the Dealer Platform's activities which will be determined by the specific facts and circumstances of the Dealer Platform.

Dealer Platforms operating in New Brunswick, Nova Scotia, Ontario and Québec that trade Crypto Contracts are expected to submit applications for investment dealer registration and IIROC membership during the interim period. We expect that these Dealer Platforms will use the interim period to work actively and diligently to transition to investment dealer registration and obtain IIROC membership by the end of the interim period, which is generally expected to be two years.

In Québec, as noted above, Dealer Platforms in the business of trading Crypto Contracts that are derivatives will be required to seek registration as a derivatives dealer. Québec derivatives dealers are required to be IIROC members but, for the interim

⁴ The marketing of each derivative must also be authorized by the AMF, and such Dealer Platforms can offer derivatives to the public only as a registered derivatives dealer, or through a registered derivatives dealer.

⁵ Available at <https://www.osc.ca/en/securities-law/instruments-rules-policies/2/21-402>. Please note that Appendix C of CP 21-402 is not intended to be an exhaustive list of applicable requirements.

approach, Dealer Platforms may seek a time-limited exemption from this requirement. They will be subject to terms and conditions substantially similar to those imposed on Dealer Platforms registering in the restricted dealer category.⁶

Dealer Platforms seeking to continue to operate in Québec will also be expected to use the interim period to work actively and diligently to obtain IIROC membership by the end of the interim period, which is also generally expected to be two years.

The securities regulators in Alberta, British Columbia, Manitoba and Saskatchewan will consider other regulatory approaches during the interim period, as warranted. Dealer Platforms operating in these jurisdictions are expected to start the process for investment dealer registration and IIROC membership during the interim period or take other steps during the interim period, in consultation with their principal regulator, to transition to an acceptable long-term regulatory framework. The interim period is generally expected to be two years.

iii. Application Process

A Dealer Platform that only facilitates distributions or trading of Security Tokens in reliance on prospectus exemptions and does not offer margin or leverage, should submit an application for registration as an exempt market dealer or as an investment dealer.⁷ Registration in these categories is contemplated under the passport system described in Multilateral Instrument 11-102 *Passport System*.

As noted above, a Dealer Platform that will trade Crypto Contracts may be registered on an interim basis in the category of restricted dealer, with certain limitations on activities as noted above.

In Québec, a Dealer Platform that trades Crypto Contracts that are derivatives should submit to the AMF, at the same time and in addition to the registration application as a derivatives dealer, an application for a time-limited exemption from the requirement to obtain IIROC membership and other obligations of derivatives dealers that may not be relevant. In addition, the Dealer Platform will be required to submit a qualification application under the QDA.

Neither the restricted dealer nor the derivatives dealer category is contemplated under the passport system, but the application and the review will be coordinated among the jurisdictions where a registration application is submitted, with a view to harmonize the terms and conditions in the CSA jurisdictions to the greatest extent possible.

Additionally, a Dealer Platform that trades Crypto Contracts,

- may need discretionary exemptive relief in the applicable jurisdictions from the prospectus requirement to facilitate the distribution of Crypto Contracts since it will be subject to the prospectus requirement in most CSA jurisdictions, and
- may need discretionary relief from the over-the-counter trade reporting requirements in the applicable CSA jurisdictions,⁸ on the basis that it provides alternative reporting, if it is unable to comply with existing requirements.

Any applications for discretionary exemptive relief from regulatory requirements, including submissions regarding why that relief is appropriate, should accompany the registration application and include how key risks, including to investors and the integrity of the capital markets, are addressed.

b. Marketplace Platforms

A CTP is a Marketplace Platform if it:

- constitutes, maintains or provides a market or facility for bringing together multiple buyers and sellers or parties to trade in Security Tokens and/or Crypto Contracts;
- brings together orders of Security Tokens and/or Crypto Contracts of multiple buyers and sellers or parties of the contracts; and
- uses established, non-discretionary methods under which orders for Security Tokens and/or Crypto Contracts interact with each other and the buyers and sellers or parties entering the orders agree to the terms of a trade.

⁶ The AMF may consider, under special circumstances, granting a discretionary time-limited exemption from the qualification requirement as a transition to allow the filing of a qualification application within a certain timeframe.

⁷ A Dealer Platform trading Security Tokens may be required to operate with terms and conditions on registration that appropriately address the specific risks applicable to its business model. See Appendix A for a description of risks.

⁸ See Ontario Securities Commission Rule 91-507 *Trade Repositories and Derivatives Data Reporting*; Manitoba Securities Commission Rule 91-507 *Trade Repositories and Derivatives Data Reporting*; Multilateral Instrument 96-101 *Trade Repositories and Derivatives Data Reporting*; Québec Regulation 91-507 *respecting Trade Repositories and Derivatives Data Reporting*.

Some commenters have suggested that there is no centralized marketplace involved when a digital ledger (such as blockchain) is used to record “trades” agreed to between the parties. However, in many circumstances the individual trades on the CTP are not recorded on the digital ledger. Rather, the digital ledger is only used to record transactions where the customer delivers crypto assets to the CTP or takes delivery of crypto assets from the CTP. In our view, if the orders of multiple buyers and sellers or parties are brought together on a third-party facility, and the interaction of those orders results in a trade, that facility acts as a marketplace.

A Marketplace Platform may also perform traditional dealer functions, including holding assets and other functions like those mentioned in the preceding section on Dealer Platforms.

In any case, Marketplace Platforms are in the business of trading in securities and/or derivatives and, unless they are regulated as an exchange (as described below), should seek registration as described below.

i. Regulatory Requirements for Marketplace Platforms

Similar to the manner in which alternative trading systems (ATS)⁹ are regulated today, a Marketplace Platform will operate under the oversight of the CSA and a self-regulatory entity, as defined in NI 21-101.¹⁰ Currently, the only self-regulatory entity that fits this definition is IIROC.

As a starting point, the concepts described in the provisions applicable to marketplaces outlined in NI 21-101, National Instrument 23-101 *Trading Rules (NI 23-101)* and National Instrument 23-103 *Electronic Trading and Direct Electronic Access to Marketplaces (NI 23-103)* are generally relevant to Marketplace Platforms and such provisions, or provisions comparable to those in NI 21-101, NI 23-101 and NI 23-103 will be applied to Marketplace Platforms.¹¹ In addition, we contemplate that the trading activity on a Marketplace Platform will be subject to market integrity requirements such as those in IIROC’s Universal Market Integrity Rules (UMIR), or provisions consistent with those in the UMIR. However, we anticipate that tailoring of such requirements may be appropriate to accommodate the novel aspects of CTPs. At Appendix B, we have outlined certain core market integrity requirements that we anticipate would be relevant to trading on Marketplace Platforms.

ii. Regulatory Requirements for Marketplace Platforms that also Conduct Dealer Activities

As noted above, some Marketplace Platforms also conduct activities similar to those performed by Dealer Platforms, such as granting direct access to investors (retail and institutional), trading as a counterparty to their clients or providing custody of assets. Where a Marketplace Platform performs these functions, it would also be subject to the appropriate dealer requirements discussed above. Furthermore, depending on the circumstances and the CTP’s business model, such dealer activities may have to be conducted through a separate entity or business unit which would need to meet the applicable regulatory requirements or separated through ethical walls.

For reference, summaries of the key regulatory requirements applicable to marketplaces and dealers are included at Appendices B and C of CP 21-402, respectively.¹² We note, however, that there will be flexibility regarding how the requirements will apply. Some of the above requirements will not be relevant or may necessitate customization or tailoring as a result of the functions being performed, or the operational model of, the Marketplace Platform. As is currently the case for most ATs, certain requirements in NI 31-103 and many of the IIROC Dealer Member Rules may not apply to a Marketplace Platform that operates as a trading venue only and does not perform any dealer activities (for example, no custody or retail client on-boarding). In the context of Marketplace Platforms that also have dealer functions, IIROC and/or the CSA may, on application by a CTP, consider discretionary exemptions from existing applicable rules where the Marketplace Platform demonstrates that it can comply with the policy intent of the existing regulatory requirements in alternative ways, or where its operational model is such that compliance with the specific requirement is impractical, but the risks, described in Appendix A of this Notice, can be appropriately managed in another way.

In the Summary of Comments and Responses to CP 21-402 at Appendix C, we have indicated some of the areas where we think that flexibility in the application of existing regulatory requirements may be provided. In Appendix B we have also outlined the IIROC requirements that are expected to apply and where there may be flexibility in the application of IIROC Dealer Member Rules or the UMIR.

iii. Marketplace Platform as an Exchange

In some cases, it may be appropriate to regulate a Marketplace Platform as an exchange. For example, if a Marketplace Platform trades Security Tokens and regulates issuers of those securities, or if it regulates and disciplines its trading participants other than

⁹ As defined in NI 21-101 and, in Ontario, in the *Securities Act* (Ontario).

¹⁰ A self-regulatory entity is defined in NI 21-101 as a self-regulatory body or self-regulatory organization that (i) is not an exchange, and (b) is recognized as a self-regulatory body or self-regulatory organization by the securities regulatory authority.

¹¹ Certain jurisdictions intend to apply requirements that are comparable to the referenced marketplace rules and oversight structures as applicable in the circumstances to Marketplace Platforms trading over-the-counter derivatives because these rules do not extend to over-the-counter derivatives in these jurisdictions.

¹² Available at <https://www.osc.ca/en/securities-law/instruments-rules-policies/2/21-402>

by merely denying them access to the platform,¹³ the Marketplace Platform may be carrying on business as an exchange and would be expected to seek recognition or, if appropriate, an exemption from recognition as an exchange. In these cases, the Marketplace Platform will be expected to oversee its issuers' continuing compliance with the listing requirements of the Marketplace Platform and regulate the operations and standards of practice and business conduct of its members and their representatives, directly or indirectly.¹⁴ The Marketplace Platform will be subject to a public interest mandate because it exercises regulatory functions and it will have to have rules requiring compliance with securities legislation and provide appropriate sanctions of violations of such rules.

iv. *Interim Approach for Marketplace Platforms*

We acknowledge that, in some cases, a Marketplace Platform may wish to conduct a pilot to, for example, test a novel business idea or a proposed new market, or the time it takes to prepare for obtain registration and IIROC membership may delay operations or impact the development of a Marketplace Platform's business. In these circumstances, provided that the Marketplace Platform is not offering leverage or margin and are not exchanges, it could seek registration as an exempt market dealer or restricted dealer, as appropriate, for a limited period of time. If Marketplace Platforms perform exchange functions, we would consider whether recognition as an exchange or an exemption is needed in the interim.

Marketplace Platforms operating in New Brunswick, Nova Scotia, Ontario and Québec are expected to start the process for registration as an investment dealer and IIROC membership, or the process for recognition or exemption from recognition as an exchange, as applicable, during the interim period, which is generally expected to be two years.

The securities regulators in Alberta, British Columbia, Manitoba and Saskatchewan will consider other regulatory approaches during the interim period, as warranted. Marketplace Platforms operating in these jurisdictions are expected to start the process for investment dealer registration and IIROC membership, or the process for recognition or exemption from recognition as an exchange, during the interim period or take other steps during the interim period, in consultation with their principal regulator, to transition to an acceptable long-term regulatory framework. The interim period is generally expected to be two years.

v. *Application Process*

We would generally expect that a Marketplace Platform that is not an exchange would apply for registration as an investment dealer and seek IIROC membership, unless it is pursuing the interim approach described above. The Marketplace Platform should include with its application information similar to that currently included in Form 21-101F2 *Information Statement Alternative Trading System*.¹⁵ The process for IIROC membership is described on IIROC's website.¹⁶

A Marketplace Platform that is an exchange would apply for recognition as an exchange. It would submit an application describing how it meets certain criteria for recognition¹⁷ and the information currently included in *Form 21-101F1 Information Statement Exchange or Quotation and Trade Reporting System*.¹⁸

A Marketplace Platform that wishes to pursue the interim approach described above would make application to applicable securities regulatory authorities for registration as an exempt market dealer or restricted dealer, as described in paragraph iv. above.

As indicated above, ensuring market integrity is critical for the management of the risks associated with trading on a Marketplace Platform. As a result, a Marketplace Platform that seeks to use the interim approach and register as a restricted dealer or exempt market dealer for a limited period of time must satisfy the regulator that it appropriately manages the risks relating to trading. Key to this is the existence of rules and processes to monitor trading and the availability of resources, including staff who understand trading activities and can monitor trading on the Marketplace Platform. Marketplace Platforms seeking to employ surveillance solutions during this interim period would need to ensure they have the requisite capabilities to do so, having regard to the marketplace they will operate and the restrictions or limitations that will be applied during the interim period.

During the period of interim registration, we anticipate imposing appropriate limitations on the types of activities undertaken by Marketplace Platforms in order to mitigate the risks, which will depend on the Marketplace Platform's operational model and the risks it presents. Such constraints could include: limits on the number and types of products traded, the types or number of participants, or on the amount invested by any particular participant.

¹³ "Discipline" involves more than just denying access, it may entail fines and reprimands and requires a disciplinary framework that offers the participant due process.

¹⁴ An exchange may retain a regulation services provider to provide these functions. See section 7.1(2) of NI 23-101 To date, all of the equity exchanges have retained IIROC as their regulation services provider.

¹⁵ Available at <https://www.osc.ca/en/securities-law/instruments-rules-policies/2/21-101/unofficial-consolidation-form-21-101f2>.

¹⁶ At <https://www.iroc.ca/industry/registrationmembership/Pages/Becoming-a-Regulated-Marketplace.aspx>

¹⁷ The criteria and the process for becoming a recognized exchange are available at <https://www.osc.ca/en/industry/market-regulation/marketplaces/exchanges>

¹⁸ Available at <https://www.osc.ca/en/securities-law/instruments-rules-policies/2/21-101/unofficial-consolidation-form-21-101f1>

Relevant to the determination of appropriate limitations could be:

- whether the Marketplace Platform provides any advice to participants,
- whether the Marketplace Platform trades on a proprietary basis, and
- whether there is any differentiation between client types (e.g., the sophistication and experience of the participant).

Any applications for discretionary exemptive relief from regulatory requirements, including submissions regarding why that relief is appropriate, should accompany the registration application or, in the case of Marketplace Platforms that are exchanges, the application for recognition or exemption from recognition as an exchange. Similar to Dealer Platforms, Marketplace Platforms that trade Crypto Contracts may also need exemptive relief from the prospectus requirement to facilitate the distribution of Crypto Contracts and from the over-the-counter trade reporting requirements.

c. Additional Considerations in the Context of Clearing and Settlement

A CTP may also perform clearing functions and may be a clearing agency or a clearing house under securities legislation. In some CSA jurisdictions:

- a registered dealer or recognized exchange is exempt from clearing agency recognition as dealers and exchanges are excluded from the definition of clearing agency
- the CTP is exempt from clearing agency recognition if the clearing functions are only an incidental component of its principal business, or
- the CTP may require recognition or need to seek an exemption from recognition as a clearing agency or a clearing house.

In order to provide flexibility in these cases, we will look at the specific risks presented by the clearing functions in order to determine whether a CTP will be required to be recognized as a clearing agency or exempted from the requirement to be recognized and what terms and conditions should apply. Certain requirements that are applicable to clearing agencies set out in National Instrument 24-102 *Clearing Agency Requirements*, such as policies, procedures and controls to address comprehensive management of risks including systemic risk, legal risk, credit risk, liquidity risk, general business risk, custody and investment risk and operational risk, may be appropriate to apply to a CTP to mitigate the risks associated with the clearing functions it performs. We anticipate imposing terms and conditions on the CTP's registration or its recognition or exemption order to address these risks. CTPs that offer clearing services should discuss these functions with the appropriate securities regulatory authority so that the appropriate approach is determined.

For Marketplace Platforms, we also note that existing requirements applicable to marketplaces in NI 21-101 require all trades executed on a marketplace to be reported and settled through a regulated clearing agency. Currently, there are no clearing agencies recognized in Canada for transactions in Security Tokens and Crypto Contracts. As a result, in some jurisdictions, Marketplace Platforms will need to apply for an exemption from the requirement in NI 21-101 and explain how the risks are otherwise addressed.

d. IIROC Membership Process for Entities with Novel Business Models

As noted above, we expect it would be appropriate that some CTPs become IIROC members. IIROC recognizes the need to be flexible and foster innovation and has therefore established a path to membership for businesses or entities with novel business models, including Marketplace or Dealer Platforms that do not necessarily fit in the existing IIROC membership structure.

The process for reviewing a membership application from an entity with a novel business model would differ from the existing IIROC processes in that IIROC would review the new elements of a Marketplace or Dealer Platform's business model and determine:

- how best to apply current requirements; and
- whether any exemptions from IIROC requirements and/or time-limited terms and conditions are appropriate.

IIROC expects that entities with novel business models would be granted membership with time-limited terms and conditions and exemptions that take into account the new aspects of the entity's operations.¹⁹ This is in contrast with its approach to current

¹⁹ IIROC will work with the CSA to determine whether any of the terms and conditions imposed by the CSA will continue to apply in the form granted by the CSA or in a modified form.

Dealer Members, through which IIROC generally imposes all its applicable requirements without additional exceptions or terms and conditions on their membership.

IIROC will apply this application review process for novel business models to a Marketplace or Dealer Platform that demonstrates:

- a new business model which presents unique features not consistent with current IIROC membership categories;
- that it has a business plan or road map; and
- potential investor benefits.

As part of the application review process for novel business models, IIROC will:

- assess the applicable requirements for the Marketplace or Dealer Platform by reviewing their underlying policy objectives and determine whether the applicable requirements need to be modified in the context of a CTP's new business model;
- collaborate with the Marketplace or Dealer Platform to ensure it develops appropriate policies and procedures to comply with applicable IIROC requirements;
- place limits on the activity, products and/or number of clients, as appropriate; and
- conduct surveillance of trading activities as appropriate.

The review of these novel businesses will be conducted in partnership with the CSA, to ensure consistency of approach, coordination and agreement with respect to novel approaches to manage risks.

It is important that we continue to foster innovation but also promote investor protection and support fair and efficient markets. As CTPs and the environment within which they operate continue to evolve, we will continue to monitor this space and assess whether the approach described in this Notice for regulating CTPs remains appropriate and evolves with the industry.

Part 4. Complying with Securities Legislation

We encourage CTPs to consult with their legal counsel and to contact staff of their local securities regulatory authority on the appropriate steps to comply with securities legislation and IIROC rules.

As the technology and operational models of CTPs continue to evolve, the CSA and IIROC welcome continued dialogue with CTPs and stakeholders on issues that are developing and possible ways of complying with requirements and additional areas where flexibility may be appropriate.

We remind CTPs operating from outside Canada that have Canadian clients that they are expected to comply with Canadian securities legislation. CSA members may take new enforcement actions or continue existing actions against CTPs that do not and/or have not complied with Canadian securities legislation.

Part 5. Questions

Please refer your questions to any of the following CSA and IIROC staff:

Amanda Ramkissoon Senior Regulatory Adviser, OSC LaunchPad Ontario Securities Commission aramkissoon@osc.gov.on.ca	Ruxandra Smith Senior Accountant, Market Regulation Ontario Securities Commission ruxsmith@osc.gov.on.ca
Gloria Tsang Senior Legal Counsel, Compliance and Registrant Regulation Ontario Securities Commission gtsang@osc.gov.on.ca	Timothy Baikie Senior Legal Counsel, Market Regulation Ontario Securities Commission tbaikie@osc.gov.on.ca
Lise Estelle Brault Senior Director, Data Value Creation, Fintech and Innovation Autorité des marchés financiers Lise-estelle.brault@lautorite.qc.ca	Serge Boisvert Senior Policy Advisor Autorité des marchés financiers Serge.boisvert@lautorite.qc.ca

<p>Nataly Carrillo Senior Policy Advisor Autorité des marchés financiers nataly.carrillo@lautorite.qc.ca</p>	<p>Sophie Jean Executive Advisor, Supervision of Intermediaries Autorité des marchés financiers Sophie.Jean@lautorite.qc.ca</p>
<p>Denise Weeres Director, New Economy Alberta Securities Commission Denise.weeres@asc.ca</p>	<p>Katrina Prokopy Senior Legal Counsel, Market Regulation Alberta Securities Commission Katrina.prokopy@lautorite.qc.ca</p>
<p>Cathy Tearoe Senior Legal & Policy Counsel New Economy Alberta Securities Commission Cathy.tearoe@asc.ca</p>	<p>Dean Murrison Executive Director, Securities Division Financial and Consumer Affairs Authority of Saskatchewan Dean.murrison@gov.sk.ca</p>
<p>Michael Brady Manager, Derivatives British Columbia Securities Commission mbrady@bcsc.bc.ca</p>	<p>Rina Jaswal Senior Legal Counsel, Capital Markets Regulation British Columbia Securities Commission jaswal@bcsc.bc.ca</p>
<p>Peter Lamey Legal Analyst, Corporate Finance Nova Scotia Securities Commission peter.lamey@novascotia.ca</p>	<p>Chris Besko Director, General Counsel The Manitoba Securities Commission chris.besko@gov.mb.ca</p>
<p>David Shore Legal Counsel, Securities Division Financial and Consumer Services Commission (New Brunswick) david.shore@fcnb.ca</p>	<p>Sonali GuptaBhaya Director, Market Regulation Policy IIROC sguptabhaya@iiloc.ca</p>
<p>Victoria Pinnington Senior Vice President, Market Regulation IIROC vpinnington@iiloc.ca</p>	

APPENDIX A**CTP RISKS AND APPLICABLE REGULATORY REQUIREMENTS**

The introduction of CTPs to the market brings with it the introduction of risks, both to the market and its participants. Like traditional dealers and marketplaces, the regulatory requirements applicable to CTPs will be focused on managing and addressing those risks. Below we discuss in more detail the key risks relating to CTPs.

a. Safeguarding Investor Assets where a Dealer Platform or Marketplace Platform has Custody

Some Dealer Platforms and Marketplace Platforms may have custody of assets (or private keys). A key risk respecting CTPs that perform this function is the risk of loss of those assets. We recognize that the mechanism for “custody” in the crypto asset context may be different between business models, yet a risk of loss, theft or bankruptcy remains. We are of the view that safeguarding investor assets is critical, and CTPs will be expected to manage the associated risks.

Managing risks

Existing regulatory requirements for market participants with custody activities are included in NI 31-103 and in IIROC rules (see Appendix B for additional detail). Dealer Platforms and Marketplace Platforms that offer custody services must manage this risk by measures that would ensure the security of their participants’ assets, including the following:

- properly segregating their participants’ assets and private keys from their own;
- maintaining adequate record-keeping to be able to confirm participants’ holdings at all times;
- maintaining policies and procedures to protect participants’ assets and private keys from theft or loss, including policies and procedures governing when participants’ assets are placed in and removed from cold storage and how private keys are created and stored;
- maintaining policies and procedures covering segregation of duties and key person risk;
- having sufficient financial resources and insurance, including insurance against the risk of loss, or alternative risk mitigation strategies;
- conducting due diligence before retaining a custodian;
- requiring that the CTPs have access to necessary books and records, and monitor the custodian’s ongoing performance, internal controls and compliance with regulatory requirements; and
- sufficient risk mitigation regarding the custody of Securities Tokens or crypto assets underlying Crypto Contracts such as obtaining an independent report from a reputable accounting firm providing assurance on the suitability of the design of, and operating effectiveness of, the custodian’s controls around the systems and processes in place to safeguard participants’ assets (e.g. System and Organization Controls (SOC) 2 Type 1 and 2 report for service organizations).

We acknowledge that this is an evolving market and new custodial models may emerge over time. We will review such models on a case-by-case basis in order to assess whether the risks associated with asset custody are properly addressed. In the process, we will consider the practices identified in the responses to comments and as developed by the industry from time to time.

b. Access to Marketplace Platforms

This relates to the risk that a Marketplace Platform does not have fair and transparent criteria regarding access to its services to ensure that it does not unreasonably discriminate between participants. The Marketplace Platform will be required to ensure they do not unreasonably prohibit, condition or limit access to its platform. It will also be required to articulate who can access the Platform and make transparent its access requirements.

Managing risks

Existing regulatory requirements relating to access are found in Part 5 of NI 21-101. Section 5.1 of NI 21-101 requires that a Marketplace Platform not unreasonably prohibit, condition or limit access by participants to its Platform. This does not mean a Marketplace Platform has to admit any person seeking access but would prohibit a Marketplace Platform from unreasonably discriminating between its participants. It would also require a Marketplace Platform to articulate who can access the Platform, apply the criteria fairly and on a non-discriminatory basis, and document grants and denials of access. Access requirements are required to be transparent and be made available on a Marketplace Platform’s website.

c. System Resiliency, Integrity and Security Controls

System resiliency, reliability and security controls are important for investor protection and market integrity, especially when the CTP maintains custody of participant's assets including through holding the private keys. System failures or inadequate protection against cyber-attacks may result in a CTP's participants being unable to access their crypto assets or may lead to losses due to theft.

Managing risks

Currently, marketplaces are required by Part 12 of NI 21-101 to have adequate internal and information technology controls over their trading, surveillance and clearing systems and information security controls over these systems. It is expected that these would cover cyber-resilience, security threats and cyber-attacks. Marketplaces are also required to maintain business continuity and disaster recovery plans. They must also engage an external auditor to conduct an independent systems review (**ISR**) to assess whether they have adequate internal and information technology processes and controls.

As noted in the responses to the Summary of Comments at Appendix C, we acknowledge the need to consider flexibility in applying the NI 21-101 requirements to Marketplace Platforms, and will consider alternative approaches to demonstrating system integrity, reliability and security where the risks are otherwise appropriately managed. We would consider each Marketplace Platform request on a case-by-case basis in order to determine the scope of its ISR, or whether an exemption, subject to terms and conditions as necessary, is appropriate.

d. Transparency about the CTP's Operations and the Crypto Assets Traded on the CTP

It is important that participants on a CTP understand its operations. This enables them to make informed decisions regarding whether and how to participate on the CTP and what risks they are willing to take.

CTPs will be required to provide adequate transparency regarding, among others, its operations, fees, conflicts of interest policies and procedures and any referral arrangements on its website.

Managing risks

Under NI 21-101, a marketplace is required to make transparent, on its website, a description of how its orders are entered, interact and are executed, the order and trade information disseminated, the hours of operations, its fees, its affiliates' fees, access requirements, conflicts of interest policies and procedures as well as any referral arrangements between the marketplace and its service providers. We expect Marketplace Platforms to also make this information publicly available, in order to allow their participants to make informed decisions. The information that should be disclosed includes:

- a description of the crypto assets trading on the Marketplace Platform including, where applicable, references to underlying projects;
- custodial arrangements and risks;
- ownership of the Marketplace Platform;
- conflicts of interest, including how they are managed, especially if the operator of the Marketplace Platform will trade on the marketplace against, or in competition with, clients' orders;
- rules for trading and, if applicable, for choosing which crypto assets will be admitted to or removed from trading on the Marketplace Platform; and
- policies for handling of forks, airdrops and other relevant events.

This additional information suggested by the commenters is useful, as it would ensure that a complete description of a Marketplace Platform's operations and risks is provided to existing and prospective participants. Marketplace Platforms may also disclose additional information, if necessary.

While Marketplace Platforms will have flexibility with respect to the content of information that will be ultimately disclosed, we will review their disclosure to determine whether it provides a Marketplace Platform's participants with all the information they need to understand how the Marketplace Platform operates, the products traded on it, the risks and whether it presents that information in a format that is understandable by the participant, in particular if retail investors have direct access to the Platform.

e. Market Integrity and Price Discovery

"Market integrity" risk relates to the risk that Marketplace Platforms may be susceptible to manipulative and deceptive trading. This may result from, for example, a lack of reliable pricing information for crypto assets, manipulative or fraudulent activity by one or more participants in buying and/selling crypto assets, or even manipulative or fraudulent activity involving other marketplaces

which are trading the same crypto asset. It also relates to investor confidence, where investors know that rules regulating market conduct are set and those rules are appropriately monitored and enforced.

Managing risks

Those trading on marketplaces are required to comply with rules governing trading and marketplaces are required to take steps so that trading activities are monitored and the rules are enforced. NI 21-101 and NI 23-101 set out the overarching securities laws. Equity exchanges have adopted UMIR, which govern trading in much more detail, and the exchanges have outsourced monitoring and enforcement of these rules to IIROC. The trading activities on other marketplaces that trade securities are also governed by UMIR (for equity securities) and monitored and enforced by IIROC, as a regulation services provider. In contrast, derivatives exchanges or marketplaces often have their own trading rules and conduct their own surveillance and enforcement.

Our expectation is that the starting point for the trading rules applicable in the context of a Marketplace Platform trading Securities Tokens or Crypto Contracts will be the requirements in UMIR. However, we recognize that in certain cases some specific aspects of UMIR may not be applicable. In other cases, trading on a Marketplace Platform may introduce additional risks not contemplated under UMIR. The determination of which UMIR provisions are relevant to Marketplace Platforms is currently on-going and is likely to evolve as the trading environment for Securities Tokens and Crypto Contracts evolves. We expect that the broad provisions prohibiting manipulating and deceptive activities would apply and other rules would be crafted to relate specifically to trading of Securities Tokens and Crypto Contracts. Given their experience in acting as a regulation services provider for various existing securities marketplaces, IIROC is well positioned to perform the monitoring of trading and compliance with securities legislation and UMIR in the context of CTPs.

f. Direct Access by Retail Investors

Some Dealer Platforms and some Marketplace Platforms offer access directly to retail investors. If CTPs on-board retail investors directly, there is a risk that the investors may purchase or trade products that they do not understand or are not suitable for them. However, if the CTP trading Crypto Contracts is not providing any recommendations or advice to participants, we may consider discretionary exemptive relief, allowing them to operate in a manner similar to an order execution only dealer. IIROC has issued guidance with respect to the limitations that apply to OEOs.²⁰ Additional restrictions may be applied to CTPs that are granted an exemption from suitability requirements.

CTPs may also be exposed to participants who are using the Marketplace Platform for money laundering or other illegal purposes and will be expected to have appropriate anti-money laundering (**AML**) and counter-terrorist financing (**CTF**) policies and procedures.

CTPs will be subject, when appropriate, to know-your-client and suitability requirements and will be required to have policies and procedures for AML and CTF.

Managing risks

Dealer Platforms and Marketplace Platforms that offer direct access to investors will be subject to the know-your-client and suitability requirements applicable to registered dealers. They would also have to have policies and procedures for AML and CTF. We understand that many CTPs already have AML and CTF procedures in place and comply with Financial Transactions and Report Analysis Centre's (**FINTRAC**) *Proceeds of Crime (Money Laundering) and Anti-Terrorist Financing Act*.

g. Conflicts of interest

CTPs may have conflicts of interest that arise from the commercial interests of the CTP, its owners and operators, the businesses that raise capital on the CTP, if applicable, and the participants that trade on it. CTPs will be required to identify, manage and disclose potential conflicts of interest.

Managing risks

CTPs will be required to identify, manage and disclose potential conflicts of interest. They will be subject to the conflicts of interest provisions such as those in NI 31-103 or NI 21-101, as applicable, and, if they are IIROC members, also subject to the conflicts of interest provisions in IIROC's Dealer Member Rules and the UMIR.

²⁰ Available at: https://www.iroc.ca/Documents/2018/54df3aa0-06d8-48fd-8e93-ce469be1c650_en.pdf

APPENDIX B

SUMMARY OF IIROC REQUIREMENTS APPLICABLE IN THE CONTEXT OF CTPS

Requirements consistent with the core market integrity provisions of UMIR would apply, including:

- Part 2 – Abusive Trading including UMIR 2.2 Manipulative and Deceptive Activities. UMIR 2.3 Improper Orders and Trades
- Part 4 – Front Running
- UMIR 5.3 – Client Priority
- Part 6 – Order Entry and Exposure including UMIR 6.4 Trades to be on a Marketplace
- Part 7 – Trading in a Marketplace including: UMIR 7.1 Trading Supervision Obligations, UMIR 7.2 Proficiency Obligations, UMIR 7.3 Liability for Bids, Offers and Trades, UMIR 7.5 Recorded Prices, 7.11 Variation and Cancellation and correction of Trades, UMIR 7.12 Inability to Rely on Marketplace Functionality, UMIR 7.13 Direct Electronic Access and Routing Arrangements
- Part 8 – Principal Trading
- Part 9 – Trading Halts, Delays and Suspensions
- Part 10 – Compliance including: UMIR 10.9 Power of Market Integrity Officials, UMIR 10.11 Audit Trail Requirements, UMIR 10.12 Retention of Records and Instructions, UMIR 10.14 Synchronization of Clocks, UMIR 10.16-10.18 Gatekeeper Obligations
- Part 11 – General exemptive relief, review or appeal of market regulator decisions, indemnification and limited liability of the market regulator

As noted earlier, these requirements may be tailored to reflect the business models of the CTPs or the products they trade.

IIROC Rules that would apply include:

Custody

- DMR 17 – Dealer Member Minimum Capital, Conduct of Business and Insurance
- Form 1 – General Notes and Definitions, (d) “acceptable securities locations”
- Form 1 – General Notes and Definitions, (h) “regulated entities”
- DMR 2000 – Segregation Requirements
- DMR 2600 – Internal Control Policy Statements

Insurance Coverage

- DMR 17 – Dealer Member Minimum Capital, Conduct of Business and Insurance
- DMR 400 – Insurance
- DMR 2600 – Internal Control Policy Statements
- Form 1 – Schedule 10, Insurance

Know Your Client

- DMR 1300 – Supervision of Accounts
- DMR 2500 – Minimum Standards for Retail Customer Account Supervision
- DMR 2700 – Minimum Standards for Institutional Customer Account Opening, Operation and Supervision

Appropriateness

- IIROC Rule 3211 (Note: This becomes effective December 31 , 2021) As per IIROC Guidance Note 18-0076 – Guidance on Order Execution only Services and Activities, an initial appropriateness standard does apply to OEO accounts. The standard is higher with respect to certain products such as CFDs.

Suitability

- DMR 1300 – Supervision of Accounts (not applicable if the firm operates in an OEO capacity)

Conflicts of Interest

- DMR 42 – Conflicts of Interest

Relationship Disclosure

- DMR 3500 – Relationship Disclosure

Margin

- DMR 17 – Dealer Member Minimum Capital, Conduct of Business and Insurance
- DMR 100 – Margin Requirements
- IIROC Notice 08-0074 – Margining of a Security that is not covered in Dealer Member Rule 100 or Form 1
- DMR 2600 – Internal Control Policy Statements

Regulatory Financial Reporting

- Form 1
- DMR 17 – Dealer Member Minimum Capital, Conduct of Business and Insurance
- DMR 100 – Margin Requirements
- DMR 200 – Minimum Records
- DMR 2600 – Internal Control Policy Statements
- DMR 1800 – Commodities Futures Contracts and Options (for some of the cases based on products)
- DMR 1900 – Options (for some of the cases based on products)
- DMR 2900 – Proficiency and Education

Fair Pricing and Best Execution

- DMR 3300 – Best Execution of Client Orders

Research Restrictions and Disclosure Requirements

- DMR 3400 – Research Restrictions and Disclosure Requirements

Registration

- DMR 7 – Dealer Member Directors and Executives
- DMR 18 – Registered Representatives and Investment Representatives
- DMR 38 – Compliance and Supervision
- DMR 2900 – Proficiency and Education

Anti-Money Laundering

Proceeds of Crime (Money Laundering) and Terrorist Financing Act (**PCMLTFA**)²¹

Note: IIROC Rules, which will replace the current Dealer Member Rules, are expected to come into effect on December 31, 2021. At the same time, IIROC rules pertaining to Know Your Client, Suitability, Product Due Diligence, Know Your Product, Conflicts of Interest and Relationship Disclosure will be amended to reflect the Client Focused Reforms effective December 31, 2021.

²¹ Although this is not an IIROC rule, but rather federal legislation, IIROC is it still responsible for testing IIROC Dealers compliance with Canadian AML law and regulations.

APPENDIX C

SUMMARY OF COMMENTS AND RESPONSES

JOINT CSA-IIROC CONSULTATION PAPER 21-402
PROPOSED FRAMEWORK FOR CRYPTO-ASSET TRADING PLATFORMS

1. List of Commenters

Commenter	
1.	Allan C. Hutchinson
2.	Dr. Stephen Castell (Castell Consulting)
3.	Eric Swildens
4.	Atlantic Blockchain Company
5.	Piotr Piasecki
6.	Canadian Foundation for Advancement of Investor Rights
7.	Investor Advisory Panel (Neil Gross)
8.	Leede Jones Gable Inc.
9.	Crowdmatrix Inc.
10.	Brane Inc.
11.	Omega Securities Inc. and 4C Clearing Corporation
12.	Wall Street Blockchain Alliance
13.	Raymond Chabot Grant Thornton LLP
14.	Bull Bitcoin Inc. and Satoshi Portal et al.
15.	Durand Morisseau LLP and IJW & Co.
16.	Paradiso Ventures Inc.
17.	Aquanow
18.	Jonathan Hamel
19.	Coinsquare Capital Markets
20.	Dominion Mining Company and Bitcanuck
21.	Chamber of Digital Commerce Canada
22.	Fidelity Clearing Canada ULC
23.	Fern Karsh
24.	Roger Miller
25.	Tritum Inc. (John Willcock)
26.	DV Chain, LLC (Dino Verbrugge)
27.	Payward Canada Inc. and Affiliates (Kraken)
28.	State Street Corporation (James J. Biancamano)
29.	Octonomics (Elisabeth Prefontaine)
30.	The Canadian Bankers Association

31.	Vakeesan Mahalingam
32.	Global Digital Finance
33.	SoapBox Network Inc.
34.	Investment Industry Association of Canada (Annie Sinigaglia)
35.	Chartered Professional Accountants of Canada (Gordon Beal)
36.	Catalx Exchange Inc.
37.	KNOX Industries
38.	TD Securities
39.	The Jersey Company (Robert Young)
40.	ViewFin Canada (Adnan Tahir)
41.	ComplyChain Solutions (Adnan Tahir)
42.	Canadian Digital Asset Coalition
43.	TMX Group Limited (Deanna Dobrowsky)
44.	Alloy Blockchain Solutions
45.	Blockchain Technology Coalition of Canada
46.	National Digital Asset Exchange
47.	Bitvo
48.	National Crowdfunding & Fintech Association of Canada
49.	CC Corporate Counsel Professional Corporation
50.	Anonymous
51.	Fiach_Dubh (Reddit)
52.	Market Data Company (Alexander Izak Levesque)

2. Terminology

Airdrop - a crypto-asset airdrop refers to a distribution of a crypto-asset to digital wallets (often for no financial consideration).

Decentralized exchange – refers to a marketplace where trades occur directly between users (peer-to-peer) through an automated process.

Fork - refers to a change of the code in the underlying protocol which is incompatible with the previous version. This results in different versions of the protocol.

Multi signature wallet – a wallet that requires multiple keys to authorize a transaction.

Proof of stake – a concept where an individual can mine or validate block transactions according to how much they hold in crypto assets.

Proof of work – refers to a consensus algorithm on DLT.

Wallet/Hot Wallet (or Hot Storage)/Cold Wallet (or Cold Storage) - A crypto-asset wallet is an address, defined by its public key, which can send and receive related crypto assets. It is secured by a private key which may only be known by the wallet owner and must be used to sign a transaction before it can be sent. Hot storage (or a hot wallet) is connected to the internet, while assets stored in cold wallets have no online connectivity.

3. Abbreviated terms:

Anti-Money Laundering (**AML**)
Anti-Terrorist Financing (**ATF**)
Application Programming Interface (**API**)
Business Continuity Plan (**BCP**)
Canadian Derivatives Clearing Corporation (**CDCC**)
The Canadian Depository for Securities Limited (**CDS**)
Canadian Deposit Insurance Corporation (**CDIC**)
Canadian Investor Protection Fund (**CIPF**)
Canadian Standard on Assurance Engagements (**CSAE**)
The Commodity Futures Trading Commission (**CFTC**)
Committee of Sponsoring Organizations of the Treadway Commission (**COSO**)
Control Objectives for Information and Related Technologies (**COBIT**)
Crypto asset trading platforms (**CTP**)
Distributed Ledger Technology (**DLT**)
Enterprise Risk Management (**ERM**)
Financial Industry Regulatory Authority (**FINRA**)
Hardware Security Modules (**HSM**)
Information Security Management System (**ISM**)
Internal Controls over Financial Reporting (**ICFR**)
International Organization of Securities Commission (**IOSCO**)
International Organization for Standardization (**ISO**)
Investment Industry Regulatory Organization of Canada (**IIROC**)
Know Your Client (**KYC**)
Money Service Business (**MSB**)
National Institute of Standards and Technology (**NIST**)
New York Department of Financial Services (**NYDFS**)
Over-the-counter (**OTC**)
Personal Information Form (**PIF**)
Portfolio Manager (**PM**)
Principal Regulator (**PR**)
Regulatory Framework for CTPs proposed in CP 21-402 (**Proposed Framework**)
Risk Assessment Questionnaire (**RAQ**)
Securities Exchange Commission (**SEC**)
Swap execution facility (**SEF**)
Self-regulatory organization (**SRO**)
Universal Market Integrity Rules (**UMIR**)

*Other undefined abbreviated terms should be understood to have generally accepted industry meanings.

Topic	Summarized Comment	Response
General comments		
Support for the proposed regulatory framework described in CP 21-402 (Proposed Framework)	Several commenters indicated support for the Proposed Framework. A few commenters agreed that the existing regulatory framework for dealers and marketplaces, with some modifications, could be extended to CTPs and noted that a different regime could create arbitrage opportunities.	We thank the commenters for their support.
Principles to consider in developing regulation for CTPs	<p>Several commenters noted principles that the CSA and IIROC should consider in developing the regulatory framework for CTPs. These include:</p> <ul style="list-style-type: none"> • regulation should be principles based, outcome focused, flexible and technology neutral to ensure that it is the least intrusive on innovation as possible; • regulation should be proportionate to allow innovative firms in the development stages to succeed while protecting investors or businesses may leave to other jurisdictions; a regulatory “light touch” approach should be taken to avoid stifling the development of new technologies; • regulation should consider the entire crypto-asset ecosystem, the different entities in the space (centralized and decentralized CTPs, custodial and non-custodial CTPs, custodial and non-custodial wallets, payment processors, etc.) and the multiple functions they perform; • requirements should mirror existing frameworks where appropriate; • to the extent possible, regulation should be harmonized across Canada and consistent with global regulation and international best practices; and • requirements should protect participants from counterparty risks and cover market integrity, surveillance, fair pricing, custody, clearing, disclosure of conflicts of interests, and systems and business continuity planning. <p>Many commenters suggested that further consultation and collaboration with the industry is required before developing a framework for CTPs that appropriately balances innovation and ecosystem growth with the objective of protecting participants and market integrity. A few commenters suggested the establishment of a task force of industry experts to work with policy makers and regulators (in the policy areas of finance, economic development, innovation, consumer protection and privacy), including the Department of Finance, FINTRAC and the CRA, to study and review each aspect of a CTP and the broader regulatory framework and objectives and to ensure that regulations are aligned, consistent and not overly burdensome.</p>	<p>We thank the commenters for these suggested principles. We have considered many of these principles and will continue to keep them at the forefront of any additional regulatory work. Securities legislation is principles based and may evolve as the industry evolves.</p> <p>We have conducted extensive consultations with industry participants, both through the public comment process to CP 21-402 and through our ongoing discussions with industry participants, including CTP representatives. We will continue to consult with and work with CTPs to understand new business models and developments in the industry.</p> <p>The approach applies existing regulatory requirements, to the extent these requirements are appropriate and relevant in light of the CTPs’ functions and the risks they introduce to the market. Although the scope of jurisdiction set out in CSA Staff Notice 21-327 in Canada may be broader than some international jurisdictions, our approach to regulating those platforms that fall within our jurisdiction, i.e. applying our existing regulatory framework, but tailoring it as appropriate, is consistent with that taken in foreign jurisdictions</p> <p>We acknowledge the comment suggesting regulation should be harmonized across Canada and note that, given that the regulatory framework outlined in the Notice is based on existing regulatory requirements set out in various National Instruments. CSA</p>

		<p>members recognized the importance of harmonization and strive to develop a harmonized approach.</p>
<p>Concerns about the applicability of securities and/or derivatives regulation to CTPs</p>	<p>Concerns about the Proposed Framework included:</p> <ul style="list-style-type: none"> • securities or derivatives regulation is not appropriate for CTPs that allow the trading of crypto assets that operate solely as a form of payment. The current regulatory framework for marketplaces may not be the appropriate starting point as it does not achieve the right balance for crypto assets that are not securities and have different inherent risks; • different crypto-assets have distinct classifications and purposes which need to be examined individually; • CTPs that facilitate the trading of non-securities, such as bitcoin, are MSBs and should be regulated as such; • the Proposed Framework is responsive to abusive businesses and risks alone, however addressing abuses in the crypto industry with rules designed for securities marketplaces could create additional risks; • there should be a focus on actual and material risks with a tiered approach used to establish the requirements that should apply as the risks increase or other requirements become more relevant; • the Proposed Framework creates barriers for new entrants and new business models and does not consider the potential impact of a stifling of innovation and the use of DLT; • a balance needs to be struck to ensure that Canadian CTPs are not at a competitive disadvantage as a result of the high costs of domestic compliance with requirements that may not be relevant; and • foreign CTPs may stop providing services to Canadians and, as a result, Canadian CTPs may be locked out of their ability to source liquidity from global markets; another comment was made, however, that foreign CTPs should be prohibited from doing business in Canada if they do not comply with the Proposed Framework. 	<p>Securities legislation applies to CTPs that trade products that are securities or derivatives, including in the situation described in CSA SN 21-327. A CTP, like other market participants, may be subject to various forms of regulation e.g., AML, MSB, deposit-taking regulations, privacy, in addition to being subject to securities legislation.</p> <p>We have reviewed the securities regulatory-related risks introduced by CTPs and how these risks can be addressed through existing principles-based securities regulatory requirements.</p> <p>We contemplate that requirements will be tailored to address the unique risks. We recognize the need to be flexible in order to foster innovation. We also recognize the need to have an appropriate level of regulatory oversight in order to provide investor protection and foster fair and efficient markets.</p> <p>Many of the CTPs we have seen conduct activities that are similar to those of dealers or existing equity marketplaces. Where CTPs trade Security Tokens or Crypto Contracts, we are of the view that the approach we describe in this Notice - based on the existing regulatory framework applicable to marketplaces and dealers with flexibility to take into account bespoke business models - is appropriate. Regulatory requirements will be tailored depending on the functions and operational model of a CTP, which may include providing exemptions from existing requirements circumstances justify it.</p>
<p>Alternatives to the Proposed Framework</p>	<p>Commenters suggested a number of approaches, including:</p> <ul style="list-style-type: none"> • self-regulation combined with industry certifications; it was noted that number of leading CTPs in the U.S. have 	<p>We note that industry participants may form, and some have already formed, associations that provide</p>

	<p>collaborated to create the Virtual Commodity Association with the goal of forming a self-regulatory organization specifically for virtual commodity exchanges and custodians to work with the CFTC;</p> <ul style="list-style-type: none"> establishment of a quasi-autonomous non-governmental organization (QUANGO) that is comprised of a full range of stakeholders, but is separate from the government, with some ties. The commenter noted that QUANGO could adopt best practices and voluntary registration as the first step; and federal regulation - crypto assets that are not securities should be regulated at the federal level to limit regulatory burden and confusion. <p>A few commenters suggested that the focus of regulators should be on consumer education and the development of industry standards as an alternative approach to the Proposed Framework. One of the commenters suggested developing standards with bodies like the Canadian Standards Association or the Canadian Centre for Cybersecurity.</p>	<p>guidance and best practices for their members. Where the products traded on a CTP are securities or derivatives, the regulation of the CTP necessitates consistency in application with other types of marketplaces so that we can ensure that the risks are appropriately managed and a level playing field is maintained where appropriate. That being said, the applicable requirements will be considered based on the functions performed.</p> <p>We agree with the importance of investor education. The CSA has already published, over time, various investor alerts regarding trading in crypto assets.</p>
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Question 1: The Consultation paper notes that the CSA is evaluating the specific facts and circumstances of how trading occurs on Platforms to assess whether or not a security or derivative may be involved and lists several factors we are considering. Are there factors in addition to those listed that should be considered?

<p>Classification of crypto assets</p>	<p>Several commenters suggested that there needs to be a comprehensive taxonomy for different crypto assets.</p> <p>Many commenters indicated that there needs to be further clarification on which crypto assets are securities, so that market participants are aware of the applicable requirements. It was suggested that the lack of clarity over when securities legislation applies may cause projects and businesses to move to jurisdictions that offer greater clarity. A few commenters highlighted factors to be considered in assessing whether a CTP is subject to securities legislation.</p> <p>Some commenters provided comments on the meaning of “delivery” in the context of CTPs. A couple of commenters suggested the CSA should consider the approach of the CFTC and their proposed interpretation of “actual delivery”.</p>	<p>There are various ways of categorizing crypto assets for different purposes. Unfortunately, this will not necessarily assist with an assessment of the application of securities legislation. The definition of “security” is broad and inclusive. The definition of “derivative” is similarly broad. Further, on January 16, 2020, we published CSA Staff Notice 21-327 that provides guidance on some of the factors to be considered for determining whether securities legislation applies even where the crypto asset is not itself a security or derivative. This guidance is largely consistent with the CFTC’s interpretation of “actual delivery” with differences to account for the specific limitations on jurisdiction within the <i>U.S. Commodity Exchange Act</i>.</p>
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Question 2: What best practices exist for Platforms to mitigate the risks outlined in Part 3 of the Consultation Paper? Are there any substantial risks which we have not identified?

<p>Comments on best practices</p>	<p>Best practices suggested by commenters to mitigate the risks outlined in CP 21-402 included:</p>	<p>We thank the commenters for providing suggestions for best practices that would help manage the risks outlined in CP 21-402. We will consider these best practices in</p>
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	<p><i>Safeguarding of crypto assets</i></p> <ul style="list-style-type: none"> • multi-signature wallets, segregation of accounts and segregation of duties; • custodial services should be separated from other services; • custody should only be provided by IIROC dealers, banks or trust companies; • third-party custodians should maintain a certain reserve ratio; • a majority of assets should be held in cold-storage; • CTPs should operate on a “full reserve basis” with segregated accounts; • CTP could set aside some of its profits (in fiat or crypto) in a segregated account intended to be an emergency re-capitalization fund which it could deploy to recoup losses in the event of a hack; <p><i>Policies and procedures</i></p> <ul style="list-style-type: none"> • CTPs should have well documented policies and procedures and internal controls in place including, but not limited to, adequate disaster recovery and business continuity planning protocols; <p><i>Disclosure</i></p> <ul style="list-style-type: none"> • CTPs should be required to provide disclosure to participants on the CTP, including in the following areas: <ul style="list-style-type: none"> ○ information about the crypto assets available for trading on the CTP; ○ the selection criteria for admitting a crypto asset for trading on the CTP; ○ policies for managing hard and soft forks; ○ CTP rules and practices including frequently asked questions; ○ ownership, possession and control parameters; ○ conflicts of interest including whether the CTP trades as principal; ○ fees; ○ trading limits; ○ how prices are determined; ○ crypto assets that have been stolen or were involved in a fraud, as reported by investors; and ○ risks related to the CTP’s operations, safeguarding of crypto assets and trading; 	<p>assessing whether the CTP complies with applicable requirements. It is our intention to be flexible, so that the principles-based requirements can be met through different means, as long as the risks introduced by CTPs are addressed.</p>
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	<p><i>Security and compliance</i></p> <ul style="list-style-type: none"> • employees should go through extensive background checks; • CTP executives should be required to pass certain amended regulatory exams and should certify that the CTP is in compliance with applicable rules and regulations; • attestation by CTP participants that the controls required by the user are in place and working; <p><i>Conflicts of interest</i></p> <ul style="list-style-type: none"> • CTP employees should be prohibited from trading on information that gives them an advantage over non-employees; <p><i>Cybersecurity and system resiliency</i></p> <ul style="list-style-type: none"> • regular testing for adequacy of security controls and vulnerabilities; • mandatory implementation of processes and procedures like those that exist for traditional marketplaces, such as enterprise risk management, information security management systems and control frameworks (COSO and COBIT); <p><i>Order and trade transparency</i></p> <ul style="list-style-type: none"> • requiring users and related parties to be identified so that CTPs can identify fake trading volume; • use of central information processors, like those used for marketplaces; <p><i>Reporting</i></p> <ul style="list-style-type: none"> • CTPs should be required to provide third-party reports on volume and trade data; <p><i>Client confidentiality</i></p> <ul style="list-style-type: none"> • access to participants' confidential information should require two-factor identification and be limited to a small number of CTP employees that are required to have access to perform their duties; • "zero-knowledge proofs" or technologies such as RingCT could be used to ensure the confidentiality of participants' trades; • CTPs should consider whether trades could be executed between parties without the CTP knowing the identity of the parties, but rather by trusting a third-party that has verified the identity of the parties so that sensitive information is not required to be sent to a CTP that may not have the proper security in place to store user data; <p><i>Prudential requirements</i></p> <ul style="list-style-type: none"> • capitalization requirements should be imposed on business models where customer assets are held in omnibus or commingled accounts; 	
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	<p><i>Insurance</i></p> <ul style="list-style-type: none"> • appropriate and sufficient insurance coverage is important to mitigate the key risks associated with CTPs; <p><i>Independent reviews</i></p> <ul style="list-style-type: none"> • regular financial and technology audits should be conducted on CTPs, both internally and by third-parties, as well as audits of underlying assets where the CTP permits the trading of crypto assets that are digital representations of a tangible asset; and • regular on-site field reviews by regulators. 	
<p>Other substantial risks</p>	<p>Commenters noted a number of risks:</p> <p><i>Safeguarding crypto assets</i></p> <ul style="list-style-type: none"> • there are risks related to multi-signature implementation, key management and asset verification; • risks related to the transfer of crypto assets including address verification and transaction approvals; <p><i>Insider fraud</i></p> <ul style="list-style-type: none"> • greater risk of delay in detecting insider fraud given CTPs are often involved in all aspects of a trade; <p><i>Lack of policies and procedures</i></p> <ul style="list-style-type: none"> • many CTPs lack policies and procedures to detect and monitor fraud and AML activities within and across CTPs; <p><i>Fake trading volume</i></p> <ul style="list-style-type: none"> • the practice of creating inflated trading volumes, particularly for CTPs that issue their own tokens <p><i>Lack of reliable banking services</i></p> <ul style="list-style-type: none"> • risks related to the use of third-party payment processors and off-shore banks, including that funds may become frozen or lost when relationships are terminated or there is reliance on suppliers in risky jurisdictions outside of Canada; • the lack of a reliable banking partner may also create barriers to audits, insurance and efficient price discovery <p><i>Forked crypto assets</i></p> <ul style="list-style-type: none"> • forks can come with different security and economic implications as they may be unsupported by the CTP's infrastructure or the new wallets may introduce security vulnerabilities to the CTP; <p><i>Initial Coin Offerings (ICO) and Initial Token Offerings (ITO)</i></p> <ul style="list-style-type: none"> • risk of pump and dump schemes for crypto assets that are created through ICOs and ITOs; • misappropriation by founders of funds raised through ICO/ITO; and 	<p>We thank the commenters for highlighting these risks. We believe that the approach outlined in the Notice will help mitigate the risks identified, to the extent that they are applicable to CTPs. For example:</p> <ul style="list-style-type: none"> • <i>risk of lack of policies and procedures</i> – CTPs will be required to establish and maintain policies and procedures that ensure compliance with securities legislation and manage the risks associated with their business. • <i>risk of artificially higher trading volume due to practices such as wash trading</i> – CTPs will be required to comply with requirements in NI 21-101 to maintain fair and orderly markets; Platform participants will be required to comply with the UMIR (as amended as may be necessary to accommodate the unique features of CTPs and the crypto assets they trade) which, among others, prohibit manipulative and deceptive trading activities and the entering of orders with the goal of creating a false or misleading appearance of trading activity or interest in a particular security. • <i>risks associated with security and vulnerability due to forks</i> – CTPs will be required to have adequate systems and information

	<p><i>Decentralization</i></p> <ul style="list-style-type: none"> decentralization will result in heightened risks due to the diffusion of accountability; that tracking the risk will become more and more difficult unless guidelines are well developed now. 	<p>technology controls, including controls over the security of their systems, and to provide disclosure of risks where the DLT has undergone a fork or other irreversible change.</p>
<p>Question 3: Are there any global approaches to regulating Platforms that would be appropriate to be considered in Canada?</p>		
<p>General comments</p>	<p>A number of commenters have indicated that Toronto is quickly becoming a hub for innovation and investments in DLT. A few commenters have cautioned that firms will leave Canada to jurisdictions with lower barriers to entry if regulation is too costly, onerous or restrictive. It was noted that, without domestic access, Canadian investors will increase the use of foreign CTPs with potentially heightened risks. One commenter, however, cautioned against adopting approaches in jurisdictions with more accommodating policies.</p> <p>Other comments raised included:</p> <ul style="list-style-type: none"> views that there are no leading global approaches yet; it is mostly non-G20 countries that have adopted tailored frameworks that create more room for innovation. 	<p>As we indicated in CP 21-402, many jurisdictions globally are applying their existing regulatory requirements to regulate CTPs that trade products that fall within their regulatory jurisdictions. We are of the view that the approach described in the Notice, which leverages existing regulatory requirements, is consistent with the approaches taken in other jurisdictions.</p> <p>We note that, to the extent that foreign CTPs are accessed by Canadian clients, we would consider a registration or exemption regime for those CTPs depending on the regulatory regime applicable and whether the risks are addressed.</p>
<p>Global approaches that should be considered</p>	<p>Commenters suggested the CSA and IIROC consider approaches taken in the following jurisdictions:</p> <ul style="list-style-type: none"> Asia Securities Industry and Financial Markets Association’s (ASIFMA) guidance; Abu Dhabi; Australia; Bahamas; Bahrain; Barbados - it was noted that Barbados does not intend to regulate utility tokens (or protocol tokens) as securities and has also developed legislation that is focused on the security of CTPs; Bermuda – Digital Asset Business Act (DABA) - it was noted that DABA is a comprehensive regulatory regime that provides regulatory certainty and consumer protection without sacrificing innovation; Estonia; France - it was noted that the AMF has adopted a draft bill (action plan for business growth and transformation) that 	<p>We thank the commenters for these suggestions.</p> <p>We have and are continuing to monitor closely regulatory developments and approaches in other jurisdictions, including the countries that are part of the G20 and also those identified in the responses to CP 21-402.</p>

	<p>establishes an optional visa regime for ICOs and an optional license regime for crypto asset service providers;</p> <ul style="list-style-type: none"> • Germany; • Gibraltar – it was noted that the Gibraltar Financial Services Commission (GFSC) requires that any company “storing or transmitting value belonging to others” using DLT, including CTPs, be licensed by the GFSC. The GFSC regulations cover obligations of DLT providers to have adequate infrastructure in place for AML and CFT, solvency, corporate governance and cybersecurity; • Japan; • Mauritius – it was noted that Mauritius has developed a regulatory framework for custodial services by working with industry experts; • Malta - it was noted that Malta was implementing certification programs to facilitate the creation of a set of credentialed advisors that could serve as a second vetting layer for industry participants. • Singapore; • Switzerland; • UK; • United States <ul style="list-style-type: none"> ○ a few commenters indicated that due to the close alignment between Canadian and U.S. markets, the approach of the SEC should be considered (whose position is that CTPs trading in crypto assets that are securities should be registered with FINRA as a broker dealer); ○ a few commenters also pointed to the approach by Wyoming state where a bill was enacted exempting utility tokens from being classified as securities; ○ a few commenters have also suggested the approach taken by the NYDFS; ○ one commenter suggested considering guidance issued by the US Financial Crimes Enforcement Network (FinCEN) regarding the application of regulation to certain business models involving crypto assets; and ○ a few commenters cited self-regulatory efforts in the United States including the creation of the virtual commodity association (VCA). 	
<p>Global approaches that should not be considered</p>	<p>Some commenters suggested that the following approaches should not be considered:</p> <ul style="list-style-type: none"> • NYSDF’s BitLicense – it was noted that the BitLicense hampers investors and has caused CTPs to leave NY state and blacklist residents of NY state; 	<p>We thank commenters for their suggestions. We note that we are not considering an outright ban on crypto assets.</p> <p>As indicated above, we have published CSA Staff Notice 21-327 that provides guidance on when entitlements to crypto</p>

	<ul style="list-style-type: none"> • Malaysia - a few commenters cautioned against sweeping regulations, such as Order 2019 in Malaysia, which specifies that all digital currencies be classified as securities; and • China and Vietnam – one commenter expressed that an outright ban on crypto assets should not be considered as it will result in the creation of an underground network and would not advance the goal of protecting Canadian investors. 	<p>assets that are not themselves securities or derivatives, may be considered securities or derivatives.</p>
<p>Question 4: What standards should a Platform adopt to mitigate the risks related to safeguarding investors’ assets? Please explain and provide examples both for Platforms that have their own custody systems and for Platforms that use third-party custodians to safeguard their participants’ assets.</p>		
<p>General comments</p>	<p>A few commenters were of the view that CTPs should not be allowed to have their own custody systems and one commenter noted that custody of crypto assets should be limited to regulated entities, such as banks and trust companies. One commenter, however, indicated that using third-party custody services will increase costs for the CTP and its participants. Another commenter identified jurisdictional risk in using foreign third-party custodians.</p>	<p>The risk that investors’ assets are not appropriately safeguarded is one of the key risks identified in CP 21-402.</p> <p>We expect that standards to mitigate risks associated to the safeguarding of assets will evolve as the industry evolves and we intend to continuously consider the appropriate tools and mechanisms to ensure the safety of client assets.</p> <p>For example, where CTPs outsource custody services to third-party providers, they will also be subject to the requirements applicable to dealer or marketplaces that outsource key services or systems to a service provider set out in NI 31-103 or NI 21-101, respectively, which include ensuring that the securities regulator has access to all data, information and systems maintained by the third-party service provider. The purpose of these requirements is to ensure CTPs have policies and procedures to evaluate and approve outsourcing agreements and monitor the ongoing performance of the service provider.</p>
<p>Minimum standards that should be met by CTPs that offer custody services and for those using third-party custodians</p>	<p>One commenter suggested that CTPs should be provided the flexibility to choose the minimum standards they must maintain so long as they are able to demonstrate the adequacy of such standards.</p> <p>Most commenters, however, provided suggestions on minimum standards that could be adopted both by CTPs that provide custody services and by those using third-party custodians. They included:</p> <ul style="list-style-type: none"> • segregation of assets; 	<p>Since the requirements under securities legislation are principles based, CTPs will have the flexibility to implement different mechanisms as long as they can confirm that the risks associated with safekeeping of investors’ crypto assets are adequately managed. The suggestions provided will be helpful for the CSA when evaluating whether</p>

	<ul style="list-style-type: none"> • maintaining a majority of assets in cold storage; • ensuring privacy of data and cybersecurity; • verification of assets; • imposing special capital requirements or, if financially feasible, insurance to protect assets, • requiring ISO 27001 and ISO 27017 certification if cloud-based technology is used; • requiring National Institute of Standards and Technology (NIST) minimum level 3 certification; it was noted that NIST also has standards for generating public and private cryptographic keys that should be considered; • requiring standards similar to other financial market infrastructures, such as those outlined by the Committee on Payment and Settlement Systems of IOSCO; • requiring the Crypto Currency Security Standard published by the Crypto Currency Certification Consortium, which provides guidance for security best practices for crypto assets; and • imposing requirements similar to those of the SEC. 	<p>CTPs' internal controls and policies and procedures regarding custody are adequate.</p> <p>We would expect that, at a minimum, CTPs will seek to ensure the following as part of their custody solution:</p> <ul style="list-style-type: none"> • control over access to investors' assets; • segregation of investors' assets from the CTP's own assets; • verification of crypto assets; • use of cold storage for a majority of participants' crypto assets; and • adequate levels of insurance or alternative risk management strategies.
<p>Best practices for CTPs offering custody services</p>	<p>Commenters suggested a number of best practices for CTPs offering custody services, as follows:</p> <p><i>System controls</i></p> <ul style="list-style-type: none"> • maintaining and demonstrating robust system design, specifically intended to avoid "single points of failure"; • clearly documenting and following policies and procedures; and • enterprise risk management and financial and systems controls, regardless of whether CTPs self-custody or use a third-party custodian for their participants' assets; <p><i>Internal controls</i></p> <ul style="list-style-type: none"> • ensuring that a sufficient number of senior management has access to wallets; • restricting access to crypto assets to personnel that undergo background and criminal checks; • recording access to funds on tamper-proof logs residing outside of the CTP and making such records available to participants; • requiring multiple signatures in order for transactions to be completed; • a "Dead Man Switch", where the former responsibilities of a deceased individual can get transferred safely to a trusted third party; 	<p>We thank commenters for the suggested best practices identified. As noted above, we are of the view that it is important to allow CTPs' flexibility to implement their own processes, policies and procedures, as long as the risks introduced when they offer custody services are managed and adequately disclosed. Consequently, we will consider these suggestions when evaluating whether a CTP has implemented adequate custody arrangements, including adequate internal controls, policies and procedures over custody services.</p>

	<p><i>Segregation of client assets</i></p> <ul style="list-style-type: none"> • segregating client assets from the assets of the CTP and, in the case of third-party custodians, from assets of other businesses stored by the custodians; • one commenter noted that client assets should be held separately for each client; <p><i>Storage of client assets</i></p> <ul style="list-style-type: none"> • generating and managing digital wallet keys offline for the lifetime of the key, on dedicated hardware (such as HSMs) that have received a rating of FIPS 140-2 Level 3 or higher; it was noted, however that HSMs, while used pervasively in the industry, may be appropriate for lower value, high volume-high speed transactions in which the storage of information is ephemeral but not for long-term storage of high value crypto assets; • maintaining redundant sites to protect participants' assets; • storing assets in multiple geographic locations; • a CTP's corporate headquarters should not store or contain crypto assets of material value; • limiting the storage of crypto assets to Canada to manage potential jurisdiction risks; • ensuring no two keys for the same wallet are present on a single device; • maintaining a majority of crypto assets in cold storage; it was further suggested that the private keys should be maintained on a computer or hardware device that has never been on the internet and is physically secured in a vault; • giving participants a choice in whether to store their assets on the CTP or in their own wallets; • maintaining fiat currency with a regulated financial institution located in a trusted jurisdiction; <p><i>Other</i></p> <ul style="list-style-type: none"> • establishing voting pools where multiple CTPs get together to secure one another's funds; with this concept, a CTP on its own would not be able to move funds, even its own funds; CTPs would cross-audit one another and will be responsible for countersigning transactions; • requiring CTPs to have proof of reserves (proof that a CTP maintains a minimum amount of assets); • establishing limits for the level of assets that can be maintained in hot wallets; one commenter indicated that only amounts required to facilitate daily trading liquidity on the CTP and those needed to satisfy withdrawal requests made by customers should be held in the hot wallet; • limiting withdrawals to a specific, narrowly defined timeframe (for example, allowing withdrawals only once a day); 	
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	<ul style="list-style-type: none"> • for CTPs that use third-party custodians, implementing a reconciliation process between its internal accounts and the assets custodied by the third parties; • custody of digital assets should be limited to regulated custodial entities (banks and trust companies). This is necessary because of risks in “hybrid” nature of platform operations; and • development of a standardized settlement cycle, reconciliation requirements and dispute adjudication procedures. 	
<p>CTPs that retain third-party custodians</p>	<p>Comments specific to CTPs that retain third-party custodians were as follows:</p> <ul style="list-style-type: none"> • CTPs should be required to conduct thorough due diligence on third-party custodians before retaining them; • CTPs should conduct ongoing due diligence to ensure agreements with custodians are being fulfilled as expected; • CTPs should disclose to their participants the use of third-party custodians • there should be requirements that third-party custodians be insured for theft and subject to regular external security audits; • users should be enabled to verify their funds by using view keys or moving the funds to temporarily show that they are actually under their control; and • there is jurisdiction risk when using foreign third-party custodians. <p>A few commenters noted that third-party entities should:</p> <ul style="list-style-type: none"> • provide verification of policies and procedures regarding conflicts of interest, fair access, segregation of participants’ assets and insider theft; • issue independent audit reports on internal controls; • verify assets and issue a report; and • verify that there is full segregation of crypto assets for each client. 	<p>As noted above, Dealer Platforms will be subject to the requirements applicable to custody in Division 3 of NI 31-103 or, if they are Marketplace Platforms, those applicable to marketplaces that outsource key services set out in section 5.12 of NI 21-101.</p> <p>The suggestions regarding third-party entities may be helpful for CTPs in determining whether they have adequately assessed a third-party service provider.</p>
<p>Question 5: Other than issuance of Type I and Type II SOC 2 Reports, are there alternative ways in which auditors or other parties can provide assurance to regulators that a Platform has controls in place to ensure that investors’ assets exist and are appropriately segregated and protected, and that transactions with respect to those assets are verifiable?</p>		
<p>Scope of SOC 2 reports</p>	<ul style="list-style-type: none"> • Some commenters noted it is important for regulators to understand the scope of SOC 2 reports, since not all cover the same scope of controls; • One commenter noted that the scope and baseline of controls be determined before options regarding how to provide assurance over the design and effectiveness of these controls can be considered; the same commenter indicated that, once this is done, the CTP can decide whether to obtain a SOC 1 or SOC 2 report; 	<p>We thank commenters for their suggestions. It is our intention to focus the SOC 2 reports on critical systems for example, custody, order entry, and order execution systems. The determination of critical systems for a particular CTP will be dependent on the functions provided by the CTP.</p>

	<ul style="list-style-type: none"> • It was also suggested that regulators could review the scope proposed by a CTP on a case by case basis; • It was noted that, currently, SOC 2 reports are based on the Trust Service Criteria, but regulators should require that a SOC 2 report cover certain controls such as those related to system availability, processing integrity, confidentiality and privacy, as well as regulatory controls such as those related to client acceptance, transaction processing and custody; • One commenter indicated that the Trust Service Criteria should be supplemented by other frameworks dealing with a specific subject matter, for example, the NIST 800-53 <i>Cloud Controls Matrix</i> when reporting on cloud solutions; and • One commenter noted that the issuance of SOC2 Type I and Type II reports is not an adequate measure of safety for this industry. <p>A number of commenters indicated that it is not possible that CTPs provide an unqualified opinion in a SOC 2 Type I or Type II report until it has been in operation for a reasonable period of time and suggested that a SOC 2 Type I report should be accepted for a period covering the initial operations (for example, six months), and a SOC 2 Type II report thereafter.</p>	<p>The scope of the SOC 2 reports will be discussed with each CTP at the time that the independent systems review is being planned.</p> <p>We acknowledge that CTPs may not be able to provide an unqualified opinion for a SOC 2 report at the time of launch.</p> <p>We will consider other possible mechanisms to obtain the necessary assurance.</p>
<p>Alternatives to SOC 2 reports</p>	<p>Commenters suggested a variety of ways for CTPs to provide assurance to regulators that a CTP has controls in place to ensure that investors' crypto assets exist and are properly protected, and that transactions are verifiable. These include:</p> <ul style="list-style-type: none"> • regulators having special teams dedicated to emerging technology, including blockchain, that would, among other things, conduct reviews to ensure that investors' assets exist and are properly segregated and protected; • establishing an SRO with a division that specifically deals with this issue; • regulators engaging a third party that offers security evaluation services to the government and industry; • accepting reports from qualified experts which are not necessarily auditors, as long as relevant qualifications concerning independence and expertise can be established (similar to mining experts); • accepting SOC 1 reports with the appropriate scope and control objectives; it was noted, however, that a SOC 1 report should be required in addition to a SOC 2 report, because it focuses on a service organization's controls likely to be relevant to an audit of financial statements, which may include controls over custody systems if they are relevant to financial reporting; • requiring frameworks such as COSO, COBIT or CSAE 3000; • accepting a SOC 2 Type I report alone; • accepting SOC 3 Type I and Type II reports, as these are easier for investors to understand; 	<p>We thank commenters for their suggestions. It is our intention to generally require third-party systems reviews to be conducted on an annual basis once operations begin to provide assurance to regulators that a CTP has appropriate internal controls in place, similar to the existing requirements for marketplaces.</p> <p>If it is not possible to provide a SOC 2 report, CTPs may propose alternatives to provide regulators with this assurance. Such alternatives may be acceptable if the appropriate or a similar level of comfort is provided.</p> <p>In our view, from an investor protection perspective and given the high risk associated with safekeeping of investors' assets, it is especially important for CTPs that offer custody services to provide a third-party report on relevant controls. CTPs outsourcing such services would have to ensure that the service entity to which the custody functions were outsourced can provide such a report.</p> <p>That said, as indicated above, there will be flexibility on the</p>

	<ul style="list-style-type: none"> performing audits of specified procedures that are designed to target key areas of risk and security concerns; and requiring CTPs to provide 'Proof of Reserve'. 	<p>types of entities qualified to provide custody and the scope of the reviews, as long as the risks are addressed and required assurance is provided.</p>
<p>Question 6: Are there challenges associated with a Platform being structured so as to make actual delivery of crypto assets to a participant's wallet? What are the benefits to participants, if any, of the Platforms holding or storing crypto assets on their behalf?</p>		
<p>Benefits associated with CTPs maintaining participants' assets</p>	<p>Commenters noted the following benefits associated with CTPs maintaining participants' assets:</p> <ul style="list-style-type: none"> CTPs have security and technology resources that individuals do not have; there is no risk of participants losing their own private keys as a result of participant error; investors may not be interested in maintaining wallet technology; lower fees (for example, there are no on-chain transaction fees, no mining verification costs); higher speed of trading (because there is no on-chain transaction verification participants are able to sell crypto assets quickly in response to market developments, which better allows them to manage market risk; holding multiple participants' assets allows a CTP to aggregate multiple trades easier and ensure that large orders can be cleared in a simple fashion, without triggering a lot of small, on-chain transactions; requiring CTPs to hold participants' assets in individual segregated wallets could publicly reveal confidential information about the participants' holdings, trades and counter-parties; holding participants' crypto assets would mitigate the risk that a participant selling crypto assets will fail to complete a sale; and for crypto asset to fiat trading, a centralized party is needed to store and distribute the fiat to investors. 	<p>We thank the commenters for these responses. While it is not our intention to mandate how crypto assets are held, these considerations will help us better understand the risks associated with CTPs' operations and whether they have the proper processes to manage these risks.</p>
<p>Challenges and concerns associated with CTPs holding crypto assets for their customers</p>	<p>A few commenters indicated challenges and concerns associated with CTPs holding crypto assets for their customers, including:</p> <ul style="list-style-type: none"> the fact that facilitating the transfer of crypto assets in and out of a CTP is viewed by many third parties (insurance providers, banks etc.) as a high-risk activity from both a money laundering and fraud perspective; there is an expectation for CTPs holding private keys to keep up with events such as "hard forks", "airdrops" and "dividends", which would require additional programming and technical modifications by the CTP; 	<p>We thank the commenters for these responses. They raise important considerations that will help regulators understand the risks associated with CTPs holding crypto assets for their investors, and whether they have adequate processes to ensure that the investors' assets are safe.</p>

	<ul style="list-style-type: none"> • CTPs may not be qualified custodians or use the services of a qualified custodian and may not utilize acceptable controls, • CTPs may not segregate participants assets from the CTP's assets; • CTPs may become target for attacks by hackers when they hold a large quantity of crypto assets; and • the creation of difficulties for legal ownership determination. 	
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Question 7: What factors should be considered in determining a fair price for crypto assets?

<p>Comments on factors to consider in determining a fair price</p>	<p>A number of commenters noted that pricing should be determined by supply and demand in the market, and that market forces will ensure that CTPs have an economic incentive to maintain fair prices.</p> <p>Commenters listed factors that should be considered in determining a fair price for crypto assets. They included:</p> <ul style="list-style-type: none"> • for ICO tokens, the progress made on the underlying technology and the type and purpose of the utility underlying a crypto asset; • whether the founding members or representatives of the crypto asset are active participants on social media and respond quickly and appropriately to questions and critiques; • the bid and the ask, for crypto assets that do not derive their value from underlying products; • for tokens backed by an asset, such as gold or a fiat currency, the asset and liquidity of the token; • whether the underlying asset produces dividends; • mining costs and difficulty of mining; • the number of tokens issued / that will be issued and whether there is a small group that has possession or control of a large portion of the issued tokens; • volume of crypto assets that cannot be traded (e.g., lost, locked up in a smart contract, hack or ICO); • transaction speed and cost; • price of other / related crypto assets; • legitimate level of trading volume / liquidity, and the mix of types of order flow; • jurisdiction and regulatory oversight for a particular CTP or crypto asset; • use of liquidity pools and arbitrage bots; • shorting and / or margin trading can have benefits in preventing market manipulation (and thus efficient pricing that is in line with other CTPs and creates a more consistent global price for digital assets); and • third party reference data (reliable and vetted). 	<p>We thank commenters for describing the factors that should be considered in determining a fair price for crypto assets.</p> <p>Where the CTP or an affiliate is trading on the CTP as principal, the CTP will be required to provide participants a fair price. In addition, a CTP will be expected to not do anything that interferes with a fair and orderly market, which would include offering unfair prices.</p> <p>IIROC's fair pricing requirements allow dealers flexibility in determining what policies and procedures are needed, as long as they meet the requirement to provide a fair price. In the context of their oversight, regulators review their policies and procedures to assess whether they are adequate.</p>
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Question 8: Are there reliable pricing sources that could be used by Platforms to determine a fair price, and for regulators to assess whether Platforms have complied with fair pricing requirements? What factors should be used to determine whether a pricing source is reliable?

<p>Pricing sources that may be used by CTPs to determine a fair price</p>	<p>While one commenter indicated that they were not aware of any pricing sources that were reliable, many commenters suggested a number of pricing sources that could be considered, including:</p> <ul style="list-style-type: none"> • Coinmarketcap.com (it was noted, however, that this source can simply add or remove data from specific CTPs only); • Poloniex (for less liquid crypto assets); • Bloomberg (which encompasses data from large CTPs such as Coinbase, Kraken and Bitstamp); • a weighted average of prices on the large CTPs (examples given were Coinbase, Bitfinex, Binance) or CTPs with high depth of the market. It was noted, however, that an approach where prices are aggregated across CTPs may not be adequate because there may be misleading trading activity; • MV Index Solutions GmbH (MVIS), an index provider based in Frankfurt and regulated as an index administrator by BaFin, as they administer the MVIS CryptoCompare Bitcoin Index • the CME CF Bitcoin Reference Rate published by the CME and the CME CF Bitcoin Real Time Index (BFTI); • the Ethereum Reference Rate and Real-Time Index; and • Brave New Coin has indices supported by NASDAQ. 	<p>We thank the commenters for the responses. We will be considering this information.</p>
<p>Factors that should be used in determining whether a pricing source is reliable</p>	<p>One commenter indicated that key signs that a pricing source is unreliable are: fake volume, increasing volume without an increasing number of users and consistent uniform volume that is not consistent with what is expected on a CTP.</p> <p>One commenter noted that a pricing source is reliable if the price is established based on the most recent legitimate transaction completed. Another commenter stated that the onus is on a CTP to communicate their best execution strategy and provide sufficient data to substantiate based on own methodology. Another commenter noted that regulators should focus on global markets that afford same level of protection to arrive at a “consolidated national (global) best bid/offer”.</p>	<p>We thank commenters for the input on means of determining whether a pricing source is reliable.</p>

Question 9: Is it appropriate for Platforms to set rules and monitor trading activities on their own marketplace? If so, under which circumstances should this be permitted?

<p>Circumstances under which a CTP may be permitted to set their own rules and monitor trading activities on their CTP</p>	<p>A few commenters were of the view that CTPs should not monitor their own trading activities. One commenter suggested that a CTP be required to retain a regulation services provider (RSP), at least initially, and use its own surveillance system in parallel. If the two monitoring regimes produce the same results, then the CTP may be permitted to conduct its own surveillance. One commenter raised questions regarding IIROC’s capacity to surveil and supervise these CTPs if multiple applicants become registered.</p> <p>Another small subset of commenters expressed that it is reasonable for CTPs to set and enforce their own rules and</p>	<p>We thank commenters for their responses. We remain open to options regarding surveillance of trading activities under the interim approach to regulation described in the Notice, provided these are appropriate and adequate for the marketplaces operated. We expect IIROC to monitor trading of the Marketplace Platforms it regulates to</p>
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	<p>noted that CTPs have already started to monitor their own trading. It was noted that a number of CTPs are currently using Nasdaq’s proprietary monitoring software (SMARTS). Some thought that this should be allowed at least until such time as regulatory authorities are able to provide full market oversight.</p> <p>Most commenters, however, supported an approach where the CTP (or a third party that is not a regulator) would monitor trading activities, subject to regulatory oversight. Commenters noted that this could be done in a few different ways, for example:</p> <ul style="list-style-type: none"> • by allowing the CTP to monitor compliance with marketplace specific rules and activities but also requiring the CTP to engage an RSP such as IROC to conduct market surveillance; • allowing CTPs to monitor for manipulative and deceptive trading, with regular reporting of transactions to the RSP; and • allowing CTPs to monitor their own trading, subject to regulatory access and oversight where the activities are relatively straightforward and the CTP presents a relatively low risk. 	<p>ensure, among others, a consistent level of regulatory oversight across Marketplace Platforms and, where appropriate and trading activities are similar, to existing marketplaces.</p>
<p>Question 10: Which specific market integrity requirements should apply to trading on Platforms? Please provide specific examples.</p>		
<p>Comments on the UMIR that should apply to CTPs</p>	<p>The responses varied. A small number of commenters thought that the UMIR in its current form should apply to trading on CTPs.</p> <p>Some commenters thought that, while the entire UMIR may not apply, or may need to be modified to account for specific nuanced elements of CTPs (such as the fact that they operate outside of regular market hours), at least some of the provisions of the UMIR should apply, such as:</p> <ul style="list-style-type: none"> • Part 2 – Abusive Trading • Part 3 – Short Selling • Part 4 – Front Running • Part 5 – Best Execution • Part 6 – Order Entry and Exposure • Part 7 – Trading on a Marketplace • Part 8 – Client Principal Trading • Part 10 – Compliance 	<p>We contemplate that, generally, the trading activity on a Marketplace Platform will be subject to the UMIR or requirements consistent with those in the UMIR, although tailoring of such requirements may be appropriate to accommodate the novel aspects of CTPs.</p>
<p>Prohibition of dark trading and short selling activities</p>	<p>Three commenters cautioned against prohibiting short selling and margin trading without doing further analysis on their prevalence and significance. It was noted that short-selling activities may help crypto assets become legitimate assets in the mainstream financial markets, provide a means of stability and risk management, and prevent market manipulation.</p>	<p>As noted in CP 21-402, CTPs will not be allowed to permit dark trading or short selling activities, or to extend margin to their participants in the near term. We will revisit this once we have a better understanding of the risks introduced by CTPs to the market and how these risks are managed.</p>

Question 11: Are there best practices or effective surveillance tools for conducting crypto asset market surveillance? Specifically, are there any skills, tools or special regulatory powers needed to effectively conduct surveillance of crypto asset trading?

<p>Comments on crypto-asset market surveillance tools</p>	<p>While one commenter noted that there are no reliable third-party surveillance tools currently in the market, others gave the following examples:</p> <ul style="list-style-type: none"> • Blockchain.com; • Etherscan.io; • Nasdaq’s SMARTS market surveillance technology; • the Irisium Surveillance platform from Cinnober; • specialized blockchain analysis such as Elliptic, CipherTrace or Chainalysis, which can trace transactions; • surveillance software that can monitor “Know Your Transaction”; and • FinCEN. 	<p>We thank the commenters for these responses. As we noted above and in the Notice, we have proposed an interim approach to regulation for CTPs that need more time before IIROC membership can be obtained. We will consider these surveillance tools in assessing whether the CTP is adequately managing their risks.</p>
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Question 12: Are there other risks specific to trading of crypto assets that require different forms of surveillance than those used for marketplaces trading traditional securities?

	<p>Commenters noted the following risks:</p> <ul style="list-style-type: none"> • where transactions are conducted wallet-to-wallet, investors may not be dealing with a trusted counterparty; • trading occurring outside of displayed venues; • inflated transaction volumes on CTPs; • the global nature of the business; • the highly technical nature of the business; • security risks; • anonymity of wallets; • money laundering / terrorism financing; and • not all cryptocurrencies have surveillance software. 	<p>We thank commenters for identifying these risks. We will take them into consideration in determining the appropriate surveillance for CTP trading.</p>
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Question 13: Under which circumstances should an exemption from the requirement to provide an ISR by the Platform be appropriate? What services should be included/excluded from the scope of the ISR? Please explain.

<p>Circumstances under which an exemption from the ISR requirement may be appropriate</p>	<p>While two commenters indicated that there are no circumstances where an exemption to provide an ISR by a CTP would be appropriate, most commenters supported some flexibility in applying the requirement. Other commenters indicated that ISRs can be prohibitively expensive for small firms, and that there should be flexibility depending on the level of complexity and risk of the CTP.</p> <p>Commenters noted the following circumstances in which such an exemption may be appropriate:</p>	<p>While there should be some flexibility in applying the requirement for an ISR, the reliance on critical systems for trading and management of client assets is a key risk for CTPs. For this reason, we are of the view that the right balance needs to be struck to ensure the reliability, resilience and security of these systems.</p> <p>We may consider exemptions from the requirement to</p>
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	<ul style="list-style-type: none"> • where the CTP is decentralized and matches and settles the transactions without holding private keys and its participants use a multi signature wallet; • if there is regular and independent self-assessment of internal controls conducted by the CTP, the CTP provides reports of its monitoring of controls, no significant issues are identified, and exposure is limited; and • for CTPs that leverage well established third-party systems (such as cloud-based infrastructure, trade matching engines and surveillance tools developed by traditional equity market providers). <p>Other comments included:</p> <ul style="list-style-type: none"> • marketplaces should voluntarily submit ISRs for the next five years until patterns can be observed and a generalized approach conceived; and • There should be a transitional period to determine whether an ISR is needed. 	<p>conduct third party systems reviews on critical systems where assurance is provided that the risks are appropriately being managed and that systems and controls used are assured to be reliable, resilient and secure.</p>
<p>Services that should be included or excluded from the scope of an ISR</p>	<p>One commenter noted that the scope of an ISR should be determined by insurance providers, as policies are priced partly on the basis of independent system reviews.</p> <p>Other commenters noted the following services that should be included in the scope of an ISR:</p> <ul style="list-style-type: none"> • custodial services; • system capacity to handle changing market conditions; • robustness of BCP and DRP; and • effectiveness of incident reporting and remediation. 	<p>The purpose of ISRs is to provide regulators with independent assurance that CTPs have adequate internal and information technology controls for its critical systems. While insurance providers may price their policies partly based on independent system reviews, the scope of any independent reviews they require may not be similar and not transparent to regulators. For these reasons, we are of the view that it would be inappropriate to rely on ISRs whose scope is dictated by insurance providers.</p> <p>As indicated above, we agree that custodial services should always be included in the scope of an ISR. We may consider exemptions for other non-critical functions, in certain circumstances.</p>
<p>Other comments</p>	<p>One commenter noted that the existing requirement in subsection 12.4(2) of NI 21-101 regarding the resumption of operations following the declaration of a disaster by a marketplace should not apply to CTPs trading digital securities, as they trade a few unique securities.</p>	<p>We note that the requirement in subsection 12.4(2) of NI 21-101 requires that a marketplace have policies and procedures for resumption of operations of their systems. The requirement allows for flexibility in circumstances where this is not possible.</p>

Question 14: Is there disclosure specific to trades between a Platform and its participants that Platforms should make to their participants?

<p>Disclosure specific to trades between a CTP and its participants</p>	<p>Commenters indicated that CTPs should disclose that the CTP acted as principal and any discrepancies between the trade and the terms of an equivalent trade, if that trade were to be made on the market.</p> <p>It was also suggested that designated market makers on a CTP should have unique identifiers, so that participants can identify trades executed against a market maker.</p>	<p>CTPs should disclose all conflicts of interest, including those that would arise when a CTP trades as principal.</p> <p>We will consider the suggestion that designated market makers should have unique identifiers to allow participants to identify trades against a market maker. We note that currently, designated market makers trading on equity exchanges do not have unique identifiers to the public but IIROC is able to identify them in its surveillance system.</p>
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Question 15: Are there any particular conflicts of interest that Platforms may not be able to manage appropriately given current business models? If so, how can business models be changed to manage such conflicts appropriately?

<p>Conflicts of interest related to the multiple functions performed by CTPs</p>	<p>Multiple commenters noted that the combination of the multiple functions that may be performed by CTPs, specifically, acting as a marketplace, clearing agency, dealer and custodian, presents conflicts of interest. Commenters indicated that these conflicts could be managed in a number of ways, including:</p> <ul style="list-style-type: none"> • by bifurcating a CTP's role as a dealer and marketplace; • by providing transparency of these functions, risks and mitigating controls; • by separating the functions of order matching, market making and deposit taking; • by limiting access by proprietary trading desk to customer information; and • careful consideration of the market making function. <p>Some commenters believed that CTPs should not be permitted to provide custody of participants assets to avoid operational conflicts.</p> <p>Other conflicts of interest identified included:</p> <ul style="list-style-type: none"> • participants' funds may not be segregated from the funds of the CTP; • the CTPs may trade as principal (although one commenter thought this could have benefits, such as increased liquidity); • CTPs have more information than their participants (for example, they hold information of previous participants) and may develop derivative information; • CTPs may have information about their participants' upcoming trades, which could lead to front running; • CTPs and their employees may have access to non-public information, including information related to which crypto 	<p>We thank the commenters for the responses.</p> <p>It is not our intention to mandate how a CTP will structure its operations, as this would be inconsistent with our goal of facilitating innovation that benefits investors and our capital markets. Rather, CTPs are required to comply with the applicable requirements, and we will assess the risks introduced by the CTPs and whether they have the internal controls and processes in place to address them.</p> <p>As noted in the Notice, CTPs will be required to identify and manage potential conflicts of interest. Their policies and procedures, including those dealing with conflicts of interest, will be examined by regulators both in the context of reviewing their initial application for registration and/or IIROC membership and on an ongoing basis, as part of our regulatory oversight. These comments will help us better understand the full range of potential conflicts of interest that may arise at a CTP and whether they have appropriate policies and procedures to manage them.</p>
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	<p>assets will be listed on the CTP and could trade on that knowledge;</p> <ul style="list-style-type: none"> • CTPs may issue their own security tokens that are also traded on the CTP; • CTPs may receive payments in exchange for listing certain crypto assets; • Potential use or sale of investor information (including data on specific holdings); and • payment for order flow. 	
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Question 16: What type of insurance coverage (e.g. theft, hot-wallet, cold-wallet) should a Platform be required to maintain? Please explain.

