

## List of Ontario Registrants as of September 16, 2021

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
108 SECURITIES INC.	38260	> Exempt Market Dealer
18 ASSET MANAGEMENT INC.	32480	> Portfolio Manager
1832 ASSET MANAGEMENT L.P./GESTION D'ACTIFS 1832 S.E.C.	30050	> Investment Fund Manager
1832 ASSET MANAGEMENT L.P./GESTION D'ACTIFS 1832 S.E.C.	30050	> Commodity Trading Manager
1832 ASSET MANAGEMENT L.P./GESTION D'ACTIFS 1832 S.E.C.	30050	> Portfolio Manager
1832 ASSET MANAGEMENT L.P./GESTION D'ACTIFS 1832 S.E.C.	30050	> Exempt Market Dealer
3I FINANCIAL INVESTMENT SERVICES INC.	25880	> Mutual Fund Dealer
3IQ CORP.	41350	> Commodity Trading Manager
3IQ CORP.	41350	> Exempt Market Dealer
3IQ CORP.	41350	> Portfolio Manager
3IQ CORP.	41350	> Investment Fund Manager
3L CAPITAL INC.	69050	> Exempt Market Dealer
4FRONT CAPITAL PARTNERS INC.	38040	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ABERDEEN STANDARD INVESTMENTS (CANADA) LIMITED	37730	> Portfolio Manager
ABERDEEN STANDARD INVESTMENTS (CANADA) LIMITED	37730	> Investment Fund Manager
ABERDEEN STANDARD INVESTMENTS (CANADA) LIMITED	37730	> Exempt Market Dealer
ABINGDON CAPITAL CORPORATION	53830	> Exempt Market Dealer
ACADIAN ASSET MANAGEMENT LLC	6620	> Exempt Market Dealer
ACADIAN ASSET MANAGEMENT LLC	6620	> Portfolio Manager
ACC GLOBAL FINANCIAL INC.	50490	> Mutual Fund Dealer
ACCELERATE FINANCIAL TECHNOLOGIES INC.	63470	> Investment Fund Manager
ACCELERATE FINANCIAL TECHNOLOGIES INC.	63470	> Portfolio Manager
ACCELERATE FINANCIAL TECHNOLOGIES INC.	63470	> Exempt Market Dealer
ACCILENT CAPITAL MANAGEMENT INC.	12410	> Investment Fund Manager
ACCILENT CAPITAL MANAGEMENT INC.	12410	> Commodity Trading Manager
ACCILENT CAPITAL MANAGEMENT INC.	12410	> Portfolio Manager
ACCILENT CAPITAL MANAGEMENT INC.	12410	> Exempt Market Dealer
ACCREDITED CAPITAL CORPORATION	18780	> Commodity Trading Manager
ACCREDITED CAPITAL CORPORATION	18780	> Exempt Market Dealer
ACKER FINLEY ASSET MANAGEMENT INC.	610	> Investment Fund Manager
ACKER FINLEY ASSET MANAGEMENT INC.	610	> Portfolio Manager
ACKER FINLEY INC.	140	> Investment Dealer
ACM ADVISORS LTD.	30360	> Investment Fund Manager
ACM ADVISORS LTD.	30360	> Exempt Market Dealer
ACREAGE INC.	69100	> Exempt Market Dealer
ACTION VALEUR AJOUTEE INC.	19120	> Portfolio Manager
ACUMEN CAPITAL FINANCE PARTNERS LIMITED	6070	> Investment Dealer
ADDENDA CAPITAL INC.	28190	> Exempt Market Dealer
ADDENDA CAPITAL INC.	28190	> Investment Fund Manager
ADDENDA CAPITAL INC.	28190	> Commodity Trading Manager
ADDENDA CAPITAL INC.	28190	> Portfolio Manager
ADDINGTON FINANCIAL CORPORATION	6890	> Mutual Fund Dealer
ADVANCED CAPITAL CORPORATION	46100	> Exempt Market Dealer
ADVISORY CAPITAL GROUP CANADA INC.	5180	> Portfolio Manager
AGAWA FUND MANAGEMENT INC.	53320	> Commodity Trading Manager
AGAWA FUND MANAGEMENT INC.	53320	> Investment Fund Manager
AGAWA FUND MANAGEMENT INC.	53320	> Portfolio Manager
AGAWA FUND MANAGEMENT INC.	53320	> Exempt Market Dealer
AGENTIS CAPITAL MARKETS CANADA LIMITED PARTNERSHIP	64340	> Exempt Market Dealer
AGF INVESTMENTS INC. / PLACEMENTS AGF INC.	3640	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
AGF INVESTMENTS INC. / PLACEMENTS AGF INC.	3640	> Commodity Trading Manager
AGF INVESTMENTS INC. / PLACEMENTS AGF INC.	3640	> Portfolio Manager
AGF INVESTMENTS INC. / PLACEMENTS AGF INC.	3640	> Exempt Market Dealer
AGF INVESTMENTS INC. / PLACEMENTS AGF INC.	3640	> Mutual Fund Dealer
AGF SECURITIES (CANADA) LIMITED	20	> Investment Dealer
AGILITH CAPITAL INC.	26360	> Investment Fund Manager
AGILITH CAPITAL INC.	26360	> Portfolio Manager
AGILITH CAPITAL INC.	26360	> Exempt Market Dealer
AGORA DEALER SERVICES CORP.	62470	> Mutual Fund Dealer
AIP ASSET MANAGEMENT INC.	43370	> Investment Fund Manager
AIP ASSET MANAGEMENT INC.	43370	> Portfolio Manager
AIP ASSET MANAGEMENT INC.	43370	> Exempt Market Dealer
ALBOURNE PARTNERS (CANADA) LIMITED	47650	> Portfolio Manager
ALCEDIO SECURITIES INC.	65630	> Exempt Market Dealer
ALDERSLEY SECURITIES INC.	5540	> Portfolio Manager
ALDERSLEY SECURITIES INC.	5540	> Mutual Fund Dealer
ALEXANDER CAPITAL GROUP INC.	22840	> Exempt Market Dealer
ALGONQUIN CAPITAL CORPORATION	46400	> Investment Fund Manager
ALGONQUIN CAPITAL CORPORATION	46400	> Portfolio Manager
ALGONQUIN CAPITAL CORPORATION	46400	> Exempt Market Dealer
ALIGNED CAPITAL PARTNERS INC.	2340	> Investment Fund Manager
ALIGNED CAPITAL PARTNERS INC.	2340	> Investment Dealer
ALIGNVEST CAPITAL MANAGEMENT INC.	42570	> Exempt Market Dealer
ALITIS INVESTMENT COUNSEL INC.	30300	> Investment Fund Manager
ALITIS INVESTMENT COUNSEL INC.	30300	> Portfolio Manager
ALITIS INVESTMENT COUNSEL INC.	30300	> Exempt Market Dealer
ALLARD, ALLARD & ASSOCIES INC.	20120	> Investment Fund Manager
ALLARD, ALLARD & ASSOCIES INC.	20120	> Portfolio Manager
ALLIANCEBERNSTEIN CANADA, INC.	100	> Portfolio Manager
ALLIANCEBERNSTEIN CANADA, INC.	100	> Exempt Market Dealer
ALLIANZ GLOBAL INVESTORS U.S. LLC / ALLIANZ INVESTISSEURS MONDIAUX E.-U.	9820	> Exempt Market Dealer
ALLIED CAPITAL CORPORATION	4390	> Exempt Market Dealer
ALLIED WEALTH MANAGEMENT INC.	58860	> Portfolio Manager
ALLVISTA INVESTMENT MANAGEMENT INC.	27610	> Portfolio Manager
ALPHAFIXE CAPITAL INC.	28220	> Exempt Market Dealer
ALPHAFIXE CAPITAL INC.	28220	> Investment Fund Manager
ALPHAFIXE CAPITAL INC.	28220	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ALPHANORTH ASSET MANAGEMENT	26330	> Investment Fund Manager
ALPHANORTH ASSET MANAGEMENT	26330	> Portfolio Manager
ALPHANORTH ASSET MANAGEMENT	26330	> Exempt Market Dealer
ALPHAPLANUM INC.	48980	> Portfolio Manager
ALTA WEST MORTGAGE CAPITAL CORPORATION	33610	> Exempt Market Dealer
ALTAVIA CAPITAL CORP.	68250	> Exempt Market Dealer
ALTEMA ASSET MANAGEMENT INC.	61430	> Portfolio Manager
ALTEMA ASSET MANAGEMENT INC.	61430	> Exempt Market Dealer
ALTEMA ASSET MANAGEMENT INC.	61430	> Investment Fund Manager
ALTERVEST LTD	32170	> Exempt Market Dealer
ALTERVEST LTD	32170	> Commodity Trading Manager
ALTERVEST LTD	32170	> Investment Fund Manager
ALTERVEST LTD	32170	> Portfolio Manager
ALTUM WEALTH ARCHITECTURE INC. / ALTUM ARCHITECTURE DE PATRIMOINE INC.	44490	> Portfolio Manager
ALTRINSIC GLOBAL ADVISORS CANADA INC.	62250	> Portfolio Manager
ALTRINSIC GLOBAL ADVISORS, LLC	23170	> Investment Fund Manager
ALTRINSIC GLOBAL ADVISORS, LLC	23170	> Portfolio Manager
ALTRINSIC GLOBAL ADVISORS, LLC	23170	> Exempt Market Dealer
ALTRUST INVESTMENT SOLUTIONS INC.	9120	> Portfolio Manager
ALTRUST INVESTMENT SOLUTIONS INC.	9120	> Investment Fund Manager
ALTRUST INVESTMENT SOLUTIONS INC.	9120	> Exempt Market Dealer
ALVAREZ & MARSAL CANADA SECURITIES ULC	39430	> Exempt Market Dealer
AMERITY WEALTH MANAGEMENT INC.	60680	> Mutual Fund Dealer
AMUKA CAPITAL CORP.	62220	> Exempt Market Dealer
AMUNDI CANADA INC.	27710	> Portfolio Manager
AMUNDI CANADA INC.	27710	> Exempt Market Dealer
AMUNDI CANADA INC.	27710	> Investment Fund Manager
ANGELLIST ADVISORS, LLC	57110	> Restricted Dealer
ANNAPOLIS CAPITAL LIMITED	30040	> Investment Fund Manager
ANNAPOLIS CAPITAL LIMITED	30040	> Exempt Market Dealer
ANSON ADVISORS INC.	42730	> Exempt Market Dealer
ANSON ADVISORS INC.	42730	> Portfolio Manager
ANSON FUNDS MANAGEMENT LP	24000	> Investment Fund Manager
ANTARES INVESTMENT MANAGEMENT, INC.	18330	> Exempt Market Dealer
ANTARES INVESTMENT MANAGEMENT, INC.	18330	> Investment Fund Manager
ANTARES INVESTMENT MANAGEMENT, INC.	18330	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ANTERA CAPITAL CORP.	62480	> Exempt Market Dealer
ANTRIM INVESTMENTS LTD.	57060	> Exempt Market Dealer
ANTYA INVESTMENTS INC.	49320	> Portfolio Manager
AON INVESTMENTS CANADA INC.	51900	> Investment Fund Manager
AON INVESTMENTS CANADA INC.	51900	> Portfolio Manager
AON INVESTMENTS CANADA INC.	51900	> Exempt Market Dealer
AON SECURITIES INVESTMENT MANAGEMENT INC.	51270	> Commodity Trading Manager
AON SECURITIES INVESTMENT MANAGEMENT INC.	51270	> Portfolio Manager
APPLIED RESEARCH INVESTMENT ADVISORS CORP. / APPLIED RESEARCH - CONSEIL EN INVESTISSEMENTS CORP.	57640	> Portfolio Manager
APS ASSET MANAGEMENT PTE LTD	40180	> Portfolio Manager
AQR CAPITAL MANAGEMENT (CANADA), LLC	56170	> Exempt Market Dealer
ARC FINANCIAL CORP.	2960	> Exempt Market Dealer
ARGOSY SECURITIES INC.	5450	> Investment Dealer
AROHI ASSET MANAGEMENT PTE. LTD.	36790	> Portfolio Manager
ARROW CAPITAL MANAGEMENT INC.	9540	> Portfolio Manager
ARROW CAPITAL MANAGEMENT INC.	9540	> Exempt Market Dealer
ARROW CAPITAL MANAGEMENT INC.	9540	> Investment Fund Manager
ARROW CAPITAL MANAGEMENT INC.	9540	> Commodity Trading Manager
ARROWSTREET CAPITAL, LIMITED PARTNERSHIP	9320	> Exempt Market Dealer
ARROWSTREET CAPITAL, LIMITED PARTNERSHIP	9320	> Commodity Trading Manager
ARROWSTREET CAPITAL, LIMITED PARTNERSHIP	9320	> Portfolio Manager
ARTEMIS INVESTMENT MANAGEMENT LIMITED	18440	> Investment Fund Manager
ARTEMIS INVESTMENT MANAGEMENT LIMITED	18440	> Commodity Trading Manager
ARTEMIS INVESTMENT MANAGEMENT LIMITED	18440	> Portfolio Manager
ARTEMIS INVESTMENT MANAGEMENT LIMITED	18440	> Exempt Market Dealer
ARYEH CAPITAL MANAGEMENT LTD.	58960	> Commodity Trading Manager
ARYEH CAPITAL MANAGEMENT LTD.	58960	> Investment Fund Manager
ARYEH CAPITAL MANAGEMENT LTD.	58960	> Portfolio Manager
ARYEH CAPITAL MANAGEMENT LTD.	58960	> Exempt Market Dealer
ASCENTA FINANCE CORP.	23800	> Exempt Market Dealer
ASSANTE CAPITAL MANAGEMENT LTD./GESTION DE CAPITAL ASSANTE LTEE	1160	> Investment Dealer
ASSANTE FINANCIAL MANAGEMENT LTD./GESTION FINANCIERE ASSANTE LTEE	25750	> Exempt Market Dealer
ASSANTE FINANCIAL MANAGEMENT LTD./GESTION FINANCIERE ASSANTE LTEE	25750	> Mutual Fund Dealer
ATB CAPITAL MARKETS INC.	33040	> Investment Dealer
ATB INVESTMENT MANAGEMENT INC.	14430	> Investment Fund Manager

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ATB INVESTMENT MANAGEMENT INC.	14430	> Portfolio Manager
ATB SECURITIES INC.	16070	> Investment Dealer
ATH ASSET MANAGEMENT INC.	69450	> Portfolio Manager
ATLAS CAPITAL INC.	56370	> Exempt Market Dealer
ATLAS ONE DIGITAL SECURITIES INC.	68420	> Exempt Market Dealer
AUSPICE CAPITAL ADVISORS LTD.	25850	> Investment Fund Manager
AUSPICE CAPITAL ADVISORS LTD.	25850	> Exempt Market Dealer
AUSPICE CAPITAL ADVISORS LTD.	25850	> Commodity Trading Manager
AUTHENTIC ASSET MANAGEMENT INC./GESTION D'ACTIFS AUTHENTIC INC.	50110	> Commodity Trading Manager
AUTHENTIC ASSET MANAGEMENT INC./GESTION D'ACTIFS AUTHENTIC INC.	50110	> Portfolio Manager
AVENTINE MANAGEMENT GROUP INC.	14850	> Investment Fund Manager
AVENTINE MANAGEMENT GROUP INC.	14850	> Portfolio Manager
AVENUE INVESTMENT MANAGEMENT INC.	15660	> Investment Fund Manager
AVENUE INVESTMENT MANAGEMENT INC.	15660	> Portfolio Manager
AVIVA INVESTORS CANADA INC.	8420	> Commodity Trading Manager
AVIVA INVESTORS CANADA INC.	8420	> Portfolio Manager
AVIVA INVESTORS CANADA INC.	8420	> Exempt Market Dealer
AXCESS CAPITAL ADVISORS INC.	34040	> Exempt Market Dealer
AYAL CAPITAL ADVISORS LIMITED	44670	> Investment Fund Manager
AYAL CAPITAL ADVISORS LIMITED	44670	> Portfolio Manager
AYAL CAPITAL ADVISORS LIMITED	44670	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
B.E.S.T. INVESTMENT COUNSEL LIMITED	8500	> Exempt Market Dealer
B.E.S.T. INVESTMENT COUNSEL LIMITED	8500	> Investment Fund Manager
B.E.S.T. INVESTMENT COUNSEL LIMITED	8500	> Portfolio Manager
B.S.P. FUNDS CANADA INC.	30320	> Exempt Market Dealer
B2B BANK FINANCIAL SERVICES INC./B2B BANQUE SERVICES FINANCIERS INC.	4330	> Exempt Market Dealer
B2B BANK FINANCIAL SERVICES INC./B2B BANQUE SERVICES FINANCIERS INC.	4330	> Mutual Fund Dealer
B2B BANK SECURITIES SERVICES INC. / B2B BANQUE SERVICES DE VALEURS MOBILIERES INC.	6690	> Investment Dealer
BACKER WEALTH MANAGEMENT INC.	61690	> Portfolio Manager
BAILLIE GIFFORD & CO LIMITED	48560	> Portfolio Manager
BAILLIE GIFFORD INTERNATIONAL LLC	22980	> Exempt Market Dealer
BAILLIE GIFFORD OVERSEAS LIMITED	460	> Exempt Market Dealer
BAILLIE GIFFORD OVERSEAS LIMITED	460	> Portfolio Manager
BAKER GILMORE & ASSOCIES INC. / BAKER GILMORE & ASSOCIATES INC.	400	> Commodity Trading Manager
BAKER GILMORE & ASSOCIES INC. / BAKER GILMORE & ASSOCIATES INC.	400	> Investment Fund Manager
BAKER GILMORE & ASSOCIES INC. / BAKER GILMORE & ASSOCIATES INC.	400	> Portfolio Manager
BALLANTYNE CAPITAL LTD.	62310	> Portfolio Manager
BALYASNY ASSET MANAGEMENT (CANADA) ULC	69970	> Portfolio Manager
BANQUE NATIONALE INVESTISSEMENTS INC./NATIONAL BANK INVESTMENTS INC.	28750	> Investment Fund Manager
BANQUE NATIONALE INVESTISSEMENTS INC./NATIONAL BANK INVESTMENTS INC.	28750	> Mutual Fund Dealer
BARCLAYS CAPITAL CANADA INC.	23970	> Investment Dealer
BARITONE ASSET MANAGEMENT INC.	67810	> Investment Fund Manager
BARITONE ASSET MANAGEMENT INC.	67810	> Portfolio Manager
BARITONE ASSET MANAGEMENT INC.	67810	> Exempt Market Dealer
BAROMETER CAPITAL MANAGEMENT INC.	10920	> Investment Fund Manager
BAROMETER CAPITAL MANAGEMENT INC.	10920	> Commodity Trading Manager
BAROMETER CAPITAL MANAGEMENT INC.	10920	> Portfolio Manager
BAROMETER CAPITAL MANAGEMENT INC.	10920	> Exempt Market Dealer
BARRAGE CAPITAL INC.	37070	> Investment Fund Manager
BARRAGE CAPITAL INC.	37070	> Portfolio Manager
BARRAGE CAPITAL INC.	37070	> Exempt Market Dealer
BARRANTAGH INVESTMENT MANAGEMENT INC.	5360	> Investment Fund Manager
BARRANTAGH INVESTMENT MANAGEMENT INC.	5360	> Exempt Market Dealer
BARRANTAGH INVESTMENT MANAGEMENT INC.	5360	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
BASKIN FINANCIAL SERVICES INC.	7050	> Investment Fund Manager
BASKIN FINANCIAL SERVICES INC.	7050	> Portfolio Manager
BCV ASSET MANAGEMENT INC.	24700	> Investment Fund Manager
BCV ASSET MANAGEMENT INC.	24700	> Portfolio Manager
BCV ASSET MANAGEMENT INC.	24700	> Exempt Market Dealer
BDT & COMPANY, LLC	35800	> Exempt Market Dealer
BEACON SECURITIES LIMITED/VALEURS MOBILIERES BEACON LTEE	15540	> Investment Dealer
BEDFORD PARK CAPITAL CORPORATION	60920	> Portfolio Manager
BEDFORD PARK CAPITAL CORPORATION	60920	> Exempt Market Dealer
BEDFORD PARK CAPITAL CORPORATION	60920	> Investment Fund Manager
BELAY WEALTH INC.	60080	> Mutual Fund Dealer
BELCO PRIVATE CAPITAL INC.	35250	> Investment Fund Manager
BELCO PRIVATE CAPITAL INC.	35250	> Portfolio Manager
BELCO PRIVATE CAPITAL INC.	35250	> Exempt Market Dealer
BELLOTTI CAPITAL PARTNERS INC.	23350	> Exempt Market Dealer
BELLWETHER INVESTMENT MANAGEMENT INC.	21600	> Investment Fund Manager
BELLWETHER INVESTMENT MANAGEMENT INC.	21600	> Portfolio Manager
BELLWETHER INVESTMENT MANAGEMENT INC.	21600	> Exempt Market Dealer
BER TOV CAPITAL CORPORATION	25280	> Restricted Portfolio Manager
BER TOV CAPITAL CORPORATION	25280	> Exempt Market Dealer
BERINGER CAPITAL PARTNERS LTD.	21360	> Exempt Market Dealer
BEUTEL, GOODMAN & COMPANY LTD./BEUTEL, GOODMAN & COMPAGNIE LTEE.	260	> Commodity Trading Manager
BEUTEL, GOODMAN & COMPANY LTD./BEUTEL, GOODMAN & COMPAGNIE LTEE.	260	> Mutual Fund Dealer
BEUTEL, GOODMAN & COMPANY LTD./BEUTEL, GOODMAN & COMPAGNIE LTEE.	260	> Investment Fund Manager
BEUTEL, GOODMAN & COMPANY LTD./BEUTEL, GOODMAN & COMPAGNIE LTEE.	260	> Portfolio Manager
BGO CAPITAL (CANADA) INC.	43070	> Investment Fund Manager
BGO CAPITAL (CANADA) INC.	43070	> Portfolio Manager
BGO CAPITAL (CANADA) INC.	43070	> Exempt Market Dealer
BIRCHLEAF INVESTMENTS INC.	9390	> Investment Fund Manager
BIRCHLEAF INVESTMENTS INC.	9390	> Portfolio Manager
BITTERROOT CAPITAL ADVISORS, LLC	36550	> Portfolio Manager
BLACK CREEK INVESTMENT MANAGEMENT INC.	18900	> Investment Fund Manager
BLACK CREEK INVESTMENT MANAGEMENT INC.	18900	> Portfolio Manager
BLACK CREEK INVESTMENT MANAGEMENT INC.	18900	> Exempt Market Dealer



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BLACK DIAMOND ASSET MANAGEMENT INC.	69550	> Investment Fund Manager
BLACK DIAMOND ASSET MANAGEMENT INC.	69550	> Portfolio Manager
BLACK DIAMOND ASSET MANAGEMENT INC.	69550	> Exempt Market Dealer
BLACK SWAN DEXTERITAS INC.	41290	> Commodity Trading Manager
BLACK SWAN DEXTERITAS INC.	41290	> Investment Fund Manager
BLACK SWAN DEXTERITAS INC.	41290	> Portfolio Manager
BLACK SWAN DEXTERITAS INC.	41290	> Exempt Market Dealer
BLACKBRIDGE CAPITAL MANAGEMENT CORP.	35230	> Exempt Market Dealer
BLACKBRIDGE CAPITAL MANAGEMENT CORP.	35230	> Investment Fund Manager
BLACKHEATH FUND MANAGEMENT INC.	29840	> Commodity Trading Manager
BLACKROCK ASSET MANAGEMENT CANADA LIMITED/GESTION D'ACTIFS BLACKROCK CANADA LIMITEE	3900	> Investment Fund Manager
BLACKROCK ASSET MANAGEMENT CANADA LIMITED/GESTION D'ACTIFS BLACKROCK CANADA LIMITEE	3900	> Commodity Trading Manager
BLACKROCK ASSET MANAGEMENT CANADA LIMITED/GESTION D'ACTIFS BLACKROCK CANADA LIMITEE	3900	> Portfolio Manager
BLACKROCK ASSET MANAGEMENT CANADA LIMITED/GESTION D'ACTIFS BLACKROCK CANADA LIMITEE	3900	> Exempt Market Dealer
BLAIR FRANKLIN CAPITAL PARTNERS INC.	41310	> Exempt Market Dealer
BLOOM BURTON INVESTMENT GROUP INC.	61610	> Investment Fund Manager
BLOOM BURTON INVESTMENT GROUP INC.	61610	> Portfolio Manager
BLOOM BURTON INVESTMENT GROUP INC.	61610	> Exempt Market Dealer
BLOOM BURTON SECURITIES INC.	49560	> Investment Dealer
BLOOM INVESTMENT COUNSEL, INC.	280	> Exempt Market Dealer
BLOOM INVESTMENT COUNSEL, INC.	280	> Investment Fund Manager
BLOOM INVESTMENT COUNSEL, INC.	280	> Portfolio Manager
BLOOMBERG TRADEBOOK CANADA COMPANY	11870	> Investment Dealer
BLOOMBERGSEN INC.	26810	> Investment Fund Manager
BLOOMBERGSEN INC.	26810	> Portfolio Manager
BLOOMBERGSEN INC.	26810	> Exempt Market Dealer
BLUE COUCH FUND ADMINISTRATION INC.	70230	> Exempt Market Dealer
BLUE DEER CAPITAL PARTNERS INC.	68040	> Exempt Market Dealer
BLUE RIBBON FUND MANAGEMENT LTD.	35270	> Investment Fund Manager
BLUE WAVE INVESTMENTS INC.	56660	> Commodity Trading Manager
BLUENOSE INVESTMENT MANAGEMENT INC.	14820	> Portfolio Manager
BLUESKY INVESTMENT COUNSEL INC.	56080	> Portfolio Manager
BLUEWATER TECHNOLOGIES INC.	67730	> Commodity Trading Manager
BMG MANAGEMENT SERVICES INC.	34690	> Investment Fund Manager
BMG MARKETING SERVICES INC.	21450	> Exempt Market Dealer

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BMO ASSET MANAGEMENT INC./BMO GESTION D'ACTIFS INC.	1850	> Investment Fund Manager
BMO ASSET MANAGEMENT INC./BMO GESTION D'ACTIFS INC.	1850	> Commodity Trading Manager
BMO ASSET MANAGEMENT INC./BMO GESTION D'ACTIFS INC.	1850	> Portfolio Manager
BMO ASSET MANAGEMENT INC./BMO GESTION D'ACTIFS INC.	1850	> Exempt Market Dealer
BMO INVESTMENTS INC./BMO INVESTISSEMENTS INC.	550	> Investment Fund Manager
BMO INVESTMENTS INC./BMO INVESTISSEMENTS INC.	550	> Mutual Fund Dealer
BMO INVESTORLINE INC./BMO LIGNE D'ACTION INC.	250	> Investment Dealer
BMO NESBITT BURNS INC.	2580	> Investment Fund Manager
BMO NESBITT BURNS INC.	2580	> Futures Commission Merchant
BMO NESBITT BURNS INC.	2580	> Investment Dealer
BMO PRIVATE INVESTMENT COUNSEL INC./BMO GESTION PRIVEE DE PLACEMENTS INC.	1810	> Commodity Trading Counsel
BMO PRIVATE INVESTMENT COUNSEL INC./BMO GESTION PRIVEE DE PLACEMENTS INC.	1810	> Commodity Trading Manager
BMO PRIVATE INVESTMENT COUNSEL INC./BMO GESTION PRIVEE DE PLACEMENTS INC.	1810	> Portfolio Manager
BMO PRIVATE INVESTMENT COUNSEL INC./BMO GESTION PRIVEE DE PLACEMENTS INC.	1810	> Exempt Market Dealer
BMO PRIVATE INVESTMENT COUNSEL INC./BMO GESTION PRIVEE DE PLACEMENTS INC.	1810	> Investment Fund Manager
BNP PARIBAS (CANADA) VALEURS MOBILIERES INC./BNP PARIBAS (CANADA) SECURITIES INC.	23310	> Investment Dealer
BNY MELLON ASSET MANAGEMENT CANADA LTD.	6140	> Commodity Trading Manager
BNY MELLON ASSET MANAGEMENT CANADA LTD.	6140	> Investment Fund Manager
BNY MELLON ASSET MANAGEMENT CANADA LTD.	6140	> Portfolio Manager
BNY MELLON ASSET MANAGEMENT CANADA LTD.	6140	> Exempt Market Dealer
BOLTON CAPITAL CANADA INC.	46550	> Exempt Market Dealer
BOLTON CAPITAL CANADA INC.	46550	> Commodity Trading Manager
BOLTON CAPITAL CANADA INC.	46550	> Investment Fund Manager
BOLTON CAPITAL CANADA INC.	46550	> Portfolio Manager
BOMBARDIER GLOBAL PENSION ASSET MANAGEMENT INC./BOMBARDIER GESTION MONDIALE D'ACTIFS RETRAITE INC.	70170	> Investment Fund Manager
BOMBARDIER GLOBAL PENSION ASSET MANAGEMENT INC./BOMBARDIER GESTION MONDIALE D'ACTIFS RETRAITE INC.	70170	> Portfolio Manager
BONNEFIELD FINANCIAL INC.	59950	> Exempt Market Dealer
BOREALIS GESTION D'ACTIFS MONDIALE INC./BOREALIS GLOBAL ASSET MANAGEMENT INC.	68140	> Portfolio Manager
BOWMONT CAPITAL AND ADVISORY LTD.	34800	> Exempt Market Dealer
BRANDES INVESTMENT PARTNERS & CO.	7570	> Investment Fund Manager
BRANDES INVESTMENT PARTNERS & CO.	7570	> Portfolio Manager
BRANDES INVESTMENT PARTNERS & CO.	7570	> Exempt Market Dealer

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BRANDYWINE GLOBAL INVESTMENT MANAGEMENT (CANADA), ULC	6360	> Commodity Trading Manager
BRANT SECURITIES LIMITED	300	> Investment Dealer
BRIDGEPORT ASSET MANAGEMENT INC.	25060	> Exempt Market Dealer
BRIDGEPORT ASSET MANAGEMENT INC.	25060	> Investment Fund Manager
BRIDGEPORT ASSET MANAGEMENT INC.	25060	> Portfolio Manager
BRIDGEWATER ASSOCIATES, LP	21400	> Commodity Trading Manager
BRIDGEWATER ASSOCIATES, LP	21400	> Portfolio Manager
BRIDGING FINANCE INC.	44620	> Investment Fund Manager
BRIDGING FINANCE INC.	44620	> Exempt Market Dealer
BRIDGING FINANCE INC.	44620	> Restricted Portfolio Manager
BRIGHTSPARK FINANCIAL INC.	65240	> Exempt Market Dealer
BRILLIANT PHOENIX CAPITAL MANAGEMENT INC.	58800	> Exempt Market Dealer
BRINTAB CORP.	67040	> Portfolio Manager
BRISTOL GATE CAPITAL PARTNERS INC.	23210	> Investment Fund Manager
BRISTOL GATE CAPITAL PARTNERS INC.	23210	> Portfolio Manager
BRISTOL GATE CAPITAL PARTNERS INC.	23210	> Exempt Market Dealer
BRIX RCR INC.	42230	> Exempt Market Dealer
BRODERICK CAPITAL CORP.	64850	> Exempt Market Dealer
BROMMA ASSET MANAGEMENT INC.	56680	> Exempt Market Dealer
BROMMA ASSET MANAGEMENT INC.	56680	> Investment Fund Manager
BROMMA ASSET MANAGEMENT INC.	56680	> Portfolio Manager
BROMPTON FUNDS LIMITED	37530	> Investment Fund Manager
BROMPTON FUNDS LIMITED	37530	> Portfolio Manager
BROMPTON FUNDS LIMITED	37530	> Exempt Market Dealer
BROMPTON FUNDS LIMITED	37530	> Commodity Trading Manager
BROOK CAPITAL CORPORATION	4790	> Exempt Market Dealer
BROOKFIELD INVESTMENT MANAGEMENT (CANADA) INC.	22390	> Portfolio Manager
BROOKFIELD INVESTMENT MANAGEMENT (CANADA) INC.	22390	> Exempt Market Dealer
BROOKFIELD PUBLIC SECURITIES GROUP LLC	21490	> Investment Fund Manager
BROOKFIELD PUBLIC SECURITIES GROUP LLC	21490	> Commodity Trading Manager
BROOKFIELD PUBLIC SECURITIES GROUP LLC	21490	> Portfolio Manager
BROOKVEST CAPITAL CORPORATION	40310	> Exempt Market Dealer
BSM CAPITAL CORPORATION	27360	> Exempt Market Dealer
BT CROISSANCE GLOBALE / BT GLOBAL GROWTH INC.	34190	> Portfolio Manager
BT CROISSANCE GLOBALE / BT GLOBAL GROWTH INC.	34190	> Exempt Market Dealer
BT CROISSANCE GLOBALE / BT GLOBAL GROWTH INC.	34190	> Investment Fund Manager
BUILDERS CAPITAL MANAGEMENT CORP.	36850	> Exempt Market Dealer

## List of Ontario Registrants as of September 16, 2021

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
BULL CAPITAL MANAGEMENT INC./ GESTION DE CAPITAUX BULL INC	24930	> Investment Fund Manager
BULL CAPITAL MANAGEMENT INC./ GESTION DE CAPITAUX BULL INC	24930	> Portfolio Manager
BULL CAPITAL MANAGEMENT INC./ GESTION DE CAPITAUX BULL INC	24930	> Exempt Market Dealer
BURGESS INVESTMENT MANAGEMENT AND RESEARCH INC.	61400	> Portfolio Manager
BURGUNDY ASSET MANAGEMENT LTD./GESTION D'ACTIFS BURGUNDY LTEE	360	> Investment Fund Manager
BURGUNDY ASSET MANAGEMENT LTD./GESTION D'ACTIFS BURGUNDY LTEE	360	> Portfolio Manager
BURKETT ASSET MANAGEMENT LIMITED	50550	> Portfolio Manager
BUSH ASSOCIES LTEE / BUSH ASSOCIATES LTD	19180	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
C.S.T. ASSET MANAGEMENT INC.	67860	> Portfolio Manager
C.S.T. CONSULTANTS INC./CONSULTANTS C.S.T. INC.	790	> Investment Fund Manager
C.S.T. CONSULTANTS INC./CONSULTANTS C.S.T. INC.	790	> Scholarship Plan Dealer
C.S.T. SPARK INC.	59940	> Scholarship Plan Dealer
C.S.T. SPARK INC.	59940	> Investment Fund Manager
CADO INVESTMENT FUND MANAGEMENT INC.	34050	> Investment Fund Manager
CADOGAN PARK ADVISORS INC.	60840	> Portfolio Manager
CALDOUN CAPITAL INC.	46340	> Investment Fund Manager
CALDOUN CAPITAL INC.	46340	> Portfolio Manager
CALDOUN CAPITAL INC.	46340	> Exempt Market Dealer
CALDWELL INVESTMENT MANAGEMENT LTD.	6930	> Investment Fund Manager
CALDWELL INVESTMENT MANAGEMENT LTD.	6930	> Portfolio Manager
CALDWELL SECURITIES LTD.	750	> Investment Dealer
CALROSSIE INVESTMENT MANAGEMENT INC.	25680	> Investment Fund Manager
CALROSSIE INVESTMENT MANAGEMENT INC.	25680	> Portfolio Manager
CALROSSIE INVESTMENT MANAGEMENT INC.	25680	> Exempt Market Dealer
CALVERT HOME MORTGAGE INVESTMENT CORPORATION	33520	> Exempt Market Dealer
CAMBRIDGE ASSOCIATES LIMITED, LLC	48660	> Investment Fund Manager
CAMBRIDGE ASSOCIATES LIMITED, LLC	48660	> Portfolio Manager
CAMBRIDGE ASSOCIATES LIMITED, LLC	48660	> Exempt Market Dealer
CAMBRIDGE CAPITAL MANAGEMENT CORPORATION	64410	> Exempt Market Dealer
CAMERON STEPHENS SECURITIES LTD.	43180	> Exempt Market Dealer
CAMPBELL, LEE & ROSS INVESTMENT MANAGEMENT INC.	10320	> Portfolio Manager
CANACCORD ASSET MANAGEMENT INC./CANACCORD GESTION D'ACTIFS INC.	25790	> Exempt Market Dealer
CANACCORD GENUITY CORP./CORPORATION CANACCORD GENUITY	900	> Futures Commission Merchant
CANACCORD GENUITY CORP./CORPORATION CANACCORD GENUITY	900	> Investment Dealer
CANADA LIFE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS CANADA VIE LTEE	69730	> Commodity Trading Manager
CANADA LIFE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS CANADA VIE LTEE	69730	> Investment Fund Manager
CANADA LIFE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS CANADA VIE LTEE	69730	> Portfolio Manager
CANADA LIFE SECURITIES LTD.	52220	> Investment Dealer
CANADA OVERSEAS ASSET MANAGEMENT LIMITED	60670	> Portfolio Manager
CANADA-ISRAEL SECURITIES, LIMITED/CANADA-ISRAEL VALEURS MOBILIERES LIMITEE	5160	> Exempt Market Dealer
CANADIAN SHAREOWNER INVESTMENTS INC. / INVESTISSEMENTS ACTIONNAIRES CANADIENS INC.	9180	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CANADIAN SHAREOWNER INVESTMENTS INC. / INVESTISSEMENTS ACTIONNAIRES CANADIENS INC.	9180	> Investment Dealer
CANADIAN WESTERN FINANCIAL LTD.	13960	> Mutual Fund Dealer
CANCITY CAPITAL INC.	42080	> Portfolio Manager
CANCITY CAPITAL INC.	42080	> Exempt Market Dealer
CANCITY CAPITAL INC.	42080	> Investment Fund Manager
CANDEAL MARKETS INC.	11860	> Investment Dealer
CANDOR FINANCIAL GROUP INC.	6650	> Mutual Fund Dealer
CANFIN MAGELLAN INVESTMENTS INC.	6870	> Exempt Market Dealer
CANFIN MAGELLAN INVESTMENTS INC.	6870	> Mutual Fund Dealer
CANOE FINANCIAL LP	32950	> Investment Fund Manager
CANOE FINANCIAL LP	32950	> Portfolio Manager
CANOE FINANCIAL LP	32950	> Exempt Market Dealer
CANSO FUND MANAGEMENT LTD.	34570	> Investment Fund Manager
CANSO INVESTMENT COUNSEL LTD.	7190	> Portfolio Manager
CANSO INVESTMENT COUNSEL LTD.	7190	> Exempt Market Dealer
CANTOR FITZGERALD CANADA CORPORATION	24390	> Investment Dealer
CAPITAL CANADA LIMITED	580	> Exempt Market Dealer
CAPITAL DIRECT FINANCIAL LTD.	64510	> Exempt Market Dealer
CAPITAL INTERNATIONAL ASSET MANAGEMENT (CANADA),INC.	10500	> Investment Fund Manager
CAPITAL INTERNATIONAL ASSET MANAGEMENT (CANADA),INC.	10500	> Portfolio Manager
CAPITAL INTERNATIONAL ASSET MANAGEMENT (CANADA),INC.	10500	> Exempt Market Dealer
CAPSTONE ASSET MANAGEMENT INC.	16770	> Investment Fund Manager
CAPSTONE ASSET MANAGEMENT INC.	16770	> Exempt Market Dealer
CAPSTONE ASSET MANAGEMENT INC.	16770	> Portfolio Manager
CARBON INFRASTRUCTURE PARTNERS CORP.	40840	> Investment Fund Manager
CARBON INFRASTRUCTURE PARTNERS CORP.	40840	> Exempt Market Dealer
CARDINAL CAPITAL MANAGEMENT INC.	12920	> Exempt Market Dealer
CARDINAL CAPITAL MANAGEMENT INC.	12920	> Investment Fund Manager
CARDINAL CAPITAL MANAGEMENT INC.	12920	> Portfolio Manager
CARDINAL POINT CAPITAL MANAGEMENT INC.	14810	> Portfolio Manager
CARTE WEALTH MANAGEMENT INC.	24540	> Exempt Market Dealer
CARTE WEALTH MANAGEMENT INC.	24540	> Mutual Fund Dealer
CASGRAIN & COMPAGNIE LIMITEE / CASGRAIN & COMPANY LIMITED	990	> Investment Dealer
CASSELS INVESTMENT MANAGEMENT INC.	9500	> Portfolio Manager
CASSIDY ASSET MANAGEMENT INC.	62280	> Portfolio Manager
CASSIDY ASSET MANAGEMENT INC.	62280	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CASTLE RIDGE ASSET MANAGEMENT LIMITED	52910	> Investment Fund Manager
CASTLE RIDGE ASSET MANAGEMENT LIMITED	52910	> Exempt Market Dealer
CASTLE RIDGE ASSET MANAGEMENT LIMITED	52910	> Portfolio Manager
CASTLEBAY WEALTH MANAGEMENT INC.	54260	> Portfolio Manager
CASTLEFIELD ASSOCIATES INC.	68650	> Commodity Trading Manager
CASTLEMOORE INC.	20640	> Portfolio Manager
CAXTON (CANADA) LTD.	59910	> Commodity Trading Manager
CAXTON (CANADA) LTD.	59910	> Portfolio Manager
CBRE CALEDON CAPITAL MANAGEMENT INC.	29280	> Exempt Market Dealer
CBRE CALEDON CAPITAL MANAGEMENT INC.	29280	> Portfolio Manager
CCC SECURITIES INC.	8370	> Exempt Market Dealer
CELERNUS INVESTMENT PARTNERS INC.	38730	> Investment Fund Manager
CELERNUS INVESTMENT PARTNERS INC.	38730	> Portfolio Manager
CENTURION ASSET MANAGEMENT INC.	32750	> Restricted Portfolio Manager
CENTURION ASSET MANAGEMENT INC.	32750	> Investment Fund Manager
CENTURION ASSET MANAGEMENT INC.	32750	> Exempt Market Dealer
CEPHEI CAPITAL MANAGEMENT (HONG KONG) LIMITED	45090	> Restricted Portfolio Manager
CERTUS WEALTH MANAGEMENT INC.	7940	> Portfolio Manager
CFI LEASING LIMITED	4780	> Exempt Market Dealer
CHEVERNY CAPITAL INC.	54890	> Exempt Market Dealer
CHIEFSWOOD INVESTMENT MANAGEMENT INC.	11180	> Portfolio Manager
CHILDREN'S EDUCATION FUNDS INC./FONDS D'ETUDES POUR LES ENFANTS INC.	1180	> Investment Fund Manager
CHILDREN'S EDUCATION FUNDS INC./FONDS D'ETUDES POUR LES ENFANTS INC.	1180	> Scholarship Plan Dealer
CHOU ASSOCIATES MANAGEMENT INC.	600	> Investment Fund Manager
CHOU ASSOCIATES MANAGEMENT INC.	600	> Portfolio Manager
CHOU ASSOCIATES MANAGEMENT INC.	600	> Exempt Market Dealer
CHRISTOPHER ROSS CUNNINGHAM INVESTMENTS LTD.	58830	> Exempt Market Dealer
CHRISTOPHER ROSS CUNNINGHAM INVESTMENTS LTD.	58830	> Investment Fund Manager
CHRISTOPHER ROSS CUNNINGHAM INVESTMENTS LTD.	58830	> Portfolio Manager
CHRONICLE INVESTMENTS LTD.	59810	> Investment Fund Manager
CHRONICLE INVESTMENTS LTD.	59810	> Exempt Market Dealer
CHRONICLE INVESTMENTS LTD.	59810	> Portfolio Manager
CI INVESTMENT SERVICES INC. / CI SERVICES D'INVESTISSEMENT INC.	27620	> Investment Dealer
CI INVESTMENTS INC.	28980	> Investment Fund Manager
CI INVESTMENTS INC.	28980	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CI INVESTMENTS INC.	28980	> Commodity Trading Manager
CI INVESTMENTS INC.	28980	> Commodity Trading Counsel
CI INVESTMENTS INC.	28980	> Portfolio Manager
CI PRIVATE COUNSEL LP	21800	> Portfolio Manager
CI PRIVATE COUNSEL LP	21800	> Exempt Market Dealer
CIBC ASSET MANAGEMENT INC./GESTION D'ACTIFS CIBC INC.	3660	> Investment Fund Manager
CIBC ASSET MANAGEMENT INC./GESTION D'ACTIFS CIBC INC.	3660	> Commodity Trading Manager
CIBC ASSET MANAGEMENT INC./GESTION D'ACTIFS CIBC INC.	3660	> Portfolio Manager
CIBC INVESTOR SERVICES INC./ SERVICES INVESTISSEURS CIBC INC.	5380	> Investment Dealer
CIBC SECURITIES INC./PLACEMENTS CIBC INC.	11100	> Mutual Fund Dealer
CIBC WORLD MARKETS INC./MARCHES MONDIAUX CIBC INC.	3850	> Futures Commission Merchant
CIBC WORLD MARKETS INC./MARCHES MONDIAUX CIBC INC.	3850	> Investment Dealer
CIDEL ASSET MANAGEMENT INC.	3690	> Investment Fund Manager
CIDEL ASSET MANAGEMENT INC.	3690	> Commodity Trading Manager
CIDEL ASSET MANAGEMENT INC.	3690	> Portfolio Manager
CIDEL ASSET MANAGEMENT INC.	3690	> Exempt Market Dealer
CINAPORT CAPITAL INC.	31900	> Investment Fund Manager
CINAPORT CAPITAL INC.	31900	> Portfolio Manager
CINAPORT CAPITAL INC.	31900	> Exempt Market Dealer
CITADEL SECURITIES CANADA ULC	49280	> Futures Commission Merchant
CITADEL SECURITIES CANADA ULC	49280	> Investment Dealer
CITCO SECURITIES INC.	41230	> Exempt Market Dealer
CITIBANK CANADA INVESTMENT FUNDS LIMITED / FONDS D'INVESTISSEMENT DE CITIBANQUE CANADA	4920	> Mutual Fund Dealer
CITIBANK CANADA INVESTMENT FUNDS LIMITED / FONDS D'INVESTISSEMENT DE CITIBANQUE CANADA	4920	> Portfolio Manager
CITIBANK CANADA INVESTMENT FUNDS LIMITED / FONDS D'INVESTISSEMENT DE CITIBANQUE CANADA	4920	> Exempt Market Dealer
CITIGROUP GLOBAL MARKETS CANADA INC. / MARCHES MONDIAUX CITIGROUP CANADA INC.	3360	> Investment Dealer
CLARESTTE WEALTH MANAGEMENT INC.	16890	> Portfolio Manager
CLARESTTE WEALTH MANAGEMENT INC.	16890	> Exempt Market Dealer
CLARESTTE WEALTH MANAGEMENT INC.	16890	> Investment Fund Manager
CLARITI CAPITAL MARKETS INC.	66350	> Exempt Market Dealer
CLARUS SECURITIES INC / VALEURS MOBILIERES CLARUS INC.	13160	> Investment Dealer
CLEARWATER CAPITAL MANAGEMENT INC.	8880	> Portfolio Manager
CLIFTON BLAKE SECURITIES LTD.	66010	> Exempt Market Dealer
CLIMATE CHANGE INFRASTRUCTURE MANAGEMENT INC.	38960	> Exempt Market Dealer