<p>Types of insurance coverage a CTP should be required to maintain</p>	<p>Approximately a quarter of the commenters that responded to this question thought CTPs should be required to maintain full insurance. A few commenters thought CTPs should not be required to have insurance and noted that requiring insurance would be prohibitive to small start-up CTPs.</p> <p>Other comments included:</p> <ul style="list-style-type: none"> • there should be insurance for hot and warm wallets, but it is debatable whether insurance is needed for assets held in cold wallets, especially if appropriate controls and policies are put in place, as evidenced by a SOC 2 report; • the appropriate nature and extent of the insurance will vary with the circumstances, considering the nature of the risks, other forms of risk transfer and risk mitigation processes in place at the CTP; • insurance should be optional, and the market should decide the right mix of insurance and security; and • a cautious approach to insurance requirements should be taken. <p>Most commenters provided feedback on the types of insurance that should be required. This included:</p> <ul style="list-style-type: none"> • the same insurance required for traditional dealers and custodians; • crime and theft insurance coverage for all fiat funds and crypto assets, regardless of the method of storage; • crime and theft insurance if CTPs are holding material amounts of crypto assets in hot wallets; • errors and omissions and cybersecurity insurance; • insurance in case of death or incapacity of a key holder; • financial Institution Bonds to cover employee dishonesty, forgery, vendor-related fraud and theft; • cyber insurance to protect impact of damages to computer systems (outages & failures); and • director and officer insurance. 	<p>We thank the commenters for the responses. We will consider the need for insurance and the type in the context of the functions performed by a particular CTP. However, we are of the view that CTPs will likely require insurance where they have custody or control over client assets unless they can demonstrate an adequate alternative risk mitigation strategy. Such insurance should cover specific risks including, but not limited to, the risk of theft and cyber-attacks.</p>
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Question 17: Are there specific difficulties associated with obtaining insurance coverage? Please explain.		
	<p>Many commenters noted a number of difficulties associated with obtaining insurance coverage. The main concern identified was that it is difficult and expensive for CTPs to obtain any type of insurance (hot wallet, cold storage, theft and other). It was noted that few insurance providers are willing to cover CTPs, and those that do charge high premiums (one commenter noted that premiums can be 1-2% of the insurable assets). Commenters also noted that:</p> <ul style="list-style-type: none"> • the market for underwriting the risks associated with crypto assets is limited and the underwriters' understanding of the technology and industry remains limited; • insurance companies are hesitant to work with CTPs, largely because the money laundering risks; • there is no historical and actuarial data in the crypto markets to determine appropriate premiums; • CTPs are not able to have the stringent controls expected by insurance providers; • coverage for cyber theft is expensive and does not provide a significant degree of protection to customers; and • cold wallets are not insured by all insurers. <p>One commenter noted, however, that CTPs are becoming increasingly able to obtain insurance for the assets they custody and gave the examples of Coinbase, Bakkt and BitGo.</p>	<p>We acknowledge the concerns raised regarding the ability to obtain insurance coverage. We will continue to monitor this over time.</p> <p>Acknowledging the current possible difficulties in obtaining insurance, there will be flexibility regarding the type and level of insurance required, as long as the risks associated with the custody of client crypto-assets are addressed.</p>
Question 18: Are there alternative measures that address investor protection that could be considered that are equivalent to insurance coverage?		
Member-funded insurance	<p>A large number of commenters that responded to this question indicated that there should be member funded insurance such as CIPF or CDIC. Commenters noted their expectation that, if required to register as an IIROC dealer, CTPs will be CIPF members.</p> <p>One commenter suggested a form of self-insurance where CTPs contribute premiums to compensate participants in cases of loss, and such premiums are based on trading volume, history of losses, quality of audit reports, use of RSPs, or whether the CTPs provides custody.</p>	<p>CTPs that will be IIROC dealer members will be CIPF members. CIPF will assess the coverage it offers on a case by case basis.</p> <p>While we do not intend to mandate how CTPs compensate participants in cases of loss, we will consider their processes in our assessment of the type and level of insurance they will be required to maintain.</p>
Alternatives to insurance coverage	<p>Commenters listed a number of alternative measures that could be considered equivalent to insurance coverage. These included:</p> <ul style="list-style-type: none"> • robust practices, policies and procedures with respect to handling participants' assets; • an adequate level of capitalization, so that a loss of assets can be absorbed by the CTP; • segregation of participants' assets from a CTP's assets (although it was noted that this constitutes an inherent safeguard that offers investor protection in the event of bankruptcy, but not theft); 	<p>We thank the commenters for the responses. We will consider these measures in assessing the level and type of insurance that should be maintained by CTPs.</p>

	<ul style="list-style-type: none"> • a fund maintained by the CTP that is funded using a percentage of the trading fees or the CTP's profit (many commenters suggested a fund similar to the Secure Asset Fund for Users established by Binance); • maintaining fiat balances in amounts equivalent to the crypto assets held on behalf of participants in hot wallets; • maintenance of participants' and CTPs' crypto asset across multiple wallets, to distribute the risk and responsibility of security, reducing the amount of insurance required; • proof of distributed authority, key management systems, Dead Man's Switch; • decentralized CTPs with multi signature wallets for participants; • maintaining 95-100% of the balances in cold wallets, to mitigate the risk of hot wallet theft; • insurance intermediation platforms, which involve the use of crypto assets as a form of premium that participants can exchange with the CTP in return for an insurance policy being placed with an insurer; the CTP acts as a digital provider of insurance intermediation services and still relies on the traditional insurance market; • evidence of funding, such as bonds, letters of credit or sufficient working capital, • the investors' own insurance; and • a card with security features, which could be printed by Canadian Mint, which would be loaded with crypto assets; the investor is the only one that can store and access the assets. 	
<p>Question 19: Are there other models of clearing and settling crypto assets that are traded on Platforms? What risks are introduced as a result of these models?</p>		
<p>Models of clearing and settlement for CTPs</p>	<p>Commenters identified the following models for matching trades and clearing and settling transactions:</p> <ul style="list-style-type: none"> • CTPs maintain an internal ledger that maintains a record of all transactions; once matched, transactions are settled on the blockchain; • the decentralized model, where users' orders are matched with each other on a CTP, but the CTP does not, at any point in the transaction, hold users' funds; • a central counterparty clearing system with net settlement similar to CDS or CDCC; and • new technology is being developed that will allow holders of one crypto asset to swap or trade with a holder of another crypto asset on the blockchain, without the involvement of any third party. 	<p>We thank the commenters for providing information on other models for matching trades and clearing and settling transactions.</p>
<p>Risks and concerns introduced by the models of clearing</p>	<p>Commenters noted that:</p> <ul style="list-style-type: none"> • where CTPs perform both clearing and custody functions, there is counterparty risk and credit risk (for 	<p>We thank the commenters for these responses. We will consider these risks in assessing the requirements</p>

<p>and settlement for CTPs</p>	<p>example, if participants are permitted to trade on margin, with settlement at a later date); it was noted that counterparty risk could be mitigated, for example, by the imposition of a requirement for participants to pre-fund trading accounts with fiat currency before completing a trade;</p> <ul style="list-style-type: none"> with respect to the new technology that permits holders of one crypto asset to swap with a holder of another crypto asset on the blockchain, there is the risk that the technology could be flawed and funds lost through a technical error; at the same time, there is reduced risk of a third-party losing funds; the use of currently available clearing houses or establishing identical requirements for new CTPs ignores the value and reasons for using distributed ledger; and all models of clearing and settling crypto assets presently utilized by CTPs introduce a centralized point of failure. <p>One commenter stated that decentralized models have less cyber-security risk.</p>	<p>that should apply to CTPs performing clearing and custody functions.</p>
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Question 20: What, if any, significant differences in risks exist between the traditional model of clearing and settlement and the decentralized model? Please explain how these risks could be mitigated.

	<p>Commenters identified the following differences between the traditional model of clearing and settlement and the decentralized model:</p> <ul style="list-style-type: none"> all transactions that take place on the distributed ledger are permanent and irreversible; there is a higher possibility of human error in the traditional model, where settlement occurs days after the trade, with trade matching and payments occurring in a more manual and costly model; there is significant systemic risk in the traditional model, due to concentration of this risk in one entity; counterparty risk is eliminated on decentralized CTPs, however participants have no way of knowing who they are trading against, which makes it difficult to manage compliance risks; the key risk for transactions settled on a decentralized model is ensuring delivery versus payment; the payment is made when the client deposits fiat or crypto assets as the means to purchase a crypto asset. The delivery and settlement are confirmed by receipt of the crypto asset at the custodian, verifiable "on-chain" by anyone running a node, including a custodian; when transactions are executed on a distributed ledger, the assets may become lost if there is a software bug in the smart contract development or deployment; identity fraud is easier in a digital ecosystem; complete decentralization may not provide sufficient KYC/AML 	<p>We thank the commenters for these responses. We will consider these differences, and the specifics of the decentralized model of clearing and settlement, in determining the appropriate clearing and settlement requirements that should apply to CTPs.</p>
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	<p>protection, and has not evolved to the point where it provides frictionless AML controls; and</p> <ul style="list-style-type: none"> with the decentralized model trades are cleared in real time, where in a traditional model it is subsequent to the trade day. <p>One commenter indicated that the risk associated with not having third-party clearing and settlement could be mitigated by having a hybrid model where CTPs maintain an internal ledger and transactions are also executed on the blockchain.</p>	
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Question 21: What other risks could be associated with clearing and settlement models that are not identified here?

	<p>One commenter noted risks specific to stable coins, which may be backed by complex systems of collateral. The commenter noted that, if the underlying asset crashes, there is a risk that a cascade of smart-contracts are triggered, and a large volume of clearing and settlement is executed.</p> <p>Additional comments on other risks associated with clearing and settlement included:</p> <ul style="list-style-type: none"> faster asset and payment movement create higher turnover on networks; reputational risk; inter-organizational settlement (complexity) risk in using CTPs like Ripple or Ethereum to settle interbank transfers; regulatory risks (no designated regulatory body monitoring transactions); and liquidity and timing risk with decentralized exchanges. 	<p>We thank the commenters for the responses and note that we will consider these specific risks in determining the appropriate clearing and settlement requirements that should apply to CTPs.</p>
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Question 22: What regulatory requirements (summarized at Appendices B, C and D), both at the CSA and IIROC level, should apply to Platforms or should be modified for Platforms? Please provide specific examples and rationale.

<p>Regulatory requirements that should apply to CTPs</p>	<p>One commenter stated that its it more productive to start with the risks and then identify the relevant requirements.</p> <p>Commenters indicated that the following regulatory requirements, should also apply to CTPs:</p> <ul style="list-style-type: none"> transparency of a CTP’s operations, including how orders are entered and executed; daily reconciliations between CTP and third-party data; disclosure of a CTP’s governance structure; disclosure of the CTP’s rules; disclosure of the CTP’s fees; disclosure of conflicts of interest; transparency of crypto assets traded, including its features, attributes, use, value, risk factors and the method of valuation; daily reporting of funds, transactions and volumes; 	<p>We agree and note that this is the approach we have taken in developing the regulatory framework applicable to CTPs. We will continue to evaluate the risks and the appropriate regulatory requirements as the industry evolves.</p> <p>We thank commenters for the suggestions. We are of the view that the approach, which is based on the Marketplace Rules and NI 23-103, will cover these requirements.</p>
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	<ul style="list-style-type: none"> • the requirement to send account statements to participants on a regular basis, and at least quarterly; • trading information should be confidentially maintained; • recordkeeping; and • the principle of fair and orderly markets but interpreted in the context of CTPs. 	
<p>Regulatory requirements that should not apply or should be modified – suitability requirements</p>	<p>One commenter indicated that all the requirements applicable to dealers may be relevant, with the exception of suitability if no advice or recommendations regarding the buying and selling of specific crypto assets are made by the CTP. Another commenter suggested that new categories of qualified investors be introduced, in the spirit of democratizing investments.</p>	<p>The suitability requirements will apply to Dealer Platforms, but where a Dealer Platform only offers Crypto Asset Rights and is not providing recommendations or advice, we may consider whether, similar to order-execution-only platforms, an assessment at onboarding may be more appropriate compared to trade-by-trade suitability.</p>
<p>Regulatory requirements that should not apply or should be modified</p>	<p>Comments included:</p> <ul style="list-style-type: none"> • capital requirements should only be imposed on CTPs where the participants’ assets are held in omnibus or commingled accounts; • capital adequacy requirements for CTPs should be modest where the CTP does not custody participants’ assets; and • there should be exemptions from the requirement to clear and settle trades through a recognized entity. 	<p>The CSA and IIROC will consider each CTP’s operational model, risks introduced and how these risks are managed by the CTP to determine what regulatory requirements should apply or be modified. Flexibility in the application of regulatory requirements would be achieved through exemptions from existing requirements where justified.</p>

1.4 Notices from the Office of the Secretary

1.4.1 Solar Income Fund Inc. et al.

FOR IMMEDIATE RELEASE
March 25, 2021

**SOLAR INCOME FUND INC.,
ALLAN GROSSMAN,
CHARLES MAZZACATO, and
KENNETH KADONOFF,
File No. 2019-35**

TORONTO – Take notice that the hearing in the above named matter scheduled to be heard on March 26, 2021 will not proceed as scheduled.

The hearing on the merits will continue on March 29, 2021 at 10:00 a.m.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.2 Jonathan Cartu et al.

FOR IMMEDIATE RELEASE
March 25, 2021

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

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

A copy of the Order dated March 25, 2021 is available at www.osc.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

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Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 AngelList Holdings, LLC and AngelList Advisors, LLC

Headnote

CSA Regulatory Sandbox initiative – Prior decision repealed and replaced with updated decision that extends the term of the relief granted – no new exemptive relief required by Applicants – Applicants previously applied for and obtained relief from certain registrant obligations contained in National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103) and from the prospectus requirement in the Legislation – Applicants operate novel online platform for accredited investors with experience in venture capital and angel investing and start-ups that primarily operate in the technology sector – relief granted subject to certain terms and conditions set out in the decision – decision is time-limited to allow the firm to operate in a test environment – decision may be amended on written notice to the Applicants – decision is based on the unique facts and circumstances of the Applicants and is made on a time-limited, test case basis.

Applicable Legislative Provisions

Statutes Cited

Securities Act, R.S.O. 1990, c. S.5, as am., sections 53, 74 and 144

Instrument Cited

National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss. 13.2(2)(c)(i), 13.3, 13.16, 14.2(2)(i), (j) and (k), and 15.1 and Division 5.

March 25, 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
ANGELLIST HOLDINGS, LLC
 (“AngelList”)
AND
ANGELLIST ADVISORS, LLC
 (“ALA”, collectively with AngelList, the “Filers”)

DECISION

Background

The Filers operate an online platform that offers a number of services to start-up businesses that operate primarily in the technology sector (**Start-ups**), including services to facilitate venture capital and angel investing in Start-ups that meet certain criteria. All investors on the platform must qualify as accredited investors (as defined in Canadian securities legislation) (**Accredited Investors**) and must also have prior experience in venture capital and angel investing, such that they have an understanding of the risks of investing in Start-ups through the platform.

ALA is currently registered in all Canadian provinces as a restricted dealer. The Filers previously applied for and received exemptive relief from the prospectus requirement in decisions of the Ontario Securities Commission (**OSC**) as principal regulator (the **Prior Prospectus Decisions**) and from certain registrant obligations in decisions of the Director (the **Prior Registration Decisions**) dated March 27, 2017, June 14, 2018 and March 26, 2019 (together, the **Prior CSA Decisions**) under the securities legislation of the jurisdiction of the principal regulator (the **Legislation**). The Prior CSA Decisions were granted in the context of the CSA Regulatory Sandbox initiative (as defined in paragraph 4(d)) and were made on a time-limited, test case basis, based on the unique facts and circumstances of the Filers. ALA first became registered in Ontario as a restricted dealer on October 24, 2016 and at the same time obtained exemptive relief in Ontario from certain registration obligations (the **Initial Ontario decision**).

The Filers have applied to amend the Prior CSA Decision dated March 26, 2019 in order to enable the continued availability of certain services on their online platform to Canadian investors, subject to certain conditions. This decision (the **Decision**) has also been considered in the context of the CSA Regulatory Sandbox initiative and is made on a time-limited, test case basis. This Decision is based on the unique facts and circumstances of the Filers.

Relief from registrant obligations

1. The Filers have applied for exemptive relief pursuant to section 15.1 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) for ALA from the following:
 - (a) the requirement in subparagraph 13.2(2)(c)(i) [Know-your-client] of NI 31-103 that a registrant must take reasonable steps to ensure that it has sufficient information regarding the client's investment needs and objectives;
 - (b) the requirement in section 13.3 [Suitability] of NI 31-103 that a registrant must take reasonable steps to ensure that, before it makes a recommendation to or accepts an instruction from a client to buy or sell a security, the purchase or sale is suitable for the client;
 - (c) the requirement in section 13.16 of NI 31-103 [dispute resolution service] that a registered firm have a certain dispute resolution service provider; and
 - (d) the requirement to deliver the disclosure and reporting requirements in paragraphs 14.2(2)(i), (j), and (k) [Relationship Disclosure Information] and Division 5 [Reporting to clients] of Part 14 of NI 31-103 (together with the preceding paragraphs, referred to as the **Registrant Obligations Relief Sought**),

provided that ALA ensures only Quality Investors (as defined in paragraph 4(i)) access the Restricted Services (as described in paragraph 21).

Prospectus Relief

2. ALA has applied for an exemption from the prospectus requirement in connection with distributions by an SPE (as defined in paragraph 35) or microfunds (as defined in paragraph 4(h)) to Quality Investors who acquire securities of SPEs or microfunds through the platform (as described in this Decision) (the **Prospectus Relief Sought**).

Repeal and replacement of prior CSA decision

3. The Filers have applied to repeal the Prior CSA Decision dated March 26, 2019 effective as of the date of this Decision (the **Repeal and Replacement Relief Sought**).

The principal regulator in the Jurisdiction has received an application from the Filers for a decision under the Legislation for the Registrant Obligations Relief Sought, the Prospectus Relief Sought and the Repeal and Replacement Relief Sought.

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

- (a) the OSC (Principal Regulator) is the principal regulator for this application; and
- (b) the Filers have 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 of Canada.

Interpretation

4. For the purposes of this Decision:
 - (a) **Approved Incubator** Program means an incubator, accelerator, Technology Transfer Office or similar organization that meets all of the following criteria:
 - a. has a program for Start-ups and the program has been delivered for at least two years;

- b. receives funding from (A) a federal, state, provincial/territorial, or municipal government or a crown corporation or a government-owned corporation or authority, or (B) an accredited university or college;
 - c. has a competitive application process with clear criteria to select Start-ups for the program;
 - d. reviews the founders and other key individuals involved in the Start-up to ensure they meet the criteria for admission into the program;
 - e. provides entrepreneurial advice and mentorship support over a reasonable period of time; and
 - f. in respect of which ALA has received the approval from staff of the securities regulatory authority in the local jurisdiction in which the incubator program is based that the organization qualifies as an “Approved Incubator Program”.
- (b) **Credible Investor** means an investor that meets one of the following criteria:
- a. a Venture Capital Fund that has at least \$10 million in assets under management; or
 - b. an individual investor who has led or participated in at least five investments in a Start-up, of which at least two of those Start-ups have completed a Successful Liquidity or Financing Event; or
 - c. is an Experienced Founder.
- (c) **Crypto-assets** mean cryptocurrencies, digital coins or tokens, and operations to mine the foregoing.
- (d) **CSA Regulatory Sandbox** means an initiative of the Canadian Securities Administrators (CSA) to review new and innovative technology-focused or digital business models. The objective of this initiative is to facilitate the ability of those businesses to use innovative products, services and applications, while ensuring appropriate investor protection.
- (e) **Eligible Canadian Start-up** means a Start-up that is operating from or doing business in Canada where either a. or b. applies:
- a. the start-up is incorporated or organized under the laws of Canada or any jurisdiction of Canada, (ii) the head office of the start-up is located in Canada, and (iii) at least 25% of the directors and 25% of the Executive Officers or founders of the start-up (or at least one director and one Executive Officer or founder, if there are less than four directors and less than four Executive Officers or founders, respectively) reside in Canada; or
 - b. at least 25% of the consolidated payroll of the Start-up and its subsidiaries is for employees and consultants who reside in Canada.
- (f) **Executive Officer** means an individual who is:
- a. a chair, vice-chair, or president,
 - b. a vice-president in charge of a principal business unit, division or function including sales, finance, production, technology or engineering, or
 - c. performing a policy-making function in respect of the issuer.
- (g) **Experienced Founder** means a founder of a Start-up who has:
- a. management, product or engineering experience, typically with the title of “director” or equivalent, at a large technology company (500+ plus employees), or
 - b. co-founded, or served at the vice-president level or above of (in either case, with executive responsibilities), a Start-up that has achieved a Successful Liquidity or Financing Event.
- (h) **Microfund** means a fund that invests in a variety of Start-ups identified in each case by the Microfund Lead Investor.
- (i) **Quality Investor** means an Accredited Investor who has been determined by ALA’s procedures, as described in paragraphs 74 to 77, to have sufficient experience in venture capital and angel investing. For the avoidance of doubt, Quality Investors include Direct Investors who satisfy the requirements described in paragraph 76, subject to the conditions and limitations on access to the Restricted Services described therein.

- (j) **Successful Liquidity or Financing Event** means:
 - a. an initial public offering;
 - b. an acquisition of all or substantially all the securities or assets of the Start-up; or
 - c. the completion of a follow-on round or “up round” of venture capital or angel financing for the Start-up involving external investors to the Start-up at that time, at a valuation in excess of the Start-up’s previous round of financing or that triggered the automatic conversion of previously issued debt or equity securities. (For example, a Series Seed round to a Series A round.)
 - (k) **Technology Transfer Office** means an office at a university with an academic research program or at a research institute that is established to handle the intellectual property and licensing rights for faculty and student investors.
 - (l) **Venture Capital Fund** means:
 - a. In the United States (U.S.), a “venture capital fund” as defined in Rule 203(l)-1 under the Investment Advisers Act of 1940; and
 - b. In Canada, a venture capital fund that focuses primarily on venture capital or angel investing, and that is a non-individual permitted client.
5. Terms used in this Decision that are defined in the *Securities Act* (Ontario) (the Act), National Instrument 14-101 *Definitions* (NI 14-101), NI 31-103 and MI 11-102 and not otherwise defined in the Decision, shall have the same meaning as in the Act, NI 14-101, NI 31-103 or MI 11-102 as applicable, unless the context otherwise requires.

Representations

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

The Filers

- 6. ALA is registered as a restricted dealer in each of the provinces of Canada.
- 7. ALA is a limited liability company formed under the laws of the state of Delaware. ALA is a subsidiary of AngelList, a limited liability company formed under the laws of the state of Delaware. A minority interest in ALA is held by AngelList EI, LLC (which is wholly-owned by employees of ALA or ALA’s affiliates). The head offices of the Filers are in San Francisco, California, United States of America.
- 8. ALA is an “exempt reporting adviser” in the U.S. ALA relies on an exemption from SEC investment adviser registration requirements under sections 203(l) [venture capital fund adviser exemption] of the Investment Advisers Act of 1940 and related rules. As an exempt reporting adviser, ALA is subject to oversight by the SEC, including the requirement to pay fees to the SEC, to report annually certain information to the SEC and to have policies regarding the dissemination of material, non-public information and anti-fraud measures. ALA is also subject to review by the SEC.
- 9. The Filers are not registered as broker-dealers with the SEC under U.S. federal securities laws. The Filers rely on a no action letter issued to them by the SEC dated March 28, 2013 regarding the scope of their permitted activities in the U.S. without registering as broker-dealers in accordance with section 15(b) of the Securities Exchange Act of 1934. The Filers also rely on the no action letter issued to FundersClub Inc. and FundersClub Management LLC by the SEC dated March 26, 2013 with respect to their activities as an exempt reporting adviser. The Filers also rely on section 201(c) of the JOBS Act.
- 10. AngelList Ltd., an affiliate of the Filers, is authorized by the Financial Conduct Authority to carry on the following limited regulated activities in the United Kingdom: arranging (bringing about) deals in investments, dealing in investments as agent, and making arrangements with a view to transactions in investments.
- 11. AngelList India, LLP, an affiliate of the Filers, sponsors an alternative investment fund registered with the Securities and Exchange Board of India to carry out venture investing activities on the Platform in India.
- 12. The Filers offer certain of the services (as described below) to issuers and investors in Canada. As these services involve the facilitation of trades in securities of issuers to Quality Investors for the purposes of venture capital and angel investing, ALA is registered as a restricted dealer in each of the provinces of Canada.
- 13. The Filers are seeking the Prospectus Relief Sought and the Registrant Obligations Relief Sought to allow Quality Investors and issuers resident in the Canadian provinces to access the Restricted Services (as defined in paragraph 21).

14. The Filers are not in default of securities legislation in any jurisdiction of Canada. The Filers are in compliance in all material respects with U.S. and U.K. securities laws.

Services

Public Services

15. Angellist operates an online networking website (the **Platform**) that allows start-ups, accelerators, incubators, angel investors and other individuals in the start-up sector (together, the **Participants**) to connect with each other and to raise their profile in the start-up community. The Platform is primarily aimed at technology or technology-enabled Start-ups.
16. Any Participant can post a profile on the Platform that contains general information about itself, including, as applicable, its products or services, and its management team (a **Profile**). A Profile is publicly available to anyone accessing the Platform. A Start-up may also post confidential information and grant access only to certain Participants.
17. After setting up a Profile, a Participant may request a connection by visiting another Participant's profile (the **Connection Services**). Angellist will confirm the relationship between the Participants. A verified connection is required in order for a Participant to send other Participants a message or request an introduction to other Participant's connections.
18. Any Start-up can also post job openings on the Platform and seek applicants from Participants on the Platform for such job openings (the **Recruiting Services**) (together with the Connection Services, the **Public Services**).

Restricted Area and Restricted Services

19. The Platform includes a password protected area (the **restricted area**). Participants must apply to enter the restricted area, and ALA only permits Accredited Investors to enter the restricted area.
20. Once Participants have been approved for access to the restricted area, they may further apply to access certain services, which are referred to below as **Restricted Services**. ALA only permits Quality Investors to access the Restricted Services, subject to the limitations applicable to Direct Investors as described in paragraph 76. Based on the Filers' experience in the United States, approximately 30% of U.S. accredited investors that apply to access the Restricted Services meet ALA's Quality Investor standard and are approved to use the Restricted Services.
21. The Restricted Services consist of the following:
- a. ALA allows both Start-ups and Syndicate Lead Investors (as defined in paragraph 27) the ability to raise money for a specific Start-up by forming a syndicate of investors through the Platform (the **Syndicate Services**).
 - b. ALA allows Microfund Lead Investors (as defined in paragraph 39) the ability to raise money through the Platform for specific funds that invest in a variety of Start-ups identified in each case by the Microfund Lead Investor (the **Microfund Services**).
 - c. ALA provides a transaction update email to Quality Investors. ALA has an algorithm that uses objective criteria to identify Start-ups seeking to raise capital from a syndicate of investors and provides a list of these Start-ups to Quality Investors who request this information.
 - d. ALA offers a program for Quality Investors who plan to invest a substantial amount (which is at least USD\$600,000) through the Platform and satisfy such other conditions as ALA may implement from time to time (the **Professional Investor Program**). Under this program, ALA introduces these Quality Investors to Start-ups that do not wish to make it known publicly that they are raising capital through a syndicate.
22. In the U.S., accredited investors who are not Quality Investors may invest in diversified funds created by ALA (referred to as **Platform Funds**) that invest in a wide variety of syndicates on the Platform. ALA does not currently offer Platform Funds or similar funds to investors in Canada. ALA has commenced discussions with staff of the OSC on what basis it may offer Platform Funds or similar funds to investors in Canada.

Services Offered in Canada

23. Angellist makes the Public Services available to Participants.
24. ALA makes the Syndicate Services available to:
- a. Start-ups and Syndicate Lead Investors, and

- b. Quality Investors,
subject to certain restrictions set out below.
25. ALA makes the Microfund Services available to:
- a. Microfund Lead Investors, and
 - b. Quality Investors,
subject to certain restrictions set out below.
26. ALA makes the Professional Investor Program available to Quality Investors who qualify as a “permitted client” as defined in section 1.1 of NI 31-103 and excluding Direct Investors.

Syndicate Services

27. Syndicates can be formed by the founder or management of a Start-up itself or by an investor who is investing in a single Start-up, who wishes to make this investment opportunity available to other investors (co-investors) on the same terms and conditions, and who has been reviewed and approved by ALA as described in paragraphs 79 to 87 (a **Syndicate Lead Investor**). Each syndicate only invests in securities of a single Start-up (a **syndicate**).
28. A Start-up or Syndicate Lead Investor requests approval from ALA to establish the syndicate.
29. ALA reviews the request from the Start-up or Syndicate Lead Investor and determines whether to allow the Start-up or Syndicate Lead Investor to form a syndicate. In reviewing a request to form a syndicate, ALA reviews the Start-up for the following features:
- a. Whether the Start-up is a growth-oriented technology or technology-enabled company that has the potential to develop into a large stand-alone business;
 - b. Whether the Start-up is focused on a product or service that will provide social, economic or environmental benefits or that is likely to meet a strong market demand; and
 - c. Whether, in ALA’s opinion, the Start-up is likely to appeal to Quality Investors.
30. ALA will not permit reporting issuers or any public company in any other jurisdiction to form a syndicate on the Platform.
31. If ALA grants approval to form a syndicate, the Start-up or the Syndicate Lead Investor, as applicable, completes and posts an investor note (the **syndicate investor note**) about the syndicate on the restricted area of the Platform. The syndicate investor note contains factual information about the proposed capital raise, the Start-up to be invested in, any co-investors, the risks associated with investing in the Start-up, past financing of the Start-up, and other key investment terms and conditions.
32. Interested Quality Investors may conduct due diligence on the Syndicate Lead Investor and/or the Start-up. Quality Investors use their own judgment whether to invest in a syndicate.
33. Neither ALA nor the Syndicate Lead Investor nor the Start-up:
- a. provide specific recommendations or advice to particular Quality Investors about the suitability of an investment in a Start-up through an SPE; or
 - b. recommend or solicit any particular purchase or sale by a Quality Investor of an SPE’s securities.
34. Interested Quality Investors may submit non-binding requests for additional information through the Platform to either the Start-up or Syndicate Lead Investor about the Start-up that is being syndicated.
35. If there is sufficient interest to proceed with closing a syndicate investment, ALA establishes a special purpose entity (**SPE**) to accept the funds from committed investors and to acquire the Start-up’s securities. The SPE formed to invest in the Start-up is required under U.S. securities law to have 99 or fewer investors (which may be increased to 250 in certain circumstances). For investments in Eligible Canadian Start-ups, for tax reasons Canadian investors may be, but need not be, aggregated into a parallel Canadian SPE. If used, a parallel Canadian SPE will otherwise invest on identical terms and conditions to a standard SPE.
36. ALA conducts a review of each Start-up’s constating documents and Closing Documents (as defined in paragraph 54) to ensure they are consistent with the information in the Profile and the syndicate investor note, the results of any

background reviews and any accompanying materials or information provided to it by an investor, the Syndicate Lead Investor and/or the Start-up and determines if the Closing Documents are complete, consistent and not misleading. If it appears to ALA that the Closing Documents are incomplete, inconsistent or misleading, ALA will require the Closing Documents to be corrected, made complete, or clarified.

37. For their role in a syndicate, ALA and the Syndicate Lead Investor will only receive compensation equal to a portion of the increase in value, if any, of the investment as calculated at the termination of the investment in the SPE (the **Syndicate Carried Interest**), and will not receive any transaction-based compensation. None of the Filers, the Syndicate Lead Investor, nor any of their officers or directors receive any other form of commission or transaction-based compensation related to the Restricted Services, including the Syndicate Services.
38. From October 24, 2016 (being the date when ALA became registered in Ontario) to the date of this Decision, approximately 3,400 Start-ups have raised capital from a syndicate on the platform pursuant to the terms and conditions of the Initial Ontario decision and the Prior CSA Decisions. The Filers are in compliance with all of the terms and conditions of the Prior CSA Decisions.

Microfund Services

39. Microfunds can be formed by an investor who intends to invest in a portfolio of Start-ups over a specified period and who wishes to make those investment opportunities available to other investors (co-investors) on the same terms and conditions, and who has been reviewed and approved by ALA as described in paragraphs 79 to 87 (a **Microfund Lead Investor**).
40. A Microfund Lead Investor requests approval from ALA to establish the microfund.
41. ALA reviews the request from the Microfund Lead Investor and determines whether to allow the Microfund Lead Investor to form a microfund. In reviewing a request to form a microfund, ALA reviews the Microfund Lead Investor and the proposed microfund for all of the following features:
 - a. The Microfund Lead Investor has been reviewed and approved by ALA as described in paragraphs 79 to 87;
 - b. The Microfund Lead Investor is a Credible Investor;
 - c. The Microfund Lead Investor is investing his or her own money in or alongside the microfund;
 - d. That any conflicts of interest that the Microfund Lead Investor might have in relation to the microfund are clearly articulated such that they can be appropriately disclosed to Quality Investors;
 - e. The investment thesis for the microfund; and
 - f. Whether, in ALA's opinion, the microfund is likely to appeal to Quality Investors.
42. Microfunds can invest in any technology Start-up identified by the Microfund Lead Investor that in the opinion of ALA is consistent with the microfund's investment thesis. The Filers have other policies and operational limitations that result in restrictions on certain types of investments being made by microfunds.
43. If ALA grants approval to form a microfund, the Microfund Lead Investor completes and posts an investor note (the **microfund investor note**) about the microfund on the restricted area of the Platform. The microfund investor note contains factual information about the Microfund Lead Investor's background, the microfund's investment thesis, the expected investment period, average deal size to be made in a start-up by the microfund and any conflicts of interest between the microfund lead investor and the microfund.
44. Interested Quality Investors may conduct due diligence on the Microfund Lead Investor. Quality Investors use their own judgment as to whether to invest in a microfund.
45. Neither ALA nor the Microfund Lead Investor nor any Start-up:
 - a. recommends to, or advises Quality Investors about the suitability of, an investment in a microfund; or
 - b. recommends or solicits any particular purchase or sale by a Quality Investor of a microfund's securities.
46. Interested Quality Investors may submit requests for additional information through the Platform to the Microfund Lead Investor about the microfund.

47. If there is sufficient interest to proceed with closing a microfund, ALA establishes a limited partnership or limited liability company (**LLC**) to accept the subscription funds from committed investors, and investors are issued limited partnership or LLC interests of the microfund in exchange for those funds. Subscription funds are deposited with the U.S. bank referred to in paragraphs 57 and 58.
48. When the Microfund Lead Investor wants to make an investment from the microfund into a specific Start-up, the Microfund Lead Investor informs ALA. ALA will verify that the investment conforms with the investment thesis and reviews any conflicts of interest the Microfund Lead Investor may have in relation to the investment. ALA will ensure that all required documents relating to the investment are provided to investors. Once ALA approves the investment, the U.S. bank referred to in paragraphs 57 and 58 will wire the required funds to the Start-up.
49. For their role in a microfund, ALA and the Microfund Lead Investor will only receive compensation equal to a portion of the increase in value, if any, of the investment as calculated at the termination of the investment in the microfund (the **Microfund Carried Interest**) and, in certain instances, a customary management fee (from 1 – 3%), split between ALA and the Microfund Lead Investor. None of the Filers, the Microfund Lead Investor, nor any of their officers or directors receive any other form of commission or transaction-based compensation related to the Microfund Services.
50. Each microfund has a common general partner or LLC manager that is supported in carrying out its duties by the Microfund Lead Investor. The Microfund Lead Investor contributes to the Start-ups that receive microfund investments in a similar manner to that of early-stage Canadian venture capital funds. This generally includes direct involvement in the appointment of managers by using the Microfund Lead Investor's network of contacts to source, recruit, vet and provide references for members of senior management of the Start-up, as well as key members of the Start-up's product development, business development or technology teams. The Microfund Lead Investor also represents the microfund in material management decisions affecting the Start-up that require the input of the Start-up's principal investors. At the early stage material decisions of this nature generally include whether to support financings, uses of capital and any material business decisions, and in later stages decisions requiring investor consent are usually formalized in protective contractual provisions.

Procedures Common to Syndicates and Microfunds

51. ALA has engaged an affiliated consulting and fund administration firm (the **SPE/Microfund Manager**) to provide administrative services in relation to the SPEs and microfunds on terms no less favorable than those available from an arms' length firm. On behalf of ALA, the SPE/Microfund Manager handles the formation and organization of each SPE and microfund, certain closing procedures for the investments, securities filings, ongoing administration, and winding up the SPE or microfund where applicable.
52. The first time a Quality Investor invests with a syndicate or microfund, prior to closing of that syndicate or microfund, the Quality Investor is asked to confirm his or her interest in investing in Start-ups generally, and to acknowledge a series of risk warnings including warnings as to risk of total loss of the investment, illiquidity of the securities and dilution risk, and the need for the Quality Investor to conduct his or her own due diligence on the Start-up or microfund, as applicable. Detailed risk warning acknowledgements are not obtained from Quality Investors on subsequent investments; however, certain risks are acknowledged upon each Quality Investor's acceptance of the provisions of the Closing Documents.
53. For each syndicate or microfund, prior to closing that syndicate or microfund, the Quality Investor is also asked to reconfirm his or her accredited investor status. If a Quality Investor indicates that his or her status has changed such that he or she is no longer an accredited investor, the investor is not permitted to invest with the syndicate or microfund and is not permitted to access the restricted area of the Platform. Quality Investors electronically agree to and sign the SPE or microfund Closing Documents on the Platform and are provided with wire instructions for their investment amounts.
54. After a Quality Investor commits to making an investment with a syndicate or microfund, the Quality Investor receives the following:
 - a. in the case of a syndicate, the SPE's operating or limited partnership agreement, the SPE's private placement memorandum, the subscription or purchase agreement for the purchase of securities of the SPE, an investor statement (which is a screen confirming how much the Quality Investor invested in the SPE and the corresponding investment by the SPE in the Start-up as of the specific date), a signature certificate (which is a screen showing the investor that documents have been digitally signed and a digital fingerprint provided for security reasons) and the syndicate investor note; or
 - b. in the case of a microfund, the microfund's operating, limited partnership or LLC agreement (as applicable), the microfund's private placement memorandum, the subscription or purchase agreement for the purchase of securities of the microfund, an investor statement (which is a screen confirming how much the Quality Investor invested in the microfund), a signature certificate (which is a screen showing the investor that documents have been digitally signed and a digital fingerprint provided for security reasons) and the microfund investor note.

The documents referred to above are the Closing Documents. The SPE/Microfund Manager will retain the Closing Documents for eight years.

55. Either the Filers or SPE/Microfund Manager will deliver electronically to the securities regulatory authority of each jurisdiction of Canada where a distribution occurs, any of the documents that constitute an offering memorandum (as defined under the Legislation). In the case of a syndicate, the Filers will inform the Start-up that the Start-up must deliver electronically to the securities regulatory authority of each jurisdiction of Canada where a distribution occurs a copy of any document that constitutes an offering memorandum (as defined under the Legislation) that has not already been delivered.
56. Prior to closing a syndicate or microfund, ALA uses a third-party service (such as Blockscore or Jumio) to verify the identity of each Quality Investor. ALA also runs anti-money laundering and terrorist financing checks. The verification process and anti-money laundering and terrorist financing checks are performed on both individual and non-individual Quality Investors (entities). For non-individual Quality Investors, the Filers contact the investor by email to determine the identity of the individual principal(s) of the Quality Investor. AML and terrorist financing checks are performed through a politically exposed person (PEP) list and/or Office of Foreign Assets Control (OFAC) list search. Similar verification processes and checks will be performed for Canadian investors.
57. Neither the Filers nor the SPE nor the microfund holds, handles or controls any investor or Start-up funds. The funds are held by and deposited in a single trust account that has been established by a FDIC-member U.S. bank in the name of the bank for the benefit of investors investing through the Platform or, depending on the size of the syndicate or microfund and other considerations, a separate account in the name of the bank for the benefit of investors in the particular fund. The Filers do not intermingle their own monies in these accounts.
58. Once all expected funds have been received by the bank, the bank notifies ALA. ALA then issues advice to the bank to initiate funds transfer to the Start-up or, in the case of microfunds, ALA issues advice to the bank to initiate funds transfer to a Start-up when the applicable investment has been approved.
59. All Quality Investors in a syndicate are notified electronically that the investment by the SPE in the Start-up is finalized and to provide them with a copy of the final Closing Documents. Investors in microfunds are notified electronically from time to time that investments have been made by the microfund.
60. The Filers will utilize the same bank and procedures for investments in Eligible Canadian Start-ups completed on the Platform. Although initially the Platform will only support transactions denominated in U.S. dollars, the Filers plan to support transactions in Canadian dollars and utilize Canadian banking services as required for transactions in Canadian dollars.
61. Quality Investors have access to an individual account on the Platform where they may view information about the transaction and access copies of the Closing Documents. The Closing Documents will be retained and made available to Quality Investors through the Platform for at least eight years.
62. ALA requires that each investor in a syndicate or microfund pay a portion of the costs associated with the closing of the syndicate or microfund investment (such as legal fees) in proportion to the investor's investment.
63. Neither the syndicate nor the SPE or microfund, as applicable, borrows funds from investors or the public for any reason. The syndicate, the SPE or microfund, as applicable, and the Filers do not loan money or extend margin to investors that wish to invest in a Start-up as part of a syndicate or microfund.
64. The Filers do not facilitate any secondary trading of previously issued securities, whether originally issued to the members of a syndicate, the investors in a microfund or otherwise.

Professional Investor Program

65. ALA is involved with a number of syndicates in which the Start-up does not wish to disclose publicly that it is seeking funding (the **Private Syndicates**).
66. These Private Syndicates are only made available to Quality Investors who:
 - a. intend to invest a substantial amount, which will be specified by ALA from time to time (but in any event over USD\$600,000), in syndicates through the Platform;
 - b. invest a substantial average amount to be specified by ALA from time to time (but in any event will be, on average, at least USD\$50,000 per month) in syndicates;
 - c. sign a non-disclosure agreement with ALA; and

- d. are able to make investment decisions in a timely manner.
- 67. ALA has automated functionality that matches certain Private Syndicates with the Quality Investor's selected objective criteria, based on filters that the Quality Investor selected when the Quality Investor signed up for the Professional Investor Program.
- 68. ALA provides the list of Private Syndicates to the Quality Investor.
- 69. The Quality Investor conducts his or her own due diligence on the Start-up or the Private Syndicate.
- 70. The Quality Investor will make his or her own decision as to which Private Syndicate to invest in. The same investment procedures that are used for a typical syndicate also apply to a Private Syndicate.
- 71. There are no fees for participating in the Professional Investor Program.

Participants

Investors

- 72. When opening an account with AngelList to seek ALA's approval for Quality Investor status, each investor provides the Filers with the category of accredited investor the investor meets, which for Canadian investors will correspond to the definition of accredited investor in Canadian securities legislation. In addition, the Filers request that each investor provides the following information when opening an account:
 - a. The amount the investor has budgeted for investing in Start-ups on the Platform;
 - b. The investor's net worth band (e.g., > \$1 million, > \$2 million, > \$5 million, with currency being denominated in U.S. dollars). For Canadian investors, bands are denominated in Canadian dollars;
 - c. The proportion of the investor's net worth that the investor's budget for investing in Start-ups represents; and
 - d. The investor's experience in investing in Start-ups or working for or with private equity firms and venture capital firms and the investor's connection to other investors and Start-ups on the Platform.

The above-listed information, to the extent provided by an investor, is retained on the Platform by the Filers for eight years.

- 73. In addition to providing the information in paragraph 72, each investor acknowledges the following risks associated with investing in Start-ups generally when signing up to access the Public Services and Restricted Services:
 - a. Risk of loss of an investor's entire investment in a Start-up;
 - b. Illiquidity risk;
 - c. No due diligence of a Start-up is conducted by the Filers;
 - d. Dilution risk;
 - e. Risk of change in the Start-up's plans, markets and products; and
 - f. No recommendation or advice is provided by the Filers to the investor.

In addition:

- g. Prior to making an investment, the investor must acknowledge that he or she will receive limited or no initial or ongoing information about the investment; and
- h. The syndicate investor note or microfund investor note (as applicable) will disclose any conflicts of interest that may exist.

The above-listed information is retained on the Platform or by ALA for eight years.

- 74. To determine if an investor is a Quality Investor, ALA manually conducts an assessment of each investor's experience and knowledge with respect to venture capital and angel investing based upon available information about the investor, which may include the following information:

- a. The investor's previous venture capital and angel investments and the size of those investments (as declared by the investor or otherwise known to ALA);
 - b. The investor's connections to other founders and investors (as reflected on his or her profile on the Platform or other websites), and ALA's assessment of those founders and investors; and
 - c. ALA's judgement about an investor's previous venture capital and angel investing experience with other top investors and the investor's reputation.
75. If, based on ALA's assessment, an investor does not have sufficient experience and knowledge with respect to venture capital and angel investing, ALA will not approve the investor as a Quality Investor. In order to access the Restricted Services an investor (other than a Direct Investor) must first be approved as a Quality Investor.
76. Syndicate Lead Investors and Microfund Lead Investors may allow certain investors (**Direct Investors**) who ALA has not yet approved as Quality Investors to access and invest in such Syndicate Lead Investor's and Microfund Lead Investor's investments provided that:
- a. the Syndicate Lead Investor or Microfund Lead Investor, as applicable, acknowledges that:
 - (1) the Syndicate Lead Investor or Microfund Lead Investor, as applicable, has a substantive pre-existing relationship with such Direct Investor sufficient to understand the Direct Investor's knowledge and experience in investing with venture capital and angel investing;
 - (2) the Syndicate Lead Investor or Microfund Lead Investor, as applicable, believes, in good faith, that such Direct Investor is a Quality Investor; and
 - b. such Direct Investor provides ALA with the category of accredited investor the Direct Investor meets, which for Canadian investors will correspond to the definition of accredited investor in Canadian securities legislation, prior to making an investment on the Platform.

A Direct Investor may not access through the Restricted Services investments of any Syndicate Lead Investor or Microfund Lead Investor other than the one that directly invited them to the Platform until such Direct Investor requests access to the Restricted Services (following the process for investors who are not Direct Investors) and is approved by ALA as a Quality Investor. ALA will periodically review Direct Investors who subsequently apply for access to the Restricted Services to assess whether the Syndicate Lead Investor or Microfund Lead Investor, as the case may be, is inviting Direct Investors who are Quality Investors. ALA is not delegating or relying on the lead investor to ensure that the Direct Investor has sufficient experience in venture capital and angel investing and remains responsible for ensuring Direct Investors are Quality Investors. If it comes to ALA's attention that, contrary to the acknowledgement, a Syndicate Lead Investor or a Microfund Lead Investor is allowing Direct Investors who are not Quality Investors to access and invest in such Syndicate Lead Investor's and Microfund Lead Investor's investments, ALA will take actions to address the violation.

77. ALA may, in lieu of manual reviews described in Paragraph 74, elect to use computer algorithms to programmatically rank investors based on the information provided by the investor and approve as Quality Investors only investors that achieve a minimum ranking as established by ALA from time to time.
78. In Canada, Accredited Investors that are not Quality Investors will not be permitted to invest as part of a syndicate or microfund through the Platform and will not be permitted access to the Restricted Services.

Lead Investors

79. Only Accredited Investors can apply to be Syndicate Lead Investors or Microfund Lead Investors. ALA retains the right and full discretion to determine whether a person may act as a Syndicate Lead Investor or Microfund Lead Investor.
80. ALA reviews a potential Syndicate Lead Investor or Microfund Lead Investor for previous experience related to venture capital and angel investing by reviewing the Syndicate Lead Investor's or Microfund Lead Investor's activity on relevant social media and other websites (such as Crunchbase and Google), if such information is available. If a Syndicate Lead Investor or Microfund Lead Investor does not have social media presence to review, ALA will assess the information personally known to ALA staff and obtained through conversations with the Syndicate Lead Investor or Microfund Lead Investor, as the case may be, and with other sources.
81. ALA also reviews references provided by each Syndicate Lead Investor or Microfund Lead Investor related to his or her prior Start-up investments.

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82. In addition to the qualifications outlined in paragraphs 80 and 81, Microfund Lead Investors must: (i) invest their own money into or alongside the microfund and (ii) clearly disclose any conflicts they might have to the microfund and clearly articulate what part of their deal flow will go through the microfund. Each Microfund Lead Investor must also be determined by ALA to be a Credible Investor.
83. In the case of syndicates, if ALA is not satisfied that a Syndicate Lead Investor has sufficient knowledge and experience related to Start-up and/or venture capital investing, ALA will also consider whether there is a Credible Investor involved in the syndicate and who is investing on the same terms and conditions as the investors in the syndicate.
84. Where ALA approves a Syndicate Lead Investor to form a syndicate or a Microfund Lead Investor to form a microfund, ALA requires each Syndicate Lead Investor or Microfund Lead Investor, as applicable, to sign an agreement with ALA. For so long as the Syndicate Lead Investor has an interest in the Start-up that the Syndicate Lead Investor has syndicated or the Microfund Lead Investor has an interest in the microfund, this agreement requires, among other things, the Syndicate Lead Investor or Microfund Lead Investor:
- a. to assist ALA and the SPE/Microfund Manager as necessary to allow ALA and the SPE/Microfund Manager to comply with applicable regulatory requirements pertaining to the syndicate or the microfund and the syndicate's or microfunds' investment in the Start-up,
 - b. to provide ALA with information about the Start-ups invested in by the syndicate or microfund as required by ALA or the SPE/Microfund Manager to service the syndicate or the microfund, and
 - c. to provide ALA with written notice of certain events, including subsequent investment in the Start-up by the Syndicate Lead Investor or Microfund Lead Investor, sale or transfer of the Syndicate Lead Investor's or Microfund Lead Investor's securities in the Start-up, and how the Syndicate Lead Investor or Microfund Lead Investor has voted.

In the event the Syndicate Lead Investor or Microfund Lead Investor, as applicable, fails to comply with the agreement, ALA will take action for the breach, including terminating its agreement with a Syndicate Lead Investor or a Microfund Lead Investor where there is a material violation of the conditions of this Decision.

85. Syndicate Lead Investors and Microfund Lead Investors are required to disclose all conflicts of interest to ALA and to potential Quality Investors (including Direct Investors). Conflicts of interest that must be disclosed include whether the Syndicate Lead Investor or Microfund Lead Investor invested in a previous round of financing by the Start-up or a prospective portfolio company of the microfund, is an employee or officer of the Start-up or a prospective portfolio company of the microfund, or has family members working at the Start-up or a prospective portfolio company of the microfund, and any other circumstances judged by ALA to constitute conflicts or potential conflicts.
86. A Syndicate Lead Investor invests either directly with the Start-up or alongside other investors in the syndicate on the same terms and conditions as the investors in the syndicate. A Microfund Lead Investor invests directly in the microfund or alongside the microfund on the same terms and conditions as the investors in the microfund.
87. Prior to the closing of the syndicate or the microfund, ALA conducts a background check on the Syndicate Lead Investor or Microfund Lead Investor as applicable (through a third party service provider), including criminal record, securities regulatory, AML, terrorist financing, and economic and political sanctions watch-lists. In addition, similar background checks are conducted annually on Syndicate Lead Investors and Microfund Lead Investors. ALA conducts and maintains third-party background checks on the individuals at ALA who act as officers and directors of the SPE.

Start-ups

88. ALA conducts background reviews on the Start-up that a syndicate invests in and each founder (which generally includes the president or chief executive officer) of such Start-up before the close of a syndicate.
89. ALA conducts these background reviews on the Start-up that a syndicate invests in and such Start-up's founders by utilizing internet search engines and other online resources for evidence of: criminal record, securities regulatory, AML terrorist financing, and economic and political sanctions watch-lists.
90. The Microfund Lead Investor performs due diligence on each Start-up and its founders in which the microfund invests.
91. ALA does not permit a syndicate to close, if any of the Start-up, its president or chief executive officer has pled guilty to or has been found guilty of an offence related to or has entered into a settlement agreement in a matter that involved fraud or securities violations or if the Start-up is bankrupt.

Additional Requirements

92. Canadian investors will only be permitted to invest in a Start-up that seeks to raise capital through a syndicate and in microfunds in one of the following circumstances:
- a. Permitted Clients. Canadian investors who qualify as permitted clients (as defined in section 1.1 of NI 31-103) and who waive the requirement for ALA to conduct a suitability assessment, in accordance with subsection 13.3(4) of NI 31-103, may (i) invest in any syndicate on the Platform, (ii) invest in any microfund on the Platform and (iii) participate in the Professional Investor Program.
 - b. The Start-up, or the Start-ups in a particular microfund, is participating in or within the past 24 months has successfully completed an Approved Incubator Program. Canadian Quality Investors may invest in (i) syndicates in which the Start-up is an Eligible Canadian Start-up that is participating in or has successfully completed an Approved Incubator Program, or (ii) microfunds that only invest in Eligible Canadian Start-ups that are participating in or have successfully completed an Approved Incubator Program.
 - c. Other Start-ups or microfunds – Subject to limits on the number of Canadian Quality Investors. Over the period commencing on March 27, 2017 and ending on the expiry of the Decision up to a maximum of 1,000 Canadian Quality Investors may invest with one or more syndicates or microfunds that meet one of the following criteria.
 - (1) For Syndicates:
 - (a) The founder of the Start-up is an Experienced Founder.
 - (b) Either the Syndicate Lead Investor of the syndicate or at least one investor in the Start-up that the syndicate is investing in, other than the Syndicate Lead Investor, is a Credible Investor, and the syndicate is investing in the Start-up on the same terms and conditions as the Credible Investor.
 - (c) The Start-up has, within the previous three years, received funding from a federal, state, provincial or territorial government program that supports small business or Start-ups as part of its mandate, such as Business Development Bank of Canada, BDC Capital, the Investment Accelerator Fund, Ontario Centres of Excellence, the Federal Economic Development Agency for Southern Ontario and Investissement Québec.
 - (2) For microfunds: The Microfund Lead Investor is a Credible Investor and invests in or alongside the microfund on the same terms as the other microfund investors.

Decision

The Principal Regulator is satisfied that the Decision meets the tests 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 Prior Prospectus Decision with respect to the Prior CSA Decision is repealed and the Prospectus Relief Sought is granted, provided that all of the following conditions are met:

1. The Filers have their head office or principal place of business in the U.S. or Canada.
2. The Filers are in compliance with the no action letter relating to broker-dealer registration issued to them by the SEC dated March 28, 2013 and the no action letter has not been modified or revoked.
3. ALA is an exempt reporting adviser in the U.S.
4. The Filers ensure that securities are only distributed to investors in Canada in accordance with the terms, conditions, restrictions and requirements applicable to the accredited investor exemption as set out in Canadian securities legislation, except the requirements in subsections 2.3(6) and (7) of National Instrument 45-106 *Prospectus Exemptions* (NI 45-106) to obtain and retain a signed risk acknowledgement in the prescribed form.
5. For each distribution by an SPE or microfund made in reliance on this Decision, either ALA, or the SPE/Microfund Manager on behalf of ALA, will file a completed Form 45-106F1 Report of Exempt Distribution (Form 45-106F1) in each jurisdiction of Canada where the distribution takes place within 10 days of the date of the distribution and will reference the accredited investor exemption as set out in section 2.3 of NI 45-106 as the “Exemption relied on” in Schedule 1 of Form 45-106F1.

6. For each distribution by an SPE or microfund made in reliance on this Decision, if an offering memorandum (as defined under the Legislation) is provided by the SPE to investors resident in a jurisdiction of Canada, either ALA or the SPE/Microfund Manager will deliver to the securities regulatory authority of each jurisdiction of Canada where the distribution occurs, a copy of the offering memorandum, or any amendment to a previously delivered offering memorandum, within 10 days of the date of the distribution.
7. For each distribution by an SPE or microfund made in reliance on this Decision, if an offering memorandum (as defined under the Legislation) is provided by the SPE or microfund to investors resident in a jurisdiction of Canada, ALA will ensure that the SPE or microfund provides to investors resident in a jurisdiction of Canada a contractual right of action against the SPE or microfund for rescission or damages that:
 - (a) Is available to an investor who purchases a security offered by the offering memorandum during the period of distribution, if the offering memorandum contains a misrepresentation, without regard to whether the purchaser relied on the misrepresentation
 - (b) Is enforceable by the investor delivering notice to the SPE or microfund:
 - (c) In the case of an action for rescission, within 180 days after the date of the transaction that gave rise to the cause of action, or
 - (d) In the case of an action for damages, before the earlier of
 - (e) 180 days after the investor first had knowledge of the facts giving rise to the cause of action, or
 - (f) three years after the date of the transaction that gave rise to the cause of action
 - (g) Is subject to the defence that the investor had knowledge of the misrepresentation
 - (h) In the case of an action for damages, provides that the amount recoverable
 - (i) must not exceed the price at which the security was offered, and
 - (j) does not include all or any part of the damages that the SPE or microfund proves does not represent the depreciation in value of the security resulting from the misrepresentation, and
 - (k) Is in addition to, and does not detract from, any other right of the purchaser.
8. The first trade in securities distributed in reliance on this Decision will be deemed to be a distribution that is subject to section 2.5 of National Instrument 45-102 Resale of Securities.
9. The Filers ensure that
 - (a) the accredited investor status of each investor is verified when the investor first signs up to the Platform and verified again when the investor makes any investment through the Platform,
 - (b) prior to closing of the first syndicate or microfund in which an investor invests, the investor acknowledges the risks as described above in paragraph 52, and
 - (c) upon signing up to access the Restricted Services, the investor acknowledges the risks as described above in paragraph 73.
10. The Filers limit access to the Restricted Services to Quality Investors, subject to the limitations applicable to Direct Investors described in paragraph 76.
11. The Filers will immediately remove an investor from being able to access the Restricted Services if it knows or suspects that the investor is not an accredited investor (as defined in section 73.3(1) of the Act and NI 45-106).
12. The Filers ensure that Canadian investors invest in syndicates or microfunds through the Platform in accordance with paragraph 92.
13. The Approved Incubator Programs are NEXT Canada (previously known as The Next 36), Creative Destruction Lab, York Entrepreneurship Development Institute's (YEDI) Incubator Track, Ontario Centres of Excellence's (OCE) Market Readiness Program, Launch Academy, UTEST and any other Approved Incubator Program from time to time.

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14. ALA notifies the Principal Regulator in writing at least 10 business days prior to any material change in either Filers' business operations or business model, including any material addition to or material modification to the Restricted Services.
15. The Filers notify the Principal Regulator promptly in writing of any regulatory action, criminal charges, or material civil actions initiated after the date of this Decision in respect of the Filers or any specified affiliate (as defined in Form 33-109F6 Firm Registration) of the Filers.
16. This Decision shall expire on September 30, 2021.

"Tim Moseley"
Vice Chair
Ontario Securities Commission

"Frances Kordyback"
Commissioner
Ontario Securities Commission

The further decision of the Principal Regulator is that the Prior Registration Decision with respect to the Prior CSA Decision is repealed and the Registrant Obligations Relief Sought is hereby granted, provided that all of the following conditions are met:

1. The Filers comply with the terms and conditions of the Decision with respect to the Prospectus Relief Sought.
2. Unless otherwise exempted by a further decision of the Principal Regulator, ALA complies with all of the terms, conditions, restrictions and requirements applicable to a registered dealer and to a registered individual under Canadian securities laws, including the Act and NI 31-103, and any other terms, conditions, restrictions or requirements imposed by a securities regulatory authority or regulator on ALA.
3. The Filers will deal fairly, honestly and in good faith with Participants.
4. The Filers, any representatives of the Filers, any Syndicate Lead Investors, any Microfund Lead Investors and any Start-ups do not provide recommendations or advice to any investor or prospective investor on the Platform.
5. The Filers ensure Syndicate Lead Investors of a syndicate invest in the Start-up on the same terms and conditions as the syndicate, and that the Microfund Lead Investors of a microfund invest in or alongside the microfund on the same terms and conditions as investors in the microfund.
6. The Filers ensure that any Start-up that raises capital in Canada through the Platform is not an investment fund and not a reporting issuer.
7. Neither ALA nor any Syndicate Lead Investor nor any Microfund Lead Investor will solicit investors, aside from the Restricted Services of the Platform itself.
8. Neither the Filers nor the SPE nor the microfund holds, handles or controls any investor or Start-up funds.
9. Neither Filers permit any secondary trading of previously issued securities to take place on the Platform.
10. The only compensation that ALA, the Syndicate Lead Investor or the Microfund Lead Investor receive for their role in a syndicate or microfund is (i) Syndicate Carried Interest or Microfund Carried Interest as applicable, and (ii) in the case of certain microfunds, a maximum 1%-3% management fee payable to the Microfund Lead Investor and/or ALA, and such compensation is disclosed to investors. None of the Filers, the Syndicate Lead Investor, the Microfund Lead Investor nor any of their officers or directors receive any other form of commission or transaction-based compensation related to the Restricted Services, including the Syndicate Services or the Microfund Services.
11. ALA will disclose any conflicts of interest as described in paragraph 73(h) to investors in the syndicate or microfund.
12. The Filers will immediately remove a Start-up from the Platform, and the posting of any syndicate in relation to such Start-up, and will prevent any microfund from investing in a Start-up if:
 - a. Either Filer makes a good faith determination that the business of the Start-up may not be conducted with integrity because of the past or current conduct of the Start-up or of the Start-up's directors, executive officers or promoters; and
 - b. Either Filer becomes aware that the Start-up is not complying with applicable securities legislation.
13. The Filers will not permit Canadian Quality Investors to invest in microfunds that have been formed to invest primarily in: crypto-assets.
14. The Filers will immediately remove any Participant from the Platform or prohibit any person or company from accessing the restricted area of the Platform at the request of the Principal Regulator.

15. In addition to any other reporting required by law, including Form 45-106F1 Report of Exempt Distribution, the Filers provide the following information to the Principal Regulator within 30 days of the end of June and December:
- a. For syndicates:
 - The name of each Start-up that has raised capital in Canada through a syndicate on the Platform, and
 - the name of the associated SPE(s).
 - b. For microfunds:
 - The number of microfunds established in the quarter in Canada and the name of the associated SPE(s),
 - The number of microfunds that deployed cash in Canada in the quarter and the amount invested in Start-ups in total,
 - A list of those microfunds that invested solely in Eligible Canadian Start-ups and the names of the Approved Incubator Programs each Start-up participated in, and
 - The total number of Canadian investors who invested in microfunds in the quarter (pursuant to this Decision).
 - c. The number of Canadian Accredited Investors that applied during the quarter to be approved as Quality Investors and the number who were approved by ALA as Quality Investors.
16. The Filers will provide such other information as the Principal Regulator may reasonably request from time to time.
17. This Decision shall expire on September 30, 2021.
18. This Decision may be amended by the Principal Regulator from time to time upon prior written notice to the Filers.

“Debra Foubert”
Director
Ontario Securities Commission

2.1.2 Accelerate Financial Technologies Inc.

Headnote

NP 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – exemption granted to an investment fund from margin deposit limit contained in paragraphs 6.8(1) and 6.8(2)(c) of National Instrument 81-102 to invest in specified futures – the Filer will use dealers in Canada and the United States – conditional on the amount of margin deposited does not exceeding 35% of the net assets of the fund with any one dealer and 70% of the net assets of the funds on all margin deposited with all dealers being held in segregated accounts.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 6.8(1), 6.8(2)(c) and 19.1

Citation: *Re Accelerate Financial Technologies Inc.*, 2021 ABASC 29

March 17, 2021

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

AND

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

AND

IN THE MATTER OF
ACCELERATE FINANCIAL TECHNOLOGIES INC.
(the Filer)

DECISION

Background

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

- (a) section 6.8(1) of National Instrument 81-102 *Investment Funds (NI 81-102)*, which restricts an investment fund from depositing portfolio assets as margin with a member of a regulated clearing agency or dealer that is a member of a self-regulatory organization that is a participating member of the Canadian Investor Protection Fund (**CIPF**) for a transaction in Canada involving certain specified derivatives in excess of 10% of

the net asset value (**NAV**) of the investment fund at the time of deposit; and

- (b) section 6.8(2)(c) of NI 81-102, which restricts an investment fund from depositing portfolio assets as margin with a member of a regulated clearing agency or dealer for a transaction outside of Canada involving certain specified derivatives in excess of 10% of the NAV of the investment fund as at the time of deposit;

to permit the Fund to deposit as margin portfolio assets of up to 35% of the Fund's NAV as at the time of deposit with any one futures commission merchant in Canada or the United States (each a **Dealer**) and up to 70% of the Fund's NAV as at the time of deposit with all Dealers in the aggregate, in each case for transactions in standardized futures (the **Requested Relief**).

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

- (a) the Alberta Securities Commission is the principal regulator for this application;
- (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; and
- (c) the decision is the decision of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

Interpretation

Terms defined in NI 81-102, National Instrument 14-101 *Definitions*, and MI 11-102 have the same meaning if used in this decision, unless otherwise defined herein.

Representations

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

Background Facts

The Filer

1. The Filer is registered as an adviser in the category of portfolio manager, as a dealer in the category of exempt market dealer and as an investment fund manager under the securities legislation of each of Alberta and Ontario. The Filer's head office is in Calgary, Alberta.
2. The Filer will be the investment fund manager and portfolio manager of the Fund. The Filer is not in default of applicable securities legislation in any of the provinces or territories of Canada.

The Fund

3. The Fund is an exchange-traded alternative mutual fund established under the laws of the Province of Ontario and is governed by the provisions of NI 81-102, subject to any relief therefrom granted by the securities regulatory authorities.
4. The Fund is not in default of applicable securities legislation in any of the provinces or territories of Canada.
5. Units of the Fund is offered pursuant to a long form prospectus and ETF facts prepared in accordance with National Instrument 41-101 *General Prospectus Requirements*.
6. The Fund is a reporting issuer in each of the provinces and territories of Canada.
7. The investment objective of the Fund is to seek to provide investors with exposure to the performance of bitcoin by investing in derivatives that provide exposure to bitcoin.
8. To seek to achieve its investment objective, the Fund will invest directly in bitcoin futures contracts (**Bitcoin Futures**) traded on the Chicago Mercantile Exchange. In the future, the Fund may invest in Bitcoin Futures traded on other exchanges.
9. The investment strategies of the Fund will, except to the extent that the Requested Relief is granted and other exemptive relief is applicable, be limited to the investment practices permitted by NI 81-102. The Fund will not use leverage.
10. The Filer is authorized to establish, maintain, change and close brokerage accounts on behalf of the Fund. In order to facilitate transactions in Bitcoin Futures on behalf of the Fund, the Filer will establish one or more accounts (each an **Account**) with one or more Dealers.
11. Each Dealer in the United States (each a **U.S. Dealer**) is regulated by the Commodity Futures Trading Commission (the **CFTC**) and the National Futures Association (the **NFA**) in the United States and is required to segregate all assets held on behalf of clients, including the Fund. Each U.S. Dealer is subject to regulatory audit and must have insurance to guard against employee fraud. Each U.S. Dealer has a net worth, determined from its most recent audited financial statements, in excess of the equivalent of C\$50 million. Each U.S. Dealer has an exchange assigned to it as its designated self-regulatory organization (the **DSRO**). As a member of a DSRO, each U.S. Dealer must meet capital requirements, comply with the conduct rules of the CFTC, NFA and its DSRO, and participate in an arbitration process with a complainant.
12. The Fund initially plans to use only U.S. Dealers, however, anticipates that Dealers in Canada

(**Canadian Dealer**) may be utilized in the future. Each Canadian Dealer will be a member of a regulated clearing agency or dealer that is a member of a self-regulatory organization that is a participating member of the CIPF.

13. Additionally, each Dealer is a member of the clearing corporations and exchanges that the standardized futures in the Fund's portfolio are primarily traded through. Each clearing corporation is obliged to apply its surplus funds and the security deposits of its members to reimburse clients of failed members.
14. A Dealer will require, for each Account, that portfolio assets of the Fund be deposited with the Dealer as collateral for transactions in Bitcoin Futures (**Initial Margin**). Initial Margin represents the minimum initial amount of portfolio assets that must be deposited with a Dealer to initiate trading in specified derivatives transactions or to maintain the Dealer's open position in standardized futures.
15. Levels of Initial Margin are established at a Dealer's discretion. At no time will more than 70% of the NAV of the Fund be deposited as Initial Margin with one or more Dealers in the aggregate.
16. Each Dealer is required to hold all Initial Margin, including cash and government securities, in segregated accounts and the Initial Margin will not be available to satisfy claims against the Dealer made by creditors of the Dealer.

Reasons for the Requested Relief

17. The use of Initial Margin is an essential element of investing in Bitcoin Futures for the Fund.
18. The Requested Relief would allow the Fund to invest in standardized futures more extensively with any one Dealer, which would allow the Fund to pursue its investment strategies more efficiently and flexibly.
19. Opening Accounts and transacting with multiple Dealers adds complexity and cost to the management of the Fund. Using fewer Dealers will considerably simplify the Fund's investment and operations and will reduce the cost of implementing the Fund's strategy. Using fewer Dealers also simplifies compliance and risk management, as monitoring the data, controls and policies of a smaller number of Dealers is less complex.
20. Each of the Decision Makers is satisfied that it would not be prejudicial to the public interest for the Requested Relief to be granted.

Decision

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

Makers under the Legislation is that the Requested Relief is granted provided that:

- (a) the Fund shall only use Initial Margin such that the amount of Initial Margin held by any one Dealer on behalf of the Fund does not exceed 35% of the net assets of the Fund, taken at market value as at the time of the deposit;
- (b) the Fund shall only use Initial Margin such that the amount of Initial Margin held by Dealers in aggregate on behalf of the Fund does not exceed 70% of the net assets of the Fund, taken at market value as at the time of the deposit; and
- (c) all Initial Margin deposited with any Dealer is and will be held in segregated accounts and is not, and will not be available to satisfy claims against such Dealer made by creditor of the Dealer.

“Tom Graham”, CA
Director, Corporate Finance
Alberta Securities Commission

2.1.3 Vanguard Investments Canada Inc.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted to mutual funds for extensions of lapse dates of their prospectuses – Filer will incorporate offering of the funds under the same offering documents when they are renewed – Extensions of lapse dates will not affect the currency or accuracy of the information contained in the current prospectuses.

Applicable Legislative Provisions

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

March 26, 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
VANGUARD INVESTMENTS CANADA INC.
(the Filer)**

AND

**IN THE MATTER OF
THE MUTUAL FUNDS LISTED ON SCHEDULE A
HERETO
(collectively, the Mutual Funds)**

AND

**IN THE MATTER OF
THE EXCHANGE-TRADED MUTUAL FUNDS LISTED ON
SCHEDULE A HERETO
(collectively, the ETFs, and together with the Mutual
Funds, the Funds)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Funds 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 Mutual Funds dated May 12, 2020 (the **Current Mutual Funds Prospectus**) and the time limits for the renewal of the long form prospectus of the ETFs dated January 25, 2021 (the **Current ETFs Prospectus**, and together with the Mutual Funds Prospectus, the **Current Prospectuses**) be extended to the time limits that would

apply if the lapse date of the Current Mutual Fund Prospectus was September 25, 2021 and if the lapse date of the Current ETF Prospectus was July 31, 2022 (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* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined.

Representations

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

- 1. The Filer is a corporation incorporated under the laws of the Canada with its head office located in Toronto, Ontario.
- 2. The Filer is registered as an investment fund manager in Ontario, Québec and Newfoundland and Labrador, a portfolio manager in Ontario and Québec, a commodity trading manager in Ontario, and an exempt market dealer in each of the provinces of Canada.
- 3. Neither the Filer nor any of the Funds is in default of securities legislation in any of the Canadian Jurisdictions.
- 4. Each of the Funds is an open-ended mutual fund trust established under the laws of Ontario. Each of the Funds is a reporting issuer in each of the Canadian Jurisdictions.
- 5. Securities of the Mutual Funds are currently qualified for distribution in each of the Canadian Jurisdictions under the Current Mutual Funds Prospectus.
- 6. The lapse date of the Current Mutual Funds Prospectus is May 12, 2021 (the **Current Mutual Funds Lapse Date**). Accordingly, under the *Securities Act* (Ontario) (the **Act**) and National Instrument 81-101 *Mutual Fund Prospectus Disclosure (NI 81-101)*, the distribution of securities of each of the Mutual Funds would have to cease on the Current Mutual Funds Lapse Date unless: (i) the Mutual Funds file a *pro forma* simplified prospectus at least 30 days prior to the Current

Mutual Funds Lapse Date; (ii) the final simplified prospectus is filed no later than 10 days after the Current Mutual Funds Lapse Date (i.e. May 22, 2021, which being a Saturday, such filing must be done by May 24, 2021); and (iii) a receipt for the final simplified prospectus is obtained within 20 days after the Current Mutual Funds Lapse Date (i.e. June 1, 2021).

- 7. Securities of the ETFs are currently qualified for distribution in each of the Canadian Jurisdictions under the Current ETFs Prospectus.
- 8. The lapse date of the Current ETFs Prospectus is January 25, 2022 (the **Current ETFs Lapse Date**, and together with the Current Mutual Funds Lapse Date, the **Current Lapse Dates**). Accordingly, under the Act and National Instrument 41-101 *General Prospectus Requirements (NI 41-101)*, the distribution of securities of each of the ETFs would have to cease on the Current ETFs Lapse Date unless: (i) the ETFs file a *pro forma* long form prospectus at least 30 days prior to the Current ETFs Lapse Date; (ii) the final long form prospectus is filed no later than 10 days after the Current ETFs Lapse Date (i.e. February 4, 2022); and (iii) a receipt for the final long form prospectus is obtained within 20 days after the Current ETFs Lapse Date (i.e. February 14, 2022).
- 9. Pursuant to subsections 2.6(1) and 2.6(2) of NI 81-101, the Mutual Funds must file a written consent provided by their auditor no later than May 24, 2021, 10 days after the Current Mutual Funds Lapse Date. Pursuant to subsections 10.1(1), 10.1(1.1) and 10.1(2) of NI 41-101, the ETFs must file a written consent provided by their auditor no later than February 4, 2022, 10 days after the Current ETFs Lapse Date.
- 10. The fiscal year-end of each of the Funds is March 31 and, pursuant to section 2.2 of National Instrument 81-106 *Investment Fund Continuous Disclosure*, the annual financial statements and auditor's report are required to be filed on or before the 90th day after the Funds' most recently completed financial year, which for the Mutual Funds will be June 30, 2021 (the **2020 Mutual Funds Fiscal Year-End**) and for the ETFs will be June 30, 2022 (the **2021 ETFs Fiscal Year-End**).
- 11. Pursuant to section 3.1.2 of NI 81-101 and given the 2020 Mutual Funds Fiscal Year-End, the Mutual Fund's auditor will be required to review the Mutual Funds' unaudited interim financial statements for the period ended September 30, 2020. Pursuant to section 4.3(1) of NI 41-101 and given the 2021 ETFs Fiscal Year-End, the ETF's auditor will be required to review the ETFs' unaudited interim financial statements for the period ended September 30, 2021.
- 12. The Filer must file annual financial statements for the Mutual Funds for the 2020 Mutual Funds Fiscal

- Year-End by no later than June 30, 2021, which date is after the Current Mutual Funds Lapse Date. The Filer must also file annual financial statements for the ETFs for the 2021 ETFs Fiscal Year-End by no later than June 30, 2022, which date is after the Current ETFs Lapse Date.
13. Considering the time required by the auditors and resources to prepare the prospectus documents commencing from the 2020 Mutual Funds Fiscal Year-End in respect of the Mutual Funds, the Filer submits that it is unworkable to have the final simplified prospectus for the Mutual Funds filed by May 24, 2021 with the auditor's written consent, audited financial statements and auditor's report for the Mutual Funds included.
14. Considering that the 2021 ETFs Fiscal Year-End falls after the deadline for filing the final long form prospectus in respect of the ETFs (i.e. February 4, 2022), the Filer submits that it is not possible to have the final long form prospectus for the ETFs filed by February 4, 2022 with the auditor's written consent, audited financial statements and auditor's report for the ETFs included.
15. As audited financial statements will not be ready by the Current Lapse Dates, the Mutual Funds will need to incorporate by reference unaudited interim financial information (as at September 30, 2020) into the final simplified prospectus for the Mutual Funds, and the ETFs will need to incorporate by reference unaudited interim financial information (as at September 30, 2021) into the final long form prospectus for the ETFs. In order to incorporate by reference the interim unaudited financial statements into the final simplified prospectus for the Mutual Funds and the final long form prospectus for the ETFs, those interim unaudited financial statements must be reviewed by the Funds' auditor in accordance with the relevant standards set out in the Handbook of the Canadian Institute of Chartered Accountants for a review of financial statements.
16. Given that the audited financial statements of the Mutual Funds will be available no later than June 30, 2021, and the audited financial statements of the ETFs will be available no later than June 30, 2022, which is only a few weeks or months, respectively, following the filing of the final simplified prospectus for the Mutual Funds and the final long form prospectus for the ETFs pursuant to the Current Lapse Dates, this review of the interim unaudited financial statements will incur time and expenses which will only be relevant for a short period of time.
17. Extending the Current Mutual Funds Lapse Date to September 25, 2021 and the Current ETFs Lapse Date to July 31, 2022 will provide the time necessary for the Funds' auditor to complete the audit of the Mutual Funds' financial statements for the 2020 Mutual Funds Fiscal Year-End and the ETFs' financial statements for the 2021 ETFs Fiscal Year-End and provide its written consent as required by NI 81-101 in respect of the Mutual Funds, and NI 41-101 in respect of the ETFs, and enable the Filer to renew the Current Prospectuses and fund facts documents, in respect of the Mutual Funds, and ETF facts documents in respect of the ETFs, on a timeline that allows the inclusion of the most current audited financial information each year. In doing so, it will be more efficient and remove unnecessary financial burden on the Funds which is indirectly borne by the Funds' securityholders.
18. There have been no material changes in the affairs of the Funds since the dates of the Current Prospectuses, as applicable. Accordingly, the Current Prospectuses continue to provide accurate information regarding the Funds, as applicable. Given the disclosure obligations of the Filer and the Funds, should any material change in the business, operations or affairs of the Funds occur, the Current Prospectuses and current fund facts document(s) in respect of the applicable Mutual Fund(s), and ETF facts document(s) in respect of the applicable ETF(s), will be amended as required under the Act.
19. New investors of the Funds will receive delivery of the most recently filed fund facts document(s) of the applicable Mutual Fund(s) and/or the most recently filed ETF facts document(s) of the applicable ETF(s). The Current Prospectuses of the Funds will remain available to investors upon request.
20. The Exemption Sought will not affect the accuracy of the information contained in the Current Prospectuses or the respective fund facts document(s) of each of the Mutual Funds, and ETF facts document(s) of each of the ETFs, 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 Exemption Sought is granted.

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

Schedule A

Funds

ETFs

Vanguard Global Minimum Volatility ETF
Vanguard Global Momentum Factor ETF
Vanguard Global Value Factor ETF
Vanguard Conservative Income ETF Portfolio
Vanguard Conservative ETF Portfolio
Vanguard Balanced ETF Portfolio
Vanguard Growth ETF Portfolio
Vanguard All-Equity ETF Portfolio
Vanguard Retirement Income ETF Portfolio

Mutual Funds

Vanguard Global Balanced Fund
Vanguard Global Dividend Fund
Vanguard Windsor U.S. Value Fund
Vanguard International Growth Fund

2.1.4 Integra Capital Limited

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – approval for change of control of manager under s. 5.5(1)(a.1) of National Instrument 81-102 Investment Funds – transaction will not result in any material changes to operations and management of the manager or the funds it manages.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds – ss. 5.5(1)(a.1) and 5.5(3).

December 14, 2020

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

AND

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

AND

**IN THE MATTER OF
INTEGRA CAPITAL LIMITED
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for approval pursuant to section 5.5(1)(a.1) of National Instrument 81-102 *Investment Funds (NI 81-102)* of a change of control of the Filer (the **Approval Sought**).

Under National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions (for a passport application):

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

Representations

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

The Filer and the Funds

1. The Filer is a private corporation existing under the *Business Corporations Act* (Ontario) having its head office in Oakville, Ontario.
2. The Filer is registered in Canada as:
 - (a) an investment fund manager (**IFM**) in each of Ontario, Québec, and Newfoundland and Labrador;
 - (b) a portfolio manager (**PM**) and exempt market dealer (**EMD**) in each Jurisdiction and territory, except Nunavut; and
 - (c) a commodity trading manager (**CTM**) in Ontario.
3. The Filer is wholly-owned, indirectly, by Willis Towers Watson Public Limited Company (**WTW**).
4. The Filer is the IFM for each of the public investment funds that are listed in Exhibit A (each a **Fund** and collectively, the **Funds**). Each of the Funds is a conventional open-end mutual fund, organized as a trust pursuant to the laws of Ontario, a reporting issuer, and subject to NI 81-102, in each Jurisdiction. The Funds were offered in the Jurisdictions by a simplified prospectus dated August 23, 2011, but the Filer permitted the prospectus to lapse on August 23, 2012. Units of the Funds are now offered exclusively through the exempt market on a private placement basis.
5. Neither the Filer, nor a Fund, is in default of applicable Canadian securities, commodity futures, or derivatives legislation in any of the Jurisdictions (collectively, **Securities Legislation**).

Aon Parties

Aon Ireland

6. Aon plc (**Aon Ireland**) is a public limited company incorporated in Ireland having its head office in Dublin, Ireland and is a tax resident of Ireland.
7. Aon Ireland is a global professional services firm that provides advice and solutions to clients focused on risk, retirement and health, delivering distinctive client value via innovative and effective risk management, and workforce productivity solutions that are underpinned by proprietary data

and analytics by approximately 50,000 colleagues in 120 countries. Aon Ireland's Class A ordinary shares are currently, and will continue to be, traded on the New York Stock Exchange under the symbol "AON."

8. Aon Ireland is not registered under Securities Legislation, nor the owner, directly or indirectly, of such a firm except for Aon Investments Canada Inc. (**Aon Investments**) and Aon Securities Investment Management Inc. (**Aon Securities**).

Aon Investments

9. Aon Investments is a private corporation existing under the *Canada Business Corporations Act* having its head office in Toronto, Ontario.
10. Aon Investments is registered in Canada as:
 - (a) an IFM in Manitoba, Newfoundland and Labrador, Ontario, and Québec; and
 - (b) a PM and EMD in each Jurisdiction and territory, except New Brunswick, Nunavut, Prince Edward Island, and the Yukon.
11. Aon Investments is wholly-owned, indirectly, by Aon Ireland.
12. Aon Investments is not the IFM of any investment funds that are subject to NI 81-102.

Aon Securities

13. Aon Securities is a private corporation existing under the *Canada Business Corporations Act* having its head office in Toronto, Ontario.
14. Aon Securities is registered in Canada as:
 - (a) a PM in each of British Columbia, Manitoba, Ontario, and Québec;
 - (b) a CTM in Ontario; and
 - (c) an adviser regarding commodity futures trading in Manitoba.
15. Aon Securities is wholly-owned, indirectly, by Aon Ireland.
16. Aon Securities is not the IFM of any investment funds that are subject to NI 81-102.

The Business Combination

17. On March 9, 2020, Aon UK and WTW entered into the Business Combination Agreement (**Business Combination Agreement**) providing for the combination of the two companies.
18. On April 2, 2020, Aon UK assigned all of its rights and obligations under the Business Combination Agreement to its affiliate and ultimate holding company of the Aon group, Aon Ireland.

19. Under the terms of the Business Combination Agreement, Aon Ireland has agreed to acquire the entire issued ordinary share capital of WTW in a recommended all-share transaction of the Aon group and WTW group, pursuant to a court-sanctioned scheme of arrangement (the **Scheme**) under Chapter 1 of Part 9 of the Irish Companies Act 2014, subject to the approval of the Scheme by the High Court of Ireland. On completion of the Business Combination (the **Closing**), WTW shareholders will be entitled to receive, at the effective time of the Scheme, 1.08 newly issued Class A ordinary shares of Aon Ireland (the **Aon Ireland Shares**) in exchange for each ordinary share of WTW (collectively, the **WTW Shares**) owned by such WTW shareholders and subject to the Scheme. As a result of the Scheme, following the Closing, it is anticipated that: (i) the shareholders of Aon Ireland and WTW immediately prior to the Closing will own approximately 62.3% and 37.7% of Aon Ireland immediately following the Closing, respectively, and it is not expected that any single shareholder will beneficially own 10% or more, based on the number of Aon Ireland Shares and WTW Shares outstanding as of May 5, 2020 on a fully diluted basis; (ii) WTW will be a wholly-owned subsidiary of Aon Ireland; (iii) the Filer will be an indirect wholly-owned subsidiary of Aon Ireland; and (iv) the change of control of the Filer will have occurred.
20. Further, immediately after the Closing, it is expected that Aon Ireland will complete an internal reorganization. Specifically, WTW will merge with a newly incorporated, wholly-owned, Irish subsidiary of Aon Ireland named Aon WTW Limited that will be the surviving entity.
21. Closing is subject to customary closing conditions, including regulatory non-objections/approvals under National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registration Obligations (NI 31-103)* and the Approval Sought.
22. Assuming timely receipt of all necessary regulatory non-objections/approvals and the satisfaction of all other conditions, the Business Combination is expected to be completed in Q1, 2021 or on such other later date when all of the conditions precedent have been satisfied or waived, and all non-objections/approvals have been obtained, subject to extension by the parties. If completed as contemplated, following the Closing, Aon Ireland will indirectly own of 100% of the outstanding shares of the Filer.

Change of Control of Filer

23. As the indirect share ownership of the Filer will change after the Closing, the Business Combination will result in a change of control of the Filer and, accordingly, regulatory approval is required pursuant to section 5.5(1)(a.1) of NI 81-102.

Impact of the Business Combination and Change of Control

24. The Business Combination and change of control of the Filer is not expected to result in any material changes to, or impact on, the business, operations and affairs of the Funds, the securityholders of the Funds, or the Filer.
25. Upon Closing, Aon Ireland will become the indirect parent of the Filer and the Filer will continue to act as the investment fund manager of the Funds in materially the same manner as the Filer did immediately prior to Closing. Aon Ireland will become the ultimate parent of the Filer.
26. The Filer will continue to act as the IFM of the Funds as a separate corporate entity performing its current role.
27. There is no current intention:
 - (a) to make any substantive changes as to how the Filer operates or manages the Funds;
 - (b) to amalgamate or merge the Filer with any other investment fund managers; or
 - (c) to, immediately following the Closing, or within a foreseeable period of time, change the Filer, as manager of the Funds, to another investment fund manager.
28. There are no currently planned material changes to the structures (via merger or otherwise), names, investment objectives, investment strategies, or valuation procedures, of the Funds.
29. There are no currently planned changes to the trustee, custodian, auditor, or management fees or expenses, respectively, of the Funds.
30. Upon the completion of the Business Combination, the members of the Filer's investment review committee (**IRC**) will cease to be IRC members by operation of section 3.10(1)(c) of National Instrument 81-107 *Independent Review Committee for Investment Funds (NI 81-107)*. Immediately following the completion of the Business Combination, the Filer intends to re-appoint each member of the IRC, in an effort to reconstitute the IRC with the same members, subject to such members being "independent" as defined in NI 81-107 at that time.
31. It is not expected that there will be any immediate changes to fund accounting and other administrative functions undertaken by the current providers, both internal and external, for the Filer or the Funds.
32. The Business Combination is not expected to adversely impact the financial stability of the Filer or its ability to fulfill its regulatory obligations. At this

time, the Filer does not anticipate that the Business Combination will give rise to any conflicts of interest in addition to those that are currently managed in the ordinary course of each Fund's business.

No change of Chief Compliance Officer or Ultimate Designated Person

33. There are no current plans to change the chief compliance officer (**CCO**) of the Filer.

34. There are no current plans to change the ultimate designated person (**UDP**) of the Filer.

No change of directors

35. There are no current plans to change the directors of the Filer.

No change of registered representatives

36. There are no current plans to change the advising or dealing representatives of the Filer.

Notice Requirements

37. On December 15, 2020, the Filer will provide prior notice to unitholders of the Funds of the change of control of the Filer that will result from the completion of the Business Combination as required by section 5.8(1)(a) of NI 81-102, being at least 60 calendar days before the Closing .

38. Notice of the Business Combination was sent to the Compliance and Registrant Regulation branch of the OSC on July 24, 2020 pursuant to section 11.9 of NI 31-103.

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 Approval Sought is granted.

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

EXHIBIT A

Funds

Integra Balanced Fund
Integra Bond Fund
Integra Canadian Value Growth Fund
Integra International Equity Fund
Integra U.S. Value Growth Fund
Acadian Core International Equity Fund
ICL Global Equity Fund

2.1.5 T. Rowe Price (Canada), Inc. and T. Rowe Price Global Multi-Sector Bond Fund

Headnote

National Instrument 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Mutual fund that is not a reporting issuer granted 90-day extension of the annual financial statement filing and delivery deadlines under NI 81-106 – Fund invests a material portion of its assets in underlying SICAV funds managed by an affiliate that are domiciled in Luxembourg and governed by laws that require the financial statements to be filed within 120 days of the financial year end of the underlying funds – Fund not able to obtain the financial statements of the SICAV funds sooner than the March 31 deadline for delivering the financial statements of the fund – Fund has a sole securityholder that is an institutional investor – The added cost associated with the SICAV funds providing their financial statements at an earlier date outweigh the expected benefit to the sole fund securityholder – Relief granted subject to conditions, including that no less than 25% of the total assets of the fund at the time the fund makes the initial investment decision in the foreign underlying funds are invested in entities that have financial reporting periods that end on December 31 of each year and are subject to laws of their jurisdiction that require their annual financial statements to be delivered within 120 days of their financial year end, that notification of the relief is given to the fund securityholder, and that if the fund’s securities are distributed to new investors, the offering memorandum of the Fund is amended to disclose the extended delivery deadline.