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CMC MARKETS CANADA INC./ MARCHES CMC CANADA	12570	> Investment Dealer
CMLS ASSET MANAGEMENT LTD	55080	> Restricted Portfolio Manager
CMLS ASSET MANAGEMENT LTD	55080	> Investment Fund Manager
CMLS ASSET MANAGEMENT LTD	55080	> Exempt Market Dealer
COERENTE CAPITAL MANAGEMENT INC./GESTION CAPITAL COERENTE INC.	41970	> Portfolio Manager
COIN CAPITAL INVESTMENT MANAGEMENT INC.	61560	> Investment Fund Manager
COIN CAPITAL INVESTMENT MANAGEMENT INC.	61560	> Portfolio Manager
COIN CAPITAL INVESTMENT MANAGEMENT INC.	61560	> Exempt Market Dealer
COINBERRY LIMITED	64300	> Restricted Dealer
COLEFORD INVESTMENT MANAGEMENT LTD.	730	> Investment Fund Manager
COLEFORD INVESTMENT MANAGEMENT LTD.	730	> Portfolio Manager
COLLINS BARROW SNT CORPORATE FINANCE INC.	54080	> Exempt Market Dealer
COLUMBUS POINT LLP	67610	> Portfolio Manager
COMMONFUND ASSET MANAGEMENT COMPANY, INC.	9460	> Portfolio Manager
COMMUNITY FORWARD FUND ASSISTANCE CORP. / FONDS DE PROGRES COMMUNAUTAIRE SOCIETE DE GESTION	38670	> Exempt Market Dealer
COMMUNITY FORWARD FUND ASSISTANCE CORP. / FONDS DE PROGRES COMMUNAUTAIRE SOCIETE DE GESTION	38670	> Investment Fund Manager
COMMUNITY FORWARD FUND ASSISTANCE CORP. / FONDS DE PROGRES COMMUNAUTAIRE SOCIETE DE GESTION	38670	> Restricted Portfolio Manager
COMPASS PRIVATE WEALTH INC.	67020	> Portfolio Manager
CONDOR ASSET MANAGEMENT INC.	29990	> Portfolio Manager
CONDOR ASSET MANAGEMENT INC.	29990	> Exempt Market Dealer
CONNING INVESTMENT PRODUCTS, INC.	48850	> Portfolio Manager
CONNOR, CLARK & LUNN (CANADA) LTD.	21660	> Investment Fund Manager
CONNOR, CLARK & LUNN (CANADA) LTD.	21660	> Portfolio Manager
CONNOR, CLARK & LUNN FUNDS INC.	33960	> Investment Fund Manager
CONNOR, CLARK & LUNN FUNDS INC.	33960	> Exempt Market Dealer
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS CONNOR, CLARK & LUNN	640	> Investment Fund Manager
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS CONNOR, CLARK & LUNN	640	> Commodity Trading Manager
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS CONNOR, CLARK & LUNN	640	> Portfolio Manager
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS CONNOR, CLARK & LUNN	640	> Exempt Market Dealer
CONNOR, CLARK & LUNN PRIVATE CAPITAL LTD.	14660	> Exempt Market Dealer
CONNOR, CLARK & LUNN PRIVATE CAPITAL LTD.	14660	> Investment Fund Manager
CONNOR, CLARK & LUNN PRIVATE CAPITAL LTD.	14660	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	> Commodity Trading Counsel
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	> Commodity Trading Manager
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	> Portfolio Manager
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	> Exempt Market Dealer
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	> Investment Fund Manager
CONSEILLERS EN VALEURS VISAVIS INC. / VISAVIS INVESTMENT COUNSEL INC.	19410	> Portfolio Manager
CONSEILLERS GALLIANT S.E.C. / GALLIANT ADVISORS LP	34090	> Portfolio Manager
CONSEILLERS GALLIANT S.E.C. / GALLIANT ADVISORS LP	34090	> Exempt Market Dealer
CONSEILLERS GALLIANT S.E.C. / GALLIANT ADVISORS LP	34090	> Investment Fund Manager
CONVERGENCE BLENDED FINANCE, INC.	55230	> Restricted Dealer
CONVERIUM CAPITAL INC.	69170	> Investment Fund Manager
CONVERIUM CAPITAL INC.	69170	> Exempt Market Dealer
CO-OPERATORS FINANCIAL INVESTMENT SERVICES INC./SERVICES D'INVESTISSEMENT FINANCIER CO-OPERATORS INC.	66270	> Mutual Fund Dealer
COPOWER INC.	56100	> Exempt Market Dealer
CORDIANT CAPITAL INC.	9220	> Investment Fund Manager
CORDIANT CAPITAL INC.	9220	> Portfolio Manager
CORDIANT CAPITAL INC.	9220	> Exempt Market Dealer
CORIEL CAPITAL INC.	25910	> Portfolio Manager
CORMARK SECURITIES INC. / VALEURS MOBILIERES CORMARK INC.	10090	> Investment Dealer
CORNERSTONE INVESTMENT COUNSEL LTD.	18820	> Portfolio Manager
CORNERSTONE INVESTMENT COUNSEL LTD.	18820	> Investment Fund Manager
CORPORATION FIERA CAPITAL / FIERA CAPITAL CORPORATION	3220	> Commodity Trading Manager
CORPORATION FIERA CAPITAL / FIERA CAPITAL CORPORATION	3220	> Investment Fund Manager
CORPORATION FIERA CAPITAL / FIERA CAPITAL CORPORATION	3220	> Portfolio Manager
CORPORATION FIERA CAPITAL / FIERA CAPITAL CORPORATION	3220	> Exempt Market Dealer
CORPORATION GESTION DE PLACEMENTS CLARET / CLARET ASSET MANAGEMENT CORPORATION	8130	> Commodity Trading Manager
CORPORATION GESTION DE PLACEMENTS CLARET / CLARET ASSET MANAGEMENT CORPORATION	8130	> Investment Fund Manager
CORPORATION GESTION DE PLACEMENTS CLARET / CLARET ASSET MANAGEMENT CORPORATION	8130	> Portfolio Manager
CORTLAND CREDIT GROUP INC.	44470	> Exempt Market Dealer
CORTLAND CREDIT GROUP INC.	44470	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CORTLAND CREDIT GROUP INC.	44470	> Portfolio Manager
CORTON CAPITAL INC.	63680	> Exempt Market Dealer
CORTON CAPITAL INC.	63680	> Investment Fund Manager
CORTON CAPITAL INC.	63680	> Portfolio Manager
COTE 100 INC./QUOTE 100 INC.	19220	> Portfolio Manager
COTE 100 INC./QUOTE 100 INC.	19220	> Investment Fund Manager
COUGAR GLOBAL INVESTMENTS LIMITED	42810	> Portfolio Manager
COUNSEL PORTFOLIO SERVICES INC./SERVICES DE PORTEFEUILLE COUNSEL INC.	13240	> Commodity Trading Manager
COUNSEL PORTFOLIO SERVICES INC./SERVICES DE PORTEFEUILLE COUNSEL INC.	13240	> Investment Fund Manager
COUNSEL PORTFOLIO SERVICES INC./SERVICES DE PORTEFEUILLE COUNSEL INC.	13240	> Portfolio Manager
COVENANT SECURITIES CORP.	59790	> Restricted Dealer
COVINGTON CAPITAL CORPORATION	5120	> Investment Fund Manager
COVINGTON CAPITAL CORPORATION	5120	> Portfolio Manager
COVINGTON CAPITAL CORPORATION	5120	> Exempt Market Dealer
COVISTA CAPITAL CORP.	50300	> Investment Fund Manager
COVISTA CAPITAL CORP.	50300	> Portfolio Manager
COVISTA CAPITAL CORP.	50300	> Exempt Market Dealer
CQI CAPITAL MANAGEMENT L.P.	26370	> Commodity Trading Manager
CQI CAPITAL MANAGEMENT L.P.	26370	> Investment Fund Manager
CQI CAPITAL MANAGEMENT L.P.	26370	> Portfolio Manager
CQI CAPITAL MANAGEMENT L.P.	26370	> Exempt Market Dealer
CRANSON CAPITAL SECURITIES INC.	38430	> Exempt Market Dealer
CREATION WEALTH CAPITAL INC.	42740	> Investment Dealer
CREDENTIAL ASSET MANAGEMENT INC.	1260	> Mutual Fund Dealer
CREDENTIAL QTRADE SECURITIES INC./VALEURS MOBILIERES CREDENTIAL QTRADE INC.	6190	> Investment Dealer
CREDIT SUISSE SECURITIES (CANADA), INC./VALEURS MOBILIERES CREDIT SUISSE (CANADA), INC.	1350	> Investment Dealer
CRIMSON ASSET MANAGEMENT LTD.	60240	> Exempt Market Dealer
CRIMSON ASSET MANAGEMENT LTD.	60240	> Investment Fund Manager
CRIMSON ASSET MANAGEMENT LTD.	60240	> Portfolio Manager
CRIMSON CAPITAL INC.	37550	> Portfolio Manager
CRIMSON CAPITAL INC.	37550	> Exempt Market Dealer
CROSBIE & COMPANY INC.	11920	> Exempt Market Dealer
CROWDMATRIX INC.	51340	> Exempt Market Dealer
CROWN PRIVATE CREDIT PARTNERS INC./ PARTENAIRES DE CREDIT PRIVE CROWN	72200	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
CROWN PRIVATE CREDIT PARTNERS INC./ PARTENAIRES DE CREDIT PRIVE CROWN	72200	> Portfolio Manager
CROWN PRIVATE CREDIT PARTNERS INC./ PARTENAIRES DE CREDIT PRIVE CROWN	72200	> Exempt Market Dealer
CRUSADER ASSET MANAGEMENT INC.	40790	> Commodity Trading Manager
CRUSADER ASSET MANAGEMENT INC.	40790	> Portfolio Manager
CTI CAPITAL VALEURS MOBILIERES INC. / CTI CAPITAL SECURITIES INC.	25640	> Investment Dealer
CUMBERLAND INVESTMENT COUNSEL INC.	3890	> Portfolio Manager
CUMBERLAND PRIVATE WEALTH MANAGEMENT INC./ CUMBERLAND, GESTION DE PATRIMOINE	7200	> Investment Fund Manager
CUMBERLAND PRIVATE WEALTH MANAGEMENT INC./ CUMBERLAND, GESTION DE PATRIMOINE	7200	> Investment Dealer
CWB MCLEAN & PARTNERS WEALTH MANAGEMENT LTD.	8680	> Investment Fund Manager
CWB MCLEAN & PARTNERS WEALTH MANAGEMENT LTD.	8680	> Investment Dealer
CWB WEALTH MANAGEMENT LTD. / CWB GESTION DE PATRIMOINE LTEE	53940	> Investment Fund Manager
CWB WEALTH MANAGEMENT LTD. / CWB GESTION DE PATRIMOINE LTEE	53940	> Portfolio Manager
CWB WEALTH MANAGEMENT LTD. / CWB GESTION DE PATRIMOINE LTEE	53940	> Exempt Market Dealer
CYPRESS CAPITAL MANAGEMENT LTD.	8990	> Investment Fund Manager
CYPRESS CAPITAL MANAGEMENT LTD.	8990	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
D & A LABRECQUE CAPITAL INC	32010	> Exempt Market Dealer
D.W.GOOD INVESTMENT COMPANY LIMITED	14140	> Mutual Fund Dealer
DAVINCI CAPITAL PARTNERS INC.	18920	> Investment Fund Manager
DAVINCI CAPITAL PARTNERS INC.	18920	> Portfolio Manager
DAVINCI CAPITAL PARTNERS INC.	18920	> Exempt Market Dealer
DAVIS-REA LTD./DAVIS-REA LTEE.	17810	> Investment Fund Manager
DAVIS-REA LTD./DAVIS-REA LTEE.	17810	> Portfolio Manager
DAVIS-REA LTD./DAVIS-REA LTEE.	17810	> Exempt Market Dealer
DE LUCA VEALE INVESTMENT COUNSEL INC.	22090	> Portfolio Manager
DE LUCA VEALE INVESTMENT COUNSEL INC.	22090	> Exempt Market Dealer
DE THOMAS WEALTH MANAGEMENT CORP.	1050	> Exempt Market Dealer
DE THOMAS WEALTH MANAGEMENT CORP.	1050	> Mutual Fund Dealer
DEALFLOW SOLUTIONS LTD.	60720	> Restricted Dealer
DEANS KNIGHT CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAL DEANS KNIGHT LTEE	4300	> Investment Fund Manager
DEANS KNIGHT CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAL DEANS KNIGHT LTEE	4300	> Portfolio Manager
DEANS KNIGHT CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAL DEANS KNIGHT LTEE	4300	> Exempt Market Dealer
DEETKEN ASSET MANAGEMENT INC.	44790	> Investment Fund Manager
DEETKEN ASSET MANAGEMENT INC.	44790	> Exempt Market Dealer
DELANEY CAPITAL MANAGEMENT LTD.	1090	> Exempt Market Dealer
DELANEY CAPITAL MANAGEMENT LTD.	1090	> Investment Fund Manager
DELANEY CAPITAL MANAGEMENT LTD.	1090	> Portfolio Manager
DELANO CAPITAL CORP.	28130	> Exempt Market Dealer
DELBROOK CAPITAL ADVISORS INC.	32070	> Portfolio Manager
DELBROOK CAPITAL ADVISORS INC.	32070	> Exempt Market Dealer
DELBROOK CAPITAL ADVISORS INC.	32070	> Investment Fund Manager
DELOITTE CORPORATE FINANCE INC. / FINANCEMENT CORPORATIF DELOITTE INC.	8690	> Exempt Market Dealer
DELPHINA ASSET MANAGEMENT INC.	17570	> Portfolio Manager
DESAUTELS CAPITAL MANAGEMENT INC./GESTION DE CAPITAUX DESAUTELS INC.	27840	> Investment Fund Manager
DESAUTELS CAPITAL MANAGEMENT INC./GESTION DE CAPITAUX DESAUTELS INC.	27840	> Exempt Market Dealer
DESIGNED SECURITIES LTD.	70760	> Investment Dealer
DESJARDINS CABINET DE SERVICES FINANCIERS INC./DESJARDINS FINANCIAL SERVICES FIRM INC.	4210	> Mutual Fund Dealer
DESJARDINS GESTION INTERNATIONALE D'ACTIFS INC./DESJARDINS GLOBAL ASSET MANAGEMENT INC.	17990	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
DESJARDINS GESTION INTERNATIONALE D'ACTIFS INC./DESJARDINS GLOBAL ASSET MANAGEMENT INC.	17990	> Commodity Trading Manager
DESJARDINS GESTION INTERNATIONALE D'ACTIFS INC./DESJARDINS GLOBAL ASSET MANAGEMENT INC.	17990	> Portfolio Manager
DESJARDINS GESTION INTERNATIONALE D'ACTIFS INC./DESJARDINS GLOBAL ASSET MANAGEMENT INC.	17990	> Exempt Market Dealer
DESJARDINS SECURITE FINANCIERE INVESTISSEMENTS INC./DESJARDINS FINANCIAL SECURITY INVESTMENTS INC.	23430	> Mutual Fund Dealer
DESJARDINS SECURITIES INC./VALEURS MOBILIERES DESJARDINS INC.	1030	> Futures Commission Merchant
DESJARDINS SECURITIES INC./VALEURS MOBILIERES DESJARDINS INC.	1030	> Investment Dealer
DESJARDINS SOCIETE DE PLACEMENT INC. / DESJARDINS INVESTMENTS INC.	38320	> Investment Fund Manager
DEUTSCHE BANK SECURITIES LIMITED/DEUTSCHE BANK VALEURS MOBILIERES LIMITEE	2180	> Investment Dealer
DEVON CAPITAL INC.	58760	> Exempt Market Dealer
DGW CAPITAL CORP.	57690	> Exempt Market Dealer
DICEMARK CAPITAL MARKETS INC.	46700	> Exempt Market Dealer
DIGIMAX CAPITAL CORP.	63580	> Exempt Market Dealer
DIMENSIONAL FUND ADVISORS CANADA ULC	16190	> Investment Fund Manager
DIMENSIONAL FUND ADVISORS CANADA ULC	16190	> Portfolio Manager
DIMENSIONAL FUND ADVISORS CANADA ULC	16190	> Exempt Market Dealer
DIVERSIFI ALTERNATIVE INVESTMENTS LTD.	41180	> Exempt Market Dealer
DIVERSIFIED GLOBAL ASSET MANAGEMENT CORPORATION	22460	> Exempt Market Dealer
DIXON MITCHELL INVESTMENT COUNSEL INC.	14440	> Investment Fund Manager
DIXON MITCHELL INVESTMENT COUNSEL INC.	14440	> Exempt Market Dealer
DIXON MITCHELL INVESTMENT COUNSEL INC.	14440	> Portfolio Manager
DMAT CAPITAL MANAGEMENT INC.	68540	> Commodity Trading Manager
DMAT CAPITAL MANAGEMENT INC.	68540	> Portfolio Manager
DOHENY SECURITIES LIMITED	13950	> Mutual Fund Dealer
DOHERTY & ASSOCIATES LTD.	1010	> Portfolio Manager
DOHERTY & ASSOCIATES LTD.	1010	> Exempt Market Dealer
DONRO FINANCIAL LTD.	7130	> Mutual Fund Dealer
DONVILLE KENT ASSET MANAGEMENT INC.	26430	> Investment Fund Manager
DONVILLE KENT ASSET MANAGEMENT INC.	26430	> Portfolio Manager
DONVILLE KENT ASSET MANAGEMENT INC.	26430	> Exempt Market Dealer
DORCHESTER WEALTH MANAGEMENT COMPANY	51260	> Portfolio Manager
DOWNING STREET FINANCIAL INC.	63300	> Exempt Market Dealer
DOYENNE FINANCIAL LTD.	66560	> Portfolio Manager
DPS CAPITAL INC.	53610	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
DPS CAPITAL INC.	53610	> Portfolio Manager
DPS CAPITAL INC.	53610	> Exempt Market Dealer
DRADIS CAPITAL MANAGEMENT LIMITED	35950	> Exempt Market Dealer
DRADIS CAPITAL MANAGEMENT LIMITED	35950	> Investment Fund Manager
DRADIS CAPITAL MANAGEMENT LIMITED	35950	> Portfolio Manager
DRAKE FINANCIAL LTD.	64780	> Exempt Market Dealer
DUBEAU CAPITAL & CIE LTEE/DUBEAU CAPITAL & CO. LTD	19280	> Investment Dealer
DUFF & PHELPS SECURITIES CANADA LIMITED/VALEURS MOBILIERES DUFF & PHELPS CANADA LIMITEE	21470	> Exempt Market Dealer
DUNCAN ROSS ASSOCIATES LTD. / DUNCAN ROSS ASSOCIES LTEE	6280	> Investment Fund Manager
DUNCAN ROSS ASSOCIATES LTD. / DUNCAN ROSS ASSOCIES LTEE	6280	> Portfolio Manager
DUNCAN ROSS ASSOCIATES LTD. / DUNCAN ROSS ASSOCIES LTEE	6280	> Exempt Market Dealer
DURHAM ASSET MANAGEMENT INC.	63200	> Exempt Market Dealer
DURHAM ASSET MANAGEMENT INC.	63200	> Investment Fund Manager
DURHAM ASSET MANAGEMENT INC.	63200	> Portfolio Manager
DUROSE ASSET MANAGEMENT INC.	31270	> Investment Fund Manager
DUROSE ASSET MANAGEMENT INC.	31270	> Portfolio Manager
DUROSE ASSET MANAGEMENT INC.	31270	> Exempt Market Dealer
DWS INVESTMENT MANAGEMENT AMERICAS, INC.	26750	> Portfolio Manager
DX FINANCIAL SECURITIES LTD.	61500	> Exempt Market Dealer
DYNAMIC TREE ASSET MANAGEMENT AG	36290	> Exempt Market Dealer
DYNAMIC TREE ASSET MANAGEMENT AG	36290	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
EAST COAST ASSET MANAGEMENT SEZC	67940	> Investment Fund Manager
EAST COAST ASSET MANAGEMENT SEZC	67940	> Commodity Trading Manager
EAST COAST ASSET MANAGEMENT SEZC	67940	> Portfolio Manager
EAST COAST FUND MANAGEMENT INC.	29950	> Investment Fund Manager
EAST COAST FUND MANAGEMENT INC.	29950	> Portfolio Manager
EAST COAST FUND MANAGEMENT INC.	29950	> Exempt Market Dealer
EAST WEST INVESTMENT MANAGEMENT CORPORATION	29550	> Investment Fund Manager
EAST WEST INVESTMENT MANAGEMENT CORPORATION	29550	> Commodity Trading Manager
EAST WEST INVESTMENT MANAGEMENT CORPORATION	29550	> Portfolio Manager
EAST WEST INVESTMENT MANAGEMENT CORPORATION	29550	> Exempt Market Dealer
ECHELON WEALTH PARTNERS INC.	32420	> Investment Dealer
EDE ASSET MANAGEMENT INC.	57450	> Investment Fund Manager
EDE ASSET MANAGEMENT INC.	57450	> Portfolio Manager
EDE ASSET MANAGEMENT INC.	57450	> Exempt Market Dealer
EDGEHILL PARTNERS	33270	> Exempt Market Dealer
EDGEHILL PARTNERS	33270	> Investment Fund Manager
EDGEHILL PARTNERS	33270	> Portfolio Manager
EDGEPOINT INVESTMENT GROUP INC. / GROUPE DE PLACEMENTS EDGEPOINT	27490	> Investment Fund Manager
EDGEPOINT INVESTMENT GROUP INC. / GROUPE DE PLACEMENTS EDGEPOINT	27490	> Portfolio Manager
EDGEPOINT INVESTMENT GROUP INC. / GROUPE DE PLACEMENTS EDGEPOINT	27490	> Exempt Market Dealer
EDGEPOINT WEALTH MANAGEMENT INC.	34580	> Investment Fund Manager
EDINBURGH PARTNERS LIMITED	25270	> Portfolio Manager
EDUCATORS FINANCIAL GROUP INC.	2650	> Investment Fund Manager
EDUCATORS FINANCIAL GROUP INC.	2650	> Mutual Fund Dealer
EDWARD JONES	4340	> Investment Dealer
EHP FUNDS INC.	62460	> Investment Fund Manager
EHP FUNDS INC.	62460	> Portfolio Manager
EIGHT CAPITAL	55180	> Investment Dealer
EKATON WEALTH MANAGEMENT INC.	42870	> Exempt Market Dealer
ELM PARK CAPITAL MANAGEMENT, LLC	35180	> Investment Fund Manager
ELM PARK CAPITAL MANAGEMENT, LLC	35180	> Portfolio Manager
ELM PARK CAPITAL MANAGEMENT, LLC	35180	> Exempt Market Dealer
EMD FINANCIAL INC. / LA FINANCIERE EMD INC.	36480	> Exempt Market Dealer
EMERGE CANADA INC.	64220	> Investment Fund Manager
EMERGE CANADA INC.	64220	> Portfolio Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
EMERGE CANADA INC.	64220	> Exempt Market Dealer
EMERGING EQUITIES INC.	8640	> Investment Dealer
EMJ CAPITAL LTD.	60100	> Exempt Market Dealer
EMJ CAPITAL LTD.	60100	> Investment Fund Manager
EMJ CAPITAL LTD.	60100	> Restricted Portfolio Manager
EMPIRE LIFE INVESTMENTS INC.	38910	> Investment Fund Manager
EMPIRE LIFE INVESTMENTS INC.	38910	> Portfolio Manager
EMPIRE LIFE INVESTMENTS INC.	38910	> Exempt Market Dealer
EMPIRE LIFE INVESTMENTS INC.	38910	> Commodity Trading Manager
ENCASA FINANCIAL INC.	31940	> Portfolio Manager
ENCASA FINANCIAL INC.	31940	> Investment Fund Manager
ENLIGHTENED PRIVATE CAPITAL INC.	28680	> Exempt Market Dealer
ENOCH WEALTH INC.	51660	> Exempt Market Dealer
ENRICHED INVESTING INCORPORATED	16650	> Investment Fund Manager
ENRICHED INVESTING INCORPORATED	16650	> Portfolio Manager
ENSIGN CAPITAL INC.	17660	> Exempt Market Dealer
ENTREPRISES GREG POMPEO INC.	27380	> Mutual Fund Dealer
EPIC CAPITAL MANAGEMENT INC.	12330	> Investment Fund Manager
EPIC CAPITAL MANAGEMENT INC.	12330	> Portfolio Manager
EPIC CAPITAL MANAGEMENT INC.	12330	> Exempt Market Dealer
EPOCH INVESTMENT PARTNERS, INC.	29130	> Exempt Market Dealer
EPOCH INVESTMENT PARTNERS, INC.	29130	> Portfolio Manager
EQUATE ASSET MANAGEMENT INC.	56340	> Investment Fund Manager
EQUATE ASSET MANAGEMENT INC.	56340	> Portfolio Manager
EQUATE ASSET MANAGEMENT INC.	56340	> Exempt Market Dealer
EQUIGENESIS CORPORATION	6160	> Exempt Market Dealer
EQUILEND CANADA CORP.	28250	> Investment Dealer
EQUILIBRIUM CAPITAL MANAGEMENT INC. / GESTION DE CAPITAL EQUILIBRIUM	12110	> Investment Fund Manager
EQUILIBRIUM CAPITAL MANAGEMENT INC. / GESTION DE CAPITAL EQUILIBRIUM	12110	> Portfolio Manager
EQUILIBRIUM CAPITAL MANAGEMENT INC. / GESTION DE CAPITAL EQUILIBRIUM	12110	> Exempt Market Dealer
EQUILIFE INVESTMENT MANAGEMENT INC.	8160	> Portfolio Manager
EQUILIFE INVESTMENT MANAGEMENT INC.	8160	> Mutual Fund Dealer
EQUITON CAPITAL INC.	53400	> Investment Fund Manager
EQUITON CAPITAL INC.	53400	> Portfolio Manager
EQUITON CAPITAL INC.	53400	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
EQUITY ASSOCIATES INC.	6940	> Exempt Market Dealer
EQUITY ASSOCIATES INC.	6940	> Mutual Fund Dealer
EQUIVESTO CANADA INC.	63820	> Exempt Market Dealer
ERNST & YOUNG ORENDA CORPORATE FINANCE INC./CONSEIL EN FINANCEMENT ERNST & YOUNG ORENDA INC.	5670	> Exempt Market Dealer
ESPRESSO CAPITAL LTD.	54780	> Exempt Market Dealer
EURO PACIFIC ASSET MANAGEMENT, LLC	63190	> Exempt Market Dealer
EURO PACIFIC ASSET MANAGEMENT, LLC	63190	> Portfolio Manager
EVENTUS CAPITAL CORP	52520	> Exempt Market Dealer
EVOLVE FUNDS GROUP INC.	58260	> Commodity Trading Manager
EVOLVE FUNDS GROUP INC.	58260	> Investment Fund Manager
EVOLVE FUNDS GROUP INC.	58260	> Portfolio Manager
EVOVEST INC.	60210	> Portfolio Manager
EWING MORRIS & CO. INVESTMENT PARTNERS LTD.	38130	> Investment Fund Manager
EWING MORRIS & CO. INVESTMENT PARTNERS LTD.	38130	> Portfolio Manager
EWING MORRIS & CO. INVESTMENT PARTNERS LTD.	38130	> Exempt Market Dealer
EXCEL PRIVATE WEALTH INC.	19470	> Mutual Fund Dealer
EXPONENT INVESTMENT MANAGEMENT INC.	37400	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
FAIRBANK INVESTMENT MANAGEMENT LIMITED.	29470	> Investment Fund Manager
FAIRBANK INVESTMENT MANAGEMENT LIMITED.	29470	> Portfolio Manager
FAIRCOURT ASSET MANAGEMENT INC.	21330	> Investment Fund Manager
FAIRCOURT ASSET MANAGEMENT INC.	21330	> Portfolio Manager
FAIRCOURT ASSET MANAGEMENT INC.	21330	> Exempt Market Dealer
FAIRMONT ASSET MANAGEMENT INC.	64290	> Exempt Market Dealer
FALCON ASSET MANAGEMENT INC.	29810	> Exempt Market Dealer
FALCON ASSET MANAGEMENT INC.	29810	> Investment Fund Manager
FALCON ASSET MANAGEMENT INC.	29810	> Portfolio Manager
FARBER SECURITIES INC.	65620	> Exempt Market Dealer
FEDERATED INVESTORS CANADA ULC	52120	> Investment Fund Manager
FEDERATED INVESTORS CANADA ULC	52120	> Portfolio Manager
FENGATE CAPITAL MANAGEMENT LTD.	59650	> Investment Fund Manager
FENGATE CAPITAL MANAGEMENT LTD.	59650	> Portfolio Manager
FENGATE CAPITAL MANAGEMENT LTD.	59650	> Exempt Market Dealer
FIDELITY CLEARING CANADA ULC / COMPENSATION FIDELITY CANADA	28880	> Futures Commission Merchant
FIDELITY CLEARING CANADA ULC / COMPENSATION FIDELITY CANADA	28880	> Investment Dealer
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	> Exempt Market Dealer
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	> Investment Fund Manager
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	> Commodity Trading Manager
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	> Portfolio Manager
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	> Mutual Fund Dealer
FIDELITY MANAGEMENT & RESEARCH (CANADA) ULC	60480	> Commodity Trading Manager
FIDELITY MANAGEMENT & RESEARCH (CANADA) ULC	60480	> Portfolio Manager
FIDUCIARY TRUST COMPANY OF CANADA	17980	> Commodity Trading Manager
FIDUCIARY TRUST COMPANY OF CANADA	17980	> Portfolio Manager
FIELDHOUSE CAPITAL MANAGEMENT INC.	28950	> Investment Fund Manager
FIELDHOUSE CAPITAL MANAGEMENT INC.	28950	> Exempt Market Dealer
FIELDHOUSE CAPITAL MANAGEMENT INC.	28950	> Commodity Trading Manager
FIELDHOUSE CAPITAL MANAGEMENT INC.	28950	> Portfolio Manager
FINANCIERE DES PROFESSIONNELS - FONDS D'INVESTISSEMENT INC./PROFESSIONALS' FINANCIAL - MUTUAL FUNDS INC.	19350	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
FINANCIERE DES PROFESSIONNELS GESTION PRIVEE INC. / PROFESSIONALS' FINANCIAL - PRIVATE MANAGEMENT INC.	19310	> Investment Dealer
FINHAVEN CAPITAL INC.	66080	> Exempt Market Dealer
FINN RIVER INVESTMENT MANAGEMENT INC.	65890	> Investment Fund Manager
FINN RIVER INVESTMENT MANAGEMENT INC.	65890	> Exempt Market Dealer
FINN RIVER INVESTMENT MANAGEMENT INC.	65890	> Portfolio Manager
FIRM CAPITAL SECURITIES CORP.	42070	> Exempt Market Dealer
FIRMINVEST ASSET MANAGEMENT CANADA INC.	12680	> Exempt Market Dealer
FIRMINVEST ASSET MANAGEMENT CANADA INC.	12680	> Portfolio Manager
FIRST AFFILIATED FAMILY OFFICE GROUP INC.	41340	> Portfolio Manager
FIRST AFFILIATED SECURITIES INC.	1410	> Exempt Market Dealer
FIRST ATLANTIC PRIVATE WEALTH INC.	70150	> Portfolio Manager
FIRST AVENUE INVESTMENT COUNSEL INC.	59610	> Investment Fund Manager
FIRST AVENUE INVESTMENT COUNSEL INC.	59610	> Portfolio Manager
FIRST AVENUE INVESTMENT COUNSEL INC.	59610	> Exempt Market Dealer
FIRST RELIANCE ASSET MANAGEMENT INC.	35590	> Exempt Market Dealer
FIRST REPUBLIC CAPITAL CORPORATION	27270	> Exempt Market Dealer
FIRST TRUST ADVISORS L.P.	4670	> Portfolio Manager
FISGARD ASSET MANAGEMENT CORPORATION	28410	> Exempt Market Dealer
FISHER ASSET MANAGEMENT, LLC	21170	> Portfolio Manager
FLORENCE WEALTH MANAGEMENT INC.	67190	> Exempt Market Dealer
FLOW INVESTMENT SERVICES CORP.	12690	> Investment Fund Manager
FLOW INVESTMENT SERVICES CORP.	12690	> Portfolio Manager
FLOW INVESTMENT SERVICES CORP.	12690	> Exempt Market Dealer
FOCUS ASSET MANAGEMENT LTD.	29800	> Investment Fund Manager
FOCUS ASSET MANAGEMENT LTD.	29800	> Portfolio Manager
FONDSMAEGLERSELSKABET MAJ INVEST A/S	59730	> Portfolio Manager
FOREMOST FINANCIAL CORPORATION	34710	> Exempt Market Dealer
FOREST GATE FINANCIAL CORP.	65470	> Exempt Market Dealer
FORGE FIRST ASSET MANAGEMENT INC.	40080	> Investment Fund Manager
FORGE FIRST ASSET MANAGEMENT INC.	40080	> Portfolio Manager
FORGE FIRST ASSET MANAGEMENT INC.	40080	> Exempt Market Dealer
FORMULA GROWTH LIMITED / FORMULA GROWTH, SOCIETE LIMITEE	17160	> Exempt Market Dealer
FORMULA GROWTH LIMITED / FORMULA GROWTH, SOCIETE LIMITEE	17160	> Investment Fund Manager
FORSTRONG GLOBAL ASSET MANAGEMENT INC.	12120	> Investment Fund Manager
FORSTRONG GLOBAL ASSET MANAGEMENT INC.	12120	> Exempt Market Dealer