Applicable Legislative Provisions

National Instrument 81-106 Investment Fund Continuous Disclosure, ss. 2.2, 5.1(2)(a) and 17.1.

March 29, 2021

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

AND

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

AND

**IN THE MATTER OF
T. ROWE PRICE (CANADA), INC.
(the Filer)**

AND

T. ROWE PRICE GLOBAL MULTI-SECTOR BOND FUND

DECISION

BACKGROUND

The principal regulator in the Jurisdiction has received an application (the **Application**) from the Filer on behalf of the T. Rowe Price Global Multi-Sector Bond Fund that is managed by the Filer or by a successor of such Filer (the **Fund**) for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for relief from:

1. the requirement in section 2.2 of National Instrument 81-106 *Investment Fund Continuous Disclosure (NI 81-106)* that the Fund file its audited annual financial statements and auditor’s report on or before the 90th day after the Fund’s most recently completed financial year (the **Annual Filing Deadline**); and
2. the requirement under paragraph 5.1(2)(a) of NI 81-106 that the Fund deliver to its securityholders its audited annual financial statements by the Annual Filing Deadline (the **Annual Delivery Requirement**)

(collectively, relief from the Annual Filing Deadline and the Annual Delivery Requirement, the **Relief 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 (MI 11-102)* is intended to be relied upon in each of the other provinces 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:

The Filer

1. The head office of T. Rowe Price (Canada), Inc. is located in Baltimore, Maryland.
2. T. Rowe Price (Canada), Inc. is registered as an exempt market dealer and portfolio manager in the Jurisdictions, an investment fund manager in the provinces of Ontario, Quebec and Newfoundland and Labrador and as an investment adviser with the Securities and Exchange Commission.
3. The Fund is managed by the Filer or by an affiliate or successor of the Filer.

4. The Filer is not a reporting issuer in any jurisdiction and is not in default of any of the requirements of the Legislation.

The Fund

5. The Fund is an open-ended unit trust established under the laws of the Province of Ontario pursuant to a trust agreement dated May 1, 2014.
6. Units of the Fund are offered for sale on the relevant valuation date as determined by the trust agreement to qualified investors in the Jurisdictions pursuant to exemptions from the prospectus requirements under National Instrument 45-106 *Prospectus and Registration Exemptions (NI 45-106)*.
7. As of the date of the Application, the Fund had only one securityholder, which is a sophisticated institutional investor (the **Fund Securityholder**).
8. The Fund is not a reporting issuer in any jurisdiction and is not in default of securities legislation in any jurisdiction.
9. The Fund has a financial year-end of December 31.
10. The Fund's investment objective is to maximize the value of its units through both growth in the value of, and income from, its investments. The Fund invests mainly in a portfolio of bonds of all types from issuers around the world, including emerging markets. The Fund's investment strategy provides that the Fund's investment objective may be realized by investing in underlying bond funds.
11. From time to time the Fund invests in Société d'investissement à Capital Variable (**SICAV Funds**) domiciled in Europe. As at December 31, 2020, the Fund had 40% of its assets invested in four related SICAV Funds managed by T. Rowe Price (Luxembourg) and domiciled in Luxembourg: T. Rowe Price Funds SICAV – Diversified Income Bond Fund, T. Rowe Price Funds SICAV – Emerging Markets Corporate Bond Fund, T. Rowe Price Funds SICAV – Global High Yield Bond Fund and T. Rowe Price Funds SICAV – Global Investment Grade Corporate Bond Fund.
12. The Filer believes that investing in the SICAV Funds offers benefits not available through a direct investment in the companies, other issuer or assets held by the SICAV Funds.
13. Securities of the SICAV Funds are typically redeemable daily. The Fund is able to manage its own liquidity requirements taking into consideration the frequency at which the securities of the SICAV Funds may be redeemed.
14. The net asset value of the Fund ("**NAV**") is calculated in accordance with the trust agreement. Investors of the Fund are provided with NAV on a daily basis.

Financial Statement Filing and Delivery Requirements

15. Section 2.2 and paragraph 5.1(2)(a) of NI 81-106 require the Fund to file and deliver its audited annual financial statements by the Annual Filing Deadline. As the Fund's financial year-end is December 31, it has a delivery deadline of March 31.
16. Section 2.11 of NI 81-106 provides an exemption (the **Filing Exemption**) from the Annual Filing Deadline to a mutual fund that is not a reporting issuer if, among other things, the fund delivers its annual financial statements to its securityholders in accordance with Part 5 of NI 81-106 by the Annual Filing Deadline.
17. In order to formulate an opinion on the financial statements of the Fund, the Fund's auditors require audited financial statements of the SICAV Funds. The auditors of the Fund have advised the Filer that they will be unable to complete the audit of the Fund's annual financial statements until the audited financial statements of the SICAV Funds are completed and available to the Fund.
18. The SICAV Funds have the same financial year-end as the Fund but are subject to a different financial reporting deadline than the Fund. Specifically, the SICAV Funds are governed by laws that require the financial statements to be filed within 120 days of the financial year end of the SICAV Funds. Under the trust agreement, the Fund must deliver financial statements to investors within 90 days of the financial year end.
19. The Fund will not be able to obtain the financial statements of the SICAV Funds sooner than the March 31 deadline for delivering the financial statements of the Fund and no sooner than other unitholders of the SICAV Funds receive the financial statements.
20. The Filer does not anticipate that it will be able to rely on the Filing Exemption since it is unable to prepare and deliver the audited annual financial statements and auditor's report by the Annual Filing Deadline and is accordingly unable to satisfy the requirement in paragraph 2.11(b) of the Filing Exemption.
21. The Fund has a sole Fund Securityholder of substantial size and sophistication. The Filer has communicated the expected delay in delivery of the audited annual financial statements to the Fund Securityholder and the Fund Securityholder has not expressed any concerns with such delay.
22. The added cost associated with having the SICAV Funds provide their financial statements at an earlier date outweigh the expected benefit to the Fund Securityholder.
23. If the Filer expects it will continue to hold material investments in the SICAV Funds and will distribute

securities of the Fund to investors other than the Fund Securityholder, the Filer will amend the offering memorandum of the Fund to disclose to investors that the audited annual financial statements for the Fund will be delivered within 180 days of financial year end, in reliance on the relief from the Annual Delivery Requirement granted under this decision.

24. The Filer will notify the Fund Securityholder that it has received and intends to rely on relief from the Annual Filing Deadline and Annual Delivery Requirement.
25. The Fund seeks an extension of the Annual Filing Deadline and Annual Delivery Requirement to June 30 of each year, to enable the Fund's auditors to first receive the audited financial statements of the SICAV Funds so as to be able to prepare the Fund's annual audited financial statements.

Decision

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

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

1. The Fund has a financial year ended December 31;
2. The Fund's investment strategy provides that the Fund's investment objective may be realized by investing in underlying bond funds, such as the SICAV Funds, domiciled in Europe (the **Underlying Funds**);
3. No less than 25% of the total assets of the Fund, at the time the Fund makes the initial investment decision in the Underlying Funds, are invested in investment entities that have financial reporting periods that end on December 31 of each year and are subject to laws of their jurisdictions that require their financial statements to be delivered within 120 days of their financial year ends.
4. On behalf of the Fund, within 60 days of the date hereof, the Filer will notify the Fund Securityholder that the Fund has received and intends to rely on relief from the Annual Filing Deadline and Annual Delivery Requirement;
5. If the Filer distributes securities of the Fund to investors other than the Fund Securityholder after the date of this decision, the Filer will immediately amend the offering memorandum of the Fund to disclose to investors that the annual financial statements for the Fund will be delivered within 180 days of the Fund's most recently completed financial year.
6. The Fund is not a reporting issuer and the Filer has the necessary registrations to carry out its

operations in each jurisdiction of Canada in which it operates;

7.
 - a) The audited annual financial statements of the Fund are filed on or before the 180th day after the Fund's most recently completed financial year; or
 - b) the conditions in section 2.11 of NI 81-106 are met, except for paragraph 2.11(b), and the audited annual financial statements are delivered to securityholders of the Fund in accordance with Part 5 of NI 81-106 on or before the 180th day after the Fund's most recently completed financial year; and
8. The decision terminates within one year of the coming into force of any amendment to NI 81-106 or other rule that modifies how the Annual Filing Deadline or Annual Delivery Requirement applies in connection with mutual funds under the Legislation.

"Neeti Varma"
Manager,
Investment Funds and Structured Products Branch
Ontario Securities Commission

2.1.6 Horizons ETFS Management (Canada) Inc. and Horizons Tactical Absolute Return Bond Fund

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from short selling and cash borrowing restrictions in NI 81-102 to permit alternative mutual funds to conduct physical short sales and cash borrowing up to a combined aggregate limit of 100% of the fund’s net asset value, subject to conditions.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 2.6, 2.6.1, 2.6.2, 6.1 and 19.1.

March 1, 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
HORIZONS ETFS MANAGEMENT (CANADA) INC.
(the Filer)

AND

IN THE MATTER OF
HORIZONS TACTICAL ABSOLUTE RETURN BOND
FUND
(the Existing Fund)

and any exchange traded funds structured as “alternative mutual funds” as defined in National Instrument 81-102 *Investment Funds (NI 81-102)* managed by the Filer in the future (the **Future Funds** and, collectively with the Existing Fund, the **Funds**)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Funds for a decision under the securities legislation of the Jurisdiction (the **Legislation**) exempting each Fund from the following restrictions of NI 81-102 to permit each Fund to sell securities short and/or borrow cash up to a combined aggregate total of 100% of the net asset value (**NAV**) of the Fund:

- (a) Subparagraph 2.6.1(1)(c)(v), which restricts a Fund from selling a security short if, at the time, the aggregate market

value of all securities sold short by the Fund exceeds 50% of the Fund’s NAV (together with (c) below, the **Short Selling Limit**);

- (b) Subparagraph 2.6(2)(c), which restricts a Fund from borrowing cash if the value of cash borrowed, when aggregated with the value of all outstanding borrowing by the Fund, exceeds 50% of the Fund’s NAV (together with (c) below, the **Cash Borrowing Limit**); and

- (c) Section 2.6.2, which restricts a Fund from borrowing cash or selling securities short if, immediately after entering into a cash borrowing or short selling transaction, the aggregate value of cash borrowed combined with the aggregate market value of all securities sold short by the Fund (the **Combined Aggregate Value**) would exceed 50% of the Fund’s NAV and which requires a Fund, if the Combined Aggregate Value exceeds 50% of the Fund’s NAV, as quickly as commercially reasonable, to take all necessary steps to reduce the Combined Aggregate Value to 50% or less of the Fund’s NAV

((a) and (c) together, the **Short Selling Relief**, (b) and (c) together, the **Cash Borrowing Relief**. The Short Selling Relief and the Cash Borrowing Relief together, 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 the Jurisdiction, the **Jurisdictions**).

Interpretation

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

Prime Broker means any entity that acts as a lender or borrowing agent, as the case may be, to one or more investment funds; and

Prospectus means a prospectus of a Fund prepared in accordance with Form 41-101F2 *Information Required in an Investment Fund Prospectus*, as may be amended from time to time.

Representations

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

The Filer and the Funds

1. The Filer is a corporation existing under the federal laws of Canada.
2. The Filer's head office is located in Toronto, Ontario.
3. The Filer is registered as (a) an investment fund manager in Newfoundland and Labrador, Ontario and Québec, (b) a portfolio manager in Alberta, British Columbia, Ontario and Québec, (c) a dealer in the category of exempt market dealer in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island, Québec and Saskatchewan, (d) a commodity trading adviser in Ontario and (e) a commodity trading manager in Ontario.
4. The Filer is the investment fund manager and portfolio manager of the Existing Fund and has retained DMAT Capital Management Inc. as sub-advisor. The Filer will be the investment fund manager of the Future Funds and will be the portfolio manager of the Future Funds or may engage another registered portfolio manager to act as the portfolio manager of one or more Future Funds from time to time in accordance with applicable securities laws. The Filer may also in its capacity as portfolio manager appoint one or more sub-advisers of one or more Future Funds from time to time in accordance with applicable securities laws.
5. The Existing Fund is (a) an exchange traded alternative mutual fund structured as a separate class of shares of Horizons ETF Corp., a mutual fund corporation established under the federal laws of Canada; and (b) an "alternative mutual fund" as defined in and governed by NI 81-102. Any Future Fund may be structured as a class of shares of a mutual fund corporation or as a trust and will be an "alternative mutual fund" as defined in and governed by NI 81-102.
6. Shares of the Funds are or will be offered by Prospectus and ETF Facts filed in all of the Jurisdictions where the Requested Relief is relied upon and, accordingly, each Fund is or will be a reporting issuer in the Jurisdictions where the Requested Relief is relied upon.
7. Neither the Filer nor the Existing Fund is in default of applicable securities legislation in any of the Jurisdictions.

Reasons for the Requested Relief

8. The investment objective of each Fund will differ but, in each case, key investment strategies which

may be utilized by a Fund will include (a) the use of absolute return, offsetting, inverse or shorting strategies requiring the use of short selling in excess of the Short Selling Limit and/or (b) the use of cash borrowing to provide additional investment exposure in connection with the investment strategies of the Fund in excess of the Cash Borrowing Limit.

9. The investment objective of the Existing Fund is to seek to provide positive absolute returns with low volatility over a market cycle regardless of market conditions or general market direction. The Existing Fund will tactically take long and short positions in North American and global debt instruments and derivatives across the credit spectrum. A core investment strategy, as stated in the Prospectus of the Existing Fund, is that the Existing Fund will make extensive use of short selling.
10. The Prospectus of the Existing Fund discloses that the Filer has applied for exemptive relief to permit the aggregate market value of any securities sold short by the Existing Fund combined with the aggregate value of cash borrowing, if any, to be subject to an overall limit of 100% of its NAV.
11. The goal of absolute return investing is to generate returns that are independent of the returns and direction of the stock market (called beta). Absolute return investing is often implemented through a long/short portfolio of investments in publicly traded stocks. The market exposures of the combined long and short positions are designed to cancel each other out, producing a net effect on portfolio returns from stock market returns close to zero. An absolute return strategy seeks positive returns, regardless of whether the stock market goes up or down.
12. The ability to engage in additional short selling and cash borrowing in connection with the investment strategies of a Fund may provide cost savings to the Fund compared to obtaining the same level of investment exposure through the use of specified derivatives while, at the same time, not increasing the overall level of risk to the Fund. The costs to the Funds of engaging in physical short sales and cash borrowing are typically less when compared to the equivalent derivative transactions due to a number of factors which may include:
 - (a) Prime Brokers typically have greater flexibility to offer more favourable financing terms to a Fund in relation to the aggregate amount of the Fund's assets held in the prime brokerage margin account. Derivative instruments, such as futures contracts and over the counter (OTC) derivatives, are not held in a prime brokerage account and therefore reduce the ability of a Fund to obtain the most beneficial pricing terms available.

- (b) Margin requirements for derivative instruments are primarily based on the underlying investment exposure and, as a result, can be high.
- (c) Certain derivative instruments (such as futures contracts) require cash or near cash securities (such as government treasuries) to be deposited with the counterparty as collateral. This would require a Fund to use these portfolio assets to satisfy collateral requirements rather than utilizing them in connection with the Fund's investment strategy.
13. The Funds may use cash borrowing as a more flexible and cost-efficient means of providing additional leverage for investment strategies such as merger arbitrage strategies where the use of derivative instruments to provide the same level of exposure may not be practical. In addition, cash borrowing is more efficient to utilize on a day to day basis compared to derivative instruments which generally require a higher degree of negotiation and ongoing administration on the part of the Filer. The Cash Borrowing Relief would provide the Filer with access to a more functional source of additional leverage to utilize on behalf of the Funds at a lower cost which, in turn, would benefit investors.
14. The investment strategies of each Fund permit, or will permit, it to:
- (a) sell securities short provided that, at the time the Fund sells a security short (i) the aggregate market value of securities of any one issuer (other than "government securities" as defined in NI 81-102) sold short by the Fund does not exceed 10% of the NAV of the Fund and (ii) the aggregate market value of all securities sold short by the Fund does not exceed 100% of its NAV;
- (b) borrow cash provided that, at the time, the value of cash borrowed when aggregated with the value of all outstanding borrowing by the Fund does not exceed 100% of the Fund's NAV;
- (c) borrow cash or sell securities short, provided that the aggregate value of cash borrowed combined with the aggregate market value of the securities sold short by the Fund does not exceed 100% of the Fund's NAV (the **Total Borrowing and Short Selling Limit**). If the Total Borrowing and Short Selling Limit is exceeded, the Fund shall, as quickly as is commercially reasonable, take all necessary steps to reduce the aggregate value of cash borrowed combined with the aggregate market value of securities sold short to be within the Total Borrowing and Short Selling Limit; and
- (d) borrow cash, sell securities short or enter into specified derivatives transactions, provided that immediately after entering into a cash borrowing, short selling or specified derivative transaction, the aggregate value of cash borrowed combined with the aggregate market value of securities sold short and aggregate notional amount of the Fund's specified derivatives positions (other than positions held for hedging purposes, as defined in NI 81-102) would not exceed 300% of the NAV of the Fund as set out in section 2.9.1 of NI 81-102 (the **Leverage Limit**). If the Leverage Limit is exceeded, the Fund shall, as quickly as is commercially reasonable, take all necessary steps to reduce the aggregate value of cash borrowed combined with the aggregate market value of securities sold short and the aggregate notional amount of the Fund's specified derivatives positions (other than positions held for hedging purposes) to be within the Leverage Limit.
15. While there may be certain situations where using a synthetic short position may be preferable, physical short positions are typically less costly, because of the ability to execute trades with a larger number of counterparties, compared to a single counterparty for synthetic shorts. This can result in lower borrowing costs for the Fund and reduce its exposure to counterparty risk (e.g. counterparty default, counterparty insolvency and premature termination of derivatives) compared to a synthetic short position. The Requested Relief would provide the portfolio manager of the Fund with the necessary flexibility to make timely trading decisions between physical short and synthetic short positions based on what is in the best interest of the Fund.
16. The portfolio manager of the Fund, as a registrant and a fiduciary, is in the best position to determine whether the Fund should enter into a physical short position and/or obtain additional investment exposure via cash borrowing, versus achieving the same result through the use of specified derivatives. depending on the surrounding circumstances. Accordingly, the Requested Relief would permit the Fund to engage in the most effective portfolio management available for the benefit of its investors.
17. An alternative mutual fund that is subject to NI 81-102 is permitted to take leveraged long and short positions using specified derivatives up to the Leverage Limit. As such, the Short Selling Relief and Cash Borrowing Relief would not be required if the Funds utilized solely specified derivatives (such

- as OTC total return swaps) to obtain short exposure to the underlying securities or to provide additional investment exposure in connection with the Fund's investment strategies. Accordingly, the Short Selling Relief and Cash Borrowing Relief would simply allow the Funds to do directly what they could otherwise do indirectly through the use of specified derivatives.
18. The Funds require the flexibility to enter into physical short positions and borrow cash when doing so is, in the opinion of the Filer, in the best interests of the applicable Fund and to not be obligated to utilize an equivalent short position or amount of leverage synthetically through the use of specified derivatives as a result of regulatory restrictions in NI 81-102 that the Filer believes do not provide any material additional benefit or protection to investors.
 19. The Filer believes that the Short Selling Relief and the Cash Borrowing Relief would allow the Filer to more effectively manage each Fund's investment exposure by providing it with the ability to respond to market developments in a timely manner and enabling the Filer to reduce the related expenses incurred by the Funds.
 20. Any physical short position or cash borrowing transaction entered into by a Fund will be consistent with the investment objectives and strategies of the applicable Fund.
 21. The Prospectus and ETF Facts, as applicable, will comply with the applicable requirements of National Instrument 41-101 *General Prospectus Requirements* and Form 41-101F4 *Information Required in an ETF Facts Document* for alternative mutual funds and will include (in respect of the Existing Fund, upon next renewal or amendment) cover page text box disclosure in the ETF Facts to highlight how the Fund differs from other mutual funds and alternative mutual funds and emphasize that the short selling and cash borrowing strategies and increased ability to engage in short selling and cash borrowing permitted for the Fund are outside the scope of the restrictions in NI 81-102 applicable to both mutual funds and alternative mutual funds.
 22. The Prospectus investment strategies of each Fund will, to the extent applicable, disclose that the short selling and cash borrowing strategies of the Fund are outside the scope of NI 81-102.
 23. The Prospectus will also contain appropriate risk disclosure, alerting investors of any material risks associated with such investment strategies.
 24. The Filer does not consider that granting the Short Selling and Cash Borrowing Relief would constitute either a fundamental or material change for the Existing Fund under NI 81-102 or National Instrument 81-106 *Investment Fund Continuous Disclosure*.
 25. The Filer will determine the risk rating for each Fund using the Investment Risk Classification Methodology as set out in Appendix F of NI 81-102. The Filer does not anticipate that the current risk rating of the Existing Fund would change if the Short Selling and Cash Borrowing Relief were granted.
 26. The Filer has comprehensive risk management policies and/or procedures that address the risks associated with short selling and cash borrowing in connection with the implementation of the investment strategies of the Funds.
 27. Each Fund will implement the following controls when conducting a short sale:
 - (a) The Fund will assume the obligation to return to the borrowing agent the securities borrowed to effect the short sale;
 - (b) The Fund will receive cash for the securities sold short within normal trading settlement periods for the market in which the short sale is effected;
 - (c) The Filer will monitor the short positions within the constraints of the Requested Relief as least as frequently as daily;
 - (d) The security interest provided by the Fund over any of its assets that is required to enable the Fund to effect a short sale transaction is made in accordance with industry practice for that type of transaction and relates only to obligations arising under such short sale transactions;
 - (e) The Filer and the Fund will maintain appropriate internal controls regarding short sales, including written policies and procedures for the conduct of short sales, risk management controls and proper books and records; and
 - (f) The Filer and the Fund will keep proper books and records of short sales and all assets of a Fund deposited with borrowing agents as security.
 28. The Filer believes that it is in the best interests of the Funds to be permitted to engage in physical short selling and to obtain additional investment exposure through the use of cash borrowing in excess of the current limits set out in NI 81-102.

Decision

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

1. A Fund may sell a security short or borrow cash only if, immediately after the cash borrowing or short selling transaction:

- (a) the aggregate market value of all securities sold short by the Fund does not exceed 100% of the Fund's NAV;
 - (b) the aggregate value of all cash borrowing by the Fund does not exceed 100% of the Fund's NAV;
 - (c) the aggregate market value of securities sold short by the Fund combined with the aggregate value of cash borrowing by the Fund does not exceed 100% of the Fund's NAV; and
 - (d) the Fund's aggregate exposure to short selling, cash borrowing and specified derivatives does not exceed the Leverage Limit.
2. In the case of a short sale, the short sale:
- (a) otherwise complies with all of the short sale requirements applicable to alternative mutual funds under section 2.6.1 and 2.6.2 of NI 81-102; and
 - (b) is consistent with the Fund's investment objectives and strategies.
3. In the case of a cash borrowing transaction, the transaction:
- (a) otherwise complies with all of the cash borrowing requirements applicable to alternative mutual funds under section 2.6 and 2.6.2 of NI 81-102; and
 - (b) is consistent with the Fund's investment objectives and strategies.
4. The Prospectus under which securities of a Fund are offered:
- (a) discloses that the Fund can sell securities short or borrow cash, as applicable, up to, and subject to, the limits described in condition 1 above; and
 - (b) describes the material terms of this decision.

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

2.2 Orders

2.2.1 Vatic Ventures Corp.

Headnote

National Policy 11-207 Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions – Application by an issuer for a revocation of cease trade orders issued by the Commission and British Columbia Securities Commission – cease trade order issued because the issuer had failed to file certain continuous disclosure materials required – defaults subsequently remedied by bringing continuous disclosure filings up-to-date – Ontario opt-in to revocation order issued by British Columbia Securities Commission, as principal regulator.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c.S.5, as am., ss.127 and 144.
National Policy 11-207 Failure to File Cease Trade Orders and Revocations in Multiple Jurisdiction.

Citation: 2021 BCSECCOM 101

VATIC VENTURES CORP.

UNDER THE SECURITIES LEGISLATION OF BRITISH COLUMBIA AND ONTARIO (the Legislation)

REVOCATION ORDER

Background

¶ 1 Vatic Ventures Corp. (the Issuer) is subject to a failure-to-file cease trade order (the FFCTO) issued by the regulator of the British Columbia Securities Commission (the Principal Regulator) and Ontario (each a Decision Maker) respectively on August 18, 2020.

¶ 2 The Issuer has applied to each of the Decision Makers for a revocation order of the FFCTO.

¶ 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 National Policy

11-207 *Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions* have the same meaning if used in this order, unless otherwise defined.

Order

¶ 5 Each of the Decision Makers is satisfied that a full revocation order of 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 fully revoked as it applies to the Issuer.

¶ 7 March 22, 2021

"Allan Lim", CPA, CA
Manager
Corporate Finance

2.2.2 Advantex Marketing International Inc.

Headnote

National Policy 11-207 Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions – Section 144 of the Securities Act (Ontario) – Application for a partial revocation of a failure-to-file cease trade order – Filer cease traded due to failure to file audited annual financial statements and management’s discussion and analysis – Filer applied for a variation of the cease trade order to permit the Filer to complete a private placement to accredited investors – Filer will use proceeds to bring itself into compliance with its continuous disclosure obligations, retire existing debt and to fund certain expenses to maintain operations – Partial revocation granted subject to conditions.

Applicable Legislative Provisions

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

National Policy 11-207 Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions

ADVANTEK MARKETING INTERNATIONAL INC.

UNDER THE SECURITIES LEGISLATION OF ONTARIO (the “Legislation”)

PARTIAL REVOCATION ORDER

Background

1. Advantex Marketing International Inc. (the “**Issuer**”) is subject to a failure-to-file cease trade order (the “**FFCTO**”) issued by the Ontario Securities Commission (the “**Principal Regulator**”) dated November 1, 2019.
2. The Issuer has applied to the Principal Regulator for a partial revocation order of the FFCTO.

Interpretation

Terms defined in the Legislation, National Instrument 14-101 -- *Definitions* or National Policy 11-207 -- *Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions* have the same meaning if used in this order, unless otherwise defined.

Representations

3. This decision (“**Order**”) is based on the following facts represented by the Issuer:
 - a. The Issuer was incorporated as “Advantex Marketing International Inc.” under the *Business Corporations Act* (Ontario) on February 10, 1994 and its common shares have been listed on the Canadian Securities Exchange (the “**CSE**”) since March 15, 2011.
 - b. The registered and head office of the Issuer is at 600 Alden Road, Suite 606, Markham, Ontario L3R 0E7.
 - c. The Issuer is a reporting issuer in Ontario, British Columbia, Alberta and Quebec. The Issuer’s principal regulator, as determined in accordance with Part 3 of National Policy 11-203 *Process for Exemptive Relief Applications in Multiple Jurisdictions* (“**NP 11-203**”), is Ontario.
 - d. The authorized capital of the Issuer comprises an unlimited number of common shares, 500,000 class A preference shares, an unlimited number of class B preference shares issuable in series and 125,000 class C preference shares. At the date hereof, the Company has outstanding 878,948,414 common shares, 461,887 class A preference shares and no class B preference and class C preference shares are outstanding. Each common share carries one vote.
 - e. The common shares were traded on the CSE until November 1, 2019, on which date trading was suspended following the issuance of the FFCTO.
 - f. As a result of the Issuer’s failure to file:
 - a) annual audited financial statements for the year ended June 30, 2019 as required by National Instrument 51-102 *Continuous Disclosure Obligations* (“**NI 51-102**”);

- b) management's discussion and analysis relating to the audited annual financial statements for the year ended June 30, 2019, as required by NI 51-102; and
- c) certification of the foregoing filings as required by National Instrument 52-109 *Certification of Disclosure in Issuers' Annual and Interim Filings* ("**NI 52-109**");
(collectively, the "**2019 Annual Filings**") the Principal Regulator issued the FFCTO.
- g. The Issuer failed to file the 2019 Annual Filings due to a lack of financial resources.
- h. The Issuer also failed to file by the due dates its interim financial statements and management's discussion and analysis required by NI 51-102, and certification of filings as required by NI 52-109 for the three months interim period ended September 30, 2019 and the three and six months interim period ended December 31, 2019 (the "**2019 Interim Filings**" and together with the Required Annual Filings, the "**2019 Filings**"). On May 21, 2020, the Issuer remedied these defaults and filed the 2019 Filings and paid all applicable late filing fees.
- i. However, due to a continuing lack of financial resources the Issuer subsequently failed to file the following:
 - a) audited annual financial statements for the year ended June 30, 2020, as required by NI 51-102;
 - b) management's discussion and analysis relating to the audited annual financial statements for the year ended June 30, 2020, as required by NI 51-102;
 - c) financial statements for the interim period ended September, 30, 2020, as required by NI 51-102;
 - d) management's discussion and analysis relating to the financial statements for the interim period ended September 30, 2020, as required by NI 51-102; and
 - e) certification of the foregoing filings as required by NI 52-109.(collectively, the "**Required Filings**").
- j. The Issuer's primary business is merchant cash advance ("**MCA**"). MCA companies provide working capital to independent merchants and in return pre-purchase their future receivables at a discount.
- k. The Issuer pivoted its business to MCA by August 2019. It began converting its merchant base to MCA upon winding up of the bundled working capital and bonus rewards programs it operated for CIBC and TD Bank.
- l. On October 28, 2019, principals of Generation IACP Inc. ("**GIACP**") and Generation PMCA Corp. ("**GPMCA**") and together with GIACP, "**Generation**") subscribed for 200 units of senior secured non-convertible debentures for aggregate proceeds of \$200,000. Each unit was comprised of (a) \$1,000 senior secured non-convertible debentures bearing interest at 9% per annum (the "**Existing Debentures**") and maturing on December 31, 2021; (b) 108,244 common shares; and (iii) a restructuring bonus payment of \$180 for each \$1,000 of Existing Debentures payable on the maturity date or earlier required repayment under the Existing Debentures. The proceeds of this offering were used to shore up working capital and to enable the Issuer to continue operations pending receipt of additional growth capital. Generation's managed accounts are the principal shareholders and principal holders of the Existing Debentures.
- m. The Issuer is, and has been, in default of its interest payments under the Existing Debentures since December 16, 2018, and does not currently have the financial ability to pay the arrears.
- n. The Issuer is proposing to complete a financing transaction (the "**Financing**") to enable the Issuer to raise sufficient funds to bring its continuous disclosure record up to date by filing the Required Filings, to apply to the Principal Regulator for a full revocation of the FFCTO and to provide working capital, including capital necessary for the repayment of indebtedness owed to arms' length third parties. The Financing will consist of Generation, through its managed accounts and principals, and Kelly Ambrose ("**Ambrose**"), the President, Chief Executive Officer and a director of the Issuer, subscribing for an aggregate principal amount of \$250,000 senior secured non-convertible debentures bearing interest at 9% per annum maturing on December 31, 2025 (the "**New Debentures**"). Other than the maturity date, the New Debentures are on the same terms as, and will rank *pari passu* with, the Existing Debentures.
- o. Generation and Ambrose are "related parties" of the Issuer (as such term is defined in Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* ("**MI 61-101**")) and the Financing is a "related party transaction" under paragraph (g) of that definition in MI 61-101.

- p. Paragraphs 5.5(g) and 5.7(1)(e) of MI 61-101 (together, the "**Financial Hardship Exemption**") exempts related party transactions from the formal valuation and minority approval requirements, respectively, contained therein, if the issuer is in financial hardship. The Issuer is able to satisfy the Financial Hardship Exemption and is relying on the Financial Hardship Exemption in respect of the Financing.
- q. There are no approvals required in respect of, or in connection with, the Financing that must be obtained at a meeting of securityholders of the Issuer.
- r. The Issuer seeks a partial revocation of the FFCTO to allow it to complete the issuance of an aggregate of \$250,000 of New Debentures to Generation, through its managed accounts and principals, and Ambrose under the Financing. The Issuer will issue the New Debentures on a prospectus exempt basis pursuant to the accredited investor exemption under section 73.3 of the Legislation and National Instrument 45-106 *Prospectus Exemptions*.
- s. The proceeds from the Financing shall be used as follows:
- | | |
|--|------------------|
| Balance of auditor fees for preparation of continuous disclosure records. | \$40,000 |
| Late filing fees with Principal Regulator, ASC, BCSC and AMF. | \$30,000 |
| Legal fees for partial and full revocation of FFCTO and Financing. | \$25,000 |
| Salaries, operational and general administrative expenses. | \$28,000 |
| Payment of accounts payable incurred in the ordinary course of business. | \$91,000 |
| Partial funding of MCA business as public health restrictions are gradually eased. | \$36,000 |
| <i>TOTAL</i> | <i>\$250,000</i> |
- t. The Issuer reasonably believes that it will have sufficient resources upon completion of the Financing to complete its required continuous disclosure documents and file the Required Filings and to pay all outstanding fees owed to the ASC, BCSC, AMF and the Principal Regulator, as well as to apply to the Principal Regulator for the full revocation of the FFCTO.
- u. The purpose of the Financing is to enable the Issuer to raise sufficient funds to bring its continuous disclosure record up to date, to apply to the Principal Regulator for a full revocation of the FFCTO and to provide limited working capital as outlined in representation "s".
- v. Other than the Financing, there are no other current or existing agreements, commitments or understandings made or proposed to be made between the Issuer and any other person (including Generation and Ambrose) relating to future or possible financing opportunities related to, or involving, the Issuer.
- w. Following the completion of the Financing, and once the Issuer's public disclosure record is fully up-to-date, the Issuer will apply to the Principal Regulator for a full revocation of the FFCTO.
- x. Other than the FFCTO, the Issuer has not previously been subject to a cease trade order by the Principal Regulator.
- y. The Issuer is not in default of any of the requirements of the Legislation or the rules and regulations made pursuant thereto, other than to file the Required Filings and engaging in acts in furtherance of a trade contrary to the terms of the FFCTO by mailing the management information circular dated November 13, 2020. The Issuer's SEDAR and SEDI profiles are up to date.
- z. As the Financing will involve a trade of securities and acts in furtherance of trades, the Financing cannot be completed without a partial revocation of the FFCTO.
- aa. The Issuer is not considering, nor is it involved in, any discussion relating to a reverse-takeover, merger, amalgamation or other form of transaction similar to any of the foregoing.
- bb. Following the full revocation of the FFCTO, the Issuer will, in due course, apply to the CSE for the relisting of the Common Shares.
- cc. Prior to the completion of the Financing, each participant in the Financing will receive (collectively, the "**Documents**"):
- a) a copy of the FFCTO;
 - b) a copy of this Order; and

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- c) written notice that the Issuer's securities, including any and all securities issued pursuant to the Financing, will remain subject to the FFCTO following the completion of the Financing and the issuance of a partial revocation order does not guarantee the issuance of a full revocation order in the future and as a consequence the FFCTO may remain in effect for the fullness of time.
- dd. Each participant in the Financing will be required to acknowledge in writing the receipt of the Documents from the Issuer.
- ee. Concurrently with the issuance of the Order the Issuer will disseminate a press release and file a material change report including the information required by section 5.2 of MI 61-101. As other material events transpire, the Issuer will issue appropriate press releases and file a material change report as applicable.

Order

- 4. The Principal Regulator is satisfied that a partial revocation order of the FFCTO meets the test set out in the Legislation for the Principal Regulator to make the decision.
- 5. The decision of the Principal Regulator under the Legislation is that the FFCTO is partially revoked solely to permit the Financing, provided that:
 - a) concurrently with the issuance of this Order, the Issuer disseminates a press release and files a material change report including the information required by section 5.2 of MI 61-101;
 - b) prior to the completion of the Financing, the Issuer:
 - (i) provides each participant in the Financing a copy of the FFCTO;
 - (ii) provides each participant in the Financing a copy of this Order; and
 - (iii) obtains from each participant in the Financing, a signed and dated acknowledgement, which clearly states that (a) all of the Issuer's securities, including any and all securities issued pursuant to the Financing, will remain subject to the FFCTO following the completion of the Financing, and (b) the issuance of a partial revocation order does not guarantee the issuance of a full revocation order in the future.
 - c) the Issuer makes available a copy of the written acknowledgements referred to in paragraph (5)(b)(iii) to staff of the Principal Regulator on request;
 - d) the partial revocation order only varies the FFCTO and does not provide an exemption from the prospectus requirement; and
 - e) this Order will terminate on the earlier of (A) the closing of the Financing and (B) 60 days from the date hereof.

DATED this 25th day of February, 2021.

"Lina Creta"
Manager, Corporate Finance
Ontario Securities Commission

2.2.3 Jonathan Cartu et al.

File No. 2020-14

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

M. Cecilia Williams, Commissioner and Chair of the Panel

March 25, 2021

ORDER

WHEREAS on March 25, 2021, the Ontario Securities Commission held a hearing by teleconference;

ON HEARING the submissions of Staff of the Commission (**Staff**), and the representative for David Cartu and no one appearing for Jonathan Cartu and Joshua Cartu, although properly served;

IT IS ORDERED THAT:

1. the merits hearing shall take place by videoconference and commence on September 21, 2021, at 10:00 a.m., and continue on September 22, 23, 24, 27, 29, 30 and October 1, 4 and 5, 2021, at 10:00 a.m. on each day, or on such other dates and times as may be agreed to by the Parties and set by the Office of the Secretary;
2. each Party shall serve the other Party with a hearing brief containing copies of the documents, and identifying the other things, that the Party intends to produce or enter as evidence at the merits hearing, by 4:30 p.m. on August 9, 2021;
3. each Party shall provide to the Registrar a completed copy of the *E-hearing Checklist for Videoconference Hearings* by 4:30 p.m. on August 12, 2021;
4. each Party shall provide to the Registrar the electronic documents that the Party intends to rely on or enter into evidence at the merits hearing, along with an index file containing hyperlinks to the documents in the hearing brief, in accordance with the *Protocol for E-hearings*, by 4:30 p.m. on September 15, 2021; and
5. a further attendance in this proceeding is scheduled for August 19, 2021 by teleconference, at 10:00 a.m., or on such other date and time as may be agreed to by the Parties and set by the Office of the Secretary.

“M. Cecilia Williams”

2.2.4 Eclipse Gold Mining Corporation

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).

March 23, 2021

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

AND

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

AND

**IN THE MATTER OF
ECLIPSE GOLD MINING CORPORATION
(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.

Representation

- ¶ 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

2.2.5 Revelo Resources Corp.

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).

March 24, 2021

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

AND

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

AND

**IN THE MATTER OF
REVELO RESOURCES CORP. (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 that 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

2.2.6 Novoheart Holdings Inc.

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – Application for an order that the issuer is not a reporting issuer under applicable securities laws – The issuer is not an OTC reporting issuer; the outstanding securities of the issuer are beneficially owned by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders in total worldwide; no securities of the issuer are traded on a marketplace in Canada or another country; the issuer is not in default of securities legislation except it has not filed certain continuous disclosure documents - relief granted.

Applicable Legislative Provisions

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

January 8, 2021

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

AND

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

AND

**IN THE MATTER OF
NOVOHEART HOLDINGS 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, Saskatchewan and Manitoba, 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 a corporation that was incorporated under the *Business Corporations Act* (Alberta) and continued under the *Business Corporations Act* (British Columbia) (the BCBCA);
2. the Filer is a reporting issuer in British Columbia, Alberta, Saskatchewan, Manitoba and Ontario;
3. the Filer's head office is located in Hong Kong; the Filer has determined that the British Columbia Securities Commission is its principal regulator as certain of the Filer's operations and personnel are located in British Columbia;
4. the Filer's authorized capital consists of an unlimited number of common shares (Common Shares) without par value, of which 188,640,774 are issued and outstanding; the Filer has no other outstanding securities;
5. the Common Shares traded on the TSX Venture Exchange (the TSXV) and on the Frankfurt Stock Exchange; no other securities of the Filer were listed on any exchange;
6. Novomed Limited (Novomed) is a corporation incorporated under the laws of the British Virgin Islands and has an authorized share capital of 50,000 Shares; no securities of Novomed are listed on any exchange;
7. on November 18, 2020, Novomed acquired all of the issued and outstanding Common Shares by way of a statutory plan of arrangement under the BCBCA;
8. on November 20, 2020, the Common Shares were delisted from the TSXV and the Frankfurt Stock Exchange;
9. the Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*;

10. 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;
11. 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;
12. 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;
13. the Filer is not in default of securities legislation in any jurisdiction, other than the obligation to file on or before November 30, 2020 its interim financial statements and related management's discussion and analysis for the interim period ended September 30, 2020 as required under National Instrument 51-102 *Continuous Disclosure Obligations* and the
14. related certification of interim filings as required under National Instrument 52-109 *Certification of Disclosure in Issuers' Annual and Interim Filings* (collectively, the Filings); and
15. the Filer is not eligible to use the simplified procedure under National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications* as the Filer is in default for failure to file the Filings.

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

2.2.7 Aviva Investors Canada Inc. – s. 78(1) and s. 80 of the CFA

Headnote

Section 80 of the Commodity Futures Act (Ontario) (the CFA) – Relief from the adviser registration requirement of paragraph 22(1)(b) of the CFA granted to a sub-adviser headquartered in a foreign jurisdiction in respect of advice regarding trades in commodity futures contracts and commodity futures options, subject to certain terms and conditions – Relief mirrors exemption available in section 8.26.1 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations made under the Securities Act (Ontario) – Relief is subject to a sunset clause.

Subsection 78(1) of the Commodity Futures Act (Ontario) – Order also revokes prior order of the Commission dated March 29, 2016, In the Matter of Aviva Investors Canada Inc., Aviva Investors Global Services Limited and Aviva Investors Americas LLC that would otherwise have expired on March 29, 2021.

Applicable Legislative Provisions

- Commodity Futures Act, R.S.O. 1990, c. C.20, as am., ss. 1(1), 22(1)(b), 78(1) and 80.
- Securities Act, R.S.O. 1990, c. S.5, as am., s. 25(3).
- National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, s. 8.26.1.
- Ontario Securities Commission Rule 35-502 Non-Resident Advisers, s. 7.11.

Applicable Orders

In the Matter of Aviva Investors Canada Inc., Aviva Investors Global Services Limited and Aviva Investors Americas LLC, (2016), 39 OSCB 3220

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

AND

**IN THE MATTER OF
AVIVA INVESTORS CANADA INC.,
AVIVA INVESTORS GLOBAL SERVICES
LIMITED AND
AVIVA INVESTORS AMERICAS LLC**

**ORDER
(Subsection 78(1) and Section 80 of the CFA)**

UPON the application (the **Application**) of Aviva Investors Global Services Limited (**AIGSL**) and Aviva Investors Americas LLC (**AIA**) and, together with AIGSL, the **Sub-Advisers** and, each, a **Sub-Adviser** and Aviva Investors Canada Inc. (the **Principal Adviser**) to the Ontario Securities Commission (the **Commission**) for an order:

- (a) pursuant to subsection 78(1) of the CFA, revoking the exemption order granted by the Commission to the Principal Adviser and the Sub-Advisers on March 29, 2016 (the **Previous Order**); and
- (b) pursuant to section 80 of the CFA, that each Sub-Adviser (and any individuals engaging in, or holding themselves out as engaging in, the business of advising others when acting on behalf of a Sub-Adviser in respect of the Sub-Advisory Services (as defined below) (the **Representatives**) be exempt, for a specified period of time, from the adviser registration requirements in paragraph 22(1)(b) of the CFA when acting as a sub-adviser for the Principal Adviser in respect of the Clients (as defined below) regarding commodity futures contracts and commodity futures options (collectively, the **Contracts**) traded on commodity futures exchanges and cleared through clearing corporations;

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

AND UPON the Principal Adviser and the Sub-Advisers having represented to the Commission that:

1. The Principal Adviser is a corporation incorporated under the laws of the province of Ontario, with its head office located in Toronto, Ontario. The Principal Adviser is registered (a) as an adviser in the category of portfolio manager and as a dealer in the category of exempt market dealer under the *Securities Act* (Ontario) (the **OSA**) and under the securities legislation in each of the other provinces and territories of Canada and (b) as an adviser in the category of commodity trading manager under the CFA.
2. AIGSL is a corporation organized under the laws of the United Kingdom and Wales with its head office located in London, United Kingdom.
3. AIA is a limited liability company organized under the laws of the State of Delaware, United States with its head office located in Chicago, Illinois, United States.
4. The Sub-Advisers and the Principal Adviser are affiliates, and are indirect subsidiaries of Aviva plc, a publicly traded financial services company headquartered in the United Kingdom; for this purpose, an “**affiliate**” means any entity that is controlled by Aviva plc or other ultimate parent company of the Principal Adviser, as the case may be, and “**control**” and any derivation thereof, means the possession, directly or indirectly, of the power to direct or significantly influence the management and policies/business or affairs of an entity whether through ownership of voting securities or otherwise.

5. AIGSL is authorized with the United Kingdom Financial Conduct Authority (No. 119178) as a financial services firm to advise on investments including commodity futures, commodity options and options on commodity futures.
6. AIGSL engages in the business of an adviser in respect of Contracts in the United Kingdom. Among other activities, AIGSL engages in the business of advising others as to trading in commodity futures contracts, commodity futures options and options on commodity futures in the United Kingdom. AIGSL is in compliance in all material respects with the securities laws, commodity futures laws and derivatives laws in the United Kingdom.
7. AIGSL is not registered in any capacity under the OSA, under the CFA or under the securities legislation of any other jurisdiction of Canada and is not relying on any exemption from the requirement to register found in such legislation, other than the Previous Order.
8. AIA is registered with the United States Securities and Exchange Commission as an investment adviser, is registered with the United States Commodity Futures Trading Commission as a commodity trading advisor and commodity pool operator and is a member of the United States National Futures Association.
9. AIA engages in the business of an adviser in respect of Contracts in the United States. Among other activities, AIA engages in the business of advising others as to trading in commodity futures contracts, commodity futures options and options on commodity futures in the United States. AIA is in compliance in all material respects with the securities laws, commodity futures laws and derivatives laws in the United States.
10. AIA is not registered in any capacity under the OSA, under the CFA or under the securities legislation of any other jurisdiction of Canada. AIA currently relies on the Previous Order, the exemption from the requirement to register as an adviser under the OSA and under the securities legislation of Québec pursuant to section 8.26 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103)* and the exemption from the requirement to register as an investment fund manager under the OSA and under the securities legislation of Québec and Newfoundland & Labrador pursuant to section 4 of Multilateral Instrument 32-102 *Registration Exemptions for Non-Resident Investment Fund Managers*.
11. Each Sub-Adviser is registered in a category of registration, or operates under an exemption from registration, under the commodity futures or other applicable legislation of its principal jurisdiction that permits it to carry on the activities in that jurisdiction
12. Each Sub-Adviser is not a resident of any province or territory of Canada.
13. The Principal Adviser and the Sub-Advisers are not in default of securities legislation, commodity futures legislation or derivatives legislation in any jurisdiction of Canada.
14. The Principal Adviser provides investment advice and/or discretionary portfolio management services in Ontario to: (i) investment funds, the securities of which are qualified by prospectus for distribution to the public in Ontario and the other provinces and territories of Canada (the **Investment Funds**); (ii) pooled funds, the securities of which are sold on a private placement basis in Ontario and certain other provinces and territories of Canada pursuant to prospectus exemptions contained in National Instrument 45-106 *Prospectus Exemptions (the Pooled Funds)*; (iii) clients who have entered into investment management agreements with the Principal Adviser to establish managed accounts (the **Managed Account Clients**); and (iv) other Investment Funds, Pooled Funds and Managed Account Clients that may be established or retained in the future and in respect of which the Principal Adviser engages a Sub-Adviser to provide portfolio advisory services (the **Future Clients**) (each of the Investment Funds, Pooled Funds, Managed Account Clients and Future Clients being referred to individually as a **Client** and collectively as the **Clients**).
15. Certain of the Clients may, as part of their investment program, invest in Contracts. The Principal Adviser acts as a commodity trading manager in respect of such Clients.
16. In connection with the Principal Adviser acting as an adviser to Clients in respect of the purchase or sale of Contracts, the Principal Adviser, pursuant to a written agreement made between the Principal Adviser and a Sub-Adviser, has retained (or may retain) the applicable Sub-Adviser to act as a sub-adviser to the Principal Adviser in respect of Contracts in which the applicable Sub-Adviser has experience and expertise by exercising discretionary authority on behalf of the Principal Adviser, in respect of all or a portion of the assets of the investment portfolio of the respective Client, including discretionary authority to buy or sell Contracts for the Client (the **Sub-Advisory Services**), provided that such investments are consistent with the investment objectives and strategies of the applicable Client.
17. Paragraph 22(1)(b) of the CFA prohibits a person or company from acting as an adviser unless the person or company is either registered as an

- adviser under the CFA or is registered as a representative, a partner or an officer of a registered adviser and is acting on behalf of a registered adviser.
18. By providing the Sub-Advisory Services, each Sub-Adviser will be engaging in, or holding itself out as engaging in, the business of advising others in respect of Contracts and, in the absence of being granted the requested relief, would be required to register as an adviser under the CFA.
19. There is presently no rule or regulation under the CFA that provides an exemption from the adviser registration requirement in paragraph 22(1)(b) of the CFA that is similar to the exemption from the adviser registration requirement in respect of securities in subsection 25(3) of the OSA which is provided under section 8.26.1 of NI 31-103.
20. The relationship among the Principal Adviser, the Sub-Advisers and any Client will be consistent with the requirements of section 8.26.1 of NI 31-103.
21. Each Sub-Adviser will only provide the Sub-Advisory Services as long as the Principal Adviser is, and remains, registered under the CFA as an adviser in the category of commodity trading manager.
22. As would be required under section 8.26.1 of NI 31-103:
- (a) the obligations and duties of each Sub-Adviser are set out in a written agreement with the Principal Adviser; and
 - (b) the Principal Adviser will enter into a written contract with each Client, agreeing to be responsible for any loss that arises out of the failure of the applicable Sub-Adviser:
 - (i) to exercise the powers and discharge the duties of its office honestly, in good faith and in the best interests of the Principal Adviser and each Client; or
 - (ii) to exercise the degree of care, diligence and skill that a reasonably prudent person would exercise in the circumstances (together with (i), the **Assumed Obligations**).
23. The written agreement between the Principal Adviser and each Sub-Adviser will set out the obligations and duties of each party in connection with the Sub-Advisory Services and will permit the Principal Adviser to exercise the degree of supervision and control it is required to exercise over the applicable Sub-Adviser in respect of the Sub-Advisory Services.
24. The Principal Adviser will deliver to the Clients all required reports and statements under applicable securities, commodity futures and derivatives legislation.
25. The prospectus or other offering document, if any (in either case, the **Offering Document**), for each Client that is an Investment Fund or a Pooled Fund and for which the Principal Adviser engages a Sub-Adviser to provide the Sub-Advisory Services will include the following disclosure (the **Required Disclosure**):
- (a) a statement that the Principal Adviser is responsible for any loss that arises out of the failure of the applicable Sub-Adviser to meet the Assumed Obligations; and
 - (b) a statement that there may be difficulty in enforcing any legal rights against the applicable Sub-Adviser (or any of its Representatives) because such Sub-Adviser is resident outside of Canada and all or substantially all of its assets are situated outside of Canada.
26. The Required Disclosure is provided in writing prior to the purchasing of any Contracts for each client that is a Managed Account Client for which the Principal Adviser engages a Sub-Adviser to provide the Sub-Advisory Services.
27. The Principal Adviser and the Sub-Advisers obtained substantially similar relief in the Previous Order, pursuant to which the Sub-Advisers currently provide Sub-Advisory Services to the Principal Adviser for the benefit of the Clients.
28. The Principal Adviser and the Sub-Advisers have complied with, and are currently in compliance with, all of the terms and conditions of the Previous Order.
- AND UPON** being satisfied that it would not be prejudicial to the public interest for the Commission to grant the exemption requested;
- IT IS ORDERED**, pursuant to subsection 78(1) of the CFA, that the Previous Order is revoked;
- AND IT IS ORDERED**, pursuant to section 80 of the CFA, that each Sub-Adviser and its Representatives are exempt from the adviser registration requirement in paragraph 22(1)(b) of the CFA when acting as a sub-adviser to the Principal Adviser in respect of the Sub-Advisory Services, provided that at the relevant time that such activities are engaged in:
- (a) the Principal Adviser is registered under the CFA as an adviser in the category of commodity trading manager;
 - (b) the Sub-Adviser's head office or principal place of business is in a jurisdiction outside of Canada;

- (c) the Sub-Adviser is registered in a category of registration, or operates under an exemption from registration, under the commodity futures or other applicable legislation of the jurisdiction outside of Canada in which its head office or principal place of business is located, that permits it to carry on the activities in that jurisdiction that registration as an adviser under the CFA would permit it to carry on in Ontario;
- (d) the Sub-Adviser engages in the business of an adviser in respect of Contracts in the jurisdiction outside of Canada in which its head office or principal place of business is located;
- (e) the obligations and duties of the Sub-Adviser are set out in a written agreement with the Principal Adviser;
- (f) the Principal Adviser has entered into a written agreement with each Client, agreeing to be responsible for any loss that arises out of any failure of the Sub-Adviser to meet the Assumed Obligations;
- (g) the Offering Document of each Client that is an Investment Fund or Pooled Fund for which the Principal Adviser engages the Sub-Adviser to provide the Sub-Advisory Services will include the Required Disclosure; and
- (h) the Required Disclosure is provided in writing prior to the purchasing of any Contracts for each Client that is a Managed Account Client for which the Principal Adviser engages the Sub-Adviser to provide the Sub-Advisory Services;

AND IT IS FURTHER ORDERED that this Order will terminate on the earliest of

- (a) the expiry of any transition period as may be provided by law, after the effective date of the repeal of the CFA;
- (b) six months, or such other transition period as may be provided by law, after the coming into force of any amendment to Ontario commodity futures law (as defined in the CFA) or Ontario securities law (as defined in the OSA) that affects the ability of either Sub-Adviser to act as a sub-adviser to the Principal Adviser in respect of the Sub-Advisory Services; and
- (c) five years after the date of this Order.

DATED at Toronto, Ontario, this **25th** day of **March**, 2021.

“Raymond Kindiak”
Commissioner
Ontario Securities Commission

“Frances Kordyback”
Commissioner
Ontario Securities Commission

2.2.8 Teranga Gold Corporation

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 30, 2021

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

AND

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

AND

**IN THE MATTER OF
TERANGA GOLD CORPORATION
(the Filer)**

ORDER

Background

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

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

1. the Ontario Securities Commission is the principal regulator for this application; and
2. the Filer has provided notice that subsection 4C.5(1) of *Multilateral Instrument 11-102 respecting Passport System (MI 11-102)* is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon and Nunavut.

Interpretation

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

Representations

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

1. the Filer is not an OTC reporting issuer under *Multilateral Instrument 51-105 respecting 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 respecting *Marketplace Operation* or any other facility for bringing together buyers and sellers of securities where trading data is publicly reported;
4. the Filer is applying for an order that the Filer has ceased to be a reporting issuer in all of the jurisdictions of Canada in which it is a reporting issuer; and
5. the Filer is not in default of securities legislation in any jurisdiction.

Order

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

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

“Michael Balter”
Manager, Corporate Finance
Ontario Securities Commission

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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
4Front Ventures Corp.	Options - Class A Subordinate Voting Shares	FELTHAM, JOSEPH	5	2021-03-18	50	1.63	2,000,000	750,000
4Front Ventures Corp.	Options - Class A Subordinate Voting Shares	Gulati, Chetan	4	2021-03-18	50	1.63	800,000	200,000
4Front Ventures Corp.	Options - Class A Subordinate Voting Shares	Thut, Andrew Fisher	3, 5	2021-03-18	50	1.63	4,965,440	2,000,000
79 Resources Ltd.	Common Shares	Feldman, Steven	4	2020-12-23	00			
79 Resources Ltd.	Common Shares	Feldman, Steven	4	2021-03-19	16	0.12	150,000	150,000
79 Resources Ltd.	Warrants	Feldman, Steven	4	2020-12-23	00			
79 Resources Ltd.	Warrants	Feldman, Steven	4	2021-03-19	16	0.2	150,000	150,000
A&W Revenue Royalties Income Fund	Trust Units	Atkinson, Michael	5	2021-03-26	10	36.04	2,945	75
ABCOURT MINES INC.	Common Shares catégorie B	Branchaud, René	4	2021-03-18	00			
ABCOURT MINES INC.	Options	Branchaud, René	4	2021-03-18	00			
Acadian Timber Corp.	Common Shares	Shepanski, Adam Douglas	5	2020-02-12	00			
Acadian Timber Corp.	Common Shares	Shepanski, Adam Douglas	5	2021-03-23	10	19.398	5,000	5,000
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-22	10	19.4	133,670	-500
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-24	10	16.68	122,500	-11,170
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-24	10	16.65	112,500	-10,000
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-25	10	16.49	97,500	-15,000
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2021-03-26	10	16.22	80,000	-17,500
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-09	30	18.688		-200,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-09	10	18.688	2,092,407	-200,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-11	30	19.043		-3,350
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-11	10	19.043	2,089,057	-3,350
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-15	30	19.485		-107,300
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-15	10	19.485	1,981,757	-107,300
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-16	30	19.81		-21,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-16	10	19.81	1,960,757	-21,000
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-17	30	18.55		-6,200
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-17	10	18.55	1,954,557	-6,200
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-18	30	18.58		-7,500
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-18	10	18.58	1,947,057	-7,500
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-22	10	18.8	1,893,557	-53,500
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-23	10	17.685	1,862,357	-31,200
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-24	10	17.224	1,828,257	-34,100
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-25	10	16.431	1,792,457	-35,800
AcuityAds Holdings Inc.	Common Shares	Hayek, Tal	4, 5	2021-03-26	10	16.492	1,775,857	-16,600
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-10	30	18.079		-110,900
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-10	10	18.079	1,717,613	-110,900
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	30	18.693		-89,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	18.693	1,628,513	-89,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	30	19.043		-3,350
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-11	10	19.043	1,625,163	-3,350
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-15	30	19.485		-107,300
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-15	10	19.485	1,517,863	-107,300
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-16	30	19.81		-210,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-16	10	19.81	1,307,863	-210,000
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-17	30	18.55		-6,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-17	10	18.55	1,301,663	-6,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-18	30	18.58		-7,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-18	10	18.58	1,294,163	-7,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-22	10	18.8	1,240,663	-53,500
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-23	10	17.685	1,209,463	-31,200
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-24	10	17.224	1,175,363	-34,100
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-25	10	16.431	1,139,563	-35,800
AcuityAds Holdings Inc.	Common Shares	Kapcan, Rachel	5	2021-03-26	10	16.492	1,122,963	-16,600
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-09	30	18.7		-90,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-09	10	18.7	2,182,894	-90,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-10	30	18.05		-80,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-10	10	18.05	2,102,894	-80,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-11	30	18.55		-167,600
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-11	10	18.55	1,935,294	-167,600
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-15	30	19.54		-21,400
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-15	30	19.54		-21,400
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-15	10	19.54	1,913,894	-21,400

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-16	30	20.05		-76,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-16	10	20.05	1,837,894	-76,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-19	10	18.17	1,782,894	-55,000
AcuityAds Holdings Inc.	Common Shares	Ontman, Joe	4, 5	2021-03-22	10	19.03	1,702,894	-80,000
Aequus Pharmaceuticals Inc.	Options	Clark, Chris	4	2014-12-18	00			
Aequus Pharmaceuticals Inc.	Options	Clark, Chris	4	2014-12-18	00			
Aequus Pharmaceuticals Inc.	Options	Clark, Chris	4	2014-12-18	00			
Aequus Pharmaceuticals Inc.	Options	Clark, Chris	4	2014-12-18	50		350,000	350,000
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-26	38		293,000	-122,000
Africa Oil Corp.	Restricted Share Units	Craig, John Hunter	4	2021-03-26	56	1.16	422,300	129,300
Africa Oil Corp.	Common Shares	Martinez, Paul	5	2021-03-16	57		286,663	130,567
Africa Oil Corp.	Common Shares	Martinez, Paul	5	2021-03-16	57		441,893	155,230
AIRBOSS OF AMERICA CORP.	Options	Bitsakakis, Christos	5	2021-03-24	50		593,395	24,207
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Bitsakakis, Christos	5	2021-03-24	56	36.01	71,618	10,207
AIRBOSS OF AMERICA CORP.	Common Shares	Carrier, Sindy	5	2021-03-24	51	5.14	7,835	5,087
AIRBOSS OF AMERICA CORP.	Common Shares	Carrier, Sindy	5	2021-03-24	51	11.56	8,262	427
AIRBOSS OF AMERICA CORP.	Options	Carrier, Sindy	5	2021-03-24	51		50,990	-7,789
AIRBOSS OF AMERICA CORP.	Options	Carrier, Sindy	5	2021-03-24	51		50,187	-803
AIRBOSS OF AMERICA CORP.	Options	Chapman, Carl David	5	2021-03-24	50		58,478	2,407
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Chapman, Carl David	5	2021-03-24	56	36.01	8,234	1,015
AIRBOSS OF AMERICA CORP.	Options	Figel, Slawomir	5	2021-03-24	50		111,951	6,916
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Figel, Slawomir	5	2021-03-24	56	36.01	14,922	2,916
AIRBOSS OF AMERICA CORP.	Options	Gibb, Dean, Richard	5	2021-03-24	50		39,758	2,485
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Gibb, Dean, Richard	5	2021-03-24	56	36.01	5,847	1,048
AIRBOSS OF AMERICA CORP.	Options	Ientile, Franco	5	2021-03-24	50		30,187	5,187
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Ientile, Franco	5	2021-03-24	56	36.01	12,187	2,187
AIRBOSS OF AMERICA CORP.	Options	Kiell, Edward	5	2021-03-24	50		50,601	3,147
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Kiell, Edward	5	2021-03-24	56	36.01	7,436	1,327
AIRBOSS OF AMERICA CORP.	Options	Laycoe, Christopher Bryce	5	2021-03-24	50		17,964	2,944
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Laycoe, Christopher Bryce	5	2021-03-24	56	36.01	3,175	1,241
AIRBOSS OF AMERICA CORP.	Options	Lowe, Andrew	5	2021-03-24	50		22,601	1,351
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Lowe, Andrew	5	2021-03-24	56	36.01	3,306	570
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-19	10	37.828	153,602	2,400
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-22	10	38	157,602	4,000
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-22	10	38.87	159,102	1,500
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-22	10	39.55	159,802	700
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-23	10	39.623	164,802	5,000
AIRBOSS OF AMERICA CORP.	Common Shares	Matthews, Mary	4	2021-03-23	10	39.5	167,002	2,200
AIRBOSS OF AMERICA CORP.	Common Shares	Schoch, Peter Grenville	3, 4	2021-03-16	51	16.69	4,789,077	63,030
AIRBOSS OF AMERICA CORP.	Options	Schoch, Peter Grenville	3, 4	2021-03-16	51	16.69	538,707	-63,030
AIRBOSS OF AMERICA CORP.	Options	Schoch, Peter Grenville	3, 4	2021-03-24	50		572,054	33,347
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Schoch, Peter Grenville	3, 4	2021-03-24	56	36.01	126,440	14,059
AIRBOSS OF AMERICA CORP.	Options	Skerla, Tefik	5	2020-11-13	00			

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AIRBOSS OF AMERICA CORP.	Options	Skera, Tefik	5	2021-03-24	50		461	461
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Skera, Tefik	5	2020-11-13	00			
AIRBOSS OF AMERICA CORP.	Rights - Performance Share Units	Skera, Tefik	5	2021-03-24	56	36.01	194	194
Akumin Inc.	Common Shares	Cameron, Matthew	5	2021-03-04	30		355	17
Akumin Inc.	Common Shares	Cameron, Matthew	5	2021-03-18	30		579	224
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2021-03-04	30		394	4
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2021-03-18	30		450	56
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2021-03-04	30		1,126	14
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2021-03-18	30		1,347	221
Akumin Inc.	Common Shares	Luckey, Michael	5	2021-03-04	30		1,048	14
Akumin Inc.	Common Shares	Luckey, Michael	5	2021-03-18	30		1,207	159
Akumin Inc.	Common Shares	Meredith, Michael	5	2021-03-04	30		431	12
Akumin Inc.	Common Shares	Meredith, Michael	5	2021-03-18	30		567	136
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2021-03-04	30		492	16
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2021-03-18	30		850	358
Akumin Inc.	Common Shares	Richardson, Jason	5	2021-03-04	30		1,141	14
Akumin Inc.	Common Shares	Richardson, Jason	5	2021-03-18	30		1,300	159
Alaris Equity Partners Income Trust	Restricted Trust Units	DEL COURT, GREGG	5	2021-03-18	56		35,598	12,492
Alaris Equity Partners Income Trust	Restricted Trust Units	DEL COURT, GREGG	5	2021-03-18	57		33,066	-2,532
Alaris Equity Partners Income Trust	Trust Units	DEL COURT, GREGG	5	2021-03-18	57	16.48	18,756	5,064
Alaris Equity Partners Income Trust	Restricted Trust Units	Driscoll, Darren John	5	2021-03-18	56		49,983	14,520
Alaris Equity Partners Income Trust	Restricted Trust Units	Driscoll, Darren John	5	2021-03-18	57		46,034	-3,949
Alaris Equity Partners Income Trust	Trust Units	Driscoll, Darren John	5	2021-03-18	57	16.48	398,334	7,898
Alaris Equity Partners Income Trust	Restricted Trust Units	ERVIN, MICHAEL DONALD	5	2021-03-18	56		37,754	13,992
Alaris Equity Partners Income Trust	Restricted Trust Units	ERVIN, MICHAEL DONALD	5	2021-03-18	57		35,222	-2,532
Alaris Equity Partners Income Trust	Trust Units	ERVIN, MICHAEL DONALD	5	2021-03-18	57	16.48	30,566	5,064
Alaris Equity Partners Income Trust	Trust Units	ERVIN, MICHAEL DONALD	5	2021-03-22	10	16.46	29,266	-1,300
Alaris Equity Partners Income Trust	Restricted Trust Units	Evans, Marla May	5	2021-03-18	56		19,196	8,976
Alaris Equity Partners Income Trust	Restricted Trust Units	Evans, Marla May	5	2021-03-18	57		17,692	-1,504
Alaris Equity Partners Income Trust	Trust Units	Evans, Marla May	5	2021-03-18	57	16.48	4,410	3,008
Alaris Equity Partners Income Trust	Restricted Trust Units	FRAZER, AMANDA MAI	5	2021-03-18	56		20,817	6,972
Alaris Equity Partners Income Trust	Restricted Trust Units	FRAZER, AMANDA MAI	5	2021-03-18	57		19,528	-1,289
Alaris Equity Partners Income Trust	Trust Units	FRAZER, AMANDA MAI	5	2021-03-18	57	16.48	12,903	2,578
Alaris Equity Partners Income Trust	Trust Units	FRAZER, AMANDA MAI	5	2021-03-24	10	16.36	11,853	-1,050
Alaris Equity Partners Income Trust	Restricted Trust Units	King, Stephen Walter	5	2021-03-18	56		94,553	24,204
Alaris Equity Partners Income Trust	Restricted Trust Units	King, Stephen Walter	5	2021-03-18	57		88,620	-5,933
Alaris Equity Partners Income Trust	Trust Units	King, Stephen Walter	5	2021-03-18	57	16.48	805,857	11,866
Alaris Equity Partners Income Trust	Trust Units	King, Stephen Walter	5	2021-03-22	10	16.31	794,057	-11,800
Alaris Equity Partners Income Trust	Restricted Trust Units	KRAWETZ, CURTIS JAMES	5	2021-03-18	56		32,710	10,860
Alaris Equity Partners Income Trust	Restricted Trust Units	KRAWETZ, CURTIS JAMES	5	2021-03-18	57		30,087	-2,623
Alaris Equity Partners Income Trust	Trust Units	KRAWETZ, CURTIS JAMES	5	2021-03-18	57	16.48	51,046	5,246
Alaris Equity Partners Income Trust	Trust Units	KRAWETZ, CURTIS JAMES	5	2021-03-22	10	16.5	48,801	-2,245
Alaris Equity Partners Income Trust	Restricted Trust Units	MacEachern, Daniel	5	2021-03-18	56		23,911	9,704
Alaris Equity Partners Income Trust	Restricted Trust Units	MacEachern, Daniel	5	2021-03-18	57		22,094	-1,817

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Alaris Equity Partners Income Trust	Trust Units	MacEachern, Daniel	5	2021-03-18	57	16.48	10,044	3,634
Alaris Equity Partners Income Trust	Restricted Trust Units	McCarthy, Elizabeth Teresa	5	2021-03-18	56		16,916	6,204
Alaris Equity Partners Income Trust	Restricted Trust Units	McCarthy, Elizabeth Teresa	5	2021-03-18	57		15,690	-1,226
Alaris Equity Partners Income Trust	Trust Units	McCarthy, Elizabeth Teresa	5	2021-03-18	57	16.48	6,955	2,452
Alaris Equity Partners Income Trust	Restricted Trust Units	Ostrow, Shawn	5	2021-03-18	56		13,820	6,204
Alaris Equity Partners Income Trust	Restricted Trust Units	Ostrow, Shawn	5	2021-03-18	57		12,537	-1,283
Alaris Equity Partners Income Trust	Trust Units	Ostrow, Shawn	5	2021-03-18	57	16.48	8,616	2,566
Alaris Equity Partners Income Trust	Restricted Trust Units	Primeau, Jordan Lee	5	2020-11-05	00			
Alaris Equity Partners Income Trust	Restricted Trust Units	Primeau, Jordan Lee	5	2021-03-18	56		5,004	5,004
Alaris Equity Partners Income Trust	Restricted Trust Units	TIMBERLAKE, DEVIN	5	2021-03-18	56		26,172	9,204
Alaris Equity Partners Income Trust	Restricted Trust Units	TIMBERLAKE, DEVIN	5	2021-03-18	57		24,138	-2,034
Alaris Equity Partners Income Trust	Trust Units	TIMBERLAKE, DEVIN	5	2021-03-18	57	16.48	12,822	4,068
Alcanna Inc. (formerly Liquor Stores N.A. Ltd.)	Annual Deferred Shares (Common Shares)	Barnett, John Robert	4	2020-12-31	30		127,483	72,580
Alcanna Inc. (formerly Liquor Stores N.A. Ltd.)	Annual Deferred Shares (Common Shares)	Karasiuk, Darren Anthony	7	2020-12-31	30		44,025	30,885
Alcanna Inc. (formerly Liquor Stores N.A. Ltd.)	Annual Deferred Shares (Common Shares)	Peter, Lynch	4	2020-12-31	30		66,871	33,973
Alcanna Inc. (formerly Liquor Stores N.A. Ltd.)	Annual Deferred Shares (Common Shares)	Prentice, Karen A.	4	2020-12-31	30		71,861	35,518
Alcanna Inc. (formerly Liquor Stores N.A. Ltd.)	Annual Deferred Shares (Common Shares)	Ryan, Denis	4	2020-12-31	30		62,562	30,885
Alexco Resource Corp.	Common Shares	Zimmer, Richard Norman	4	2021-03-19	51	1.27	265,510	100,000
Alexco Resource Corp.	Common Shares	Zimmer, Richard Norman	4	2021-03-19	10	3.02	165,510	-100,000
Alexco Resource Corp.	Options	Zimmer, Richard Norman	4	2021-03-19	51	1.27	90,000	-100,000
Algonquin Power & Utilities Corp.	Options	Banskota, Arun	5	2021-03-22	50	19.64	411,613	206,697
Algonquin Power & Utilities Corp.	Performance Share Units	Banskota, Arun	5	2021-03-22	56	20.995	162,768	86,539
Algonquin Power & Utilities Corp.	Options	Johnston, Anthony Hunter	5	2021-03-22	50	19.64	183,453	45,982
Algonquin Power & Utilities Corp.	Performance Share Units	Johnston, Anthony Hunter	5	2021-03-22	56	20.995	68,458	19,251
Algonquin Power & Utilities Corp.	Common Shares	Kacprzak, Arthur	5	2021-03-24	57		12,057	3,666
Algonquin Power & Utilities Corp.	Options	Kacprzak, Arthur	5	2020-09-18	00			
Algonquin Power & Utilities Corp.	Options	Kacprzak, Arthur	5	2021-03-22	50	19.64	27,414	27,414
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2021-03-22	56	20.995	30,064	11,477
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2021-03-24	57		26,911	-3,153
Algonquin Power & Utilities Corp.	Performance Share Units	Kacprzak, Arthur	5	2021-03-24	59		23,277	-3,634
Algonquin Power & Utilities Corp.	Common Shares	Norman, Jeffery Todd	5	2021-03-24	57		40,268	7,049
Algonquin Power & Utilities Corp.	Options	Norman, Jeffery Todd	5	2021-03-22	50	19.64	216,393	45,952
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2021-03-22	56	20.995	78,436	19,239
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2021-03-24	57		72,373	-6,063
Algonquin Power & Utilities Corp.	Performance Share Units	Norman, Jeffery Todd	5	2021-03-24	59		65,387	-6,986
Algonquin Power & Utilities Corp.	Options	Olsen, Kirsten	5	2021-03-22	50	19.64	39,350	16,709
Algonquin Power & Utilities Corp.	Performance Share Units	Olsen, Kirsten	5	2021-03-22	56	20.995	15,093	6,996
Algonquin Power & Utilities Corp.	Options	Paravalos, Mary Ellen	5	2021-03-22	50	19.64	90,067	21,372
Algonquin Power & Utilities Corp.	Performance Share Units	Paravalos, Mary Ellen	5	2021-03-22	56	20.995	33,537	8,948

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Algonquin Power & Utilities Corp.	Common Shares	Tindale, Jennifer Sara	5	2021-03-22	51	19.922	48,077	12,021
Algonquin Power & Utilities Corp.	Common Shares	Tindale, Jennifer Sara	5	2021-03-23	10	19.83	36,056	-12,021
Algonquin Power & Utilities Corp.	Common Shares	Tindale, Jennifer Sara	5	2021-03-24	57		46,830	10,774
Algonquin Power & Utilities Corp.	Options	Tindale, Jennifer Sara	5	2021-03-18	51	12.8	99,000	-21,151
Algonquin Power & Utilities Corp.	Options	Tindale, Jennifer Sara	5	2021-03-18	51	14.96	77,778	-21,222
Algonquin Power & Utilities Corp.	Options	Tindale, Jennifer Sara	5	2021-03-18	51	16.7	58,926	-18,852
Algonquin Power & Utilities Corp.	Options	Tindale, Jennifer Sara	5	2021-03-22	50	19.64	100,665	41,739
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2021-03-22	56	20.995	80,453	17,475
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2021-03-24	57		71,185	-9,268
Algonquin Power & Utilities Corp.	Performance Share Units	Tindale, Jennifer Sara	5	2021-03-24	59		60,507	-10,678
Algonquin Power & Utilities Corp.	Common Shares	Trisic, George	5	2021-03-24	57		44,440	10,682
Algonquin Power & Utilities Corp.	Options	Trisic, George	5	2021-03-22	50	19.64	131,096	31,141
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2021-03-22	56	20.995	67,672	13,038
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2021-03-24	57		58,483	-9,189
Algonquin Power & Utilities Corp.	Performance Share Units	Trisic, George	5	2021-03-24	59		47,896	-10,587
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2015-05-21	10	0.25	1,665,300	10,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2017-01-10	10	0.115	4,121,300	51,000
Alimentation Couche-Tard Inc.	Performance Share Units	Cunnington, Kathy	5	2020-07-23	35	45.78		29
Alimentation Couche-Tard Inc.	Performance Share Units	Cunnington, Kathy	5	2020-07-23	35	45.78	16,373	22
Alimentation Couche-Tard Inc.	Performance Share Units	Cunnington, Kathy	5	2020-09-25	35	45.51		30
Alimentation Couche-Tard Inc.	Performance Share Units	Cunnington, Kathy	5	2020-09-25	35	45.51	16,395	22
Alimentation Couche-Tard Inc.	Performance Share Units	Cunnington, Kathy	5	2021-03-26	99		14,354	-2,069
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2011-01-03	00			
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2011-01-03	00			
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2011-01-03	00		5,322	
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2020-07-23	35	45.78		3
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2020-07-23	35	45.78	7,703	12
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2020-09-25	35	45.51		3
Alimentation Couche-Tard Inc.	Restricted Share Units	Cunnington, Kathy	5	2020-09-25	35	45.51	7,715	12
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2021-03-26	10	0.2396	7,074,300	100,000
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Bakshi, Rajeev	4, 5	2021-03-18	37		126,050	-773,950
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Bakshi, Rajeev	4, 5	2017-11-15	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Bakshi, Rajeev	4, 5	2021-03-18	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Bakshi, Rajeev	4, 5	2021-03-18	11		170,029	170,029
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Options	Bakshi, Rajeev	4, 5	2021-03-18	37		31,512	-193,488
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Bakshi, Rajeev	4, 5	2017-11-15	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Bakshi, Rajeev	4, 5	2021-03-18	00		129,156	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		2,352,250	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	11		2,412,474	60,224
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		1,250,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		1,699,425	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Performance Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		3,491,057	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Preferred Shares	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		2,000,000	

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Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		40,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Cawkell, Kenneth Anthony	4, 5	2021-03-18	00		409,855	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Havens, John P.	4	2021-03-18	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Havens, John P.	4	2021-03-18	00		3,422,144	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Havens, John P.	4	2021-03-18	00		250,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Restricted Voting Shares	Havens, John P.	4	2021-03-18	00		1,322,506	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Havens, John P.	4	2021-03-18	00		188,419	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Havens, John P.	4	2021-03-18	11	2.1	2,063,419	1,875,000
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Havens, John P.	4	2021-03-18	00		125,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Kay, Denis	5	2021-03-18	00		557,572	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Kay, Denis	5	2021-03-18	00		561,596	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Performance Shares	Kay, Denis	5	2021-03-18	00		3,000,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Kay, Denis	5	2021-03-18	00		4,156	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Mertz, Len	4	2021-03-18	00		918,635	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Mertz, Len	4	2021-03-18	00		2,332,033	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Mertz, Len	4	2021-03-18	00		1,500,755	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Preferred Shares	Mertz, Len	4	2021-03-18	00		1,500,380	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Preferred Shares	Mertz, Len	4	2021-03-18	00		1,766,400	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Restricted Voting Shares	Mertz, Len	4	2021-03-18	00		2,143,744	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Mertz, Len	4	2021-03-18	00		472,734	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Mertz, Len	4	2021-03-18	00		305,855	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Mertz, Len	4	2021-03-18	00		641,625	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Mertz, Phillip J.	4	2021-03-18	00		179,910	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Preferred Shares	Mertz, Phillip J.	4	2021-03-18	00		883,200	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Restricted Voting Shares	Mertz, Phillip J.	4	2021-03-18	00		985,912	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Mertz, Phillip J.	4	2021-03-18	00		152,927	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	Sancilio, Frederick	4, 5	2021-03-18	00		38,337	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Performance Shares	Sancilio, Frederick	4, 5	2021-03-18	00		3,000,000	
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Warrants	Sancilio, Frederick	4, 5	2021-03-18	00		8,312	
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2021-03-19	10	0.29	1,431,500	7,500
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2021-03-19	10	0.3	1,451,500	20,000
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2021-03-23	10	0.32	1,461,500	10,000
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2021-03-25	10	0.3	1,466,500	5,000
Altiplano Metals Inc.	Common Shares	Farley, James Donald	4	2021-03-25	10	0.29	1,467,000	500
Altiplano Metals Inc.	Options	Farley, James Donald	4	2020-08-06	00			
Altiplano Metals Inc.	Options	Farley, James Donald	4	2021-03-19	50	0.3	250,000	250,000
Altiplano Metals Inc.	Common Shares	McIntyre, Alastair	5	2021-03-19	11	0.25	872,650	40,000
Altiplano Metals Inc.	Options	McIntyre, Alastair	5	2021-03-19	50		500,000	500,000
Altiplano Metals Inc.	Warrants	McIntyre, Alastair	5	2021-03-19	11		77,150	20,000
Altiplano Metals Inc.	Common Shares	Yaseniuk, Jeremy	4	2021-03-19	11	0.25	2,892,450	400,000
Altiplano Metals Inc.	Warrants	Yaseniuk, Jeremy	4	2021-03-19	11	0.4	525,000	200,000
Altius Minerals Corporation	Rights DSUs	Baker, John	4, 5	2021-03-26	56		20,085	273
Altius Minerals Corporation	Rights RSUs	Baker, John	4, 5	2021-03-26	56		26,767	670
Altius Minerals Corporation	Rights RSUs	Dalton, Brian	4, 5	2021-03-26	56		49,702	1,232
Altius Minerals Corporation	Rights DSUs	Gaumond, André	4	2021-03-26	56		29,533	401

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Altius Minerals Corporation	Rights DSUs	Lewis, Benjamin Gerard	5	2021-03-26	56		21,888	297
Altius Minerals Corporation	Rights RSUs	Lewis, Benjamin Gerard	5	2021-03-26	56		18,608	462
Altius Minerals Corporation	Rights DSUs	Miffiin, Frederick James	4	2021-03-26	56		65,166	884
Altius Minerals Corporation	Rights DSUs	Strauss, James Digby Ronald	4	2021-03-26	56		62,681	850
Altius Minerals Corporation	Rights DSUs	Stylianides, Anna	4	2021-03-26	56		41,317	560
Altius Minerals Corporation	Rights DSUs	Warr, Donald James	4	2021-03-26	56		65,166	884
Altius Minerals Corporation	Rights DSUs	Wells, Chad	5	2021-03-26	56		17,512	237
Altius Minerals Corporation	Rights RSUs	Wells, Chad	5	2021-03-26	56		14,906	369
Altius Minerals Corporation	Rights DSUs	Winter, Stephen Lawrence	5	2021-03-26	56		17,452	237
Altius Minerals Corporation	Rights RSUs	Winter, Stephen Lawrence	5	2021-03-26	56		14,882	369
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-22	51	19.29	30,812	1,500
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-22	10	62.689	29,312	-1,500
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-23	51	19.29	35,812	6,500
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-23	10	63.478	34,112	-1,700
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-23	10	63.481	32,312	-1,800
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-23	10	63.46	30,812	-1,500
Altus Group Limited	Common Shares	Bartolini, Angelo	5	2021-03-23	10	63.505	29,312	-1,500
Altus Group Limited	Options	Bartolini, Angelo	5	2021-03-22	51	19.29	77,803	-1,500
Altus Group Limited	Options	Bartolini, Angelo	5	2021-03-23	51	19.29	76,103	-1,700
Altus Group Limited	Options	Bartolini, Angelo	5	2021-03-23	51	19.29	71,303	-4,800
Altus Group Limited	Common Shares	Commons, Michael	5	2021-03-19	10	62.5		-5,200
Altus Group Limited	Common Shares	Commons, Michael	5	2021-03-19	10	62.3	3,775	-5,200
Altus Group Limited	Common Shares	McSweeney, Niall	5	2021-03-22	10	62.5	5,271	-12,500
Altus Strategies Plc	Common Shares	Grainger, Matthew Roy	4	2021-03-22	11	1.3	2,154,399	13,333
Altus Strategies Plc	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2020-02-21	37	0.09	24,845,878	-99,383,511
Altus Strategies Plc	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2021-03-22	11	1.3		3,637,482
Altus Strategies Plc	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2021-03-22	16	1.3	28,483,360	3,637,482
Altus Strategies Plc	Common Shares	POULTON, STEVEN	4, 5	2021-03-22	11	1.3	5,757,060	37,061
Altus Strategies Plc	Common Shares	Zours, Wilhelm K. T.	3	2020-02-21	37		7,000,000	-28,000,000
American Aires Inc.	Options	Anthony Michrowski, Andrew	4	2021-03-19	00		500,000	
American Creek Resources Ltd.	Options	Blaney, Darren	3, 4, 5	2021-03-05	50	0.32	15,370,000	2,200,000
American Creek Resources Ltd.	Options	Edwards, Dennis Gibb	4	2021-03-05	50	0.32	565,000	200,000
American Creek Resources Ltd.	Options	Edwards, Robert Nathan	5	2021-03-05	50	0.32	12,710,000	2,200,000
American Creek Resources Ltd.	Options	Wood, Tobin	4	2021-03-05	50	0.32	300,000	200,000
American Hotel Income Properties REIT LP	Units	Frank, Richard	4	2021-03-22	10	3.3608	45,000	5,000
American Hotel Income Properties REIT LP	Units	van der Lee, Charles	4	2021-03-22	10	4.17	50,680	5,000
American Hotel Income Properties REIT LP	Units	Yu, Anne	5	2021-03-22	10	4.14	11,988	1,000
American Hotel Income Properties REIT LP	Units	Yu, Anne	5	2021-03-25	10	4	20,091	2,000
Andean Precious Metals Corp.	Common Shares	2176423 Ontario Ltd.	3	2021-03-18	00		21,854,738	
Andean Precious Metals Corp.	Common Shares	Buchan, Robert Mackay	4	2021-03-18	37		306,667	-153,333
Andean Precious Metals Corp.	Common Shares	Buchan, Robert Mackay	4	2021-03-18	11		1,306,667	1,000,000
Andean Precious Metals Corp.	Common Shares	Buchan, Robert Mackay	4	2021-03-26	51	0.225	1,373,334	66,667
Andean Precious Metals Corp.	Options	Buchan, Robert Mackay	4	2021-03-18	50		200,000	100,000
Andean Precious Metals Corp.	Options	Buchan, Robert Mackay	4	2021-03-18	37		166,667	-33,333
Andean Precious Metals Corp.	Options	Buchan, Robert Mackay	4	2021-03-26	51	0.225	100,000	-66,667
Andean Precious Metals Corp.	Common Shares	Cardoso, Sarai	7	2021-03-18	00		100,000	
Andean Precious Metals Corp.	Options	Chan, Jeffrey Wayne Hong	5	2021-03-18	00			
Andean Precious Metals Corp.	Options	Chan, Jeffrey Wayne Hong	5	2021-03-19	50		400,000	400,000
Andean Precious Metals Corp.	Common Shares	Gomez, Humberto Rada	7	2021-03-18	00		250,000	
Andean Precious Metals Corp.	Common Shares	Griffiths, Simon Owain	5	2021-01-26	00			
Andean Precious Metals Corp.	Common Shares	Griffiths, Simon Owain	5	2021-03-18	11	0.0308	3,250,000	3,250,000
Andean Precious Metals Corp.	Options	Griffiths, Simon Owain	5	2021-01-26	00			
Andean Precious Metals Corp.	Options	Griffiths, Simon Owain	5	2021-03-19	50		813,913	813,913
Andean Precious Metals Corp.	Common Shares	Gundy, Peter Verity	4	2021-03-18	00			
Andean Precious Metals Corp.	Common Shares	Gundy, Peter Verity	4	2021-03-18	00		100,000	
Andean Precious Metals Corp.	Options	Gundy, Peter Verity	4	2021-03-18	00			
Andean Precious Metals Corp.	Options	Gundy, Peter Verity	4	2021-03-19	50	1.15	100,000	100,000
Andean Precious Metals Corp.	Common Shares	Morales, Alberto	3, 4, 5	2021-03-18	00		82,325,000	
Andean Precious Metals Corp.	Common Shares	PMB Partners LP	3	2021-03-18	00		82,325,000	
Andean Precious Metals Corp.	Common Shares	Sprott, Eric S.	3	2021-03-18	00		21,854,738	

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Andean Precious Metals Corp.	Common Shares	Villegas, Melissa Terui	7	2021-03-18	00		100,000	
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer Management Group Inc.	3	2021-03-22	97		10,200	-18,300
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2021-03-22	97		103,200	15,750
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Andlauer, Michael N.	4, 6, 5	2021-03-22	97		10,200	-18,300
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Brogan, Charles Robert	5	2021-03-22	10	38	49,269	-4,000
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Brogan, Charles Robert	5	2021-03-23	10	38	49,169	-100
Andlauer Healthcare Group Inc.	Subordinate Voting Shares	Brogan, Charles Robert	5	2021-03-25	10	38	46,602	-2,567
Angus Gold Inc.	Common Shares	Keast, Branden	6	2021-03-22	10	0.889	3,039,530	10,000
Angus Gold Inc.	Common Shares	Keast, Riley	6	2021-03-22	10	0.889	3,039,530	10,000
Angus Gold Inc.	Common Shares	Medalist Capital Ltd.	3	2021-03-22	10	0.889	3,039,530	10,000
Angus Gold Inc.	Common Shares	Sandusky, Stephen	6	2021-03-22	10	0.889	3,039,530	10,000
Aphelion Capital Corp.	Common Shares	Shams, Mahdi	4	2019-10-21	00		100,000	
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	tsoutsis, kosta	4	2020-08-18	00			
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	tsoutsis, kosta	4	2020-08-28	16	0.05	400,000	400,000
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	52,083	52,083
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	4,166	4,166
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	4,166	4,166
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	4,166	4,166
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	104,167	104,167
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Common Shares	Carl, Richard G.	4	2021-03-17	15	0.24	52,083	52,083
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		52,083	52,083
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		4,166	4,166
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		4,166	4,166
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		4,166	4,166
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		104,167	104,167
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2021-03-17	15		52,083	52,083
ARHT Media Inc.	Warrants	Carl, Richard G.	4	2020-02-03	00			
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-03-24	38		-1,300	-1,800
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-03-26	38	23.624	900	2,200
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-03-24	38		-1,224	-2,448
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-03-26	38	21.812	2,400	3,624
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2021-03-26	38	10.846	940,152	391,730
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-19	10	10.478	3,793,357	25,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-22	10	10.748	3,830,257	36,900
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-23	10	10.725	3,868,257	38,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-24	10	10.874	3,903,257	35,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-25	10	10.812	3,960,857	57,600
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2021-03-26	10	10.945	4,065,857	105,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-19	10	10.478	3,793,357	25,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-22	10	10.748	3,830,257	36,900
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-23	10	10.725	3,868,257	38,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-24	10	10.874	3,903,257	35,000