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FORSTRONG GLOBAL ASSET MANAGEMENT INC.	12120	> Portfolio Manager
FORT CAPITAL SECURITIES LTD.	40220	> Exempt Market Dealer
FORTHLANE INVESTMENT MANAGEMENT INC.	63570	> Investment Fund Manager
FORTHLANE INVESTMENT MANAGEMENT INC.	63570	> Portfolio Manager
FORTHLANE INVESTMENT MANAGEMENT INC.	63570	> Exempt Market Dealer
FORTRADE CANADA LIMITED	63670	> Investment Dealer
FORVEST GLOBAL WEALTH MANAGEMENT INC.	70190	> Portfolio Manager
FOSTER & ASSOCIATES FINANCIAL SERVICES INC./ SERVICES FINANCIERS FOSTER & ASSOCIES	5000	> Investment Dealer
FOUNDATION MARKETS INC.	22830	> Exempt Market Dealer
FOUNDATION WEALTH PARTNERS LP	56240	> Portfolio Manager
FOUNDATION WEALTH PARTNERS LP	56240	> Exempt Market Dealer
FOX COLLINS SECURITIES INC.	33510	> Exempt Market Dealer
FOYSTON, GORDON & PAYNE INC.	1290	> Investment Fund Manager
FOYSTON, GORDON & PAYNE INC.	1290	> Portfolio Manager
FOYSTON, GORDON & PAYNE INC.	1290	> Exempt Market Dealer
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	> Portfolio Manager
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	> Mutual Fund Dealer
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	> Commodity Trading Manager
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	> Exempt Market Dealer
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	> Investment Fund Manager
FREEDOM INTERNATIONAL BROKERAGE COMPANY	1360	> Exempt Market Dealer
FREETHINK CAPITAL INC.	48250	> Investment Fund Manager
FREETHINK CAPITAL INC.	48250	> Exempt Market Dealer
FRIEDBERG ADVISORS LP	35630	> Portfolio Manager
FRIEDBERG MERCANTILE GROUP LTD. / GROUPE FRIEDBERG MERCANTILE	1310	> Futures Commission Merchant
FRIEDBERG MERCANTILE GROUP LTD. / GROUPE FRIEDBERG MERCANTILE	1310	> Investment Dealer
FRONTFOUR CAPITAL CORP.	36600	> Portfolio Manager
FRONTFOUR CAPITAL CORP.	36600	> Investment Fund Manager
FRONTFOUR CAPITAL CORP.	36600	> Exempt Market Dealer
FRONTFUNDR FINANCIAL SERVICES INC.	67780	> Exempt Market Dealer
FRONTIER CAPITAL FUNDS INC./FONDS FRONTIER CAPITAL INC.	11150	> Mutual Fund Dealer
FRONTWATER CAPITAL INC.	29200	> Investment Fund Manager
FRONTWATER CAPITAL INC.	29200	> Commodity Trading Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
FRONTWATER CAPITAL INC.	29200	> Portfolio Manager
FRONTWATER CAPITAL INC.	29200	> Exempt Market Dealer
FT PORTFOLIOS CANADA CO./SOCIETE DE GESTION DE PORTEFEUILLES FT CANADA	5300	> Investment Fund Manager
FT PORTFOLIOS CANADA CO./SOCIETE DE GESTION DE PORTEFEUILLES FT CANADA	5300	> Mutual Fund Dealer
FTC INVESTOR SERVICES INC. / SERVICES AUX INVESTISSEURS FTC INC.	18200	> Mutual Fund Dealer
FULCRA ASSET MANAGEMENT INC.	28420	> Investment Fund Manager
FULCRA ASSET MANAGEMENT INC.	28420	> Exempt Market Dealer
FULCRA ASSET MANAGEMENT INC.	28420	> Portfolio Manager
FUNDS DIRECT CANADA INC.	13520	> Mutual Fund Dealer
FUNDSCRAPER CAPITAL INC.	53460	> Exempt Market Dealer
FURTHER CAPITAL PARTNERS LTD.	50400	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
GAIN CAPITAL - FOREX.COM CANADA LTD.	38580	> Investment Dealer
GALIBIER CAPITAL MANAGEMENT LTD.	39660	> Portfolio Manager
GALIBIER CAPITAL MANAGEMENT LTD.	39660	> Exempt Market Dealer
GALIBIER CAPITAL MANAGEMENT LTD.	39660	> Investment Fund Manager
GALILEO GLOBAL EQUITY ADVISORS INC.	9470	> Investment Fund Manager
GALILEO GLOBAL EQUITY ADVISORS INC.	9470	> Portfolio Manager
GALILEO GLOBAL EQUITY ADVISORS INC.	9470	> Exempt Market Dealer
GARIBALDI CAPITAL ADVISORS LTD.	45260	> Exempt Market Dealer
GENERATION CAPITAL MANAGEMENT INC.	37330	> Portfolio Manager
GENERATION IACP INC.	8030	> Investment Dealer
GENERATION PMCA CORP.	8150	> Investment Fund Manager
GENERATION PMCA CORP.	8150	> Portfolio Manager
GENERATION PMCA CORP.	8150	> Exempt Market Dealer
GENERIC CAPITAL CORPORATION	30140	> Exempt Market Dealer
GENOVA PRIVATE MANAGEMENT INC.	24030	> Portfolio Manager
GENTAI ASSET MANAGEMENT CORP.	65090	> Exempt Market Dealer
GENUS CAPITAL MANAGEMENT INC. / GESTION DE FONDS GENUS	4520	> Investment Fund Manager
GENUS CAPITAL MANAGEMENT INC. / GESTION DE FONDS GENUS	4520	> Exempt Market Dealer
GENUS CAPITAL MANAGEMENT INC. / GESTION DE FONDS GENUS	4520	> Portfolio Manager
GEORGIAN CAPITAL PARTNERS CORPORATION	30090	> Portfolio Manager
GEORGIAN CAPITAL PARTNERS CORPORATION	30090	> Exempt Market Dealer
GEORGIAN CAPITAL PARTNERS CORPORATION	30090	> Investment Fund Manager
GESTION CRISTALLIN INC./CRYSTALLINE MANAGEMENT INC.	18620	> Investment Fund Manager
GESTION CRISTALLIN INC./CRYSTALLINE MANAGEMENT INC.	18620	> Portfolio Manager
GESTION CRISTALLIN INC./CRYSTALLINE MANAGEMENT INC.	18620	> Exempt Market Dealer
GESTION D'ACTIFS LESTER INC. / LESTER ASSET MANAGEMENT INC.	19800	> Investment Fund Manager
GESTION D'ACTIFS LESTER INC. / LESTER ASSET MANAGEMENT INC.	19800	> Exempt Market Dealer
GESTION D'ACTIFS LESTER INC. / LESTER ASSET MANAGEMENT INC.	19800	> Portfolio Manager
GESTION D'ACTIFS NOMURA USA INC. / NOMURA ASSET MANAGEMENT U.S.A. INC.	20010	> Portfolio Manager
GESTION D'ACTIFS SECTORIELS INC. / SECTORAL ASSET MANAGEMENT INC.	19820	> Portfolio Manager
GESTION D'ACTIFS SECTORIELS INC. / SECTORAL ASSET MANAGEMENT INC.	19820	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
GESTION DE CAPITAUX ROTHENBERG INC. / ROTHENBERG CAPITAL MANAGEMENT INC.	5170	> Investment Dealer
GESTION DE PATRIMOINE BLUE BRIDGE INC. / BLUE BRIDGE WEALTH MANAGEMENT INC.	31240	> Portfolio Manager
GESTION DE PLACEMENTS ETERNA INC./ETERNA INVESTMENT MANAGEMENT INC.	20260	> Investment Fund Manager
GESTION DE PLACEMENTS ETERNA INC./ETERNA INVESTMENT MANAGEMENT INC.	20260	> Portfolio Manager
GESTION DE PLACEMENTS HELENE DION INC./HELENE DION INVESTMENT MANAGEMENT INC.	26350	> Portfolio Manager
GESTION DE PORTEFEUILLE STRATEGIQUE MEDICI INC.	28540	> Investment Fund Manager
GESTION DE PORTEFEUILLE STRATEGIQUE MEDICI INC.	28540	> Portfolio Manager
GESTION DE PORTEFEUILLE TRIASIMA INC./TRIASIMA PORTFOLIO MANAGEMENT INC.	13610	> Investment Fund Manager
GESTION DE PORTEFEUILLE TRIASIMA INC./TRIASIMA PORTFOLIO MANAGEMENT INC.	13610	> Exempt Market Dealer
GESTION DE PORTEFEUILLE TRIASIMA INC./TRIASIMA PORTFOLIO MANAGEMENT INC.	13610	> Portfolio Manager
GESTION FERIQUE	34230	> Portfolio Manager
GESTION FERIQUE	34230	> Investment Fund Manager
GESTION FINANCIERE CAPE COVE INC./CAPE COVE FINANCIAL MANAGEMENT INC.	44570	> Portfolio Manager
GESTION FINANCIERE CAPE COVE INC./CAPE COVE FINANCIAL MANAGEMENT INC.	44570	> Exempt Market Dealer
GESTION HNB-ANCHOR PLACEMENT INC. / HNB-ANCHOR INVESTMENT MANAGEMENT INC.	19790	> Portfolio Manager
GESTION PALOS INC. / PALOS MANAGEMENT INC.	19640	> Investment Fund Manager
GESTION PEMBROKE LTEE / PEMBROKE MANAGEMENT LTD.	18250	> Portfolio Manager
GESTION PLACEMENTS DESJARDINS INC./DESJARDINS INVESTMENT MANAGEMENT INC.	4310	> Investment Fund Manager
GESTION PLACEMENTS DESJARDINS INC./DESJARDINS INVESTMENT MANAGEMENT INC.	4310	> Portfolio Manager
GESTION PRIVEE DE PLACEMENT PEMBROKE LTEE/PEMBROKE PRIVATE WEALTH MANAGEMENT LTD.	1560	> Investment Fund Manager
GESTION PRIVEE DE PLACEMENT PEMBROKE LTEE/PEMBROKE PRIVATE WEALTH MANAGEMENT LTD.	1560	> Mutual Fund Dealer
GF SECURITIES (CANADA) COMPANY LIMITED	49970	> Investment Dealer
GFI INVESTMENT COUNSEL LTD.	25030	> Investment Fund Manager
GFI INVESTMENT COUNSEL LTD.	25030	> Portfolio Manager
GFI INVESTMENT COUNSEL LTD.	25030	> Exempt Market Dealer
GILDER GAGNON HOWE & CO. LLC/GILDER HOWE ET CIE	33810	> Portfolio Manager
GILLFORD CAPITAL INC.	29350	> Exempt Market Dealer
GINSLER WEALTH MANAGEMENT INC.	71520	> Portfolio Manager
GINSLER WEALTH MANAGEMENT INC.	71520	> Exempt Market Dealer



## List of Ontario Registrants as of September 16, 2021

<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
GIRARD INVESTOR SERVICES INC./ GIRARD SERVICES AUX INVESTISSEURS INC	31620	> Exempt Market Dealer
GIVERNY CAPITAL INC.	17580	> Investment Fund Manager
GIVERNY CAPITAL INC.	17580	> Portfolio Manager
GLEN UNION CAPITAL INC.	52370	> Investment Fund Manager
GLEN UNION CAPITAL INC.	52370	> Portfolio Manager
GLEN UNION CAPITAL INC.	52370	> Exempt Market Dealer
GLIDEPATH PORTFOLIO SERVICES INC.	11360	> Portfolio Manager
GLOBAL ALPHA CAPITAL MANAGEMENT LTD. / GESTION D'ACTIFS GLOBAL ALPHA LTEE	21230	> Investment Fund Manager
GLOBAL ALPHA CAPITAL MANAGEMENT LTD. / GESTION D'ACTIFS GLOBAL ALPHA LTEE	21230	> Portfolio Manager
GLOBAL ALPHA CAPITAL MANAGEMENT LTD. / GESTION D'ACTIFS GLOBAL ALPHA LTEE	21230	> Exempt Market Dealer
GLOBAL GROWTH ASSETS INC./LES ACTIFS DE CROISSANCE GLOBAL INC.	35640	> Investment Fund Manager
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	> Mutual Fund Dealer
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	> Exempt Market Dealer
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	> Scholarship Plan Dealer
GLOBEINVEST CAPITAL MANAGEMENT INC.	5440	> Portfolio Manager
GLOBEVEST CAPITAL LTEE	19540	> Investment Fund Manager
GLOBEVEST CAPITAL LTEE	19540	> Portfolio Manager
GLOBEVEST CAPITAL LTEE	19540	> Exempt Market Dealer
GLORES SECURITIES INC	70180	> Exempt Market Dealer
GLUSKIN SHEFF + ASSOCIATES INC.	1450	> Portfolio Manager
GLUSKIN SHEFF + ASSOCIATES INC.	1450	> Exempt Market Dealer
GLUSKIN SHEFF + ASSOCIATES INC.	1450	> Investment Fund Manager
GLUSKIN SHEFF + ASSOCIATES INC.	1450	> Commodity Trading Manager
GMG PRIVATE COUNSEL INC./SERVICES-CONSEILS PRIVE GMG INC.	32140	> Investment Fund Manager
GMG PRIVATE COUNSEL INC./SERVICES-CONSEILS PRIVE GMG INC.	32140	> Exempt Market Dealer
GMG PRIVATE COUNSEL INC./SERVICES-CONSEILS PRIVE GMG INC.	32140	> Portfolio Manager
GOLD INVESTMENT MANAGEMENT LTD.	26490	> Portfolio Manager
GOLDMAN SACHS ASSET MANAGEMENT, L.P. / GESTION D'ACTIFS GOLDMAN SACHS LP	13930	> Commodity Trading Manager
GOLDMAN SACHS ASSET MANAGEMENT, L.P. / GESTION D'ACTIFS GOLDMAN SACHS LP	13930	> Portfolio Manager
GOLDMAN SACHS CANADA INC.	9270	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
GOLDPOINT PARTNERS CANADA GENPAR INC.	34790	> Investment Fund Manager
GOLDSTEIN FINANCIAL INVESTMENTS INC.	7030	> Mutual Fund Dealer
GOODMAN & COMPANY, INVESTMENT COUNSEL INC.	26870	> Investment Fund Manager
GOODMAN & COMPANY, INVESTMENT COUNSEL INC.	26870	> Exempt Market Dealer
GOODMAN & COMPANY, INVESTMENT COUNSEL INC.	26870	> Portfolio Manager
GOODREID INVESTMENT COUNSEL CORP./CONSEILLERS EN PLACEMENT GOODREID CORP.	9750	> Portfolio Manager
GOODWOOD INC.	9140	> Investment Fund Manager
GOODWOOD INC.	9140	> Investment Dealer
GP WEALTH MANAGEMENT CORPORATION	7990	> Exempt Market Dealer
GP WEALTH MANAGEMENT CORPORATION	7990	> Mutual Fund Dealer
GRACORP CAPITAL ADVISORS LTD.	33290	> Exempt Market Dealer
GRAFTON ASSET MANAGEMENT INC.	36890	> Investment Fund Manager
GRAFTON ASSET MANAGEMENT INC.	36890	> Exempt Market Dealer
GRANT THORNTON CORPORATE FINANCE INC.	10650	> Exempt Market Dealer
GRATICULE ASIA MACRO ADVISORS LLC	50690	> Exempt Market Dealer
GRAVITAS SECURITIES INC.	26260	> Investment Fund Manager
GRAVITAS SECURITIES INC.	26260	> Investment Dealer
GRAVITY PARTNERS CAPITAL MANAGEMENT INC.	63120	> Investment Fund Manager
GRAVITY PARTNERS CAPITAL MANAGEMENT INC.	63120	> Portfolio Manager
GRAVITY PARTNERS CAPITAL MANAGEMENT INC.	63120	> Exempt Market Dealer
GRAYHAWK INVESTMENT STRATEGIES INC.	52900	> Exempt Market Dealer
GRAYHAWK INVESTMENT STRATEGIES INC.	52900	> Investment Fund Manager
GRAYHAWK INVESTMENT STRATEGIES INC.	52900	> Portfolio Manager
GRAYLIE MANAGEMENT LIMITED	4240	> Portfolio Manager
GREEN COURT CAPITAL MANAGEMENT LIMITED	58920	> Portfolio Manager
GREENFIELD INVESTMENT MANAGEMENT LIMITED	71610	> Portfolio Manager
GREENROCK CAPITAL PARTNERS INC.	27650	> Investment Fund Manager
GREENROCK CAPITAL PARTNERS INC.	27650	> Portfolio Manager
GREENSKEEPER ASSET MANAGEMENT INC.	34080	> Investment Fund Manager
GREENSKEEPER ASSET MANAGEMENT INC.	34080	> Portfolio Manager
GREENSKEEPER ASSET MANAGEMENT INC.	34080	> Exempt Market Dealer
GREENSKY CAPITAL INC.	28840	> Exempt Market Dealer
GREYBROOK SECURITIES INC.	2150	> Exempt Market Dealer
GREYHILL CAPITAL PARTNERS INC.	65120	> Exempt Market Dealer
GROSS SECURITIES CORP.	42580	> Exempt Market Dealer
GROUND LAYER CAPITAL INC.	12640	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
GROUNDLAYER CAPITAL INC.	12640	> Portfolio Manager
GROUNDLAYER CAPITAL INC.	12640	> Exempt Market Dealer
GROUP RMC ADVISORS INC.	65250	> Exempt Market Dealer
GROUPE CLOUTIER INVESTISSEMENTS INC.	24770	> Mutual Fund Dealer
GROUPE HIGHGATE INC.	57130	> Investment Dealer
GROWTHQUEST CAPITAL INC.	7900	> Portfolio Manager
GRYPHON CAPITAL CORPORATION/CORPORATION GRYPHON CAPITAL	5880	> Exempt Market Dealer
GRYPHON INTERNATIONAL INVESTMENT CORPORATION/CORPORATION PLACEMENT GRYPHON INTERNATIONAL	5780	> Investment Fund Manager
GRYPHON INTERNATIONAL INVESTMENT CORPORATION/CORPORATION PLACEMENT GRYPHON INTERNATIONAL	5780	> Portfolio Manager
GRYPHON INVESTMENT COUNSEL INC. / CONSEILLERS EN PLACEMENTS GRYPHON INC.	1480	> Investment Fund Manager
GRYPHON INVESTMENT COUNSEL INC. / CONSEILLERS EN PLACEMENTS GRYPHON INC.	1480	> Portfolio Manager
GS INVESTMENT STRATEGIES CANADA INC.	66480	> Portfolio Manager
GUARDIAN CAPITAL ADVISORS LP	17640	> Exempt Market Dealer
GUARDIAN CAPITAL ADVISORS LP	17640	> Portfolio Manager
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	> Investment Fund Manager
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	> Exempt Market Dealer
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	> Commodity Trading Manager
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	> Commodity Trading Counsel
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	> Portfolio Manager
GUARDIAN ETHICAL MANAGEMENT INC.	35060	> Investment Fund Manager
GUARDIAN PARTNERS INC.	5810	> Investment Fund Manager
GUARDIAN PARTNERS INC.	5810	> Exempt Market Dealer
GUARDIAN PARTNERS INC.	5810	> Portfolio Manager
GWN CAPITAL MANAGEMENT LTD.	45980	> Commodity Trading Manager
GWN CAPITAL MANAGEMENT LTD.	45980	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
HAMBLIN WATSA INVESTMENT COUNSEL LTD.	1610	> Portfolio Manager
HAMILTON CAPITAL PARTNERS INC. / PARTENAIRES HAMILTON CAPITAL	29860	> Investment Fund Manager
HAMILTON CAPITAL PARTNERS INC. / PARTENAIRES HAMILTON CAPITAL	29860	> Exempt Market Dealer
HAMILTON CAPITAL PARTNERS INC. / PARTENAIRES HAMILTON CAPITAL	29860	> Portfolio Manager
HAMILTON LANE (CANADA) LLC	21310	> Investment Fund Manager
HAMILTON LANE (CANADA) LLC	21310	> Portfolio Manager
HAMILTON LANE (CANADA) LLC	21310	> Exempt Market Dealer
HAMPTON SECURITIES LIMITED	2890	> Investment Dealer
HANBURY MANAGEMENT LTD.	16320	> Exempt Market Dealer
HANOVER PRIVATE CLIENT CORPORATION / CORPORATION HANOVER CLIENTELE PRIVEE	8910	> Portfolio Manager
HARBOUREDGE ASSET MANAGEMENT CORPORATION	39970	> Exempt Market Dealer
HARBOURFRONT WEALTH MANAGEMENT INC.	43480	> Investment Dealer
HARBOURVEST PARTNERS (CANADA) LIMITED	49080	> Portfolio Manager
HARBOURVEST PARTNERS (CANADA) LIMITED	49080	> Exempt Market Dealer
HARNESS INVESTMENT MANAGEMENT INC.	66440	> Exempt Market Dealer
HARNESS INVESTMENT MANAGEMENT INC.	66440	> Portfolio Manager
HARRIS DOUGLAS ASSET MANAGEMENT INC.	63620	> Investment Fund Manager
HARRIS DOUGLAS ASSET MANAGEMENT INC.	63620	> Portfolio Manager
HARRIS, BOLDUC & ASSOCIES INC./HARRIS BOLDUC & ASSOCIATES INC.	24890	> Portfolio Manager
HARVEST PORTFOLIOS GROUP INC.	29540	> Investment Fund Manager
HARVEST PORTFOLIOS GROUP INC.	29540	> Portfolio Manager
HATLEY CAPITAL PARTNERS INC.	69840	> Exempt Market Dealer
HAWKEYE WEALTH LTD.	60940	> Exempt Market Dealer
HAYWOOD SECURITIES INC. / VALEURS MOBILIERES HAYWOOD INC.	1630	> Investment Dealer
HAZELVIEW SECURITIES INC.	28370	> Investment Fund Manager
HAZELVIEW SECURITIES INC.	28370	> Portfolio Manager
HAZELVIEW SECURITIES INC.	28370	> Exempt Market Dealer
HEADSAIL WEALTH MANAGEMENT INCORPORATED	48770	> Portfolio Manager
HEATHBRIDGE CAPITAL MANAGEMENT LTD.	7680	> Investment Fund Manager
HEATHBRIDGE CAPITAL MANAGEMENT LTD.	7680	> Portfolio Manager
HEATHBRIDGE CAPITAL MANAGEMENT LTD.	7680	> Exempt Market Dealer
HEIRLOOM INVESTMENT MANAGEMENT (CANADA) INC.	61780	> Commodity Trading Manager
HEIRLOOM INVESTMENT MANAGEMENT (CANADA) INC.	61780	> Portfolio Manager
HEIRLOOM INVESTMENT MANAGEMENT (CANADA) INC.	61780	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
HEMISPHERE CAPITAL MANAGEMENT INC.	13510	> Portfolio Manager
HENLEY CAPITAL CORPORATION	9900	> Exempt Market Dealer
HENLEY CAPITAL CORPORATION	9900	> Portfolio Manager
HEXAVEST INC.	18060	> Investment Fund Manager
HEXAVEST INC.	18060	> Commodity Trading Manager
HEXAVEST INC.	18060	> Portfolio Manager
HEXAVEST INC.	18060	> Exempt Market Dealer
HGC INVESTMENT MANAGEMENT INC.	46180	> Investment Fund Manager
HGC INVESTMENT MANAGEMENT INC.	46180	> Portfolio Manager
HGC INVESTMENT MANAGEMENT INC.	46180	> Exempt Market Dealer
HIGGINS INVESTMENT GROUP INC.	32590	> Investment Fund Manager
HIGGINS INVESTMENT GROUP INC.	32590	> Portfolio Manager
HIGGINS INVESTMENT GROUP INC.	32590	> Exempt Market Dealer
HIGH ROCK CAPITAL MANAGEMENT INC.	36150	> Portfolio Manager
HIGHLAND CONSULTING ASSOCIATES INTERNATIONAL, INC.	50220	> Portfolio Manager
HIGHNESS GLOBAL CAPITAL INC.	64580	> Exempt Market Dealer
HIGHSTREET ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS HIGHSTREET	7960	> Portfolio Manager
HIGHSTREET ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS HIGHSTREET	7960	> Exempt Market Dealer
HIGHVIEW ASSET MANAGEMENT LTD.	16790	> Portfolio Manager
HIGHWOOD VALUE PARTNERS INC.	64210	> Portfolio Manager
HILLMOUNT CAPITAL MANAGEMENT INC.	57010	> Investment Fund Manager
HILLMOUNT CAPITAL MANAGEMENT INC.	57010	> Portfolio Manager
HILLMOUNT CAPITAL MANAGEMENT INC.	57010	> Exempt Market Dealer
HILLSDALE INVESTMENT MANAGEMENT INC.	6130	> Investment Fund Manager
HILLSDALE INVESTMENT MANAGEMENT INC.	6130	> Portfolio Manager
HILLSDALE INVESTMENT MANAGEMENT INC.	6130	> Exempt Market Dealer
HMW CAPITAL INC.	26800	> Exempt Market Dealer
HOLDUN TRESTLE MANAGEMENT INC./GESTION HOLDUN TRESTLE INC.	37970	> Portfolio Manager
HONEYTREE INVESTMENT MANAGEMENT LTD.	64400	> Portfolio Manager
HORIZONONE ASSET MANAGEMENT INC.	20370	> Investment Fund Manager
HORIZONONE ASSET MANAGEMENT INC.	20370	> Portfolio Manager
HORIZONONE ASSET MANAGEMENT INC.	20370	> Exempt Market Dealer
HORIZONS ETFS MANAGEMENT (CANADA) INC.	34630	> Commodity Trading Manager
HORIZONS ETFS MANAGEMENT (CANADA) INC.	34630	> Commodity Trading Adviser
HORIZONS ETFS MANAGEMENT (CANADA) INC.	34630	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
HORIZONS ETFS MANAGEMENT (CANADA) INC.	34630	> Exempt Market Dealer
HORIZONS ETFS MANAGEMENT (CANADA) INC.	34630	> Investment Fund Manager
HOWARD, BARCLAY & ASSOCIATES LTD.	4600	> Portfolio Manager
HSBC GLOBAL ASSET MANAGEMENT (CANADA) LIMITED. / GESTION GLOBALE D'ACTIFS HSBC (CANADA) LIMITEE	3840	> Portfolio Manager
HSBC GLOBAL ASSET MANAGEMENT (CANADA) LIMITED. / GESTION GLOBALE D'ACTIFS HSBC (CANADA) LIMITEE	3840	> Exempt Market Dealer
HSBC GLOBAL ASSET MANAGEMENT (CANADA) LIMITED. / GESTION GLOBALE D'ACTIFS HSBC (CANADA) LIMITEE	3840	> Investment Fund Manager
HSBC INVESTMENT FUNDS (CANADA) INC./FONDS D'INVESTISSEMENT HSBC (CANADA) INC.	1680	> Mutual Fund Dealer
HSBC PRIVATE INVESTMENT COUNSEL (CANADA) INC./ GESTION PRIVEE DE PLACEMENT HSBC (CANADA) INC.	45230	> Portfolio Manager
HSBC SECURITIES (CANADA) INC./ VALEURS MOBILIERES HSBC (CANADA) INC.	17220	> Investment Dealer
HUB CAPITAL INC. / CAPITAL HUB INC.	12100	> Exempt Market Dealer
HUB CAPITAL INC. / CAPITAL HUB INC.	12100	> Mutual Fund Dealer
HUENIKEN ASSET MANAGEMENT INC.	58910	> Portfolio Manager
HUENIKEN ASSET MANAGEMENT INC.	58910	> Exempt Market Dealer
HUGHESLITTLE INVESTMENT MANAGEMENT LTD.	21050	> Investment Fund Manager
HUGHESLITTLE INVESTMENT MANAGEMENT LTD.	21050	> Portfolio Manager
HUGHESLITTLE INVESTMENT MANAGEMENT LTD.	21050	> Exempt Market Dealer
HUXTON BLACK LTD.	59400	> Portfolio Manager
HUXTON BLACK LTD.	59400	> Exempt Market Dealer
HYMAS INVESTMENT MANAGEMENT INC.	10260	> Exempt Market Dealer
HYMAS INVESTMENT MANAGEMENT INC.	10260	> Investment Fund Manager
HYMAS INVESTMENT MANAGEMENT INC.	10260	> Portfolio Manager
HYPERION CAPITAL INC.	69010	> Exempt Market Dealer
HYPOSWISS ADVISORS SA	51950	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
I.A. MICHAEL INVESTMENT COUNSEL LTD.	2270	> Investment Fund Manager
I.A. MICHAEL INVESTMENT COUNSEL LTD.	2270	> Portfolio Manager
I.A. MICHAEL INVESTMENT COUNSEL LTD.	2270	> Exempt Market Dealer
I.G. INVESTMENT MANAGEMENT, LTD. / SOCIETE DE GESTION D'INVESTISSEMENT, I.G. LTEE	25370	> Portfolio Manager
I.G. INVESTMENT MANAGEMENT, LTD. / SOCIETE DE GESTION D'INVESTISSEMENT, I.G. LTEE	25370	> Investment Fund Manager
IA PRIVATE WEALTH INC./IA GESTION PRIVEE DE PATRIMOINE	15400	> Investment Dealer
IBK CAPITAL CORP.	1790	> Exempt Market Dealer
IBV CAPITAL LTD.	43140	> Exempt Market Dealer
IBV CAPITAL LTD.	43140	> Investment Fund Manager
IBV CAPITAL LTD.	43140	> Portfolio Manager
ICAPITAL IFM, LLC	68340	> Investment Fund Manager
ICAPITAL IFM, LLC	68340	> Portfolio Manager
ICAPITAL IFM, LLC	68340	> Exempt Market Dealer
ICECAP ASSET MANAGEMENT LIMITED	32700	> Portfolio Manager
ICM INVESTMENT MANAGEMENT INC.	58000	> Investment Fund Manager
ICM INVESTMENT MANAGEMENT INC.	58000	> Exempt Market Dealer
ICPP FUNDS LTD.	54810	> Investment Fund Manager
ICPP FUNDS LTD.	54810	> Portfolio Manager
ICPP FUNDS LTD.	54810	> Exempt Market Dealer
IFM INVESTORS (US) ADVISOR, LLC	40850	> Investment Fund Manager
IFM INVESTORS (US) ADVISOR, LLC	40850	> Exempt Market Dealer
IGAN PARTNERS INC.	42150	> Exempt Market Dealer
IIFL CAPITAL (CANADA) LIMITED	59430	> Exempt Market Dealer
IIFL CAPITAL PTE LTD.	61620	> Portfolio Manager
IMAGINE WEALTH MANAGEMENT INC.	53700	> Investment Fund Manager
IMAGINE WEALTH MANAGEMENT INC.	53700	> Portfolio Manager
IMAGINE WEALTH MANAGEMENT INC.	53700	> Exempt Market Dealer
IMC LIMITED PARTNERSHIP	29920	> Investment Fund Manager
IMC LIMITED PARTNERSHIP	29920	> Portfolio Manager
IMC LIMITED PARTNERSHIP	29920	> Exempt Market Dealer
IMPERIAL CAPITAL ALTASSETS INC.	66650	> Investment Fund Manager
IMPERIAL CAPITAL ALTASSETS INC.	66650	> Portfolio Manager
IMPERIAL CAPITAL ALTASSETS INC.	66650	> Exempt Market Dealer
INDEPENDENT ACCOUNTANTS' INVESTMENT COUNSEL INC.	9420	> Portfolio Manager
INDEPENDENT TRADING GROUP (ITG) INC.	29140	> Investment Dealer
INDIGOBLUE CAPITAL CORPORATION	60960	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
INDUSTRIELLE ALLIANCE GESTION DE PLACEMENTS INC. / INDUSTRIAL ALLIANCE, INVESTMENT MANAGEMENT INC.	18340	> Commodity Trading Manager
INDUSTRIELLE ALLIANCE GESTION DE PLACEMENTS INC. / INDUSTRIAL ALLIANCE, INVESTMENT MANAGEMENT INC.	18340	> Commodity Trading Counsel
INDUSTRIELLE ALLIANCE GESTION DE PLACEMENTS INC. / INDUSTRIAL ALLIANCE, INVESTMENT MANAGEMENT INC.	18340	> Portfolio Manager
INFOR FINANCIAL INC.	36970	> Investment Fund Manager
INFOR FINANCIAL INC.	36970	> Investment Dealer
INNERKIP CAPITAL MANAGEMENT INC.	18990	> Investment Fund Manager
INNERKIP CAPITAL MANAGEMENT INC.	18990	> Portfolio Manager
INNOCAP INVESTMENT MANAGEMENT INC./GESTION DE PLACEMENTS INNOCAP INC.	19040	> Commodity Trading Manager
INNOCAP INVESTMENT MANAGEMENT INC./GESTION DE PLACEMENTS INNOCAP INC.	19040	> Portfolio Manager
INNOCAP INVESTMENT MANAGEMENT INC./GESTION DE PLACEMENTS INNOCAP INC.	19040	> Exempt Market Dealer
INNOCAP INVESTMENT MANAGEMENT INC./GESTION DE PLACEMENTS INNOCAP INC.	19040	> Investment Fund Manager
INVESTOR ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS INVESTOR INC.	58530	> Portfolio Manager
INSIGHT INVESTMENT INTERNATIONAL LIMITED	10980	> Portfolio Manager
INSIGHT INVESTMENT MANAGEMENT (GLOBAL) LIMITED	3140	> Commodity Trading Manager
INSTINET CANADA CROSS LIMITED	34060	> Investment Dealer
INSTINET CANADA LIMITED	4020	> Investment Dealer
INTACT INVESTMENT MANAGEMENT INC./INTACT GESTION DE PLACEMENTS INC.	7600	> Commodity Trading Manager
INTACT INVESTMENT MANAGEMENT INC./INTACT GESTION DE PLACEMENTS INC.	7600	> Commodity Trading Counsel
INTACT INVESTMENT MANAGEMENT INC./INTACT GESTION DE PLACEMENTS INC.	7600	> Portfolio Manager
INTEGRA CAPITAL LIMITED	12240	> Investment Fund Manager
INTEGRA CAPITAL LIMITED	12240	> Commodity Trading Manager
INTEGRA CAPITAL LIMITED	12240	> Portfolio Manager
INTEGRA CAPITAL LIMITED	12240	> Exempt Market Dealer
INTEGRAL WEALTH SECURITIES LIMITED	310	> Investment Dealer
INTEGRATED-EQUITIES INC.	35680	> Exempt Market Dealer
INTERACTIVE COURTAGE CANADA INC. / INTERACTIVE BROKERS CANADA INC.	11890	> Futures Commission Merchant
INTERACTIVE COURTAGE CANADA INC. / INTERACTIVE BROKERS CANADA INC.	11890	> Investment Dealer
INTERWARD ASSET MANAGEMENT LTD.	21590	> Investment Fund Manager
INTERWARD ASSET MANAGEMENT LTD.	21590	> Exempt Market Dealer
INTERWARD ASSET MANAGEMENT LTD.	21590	> Portfolio Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
INTL FCSTONE FINANCIAL (CANADA) INC.	62420	> Futures Commission Merchant
INTRODUCTION CAPITAL INC.	20380	> Exempt Market Dealer
INTRYNSYC CAPITAL CORPORATION	30080	> Exempt Market Dealer
INUKSHUK CAPITAL MANAGEMENT INC.	38760	> Investment Fund Manager
INUKSHUK CAPITAL MANAGEMENT INC.	38760	> Portfolio Manager
INUKSHUK CAPITAL MANAGEMENT INC.	38760	> Exempt Market Dealer
INVERLOCHY CAPITAL LTD.	22800	> Portfolio Manager
INVESCO CANADA LTD./INVESCO CANADA LTEE	4850	> Mutual Fund Dealer
INVESCO CANADA LTD./INVESCO CANADA LTEE	4850	> Investment Fund Manager
INVESCO CANADA LTD./INVESCO CANADA LTEE	4850	> Commodity Trading Manager
INVESCO CANADA LTD./INVESCO CANADA LTEE	4850	> Portfolio Manager
INVESCO CANADA LTD./INVESCO CANADA LTEE	4850	> Exempt Market Dealer
INVESTIA FINANCIAL SERVICES INC. / INVESTIA SERVICES FINANCIERS INC.	8490	> Exempt Market Dealer
INVESTIA FINANCIAL SERVICES INC. / INVESTIA SERVICES FINANCIERS INC.	8490	> Mutual Fund Dealer
INVESTMENT PARTNERS FUND INC.	29440	> Commodity Trading Manager
INVESTMENT PARTNERS FUND INC.	29440	> Investment Fund Manager
INVESTMENT PARTNERS FUND INC.	29440	> Exempt Market Dealer
INVESTMENT PARTNERS FUND INC.	29440	> Portfolio Manager
INVESTMENT STRATEGIES INC.	23560	> Exempt Market Dealer
INVESTMENT STRATEGIES INC.	23560	> Portfolio Manager
INVESTORS GROUP FINANCIAL SERVICES INC./ SERVICES FINANCIERS GROUPE INVESTORS INC.	22380	> Mutual Fund Dealer
INVESTORS GROUP SECURITIES INC./VALEURS MOBILIERES GROUPE INVESTORS INC.	5760	> Investment Dealer
INVESTX FINANCIAL (CANADA) LTD.	51580	> Exempt Market Dealer
INVICO CAPITAL CORPORATION	22310	> Exempt Market Dealer
INVICO CAPITAL CORPORATION	22310	> Investment Fund Manager
INVICO CAPITAL CORPORATION	22310	> Portfolio Manager
IP INVESTMENT COUNSEL INC.	62540	> Portfolio Manager
IP INVESTMENT COUNSEL INC.	62540	> Exempt Market Dealer
IPC INVESTMENT CORPORATION	5650	> Exempt Market Dealer
IPC INVESTMENT CORPORATION	5650	> Mutual Fund Dealer
IPC SECURITIES CORPORATION / IPC VALEURS MOBILIERES	8780	> Investment Dealer
IRIS ASSET MANAGEMENT LTD.	43290	> Portfolio Manager
IUR CAPITAL LTD.	37230	> Portfolio Manager

## List of Ontario Registrants as of September 16, 2021

<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
J. ZECHNER ASSOCIATES INC.	4160	> Investment Fund Manager
J. ZECHNER ASSOCIATES INC.	4160	> Portfolio Manager
J. ZECHNER ASSOCIATES INC.	4160	> Exempt Market Dealer
J.C. HOOD INVESTMENT COUNSEL INC.	10230	> Portfolio Manager
J.P. MORGAN SECURITIES CANADA INC. / J.P. MORGAN VALEURS MOBILIERES CANADA INC.	2510	> Futures Commission Merchant
J.P. MORGAN SECURITIES CANADA INC. / J.P. MORGAN VALEURS MOBILIERES CANADA INC.	2510	> Investment Dealer
JAPA INTERNATIONAL LIMITED	6970	> Portfolio Manager
JARISLOWSKY, FRASER LIMITEE / JARISLOWSKY, FRASER LIMITED	5570	> Exempt Market Dealer
JARISLOWSKY, FRASER LIMITEE / JARISLOWSKY, FRASER LIMITED	5570	> Commodity Trading Manager
JARISLOWSKY, FRASER LIMITEE / JARISLOWSKY, FRASER LIMITED	5570	> Investment Fund Manager
JARISLOWSKY, FRASER LIMITEE / JARISLOWSKY, FRASER LIMITED	5570	> Portfolio Manager
JC CLARK INC.	12060	> Portfolio Manager
JC CLARK LTD. / JC CLARK LTEE	10690	> Investment Fund Manager
JC CLARK LTD. / JC CLARK LTEE	10690	> Investment Dealer
JCIC ASSET MANAGEMENT INC./JCIC GESTION D'ACTIFS INC.	1840	> Portfolio Manager
JCIC ASSET MANAGEMENT INC./JCIC GESTION D'ACTIFS INC.	1840	> Investment Fund Manager
JEFFERIES SECURITIES, INC.	49620	> Investment Dealer
JEMEKK CAPITAL MANAGEMENT (2017) INC.	56940	> Investment Fund Manager
JEMEKK CAPITAL MANAGEMENT (2017) INC.	56940	> Portfolio Manager
JEMEKK CAPITAL MANAGEMENT (2017) INC.	56940	> Exempt Market Dealer
JESSELTON CAPITAL MANAGEMENT INC.	54240	> Investment Fund Manager
JESSELTON CAPITAL MANAGEMENT INC.	54240	> Exempt Market Dealer
JGL CAPITAL LTD.	68880	> Commodity Trading Manager
JGL CAPITAL LTD.	68880	> Portfolio Manager
JITNEYTRADE INC.	11470	> Futures Commission Merchant
JITNEYTRADE INC.	11470	> Investment Dealer
JM FUND MANAGEMENT INC.	40600	> Investment Fund Manager
JM FUND MANAGEMENT INC.	40600	> Portfolio Manager
JM FUND MANAGEMENT INC.	40600	> Exempt Market Dealer
JONESTRADING CANADA INC./COURTAGE JONES CANADA INC.	28380	> Investment Dealer
JP MILANI ASSET MANAGEMENT INC.	60430	> Portfolio Manager
JPMORGAN ASSET MANAGEMENT (CANADA) INC./GESTION D'ACTIF JPMORGAN (CANADA) INC.	1270	> Investment Fund Manager
JPMORGAN ASSET MANAGEMENT (CANADA) INC./GESTION D'ACTIF JPMORGAN (CANADA) INC.	1270	> Portfolio Manager