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Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-25	10	10.812	3,960,857	57,600
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2021-03-26	10	10.945	4,065,857	105,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-19	10	10.478	3,793,357	25,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-22	10	10.748	3,830,257	36,900
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-23	10	10.725	3,868,257	38,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-24	10	10.874	3,903,257	35,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-25	10	10.812	3,960,857	57,600
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-03-26	10	10.945	4,065,857	105,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-19	10	10.478	3,793,357	25,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-22	10	10.748	3,830,257	36,900
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-23	10	10.725	3,868,257	38,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-24	10	10.874	3,903,257	35,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-25	10	10.812	3,960,857	57,600
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-03-26	10	10.945	4,065,857	105,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-19	10	10.478	3,793,357	25,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-22	10	10.748	3,830,257	36,900
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-23	10	10.725	3,868,257	38,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-24	10	10.874	3,903,257	35,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-25	10	10.812	3,960,857	57,600
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2021-03-26	10	10.945	4,065,857	105,000
Artis Real Estate Investment Trust	Units	Wigmore, Elisabeth Shirley	4	2021-03-24	10	10.892	18,500	9,250
Atlantic Power Corporation	Common Shares	Moore, James J.	4, 5	2021-03-19	57		1,316,034	83,475
Atlantic Power Corporation	Notional Shares	Moore, James J.	4, 5	2021-03-19	57		644,880	-83,475
Atlantic Power Corporation	Notional Shares	Moore, James J.	4, 5	2021-03-19	38	2.89	578,355	-66,525
Aton Resources Inc.	Common Shares	Koutsouras, Bill	4	2020-09-21	37		1,628,666	-14,657,998
Aton Resources Inc.	Options	Koutsouras, Bill	4	2020-09-21	37		215,000	-1,935,000
Aton Resources Inc.	Common Shares	OU HEKTIK	3	2020-09-21	37		4,317,308	-38,855,769
Aton Resources Inc.	Warrants	OU HEKTIK	3	2020-09-21	37		1,692,308	-15,230,769
Aton Resources Inc.	Common Shares	OU MOONRIDER	3	2020-09-21	37		10,463,415	-94,170,739
Aton Resources Inc.	Warrants	OU MOONRIDER	3	2020-09-21	37		4,484,615	-40,361,539
Aton Resources Inc.	Warrants	OU MOONRIDER	3	2021-03-24	53	0.235	10,339,934	4,255,319
Aton Resources Inc.	Options	Vahk, Tonno	4	2020-09-21	37		165,000	-1,485,000
ATS Automation Tooling Systems Inc.	Common Shares	Hider, Andrew	5	2021-03-26	30		1,971	130
ATS Automation Tooling Systems Inc.	Common Shares	Hider, Andrew	5	2021-03-26	30		842	523
ATS Automation Tooling Systems Inc.	Common Shares	McCuaig, Stewart	5	2021-03-26	30		7,237	618
AurCrest Gold Inc.	Common Shares	van de Water, Frank	4	2021-03-23	10	0.22	794,266	-20,000
AurCrest Gold Inc.	Common Shares	van de Water, Frank	4	2021-03-24	10	0.215	775,266	-19,000
AurCrest Gold Inc.	Common Shares	van de Water, Frank	4	2021-03-24	10	0.22	774,266	-1,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-03-22	10	0.84	9,127,382	25,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-03-24	10	0.83	9,131,382	4,000
Aurora Cannabis Inc.	Deferred Share Units	Detlefsen, Michael Erik	4	2020-12-31	30		7,308	3,862
Australis Capital Inc.	Common Shares	Fu, Duke	4	2021-03-23	16	0.46	4,984,323	48,029
Australis Capital Inc.	Common Shares	Fu, Duke	4	2021-03-23	38		7,920,617	2,936,294
Australis Capital Inc.	Options	Fu, Duke	4	2021-03-23	50	0.5	2,300,000	1,600,000
Australis Capital Inc.	Subsidiary Exchangeable Share	Fu, Duke	4	2020-11-18	00			
Australis Capital Inc.	Subsidiary Exchangeable Share	Fu, Duke	4	2021-03-23	56	0.2	13,980,476	13,980,476
Auxico Resources Canada Inc.	Options	Inwentash, Sheldon	3, 4	2020-09-04	00			

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Auxico Resources Canada Inc.	Options	Inwentash, Sheldon	3, 4	2021-03-18	50		300,000	300,000
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-23	10	0.215	230,800	-14,500
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-24	10	0.22	229,800	-1,000
Avalon Advanced Materials Inc.	Common Shares	Hu, Xi Hong	5	2021-03-26	10	0.2	179,800	-50,000
Avante Logixx Inc.	Common Shares	Campbell, Craig Bradley	3	2021-03-24	10	1.5	225,000	70,000
Avcorp Industries Inc.	Options	Kaler, Amandeep Singh	5	2018-04-19	00		4,180,000	
Avcorp Industries Inc.	Options	Kaler, Amandeep Singh	5	2020-12-01	52		4,610,000	430,000
Avcorp Industries Inc.	Options	Kaler, Amandeep Singh	5	2020-12-01	52	0.085	5,470,000	860,000
Avcorp Industries Inc.	Options	Kaler, Amandeep Singh	5	2021-03-22	50	0.0875	15,470,000	10,000,000
Avcorp Industries Inc.	Options	Levi, David Ron	4, 6	2021-03-22	50	0.0875	2,160,500	1,200,000
Avcorp Industries Inc.	Options	Otis, Elizabeth Field	4	2021-03-22	50	0.0875	1,550,000	1,000,000
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.909		-47,779
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.909		-47,779
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.741		-9,051
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.741		-9,051
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.909	285,030	-47,779
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Membership Interests	Karger, Louis	4	2021-03-17	11	34.741	275,979	-9,051
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Miles, Charles Edward	4	2021-02-26	22			1,841
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Miles, Charles Edward	4	2021-02-26	22		52,840	1,840
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Miles, Charles Edward	4	2021-03-23	10	32.539	54,000	1,160
BacTech Environmental Corporation	Common Shares	1988097 Ontario Inc.	3	2021-03-23	10	0.1	15,105,000	-180,714
Badger Daylighting Ltd.	Performance Share Unit	Atluri, Pradeep	5	2020-12-10	00			
Badger Daylighting Ltd.	Performance Share Unit	Atluri, Pradeep	5	2021-03-23	56		3,602	3,602
Badger Daylighting Ltd.	Restricted Share Units	Atluri, Pradeep	5	2020-12-10	00			
Badger Daylighting Ltd.	Restricted Share Units	Atluri, Pradeep	5	2021-03-23	56		3,602	3,602
Badger Daylighting Ltd.	Performance Share Unit	Bhatia, Pramod	5	2021-03-23	56		6,297	2,195
Badger Daylighting Ltd.	Restricted Share Units	Bhatia, Pramod	5	2019-08-19	00			
Badger Daylighting Ltd.	Restricted Share Units	Bhatia, Pramod	5	2021-03-23	56		2,195	2,195
Badger Daylighting Ltd.	Deferred Shares	Jones, Stephen James	4	2021-03-11	00			
Badger Daylighting Ltd.	Deferred Shares	Jones, Stephen James	4	2021-03-23	56		855	855
Badger Daylighting Ltd.	Performance Share Unit	Kelly, John	5	2021-03-23	56		65,950	8,938
Badger Daylighting Ltd.	Performance Share Unit	Kelly, John	5	2021-03-23	59		45,612	-20,338
Badger Daylighting Ltd.	Restricted Share Units	Kelly, John	5	2012-01-23	00			
Badger Daylighting Ltd.	Restricted Share Units	Kelly, John	5	2021-03-23	56		8,938	8,938
Badger Daylighting Ltd.	Performance Share Unit	Mass, Craig Neil	5	2020-11-04	00			
Badger Daylighting Ltd.	Performance Share Unit	Mass, Craig Neil	5	2021-03-23	56		1,909	1,909
Badger Daylighting Ltd.	Restricted Share Units	Mass, Craig Neil	5	2020-11-04	00			
Badger Daylighting Ltd.	Restricted Share Units	Mass, Craig Neil	5	2021-03-23	56		1,909	1,909
Badger Daylighting Ltd.	Performance Share Unit	Peterson, Elizabeth	5	2021-03-23	56		26,613	4,510
Badger Daylighting Ltd.	Performance Share Unit	Peterson, Elizabeth	5	2021-03-23	59		19,094	-7,519
Badger Daylighting Ltd.	Restricted Share Units	Peterson, Elizabeth	5	2015-04-06	00			
Badger Daylighting Ltd.	Restricted Share Units	Peterson, Elizabeth	5	2021-03-23	56		4,510	4,510
Badger Daylighting Ltd.	Performance Share Unit	Reiber, Timothy Hammond	5	2021-03-23	56		29,200	4,510
Badger Daylighting Ltd.	Performance Share Unit	Reiber, Timothy Hammond	5	2021-03-23	59		19,093	-10,107
Badger Daylighting Ltd.	Restricted Share Units	Reiber, Timothy Hammond	5	2015-05-18	00			
Badger Daylighting Ltd.	Restricted Share Units	Reiber, Timothy Hammond	5	2021-03-23	56		4,510	4,510
Badger Daylighting Ltd.	Performance Share Unit	Tunney, Michael James	5	2021-03-23	56		24,598	3,307
Badger Daylighting Ltd.	Performance Share Unit	Tunney, Michael James	5	2021-03-23	59		14,581	-10,017
Badger Daylighting Ltd.	Restricted Share Units	Tunney, Michael James	5	2017-01-09	00			
Badger Daylighting Ltd.	Restricted Share Units	Tunney, Michael James	5	2021-03-23	56		3,307	3,307
Badger Daylighting Ltd.	Performance Share Unit	Vanderberg, Paul James	4, 5	2021-03-23	59		109,158	-18,283
Badger Daylighting Ltd.	Performance Share Unit	Vanderberg, Paul James	4, 5	2021-03-23	56		130,261	21,103
Badger Daylighting Ltd.	Restricted Share Units	Vanderberg, Paul James	4, 5	2016-08-15	00			
Badger Daylighting Ltd.	Restricted Share Units	Vanderberg, Paul James	4, 5	2021-03-23	56		21,103	21,103
Badger Daylighting Ltd.	Performance Share Unit	Wallace, Tracey Lynn	5	2021-03-23	56		26,478	4,494
Badger Daylighting Ltd.	Performance Share Unit	Wallace, Tracey Lynn	5	2021-03-23	59		16,984	-9,494
Badger Daylighting Ltd.	Restricted Share Units	Wallace, Tracey Lynn	5	2017-06-01	00			
Badger Daylighting Ltd.	Restricted Share Units	Wallace, Tracey Lynn	5	2021-03-23	56		4,494	4,494

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Badger Daylighting Ltd.	Performance Share Unit	Walsh, Leon Joseph Steven	5	2021-03-11	00			
Badger Daylighting Ltd.	Performance Share Unit	Walsh, Leon Joseph Steven	5	2021-03-23	56		2,698	2,698
Badger Daylighting Ltd.	Restricted Share Units	Walsh, Leon Joseph Steven	5	2021-03-11	00			
Badger Daylighting Ltd.	Restricted Share Units	Walsh, Leon Joseph Steven	5	2021-03-23	56		2,698	2,698
Badger Daylighting Ltd.	Performance Share Unit	Whelan, David Joseph	5	2020-11-04	00			
Badger Daylighting Ltd.	Performance Share Unit	Whelan, David Joseph	5	2021-03-23	56		3,988	3,988
Badger Daylighting Ltd.	Restricted Share Units	Whelan, David Joseph	5	2020-11-04	00			
Badger Daylighting Ltd.	Restricted Share Units	Whelan, David Joseph	5	2021-03-23	56		3,988	3,988
Badger Daylighting Ltd.	Deferred Shares	Wilson, Wade Mark	5	2021-03-24	59		9,446	-4,690
Badger Daylighting Ltd.	Performance Share Unit	Wilson, Wade Mark	5	2021-03-23	56		18,507	2,643
Badger Daylighting Ltd.	Performance Share Unit	Wilson, Wade Mark	5	2021-03-23	59		10,603	-7,904
Badger Daylighting Ltd.	Restricted Share Units	Wilson, Wade Mark	5	2017-04-21	00			
Badger Daylighting Ltd.	Restricted Share Units	Wilson, Wade Mark	5	2021-03-23	56		2,643	2,643
Badger Daylighting Ltd.	Performance Share Unit	Yaworsky, Darren Julian	7, 5	2021-03-23	56		46,569	9,229
Badger Daylighting Ltd.	Restricted Share Units	Yaworsky, Darren Julian	7, 5	2019-06-03	00			
Badger Daylighting Ltd.	Restricted Share Units	Yaworsky, Darren Julian	7, 5	2021-03-23	56		9,229	9,229
Bald Eagle Gold Corp. (formerly, Wolf Acquisition Corp.)	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-19	00		13,211,676	
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Icahn, Brett	4	2021-03-17	00			
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Icahn, Brett	4	2021-03-17	00			
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Icahn, Brett	4	2021-03-22	56	33	744	744
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Miller, Steven Daniel	4	2021-03-17	00		100	
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Miller, Steven Daniel	4	2021-03-17	00			
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Miller, Steven Daniel	4	2021-03-22	56	33	744	744
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-24	10	9.9	861,644	400
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-23	10	10.1	860,944	500
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-23	10	10.09	861,244	300
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-25	10	9.35	862,344	700
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-03-25	10	9.36	862,444	100
Bengal Energy Ltd.	Options	Allford, Richard Bruce	5	2021-03-19	50	0.08	260,000	180,000
Bengal Energy Ltd.	Options	Blanchard, Jerrad James	5	2021-03-08	00			
Bengal Energy Ltd.	Options	Blanchard, Jerrad James	5	2021-03-19	50	0.08	1,800,000	1,800,000
Bengal Energy Ltd.	Options	Chakrabarty, Chayan	4, 5	2021-03-19	50	0.08	3,000,000	2,400,000
Bengal Energy Ltd.	Options	Edgar, Richard Norman	5	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Gaffney, Peter Dominic	4	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Howe, James Brian	4	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Moss, Brian	4	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Steele, Robert David	4	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Towers, Ian James	4	2021-03-19	50	0.08	950,000	750,000
Bengal Energy Ltd.	Options	Wheeler, William Ball	3, 4	2021-03-19	50	0.08	950,000	750,000
Big Rock Brewery Inc.	Restricted Awards	Arsenault, Wayne	5	2021-03-19	56		93,658	17,416
Big Rock Brewery Inc.	Restricted Awards	Giblin, Stephen	4	2021-03-19	56		3,914	2,111
Big Rock Brewery Inc.	Restricted Awards	Howden, Paul	5	2021-03-19	56		25,931	5,747
Big Rock Brewery Inc.	Restricted Awards	Kohut, Michael G	4	2021-03-19	56	5.92	3,914	2,111
Big Rock Brewery Inc.	Restricted Awards	McDonald, Alanna Jane	4	2021-03-19	56		3,914	2,111
Big Rock Brewery Inc.	Restricted Awards	McNally-Leitch, Kathleen Margaret	4	2021-03-19	56		3,914	2,111
Big Rock Brewery Inc.	Common Shares	Noone, Patrick Donnell	4	2021-03-19	10	4.81	1,899,000	2,200
Big Rock Brewery Inc.	Common Shares	Noone, Patrick Donnell	4	2021-03-24	10	4.69	1,904,000	5,000
Big Rock Brewery Inc.	Restricted Awards	Noone, Patrick Donnell	4	2021-03-19	56		3,914	2,111
Big Rock Brewery Inc.	Restricted Awards	Riddell, James H. T.	4	2021-03-19	56	5.92	3,914	2,111
Big Rock Brewery Inc.	Restricted Awards	Sewell, Donald Richard	5	2021-03-19	56		44,158	9,480

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BIGG Digital Assets Inc.	stock option	Whitaker, Robert Edward	5	2021-03-18	51	0.08	2,046,764	116,794
BioHarvest Sciences Inc.	Options	Rakib, Zaki	5	2021-03-22	50	0.51	4,343,800	4,343,800
BioNeutra Global Corporation	Options	Sparrow, Curtis	4	2021-01-01	50	0.25	100,000	100,000
BioNeutra Global Corporation	Options	Sparrow, Curtis	4	2021-02-11	50	0.28	200,000	100,000
BioSyent Inc.	Common Shares	Arcuri, Joseph	5	2021-03-19	56		103,475	1,224
BioSyent Inc.	Common Shares	Atwal, Neelu	5	2021-03-19	56	7.3	11,799	2,781
BioSyent Inc.	Common Shares	Goehrums, Rene Christopher	3, 4, 5	2020-12-31	30	5.04	931,564	1,063
BioSyent Inc.	Common Shares	Goehrums, Rene Christopher	3, 4, 5	2021-03-19	56	7.3	949,646	18,082
BioSyent Inc.	Common Shares	March, Robert Joseph	5	2021-03-19	56	7.3	36,727	7,124
BioSyent Inc.	Common Shares	Raghubir, Sharan	5	2021-03-19	56	7.3	24,604	4,005
BioSyent Inc.	Common Shares	Wilson, Kevin	5	2021-03-19	56	7.3	64,012	4,395
Bird Construction Inc.	PSU (Phantom Shares)	Bergman, J. Paul	5	2021-03-24	59	8.961	50,546	-12,395
Bird Construction Inc.	RSU (Phantom Shares)	Bergman, J. Paul	5	2021-03-24	59	8.961	50,546	-12,395
Bird Construction Inc.	Deferred Share Units	Bird, John Richard	4	2021-03-19	35		33,324	123
Bird Construction Inc.	Deferred Share Units	Brooks, Karyn Anne	4	2021-03-19	35		70,325	259
Bird Construction Inc.	PSU (Phantom Shares)	CAZA, Charles Joseph	5	2021-03-24	59	8.961	32,826	-7,997
Bird Construction Inc.	RSU (Phantom Shares)	CAZA, Charles Joseph	5	2021-03-24	59	8.961	51,326	-7,997
Bird Construction Inc.	Deferred Share Units	Charette, Paul Alphonse	4	2021-03-19	35		56,584	208
Bird Construction Inc.	Deferred Share Units	Doyle, Donald Gregory	4	2021-03-19	35		127,419	469
Bird Construction Inc.	Deferred Share Units	DuPont, Bonnie Dianne Rose	4	2021-03-19	35		81,547	301
Bird Construction Inc.	PSU (Phantom Shares)	GINGRICH, WAYNE RICHARD	5	2021-03-24	59	8.961	66,662	-16,753
Bird Construction Inc.	RSU (Phantom Shares)	GINGRICH, WAYNE RICHARD	5	2021-03-24	59	8.961	66,662	-16,753
Bird Construction Inc.	PSU (Phantom Shares)	McKibbon, Terrance Lloyd	4, 5	2021-03-24	59	8.961	132,695	-26,240
Bird Construction Inc.	RSU (Phantom Shares)	McKibbon, Terrance Lloyd	4, 5	2021-03-24	59	8.961	132,695	-26,240
Bird Construction Inc.	Deferred Share Units	Messier, Luc Jean-Francois	4	2021-03-19	35		77,731	286
Bird Construction Inc.	Deferred Share Units	Munkley, Ronald David	4	2021-03-19	35		100,501	369
Bird Construction Inc.	Deferred Share Units	Raboud, Paul Robert	4	2021-03-19	35		30,261	111
Bird Construction Inc.	PSU (Phantom Shares)	ROYER, GILLES GERALD	5	2021-03-24	59	8.961	52,935	-12,395
Bird Construction Inc.	RSU (Phantom Shares)	ROYER, GILLES GERALD	5	2021-03-24	59	8.961	52,935	-12,395
Bird Construction Inc.	Deferred Share Units	Thorsteinson, Arni Clayton	4	2021-03-19	35		110,763	408
Bird River Resources Inc.	Options	Bridgman, Jon	4, 5	2019-03-14	52	0.1	0	-300,000
Bird River Resources Inc.	Options	Bridgman, Jon	4, 5	2021-03-03	50	0.235	350,000	350,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2021-03-18	10	3.4	2,902,289	1,730
Black Diamond Group Limited	Options	Haynes, Trevor	4, 5	2021-03-18	52		1,037,046	-50,000
Black Diamond Group Limited	Options	LaBrie, Tobias Gerald	5	2021-03-18	52		471,877	-50,000
Black Diamond Group Limited	Options	Melanson, Patrick	5	2021-03-18	52		430,904	-27,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-11-11	10	0.2	2,248,500	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-11-23	10	0.2	2,240,500	-500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-10	10	0.205	2,210,500	-7,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-12	10	0.22	2,211,500	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2018-12-19	10	0.2	2,217,000	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-04	10	0.195	2,187,000	-11,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-04	10	0.205	2,172,000	-15,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-15	10	0.165	2,046,000	-40,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-16	10	0.18	2,042,000	6,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-17	10	0.18	2,051,000	4,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-21	10	0.175	2,039,000	-12,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-25	10	0.14	1,988,500	-5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-28	10	0.145	1,987,500	-1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-01-30	10	0.135	1,980,500	10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-05	10	0.135	1,931,500	-31,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-07	10	0.15	1,936,500	5,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-15	10	0.135	1,856,875	-95,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-20	10	0.14	1,823,875	-38,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-22	10	0.145	1,812,875	-11,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-22	10	0.15	1,814,375	1,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-25	10	0.13	1,805,875	-8,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-26	10	0.13	1,800,375	-5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-02-28	10	0.155	1,789,375	-11,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-01	10	0.17	1,769,375	-25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-07	10	0.175	1,809,375	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-08	10	0.175	1,799,375	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-11	10	0.18	1,801,375	2,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-03-20	10	0.18	1,747,375	1,000

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Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-01	10	0.17	1,773,375	1,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-04	10	0.175	1,741,375	-22,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-15	10	0.15	1,729,875	-21,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-04-16	10	0.15	1,712,875	-17,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-09	10	0.16	1,708,375	-20,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-21	10	0.15	1,528,875	-161,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-24	10	0.145	1,593,375	14,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-05-30	10	0.145	1,543,375	-50,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-05	10	0.14	1,572,875	4,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-06	10	0.135	1,747,875	25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-14	10	0.13	1,767,875	20,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-20	10	0.125	1,664,375	-100,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-21	10	0.125	1,680,875	-8,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-21	10	0.11	1,699,875	19,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-21	10	0.13	1,715,375	15,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-24	10	0.125	1,600,375	-20,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-24	10	0.125	1,500,375	-100,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-26	10	0.145	1,516,375	16,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-06-27	10	0.15	1,535,875	14,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-04	10	0.145	1,582,875	9,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-05	10	0.14	1,307,875	-125,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-08	10	0.145	1,271,875	-36,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-09	10	0.155	1,246,875	-25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-10	10	0.165	1,137,875	-109,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-10	10	0.145	1,152,875	15,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-11	10	0.135	1,170,725	17,850
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-24	10	0.14	1,227,725	-23,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-25	10	0.145	1,205,725	-22,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-26	10	0.145	1,180,725	-25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-29	10	0.14	1,186,725	6,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-07-30	10	0.135	1,099,225	-7,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-08	10	0.13	1,070,225	-16,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-27	10	0.115	1,085,725	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-29	10	0.11	1,075,725	-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-29	10	0.11		-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-08-29	10	0.11		-10,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-09-09	10	0.115	1,076,725	-9,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-09-19	10	0.11	1,060,725	-39,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-10-01	10	0.04	997,225	-25,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-10-10	10	0.105	1,104,725	5,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-10-23	10	0.05	1,246,225	16,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-10-24	10	0.045	1,275,725	19,500
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-10-30	10	0.04	1,053,725	-40,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-01	10	0.04	1,014,725	-39,000
Black Tusk Resources Inc.	Common Shares	Penn, Richard Ryan	3, 4, 5	2019-11-05	10	0.045	1,227,225	-37,500
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-07-02	10	0.07		-212,500
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-07-02	10	0.075		-62,500
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2020-07-02	10	0.075	157,500	-100,000
Bluestone Resources Inc.	Common Shares	Boldt, Zara Elizabeth	4	2021-03-18	54	1.65	85,000	10,000
Bluestone Resources Inc.	Options	Boldt, Zara Elizabeth	4	2021-03-18	50	1.7	289,000	114,000
Bluestone Resources Inc.	Warrants	Boldt, Zara Elizabeth	4	2021-03-18	54	1.65	0	-10,000
Bluestone Resources Inc.	Options	Lamb, William	4	2021-03-18	50	1.7	189,000	114,000
Bluestone Resources Inc.	Common Shares	Lundin, Jack Oliver	4, 5	2021-03-25	10	1.62	819,030	47,600
Bluestone Resources Inc.	Common Shares	Lundin, Jack Oliver	4, 5	2021-03-25	10	1.61	821,430	2,400
Bluestone Resources Inc.	Common Shares	Lundin, Jack Oliver	4, 5	2021-03-25	10	1.6	842,030	20,600
Bluestone Resources Inc.	Common Shares	Lundin, Jack Oliver	4, 5	2021-03-26	10	1.6	871,430	29,400
BluMetric Environmental Inc. (formerly Seprotech Systems Incorporated)	Common Shares	Simonett, Geoff	4	2016-03-23	00			
BluMetric Environmental Inc. (formerly Seprotech Systems Incorporated)	Common Shares	Simonett, Geoff	4	2021-03-23	51	0.2	60,000	60,000
BluMetric Environmental Inc. (formerly Seprotech Systems Incorporated)	Options	Simonett, Geoff	4	2021-03-23	51		20,000	-60,000
BluMetric Environmental Inc. (formerly Seprotech Systems Incorporated)	Options	Simonett, Geoff	4	2021-03-24	50		40,000	20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Boat Rocker Media Inc.	Multiple Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		2,573,513	
Boat Rocker Media Inc.	Multiple Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		6,520,822	
Boat Rocker Media Inc.	Multiple Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		4,814,246	
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-24	15	9	333,333	333,333
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-24	15	9	1,333,333	1,333,333
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-24	15	9	1,000,000	1,000,000
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-24	15	9	666,667	666,667
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		118,345	
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		7,696,823	
Boat Rocker Media Inc.	Subordinate Voting Shares	Fairfax Financial Holdings Limited	3	2021-03-19	00		221,416	
Boat Rocker Media Inc.	Subordinate Voting Shares	McLean, Christine N.	6	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	McLean, Christine N.	6	2021-03-24	15	9	8,900	8,900
Boat Rocker Media Inc.	Subordinate Voting Shares	McLean, Robert Quinn	4	2021-03-19	00			
Boat Rocker Media Inc.	Subordinate Voting Shares	McLean, Robert Quinn	4	2021-03-24	15	9	8,900	8,900
Bombardier Inc.	Subordinate Voting Shares Classe B/ Class B Shares (Subordinate Voting)	Brennan, Daniel	5	2020-12-31	30	0.49	656,384	56,997
Bombardier Inc.	Subordinate Voting Shares Classe B/ Class B Shares (Subordinate Voting)	Sislian, Paul	5	2020-12-31	30	0.81	138,296	12,295
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-03-24	10	3.9	4,247,937	3,700
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2020-11-30	36		125,000	125,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2021-01-04	36		250,000	125,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Pathak, Sumesh Paul	4	2020-11-30	36			125,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Pathak, Sumesh Paul	4	2020-11-30	36		125,000	-125,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Restricted Share Units	Pathak, Sumesh Paul	4	2021-01-04	36		0	-125,000
Braille Energy Systems Inc.	Common Shares	Cleroux, Pierre	4	2019-05-10	00		100,000	
Braille Energy Systems Inc.	Common Shares	Cleroux, Pierre	4	2021-03-05	10	1.3	28,500	-71,500
Braille Energy Systems Inc.	Options	Cleroux, Pierre	4	2019-05-10	00		100,000	
Braille Energy Systems Inc.	Options	Cleroux, Pierre	4	2021-02-05	51		200,000	100,000
Brand X Lifestyle Corp. (formerly Block X Capital Corp.)	Common Shares	Johannson, Arni Thomas	5	2021-02-26	10	0.079	5,728,000	1,200,000
Brand X Lifestyle Corp. (formerly Block X Capital Corp.)	Common Shares	Johannson, Arni Thomas	5	2021-03-24	10	0.1	5,803,000	75,000
Brand X Lifestyle Corp. (formerly Block X Capital Corp.)	Common Shares	Johannson, Arni Thomas	5	2021-03-24	10	0.11	5,897,000	94,000
Brand X Lifestyle Corp. (formerly Block X Capital Corp.)	Common Shares	Johannson, Arni Thomas	5	2021-03-25	10	0.11	5,898,000	1,000
Braveheart Resources Inc.	Common Shares	Keele, Philip Abbott	4, 5	2021-03-25	10	0.085	3,803,500	20,000
Braveheart Resources Inc.	Common Shares	Vinck, Dwayne Albert	5	2021-03-25	10	0.0825	1,505,000	100,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-18	10	6.85	854,700	400
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-18	10	6.84	858,800	4,100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-18	10	6.5	861,800	3,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-18	10	6.794	864,300	2,500
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.85		400
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.84		4,100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.5		3,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.5	864,500	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.47	864,600	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.45	867,100	2,500

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Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.41	867,200	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-19	10	6.4	867,400	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-22	10	6.75	868,000	600
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.55	870,300	2,300
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.79	870,500	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.5	870,600	100
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.65	870,800	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.75	871,000	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-23	10	6.795	872,000	1,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-24	10	6.45	872,200	200
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-24	10	6.4933	872,500	300
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-24	10	6.59	874,500	2,000
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-25	10	6.31	874,900	400
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-25	10	6.19	875,300	400
Bright Minds Biosciences Inc.	Common Shares	McDonald, Ian	4	2021-03-25	10	6.15	875,400	100
Brompton Split Banc Corp.	Class A Shares	Caranci, Mark A.	4, 5	2021-03-24	10	12.9	812	200
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Madon, Cyrus	5	2021-03-22	90		4,283,706	273,957
Brookfield Asset Management Inc.	Restricted Shares	Madon, Cyrus	5	2021-03-22	90		0	-273,958
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.87	99	99
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.87	0	-99
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.88	130	130
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.88	0	-130
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.89	40	40
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.89	0	-40
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.9	9	9
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.9	0	-9
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.91	216	216
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.91	0	-216
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.96	201	201
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.96	0	-201
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.975	254	254
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.975	0	-254
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.98	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.98	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.99	2	2
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	37.99	0	-2
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	38	537	537
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-21	38	38	0	-537
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.42	72	72
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.42	0	-72
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.55	77	77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.55	0	-77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.565	106	106
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.565	0	-106
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.62	100	100

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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	2021-01-22	38	37.62	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.63	159	159
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.63	0	-159
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.67	294	294
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.67	0	-294
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.7	163	163
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.7	0	-163
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.715	13	13
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.715	0	-13
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.85	3	3
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.85	0	-3
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.92	20	20
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.92	0	-20
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.94	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.94	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.995	262	262
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	37.995	0	-262
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	38	688	688
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-22	38	38	0	-688
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.89	50	50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.89	0	-50
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.91	102	102
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.91	0	-102
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.97	90	90
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.97	0	-90
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.99	370	370
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	36.99	0	-370
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.03	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.03	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.04	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.04	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.05	77	77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.05	0	-77
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.06	63	63
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.06	0	-63
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-25	38	37.07	177	177

Insider Reporting

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	2021-01-26	38	35.92	0	-83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.95	268	268
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.95	0	-268
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.96	30	30
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.96	0	-30
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.98	92	92
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	35.98	0	-92
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36	144	144
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36	0	-144
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.01	144	144
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.01	0	-144
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.02	18	18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.02	0	-18
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.03	29	29
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.03	0	-29
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.04	94	94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.04	0	-94
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.05	36	36
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.05	0	-36
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.06	88	88
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.06	0	-88
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.075	82	82
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.075	0	-82
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.08	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.08	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.09	98	98
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.09	0	-98
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.095	165	165
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.095	0	-165
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.1	84	84
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.1	0	-84
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.11	83	83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.11	0	-83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.13	601	601
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.13	0	-601
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.14	182	182
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.14	0	-182
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-26	38	36.15	39	39

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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	2021-01-27	38	36.84	0	-12
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.9	501	501
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.9	0	-501
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.91	249	249
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.91	0	-249
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.92	1	1
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.92	0	-1
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.93	2	2
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.93	0	-2
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.935	210	210
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.935	0	-210
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.94	163	163
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.94	0	-163
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.95	75	75
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.95	0	-75
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.97	146	146
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.97	0	-146
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.975	42	42
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.975	0	-42
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.98	95	95
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.98	0	-95
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.99	206	206
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	36.99	0	-206
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	37	223	223
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-27	38	37	0	-223
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.45	81	81
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.45	0	-81
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.46	5	5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.46	0	-5
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.47	125	125
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.47	0	-125
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.49	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.49	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.5	30	30
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.5	0	-30
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.55	310	310
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.55	0	-310
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-28	38	36.56	41	41

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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	2021-01-29	38	36.48	0	-6
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.49	8	8
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.49	0	-8
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.5	3	3
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.5	0	-3
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.51	80	80
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.51	0	-80
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.52	146	146
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.52	0	-146
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.53	34	34
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.53	0	-34
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.55	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.55	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.56	381	381
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.56	0	-381
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.57	320	320
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.57	0	-320
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.59	113	113
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.59	0	-113
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.6	286	286
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.6	0	-286
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.62	83	83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.62	0	-83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.625	107	107
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.625	0	-107
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.63	8	8
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.63	0	-8
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.64	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.64	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.65	83	83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.65	0	-83
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.66	56	56
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.66	0	-56
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.68	76	76
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-01-29	38	36.68	0	-76
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-18	10		-229,865	-127,500
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-19	10		-359,865	-130,000
Bucephalus Capital Corp.	Subordinate Voting Shares	Ewart, Jason	4	2021-03-22	10		-379,530	-19,665
Bunker Hill Mining Corp.	Common Shares	WILLIAMS, RICHARD	4	2021-03-23	10	0.36	1,355,286	25,000
C21 Investments Inc.	Common Shares	Pinnick, Sky	4	2021-03-25	22		4,959,774	3,451,170

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C2C Gold Corp. (formerly Taku Gold Corp.)	Common Shares	Goldfarb, Richard	4	2021-03-18	00			
C2C Gold Corp. (formerly Taku Gold Corp.)	Options	Goldfarb, Richard	4	2021-03-18	00			
C2C Gold Corp. (formerly Taku Gold Corp.)	Options	Goldfarb, Richard	4	2021-03-18	50	0.16	300,000	300,000
C2C Gold Corp. (formerly Taku Gold Corp.)	Common Shares	Wilson, Patricia	4	2012-08-30	00			
C2C Gold Corp. (formerly Taku Gold Corp.)	Common Shares	Wilson, Patricia	4	2021-03-16	51	0.07	130,000	130,000
C2C Gold Corp. (formerly Taku Gold Corp.)	Common Shares	Wilson, Patricia	4	2021-03-16	51	0.1	160,000	30,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Manini, Anthony	4	2021-03-23	54	0.1	7,000,014	1,000,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Manini, Anthony	4	2021-03-23	54	0.1		1,000,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Manini, Anthony	4	2021-03-23	54	0.1	1,475,000	-1,000,000
C3 Metals Inc. (formerly Carube Copper Corp.)	Common Shares	Meka, Lulezim Hynsi	4	2021-03-22	11	0.1	11,219,634	833,333
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00			
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00		833,333	
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2021-03-21	54	0.1	0	-833,333
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00			
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00			
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00			
C3 Metals Inc. (formerly Carube Copper Corp.)	Warrants	Meka, Lulezim Hynsi	4	2018-05-24	00			
CAE Inc.	Common Shares	Arnovitz, Andrew	5	2021-03-25	30	22.87	3,709	35
CAE Inc.	Long Term Incentives-Deferred Share Units	Arnovitz, Andrew	5	2021-03-25	35		49,438	304
CAE Inc.	Common Shares	Branco, Sonya	5	2021-03-25	30	24.85	18,975	1,587
CAE Inc.	Deferred Share Units	Branco, Sonya	5	2021-03-25	35		11,419	68
CAE Inc.	Long Term Incentives-Deferred Share Units	Branco, Sonya	5	2021-03-25	35		7,147	44
CAE Inc.	Common Shares	Gagnon, H��l��ne Violaine	5	2021-03-25	30	24.84	8,011	1,132
CAE Inc.	Deferred Share Units	Gagnon, H��l��ne Violaine	5	2021-03-25	35		14,969	90
CAE Inc.	Common Shares	Gelston, Daniel	5	2020-08-24	00			
CAE Inc.	Common Shares	Gelston, Daniel	5	2021-03-25	30	23.6	867	867
CAE Inc.	Common Shares	Grenier, Pascal	5	2021-03-25	30	24.81	10,589	1,187
CAE Inc.	Deferred Share Units	Grenier, Pascal	5	2021-03-25	35		2,099	13
CAE Inc.	Deferred Share Units	Grenier, Pascal	5	2021-03-25	56	28.61	6,637	4,538
CAE Inc.	Long Term Incentives-Deferred Share Units	Grenier, Pascal	5	2021-03-25	35		2,100	13
CAE Inc.	Common Shares	Hounsell, Mark	5	2021-03-25	30	24.87	23,110	1,413
CAE Inc.	Deferred Share Units	Hounsell, Mark	5	2021-03-25	35		9,613	58
CAE Inc.	Common Shares	Leontidis, Nick	5	2021-03-25	30	24.61	61,620	1,848
CAE Inc.	Deferred Share Units	Leontidis, Nick	5	2021-03-25	35		5,587	35
CAE Inc.	Long Term Incentives-Deferred Share Units	Leontidis, Nick	5	2021-03-25	35		218,742	1,344
CAE Inc.	Common Shares	Parent, Marc	4, 5	2021-03-25	30	24.57	294,883	3,969
CAE Inc.	Long Term Incentives-Deferred Share Units	Parent, Marc	4, 5	2021-03-25	35		275,095	1,691
CAE Inc.	Common Shares	Sharkey, Dan	5	2021-03-25	30	24.84	9,255	1,120
CAE Inc.	Deferred Share Units	Sharkey, Dan	5	2021-03-25	35		14,015	84
Cameco Corporation	Rights Deferred Share Units	Bruce, Ian	4	2021-03-19	56		81,898	2,223
Cameco Corporation	Rights Deferred Share Units	Camus, Daniel Robert	4	2021-03-19	56		87,742	682
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		-8,500
Cameco Corporation	Options	Clark, Dale Robert	5	2021-03-17	51	19.3	113,366	-8,500
Cameco Corporation	Rights Deferred Share Units	Deranger, Donald Hearl Felix	4	2021-03-19	56		72,458	608
Cameco Corporation	Rights Deferred Share Units	Gowans, James Kitchener	4	2021-03-19	56		83,909	1,310
Cameco Corporation	Rights Deferred Share Units	Jackson, Kathryn	4	2021-03-19	56		38,554	1,422
Cameco Corporation	Rights Deferred Share Units	Kayne, Don	4	2021-03-19	56		89,018	2,667
Cameco Corporation	Rights Deferred Share Units	McLellan, A. Anne	4	2021-03-19	56		57,742	640

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Cameco Corporation	Options Phantom Stock Options	Orr, Kelly Lovern	5	2021-03-18	59	16.38	45,681	-11,520
Cameco Corporation	Rights Deferred Share Units	van Leeuwen-Atkins, Leontine	4	2021-03-19	56		4,752	1,422
Canacol Energy Ltd.	Restricted Share Units	Argento, Juan	4	2021-02-11	00			
Canacol Energy Ltd.	Restricted Share Units	Argento, Juan	4	2021-03-22	56		26,000	26,000
Canacol Energy Ltd.	Restricted Share Units	Bednar, Jason Michael	5	2021-03-22	56		90,000	90,000
Canacol Energy Ltd.	Restricted Share Units	Diaz Salazar, Francisco	4	2021-03-22	56		26,000	26,000
Canacol Energy Ltd.	Restricted Share Units	Elliott, Greg	4	2021-03-22	56		26,000	26,000
Canacol Energy Ltd.	Restricted Share Units	Fernandez-Tinoco, Gonzalo	4	2021-03-22	56		27,000	27,000
Canacol Energy Ltd.	Common Shares	Fourth Sail Capital, LP	3	2021-03-22	10	3.5673	31,055,138	130,909
Canacol Energy Ltd.	Restricted Share Units	Gamba, Charle	4, 5	2021-03-22	56		160,000	160,000
Canacol Energy Ltd.	Restricted Share Units	Hibberd, Michael John	4	2021-03-22	56	3.56	36,000	36,000
Canacol Energy Ltd.	Restricted Share Units	Merenstein, Ariel	4	2020-03-17	00			
Canacol Energy Ltd.	Restricted Share Units	Merenstein, Ariel	4	2021-03-22	56		26,000	26,000
Canacol Energy Ltd.	Restricted Share Units	Sharma, Ravi	5	2021-03-22	56		90,000	90,000
Canacol Energy Ltd.	Restricted Share Units	Teare, Mark Reginald	5	2021-03-22	56		90,000	90,000
Canacol Energy Ltd.	Restricted Share Units	Whitmore, Tracy Lynn	5	2021-03-22	56		72,000	72,000
Canacol Energy Ltd.	Restricted Share Units	Winter, David A	4	2021-03-22	56		28,000	28,000
Canacol Energy Ltd.	Restricted Share Units	Zaidi, Anthony Amar	5	2021-03-22	56		90,000	90,000
Canada Nickel Company Inc.	Common Shares	Cox, Michael James	4	2020-09-14	54	0.57	241,608	20,536
Canada Nickel Company Inc.	Warrants	Cox, Michael James	4	2020-09-14	54	0.57	0	-20,536
Canadian General Investments, Limited	Common Shares	Brown, Marcia Lewis	4	2021-03-25	10	35.86	2,300	100
Canadian Imperial Bank of Commerce	Common Shares	Dodig, Victor George	4, 5	2021-03-22	47	126.1	60,981	-5,000
Canadian Natural Resources Limited	Common Shares	Cassidy, Trevor James	5	2020-12-31	30	24.61	31,679	4,562
Canadian Natural Resources Limited	PSUs	Cassidy, Trevor James	5	2020-12-31	30	23.69	27,218	836
Canadian Natural Resources Limited	PSUs	Cassidy, Trevor James	5	2020-12-31	30	22.08	27,787	569
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2020-12-31	30	24.68	56,207	4,558
Canadian Tire Corporation, Limited	Options	Christie, James Robert	5	2021-03-18	50	173.14	121,246	11,833
Canadian Tire Corporation, Limited	Performance Share Units	Christie, James Robert	5	2021-03-18	56	173.14	20,567	3,638
Canadian Tire Corporation, Limited	Performance Share Units	Christie, James Robert	5	2021-03-25	59			-2,972
Canadian Tire Corporation, Limited	Performance Share Units	Christie, James Robert	5	2021-03-25	59			-2,972
Canadian Tire Corporation, Limited	Performance Share Units	Christie, James Robert	5	2021-03-25	59		17,595	-2,972
Canadian Tire Corporation, Limited	Options	Craig, Gregory George	5	2021-03-18	50	173.14	78,768	10,988
Canadian Tire Corporation, Limited	Performance Share Units	Craig, Gregory George	5	2021-03-18	56	173.14	14,119	3,378
Canadian Tire Corporation, Limited	Performance Share Units	Craig, Gregory George	5	2021-03-25	59		12,425	-1,694
Canadian Tire Corporation, Limited	Options	Flood, Thomas Joseph (TJ)	7, 5	2021-03-18	50	173.14	42,873	6,480
Canadian Tire Corporation, Limited	Performance Share Units	Flood, Thomas Joseph (TJ)	7, 5	2021-03-18	56	173.14	8,690	1,992
Canadian Tire Corporation, Limited	Performance Share Units	Flood, Thomas Joseph (TJ)	7, 5	2021-03-25	59		7,611	-1,079
Canadian Tire Corporation, Limited	Performance Share Units	Flood, Thomas Joseph (TJ)	7, 5	2021-03-25	59		7,216	-395
Canadian Tire Corporation, Limited	Deferred Share Units	Hicks, Gregory Hubert	4, 5	2021-03-25	56	164.85	1,765	576
Canadian Tire Corporation, Limited	Options	Hicks, Gregory Hubert	4, 5	2021-03-18	50	173.14	151,248	33,471
Canadian Tire Corporation, Limited	Options	Hicks, Gregory Hubert	4, 5	2021-03-25	59		131,248	-20,000
Canadian Tire Corporation, Limited	Performance Share Units	Hicks, Gregory Hubert	4, 5	2021-03-18	56	173.14	36,316	10,292
Canadian Tire Corporation, Limited	Performance Share Units	Hicks, Gregory Hubert	4, 5	2021-03-25	59		34,305	-2,011
Canadian Tire Corporation, Limited	Performance Share Units	McCann, Dean Charles	7	2021-03-25	59		10,449	-2,972
Canadian Tire Corporation, Limited	Options	O'Brien, Susan M	5	2021-03-18	50	173.14	45,253	8,100
Canadian Tire Corporation, Limited	Performance Share Units	O'Brien, Susan M	5	2021-03-18	56	173.14	8,212	2,490

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Canadian Tire Corporation, Limited	Performance Share Units	O'Brien, Susan M	5	2021-03-25	59		7,133	-1,079
Canadian Tire Corporation, Limited	Deferred Share Units	Pershing, Johnathan Edward	5	2019-07-02	00			
Canadian Tire Corporation, Limited	Deferred Share Units	Pershing, Johnathan Edward	5	2021-03-25	56	164.85	574	574
Canadian Tire Corporation, Limited	Options	Pershing, Johnathan Edward	5	2021-03-18	50	173.14	69,705	10,988
Canadian Tire Corporation, Limited	Options	Pershing, Johnathan Edward	5	2021-03-23	59		63,372	-6,333
Canadian Tire Corporation, Limited	Options	Pershing, Johnathan Edward	5	2021-03-25	59		50,133	-13,239
Canadian Tire Corporation, Limited	Performance Share Units	Pershing, Johnathan Edward	5	2021-03-18	56	173.14	15,006	3,378
Canadian Tire Corporation, Limited	Options	Sheldon, Joseph Barry	7	2021-03-18	50	173.14	6,608	563
Canadian Tire Corporation, Limited	Performance Share Units	Sheldon, Joseph Barry	7	2021-03-18	56	173.14	1,821	288
Canadian Tire Corporation, Limited	Performance Share Units	Sheldon, Joseph Barry	7	2021-03-25	59		1,483	-338
Canadian Tire Corporation, Limited	Restricted Share Units	Sheldon, Joseph Barry	7	2016-03-10	00			
Canadian Tire Corporation, Limited	Restricted Share Units	Sheldon, Joseph Barry	7	2021-03-18	56	173.14	173	173
Canadian Tire Corporation, Limited	Performance Share Units	Wickramasinghe, Mahes S	7, 5	2021-03-25	59		13,398	-2,972
Canadian Western Bank	Common Shares	Blackett, Kelly St. Clair	5	2020-12-31	30	25.24	16,476	2,003
Canadian Western Bank	Options	Blackett, Kelly St. Clair	5	2020-12-14	50		81,529	12,205
Canadian Western Bank	Rights Performance Share Units	Blackett, Kelly St. Clair	5	2020-12-31	56		20,482	7,913
Canadian Western Bank	Rights Performance Share Units	Blackett, Kelly St. Clair	5	2020-12-31	59		17,438	-3,044
Canadian Western Bank	Rights Restricted Share Units	Blackett, Kelly St. Clair	5	2020-12-31	56		17,526	4,253
Canadian Western Bank	Rights Restricted Share Units	Blackett, Kelly St. Clair	5	2020-12-31	59		14,244	-3,282
Canadian Western Bank	Common Shares	Eastwood, Michael Glen	5	2020-12-31	30	25.24	7,042	1,961
Canadian Western Bank	Common Shares	Eastwood, Michael Glen	5	2020-12-31	30		7,347	305
Canadian Western Bank	Common Shares	Eastwood, Michael Glen	5	2020-12-31	30		1,107	14
Canadian Western Bank	Options	Eastwood, Michael Glen	5	2020-12-14	50		74,130	11,948
Canadian Western Bank	Rights Performance Share Units	Eastwood, Michael Glen	5	2020-12-31	56		17,595	7,720
Canadian Western Bank	Rights Performance Share Units	Eastwood, Michael Glen	5	2020-12-31	59		14,891	-2,704
Canadian Western Bank	Rights Restricted Share Units	Eastwood, Michael Glen	5	2020-12-31	56		9,751	4,145
Canadian Western Bank	Rights Restricted Share Units	Eastwood, Michael Glen	5	2020-12-31	59		6,821	-2,930
Canadian Western Bank	Common Shares	Gallagher, Patrick	5	2020-12-31	30	25.24	3,106	1,298
Canadian Western Bank	Options	Gallagher, Patrick	5	2020-12-14	50		30,313	4,686
Canadian Western Bank	Rights Restricted Share Units	Gallagher, Patrick	5	2020-12-31	56		8,787	3,459
Canadian Western Bank	Rights Restricted Share Units	Gallagher, Patrick	5	2020-12-31	59		6,018	-2,769
Canadian Western Bank	Common Shares	MacLellan, Joseph Daryl	5	2021-03-10	10	34.75		-2,500
Canadian Western Bank	Common Shares	MacLellan, Joseph Daryl	5	2021-03-10	10	34.75	42,105	-2,505
Canadian Western Bank	Common Shares	Murphy, Stephen Howard Edward	5	2020-12-31	30	25.24	24,756	2,668
Canadian Western Bank	Options	Murphy, Stephen Howard Edward	5	2020-12-14	50		148,354	19,122
Canadian Western Bank	Rights Performance Share Units	Murphy, Stephen Howard Edward	5	2020-12-31	56		33,096	12,585
Canadian Western Bank	Rights Performance Share Units	Murphy, Stephen Howard Edward	5	2020-12-31	59		27,389	-5,707
Canadian Western Bank	Rights Restricted Share Units	Murphy, Stephen Howard Edward	5	2020-12-31	56		12,268	4,771
Canadian Western Bank	Rights Restricted Share Units	Murphy, Stephen Howard Edward	5	2020-12-31	59		7,997	-4,271
Canadian Western Bank	Rights Restricted Share Units	Wright, Jeffrey Isaac Louis	5	2020-12-31	59			4,570
Canadian Western Bank	Rights Restricted Share Units	Wright, Jeffrey Isaac Louis	5	2020-12-31	59		8,871	-4,570
CanAlaska Uranium Ltd.	Common Shares	Graham, Thomas	4	2021-03-24	51	0.26	558,555	150,000
CanAlaska Uranium Ltd.	Options	Graham, Thomas	4	2021-03-24	51	0.26	400,000	-150,000

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Candente Copper Corp.	Common Shares	Milla, Andres Juan	4	2021-03-24	10	0.195	106,100	-100,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-22	10	0.095	21,000,000	350,000
Capital Power Corporation	Common Shares	DeNeve, Bryan	5	2020-12-31	30	29.5	35,404	875
Capital Power Corporation	Common Shares	DeNeve, Bryan	5	2020-12-31	30	29.68	37,488	2,084
Capital Power Corporation	Common Shares	Haskins, Sandra Anne	5	2020-12-31	30	27.25	2,756	169
Capital Power Corporation	Common Shares	Haskins, Sandra Anne	5	2020-12-31	30	27.9	5,574	2,818
Capital Power Corporation	Common Shares	Haskins, Sandra Anne	5	2020-12-31	30	28.18	5,722	148
Capstone Mining Corp.	Common Shares	Garcia, Albert	7	2021-03-10	10	3.8	0	-16,959
Capstone Mining Corp.	Common Shares	Garcia, Albert	7	2021-03-01	10	3.012	5,700	-500
Capstone Mining Corp.	Common Shares	Garcia, Albert	7	2021-03-01	10	3.01	5,600	-100
Capstone Mining Corp.	Common Shares	Garcia, Albert	7	2021-03-01	10	3	0	-5,600
Cardinal Energy Ltd.	Common Shares	Broos, Laurence	5	2021-03-23	57		96,211	16,578
Cardinal Energy Ltd.	Common Shares	Broos, Laurence	5	2021-03-23	57		104,801	8,590
Cardinal Energy Ltd.	Performance Bonus Awards	Broos, Laurence	5	2021-03-23	57		23,940	-11,970
Cardinal Energy Ltd.	Performance Bonus Awards	Broos, Laurence	5	2021-03-25	56		63,840	39,900
Cardinal Energy Ltd.	Restricted Bonus Awards	Broos, Laurence	5	2021-03-23	57		20,647	-31,881
Cardinal Energy Ltd.	Restricted Bonus Awards	Broos, Laurence	5	2021-03-25	56		33,947	13,300
Cardinal Energy Ltd.	Common Shares	Brussa, John Albert	4	2021-03-23	57		2,605,692	24,257
Cardinal Energy Ltd.	Restricted Bonus Awards	Brussa, John Albert	4	2021-03-23	57		56,933	-46,647
Cardinal Energy Ltd.	Restricted Bonus Awards	Brussa, John Albert	4	2021-03-25	56		117,933	61,000
Cardinal Energy Ltd.	Common Shares	Heatherington, Wesley Gordon	5	2021-03-23	57		48,946	11,504
Cardinal Energy Ltd.	Common Shares	Heatherington, Wesley Gordon	5	2021-03-23	57		58,394	9,448
Cardinal Energy Ltd.	Performance Bonus Awards	Heatherington, Wesley Gordon	5	2021-03-23	57		26,334	-13,167
Cardinal Energy Ltd.	Performance Bonus Awards	Heatherington, Wesley Gordon	5	2021-03-25	56		66,234	39,900
Cardinal Energy Ltd.	Restricted Bonus Awards	Heatherington, Wesley Gordon	5	2021-03-23	57		38,530	-22,123
Cardinal Energy Ltd.	Restricted Bonus Awards	Heatherington, Wesley Gordon	5	2021-03-25	56		51,830	13,300
Cardinal Energy Ltd.	Common Shares	Johnson, David Daniel	4	2021-03-23	57		950,649	24,257
Cardinal Energy Ltd.	Restricted Bonus Awards	Johnson, David Daniel	4	2021-03-23	57		56,933	-46,647
Cardinal Energy Ltd.	Restricted Bonus Awards	Johnson, David Daniel	4	2021-03-25	56		117,933	61,000
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	2021-03-23	57		84,525	8,661
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	2021-03-23	57		93,115	8,590
Cardinal Energy Ltd.	Performance Bonus Awards	Kelly, David	5	2021-03-23	57		23,940	-11,970
Cardinal Energy Ltd.	Performance Bonus Awards	Kelly, David	5	2021-03-25	57		63,840	39,900
Cardinal Energy Ltd.	Restricted Bonus Awards	Kelly, David	5	2021-03-23	57		35,872	-16,656
Cardinal Energy Ltd.	Restricted Bonus Awards	Kelly, David	5	2021-03-25	56		49,172	13,300
Cardinal Energy Ltd.	Common Shares	LaForge, Jason Lee	5	2021-03-23	57		81,772	18,799
Cardinal Energy Ltd.	Common Shares	LaForge, Jason Lee	5	2021-03-23	57		88,644	6,872
Cardinal Energy Ltd.	Performance Bonus Awards	LaForge, Jason Lee	5	2021-03-23	57		19,152	-9,576
Cardinal Energy Ltd.	Performance Bonus Awards	LaForge, Jason Lee	5	2021-03-25	56		59,052	39,900
Cardinal Energy Ltd.	Restricted Bonus Awards	LaForge, Jason Lee	5	2021-03-23	57		24,117	-36,151
Cardinal Energy Ltd.	Restricted Bonus Awards	LaForge, Jason Lee	5	2021-03-25	56		37,417	13,300
Cardinal Energy Ltd.	Common Shares	Orton, Dale John	5	2021-03-23	57		161,294	58,549
Cardinal Energy Ltd.	Common Shares	Orton, Dale John	5	2021-03-23	57		190,357	29,063
Cardinal Energy Ltd.	Performance Bonus Awards	Orton, Dale John	5	2021-03-23	57		81,000	-40,500
Cardinal Energy Ltd.	Performance Bonus Awards	Orton, Dale John	5	2021-03-25	56		216,000	135,000
Cardinal Energy Ltd.	Restricted Bonus Awards	Orton, Dale John	5	2021-03-23	57		87,000	-107,154
Cardinal Energy Ltd.	Restricted Bonus Awards	Orton, Dale John	5	2021-03-25	56		132,000	45,000
Cardinal Energy Ltd.	Common Shares	Ratushny, M. Scott	4, 5	2021-03-23	57		1,800,868	123,823
Cardinal Energy Ltd.	Common Shares	Ratushny, M. Scott	4, 5	2021-03-23	57		1,865,452	64,584
Cardinal Energy Ltd.	Performance Bonus Awards	Ratushny, M. Scott	4, 5	2021-03-23	57		180,000	-90,000
Cardinal Energy Ltd.	Performance Bonus Awards	Ratushny, M. Scott	4, 5	2021-03-25	56		480,000	300,000
Cardinal Energy Ltd.	Restricted Bonus Awards	Ratushny, M. Scott	4, 5	2021-03-23	57		193,333	-238,120
Cardinal Energy Ltd.	Restricted Bonus Awards	Ratushny, M. Scott	4, 5	2021-03-25	56		293,333	100,000
Cardinal Energy Ltd.	Common Shares	Shevkenek, Connie	5	2021-03-23	57		88,165	2,075
Cardinal Energy Ltd.	Common Shares	Shevkenek, Connie	5	2021-03-23	57		96,755	8,590
Cardinal Energy Ltd.	Performance Bonus Awards	Shevkenek, Connie	5	2021-03-23	57		23,940	-11,970
Cardinal Energy Ltd.	Performance Bonus Awards	Shevkenek, Connie	5	2021-03-25	56		91,440	67,500
Cardinal Energy Ltd.	Restricted Bonus Awards	Shevkenek, Connie	5	2021-03-23	57		58,672	-3,990
Cardinal Energy Ltd.	Restricted Bonus Awards	Shevkenek, Connie	5	2021-03-25	56		81,172	22,500
Cardinal Energy Ltd.	Common Shares	Sterling, Stephanie	4	2021-03-23	57		188,754	20,090

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Cardinal Energy Ltd.	Restricted Bonus Awards	Sterling, Stephanie	4	2021-03-23	57		64,946	-38,634
Cardinal Energy Ltd.	Restricted Bonus Awards	Sterling, Stephanie	4	2021-03-25	56		125,946	61,000
Cardinal Energy Ltd.	Common Shares	TISDALE, GREGORY	4	2021-03-23	57		84,269	24,257
Cardinal Energy Ltd.	Restricted Bonus Awards	TISDALE, GREGORY	4	2021-03-23	57		56,933	-46,647
Cardinal Energy Ltd.	Common Shares	Van Spankeren, Shawn Arie	5	2021-03-23	57		196,420	38,220
Cardinal Energy Ltd.	Common Shares	Van Spankeren, Shawn Arie	5	2021-03-23	57		225,483	29,063
Cardinal Energy Ltd.	Performance Bonus Awards	Van Spankeren, Shawn Arie	5	2021-03-23	57		81,000	-40,500
Cardinal Energy Ltd.	Performance Bonus Awards	Van Spankeren, Shawn Arie	5	2021-03-25	56		216,000	135,000
Cardinal Energy Ltd.	Restricted Bonus Awards	Van Spankeren, Shawn Arie	5	2021-03-23	57		87,000	-73,500
Cardinal Energy Ltd.	Restricted Bonus Awards	Van Spankeren, Shawn Arie	5	2021-03-25	56		132,000	45,000
Cardinal Energy Ltd.	Common Shares	Wollmann, Robert Ernest Law	5	2021-03-23	57		269,020	38,220
Cardinal Energy Ltd.	Common Shares	Wollmann, Robert Ernest Law	5	2021-03-23	57		298,083	29,063
Cardinal Energy Ltd.	Performance Bonus Awards	Wollmann, Robert Ernest Law	5	2021-03-23	57		81,000	-40,500
Cardinal Energy Ltd.	Performance Bonus Awards	Wollmann, Robert Ernest Law	5	2021-03-25	56		216,000	135,000
Cardinal Energy Ltd.	Restricted Bonus Awards	Wollmann, Robert Ernest Law	5	2021-03-23	57		87,000	-73,500
Cardinal Energy Ltd.	Restricted Bonus Awards	Wollmann, Robert Ernest Law	5	2021-03-25	56		132,000	45,000
Cardinal Energy Ltd.	Common Shares	Younger, Kenneth Cory Lee	5	2021-03-23	57		73,682	19,214
Cardinal Energy Ltd.	Common Shares	Younger, Kenneth Cory Lee	5	2021-03-23	57		82,272	8,590
Cardinal Energy Ltd.	Performance Bonus Awards	Younger, Kenneth Cory Lee	5	2021-03-23	57		23,940	-11,970
Cardinal Energy Ltd.	Performance Bonus Awards	Younger, Kenneth Cory Lee	5	2021-03-25	56		63,840	39,900
Cardinal Energy Ltd.	Restricted Bonus Awards	Younger, Kenneth Cory Lee	5	2021-03-23	57		25,713	-36,949
Cardinal Energy Ltd.	Restricted Bonus Awards	Younger, Kenneth Cory Lee	5	2021-03-25	56		39,013	13,300
Cargojet Inc.	Rights Deferred Share Units	Gershenhorn, Alan	4	2021-03-16	56			715
Cargojet Inc.	Rights Deferred Share Units	Gershenhorn, Alan	4	2021-03-16	56			715
Cargojet Inc.	Rights Deferred Share Units	Gershenhorn, Alan	4	2021-03-17	00			
Cargojet Inc.	Rights Deferred Share Units	Gershenhorn, Alan	4	2021-03-17	00		715	
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2021-03-16	56			444
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2021-03-16	56		19,862	415
Carube Copper Corp. (formerly Miocene Resources Limited)	Common Shares	Meka, Lulezim Hynsi	4	2019-09-04	11	5	7,023,301	700,000
Carube Copper Corp. (formerly Miocene Resources Limited)	Common Shares	Meka, Lulezim Hynsi	4	2020-01-24	11	0.05		2,000,000
Carube Copper Corp. (formerly Miocene Resources Limited)	Common Shares	Meka, Lulezim Hynsi	4	2020-01-24	11	0.05	9,023,301	2,000,000
Carube Copper Corp. (formerly Miocene Resources Limited)	Common Shares	Meka, Lulezim Hynsi	4	2019-09-04	11	5		700,000
Carube Copper Corp. (formerly Miocene Resources Limited)	Common Shares	Meka, Lulezim Hynsi	4	2020-01-24	11	0.05		2,000,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-10	10			8,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-10	10	0.55		8,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-10	10	0.55	122,785	8,500
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2021-02-05	10	0.51		20,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2021-02-05	10	0.51	212,785	30,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Baptista Roque, Marco Ivan	4, 5	2021-03-22	50		414,285	200,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Gladwin, Kaesy Sean	5	2021-03-22	50		130,000	80,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Jin, Wenhong	4	2021-03-22	50	0.6	240,000	120,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, James Alan	4	2021-03-22	10	0.44	352,264	20,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Letwin, Stephen Joseph James	4	2021-03-22	50		539,000	200,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	NGUYEN, DON	5	2021-03-22	50		162,000	75,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Robertson, Stephen Blake	4	2021-03-22	00		150,000	
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Stewart, Christopher Alexander	4	2021-03-22	50	0.6	420,000	120,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2021-03-25	10	0.425	284,514	32,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Options	Wood, Michael Andrew James	4	2021-03-22	50	0.6	305,714	120,000
Castlebar Capital Corp.	Common Shares	Kelly, Gerald Francis	4, 6	2019-02-19	00		175,000	
Castlebar Capital Corp.	Options	Kelly, Gerald Francis	4, 6	2019-02-19	00		67,500	

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Cathedral Energy Services Ltd.	Common Shares	MAXWELL, RODERICK DONALD	4	2021-03-24	10	0.25	463,178	140,500
Cathedral Energy Services Ltd.	Common Shares	MAXWELL, RODERICK DONALD	4	2021-03-26	10	0.26	492,678	29,500
CCL Industries Inc.	Non-Voting Shares Class B	1281228 Ontario Inc.	3	2021-03-26	11		4,892,633	-1,784,896
CCL Industries Inc.	Non-Voting Shares Class B	1281228 Ontario Inc.	3	2021-03-26	11		2,458,313	-2,434,320
CCL Industries Inc.	Non-Voting Shares Class B	1281228 Ontario Inc.	3	1998-04-02	00			
CCL Industries Inc.	Non-Voting Shares Class B	1281228 Ontario Inc.	3	2021-03-26	11		2,434,320	2,434,320
CCL Industries Inc.	Non-Voting Shares Class B	1281228 Ontario Inc.	3	2021-03-26	11		5,576,540	1,784,896
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2019-03-11	57		159,135	32,175
CCL Industries Inc.	Rights Restricted Share Units	Birkner, Gunther Johann	7	2019-03-11	57		75,739	-31,250
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-19	10	69.44	2,000	-2,000
CCL Industries Inc.	Non-Voting Shares Class B	Kotecha, Kamal Chandrakant	5	2021-03-25	10	67.5	0	-2,000
Centamin plc	Ordinary Shares	Bankes, Mark Anthony	4	2021-03-23	10	1.0465	220,000	30,000
Centamin plc	Ordinary Shares	Eyre, Sally Louise	4	2021-03-23	10	1.79	15,000	15,000
Centamin plc	Ordinary Shares	Farrow, Catharine Elizabeth Goddard	4	2019-09-02	00			
Centamin plc	Ordinary Shares	Farrow, Catharine Elizabeth Goddard	4	2021-03-23	10	1.84	30,000	30,000
Centamin plc	Ordinary Shares	Fawzy, Ibrahim	4	2018-08-14	00			
Centamin plc	Ordinary Shares	Fawzy, Ibrahim	4	2021-03-25	10	1.0486	140,000	140,000
Centamin plc	Ordinary Shares	Horgan, Martin	4	2021-03-25	10	1.045	41,405	25,000
Centamin plc	Ordinary Shares	Jerrard, Ross	5	2021-03-25	10	1.05	383,000	18,000
Centamin plc	Ordinary Shares	Rutherford, James Edmund	4	2021-03-23	10	1.0385	250,000	50,000
Centerra Gold Inc.	Rights Restricted Share Units	Kasenov, Dushenaly	4	2021-03-23	59	12.3	0	-9,080
CENTR Brands Corp.	Restricted Share Awards	Chima, Arjan Jagiit	4, 5	2021-02-26	56		1,535,000	100,000
CENTR Brands Corp.	Restricted Share Awards	Meehan, Joseph Edward	4, 5	2021-02-26	56		3,185,000	100,000
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-22	10	3.6416	1,174	300
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-22	10	3.75	1,474	300
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-22	10	3.6416	1,574	100
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-22	10	3.75	1,824	250
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-22	10	3.6496	1,874	50
Ceres Global Ag Corp.	Common Shares	Bierley, Jacob Jess	5	2021-03-23	10	3.65	2,124	250
Cervite Solutions Inc.	Common Shares	Thomas, Scott	4	2021-03-22	10	0.055	844,056	11,000
Cervus Equipment Corporation	Common Shares	Bell, Donald	4	2021-03-23	90		0	-17,765
Cervus Equipment Corporation	Common Shares	Bell, Donald	4	2009-10-22	00		17,765	
Cervus Equipment Corporation	Options	Lowther, Adam Colby	5	2021-03-19	38	16.289	0	-60,486
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-22	10	1.72	2,108,395	-50,000
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-03-23	10	1.7	2,008,395	-100,000
CGI Inc.	Options	Mango, Stephanie Anne	5	2021-03-19	00		42,903	
CGI Inc.	Rights Performance Share Units	Mango, Stephanie Anne	5	2021-03-19	00		9,421	
CGI Inc.	Subordinate Voting Shares Classe A	Mango, Stephanie Anne	5	2021-03-19	00		2,760	
Chesswood Group Limited	Common Shares	Woolley, Wayne M.	7	2021-03-22	51	7.79	30,500	3,000
Chesswood Group Limited	Options	Woolley, Wayne M.	7	2021-03-22	51	7.79	179,500	-3,000
Choice Properties Real Estate Investment Trust	Performance Units	Baughan, Doris L.	5	2021-03-15	00		9,947	
Choice Properties Real Estate Investment Trust	Trust Units	Baughan, Doris L.	5	2021-03-15	00		1,776	
Choice Properties Real Estate Investment Trust	Trust Units	Baughan, Doris L.	5	2021-03-15	00		28,997	
Choice Properties Real Estate Investment Trust	Performance Units	Fatica, Mario	5	2021-03-15	00		6,894	
Choice Properties Real Estate Investment Trust	Trust Units	Fatica, Mario	5	2021-03-15	00		500	
Choice Properties Real Estate Investment Trust	Trust Units	Fatica, Mario	5	2021-03-15	00		1,584	
Choice Properties Real Estate Investment Trust	Trust Units	Fatica, Mario	5	2021-03-15	00			
Choice Properties Real Estate Investment Trust	Trust Units	Fatica, Mario	5	2021-03-15	00			
Choice Properties Real Estate Investment Trust	Trust Units	Fatica, Mario	5	2021-03-15	00		20,104	
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Clark, Laurel Ann	7	2021-03-19	56	4.76	49,069	17,104
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Clark, Laurel Ann	7	2021-03-19	38	4.76	47,831	-1,238

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Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Clark, Laurel Ann	7	2021-03-19	38	4.76	42,930	-4,901
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Clark, Laurel Ann	7	2021-03-19	59	4.76	38,755	-4,175
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Copp, Colin	5	2021-03-19	56	4.76	254,652	96,901
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Copp, Colin	5	2021-03-19	38	4.76	250,292	-4,360
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Copp, Colin	5	2021-03-19	38	4.76	233,027	-17,265
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Copp, Colin	5	2021-03-19	59	4.76	218,319	-14,708
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Corri, David Colm	7	2021-03-19	38	4.76	16,445	-415
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Corri, David Colm	7	2021-03-19	38	4.76	14,862	-1,583
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Corri, David Colm	7	2021-03-19	59	4.76	13,401	-1,461
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Cotie, Daniel Tyrone	5	2021-03-19	56	4.76	76,265	26,583
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Cotie, Daniel Tyrone	5	2021-03-19	38	4.76	74,342	-1,923
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Cotie, Daniel Tyrone	5	2021-03-19	38	4.76	66,725	-7,617
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Cotie, Daniel Tyrone	5	2021-03-19	59	4.76	60,237	-6,488
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Cousineau, Cory	7	2021-03-19	56	4.76	12,642	7,773
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	deGooyer, Jan Randolph	7	2021-03-19	56	4.76	71,250	27,455
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	deGooyer, Jan Randolph	7	2021-03-19	38	4.76	70,104	-1,146
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	deGooyer, Jan Randolph	7	2021-03-19	38	4.76	65,566	-4,538
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	deGooyer, Jan Randolph	7	2021-03-19	59	4.76	61,701	-3,865
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Eveson, Chas	7	2021-03-19	56	4.76	11,836	5,672
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gilbert, Gary John	7	2021-03-19	56	4.76	11,836	5,672
Chorus Aviation Inc.	Class A Variable Voting Shares	Gorman, Raymond	4, 7, 5	2021-03-19	57	4.54	7,084	5,801
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	56	4.76	62,711	21,316
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	38	4.54	61,063	-1,648
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	38	4.54		-6,284
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	38	4.54		-6,284
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	38	4.54		-6,284
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	38	4.54	54,779	-6,284
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Gorman, Raymond	4, 7, 5	2021-03-19	57	4.54	48,978	-5,801
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Kelly, Christopher Les	7	2021-03-19	56	4.76	41,644	16,387
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Kelly, Christopher Les	7	2021-03-19	38	4.76	40,877	-767
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Kelly, Christopher Les	7	2021-03-19	38	4.76	37,841	-3,036
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Kelly, Christopher Les	7	2021-03-19	59	4.76	35,255	-2,586
Chorus Aviation Inc.	Class B Voting Shares	King, Marnie Theresa	7	2021-03-19	57	4.54	20,026	2,206
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	King, Marnie Theresa	7	2021-03-19	56	4.76	38,158	14,643
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	King, Marnie Theresa	7	2021-03-19	38	4.54	37,511	-647
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	King, Marnie Theresa	7	2021-03-19	38	4.54	34,971	-2,540
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	King, Marnie Theresa	7	2021-03-19	57	4.54	32,765	-2,206
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Kumpic, Carl	7	2021-03-19	56	4.76	33,266	17,143

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Ligi, Fabio	7	2021-03-19	56	4.76	62,986	28,945
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Linthwaite, Steven	5	2021-03-19	56	4.76	75,617	26,357
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Linthwaite, Steven	5	2021-03-19	38	4.76	73,710	-1,907
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Linthwaite, Steven	5	2021-03-19	38	4.76	66,223	-7,487
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Linthwaite, Steven	5	2021-03-19	59	4.76	59,724	-6,499
Chorus Aviation Inc.	Class B Voting Shares	Lopes, Dennis Michael Laranjeira	5	2021-03-19	57	4.54	42,738	12,382
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Lopes, Dennis Michael Laranjeira	5	2021-03-19	56	4.76	264,658	80,882
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Lopes, Dennis Michael Laranjeira	5	2021-03-19	38	4.54	261,025	-3,633
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Lopes, Dennis Michael Laranjeira	5	2021-03-19	38	4.54	246,762	-14,263
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Lopes, Dennis Michael Laranjeira	5	2021-03-19	57	4.54	234,380	-12,382
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mahajan, Prashant	7	2021-03-19	56	4.76	87,233	30,364
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mahajan, Prashant	7	2021-03-19	38	4.76	85,288	-1,945
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mahajan, Prashant	7	2021-03-19	59	4.76	71,025	-14,263
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	MAHODY, Jolene	5	2021-03-19	56	4.76	251,604	93,487
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	MAHODY, Jolene	5	2021-03-19	38	4.76	246,573	-5,031
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	MAHODY, Jolene	5	2021-03-19	38	4.76	226,651	-19,922
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	MAHODY, Jolene	5	2021-03-19	59	4.76	209,680	-16,971
Chorus Aviation Inc.	Class A Variable Voting Shares	McQueen, Rory	7	2021-03-19	57	4.54	27,294	11,225
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	McQueen, Rory	7	2021-03-19	56	4.76	108,210	37,899
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	McQueen, Rory	7	2021-03-19	38	4.54	105,525	-2,685
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	McQueen, Rory	7	2021-03-19	38	4.54	97,057	-8,468
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	McQueen, Rory	7	2021-03-19	57	4.54	85,832	-11,225
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Megann, Nathalie Jeannine	7	2021-03-19	56	4.76	42,553	14,832
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Megann, Nathalie Jeannine	7	2021-03-19	38	4.76	41,480	-1,073
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Megann, Nathalie Jeannine	7	2021-03-19	38	4.76	37,230	-4,250
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Megann, Nathalie Jeannine	7	2021-03-19	59	4.76	33,610	-3,620
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mohan, Anil	7	2021-03-19	56	4.76	44,445	14,571
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mohan, Anil	7	2021-03-19	38	4.76	43,210	-1,235
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mohan, Anil	7	2021-03-19	38	4.76	38,318	-4,892
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Mohan, Anil	7	2021-03-19	59	4.76	34,151	-4,167
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Moutenay, Cameron Lawrence	7	2021-03-19	56	4.76	88,654	30,901
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Moutenay, Cameron Lawrence	7	2021-03-19	38	4.76	86,418	-2,236
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Moutenay, Cameron Lawrence	7	2021-03-19	38	4.76	77,641	-8,777
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Moutenay, Cameron Lawrence	7	2021-03-19	59	4.76	70,021	-7,620
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Murphy, James	7	2021-03-19	56	4.76	47,013	17,106
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Murphy, James	7	2021-03-19	38	4.76	46,023	-990
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Murphy, James	7	2021-03-19	38	4.76	42,102	-3,921
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Murphy, James	7	2021-03-19	59	4.76	38,762	-3,340

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Newhook, Kirk Jon Charles	7	2021-03-19	56	4.76	46,722	16,628
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Newhook, Kirk Jon Charles	7	2021-03-19	38	4.76	45,576	-1,146
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Newhook, Kirk Jon Charles	7	2021-03-19	38	4.76	41,038	-4,538
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Newhook, Kirk Jon Charles	7	2021-03-19	59	4.76	37,173	-3,865
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Osborne, Gary James	7	2021-03-19	56	4.76	149,206	67,227
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Osborne, Gary James	7	2021-03-19	38	4.76	147,283	-1,923
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Osborne, Gary James	7	2021-03-19	38	4.76	139,666	-7,617
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Osborne, Gary James	7	2021-03-19	59	4.76	133,178	-6,488
Chorus Aviation Inc.	Class B Voting Shares	Peddle, James Bruce	5	2021-03-19	57	4.54	140,310	26,483
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Peddle, James Bruce	5	2021-03-19	56	4.76	145,347	49,272
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Peddle, James Bruce	5	2021-03-19	38	4.54	141,736	-3,611
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Peddle, James Bruce	5	2021-03-19	57	4.54	115,253	-26,483
Chorus Aviation Inc.	Class B Voting Shares	Purcell, Colleen Elizabeth	7	2021-03-19	57	4.54	7,241	4,216
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Purcell, Colleen Elizabeth	7	2021-03-19	56	4.76	39,159	14,643
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Purcell, Colleen Elizabeth	7	2021-03-19	38	4.54	38,392	-767
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Purcell, Colleen Elizabeth	7	2021-03-19	38	4.54	36,987	-1,405
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Purcell, Colleen Elizabeth	7	2021-03-19	57	4.54	32,771	-4,216
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RANDELL, Joseph D.	4, 5	2021-03-19	56	4.76	640,658	223,950
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RANDELL, Joseph D.	4, 5	2021-03-19	38	4.76	624,567	-16,091
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RANDELL, Joseph D.	4, 5	2021-03-19	38	4.76	560,848	-63,719
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RANDELL, Joseph D.	4, 5	2021-03-19	59	4.76	506,569	-54,279
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Rebin, Nowlan Kal Dayne	7	2021-03-19	56	4.76	75,617	26,357
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Rebin, Nowlan Kal Dayne	7	2021-03-19	38	4.76	73,710	-1,907
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Rebin, Nowlan Kal Dayne	7	2021-03-19	38	4.76	66,223	-7,487
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Rebin, Nowlan Kal Dayne	7	2021-03-19	59	4.76	59,724	-6,499
Chorus Aviation Inc.	Class B Voting Shares	RIDOLFI, Steven	7	2021-03-19	57	4.54	161,893	21,770
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RIDOLFI, Steven	7	2021-03-19	56	4.76	253,295	88,288
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RIDOLFI, Steven	7	2021-03-19	38	4.54	246,907	-6,388
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RIDOLFI, Steven	7	2021-03-19	38	4.54	221,829	-25,078
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	RIDOLFI, Steven	7	2021-03-19	57	4.54	200,059	-21,770
Chorus Aviation Inc.	Class A Variable Voting Shares	Slevin, Una	7	2017-09-18	00			
Chorus Aviation Inc.	Class A Variable Voting Shares	Slevin, Una	7	2021-03-19	57	4.54	5,801	5,801
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Slevin, Una	7	2021-03-19	56	4.76	63,564	22,169
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Slevin, Una	7	2021-03-19	38	4.54	61,916	-1,648
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Slevin, Una	7	2021-03-19	38	4.54	55,632	-6,284
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Slevin, Una	7	2021-03-19	57	4.54	49,831	-5,801
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	TAPSON, Scott	5	2021-03-19	56	4.76	101,699	35,448
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	TAPSON, Scott	5	2021-03-19	38	4.76	99,134	-2,565
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	TAPSON, Scott	5	2021-03-19	38	4.76	88,977	-10,157

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	TAPSON, Scott	5	2021-03-19	59	4.76	80,325	-8,652
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Tonks, Sara Katharine	7	2021-03-19	56	4.76	12,642	7,773
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Warner, Grant William	7	2021-03-19	56	4.76	14,008	8,613
Christina Lake Cannabis Corp.	Convertible Debentures	Milia, Salvatore	4	2021-03-26	00		\$50,000	
Christina Lake Cannabis Corp.	Options	Milia, Salvatore	4	2021-03-26	00		300,000	
CI Financial Corp.	Common Shares	Holland, William Thomas	4	2021-03-11	90		6,920	-700,000
CI Financial Corp.	Common Shares	Holland, William Thomas	4	2009-01-01	00			
CI Financial Corp.	Common Shares	Holland, William Thomas	4	2021-03-11	90		700,000	700,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-19	10	0.726	1,987,100	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-22	10	0.728	1,992,100	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-23	10	0.72	1,997,100	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-03-24	10	0.73	2,002,100	5,000
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2021-03-22	10	0.73	788,400	-6,000
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2021-03-23	10	0.73	784,400	-4,000
Cielo Waste Solutions Corp.	Common Shares Class A	Angeltvedt, Melvin Ross	4	2021-03-22	10	1	1,565,250	-100,000
Cielo Waste Solutions Corp.	Common Shares Class A	Angeltvedt, Melvin Ross	4	2021-03-24	10	0.85	1,465,250	-100,000
Cielo Waste Solutions Corp.	Common Shares Class A	Dovbniak, Chris	4	2021-03-18	51	0.1	167,583	155,000
Cielo Waste Solutions Corp.	Options Sept 19, 2011	Dovbniak, Chris	4	2019-11-07	52		250,000	-500,000
Cielo Waste Solutions Corp.	Options Sept 19, 2011	Dovbniak, Chris	4	2020-06-05	50		750,000	500,000
Cielo Waste Solutions Corp.	Options Sept 19, 2011	Dovbniak, Chris	4	2021-01-12	52		500,000	-250,000
Cielo Waste Solutions Corp.	Options Sept 19, 2011	Dovbniak, Chris	4	2021-03-18	51	0.1		-500,000
Cielo Waste Solutions Corp.	Options Sept 19, 2011	Dovbniak, Chris	4	2021-03-18	51	0.1	345,000	-155,000
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2021-03-23	10	1.24	90,704	12,000
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2021-03-25	10	1.11	97,704	7,000
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2021-03-26	10	1.18	101,704	4,000
Cipher Pharmaceuticals Inc.	Common Shares	Langille, Scott	5	2020-07-03	00			
Cipher Pharmaceuticals Inc.	Common Shares	Langille, Scott	5	2021-03-23	10	1.25	25,000	25,000
Circa Enterprises Inc.	Common Shares	Johnston, Robert Bruce	4	2021-03-22	51	0.88	210,818	5,000
Circa Enterprises Inc.	Options	Johnston, Robert Bruce	4	2021-03-22	51	0.88	15,000	-5,000
Clairvest Group Inc.	Common Shares	Dhonte, Sebastien	7	2021-03-23	11	56	31,060	7,260
Clairvest Group Inc.	Common Shares	Heffernan, Gerald Robert	3, 4	2021-03-23	11	56		-11,910
Clairvest Group Inc.	Common Shares	Heffernan, Gerald Robert	3, 4	2021-03-23	11	56		-11,910
Clairvest Group Inc.	Common Shares	Heffernan, Gerald Robert	3, 4	2021-03-23	11	56	1,844,470	-22,960
Clairvest Group Inc.	Common Shares	Heffernan, Gerald Robert	3, 4	2021-03-23	11	56		-11,050
Clairvest Group Inc.	Common Shares	Heffernan, Gerald Robert	3, 4	2021-03-23	11	56		-11,050
Clairvest Group Inc.	Common Shares	Horn, Douglas	5	2021-03-23	11	56	8,492	592
Clairvest Group Inc.	Common Shares	Isenberg, Robert	7	2021-03-23	11	56	25,030	2,680
Clairvest Group Inc.	Common Shares	Kansal, Mohit	5	2021-03-23	11	56	8,484	1,284
Clairvest Group Inc.	Common Shares	Miller, James	5	2021-03-23	11	56	12,980	180
Clairvest Group Inc.	Common Shares	Pasricha, Adrian	5	2021-03-23	11	56	31,100	5,500
Clairvest Group Inc.	Common Shares	Pasricha, Adrian	5	2021-03-23	11	56	11,000	2,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-03-22	38	7.5	20,524	20,524
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-03-22	38		0	-20,524
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Common Shares	Fitch, Mathew Leo	4	2021-03-23	00			
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Common Shares	Fitch, Mathew Leo	4	2021-03-23	00		1,142,857	
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Common Shares	Fitch, Mathew Leo	4	2021-03-23	00		10,258,349	
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Warrants	Fitch, Mathew Leo	4	2021-03-23	00			
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Warrants	Fitch, Mathew Leo	4	2021-03-23	00			
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Warrants	Fitch, Mathew Leo	4	2021-03-23	00		142,857	
Class 1 Nickel and Technologies Limited (formerly, Lakefield Marketing Corporation)	Warrants	Fitch, Mathew Leo	4	2021-03-23	00		400,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Lakefield Marketing Corporation)								
Clean Seed Capital Group Ltd.	Options	Jheetey, Manmohanjit Singh	5	2021-02-22	00			
Clean Seed Capital Group Ltd.	Options	Jheetey, Manmohanjit Singh	5	2021-03-19	50		200,000	200,000
Clean Seed Capital Group Ltd.	Warrants	Schultz, Jason	3	2021-02-12	97		0	-1,190,000
Clean Seed Capital Group Ltd.	Warrants	Schultz, Jason	3	2021-02-12	97		1,190,000	1,190,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	50			200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	50			200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	52			200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	52			200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	52			-200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	52			-200,000
Clearford Industries Inc.	Options	Stefan, Wilfred George	5	2012-05-03	52		200,000	200,000
Clearford Water Systems Inc.	Options	Gold, Glenn	4	2019-12-02	52		500,000	-100,000
Clearford Water Systems Inc.	Options	Loiselle, Kevin	5	2019-12-02	52		5,200,000	-2,315,000
Clearford Water Systems Inc.	Options	McGuire, Mark	5	2017-12-05	38	0.5		-400,000
Clearford Water Systems Inc.	Options	McGuire, Mark	5	2017-12-05	38	0.5	400,000	-400,000
Clearford Water Systems Inc.	Options	McGuire, Mark	5	2019-12-02	52		2,300,000	-400,000
Clearford Water Systems Inc.	Options	Ross, Charles Ian	4	2019-12-02	52		500,000	-100,000
Clearford Water Systems Inc.	Options	Stefan, Wilfred George	5	2014-12-02	50	0.11		200,000
Clearford Water Systems Inc.	Options	Stefan, Wilfred George	5	2014-12-02	52	0.11		200,000
Clearford Water Systems Inc.	Options	Stefan, Wilfred George	5	2014-12-02	52	0.11		-200,000
Clearford Water Systems Inc.	Options	Stefan, Wilfred George	5	2014-12-02	52	0.11	400,000	200,000
Clearford Water Systems Inc.	Options	SZONYI, ANDREW	4	2019-12-02	52		500,000	-100,000
Cloud Nine Web3 Technologies Inc.	Common Shares	Lee, Peter	4	2021-03-22	10	2.5	50,000	-5,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Hamza, Essam	4	2018-08-02	00			
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Hamza, Essam	4	2021-03-24	10	1.75	32,300	32,300
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Hamza, Essam	4	2021-03-24	10	1.795	57,300	25,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Hamza, Essam	4	2021-03-24	10	1.75		17,500
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Hamza, Essam	4	2021-03-24	10	1.75	75,000	17,700
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2021-03-24	10	1.78	348,000	10,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2021-03-24	10	1.785	353,000	5,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2021-03-25	10	1.8	358,000	5,000
Co-operators General Insurance Company	Preferred Shares Class A Series B	Paterson, Robert John	4	2021-03-26	00			
Co-operators General Insurance Company	Preferred Shares Class A Series B	Paterson, Robert John	4	2021-03-26	30	100	2,000	2,000
Cobalt Blockchain Inc.	Common Shares	Peralta, Samuel	4	2021-03-12	51	0.05	2,100,000	600,000
Cobalt Blockchain Inc.	Options	Peralta, Samuel	4	2021-03-12	51	0.05	1,400,000	-600,000
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Abdoulah, Colleen	4	2020-12-31	35	102.98	2,028	46
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	ALVES, ELIZABETH	5	2020-12-31	35	102.98		16
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	ALVES, ELIZABETH	5	2020-12-31	35	102.98	907	16
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	ALVES, ELIZABETH	5	2020-12-31	35	95.726		1
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	ALVES, ELIZABETH	5	2020-12-31	30	95.726	294	1
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Audet, Louis	4, 5	2020-12-31	35	102.98	7,479	154
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Audet, Louis	4, 5	2020-12-31	35	100.54		242

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Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Audet, Louis	4, 5	2020-12-31	35	100.54		242
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Audet, Louis	4, 5	2020-12-31	30	100.54	97,506	242
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Beaudry, Paul	5	2020-12-31	35	96.07	201	1
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Bell, Mary-Ann	4	2020-12-31	35	102.98	1,299	29
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Bonin, Philippe	5	2020-12-31	35	102.98	774	20
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	35	95.719		2
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	30	95.719	354	2
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Curadeau-Grou, Patricia	4	2020-12-31	35	102.98	13,599	311
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Dunn, Philippa (Pippa)	4	2020-12-31	35	102.98	1,540	35
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Ferstman, Joanne Shari	4	2016-01-13	00			
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Ferstman, Joanne Shari	4	2020-12-31	35	102.98		192
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Ferstman, Joanne Shari	4	2020-12-31	35	102.98	8,405	192
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Frappier, Chantal	5	2020-12-31	35	101.6	713	11
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Frappier, Chantal	5	2020-12-31	35	95.605		1
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Frappier, Chantal	5	2020-12-31	30	95.605	193	1
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Grenier, Martin	5	2020-12-31	35	102.45	1,141	20
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	35	101.71		110
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	30	101.71	302	110
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	35	100.67		6
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	35	100.67	308	6
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Jetté, Philippe	5	2020-12-31	35	102.98	14,200	250
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	100.89		221
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	30	100.89	8,410	221
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	100.42	8,417	7
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	100.54		102
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	30	100.54	8,519	102
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Jolivet, Christian	5	2020-12-31	35	102.98	2,212	40
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jolivet, Christian	5	2020-12-31	35	100.48		32
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jolivet, Christian	5	2020-12-31	30	100.48	2,903	32
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Labrie, Marie-Hélène	5	2020-12-31	35	102.21	1,620	27
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	35	101.11		70

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Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	30	101.11	147	70
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	35	100.48	150	3
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Lacombe, Stéphane Victor	5	2020-12-31	35	102.21	1,716	32
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lacombe, Stéphane Victor	5	2019-05-27	00			
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lacombe, Stéphane Victor	5	2020-12-31	35	100.09		127
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lacombe, Stéphane Victor	5	2020-12-31	30	100.09	127	127
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lacombe, Stéphane Victor	5	2020-12-31	35	98.665	128	1
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	Legault, Normand	7	2020-12-31	35	102.98	6,483	148
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Lepage, Marie Ginette	5	2020-12-31	35	101.6	1,399	21
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lepage, Marie Ginette	5	2019-06-17	00			
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lepage, Marie Ginette	5	2020-12-31	35	100.09		129
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lepage, Marie Ginette	5	2020-12-31	30	100.09	129	129
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Lepage, Marie Ginette	5	2020-12-31	35	98.665	130	1
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Mansourati, Zouheir	5	2020-12-31	35	96.07	503	3
Cogeco Communications Inc.	Unité d'action différée/Deferred Share Unit	McAusland, David L.	4	2020-12-31	35	102.98	13,254	303
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	NYISZTOR, Diane	5	2020-12-31	35	102.98	1,975	36
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	100.54		306
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	30	100.54	1,843	306
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	100.74	1,865	22
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	100.36		14
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	30	100.36	1,879	14
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Ouimet, Patrice	5	2020-12-31	35	102.98	6,474	121
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	35	100.95		503
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	30	100.95	2,356	503
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	35	100.18	2,368	12
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	35	95.658		8
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	30	95.658	2,376	8
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Perron, Frederic	5	2020-12-31	35	96.07	4,454	29
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Pinard, Andrée	5	2020-12-31	35	102.98	872	16

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Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	100.96		121
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	30	100.96	1,283	121
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	99.968	1,285	2
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	99.362		5
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	30	99.362	1,290	5
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Prat, Jérôme	5	2020-12-31	35	101.6	764	12
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Prat, Jérôme	5	2020-12-31	35	100.78		179
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Prat, Jérôme	5	2020-12-31	30	100.78	350	179
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Prat, Jérôme	5	2020-12-31	35	99.181	352	2
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Prat, Jérôme	5	2020-12-31	35	95.605		1
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Prat, Jérôme	5	2020-12-31	30	95.605	353	1
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Royer, Jacques	7	2020-12-31	35	102.98	1,788	33
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Royer, Jacques	7	2020-12-31	35	95.716		2
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Royer, Jacques	7	2020-12-31	30	95.716	4	2
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Shiu, Antoine Kai-Ming	5	2020-12-31	35	102.98	2,166	36
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Shiu, Antoine Kai-Ming	5	2020-12-31	35	113.05		15
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Shiu, Antoine Kai-Ming	5	2020-12-31	30	113.05	2,080	15
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Shiu, Antoine Kai-Ming	5	2020-12-31	35	101.06	2,099	19
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Shiu, Antoine Kai-Ming	5	2020-12-31	35	100.43		23
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Shiu, Antoine Kai-Ming	5	2020-12-31	30	100.43	2,122	23
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Tea, Elina	5	2020-12-31	35	96.07	226	1
Cogeco Communications Inc.	Performance Share Units / Unite d'action performance	Vigneault, Liette	5	2020-12-31	35	102.98	1,911	31
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Vigneault, Liette	5	2020-12-31	35	95.722		2
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Vigneault, Liette	5	2020-12-31	30	95.722	340	2
Cogeco Inc	Performance Share Units / Unite d'action performance	ALVES, ELIZABETH	5	2020-12-31	35	86.535	1,037	18
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	ALVES, ELIZABETH	5	2020-12-31	35	81.588		2
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	ALVES, ELIZABETH	5	2020-12-31	30	81.588	247	2
Cogeco Inc	Performance Share Units / Unite d'action performance	Audet, Louis	4, 5	2020-12-31	35	86.535	8,026	162
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Audet, Louis	4, 5	2020-12-31	35	84.368		214

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Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Audet, Louis	4, 5	2020-12-31	30	84.368	137,856	214
Cogeco Inc	Unité d'action différée/Deferred Share unit	Bajaj, Arun Douglas	4	2020-12-31	35	86.535	860	19
Cogeco Inc	Performance Share Units / Unite d'action performance	Beaudry, Paul	5	2020-12-31	35	80.66	252	2
Cogeco Inc	Unité d'action différée/Deferred Share unit	Bell, Mary-Ann	4	2020-12-31	35	86.53	5,152	116
Cogeco Inc	Performance Share Units / Unite d'action performance	Bonin, Philippe	5	2020-12-31	35	86.535	831	21
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	35	85.855		287
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	30	85.855		287
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	30	85.855	1,746	287
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	35	84.8	1,759	13
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	35	81.581		4
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Bonin, Philippe	5	2020-12-31	30	81.581	1,763	4
Cogeco Inc	Unité d'action différée/Deferred Share unit	Curadeau-Grou, Patricia	7	2020-12-31	35	86.535	643	15
Cogeco Inc	Unité d'action différée/Deferred Share unit	Elhage, Samih	4	2020-12-31	35	86.535	2,136	48
Cogeco Inc	Performance Share Units / Unite d'action performance	Grenier, Martin	5	2020-12-31	35	86.083	1,269	22
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2018-01-22	00			
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	35	84.677		114
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	30	84.677	114	114
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Grenier, Martin	5	2020-12-31	35	82.211	115	1
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	85.796		260
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	30	85.796	1,680	260
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	84.448	1,686	6
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	35	85.462		28
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2020-12-31	30	85.462	1,714	28
Cogeco Inc	Performance Share Units / Unite d'action performance	Jolivet, Christian	5	2020-12-31	35	86.535	2,414	42
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jolivet, Christian	5	2020-12-31	35	84.983		73
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Jolivet, Christian	5	2020-12-31	30	84.983	4,854	73
Cogeco Inc	Performance Share Units / Unite d'action performance	Labrie, Marie-Hélène	5	2020-12-31	35	85.882	1,796	29
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	35	86.109		83
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	30	86.109	168	83

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Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Labrie, Marie-Hélène	5	2020-12-31	35	84.624	171	3
Cogeco Inc	Unité d'action différée/Deferred Share unit	Legault, Normand	4	2020-12-31	35	86.535	7,799	176
Cogeco Inc	Performance Share Units / Unite d'action performance	Mansourati, Zouheir	5	2020-12-31	35	80.66	579	4
Cogeco Inc	Unité d'action différée/Deferred Share unit	McAusland, David L.	4	2020-12-31	35	86.535	13,864	313
Cogeco Inc	Performance Share Units / Unite d'action performance	NYISZTOR, Diane	5	2020-12-31	35	86.535	2,150	39
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	404.42		11
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	30	404.42	2,843	11
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	85.47	2,864	21
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	35	84.936		34
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	NYISZTOR, Diane	5	2020-12-31	30	84.936	2,898	34
Cogeco Inc	Performance Share Units / Unite d'action performance	Ouimet, Patrice	5	2020-12-31	35	86.535	7,083	130
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	35	81.544		22
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Ouimet, Patrice	5	2020-12-31	30	81.544	3,383	22
Cogeco Inc	Performance Share Units / Unite d'action performance	Pinard, Andrée	5	2020-12-31	35	86.535	974	17
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	85.901		142
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	30	85.901	1,946	142
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	83.914	1,949	3
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	35	84.196		13
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Pinard, Andrée	5	2020-12-31	30	84.196	1,962	13
Cogeco Inc	Performance Share Units / Unite d'action performance	Tea, Elina	5	2020-12-31	35	80.66	252	2
Colabor Group Inc.	Convertible Debentures 6.00% échéance le 13 octobre 2021	The Article 6 Marital Trust created under the First Amended and Restated Jerry Zucker Revocable Trust dated 4-2-07	3	2021-03-23	38	1000	\$0	-\$1,835,000
Colibri Resource Corporation	Common Shares	Goguen, Ronald J.	4	2021-03-19	11	0.1	77,000	-1,010,000
Colibri Resource Corporation	Common Shares	Goguen, Ronald J.	4	2010-02-01	00			
Colibri Resource Corporation	Common Shares	Goguen, Ronald J.	4	2021-03-19	10	0.05	2,000,000	2,000,000
Colibri Resource Corporation	Common Shares	McGavney, Ian	5	2021-03-26	10	0.1	1,221,000	10,000
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Cohen, Peter F.	4	2021-03-23	97	128.93	0	-8,000
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Cohen, Peter F.	4	1990-03-31	00			
COLLIERS INTERNATIONAL GROUP INC.	Subordinate Voting Shares	Cohen, Peter F.	4	2021-03-23	97	128.93	8,000	8,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-22	10	0.64	10,525,000	50,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-23	10	0.6	10,609,000	84,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-25	10	0.58	10,639,000	30,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-25	10	0.59	10,659,000	20,000
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-22	10	0.64	158,500	49,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Colonial Coal International Corp.	Common Shares	Emri, David	3	2021-03-23	10	0.63	159,000	500
Computer Modelling Group Ltd.	Common Shares	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-19	10	5.78	21,409	100
Computer Modelling Group Ltd.	Common Shares	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-19	10	5.78	21,459	50
Computer Modelling Group Ltd.	Common Shares	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-19	10	5.78	21,559	100
Computer Modelling Group Ltd.	Common Shares	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-19	10	5.8	21,839	280
Computer Modelling Group Ltd.	Common Shares	SCHNEIDER, RYAN NICOLAS	4, 5	2021-03-19	10	5.8	8,015	800
Condor Gold plc	Warrants	Child, Mark Lucian	4, 5	2020-03-28	55	0.65	37,499	-697,674
Consolidated Firstfund Capital Corp.	Common Shares	Grant, William Douglas	4, 5	2021-03-25	10	0.43	268,600	3,000
Constellation Software Inc.	Common Shares	Kittel, Robert	4	2021-03-23	30	1680	1,072	59
Copperbank Resources Corp.	Common Shares	Cunningham, Kenneth	4	2021-03-03	51		127,500	125,000
Copperbank Resources Corp.	Options	Cunningham, Kenneth	4	2021-03-03	51		650,000	-125,000
Core Assets Corp.	Common Shares	Bellefleur, Jody	5	2021-03-17	15	0.09	230,000	30,000
Core Assets Corp.	Warrants	Bellefleur, Jody	5	2020-07-08	00			
Core Assets Corp.	Warrants	Bellefleur, Jody	5	2021-03-17	15	0.15	30,000	30,000
Core Assets Corp.	Warrants	Hodge, David	4	2020-07-08	00			
Core Assets Corp.	Warrants	Hodge, David	4	2021-03-17	15	0.09		187,500
Core Assets Corp.	Warrants	Hodge, David	4	2021-03-17	15	0.15	187,500	187,500
Core Assets Corp.	Common Shares	Milne, Alicia	4	2021-03-17	16	0.09	10,000	10,000
Core Assets Corp.	Warrants	Milne, Alicia	4	2020-07-08	00			
Core Assets Corp.	Warrants	Milne, Alicia	4	2021-03-17	16		10,000	10,000
Core Assets Corp.	Common Shares	Zimtu Capital Corp.	3	2021-03-17	15	0.09	8,250,000	1,812,500
Covalon Technologies Ltd.	Options	Brannagan, John Daniel	5	2021-03-07	52		155,000	-30,000
Crombie Real Estate Investment Trust	Trust Units	Lee, Trevor Roger	5	2014-05-30	15	13.25	1,400	1,400
Crombie Real Estate Investment Trust	Trust Units	Lee, Trevor Roger	5	2020-03-13	10	14		1,400
Crombie Real Estate Investment Trust	Trust Units	Lee, Trevor Roger	5	2020-03-13	10	14	2,000	600
Crombie Real Estate Investment Trust	Trust Units	Lee, Trevor Roger	5	2014-05-30	15	13.25		1,400
Crystal Bridge Enterprises Inc.	Common Shares	Bakshi, Rajeev	4, 5	2017-11-15	00			
Crystal Bridge Enterprises Inc.	Common Shares	Bakshi, Rajeev	4, 5	2021-03-18	00			
Crystal Bridge Enterprises Inc.	Options	Bakshi, Rajeev	4, 5	2017-11-15	00			
Crystal Bridge Enterprises Inc.	Options	Bakshi, Rajeev	4, 5	2021-03-18	00			
Currency Exchange International, Corp.	Common Shares	Brossard, Johanne	4	2018-05-31	00			
Currency Exchange International, Corp.	Common Shares	Brossard, Johanne	4	2021-03-18	10	11.968	3,350	3,350
Currency Exchange International, Corp.	Common Shares	Lumia, Ivanna Marie	5	2021-03-22	10	12.49	600	200
Currency Exchange International, Corp.	Common Shares	Yeo, Daryl Edward	4	2019-03-07	00			
Currency Exchange International, Corp.	Common Shares	Yeo, Daryl Edward	4	2021-03-18	10	12	1,900	1,900
Cypress Development Corp.	Common Shares	Chow, Amanda	4	2021-03-22	16	1.25	10,000	10,000
Cypress Development Corp.	Warrants	Chow, Amanda	4	2005-10-03	00			
Cypress Development Corp.	Warrants	Chow, Amanda	4	2021-03-22	53	1.75	10,000	10,000
Cypress Development Corp.	Common Shares	Myers, Donald George	4	2021-03-22	16	1.25	2,208,500	32,500
Cypress Development Corp.	Warrants	Myers, Donald George	4	2021-03-22	53	1.75	32,500	32,500
Cypress Development Corp.	Common Shares	PETTIT, JAMES, GAYDON	5	2021-03-22	16	1.25	282,100	47,500
Cypress Development Corp.	Warrants	PETTIT, JAMES, GAYDON	5	2021-03-22	53	1.75	47,500	47,500
Cypress Development Corp.	Common Shares	WILLOUGHBY, WILLIAM WESLEY	4	2021-03-22	16	1.25	442,146	25,000
Cypress Development Corp.	Warrants	WILLOUGHBY, WILLIAM WESLEY	4	2021-03-22	53	1.75	225,000	25,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.225	7,415,500	-65,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	7,269,500	-146,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.2265	6,415,500	-854,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	6,342,000	-73,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	5,915,500	-426,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	5,481,000	-434,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	5,121,000	-360,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-12	10	0.22	5,085,500	-35,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.2233	4,118,000	-967,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	4,085,500	-32,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	4,019,000	-66,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,785,500	-233,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,500,500	-285,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,485,500	-15,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,417,000	-68,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,285,500	-131,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-15	10	0.22	3,260,500	-25,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-16	10	0.2005	2,406,500	-854,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-16	10	0.2118	2,092,000	-314,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-16	10	0.2144	1,422,000	-670,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-16	10	0.2187	1,147,000	-275,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-16	10	0.209	1,001,000	-146,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-17	10	0.205	711,500	-289,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-17	10	0.205	611,500	-100,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-18	10	0.205	576,500	-35,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-18	10	0.1995	1,000	-575,500
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Ryu, Andrew Jong Soo	3, 4, 7, 5	2021-03-22	99		0	-1,000
Debut Diamonds Inc	Warrants	Wilson, James Gregory	3, 4	2019-12-10	37		1,800,000	-28,200,600
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Docherty, Tyrone Mark	4	2021-03-19	10	0.13	4,562,290	9,500
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Docherty, Tyrone Mark	4	2021-03-22	10	0.13	4,572,790	10,500
Delic Holdings Inc. (formerly Molystar Resources Inc.)	Subordinate Voting Shares	Dragon Wonder Investments Limited	3	2020-11-12	00		6,911,700	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Denison Mines Corp.	Restricted Share Units	Bronkhorst, David Lionel	5	2021-03-23	56		239,500	114,000
Denison Mines Corp.	Restricted Share Units	Cates, David Daniel	4, 5	2021-03-23	56		2,066,250	422,000
Denison Mines Corp.	Options	Dengler, W. Robert	4	2020-03-09	52		100,000	-50,000
Denison Mines Corp.	Restricted Share Units	Dengler, W. Robert	4	2021-03-23	56		159,334	78,000
Denison Mines Corp.	Options	Edgar, Brian Douglas	4	2017-03-08	52	1.52	200,000	-40,000
Denison Mines Corp.	Options	Edgar, Brian Douglas	4	2018-03-10	52	1.3	200,000	-50,000
Denison Mines Corp.	Options	Edgar, Brian Douglas	4	2019-03-05	52	1.82	150,000	-50,000
Denison Mines Corp.	Options	Edgar, Brian Douglas	4	2020-03-09	52	1.1	100,000	-50,000
Denison Mines Corp.	Restricted Share Units	Edgar, Brian Douglas	4	2021-03-23	56		181,000	78,000
Denison Mines Corp.	Restricted Share Units	Hochstein, Ronald F.	4	2021-03-23	56		148,334	78,000
Denison Mines Corp.	Restricted Share Units	Kim, Jun Gon	4	2021-03-23	56		116,000	78,000
Denison Mines Corp.	Restricted Share Units	Lundin, Jack Oliver	4	2021-03-23	56		148,000	78,000
Denison Mines Corp.	Restricted Share Units	McDonald, Gabriel Ernst	5	2021-03-23	56		1,393,750	200,000
Denison Mines Corp.	Common Shares	Schoonderwoerd, Michael James	5	2021-03-16	51	0.85	418,750	283,200
Denison Mines Corp.	Options	Schoonderwoerd, Michael James	5	2021-03-16	51	0.85	722,748	-283,200
Denison Mines Corp.	Restricted Share Units	Schoonderwoerd, Michael James	5	2021-03-23	56		517,750	97,000
Denison Mines Corp.	Restricted Share Units	Stefan, Catherine Jean Garrett	4	2021-03-23	30		148,334	78,000
Denison Mines Corp.	Restricted Share Units	Volker, Patricia Mary	4	2021-03-22	56		137,334	78,000
Denison Mines Corp.	Restricted Share Units	Willett, Amanda	5	2021-03-23	56		300,250	101,000
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Greencastle Resources Ltd.	3	2021-03-19	10	0.75	10,154,000	-15,000
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Greencastle Resources Ltd.	3	2021-03-19	10	0.73	10,145,500	-8,500
Devonian Health Group Inc.	Options	Shields, Erick	4	2021-01-27	00			
Devonian Health Group Inc.	Options	Shields, Erick	4	2021-03-22	50		60,000	60,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-25	10	0.59	2,593,649	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-25	10	0.62	2,596,649	3,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	516,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.7	517,000	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	517,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.68	518,000	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	518,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	519,000	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.68	519,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.68	520,000	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	520,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	521,000	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.68	522,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	523,000	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-22	10	0.69	523,500	500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.66	524,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.66	525,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.66	526,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.66	527,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.65	528,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2021-03-24	10	0.65	529,500	1,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-03-23	38	12.307	716,200	2,000
Diversified Royalty Corp.	Common Shares	Ciampi, Johnny	4	2021-03-26	57		33,491	11,377

Insider Reporting

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Diversified Royalty Corp.	Restricted Share Units (Common Shares)	Ciampi, Johnny	4	2021-03-26	57		42,984	-11,377
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	Ciampi, Johnny	4	2021-03-26	59		40,852	-2,132
Diversified Royalty Corp.	Common Shares	McLachlan, Lorraine Ray	4	2021-03-26	57		13,846	7,360
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	McLachlan, Lorraine Ray	4	2021-03-26	57		31,345	-7,360
Diversified Royalty Corp.	Restricted Share Units (Common Shares)	McLachlan, Lorraine Ray	4	2021-03-26	59		30,687	-658
DMG Blockchain Solutions Inc.	Common Shares	Cheung, Ryan	5	2021-03-23	51	50000		50,000
DMG Blockchain Solutions Inc.	Common Shares	Cheung, Ryan	5	2021-03-23	51	0.35	107,500	50,000
DMG Blockchain Solutions Inc.	Options	Cheung, Ryan	5	2021-03-23	51	0.175	0	-50,000
Docebo Inc.	Common Shares	Anderson, William Alexander	4	2019-10-01	00			
Docebo Inc.	Common Shares	Anderson, William Alexander	4	2021-03-25	10	48.834	5,500	5,500
Docebo Inc.	Common Shares	Artuffo, Alessio	5	2021-03-25	10	39.18	6,430	6,430
Docebo Inc.	Common Shares	Kidson, Ian	5	2021-03-24	10	39.669	43,650	6,250
Draganfly Inc.	Common Shares	Silva, Denis	4	2021-03-11	57		158,324	125,000
Draganfly Inc.	Restricted Share Units	Silva, Denis	4	2021-03-11	56		416,667	125,000
Draganfly Inc.	Restricted Share Units	Silva, Denis	4	2021-03-11	57		541,667	125,000
Dundee Precious Metals Inc.	Rights Performance Share Units	Dorfman, Michael Ryan	5	2021-03-20	59		50,317	-28,209
Dundee Precious Metals Inc.	Rights Restricted Share Units	Dorfman, Michael Ryan	5	2021-03-20	59		41,928	-9,402
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	51	2.85	10,000	10,000
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	10	8.12	0	-10,000
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	51	2.85	10,000	10,000
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	10	8.1	0	-10,000
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	51	4.44	2,000	2,000
Dundee Precious Metals Inc.	Common Shares	Garkov, Iliya	5	2021-03-22	10	8.08	0	-2,000
Dundee Precious Metals Inc.	Options	Garkov, Iliya	5	2021-03-22	51	2.85	73,800	-10,000
Dundee Precious Metals Inc.	Options	Garkov, Iliya	5	2021-03-22	51	3.28	63,800	-10,000
Dundee Precious Metals Inc.	Options	Garkov, Iliya	5	2021-03-22	51	4.44	61,800	-2,000
Dundee Precious Metals Inc.	Rights Performance Share Units	Garkov, Iliya	5	2021-03-20	59		27,060	-19,280
Dundee Precious Metals Inc.	Rights Restricted Share Units	Garkov, Iliya	5	2021-03-20	59		22,325	-6,427
Dundee Precious Metals Inc.	Rights Performance Share Units	Hristov, Nikolay	7	2021-03-20	59		43,011	-28,209
Dundee Precious Metals Inc.	Rights Restricted Share Units	Hristov, Nikolay	7	2021-03-20	59		35,810	-9,402
Dundee Precious Metals Inc.	Rights Performance Share Units	Kasete, Zebra Karirondua	7	2021-03-20	59		27,182	-19,280
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kasete, Zebra Karirondua	7	2021-03-20	59		22,325	-6,427
Dundee Precious Metals Inc.	Rights Performance Share Units	Kyle, Hume	5	2021-03-20	59		90,444	-59,564
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kyle, Hume	5	2021-03-20	59		75,332	-19,854
Dundee Precious Metals Inc.	Rights Performance Share Units	RAE, DAVID	5	2021-03-20	59		136,289	-62,608
Dundee Precious Metals Inc.	Rights Restricted Share Units	RAE, DAVID	5	2021-03-20	59		120,425	-20,869
Dundee Precious Metals Inc.	Rights Performance Share Units	Stark-Anderson, Kelly Elizabeth	5	2021-03-20	59		50,230	-19,280
Dundee Precious Metals Inc.	Rights Restricted Share Units	Stark-Anderson, Kelly Elizabeth	5	2021-03-20	59		42,888	-6,427
Dye & Durham Limited	Options	Barnhart, Dennis Richard	5	2021-03-08	00			
Dye & Durham Limited	Options	Barnhart, Dennis Richard	5	2021-03-15	50		250,000	250,000
E-L Financial Corporation Limited	Restricted Share Units	Carty, Richard Brydone	5	2021-03-19	59		248	-83
E-L Financial Corporation Limited	Restricted Share Units	Ewert, Scott	5	2021-03-19	59		200	-66
E-L Financial Corporation Limited	Restricted Share Units	Jackman, Duncan Newton Rowell	4, 5	2021-03-19	59		774	-266
E-L Financial Corporation Limited	Restricted Share Units	Khan, Fahad	5	2021-03-19	59		200	-66
Eat Beyond Global Holdings Inc.	Common Shares	Balderson, Geoffrey	5	2021-03-19	51	0.5	150,000	150,000
Eat Beyond Global Holdings Inc.	Common Shares	Balderson, Geoffrey	5	2021-03-19	10	2.0939	82,400	-67,600
Eat Beyond Global Holdings Inc.	Common Shares	Balderson, Geoffrey	5	2021-03-22	10	2.1468	45,400	-37,000

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Eat Beyond Global Holdings Inc.	Common Shares	Balderson, Geoffrey	5	2021-03-23	10	2.0829	38,400	-7,000
Eat Beyond Global Holdings Inc.	Common Shares	Balderson, Geoffrey	5	2021-03-26	10	1.895	16,200	-22,200
Eat Beyond Global Holdings Inc.	Options	Balderson, Geoffrey	5	2020-11-17	50		150,000	150,000
Eat Beyond Global Holdings Inc.	Options	Balderson, Geoffrey	5	2021-03-19	51	0.5	0	-150,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-18	10	2.3	0	-10,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-18	51	0.5	60,000	60,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-19	10	2.14	50,000	-10,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-22	10	2.15	40,000	-10,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-23	10	2.05	30,000	-10,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-24	10	1.9	20,000	-10,000
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2021-03-25	10	1.81	10,000	-10,000
Eat Beyond Global Holdings Inc.	Options	Kang, Ravinder	4	2021-03-18	51	0.5	290,000	-60,000
Edison Cobalt Corp.	Options	Cocks, Jeffrey Allan	4	2021-03-09	50	0.15		300,000
Edison Cobalt Corp.	Options	Cocks, Jeffrey Allan	4	2021-03-09	50	0.15	700,000	400,000
Edison Cobalt Corp.	Options	Francis, Janet	5	2021-03-09	50			100,000
Edison Cobalt Corp.	Options	Francis, Janet	5	2021-03-09	50		300,000	200,000
Edison Cobalt Corp.	Options	Richardson, James Angus Wilson (Bilkstys-)	4	2021-03-23	50	0.15	400,000	100,000
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-03-12	10	14.22		-16,757
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-03-18	10	14.408	256,992	-20,291
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2021-03-19	36	14.84	42,142	13,810
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2021-03-22	10	14.616	35,240	-6,902
Eldorado Gold Corporation	Restricted Share Units	CHO, JASON	5	2021-03-19	38		158,706	-8,869
Eldorado Gold Corporation	Restricted Share Units	CHO, JASON	5	2021-03-19	38		153,765	-4,941
Eldorado Gold Corporation	Common Shares	Dick, Joseph Dennis	5	2021-03-18	10	14.408	2,470	-2,471
Eldorado Gold Corporation	Common Shares	Eldorado Gold Corporation	1	2021-03-16	36		500,153	-2,228
Eldorado Gold Corporation	Common Shares	Eldorado Gold Corporation	1	2021-03-19	36		476,554	-23,599
Eldorado Gold Corporation	Common Shares	Garvin, Timothy Francis	5	2021-03-19	36	14.84	39,789	9,789
Eldorado Gold Corporation	Common Shares	Garvin, Timothy Francis	5	2021-03-19	51	5.68	53,208	13,419
Eldorado Gold Corporation	Common Shares	Garvin, Timothy Francis	5	2021-03-19	10	15.02	39,789	-13,419
Eldorado Gold Corporation	Common Shares	Garvin, Timothy Francis	5	2021-03-22	10	14.616	34,895	-4,894
Eldorado Gold Corporation	Common Shares	Garvin, Timothy Francis	5	2021-03-23	10	13.865	30,000	-4,895
Eldorado Gold Corporation	Options	Garvin, Timothy Francis	5	2021-03-19	51	5.68	85,309	-13,419
Eldorado Gold Corporation	Restricted Share Units	Garvin, Timothy Francis	5	2021-03-19	38		119,514	-5,623
Eldorado Gold Corporation	Restricted Share Units	Garvin, Timothy Francis	5	2021-03-19	38		115,348	-4,166
Eldorado Gold Corporation	Options	Gill, Brock	5	2021-03-15	00			
Eldorado Gold Corporation	Options	Gill, Brock	5	2021-03-23	56	14.6	16,585	16,585
Eldorado Gold Corporation	Restricted Share Units	Gill, Brock	5	2021-03-15	00			
Eldorado Gold Corporation	Restricted Share Units	Gill, Brock	5	2021-03-23	56		7,020	7,020
Eldorado Gold Corporation	Restricted Share Units	Gill, Brock	5	2021-03-23	56		21,061	14,041
Eldorado Gold Corporation	Common Shares	Lewis, Peter Dubois	5	2021-03-12	10	14.22		-2,696
Eldorado Gold Corporation	Common Shares	Lewis, Peter Dubois	5	2021-03-18	10	14.408	42,437	-3,282
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2021-03-12	10	14.22		-2,224
Eldorado Gold Corporation	Common Shares	Ower, Lisa Marie	5	2021-03-18	10	14.408	5,721	-2,729
Electrovaya Inc.	Common Shares	Hansson, Carolyn Mary	4	2021-03-22	54	0.2	250,000	83,333
Electrovaya Inc.	Warrants	Hansson, Carolyn Mary	4	2018-05-30	53			83,333
Electrovaya Inc.	Warrants	Hansson, Carolyn Mary	4	2018-05-30	11			83,333
Electrovaya Inc.	Warrants	Hansson, Carolyn Mary	4	2018-05-30	11		83,333	83,333
Electrovaya Inc.	Warrants	Hansson, Carolyn Mary	4	2021-03-22	54	0.2	0	-83,333
Electrovaya Inc.	Warrants	McLean, Alexander	4	2021-02-25	54	0.2		333,333
Electrovaya Inc.	Warrants	McLean, Alexander	4	2021-02-25	54	0.2	0	-333,333
Emera Incorporated	Common Shares	Steele, Judy Ann	5	2021-03-23	51		3,363	3,300
Emera Incorporated	Common Shares	Steele, Judy Ann	5	2021-03-23	51		7,863	4,500
Emera Incorporated	Common Shares	Steele, Judy Ann	5	2021-03-23	10	55.45	4,563	-3,300
Emera Incorporated	Common Shares	Steele, Judy Ann	5	2021-03-23	10	55.402	63	-4,500
Emera Incorporated	Options	Steele, Judy Ann	5	2021-03-23	51	45.16	55,625	-3,300
Emera Incorporated	Options	Steele, Judy Ann	5	2021-03-23	51	39.93	51,125	-4,500

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Emerald Health Therapeutics, Inc.	Rights Restricted Share Units	Bovenschen, Orville	5	2021-02-01	00			
Emerald Health Therapeutics, Inc.	Rights Restricted Share Units	Bovenschen, Orville	5	2021-02-01	00		25,000	
Empire Company Limited	Non-Voting Shares Class A	Sood, Vivek	5	2021-03-23	51		20,620	20,620
Empire Company Limited	Non-Voting Shares Class A	Sood, Vivek	5	2021-03-23	51		26,316	5,696
Empire Company Limited	Non-Voting Shares Class A	Sood, Vivek	5	2021-03-23	10	38	0	-26,316
Empire Company Limited	Options	Sood, Vivek	5	2021-03-23	51		116,480	-41,316
Empire Company Limited	Options	Sood, Vivek	5	2021-03-23	51		98,958	-17,522
Endeavour Mining Corporation	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2021-03-25	10	24.741	39,512,631	182,900
Endeavour Mining Corporation	Common Shares	Loza-Sawiris, Yousriya	3	2021-03-25	10	24.741	39,512,631	182,900
Energy Fuels Inc.	Common Shares	Eshleman, Benjamin	4	2021-03-24	10	6	99,224	-2,000
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-22	10	62.4	6,574,300	-25,200
Enghouse Systems Limited	Common Shares	Sadler, Stephen	3, 4, 5	2021-03-23	10	62.3	6,572,600	-1,700
Ensign Energy Services Inc.	Rights Performance Share Units - 2018 Grant	Edwards, Norman Murray	3, 4, 5	2021-03-18	59		0	-116,922
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-03-24	10	0.7	43,219,678	9,000
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-03-25	10	0.69	43,344,678	125,000
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-19	38	3.869	112,900	2,100
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-23	38	3.8412	113,700	800
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-24	38	3.9115	118,500	4,800
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	2021-03-25	38	3.9273	119,300	800
Equinox Gold Corp.	Subscription Receipts	Baillie, Rhylin Pauline Arkininstall	5	2021-03-17	16	10	1,000	1,000
Equinox Gold Corp.	Subscription Receipts	Campbell, Gordon	4	2020-03-10	00			
Equinox Gold Corp.	Subscription Receipts	Campbell, Gordon	4	2021-03-17	16	10	5,000	5,000
Equinox Gold Corp.	Subscription Receipts	Eyre, Sally Louise	4	2020-10-31	00			
Equinox Gold Corp.	Subscription Receipts	Eyre, Sally Louise	4	2021-03-17	16	10	2,000	2,000
Equinox Gold Corp.	Subscription Receipts	Heffernan, Robert Scott	5	2021-03-17	16	10	25,000	25,000
Equinox Gold Corp.	Subscription Receipts	Koval, Marshall	4	2021-03-17	16	10	10,000	10,000
Equinox Gold Corp.	Common Shares	Lourens, Cornelius Jansen	5	2021-02-22	00		1,770	
Equinox Gold Corp.	Rights Performance Share Units	Lourens, Cornelius Jansen	5	2021-02-22	00		48,355	
Equinox Gold Corp.	Rights Restricted Share Units - Performance Based	Lourens, Cornelius Jansen	5	2021-02-22	00		9,600	
Equinox Gold Corp.	Rights Restricted Share Units - Time Based	Lourens, Cornelius Jansen	5	2021-02-22	00		29,600	
Equinox Gold Corp.	Subscription Receipts	Milau, Christian	4, 5	2021-03-17	16	10	10,000	10,000
Equinox Gold Corp.	Common Shares	Reddy, Doug	5	2021-03-24	10	10.3	76,809	4,900
Equinox Gold Corp.	Subscription Receipts	Smith, Gregory	4	2021-03-17	16	10	10,000	10,000
Equitable Group Inc.	Common Shares	Mignardi, Michael Paul	7, 5	2021-03-19	10	132.27	1,191	226
Ero Copper Corp.	Common Shares	Drier, Wayne	5	2021-03-19	30		281,666	50,000
Ero Copper Corp.	Common Shares	Drier, Wayne	5	2021-03-19	10		231,666	-50,000
Ero Copper Corp.	Options	Drier, Wayne	5	2021-03-19	51	1.5	396,567	-50,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-03-18	10	14.85	276,900	-10,000
Excellon Resources Inc.	Options	Cahill, Brendan Thomas	4, 5	2021-03-19	50		75,000	15,000
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2021-03-19	56		148,545	50,000
Excellon Resources Inc.	Options	Colas, Alfred Aguilar	5	2021-03-19	50		45,000	15,000
Excellon Resources Inc.	Restricted Share Units	Colas, Alfred Aguilar	5	2021-03-19	56		80,000	50,000
Excellon Resources Inc.	Deferred Share Units	Curtis, Laurence Wilson	4	2021-03-19	56		86,170	15,000
Excellon Resources Inc.	Options	Curtis, Laurence Wilson	4	2021-03-19	50		48,000	10,000
Excellon Resources Inc.	Deferred Share Units	Farncomb, Andrew	4	2021-03-19	56		83,740	15,000
Excellon Resources Inc.	Options	Farncomb, Andrew	4	2021-03-19	50		43,000	10,000
Excellon Resources Inc.	Deferred Share Units	Fortier, André Y.	4	2021-03-19	56		179,724	20,000
Excellon Resources Inc.	Options	Fortier, André Y.	4	2021-03-19	50		38,000	10,000
Excellon Resources Inc.	Options	Keller, Paul David	5	2021-03-19	50		45,000	15,000
Excellon Resources Inc.	Restricted Share Units	Keller, Paul David	5	2021-03-19	56		80,000	50,000
Excellon Resources Inc.	Deferred Share Units	Ladd-Kruger, Anna	4	2021-03-19	56		27,660	15,000
Excellon Resources Inc.	Options	Ladd-Kruger, Anna	4	2021-03-19	50		85,000	10,000
Excellon Resources Inc.	Deferred Share Units	Lindsay, Craig Thomas	4	2021-03-19	56		37,153	15,000
Excellon Resources Inc.	Options	Lindsay, Craig Thomas	4	2021-03-19	50		92,161	10,000
Excellon Resources Inc.	Deferred Share Units	Norwich, Roger	4	2021-03-19	56		37,714	15,000
Excellon Resources Inc.	Options	Norwich, Roger	4	2021-03-19	50		69,480	10,000
Excellon Resources Inc.	Options	Pullinger, Benjamin	5	2021-03-19	50		72,000	15,000
Excellon Resources Inc.	Restricted Share Units	Pullinger, Benjamin	5	2021-03-19	56		115,110	50,000
Excellon Resources Inc.	Deferred Share Units	Timmins, Michael	4	2021-03-19	56		50,752	15,000
Excellon Resources Inc.	Options	Timmins, Michael	4	2021-03-19	50		30,000	10,000

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Exchange Income Corporation	Deferred Share Plan	Bennett, Brad	4	2021-03-19	56	39.65	22,515	3,618
Exchange Income Corporation	Deferred Share Plan	Bergman, Darryl Andrew	5	2021-03-19	56	39.65	13,146	4,414
Exchange Income Corporation	Deferred Share Plan	Buckley, Gary	4	2021-03-19	56	39.65	21,103	3,618
Exchange Income Corporation	Deferred Share Plan	Craik, Polly	4	2021-03-19	56	39.65	6,736	2,490
Exchange Income Corporation	Deferred Share Plan	Filmon, Gary	4	2021-03-19	56	39.65	40,010	4,020
Exchange Income Corporation	Restricted Share Unit Plan	Peter, Carmele	5	2021-03-24	56	40.211	61,741	17,689
Exchange Income Corporation	Restricted Share Unit Plan	Pyle, Michael	4	2021-03-24	56	40.211	92,883	26,366
Exchange Income Corporation	Deferred Share Plan	Schalkwyk, Grace Evelyn	4	2020-06-25	00			
Exchange Income Corporation	Deferred Share Plan	Schalkwyk, Grace Evelyn	4	2021-03-19	56	39.65	3,405	3,405
Exchange Income Corporation	Deferred Share Plan	SONBERG, Melissa	4	2021-03-19	56	39.65	11,267	3,618
Exchange Income Corporation	Restricted Share Unit Plan	Sparrow, Darwin	7	2021-03-24	56	40.211	10,130	4,039
Exchange Income Corporation	Restricted Share Unit Plan	Spencer, Dianne	5	2021-03-24	56	40.211	867	282
Exchange Income Corporation	Deferred Share Plan	Streuber, Donald	4	2021-03-19	56	39.65	22,515	3,618
Exchange Income Corporation	Restricted Share Unit Plan	Terwin, Adam	5	2021-03-24	56	40.211	20,292	5,909
Exchange Income Corporation	Deferred Share Plan	Warkentin, Edward	4	2021-03-19	56	39.65	17,937	1,809
Exchange Income Corporation	Restricted Share Unit Plan	White, David Gerard	5	2021-03-24	56	40.211	7,982	2,984
Exro Technologies Inc.	Common Shares	Meaux, Richard	5	2021-03-24	10	3.43	724	400
Extencicare Inc.	Rights - Deferred Share Units	Manji, Samir Aziz	4	2020-12-31	56		16,296	7,753
Extreme Vehicle Battery Technologies Corp.	Common Shares	deJong, Tjalling	4	2021-02-09	51	0.01	450,000	450,000
Extreme Vehicle Battery Technologies Corp.	Common Shares	deJong, Tjalling	4	2021-02-15	51	0.01	600,000	150,000
Extreme Vehicle Battery Technologies Corp.	Common Shares	deJong, Tjalling	4	2021-02-16	10	0.66	450,000	-150,000
Extreme Vehicle Battery Technologies Corp.	Common Shares	deJong, Tjalling	4	2021-02-16	10	0.65	300,000	-150,000
Extreme Vehicle Battery Technologies Corp.	Common Shares	deJong, Tjalling	4	2021-02-18	10	0.54	150,000	-150,000
Extreme Vehicle Battery Technologies Corp.	Options	deJong, Tjalling	4	2019-04-25	00		600,000	
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Johnston, David Lloyd	4	2021-03-19	10	520.87	2,521	28
Fairfax Financial Holdings Limited	Subordinate Voting Shares	McLean, Christine N.	4	2021-03-19	10	520.87	883	14
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2021-03-19	10	415.6	25,345	42
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Weldon, William Conrad	4	2021-03-19	10	415.6	204	43
Fairfax India Holdings Corporation	Subordinate Voting Shares	Templeton, Lauren Cortney	4	2021-03-19	10	12.28	5,360	737
Farmers Edge Inc.	Common Shares	McLean, Christine N.	6	2021-02-24	00			
Farmers Edge Inc.	Common Shares	McLean, Christine N.	6	2021-03-03	15	17	2,940	2,940
Fasttask Technologies Inc.	Options	White, William Charles	5	2021-03-24	50		6,000,000	5,000,000
FAX Capital Corp.	Subordinate Voting Shares	Badun, Graham Douglas	7	2021-03-23	00		19,000	
FAX Capital Corp.	Warrants	Badun, Graham Douglas	7	2021-03-23	00		15,000	
FAX Capital Corp.	Deferred Share Units	Gibbons, Paul Joseph	4	2021-03-22	56		4,725	982
FAX Capital Corp.	Deferred Share Units	Jackson, Edward Vincent	4	2021-03-22	56		7,874	1,637
FAX Capital Corp.	Deferred Share Units	Potter, Franklin Norris	4	2021-03-22	56		18,893	3,927
Fidelity Minerals Corp.	Options	Byrne, John Joseph	4, 5	2021-03-01	00		450,000	
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-22	10	0.135	22,532,311	22,500
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-24	10	0.125	22,627,811	95,500
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-03-26	10	0.125	22,667,811	40,000
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Bryson, Nathan John	5	2020-10-01	00			
Field Trip Health Ltd. (formerly Newton Energy Corporation)	Common Shares	Bryson, Nathan John	5	2020-10-01	00			
Fiera Capital Corporation	Performance Share Units	Blandizzi, Sebastiano	5	2021-03-23	35		47,300	4,307
Fiera Capital Corporation	Performance Share Units	Desjardins, Jean-Guy	4, 6, 5	2021-03-23	35		35,303	4,312
Fiera Capital Corporation	Restricted Share Units (CASH)	Desjardins, Jean-Guy	4, 6, 5	2021-03-23	35		1,556,411	56,411
Fiera Capital Corporation	Restricted Share Units (CASH)	Desjardins, Jean-Guy	4, 6, 5	2021-03-23	35		1,594,018	37,607
Fiera Capital Corporation	Restricted Share Units	Lanthier, Anik	5	2021-03-23	35	10.96	165,928	3,120
Fiera Capital Corporation	Performance Share Units	Lemay, Jean-Philippe	5	2021-03-23	35		151,904	10,267
Fiera Capital Corporation	Restricted Share Units (CASH)	Lemay, Jean-Philippe	5	2021-03-23	35		165,497	9,761
Fiera Capital Corporation	Performance Share Units	Valentini, John	5	2021-03-23	35		184,742	14,540
Finning International Inc.	Units Deferred Share Units	Avril, Vicki	4	2021-03-19	56	32.483	33,839	1,770
Finning International Inc.	Units Deferred Share Units	Boothman, Tant Michael	5	2021-03-19	56	32.483	2,494	692

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Finning International Inc.	Units Deferred Share Units	Carter, James Edward Clark	4	2021-03-19	56	32.483	92,065	1,062
Finning International Inc.	Units Deferred Share Units	Cote, Jacynthe	4	2021-03-19	56	32.483	51,211	1,062
Finning International Inc.	Units Deferred Share Units	Hartery, Nicholas	4	2021-03-19	56	32.483	67,168	1,932
Finning International Inc.	Units Deferred Share Units	Kelley, Mary Lou	4	2021-03-19	56	32.483	33,054	1,886
Finning International Inc.	Units Deferred Share Units	Kuhlmann, Andres	4	2021-03-19	56	32.483	15,690	1,770
Finning International Inc.	Units Deferred Share Units	Kvisle, Harold N.	4	2021-03-19	56	32.483	52,600	3,040
Finning International Inc.	Units Deferred Share Units	Levenick, Stuart L.	4	2021-03-19	56	32.483	52,949	2,009
Finning International Inc.	Units Deferred Share Units	Murdoch, Heather Jane	5	2021-03-19	56	32.483		1,304
Finning International Inc.	Units Deferred Share Units	Murdoch, Heather Jane	5	2021-03-19	56	32.483	3,439	1,304
Finning International Inc.	Units Deferred Share Units	O'Neill, Kathleen M.	4	2021-03-19	56	32.483	83,439	1,062
Finning International Inc.	Units Deferred Share Units	Patterson, Christopher William	4	2021-03-19	56	32.483	49,658	1,062
Finning International Inc.	Units Deferred Share Units	Seraphim, Edward	4	2021-03-19	56	32.483	19,994	1,770
Fiore Cannabis Ltd.	Common Shares	Anderson, Erik Murray Lloyd	4, 5	2021-03-19	10	0.195	3,943,586	64,000
Fiore Cannabis Ltd.	Common Shares	Anderson, Erik Murray Lloyd	4, 5	2021-03-22	10	0.1869	3,983,586	40,000
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2021-03-23	10	0.14	17,900	12,500
Fire River Gold Corp.	Common Shares	Bentil, David Christian	4, 5	2020-11-27	00			
Fire River Gold Corp.	Common Shares	Bentil, David Christian	4, 5	2021-03-19	11	0.14	1,028,571	1,028,571
Fire River Gold Corp.	Warrants	Bentil, David Christian	4, 5	2020-11-27	00			
Fire River Gold Corp.	Warrants	Bentil, David Christian	4, 5	2021-03-19	11	0.185	1,028,571	1,028,571
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Convertible Debentures	Dadouch, Eli	4	2021-03-19	10	94.5	\$26,320	\$25,000
Firm Capital Apartment Real Estate Investment Trust (formerly, Firm Capital American Realty Partners Trust)	Trust Units	Poklar, Sandy Ivan	4	2021-03-26	10	8.64	4,599	315
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2021-03-22	51	11.7	10,000	5,000
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2021-03-23	10	14.12	5,000	-5,000
Firm Capital Mortgage Investment Corporation	Options	Baril, Boris	5	2021-03-22	51	11.7	55,000	-5,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.30% (FC.DB.H)	Mair, Jonathon	4, 5	2021-03-18	10	101	\$268,690	\$9,000
Firm Capital Mortgage Investment Corporation	Convertible Debentures 5.30% (FC.DB.H)	Mair, Jonathon	4, 5	2021-03-19	10	101	\$277,690	\$9,000
Firm Capital Mortgage Investment Corporation	Common Shares	Newbould, Francis J.C.	4	2020-12-31	30		1,840	140
Firm Capital Mortgage Investment Corporation	Common Shares	Newbould, Francis J.C.	4	2020-12-31	30		616	42
Firm Capital Mortgage Investment Corporation	Common Shares	Newbould, Francis J.C.	4	2020-12-31	30		5,447	427
Firm Capital Property Trust	Units	Poklar, Sandy Ivan	4, 5	2021-03-26	10	6.54	24,237	820
First Cobalt Corp.	Common Shares	Santaguida, Frank	5	2021-03-15	54		177,760	36,000
First Cobalt Corp.	Warrants	Santaguida, Frank	5	2021-03-15	54		0	-36,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2021-03-23	10	20.58	25,000	-10,000
First Majestic Silver Corp.	Common Shares	McCallum, Robert A.	4	2021-03-17	10	21.83	5,500	-26,500
First Majestic Silver Corp.	Common Shares	McCallum, Robert A.	4	2021-03-22	51	10.84	30,035	24,535
First Majestic Silver Corp.	Options	McCallum, Robert A.	4	2021-03-22	51	10.84	25,626	-24,535
First Mining Gold Corp.	Common Shares	Polman, Raymond L.	4	2021-03-23	10	0.375	428,333	20,000
First Mining Gold Corp.	Common Shares	Polman, Raymond L.	4	2021-03-26	10	0.355	448,333	20,000
Flow Metals Corp.	Common Shares	Sheldon, Scott	4, 5	2020-12-21	16	0.06		200,000
Flow Metals Corp.	Common Shares	Sheldon, Scott	4, 5	2020-12-21	46	0.06	1,700,444	200,000
Fortis Inc.	Common Shares	Duke, Nora	5	2021-03-19	51	33.58	145,855	35,292
Fortis Inc.	Common Shares	Duke, Nora	5	2021-03-19	10	53.4	110,563	-35,292
Fortis Inc.	Options	Duke, Nora	5	2021-03-19	51		325,200	-35,292
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2021-03-26	51	34.27	25,415	10,508
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2021-03-26	51	33.58	36,583	11,168
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2021-03-26	10	54.462	20,511	-16,072
Fortis Inc.	Options	Perry, Jocelyn	5	2021-03-26	51		239,300	-10,508
Fortis Inc.	Options	Perry, Jocelyn	5	2021-03-26	51		228,132	-11,168
Freshii Inc.	Restricted Share Units	Corrin, Adam Daniel	4, 5	2021-03-26	56		405,701	164,975
Freshii Inc.	Restricted Share Units	Corrin, Matthew Ethan	4, 5	2021-03-26	56		1,448,301	548,224
Freshii Inc.	Restricted Share Units	Haroun, Daniel	5	2021-03-26	56		382,618	190,356
Freshii Inc.	Restricted Share Units	Hughes, Paul Robert	5	2021-03-26	56		189,183	69,797
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-17	10		\$5,809,000	-\$1,000,000

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Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-26	10		\$5,009,000	-\$800,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-17	10		\$926,000	-\$200,000
Frontera Energy Corporation	Notes (New) Exp. 2023	Gramercy Funds Management LLC	3	2021-03-26	10		\$726,000	-\$200,000
Gaia Grow Corp. (formerly "Spirit Bear Capital Corp")	Common Shares	Transcend Capital Inc.	3	2021-03-26	11			-6,723,000
Gaia Grow Corp. (formerly "Spirit Bear Capital Corp")	Common Shares	Transcend Capital Inc.	3	2021-03-26	11		43,911,000	-6,273,000
Gaia Grow Corp. (formerly "Spirit Bear Capital Corp")	Common Shares	Tworek, James Christopher	4, 5	2021-03-23	10	0.08	28,000	-10,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	BADYLAK, MACIEJ	5	2021-03-18	50	1.55	993,000	750,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	Di Trapani, Fausto	5	2021-03-18	50	1.55	1,819,000	750,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	McCunn, Gregory John	5	2021-03-18	50	1.55	2,259,000	1,000,000
Gallagher Security Corp.	Common Shares	Bannerman, James Ramsey	4	2021-03-26	11	0.06	995,000	450,000
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2021-03-18	10	0.799	1,986,026	-62
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2021-03-19	10	0.7998	1,985,957	-69
Galway Metals Inc.	Common Shares	Cartafalsa, Joseph Blaise	4	2021-03-19	10	0.799	1,983,088	-2,869
Gambier Gold Corp.	Options	Balderson, Geoffrey	4, 5	2017-09-01	00			
Gambier Gold Corp.	Options	Balderson, Geoffrey	4, 5	2020-09-17	50		331,875	331,875
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-03-24	10	0.24	6,485,000	35,000
Gear Energy Ltd.	Common Shares	Gray, Don	3, 4	2021-03-19	10	0.5	9,071,980	-35,300
Gear Energy Ltd.	Common Shares	Gray, Don	3, 4	2021-03-19	51	0.5		35,300
Gear Energy Ltd.	Common Shares	Gray, Don	3, 4	2021-03-19	51	0.29	9,107,280	35,300
Gear Energy Ltd.	Options	Gray, Don	3, 4	2021-03-19	51	0.29	408,000	-84,000
Gear Energy Ltd.	Options	Gray, Don	3, 4	2021-03-19	51	0.5		35,300
Gear Energy Ltd.	Options	Gray, Don	3, 4	2021-03-19	51	0.5		35,300
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-03-22	10	0.183	2,067,186	15,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-03-23	10	0.18	2,068,186	1,000
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2021-03-19	10	1.915	7,332,127	-5,100
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2021-03-22	10	1.9085	7,327,827	-4,300
George Weston Limited	Common Shares	Currie, Gordon Andrew McDonald	5	2021-03-23	51	81.92	64,603	40,544
George Weston Limited	Common Shares	Currie, Gordon Andrew McDonald	5	2021-03-23	10	107.95	24,059	-40,544
George Weston Limited	Options	Currie, Gordon Andrew McDonald	5	2021-03-23	51	81.92	282,469	-40,544
George Weston Limited	Common Shares	Dufresne, Richard	5	2021-03-23	51	81.92	42,910	37,425
George Weston Limited	Common Shares	Dufresne, Richard	5	2021-03-23	10	108.06	5,485	-37,425
George Weston Limited	Options	Dufresne, Richard	5	2021-03-23	51	81.92	483,906	-37,425
George Weston Limited	Common Shares	Wasti, Rashid	5	2021-03-23	10	107.79	650	-150
George Weston Limited	Common Shares	Wasti, Rashid	5	2021-03-25	10	108.49	500	-150
George Weston Limited	Common Shares	Wasti, Rashid	5	2021-03-26	10	109.55	350	-150
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2020-03-02	00			
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2020-03-02	00		356,383	
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2020-03-02	00			
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2021-03-18	10	40.675	267	267
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2020-03-02	00			
GFL Environmental Inc.	Subordinate Voting Shares	Pelosi, Jonathan Lucas (Luke)	5	2021-03-18	10	40.8	3,384	3,384
GFL Environmental Inc.	Subordinate Voting Shares	Yorston, Gregory Gerald	5	2021-03-23	10	32.987		-43,483
GFL Environmental Inc.	Subordinate Voting Shares	Yorston, Gregory Gerald	5	2021-03-23	10	32.987		-43,483
GFL Environmental Inc.	Subordinate Voting Shares	Yorston, Gregory Gerald	5	2021-03-23	10	32.987	207,629	-43,483
Giyani Metals Corp.	Common Shares	RAB Capital Holdings Limited	3	2021-03-24	15	0.68	16,300,000	300,000
Giyani Metals Corp.	Common Shares	RAB Capital Holdings Limited	3	2021-03-24	54	0.2	16,800,000	500,000
Giyani Metals Corp.	Common Shares	RAB Capital Holdings Limited	3	2021-03-24	54	0.1	18,300,000	1,500,000
Giyani Metals Corp.	Warrants	RAB Capital Holdings Limited	3	2021-03-24	54	0.2	1,500,000	-500,000
Giyani Metals Corp.	Warrants	RAB Capital Holdings Limited	3	2021-03-24	54	0.1	0	-1,500,000
Giyani Metals Corp.	Warrants	RAB Capital Holdings Limited	3	2021-03-24	53	1	150,000	150,000
Global Li-Ion Graphite Corp.	Common Shares	Macdonald, Glen Colin	4	2021-03-18	10	0.185	255,000	-25,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-03-18	10	0.2836	29,404,556	-1,000,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-03-18	10	0.2808	28,904,556	-500,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-03-18	10	0.2801	28,704,556	-200,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-03-18	10	0.31	28,554,556	-150,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-03-19	10	0.3	30,304,556	1,750,000

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Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Common Shares	Relay Medical Corp.	3	2021-03-03	00		8,250,000	
Glow Lifetech Corp. (formerly, Ateba Resources Inc.)	Warrants	Relay Medical Corp.	3	2021-03-03	00		1,000,000	
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Common Shares	Povey, Michael	4	2021-03-18	11	0.027	1,845,900	1,050,000
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Povey, Michael	4	2021-03-05	11		417,000	417,000
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Povey, Michael	4	2021-03-18	11		927,000	510,000
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Common Shares	Straw, Charles	4	2020-07-10	00			
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Common Shares	Straw, Charles	4	2021-03-18	11	0.027	1,050,000	1,050,000
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Straw, Charles	4	2020-07-10	00			
Gold Basin Resources Corporation (formerly Fiorentina Minerals Inc.)	Warrants	Straw, Charles	4	2021-03-18	11		540,000	540,000
Gold Hunter Resources Inc.	Common Shares	Sutton, Brayden Robert	3	2021-03-22	10	0.51	2,130,000	10,000
Golden Lake Exploration Inc.	Common Shares	Sujir, Jay	4	2021-03-15	00		100,000	
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Adnani, Amir	4	2021-03-22	51	2.34	5,072,500	125,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Options	Adnani, Amir	4	2021-03-22	51	0.73	2,225,000	-125,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Ballesta, Gloria	4	2021-03-22	51	2.34	59,152	35,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Ballesta, Gloria	4	2021-03-24	10	2.06	46,252	-12,900
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Ballesta, Gloria	4	2021-03-24	10	2.07	39,152	-7,100
GoldMining Inc. (formerly Brazil Resources Inc.)	Options	Ballesta, Gloria	4	2021-03-22	51	0.73	245,000	-35,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Still, Alastair	5	2021-03-24	57	2.1	25,000	12,500
GoldMining Inc. (formerly Brazil Resources Inc.)	Rights Restricted Share	Still, Alastair	5	2021-03-24	57		25,000	-12,500
Goliath Resources Limited	Options	Lafleur, Jean	4	2021-03-19	50		250,000	50,000
Goliath Resources Limited	Options	Rosmus, Roger	4, 5	2021-03-19	50	0.9	1,965,391	370,000
Goliath Resources Limited	Options	Warren, Graham	5	2021-03-19	50	0.9	1,587,000	285,000
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	Mazoff, Peter	5	2020-03-13	16			98,814
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	Mazoff, Peter	5	2020-03-13	16		98,814	98,814
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	McRoberts, James	3	2019-06-26	16			23,529,411
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	McRoberts, James	3	2019-06-26	16		23,529,411	23,529,411
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	McRoberts, James	3	2020-03-13	16			1,976,284
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Warrants	McRoberts, James	3	2020-03-13	16		25,505,695	1,976,284
GoviEx Uranium Inc.	Common Shares	Krafft, Eric Sten	4	2021-02-22	00			
GoviEx Uranium Inc.	Common Shares Class A	Krafft, Eric Sten	4	2021-02-22	00		26,333,107	
GoviEx Uranium Inc.	Options	Seetaroo, Anisah Ummay Salma	4	2021-02-22	00			
GoviEx Uranium Inc.	Options	Seetaroo, Anisah Ummay Salma	4	2021-03-22	50	0.31	500,000	500,000
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	58,294	5,237
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	59		55,490	-2,804
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	63,773	8,283
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	59		59,339	-4,434
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	KUMER, LORNE	5	2021-03-18	57	76.202	21,907	6,131
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	KUMER, LORNE	5	2021-03-18	59		18,622	-3,285

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Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Neto, Teresa	5	2021-03-18	57	76.202	1,878	671
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Ramparas, Michael Anthony	5	2021-03-18	57	76.202	6,175	2,901
Granite Real Estate Investment Trust	Trust Units (traded as a component of stapled units)	Ramparas, Michael Anthony	5	2021-03-18	59		4,620	-1,555
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	58,294	5,237
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	59		55,490	-2,804
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	63,773	8,283
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Gorrie, Kevan Stuart	4, 5	2021-03-18	59		59,339	-4,434
Granite REIT Inc.	Performance Share Units	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	31,076	-4,143
Granite REIT Inc.	Restricted Share Units	Gorrie, Kevan Stuart	4, 5	2021-03-18	57	76.202	27,496	-5,237
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	KUMER, LORNE	5	2021-03-18	57	76.202	21,907	6,131
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	KUMER, LORNE	5	2021-03-18	59		18,622	-3,285
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2021-03-18	57	76.202	6,545	-6,131
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Neto, Teresa	5	2021-03-18	57	76.202	1,878	671
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2021-03-15	35	75.81		31
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2021-03-15	35	75.81	9,360	30
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2021-03-18	57	76.202	8,689	-671
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Ramparas, Michael Anthony	5	2021-03-18	57	76.202		2,091
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Ramparas, Michael Anthony	5	2021-03-18	57	76.202	6,175	2,901
Granite REIT Inc.	Common Shares (traded as a component of stapled units)	Ramparas, Michael Anthony	5	2021-03-18	59		4,620	-1,555
Granite REIT Inc.	Restricted Share Units	Ramparas, Michael Anthony	5	2021-03-18	57	76.202		-2,091
Granite REIT Inc.	Restricted Share Units	Ramparas, Michael Anthony	5	2021-03-18	57	76.202	4,443	-2,901
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Easdale, Andrew James Alexander	7	2021-03-19	10	0.1926	7,000,000	-500,000
Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	GRAY, STEVEN MICHAEL	4	2021-03-22	10	1.37	128,243	-10,000
Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	GRAY, STEVEN MICHAEL	4	2021-03-22	10	1.38	108,243	-20,000
Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	GRAY, STEVEN MICHAEL	4	2021-03-22	10	1.36	88,243	-20,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-03-25	10	16.15	245,061	-25,000
Great Panther Mining Limited	Options	Cornejo Rojas, Fernando Alonso	5	2021-03-19	50		535,333	128,000
Great Panther Mining Limited	Restricted Share Units	Cornejo Rojas, Fernando Alonso	5	2021-03-19	56		367,005	61,538
Great Panther Mining Limited	Restricted Share Units	Cornejo Rojas, Fernando Alonso	5	2021-03-19	56		428,543	61,538
Great Panther Mining Limited	Options	Daycock, Sandra Diane	5	2021-03-08	00			
Great Panther Mining Limited	Options	Daycock, Sandra Diane	5	2021-03-15	50		61,333	61,333
Great Panther Mining Limited	Restricted Share Units	Daycock, Sandra Diane	5	2021-03-08	00			
Great Panther Mining Limited	Restricted Share Units	Daycock, Sandra Diane	5	2021-03-19	56		29,487	29,487
Great Panther Mining Limited	Restricted Share Units	Daycock, Sandra Diane	5	2021-03-19	56		58,974	29,487
Great Panther Mining Limited	Options	Gagnon, Lucie	5	2021-03-19	50	1.04	245,000	56,000
Great Panther Mining Limited	Restricted Share Units	Gagnon, Lucie	5	2021-03-19	50	1.04	178,523	26,923
Great Panther Mining Limited	Restricted Share Units	Gagnon, Lucie	5	2021-03-19	50	1.04	205,446	26,923
Great Panther Mining Limited	Deferred Share Units	Gallucci, Joseph Steve	4	2021-03-19	56		161,692	36,057
Great Panther Mining Limited	Deferred Share Units	Garnett, Robert Watt	4	2021-03-19	56		532,923	36,057
Great Panther Mining Limited	Deferred Share Units	Garofalo, David	4	2021-03-19	56		323,218	72,115
Great Panther Mining Limited	Options	Grant-Leydier, Fiona	5	2021-02-01	00			
Great Panther Mining Limited	Options	Grant-Leydier, Fiona	5	2021-03-19	50		53,333	53,333
Great Panther Mining Limited	Restricted Share Units	Grant-Leydier, Fiona	5	2021-02-01	00			

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Great Panther Mining Limited	Restricted Share Units	Grant-Leydier, Fiona	5	2021-03-19	56		25,641	25,641
Great Panther Mining Limited	Restricted Share Units	Grant-Leydier, Fiona	5	2021-03-19	56		51,282	25,641
Great Panther Mining Limited	Deferred Share Units	Hair, Alan Thomas Chalmers	4	2021-03-19	56		180,392	36,057
Great Panther Mining Limited	Options	Henderson, Robert	4, 5	2021-03-19	50		799,000	310,000
Great Panther Mining Limited	Restricted Share Units	Henderson, Robert	4, 5	2021-03-19	56		543,838	149,038
Great Panther Mining Limited	Restricted Share Units	Henderson, Robert	4, 5	2021-03-19	56		692,876	149,038
Great Panther Mining Limited	Options	Hepworth, Neil	5	2021-03-19	50		834,000	234,000
Great Panther Mining Limited	Restricted Share Units	Hepworth, Neil	5	2021-03-19	56		619,100	112,500
Great Panther Mining Limited	Restricted Share Units	Hepworth, Neil	5	2021-03-19	56		731,600	112,500
Great Panther Mining Limited	Deferred Share Units	Jennings, Peter John	4	2021-03-19	56		399,767	36,057
Great Panther Mining Limited	Deferred Share Units	Mullin, William James (Jim)	4	2021-03-19	56		389,457	36,057
Great Panther Mining Limited	Deferred Share Units	Rees, Helena Elise	4	2021-03-19	56		394,657	36,057
Great Panther Mining Limited	Deferred Share Units	Ross, Kevin John	4	2021-03-19	56		379,642	36,057
Great Panther Mining Limited	Options	Turkington, Shawn David	5	2021-03-15	00			
Great Panther Mining Limited	Options	Turkington, Shawn David	5	2021-03-19	50		61,333	61,333
Great Panther Mining Limited	Restricted Share Units	Turkington, Shawn David	5	2021-03-15	00			
Great Panther Mining Limited	Restricted Share Units	Turkington, Shawn David	5	2021-03-19	56		29,487	29,487
Great Panther Mining Limited	Restricted Share Units	Turkington, Shawn David	5	2021-03-19	56		58,974	29,487
Great Panther Mining Limited	Restricted Share Units	Turkington, Shawn David	5	2021-03-19	56		83,506	24,532
Great Panther Mining Limited	Options	Webber, Shannon Dawn	5	2021-03-19	50	1.04	90,217	62,666
Great Panther Mining Limited	Restricted Share Units	Webber, Shannon Dawn	5	2021-03-19	56	1.04	42,400	30,128
Great Panther Mining Limited	Restricted Share Units	Webber, Shannon Dawn	5	2021-03-19	56	1.04	85,508	43,108
Great-West Lifeco Inc.	Common Shares	Henaire, Charles Donald Harvey	7	2021-03-22	10	27.128	26,149	12,300
Great-West Lifeco Inc.	Common Shares	Henaire, Charles Donald Harvey	7	2021-03-22	10	33.25	13,849	-12,300
Great-West Lifeco Inc.	Options Common Share - Stock Options	Henaire, Charles Donald Harvey	7	2021-03-22	51	27.128	204,900	-12,300
Greenlane Renewables Inc.	Common Shares	Demers, David Robert	4	2021-03-22	54	0.26	3,124,484	375,000
Greenlane Renewables Inc.	Warrants	Demers, David Robert	4	2021-03-22	54		62,500	-375,000
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-03-24	11	1.93	3,775,735	-1,200,000
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-03-24	10	29.9	21,250	21,250
Guardian Capital Group Limited	Non-Voting Shares Class A	Lacey, Robin Philip Christian	5	2021-03-23	10	30.4	14,400	2,500
H2O INNOVATION INC.	Common Shares	Cote, Pierre	4	2021-03-22	10	2.85	81,457	-70,000
Hammond Power Solutions Inc.	Rights Deferred Share Units	David, FitzGibbon	4	2021-03-25	56		19,655	173
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2021-03-25	56		25,956	229
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2021-03-25	56			237
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2021-03-25	56			237
Hammond Power Solutions Inc.	Rights Deferred Share Units	HAMMOND, BILL	6	2021-03-25	56		27,608	237
Hammond Power Solutions Inc.	Common Shares Class A	HUETHER, CHRIS	5	2021-03-19	10	9.74	28,234	-100
Hammond Power Solutions Inc.	Common Shares Class A	HUETHER, CHRIS	5	2021-03-19	10	9.64	28,134	-100
Hammond Power Solutions Inc.	Common Shares Class A	HUETHER, CHRIS	5	2021-03-19	10	9.6	13,334	-14,800
Hammond Power Solutions Inc.	Rights Deferred Share Units	HUETHER, CHRIS	5	2021-03-25	56		26,804	234
Hammond Power Solutions Inc.	Rights Deferred Share Units	Jaques, Frederick Maurice	4	2021-03-25	56		29,419	259
Hammond Power Solutions Inc.	Rights Deferred Share Units	MACADAM, DON	4	2021-03-25	56		19,655	173
Hammond Power Solutions Inc.	Rights Deferred Share Units	Robinson, Grant Cameron	4	2021-03-25	56		22,492	198
Hammond Power Solutions Inc.	Rights Deferred Share Units	Turnbull, AnneMarie	4	2021-03-25	56		2,714	24
Hammond Power Solutions Inc.	Rights Deferred Share Units	Wood, John Davidson Martin	4	2021-03-25	56		1,296	11
Happy Creek Minerals Ltd.	Options	Cathro, Mike	4	2021-03-23	50		1,700,000	700,000
Happy Creek Minerals Ltd.	Options	Lee, Richard Manning	5	2021-03-23	50	0.1	950,000	350,000
Happy Creek Minerals Ltd.	Options	Segsworth, Walter Thomas	4	2021-03-23	51	0.1		350,000
Happy Creek Minerals Ltd.	Options	Segsworth, Walter Thomas	4	2021-03-23	50	0.1	1,350,000	350,000
Happy Creek Minerals Ltd.	Common Shares	Weber, Sarah Kathleen	4	2021-03-23	00		50,000	
Happy Creek Minerals Ltd.	Options	Weber, Sarah Kathleen	4	2021-03-23	00			
Happy Creek Minerals Ltd.	Options	Weber, Sarah Kathleen	4	2021-03-23	50	0.1	1,000,000	1,000,000
Happy Creek Minerals Ltd.	Warrants	Weber, Sarah Kathleen	4	2021-03-23	00		50,000	
Happy Supplements Inc.	Common Shares	Gonzalez, Michael	3	2021-03-22	11	0.0015	15,300,000	-1,700,000
Happy Supplements Inc.	Common Shares	Shacker, Joel	4	2021-03-08	00			
Happy Supplements Inc.	Common Shares	Shacker, Joel	4	2021-03-18	11		1,700,000	1,700,000
Hardwoods Distribution Inc.	Common Shares	Dickinson, Drew	5	2021-03-18	10	31.54	62,266	-3,900
Hardwoods Distribution Inc.	Common Shares	Dickinson, Drew	5	2021-03-19	10	31.495	57,966	-4,300
Hardwoods Distribution Inc.	Common Shares	Dickinson, Drew	5	2021-03-22	10	30.96	51,166	-6,800
Harte Gold Corp.	Warrants Deferred Participation Warrants	ANR Investments B.V.	3	2016-12-14	00			
Harte Gold Corp.	Warrants Deferred Participation Warrants	ANR Investments B.V.	3	2021-03-24	16		55,802,812	55,802,812

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Harte Gold Corp.	Common Shares	Conway, Joseph Francis	4	2019-10-15	00			
Harte Gold Corp.	Common Shares	Conway, Joseph Francis	4	2020-03-11	16	0.13	1,000,000	1,000,000
Harte Gold Corp.	Common Shares	New Gold Inc.	3	2021-03-24	00			
Harte Gold Corp.	Common Shares	New Gold Inc.	3	2021-03-24	11	0.16	154,940,153	154,940,153
Harte Gold Corp.	Warrants	New Gold Inc.	3	2021-03-24	00			
Harte Gold Corp.	Warrants	New Gold Inc.	3	2021-03-24	53	0.18	8,314,619	8,314,619
Harte Gold Corp.	Warrants Deferred Participation Warrants	Scherb, Michael	4	2018-03-29	00			
Harte Gold Corp.	Warrants Deferred Participation Warrants	Scherb, Michael	4	2021-03-24	16		55,802,812	55,802,812
Harvest Health & Recreation Inc.	Multiple Voting Shares	Atkison, Michael Scott	4	2020-03-11	00			
Harvest Health & Recreation Inc.	Multiple Voting Shares	Atkison, Michael Scott	4	2021-03-13	22	92	7,146	7,146
Harvest Health & Recreation Inc.	Multiple Voting Shares	Atkison, Michael Scott	4	2020-03-11	00			
Harvest Health & Recreation Inc.	Multiple Voting Shares	Atkison, Michael Scott	4	2021-03-13	22	92	2,757	2,757
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Barnard, Mark Neal	4	2018-11-14	00		56,800	
Harvest Health & Recreation Inc.	Options	GUANG, CHONA	7	2020-11-23	00			
Harvest Health & Recreation Inc.	Options	GUANG, CHONA	7	2020-12-31	50		80,000	80,000
Harvest Health & Recreation Inc.	Options Subordinate	Keeley, Deborah Kay	5	2020-04-06	00			
Harvest Health & Recreation Inc.	Options Subordinate	Keeley, Deborah Kay	5	2020-07-14	50		600,000	600,000
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-05-06	57	1.18	90,535	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-06-08	57	1.21	82,305	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-07-06	57	0.96	74,075	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-08-06	57	1.29	65,845	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-09-06	57	1.25	57,615	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-10-06	57	1.12	49,385	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-11-06	57	1.88	41,155	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2020-12-06	57	2.14	32,925	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2021-01-06	57	2.51	24,695	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2021-02-06	57	3.98	16,465	-8,230
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Keeley, Deborah Kay	5	2021-03-06	57	3.63	8,235	-8,230
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-04-06	00			
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-05-06	57	1.18	5,960	5,960
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-06-08	57	1.21	11,904	5,944
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-07-06	57	0.96	18,001	6,097
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-08-06	57	1.29	23,907	5,906
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-09-06	57	1.25	29,829	5,922
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-10-06	57	1.12	35,823	5,994
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-11-06	57	1.88	42,022	6,199
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2020-12-06	57	2.14	48,097	6,075
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2021-01-06	57	2.51	52,914	4,817
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2021-02-06	57	3.98	57,524	4,610
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Keeley, Deborah Kay	5	2021-03-06	57	3.63	62,618	5,094
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2018-12-01	00		6,025	

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Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	36,917	30,892
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	79,252	42,335
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	81,087	1,835
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	107,895	26,808
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	101,870	-6,025
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-03-26	11	655	90,699	-11,171
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-06-04	11	655	85,699	-5,000
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-12-31	11	655	87,199	1,500
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2019-12-31	11	655	90,699	3,500
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2020-05-19	11	0.71		2,004
Harvest Health & Recreation Inc.	Multiple Voting Shares	Sai, Joseph Edward	4	2020-05-19	11	0.71	92,704	2,005
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2018-12-01	00		250,000	
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2019-03-13	50		1,000,000	750,000
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2020-02-03	97	6.55	750,000	-250,000
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2020-02-03	97	10.2		-750,000
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2020-02-03	97	10.2		-750,000
Harvest Health & Recreation Inc.	Options Subordinate	Sai, Joseph Edward	4	2020-02-03	97	10.2	0	-750,000
Harvest Health & Recreation Inc.	Options	Stanton, Nicole	5	2020-02-03	50			120,000
Harvest Health & Recreation Inc.	Options Subordinate	Stanton, Nicole	5	2020-02-03	50		120,000	120,000
Harvest Health & Recreation Inc.	Options	Weathers, George Reeves	7	2021-02-08	00			
Harvest Health & Recreation Inc.	Options	Weathers, George Reeves	7	2021-02-10	50		400,000	400,000
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50			46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50			46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50			953,091
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50			953,091
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50		2,546,909	46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2019-03-13	50		3,500,000	953,091
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	11.22		-46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	11.22		-46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	10.2		-953,091
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	10.2		-953,091
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	11.22	3,453,091	-46,909
Harvest Health & Recreation Inc.	Options Subordinate	White, Steven Matthew	3, 4, 5	2020-02-03	97	10.2	2,500,000	-953,091
Hawkmoon Resources Corp.	Common Shares	Balderson, Geoffrey	4	2021-03-24	00			
Hawkmoon Resources Corp.	Common Shares	Balderson, Geoffrey	4	2021-03-24	00		1,100,000	
Hawkmoon Resources Corp.	Options	Balderson, Geoffrey	4	2021-03-24	00			
Hawkmoon Resources Corp.	Warrants	Balderson, Geoffrey	4	2021-03-24	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2021-03-24	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2021-03-24	00			
Hawkmoon Resources Corp.	Common Shares	Clarke, Thomas William	4	2021-03-24	00		2,000,000	
Hawkmoon Resources Corp.	Options	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Options	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Options	Clarke, Thomas William	4	2021-03-24	00			
Hawkmoon Resources Corp.	Warrants	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Warrants	Clarke, Thomas William	4	2019-05-01	00			
Hawkmoon Resources Corp.	Warrants	Clarke, Thomas William	4	2021-03-24	00			
Hemisphere Energy Corporation	Common Shares	Ramsden-Wood, Ashley	5	2021-03-26	10	0.45	844,500	13,000
Hemlo Explorers Inc. (Formerly, Canadian Orebodies Inc.)	Common Shares	Howlett, Brian	4, 5	2021-03-26	10	0.53	152,000	5,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Schwede, David	5	2021-03-16	10	0.14	21,277,655	-690,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Senger, Debra Lynn	4	2021-03-17	10	0.14	5,550,000	-300,000
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	51	2.32	37,000	13,000
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	51	3	74,500	37,500
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	51	5.08	80,750	6,250
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	10	9.097	67,750	-13,000
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	10	9.023	30,250	-37,500
HEXO Corp.	Common Shares	McMillan, James	5	2021-03-23	10	8.97	24,000	-6,250
HEXO Corp.	Options	McMillan, James	5	2021-03-23	51	2.32	257,896	-13,000
HEXO Corp.	Options	McMillan, James	5	2021-03-23	51	3	220,396	-37,500
HEXO Corp.	Options	McMillan, James	5	2021-03-23	51	5.08	214,146	-6,250
High Arctic Energy Services Inc.	Common Shares	Pack, Donald Laine	5	2021-03-19	36	1.37		14,951
High Arctic Energy Services Inc.	Common Shares	Pack, Donald Laine	5	2021-03-19	57	1.37	15,551	14,951
High Arctic Energy Services Inc.	Rights Performance Share Units	Pack, Donald Laine	5	2021-03-19	57	1.37	66,300	-14,951
High Arctic Energy Services Inc.	Rights Performance Share Units	Pack, Donald Laine	5	2021-03-19	59		52,500	-13,800
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30			2,118
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30			4,350
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30			6,120
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30			6,120
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-03-22	30		212,913	3,888
High Liner Foods Incorporated	Rights Restricted Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30			2,522
High Liner Foods Incorporated	Rights Restricted Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30		223,014	4,754
High Liner Foods Incorporated	Common Shares	Murray, Craig	5	2021-03-16	10	13.673	11,724	-2,000
High Liner Foods Incorporated	Common Shares	Murray, Craig	5	2021-03-17	10	13.6	8,924	-2,800
High Liner Foods Incorporated	Common Shares	Murray, Craig	5	2021-03-18	10	13.864	6,914	-2,010
High Liner Foods Incorporated	Common Shares	Murray, Craig	5	2021-03-18	10	13.843	810	-6,104
Hillcrest Petroleum Ltd.	Warrants	Currie, Donald James	4, 5	2019-01-24	55		450,000	-750,000
Hillcrest Petroleum Ltd.	Warrants	Currie, Donald James	4, 5	2019-07-24	55		250,000	-200,000
Hillcrest Petroleum Ltd.	Warrants	Currie, Donald James	4, 5	2020-02-27	55		0	-250,000
Hillcrest Petroleum Ltd.	Warrants	Currie, Donald James	4, 5	2021-01-18	30	0.1	2,000,000	1,500,000
Hillcrest Petroleum Ltd.	Common Shares	Krzus, Michael	4	2021-03-10	51	1E+06	5,870,000	1,300,000
Hillcrest Petroleum Ltd.	Options	Krzus, Michael	4	2021-03-10	11	0.05		1,300,000
Hillcrest Petroleum Ltd.	Options	Krzus, Michael	4	2021-03-10	11	0.05		1,300,000
Hillcrest Petroleum Ltd.	Warrants	Krzus, Michael	4	2020-08-10	53	0.07		1,000,000
Hillcrest Petroleum Ltd.	Warrants	Krzus, Michael	4	2020-08-10	53	0.07	500,000	500,000
Hillcrest Petroleum Ltd.	Warrants	Krzus, Michael	4	2021-03-22	11		0	-500,000
Hillcrest Petroleum Ltd.	Warrants	Lambert, Robert Alexander	4	2017-12-15	00			
Hillcrest Petroleum Ltd.	Warrants	Lambert, Robert Alexander	4	2017-12-15	00			
Hillcrest Petroleum Ltd.	Warrants	Lambert, Robert Alexander	4	2018-02-27	53	0.1	604,821	604,821
Hillcrest Petroleum Ltd.	Warrants	Lambert, Robert Alexander	4	2018-02-27	53	0.05	980,000	375,179
Hillcrest Petroleum Ltd.	Warrants	Lambert, Robert Alexander	4	2020-02-27	55		0	-980,000
Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2014-09-26	10	0.35	188,750	18,750
Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2015-10-08	10	0.35		870,000

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Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2021-03-08	51		588,750	350,000
Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2011-03-22	00			
Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2015-10-08	10	0.35	870,000	870,000
Hillcrest Petroleum Ltd.	Common Shares	Stone, David M.	4	2015-10-09	10		1,376,250	506,250
Hillcrest Petroleum Ltd.	Options	Stone, David M.	4	2019-10-18	52		350,000	-450,000
Hillcrest Petroleum Ltd.	Options	Stone, David M.	4	2020-07-08	50	0.05	1,150,000	800,000
Hillcrest Petroleum Ltd.	Options	Stone, David M.	4	2021-03-08	51	0.05	800,000	-350,000
Hillcrest Resources Ltd.	Warrants	Stone, David M.	4	2011-11-07	54	0.1		-70,000
Hillcrest Resources Ltd.	Warrants	Stone, David M.	4	2011-11-07	54	0.1		-70,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-22	10	4.68	214,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-23	10	4.37	211,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-24	10	4.3	208,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-25	10	3.51	205,000	-3,000
HIVE Blockchain Technologies Ltd.	Common Shares	Daubaras, Darcy Glenn	5	2021-03-26	10	4.29	202,000	-3,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2019-05-07	00			
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-11-19	47		86,178	86,178
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2019-12-31	30	5.09	50,049	49
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-03-27	30	2.85	50,224	175
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-09-25	30	5.55	86,178	154
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-11-19	47		0	-86,178
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-12-31	30	4.2		329
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Kukielski, Peter Gerald Jan	4, 5	2020-12-31	30	4.2		329
Hudson Resources Inc.	Common Shares	Crawford, Kevin	4	2021-03-18	10	0.193	801,162	20,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-22	10	0.23	2,037,000	4,500
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-24	10	0.23	2,057,500	20,500
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-24	10	0.235	2,082,500	25,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2021-03-26	10	0.225	2,092,500	10,000
Hydro One Limited	Common Shares	Harricks, Paul Hugh	5	2021-03-24	59	29.39	30	-600
iA Financial Corporation Inc.	Common Shares	Jobin, Éric	5	2021-03-23	51	55.85	7,738	3,000
iA Financial Corporation Inc.	Common Shares	Jobin, Éric	5	2021-03-23	10	68.799	4,738	-3,000
iA Financial Corporation Inc.	Options	Jobin, Éric	5	2021-03-23	51	55.85	10,000	-3,000
iA Financial Corporation Inc.	Common Shares	Ricard, Denis	5	2021-03-24	51	26.03	48,000	6,000
iA Financial Corporation Inc.	Common Shares	Ricard, Denis	5	2021-03-24	10	69.5	42,000	-6,000
iA Financial Corporation Inc.	Options	Ricard, Denis	5	2021-03-24	51	26.03	374,333	-6,000
IBI Group Inc.	Common Shares	IBI Group Management Partnership	3	2021-03-24	11	10.15	573,682	43,045
IBI Group Inc.	Common Shares	Thom, David Maxwell	4	2015-12-31	57	1.6	4,375	875
IBI Group Inc.	Common Shares	Thom, David Maxwell	4	2015-12-31	57	1.6	35,875	7,175
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2004-08-31	00			
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2015-11-19	16		3,500	3,500
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2015-12-31	57		0	-3,500
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2004-08-31	00			
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2015-11-19	16		28,700	28,700
IBI Group Inc.	Rights 2015 Rights Offering	Thom, David Maxwell	4	2015-12-31	57		0	-28,700
Idaho Champion Gold Mines Canada Inc. (formerly, GoldTrain Resources Inc.)	Options	Fornazzari, Paul	4	2021-03-24	50		500,000	200,000
Idaho Champion Gold Mines Canada Inc. (formerly, GoldTrain Resources Inc.)	Options	Highsmith, Patrick	4	2021-03-24	50	0.2	500,000	200,000
Idaho Champion Gold Mines Canada Inc. (formerly, GoldTrain Resources Inc.)	Options	Schifrin, Gregory	4	2021-03-24	50		500,000	200,000
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Cohen, Daniel Ian	7	2021-03-18	00		72,066	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Options	Cohen, Daniel Ian	7	2021-03-18	00		15,000	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Grywacheski, Karl	7	2021-03-18	00		74,751	

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IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Options	Grywacheski, Karl	7	2021-03-18	00		25,000	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Lustig, Marc	4, 7, 5	2021-03-18	22		1,708,979	346,266
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Ruscetta, Michael	7	2021-03-18	00		655,482	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Options	Ruscetta, Michael	7	2021-03-18	00		232,500	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Steinberg, Howard	7	2021-03-18	00		335,671	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Options	Steinberg, Howard	7	2021-03-18	00		232,500	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Common Shares	Wilson, Douglas	7	2021-03-18	00		28,649	
IM Cannabis Corp. (formerly, Navasota Resources Inc.)	Options	Wilson, Douglas	7	2021-03-18	00		15,000	
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Arca, Gary Vittorio	4, 5	2007-11-26	00			
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Arca, Gary Vittorio	4, 5	2021-03-22	16	0.125	270,000	240,000
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Arca, Gary Vittorio	4, 5	2021-03-22	16	0.125	1,313,333	560,000
iMining Blockchain and Cryptocurrency Inc.	Warrants	Arca, Gary Vittorio	4, 5	2007-11-26	00			
iMining Blockchain and Cryptocurrency Inc.	Warrants	Arca, Gary Vittorio	4, 5	2021-03-22	16	0.245	120,000	120,000
iMining Blockchain and Cryptocurrency Inc.	Warrants	Arca, Gary Vittorio	4, 5	2007-11-26	00			
iMining Blockchain and Cryptocurrency Inc.	Warrants	Arca, Gary Vittorio	4, 5	2021-03-22	16	0.245	280,000	280,000
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Eadie, Robert	3, 4, 5	2021-03-22	16	0.125	4,334,000	400,000
iMining Blockchain and Cryptocurrency Inc.	Warrants	Eadie, Robert	3, 4, 5	2021-03-22	53	0.245	200,000	200,000
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Moosa, Saleem	4	2021-03-22	00		3,000,000	
Imperial Oil Limited	Common Shares	Desjardins, Kristi Lyn	5	2020-12-31	30	22.9	3,988	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-01-31	30	34.14	841	5
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-01-31	30	34.5	840	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-02-28	30	30.86	839	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-03-31	30	29.59	838	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-04-30	30	14.23	851	13
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-04-30	30	15.74	850	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-05-31	30	21.82	849	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-06-30	30	21.92	848	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-07-31	30	22.11	857	9
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-07-31	30	21.78	856	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-08-31	30	21.91	855	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-09-30	30	21.67	854	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-10-31	30	16.98	865	11
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-10-31	30	15.38	864	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-11-30	30	18.51	863	-1
Imperial Oil Limited	Common Shares	Gemmell, Constance Dawn	5	2020-12-31	30	22.9	862	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-01-31	30	34.14	6,348	41
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-01-31	30	34.5	6,347	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-02-28	30	30.86	6,346	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-03-31	30	29.59	6,345	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-04-30	30	14.23	6,443	98
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-04-30	30	15.74	6,442	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-05-31	30	21.82	6,441	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-06-30	30	21.92	6,440	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-07-31	30	21.11	6,504	64
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-07-31	30	21.78	6,503	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-08-31	30	21.91	6,502	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-09-30	30	21.67	6,501	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-10-31	30	16.98	6,585	84
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-10-31	30	15.38	6,584	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-11-30	30	18.51	6,583	-1
Imperial Oil Limited	Common Shares	Giglio, Amy Michelle	7	2020-12-31	30	22.9	6,582	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-01-31	30	34.62	26,110	211
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-01-31	30	34.5	26,109	-1

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-02-28	30	31.25	26,210	101
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-02-28	30	30.86	26,209	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-03-31	30	22.48	26,374	165
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-03-31	30	29.59	26,373	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-04-30	30	15.12	26,993	620
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-04-30	30	15.74	26,992	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-05-31	30	21.48	27,151	159
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-05-31	30	21.82	27,150	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-06-30	30	22.9	27,300	150
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-06-30	30	21.92	27,299	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-07-31	30	22.1	27,725	426
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-07-31	30	21.78	27,724	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-08-31	30	22.22	27,878	154
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-08-31	30	21.91	27,877	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-09-30	30	20.55	28,044	167
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-09-30	30	21.67	28,043	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-10-31	30	16.25	28,591	548
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-10-31	30	15.38	28,590	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-11-30	30	20.41	28,760	170
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-11-30	30	18.7	28,759	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-12-31	30	23.9	28,994	235
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2020-12-31	30	22.9	28,993	-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.62		211
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.62		211
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.62		211
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.5		-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.5		-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-01-31	30	34.5		-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	31.25		101
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	31.25		101
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	31.25		101
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	30.86		-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	30.86		-1
Imperial Oil Limited	Common Shares	Jolly, Bruce	7	2021-02-28	30	30.86		-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-01-31	30	34.62	4,022	38
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-01-31	30	34.5	4,021	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-02-28	30	31.25	4,050	29
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-02-28	30	30.86	4,049	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-03-31	30	22.48	4,095	46
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-03-31	30	22.48		46
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-03-31	30	22.48		46
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-03-31	30	22.48		46
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-03-31	30	29.59	4,094	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-04-30	30	15.12	4,216	122
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-04-30	30	15.74	4,215	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-05-31	30	21.48	4,259	44
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-05-31	30	21.82	4,258	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-06-30	30	22.9	4,299	41
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-06-30	30	21.92	4,298	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-07-31	30	22.1	4,383	85
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-07-31	30	21.78	4,382	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-08-31	30	22.22	4,424	42
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-08-31	30	21.91	4,423	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-09-30	30	20.55	4,469	46
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-09-30	30	21.67	4,468	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-10-31	30	16.25	4,585	117
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-10-31	30	15.38	4,584	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-11-30	30	20.41	4,631	47
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-11-30	30	18.51	4,630	-1
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-12-31	30	23.9	4,669	39
Imperial Oil Limited	Common Shares	Laing, Ian Robert	5	2020-12-31	30	22.9	4,668	-1
Imperial Oil Limited	Common Shares	Lee, Kit Yee Kitty	5	2020-10-31	30	16.98	2,709	35
Imperial Oil Limited	Common Shares	Lee, Kit Yee Kitty	5	2020-10-31	30	15.38	2,708	-1
Imperial Oil Limited	Common Shares	Lee, Kit Yee Kitty	5	2020-11-30	30	18.51	2,707	-1
Imperial Oil Limited	Common Shares	Lee, Kit Yee Kitty	5	2020-12-31	30	22.9	2,706	-1