## List of Ontario Registrants as of September 16, 2021

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
JPMORGAN ASSET MANAGEMENT (CANADA) INC./GESTION D'ACTIF JPMORGAN (CANADA) INC.	1270	> Exempt Market Dealer
JSL ASSET MANAGEMENT INC.	61010	> Investment Fund Manager
JSL ASSET MANAGEMENT INC.	61010	> Portfolio Manager
JSL ASSET MANAGEMENT INC.	61010	> Exempt Market Dealer
JUSTWEALTH FINANCIAL INC.	52700	> Portfolio Manager
JVK LIFE & WEALTH ADVISORY GROUP INC./JVK LIFE & WEALTH ADVISORY GROUP	10160	> Exempt Market Dealer
JVK LIFE & WEALTH ADVISORY GROUP INC./JVK LIFE & WEALTH ADVISORY GROUP	10160	> Mutual Fund Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
K.J. HARRISON & PARTNERS INC	11790	> Investment Fund Manager
K.J. HARRISON & PARTNERS INC	11790	> Investment Dealer
K2 & ASSOCIATES INVESTMENT MANAGEMENT INC.	9230	> Investment Fund Manager
K2 & ASSOCIATES INVESTMENT MANAGEMENT INC.	9230	> Portfolio Manager
K2 & ASSOCIATES INVESTMENT MANAGEMENT INC.	9230	> Exempt Market Dealer
KAI ASSET MANAGEMENT INC.	51940	> Investment Fund Manager
KAI ASSET MANAGEMENT INC.	51940	> Portfolio Manager
KAI ASSET MANAGEMENT INC.	51940	> Exempt Market Dealer
KALSA CAPITAL MANAGEMENT INC.	68670	> Investment Fund Manager
KALSA CAPITAL MANAGEMENT INC.	68670	> Portfolio Manager
KALSA CAPITAL MANAGEMENT INC.	68670	> Exempt Market Dealer
KAYAK CAPITAL MANAGEMENT INC.	60070	> Exempt Market Dealer
KAYAK CAPITAL MANAGEMENT INC.	60070	> Portfolio Manager
KAYAK CAPITAL MANAGEMENT INC.	60070	> Investment Fund Manager
KEIRA CAPITAL PARTNERS INC.	38970	> Exempt Market Dealer
KENSINGTON CAPITAL ADVISORS INC.	7330	> Investment Fund Manager
KENSINGTON CAPITAL ADVISORS INC.	7330	> Exempt Market Dealer
KENSINGTON CAPITAL ADVISORS INC.	7330	> Portfolio Manager
KERNAGHAN & PARTNERS LTD.	50390	> Futures Commission Merchant
KERNAGHAN & PARTNERS LTD.	50390	> Investment Dealer
KES 7 CAPITAL INC.	46420	> Exempt Market Dealer
KEYBASE FINANCIAL GROUP INC.	4710	> Exempt Market Dealer
KEYBASE FINANCIAL GROUP INC.	4710	> Mutual Fund Dealer
KICKING HORSE CAPITAL INC.	70050	> Investment Fund Manager
KICKING HORSE CAPITAL INC.	70050	> Portfolio Manager
KICKING HORSE CAPITAL INC.	70050	> Exempt Market Dealer
KILBURN OGILVIE WAYMANN INVESTMENT MANAGEMENT LTD.	17060	> Portfolio Manager
KILGHARRAH ASSET MANAGEMENT INC.	51110	> Portfolio Manager
KILGOUR WILLIAMS CAPITAL INCORPORATED	45930	> Investment Fund Manager
KILGOUR WILLIAMS CAPITAL INCORPORATED	45930	> Exempt Market Dealer
KILGOUR WILLIAMS CAPITAL INCORPORATED	45930	> Restricted Portfolio Manager
KINDIGO CAPITAL LTD.	51630	> Commodity Trading Manager
KINDIGO CAPITAL LTD.	51630	> Exempt Market Dealer
KINDLE CAPITAL MANAGEMENT INC.	44690	> Exempt Market Dealer
KINGWEST & COMPANY / LA SOCIETE KINGWEST ET COMPAGNIE	1930	> Investment Fund Manager
KINGWEST & COMPANY / LA SOCIETE KINGWEST ET COMPAGNIE	1930	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
KINSMAN OAK CAPITAL PARTNERS INC.	66820	> Investment Fund Manager
KINSMAN OAK CAPITAL PARTNERS INC.	66820	> Portfolio Manager
KINSMAN OAK CAPITAL PARTNERS INC.	66820	> Exempt Market Dealer
KINSTED WEALTH INC.	16100	> Investment Fund Manager
KINSTED WEALTH INC.	16100	> Portfolio Manager
KNOWLEDGE FIRST FINANCIAL INC./LA PREMIERE FINANCIERE DU SAVOIR INC.	3230	> Investment Fund Manager
KNOWLEDGE FIRST FINANCIAL INC./LA PREMIERE FINANCIERE DU SAVOIR INC.	3230	> Scholarship Plan Dealer
KOLONA CAPITAL MANAGEMENT INC.	66570	> Investment Fund Manager
KOLONA CAPITAL MANAGEMENT INC.	66570	> Portfolio Manager
KOLONA CAPITAL MANAGEMENT INC.	66570	> Exempt Market Dealer
KPMG CORPORATE FINANCE INC./FINANCEMENT CORPORATIF KPMG INC.	6410	> Exempt Market Dealer
KV CAPITAL INC.	34440	> Investment Fund Manager
KV CAPITAL INC.	34440	> Exempt Market Dealer
KVB FINANCIAL CANADA INC.	65690	> Exempt Market Dealer
KWAJAMII FINANCIAL INC.	62690	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
LA FINANCIERE CONSTANCE INC / CONSTANCE FINANCIAL INC	52130	> Investment Fund Manager
LA FINANCIERE CONSTANCE INC / CONSTANCE FINANCIAL INC	52130	> Portfolio Manager
LAKESHORE SECURITIES INC.	10580	> Investment Dealer
LANGMAIDS ASSET MANAGEMENT INC.	9980	> Portfolio Manager
LANGMAIDS ASSET MANAGEMENT INC.	9980	> Exempt Market Dealer
LASALLE INVESTMENT MANAGEMENT DISTRIBUTORS, LLC	39790	> Exempt Market Dealer
LAURELCREST PARTNERS INC.	68430	> Investment Fund Manager
LAURELCREST PARTNERS INC.	68430	> Portfolio Manager
LAURELCREST PARTNERS INC.	68430	> Exempt Market Dealer
LAURIER CAPITAL FUNDING INC.	43460	> Exempt Market Dealer
LAURUS INVESTMENT COUNSEL INC.	48260	> Investment Fund Manager
LAURUS INVESTMENT COUNSEL INC.	48260	> Portfolio Manager
LAURUS INVESTMENT COUNSEL INC.	48260	> Exempt Market Dealer
LAVBAY CAPITAL MANAGEMENT INC.	53580	> Investment Fund Manager
LAVBAY CAPITAL MANAGEMENT INC.	53580	> Portfolio Manager
LAVBAY CAPITAL MANAGEMENT INC.	53580	> Exempt Market Dealer
LAYLINE CAPITAL INC.	58640	> Commodity Trading Manager
LAYLINE CAPITAL INC.	58640	> Portfolio Manager
LAZARD ASSET MANAGEMENT (CANADA) SECURITIES, ULC	66320	> Exempt Market Dealer
LAZARD ASSET MANAGEMENT (CANADA), INC. / GESTION D'ACTIFS LAZARD (CANADA)	5740	> Investment Fund Manager
LAZARD ASSET MANAGEMENT (CANADA), INC. / GESTION D'ACTIFS LAZARD (CANADA)	5740	> Portfolio Manager
LBC FINANCIAL SERVICES INC./BLC SERVICES FINANCIERS INC.	5100	> Mutual Fund Dealer
LDIC INC.	8550	> Investment Fund Manager
LDIC INC.	8550	> Portfolio Manager
LEEDE JONES GABLE INC.	5770	> Investment Dealer
LEGAL & GENERAL INVESTMENT MANAGEMENT AMERICA, INC.	37980	> Portfolio Manager
LEITH WHEELER INVESTMENT COUNSEL LTD.	45130	> Portfolio Manager
LEITH WHEELER INVESTMENT COUNSEL LTD.	45130	> Exempt Market Dealer
LEITH WHEELER INVESTMENT COUNSEL LTD.	45130	> Investment Fund Manager
LEITH WHEELER INVESTMENT FUNDS LTD.	20750	> Mutual Fund Dealer
LES CONSEILLERS EN PLACEMENTS KERR INC. / KERR FINANCIAL ADVISORS INC.	10440	> Investment Fund Manager
LES CONSEILLERS EN PLACEMENTS KERR INC. / KERR FINANCIAL ADVISORS INC.	10440	> Portfolio Manager
LES INVESTISSEMENTS RIVEMONT INC. / RIVEMONT INVESTMENTS INC.	31760	> Portfolio Manager
LES SERVICES FINANCIERS CCFL S.E.N.C. / CCFL FINANCIAL SERVICES	34270	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
LETKO, BROSSEAU & ASSOCIES INC. / LETKO, BROSSEAU & ASSOCIATES INC.	4440	> Exempt Market Dealer
LETKO, BROSSEAU & ASSOCIES INC. / LETKO, BROSSEAU & ASSOCIATES INC.	4440	> Investment Fund Manager
LETKO, BROSSEAU & ASSOCIES INC. / LETKO, BROSSEAU & ASSOCIATES INC.	4440	> Portfolio Manager
LEVEL 3 INVESTMENT MANAGEMENT INC.	58690	> Exempt Market Dealer
LEVEL 3 INVESTMENT MANAGEMENT INC.	58690	> Investment Fund Manager
LEVEL 3 INVESTMENT MANAGEMENT INC.	58690	> Portfolio Manager
LEWIN CAPITAL MANAGEMENT LTD.	28020	> Portfolio Manager
LEX CAPITAL MANAGEMENT INC.	30380	> Investment Fund Manager
LEX CAPITAL MANAGEMENT INC.	30380	> Exempt Market Dealer
LIAHONA CAPITAL INC.	47620	> Exempt Market Dealer
LIBERTAS CAPITAL PARTNERS INC.	70440	> Exempt Market Dealer
LIBERTY INTERNATIONAL INVESTMENT MANAGEMENT INC.	50470	> Portfolio Manager
LIBERTY NORTH CAPITAL CORP.	46570	> Exempt Market Dealer
LIFEWORCS INVESTMENT MANAGEMENT LTD.	40210	> Investment Fund Manager
LIFEWORCS INVESTMENT MANAGEMENT LTD.	40210	> Portfolio Manager
LIFEWORCS INVESTMENT MANAGEMENT LTD.	40210	> Exempt Market Dealer
LIGHTWATER PARTNERS LTD.	27510	> Exempt Market Dealer
LIGHTWATER PARTNERS LTD.	27510	> Investment Fund Manager
LIGHTWATER PARTNERS LTD.	27510	> Portfolio Manager
LIGHTYEAR CAPITAL INC.	10570	> Investment Dealer
LINCLUDEN INVESTMENT MANAGEMENT LIMITED	38690	> Investment Fund Manager
LINCLUDEN INVESTMENT MANAGEMENT LIMITED	38690	> Portfolio Manager
LINCLUDEN INVESTMENT MANAGEMENT LIMITED	38690	> Exempt Market Dealer
LINDE EQUITY INC.	14720	> Portfolio Manager
LINDE EQUITY INC.	14720	> Investment Fund Manager
LINDE EQUITY INC.	14720	> Exempt Market Dealer
LINDEN MILLS INVESTMENTS INC.	20950	> Exempt Market Dealer
LINK PLAN MANAGEMENT INC.	57600	> Portfolio Manager
LIONGUARD CAPITAL MANAGEMENT INC.	48220	> Investment Fund Manager
LIONGUARD CAPITAL MANAGEMENT INC.	48220	> Portfolio Manager
LIONGUARD CAPITAL MANAGEMENT INC.	48220	> Exempt Market Dealer
LIONRIDGE CAPITAL MANAGEMENT INC.	15790	> Exempt Market Dealer
LIONRIDGE CAPITAL MANAGEMENT INC.	15790	> Investment Fund Manager
LIONRIDGE CAPITAL MANAGEMENT INC.	15790	> Portfolio Manager
LIQUIDNET CANADA INC. / LIQUIDENET CANADA INC.	16680	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
LISSOM INVESTMENT MANAGEMENT INC.	18770	> Investment Fund Manager
LISSOM INVESTMENT MANAGEMENT INC.	18770	> Portfolio Manager
LISSOM INVESTMENT MANAGEMENT INC.	18770	> Exempt Market Dealer
LOGAN WEALTH MANAGEMENT INC.	40200	> Portfolio Manager
LONGBOW CAPITAL INC	29040	> Investment Fund Manager
LONGBOW CAPITAL INC	29040	> Exempt Market Dealer
LONGVIEW ASSET MANAGEMENT LTD.	37480	> Investment Fund Manager
LONGVIEW ASSET MANAGEMENT LTD.	37480	> Portfolio Manager
LOOMIS, SAYLES & COMPANY, L.P.	17600	> Portfolio Manager
LOOP SECURITIES INC.	56230	> Exempt Market Dealer
LORNE STEINBERG WEALTH MANAGEMENT INC. / GESTION DE PATRIMOINE LORNE STEINBERG	30200	> Investment Fund Manager
LORNE STEINBERG WEALTH MANAGEMENT INC. / GESTION DE PATRIMOINE LORNE STEINBERG	30200	> Exempt Market Dealer
LORNE STEINBERG WEALTH MANAGEMENT INC. / GESTION DE PATRIMOINE LORNE STEINBERG	30200	> Portfolio Manager
LOUISBOURG INVESTMENTS INC./LES PLACEMENTS LOUISBOURG INC.	15320	> Investment Fund Manager
LOUISBOURG INVESTMENTS INC./LES PLACEMENTS LOUISBOURG INC.	15320	> Portfolio Manager
LOUISBOURG INVESTMENTS INC./LES PLACEMENTS LOUISBOURG INC.	15320	> Exempt Market Dealer
LP FINANCIAL PLANNING SERVICES LTD.	14020	> Mutual Fund Dealer
LSV ASSET MANAGEMENT	8920	> Exempt Market Dealer
LSV ASSET MANAGEMENT	8920	> Portfolio Manager
LUMEN ASSET MANAGEMENT INC.	52480	> Investment Fund Manager
LUMEN ASSET MANAGEMENT INC.	52480	> Portfolio Manager
LUMEN ASSET MANAGEMENT INC.	52480	> Exempt Market Dealer
LYCOS ASSET MANAGEMENT INC.	28580	> Portfolio Manager
LYNWOOD CAPITAL MANAGEMENT INC.	60850	> Investment Fund Manager
LYNWOOD CAPITAL MANAGEMENT INC.	60850	> Portfolio Manager
LYNWOOD CAPITAL MANAGEMENT INC.	60850	> Exempt Market Dealer
LYSANDER FUNDS LIMITED	34560	> Portfolio Manager
LYSANDER FUNDS LIMITED	34560	> Investment Fund Manager
LYSANDER FUNDS LIMITED	34560	> Exempt Market Dealer
LYTTON FINANCIAL INC.	18500	> Exempt Market Dealer



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
M PARTNERS INC.	20360	> Investment Dealer
M.S. LAMONT AND ASSOCIATES LIMITED	1990	> Portfolio Manager
M.Y. CAPITAL MANAGEMENT CORP.	41150	> Investment Fund Manager
M.Y. CAPITAL MANAGEMENT CORP.	41150	> Portfolio Manager
M.Y. CAPITAL MANAGEMENT CORP.	41150	> Exempt Market Dealer
MACDONALD, SHYMKO & COMPANY LTD.	14890	> Portfolio Manager
MACKENZIE FINANCIAL CORPORATION	2130	> Investment Fund Manager
MACKENZIE FINANCIAL CORPORATION	2130	> Commodity Trading Manager
MACKENZIE FINANCIAL CORPORATION	2130	> Portfolio Manager
MACKENZIE FINANCIAL CORPORATION	2130	> Exempt Market Dealer
MACKINNON, BENNETT & COMPANY INC. / MACKINNON, BENNETT & COMPAGNIE INC.	32490	> Exempt Market Dealer
MACNICOL & ASSOCIATES ASSET MANAGEMENT INC.	12500	> Investment Fund Manager
MACNICOL & ASSOCIATES ASSET MANAGEMENT INC.	12500	> Portfolio Manager
MACNICOL & ASSOCIATES ASSET MANAGEMENT INC.	12500	> Exempt Market Dealer
MACQUARIE CAPITAL MARKETS CANADA LTD./MARCHES FINANCIERS MACQUARIE CANADA LTEE.	3950	> Futures Commission Merchant
MACQUARIE CAPITAL MARKETS CANADA LTD./MARCHES FINANCIERS MACQUARIE CANADA LTEE.	3950	> Investment Dealer
MACQUARIE INFRASTRUCTURE AND REAL ASSETS (SALES) CANADA LTD.	37360	> Exempt Market Dealer
MAGENTA CAPITAL CORPORATION	33730	> Exempt Market Dealer
MAISON PLACEMENTS CANADA INC.	2140	> Investment Dealer
MAJESTIC ASSET MANAGEMENT LLC	29010	> Portfolio Manager
MAJESTIC ASSET MANAGEMENT LLC	29010	> Investment Fund Manager
MAJESTIC ASSET MANAGEMENT LLC	29010	> Exempt Market Dealer
MAJESTIC ASSET MANAGEMENT LLC	29010	> Commodity Trading Manager
MANDEVILLE PRIVATE CLIENT INC./GESTION PRIVEE MANDEVILLE INC.	34220	> Investment Dealer
MANITOU INVESTMENT MANAGEMENT LTD.	8430	> Investment Fund Manager
MANITOU INVESTMENT MANAGEMENT LTD.	8430	> Portfolio Manager
MANITOU INVESTMENT MANAGEMENT LTD.	8430	> Exempt Market Dealer
MANULIFE INVESTMENT MANAGEMENT DISTRIBUTORS INC./DISTRIBUTION GESTION DE PLACEMENTS MANUVIE INC.	48020	> Exempt Market Dealer
MANULIFE INVESTMENT MANAGEMENT LIMITED/GESTION DE PLACEMENTS MANUVIE LIMITEE	1150	> Investment Fund Manager
MANULIFE INVESTMENT MANAGEMENT LIMITED/GESTION DE PLACEMENTS MANUVIE LIMITEE	1150	> Commodity Trading Manager
MANULIFE INVESTMENT MANAGEMENT LIMITED/GESTION DE PLACEMENTS MANUVIE LIMITEE	1150	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
MANULIFE SECURITIES INCORPORATED/PLACEMENTS MANUVIE INCORPOREE	17820	> Investment Dealer
MANULIFE SECURITIES INVESTMENT SERVICES INC.	28150	> Exempt Market Dealer
MANULIFE SECURITIES INVESTMENT SERVICES INC.	28150	> Mutual Fund Dealer
MAPLE LEAF ANGELS CORPORATION	29700	> Exempt Market Dealer
MAPLE ROCK CAPITAL PARTNERS INC.	48840	> Exempt Market Dealer
MAPLE ROCK CAPITAL PARTNERS INC.	48840	> Investment Fund Manager
MAPLE ROCK CAPITAL PARTNERS INC.	48840	> Portfolio Manager
MAPLEHILL CAPITAL MANAGEMENT CORPORATION	28640	> Portfolio Manager
MAPLEHILL CAPITAL MANAGEMENT CORPORATION	28640	> Exempt Market Dealer
MAPLEWEST CAPITAL CORPORATION	50500	> Investment Fund Manager
MAPLEWEST CAPITAL CORPORATION	50500	> Portfolio Manager
MAPLEWEST CAPITAL CORPORATION	50500	> Exempt Market Dealer
MARATHON CAPITAL MARKETS, LLC	34150	> Exempt Market Dealer
MARKTAXESS CANADA COMPANY/SOCIETE MARKTAXESS CANADA	22630	> Investment Dealer
MARKHAM CENTRE FINANCIAL SECURITIES INC.	61030	> Exempt Market Dealer
MARKSMAN ASSET MANAGEMENT INC.	58810	> Portfolio Manager
MARKSMAN ASSET MANAGEMENT INC.	58810	> Exempt Market Dealer
MARQUEST ASSET MANAGEMENT INC. / INVESTISSEMENT CONSEIL MARQUEST	2310	> Investment Fund Manager
MARQUEST ASSET MANAGEMENT INC. / INVESTISSEMENT CONSEIL MARQUEST	2310	> Portfolio Manager
MARQUEST ASSET MANAGEMENT INC. / INVESTISSEMENT CONSEIL MARQUEST	2310	> Exempt Market Dealer
MARRET ASSET MANAGEMENT INC.	10780	> Investment Fund Manager
MARRET ASSET MANAGEMENT INC.	10780	> Commodity Trading Manager
MARRET ASSET MANAGEMENT INC.	10780	> Portfolio Manager
MARRET ASSET MANAGEMENT INC.	10780	> Exempt Market Dealer
MARTIN, LUCAS & SEAGRAM LTD.	2160	> Portfolio Manager
MARVAL CAPITAL LTD.	59390	> Investment Fund Manager
MARVAL CAPITAL LTD.	59390	> Portfolio Manager
MARVAL CAPITAL LTD.	59390	> Exempt Market Dealer
MARYANA CAPITAL INC.	59860	> Investment Fund Manager
MARYANA CAPITAL INC.	59860	> Portfolio Manager
MATCO FINANCIAL INC.	24290	> Investment Fund Manager
MATCO FINANCIAL INC.	24290	> Portfolio Manager
MATCO FINANCIAL INC.	24290	> Mutual Fund Dealer
MATNOR HOLDINGS INC.	3810	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
MATSON MONEY, INC.	67080	> Portfolio Manager
MAWER INVESTMENT MANAGEMENT LTD.	16280	> Investment Fund Manager
MAWER INVESTMENT MANAGEMENT LTD.	16280	> Portfolio Manager
MAWER INVESTMENT MANAGEMENT LTD.	16280	> Mutual Fund Dealer
MAXAM CAPITAL MANAGEMENT LTD.	28060	> Investment Fund Manager
MAXAM CAPITAL MANAGEMENT LTD.	28060	> Portfolio Manager
MAXAM CAPITAL MANAGEMENT LTD.	28060	> Exempt Market Dealer
MAXIT CAPITAL LP	47150	> Exempt Market Dealer
MCELVAINÉ INVESTMENT MANAGEMENT LTD.	8310	> Investment Fund Manager
MCELVAINÉ INVESTMENT MANAGEMENT LTD.	8310	> Portfolio Manager
MCELVAINÉ INVESTMENT MANAGEMENT LTD.	8310	> Exempt Market Dealer
MCF SECURITIES INC.	39890	> Exempt Market Dealer
MCKINLEY CAPITAL MANAGEMENT, LLC	7160	> Portfolio Manager
MCLEAN ASSET MANAGEMENT LTD.	8540	> Investment Fund Manager
MCLEAN ASSET MANAGEMENT LTD.	8540	> Portfolio Manager
MCLEAN ASSET MANAGEMENT LTD.	8540	> Exempt Market Dealer
MD FINANCIAL MANAGEMENT INC./GESTION FINANCIERE MD INC.	29830	> Commodity Trading Manager
MD FINANCIAL MANAGEMENT INC./GESTION FINANCIERE MD INC.	29830	> Investment Fund Manager
MD FINANCIAL MANAGEMENT INC./GESTION FINANCIERE MD INC.	29830	> Portfolio Manager
MD MANAGEMENT LIMITED/GESTION MD LIMITEE	2200	> Investment Dealer
MEADOWBANK ASSET MANAGEMENT INC.	24010	> Exempt Market Dealer
MEADOWBANK ASSET MANAGEMENT INC.	24010	> Portfolio Manager
MECKELBORG FINANCIAL GROUP LTD.	34410	> Portfolio Manager
MERCER GLOBAL INVESTMENTS CANADA LIMITED	18020	> Commodity Trading Manager
MERCER GLOBAL INVESTMENTS CANADA LIMITED	18020	> Investment Fund Manager
MERCER GLOBAL INVESTMENTS CANADA LIMITED	18020	> Portfolio Manager
MERCER GLOBAL INVESTMENTS CANADA LIMITED	18020	> Exempt Market Dealer
MERCURY CAC HOLDINGS LIMITED	60930	> Exempt Market Dealer
MERRILL LYNCH CANADA INC.	2210	> Futures Commission Merchant
MERRILL LYNCH CANADA INC.	2210	> Investment Dealer
MFS INVESTMENT MANAGEMENT CANADA LIMITED/MFS GESTION DE PLACEMENTS CANADA LIMITEE	2190	> Exempt Market Dealer
MFS INVESTMENT MANAGEMENT CANADA LIMITED/MFS GESTION DE PLACEMENTS CANADA LIMITEE	2190	> Investment Fund Manager
MFS INVESTMENT MANAGEMENT CANADA LIMITED/MFS GESTION DE PLACEMENTS CANADA LIMITEE	2190	> Portfolio Manager
MIDDLEFIELD CAPITAL CORPORATION	2300	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
MIDDLEFIELD LIMITED	34870	> Investment Fund Manager
MIKALACHKI INVESTMENT MANAGEMENT LTD.	7610	> Portfolio Manager
MILES SANTO AND ASSOCIATES INC.	5060	> Mutual Fund Dealer
MILESTONE INVESTMENT COUNSEL INC.	5840	> Portfolio Manager
MILESTONE WEALTH MANAGEMENT LTD.	66810	> Portfolio Manager
MILLAR PRIVATE WEALTH MANAGEMENT INC.	37320	> Portfolio Manager
MILLAR PRIVATE WEALTH MANAGEMENT INC.	37320	> Exempt Market Dealer
MIM I LLC	38840	> Portfolio Manager
MINE EQUITIES LTD.	65660	> Exempt Market Dealer
MIRABAUD CANADA INC.	6030	> Investment Dealer
MIZUHO SECURITIES CANADA INC.	65230	> Investment Dealer
MM ASSET MANAGEMENT INC.	21760	> Investment Fund Manager
MM ASSET MANAGEMENT INC.	21760	> Portfolio Manager
MM ASSET MANAGEMENT INC.	21760	> Exempt Market Dealer
MNP CORPORATE FINANCE INC.	29910	> Exempt Market Dealer
MODERN ADVISOR CANADA INC.	51160	> Portfolio Manager
MOERUS CAPITAL MANAGEMENT LLC	57040	> Portfolio Manager
MOHAWK PRIVATE WEALTH INC.	61080	> Exempt Market Dealer
MONARCH WEALTH CORPORATION	1400	> Exempt Market Dealer
MONARCH WEALTH CORPORATION	1400	> Mutual Fund Dealer
MONDIALE ASSET MANAGEMENT LTD.	10670	> Commodity Trading Manager
MONDIALE ASSET MANAGEMENT LTD.	10670	> Commodity Trading Counsel
MONDIALE ASSET MANAGEMENT LTD.	10670	> Portfolio Manager
MONEYSTRAT SECURITIES INC.	2220	> Exempt Market Dealer
MONEYSTRAT SECURITIES INC.	2220	> Mutual Fund Dealer
MONTAG PRIVATE WEALTH INC. / MONTAG GESTION PRIVEE INC.	42100	> Portfolio Manager
MONTRUSCO BOLTON INVESTMENTS INC./PLACEMENTS MONTRUSCO BOLTON INC.	290	> Investment Fund Manager
MONTRUSCO BOLTON INVESTMENTS INC./PLACEMENTS MONTRUSCO BOLTON INC.	290	> Commodity Trading Manager
MONTRUSCO BOLTON INVESTMENTS INC./PLACEMENTS MONTRUSCO BOLTON INC.	290	> Portfolio Manager
MONTRUSCO BOLTON INVESTMENTS INC./PLACEMENTS MONTRUSCO BOLTON INC.	290	> Exempt Market Dealer
MORBANK FUND MANAGEMENT INC.	39160	> Exempt Market Dealer
MORGAN MEIGHEN & ASSOCIATES LIMITED	4150	> Investment Fund Manager
MORGAN MEIGHEN & ASSOCIATES LIMITED	4150	> Exempt Market Dealer
MORGAN MEIGHEN & ASSOCIATES LIMITED	4150	> Portfolio Manager