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-01-31	30	34.62	694	6
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-01-31	30	34.5	693	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-02-28	30	31.25	697	4
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-02-28	30	30.86	696	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-03-31	30	22.48	703	7
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-03-31	30	29.59	702	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-04-30	30	15.12	721	19
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-04-30	30	15.74	720	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-05-31	30	21.48	726	6
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-05-31	30	21.82	725	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-06-30	30	22.9	731	6
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-06-30	30	21.92	730	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-07-31	30	22.1	744	14
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-07-31	30	21.78	743	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-08-31	30	22.22	749	6
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-08-31	30	21.91	748	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-09-30	30	20.55	755	7
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-09-30	30	21.67	754	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-10-31	30	16.25	773	19
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-10-31	30	15.98	772	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-11-30	30	17.45	779	7
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-11-30	30	18.7	778	-1
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-12-31	30	23.9	786	8
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-12-31	30	23.9	786	8
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-12-31	30	23.9	786	8
Imperial Oil Limited	Common Shares	Noble, Peter Craig	7	2020-12-31	30	22.9	785	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-01-31	30	34.87	10,872	114
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-01-31	30	34.5	10,871	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-02-28	30	31.25	10,976	105
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-02-28	30	30.86	10,975	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-03-31	30	22.48	11,137	162
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-03-31	30	29.59	11,136	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-04-30	30	15.41	11,516	380
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-04-30	30	15.74	11,515	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-05-31	30	21.48	11,675	160
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-05-31	30	21.82	11,674	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-06-30	30	22.9	11,824	150
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-06-30	30	21.92	11,823	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-07-31	30	22.09	12,095	272
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-07-31	30	21.78	12,094	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-08-31	30	22.22	12,248	154
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-08-31	30	21.91	12,247	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-09-30	30	20.55	12,414	167
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-09-30	30	21.67	12,413	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-10-31	30	16.25	12,789	376
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-10-31	30	15.38	12,788	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-11-30	30	20.41	12,958	170
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-11-30	30	18.51	12,957	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-12-31	30	23.9	13,171	214
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2020-12-31	30	22.9	13,170	-1
INEO Tech Corp.	Options	Gattesco, Serge	4	2021-03-10	53			49,000
INEO Tech Corp.	Options	Gattesco, Serge	4	2021-03-10	53			49,000
INEO Tech Corp.	Warrants	Gattesco, Serge	4	2020-08-18	00		49,000	
INEO Tech Corp.	Common Shares	Matyas, Steven Emanuel	4	2021-03-10	53	0.55		75,000
INEO Tech Corp.	Common Shares	Matyas, Steven Emanuel	4	2021-03-10	53	0.55		75,000
INEO Tech Corp.	Warrants	Matyas, Steven Emanuel	4	2020-01-24	00		75,000	
INEO Tech Corp.	Common Shares	WATKIN, GREGORY THOMAS	3, 4, 5	2021-03-10	53	0.36		12,000
INEO Tech Corp.	Common Shares	WATKIN, GREGORY THOMAS	3, 4, 5	2021-03-10	53	0.36		12,000
INEO Tech Corp.	Warrants	WATKIN, GREGORY THOMAS	3, 4, 5	2020-01-24	00		12,000	
Information Services Corporation	Rights Performance Share Units	Budzak, Ken	5	2021-03-25	56	23.86	9,281	2,211
Information Services Corporation	Rights Share Appreciation Rights	Budzak, Ken	5	2020-03-26	56	13.71		21,139

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Information Services Corporation	Rights Share Appreciation Rights	Budzak, Ken	5	2020-03-26	56	13.71	38,073	21,139
Information Services Corporation	Rights Share Appreciation Rights	Budzak, Ken	5	2021-03-25	56	23.86	47,944	9,871
Information Services Corporation	Rights Performance Share Units	Cisyk, Loren Allen	5	2021-03-25	56	23.86	10,514	2,470
Information Services Corporation	Rights Share Appreciation Rights	Cisyk, Loren Allen	5	2020-03-26	56	13.71		23,847
Information Services Corporation	Rights Share Appreciation Rights	Cisyk, Loren Allen	5	2020-03-26	56	13.71	43,321	23,847
Information Services Corporation	Rights Share Appreciation Rights	Cisyk, Loren Allen	5	2021-03-25	56	23.86	54,350	11,029
Information Services Corporation	Rights Performance Share Units	Colledge, Clare Emma	7	2021-03-25	56	23.86		2,392
Information Services Corporation	Rights Performance Share Units	Colledge, Clare Emma	7	2021-03-25	56	23.86	10,604	2,392
Information Services Corporation	Rights Share Appreciation Rights	Colledge, Clare Emma	7	2020-03-26	56	13.71		22,649
Information Services Corporation	Rights Share Appreciation Rights	Colledge, Clare Emma	7	2020-03-26	56	13.71	44,185	22,649
Information Services Corporation	Rights Share Appreciation Rights	Colledge, Clare Emma	7	2021-03-25	56	23.86	54,863	10,678
Information Services Corporation	Rights Performance Share Units	Garven, Laurel	5	2021-03-25	56	23.86	4,635	1,167
Information Services Corporation	Rights Share Appreciation Rights	Garven, Laurel	5	2020-03-26	56	13.71		10,546
Information Services Corporation	Rights Share Appreciation Rights	Garven, Laurel	5	2020-03-26	56	13.71	18,684	10,546
Information Services Corporation	Rights Share Appreciation Rights	Garven, Laurel	5	2021-03-25	56	23.86	23,893	5,209
Information Services Corporation	Rights Performance Share Units	Hillman-Weir, Katherine	5	2021-03-25	56	23.86	10,231	2,421
Information Services Corporation	Rights Share Appreciation Rights	Hillman-Weir, Katherine	5	2020-03-26	56	13.71		23,153
Information Services Corporation	Rights Share Appreciation Rights	Hillman-Weir, Katherine	5	2020-03-26	56	13.71	42,060	23,153
Information Services Corporation	Rights Share Appreciation Rights	Hillman-Weir, Katherine	5	2021-03-25	56	23.86	52,872	10,812
Information Services Corporation	Rights Performance Share Units	McLean, Catherine Irene	5	2021-03-25	56	23.86	5,183	1,244
Information Services Corporation	Rights Share Appreciation Rights	McLean, Catherine Irene	5	2020-03-26	56	13.71		11,778
Information Services Corporation	Rights Share Appreciation Rights	McLean, Catherine Irene	5	2020-03-26	56	13.71	21,213	11,778
Information Services Corporation	Rights Share Appreciation Rights	McLean, Catherine Irene	5	2021-03-25	56	23.86	26,766	5,553
Information Services Corporation	Rights Performance Share Units	Peters, Shawn	5	2021-03-25	56	23.86	21,251	12,454
Information Services Corporation	Rights Performance Share Units	Peters, Shawn	5	2021-03-25	56	23.86	24,040	2,789
Information Services Corporation	Rights Share Appreciation Rights	Peters, Shawn	5	2020-03-26	56	13.71		26,417
Information Services Corporation	Rights Share Appreciation Rights	Peters, Shawn	5	2020-03-26	56	13.71	47,379	26,417
Information Services Corporation	Rights Performance Share Units	Stusek, Jeff	5	2021-03-25	56	23.86	30,178	6,858
Information Services Corporation	Rights Share Appreciation Rights	Stusek, Jeff	5	2020-03-26	56	13.71		138,454
Information Services Corporation	Rights Share Appreciation Rights	Stusek, Jeff	5	2020-03-26	56	13.71	254,910	138,454
Information Services Corporation	Rights Share Appreciation Rights	Stusek, Jeff	5	2021-03-25	56	23.86	317,077	62,167
Information Services Corporation	Rights Performance Share Units	White, Dennis Scott	5	2021-03-25	56	23.86	5,932	1,348
Information Services Corporation	Rights Share Appreciation Rights	White, Dennis Scott	5	2020-03-26	56	13.71		13,403
Information Services Corporation	Rights Share Appreciation Rights	White, Dennis Scott	5	2020-03-26	56	13.71	24,677	13,403
Information Services Corporation	Rights Share Appreciation Rights	White, Dennis Scott	5	2021-03-25	56	23.86	30,695	6,018
Innergex Renewable Energy Inc.	Common Shares	Baribeault, Yves	5	2021-03-25	57	21.39	16,530	4,072
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Baribeault, Yves	5	2021-03-25	57	21.39	15,220	-4,072

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Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Baribeault, Yves	5	2021-03-25	38		14,671	-549
Innergex Renewable Energy Inc.	Unités d'actions différées (UAD)/Deferred Shares Units (DSU)	Baribeault, Yves	5	2021-03-25	56		13,310	6,149
Innergex Renewable Energy Inc.	Unités d'actions différées (UAD)/Deferred Shares Units (DSU)	Boislard-Pépin, Alexandra	5	2020-06-01	00			
Innergex Renewable Energy Inc.	Unités d'actions différées (UAD)/Deferred Shares Units (DSU)	Boislard-Pépin, Alexandra	5	2021-03-25	56		3,399	3,399
Innergex Renewable Energy Inc.	Common Shares	de Batz de Trenquelléon, Renaud	5	2021-03-25	57	21.39	170,516	6,754
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	de Batz de Trenquelléon, Renaud	5	2021-03-25	57	21.39	17,059	-6,754
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	de Batz de Trenquelléon, Renaud	5	2021-03-25	38		16,117	-942
Innergex Renewable Energy Inc.	Common Shares	Giroux, Colleen Alana	5	2021-03-25	57	21.39	7,293	3,651
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Giroux, Colleen Alana	5	2021-03-25	57	21.39	12,640	-3,651
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Giroux, Colleen Alana	5	2021-03-25	38		12,131	-509
Innergex Renewable Energy Inc.	Common Shares	Grover, Peter	5	2021-03-25	57	21.39	154,436	6,782
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Grover, Peter	5	2021-03-25	57	21.39	18,561	-6,782
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Grover, Peter	5	2021-03-25	38	21.39	17,647	-914
Innergex Renewable Energy Inc.	Common Shares	Kennedy, Matthew Grant	5	2021-03-25	57	21.39	53,523	4,055
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Kennedy, Matthew Grant	5	2021-03-25	57	21.39	10,161	-4,055
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Kennedy, Matthew Grant	5	2021-03-25	38		9,595	-566
Innergex Renewable Energy Inc.	Common Shares	Letellier, Michel	4, 5	2021-03-25	57	21.39	951,482	24,552
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Letellier, Michel	4, 5	2021-03-25	57	21.39	76,716	-24,552
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Letellier, Michel	4, 5	2021-03-25	38		73,407	-3,309
Innergex Renewable Energy Inc.	Common Shares	Neault, Jean-François	5	2021-03-25	57	21.39	8,545	8,545
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Neault, Jean-François	5	2021-03-25	57	21.39	32,953	-8,545
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Neault, Jean-François	5	2021-03-25	38		31,801	-1,152
Innergex Renewable Energy Inc.	Common Shares	Sutton, Jay	5	2021-03-25	57	21.39	15,067	2,935
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Sutton, Jay	5	2021-03-25	57	21.39	17,827	-2,935
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Sutton, Jay	5	2021-03-25	38		17,417	-410
Innergex Renewable Energy Inc.	Common Shares	Trudel, Jean	5	2021-03-25	57	21.39	295,582	8,545
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Trudel, Jean	5	2021-03-25	57	21.39	29,634	-8,545
Innergex Renewable Energy Inc.	Rights d'actions liées au rendement /Performance Share Rights	Trudel, Jean	5	2021-03-25	38		28,482	-1,152
Input Capital Corp.	Loan secured by pledge (limited recourse) matures Apr 17/22.	Farquhar, Bradley Douglas	4, 5	2021-03-23	70		0	-1

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Input Capital Corp.	Loan secured by pledge (limited recourse) matures Apr 17/22.	Farquhar, Bradley Douglas	4, 5	2021-03-23	70		0	-1
Intact Financial Corporation	Deferred Share Units for Directors	De Silva, Janet	4	2020-12-31	30	139.67	9,871	227
Intact Financial Corporation	Deferred Share Units for Directors	Dussault, Claude	4, 5	2020-12-31	30	139.67	16,914	402
Intact Financial Corporation	Deferred Share Units for Directors	Kinney, Jane Elizabeth	4	2020-12-31	30	139.67	2,478	44
Intact Financial Corporation	Deferred Share Units for Directors	Leary, Robert	4	2020-12-31	30	139.67	11,473	265
Intact Financial Corporation	Deferred Share Units for Directors	Paquette, Sylvie	4	2020-12-31	30	139.67	7,013	156
Intact Financial Corporation	Deferred Share Units for Directors	Singer, Frederick Glenn Ian	4	2020-12-31	30	139.67	16,009	379
Intact Financial Corporation	Deferred Share Units for Directors	Stephenson, Carol M.	4	2020-12-31	30	139.67	14,478	361
Intact Financial Corporation	Deferred Share Units for Directors	Young, William	4	2020-12-31	30	139.67	3,283	71
Inter Pipeline Ltd.	Rights Restricted Share Units	McKenzie, Margaret Anne	4	2021-03-18	56	17.993	23,713	2,201
Interfor Corporation	Common Shares	FILLINGER, IAN	4, 5	2021-03-25	10	24.13	56,970	3,100
International Battery Metals Ltd. (formerly, Rheingold Exploration Corp.)	Common Shares	EVL Holdings, LLC	3	2020-12-14	00		25,000,000	
InterRent Real Estate Investment Trust	Deferred Units	Cutsey, Bradley	5	2021-03-17	56		434,086	17,615
InterRent Real Estate Investment Trust	Deferred Units	McGahan, Michael Darryl	4, 5	2021-03-17	56			44,037
InterRent Real Estate Investment Trust	Deferred Units	McGahan, Michael Darryl	4, 5	2021-03-17	56		2,426,157	88,075
InterRent Real Estate Investment Trust	Deferred Units	Millar, Curt	5	2021-03-17	56		243,280	28,184
InterRent Real Estate Investment Trust	Deferred Units	Nevins, David	5	2021-03-17	56		492,868	8,455
Intertape Polymer Group Inc.	Deferred Share Units	Beil, Robert	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Beil, Robert	4	2021-03-22	56	29.78	52,055	3,979
Intertape Polymer Group Inc.	Performance Share Units	Blockowitz, Dean	5	2021-03-22	56	29.78	50,950	6,129
Intertape Polymer Group Inc.	Restricted Share Units	Blockowitz, Dean	5	2021-03-22	56	29.78	16,983	2,043
Intertape Polymer Group Inc.	Performance Share Units	Booth, Randi	5	2021-03-22	56	29.78	40,510	7,661
Intertape Polymer Group Inc.	Restricted Share Units	Booth, Randi	5	2021-03-22	56	29.78	20,254	3,830
Intertape Polymer Group Inc.	Deferred Share Units	Cawston, Christopher Robert	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Cawston, Christopher Robert	4	2021-03-22	56	29.78	8,114	3,979
Intertape Polymer Group Inc.	Deferred Share Units	Craighead, Jane	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Craighead, Jane	4	2021-03-22	56	29.78	8,102	3,979
Intertape Polymer Group Inc.	Performance Share Units	Crystal, Jeffrey	5	2021-03-22	56	29.78	73,200	9,703
Intertape Polymer Group Inc.	Restricted Share Units	Crystal, Jeffrey	5	2021-03-22	56	29.78	36,601	4,852
Intertape Polymer Group Inc.	Deferred Share Units	DiTomaso, Frank	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	DiTomaso, Frank	4	2021-03-22	56	29.78	45,481	3,979
Intertape Polymer Group Inc.	Common Shares	Foster, Robert J	4	2021-03-22	10	29.121	46,100	-5,000
Intertape Polymer Group Inc.	Deferred Share Units	Foster, Robert J	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Foster, Robert J	4	2021-03-22	56	29.78	73,873	3,979
Intertape Polymer Group Inc.	Deferred Share Units	Granovsky, Dahra Granovsky	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Granovsky, Dahra Granovsky	4	2021-03-22	56	29.78	21,833	3,979
Intertape Polymer Group Inc.	Performance Share Units	laboni, Silvano	5	2021-03-22	56	29.78	47,636	5,107
Intertape Polymer Group Inc.	Restricted Share Units	laboni, Silvano	5	2021-03-22	56	29.78	18,523	2,554
Intertape Polymer Group Inc.	Performance Share Units	Nalette, Douglas	5	2021-03-22	56	29.78	39,746	6,129
Intertape Polymer Group Inc.	Restricted Share Units	Nalette, Douglas	5	2021-03-22	56	29.78	19,872	3,064
Intertape Polymer Group Inc.	Performance Share Units	Nelson, Shawn	5	2021-03-22	56	29.78	39,746	6,129
Intertape Polymer Group Inc.	Restricted Share Units	Nelson, Shawn	5	2021-03-22	56	29.78	19,872	3,064
Intertape Polymer Group Inc.	Deferred Share Units	Pantelidis, James	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Pantelidis, James	4	2021-03-22	56	29.78	45,513	3,979
Intertape Polymer Group Inc.	Deferred Share Units	Quintas, Jorge Nelson	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Quintas, Jorge Nelson	4	2021-03-22	56	29.78	77,134	3,979
Intertape Polymer Group Inc.	Deferred Share Units	Salomone, Mary Patricia	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Salomone, Mary Patricia	4	2021-03-22	56	29.78	40,218	3,979
Intertape Polymer Group Inc.	Performance Share Units	Thompson, Mary Beth Thompson	5	2021-03-22	56	29.78	37,046	5,107
Intertape Polymer Group Inc.	Restricted Share Units	Thompson, Mary Beth Thompson	5	2021-03-22	56	29.78	18,523	2,554
Intertape Polymer Group Inc.	Performance Share Units	Tocci, Joseph	5	2021-03-22	56	29.78	39,235	5,618

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Intertape Polymer Group Inc.	Restricted Share Units	Tocci, Joseph	5	2021-03-22	56	29.78	19,617	2,809
Intertape Polymer Group Inc.	Performance Share Units	Yull, Gregory	4, 5	2021-03-22	56	29.78	318,584	42,185
Intertape Polymer Group Inc.	Restricted Share Units	Yull, Gregory	4, 5	2021-03-22	56	29.78	159,292	21,092
Intertape Polymer Group Inc.	Deferred Share Units	Yull, Melbourne F.	4	2021-03-22	56	29.78		3,882
Intertape Polymer Group Inc.	Deferred Share Units	Yull, Melbourne F.	4	2021-03-22	56	29.78	54,008	3,979
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Benbow, Bradley	4	2020-12-31	30		105,869	3,372
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Brandin, Donna	4	2020-12-31	30		53,112	604
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Chester, Adlai	4, 5	2021-03-23	57	2.74	140,492	13,600
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Chester, Adlai	4, 5	2020-12-31	30		175,156	10,170
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Chester, Adlai	4, 5	2021-03-23	57		145,542	-13,600
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Chester, Adlai	4, 5	2021-03-23	59		139,970	-5,572
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Hawkins, Shaun	4	2020-12-31	30		65,849	2,800
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Herman, Charles Jacob	4	2020-12-31	30		83,120	2,178
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Higgs, Scott David	5	2021-03-23	57	2.74	114,227	22,233
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Higgs, Scott David	5	2020-12-31	30		187,117	10,234
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Higgs, Scott David	5	2021-03-23	57		148,870	-22,233
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Higgs, Scott David	5	2021-03-23	59		139,977	-8,893
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	White, Scott	4, 5	2021-03-23	57	2.74	302,169	49,798
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	White, Scott	4, 5	2020-12-31	30		506,431	27,611
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	White, Scott	4, 5	2021-03-23	57		412,068	-49,798
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	White, Scott	4, 5	2021-03-23	59		383,874	-28,194
IOU Financial Inc.	Common Shares	Neuberger Berman Investment Advisers LLC	3	2020-12-31	00		15,665,839	
Itafos (formerly, MBAC Fertilizer Corp.)	Common Shares	Cina, Antonio	4	2020-02-05	90		221,522	11
ITOK Capital Corp.	Convertible Debentures	Fazil, Mohammad (Mo) Shahid	4	2020-10-13	00			
ITOK Capital Corp.	Convertible Debentures	Fazil, Mohammad (Mo) Shahid	4	2020-10-13	00		\$230,000	
Izotropic Corporation	Common Shares	McGraw, John	5	2021-03-24	00		400,000	
Izotropic Corporation	Options	McGraw, John	5	2021-03-24	00		200,000	
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-19	10	38.016		-27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-19	10	38.016		-27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-19	51	15.75	532,158	27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-19	10	38.016	504,858	-27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	51	15.75		27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	51	15.75		27,300
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	10	38.673		-33,600
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	10	38.673		-33,600
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	51	15.75	521,308	16,450
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	51	20.11	538,458	17,150
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-22	10	38.673	504,858	-33,600
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	51	15.75		16,450
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	51	15.75		16,450

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Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	51	20.11		17,150
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	51	20.11		17,150
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	10	38	484,858	-20,000
Jamieson Wellness Inc.	Common Shares	Hornick, Mark	4, 5	2021-03-23	51	20.11	504,858	20,000
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-19	51	15.75	392,697	-27,300
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-22	51	15.75		-27,300
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-22	51	15.75		-27,300
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-22	51	15.75	376,247	-16,450
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-22	51	20.11	359,097	-17,150
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-23	51	15.75		-16,450
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-23	51	15.75		-16,450
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-23	51	20.11		-17,150
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-23	51	20.11		-17,150
Jamieson Wellness Inc.	Options	Hornick, Mark	4, 5	2021-03-23	51	20.11	339,097	-20,000
Jushi Holdings Inc.	Subordinate Voting Shares	Arsenault, Denis	3	2021-03-24	10	8.2885	3,144,133	42,300
K-Bro Linen Inc.	Common Shares	Percy, Michael Barrett	4	2021-03-23	10	42.32	10,718	500
K9 Gold Corp.	Options	Healey, Christopher Martin	4	2021-03-25	50	0.32	325,000	175,000
K9 Gold Corp.	Options	Morrison, Brian	4, 5	2021-03-25	50	0.32	885,000	240,000
K9 Gold Corp.	Options	Poloni, Jeff	5	2021-03-25	50	0.32	790,000	240,000
K9 Gold Corp.	Options	tsoutsis, kosta	5	2021-03-25	50	0.32	315,000	240,000
Karora Resources Inc.	Rights Restricted Share Units	Hollaar, Timothy Lee	5	2021-03-23	59	3.59	71,959	-38,226
Kelt Exploration Ltd.	Options	Dales, Robert John	4	2021-03-24	50	2.72	211,000	30,000
Kelt Exploration Ltd.	Options	Errico, Douglas Jeffery	5	2021-03-24	10	2.72		120,000
Kelt Exploration Ltd.	Options	Errico, Douglas Jeffery	5	2021-03-24	50	2.72	573,000	120,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Errico, Douglas Jeffery	5	2021-03-24	56		43,500	35,000
Kelt Exploration Ltd.	Options	Franks, Alan G.	5	2021-03-24	50	2.72	523,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Franks, Alan G.	5	2021-03-24	56		38,500	30,000
Kelt Exploration Ltd.	Options	Gigg, Bruce Douglas	5	2021-03-11	52	3.93	338,000	-150,000
Kelt Exploration Ltd.	Options	Gigg, Bruce Douglas	5	2021-03-24	50	2.72	438,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Gigg, Bruce Douglas	5	2021-03-24	56		38,500	30,000
Kelt Exploration Ltd.	Options	Gillis, David A.	5	2021-03-24	50	2.72	483,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Gillis, David A.	5	2021-03-24	56		47,500	30,000
Kelt Exploration Ltd.	Options	Greenall, Geraldine Louise	4	2021-03-24	56	2.72	163,000	30,000
Kelt Exploration Ltd.	Options	Guinan, William Charles	4, 5	2021-03-24	50	2.72	183,000	30,000
Kelt Exploration Ltd.	Options	Lee, Louise	5	2021-03-24	50	2.72	30,000	15,000
Kelt Exploration Ltd.	Options	MacArthur, Douglas Owen	5	2021-03-24	50	2.72	553,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	MacArthur, Douglas Owen	5	2021-03-24	56		38,500	30,000
Kelt Exploration Ltd.	Options	Miles, Patrick William George	5	2021-03-24	50	2.72	553,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Miles, Patrick William George	5	2021-03-24	56		38,500	30,000
Kelt Exploration Ltd.	Options	Shea, Michael	4	2021-03-24	50	2.72	143,000	30,000
Kelt Exploration Ltd.	Options	Sinclair, Neil Graham	4	2021-03-24	50	2.72	211,000	30,000
Kelt Exploration Ltd.	Options	Van Brunschot, Carolyn	5	2021-03-24	50	2.72	483,000	100,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Van Brunschot, Carolyn	5	2021-03-24	56		38,500	30,000
Kelt Exploration Ltd.	Common Shares	Wilson, David John	3, 4, 5	2021-03-22	10	2.76	17,096,290	40,200
Kelt Exploration Ltd.	Common Shares	Wilson, David John	3, 4, 5	2021-03-23	10	2.69	17,426,290	330,000
Kelt Exploration Ltd.	Common Shares	Wilson, David John	3, 4, 5	2021-03-24	10	2.64	258,200	100,000
Kelt Exploration Ltd.	Options	Wilson, David John	3, 4, 5	2021-03-24	50	2.72	954,000	250,000
Kelt Exploration Ltd.	Rights Restricted Share Units	Wilson, David John	3, 4, 5	2021-03-24	56		185,000	115,000
Keyera Corp.	Common Shares	Norris, Michael John	4	2020-12-31	30	27	8,178	222
Kingman Minerals Ltd.	Options	Brown, Arthur	4, 5	2021-03-25	50	0.185	575,000	175,000
Kingman Minerals Ltd.	Options	Driver, Cyrus	4	2021-03-25	50	0.185	450,000	100,000
Kinross Gold Corporation	Rights Deferred Share Units	Atkinson, Ian	4	2021-03-18	97	8.56	149,136	657
Kinross Gold Corporation	Restricted Shares	Davis, Graeme M.	5	2021-03-18	35	8.56	161,786	673
Kinross Gold Corporation	Rights Deferred Share Units	Dyte, Kerry Don	4	2021-03-18	97	8.56	77,623	342
Kinross Gold Corporation	Restricted Shares	Elliott, Thomas Ballantyne	5	2021-03-18	35	8.56	202,646	893
Kinross Gold Corporation	Restricted Shares	Freeborough, Andrea Susan	5	2021-03-18	35	8.56	288,544	1,277
Kinross Gold Corporation	Restricted Shares	Gold, Geoffrey Peters	5	2021-03-18	35	8.56	721,478	3,205
Kinross Gold Corporation	Restricted Shares	Hicks, Scott J.	5	2021-03-18	35	8.56	118,518	522
Kinross Gold Corporation	Rights Deferred Share Units	Ives, Glenn Antony	4	2021-03-18	97	8.56	9,798	43

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Kinross Gold Corporation	Rights Deferred Share Units	Lethbridge, Ave Gabriella	4	2021-03-18	97	8.56	206,799	911
Kinross Gold Corporation	Restricted Shares	Longenecker, Nathan M.	5	2021-03-18	35	8.56	255,729	1,127
Kinross Gold Corporation	Rights Deferred Share Units	McGregor, Elizabeth Dianne	4	2021-03-18	97	8.56	24,156	106
Kinross Gold Corporation	Rights Deferred Share Units	McLeod-Seltzer, Catherine	4	2021-03-18	97	8.56	299,585	1,321
Kinross Gold Corporation	Restricted Shares	Mittler, Andreas	5	2021-03-18	35	8.56	188,669	836
Kinross Gold Corporation	Restricted Shares	Opitz, Edward A.	5	2021-03-18	35	8.56	128,398	566
Kinross Gold Corporation	Rights Deferred Share Units	Osborne, Kelly	4	2021-03-18	97	8.56	257,178	1,133
Kinross Gold Corporation	Restricted Shares	Rollinson, Jonathon Paul	4, 5	2021-03-18	35	8.56	1,550,207	6,861
Kinross Gold Corporation	Restricted Shares	Schimper, Claude J.S.	5	2021-03-18	35	8.56	183,980	811
Kinross Gold Corporation	Rights Deferred Share Units	Scott, David Arthur	4	2021-03-18	97	8.56	48,430	213
Kinross Gold Corporation	Restricted Shares	Sylvestre, Michel	5	2021-03-18	35	8.56	247,428	1,135
Kinross Gold Corporation	Restricted Shares	Timpano, Hélène	5	2021-03-18	35	8.56	192,813	850
Kinross Gold Corporation	Restricted Shares	Tomory, Paul Botond Stilio	5	2021-03-18	35	8.56	332,943	1,746
Kinross Gold Corporation	Restricted Shares	van Akkooi, Michiel	5	2021-03-18	35	8.56	285,553	1,030
Kinross Gold Corporation	Restricted Shares	Wiseman, Tara H.	5	2021-03-18	35	8.56	76,836	339
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Options	Bennett, William	4	2021-03-25	50		600,000	125,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Options	Cooper, Gavin	5	2021-03-25	50	0.55	937,000	200,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Common Shares	Quin, Stephen Paul	4	2021-03-18	54	0.25	150,000	75,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Common Shares	Quin, Stephen Paul	4	2021-03-18	10	0.5	115,000	-35,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Options	Quin, Stephen Paul	4	2021-03-25	50	0.55	600,000	125,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Warrants	Quin, Stephen Paul	4	2021-03-18	54	0.25	0	-75,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Options	Sorace, Vince	4, 5	2021-03-25	50	0.55	1,916,750	400,000
Kutcho Copper Corp. (formerly Desert Star Resources Ltd.)	Options	Sujir, Jay	4	2021-03-25	50	0.55	475,000	125,000
KuuHubb Inc.	Common Shares	Joki Capital Ou	3	2021-03-10	16	0.09	11,545,000	1,700,000
KuuHubb Inc.	Common Shares	Keranen, Jouni	4, 5	2021-03-10	16	0.09	6,912,000	1,020,000
KuuHubb Inc.	Common Shares	Kolster, Christian	4, 5	2021-03-10	16	0.09	4,608,000	680,000
KuuHubb Inc.	Common Shares	Sung, Charles Chien-Hung	5	2019-07-05	00			
KuuHubb Inc.	Common Shares	Sung, Charles Chien-Hung	5	2021-03-10	16	0.09	277,778	277,778
KuuHubb Inc.	Common Shares	Sung, Charles Chien-Hung	5	2019-07-05	00			
KuuHubb Inc.	Common Shares	Sung, Charles Chien-Hung	5	2021-03-10	16	0.09	277,778	277,778
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	McNeil, William Hugh	4	2021-03-15	56		2,166	-3,114
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Rosch, Sandra Louise	4	2021-03-15	56		2,799	-2,563
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Rosch, Sandra Louise	4	2021-03-15	56		4,108	1,309
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Thomas, Alan Richard	5	2021-03-15	56		2,799	-2,563
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Thomas, Alan Richard	5	2021-03-15	56		4,004	1,205
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Tuer, John	4, 5	2021-03-15	56	39.524	3,007	-1,504
Labrador Iron Ore Royalty Corporation	Restricted Share Unit	Tuer, John	4, 5	2021-03-15	56		5,330	2,323
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-22	10	0.6	10,770,650	637,300
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-22	10	0.6	14,641,360	1,322,900
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-22	10	0.6	19,499,160	1,124,000
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-22	10	0.6	6,106,300	800,000
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	2021-03-22	10	0.6	1,860,920	115,800
Liberio Copper & Gold Corporation (Formerly Libero Copper Corporation)	Common Shares	Bennett, William	4	2021-02-03	37		10,000	-40,000
Liberio Copper & Gold Corporation (Formerly Libero Copper Corporation)	Options	Bennett, William	4	2021-02-03	37		200,000	-800,000
Liberio Copper & Gold Corporation (Formerly Libero Copper Corporation)	Units Warrant	Bennett, William	4	2020-02-03	37			-40,000
Liberio Copper & Gold Corporation (Formerly Libero Copper Corporation)	Units Warrant	Bennett, William	4	2021-02-03	37		10,000	-40,000
Lithium South Development Corporation	Options	de Castro Alem, Jose Gustavo	4, 5	2021-03-05	50	0.51	1,500,000	300,000
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2021-03-22	38	66.95	2,854,425	-166,114

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Loblaw Companies Limited	Common Shares	George Weston Limited	3	2021-03-23	38	69.29	2,796,490	-57,935
Loblaw Companies Limited	Common Shares	Leger, Jeffrey Francis	5	2021-03-15	00		16,551	
Loblaw Companies Limited	Common Shares	Leger, Jeffrey Francis	5	2021-03-15	00		1,641	
Loblaw Companies Limited	Options	Leger, Jeffrey Francis	5	2021-03-15	00		204,785	
Loblaw Companies Limited	Performance Share Units	Leger, Jeffrey Francis	5	2021-03-15	00		16,670	
Loblaw Companies Limited	Restricted Share Units	Leger, Jeffrey Francis	5	2021-03-15	00		16,668	
Loblaw Companies Limited	Rights - Deferred Share Units	Leger, Jeffrey Francis Limited	5	2021-03-15	00		1,433	
Lomiko Metals Inc.	Common Shares	AJS Management Corp.	4	2021-03-23	11	0.05		2,000,000
Lomiko Metals Inc.	Common Shares	AJS Management Corp.	4	2021-03-26	11	0.05	2,000,000	2,000,000
Lomiko Metals Inc.	Warrants	AJS Management Corp.	4	2021-03-24	54	0.05	4,670,000	-2,000,000
Lomiko Metals Inc.	Common Shares	Gill, Amrit Paul Singh	5	2021-03-23	10	0.15	7,347,890	-1,938,038
Lucky Minerals Inc.	Common Shares	Mann, Diane	5	2020-06-10	11	0.15	20,000	20,000
Lucky Minerals Inc.	Common Shares	Mann, Diane	5	2021-03-02	00			
Lucky Minerals Inc.	Common Shares	Mann, Diane	5	2021-03-02	00			
Lucky Minerals Inc.	stock options	Mann, Diane	5	2021-03-02	00		50,000	
Lucky Minerals Inc.	Warrants	Mann, Diane	5	2021-03-02	00			
Lucky Minerals Inc.	Warrants	Mann, Diane	5	2021-03-02	00		20,000	
Lucky Minerals Inc.	stock options	Perron, François	4	2021-03-25	50	0.1	1,195,000	700,000
Lundin Mining Corporation	Rights Performance Share Units	HASTINGS, ANDREW	5	2019-02-27	00		14,500	
Lundin Mining Corporation	Rights Share Units	HASTINGS, ANDREW	5	2021-02-23	56			29,000
Lundin Mining Corporation	Rights Share Units	HASTINGS, ANDREW	5	2021-02-23	56		111,500	14,500
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2021-03-22	57		20,000	20,000
Lundin Mining Corporation	Common Shares	Jean-Claude, Lalumiere	5	2021-03-22	10	14.12	9,271	-10,729
Lundin Mining Corporation	Rights Share Units	Jean-Claude, Lalumiere	5	2021-03-22	57		111,000	-20,000
Luxxfolio Holdings Inc.	Common Shares	Klatik, Kelly	4	2021-03-19	16	0.35	2,456,673	22,144
Luxxfolio Holdings Inc.	Common Shares	Linden, Dean	5	2021-03-19	16	0.35	2,446,864	22,056
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2021-03-24	10	3.7	5,824,617	-10,000
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2021-03-25	10	3.77	5,817,617	-7,000
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2021-03-25	10	3.78	5,802,617	-15,000
Magnetic North Acquisition Corp.	Common Shares	Kowal, John Stanley	4	2019-12-15	00			
Magnetic North Acquisition Corp.	Common Shares	Kowal, John Stanley	4	2021-03-25	51	0.83	18,000	18,000
Magnetic North Acquisition Corp.	Options	Kowal, John Stanley	4	2021-03-25	51	0.83	432,000	-18,000
Magnetic North Acquisition Corp.	Common Shares	Larson, Trent	4	2019-01-01	00			
Magnetic North Acquisition Corp.	Common Shares	Larson, Trent	4	2021-03-24	51	0.83	10,000	10,000
Magnetic North Acquisition Corp.	Options	Larson, Trent	4	2021-03-24	51	0.83	440,000	-10,000
Magnetic North Acquisition Corp.	Common Shares	Wild, Ian Grieve	4	2021-03-24	51	0.83	5,120,073	18,073
Magnetic North Acquisition Corp.	Options	Wild, Ian Grieve	4	2021-03-24	51	0.83	606,927	-18,073
Mainstream Minerals Corporation	Common Shares	Generic Capital Corporation	3	2021-03-22	11	1	1,914,706	-110,294
Mandalay Resources Corporation	Common Shares	Jonker, Abraham	4	2020-04-17	57			-18,537
Mandalay Resources Corporation	Common Shares	Jonker, Abraham	4	2020-04-17	57		173,187	18,537
Mangazeya Mining Ltd.	Common Shares	Yanchukov, Sergey	3	2021-03-25	10	0.09	3,412,356	134,283
ManifestSeven Holdings Corporation (formerly, P&P Ventures Inc.)	Subordinate Voting Shares Class A	Redelman, Joel	3	2021-03-18	11	0.42	5,676,901	301,619
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2021-03-19	30		18,859	113
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2021-03-19	30		18,911	52
Marble Financial Inc.	Common Shares	Marrandino, Michele	3, 4, 5	2021-03-26	16	0.3	3,901,500	200,000
Martinrea International Inc.	Common Shares	Waitzer, Edward	4	2021-03-22	10	13.45	20,000	10,000
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2021-03-19	10	0.175	417,500	9,500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-22	38	6.4767	300	300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-03-22	38		0	-300
MCAN Mortgage Corporation	Performance Share Units	Brown, Carl Scott	5	2021-03-22	56	16.526	6,937	2,566
MCAN Mortgage Corporation	Restricted Share Units	Brown, Carl Scott	5	2021-03-22	97		9,338	2,566
MCAN Mortgage Corporation	Performance Share Units	BUCK, AVISH	5	2021-03-22	56	16.526	3,754	2,566
MCAN Mortgage Corporation	Restricted Share Units	BUCK, AVISH	5	2021-03-22	56	16.526	5,370	4,182

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MCAN Mortgage Corporation	Performance Share Units	Cipollone, Floriana	5	2021-03-22	56	16.526	6,481	3,147
MCAN Mortgage Corporation	Restricted Share Units	Cipollone, Floriana	5	2021-03-22	56	16.526	6,481	3,147
MCAN Mortgage Corporation	Performance Share Units	Pejic, Milica	5	2021-03-22	56	16.526	3,925	1,326
MCAN Mortgage Corporation	Restricted Share Units	Pejic, Milica	5	2021-03-22	56	16.526	6,246	1,326
MCAN Mortgage Corporation	Performance Deferred Share Units	Pinto, Sylvia	5	2021-03-22	56	16.526	3,418	802
MCAN Mortgage Corporation	Restricted Share Units	Pinto, Sylvia	5	2021-03-22	56	16.526	4,618	802
MCAN Mortgage Corporation	Performance Share Units	Randle, Emily Anne	5	2021-03-22	56	16.52	8,269	1,600
MCAN Mortgage Corporation	Restricted Share Units	Randle, Emily Anne	5	2021-03-22	56	16.52	5,344	1,600
MCAN Mortgage Corporation	Performance Share Units	Weaver, Karen H.	4, 5	2021-03-22	56	16.526	27,480	9,258
MCAN Mortgage Corporation	Restricted Share Units	Weaver, Karen H.	4, 5	2021-03-22	56	16.526	24,092	6,172
McCoy Global Inc.	Common Shares	Cannell Capital LLC	3	2021-03-23	10	0.6	9,404	149
McCoy Global Inc.	Common Shares	Cannell Capital LLC	3	2021-03-23	10	0.6	22,096	351
Medcolcanna Organics Inc.	Common Shares	Borresen, Thor	4	2019-05-17	00			
Medcolcanna Organics Inc.	Common Shares	Borresen, Thor	4	2021-03-22	46	0.09	84,667	84,667
Medcolcanna Organics Inc.	Common Shares	Borresen, Thor	4	2021-03-22	46	0.145	110,943	26,276
Medcolcanna Organics Inc.	Common Shares	De La Vega, Felipe	4, 5	2021-03-22	46	0.09	581,111	261,111
Medcolcanna Organics Inc.	Common Shares	Metcalfe, Robert	4	2021-03-22	46	0.09	582,223	282,223
Medcolcanna Organics Inc.	Common Shares	Metcalfe, Robert	4	2021-03-22	46	0.145	669,810	87,587
Medcolcanna Organics Inc.	Common Shares	Mora, Jose Joaquin	4	2019-06-11	00			
Medcolcanna Organics Inc.	Common Shares	Mora, Jose Joaquin	4	2021-03-22	46	0.09	84,667	84,667
Medcolcanna Organics Inc.	Common Shares	Mora, Jose Joaquin	4	2021-03-22	46	0.145	110,943	26,276
Medcolcanna Organics Inc.	Common Shares	Reid, Christopher Donald	5	2021-03-22	46	0.09	6,116,525	231,679
Medcolcanna Organics Inc.	Warrants	Reid, Christopher Donald	5	2021-03-24	16	0.1	10,875,000	4,125,000
Medcolcanna Organics Inc.	Common Shares	Rodriguez, Nicolas	5	2021-03-22	46	0.09	1,188,472	188,472
Medcolcanna Organics Inc.	Common Shares	Vieira, Abba	4	2019-05-17	00			
Medcolcanna Organics Inc.	Common Shares	Vieira, Abba	4	2021-03-22	46	0.09	84,667	84,667
Medcolcanna Organics Inc.	Common Shares	Vieira, Abba	4	2021-03-22	46	0.145	110,943	26,276
Mednow Inc.	Options	Reyhany-Bozorg, Amir Ali	4, 5	2021-01-21	50	1.75		240,000
Mednow Inc.	Options	Reyhany-Bozorg, Amir Ali	4, 5	2021-01-21	50	1.75		240,000
Mednow Inc.	Options	Reyhany-Bozorg, Amir Ali	4, 5	2021-03-26	99	1.75	240,000	240,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2021-03-23	38	10.9	1,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2021-03-24	38	10.899	2,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2021-03-25	38	10.9	1,000	-1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2021-03-25	38	10.88	2,000	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2021-03-26	38	10.9	3,000	1,000
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2003-06-09	00			
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2021-03-22	10	10.9	700	700
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2003-06-09	00			
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2021-03-22	10	10.9	425	425
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-23	38	6.3451	25,649	3,207
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-24	38	6.2236	28,856	3,207
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-25	38	6.36	32,063	3,207
Melcor Real Estate Investment Trust	Trust Units	Melcor Real Estate Investment Trust	1	2021-03-26	38	6.19	35,270	3,207
Meryllion Resources Corporation	Options	Jeremy, Edelman	3, 4, 5	2020-06-12	00			
Meryllion Resources Corporation	Options	Jeremy, Edelman	3, 4, 5	2021-03-22	50		450,000	450,000
Meryllion Resources Corporation	Options	Steinepreis, David	3, 4, 5	2020-06-12	00			
Meryllion Resources Corporation	Options	Steinepreis, David	3, 4, 5	2021-03-22	50		450,000	450,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-19	38	8.5127	1,078,900	2,600
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-22	38	8.6	1,079,200	300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-03-23	38	8.6137	1,088,100	8,900
Millennial Lithium Corp.	Options	Abasov, Farhad	5	2021-03-24	50	2.98	3,270,000	1,180,000
Millennial Lithium Corp.	Options	Harris, Graham	4	2021-03-24	50	2.98	2,780,000	1,000,000
Millennial Lithium Corp.	Options	Lacroix, Richard Joseph	4	2021-03-24	50	2.98	595,000	255,000
Millennial Lithium Corp.	Options	Missioux, Maxim	5	2021-03-24	50	2.98	715,000	160,000
Millennial Lithium Corp.	Options	Morrison, Brian	5	2021-03-24	50	2.98	355,000	100,000
Millennial Lithium Corp.	Options	Scarr, Iain Colin	5	2021-03-24	50	2.98	605,000	160,000
Millennial Lithium Corp.	Options	SCOTT, JOHN EDWARD	4	2021-03-24	50		280,000	130,000

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Minaurum Gold Inc.	Options	Dhillon, Sheryl	5	2021-03-23	50	0.52	100,000	50,000
Minaurum Gold Inc.	Options	Jones, David McKinlay	4	2021-03-23	50	0.52	800,000	500,000
Minaurum Gold Inc.	Options	Maynard, Stephen	5	2021-03-23	50	0.52	650,000	650,000
Minaurum Gold Inc.	Options	Medilek, David Gregory	4	2021-03-23	50	0.52	450,000	250,000
Minaurum Gold Inc.	Options	Megaw, Peter	4	2021-03-23	50	0.52	1,000,000	500,000
Minaurum Gold Inc.	Options	Moodie, Cale	5	2021-03-24	50	0.52	225,000	125,000
Minaurum Gold Inc.	Options	Rader, Darrell	5	2021-03-23	50	0.52	1,500,000	1,000,000
Minaurum Gold Inc.	Options	Talbot, Lawrence William Edward	4	2021-03-23	50		450,000	250,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Hurst, Stephen	4	2021-03-04	90		488,425	-32,491
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Hurst, Stephen	4	2021-03-15	90		32,218	17,008
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Makes, Brigid	4	2021-03-04	90		172	90
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Savant Addiction Medicine, LLC	3	2020-11-10	90		500,000	-50,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Multiple Voting Shares	Savant Addiction Medicine, LLC	3	2021-03-04	90		445,000	-55,000
MindBeacon Holdings Inc.	Options	Miller, Stuart	5	2021-03-17	00			
MindBeacon Holdings Inc.	Options	Miller, Stuart	5	2021-03-19	50		7,500	7,500
Minera Alamos Inc.	Options	Durham, Robert Bruce	4	2021-03-18	50		1,850,000	500,000
Minera Alamos Inc.	Options	Koningen, Darren	4	2021-03-18	50		2,995,000	950,000
Minera Alamos Inc.	Options	Padilla, Ruben	4	2021-03-18	50		1,350,000	100,000
Minera Alamos Inc.	Options	Ramshaw, Douglas William	4, 5	2021-03-18	50	0.72	3,575,000	400,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-19	38	5.6525	71,855,751	400
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-22	38	5.6967	71,856,051	300
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-03-23	38	5.6227	71,857,151	1,100
Moovly Media Inc.	Common Shares	Meister, Robert	4	2021-03-24	11	0.45	1,907,780	277,780
Moovly Media Inc.	Warrants	Meister, Robert	4	2018-06-27	00			
Moovly Media Inc.	Warrants	Meister, Robert	4	2018-06-27	00			
Morguard Corporation	Common Shares	Robertson, Bruce Keith	4	2021-03-22	10	120	300	100
Morguard Corporation	Common Shares	Robertson, Bruce Keith	4	2021-03-23	10	120	5,200	4,900
Morneau Shepell Inc.	Rights PH - DSUs	Bachand, Luc	4	2017-05-05	00			
Morneau Shepell Inc.	Rights PH - DSUs	Bachand, Luc	4	2021-03-22	56		666	666
Morneau Shepell Inc.	Rights PH - RSUs	Branker, Nigel Bernard	5	2018-07-16	00			
Morneau Shepell Inc.	Rights PH - RSUs	Branker, Nigel Bernard	5	2021-03-22	56		9,656	9,656
Morneau Shepell Inc.	Rights PH - RSUs	Chamberland, Pierre	5	2011-01-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Chamberland, Pierre	5	2021-03-22	56		18,124	18,124
Morneau Shepell Inc.	Rights PH - RSUs	Colter, Grier Barrett	5	2019-10-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Colter, Grier Barrett	5	2021-03-22	56		18,124	18,124
Morneau Shepell Inc.	Rights PH - DSUs	COURTEAU, Robert G	4	2020-10-19	00			
Morneau Shepell Inc.	Rights PH - DSUs	COURTEAU, Robert G	4	2021-03-22	56		1,071	1,071
Morneau Shepell Inc.	Rights PH - DSUs	Denham, Gillian H. (Jill)	5	2011-01-01	00			
Morneau Shepell Inc.	Rights PH - DSUs	Denham, Gillian H. (Jill)	5	2021-03-22	56		1,066	1,066
Morneau Shepell Inc.	Rights PH - RSUs	Joyce, Norah	5	2018-09-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Joyce, Norah	5	2021-03-22	56		8,710	8,710
Morneau Shepell Inc.	Rights PH - DSUs	Kapoor, Kishore	4	2018-08-09	00			
Morneau Shepell Inc.	Rights PH - DSUs	Kapoor, Kishore	4	2021-03-22	56		742	742
Morneau Shepell Inc.	Rights PH - RSUs	King, Neil	5	2018-01-17	00			
Morneau Shepell Inc.	Rights PH - RSUs	King, Neil	5	2021-03-22	56		13,326	13,326
Morneau Shepell Inc.	Rights PH - DSUs	Lalonde, Ronald Anthony Marshall	4	2016-03-02	00			
Morneau Shepell Inc.	Rights PH - DSUs	Lalonde, Ronald Anthony Marshall	4	2021-03-22	56		742	742
Morneau Shepell Inc.	Rights PH - DSUs	Levy, Bradford	4	2020-11-24	00			
Morneau Shepell Inc.	Rights PH - DSUs	Levy, Bradford	4	2021-03-22	56		523	523
Morneau Shepell Inc.	Rights PH - RSUs	Liptrap, Stephen	5	2011-01-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Liptrap, Stephen	5	2021-03-22	56		56,812	56,812
Morneau Shepell Inc.	Rights PH - RSUs	Milligan, Scott	5	2011-01-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Milligan, Scott	5	2021-03-22	56		8,803	8,803
Morneau Shepell Inc.	Rights PH - DSUs	Nayak, Chitra	4	2020-11-24	00			
Morneau Shepell Inc.	Rights PH - DSUs	Nayak, Chitra	4	2021-03-22	56		261	261
Morneau Shepell Inc.	Rights PH - DSUs	Pennington, Kevin	4	2015-03-03	00			

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Morneau Shepell Inc.	Rights PH - DSUs	Pennington, Kevin	4	2021-03-22	56		1,413	1,413
Morneau Shepell Inc.	Rights PH - DSUs	Ponder, Dale Rosa Winnifred	4	2016-02-09	00			
Morneau Shepell Inc.	Rights PH - DSUs	Ponder, Dale Rosa Winnifred	4	2021-03-22	56		742	742
Morneau Shepell Inc.	Rights PH - RSUs	Przybylski, Kajetan Maciej	5	2019-09-03	00			
Morneau Shepell Inc.	Rights PH - RSUs	Przybylski, Kajetan Maciej	5	2021-03-22	56		9,898	9,898
Morneau Shepell Inc.	Rights PH - RSUs	Shlesinger, Idan	5	2018-08-01	00			
Morneau Shepell Inc.	Rights PH - RSUs	Shlesinger, Idan	5	2021-03-22	56		9,656	9,656
Morneau Shepell Inc.	Rights PH - RSUs	Whitebread, Gillian	5	2018-09-05	00			
Morneau Shepell Inc.	Rights PH - RSUs	Whitebread, Gillian	5	2021-03-22	56		8,710	8,710
MRF 2021 Resource Limited Partnership	Limited Partnership Units Class F Units	Brasseur, Jeremy	6	2021-03-24	15	25	13,185	5,185
Mullen Group Ltd.	Common Shares	Maloney, Richard James	5	2021-03-26	10	12.19	13,380	80
Mullen Group Ltd.	Common Shares	Maloney, Richard James	5	2021-03-26	10	12.19	23,540	880
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-22	38	12.362	178,840	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-23	38	12.214	196,724	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-24	38	12.239	214,608	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-25	38	12.037	232,492	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-03-26	38	12.216	250,376	17,884
NanoXplore Inc.	Common Shares	Nazarpour, Soroush	3, 4, 5	2021-03-23	10	3.29	11,887,985	1,000
NanoXplore Inc.	Common Shares	Nazarpour, Soroush	3, 4, 5	2021-03-25	10	3.2	11,888,085	100
NanoXplore Inc.	Common Shares	Nazarpour, Soroush	3, 4, 5	2021-03-25	10	3.09	11,888,485	400
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Common Shares	Vicens, Carlos Ernesto	5	2021-03-23	51	1	45,400	27,400
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Common Shares	Vicens, Carlos Ernesto	5	2021-03-23	10	3.15	18,000	-27,400
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Options	Vicens, Carlos Ernesto	5	2021-03-23	51	1	1,047,600	-27,400
Neo Performance Materials Inc.	Common Shares	HOGAN, JEFFREY ROBERT	7	2021-03-22	71		64,572	40,278
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	HOGAN, JEFFREY ROBERT	7	2021-03-22	71		87,078	-271,436
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	HOGAN, JEFFREY ROBERT	7	2021-03-22	38		0	-87,078
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	HOGAN, JEFFREY ROBERT	7	2021-03-22	71		8,334	-16,667
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	HOGAN, JEFFREY ROBERT	7	2021-03-22	38		0	-8,334
Neo Performance Materials Inc.	Common Shares	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	71		28,250	15,792
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	71		38,703	-121,334
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	38		0	-38,703
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	71		3,704	-7,408
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	38		0	-3,704
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2017-12-01	00			
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2017-12-01	00			
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2017-12-01	00		1,778	
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4, 5	2021-03-22	38		0	-222
Neo Performance Materials Inc.	Common Shares	Kroll, Gregory	7	2021-03-22	71		36,173	22,512
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2021-03-22	71		43,542	-115,088
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2021-03-22	38		0	-43,542
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2021-03-22	71		4,167	-8,334
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2021-03-22	38		0	-4,167
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2018-01-01	00			
Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2018-01-01	00		3,750	

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Neo Performance Materials Inc.	Restricted Share Units (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	2021-03-22	99		0	3,751
Neo Performance Materials Inc.	Common Shares	Morris, Kevin	5	2021-03-22	71		96,167	58,302
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Morris, Kevin	5	2021-03-22	71		121,902	-379,963
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Morris, Kevin	5	2021-03-22	38		0	-121,902
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Morris, Kevin	5	2021-03-22	71		11,667	-23,334
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Morris, Kevin	5	2021-03-22	38		0	-11,667
Neo Performance Materials Inc.	Common Shares	Suleman, Rahim	5	2021-03-22	71		94,656	48,294
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	71		121,902	-379,963
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	38		0	-121,902
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	71			-23,334
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	71			-23,334
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	71		11,667	-23,334
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	2021-03-22	38		0	-11,667
Neo Performance Materials Inc.	Common Shares	Timmerman, Frank	7	2021-03-22	71		32,814	20,826
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Timmerman, Frank	7	2021-03-22	71		48,374	-137,457
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Timmerman, Frank	7	2021-03-22	38		0	-48,374
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Timmerman, Frank	7	2021-03-22	71		4,630	-9,259
Neo Performance Materials Inc.	Performance Share Units (Neo Cayman Holdings Inc.)	Timmerman, Frank	7	2021-03-22	38		0	-4,630
Neovasc Inc.	Common Shares	Clark, Chris	5	2021-02-20	57		11,937	11,667
Neovasc Inc.	Common Shares	Clark, Chris	5	2021-02-20	10		4,674	-7,263
Neovasc Inc.	Common Shares	Clark, Chris	5	2021-03-16	57		74,674	70,000
Neovasc Inc.	Common Shares	Clark, Chris	5	2021-03-16	10		40,483	-34,191
Neovasc Inc.	Options	Clark, Chris	5	2020-10-07	50		253,000	95,000
Neovasc Inc.	Options	Clark, Chris	5	2021-03-16	50		603,000	350,000
Neovasc Inc.	Rights Restricted Stock Units	Clark, Chris	5	2021-02-20	57		40,333	-11,667
Neovasc Inc.	Rights Restricted Stock Units	Clark, Chris	5	2021-03-16	56			350,000
Neovasc Inc.	Rights Restricted Stock Units	Clark, Chris	5	2021-03-16	56			350,000
Neovasc Inc.	Rights Restricted Stock Units	Clark, Chris	5	2021-03-16	57		-29,667	-70,000
Neovasc Inc.	Rights Restricted Stock Units	Clark, Chris	5	2021-03-16	56		320,333	350,000
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2019-06-28	37		11,111	-100,000
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-01-23	57		22,778	11,667
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-01-23	10		18,624	-4,154
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-02-20	57		38,624	20,000
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-02-20	10		31,504	-7,120
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-03-16	57		171,504	140,000
Neovasc Inc.	Common Shares	Colen, Fredericus	5	2021-03-16	10		128,468	-43,036
Neovasc Inc.	Options	Colen, Fredericus	5	2020-10-07	50		500,000	200,000
Neovasc Inc.	Options	Colen, Fredericus	5	2021-02-16	50		1,200,000	700,000
Neovasc Inc.	Rights Restricted Stock Units	Colen, Fredericus	5	2021-01-23	57		188,333	-11,667
Neovasc Inc.	Rights Restricted Stock Units	Colen, Fredericus	5	2021-02-20	57		168,333	-20,000
Neovasc Inc.	Rights Restricted Stock Units	Colen, Fredericus	5	2021-03-16	56		868,333	700,000
Neovasc Inc.	Rights Restricted Stock Units	Colen, Fredericus	5	2021-03-16	57		728,333	-140,000
Neovasc Inc.	Common Shares	Little, William Reed	5	2019-11-12	00			
Neovasc Inc.	Common Shares	Little, William Reed	5	2020-12-02	57		19,517	19,517

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Neovasc Inc.	Common Shares	Little, William Reed	5	2020-12-02	57		50,986	31,469
Neovasc Inc.	Common Shares	Little, William Reed	5	2020-12-02	10		31,469	-19,517
Neovasc Inc.	Common Shares	Little, William Reed	5	2020-12-02	10		0	-31,469
Neovasc Inc.	Common Shares	Little, William Reed	5	2021-01-23	57		3,333	3,333
Neovasc Inc.	Common Shares	Little, William Reed	5	2021-02-20	10		0	-3,333
Neovasc Inc.	Common Shares	Little, William Reed	5	2021-03-16	57		70,000	70,000
Neovasc Inc.	Common Shares	Little, William Reed	5	2021-03-16	10		0	-70,000
Neovasc Inc.	Options	Little, William Reed	5	2020-10-07	50		145,000	90,000
Neovasc Inc.	Options	Little, William Reed	5	2021-03-16	50		495,000	350,000
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2020-12-02	57		145,483	-19,517
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2020-12-02	57		114,014	-31,469
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2021-01-27	57		110,681	-3,333
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2021-03-16	56		460,681	350,000
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2021-03-16	57		390,681	-70,000
Nerds On Site Inc.	Subordinate Voting Shares	Regan, Charles Donald	4, 5	2021-03-19	10	0.205	806,424	5,000
New Age Metals Inc.	Common Shares	2176423 Ontario Ltd.	3	2021-03-18	16	0.16	20,250,000	6,250,000
New Age Metals Inc.	Warrants	2176423 Ontario Ltd.	3	2021-03-18	16	0.2	17,125,000	3,125,000
New Age Metals Inc.	Common Shares	Sprott, Eric S.	3	2021-03-18	16	0.16	20,250,000	6,250,000
New Age Metals Inc.	Warrants	Sprott, Eric S.	3	2021-03-18	16	0.2	17,125,000	3,125,000
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Benvest Holdings Limited	3	2010-03-02	00			
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Benvest Holdings Limited	3	2021-03-24	90		4,814,200	4,814,200
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Benvest Holdings Limited	3	2021-03-24	90		0	-4,814,200
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Echenberg, Paul S.	4, 6	2021-01-15	90		0	-195,000
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Echenberg, Paul S.	4, 6	2020-09-16	90		0	-60,000
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Echenberg, Paul S.	4, 6	2010-03-02	00			
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Echenberg, Paul S.	4, 6	2020-09-16	90		60,000	60,000
New Look Vision Group Inc. (formerly New Look Eyewear Inc.)	Common Shares Class A	Echenberg, Paul S.	4, 6	2021-01-15	90		255,000	195,000
New Oroperu Resources Inc.	Common Shares	Morfopoulos, Aris	5	2021-03-19	11		107,500	-95,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Common Shares	Vathyam, Krishna	4	2021-03-23	10	0.29	679,625	-24,000
NexGen Energy Ltd.	Common Shares	Li, Ka-shing	3	2021-03-17	97		29,628,849	57,809
NexGen Energy Ltd.	Common Shares	Li, Ka-shing	3	2021-03-17	97		20,602,649	60,222
NexGen Energy Ltd.	Common Shares	Li, Victor Tzar-Kuoi	3	2021-03-17	97		29,628,849	57,809
NexGen Energy Ltd.	Common Shares	Li, Victor Tzar-Kuoi	3	2021-03-17	97		20,602,649	60,222
NextSource Materials Inc.	Options	Borley, Robin Philip	5	2021-03-19	50		5,100,000	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Borley, Robin Philip	5	2013-12-01	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Borley, Robin Philip	5	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Borley, Robin Philip	5	2021-03-19	50		1,000,000	500,000
NextSource Materials Inc.	Options	Johnson, Marc	5	2021-03-19	50		5,100,000	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Johnson, Marc	5	2015-10-20	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Johnson, Marc	5	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Options	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Options	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Options	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Options	Kruba, Christopher Robert	4	2021-03-19	50		1,500,000	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Kruba, Christopher Robert	4	2019-12-02	00			

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NextSource Materials Inc.	Restricted Share Units (RSUs)	Kruba, Christopher Robert	4	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Warrants	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Warrants	Kruba, Christopher Robert	4	2019-12-02	00			
NextSource Materials Inc.	Warrants	Kruba, Christopher Robert	4	2019-12-02	00		425,000	
NextSource Materials Inc.	Warrants	Kruba, Christopher Robert	4	2020-08-17	55		200,000	-225,000
NextSource Materials Inc.	Options	McNeely, Patrick David	4	2019-12-02	00			
NextSource Materials Inc.	Options	McNeely, Patrick David	4	2021-03-19	50		1,500,000	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	McNeely, Patrick David	4	2019-12-02	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	McNeely, Patrick David	4	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Options	Nykoliation, Brent	5	2021-03-19	50		4,753,259	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Nykoliation, Brent	5	2015-01-19	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Nykoliation, Brent	5	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Options	Scherba, Craig	4	2010-01-01	00			
NextSource Materials Inc.	Options	Scherba, Craig	4	2021-03-19	50		2,000,000	2,000,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Scherba, Craig	4	2010-01-01	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Scherba, Craig	4	2021-03-19	50		500,000	500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Scherba, Craig	4	2021-03-19	50		1,250,000	750,000
NextSource Materials Inc.	Options	Vision Blue Resources Limited	3	2021-03-15	00			
NextSource Materials Inc.	Options	Vision Blue Resources Limited	3	2021-03-19	50		1,500,000	1,500,000
NextSource Materials Inc.	Options	Whalen, Brett Alexander	4	2020-07-20	00			
NextSource Materials Inc.	Options	Whalen, Brett Alexander	4	2021-03-19	50		1,500,000	1,500,000
NextSource Materials Inc.	Restricted Share Units (RSUs)	Whalen, Brett Alexander	4	2020-07-20	00			
NextSource Materials Inc.	Restricted Share Units (RSUs)	Whalen, Brett Alexander	4	2021-03-19	50		500,000	500,000
Nexus Real Estate Investment Trust	Trust Units	Cutsey, Bradley	4	2020-12-31	30	1.8068	9,766	3,774
Nexus Real Estate Investment Trust	Trust Units	Cutsey, Bradley	4	2020-12-31	30	1.823	49,850	15,775
Nexus Real Estate Investment Trust	Trust Units	Cutsey, Bradley	4	2016-08-17	00			
Nexus Real Estate Investment Trust	Trust Units	Cutsey, Bradley	4	2020-12-31	30	1.8144	1,367	1,367
Nickel Creek Platinum Corp.	Options	Darling, Michèle	4	2021-03-25	50	0.115	1,163,300	260,100
Nickel Creek Platinum Corp.	Options	FIELDS, MARK	4	2021-03-25	50	0.115		260,100
Nickel Creek Platinum Corp.	Options	FIELDS, MARK	4	2021-03-25	50	0.115	1,163,300	260,100
Nickel Creek Platinum Corp.	Options	Harshaw, Stuart	4, 5	2021-03-25	50	0.115	3,682,300	2,682,300
Nickel Creek Platinum Corp.	Options	Kirk, Harry Wayne	4	2021-03-25	50	0.115	1,163,300	260,100
Nickel Creek Platinum Corp.	Options	Manternach, Myron	4	2021-03-25	50	0.115	1,934,000	533,700
Nickel Creek Platinum Corp.	Options	Romagnolo, Joseph	5	2021-03-25	50	0.115	4,978,100	1,368,300
Nickel Creek Platinum Corp.	Options	Sylvestre, Michel	4	2021-03-25	50	0.115	1,163,300	260,100
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2021-03-25	10	0.1	9,536,029	20,000
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Convertible Debentures	Beausoleil, Serge	3, 4	2019-06-06	00			
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Convertible Debentures	Beausoleil, Serge	3, 4	2021-03-22	16	0.01	\$50,000,000	\$50,000,000
Northern Dynasty Minerals Ltd.	Common Shares	Robertson, Peter Dunn	5	2021-02-10	51	0.48	200,000	200,000
Northern Dynasty Minerals Ltd.	Common Shares	Robertson, Peter Dunn	5	2021-02-10	51	0.49	225,000	25,000
Northern Dynasty Minerals Ltd.	Common Shares	Robertson, Peter Dunn	5	2021-02-10	10	1.32	100,000	-125,000
Northern Dynasty Minerals Ltd.	Common Shares	Robertson, Peter Dunn	5	2021-03-11	10	0.89	0	-100,000
Northern Dynasty Minerals Ltd.	Options	Robertson, Peter Dunn	5	2021-02-10	51	0.48	549,000	-200,000
Northern Dynasty Minerals Ltd.	Options	Robertson, Peter Dunn	5	2021-02-10	51	0.49	524,000	-25,000
Northland Power Inc.	Deferred Share Units (DSU)	Alimchandani, Pauline	5	2020-04-13	00			
Northland Power Inc.	Deferred Share Units (DSU)	Alimchandani, Pauline	5	2021-03-25	56	43.55	6,073	6,073
Northland Power Inc.	Common Shares	Crawley, Mike	5	2021-03-04	10		71,056	1,163
Northland Power Inc.	Deferred Share Units (DSU)	Crawley, Mike	5	2021-03-25	56	43.55	8,318	3,942
Northland Power Inc.	Deferred Share Units (DSU)	Franks, Wendy A	5	2020-06-29	00			
Northland Power Inc.	Deferred Share Units (DSU)	Franks, Wendy A	5	2021-03-25	56	43.55	3,427	3,427
Nova Leap Health Corp.	Common Shares	Mullally, Marie	4	2021-03-16	00		40,000	
Nova Leap Health Corp.	Common Shares	Myles, R. Wayne	4	2021-03-19	10	0.69	1,213,333	20,500
Nova Leap Health Corp.	Common Shares	Myles, R. Wayne	4	2021-03-24	10	0.69	1,213,833	500

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Nova Royalty Corp.	Common Shares	Tucker, E.B.	4	2021-03-25	10	3.25	1,728,667	2,000
Nova Royalty Corp.	Common Shares	Tucker, E.B.	4	2021-03-25	10	3.2	1,730,667	2,000
Novamind Inc. (formerly, Hinterland Metals Inc.)	Common Shares	Bou-Mansour, Pierre	5	2021-01-25	00			
Novamind Inc. (formerly, Hinterland Metals Inc.)	Common Shares	Bou-Mansour, Pierre	5	2021-02-18	10	1.7061	19,500	19,500
Novamind Inc. (formerly, Hinterland Metals Inc.)	Common Shares	Bou-Mansour, Pierre	5	2021-02-18	10	1.71	19,600	100
Novamind Inc. (formerly, Hinterland Metals Inc.)	Options Incentive Stock Options	Bou-Mansour, Pierre	5	2021-01-25	00		400,000	
Novamind Inc. (formerly, Hinterland Metals Inc.)	Common Shares	Kaplan, Jesse Armin	4	2020-12-22	00			
Novamind Inc. (formerly, Hinterland Metals Inc.)	Common Shares	Kaplan, Jesse Armin	4	2021-03-22	11		400,000	400,000
Numinus Wellness Inc.	Common Shares	Nyquvest, Payton	4, 5	2021-03-25	10	0.97	8,181,148	10,000
Nutrien Ltd.	Common Shares	Webb, Michael Reed	5	2021-03-22	10	69.95	10,968	192
Nutrien Ltd.	Common Shares	Webb, Michael Reed	5	2021-03-22	10	69.88	12,468	1,500
Nuvei Corporation	Multiple Voting Shares	Fayer, Philip	3, 4, 5	2021-03-19	36		33,605,100	-600,000
Nuvei Corporation	Multiple Voting Shares	Fayer, Philip	3, 4, 5	2021-03-24	36		30,297,828	-3,307,272
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2021-03-19	36		600,000	600,000
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2021-03-23	47	75.7	0	-600,000
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2021-03-24	36		3,307,272	3,307,272
Nuvei Corporation	Subordinate Voting Shares	Fayer, Philip	3, 4, 5	2021-03-24	10	60.22	0	-3,307,272
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		857,940	-91,833
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		5,654,129	-605,212
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		7,226,429	-773,510
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		10,970,856	-1,174,308
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		354,413	-37,936
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		7,805,272	-835,469
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		111,780	-11,964
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		7,032	-753
Nuvei Corporation	Multiple Voting Shares	Novacap Management Inc.	3	2021-03-24	36		244,128	-26,131
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		91,833	91,833
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-91,833
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		605,212	605,212
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-605,212
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		773,510	773,510
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-773,510
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		1,174,308	1,174,308
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-1,174,308
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		37,936	37,936
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-37,936
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		835,469	835,469
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-835,469
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		11,964	11,964
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-11,964
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		753	753
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-753
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	36		26,131	26,131
Nuvei Corporation	Subordinate Voting Shares	Novacap Management Inc.	3	2021-03-24	15	60.22	0	-26,131
Nuvei Corporation	Multiple Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2021-03-24	36		10,970,856	-1,174,308
Nuvei Corporation	Subordinate Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2021-03-24	36		1,174,308	1,174,308
Nuvei Corporation	Subordinate Voting Shares	Novacap TMT V Co-Investment (Nuvei), L.P.	3	2021-03-24	15	60.22	0	-1,174,308
Nuvei Corporation	Options	Schwartz, David	5	2021-03-23	51		888,171	-51,416
Nuvei Corporation	Options	Schwartz, David	5	2021-03-23	51		689,588	-198,583
Nuvei Corporation	Subordinate Voting Shares	Schwartz, David	5	2021-03-23	51	4.7	86,629	51,416
Nuvei Corporation	Subordinate Voting Shares	Schwartz, David	5	2021-03-23	51	3.42	285,212	198,583
Nuvei Corporation	Subordinate Voting Shares	Schwartz, David	5	2021-03-24	10	60.22	35,213	-249,999
NUVISTA ENERGY LTD.	Options	Andreachuk, Ross Lloyd	5	2020-06-05	52	6.87	622,592	-26,333
NUVISTA ENERGY LTD.	Options	Andreachuk, Ross Lloyd	5	2020-12-23	52	6.24	668,658	-23,833
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-06-05	52	6.87		-21,000
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-06-05	52	6.87	544,613	-21,000
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-06-05	52	6.24		-19,333
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-12-23	52	6.24	591,970	-19,333
NUVISTA ENERGY LTD.	Options	Lawford, Michael	5	2020-06-05	52	6.87	703,120	-27,667

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NUVISTA ENERGY LTD.	Options	Lawford, Michael	5	2020-12-23	52	6.24	765,697	-24,667
NUVISTA ENERGY LTD.	Options	LeGrow, Christopher Mark Alessandro	5	2020-12-23	52	6.24	323,036	-6,000
NUVISTA ENERGY LTD.	Options	Paulgaard, Ryan Daniel	5	2020-06-05	52	6.87	405,673	-9,667
NUVISTA ENERGY LTD.	Options	Paulgaard, Ryan Daniel	5	2020-12-23	52	6.24	472,858	-8,667
NUVISTA ENERGY LTD.	Options	Truba, Joshua Thomas	5	2020-06-05	52	6.87	504,127	-20,333
NUVISTA ENERGY LTD.	Options	Truba, Joshua Thomas	5	2020-12-23	52	6.87	541,834	-19,000
NUVISTA ENERGY LTD.	Options	Wright, Jonathan Andrew	5	2020-06-05	52	6.87	1,183,178	-46,667
NUVISTA ENERGY LTD.	Options	Wright, Jonathan Andrew	5	2020-12-23	52	6.24	1,301,653	-41,667
Nuvo Pharmaceuticals Inc. (d/b/a Miravo Healthcare)	Common Shares	Ledger, Jesse Francis	5	2021-03-22	10	1.6702	110,086	4,700
Nuvo Pharmaceuticals Inc. (formerly, Nuvo Research Inc.)	Options	Ledger, Jesse Francis	5	2020-03-27	50			100,000
Nuvo Pharmaceuticals Inc. (formerly, Nuvo Research Inc.)	Options	Ledger, Jesse Francis	5	2020-03-27	50		299,908	100,000
Olympia Financial Group Inc.	Common Shares	Bahnuk, Jonathan Marvin	5	2021-03-26	30	41.334	2,181	44
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Common Shares	Ellingham, Elaine	4	2021-03-18	00		368,000	
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Ellingham, Elaine	4	2021-03-18	00			
Omai Gold Mines Corp. (formerly Anconia Resources Corp.)	Options	Ellingham, Elaine	4	2021-03-18	50		500,000	500,000
Optimi Health Corp.	Common Shares	Stevens, Dane Nicholas	4, 5	2021-03-24	10	0.7	4,457,000	100,000
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00		311,000	
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-20	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00			
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-10	00		470,250	
Optiva Inc. (formerly Redknee Solutions Inc.)	Subordinate Voting Shares (Common shares redesignated-Apr/17)	OceanLink Management Ltd.	3	2021-03-20	00			
Orchid Ventures, Inc. (formerly, Earny Resources Ltd.)	Common Shares	Mangold, Corey	4, 5	2018-01-01	00		2,174,996	
Orchid Ventures, Inc. (formerly, Earny Resources Ltd.)	Common Shares	Mangold, Corey	4, 5	2018-01-01	00		10,653,884	
Orchid Ventures, Inc. (formerly, Earny Resources Ltd.)	Options	Mangold, Corey	4, 5	2018-01-01	00		3,500,000	
Orea Mining Corp.	Options	Berard, Marie-Helene	4	2021-03-24	38	0.48	1,300,000	-500,000
Orea Mining Corp.	Options	Gianulis, Peter Lawrence	4	2021-03-24	38	0.48	1,200,000	-600,000
Orea Mining Corp.	Options	Giustra, Robert	4, 5	2021-03-24	38	0.48	2,000,000	-1,250,000
Orea Mining Corp.	Options	Lefrançois, Rock	5	2021-03-24	38	0.48	1,000,000	-600,000
Orea Mining Corp.	Options	Martinez, Jorge	5	2021-03-24	38	0.48	800,000	-250,000
Orea Mining Corp.	Options	Yau, Andrew Ka Shing	5	2021-03-24	38	0.48	1,000,000	-300,000
Orla Mining Ltd.	Common Shares	Jeannes, Charles A.	4	2017-06-19	00			
Orla Mining Ltd.	Common Shares	Jeannes, Charles A.	4	2021-03-22	90		395,778	395,778
Orla Mining Ltd.	Common Shares	Jeannes, Charles A.	4	2017-06-19	00			
Orla Mining Ltd.	Common Shares	Jeannes, Charles A.	4	2021-03-22	90		395,778	395,778
Orla Mining Ltd.	Common Shares	Jeannes, Charles A.	4	2021-03-22	90		1,783,544	-791,556
Orla Mining Ltd.	Common Shares	Morin, Etienne	5	2021-03-24	57		193,605	24,435
Orla Mining Ltd.	Rights Restricted Share Units	Morin, Etienne	5	2021-03-24	57		179,207	-24,435
Orla Mining Ltd.	Common Shares	Simpson, Jason Douglas	4, 5	2021-03-24	57		1,264,678	62,919
Orla Mining Ltd.	Rights Restricted Share Units	Simpson, Jason Douglas	4, 5	2021-03-24	57		380,553	-62,919
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-22	10	0.325	21,379,515	56,000

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Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-22	10	0.329	21,512,515	133,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-23	10	0.337	21,639,515	127,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-24	10	0.327	21,762,515	123,000
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-25	10	0.321	21,865,015	102,500
Orogen Royalties Inc.	Common Shares	Altius Minerals Corporation	3	2021-03-26	10	0.3589	25,865,015	4,000,000
Orogen Royalties Inc.	Common Shares	Felder, Robert	4	2020-08-18	00			
Orogen Royalties Inc.	Common Shares	Felder, Robert	4	2020-08-18	00		1,076,584	
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Allard, Guy Paul	5	2021-03-23	50		150,000	50,000
Osisko Mining Inc.	Common Shares	Anderson, Patrick Fergus Neill	4	2021-03-17	51	1.08	29,217	23,334
Osisko Mining Inc.	Common Shares	Anderson, Patrick Fergus Neill	4	2021-03-17	10	3.05	5,883	-23,334
Osisko Mining Inc.	Options	Anderson, Patrick Fergus Neill	4	2021-03-17	51	1.08	900,000	-23,334
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-03-22	10	0.48	403,000	10,000
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-03-23	10	0.46	413,000	10,000
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-03-25	10	0.403	418,000	5,000
P2 Gold Inc.	Common Shares	McNaughton, Kenneth C.	4, 5	2021-03-22	10	0.6	4,040,000	40,000
P2 Gold Inc.	Common Shares	McNaughton, Kenneth C.	4, 5	2021-03-23	10	0.6	4,100,000	60,000
Pan Global Resources Inc.	Common Shares	Parsons, Robert Brian	4	2016-09-13	00			
Pan Global Resources Inc.	Common Shares	Parsons, Robert Brian	4	2021-03-25	10	0.5	77,500	77,500
Pan Global Resources Inc.	Common Shares	Parsons, Robert Brian	4	2021-03-26	10	0.5	102,500	25,000
Parex Resources Inc.	Common Shares	Ferreiro, Daniel	5	2021-03-18	10	21.5	11,068	1,000
Parex Resources Inc.	Common Shares	Ferreiro, Daniel	5	2021-03-23	10	21.08	12,068	1,000
Park Lawn Corporation	Common Shares	Gilbert, Linda	5	2020-12-31	30	24.895	15,447	232
Parkland Corporation	Restricted Common Shares	Graves, Chad Jason	5	2021-03-16	56			7,281
Parkland Corporation	Restricted Common Shares	Graves, Chad Jason	5	2021-03-16	56	39.68	22,392	10,959
Parkland Corporation	Common Shares	Pantelidis, James	4	2019-12-31	30			4,367
Parkland Corporation	Common Shares	Pantelidis, James	4	2019-12-31	30		222,487	5,731
Parkland Corporation	Common Shares	Pantelidis, James	4	2019-12-31	30		225,533	3,046
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		234,464	4,729
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		237,510	3,046
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		6,545	202
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		1,119	30
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		952	21
Parkland Corporation	Common Shares	Pantelidis, James	4	2020-12-31	30		8,181	274
Parkland Corporation	Common Shares	Richardson, Steven P.	4	2020-12-31	30		2,225	50
Parkland Corporation	Common Shares	Stein, Deborah Susan	4	2020-12-31	30		2,314	299
Parlane Resource Corp.	Common Shares	Arca, Gary Vittorio	4, 5	2017-08-17	11	0.14	30,000	30,000
Parlane Resource Corp.	Common Shares	Arca, Gary Vittorio	4, 5	2017-08-17	11	0.14		30,000
Pasofino Gold Limited	Common Shares	Stalker, John	5	2020-09-30	00		17,761,226	
Pason Systems Inc.	RSU	Kessler, Marcel	5	2021-03-17	59			-20,736
Pason Systems Inc.	RSU	Kessler, Marcel	5	2021-03-17	58 - Expiration of rights		0	-20,736
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2021-03-17	59			-733,333
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2021-03-17	58 - Expiration of rights		0	-733,333
Payfare Inc.	Common Shares	Margiotta, Marco	4, 5	2021-03-24	99		788,394	-31,861
Pembina Pipeline Corporation	Options	Andersen, Harold	5	2021-03-22	50	37.31	452,832	200,000
Pembina Pipeline Corporation	Options	Balfour, Carl Ian	5	2021-03-22	50	37.31	136,650	70,000
Pembina Pipeline Corporation	Options	Burrows, J. Scott	5	2021-03-22	50	37.31	612,342	300,000
Pembina Pipeline Corporation	Options	Day, Craig	5	2021-03-22	50	37.31	134,038	50,000
Pembina Pipeline Corporation	Options	Forrest, Jennifer	5	2021-03-22	50	37.31	95,683	50,000
Pembina Pipeline Corporation	Options	Goldade, Cameron	5	2021-03-22	50	37.31	112,456	70,000
Pembina Pipeline Corporation	Options	Hecker, Tracy Krista	5	2021-03-22	50	37.31	116,281	50,000
Pembina Pipeline Corporation	Options	Kohlsmith, Brad	5	2021-03-22	50	37.31	98,867	50,000
Pembina Pipeline Corporation	Options	Loduca, Janet C.	5	2021-03-22	50	37.31	90,202	70,000
Pembina Pipeline Corporation	Options	Scherman, Chris	5	2021-03-22	50	37.31	124,796	70,000
Pembina Pipeline Corporation	Options	Sprott, Jaret	5	2021-03-22	50	37.31	429,888	200,000
Pembina Pipeline Corporation	Options	STUBBS, CATHERINE JENNIFER	5	2021-03-22	50	37.31	95,579	50,000
Pembina Pipeline Corporation	Options	Taylor, Stuart	5	2021-03-22	50	37.31	411,000	100,000
Pembina Pipeline Corporation	Options	Tuffs, Brian Robert	5	2021-03-22	50	37.31	97,502	70,000
Pembina Pipeline Corporation	Options	Walsh, Patrick Scott	5	2021-03-22	50	37.31	104,583	50,000
Pender Growth Fund Inc.	Common Shares Class C	Edmison, John Kelly	4	2019-12-27	11	3.25		-12,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Pender Growth Fund Inc.	Common Shares Class C	Edmison, John Kelly	4	2019-12-27	11	3.25	21,300	-12,000
Perpetua Resources Corp. (formerly Midas Gold Corp.)	Common Shares	DEISLEY, DAVID LEE	4	2021-03-23	10	6.94	3,000	2,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-03-23	10	0.115	11,027,571	-30,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-03-25	10	0.11	11,000,071	-27,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Reeder, Jeffrey	4	2021-03-23	10	0.115	4,449,406	8,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Reeder, Jeffrey	4	2021-03-25	10	0.11	4,474,406	25,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-22	10	0.09	11,760,752	80,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-22	10	0.095	14,010,752	2,250,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-22	10	0.1	14,112,752	102,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-23	10	0.105	14,116,752	4,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-23	10	0.11	14,229,752	113,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-23	10	0.115	14,268,252	38,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-24	10	0.11	14,280,252	12,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-24	10	0.115	14,323,252	43,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-24	10	0.12	14,409,752	86,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-24	10	0.125	14,533,752	124,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-25	10	0.105	14,553,752	20,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-25	10	0.11	14,706,752	153,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-25	10	0.115	14,774,252	67,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-03-25	10	0.12	14,784,252	10,000
PESA Corporation	Options	Astle, Thomas Blair	4	2017-03-21	50	0.1		50,000
PESA Corporation	Options	Astle, Thomas Blair	4	2017-03-21	50	0.1	50,000	50,000
Petrus Resources Ltd.	Director Share Units	White, Stephen	4	2021-03-18	59		0	-539,568
Photon Control Inc.	Options	Cargile, Charles F.	4	2021-03-22	50		345,000	50,000
Photon Control Inc.	Common Shares	Hunton, Nigel David	4	2021-03-22	10	2.59	137,500	5,000
Photon Control Inc.	Options	Klein, Michele Frances	4	2021-03-22	50		320,000	50,000
Photon Control Inc.	Options	McDonnell, David Neil	4	2021-03-22	50	2.46	345,000	50,000
Photon Control Inc.	Options	McDonnell, David Neil	4	2021-03-23	51	0.71	75,000	-270,000
Photon Control Inc.	Options	McGrath, Ronan Dominic	4	2021-03-22	50		345,000	50,000
Photon Control Inc.	Options	McGrath, Ronan Dominic	4	2021-03-22	51	0.67	75,000	-270,000
PHX Energy Services Corp.	Common Shares	Hooks, John Michael	5	2021-03-19	10	2.77	4,750,100	1,200
Pieridae Energy Limited	Common Shares	Pedersen, Kjell	4	2021-03-26	10	0.49	96,829	50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-22	10	0.29	21,303,500	-300,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-24	10	0.28	21,603,500	300,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-22	10	0.29	22,916,000	300,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-03-24	10	0.28	22,616,000	-300,000
Pine Cliff Energy Ltd.	Common Shares	McNeill, Terry Lee	5	2021-03-18	51	0.145	185,037	40,000
Pine Cliff Energy Ltd.	Options	McNeill, Terry Lee	5	2021-03-18	51	0.145	2,357,000	-40,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	BRAUN, Garth John	4	2021-03-24	57	1.66	1,292,058	15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	BRAUN, Garth John	4	2021-03-24	57		169,537	-15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Erickson, Darcy Glen	5	2021-03-24	57	1.66	215,703	33,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Erickson, Darcy Glen	5	2021-03-24	10	1.66	199,327	-16,376
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Erickson, Darcy Glen	5	2021-03-24	57		175,866	-33,333

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Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Hoffman, Dustin Lee	5	2021-03-24	57	1.66	191,974	53,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Hoffman, Dustin Lee	5	2021-03-24	10	1.66	165,782	-26,192
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Hoffman, Dustin Lee	5	2021-03-24	57		314,327	-53,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Lancaster, William	4	2021-03-24	57	1.66	104,495	15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Lancaster, William	4	2021-03-24	57		144,537	-15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Nieboer, Craig Frederick	5	2021-03-24	57	1.66	363,510	53,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Nieboer, Craig Frederick	5	2021-03-24	10	1.66	337,318	-26,192
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Nieboer, Craig Frederick	5	2021-03-24	57		314,327	-53,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Ritchie, Gordon Malcolm	4	2021-03-24	57	1.66	180,556	16,667
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Ritchie, Gordon Malcolm	4	2021-03-24	57		179,861	-16,667
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Rossall, John Williamson	4	2021-03-24	57	1.66	402,136	15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Rossall, John Williamson	4	2021-03-24	57		169,537	-15,556
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	van Kessel, Daniel	5	2021-03-24	57	1.66	38,957	33,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	van Kessel, Daniel	5	2021-03-24	10	1.66	22,581	-16,376
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	van Kessel, Daniel	5	2021-03-24	57		169,983	-33,333
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Wanklyn, Robert Paul	4, 5	2021-03-24	57	1.66	438,401	109,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Wanklyn, Robert Paul	4, 5	2021-03-24	57		554,128	-109,000
Plant&Co. Brands Ltd.	Options	Hamelin, Lindsay	4	2021-03-18	50		275,000	50,000
Plant&Co. Brands Ltd.	Options	Moniz, Shawn	3, 4, 5	2021-03-18	50		2,000,000	2,000,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, John	7	2021-03-16	10	0.97	1,812,207	-50,800
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, Katie	7	2021-03-17	10	0.98	2,376,604	-29,500
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Gilbert, Katie	7	2021-03-18	10	0.937	2,226,604	-150,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Moxness, Ralph Allan	4	2021-03-22	15	1.05	76,755	23,800
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Moxness, Ralph Allan	4	2021-03-22	15	1.05	69,255	23,800
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2021-03-22	10	0.7337	9,077,417	-100,000
Plymouth Rock Technologies Inc.	Options incentive stock options	Kanji-Aquino, Zahara	5	2021-01-21	50	0.75	150,000	50,000
Pollard Banknote Limited	Common Shares	Franzmann, Paul Edmund	5	2017-02-13	00			
Pollard Banknote Limited	Common Shares	Franzmann, Paul Edmund	5	2021-03-22	51	10	6,000	6,000
Pollard Banknote Limited	Options	Franzmann, Paul Edmund	5	2021-03-22	51	10	44,000	-6,000
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	10	10		6,250
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	10	10		6,250
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	10	10		6,250
Pollard Banknote Limited	Common Shares	Westbury, Jennifer Doris	5	2021-03-19	51	10	6,250	6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250

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Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		-6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		-6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		-6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10		-6,250
Pollard Banknote Limited	Options	Westbury, Jennifer Doris	5	2021-03-19	51	10	37,500	-6,250
Pontus Protein Ltd.	Common Shares	Yuen, Connor	4, 5	2021-03-25	10	0.86	3,886,244	500
Pontus Protein Ltd.	Common Shares	Yuen, Connor	4, 5	2021-03-25	10	0.84	3,886,744	500
Power Corporation of Canada	Performance Share Units	de Seze, Amaury-Daniel	5	2021-03-22	56	33.303	27,247	8,454
Power Corporation of Canada	Performance Deferred Share Units	Généreux, Claude	7, 5	2021-03-22	56	33.303	98,779	30,924
Power Corporation of Canada	Options	Lefebvre, Jocelyn	5	2021-03-19	51	27.6	536,758	-112,694
Power Corporation of Canada	Performance Share Units	Lefebvre, Jocelyn	5	2021-03-22	56	33.303	83,115	23,187
Power Corporation of Canada	Subordinate Voting Shares	Lefebvre, Jocelyn	5	2021-03-19	51	27.6	162,694	112,694
Power Corporation of Canada	Subordinate Voting Shares	Lefebvre, Jocelyn	5	2021-03-19	10	33.7	50,000	-112,694
Power Corporation of Canada	Performance Share Units	Lemay, Stéphane	7, 5	2021-03-22	56	33.303	23,382	7,274
Power Corporation of Canada	Options	Orr, Robert Jeffrey	4, 7, 5	2021-03-22	50	33.303	6,609,832	592,414
Power Corporation of Canada	Performance Share Units	Orr, Robert Jeffrey	4, 7, 5	2021-03-22	56	33.303	225,498	142,179
Power Corporation of Canada	Performance Deferred Share Units	Tretiak, Gregory Dennis	7, 5	2021-03-22	56	33.303	78,040	14,357
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2021-03-25	10	0.385	15,292,499	6,500
Protech Home Medical Corp.	Options	Crawford, Gregory J.	4, 5	2020-12-20	52	0.9	2,324,000	-10,000
Pure Extracts Technologies Corp. (formerly, Big Sky Petroleum Corporation)	Common Shares	Popova, Yana	4, 5	2021-03-24	99		125,000	75,000
Quantum Numbers Corp.	Options	Rickards, Scott Thomas	4	2021-03-12	00			
Quantum Numbers Corp.	Options	Rickards, Scott Thomas	4	2021-03-12	50		500,000	500,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2021-03-18	10	2.4324	17,600	17,600
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2021-03-19	10	2.418	37,600	20,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2021-03-23	38		0	-37,600
Quizam Media Corporation	Common Shares	Rossi, Russ	5	2021-03-24	16	0.33	760,790	163,334
Quizam Media Corporation	Warrants	Rossi, Russ	5	2021-03-24	16	0.6	568,169	81,667
QYOU Media Inc.	Common Shares	Beeks, Steve	4	2021-03-22	57		300,000	100,000
QYOU Media Inc.	Options	Beeks, Steve	4	2021-03-01	50		850,000	500,000
QYOU Media Inc.	Restricted Share Units	Beeks, Steve	4	2021-03-22	57		0	-100,000
QYOU Media Inc.	Common Shares	Marvis, Curt Wayne	4, 5	2021-03-22	57		3,350,000	1,350,000
QYOU Media Inc.	Options	Marvis, Curt Wayne	4, 5	2021-03-01	50		3,100,275	500,000
QYOU Media Inc.	Restricted Share Units	Marvis, Curt Wayne	4, 5	2021-03-01	56		6,000,000	3,000,000
QYOU Media Inc.	Restricted Share Units	Marvis, Curt Wayne	4, 5	2021-03-22	57		4,650,000	-1,350,000
QYOU Media Inc.	Common Shares	Paterson, G. Scott	4	2021-03-22	57		14,362,394	1,150,000
QYOU Media Inc.	Common Shares	Paterson, G. Scott	4	2021-03-23	54	0.12	7,000,000	500,000
QYOU Media Inc.	Options	Paterson, G. Scott	4	2021-03-01	50		2,731,496	500,000
QYOU Media Inc.	Restricted Share Units	Paterson, G. Scott	4	2021-03-22	57		1,000,000	-1,150,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2021-03-23	54		2,250,000	-500,000
QYOU Media Inc.	Common Shares	Warren, Catherine	4	2021-03-22	57		945,000	300,000
QYOU Media Inc.	Options	Warren, Catherine	4	2021-03-01	50		1,250,000	500,000
QYOU Media Inc.	Restricted Share Units	Warren, Catherine	4	2021-03-22	57		0	-300,000
QYOU Media Inc.	Common Shares	Williams, Kevin	5	2021-03-22	57		512,283	283,333
QYOU Media Inc.	Options	Williams, Kevin	5	2020-05-31	00			
QYOU Media Inc.	Options	Williams, Kevin	5	2021-03-01	50		500,000	500,000
QYOU Media Inc.	Restricted Share Units	Williams, Kevin	5	2020-02-27	56		850,000	850,000
QYOU Media Inc.	Restricted Share Units	Williams, Kevin	5	2020-05-31	00			
QYOU Media Inc.	Restricted Share Units	Williams, Kevin	5	2020-08-14	56		1,000,000	150,000
QYOU Media Inc.	Restricted Share Units	Williams, Kevin	5	2021-03-01	56		1,250,000	250,000
QYOU Media Inc.	Restricted Share Units	Williams, Kevin	5	2021-03-22	57		966,667	-283,333
Real Matters Inc.	Common Shares	Holland, William Thomas	4	2021-03-11	90		0	-250,000
Real Matters Inc.	Common Shares	Holland, William Thomas	4	2017-05-05	00			
Real Matters Inc.	Common Shares	Holland, William Thomas	4	2021-03-11	90		250,000	250,000
Real Matters Inc.	Common Shares	Holland, William Thomas	4	2021-03-24	10	14.5	350,000	100,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-22	10	15.319	3,502,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-23	10	15.143	3,499,384	-3,000

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Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-24	10	14.599	3,496,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-25	10	14.176	3,493,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-03-26	10	14.126	3,490,384	-3,000
Red Pine Exploration Inc.	Common Shares	Alamos Gold Inc.	3	2021-03-15	37		5,299,525	-47,695,728
Red Pine Exploration Inc.	Subscription Receipts	Alamos Gold Inc.	3	2019-12-31	00			
Red Pine Exploration Inc.	Subscription Receipts	Alamos Gold Inc.	3	2021-03-23	11	0.4	9,564,336	9,564,336
Red Pine Exploration Inc.	Warrants	Alamos Gold Inc.	3	2021-03-15	37		5,299,525	-47,695,728
Red Pine Exploration Inc.	Tranche 1 FT Subscription Receipts	Dodds, Robert Brian	4	2017-02-03	00			
Red Pine Exploration Inc.	Tranche 1 FT Subscription Receipts	Dodds, Robert Brian	4	2021-03-23	16	0.45	111,110	111,110
Red Pine Exploration Inc.	Common Shares	Duras, Greg	5	2021-03-15	37		57,142	-514,286
Red Pine Exploration Inc.	Warrants	Duras, Greg	5	2019-11-29	00			
Red Pine Exploration Inc.	Warrants	Duras, Greg	5	2019-12-31	53	0.05		285,714
Red Pine Exploration Inc.	Warrants	Duras, Greg	5	2019-12-31	53	0.05	285,714	285,714
Red Pine Exploration Inc.	Subscription Receipts	Martin, Paul Douglas	4	2021-02-23	00			
Red Pine Exploration Inc.	Subscription Receipts	Martin, Paul Douglas	4	2021-03-23	16	0.4	250,000	250,000
Red Pine Exploration Inc.	Subscription Receipts	Yarie, Quentin	4	2009-12-10	00			
Red Pine Exploration Inc.	Subscription Receipts	Yarie, Quentin	4	2021-03-23	16	0.4	125,000	125,000
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-19	38	3.79	100	100
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-03-19	38	3.79	0	-100
Relay Medical Corp. (formerly, ChroMedX Corp).	Warrants	Minder, Michael	4	2021-02-09	54		100,000	-200,000
Relay Medical Corp. (formerly, ChroMedX Corp).	Warrants	Minder, Michael	4	2021-02-09	54		300,000	200,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2021-03-22	30	38.952	2,887	23
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2021-03-22	30	38.952	11,704	53
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2021-03-22	30	38.952	50,054	76
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2021-03-22	30	38.952	4,227,694	49
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-19	10	16.99	11,500,419	423
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-19	10	16.99	11,499,987	-432
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-23	10	16.99	11,501,028	1,041
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-03-23	10	16.99	11,499,964	-1,064
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Brooks, Bonnie	4	2021-03-23	30		64,065	903
Ritchie Bros. Auctioneers Incorporated	Common Shares	Jeter, James Jeffrey	5	2021-03-19	59	56.43	28,041	-600
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-18	10	2.8482	129,657	-59,063
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-19	10	2.8326	70,594	-59,063
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-22	10	2.6888	48,094	-22,500
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-23	10	2.5596	14,344	-33,750
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Lucarelli, Edward James Cirillo	5	2021-03-24	10	2.4507	7,000	-7,344
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-18	10	2.8482	95,400	-45,937
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-19	10	2.8326	49,463	-45,937
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-22	10	2.6888	31,963	-17,500
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-23	10	2.5596	5,713	-26,250
RIV Capital Inc. (formerly, Canopy Rivers Inc.)	Subordinated Voting Shares	Mundy, Matthew Jonathon	5	2021-03-24	10	2.4507	0	-5,713
Rogers Communications Inc.	Deferred Share Units	Agius, Eric Philip	5	2020-12-31	30		14,117	486
Rogers Communications Inc.	Non-Voting Shares Class B	Agius, Eric Philip	5	2020-12-31	30	58.43	934	582
Rogers Communications Inc.	Options (Non-Performance)	Agius, Eric Philip	5	2021-03-23	50		84,680	38,440
Rogers Communications Inc.	Performance Restricted Share Units	Agius, Eric Philip	5	2020-12-31	30		5,750	155
Rogers Communications Inc.	Performance Restricted Share Units	Agius, Eric Philip	5	2021-03-23	56		13,785	8,035
Rogers Communications Inc.	Restricted Share Units	Agius, Eric Philip	5	2020-12-31	30		17,205	700
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Agius, Eric Philip	5	2021-03-23	56		84,680	38,440
Rogers Communications Inc.	Deferred Share Units	Banks, Jordan	5	2020-12-31	30		19,139	660

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Rogers Communications Inc.	Non-Voting Shares Class B	Banks, Jordan	5	2020-12-31	30	61.02	1,023	542
Rogers Communications Inc.	Options (Non-Performance)	Banks, Jordan	5	2021-03-23	50		264,000	65,345
Rogers Communications Inc.	Performance Restricted Share Units	Banks, Jordan	5	2020-12-31	30		26,311	807
Rogers Communications Inc.	Performance Restricted Share Units	Banks, Jordan	5	2021-03-23	56		39,971	13,660
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Banks, Jordan	5	2021-03-23	56		264,000	65,345
Rogers Communications Inc.	Non-Voting Shares Class B	Damiani, Elizabeth Camilla	5	2021-03-22	00		1,000	
Rogers Communications Inc.	Options (Non-Performance)	Damiani, Elizabeth Camilla	5	2021-03-22	00			
Rogers Communications Inc.	Options (Non-Performance)	Damiani, Elizabeth Camilla	5	2021-03-23	50		40,360	40,360
Rogers Communications Inc.	Performance Restricted Share Units	Damiani, Elizabeth Camilla	5	2021-03-22	00			
Rogers Communications Inc.	Performance Restricted Share Units	Damiani, Elizabeth Camilla	5	2021-03-23	56		8,440	8,440
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Damiani, Elizabeth Camilla	5	2021-03-22	00			
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Damiani, Elizabeth Camilla	5	2021-03-23	56		40,360	40,360
Rogers Communications Inc.	Deferred Share Units	Durocher, Lisa	5	2020-12-31	30		9,638	332
Rogers Communications Inc.	Non-Voting Shares Class B	Durocher, Lisa	5	2020-12-31	30	58.6	2,417	709
Rogers Communications Inc.	Options (Non-Performance)	Durocher, Lisa	5	2021-03-23	50		136,155	38,440
Rogers Communications Inc.	Performance Restricted Share Units	Durocher, Lisa	5	2020-12-31	30		17,926	569
Rogers Communications Inc.	Performance Restricted Share Units	Durocher, Lisa	5	2021-03-23	56		18,899	8,035
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Durocher, Lisa	5	2021-03-23	56		136,155	38,440
Rogers Communications Inc.	Non-Voting Shares Class B	Fernandes, Jorge Manuel Capelas	5	2020-12-31	30	57.83	1,497	646
Rogers Communications Inc.	Options (Non-Performance)	Fernandes, Jorge Manuel Capelas	5	2021-03-23	50		340,240	82,645
Rogers Communications Inc.	Performance Restricted Share Units	Fernandes, Jorge Manuel Capelas	5	2020-12-31	30		49,300	1,582
Rogers Communications Inc.	Performance Restricted Share Units	Fernandes, Jorge Manuel Capelas	5	2021-03-23	56		45,401	17,275
Rogers Communications Inc.	Restricted Share Units	Fernandes, Jorge Manuel Capelas	5	2020-12-31	30		11,821	111
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Fernandes, Jorge Manuel Capelas	5	2021-03-23	56		340,240	82,645
Rogers Communications Inc.	Non-Voting Shares Class B	Johnston, Brent Russell	5	2020-12-31	30	61.13	716	560
Rogers Communications Inc.	Performance Restricted Share Units	Johnston, Brent Russell	5	2020-12-31	30		46,395	1,483
Rogers Communications Inc.	Deferred Share Units	Natale, Joe	4, 5	2020-12-31	30		8,531	294
Rogers Communications Inc.	Non-Voting Shares Class B	Natale, Joe	4, 5	2020-12-31	30	63.45	2,193	653
Rogers Communications Inc.	Options (Non-Performance)	Natale, Joe	4, 5	2021-03-23	50		1,258,100	326,725
Rogers Communications Inc.	Performance Restricted Share Units	Natale, Joe	4, 5	2020-12-31	30		193,705	7,327
Rogers Communications Inc.	Performance Restricted Share Units	Natale, Joe	4, 5	2021-03-23	56		191,418	68,285
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Natale, Joe	4, 5	2021-03-23	56		1,258,100	326,725
Rogers Communications Inc.	Non-Voting Shares Class B	Palvetzian, Sevaun Taleen	5	2020-02-24	00			
Rogers Communications Inc.	Non-Voting Shares Class B	Palvetzian, Sevaun Taleen	5	2020-12-31	30	56.25	453	453
Rogers Communications Inc.	Options (Non-Performance)	Palvetzian, Sevaun Taleen	5	2021-03-23	50		66,545	26,910
Rogers Communications Inc.	Performance Restricted Share Units	Palvetzian, Sevaun Taleen	5	2020-12-31	30		4,933	133
Rogers Communications Inc.	Performance Restricted Share Units	Palvetzian, Sevaun Taleen	5	2021-03-23	56		10,558	5,625
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Palvetzian, Sevaun Taleen	5	2021-03-23	56		66,545	26,910
Rogers Communications Inc.	Non-Voting Shares Class B	Prevost, Dean	5	2020-12-31	30	61.09	1,505	586
Rogers Communications Inc.	Options (Non-Performance)	Prevost, Dean	5	2021-03-23	50		349,670	88,410
Rogers Communications Inc.	Performance Restricted Share Units	Prevost, Dean	5	2020-12-31	30		51,051	1,643
Rogers Communications Inc.	Performance Restricted Share Units	Prevost, Dean	5	2021-03-23	56		46,591	18,480
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Prevost, Dean	5	2021-03-23	56		349,670	88,410
Rogers Communications Inc.	Deferred Share Units	Reid, James M.	5	2020-12-31	30		23,913	824
Rogers Communications Inc.	Non-Voting Shares Class B	Reid, James M.	5	2020-12-31	30	58.08	3,427	748
Rogers Communications Inc.	Options (Non-Performance)	Reid, James M.	5	2021-03-23	50		313,090	57,660

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Rogers Communications Inc.	Performance Deferred Share Units	Reid, James M.	5	2020-12-31	30		71,891	2,470
Rogers Communications Inc.	Performance Restricted Share Units	Reid, James M.	5	2020-12-31	30		39,125	1,262
Rogers Communications Inc.	Performance Restricted Share Units	Reid, James M.	5	2021-03-23	56		32,828	12,055
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Reid, James M.	5	2021-03-23	56		313,090	57,660
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers, Edward	4, 6, 7, 5	2020-12-31	30	57.28	5,362	194
Rogers Communications Inc.	Deferred Share Units	Staffieri, Anthony	5	2020-12-31	30		22,449	774
Rogers Communications Inc.	Non-Voting Shares Class B	Staffieri, Anthony	5	2020-12-31	30	61.9	801	624
Rogers Communications Inc.	Options (Non-Performance)	Staffieri, Anthony	5	2021-03-23	50		468,547	88,410
Rogers Communications Inc.	Performance Deferred Share Units	Staffieri, Anthony	5	2020-12-31	30		97,086	3,345
Rogers Communications Inc.	Performance Restricted Share Units	Staffieri, Anthony	5	2020-12-31	30		70,618	2,515
Rogers Communications Inc.	Performance Restricted Share Units	Staffieri, Anthony	5	2021-03-23	56		55,219	18,480
Rogers Communications Inc.	Stock Appreciation Rights (Non-Performance)	Staffieri, Anthony	5	2021-03-23	56		468,547	88,410
Rogers Sugar Inc.	Common Shares	Discepolo, Diana Roccarosa	5	2020-12-31	30	4.94	2,081	82
Rogers Sugar Inc.	Common Shares	Khalil, Jean-Francois	5	2020-12-31	30	5.21	25,698	609
Rogers Sugar Inc.	Common Shares	Pitre-Bergevin, Alexis	8	2020-12-31	30	4.6	965	562
Rokmaster Resources Corp.	Options	Cowin, Michael	4	2020-01-02	50	0.1	350,000	150,000
Route1 Inc.	Common Shares	XpresSpa Group, Inc.	3	2018-03-22	00		2,500,000	
Route1 Inc.	Common Shares	XpresSpa Group, Inc.	3	2021-03-22	54	0.5	3,855,443	1,355,443
Route1 Inc.	Warrants	XpresSpa Group, Inc.	3	2018-03-22	00		3,000,000	
Route1 Inc.	Warrants	XpresSpa Group, Inc.	3	2021-03-26	54		0	-3,000,000
Royal Bank of Canada	Rights Director Deferred Stock Units	Chisholm, Andrew Allen	4	2018-12-31	56			1,087
Royal Bank of Canada	Rights Director Deferred Stock Units	Chisholm, Andrew Allen	4	2018-12-31	56			1,087
Royal Bank of Canada	Rights Director Deferred Stock Units	Chisholm, Andrew Allen	4	2019-12-31	56			1,086
Royal Bank of Canada	Rights Director Deferred Stock Units	Chisholm, Andrew Allen	4	2019-12-31	56			1,086
Royal Bank of Canada	Rights Director Deferred Stock Units	Chisholm, Andrew Allen	4	2020-12-31	56		3,287	3,287
Royal Bank of Canada	Rights Subsidiary Director DSUs	Chisholm, Andrew Allen	4	2018-12-31	56		1,087	1,087
Royal Bank of Canada	Rights Subsidiary Director DSUs	Chisholm, Andrew Allen	4	2019-12-31	56		2,893	1,806
Royal Bank of Canada	Rights Subsidiary Director DSUs	Chisholm, Andrew Allen	4	2020-12-31	56		5,014	2,121
Royal Bank of Canada	Rights Director Deferred Stock Units	Cote, Jacynthe	4	2020-12-31	56		20,758	4,560
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-02-24	30	81.151	1,443	12
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-05-22	30	62.101		15
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-05-22	30	62.101	1,458	15
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-08-24	30	75.319	1,472	14
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-11-24	30	82.326	1,485	13
Royal Bank of Canada	Common Shares	Daruvala, Toos Noshir	4	2020-12-31	99		1,492	7
Royal Bank of Canada	Rights Director Deferred Stock Units	Daruvala, Toos Noshir	4	2020-12-31	56		18,877	4,479
Royal Bank of Canada	Common Shares	Denison, David Francis	4	2020-02-24	30	107.95	1,180	11
Royal Bank of Canada	Common Shares	Denison, David Francis	4	2020-05-22	30	86.24	1,194	14
Royal Bank of Canada	Common Shares	Denison, David Francis	4	2020-08-24	30	97.76	1,207	13
Royal Bank of Canada	Common Shares	Denison, David Francis	4	2020-11-24	30	104.2	1,219	12
Royal Bank of Canada	Rights Director Deferred Stock Units	Denison, David Francis	4	2020-12-31	56		31,133	4,559
Royal Bank of Canada	Common Shares	Devine, Cynthia	4	2020-08-24	30	97.85	11,764	106
Royal Bank of Canada	Common Shares	Devine, Cynthia	4	2020-11-24	30	104.15	11,865	101
Royal Bank of Canada	Common Shares	Devine, Cynthia	4	2020-08-01	00		81	
Royal Bank of Canada	Common Shares	Devine, Cynthia	4	2020-08-01	00			
Royal Bank of Canada	Common Shares	Devine, Cynthia	4	2020-08-01	00			
Royal Bank of Canada	Rights Director Deferred Stock Units	Devine, Cynthia	4	2020-08-01	00			
Royal Bank of Canada	Rights Director Deferred Stock Units	Devine, Cynthia	4	2020-12-31	56		809	809
Royal Bank of Canada	Rights Director Deferred Stock Units	Laberge, Alice D.	4	2020-12-31	56		61,442	5,149

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Royal Bank of Canada	Rights Director Deferred Stock Units	McCain, Michael Harrison	4	2020-12-31	56	95.473	63,368	5,860
Royal Bank of Canada	Rights Director Deferred Stock Units	Munroe-Blum, Heather	4	2020-12-31	56		26,881	3,040
Royal Bank of Canada	Common Shares	vandal, thierry	4	2019-12-17	10		1,178	59
Royal Bank of Canada	Rights Director Deferred Stock Units	vandal, thierry	4	2019-12-31	56		12,642	2,968
Royal Bank of Canada	Rights Director Deferred Stock Units	vandal, thierry	4	2020-12-31	56		17,043	4,401
Royal Bank of Canada	Common Shares	Vettese, Frank	4	2019-06-13	00			
Royal Bank of Canada	Common Shares	Vettese, Frank	4	2019-07-10	00			
Royal Bank of Canada	Common Shares	Vettese, Frank	4	2019-07-10	00			
Royal Bank of Canada	Common Shares	Vettese, Frank	4	2019-07-10	00		9,570	
Royal Bank of Canada	Rights Director Deferred Stock Units	Vettese, Frank	4	2020-12-31	56		4,586	3,788
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2021-03-24	10	3.89	19,693,200	-700
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2021-03-25	10	3.67	19,689,000	-4,200
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2021-03-25	10	3.68	19,687,400	-1,600
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2021-03-26	10	3.8	19,685,600	-1,800
Sanatana Resources Inc.	Common Shares	Dutton, Anthony John Guy	4	2020-09-22	00			
Sanatana Resources Inc.	Common Shares	Dutton, Anthony John Guy	4	2020-09-22	00		130,200	
Sanatana Resources Inc.	Options	Dutton, Anthony John Guy	4	2020-09-22	00			
Sanatana Resources Inc.	Options	Dutton, Anthony John Guy	4	2020-09-30	50		300,000	300,000
Sangoma Technologies Corporation	Common Shares	Brett, Allan	4	2021-03-19	51	0.3	115,632	60,944
Sangoma Technologies Corporation	Options	Brett, Allan	4	2021-03-19	51	0.3	59,368	-60,944
Santacruz Silver Mining Ltd.	Common Shares	Okada, Larry Minoru	4	2021-03-22	10	0.386	1,300,334	-49,000
Saputo Inc.	Common Shares	Saputo, Emanuele	3	2021-03-26	30	37.09	2,540,813	3,630
Saputo Inc.	Common Shares	Saputo, Emanuele	3	2021-03-26	30	37.09	127,842,875	182,682
Savaria Corporation	Options	Aubry, Sylvain	5	2021-03-26	50	18.57	100,000	20,000
Seabridge Gold Inc.	Common Shares	FCMI Parent Co.	3	2021-03-23	10	17.067	4,052,423	16,756
Seabridge Gold Inc.	Common Shares	FCMI Parent Co.	3	2021-03-24	10	16.901	4,066,223	13,800
Seabridge Gold Inc.	Common Shares	FCMI Parent Co.	3	2021-03-25	10	16.339	4,083,902	17,679
Secure Energy Services Inc.	Rights Performance Unit Awards	Amirault, Rene	3, 4, 5	2021-03-18	56	4.3	673,972	348,837
Secure Energy Services Inc.	Units PSUs	Callihoo, Michael Wayne	5	2021-03-18	56	4.3	53,345	11,628
Secure Energy Services Inc.	Units RSUs	Callihoo, Michael Wayne	5	2021-03-18	56	4.3	29,838	11,628
Secure Energy Services Inc.	Units Performance Share Unit	Engel, David Glenn	5	2021-03-18	56	4.3	286,411	133,721
Secure Energy Services Inc.	Common Shares	Gransch, Allen Peter	5	2021-03-22	10	3.7224	492,715	8,100
Secure Energy Services Inc.	Units Performance Share Unit	Gransch, Allen Peter	5	2021-03-18	56	4.3	323,647	209,302
Secure Energy Services Inc.	Common Shares	Higham, Corey Ray	5	2021-03-22	10	3.7513	234,583	22,000
Secure Energy Services Inc.	Rights PSU	Higham, Corey Ray	5	2021-03-18	56	4.3	343,095	133,721
Secure Energy Services Inc.	Units Performance Share Units	Magus, Chad William	5	2021-03-18	56	4.3	287,065	133,721
Secure Energy Services Inc.	Subscription Rights Performance Unit Awards	Mattinson, David William	5	2021-03-18	56	4.3	296,379	133,721
Secure Energy Services Inc.	Units Performance Share Units	Mikuska, Michael Francis Guy	5	2021-03-18	56	4.3	343,884	133,721
Seven Generations Energy Ltd.	Rights Performance Share Units	Aylesworth, William Derek	5	2021-03-22	59	8.51	113,753	-6,666
Seven Generations Energy Ltd.	Rights Performance Share Units	Brunner, Kyle	5	2021-03-22	59	8.51	63,345	-2,777
Seven Generations Energy Ltd.	Rights Performance Share Units	Chrumka, Lynne Patricia	5	2021-03-22	59	8.51	51,368	-979
Seven Generations Energy Ltd.	Rights Restricted Share Units	Chrumka, Lynne Patricia	5	2021-03-22	59	8.51	24,621	-979
Seven Generations Energy Ltd.	Rights Performance Share Units	Feltn, Christopher Wade	5	2021-03-22	59	8.51	53,041	-2,777
Seven Generations Energy Ltd.	Rights Performance Share Units	Johnston, Kevin James	5	2021-03-22	59	8.51	65,343	-2,777
Seven Generations Energy Ltd.	Rights Performance Share Units	Newmarch, Brian John	5	2021-03-22	59	8.51	63,041	-2,777
Seven Generations Energy Ltd.	Rights Performance Share Units	Proctor, Marty Leigh	4, 5	2021-03-22	59	8.51	302,138	-12,500
ShaMaran Petroleum Corp.	Common Shares	Chaouch, Adel	4, 5	2021-03-24	59	0.051		-676,939
ShaMaran Petroleum Corp.	Common Shares	Chaouch, Adel	4, 5	2021-03-24	59	0.051		-676,939
ShaMaran Petroleum Corp.	Common Shares	Chaouch, Adel	4, 5	2021-03-24	59	0.051		-676,939

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ShaMaran Petroleum Corp.	Common Shares	Chaouch, Adel	4, 5	2021-03-24	59	0.051		-676,939
ShaMaran Petroleum Corp.	Common Shares	Chaouch, Adel	4, 5	2021-03-24	57	0.051	3,626,394	2,243,061
ShaMaran Petroleum Corp.	Rights	Chaouch, Adel	4, 5	2021-03-24	59	0.051	10,849,728	-676,939
ShaMaran Petroleum Corp.	Rights	Chaouch, Adel	4, 5	2021-03-24	57	0.051	8,606,667	-2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		-2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		-2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		-2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		-2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		2,243,061
ShaMaran Petroleum Corp.	Rights Share Unit	Chaouch, Adel	4, 5	2021-03-24	57	0.051		2,243,061
ShaMaran Petroleum Corp.	Common Shares	Lengyel, Alex	5	2021-03-24	59	0.051		-127,740
ShaMaran Petroleum Corp.	Common Shares	Lengyel, Alex	5	2021-03-24	59	0.051		-127,740
ShaMaran Petroleum Corp.	Common Shares	Lengyel, Alex	5	2021-03-24	57	0.051	808,926	475,593
ShaMaran Petroleum Corp.	Rights	Lengyel, Alex	5	2021-03-24	59	0.051	2,348,927	-127,740
ShaMaran Petroleum Corp.	Rights	Lengyel, Alex	5	2021-03-24	58 - Expiration of rights	0.051		-475,593
ShaMaran Petroleum Corp.	Rights	Lengyel, Alex	5	2021-03-24	58 - Expiration of rights	0.051		-475,593
ShaMaran Petroleum Corp.	Rights	Lengyel, Alex	5	2021-03-24	57	0.051	1,873,334	-475,593
ShaMaran Petroleum Corp.	Rights Share Unit	Lengyel, Alex	5	2021-03-24	57	0.051		-475,593
ShaMaran Petroleum Corp.	Rights Share Unit	Lengyel, Alex	5	2021-03-24	57	0.051		-475,593
ShaMaran Petroleum Corp.	Rights Share Unit	Lengyel, Alex	5	2021-03-24	57	0.051		475,593
ShaMaran Petroleum Corp.	Rights Share Unit	Lengyel, Alex	5	2021-03-24	57	0.051		475,593
Sharc International Systems Inc.	Common Shares	Chiu, Eleanor Pui Fong	4	2021-03-24	10	0.56	620,000	200,000
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Deverell, Paul	5	2020-12-31	30	23.41	3,103	548
SHAW COMMUNICATIONS INC.	Restricted Share Units	Deverell, Paul	5	2020-12-31	30	22.62	4,503	39
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Emberly, Katherine	5	2020-12-31	30	23.86	18,372	3,339
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	Emberly, Katherine	5	2020-12-31	30	22.62	23,601	835
SHAW COMMUNICATIONS INC.	Restricted Share Units	Emberly, Katherine	5	2020-12-31	30	22.62	21,600	189
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	English, Trevor	5	2020-12-31	30	23.92	10,933	525
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	English, Trevor	5	2020-12-31	30	23.83	33,943	5,051
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	English, Trevor	5	2020-12-31	30	22.62	30,178	491
SHAW COMMUNICATIONS INC.	Restricted Share Units	English, Trevor	5	2020-12-31	30	22.62	28,540	249
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Johnson, Peter	5	2020-12-31	30	23.92	33,228	20
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Johnson, Peter	5	2020-12-31	30	23.84	21,944	3,488
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	Johnson, Peter	5	2020-12-31	30	22.62	23,601	434
SHAW COMMUNICATIONS INC.	Restricted Share Units	Johnson, Peter	5	2020-12-31	30	22.62	22,738	200
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Markou, Dan	5	2020-12-31	30	23.83	19,441	3,005
SHAW COMMUNICATIONS INC.	Options	Markou, Dan	5	2018-05-04	00			
SHAW COMMUNICATIONS INC.	Options	Markou, Dan	5	2018-05-04	00		60,000	
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	Markou, Dan	5	2020-12-31	30	22.62	19,667	695
SHAW COMMUNICATIONS INC.	Restricted Share Units	Markou, Dan	5	2020-12-31	30	22.62	16,883	146
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	McAleese, Paul	5	2020-12-31	30	23.87	7,382	3,228
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	McAleese, Paul	5	2020-12-31	30	22.62	26,777	862
SHAW COMMUNICATIONS INC.	Restricted Share Units	McAleese, Paul	5	2020-12-31	30	22.62	152,031	1,318
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 6, 5	2020-12-31	30	23.85	45,612	7,655

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SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	Shaw, Bradley	4, 6, 5	2020-12-31	30	22.62	34,235	953
SHAW COMMUNICATIONS INC.	Restricted Share Units	Shaw, Bradley	4, 6, 5	2020-12-31	30	22.62	159,611	1,385
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Estate of JR	3, 4, 5	2020-12-31	30	24.63	5,511	1,333
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Stakic, Zoran	5	2020-12-31	30	23.96	5,886	3,674
SHAW COMMUNICATIONS INC.	Performance Stock Units (PSU)	Stakic, Zoran	5	2020-12-31	30	22.62	31,261	501
SHAW COMMUNICATIONS INC.	Restricted Share Units	Stakic, Zoran	5	2020-12-31	30	22.62	28,540	249
Shawcor Ltd.	Employee Share Unit	Biasco, Giuseppe	5	2021-03-19	56		15,931	7,255
Shawcor Ltd.	Employee Share Unit	Cistrone, Frank	5	2021-03-19	56		17,680	10,883
Shawcor Ltd.	Employee Share Unit	Dewey, Simon Laurence	5	2021-03-19	56		11,724	7,255
Shawcor Ltd.	Employee Share Unit	Dunn, Ronald Joseph	5	2021-03-19	56		16,981	8,594
Shawcor Ltd.	Employee Share Unit	Havern, Christopher	5	2021-03-19	56		14,009	7,255
Shawcor Ltd.	Employee Share Unit	Hutzul, Timothy	5	2021-03-19	56		15,392	7,255
Shawcor Ltd.	Employee Share Unit	Laferriere, Pascal, Bryan	5	2021-03-19	56		4,948	3,325
Shawcor Ltd.	Employee Share Unit	Orr, Stephen Michael	5	2021-03-19	56		223,361	93,410
Shawcor Ltd.	Options	Orr, Stephen Michael	5	2021-03-12	50		789,784	163,142
Shawcor Ltd.	Employee Share Unit	Reeves, Michael Edward	5	2021-03-03	00			
Shawcor Ltd.	Employee Share Unit	Reeves, Michael Edward	5	2021-03-19	56		69,162	69,162
Shawcor Ltd.	Employee Share Unit	Reizer, Kevin Dominic	5	2021-03-19	56		42,633	12,696
Shawcor Ltd.	Common Shares	Smith, Geoffrey William	5	2021-03-23	57	6.1	5,434	1,556
Shawcor Ltd.	Employee Share Unit	Smith, Geoffrey William	5	2021-03-19	56		11,236	7,255
Shawcor Ltd.	Employee Share Unit	Smith, Geoffrey William	5	2021-03-23	57	6.1	9,680	-1,556
Shawcor Ltd.	Common Shares	Tabak, Joseph	5	2021-03-23	57	5.65	71,998	1,313
Shawcor Ltd.	Common Shares	Tabak, Joseph	5	2021-03-23	57	5.69	73,620	1,622
Shawcor Ltd.	Employee Share Unit	Tabak, Joseph	5	2021-03-19	56		18,273	10,883
Shawcor Ltd.	Employee Share Unit	Tabak, Joseph	5	2021-03-23	57	5.65	16,960	-1,313
Shawcor Ltd.	Employee Share Unit	Tabak, Joseph	5	2021-03-23	57	5.69	15,338	-1,622
Shawcor Ltd.	Employee Share Unit	Tano, Gaston Alfonso	5	2021-03-19	56		75,759	34,008
Sherritt International Corporation	Options	Pathe, David V.	4, 5	2021-03-04	52		4,491,175	-70,300
Sherritt International Corporation	Options	Saruk, Elvin	5	2021-03-04	52		924,954	-70,300
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-03-25	30	1090.1	18	-516
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2021-03-22	51	5.17	500	500
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2021-03-22	36		0	-500
Shopify Inc.	Options	Lemieux, Jean-Michel	5	2021-03-22	51	5.17	24,500	-500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2021-03-22	36		9,071	500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2021-03-22	30	1123.1	8,571	-500
Shopify Inc.	Options	Lutke, Tobias Albin	4, 5	2021-03-22	51	180.38	228,450	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-22	51	180.38	3,238	3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-22	30	1126.8	38	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-03-22	30	1141.8	145,250	-1,750
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-22	10	14.344	260,900	-4,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Jourdain Coleman, Paula	4	2021-03-22	10	14.35	257,900	-3,000
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Arnold, Craig Michael	4, 5	2021-02-25	00			
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Arnold, Craig Michael	4, 5	2021-03-23	50	0.25	750,000	750,000
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Colson, Maurice	4	2021-03-23	50	0.25	285,000	200,000

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Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Ding, Yongbiao	4	2021-02-26	00			
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Ding, Yongbiao	4	2021-03-23	50	0.25	200,000	200,000
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Gordon, Douglas	5	2021-02-25	00			
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Gordon, Douglas	5	2021-03-23	50	0.25	1,000,000	1,000,000
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Ptolemy, Ryan Jeffery	5	2021-02-26	00			
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Ptolemy, Ryan Jeffery	5	2021-03-23	50	0.25	200,000	200,000
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Yang, Mo	4, 5	2021-02-26	00			
Silo Wellness Inc. (formerly Yukoterre Resources Inc.)	Options	Yang, Mo	4, 5	2021-03-23	50	0.25	200,000	200,000
Silverton Metals Corp.	Options	Wylie, Gordon	4	2021-03-15	00		300,000	
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-18	10	6.01	1,039,900	4,900
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-18	10	6.03	1,040,300	400
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-18	10	6.04	1,040,600	300
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-18	10	6.05	1,041,600	1,000
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-18	10	6.17	1,046,600	5,000
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-19	10	6.13	1,047,200	600
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-19	10	6.14	1,047,500	300
SIR Royalty Income Fund	Units	Janes, Lembit	3	2021-03-19	10	6.15	1,062,200	14,700
Sire Bioscience Inc.	Options	Lines, Michael Edward	4	2021-03-22	50	0.475	500,000	300,000
Sire Bioscience Inc.	Options	Nugent, Brian	4	2021-03-22	50	0.475	700,000	500,000
Sire Bioscience Inc.	Options	Polla, Brian	4, 5	2021-03-22	50	0.475	2,515,000	1,500,000
Sire Bioscience Inc.	Common Shares	Rudensky, Wally	4	2021-03-12	00			
Sire Bioscience Inc.	Options	Rudensky, Wally	4	2021-03-12	00			
Sire Bioscience Inc.	Options	Rudensky, Wally	4	2021-03-22	50	0.475	1,000,000	1,000,000
Sire Bioscience Inc.	Warrants	Rudensky, Wally	4	2021-03-12	00			
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2021-03-22	10	0.175	1,868,000	2,500
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2021-03-22	10	0.18	1,873,000	5,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2021-03-23	10	0.177	1,875,000	2,000
Sixth Wave Innovations Inc.	Common Shares	Affinity Nanotechnology Inc	3	2020-02-03	00		10,302,250	
Sixth Wave Innovations Inc.	Warrants	Affinity Nanotechnology Inc	3	2020-02-03	00		4,397,000	
Skeena Resources Limited	Common Shares	Putnam, III, Borden Roger	4	2021-03-24	51	2.52	728,374	66,666
Skeena Resources Limited	Options	Putnam, III, Borden Roger	4	2021-03-24	51	2.52	300,334	-66,666
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2021-03-23	30	0.27	1,665,556	50,000
SKRR Exploration Inc.	Warrants	Dahl, Sherman	4, 5	2021-03-23	53	0.4	309,823	25,000
SKRR Exploration Inc.	Common Shares	McElroy, Ross E.	4	2021-03-22	11	0.3	562,353	50,000
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Mellis, Grace	4	2021-01-14	00			
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Options Stock Options	Mellis, Grace	4	2021-03-16	50	1.3	45,900	45,900
Skylight Health Group Inc. (Formerly CB2 Insights Inc.)	Common Shares	Sekar, Pradyum	4	2021-03-25	10	0.99	9,174,712	25,250
Slam Exploration Ltd.	Common Shares	Macdonald, Bruce	3	2021-03-24	10	0.06	6,666,000	36,000
Slam Exploration Ltd.	Common Shares	Taylor, Michael R.	4, 5	2021-03-22	10	0.06	3,584,633	37,000
Sleep Country Canada Holdings Inc.	Options	DePratto, Craig	5	2021-03-10	50		45,930	7,657
Sleep Country Canada Holdings Inc.	Options	DePratto, Craig	5	2021-03-18	50			7,595
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	DePratto, Craig	5	2021-03-10	56		22,079	4,104
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	DePratto, Craig	5	2021-03-10	56		24,131	2,052
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	DePratto, Craig	5	2021-03-18	56			4,071
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	DePratto, Craig	5	2021-03-18	56			2,036
Sleep Country Canada Holdings Inc.	Options	Friesema, David	4	2021-03-10	50		320,909	20,656
Sleep Country Canada Holdings Inc.	Options	Friesema, David	4	2021-03-18	50			20,489
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Friesema, David	4	2021-03-10	56		71,134	11,072
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Friesema, David	4	2021-03-10	56		76,670	5,536
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Friesema, David	4	2021-03-18	56			10,982

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Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Friesema, David	4	2021-03-18	56			5,491
Sleep Country Canada Holdings Inc.	Options	Howcroft, Dave	5	2021-03-10	50		131,281	10,453
Sleep Country Canada Holdings Inc.	Options	Howcroft, Dave	5	2021-03-18	50			10,368
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Howcroft, Dave	5	2021-03-10	56		35,826	5,603
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Howcroft, Dave	5	2021-03-10	56		38,627	2,801
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Howcroft, Dave	5	2021-03-18	56			5,557
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Howcroft, Dave	5	2021-03-18	56			2,779
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.5	220,295	-4,000
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.51	219,095	-1,200
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.52	217,195	-1,900
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.53	216,895	-300
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.54	216,595	-300
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.55	215,495	-1,100
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.56	215,195	-300
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.57	214,795	-400
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.59	214,695	-100
Sleep Country Canada Holdings Inc.	Common Shares	Schaefer, Stewart	5	2021-03-18	10	31.6	214,295	-400
Sleep Country Canada Holdings Inc.	Options	Schaefer, Stewart	5	2021-03-10	50		278,275	16,244
Sleep Country Canada Holdings Inc.	Options	Schaefer, Stewart	5	2021-03-18	50			16,113
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Schaefer, Stewart	5	2021-03-10	56		59,129	8,707
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Schaefer, Stewart	5	2021-03-10	56		63,482	4,353
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Schaefer, Stewart	5	2021-03-18	56			8,637
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Schaefer, Stewart	5	2021-03-18	56			4,318
Sleep Country Canada Holdings Inc.	Options	Solomon, Eric	5	2021-03-10	50		24,530	5,112
Sleep Country Canada Holdings Inc.	Options	Solomon, Eric	5	2021-03-18	50			5,071
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Solomon, Eric	5	2021-03-10	56		11,414	2,740
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Solomon, Eric	5	2021-03-10	56		12,784	1,370
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Solomon, Eric	5	2021-03-18	56			2,718
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Solomon, Eric	5	2021-03-18	56			1,359
Sleep Country Canada Holdings Inc.	Options	Will, Sieg	5	2021-03-10	50		126,475	7,754
Sleep Country Canada Holdings Inc.	Options	Will, Sieg	5	2021-03-18	50			7,692
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Will, Sieg	5	2021-03-10	56		27,394	4,156
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Will, Sieg	5	2021-03-10	56		29,472	2,078
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Will, Sieg	5	2021-03-18	56			4,123
Sleep Country Canada Holdings Inc.	Performance Share Units (PSU)	Will, Sieg	5	2021-03-18	56			2,061
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Alger, Robert Everett	5	2020-08-24	00			
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Alger, Robert Everett	5	2021-03-18	56	28.23	19,491	19,491

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SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Alger, Robert Everett	5	2020-08-24	00			
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Alger, Robert Everett	5	2021-03-18	56	28.23	29,237	29,237
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Bell, Jeffrey	5	2021-03-18	56	28.23	76,618	24,961
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Bell, Jeffrey	5	2021-03-18	56	28.23	88,391	37,442
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	CLARKE, Dale	5	2021-03-18	56	28.23	29,342	13,773
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	CLARKE, Dale	5	2021-03-18	56	28.23	44,012	20,659
SNC-Lavalin Group Inc.	Common Shares	Cullens, Alan James	5	2020-12-31	35	23.79	3,362	1
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Cullens, Alan James	5	2021-03-18	56	28.23	32,078	12,128
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Cullens, Alan James	5	2021-03-18	56	28.23	44,110	12,032
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Cullens, Alan James	5	2021-03-18	56	28.23	48,117	18,192
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Edwards, Ian L.	4, 5	2021-03-18	56	28.23	129,283	59,512
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Edwards, Ian L.	4, 5	2015-04-15	00			
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Edwards, Ian L.	4, 5	2021-03-18	56	28.23		37,931
SNC-Lavalin Group Inc.	Unités d'actions différées (hauts dirigeants)	Edwards, Ian L.	4, 5	2021-03-18	56	28.23	116,597	37,931
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Edwards, Ian L.	4, 5	2021-03-18	56	28.23	193,922	89,267
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Hoare, Philip David	5	2021-03-18	56	28.23	40,263	19,512
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Hoare, Philip David	5	2021-03-18	56	28.23	54,380	29,268
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Morriss, Steve J.	5	2021-01-25	00			
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Morriss, Steve J.	5	2021-03-18	56	28.23	19,109	19,109
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Morriss, Steve J.	5	2021-03-18	56	28.23	27,956	8,847
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Morriss, Steve J.	5	2021-01-25	00			
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Morriss, Steve J.	5	2021-03-18	56	28.23	28,664	28,664
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Ripley, Charlene Adele	5	2021-03-18	56	28.23	28,516	14,444
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Ripley, Charlene Adele	5	2021-03-18	56	28.23	42,773	21,666
SNC-Lavalin Group Inc.	Common Shares	Ryan, Erik J.	5	2020-12-31	35	22.42	7,150	26
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Ryan, Erik J.	5	2021-03-18	56	28.23	27,384	10,499
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Ryan, Erik J.	5	2021-03-18	56	28.23	38,033	10,649
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Ryan, Erik J.	5	2021-03-18	56	28.23	41,076	15,749
SNC-Lavalin Group Inc.	Common Shares	Taylor, Alexander S.	5	2021-03-17	57	29.25	3,212	3,212
SNC-Lavalin Group Inc.	Common Shares	Taylor, Alexander S.	5	2021-03-17	10	29.25	1,499	-1,713

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SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Taylor, Alexander S.	5	2021-03-18	56	28.23	48,641	19,129
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Taylor, Alexander S.	5	2021-03-17	57	29.25	44,267	-12,847
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Taylor, Alexander S.	5	2021-03-18	56	28.23	72,960	28,693
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Vaillancourt, Stéphanie	5	2021-03-18	56	28.23	21,758	9,164
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Vaillancourt, Stéphanie	5	2021-03-18	56	28.23	31,046	9,288
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Vaillancourt, Stéphanie	5	2021-03-18	56	28.23	32,637	13,745
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	Véronneau, Louis G.	5	2021-03-18	56	28.23	23,587	12,574
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	Véronneau, Louis G.	5	2021-03-18	56	28.23	35,380	18,861
SNC-Lavalin Group Inc.	Restricted Share Units/Unités d'actions inaccessibles	White, Nigel William Meredith	5	2021-03-18	56	28.23	32,943	13,111
SNC-Lavalin Group Inc.	Unités de participation en actions/Performance Share Units	White, Nigel William Meredith	5	2021-03-18	56	28.23	49,413	19,666
Solarvest BioEnergy Inc.	Options	Greenham, Gerri Joseph	4	2021-03-23	52		0	-70,000
Solarvest BioEnergy Inc.	Warrants	Greenham, Gerri Joseph	4	2021-03-23	55		0	-500,000
Solvbl Solutions Inc. (formerly Stowe One Investments Corp.)	Options	BROWN, BRENDA MARY	4	2021-02-23	00		380,000	
Solvbl Solutions Inc. (formerly Stowe One Investments Corp.)	Options	CHOWDHURY, MUSABBIR HOSSAIN	4	2021-02-23	00		380,000	
Solvbl Solutions Inc. (formerly Stowe One Investments Corp.)	Options	Gupta, Vikas	4	2021-02-23	00		400,000	
Sombrero Resources Inc.	Common Shares	Fretwell, Gordon	4	2020-10-09	00		211,684	
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2021-03-18	10	0.19	485,818	-5,000
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2021-03-18	10	0.2	480,818	-5,000
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	ARETI Energy SA	3	2021-03-18	00		23,675,779	
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	ARETI Energy SA	3	2021-03-18	11	3.8341	23,511,096	-164,683
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	Lowden, Stephen	4	2021-03-18	00		479,221	
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	Makarov, Igor	3	2021-03-18	00		23,675,779	
Spartan Delta Corp. (formerly Return Energy Inc.)	Common Shares	Makarov, Igor	3	2021-03-18	11	3.8341	23,511,096	-164,683
SPC Nickel Corp.	Common Shares	Mourre, Grant Albert	4, 5	2021-03-25	10	0.28	136,917	2,000
SPC Nickel Corp.	Common Shares	Mourre, Grant Albert	4, 5	2021-03-25	10	0.3	138,917	2,000
SPC Nickel Corp.	Common Shares	Mourre, Grant Albert	4, 5	2021-03-26	10	0.31	139,417	500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-15	10	0.5275	12,093,847	-56,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-17	10	0.531	12,073,847	-20,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-17	10	0.5275	12,073,847	-56,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-18	10	0.52	12,053,847	-20,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-19	10	0.531	12,053,847	-20,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-19	10	0.53	12,052,847	-1,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-22	10	0.5233	12,022,347	-30,500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-23	10	0.53	12,010,847	-11,500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-03-24	10	0.52	12,007,847	-3,000
Spey Resources Corp.	Options	Thornley-Hall, David	4, 5	2019-01-10	00		200,000	
Spey Resources Corp.	Options	Thornley-Hall, David	4, 5	2021-03-26	50		400,000	200,000
Spin Master Corp.	Performance Share Units	Beardall, Chris	5	2021-03-17	56	35.19	45,786	14,209
Spin Master Corp.	Restricted Share Units	Beardall, Chris	5	2021-03-17	56	35.19	143,750	3,553
Spin Master Corp.	Performance Share Units	Beder, Adam	5	2021-03-17	56	35.19	17,992	4,775
Spin Master Corp.	Restricted Share Units	Beder, Adam	5	2021-03-17	56	35.19	3,508	1,194
Spin Master Corp.	Performance Share Units	Blom, Paul	5	2020-09-30	00			
Spin Master Corp.	Performance Share Units	Blom, Paul	5	2021-03-17	56	35.19	11,367	11,367
Spin Master Corp.	Restricted Share Units	Blom, Paul	5	2021-03-17	56	35.19	51,544	2,842
Spin Master Corp.	Restricted Share Units	Blom, Paul	5	2021-03-17	56	35.19	79,962	28,418

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Spin Master Corp.	Restricted Share Units	Blom, Paul	5	2021-03-25	58 - Expiration of rights	35.9		-48,702
Spin Master Corp.	Restricted Share Units	Blom, Paul	5	2021-03-25	58 - Expiration of rights	35.9		-48,702
Spin Master Corp.	Restricted Share Units	Blom, Paul	5	2021-03-25	57	35.9	31,260	-48,702
Spin Master Corp.	Subordinate Voting Shares	Blom, Paul	5	2020-09-30	00			
Spin Master Corp.	Subordinate Voting Shares	Blom, Paul	5	2021-03-25	57	35.9		48,702
Spin Master Corp.	Subordinate Voting Shares	Blom, Paul	5	2021-03-25	57	35.9		48,702
Spin Master Corp.	Subordinate Voting Shares	Blom, Paul	5	2021-03-25	57	35.9	48,702	48,702
Spin Master Corp.	Subordinate Voting Shares	Blom, Paul	5	2021-03-26	10	35.44	21,259	-27,443
Spin Master Corp.	Performance Share Units	Deakin, Tara Lise	5	2021-03-17	56	35.19	31,951	8,980
Spin Master Corp.	Restricted Share Units	Deakin, Tara Lise	5	2021-03-17	56	35.19	34,957	2,245
Spin Master Corp.	Restricted Share Units	Deakin, Tara Lise	5	2021-03-25	57	35.9	10,606	-24,351
Spin Master Corp.	Subordinate Voting Shares	Deakin, Tara Lise	5	2021-03-25	57	35.9	26,351	24,351
Spin Master Corp.	Subordinate Voting Shares	Deakin, Tara Lise	5	2021-03-26	10	35.44	2,000	-24,351
Spin Master Corp.	Performance Share Units	Dodge, Jennifer Susan	5	2021-03-17	56	35.19	21,405	4,547
Spin Master Corp.	Restricted Share Units	Dodge, Jennifer Susan	5	2021-03-17	56	35.19	8,254	1,137
Spin Master Corp.	Performance Share Units	Harary, Ronnen	3, 4, 5	2021-03-17	56	35.19	82,276	16,198
Spin Master Corp.	Restricted Share Units	Harary, Ronnen	3, 4, 5	2021-03-17	56	35.19	15,617	4,050
Spin Master Corp.	Performance Share Units	Harrs, Chris	5	2021-03-17	56	35.19	18,873	4,775
Spin Master Corp.	Restricted Share Units	Harrs, Chris	5	2021-03-17	56	35.19	3,662	1,194
Spin Master Corp.	Performance Share Units	Henderson, Laura	5	2021-03-17	56	35.19	20,209	4,894
Spin Master Corp.	Restricted Share Units	Henderson, Laura	5	2021-03-17	56	35.19	23,032	1,224
Spin Master Corp.	Restricted Share Units	Henderson, Laura	5	2021-03-25	57	35.9	6,798	-16,234
Spin Master Corp.	Subordinate Voting Shares	Henderson, Laura	5	2021-03-25	57	35.9	17,248	16,234
Spin Master Corp.	Subordinate Voting Shares	Henderson, Laura	5	2021-03-26	10	35.44	8,100	-9,148
Spin Master Corp.	Performance Share Units	Loving, Fredrik Lennart	5	2021-03-17	56	35.19	7,680	5,833
Spin Master Corp.	Restricted Share Units	Loving, Fredrik Lennart	5	2021-03-17	56	35.19	27,315	1,459
Spin Master Corp.	Performance Share Units	Rabie, Anton	3, 4, 5	2021-03-17	56	35.19	82,276	16,198
Spin Master Corp.	Restricted Share Units	Rabie, Anton	3, 4, 5	2021-03-17	56	35.19	15,617	4,050
Spin Master Corp.	Performance Share Units	Rangel, Max	5	2021-01-18	00			
Spin Master Corp.	Performance Share Units	Rangel, Max	5	2021-03-17	56	35.19	52,288	52,288
Spin Master Corp.	Restricted Share Units	Rangel, Max	5	2021-01-18	00			
Spin Master Corp.	Restricted Share Units	Rangel, Max	5	2021-03-17	56	35.19	13,072	13,072
Spin Master Corp.	Restricted Share Units	Rangel, Max	5	2021-03-17	56	35.19	155,158	142,086
Spin Master Corp.	Performance Share Units	Segal, Mark	5	2021-03-17	56	35.19	68,043	14,209
Spin Master Corp.	Restricted Share Units	Segal, Mark	5	2021-03-17	56	35.19	13,578	3,553
Spin Master Corp.	Performance Share Units	Varadi, Ben	3, 4, 2	2021-03-17	56	35.19	112,560	20,191
Spin Master Corp.	Restricted Share Units	Varadi, Ben	3, 4, 2	2021-03-17	56	35.19	21,591	5,048
Spin Master Corp.	Performance Share Units	Yuen, Chi Wah	7	2021-03-17	56	35.19	7,036	1,240
Spin Master Corp.	Restricted Share Units	Yuen, Chi Wah	7	2021-03-17	56	35.19	7,034	1,240
SponsorsOne Inc.	Common Shares	Bartholomew, Gary	4	2021-03-16	10	0.065	8,964,529	-500,000
Sprott Inc.	Rights Deferred Share Units	Birch, Graham John	4	2021-03-23	46	55.04	9,852	56
Sprott Inc.	Rights Deferred Share Units	Dewhurst, Ronald Richard	4	2021-03-23	46	55.04	8,884	50
Sprott Inc.	Rights Deferred Share Units	Ranson, Sharon Margaret	4	2021-03-23	46	55.04	27,875	157
Sprott Inc.	Rights Deferred Share Units	ZIGROSSI, ROSEMARY	4	2021-03-23	46	55.04	14,158	80
SQL Diagnostics Inc.	Common Shares	Connor, Gerald R.	3, 4	2021-03-22	97		2,901,268	-12,000
SQL Diagnostics Inc.	Common Shares	Cumberland Private Wealth Management Inc.	3	2021-03-22	97	12000	389,831	12,000
Stantec Inc.	Common Shares	à Porta, Martin Anton	4	2021-03-22	10	53.57	9,000	4,000
Stantec Inc.	Common Shares	Alpern, Paul Jeremy David	7, 5	2020-12-31	30	41.711	8,942	122
Stantec Inc.	Performance Share Units	Alpern, Paul Jeremy David	7, 5	2020-12-31	30	41.783	1,547	20
Stantec Inc.	Common Shares Restricted Share Units	Alpern, Paul Jeremy David	7, 5	2020-12-31	30	41.783	1,547	20
Stantec Inc.	Common Shares	Castro, Leonardo De Oliveira	7	2020-12-31	30	41.72	14,317	194
Stantec Inc.	Performance Share Units	Castro, Leonardo De Oliveira	7	2020-12-31	30	41.788	2,529	33
Stantec Inc.	Common Shares Restricted Share Units	Castro, Leonardo De Oliveira	7	2020-12-31	30	41.788	2,529	33
Stantec Inc.	Common Shares	Davert, Marshall	7, 5	2021-03-23	51	31.75	14,243	14,243
Stantec Inc.	Common Shares	Davert, Marshall	7, 5	2021-03-23	10	53.5	0	-14,243
Stantec Inc.	Common Shares	Davert, Marshall	7, 5	2021-03-23	51	32.98	8,064	8,064
Stantec Inc.	Common Shares	Davert, Marshall	7, 5	2021-03-23	10	53.5	0	-8,064
Stantec Inc.	Common Shares	Davert, Marshall	7, 5	2020-12-31	30	41.722	14,807	201
Stantec Inc.	Performance Share Units	Davert, Marshall	7, 5	2020-12-31	30	41.722	14,807	201
Stantec Inc.	Common Shares Restricted Share Units	Davert, Marshall	7, 5	2020-12-31	30	41.792	2,601	34

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Stantec Inc.	Options	Davert, Marshall	7, 5	2021-03-23	51	31.75	12,098	-14,243
Stantec Inc.	Options	Davert, Marshall	7, 5	2021-03-23	51	32.98	4,034	-8,064
Stantec Inc.	Common Shares Performance Share Units	DiManno, Valentino	7, 5	2020-12-31	30	41.717	22,529	306
Stantec Inc.	Common Shares Restricted Share Units	DiManno, Valentino	7, 5	2020-12-31	30	41.781	4,021	52
Stantec Inc.	Common Shares Performance Share Units	Finis, Mario	7	2020-12-31	30	41.784	9,389	123
Stantec Inc.	Common Shares Restricted Share Units	Finis, Mario	7	2020-12-31	30	41.862	1,778	22
Stantec Inc.	Common Shares Performance Share Units	Fleck, Steve Marvin	7, 5	2020-12-31	30	41.726	22,319	302
Stantec Inc.	Common Shares Restricted Share Units	Fleck, Steve Marvin	7, 5	2020-12-31	30	41.787	4,098	53
Stantec Inc.	Common Shares Performance Share Units	Jang, Theresa	7, 5	2020-12-31	30	41.894	26,383	326
Stantec Inc.	Common Shares Restricted Share Units	Jang, Theresa	7, 5	2020-12-31	30	41.894	6,595	81
Stantec Inc.	Common Shares Performance Share Units	Johnston, Gordon Allan	4, 7, 5	2020-12-31	30	41.774	131,604	1,734
Stantec Inc.	Common Shares Restricted Share Units	Johnston, Gordon Allan	4, 7, 5	2020-12-31	30	41.851	24,651	312
Stantec Inc.	Common Shares Performance Share Units	Kennedy, Michael Aloysius	7	2020-12-31	30	41.72	14,316	194
Stantec Inc.	Common Shares Restricted Share Units	Kennedy, Michael Aloysius	7	2020-12-31	30	41.788	2,529	33
Stantec Inc.	Common Shares Performance Share Units	Lerner, Stuart	7, 5	2020-12-31	30	41.797	18,191	237
Stantec Inc.	Common Shares Restricted Share Units	Lerner, Stuart	7, 5	2020-12-31	30	41.875	3,498	44
Stantec Inc.	Common Shares	Morisbak, Bjorn	7	2021-03-20	00		6,999	
Stantec Inc.	Common Shares	Morisbak, Bjorn	7	2021-03-20	00		2,061	
Stantec Inc.	Common Shares Performance Share Units	Morisbak, Bjorn	7	2021-03-20	00		5,620	
Stantec Inc.	Common Shares Restricted Share Units	Morisbak, Bjorn	7	2021-03-20	00		991	
Stantec Inc.	Options	Morisbak, Bjorn	7	2021-03-20	00		13,537	
Stantec Inc.	Common Shares Performance Share Units	Samji, Asifa	7	2020-12-31	30	41.715	4,715	64
Stantec Inc.	Common Shares Restricted Share Units	Samji, Asifa	7	2020-12-31	30	41.785	813	10
Stantec Inc.	Common Shares Performance Share Units	Schefer, Catherine Margaret	7, 5	2020-12-31	30	41.79	17,829	233
Stantec Inc.	Common Shares Restricted Share Units	Schefer, Catherine Margaret	7, 5	2020-12-31	30	41.855	3,539	45
Stantec Inc.	Common Shares Performance Share Units	Seager, Robert Harold	7	2020-12-31	30	41.711	10,905	148
Stantec Inc.	Common Shares Restricted Share Units	Seager, Robert Harold	7	2020-12-31	30	41.782	1,866	24
Stantec Inc.	Common Shares Performance Share Units	Stone, Jeffrey Philip	7	2020-12-31	30	41.721	4,239	57
Stantec Inc.	Common Shares Restricted Share Units	Stone, Jeffrey Philip	7	2020-12-31	30	41.789	748	10
Stantec Inc.	Common Shares Performance Share Units	Take, John David	7	2020-12-31	30	41.781	10,424	137
Stantec Inc.	Common Shares Restricted Share Units	Take, John David	7	2020-12-31	30	41.859	1,964	24
Stantec Inc.	Common Shares Performance Share Units	Walter, Susan Furman	7	2020-12-31	30	41.786	9,454	124
Stantec Inc.	Common Shares Restricted Share Units	Walter, Susan Furman	7	2020-12-31	30	41.862	1,804	22
Stantec Inc.	Common Shares Performance Share Units	Wlad, Russell Edward	7	2020-12-31	30	41.715	10,682	145
Stantec Inc.	Common Shares Restricted Share Units	Wlad, Russell Edward	7	2020-12-31	30	41.784	1,849	24
Star Navigation Systems Group Ltd.	Common Shares	Brar, Anoop	5	2021-03-26	46		3,933,333	490,000
Star Navigation Systems Group Ltd.	Common Shares	Brar, Anoop	5	2021-03-28	00		3,443,333	
Star Navigation Systems Group Ltd.	Common Shares	Brar, Anoop	5	2021-03-28	36		4,683,333	750,000
Stelco Holdings Inc.	Common Shares	Goldberg, Alan Edward	3, 4, 6	2019-12-31	90			-41,172,315
Stelco Holdings Inc.	Common Shares	Goldberg, Alan Edward	3, 4, 6	2019-12-31	90			-41,172,315
Stelco Holdings Inc.	Common Shares	Goldberg, Alan Edward	3, 4, 6	2019-12-31	97		0	-41,172,315
Stelco Holdings Inc.	Common Shares	Goldberg, Alan Edward	3, 4, 6	2017-11-02	00		41,172,315	

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Stelco Holdings Inc.	Common Shares	Kestenbaum, Alan	4, 6, 5	2021-03-10	90		1,191,158	1
Stelco Holdings Inc.	Deferred Share Units	MUELLER, MICHAEL J	4	2020-03-04	30	7.21	11,176	152
Stelco Holdings Inc.	Deferred Share Units	Ross, Heather	4	2020-03-04	30	7.21	6,705	91
Stelco Holdings Inc.	Deferred Share Units	Samarasekera, Indira Vasanti	4	2020-03-04	30	7.21	22,112	302
Stelco Holdings Inc.	Restricted Share Units	Sanyal, Sujit	5	2021-03-21	59	26.94	48,671	-24,858
Stelco Holdings Inc.	Stock Appreciation Rights	Scherzer, Paul	5	2021-03-21	59	26.94	76,667	-23,333
Stelco Holdings Inc.	Restricted Share Units	Simon, Paul	5	2020-03-04	30	7.21	3,652	49
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Bourgault, Lyne	7	2021-03-19	59	45.94	1,080	-328
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Caric, George	7	2021-03-19	59	45.94	3,008	-5,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Comerford, Kevin Patrick	7	2021-03-19	59	45.94	3,293	-12,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Couture, Sylvain	5	2021-03-19	59	45.94	1,375	-278
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Downy, William Garfield Jr.	7	2021-03-19	59	45.94	1,379	-5,000
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-12-15	56	40.48		108
Stella-Jones Inc.	Common Shares	Eichenbaum, Marla	5	2020-12-15	30	40.48	5,699	108
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Eichenbaum, Marla	5	2021-03-19	59	45.94	3,095	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Goeller, Michael	5	2021-03-19	59	45.94	1,659	-643
Stella-Jones Inc.	Restricted Stock Units (RSU's)	James, Kenner	7	2021-03-19	59	45.94	3,176	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Jones, Ian	7	2021-03-19	59	45.94	8,468	-24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Kirkham, Patrick	7	2021-03-19	59	45.94	1,973	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Kusmierczyk, Wayne	7	2021-03-19	59	45.94	8,783	-368
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Marcell, Driessen	7	2021-03-19	53	45.94		-6,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Marcell, Driessen	7	2021-03-19	59	45.94	2,283	-6,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Morgan, Andy	7	2021-03-19	59	45.94	9,154	-374
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Murray, Gordon	5	2021-03-19	59	45.94	2,219	-6,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Pittman, George Glynn	5	2021-03-19	59	45.94	1,578	-417
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Raines, James	7	2021-03-19	59	45.94	1,595	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Stark, Patrick	7	2021-03-19	59	45.94	2,020	-5,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Sylvester, Mike	7	2021-03-19	59	45.94	7,542	-24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2018-03-19	56	46.02		12,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2018-03-19	56	46.02	25,702	24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-19	59	45.94		-24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-19	59	45.94		-24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Vachon, Eric	7	2021-03-19	59	45.94	14,222	-24,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Whitted, David	7	2021-03-19	59	45.94	1,476	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Younce, Jon	7	2021-03-19	59	45.94		-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Younce, Jon	7	2021-03-19	59	45.94	2,474	-10,000
Stella-Jones Inc.	Restricted Stock Units (RSU's)	Zeegers, Ronald Leo	7	2021-03-19	59	45.94	1,055	-5,000
STEP Energy Services Ltd.	Options	Kane, Joshua Maxwell	5	2021-03-25	50		112,123	13,966
STEP Energy Services Ltd.	Restricted Share Units	Kane, Joshua Maxwell	5	2021-03-25	56		14,232	5,602
Stinger Resources Inc.	Options	Blaney, Darren	4, 5	2021-03-19	50	0.27	1,791,370	300,000
Stinger Resources Inc.	Options	Edwards, Dennis Gibb	4	2021-03-19	50	0.27	68,318	10,000
Stinger Resources Inc.	Options	Edwards, Robert Nathan	4, 5	2021-03-19	50	0.27	1,415,152	225,000
Stinger Resources Inc.	Options	Gibb, Jeremy	4	2021-02-25	00			
Stinger Resources Inc.	Options	Gibb, Jeremy	4	2021-03-19	50	0.27	10,000	10,000
Stinger Resources Inc.	Options	Pownall, Sean Patrick	4	2020-10-20	00			

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Stinger Resources Inc.	Options	Pownall, Sean Patrick	4	2021-03-19	50	0.27	10,000	10,000
Stingray Group Inc.	Deferred Share Units (DSU)	Blondin, Claudine	4	2020-12-31	35	5.4949	48,475	2,334
Stingray Group Inc.	Deferred Share Units (DSU)	Blondin, Claudine	4	2021-03-25	56	7.1391	50,425	140
Stingray Group Inc.	Deferred Share Units (DSU)	Bouchard, Karinne	4	2021-02-26	00			
Stingray Group Inc.	Deferred Share Units (DSU)	Bouchard, Karinne	4	2021-03-25	56	7.1391	7,967	7,967
Stingray Group Inc.	Deferred Share Units (DSU)	Boyko, Éric	3, 4, 5	2020-12-31	35	5.4949	252,558	11,063
Stingray Group Inc.	Deferred Share Units (DSU)	Dubois, Mario	5	2020-12-31	35	5.6114	8,421	332
Stingray Group Inc.	Deferred Share Units (DSU)	Lavoie, Frédéric	4	2020-12-31	35	6.3864	1,877	21
Stingray Group Inc.	Deferred Share Units (DSU)	Lavoie, Frédéric	4	2021-03-25	56	7.1278	3,440	140
Stingray Group Inc.	Deferred Share Units (DSU)	Parisien, Jacques	4	2020-12-31	35	5.4949	53,609	2,575
Stingray Group Inc.	Deferred Share Units (DSU)	Parisien, Jacques	4	2021-03-25	56	7.1391	55,818	140
Stingray Group Inc.	Deferred Share Units (DSU)	Pathy, Mark	4	2020-12-31	35	5.4949	65,064	3,071
Stingray Group Inc.	Deferred Share Units (DSU)	Pathy, Mark	4	2021-03-25	56	7.1391	68,308	140
Stingray Group Inc.	Deferred Share Units (DSU)	Purdy, David	5	2020-12-31	35	5.4949	9,925	528
Stingray Group Inc.	Deferred Share Units (DSU)	Rich, Gary	4	2020-12-31	35	5.5173	46,345	2,241
Stingray Group Inc.	Deferred Share Units (DSU)	Rich, Gary	4	2021-03-25	56	7.1278	48,231	140
Stingray Group Inc.	Deferred Share Units (DSU)	Steele, Robert	4	2020-12-31	35	5.4949	42,103	2,059
Stingray Group Inc.	Deferred Share Units (DSU)	Steele, Robert	4	2021-03-25	56	7.1301	43,665	140
Stingray Group Inc.	Deferred Share Units (DSU)	Trahan, Jean-Pierre	5	2020-12-31	35	5.6114	8,421	332
Stingray Group Inc.	Deferred Share Units (DSU)	Tremblay, Pascal	4	2020-12-31	35	5.4949	55,534	2,677
Stingray Group Inc.	Deferred Share Units (DSU)	Tremblay, Pascal	4	2021-03-25	56	7.1391	57,743	140
StorageVault Canada Inc.	Common Shares	Access Self Storage Inc.	3	2021-03-23	11	4	126,550,831	1,000,000
StorageVault Canada Inc.	Common Shares	Simpson, Alan Arthur	4	2021-03-23	11	4	501,858	-1,000,000
Stria Lithium Inc.	Common Shares	Dow, Robin	4	2021-03-19	51		250,000	150,000
Stria Lithium Inc.	Common Shares	Dow, Robin	4	2021-03-19	10	0.05	100,000	-150,000
Stria Lithium Inc.	Options	Dow, Robin	4	2019-05-21	00		250,000	
Stria Lithium Inc.	Options	Dow, Robin	4	2021-03-19	51	0.05	100,000	-150,000
Suncor Energy Inc.	Deferred Share Units	Cowan, Alister	5	2020-12-31	30		52,439	3,019
Suncor Energy Inc.	Performance Share Units	Cowan, Alister	5	2020-12-31	30		113,944	6,491
Suncor Energy Inc.	Restricted Share Unit	Cowan, Alister	5	2020-12-31	30		19,333	1,101
Suncor Energy Inc.	Deferred Share Units	Francoeur, Bruno	5	2020-12-31	30		31,294	1,802
Suncor Energy Inc.	Performance Share Units	Francoeur, Bruno	5	2020-12-31	30		68,772	3,918
Suncor Energy Inc.	Restricted Share Unit	Francoeur, Bruno	5	2020-12-31	30		12,889	734
Suncor Energy Inc.	Common Shares	Gardner, Paul Douglas	5	2020-12-31	30	21.83	30,680	5,966
Suncor Energy Inc.	Deferred Share Units	Gardner, Paul Douglas	5	2020-12-31	30		33,740	1,943
Suncor Energy Inc.	Performance Share Units	Gardner, Paul Douglas	5	2020-12-31	30		72,831	4,149
Suncor Energy Inc.	Restricted Share Unit	Gardner, Paul Douglas	5	2020-12-31	30		13,567	772
Suncor Energy Inc.	Performance Share Units	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30			1,159
Suncor Energy Inc.	Performance Share Units	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30			1,159
Suncor Energy Inc.	Performance Share Units	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30		20,351	1,159
Suncor Energy Inc.	Restricted Share Unit	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30			579
Suncor Energy Inc.	Restricted Share Unit	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30			579
Suncor Energy Inc.	Restricted Share Unit	Hall Findlay, Martha Kathleen Marlow	5	2020-12-31	30		10,175	579
Suncor Energy Inc.	Common Shares	Little, Mark Stephen	5	2020-12-31	30	18.32	8,680	3,712
Suncor Energy Inc.	Deferred Share Units	Little, Mark Stephen	5	2020-12-31	30			6,927
Suncor Energy Inc.	Deferred Share Units	Little, Mark Stephen	5	2020-12-31	30			6,927
Suncor Energy Inc.	Deferred Share Units	Little, Mark Stephen	5	2020-12-31	30		120,283	6,927
Suncor Energy Inc.	Performance Share Units	Little, Mark Stephen	5	2020-12-31	30			15,681
Suncor Energy Inc.	Performance Share Units	Little, Mark Stephen	5	2020-12-31	30			15,681
Suncor Energy Inc.	Performance Share Units	Little, Mark Stephen	5	2020-12-31	30		275,257	15,681
Suncor Energy Inc.	Restricted Share Unit	Little, Mark Stephen	5	2020-12-31	30			3,285
Suncor Energy Inc.	Restricted Share Unit	Little, Mark Stephen	5	2020-12-31	30			3,285
Suncor Energy Inc.	Restricted Share Unit	Little, Mark Stephen	5	2020-12-31	30		57,661	3,285
Suncor Energy Inc.	Common Shares	MacSween, Michael Roderick	5	2020-12-31	30	22.06	55,011	10,007
Suncor Energy Inc.	Deferred Share Units	MacSween, Michael Roderick	5	2020-12-31	30		85,812	4,942
Suncor Energy Inc.	Performance Share Units	MacSween, Michael Roderick	5	2020-12-31	30		111,473	6,351
Suncor Energy Inc.	Restricted Share Unit	MacSween, Michael Roderick	5	2020-12-31	30		19,070	1,536
Suncor Energy Inc.	Common Shares	Smith, Kristopher Peter	5	2020-12-31	30	21.92	25,679	5,300
Suncor Energy Inc.	Deferred Share Units	Smith, Kristopher Peter	5	2020-12-31	30		22,875	1,317
Suncor Energy Inc.	Performance Share Units	Smith, Kristopher Peter	5	2020-12-31	30		112,151	6,388
Suncor Energy Inc.	Restricted Share Unit	Smith, Kristopher Peter	5	2020-12-31	30		19,333	1,101

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Suncor Energy Inc.	Common Shares	Strom, Arlene Joyce	5	2020-12-31	30	18.043	1,754	101
Suncor Energy Inc.	Common Shares	Strom, Arlene Joyce	5	2020-12-31	30	21.96	18,971	4,319
Suncor Energy Inc.	Deferred Share Units	Strom, Arlene Joyce	5	2020-12-31	30		13,673	788
Suncor Energy Inc.	Performance Share Units	Strom, Arlene Joyce	5	2020-12-31	30		51,739	2,948
Suncor Energy Inc.	Restricted Share Unit	Strom, Arlene Joyce	5	2020-12-31	30		12,889	734
Suncor Energy Inc.	Performance Share Units	Vetrone, Joseph Anthony	5	2020-12-31	30		31,768	692
Suncor Energy Inc.	Restricted Share Unit	Vetrone, Joseph Anthony	5	2020-12-31	30		20,327	265
SunOpta Inc.	Common Shares	Buick, Mike	5	2021-03-18	57		108,796	11,973
SunOpta Inc.	Rights RSU	Buick, Mike	5	2021-03-18	57		46,667	-23,333
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-22	10	14.319	25,795,000	75,000
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-23	10	14.119	25,912,000	117,000
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-24	10	14.005	26,127,000	215,000
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-03-26	10	14.249	26,237,000	110,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-19	38	10.393	736,100	1,400
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-03-23	38	10.43	738,400	2,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-22	38	9.2386	467,300	2,100
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-03-23	38	9.1552	471,500	4,200
Synex International Inc.	Common Shares	McGivern, Richard David	7	2021-03-19	51	0.225	100,000	40,000
Synex International Inc.	Options	McGivern, Richard David	7	2021-03-19	51	0.225		40,000
Synex International Inc.	Options	McGivern, Richard David	7	2021-03-19	51	0.225	180,000	-40,000
Synex International Inc.	Common Shares	sunell, gregory jack	3	2021-03-23	10	0.31	5,363,889	-6,500
Taal Distributed Information Technologies Inc.	Common Shares	Strub, Marco	4	2021-03-24	10	4.59	18,000	10,000
Taal Distributed Information Technologies Inc.	Warrants	Strub, Marco	4	2021-03-24	10	0.01	5,000	5,000
TAG Oil Ltd	Common Shares	MacNeil, Barry	5	2021-03-25	10	0.285	1,021,600	30,000
Talon Metals Corp.	Options	Goldner, Brian David	5	2021-03-18	00		7,000,000	
Talon Metals Corp.	Options	Groulx, Mark	5	2021-03-18	00		3,500,000	
Tamarack Valley Energy Ltd.	Common Shares	Boyce, Jeff	4	2021-03-25	15	2.25	982,748	101,000
Tamarack Valley Energy Ltd.	Rights PSUs	Christensen, David Keith	5	2021-03-26	56		480,417	55,417
Tamarack Valley Energy Ltd.	Rights PSUs	Cruikshank, Ken	5	2021-03-26	56		409,583	49,583
Tamarack Valley Energy Ltd.	Rights PSUs	Malek, Martin	5	2021-03-26	56		321,880	17,500
Tamarack Valley Energy Ltd.	Rights PSUs	Reimond, Scott William	5	2021-03-26	56		409,583	49,583
Tamarack Valley Energy Ltd.	Common Shares	Rooney, John	4	2021-03-25	15	2.25	140,942	100,000
Tamarack Valley Energy Ltd.	Common Shares	Rooney, John	4	2021-03-25	10	2.0833	340,942	200,000
Tamarack Valley Energy Ltd.	Rights PSUs	Schmidt, Brian Leslie	5	2021-03-26	56		1,248,083	102,083
Tamarack Valley Energy Ltd.	Rights PSUs	Screen, Kevin	5	2021-03-26	56		624,417	55,417
Tamarack Valley Energy Ltd.	Common Shares	Smith, Marnie	4	2021-03-25	11	2.25	79,194	11,000
Tamarack Valley Energy Ltd.	Common Shares	Spitzer, Robert	4	2021-03-25	11	2.25	279,000	22,500
Tarachi Gold Corp. (formerly Kal Minerals Corp.)	Options	Tymstra, Cameron David	5	2021-03-18	50	0.3	1,000,000	167,000
TC Energy Corporation	Common Shares	Mahan, Russell	7	2021-03-24	10	46.72	5,837	1,925
TC Energy Corporation	Common Shares	Poirier, Francois Lionel	5	2021-03-23	10	56.974	85,200	19,600
TC Energy Corporation	Common Shares	Prior, Richard	7	2021-03-22	10	45.5	10,556	659
TC Energy Corporation	Common Shares	Prior, Richard	7	2021-03-22	10	57	10,775	219
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Devine, Michael	4	2021-01-08	00			
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Devine, Michael	4	2021-01-14	50	0.175	1,433,334	1,433,334
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Green, Peter	4	2020-06-15	00			
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Green, Peter	4	2021-01-14	50	0.175	2,003,333	2,003,333
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Nathwani, Aleem	4	2021-01-08	00			
TechX Technologies Inc. (formerly "LiteLink Technologies Inc.")	Options	Nathwani, Aleem	4	2021-01-14	50	0.175	2,003,333	2,003,333
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-01-08	30	28.2		4
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-04-09	30	32.09		1

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Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-07-04	30	29.96		2
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-10-07	30	20.56		2
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-01-08	30	28.2	806	4
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-04-09	30	32.09	807	1
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-07-04	30	29.96	809	2
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2019-10-07	30	20.56	811	2
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2020-01-06	30	22.94	813	2
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2020-04-03	30	10.06	817	4
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2020-07-06	30	18.68	820	3
Teck Resources Limited	Class B Subordinate Voting Shares	Davey, Larry	5	2020-10-05	30	18.68	822	2
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-03-22	51		359,921	40,000
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-03-24	10	45.911	349,221	-10,700
Tecsys Inc.	Options Stock Options	Brereton, Peter	4, 5	2021-03-22	51		242,162	-40,000
TeraGo Inc.	Common Shares	BREKKA, Richard James	3, 4	2021-03-24	46		1,345,567	2,064
TeraGo Inc.	Common Shares	Buckner, Laurel	4	2021-03-24	46		16,040	1,847
TeraGo Inc.	Common Shares	Campbell, Kenneth	4	2021-03-24	46		4,236	2,125
TeraGo Inc.	Common Shares	Gerber, Matthew	5	2021-03-24	46		75,026	3,428
TeraGo Inc.	Common Shares	Martin, Michael James	4	2021-03-24	46		23,488	1,847
TeraGo Inc.	Common Shares	Sherlock, Gary Neil	4	2021-03-24	46		41,082	2,171
Teras Resources Inc.	Common Shares	Carrabba, Joe	4, 5	2021-03-18	10	0.0616	3,648,700	500,000
Teras Resources Inc.	Common Shares	Carrabba, Joe	4, 5	2021-03-19	10	0.0638	3,748,700	100,000
Terranueva Corporation	Common Shares	Landry, Jean-Luc	3	2021-03-19	00			
Terranueva Corporation	Common Shares	Landry, Jean-Luc	3	2021-03-19	00		106,000	
Terranueva Corporation	Common Shares	Landry, Jean-Luc	3	2021-03-19	16	0.08	11,981,000	11,875,000
Terranueva Corporation	Common Shares	Landry, Jean-Luc	3	2021-03-19	00		396,179	
Terranueva Corporation	Warrants	Landry, Jean-Luc	3	2021-03-19	00			
Terranueva Corporation	Warrants	Landry, Jean-Luc	3	2021-03-19	16	0.15	11,875,000	11,875,000
Terranueva Corporation	Common Shares	Polatos, Peter	5	2020-10-30	00			
Terranueva Corporation	Common Shares	Polatos, Peter	5	2021-03-19	46	0.08	375,000	375,000
Terranueva Corporation	Warrants	Polatos, Peter	5	2020-10-30	00			
Terranueva Corporation	Warrants	Polatos, Peter	5	2021-03-19	53		375,000	375,000
Terranueva Corporation	Common Shares	St-Louis, Dominique	5	2021-03-19	16	0.08	250,000	250,000
Terranueva Corporation	Warrants	St-Louis, Dominique	5	2019-12-15	00			
Terranueva Corporation	Warrants	St-Louis, Dominique	5	2021-03-19	16	0.15	250,000	250,000
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Bajwa, David	4, 5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Bajwa, David	4, 5	2021-03-22	50	0.95	1,000,000	1,000,000
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Hodgson, Eugene	5	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Hodgson, Eugene	5	2021-03-19	50	0.57	500,000	500,000
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Keith, Gordon Thomas	4	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Keith, Gordon Thomas	4	2021-03-22	50	0.95	50,000	50,000
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Scovenna, Christian	4	2021-03-15	00			
Tevano Systems Holdings Inc. (formerly RBI Ventures Ltd.)	Options	Scovenna, Christian	4	2021-03-15	50	0.57	150,000	150,000
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2008-05-22	00			
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2021-03-26	10	90.93	600	600
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2021-03-26	10	90.975	700	100
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2021-03-26	10	91.08	750	50
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2008-05-22	00			
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2021-03-26	10	90.96	700	700
TFI International Inc.	Common Shares	Bédard, Alain	4, 5	2021-03-26	10	91.02	750	50
The Green Organic Dutchman Holdings Ltd.	Options	Dungey, Shane	5	2021-03-19	50		760,000	500,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Gora, Robert John	5	2021-03-25	10	0.3	14,345	7,000

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The Green Organic Dutchman Holdings Ltd.	Options	KIRTON, Nicholas Grenville	4	2021-01-08	52		1,085,000	-250,000
The Green Organic Dutchman Holdings Ltd.	Options	Schmidt, Matt	5	2020-10-02	52		260,000	-75,000
The Green Organic Dutchman Holdings Ltd.	Options	Scott, Jeffrey J.	4	2020-10-02	52		520,000	-450,000
The Green Organic Dutchman Holdings Ltd.	Options	Scott, Jeffrey J.	4	2021-01-08	52		1,120,000	-150,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-23	10	2.61	2,253,972	-2,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-23	10	2.63	2,250,972	-3,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-23	10	2.64	2,250,672	-300
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-24	10	2.6	2,249,272	-1,400
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-25	10	2.5	2,244,272	-5,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-25	10	2.48	2,241,272	-3,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2021-03-25	10	2.5	2,238,972	-2,300
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	2021-03-24	10	0.275	1,056,308	4,000
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-16	00			
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-16	00		9,099	
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-17	30	87.79	9,242	143
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-18	51	54.36		1,453
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-18	51	54.36	10,695	1,453
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-18	51	75.96	11,133	438
Thomson Reuters Corporation	Common Shares	Beaumont, Stewart	5	2021-03-22	57		11,174	41
Thomson Reuters Corporation	Options	Beaumont, Stewart	5	2021-03-16	00		51,418	
Thomson Reuters Corporation	Options	Beaumont, Stewart	5	2021-03-18	51		46,134	-5,284
Thomson Reuters Corporation	Options	Beaumont, Stewart	5	2021-03-18	51		41,627	-4,507
Thomson Reuters Corporation	Restricted Share Units	Beaumont, Stewart	5	2021-03-16	00			
Thomson Reuters Corporation	Restricted Share Units	Beaumont, Stewart	5	2021-03-16	00			
Thomson Reuters Corporation	Restricted Share Units	Beaumont, Stewart	5	2021-03-16	00		18,647	
Thomson Reuters Corporation	Restricted Share Units	Beaumont, Stewart	5	2021-03-22	57		18,588	
Thomson Reuters Corporation	Common Shares	Cannizzaro, Sean	7	2021-03-16	10	88.23	1,030	-1,400
Thomson Reuters Corporation	Common Shares	Cannizzaro, Sean	7	2021-03-17	30	87.79	1,059	29
Thomson Reuters Corporation	Common Shares	Cannizzaro, Sean	7	2021-03-22	57		1,066	7
Thomson Reuters Corporation	Restricted Share Units	Cannizzaro, Sean	7	2021-03-22	57		4,096	-11
Thomson Reuters Corporation	Common Shares	Clamp-Held, Ruth	7	2021-03-17	30	87.79	1,856	25
Thomson Reuters Corporation	Common Shares	Clamp-Held, Ruth	7	2021-03-22	57		1,864	8
Thomson Reuters Corporation	Restricted Share Units	Clamp-Held, Ruth	7	2021-03-22	57		3,317	-9
Thomson Reuters Corporation	Common Shares	Eastwood, Michael Keith	5	2021-03-17	30	87.79	9,946	222
Thomson Reuters Corporation	Common Shares	Eastwood, Michael Keith	5	2021-03-23	57	19	9,965	19
Thomson Reuters Corporation	Restricted Share Units	Eastwood, Michael Keith	5	2021-03-23	57		39,279	-40
Thomson Reuters Corporation	Common Shares	Fischer, Paul	7	2021-03-17	30	87.79	4,154	193
Thomson Reuters Corporation	Common Shares	Fischer, Paul	7	2021-03-22	57		4,170	16
Thomson Reuters Corporation	Restricted Share Units	Fischer, Paul	7	2021-03-22	57		36,781	-24
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	30	87.79	31,800	344
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	51	54.36		5,383
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	51	54.36		5,383
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	51	54.36		5,383
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	51	75.96	32,646	846
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	10	87.86	29,532	-3,114
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2021-03-17	51	54.36	34,915	5,383
Thomson Reuters Corporation	Options	Friedenberg, Michael	7	2021-03-17	51	54.36	100,332	-24,934
Thomson Reuters Corporation	Options	Friedenberg, Michael	7	2021-03-17	51	75.96	88,492	-11,840
Thomson Reuters Corporation	Common Shares	Gold, Marc E.	7	2021-03-17	30	87.79	6,786	64
Thomson Reuters Corporation	Common Shares	Gold, Marc E.	7	2021-03-22	57		6,802	16
Thomson Reuters Corporation	Common Shares	Gold, Marc E.	7	2021-03-23	10	88.841	145	-6,657
Thomson Reuters Corporation	Restricted Share Units	Gold, Marc E.	7	2021-03-22	57		8,406	-24
Thomson Reuters Corporation	Common Shares	Hasker, Stephen John	4, 5	2020-03-15	00			
Thomson Reuters Corporation	Common Shares	Hasker, Stephen John	4, 5	2021-03-17	30	87.79	544	544
Thomson Reuters Corporation	Common Shares	Kim, Thomas Sang	5	2021-03-17	30	87.79	3,472	160
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2021-03-17	30	87.79	2,506	29
Thomson Reuters Corporation	Common Shares	O'Hagan, Heather Anne	7	2021-03-22	57		2,511	5