## List of Ontario Registrants as of September 16, 2021

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
MORGAN STANLEY CANADA LIMITED/MORGAN STANLEY CANADA LIMITEE	2480	> Investment Dealer
MORGAN STANLEY WEALTH MANAGEMENT CANADA INC.	39130	> Investment Dealer
MORNINGSTAR ASSOCIATES INC.	35390	> Portfolio Manager
MOUNT LUCAS MANAGEMENT LP	40710	> Commodity Trading Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	> Investment Fund Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	> Commodity Trading Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	> Portfolio Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	> Exempt Market Dealer
MPA MORRISON PARK ADVISORS INC.	37260	> Exempt Market Dealer
MUFG SECURITIES (CANADA), LTD.	54270	> Investment Dealer
MURCHINSON LTD.	53110	> Investment Fund Manager
MURCHINSON LTD.	53110	> Exempt Market Dealer
MURCHINSON LTD.	53110	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
NAPG EQUITIES INC.	2620	> Exempt Market Dealer
NATIONAL BANK FINANCIAL INC./FINANCIERE BANQUE NATIONALE INC.	1960	> Futures Commission Merchant
NATIONAL BANK FINANCIAL INC./FINANCIERE BANQUE NATIONALE INC.	1960	> Investment Dealer
NATIONAL BANK TRUST INC./TRUST BANQUE NATIONALE INC.	8570	> Commodity Trading Manager
NATIONAL BANK TRUST INC./TRUST BANQUE NATIONALE INC.	8570	> Investment Fund Manager
NATIONAL BANK TRUST INC./TRUST BANQUE NATIONALE INC.	8570	> Exempt Market Dealer
NATIONAL BANK TRUST INC./TRUST BANQUE NATIONALE INC.	8570	> Portfolio Manager
NAVROC INVESTMENT MANAGEMENT INC.	39570	> Portfolio Manager
NCM ASSET MANAGEMENT LTD.	11210	> Investment Fund Manager
NCM ASSET MANAGEMENT LTD.	11210	> Portfolio Manager
NCP INVESTMENT MANAGEMENT INC.	38220	> Investment Fund Manager
NCP INVESTMENT MANAGEMENT INC.	38220	> Portfolio Manager
NCP INVESTMENT MANAGEMENT INC.	38220	> Exempt Market Dealer
NDB GROUP SYNDICATIONS INC.	9240	> Exempt Market Dealer
NDB GROUP SYNDICATIONS INC.	9240	> Restricted Portfolio Manager
NELSON PORTFOLIO MANAGEMENT CORP.	44440	> Investment Fund Manager
NELSON PORTFOLIO MANAGEMENT CORP.	44440	> Portfolio Manager
NEO-CRITERION CAPITAL SINGAPORE PTE. LTD.	70080	> Portfolio Manager
NEST WEALTH ASSET MANAGEMENT INC.	16210	> Investment Fund Manager
NEST WEALTH ASSET MANAGEMENT INC.	16210	> Portfolio Manager
NEST WEALTH ASSET MANAGEMENT INC.	16210	> Exempt Market Dealer
NETWORTH FINANCIAL CORP	14350	> Mutual Fund Dealer
NEUBERGER BERMAN BRETON HILL ULC	32370	> Commodity Trading Manager
NEUBERGER BERMAN BRETON HILL ULC	32370	> Investment Fund Manager
NEUBERGER BERMAN BRETON HILL ULC	32370	> Portfolio Manager
NEUBERGER BERMAN BRETON HILL ULC	32370	> Exempt Market Dealer
NEWGEN ASSET MANAGEMENT LIMITED	31070	> Investment Fund Manager
NEWGEN ASSET MANAGEMENT LIMITED	31070	> Portfolio Manager
NEWGEN ASSET MANAGEMENT LIMITED	31070	> Exempt Market Dealer
NEWHAVEN ASSET MANAGEMENT INC.	9010	> Portfolio Manager
NEWPOINT CAPITAL PARTNERS INC.	7590	> Exempt Market Dealer
NEWPORT PRIVATE WEALTH INC.	10600	> Investment Fund Manager
NEWPORT PRIVATE WEALTH INC.	10600	> Portfolio Manager
NEWPORT PRIVATE WEALTH INC.	10600	> Exempt Market Dealer
NEXT EDGE CAPITAL CORP.	23200	> Investment Fund Manager
NEXT EDGE CAPITAL CORP.	23200	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
NEXT EDGE CAPITAL CORP.	23200	> Exempt Market Dealer
NEXTGEN FINANCIAL PLANNING INC.	62840	> Portfolio Manager
NEXUS INVESTMENT MANAGEMENT ULC	350	> Investment Fund Manager
NEXUS INVESTMENT MANAGEMENT ULC	350	> Portfolio Manager
NEXUSCROWD INC.	49290	> Exempt Market Dealer
NICOLA WEALTH MANAGEMENT LTD.	14790	> Investment Fund Manager
NICOLA WEALTH MANAGEMENT LTD.	14790	> Exempt Market Dealer
NICOLA WEALTH MANAGEMENT LTD.	14790	> Portfolio Manager
NINEPOINT PARTNERS LP	59250	> Commodity Trading Manager
NINEPOINT PARTNERS LP	59250	> Investment Fund Manager
NINEPOINT PARTNERS LP	59250	> Portfolio Manager
NINEPOINT PARTNERS LP	59250	> Exempt Market Dealer
NISA INVESTMENT ADVISORS, LLC	25070	> Commodity Trading Manager
NISA INVESTMENT ADVISORS, LLC	25070	> Portfolio Manager
NOAH CANADA WEALTH MANAGEMENT LIMITED	64330	> Investment Fund Manager
NOAH CANADA WEALTH MANAGEMENT LIMITED	64330	> Exempt Market Dealer
NOBLE BAY ASSET MANAGEMENT INC.	44830	> Portfolio Manager
NORTH GROWTH MANAGEMENT LTD	14320	> Investment Fund Manager
NORTH GROWTH MANAGEMENT LTD	14320	> Exempt Market Dealer
NORTHBRIDGE CAPITAL PARTNERS LTD.	35220	> Investment Fund Manager
NORTHBRIDGE CAPITAL PARTNERS LTD.	35220	> Exempt Market Dealer
NORTHCREST PARTNERS INC.	26850	> Exempt Market Dealer
NORTHERN ALLIANCE FINANCIAL CORPORATION	51320	> Exempt Market Dealer
NORTHERN PRECIOUS METALS MANAGEMENT INC./GESTION METAUX PRECIEUX NORTHERN INC.	21860	> Portfolio Manager
NORTHFRONT FINANCIAL INC.	64170	> Investment Fund Manager
NORTHFRONT FINANCIAL INC.	64170	> Portfolio Manager
NORTHFRONT FINANCIAL INC.	64170	> Exempt Market Dealer
NORTHLAND WEALTH MANAGEMENT INC.	37060	> Portfolio Manager
NORTHLEAF CAPITAL PARTNERS (CANADA) LTD	31300	> Exempt Market Dealer
NORTHLEAF CAPITAL PARTNERS (CANADA) LTD	31300	> Investment Fund Manager
NORTHLEAF CAPITAL PARTNERS (CANADA) LTD	31300	> Portfolio Manager
NORTHPOINT INVESTMENT PARTNERS LIMITED	49100	> Investment Fund Manager
NORTHPOINT INVESTMENT PARTNERS LIMITED	49100	> Portfolio Manager
NORTHSTREAM CAPITAL INC.	53710	> Investment Fund Manager
NORTHSTREAM CAPITAL INC.	53710	> Portfolio Manager
NORTHSTREAM CAPITAL INC.	53710	> Exempt Market Dealer
NORTHWEST & ETHICAL INVESTMENTS L.P.	26910	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
NORTHWEST & ETHICAL INVESTMENTS L.P.	26910	> Commodity Trading Manager
NORTHWEST & ETHICAL INVESTMENTS L.P.	26910	> Investment Fund Manager
NORTHWEST & ETHICAL INVESTMENTS L.P.	26910	> Portfolio Manager
NORTHWOOD FAMILY OFFICE LTD.	15810	> Portfolio Manager
NORTHWOOD FAMILY OFFICE LTD.	15810	> Exempt Market Dealer
NOUR PRIVATE WEALTH INC./GESTION PRIVEE NOUR INC.	58120	> Investment Dealer
NS PARTNERS LTD	4320	> Investment Fund Manager
NS PARTNERS LTD	4320	> Exempt Market Dealer
NS PARTNERS LTD	4320	> Portfolio Manager
NT GLOBAL ADVISORS, INC./ CONSEILLERS MONDIAUX NT	1060	> Commodity Trading Manager
NT GLOBAL ADVISORS, INC./ CONSEILLERS MONDIAUX NT	1060	> Investment Fund Manager
NT GLOBAL ADVISORS, INC./ CONSEILLERS MONDIAUX NT	1060	> Portfolio Manager
NT GLOBAL ADVISORS, INC./ CONSEILLERS MONDIAUX NT	1060	> Exempt Market Dealer
NUMUS CAPITAL CORP.	57260	> Exempt Market Dealer
NUVEEN CANADA COMPANY	63210	> Exempt Market Dealer
NVESTRY CAPITAL INC.	38440	> Exempt Market Dealer
NYLIFE DISTRIBUTORS LLC	23780	> Exempt Market Dealer
NYMBUS CAPITAL	19940	> Investment Fund Manager
NYMBUS CAPITAL	19940	> Portfolio Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
OAK BAY CAPITAL INCORPORATED	67060	> Exempt Market Dealer
OAK BAY CAPITAL INCORPORATED	67060	> Investment Fund Manager
OAK BAY CAPITAL INCORPORATED	67060	> Portfolio Manager
OAKHAVEN WEALTH ADVISORS INC.	15640	> Mutual Fund Dealer
OANDA (CANADA) CORPORATION ULC	24590	> Investment Dealer
OBERON CAPITAL CORPORATION	30370	> Investment Fund Manager
OBERON CAPITAL CORPORATION	30370	> Portfolio Manager
OBERON CAPITAL CORPORATION	30370	> Exempt Market Dealer
OCP FUND MANAGEMENT LP	52070	> Investment Fund Manager
OCP FUND MANAGEMENT LP	52070	> Portfolio Manager
OCP FUND MANAGEMENT LP	52070	> Exempt Market Dealer
ODLUM BROWN LIMITED	2640	> Investment Dealer
OGAM LTD.	22940	> Investment Fund Manager
OGAM LTD.	22940	> Portfolio Manager
OGAM LTD.	22940	> Exempt Market Dealer
OLDFIELD PARTNERS LLP	31510	> Portfolio Manager
OLYMPIAN FINANCIAL INC.	6820	> Exempt Market Dealer
OLYMPIAN FINANCIAL INC.	6820	> Mutual Fund Dealer
OMERS INVESTMENT MANAGEMENT INC. / GESTION DE PLACEMENTS OMERS INC.	9930	> Exempt Market Dealer
OMG WEALTH MANAGEMENT INC.	23580	> Investment Dealer
OMNIVITA CUSTOM WEALTH MANAGEMENT INC.	56600	> Investment Dealer
ONE CAPITAL MANAGEMENT, LLC	30870	> Portfolio Manager
ONESIXTYTWO CAPITAL LTD.	70090	> Portfolio Manager
ONESIXTYTWO CAPITAL LTD.	70090	> Exempt Market Dealer
ONESIXTYTWO CAPITAL LTD.	70090	> Investment Fund Manager
ONEX CREDIT PARTNERS, LLC	27800	> Investment Fund Manager
ONEX CREDIT PARTNERS, LLC	27800	> Exempt Market Dealer
ONEX CREDIT PARTNERS, LLC	27800	> Portfolio Manager
OPEN ACCESS LIMITED	6240	> Mutual Fund Dealer
OPEN ACCESS LIMITED	6240	> Portfolio Manager
OPEN ACCESS LIMITED	6240	> Exempt Market Dealer
OPTIMIZE INC.	31830	> Exempt Market Dealer
OPTIMIZE INC.	31830	> Investment Fund Manager
OPTIMIZE INC.	31830	> Portfolio Manager
OPTIMUM GESTION DE PLACEMENTS INC. / OPTIMUM ASSET MANAGEMENT INC.	20020	> Portfolio Manager
ORBIS INVESTMENT ADVISORY (CANADA) LIMITED	27900	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ORIGIN MERCHANT SECURITIES INC.	40580	> Exempt Market Dealer
ORTHOGONAL CAPITAL MANAGEMENT CORPORATION	56850	> Portfolio Manager
O'SHAUGHNESSY ASSET MANAGEMENT, LLC	27910	> Portfolio Manager
OSPREY CAPITAL PARTNERS INC.	8330	> Exempt Market Dealer
OTT CAPITAL CORPORATION	28730	> Investment Fund Manager
OTT CAPITAL CORPORATION	28730	> Portfolio Manager
OTT CAPITAL CORPORATION	28730	> Exempt Market Dealer
OTT FINANCIAL CANADA INC.	53770	> Futures Commission Merchant
OTT FINANCIAL CANADA INC.	53770	> Investment Dealer
OUR FAMILY OFFICE INC.	58540	> Investment Fund Manager
OUR FAMILY OFFICE INC.	58540	> Portfolio Manager
OUR FAMILY OFFICE INC.	58540	> Exempt Market Dealer
OURCROWD CANADA INC	55600	> Exempt Market Dealer
OUTCOME METRIC ASSET MANAGEMENT LIMITED PARTNERSHIP / SOCIETE EN COMMANDITE GESTION D'ACTIFS OUTCOME METRIQUES	43210	> Commodity Trading Manager
OUTCOME METRIC ASSET MANAGEMENT LIMITED PARTNERSHIP / SOCIETE EN COMMANDITE GESTION D'ACTIFS OUTCOME METRIQUES	43210	> Investment Fund Manager
OUTCOME METRIC ASSET MANAGEMENT LIMITED PARTNERSHIP / SOCIETE EN COMMANDITE GESTION D'ACTIFS OUTCOME METRIQUES	43210	> Portfolio Manager
OUTCOME METRIC ASSET MANAGEMENT LIMITED PARTNERSHIP / SOCIETE EN COMMANDITE GESTION D'ACTIFS OUTCOME METRIQUES	43210	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
PACIFIC SPIRIT INVESTMENT MANAGEMENT INC.	15140	> Portfolio Manager
PACIFICA PARTNERS INC.	28570	> Investment Fund Manager
PACIFICA PARTNERS INC.	28570	> Portfolio Manager
PADLOCK INVESTMENT MANAGEMENT INC.	39050	> Portfolio Manager
PALETTE INVESTMENT MANAGEMENT INC.	49180	> Investment Fund Manager
PALETTE INVESTMENT MANAGEMENT INC.	49180	> Portfolio Manager
PALETTE INVESTMENT MANAGEMENT INC.	49180	> Exempt Market Dealer
PALISADE CAPITAL MANAGEMENT LTD.	16620	> Investment Fund Manager
PALISADE CAPITAL MANAGEMENT LTD.	16620	> Exempt Market Dealer
PALOS WEALTH MANAGEMENT INC.	56630	> Portfolio Manager
PANAGORA ASSET MANAGEMENT, INC.	4460	> Exempt Market Dealer
PANAGORA ASSET MANAGEMENT, INC.	4460	> Commodity Trading Manager
PANAGORA ASSET MANAGEMENT, INC.	4460	> Portfolio Manager
PANGAEA ASSET MANAGEMENT INC.	22690	> Investment Fund Manager
PANGAEA ASSET MANAGEMENT INC.	22690	> Portfolio Manager
PANGAEA ASSET MANAGEMENT INC.	22690	> Exempt Market Dealer
PARADIGM CAPITAL INC. / PARADIGME CAPITAL INC.	3450	> Investment Dealer
PARAGON PRIVATE WEALTH, INC./CLIENT PRIVE PARAGON	35780	> Portfolio Manager
PARAMETRIC PORTFOLIO ASSOCIATES LLC	42850	> Commodity Trading Manager
PARAMETRIC PORTFOLIO ASSOCIATES LLC	42850	> Portfolio Manager
PARK PRIVATE WEALTH INC.	38950	> Portfolio Manager
PARTNERS GROUP (USA) INC.	43570	> Portfolio Manager
PARTNERS GROUP (USA) INC.	43570	> Exempt Market Dealer
PATHFINDER ASSET MANAGEMENT LIMITED	32660	> Investment Fund Manager
PATHFINDER ASSET MANAGEMENT LIMITED	32660	> Portfolio Manager
PATHWAY CAPITAL MANAGEMENT, LP	22060	> Exempt Market Dealer
PATHWAY CAPITAL MANAGEMENT, LP	22060	> Portfolio Manager
PATIENT CAPITAL MANAGEMENT INC.	9300	> Portfolio Manager
PATIENT CAPITAL MANAGEMENT INC.	9300	> Exempt Market Dealer
PATRIMONICA GESTION D'ACTIFS INC. / PATRIMONICA ASSET MANagements INC.	39670	> Portfolio Manager
PAVILION GLOBAL MARKETS LTD	19170	> Futures Commission Merchant
PAVILION GLOBAL MARKETS LTD	19170	> Investment Dealer
PBY CAPITAL LIMITED	68600	> Exempt Market Dealer
PCJ INVESTMENT COUNSEL LTD.	7060	> Investment Fund Manager
PCJ INVESTMENT COUNSEL LTD.	7060	> Portfolio Manager
PE GATE PARTNERS	62620	> Exempt Market Dealer
PEAK SECURITIES INC./VALEURS MOBILIERES PEAK INC.	10710	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
PEARTREE SECURITIES INC.	43510	> Restricted Portfolio Manager
PEARTREE SECURITIES INC.	43510	> Investment Fund Manager
PEARTREE SECURITIES INC.	43510	> Exempt Market Dealer
PEER SECURITIES CORPORATION	65410	> Exempt Market Dealer
PENDERFUND CAPITAL MANAGEMENT LTD.	17110	> Exempt Market Dealer
PENDERFUND CAPITAL MANAGEMENT LTD.	17110	> Portfolio Manager
PENDERFUND CAPITAL MANAGEMENT LTD.	17110	> Investment Fund Manager
PEREGRINE INVESTMENT MANAGEMENT INC.	17620	> Investment Fund Manager
PEREGRINE INVESTMENT MANAGEMENT INC.	17620	> Portfolio Manager
PEREGRINE INVESTMENT MANAGEMENT INC.	17620	> Exempt Market Dealer
PERENNIAL ASSET MANAGEMENT CORP.	21500	> Commodity Trading Manager
PERENNIAL ASSET MANAGEMENT CORP.	21500	> Investment Fund Manager
PERENNIAL ASSET MANAGEMENT CORP.	21500	> Portfolio Manager
PERENNIAL ASSET MANAGEMENT CORP.	21500	> Exempt Market Dealer
PERFORMANCE CAPITAL LIMITED	5260	> Portfolio Manager
PERFORMANCE CAPITAL LIMITED	5260	> Investment Fund Manager
PERFORMANCE CAPITAL LIMITED	5260	> Exempt Market Dealer
PERFORMANCE EQUITY MANAGEMENT, LLC	18980	> Portfolio Manager
PERIMETER MARKETS INC.	22510	> Investment Dealer
PERIMETER MARKETS INC.	22510	> Futures Commission Merchant
PERISCOPE CAPITAL INC.	29480	> Commodity Trading Manager
PERISCOPE CAPITAL INC.	29480	> Commodity Trading Counsel
PERISCOPE CAPITAL INC.	29480	> Exempt Market Dealer
PERISCOPE CAPITAL INC.	29480	> Investment Fund Manager
PERISCOPE CAPITAL INC.	29480	> Portfolio Manager
PERSHING SECURITIES CANADA LIMITED	32380	> Investment Dealer
PETERS & CO. LIMITED	2730	> Investment Dealer
PFSL FUND MANAGEMENT LTD./GESTION DES FONDS PFSL LTEE	39310	> Investment Fund Manager
PFSL INVESTMENTS CANADA LTD.	2830	> Mutual Fund Dealer
PHILLIPS, HAGER & NORTH INVESTMENT FUNDS LTD.	11560	> Mutual Fund Dealer
PI FINANCIAL CORP./CORPORATION FINANCIERE PI	5290	> Futures Commission Merchant
PI FINANCIAL CORP./CORPORATION FINANCIERE PI	5290	> Investment Dealer
PICTET ASSET MANAGEMENT INC. / PICTET GESTION D'ACTIFS INC.	29250	> Portfolio Manager
PICTET CANADA L.P./PICTET CANADA S.E.C.	7090	> Investment Dealer
PICTON MAHONEY ASSET MANAGEMENT / GESTION D'ACTIFS PICTON MAHONEY	18750	> Commodity Trading Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
PORTFOLIO STRATEGIES CORPORATION	10850	> Investment Fund Manager
PORTFOLIO STRATEGIES CORPORATION	10850	> Exempt Market Dealer
PORTFOLIO STRATEGIES CORPORATION	10850	> Mutual Fund Dealer
PORTLAND INVESTMENT COUNSEL INC./CONSEILS EN PLACEMENTS PORTLAND INC.	7890	> Investment Fund Manager
PORTLAND INVESTMENT COUNSEL INC./CONSEILS EN PLACEMENTS PORTLAND INC.	7890	> Exempt Market Dealer
PORTLAND INVESTMENT COUNSEL INC./CONSEILS EN PLACEMENTS PORTLAND INC.	7890	> Portfolio Manager
PORTLAND INVESTMENT COUNSEL INC./CONSEILS EN PLACEMENTS PORTLAND INC.	7890	> Mutual Fund Dealer
POWER PACIFIC INVESTMENT MANAGEMENT INC.	62910	> Portfolio Manager
POWER PACIFIC INVESTMENT MANAGEMENT INC.	62910	> Commodity Trading Manager
POWER PACIFIC INVESTMENT MANAGEMENT INC.	62910	> Exempt Market Dealer
POWER PACIFIC INVESTMENT MANAGEMENT INC.	62910	> Investment Fund Manager
POWERONE CAPITAL MARKETS LIMITED	17010	> Exempt Market Dealer
PRATTE GESTION DE PORTEFEUILLES INC./PRATTE PORTFOLIO MANAGEMENT INC.	52660	> Investment Fund Manager
PRATTE GESTION DE PORTEFEUILLES INC./PRATTE PORTFOLIO MANAGEMENT INC.	52660	> Portfolio Manager
PRESIMA INC.	20280	> Investment Fund Manager
PRESIMA INC.	20280	> Portfolio Manager
PRESIMA INC.	20280	> Exempt Market Dealer
PRICE STREET, INC.	68610	> Portfolio Manager
PRICE STREET, INC.	68610	> Exempt Market Dealer
PRICewaterhouseCOOPERS CORPORATE FINANCE INC.	3550	> Exempt Market Dealer
PRIMARY CAPITAL INC./GROUPE FINANCIER PRIMARY CAPITAL	23980	> Exempt Market Dealer
PRIME QUADRANT CORP.	62610	> Investment Fund Manager
PRIME QUADRANT CORP.	62610	> Portfolio Manager
PRIME QUADRANT CORP.	62610	> Exempt Market Dealer
PRIMEVEST CAPITAL CORP.	26780	> Investment Fund Manager
PRIMEVEST CAPITAL CORP.	26780	> Exempt Market Dealer
PRIVATE PENSION PARTNERS INVESTMENTS INC.	66990	> Exempt Market Dealer
PRIVITI CAPITAL CORPORATION	32980	> Investment Fund Manager
PROFESSIONAL INVESTMENTS (KINGSTON) INC. / KINGSTON INVESTMENT PROFESSIONALS INC.	2790	> Exempt Market Dealer
PROFESSIONAL INVESTMENTS (KINGSTON) INC. / KINGSTON INVESTMENT PROFESSIONALS INC.	2790	> Mutual Fund Dealer
PROGRESSIVE FINANCIAL STRATEGY CAPITAL GROUP CORP.	6720	> Mutual Fund Dealer
PROVISUS WEALTH MANAGEMENT LIMITED	24990	> Investment Fund Manager
PROVISUS WEALTH MANAGEMENT LIMITED	24990	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
PROVISUS WEALTH MANAGEMENT LIMITED	24990	> Exempt Market Dealer
PSC INVESTMENT COUNSEL LTD.	44850	> Portfolio Manager
PUGSLEY CAPITAL INC.	27980	> Portfolio Manager
PURPOSE INVESTMENT PARTNERS INC.	42210	> Investment Fund Manager
PURPOSE INVESTMENT PARTNERS INC.	42210	> Portfolio Manager
PURPOSE INVESTMENT PARTNERS INC.	42210	> Exempt Market Dealer
PURPOSE INVESTMENTS INC.	41580	> Commodity Trading Manager
PURPOSE INVESTMENTS INC.	41580	> Investment Fund Manager
PURPOSE INVESTMENTS INC.	41580	> Portfolio Manager
PURPOSE INVESTMENTS INC.	41580	> Exempt Market Dealer
PURSUIT FINANCIAL MANAGEMENT CORPORATION	34990	> Investment Fund Manager
PUTNAM INVESTMENTS CANADA ULC	12140	> Portfolio Manager
PUTNAM INVESTMENTS CANADA ULC	12140	> Exempt Market Dealer
PUTNAM INVESTMENTS CANADA ULC	12140	> Investment Fund Manager
PUTNAM INVESTMENTS CANADA ULC	12140	> Commodity Trading Counsel
PUTNAM INVESTMENTS CANADA ULC	12140	> Commodity Trading Manager
PWL CAPITAL INC.	7170	> Investment Dealer
PYRFORD INTERNATIONAL LIMITED	4350	> Portfolio Manager
PZENA INVESTMENT MANAGEMENT, LLC	18100	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
Q CANTAR HOLDINGS INC.	23710	> Investment Fund Manager
Q CANTAR HOLDINGS INC.	23710	> Portfolio Manager
Q CANTAR HOLDINGS INC.	23710	> Exempt Market Dealer
Q CAPITAL MANAGEMENT LTD.	56570	> Commodity Trading Manager
QUADRANT PRIVATE WEALTH CORPORATION	18600	> Investment Fund Manager
QUADRANT PRIVATE WEALTH CORPORATION	18600	> Exempt Market Dealer
QUADRANT PRIVATE WEALTH CORPORATION	18600	> Portfolio Manager
QUADRAVEST CAPITAL MANAGEMENT INC.	1820	> Portfolio Manager
QUADRAVEST CAPITAL MANAGEMENT INC.	1820	> Exempt Market Dealer
QUADRAVEST CAPITAL MANAGEMENT INC.	1820	> Investment Fund Manager
QUADRUS INVESTMENT SERVICES LTD./SERVICES D'INVESTISSEMENT QUADRUS LTEE.	2800	> Mutual Fund Dealer
QUANTUM ADVISORS PRIVATE LIMITED	48820	> Restricted Portfolio Manager
QUANTUS INVESTMENT CORP.	32820	> Exempt Market Dealer
QUANTUS INVESTMENT CORP.	32820	> Portfolio Manager
QUEEN FINANCIAL GROUP INC.	22680	> Exempt Market Dealer
QUEEN FINANCIAL GROUP INC.	22680	> Mutual Fund Dealer
QUEEN INTERNATIONAL GROUP INC.	55910	> Exempt Market Dealer
QUEENSBURY SECURITIES INC.	3030	> Investment Dealer
QUEENSBURY STRATEGIES INC.	4200	> Mutual Fund Dealer
QUEENSBURY STRATEGIES INC.	4200	> Exempt Market Dealer
QUESTRADE WEALTH MANAGEMENT INC	45780	> Portfolio Manager
QUESTRADE WEALTH MANAGEMENT INC	45780	> Investment Fund Manager
QUESTRADE WEALTH MANAGEMENT INC	45780	> Exempt Market Dealer
QUESTRADE, INC.	9730	> Futures Commission Merchant
QUESTRADE, INC.	9730	> Investment Dealer
QUINTESSENCE WEALTH	25780	> Exempt Market Dealer
QUINTESSENCE WEALTH	25780	> Investment Fund Manager
QUINTESSENCE WEALTH	25780	> Portfolio Manager
QV INVESTORS INC. / INVESTISSEURS QV	6750	> Investment Fund Manager
QV INVESTORS INC. / INVESTISSEURS QV	6750	> Portfolio Manager
QVO VADIS INVESTMENT MANAGEMENT INC.	36090	> Portfolio Manager
QWEST INVESTMENT FUND MANAGEMENT LTD.	22000	> Exempt Market Dealer
QWEST INVESTMENT FUND MANAGEMENT LTD.	22000	> Portfolio Manager
QWEST INVESTMENT FUND MANAGEMENT LTD.	22000	> Investment Fund Manager