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Thomson Reuters Corporation	Restricted Share Units	O'Hagan, Heather Anne	7	2021-03-22	57		4,618	-11
Thomson Reuters Corporation	Common Shares	Pandita, Sunil	5	2020-11-30	00			
Thomson Reuters Corporation	Common Shares	Pandita, Sunil	5	2021-03-17	30	87.79	130	130
Thomson Reuters Corporation	Common Shares	Peccarelli, Brian S.	7, 5	2021-03-17	30	87.79	9,948	760
Thomson Reuters Corporation	Common Shares	Peccarelli, Brian S.	7, 5	2021-03-22	57		9,990	42
Thomson Reuters Corporation	Restricted Share Units	Peccarelli, Brian S.	7, 5	2021-03-22	57		149,961	-70
Thomson Reuters Corporation	Common Shares	Ramseyer, Abigail	7	2021-03-17	30	87.79	667	1
Thomson Reuters Corporation	Common Shares	Rebick, Terra	7	2017-01-27	00			
Thomson Reuters Corporation	Common Shares	Rebick, Terra	7	2021-03-17	30	87.79	8	8
Thomson Reuters Corporation	Common Shares	Roth, Kirsty	5	2020-08-24	00			
Thomson Reuters Corporation	Common Shares	Roth, Kirsty	5	2021-03-17	30	87.79	111	111
Thomson Reuters Corporation	Common Shares	Rushton, Charlotte	7, 5	2021-03-17	30	87.79	11,010	126
Thomson Reuters Corporation	Common Shares	Rushton, Charlotte	7, 5	2021-03-22	57		11,044	34
Thomson Reuters Corporation	Options	Rushton, Charlotte	7, 5	2021-03-19	59	54.36	38,278	-10,195
Thomson Reuters Corporation	Options	Rushton, Charlotte	7, 5	2021-03-19	59		34,006	-4,272
Thomson Reuters Corporation	Restricted Share Units	Rushton, Charlotte	7, 5	2021-03-22	57		15,438	-57
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-18	47	110.19	327,621,272	-927
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-23	47	111.61	327,612,292	-8,980
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-24	10	110.19	327,300,772	-311,520
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2021-03-25	47	110.7	327,255,572	-45,200
Thomson Reuters Corporation	Common Shares	Vuicic, Mary Alice	5	2021-03-17	30	87.79	31,615	339
Thomson Reuters Corporation	Common Shares	Vuicic, Mary Alice	5	2021-03-22	57		31,638	23
Thomson Reuters Corporation	Restricted Share Units	Vuicic, Mary Alice	5	2021-03-22	57		62,427	-50
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-17	30	87.79	30,600	179
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-18	10	87.47	23,695	-6,905
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-19	10	87.72	15,600	-8,095
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-22	57		15,627	27
Thomson Reuters Corporation	Common Shares	Walker, Linda	7, 5	2021-03-24	10	88.04	206	-15,421
Thomson Reuters Corporation	Restricted Share Units	Walker, Linda	7, 5	2021-03-22	57		20,700	-51
Thomson Reuters Corporation	Common Shares	Wong, David Franklin	5	2020-06-29	00			
Thomson Reuters Corporation	Common Shares	Wong, David Franklin	5	2021-03-17	30	87.79	222	222
ThreeD Capital Inc.	Options	Chapman, Lynn	5	2021-02-17	00			
ThreeD Capital Inc.	Options	Chapman, Lynn	5	2021-03-26	50		200,000	200,000
ThreeD Capital Inc.	Options	Feldman, Gerald Morris	4	2020-03-25	00		26,915	
ThreeD Capital Inc.	Options	Feldman, Gerald Morris	4	2021-03-26	50		226,915	200,000
Tier One Silver Inc. (formerly, Tier One Metals Inc.)	Common Shares	Smithson, David Mark	5	2021-03-02	11	1	244,400	70,000
TMX Group Limited	Rights Performance Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36		-606
TMX Group Limited	Rights Performance Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36		-606
TMX Group Limited	Rights Restricted Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36		-606
TMX Group Limited	Rights Restricted Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36		-606
TMX Group Limited	Common Shares	Anastasopoulos, Elias	7	2020-12-31	30	125.02	788	40
TMX Group Limited	Rights Performance Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36	2,100	-606
TMX Group Limited	Rights Restricted Share Units	Anastasopoulos, Elias	7	2021-02-26	59	126.36	1,579	-606
TMX Group Limited	Rights Performance Share Units	Di Liso, Frank	5	2021-02-26	59	126.36		-467
TMX Group Limited	Rights Performance Share Units	Di Liso, Frank	5	2021-02-26	59	126.36		-467
TMX Group Limited	Rights Restricted Share Units	Di Liso, Frank	5	2021-02-26	59	126.36		-467
TMX Group Limited	Rights Restricted Share Units	Di Liso, Frank	5	2021-02-26	59	126.36		-467
TMX Group Limited	Rights Performance Share Units	Di Liso, Frank	5	2021-02-26	59	126.36	1,080	-467
TMX Group Limited	Rights Restricted Share Units	Di Liso, Frank	5	2021-02-26	59	126.36	1,072	-467
TMX Group Limited	Common Shares	Fortin, Luc	5	2020-12-31	30	125.18	450	100
TMX Group Limited	Common Shares	Graden, Cheryl	5	2020-12-31	30	125.18		87
TMX Group Limited	Common Shares	Graden, Cheryl	5	2020-12-31	30	125.18		87
TMX Group Limited	Common Shares	Graden, Cheryl	5	2020-12-31	30	125.18	422	87

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TMX Group Limited	Common Shares	McKenzie, John	5	2020-12-31	30	125.18	3,321	305
TMX Group Limited	Common Shares	Rajarithnam, Jayakumar	5	2020-12-31	30	125.18	1,392	259
Tocvan Ventures Corp.	Common Shares	Wood, Derek	4, 5	2021-03-16	10	0.57	690,000	20,000
Top Strike Resources Corp	Common Shares	McGorman, David Gordon	5	2021-03-19	10	0.075	7,240,500	10,000
Top Strike Resources Corp	Common Shares	McGorman, David Gordon	5	2021-03-19	10	0.08	7,242,500	2,000
Topaz Energy Corp.	Common Shares	Stephenson, Cheree	5	2020-10-16	00			
Topaz Energy Corp.	Common Shares	Stephenson, Cheree	5	2021-03-24	10	14.54	890	890
Topaz Energy Corp.	Common Shares	Stephenson, Cheree	5	2021-03-24	10	14.565	28,054	3,054
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-03-23	10	3.99	391,400	11,400
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-03-24	10	4.03	400,000	8,600
Tourmaline Oil Corp.	Common Shares	Aspin, Sherra	5	2020-12-31	30	14.03	40,907	3,846
Tourmaline Oil Corp.	Common Shares	Bush, Allan Joseph	5	2020-12-31	30	14.03	350,477	4,733
Tourmaline Oil Corp.	Common Shares	Frostad, Colin Joel	5	2020-12-31	30	14.03	30,530	3,685
Tourmaline Oil Corp.	Common Shares	Kirker, William Scott	5	2020-12-31	30	14.03	673,373	5,097
Tourmaline Oil Corp.	Common Shares	McKinnon, Earl Henry	5	2020-12-31	30	14.03	64,495	4,764
Tourmaline Oil Corp.	Common Shares	Robinson, Brian	5	2020-12-31	30	14.03	627,789	5,255
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2020-12-31	30	14.03	8,768,558	7,221
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-03-23	10	22.87	8,806,058	5,000
Tourmaline Oil Corp.	Common Shares	Tumbach, Drew E.	5	2020-12-31	30	14.03	782,963	3,701
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-03-23	46		21,659,281	4,483
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-03-23	46		13,747,522	2,785
TransAlta Corporation	Common Shares	Gellner, Brett	5	2021-03-22	10	11.51	52,685	-8
TransAlta Corporation	Common Shares	van Melle, Blain Mitchell	5	2021-03-19	10	11.06	85,389	-6
TransAlta Corporation	Common Shares	van Melle, Blain Mitchell	5	2021-03-23	10	11.19		19
TransAlta Corporation	Common Shares	van Melle, Blain Mitchell	5	2021-03-23	10	11.19		19
TransAlta Corporation	Common Shares	van Melle, Blain Mitchell	5	2021-03-23	10	11.19	104,612	19,223
TransAlta Corporation	Common Shares	van Melle, Blain Mitchell	5	2021-03-23	10	11.51	104,606	-6
Transat A.T. inc.	Action à droit de vote de catégorie B	Adamo, Joseph	7	2019-01-10	30	8.33	43,469	1,743
Transat A.T. inc.	Action à droit de vote de catégorie B	Adamo, Joseph	7	2019-04-05	30	5.49	46,145	492
Transat A.T. inc.	Action à droit de vote variable de catégorie A	Barre, Michèle	7	2019-01-10	30	8.33	3,214	506
Transat A.T. inc.	Action à droit de vote variable de catégorie A	Barre, Michèle	7	2019-03-06	30	5.66	3,398	92
Transat A.T. inc.	Action à droit de vote de catégorie B	Bussièrès, Bernard	7, 5	2019-01-10	30	8.33	80,391	1,352
Transat A.T. inc.	Action à droit de vote de catégorie B	Bussièrès, Bernard	7, 5	2019-03-06	30	5.66	80,877	243
Transat A.T. inc.	Action à droit de vote de catégorie B	Godbout, Daniel	7, 5	2019-01-10	30	8.95	61,881	664
Transat A.T. inc.	Action à droit de vote de catégorie B	Guérard, Annick	7, 5	2019-01-10	30	8.33	67,658	2,817
Transat A.T. inc.	Action à droit de vote de catégorie B	Guérard, Annick	7, 5	2019-03-06	30	5.66	68,431	387
Transat A.T. inc.	Action à droit de vote de catégorie B	Hennebelle, Christophe	5	2019-01-10	30	8.33	33,410	1,312
Transat A.T. inc.	Action à droit de vote de catégorie B	Hennebelle, Christophe	5	2019-03-06	30	5.66	33,882	236
Transat A.T. inc.	Action à droit de vote de catégorie B	Leclaire, Bruno	5	2019-01-10	30	8.33	22,922	1,326
Transat A.T. inc.	Action à droit de vote de catégorie B	Leclaire, Bruno	5	2019-03-06	30	5.66	23,396	237
Transat A.T. inc.	Action à droit de vote de catégorie B	Lemay, Jean-François	7	2019-01-10	30	8.33	62,855	1,720
Transat A.T. inc.	Action à droit de vote de catégorie B	Lemay, Jean-François	7	2019-03-06	30	5.66	63,473	309
Transat A.T. inc.	Action à droit de vote de catégorie B	Pétrin, Denis	7, 5	2019-01-10	30	8.33	92,963	2,430
Transat A.T. inc.	Action à droit de vote de catégorie B	Pétrin, Denis	7, 5	2019-03-06	30	5.66	93,581	309
Transat A.T. inc.	Action à droit de vote de catégorie B	Solé, Jordi	5	2019-01-10	30	8.09	11,055	1,743
Transat A.T. inc.	Action à droit de vote de catégorie B	Solé, Jordi	5	2019-03-06	30	5.66	11,727	336
Transcanna Holdings Inc.	Options	Wesik, Stephanie	4, 5	2020-05-01	00		200,000	
Transcanna Holdings Inc.	Options	Wesik, Stephanie	4, 5	2021-01-13	50	1	400,000	200,000
TransGlobe Energy Corporation	Options	Neely, Randy	4, 5	2021-03-19	50	2.16	1,417,939	163,655
TransGlobe Energy Corporation	PSU	Neely, Randy	4, 5	2020-05-19	59	0.68		-69,728

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TransGlobe Energy Corporation	PSU	Neely, Randy	4, 5	2020-05-19	59	0.68		-69,728
TransGlobe Energy Corporation	PSU	Neely, Randy	4, 5	2021-03-19	56	2.16	877,992	209,115
TransGlobe Energy Corporation	RSU	Neely, Randy	4, 5	2020-05-19	59	0.68		-11,619
TransGlobe Energy Corporation	RSU	Neely, Randy	4, 5	2020-05-19	59	0.68		-11,619
TransGlobe Energy Corporation	Options	Ok, Edward Dale	5	2021-03-19	50	2.16	504,046	81,522
TransGlobe Energy Corporation	PSU	Ok, Edward Dale	5	2020-05-19	59	0.68		-8,532
TransGlobe Energy Corporation	PSU	Ok, Edward Dale	5	2020-05-19	59	0.68		-8,532
TransGlobe Energy Corporation	PSU	Ok, Edward Dale	5	2021-03-19	56	2.16	446,000	104,167
TransGlobe Energy Corporation	RSU	Ok, Edward Dale	5	2020-05-19	59	0.68		-8,532
TransGlobe Energy Corporation	RSU	Ok, Edward Dale	5	2020-05-19	59	0.68		-8,532
TransGlobe Energy Corporation	Options	Probert, Geoff	5	2021-03-19	50	2.16	451,155	100,647
TransGlobe Energy Corporation	PSU	Probert, Geoff	5	2021-03-19	56	2.16	449,235	128,605
Tree Island Steel Ltd.	Common Shares	Doman, Amar	3, 4	2021-03-19	10	2.8998	9,764,146	81,400
Tree Island Steel Ltd.	Common Shares	Leja, Theodore Alfred	4	2021-03-17	10	2.3348	10,000	10,000
Tree Island Steel Ltd.	Common Shares	Leja, Theodore Alfred	4	2021-03-17	10	2.3346	20,000	10,000
Trevali Mining Corporation	Options	Creaney, Brendan	5	2019-11-29	00			
Trevali Mining Corporation	Options	Creaney, Brendan	5	2020-03-10	50	0.17	319,976	319,976
Trevali Mining Corporation	Options	Creaney, Brendan	5	2020-03-10	50	0.17	1,418,877	1,098,901
Trevali Mining Corporation	Options	Creaney, Brendan	5	2021-03-17	50	0.22	3,233,597	1,814,720
Trevali Mining Corporation	Performance Share Units (PSUs)	Creaney, Brendan	5	2019-11-29	00			
Trevali Mining Corporation	Performance Share Units (PSUs)	Creaney, Brendan	5	2020-03-10	56	0.17	170,280	170,280
Trevali Mining Corporation	Performance Share Units (PSUs)	Creaney, Brendan	5	2020-03-10	56	0.17	755,075	584,795
Trevali Mining Corporation	Performance Share Units (PSUs)	Creaney, Brendan	5	2021-03-17	56	0.22	1,750,757	995,682
Trevali Mining Corporation	Options	Grimbeek, Johannes Fredericus	5	2019-04-23	00			
Trevali Mining Corporation	Options	Grimbeek, Johannes Fredericus	5	2021-03-17	50	0.22	6,312,069	6,312,069
Trevali Mining Corporation	Options	Grimbeek, Johannes Fredericus	5	2021-03-17	50		9,389,202	3,077,133
Trevali Mining Corporation	Performance Share Units (PSUs)	Grimbeek, Johannes Fredericus	5	2021-03-17	56	0.22	20,206,238	3,463,243
Trevali Mining Corporation	Performance Share Units (PSUs)	Grimbeek, Johannes Fredericus	5	2021-03-17	56		21,894,569	1,688,331
Trevali Mining Corporation	Options	Molnar, Steven Richard	5	2021-03-17	50		3,874,937	1,055,378
Trevali Mining Corporation	Performance Share Units (PSUs)	Molnar, Steven Richard	5	2021-03-17	56	0.22	1,981,762	579,054
Trevali Mining Corporation	Options	Thomopoulos, Joanne	5	2021-03-17	50	0.22	1,037,632	989,732
Trevali Mining Corporation	Performance Share Units (PSUs)	Thomopoulos, Joanne	5	2018-10-01	00			
Trevali Mining Corporation	Performance Share Units (PSUs)	Thomopoulos, Joanne	5	2020-03-10	56	0.17	624,862	624,862
Trevali Mining Corporation	Performance Share Units (PSUs)	Thomopoulos, Joanne	5	2020-03-10	56	0.17	1,312,581	687,719
Trevali Mining Corporation	Performance Share Units (PSUs)	Thomopoulos, Joanne	5	2021-03-17	56	0.22	1,855,618	543,037
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-22	10	1.9818	1,024,800	30,400
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-24	10	1.9941	1,061,500	36,700
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-25	10	2.0135	1,081,200	19,700
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-03-26	10	2.0396	1,115,400	34,200
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-22	10	1.9818	1,024,800	30,400
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-24	10	1.9941	1,061,500	36,700
Trez Capital Senior Mortgage Investment Corporation	Class A Shares	Windsor Private Capital Limited Partnership	3	2021-03-25	10	2.0136	1,081,200	19,700
Tribe Property Technologies Inc.	Common Shares	Aquilini, Paolo	3	2021-03-15	00		4,404,964	
Tribe Property Technologies Inc.	Options	Aquilini, Paolo	3	2021-03-15	00		32,700	
Tribe Property Technologies Inc.	Options	Aquilini, Paolo	3	2021-03-15	00		32,700	
Tribe Property Technologies Inc.	Common Shares	Choy, Raymond Sunny	4	2021-03-15	00		1,559,782	
Tribe Property Technologies Inc.	Common Shares	Choy, Raymond Sunny	4	2021-03-15	00		10,000	

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Tribe Property Technologies Inc.	Options	Choy, Raymond Sunny	4	2021-03-15	00		52,700	
Tribe Property Technologies Inc.	Common Shares	Nakhla, Joseph	3, 4, 5	2021-03-16	00		2,135,865	
Tribe Property Technologies Inc.	Options	Nakhla, Joseph	3, 4, 5	2021-03-16	00		232,700	
Tribe Property Technologies Inc.	Common Shares	Tims, John William	5	2021-03-15	00		1,000	
Tribe Property Technologies Inc.	Options	Tims, John William	5	2021-03-15	00		26,700	
Tribe Property Technologies Inc.	Common Shares	Ullrich, Randall Scott	5	2021-03-15	00		220,000	
Tribe Property Technologies Inc.	Options	Ullrich, Randall Scott	5	2021-03-15	00		12,000	
Tribe Property Technologies Inc.	Common Shares	Willis, Michael John	4	2021-03-15	00		10,000	
Tribe Property Technologies Inc.	Options	Willis, Michael John	4	2021-03-15	00		20,000	
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-03-25	10	5.06	2,727,655	10,000
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-03-26	10	4.99	2,745,155	17,500
Trican Well Service Ltd.	Common Shares	Onwuekwe, Chika Benjamin	5	2021-03-22	51	0.57	70,992	39,667
Trican Well Service Ltd.	Common Shares	Onwuekwe, Chika Benjamin	5	2021-03-22	10	2.0466	51,717	-19,275
Trican Well Service Ltd.	Options Employee Stock Options	Onwuekwe, Chika Benjamin	5	2021-03-22	51	0.57	398,499	-39,667
Trican Well Service Ltd.	Common Shares	Stein, Deborah Susan	4	2021-03-23	10	1.99	30,000	5,000
Trichome Financial Corp.	Common Shares	711394 N.B. Inc.	3	2021-03-18	22		0	-2,857,143
Trichome Financial Corp.	Common Shares	CannaRoyalty Corp.	3	2021-03-18	22		0	-5,769,132
Trichome Financial Corp.	Common Shares	Cohen, Daniel Ian	5	2021-03-18	22		0	-25,000
Trichome Financial Corp.	Options TJAC stock option	Cohen, Daniel Ian	5	2021-03-18	22		0	-227,857
Trichome Financial Corp.	RSU Options	Cohen, Daniel Ian	5	2021-03-18	22		0	-148,000
Trichome Financial Corp.	Options TJAC stock option	Diamond, Timothy	4	2021-03-18	22		0	-51,786
Trichome Financial Corp.	RSU Options	Diamond, Timothy	4	2021-03-18	22		0	-120,000
Trichome Financial Corp.	Common Shares	Grywacheski, Karl	5	2021-03-18	22		0	-23,382
Trichome Financial Corp.	Options TJAC stock option	Grywacheski, Karl	5	2021-03-18	22		0	-227,857
Trichome Financial Corp.	RSU Options	Grywacheski, Karl	5	2021-03-18	22		0	-175,000
Trichome Financial Corp.	Common Shares	Jarrett, Kevin	5	2021-03-18	22		0	-207,735
Trichome Financial Corp.	Options TJAC stock option	Jarrett, Kevin	5	2021-03-18	22		0	-227,857
Trichome Financial Corp.	RSU Options	Jarrett, Kevin	5	2021-03-18	22		0	-195,000
Trichome Financial Corp.	Common Shares	Lauder, Marissa	4	2021-03-18	22		0	-50,739
Trichome Financial Corp.	Options TJAC stock option	Lauder, Marissa	4	2021-03-18	22		0	-51,786
Trichome Financial Corp.	RSU Options	Lauder, Marissa	4	2021-03-18	22		0	-120,000
Trichome Financial Corp.	Common Shares	Lustig, Marc	4	2021-03-18	22		0	-300,000
Trichome Financial Corp.	Options TJAC stock option	Lustig, Marc	4	2021-03-18	22		0	-1,035,714
Trichome Financial Corp.	RSU Options	Lustig, Marc	4	2021-03-18	22		0	-300,000
Trichome Financial Corp.	Common Shares	Ruscetta, Michael	4, 5	2021-03-18	22		0	-81,500
Trichome Financial Corp.	Common Shares	Ruscetta, Michael	4, 5	2021-03-18	22		0	-118,500
Trichome Financial Corp.	Common Shares	Ruscetta, Michael	4, 5	2021-03-18	22		0	-318,000
Trichome Financial Corp.	Options TJAC stock option	Ruscetta, Michael	4, 5	2021-03-18	22		0	-1,553,571
Trichome Financial Corp.	PSU Options	Ruscetta, Michael	4, 5	2021-03-18	22		0	-630,000
Trichome Financial Corp.	RSU Options	Ruscetta, Michael	4, 5	2021-03-18	22		0	-865,000
Trichome Financial Corp.	Common Shares	Steinberg, Howard	4	2021-03-18	22		0	-31,500
Trichome Financial Corp.	Options TJAC stock option	Steinberg, Howard	4	2021-03-18	22		0	-1,553,571
Trichome Financial Corp.	RSU Options	Steinberg, Howard	4	2021-03-18	22		0	-220,000
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Berman, Gary	4, 5	2020-12-31	30		2,416	46
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Berman, Gary	4, 5	2020-12-31	30		67,654	1,341
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2020-12-31	30		8,800	415
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2021-03-26	57		44,276	35,476
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2021-03-26	10		8,800	-35,476

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Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2014-11-02	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2020-12-31	30		561	561
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Francis, Wissam	5	2020-12-31	30		15,487	552
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Francis, Wissam	5	2021-03-26	57		36,502	-35,476
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Francis, Wissam	5	2021-03-26	59		158,637	-41,036
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Francis, Wissam	5	2021-03-26	59		139,673	-18,964
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	MATUS, GEOFFREY	3, 4, 6, 5	2021-03-26	57		330,694	34,849
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2021-03-26	57		4,525	-34,849
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Sacks, Peter	4	2021-03-22	59		52,281	-22,719
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Sacks, Peter	4	2021-03-22	59		50,000	-2,281
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2021-03-23	10	5.982	300	-9,000
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2021-03-24	10	5.97	0	-300
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	McCorry, Joseph E.	5	2021-03-23	56	9.674	6,258	1,935
Universal PropTech Inc.	Common Shares	Hazelton, Chris	5	2020-04-28	11		0	-10,000
Ur-Energy Inc.	Common Shares	Huber, Gary Chase	4	2021-03-24	51	0.73	313,086	128,000
Ur-Energy Inc.	Common Shares	Huber, Gary Chase	4	2021-03-24	10	1.5137	185,086	-128,000
Ur-Energy Inc.	Options	Huber, Gary Chase	4	2021-03-24	51	0.73	633,668	-128,000
Urbanimmersive Inc.	Common Shares	Felsenthal, Scott	4	2021-03-22	10	0.23	2,602,250	-50,000
Urbanimmersive Inc.	Common Shares	Felsenthal, Scott	4	2021-03-25	51	0.06	2,635,583	33,333
Urbanimmersive Inc.	Common Shares	Felsenthal, Scott	4	2021-03-25	51	0.075	2,668,916	33,333
Urbanimmersive Inc.	Common Shares	Felsenthal, Scott	4	2021-03-25	51	0.1	2,735,582	66,666
Urbanimmersive Inc.	Options	Felsenthal, Scott	4	2021-03-25	51	0.06	366,667	-33,333
Urbanimmersive Inc.	Options	Felsenthal, Scott	4	2021-03-25	51	0.075	333,334	-33,333
Urbanimmersive Inc.	Options	Felsenthal, Scott	4	2021-03-25	51	0.1	266,668	-66,666
Vecima Networks Inc.	Common Shares	Elder, Derek Jason	4	2018-08-08	00			
Vecima Networks Inc.	Common Shares	Elder, Derek Jason	4	2021-03-26	10	14.25	50,000	50,000
Velocity Minerals Ltd.	Common Shares	Armstrong, William Paul	6	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Armstrong, William Paul	6	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	Artemis Gold Inc.	3	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Artemis Gold Inc.	3	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	Atkinson, Robert George	6	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Atkinson, Robert George	6	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	Batalha, Christopher Ross	6	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Batalha, Christopher Ross	6	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	Beedie, Ryan K	6	2020-02-12	11	0.4	24,262,403	5,166,887
Velocity Minerals Ltd.	Common Shares	Beedie, Ryan K	6	2021-03-26	11	0.25	21,211,136	
Velocity Minerals Ltd.	Common Shares	Beedie, Ryan K	6	2021-03-26	11	0.25	21,211,136	
Velocity Minerals Ltd.	Common Shares	Beedie, Ryan K	6	2021-03-26	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Beedie, Ryan K	6	2021-03-26	36		\$0	-\$5,094,000
Velocity Minerals Ltd.	Warrants	Beedie, Ryan K	6	2020-02-12	11	0.55	11,883,443	2,583,443
Velocity Minerals Ltd.	Common Shares	Black, W. David	6	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Black, W. David	6	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	Dean, Steven	4, 6	2021-03-25	36	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Dean, Steven	4, 6	2021-03-25	36	0.25	\$0	-\$5,094,000
Velocity Minerals Ltd.	Common Shares	HENDERSON, KEITH J.	3, 4, 5	2021-03-26	51	0.28	7,423,750	100,000
Velocity Minerals Ltd.	Options	HENDERSON, KEITH J.	3, 4, 5	2021-03-26	51	0.28	580,000	-100,000
Velocity Minerals Ltd.	Common Shares	Langford, Jeremy	6	2021-01-06	00		29,490,002	
Velocity Minerals Ltd.	Common Shares	Langford, Jeremy	6	2021-03-25	35	0.25	50,701,138	21,211,136
Velocity Minerals Ltd.	Convertible Debentures	Langford, Jeremy	6	2021-01-06	00		\$5,094,000	
Velocity Minerals Ltd.	Convertible Debentures	Langford, Jeremy	6	2021-03-25	36	0.25	\$0	-\$5,094,000

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Velocity Minerals Ltd.	Common Shares	Mills, Stuart	3, 5	2021-03-26	51	0.28	8,040,350	100,000
Velocity Minerals Ltd.	Options	Mills, Stuart	3, 5	2021-03-26	51	0.28	500,000	-100,000
VEXT Science, Inc.	Subordinate Voting Shares	Sopica Special Opportunities Fund LTD	3	2021-03-25	10	0.85	3,540,749	200,000
Victory Resources Corporation	Options	Lane, David Warren	4, 5	2021-03-25	50	0.1	1,015,000	400,000
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-16	00		169,300	
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-19	10	18.48	168,900	-400
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-19	10	18.47	163,700	-5,200
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-19	10	18.46	160,500	-3,200
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-19	10	18.45	159,900	-600
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-19	10	18.42	139,300	-20,600
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-22	10	17.47	136,800	-2,500
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-22	10	17.45	133,600	-3,200
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-22	10	17.43	127,600	-6,000
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-22	10	17.4	121,500	-6,100
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-22	10	17.35	120,900	-600
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-23	10	17.49	120,400	-500
Village Farms International, Inc.	Common Shares	Dosanjh, Mandesh	7	2021-03-23	10	17.45	105,900	-14,500
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Dosanjh, Mandesh	7	2021-03-16	00			
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Dosanjh, Mandesh	7	2021-03-16	00		85,000	
Vinery Capital Inc. (formerly, Vinery Cannabis Capital Inc.)	Options	Balderson, Geoffrey	5	2020-05-25	00			
Vinery Capital Inc. (formerly, Vinery Cannabis Capital Inc.)	Options	Balderson, Geoffrey	5	2020-12-22	50		500,000	500,000
VM Hotel Acquisition Corp.	Class A Restricted Voting Units	Vokuta, Tomislov	5	2021-02-24	00			
VM Hotel Acquisition Corp.	Class A Restricted Voting Units	Vokuta, Tomislov	5	2021-03-01	16	10	360,700	360,700
VM Hotel Acquisition Corp.	Class A Restricted Voting Units	Vokuta, Tomislov	5	2021-03-22	16	9.25	128,600	-232,100
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4, 5	2021-03-19	10	0.4	403,428	300,000
Voyager Digital (Canada) Ltd. (formerly UC Resources Ltd.)	Common Shares	Elliott, Guy	4	2018-09-15	00			
Voyager Digital (Canada) Ltd. (formerly UC Resources Ltd.)	Common Shares	Elliott, Guy	4	2018-09-15	00		212,500	
Voyager Digital Ltd.	Options	Costantino, Daniel	5	2021-02-01	00		300,000	
Voyager Digital Ltd.	Common Shares	Ehrlich, Stephen	4	2021-03-19	10	30.19	4,384,969	-50,000
Voyager Digital Ltd.	Common Shares	Ehrlich, Stephen	4	2021-03-22	10	31.002	4,376,169	-8,800
Voyager Digital Ltd.	Common Shares	Ehrlich, Stephen	4	2021-03-22	10	32.25	4,361,169	-15,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2019-08-15	16	0.8	362,500	150,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2019-10-31	10	0.85	466,667	104,167
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-03-16	16	0.25	666,667	200,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-05-19	54	0.915	741,667	75,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-07-14	10	0.9	742,167	500
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-07-28	10	1.0177	800,000	57,833
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-07-29	10	1.0574	850,000	50,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-09-01	54	1.15	1,345,000	165,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2020-12-01	10	1.7441	1,382,500	37,500
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2021-03-18	51	0.9	1,432,500	50,000
Voyager Digital Ltd.	Common Shares	Elliott, Guy	4	2021-03-21	51	0.9		50,000
Voyager Digital Ltd.	Options	Elliott, Guy	4	2018-09-15	00			
Voyager Digital Ltd.	Options	Elliott, Guy	4	2020-08-14	50		50,000	50,000
Voyager Digital Ltd.	Options	Elliott, Guy	4	2021-03-18	51		0	-50,000
Voyager Digital Ltd.	Warrants	Elliott, Guy	4	2018-09-15	00			
Voyager Digital Ltd.	Warrants	Elliott, Guy	4	2019-08-15	16	0.8	75,000	75,000
Voyager Digital Ltd.	Warrants	Elliott, Guy	4	2020-05-19	54		0	-75,000
Voyager Digital Ltd.	Warrants	Elliott, Guy	4	2020-09-01	16	0.7727	165,000	165,000
Voyager Digital Ltd.	Warrants	Elliott, Guy	4	2020-09-01	54		0	-165,000
Wallbridge Mining Company Limited	Options	Day, Shawn	4	2021-03-19	50		627,300	247,300
Wallbridge Mining Company Limited	Options	Demers, Francois Alain	5	2021-03-19	50		352,900	272,900
Wallbridge Mining Company Limited	Options	Farsangi, Parviz	4	2021-03-19	50		427,300	247,300
Wallbridge Mining Company Limited	Options	HOLMES, WILLIAM WARREN	4	2021-03-19	50		527,300	247,300
Wallbridge Mining Company Limited	Options	Kord-Gharachorloo, Faramarz	5	2021-03-19	50		1,068,500	628,500

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Wallbridge Mining Company Limited	Options	Makuch, Anthony Paul	4	2021-03-19	50		527,300	247,300
Wallbridge Mining Company Limited	Options	Montgomery, Mary Irene	5	2021-03-19	50		629,000	164,000
Wallbridge Mining Company Limited	Options	Penny, Brian W.	5	2021-03-19	50		661,200	201,200
Wallbridge Mining Company Limited	Options	Pentek, Attila	5	2021-03-19	50		415,500	260,500
Wallbridge Mining Company Limited	Options	Pesner, Michael	4	2021-03-19	50		527,300	247,300
Wallbridge Mining Company Limited	Options	Sittler, Darryl	4	2021-03-19	50		327,300	247,300
Wallbridge Mining Company Limited	Options	Snow, Jeffery Alexander	4	2021-03-19	50		347,300	247,300
Wallbridge Mining Company Limited	Options	Soever, Alar	4, 5	2021-03-19	50		463,600	248,600
Wallbridge Mining Company Limited	Options	Stokes, Sean Duncanson	5	2021-03-19	50		349,500	69,500
Wallbridge Mining Company Limited	Options	Wilkinson, Janet	4	2021-03-19	50		427,300	247,300
Waterloo Brewing Ltd. (formerly Brick Brewing Co. Limited)	Common Shares	Schwartz, Peter John	4	2021-01-29	11	5.51	7,483,215	-1,481,221
WellteQ Digital Health Inc.	Options	Anderson, Matthew James	5	2018-08-31	00			
WellteQ Digital Health Inc.	Options	Anderson, Matthew James	5	2021-03-19	50	0.3	350,000	350,000
WellteQ Digital Health Inc.	Common Shares	Gillett, Jeames	5	2021-03-19	00		2,137,965	
WellteQ Digital Health Inc.	Options	Gillett, Jeames	5	2021-03-19	00		700,000	
WellteQ Digital Health Inc.	Common Shares	Kerekes, Andrew	5	2021-03-19	00		464,746	
WellteQ Digital Health Inc.	Options	Kerekes, Andrew	5	2021-03-19	00		700,000	
WellteQ Digital Health Inc.	Common Shares	Leeners, Brian	4	2021-03-19	00		3,750,000	
WellteQ Digital Health Inc.	Options	Leeners, Brian	4	2021-03-19	00		700,000	
WellteQ Digital Health Inc.	Common Shares	Montgomery, Scott	4, 5	2021-03-19	00		3,698,461	
WellteQ Digital Health Inc.	Options	Montgomery, Scott	4, 5	2021-03-19	00		1,350,000	
WellteQ Digital Health Inc.	Common Shares	Starbuck, Daniel	5	2021-03-19	00		1,000,000	
WellteQ Digital Health Inc.	Options	Starbuck, Daniel	5	2021-03-19	00		600,000	
WellteQ Digital Health Inc.	Options	Vaughan, Peter	4	2021-03-19	00		500,000	
WellteQ Digital Health Inc.	Options	Yee, Jacqueline	4	2021-03-19	00		350,000	
WesCan Energy Corp.	Common Shares	Berezan, Leo	3	2021-03-18	11	0.05	7,401,800	2,000,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-22	10	83.6	10,935,778	-353,400
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-23	10	82.963	10,930,478	-5,300
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-24	10	81.1	10,928,678	-1,800
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-25	10	79.481	10,455,000	-473,678
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-26	10	83.6	10,205,000	-250,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-26	10	83.657	9,855,000	-350,000
West Fraser Timber Co. Ltd.	Common Shares	Brookfield Asset Management Inc.	3	2021-03-26	10	83.569	9,431,100	-423,900
West Fraser Timber Co. Ltd.	Options	Dubois-Phillips, Mark Richard	5	2021-02-01	00			
West Fraser Timber Co. Ltd.	Options	Dubois-Phillips, Mark Richard	5	2021-02-01	00		41,512	
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-22	38	66.872	222,163	39,613
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-22	38	83.352	242,404	20,241
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-23	38	65.181	282,017	39,613
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-23	38	81.714	303,667	21,650
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-24	38	63.574	343,280	39,613
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-24	38	79.643	391,450	48,170
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-25	38	62.309	431,063	39,613
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-25	38	78.616	480,663	49,600
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-26	38	66.381	517,452	36,789
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	2021-03-26	38	83.715	584,552	67,100
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Arthurs, James Douglas	4	2020-12-31	30		146,805	2,678
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Bird, Jane Marie	4	2020-12-31	30		270,191	5,170
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-23	10	1.83	950,000	-81,335
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-23	10	1.82	933,200	-16,800
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-23	10	1.81	900,000	-33,200
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-24	10	1.75	886,900	-13,100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-24	10	1.77	847,000	-39,900
Western Forest Products Inc.	Common Shares	Demens, Donald Eugene	5	2021-03-24	10	1.79	845,000	-2,000
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Demens, Donald Eugene	5	2020-12-31	30		260,393	7,301
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Doney, Robert Lee	4	2020-12-31	30		784,083	21,918
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Nocente, Daniel Louis	4	2020-12-31	30		234,100	3,163
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Waites, Michael T.	4	2020-12-31	30		532,213	9,953
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-19	10		2,906,954	-46,648
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-22	10		2,871,620	-35,334
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-23	10		2,845,437	-26,183
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-19	10		6,269,654	-90,552
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-22	10		6,201,065	-68,589
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-23	10		6,150,240	-50,825
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-19	10		1,888,350	-27,440
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-22	10		1,867,565	-20,785
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-23	10		1,852,164	-15,401
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-19	10		6,720,048	-109,760
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-22	10		6,636,910	-83,138
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2021-03-23	10		6,575,304	-61,606
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2010-02-12	00			
Westport Fuel Systems Inc.	Common Shares	Douglas, Kevin	3	2017-07-19	10		150,000	150,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Bernardi, Curzio Domenico	5	2021-03-25	57	32.93	9,915	4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Bernardi, Curzio Domenico	5	2021-03-25	10	46.984	5,900	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Bernardi, Curzio Domenico	5	2021-03-25	57	32.93	21,445	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Bernardi, Curzio Domenico	5	2021-03-25	97		43,511	-19,190
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brack, George Leslie	4	2021-03-25	57	32.93	16,065	2,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brack, George Leslie	4	2021-03-25	57	32.93	16,758	-2,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brown, Gary Duncan	5	2021-03-25	57	32.93	34,478	4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Brown, Gary Duncan	5	2021-03-25	10	46.984	30,463	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Brown, Gary Duncan	5	2021-03-25	57	32.93	9,645	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Brown, Gary Duncan	5	2021-03-25	97		43,511	-19,190
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Carpenter, Bradley William	7	2007-01-30	00			
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Carpenter, Bradley William	7	2021-03-16	56		500	500
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Drouin, Patrick Eugene	5	2021-03-25	57	32.93	2,785	2,785
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Drouin, Patrick Eugene	5	2021-03-25	10	46.984	0	-2,785
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Drouin, Patrick Eugene	5	2021-03-25	57	32.93	7,010	-2,785
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Drouin, Patrick Eugene	5	2021-03-25	97		31,080	-13,320
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Forward, Patrick William	7	2012-07-04	00			
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Forward, Patrick William	7	2018-12-18	10	25	150	150
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Forward, Patrick William	7	2012-07-04	00			
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Forward, Patrick William	7	2021-03-16	56		500	500
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Hodaly, Haytham Henry	5	2021-03-25	57	32.93	4,015	4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Hodaly, Haytham Henry	5	2021-03-25	10	46.984	0	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Hodaly, Haytham Henry	5	2021-03-25	57	32.93	9,645	-4,015
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Hodaly, Haytham Henry	5	2021-03-25	97		43,511	-19,190
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Holtby, Douglas Martin	7	2021-03-25	57	32.93	46,497	3,340

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Holtby, Douglas Martin	7	2021-03-25	10	46.984	43,157	-3,340
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Holtby, Douglas Martin	7	2021-03-25	57	32.93	7,895	-3,340
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Ives, Glenn Antony	4	2021-03-23	10	48.05	8,000	3,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Koutsouras, Bill	7	2004-08-18	00			
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Koutsouras, Bill	7	2021-03-16	56		1,000	1,000
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Luna, Eduardo	7, 5	2021-03-25	57	32.93	112,103	2,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Luna, Eduardo	7, 5	2021-03-25	10	46.984	110,053	-2,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Luna, Eduardo	7, 5	2021-03-25	57	32.93	43,604	-2,050
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-25	57	32.93	313,525	9,775
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Smallwood, Randy	5	2021-03-25	10	46.984	303,750	-9,775
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Smallwood, Randy	5	2021-03-25	57	32.93	23,465	-9,775
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Smallwood, Randy	5	2021-03-25	97		105,842	-46,740
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Street, David	7	2012-07-04	00			
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Street, David	7	2021-03-16	56		500	500
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Common Shares	Tatarakin, Nikola	5	2021-03-25	57	24.5	26,895	2,975
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Tatarakin, Nikola	5	2021-03-16	50			17,990
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Tatarakin, Nikola	5	2021-03-16	50			17,960
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Options	Tatarakin, Nikola	5	2021-03-16	50		73,420	17,990
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Subscription Rights	Tatarakin, Nikola	5	2021-03-25	57	24.5	6,945	-2,975
Wheaton Precious Metals Corp. (formerly Silver Wheaton Corp.)	Units Performance Shares	Tatarakin, Nikola	5	2021-03-25	97		32,001	-13,600
Whitehorse Gold Corp.	Common Shares	Kim, Yong-Jae	6	2021-03-19	10	1.89	0	-100,000
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2021-03-23	11	1.78	50,000	-50,000
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2021-03-26	10	1.82	375,000	-25,000
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2021-03-26	10	1.85	372,500	-2,500
WildBrain Ltd. (formerly, DHX Media Ltd.)	Preferred Shares Preferred Variable Voting Shares	Ames, Aaron	5	2021-03-19	11		0	-500,000,000
WildBrain Ltd. (formerly, DHX Media Ltd.)	Preferred Shares Preferred Variable Voting Shares	Scherba, Joshua Charles	5	2018-04-18	00			
WildBrain Ltd. (formerly, DHX Media Ltd.)	Preferred Shares Preferred Variable Voting Shares	Scherba, Joshua Charles	5	2021-03-19	11		500,000,000	500,000,000
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-19	00		13,211,676	
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-21	00			
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-21	00			
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.12		13,211,676
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.12		13,211,676
Wolf Acquisition Corp.	Common Shares	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.12		13,211,676
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-19	00		1,325,387	
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-21	00			
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-21	00			
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.2		1,325,387
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.2		1,325,387
Wolf Acquisition Corp.	Warrants	Bald Eagle Resources Ltd.	3	2021-03-21	11	0.2		1,325,387
Wolf Acquisition Corp.	Common Shares	Collins, Darren George	4, 5	2021-03-19	00		5,000,000	
Wolf Acquisition Corp.	Options	Collins, Darren George	4, 5	2021-03-19	00		150,000	
Wolf Acquisition Corp.	Common Shares	Harari Benaim, Raymond David	4, 5	2021-03-19	00			
Wolf Acquisition Corp.	Common Shares	Harari Benaim, Raymond David	4, 5	2021-03-19	00			
Wolf Acquisition Corp.	Common Shares	Harari Benaim, Raymond David	4, 5	2021-03-19	00		3,700,000	
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-19	00			
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-19	00			
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-22	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.12		13,211,676
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.12		13,211,676
Wolf Acquisition Corp.	Common Shares	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.12		13,211,676
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-19	00		1,325,387	
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-19	00			
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-22	00			
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.2		1,325,387
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.2		1,325,387
Wolf Acquisition Corp.	Warrants	Himmel, Sidney Samuel	4, 5	2021-03-22	11	0.2		1,325,387
WSP Global Inc.	DSUs / UADs	Carrière, Louis-Philippe	4	2021-03-26	56	120.83	10,972	434
WSP Global Inc.	DSUs / UADs	Fortier, Philippe	5	2021-03-24	56	121.56	6,020	1,398
WSP Global Inc.	DSUs / UADs	L'Heureux, Alexandre	4, 5	2021-03-24	56	121.56	116,083	6,355
WSP Global Inc.	DSUs / UADs	Michaud, Alain	5	2021-03-24	56	121.56	5,946	1,604
WSP Global Inc.	DSUs / UADs	Rancourt, Suzanne	4	2021-03-26	56	120.83	4,572	197
WSP Global Inc.	DSUs / UADs	Raymond, Paul	4	2021-03-26	56	120.83	1,937	197
WSP Global Inc.	DSUs / UADs	Shoiry, Pierre	4, 5	2021-03-26	56	120.83	16,801	621
WSP Global Inc.	DSUs / UADs	Templeton, Guy	5	2021-03-24	56	121.56	8,983	1,018
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Bill, Conor	4	2021-03-04	00			
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Bill, Conor	4	2021-03-19	50	0.29	550,000	550,000
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Coates, Stephen Edward	4	2021-03-04	00			
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Coates, Stephen Edward	4	2021-03-19	50		550,000	550,000
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Kalish, Brian	4, 5	2021-03-04	00			
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Kalish, Brian	4, 5	2021-03-19	50	0.29	1,000,000	1,000,000
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Kostioutchenko, Igor	5	2021-03-04	00			
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Kostioutchenko, Igor	5	2021-03-19	50	0.29	550,000	550,000
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Wilson, Neill Scott Charles	4	2021-03-04	00			
Xigem Technologies Corporation (formerly, 10557536 Canada Corp.)	Options Stock Options	Wilson, Neill Scott Charles	4	2021-03-19	50	0.29	550,000	550,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-22	38	1.2	900	900
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-22	38		0	-900
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-24	38	1.12	1,700	1,700
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-03-24	38		0	-1,700

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

Mackenzie Global Sustainable Bond Fund
Mackenzie Greenchip Global Balanced Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 19, 2021
NP 11-202 Final Receipt dated Mar 24, 2021

Offering Price and Description:

Series F5 units, Series T5 units, Series PWX units, Series D units, Series A units, Series PWFB5 units, Series O units, Series AR units, Series T8 units, Series FB5 units, Series F8 units, Series PWR units, Series SC units, Series FB units, Series PWX8 units, Series PW units, Series PWT8 units, Series PWT5 units, Series PWFB units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3167143

Issuer Name:

Ninepoint Bitcoin ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Mar 29, 2021
NP 11-202 Preliminary Receipt dated Mar 29, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3195224

Issuer Name:

RBC Global Equity Leaders Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Mar 26, 2021
NP 11-202 Preliminary Receipt dated Mar 26, 2021

Offering Price and Description:

Series A units, Series O units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3193676

Issuer Name:

CIBC Canadian Bond Index ETF
CIBC Canadian Equity Index ETF
CIBC Emerging Market Equity Index ETF
CIBC Global Bond ex-Canada Index ETF (CAD-Hedged)
CIBC International Equity Index ETF
CIBC U.S. Equity Index ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Mar 24, 2021
NP 11-202 Final Receipt dated Mar 25, 2021

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3174897

Issuer Name:

Sun Life Core Advantage Credit Private Pool
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated March 25, 2021
NP 11-202 Final Receipt dated Mar 29, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3074012

Issuer Name:

Invesco Global Dividend Income Fund
Invesco Global Monthly Income Fund
Principal Regulator - Ontario

Type and Date:

Amendment #5 to Final Simplified Prospectus dated March 24, 2021
NP 11-202 Final Receipt dated Mar 25, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3069832

Issuer Name:

BMO Floating Rate Income Fund
BMO Monthly Dividend Fund Ltd.
BMO U.S. High Yield Bond Fund
BMO Dividend Fund
Principal Regulator - Ontario

Type and Date:

Amendment #3 to Final Simplified Prospectus dated March 25, 2021

NP 11-202 Final Receipt dated Mar 29, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3042622

Issuer Name:

Mackenzie Floating Rate Income Fund
Mackenzie Strategic Income Fund
Mackenzie Ivy Global Balanced Fund
Mackenzie Canadian Dividend Fund
Mackenzie Canadian Growth Fund
Mackenzie US All Cap Growth Fund
Mackenzie Ivy Foreign Equity Fund
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated March 26, 2021

NP 11-202 Final Receipt dated Mar 29, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3140751

Issuer Name:

Franklin Innovation Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Annual Information Form dated March 19, 2021

NP 11-202 Final Receipt dated Mar 23, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3139143

Issuer Name:

Ninepoint International Small Cap Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated March 23, 2021

NP 11-202 Final Receipt dated Mar 25, 2021

Offering Price and Description:

-

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3033523

Issuer Name:

Partners Value Split Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

\$150,000,000 - 6,000,000 Class AA Preferred Shares, Series 12

Price: \$25.00 per Class AA Preferred Share, Series 12

Underwriter(s) or Distributor(s):

Scotia Capital Inc.
BMO Nesbitt Burns Inc.
CIBC World Markets Inc.
RBC Dominion Securities Inc.
TD Securities Inc.
National Bank Financial Inc.
Desjardins Securities Inc.
IA Private Wealth Inc.
Manulife Securities Incorporated
Raymond James Ltd.
Sera Global Securities Canada LP
Canaccord Genuity Corp.

Promoter(s):

N/A

Project #319999

Issuer Name:

TDb Split Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

Maximum Offering: \$* Priority Equity Shares and * Class A Shares
Price: \$10.25 per Priority Equity Share and \$5.48 per Class A Share

Underwriter(s) or Distributor(s):

National Bank Financial Inc.
CIBC World Markets Inc.
Scotia Capital Inc.
TD Securities Inc.
BMO Nesbitt Burns Inc.
RBC Dominion Securities Inc.
Hampton Securities Limited
Canaccord Genuity Corp.
IA Private Wealth Inc.
Echelon Wealth Partners Inc.
Raymond James Ltd
Richardson Wealth Limited
Desjardins Securities Inc.
Mackie Research Capital Corporation
Manulife Securities Incorporated

Promoter(s):

N/A
Project #3191027

Issuer Name:

Brompton Split Banc Corp.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

\$300,000,000 Preferred Shares and Class A Shares

Underwriter(s) or Distributor(s):

N/A
Promoter(s):
N/A
Project #3186683

Issuer Name:

TDb Split Corp.
Principal Regulator - Ontario

Type and Date:

Amended and Restated dated March 24, 2021 to
Preliminary Short Form Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

Maximum: \$15,002,400 - 987,000 Priority Equity Shares
and 987,000 Class A Shares
Price: \$10.25 Priority Equity Shares and \$5.40 Class A Shares

Underwriter(s) or Distributor(s):

National Bank Financial Inc.
CIBC World Markets Inc.
Scotia Capital Inc.
TD Securities Inc.
BMO Nesbitt Burns Inc.
RBC Dominion Securities Inc.
Hampton Securities Limited
Canaccord Genuity Corp.
IA Private Wealth Inc.
Echelon Wealth Partners Inc.
Raymond James Ltd
Richardson Wealth Limited
Desjardins Securities Inc.
Mackie Research Capital Corporation
Manulife Securities Incorporated

Promoter(s):

N/A
Project #3191027

NON-INVESTMENT FUNDS

Issuer Name:

Ascend Wellness Holdings, LLC
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated March 26, 2021
NP 11-202 Preliminary Receipt dated March 29, 2021

Offering Price and Description:

US\$*

[*] Shares of Class A Common Stock

Price: US\$[*] per share of Class A Stock

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

Promoter(s):

AGP PARTNERS, LLC

Project #3194729

Issuer Name:

Ballard Power Systems Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

US\$1,500,000,000.00

Common Shares

Preferred Shares

Warrants

Debt Securities

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3190553

Issuer Name:

BetterLife Pharma Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 24, 2021

Offering Price and Description:

\$100,000,000.00

Common Shares

Preferred Shares

Debt Securities

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3191224

Issuer Name:

FPX Nickel Corp. (formerly First Point Minerals Corp.)
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 24, 2021

Offering Price and Description:

C\$14,000,350.00 - 21,539,000 Common Shares

\$0.65 per Offered Share

Underwriter(s) or Distributor(s):

Paradigm Capital Inc.

Promoter(s):

-

Project #3191726

Issuer Name:

Gage Growth Corp. (formerly Wolverine Partners Corp.)
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated March 24, 2021
NP 11-202 Preliminary Receipt dated March 24, 2021

Offering Price and Description:

No securities are being offered pursuant to this prospectus.

Underwriter(s) or Distributor(s):

-

Promoter(s):

Michael Hermiz

Rami Reda

Project #3191971

Issuer Name:

Gotham Resource Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary CPC Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 29, 2021

Offering Price and Description:

\$400,000.00

4,000,000 COMMON SHARES

PRICE: \$0.10 PER COMMON SHARE

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.

Promoter(s):

-

Project #3194613

Issuer Name:

Grown Rogue International Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

\$4,737,800.00
21,056,890 Common Shares and 21,056,890 Common
Share Purchase Warrants Issuable upon Exercise of
21,056,890 Special Warrants
Price: \$0.225 per Special Warrant

Underwriter(s) or Distributor(s):

Eight Capital

Promoter(s):

Obie Strickler

Project #3191010

Issuer Name:

LeoNovus Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 29, 2021
NP 11-202 Preliminary Receipt dated March 29, 2021

Offering Price and Description:

Up to \$4,000,000.00
5,882,352 Units consisting of Common Shares and
Warrants
\$0.68 per Unit

Underwriter(s) or Distributor(s):

MACKIE RESEARCH CAPITAL CORPORATION
CANACCORD GENUITY CORP.

Promoter(s):

-

Project #3195442

Issuer Name:

Kraken Robotics Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

\$65,000,000.00
Common Shares
Warrants
Units

Debt Securities
Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3190607

Issuer Name:

Mary Agrotechnologies Inc.

Type and Date:

Amendment dated March 23, 2021 to Preliminary Long
Form Prospectus dated December 7, 2020
(Preliminary) Receipted on March 23, 2021

Offering Price and Description:

0.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

Chuhan Qin

Project #3148650

Issuer Name:

K.B. Recycling Industries Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

C\$*

* Units 4,334,862 Ordinary Shares and 2,167,431 Warrants
issuable on the deemed exercise of 4,334,862 Subscription
Receipts

Underwriter(s) or Distributor(s):

INFOR Financial Inc.
Cormark Securities Inc.

Promoter(s):

-

Project #3193017

Issuer Name:

Mindset Pharma Inc. (formerly North Sur Resources Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 26, 2021

Offering Price and Description:

Up to \$7,500,000.00
Up to 10,000,000 Units
PRICE: \$0.75 PER Unit

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
STIFEL NICOLAUS CANADA INC.
CORMARK SECURITIES INC.

Promoter(s):

Richard Patricio

Project #3190591

Issuer Name:

Mineros S.A.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated March 24, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

US\$25,000,000.00
[*] Common Shares
US\$[*] per Common Share

Underwriter(s) or Distributor(s):

SCOTIA CAPITAL INC.
SPROTT CAPITAL PARTNERS LP

Promoter(s):

-

Project #3192088

Issuer Name:

Mogo Inc. (formerly, Difference Capital Financial Inc.)
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 26, 2021
NP 11-202 Preliminary Receipt dated March 26, 2021

Offering Price and Description:

US\$500,000,000.00
Common Shares
Preferred Shares
Debt Securities
Warrants
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3194325

Issuer Name:

Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

15,461,000 Common Shares on exercise or deemed exercise, for no additional consideration, of 15,461,000 Special Warrants purchased at a price of \$0.50 per Special Warrant
323,000 Common Shares on exercise or deemed exercise, for no additional consideration, of 323,000 Special Warrants purchased at a price of \$0.05 per Special Warrant

Underwriter(s) or Distributor(s):

MACKIE RESEARCH CAPITAL CORPORATION

Promoter(s):

Karamveer Thakur
Ahmad Yeyha

Project #3191399

Issuer Name:

Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 26, 2021

Offering Price and Description:

US\$250,000,000.00
Common Shares

Warrants

Units

Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3193228

Issuer Name:

Nexe Innovations Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 24, 2021

Offering Price and Description:

\$100,000,000.00
Common Shares
Debt Securities
Subscription Receipts
Units

Warrants

Underwriter(s) or Distributor(s):

-

Promoter(s):

Darren Footz

Project #3191209

Issuer Name:

Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)

Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated March 26, 2021
NP 11-202 Preliminary Receipt dated March 26, 2021

Offering Price and Description:

\$500,000,000.00
Common Shares
Debt Securities
Subscription Receipts
Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3193995

Issuer Name:

Ontario Power Generation Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

\$2,000,000,000.00

Medium Term Notes (unsecured)

Underwriter(s) or Distributor(s):

BMO NESBITT BURNS INC.
CIBC WORLD MARKETS INC.
DESJARDINS SECURITIES INC.
GOLDMAN SACHS CANADA INC.
HSBC SECURITIES (CANADA) INC.
LAURENTIAN BANK SECURITIES INC.
MIZUHO SECURITIES CANADA INC.
MUFG SECURITIES (CANADA), LTD.
NATIONAL BANK FINANCIAL INC.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.
TD SECURITIES INC.

Promoter(s):

-

Project #3191155

Issuer Name:

Pasofino Gold Limited
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated March 22, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

\$*

* Common Shares

\$* per Common Share

Underwriter(s) or Distributor(s):

STIFEL NICOLAUS CANADA INC.

Promoter(s):

-

Project #3190548

Issuer Name:

Sleeping Giant Capital Corp.
Principal Regulator - Alberta

Type and Date:

Preliminary CPC Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

Minimum Offering: \$200,000.00 or 2,000,000 Common Shares

Maximum Offering: \$500,000.00 or 5,000,000 Common Shares

Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

RICHARDSON WEALTH LIMITED

Promoter(s):

Terence S. Meek

Project #3191176

Issuer Name:

Sona Nanotech Inc.
Principal Regulator - Nova Scotia

Type and Date:

Preliminary Shelf Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 23, 2021

Offering Price and Description:

\$20,000,000.00

Common Shares

Debt Securities

Warrants

Subscription Receipts

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3191067

Issuer Name:

Star Royalties Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated March 26, 2021
NP 11-202 Preliminary Receipt dated March 29, 2021

Offering Price and Description:

USD\$200,000,000.00

COMMON SHARES

DEBT SECURITIES

SUBSCRIPTION RECEIPTS

CONVERTIBLE SECURITIES

WARRANTS

UNITS

Underwriter(s) or Distributor(s):

-

Promoter(s):

Anthony Lesiak
Alexandre Pernin
Peter Bures

Project #3193990

Issuer Name:

TUP CAPITAL INC.
Principal Regulator - Ontario

Type and Date:

Preliminary CPC Prospectus dated March 23, 2021
NP 11-202 Preliminary Receipt dated March 24, 2021

Offering Price and Description:

Minimum Offering: \$500,000 or 5,000,000 Common Shares
Maximum Offering: \$750,000 or 7,500,000 Common Shares

Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3191734

Issuer Name:

West Fraser Timber Co. Ltd.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated March 29, 2021
NP 11-202 Preliminary Receipt dated March 29, 2021

Offering Price and Description:

US\$2,000,000,000.00

Common Shares

Warrants

Subscription Receipts

Share Purchase Contracts

Debt Securities

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3195640

Issuer Name:

Yubba Capital Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary CPC Prospectus dated March 25, 2021
NP 11-202 Preliminary Receipt dated March 25, 2021

Offering Price and Description:

Minimum Offering: \$200,000.00

Maximum Offering: \$600,000.00

Minimum of 2,000,000 Common Shares and up to a
Maximum of 6,000,000 Common Shares (the "Offering")

PRICE: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.

Promoter(s):

-

Project #3192710

Issuer Name:

AIM6 Ventures Inc.
Principal Regulator - Ontario

Type and Date:

Final CPC Prospectus dated March 24, 2021
NP 11-202 Receipt dated March 25, 2021

Offering Price and Description:

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

Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

-

Project #3178389

Issuer Name:

Alaris Equity Partners Income Trust
Principal Regulator - Alberta

Type and Date:

Final Short Form Prospectus dated March 24, 2021
NP 11-202 Receipt dated March 24, 2021

Offering Price and Description:

\$85,000,000.00

5,312,500 Trust Units

Price: \$16.00 per Trust Unit

Underwriter(s) or Distributor(s):

ACUMEN CAPITAL FINANCE PARTNERS LIMITED

CIBC WORLD MARKETS INC.

CORMARK SECURITIES INC.

NATIONAL BANK FINANCIAL INC.

RBC DOMINION SECURITIES INC.

DESJARDINS SECURITIES INC.

SCOTIA CAPITAL INC.

Promoter(s):

-

Project #3171304

Issuer Name:

Aurania Resources Ltd.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 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:

Canaccord Genuity Growth II Corp.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 29, 2021

Offering Price and Description:

0.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

CG INVESTMENTS INC. III

Project #3177161

Issuer Name:

Dialogue Health Technologies Inc.
Principal Regulator - Quebec

Type and Date:

Final Long Form Prospectus dated March 23, 2021
NP 11-202 Receipt dated March 23, 2021

Offering Price and Description:

\$100,008,000.00 - 8,334,000 Common Shares
Price: \$12.00 per Offered Share

Underwriter(s) or Distributor(s):

NATIONAL BANK FINANCIAL INC.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.
TD SECURITIES INC.
CIBC WORLD MARKETS INC.
DESJARDINS SECURITIES INC.
CANACCORD GENUITY CORP.
IA PRIVATE WEALTH INC.
INFOR FINANCIAL INC.
LAURENTIAN BANK SECURITIES INC.

Promoter(s):

-

Project #3184166

Issuer Name:

Engine Media Holdings, Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 25, 2021
NP 11-202 Receipt dated March 25, 2021

Offering Price and Description:

US\$150,000,000.00
Common Shares
Preference Shares
Warrants

Subscription Receipts

Debt Securities

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3136018

Issuer Name:

Gage Growth Corp. (formerly Wolverine Partners Corp.)
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

No securities are being offered pursuant to this prospectus.

Underwriter(s) or Distributor(s):

-

Promoter(s):

Michael Hermiz
Rami Reda

Project #3191971

Issuer Name:

GTEC Holdings Ltd.
Principal Regulator - British Columbia

Type and Date:

Final Short Form Prospectus dated March 23, 2021
NP 11-202 Receipt dated March 23, 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:

Inner Spirit Holdings Ltd.
Principal Regulator - Alberta

Type and Date:

Final Short Form Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

\$10,001,600.00
35,720,000 Units
Price: \$0.28 per Unit

Underwriter(s) or Distributor(s):

ECHELON WEALTH PARTNERS INC.
CANTOR FITZGERALD CANADA CORPORATION
ACUMEN CAPITAL FINANCE PARTNERS LIMITED

Promoter(s):

-

Project #3176789

Issuer Name:

Jaguar Mining Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 24, 2021
NP 11-202 Receipt dated March 24, 2021

Offering Price and Description:

\$200,000,000.00
Common Shares
Debt Securities
Subscription Receipts
Warrants
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3172901

Issuer Name:

Leucrotta Exploration Inc.
Principal Regulator - Alberta

Type and Date:

Final Short Form Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

\$30,000,080.00
41,096,000 Units
\$0.73 per Unit

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:

Medaro Mining Corp.
Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated March 24, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

\$347,550.00
3,475,500 Units on Exercise of 3,475,500 Outstanding
Special Warrants
Price: \$0.10

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3139875

Issuer Name:

Pivotal Financial Corp.
Principal Regulator - Ontario

Type and Date:

Final CPC Prospectus dated March 23, 2021
NP 11-202 Receipt dated March 24, 2021

Offering Price and Description:

Minimum of \$500,000.00 - 2,500,000 Common Shares
Maximum of \$2,000,000.00 - 10,000,000 Common Shares
Price: \$0.20 per Common Share

Underwriter(s) or Distributor(s):

IA PRIVATE WEALTH INC.

Promoter(s):

-

Project #3173017

Issuer Name:

Primo Water Corporation (formerly, Cott Corporation)
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated March 26, 2021
NP 11-202 Receipt dated March 26, 2021

Offering Price and Description:

U.S.\$600,000,000.00
Debt Securities
Common Shares
Preferred Shares
Depository Shares
Warrants
Stock Purchase Contracts
Stock Purchase Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3182918

Issuer Name:

Titanium Transportation Group Inc.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated March 23, 2021
NP 11-202 Receipt dated March 23, 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

Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
THERE IS NOTHING TO REPORT THIS WEEK.			

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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) – Memorandum of Understanding Among the Canadian Securities Administrators Regarding Investment Industry Regulatory Organization of Canada – Notice of Coming into Effect

**NOTICE OF COMING INTO EFFECT
OF
MEMORANDUM OF UNDERSTANDING AMONG
THE CANADIAN SECURITIES ADMINISTRATORS
REGARDING
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA**

On January 28, 2021, the Commission [published](#) the amended memorandum of understanding (**MOU**) among the Canadian Securities Administrators (**CSA**) regarding the oversight of Investment Industry Regulatory Organization of Canada (**IIROC**).

The amended MOU came into effect on April 1, 2021 pursuant to section 143.10(4) of the *Securities Act* (Ontario).

The MOU amends and restates an existing IIROC MOU, which came into effect on September 1, 2008. The IIROC MOU is being amended as part of the CSA project aimed to increase regulatory efficiency by streamlining and harmonizing the oversight regime of IIROC.

13.1.2 Mutual Fund Dealers Association of Canada (MFDA) – Memorandum of Understanding Regarding the Oversight of the Mutual Fund Dealers Association of Canada – Notice of Coming into Effect

**NOTICE OF COMING INTO EFFECT
OF
MEMORANDUM OF UNDERSTANDING
REGARDING
THE OVERSIGHT OF
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

On January 28, 2021, the Commission [published](#) the amended memorandum of understanding (**MOU**) regarding the oversight of the Mutual Fund Dealers Association of Canada (**MFDA**) among the Commission and Alberta Securities Commission; British Columbia Securities Commission; Manitoba Securities Commission; Financial and Consumer Services Commission (New Brunswick); Office of the Superintendent of Securities, Northwest Territories; Nova Scotia Securities Commission; Office of the Superintendent of Securities, Nunavut; Prince Edward Island Office of the Superintendent of Securities; Financial and Consumer Affairs Authority of Saskatchewan; and Office of the Yukon Superintendent of Securities (together with the Commission, the **Recognizing Regulators**).

The amended MOU came into effect on April 1, 2021 pursuant to section 143.10(4) of the *Securities Act* (Ontario).

The MOU amends and restates an existing MFDA MOU, which came into effect on October 2, 2013. The MFDA MOU is being amended as part of the Recognizing Regulators' project aimed to increase regulatory efficiency by streamlining and harmonizing the oversight regime of the MFDA.

13.2 Marketplaces

13.2.1 Refinitiv Transaction Services Pte. Ltd. – Application for Exemption from Recognition as an Exchange – Notice and Request for Comment

NOTICE AND REQUEST FOR COMMENT

APPLICATION BY REFINITIV TRANSACTION SERVICES PTE. LTD. FOR EXEMPTION FROM RECOGNITION AS AN EXCHANGE

A. Introduction

This notice requests comment on (i) the application filed by Refinitiv Transaction Services Pte. Ltd. (the **Applicant**) as operator of Refinitiv FXall Quicktrade RFQ facility and the Refinitiv FXall Pricestream facility (together the **Platform**) under section 147 of the *Securities Act* (Ontario) (**Act**) for an exemption from the requirement to be recognized as an exchange contained in section 21 of the Act (**Recognition Requirement**); and (ii) the draft order exempting the Applicant from the Recognition Requirement.

The Applicant is a private limited company that is a wholly-owned subsidiary of a holding company indirectly owned by the London Stock Exchange Group plc. The Applicant is registered in Singapore and is principally regulated by the Monetary Authority of Singapore (the **MAS**) as a Recognized Market Operator (**RMO**). The Platform is a request for quote and request for stream trading system that facilitates transactions in precious metals derivatives and foreign exchange derivatives instruments, including options, forwards, swaps, and non-deliverable forwards. The Applicant offers direct access in Ontario to the Platform to participants in Ontario.

As the Applicant is carrying on business in Ontario, it is required either to be recognized as an exchange under the Act or to apply for an exemption from the Recognition Requirement. The Applicant has applied for an exemption from the Recognition Requirement on the basis that it is already subject to regulatory oversight by the MAS.

B. Background

In Singapore, RMOs are regulated under Part II, Division 3 of the Securities and Futures Act (the **SFA**) and the Securities and Futures (Organised Markets) Regulations (2018) (the **SFA Regulations**). In 2019, the regulatory regime was revised to impose new requirements on RMOs. These include a number of new requirements that introduce obligations more akin to those previously applicable only to Approved Exchanges (as defined in the SFA) in Singapore.

The Applicant was recognized as an RMO by the MAS effective June 5, 2020. The Applicant has confirmed that all of the participants of the Platform are sophisticated investors such as banks, dealers, government institutions, advisers and large corporations.

RMOs provide a facility for bringing together orders from multiple buyers and sellers for types of over-the-counter derivatives and other securities and use established non-discretionary methods under which the orders interact with each other. They meet the definition of “marketplace.”

An RMO has a responsibility to regulate the conduct of its participants with respect to trading on the RMO and to set rules governing trading on the system. Because of these self-regulatory responsibilities, under the Act they would be considered an exchange.

C. Application and Draft Exemption Order

In the application, the Applicant has outlined how it meets the criteria for exemption from the Recognition Requirement. The specific criteria can be found in Appendix 1 of the draft exemption order. Subject to comments received, Staff intend to recommend that the Commission grant an exemption order with terms and conditions based on the draft exemption order. The application can be found on our website at www.osc.ca and the draft exemption order is attached to this Notice.

D. Comment Process

The Commission is publishing for public comment the Applicant’s application and the draft exemption order for 30 days. We are seeking comment on all aspects of the application and draft exemption order.

Please provide your comments in writing, via e-mail, on or before May 3, 2021, to the attention of:

Ontario Securities Commission
20 Queen Street West, 22nd Floor
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The confidentiality of submissions cannot be maintained as the comment letters and a summary of written comments received during the comment period will be published.

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

AND

IN THE MATTER OF
REFINITIV TRANSACTION SERVICES PTE. LTD.

ORDER
(Section 147 of the Act)

WHEREAS Refinitiv Transaction Services Pte. Ltd. (**RTSPL** or the **Applicant**) has filed an application dated March 18, 2021 (the **Application**) with the Ontario Securities Commission (the **Commission**) pursuant to section 147 of the *Securities Act* (Ontario) (the **Act**) requesting an order exempting the Applicant from the requirement to be recognized as an exchange under subsection 21(1) of the Act in order to operate the Refinitiv FXall Quicktrade RFQ facility and the Refinitiv FXall Pricestream facility (together the **Platform**) in Ontario (the **Order**);

AND WHEREAS the Applicant has represented to the Commission that:

1. The Platform is currently operated by RTSPL, a private limited company which is a wholly-owned subsidiary of a holding company indirectly owned by the London Stock Exchange Group plc. RTSPL is registered in Singapore;
2. The Platform is a “request for quote” and “request for stream” platform operated by Refinitiv’s Singapore entity, which enables participants to request quotes and orders from other participants for a variety of over-the-counter foreign exchange instruments on both a one-off and streaming basis. The following types of investment are offered for trading on the Platform: FX Spot, FX Forwards, FX Swaps, FX Non-deliverable Forwards, FX Options and Spot, Forwards, Swaps and Options based on underlying precious metals (gold, silver, platinum and palladium). The Applicant may add other types of financial instruments in the future, subject to obtaining the required regulatory approvals;
3. The Platform is provided through the Refinitiv FXall platform (**FXall**). RTSPL only provides the software and infrastructure to facilitate transactions in these products between participants. It does not act as a counterparty to any such transactions, nor does it play any part in deciding which participants transact with each other or in determining the price at which participants agree to transact. RTSPL does not hold customer money or customer assets;
4. In addition, any clearing and settlement is performed outside of the environment of the Platform. The Platform facilitates transactions between what are referred to on the Platform as Takers and Makers in foreign exchange instruments on a bilateral basis based on existing credit relationships formed outside of RTSPL or the Platform;
5. The Applicant is regulated as a Recognized Market Operator (**RMO**) by the Monetary Authority of Singapore (**MAS**);
6. In Singapore, RMOs are regulated under Part II, Division 3 of the *Securities and Futures Act* (**SFA**) and the *Securities and Futures (Organised Markets) Regulations (2018)* (the **SFA Regulations**);
7. As an RMO, RTSPL is obliged to:
 - (a) as far as is reasonably practicable, ensure that every organized market it operates is a fair, orderly and transparent organized market;
 - (b) manage any risks associated with its business and operations prudently;
 - (c) in discharging its obligations under the SFA, not act contrary to the interests of the public, having particular regard to the interests of the investing public;
 - (d) ensure that access for participation in its facilities is subject to criteria that are (i) fair and objective; and (ii) designed to ensure the orderly functioning of its organized market and to protect the interests of the investing public;
 - (e) maintain business rules and, where appropriate, listing rules that make satisfactory provision for (i) the organized market to be operated in a fair, orderly and transparent manner; and (ii) the proper regulation and supervision of its members;
 - (f) enforce compliance with its business rules and, where appropriate, listing rules;
 - (g) have sufficient financial, human and system resources to (i) to operate a fair, orderly and transparent organized market; (ii) to meet contingencies or disasters; and (iii) to provide adequate security arrangements;

- (h) maintain governance arrangements that are adequate for its organized market to be operated in a fair, orderly and transparent manner; and
 - (i) ensure that it appoints or employs fit and proper persons as its chairman, chief executive officer, directors and key management officers;
8. RTSPL is also required to notify MAS of certain matters (spelled out in section 34 of the SFA and section 21 of the SFA Regulations), manage risks prudently, submit periodic reports, assist MAS with respect to certain matters, maintain confidentiality, and maintain proper records;
9. The Applicant is subject to regulatory supervision by MAS and is required to comply with MAS's regulatory framework set out in the SFA Act and the SFA Regulations. In addition, the FXall Operational Procedures (the **Rules**) provide that participants must comply with the Rules and with all applicable laws, regulations, codes of conduct and market practice to which participants are bound in relation to their platform activity, including all applicable laws and regulations relating to money laundering, proceeds of crime and any other financial crime legislation. In addition, the Rules provide for fair and orderly trading and objective criteria for the efficient execution of orders;
10. Participants are sophisticated and well-capitalized investors such as banks, dealers, government institutions, advisers and large corporations. Participants are required to satisfy the admission criteria in the Rules. Participants are required to either be "accredited investors" or "expert investors" as defined in the SFA, or to belong to the categories listed in the Rules. These categories are roughly equivalent to the categories for designation as a "permitted client" or "accredited investor" under Ontario law. RTSPL takes steps to ensure that Ontario participants are either registered or exempt from registration under Ontario law;
11. As a result of its compliance obligations under the MAS regulatory regime, the Applicant is required to maintain a permanent and effective compliance function. The Applicant's Compliance Department is responsible for implementing and maintaining adequate policies and procedures designed to ensure that the Applicant (and all associated staff) comply with their obligations under MAS rules. These policies and procedures are set forth in the RTSPL Compliance Manual and associated internal policies and procedures;
12. Participants are responsible for ensuring the prompt exchange and processing of transaction confirmations directly with their counterparties in accordance with market practice. Failure to settle transactions will constitute a breach of the Rules. Participants are also responsible for ensuring that transactions are not required to be cleared pursuant to applicable law. If participants are required or choose to clear a transaction, they are responsible for making the necessary arrangements;
13. The Platform provides certain Ontario participants with access to liquidity for which, at least for certain types of transactions, there is no appropriate alternative platform, and the Ontario capital markets will be disrupted if the Order is not granted;
14. Because the Platform sets requirements for the conduct of its participants and surveils the trading activity of its participants, it is considered by the Commission to be a marketplace;
15. Since the Applicant seeks to provide Ontario Participants with direct access to trading on the Platform, the Platform is considered by the Commission to be "carrying on business as an exchange" in Ontario and is required to be recognized as such or exempted from recognition pursuant to section 21 of the Act;
16. The Platform has no physical presence in Ontario and does not otherwise carry on business in Ontario except as described herein;

AND WHEREAS the products traded on the Platform are not commodity futures contracts as defined in the *Commodity Futures Act* (Ontario) and the Platform is not considered to be carrying on business as a commodity futures exchange in Ontario;

AND WHEREAS the Commission will monitor developments in international and domestic capital markets and the Applicant's activities on an ongoing basis to determine whether it is appropriate for the Requested Relief to continue to be granted subject to the terms and conditions set out in Schedule "A" to this order;

AND WHEREAS the Applicant has acknowledged to the Commission that the scope of the Order and the terms and conditions imposed by the Commission set out in Schedule "A" to this order may change as a result of the Commission's monitoring of developments in international and domestic capital markets or the Applicant or the Platform's activities, or as a result of any changes to the laws in Ontario affecting trading in derivatives or securities;

AND WHEREAS based on the Application, together with the representations made by and acknowledgments of the Applicant to the Commission, the Commission has determined that:

- a) the Applicant satisfies the criteria for exemption set out in Attachment 1 to Schedule A; and

b) the granting of the Requested Relief would not be prejudicial to the public interest;

IT IS HEREBY ORDERED by the Commission that, pursuant to section 147 of the Act, the Applicant is exempt from the requirement to be recognized as an exchange under subsection 21(1) of the Act in order to operate the Refinitiv FXall Quicktrade RFQ facility and the Refinitiv FXall Pricestream facility;

PROVIDED THAT the Applicant complies with the terms and conditions contained in Schedule "A" to this Order.

DATED *

SCHEDULE A

Terms and Conditions

Meeting Criteria for Exemption

1. The Applicant will continue to meet the criteria for exemption included in Appendix 1 to this Schedule.

Regulation and Oversight of the Applicant

2. The Applicant will maintain its permission to operate as a Recognized Market Operator (**RMO**) from the Monetary Authority of Singapore (**MAS**) and will continue to be subject to the regulatory oversight of the MAS.

3. The Applicant will continue to comply with the ongoing requirements applicable to it as a RMO.

4. The Applicant must do everything within its control, which includes cooperating with the Commission as needed, to carry out its activities as an exchange exempted from recognition under subsection 21(1) of the Act in compliance with Ontario securities law.

Access

5. The Applicant will not provide direct access to a participant in Ontario (**Ontario User**) unless the Ontario User is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements.

6. For each Ontario User provided direct access to the Platform, the Applicant will require, as part of its application documentation or continued access to the Platform, the Ontario User to represent that it is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements.

7. The Applicant may reasonably rely on a written representation from the Ontario User that specifies either that it is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements, provided the Applicant notifies such Ontario User that this representation is deemed to be repeated each time it enters an order, request for quote or response to a request for quote on the Platform.

8. The Applicant will require Ontario Users to notify the Applicant if their registration as applicable under Ontario securities laws has been revoked, suspended, or amended by the Commission or if they are no longer exempt from or become subject to those requirements and, following notice from the Ontario User and subject to applicable laws, the Applicant will promptly restrict the Ontario User's access to the Platform if the Ontario User is no longer appropriately registered or exempt from those requirements.

Trading by Ontario Users

9. The Applicant will not provide access to an Ontario User to trading in products other than FX Spot, FX Forwards, FX Swaps, FX Non-deliverable Forwards, FX Options and Spot, Forwards, Swaps and Options based on underlying precious metals (gold, silver, platinum and palladium) without prior Commission approval.

Submission to Jurisdiction and Agent for Service

10. With respect to a proceeding brought by the Commission arising out of, related to, concerning or in any other manner connected with the Commission's regulation and oversight of the activities of the Applicant in Ontario, the Applicant will submit to the non-exclusive jurisdiction of (i) the courts and administrative tribunals of Ontario and (ii) an administrative proceeding in Ontario.

11. The Applicant will submit to the Commission a valid and binding appointment of an agent for service in Ontario upon whom the Commission may serve a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding arising out of, related to, concerning or in any other manner connected with the Commission's regulation and oversight of the Applicant's activities in Ontario.

Prompt Reporting

12. The Applicant will notify staff of the Commission promptly of:

- a) any authorization to carry on business granted by the MAS is revoked or suspended or made subject to terms or conditions on the Applicant's operations;
- b) the Applicant institutes a petition for a judgment of bankruptcy or insolvency or similar relief, or to wind up or liquidate the Applicant or has a proceeding for any such petition instituted against it;
- c) a receiver is appointed for the Applicant or the Applicant makes any voluntary arrangement with creditors;

- d) the Applicant or the Platform is not in compliance with this order or with any applicable requirements, laws or regulations of the MAS where it is required to report such non-compliance to the MAS;
- e) any investigations of, or disciplinary action against, the Applicant by the MAS or any other regulatory authority to which it is subject become known to the Applicant; and
- f) the Applicant makes any material change to the eligibility criteria for Ontario Users.

Semi-Annual Reporting

13. The Applicant will maintain the following updated information and submit such information in a manner and form acceptable to the Commission on a semi-annual basis (by July 31 for the first half of the calendar year and by January 31 of the following year for the second half), and at any time promptly upon the request of staff of the Commission:

- a) a current list of all Ontario Users and whether the Ontario User is registered under Ontario securities laws or is exempt from or not subject to registration, and, to the extent known by the Applicant, other persons or companies located in Ontario trading as customers of participants (**Other Ontario Participants**);
- b) the legal entity identifier assigned to each Ontario User, and, to the extent known by the Applicant, to Other Ontario Participants in accordance with the standards set by the Global Legal Entity Identifier System;
- c) a list of all Ontario Users against whom disciplinary action has been taken in the last semi-annual period by the Applicant, or, to the best of the Applicant's knowledge, by the MAS with respect to such Ontario Users' activities on the Platform and the aggregate number of disciplinary actions taken against all participants in the last semi-annual period by the Applicant;
- d) a list of all active investigations during the semi-annual period by the Applicant relating to Ontario Users and the aggregate number of active investigations during the semi-annual period relating to all participants undertaken by the Applicant;
- e) a list of all Ontario applicants for status as a participant who were denied such status or access to the Applicant during the semi-annual period, together with the reasons for each such denial; and
- f) for each product,
 - (i) the total trading volume and value originating from Ontario Users, and, to the extent known by the Applicant, from Other Ontario Participants, presented on a per Ontario User or per Other Ontario Participant basis; and
 - (ii) the proportion of worldwide trading volume and value on the Platform conducted by Ontario Users, and, to the extent known by the Applicant, by Other Ontario Participants, presented in the aggregate for such Ontario Users and Other Ontario Participants,provided in the required format.

Information Sharing

14. The Applicant will provide such information as may be requested from time to time by, and otherwise cooperate with, the Commission or its staff, subject to any applicable privacy or other laws (including solicitor-client privilege) governing the sharing of information and the protection of personal information.

APPENDIX 1

CRITERIA FOR EXEMPTION OF A FOREIGN EXCHANGE TRADING OTC DERIVATIVES FROM RECOGNITION AS AN EXCHANGE

PART 1 REGULATION OF THE EXCHANGE

1.1 Regulation of the Exchange

The exchange is regulated in an appropriate manner in another jurisdiction by a foreign regulator (**Foreign Regulator**).

1.2 Authority of the Foreign Regulator

The Foreign Regulator has the appropriate authority and procedures for oversight of the exchange. This includes regular, periodic oversight reviews of the exchange by the Foreign Regulator.

PART 2 GOVERNANCE

2.1 Governance

The governance structure and governance arrangements of the exchange ensure:

- (a) effective oversight of the exchange,
- (b) that business and regulatory decisions are in keeping with its public interest mandate,
- (c) fair, meaningful and diverse representation on the board of directors (**Board**) and any committees of the Board, including:
 - (i) appropriate representation of independent directors, and
 - (ii) a proper balance among the interests of the different persons or companies using the services and facilities of the exchange,
- (d) the exchange has policies and procedures to appropriately identify and manage conflicts of interest for all officers, directors and employees, and
- (e) there are appropriate qualifications, remuneration, limitation of liability and indemnity provisions for directors, officers and employees of the exchange.

2.2 Fitness

The exchange has policies and procedures under which it will take reasonable steps, and has taken such reasonable steps, to ensure that each director and officer is a fit and proper person and past conduct of each officer or director affords reasonable grounds for belief that the officer or director will perform his or her duties with integrity.

PART 3 REGULATION OF PRODUCTS

3.1 Review and Approval of Products

The products traded on the exchange and any changes thereto are submitted to the Foreign Regulator, and are either approved by the Foreign Regulator or are subject to requirements established by the Foreign Regulator that must be met before implementation of a product or changes to a product.

3.2 Product Specifications

The terms and conditions of trading the products are in conformity with the usual commercial customs and practices for the trading of such products.

3.3 Risks Associated with Trading Products

The exchange maintains adequate provisions to measure, manage and mitigate the risks associated with trading products on the exchange that may include, but are not limited to, daily trading limits, price limits, position limits, and internal controls.

PART 4 ACCESS

4.1 Fair Access

- (a) The exchange has established appropriate written standards for access to its services including requirements to ensure
 - (i) participants are appropriately registered as applicable under Ontario securities laws, or exempted from these requirements,
 - (ii) the competence, integrity and authority of systems users, and
 - (iii) systems users are adequately supervised.
- (b) The access standards and the process for obtaining, limiting and denying access are fair, transparent and applied reasonably.
- (c) The exchange does not unreasonably prohibit, condition or limit access by a person or company to services offered by it.
- (d) The exchange does not
 - (i) permit unreasonable discrimination among participants, or
 - (ii) impose any burden on competition that is not reasonably necessary and appropriate.
- (e) The exchange keeps records of each grant and each denial or limitation of access, including reasons for granting, denying or limiting access.

PART 5 REGULATION OF PARTICIPANTS ON THE EXCHANGE

5.1 Regulation

The exchange has the authority, resources, capabilities, systems and processes to allow it to perform its regulation functions, whether directly or indirectly through a regulation services provider, including setting requirements governing the conduct of its participants, monitoring their conduct, and appropriately disciplining them for violations of exchange requirements.

PART 6 RULEMAKING

6.1 Purpose of Rules

- (a) The exchange has rules, policies and other similar instruments (**Rules**) that are designed to appropriately govern the operations and activities of participants and do not permit unreasonable discrimination among participants or impose any burden on competition that is not reasonably necessary or appropriate.
- (b) The Rules are not contrary to the public interest and are designed to
 - (i) ensure compliance with applicable legislation,
 - (ii) prevent fraudulent and manipulative acts and practices,
 - (iii) promote just and equitable principles of trade,
 - (iv) foster co-operation and co-ordination with persons or companies engaged in regulating, clearing, settling, processing information with respect to, and facilitating transactions in the products traded on the exchange,
 - (v) provide a framework for disciplinary and enforcement actions, and
 - (vi) ensure a fair and orderly market.

PART 7 DUE PROCESS

7.1 Due Process

For any decision made by the exchange that affects a participant, or an applicant to be a participant, including a decision in relation to access, exemptions, or discipline, the exchange ensures that:

- (a) parties are given an opportunity to be heard or make representations, and
- (b) it keeps a record of, gives reasons for, and provides for appeals or reviews of its decisions.

PART 8 CLEARING AND SETTLEMENT

8.1 Clearing Arrangements

The exchange has or requires its participants to have appropriate arrangements for the clearing and settlement of transactions for which clearing is mandatory through a clearing house.

8.2 Risk Management of Clearing House

The exchange has assured itself that the clearing house has established appropriate risk management policies and procedures, contingency plans, default procedures and internal controls.

PART 9 SYSTEMS AND TECHNOLOGY

9.1 Systems and Technology

Each of the exchange's critical systems has appropriate internal controls to ensure completeness, accuracy, integrity and security of information, and, in addition, has sufficient capacity and business continuity plans to enable the exchange to properly carry on its business. Critical systems are those that support the following functions:

- (a) order entry,
- (b) order routing,
- (c) execution,
- (d) trade reporting,
- (e) trade comparison,
- (f) data feeds,
- (g) market surveillance,
- (h) trade clearing, and
- (i) financial reporting.

9.2 System Capability/Scalability

Without limiting the generality of section 9.1, for each of its systems supporting order entry, order routing, execution, data feeds, trade reporting and trade comparison, the exchange:

- (a) makes reasonable current and future capacity estimates;
- (b) conducts capacity stress tests to determine the ability of those systems to process transactions in an accurate, timely and efficient manner;
- (c) reviews the vulnerability of those systems and data centre computer operations to internal and external threats, including physical hazards and natural disasters;
- (d) ensures that safeguards that protect a system against unauthorized access, internal failures, human errors, attacks and natural catastrophes that might cause improper disclosures, modification, destruction or denial of service are subject to an independent and ongoing audit which should include the physical environment, system capacity, operating system testing, documentation, internal controls and contingency plans;
- (e) ensures that the configuration of the system has been reviewed to identify potential points of failure, lack of back-up and redundant capabilities;
- (f) maintains reasonable procedures to review and keep current the development and testing methodology of those systems; and
- (g) maintains reasonable back-up, contingency and business continuity plans, disaster recovery plans and internal controls.

9.3 Information Technology Risk Management Procedures

The exchange has appropriate risk management procedures in place including those that handle trading errors, trading halts and respond to market disruptions and disorderly trading.

PART 10 FINANCIAL VIABILITY

10.1 Financial Viability

The exchange has sufficient financial resources for the proper performance of its functions and to meet its responsibilities.

PART 11 TRADING PRACTICES

11.1 Trading Practices

Trading practices are fair, properly supervised and not contrary to the public interest.

11.2 Orders

Rules pertaining to order size and limits are fair and equitable to all market participants and the system for accepting and distinguishing between and executing different types of orders is fair, equitable and transparent.

11.3 Transparency

The exchange has adequate arrangements to record and publish accurate and timely information as required by applicable law or the Foreign Regulator. This information is also provided to all participants on an equitable basis.

PART 12 COMPLIANCE, SURVEILLANCE AND ENFORCEMENT

12.1 Jurisdiction

The exchange or the Foreign Regulator has the jurisdiction to perform member and market regulation, including the ability to set rules, conduct compliance reviews and perform surveillance and enforcement.

12.2 Member and Market Regulation

The exchange or the Foreign Regulator maintains appropriate systems, resources and procedures for evaluating compliance with exchange and legislative requirements and for disciplining participants.

12.3 Availability of Information to Regulators

The exchange has mechanisms in place to ensure that the information necessary to conduct adequate surveillance of the system for supervisory or enforcement purposes is available to the relevant regulatory authorities, including the Commission, on a timely basis.

PART 13 RECORD KEEPING

13.1 Record Keeping

The exchange has and maintains adequate systems in place for the keeping of books and records, including, but not limited to, those concerning the operations of the exchange, audit trail information on all trades, and compliance with, and/or violations of exchange requirements.

PART 14 OUTSOURCING

14.1 Outsourcing

Where the exchange has outsourced any of its key services or systems to a service provider, it has appropriate and formal arrangements and processes in place that permit it to meet its obligations and that are in accordance with industry best practices.

PART 15 FEES

15.1 Fees

(a) All fees imposed by the exchange are reasonable and equitably allocated and do not have the effect of creating an unreasonable condition or limit on access by participants to the services offered by the exchange.

(b) The process for setting fees is fair and appropriate, and the fee model is transparent.

PART 16 INFORMATION SHARING AND OVERSIGHT ARRANGEMENTS

16.1 Information Sharing and Regulatory Cooperation

The exchange has mechanisms in place to enable it to share information and otherwise co-operate with the Commission, self-regulatory organizations, other exchanges, clearing agencies, investor protection funds, and other appropriate regulatory bodies.

16.2 Oversight Arrangements

Satisfactory information sharing and oversight agreements exist between the Commission and the Foreign Regulator.

PART 17 IOSCO PRINCIPLES

17.1 IOSCO Principles

To the extent it is consistent with the laws of the foreign jurisdiction, the exchange adheres to the standards of the International Organisation of Securities Commissions (**IOSCO**) including those set out in the "Principles for the Regulation and Supervision of Commodity Derivatives Markets" (2011).

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