## List of Ontario Registrants as of September 16, 2021

<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
R.E.G.A.R. GESTION PRIVEE INC.	19700	> Investment Fund Manager
R.E.G.A.R. GESTION PRIVEE INC.	19700	> Portfolio Manager
R.J. O'BRIEN & ASSOCIATES CANADA INC.	30390	> Futures Commission Merchant
R.J. O'BRIEN & ASSOCIATES CANADA INC.	30390	> Investment Dealer
R.N.CROFT FINANCIAL GROUP INC. / R.N.CROFT FINANCIAL GROUP INC.	860	> Investment Fund Manager
R.N.CROFT FINANCIAL GROUP INC. / R.N.CROFT FINANCIAL GROUP INC.	860	> Portfolio Manager
RABO SECURITIES CANADA, INC	56290	> Investment Dealer
RADIN CAPITAL PARTNERS INC.	37920	> Investment Fund Manager
RADIN CAPITAL PARTNERS INC.	37920	> Exempt Market Dealer
RADIN CAPITAL PARTNERS INC.	37920	> Portfolio Manager
RAE & LIPSKIE INVESTMENT COUNSEL INC.	3110	> Portfolio Manager
RAE & LIPSKIE INVESTMENT COUNSEL INC.	3110	> Investment Fund Manager
RAINTREE FINANCIAL SOLUTIONS INC.	32410	> Exempt Market Dealer
RAINTREE WEALTH MANAGEMENT INC.	57280	> Investment Fund Manager
RAINTREE WEALTH MANAGEMENT INC.	57280	> Portfolio Manager
RALLY ASSETS INC.	64540	> Exempt Market Dealer
RALLY ASSETS INC.	64540	> Portfolio Manager
RAVENSTONE CAPITAL MANAGEMENT INC.	60030	> Investment Fund Manager
RAVENSTONE CAPITAL MANAGEMENT INC.	60030	> Portfolio Manager
RAVENSTONE CAPITAL MANAGEMENT INC.	60030	> Exempt Market Dealer
RAYMOND CHABOT GRANT THORNTON CAPITAL INC.	42860	> Exempt Market Dealer
RAYMOND JAMES INVESTMENT COUNSEL LTD./CONSEILS EN PLACEMENTS RAYMOND JAMES LTEE.	16900	> Investment Fund Manager
RAYMOND JAMES INVESTMENT COUNSEL LTD./CONSEILS EN PLACEMENTS RAYMOND JAMES LTEE.	16900	> Portfolio Manager
RAYMOND JAMES LTD.	8240	> Investment Dealer
RBC DIRECT INVESTING INC./RBC PLACEMENTS EN DIRECT INC.	3200	> Investment Dealer
RBC DOMINION SECURITIES INC./RBC DOMINION VALEURS MOBILIERES INC.	3160	> Futures Commission Merchant
RBC DOMINION SECURITIES INC./RBC DOMINION VALEURS MOBILIERES INC.	3160	> Investment Dealer
RBC GLOBAL ASSET MANAGEMENT INC./RBC GESTION MONDIALE D'ACTIFS INC.	3090	> Investment Fund Manager
RBC GLOBAL ASSET MANAGEMENT INC./RBC GESTION MONDIALE D'ACTIFS INC.	3090	> Commodity Trading Manager
RBC GLOBAL ASSET MANAGEMENT INC./RBC GESTION MONDIALE D'ACTIFS INC.	3090	> Portfolio Manager
RBC GLOBAL ASSET MANAGEMENT INC./RBC GESTION MONDIALE D'ACTIFS INC.	3090	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
RBC INVESTEASE INC./RBC INVESTIVITE INC.	58320	> Restricted Portfolio Manager
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC./RBC PHILLIPS, HAGER & NORTH SERVICES-CONSEILS EN PLACEMENTS INC.	630	> Portfolio Manager
RCI INVESTMENT MANAGEMENT INC.	28770	> Investment Fund Manager
RCI INVESTMENT MANAGEMENT INC.	28770	> Portfolio Manager
RCI INVESTMENT MANAGEMENT INC.	28770	> Exempt Market Dealer
REALCAP HOLDINGS LIMITED	3180	> Portfolio Manager
REALTY FINANCIAL ADVISORS INC.	24920	> Exempt Market Dealer
RED CLOUD SECURITIES INC.	62810	> Investment Dealer
RED JACKET CAPITAL INC.	41210	> Commodity Trading Manager
RED JACKET CAPITAL INC.	41210	> Investment Fund Manager
RED JACKET CAPITAL INC.	41210	> Portfolio Manager
RED JACKET CAPITAL INC.	41210	> Exempt Market Dealer
RED SKY CAPITAL MANAGEMENT LTD.	32250	> Exempt Market Dealer
RED SKY CAPITAL MANAGEMENT LTD.	32250	> Investment Fund Manager
RED SKY CAPITAL MANAGEMENT LTD.	32250	> Portfolio Manager
REDJAY ASSET MANAGEMENT INC.	69270	> Investment Fund Manager
REDJAY ASSET MANAGEMENT INC.	69270	> Portfolio Manager
REDJAY ASSET MANAGEMENT INC.	69270	> Exempt Market Dealer
REDPLUG INC.	66120	> Exempt Market Dealer
REGENT CAPITAL PARTNERS INC.	6830	> Investment Dealer
REGULUS CAPITAL MANAGEMENT INC.	62520	> Investment Fund Manager
REGULUS CAPITAL MANAGEMENT INC.	62520	> Exempt Market Dealer
REGULUS CAPITAL MANAGEMENT INC.	62520	> Portfolio Manager
RELEVANCE WEALTH MANAGEMENT INC.	67380	> Investment Fund Manager
RELEVANCE WEALTH MANAGEMENT INC.	67380	> Portfolio Manager
RELEVANCE WEALTH MANAGEMENT INC.	67380	> Exempt Market Dealer
REMPART ASSET MANAGEMENT INC./GESTION DE PLACEMENTS REMPART INC.	32560	> Portfolio Manager
RESEARCH CAPITAL CORPORATION / CORPORATION RECHERCHE CAPITAL	3070	> Investment Fund Manager
RESEARCH CAPITAL CORPORATION / CORPORATION RECHERCHE CAPITAL	3070	> Investment Dealer
RESOLUTE FUNDS LIMITED	18890	> Investment Fund Manager
RESOLUTE FUNDS LIMITED	18890	> Portfolio Manager
RESOLVE ASSET MANAGEMENT INC.	51220	> Commodity Trading Manager
RESOLVE ASSET MANAGEMENT INC.	51220	> Investment Fund Manager
RESOLVE ASSET MANAGEMENT INC.	51220	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
RESOLVE ASSET MANAGEMENT INC.	51220	> Exempt Market Dealer
RETHINK AND DIVERSIFY SECURITIES INC.	47250	> Exempt Market Dealer
RETIRE FIRST LTD.	22580	> Investment Dealer
RF SECURITIES CLEARING LP/ COMPENSATION DE TITRES RF S.E.C	21980	> Investment Dealer
RGF WEALTH MANAGEMENT LTD.	11460	> Investment Dealer
RICHARDSON WEALTH LIMITED / PATRIMOINE RICHARDSON LIMITEE	21970	> Investment Dealer
RICHMOND EQUITY MANAGEMENT LTD.	31920	> Investment Fund Manager
RICHMOND EQUITY MANAGEMENT LTD.	31920	> Exempt Market Dealer
RICHTER FAMILY OFFICE./ BUREAU FAMILIAL RICHTER INC.	10170	> Portfolio Manager
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	> Investment Fund Manager
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	> Portfolio Manager
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	> Exempt Market Dealer
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	> Mutual Fund Dealer
RIVER ROAD ASSET MANAGEMENT, LLC	33360	> Portfolio Manager
ROADMAP CAPITAL INC.	44800	> Investment Fund Manager
ROADMAP CAPITAL INC.	44800	> Portfolio Manager
ROADMAP CAPITAL INC.	44800	> Exempt Market Dealer
ROBERT EVANS INVESTMENT COUNSEL LIMITED	1170	> Investment Fund Manager
ROBERT EVANS INVESTMENT COUNSEL LIMITED	1170	> Portfolio Manager
ROBSON CAPITAL MANAGEMENT INC.	16060	> Investment Fund Manager
ROBSON CAPITAL MANAGEMENT INC.	16060	> Portfolio Manager
ROBSON CAPITAL MANAGEMENT INC.	16060	> Exempt Market Dealer
ROCKBASE CAPITAL INC.	54330	> Exempt Market Dealer
ROCKCREEK (CANADA) ADVISER, INC.	69810	> Portfolio Manager
ROCKCREEK (CANADA) ADVISER, INC.	69810	> Exempt Market Dealer
ROCKLINC INVESTMENT PARTNERS INC.	31020	> Investment Fund Manager
ROCKLINC INVESTMENT PARTNERS INC.	31020	> Exempt Market Dealer
ROCKLINC INVESTMENT PARTNERS INC.	31020	> Portfolio Manager
ROGAN INVESTMENT MANAGEMENT LIMITED	3060	> Portfolio Manager
ROGERSCASEY CANADA, INC.	2230	> Portfolio Manager
ROMSPEN INVESTMENT CORPORATION	21070	> Exempt Market Dealer
ROSALIND ADVISORS, INC.	24830	> Investment Fund Manager
ROSALIND ADVISORS, INC.	24830	> Portfolio Manager
ROSALIND ADVISORS, INC.	24830	> Exempt Market Dealer
ROSSEAU ASSET MANAGEMENT LTD.	7970	> Investment Fund Manager
ROSSEAU ASSET MANAGEMENT LTD.	7970	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ROSSEAU ASSET MANAGEMENT LTD.	7970	> Exempt Market Dealer
ROTH CANADA, ULC	65930	> Investment Dealer
ROTHSCHILD & CO SECURITIES CANADA INC./VALEURS MOBILIERES ROTHSCHILD & CIE CANADA	7100	> Exempt Market Dealer
ROYAL MUTUAL FUNDS INC./FONDS D'INVESTISSEMENT ROYAL INC.	3190	> Mutual Fund Dealer
RP INVESTMENT ADVISORS LP	57590	> Portfolio Manager
RP INVESTMENT ADVISORS LP	57590	> Exempt Market Dealer
RP INVESTMENT ADVISORS LP	57590	> Commodity Trading Manager
RP INVESTMENT ADVISORS LP	57590	> Investment Fund Manager
RT MOSAIC WEALTH MANAGEMENT LTD.	51330	> Portfolio Manager
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	> Investment Fund Manager
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	> Portfolio Manager
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	> Commodity Trading Manager
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	> Exempt Market Dealer
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	> Mutual Fund Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
SAGUENAY STRATHMORE CAPITAL INC.	36680	> Exempt Market Dealer
SAGUENAY STRATHMORE CAPITAL INC.	36680	> Investment Fund Manager
SAGUENAY STRATHMORE CAPITAL INC.	36680	> Portfolio Manager
SAGUENAY STRATHMORE CAPITAL, L.P,	21710	> Portfolio Manager
SAGUENAY STRATHMORE CAPITAL, L.P,	21710	> Exempt Market Dealer
SAGUENAY STRATHMORE CAPITAL, L.P,	21710	> Investment Fund Manager
SAMARA CAPITAL INC.	36660	> Investment Fund Manager
SAMARA CAPITAL INC.	36660	> Portfolio Manager
SAMARA CAPITAL INC.	36660	> Exempt Market Dealer
SANDPIPER INVESTMENT SERVICES INC.	68390	> Exempt Market Dealer
SANDSTONE ASSET MANAGEMENT INC.	17800	> Investment Dealer
SANFORD C. BERNSTEIN & CO., LLC	510	> Investment Fund Manager
SANFORD C. BERNSTEIN & CO., LLC	510	> Commodity Trading Manager
SANFORD C. BERNSTEIN & CO., LLC	510	> Portfolio Manager
SANFORD C. BERNSTEIN & CO., LLC	510	> Exempt Market Dealer
SANFORD C. BERNSTEIN (CANADA) LIMITED	52830	> Investment Dealer
SARONA ASSET MANAGEMENT INC.	57830	> Exempt Market Dealer
SCARTHINGMOOR ASSET MANAGEMENT INC.	6510	> Portfolio Manager
SCHEER, ROWLETT & ASSOCIATES INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS SCHEER, ROWLETT & ASSOCIES LTEE	740	> Investment Fund Manager
SCHEER, ROWLETT & ASSOCIATES INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS SCHEER, ROWLETT & ASSOCIES LTEE	740	> Portfolio Manager
SCHEER, ROWLETT & ASSOCIATES INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS SCHEER, ROWLETT & ASSOCIES LTEE	740	> Exempt Market Dealer
SCHRODER FUND ADVISORS LLC	26620	> Exempt Market Dealer
SCHRODER INVESTMENT MANAGEMENT NORTH AMERICA INC. / GESTION DE PLACEMENTS SCHRODER (AMERIQUE DU NORD) INC.	12130	> Portfolio Manager
SCHRODER INVESTMENT MANAGEMENT NORTH AMERICA LIMITED / GESTION DE PLACEMENTS SCHRODER ( AMERIQUE DU NORD)	3410	> Portfolio Manager
SCHWABEN CAPITAL GROUP LIMITED	29510	> Portfolio Manager
SCHWABEN CAPITAL GROUP LIMITED	29510	> Exempt Market Dealer
SCIVEST CAPITAL MANAGEMENT INC.	16400	> Portfolio Manager
SCIVEST CAPITAL MANAGEMENT INC.	16400	> Exempt Market Dealer
SCOR INVESTMENT PARTNERS UK LTD	27330	> Portfolio Manager
SCOR INVESTMENT PARTNERS UK LTD	27330	> Exempt Market Dealer
SCOTIA CAPITAL INC. / SCOTIA CAPITAUX INC.	3460	> Futures Commission Merchant

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
SCOTIA CAPITAL INC. / SCOTIA CAPITAUX INC.	3460	> Investment Dealer
SCOTIA SECURITIES INC./PLACEMENTS SCOTIA INC.	30020	> Mutual Fund Dealer
SEAMARK ASSET MANAGEMENT LTD.	44880	> Portfolio Manager
SEAMARK ASSET MANAGEMENT LTD.	44880	> Exempt Market Dealer
SEAMARK ASSET MANAGEMENT LTD.	44880	> Investment Fund Manager
SECURITY FINANCIAL SERVICES & INVESTMENT CORP.	3250	> Mutual Fund Dealer
SECUTOR CAPITAL MANAGEMENT CORPORATION	12930	> Investment Fund Manager
SECUTOR CAPITAL MANAGEMENT CORPORATION	12930	> Investment Dealer
SEI INVESTMENTS CANADA COMPANY / SOCIETE DE PLACEMENTS SEI CANADA	4620	> Investment Fund Manager
SEI INVESTMENTS CANADA COMPANY / SOCIETE DE PLACEMENTS SEI CANADA	4620	> Commodity Trading Manager
SEI INVESTMENTS CANADA COMPANY / SOCIETE DE PLACEMENTS SEI CANADA	4620	> Portfolio Manager
SEI INVESTMENTS CANADA COMPANY / SOCIETE DE PLACEMENTS SEI CANADA	4620	> Exempt Market Dealer
SENTINEL FINANCIAL MANAGEMENT CORP.	13530	> Mutual Fund Dealer
SERA GLOBAL SECURITIES CANADA LP	52080	> Investment Dealer
SERVICES CONSEILS OPTIMISTA INC. / OPTIMISTA CONSULTING SERVICES INC.	61300	> Exempt Market Dealer
SERVICES EN PLACEMENTS PEAK INC.	27990	> Mutual Fund Dealer
SERVICES FINANCIERS QUINTAL & CO. INC. / QUINTAL & CO. FINANCIAL SERVICES INC.	41220	> Exempt Market Dealer
SETTER CAPITAL INC.	26730	> Exempt Market Dealer
SEVEN HILLS CAPITAL CORP.	50050	> Portfolio Manager
SEYMOUR INVESTMENT MANAGEMENT LTD.	31390	> Investment Fund Manager
SEYMOUR INVESTMENT MANAGEMENT LTD.	31390	> Portfolio Manager
SEYMOUR INVESTMENT MANAGEMENT LTD.	31390	> Exempt Market Dealer
SHAH FINANCIAL PLANNING INC.	8940	> Mutual Fund Dealer
SHARIAPORTFOLIO CANADA, INC.	64970	> Exempt Market Dealer
SHARIAPORTFOLIO CANADA, INC.	64970	> Portfolio Manager
SHARNO CAPITAL CORPORATION	65040	> Exempt Market Dealer
SHARNO CAPITAL CORPORATION	65040	> Portfolio Manager
SHARP ASSET MANAGEMENT INC.	5870	> Portfolio Manager
SHAUNESSY INVESTMENT COUNSEL INC.	12210	> Portfolio Manager
SHERBROOKE STREET CAPITAL (SSC) INC. / CAPITAL SHERBROOKE STREET (SSC) INC.	16140	> Investment Dealer
SHORCAN BROKERS LIMITED	3470	> Exempt Market Dealer
SHORELINE WEST ASSET MANAGEMENT INC.	27780	> Portfolio Manager
SHORELINE WEST ASSET MANAGEMENT INC.	27780	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
SHORELINE WEST ASSET MANAGEMENT INC.	27780	> Exempt Market Dealer
SIA WEALTH MANAGEMENT INC.	48340	> Investment Fund Manager
SIA WEALTH MANAGEMENT INC.	48340	> Portfolio Manager
SIA WEALTH MANAGEMENT INC.	48340	> Exempt Market Dealer
SIGHTLINE WEALTH MANAGEMENT LP	59260	> Investment Dealer
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	> Exempt Market Dealer
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	> Commodity Trading Manager
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	> Commodity Trading Counsel
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	> Portfolio Manager
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	> Investment Fund Manager
SILVER HEIGHTS CAPITAL MANAGEMENT INC.	24050	> Investment Fund Manager
SILVER HEIGHTS CAPITAL MANAGEMENT INC.	24050	> Portfolio Manager
SILVER HEIGHTS CAPITAL MANAGEMENT INC.	24050	> Exempt Market Dealer
SILVERCREEK MANAGEMENT INC.	9890	> Investment Fund Manager
SILVERCREEK MANAGEMENT INC.	9890	> Portfolio Manager
SILVERCREEK MANAGEMENT INC.	9890	> Exempt Market Dealer
SINCLAIR-COCKBURN FINANCIAL SERVICES INC.	7470	> Exempt Market Dealer
SIONNA INVESTMENT MANAGERS INC./GESTIONNAIRES DE PLACEMENTS SIONNA INC.	12340	> Investment Fund Manager
SIONNA INVESTMENT MANAGERS INC./GESTIONNAIRES DE PLACEMENTS SIONNA INC.	12340	> Portfolio Manager
SIONNA INVESTMENT MANAGERS INC./GESTIONNAIRES DE PLACEMENTS SIONNA INC.	12340	> Exempt Market Dealer
SKYLINE WEALTH MANAGEMENT INC.	33440	> Exempt Market Dealer
SLABE INC.	7040	> Portfolio Manager
SLATE SECURITIES L.P.	61270	> Investment Fund Manager
SLATE SECURITIES L.P.	61270	> Portfolio Manager
SLATE SECURITIES L.P.	61270	> Exempt Market Dealer
SLATER ASSET MANAGEMENT INC.	29970	> Portfolio Manager
SLGI ASSET MANAGEMENT INC. / GESTION D'ACTIFS PMSL INC.	27680	> Mutual Fund Dealer
SLGI ASSET MANAGEMENT INC. / GESTION D'ACTIFS PMSL INC.	27680	> Commodity Trading Manager
SLGI ASSET MANAGEMENT INC. / GESTION D'ACTIFS PMSL INC.	27680	> Investment Fund Manager
SLGI ASSET MANAGEMENT INC. / GESTION D'ACTIFS PMSL INC.	27680	> Portfolio Manager
SMART MONEY CAPITAL MANAGEMENT INC.	46920	> Portfolio Manager
SMARTBE INVESTMENTS INC.	61700	> Investment Fund Manager
SMARTBE INVESTMENTS INC.	61700	> Portfolio Manager
SMARTBE INVESTMENTS INC.	61700	> Exempt Market Dealer
SMBC NIKKO SECURITIES CANADA, LTD.	63310	> Investment Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
SNOWLINE CAPITAL MANAGEMENT INC.	54010	> Investment Fund Manager
SNOWLINE CAPITAL MANAGEMENT INC.	54010	> Portfolio Manager
SNOWLINE CAPITAL MANAGEMENT INC.	54010	> Exempt Market Dealer
SOCIETE DE GESTION D'INVESTISSEMENT HEWARD INC./ HEWARD INVESTMENT MANAGEMENT INC.	1620	> Portfolio Manager
SOCIETE DE GESTION PRIVEE DES FONDOS FMOQ INC	26160	> Exempt Market Dealer
SOCIETE GENERALE CAPITAL CANADA INC.	27130	> Futures Commission Merchant
SOCIETE GENERALE CAPITAL CANADA INC.	27130	> Investment Dealer
SOMERSET CAPITAL MANAGEMENT LLP	27720	> Portfolio Manager
SONA WEALTH COUNSEL INC.	61600	> Portfolio Manager
SOUTTERHAM INVESTMENTS LIMITED	11480	> Investment Fund Manager
SOUTTERHAM INVESTMENTS LIMITED	11480	> Portfolio Manager
SOUTTERHAM INVESTMENTS LIMITED	11480	> Exempt Market Dealer
SPARTAN FUND MANAGEMENT INC.	20500	> Investment Fund Manager
SPARTAN FUND MANAGEMENT INC.	20500	> Commodity Trading Manager
SPARTAN FUND MANAGEMENT INC.	20500	> Portfolio Manager
SPARTAN FUND MANAGEMENT INC.	20500	> Exempt Market Dealer
SPOTLIGHT CAPITAL CORP.	11380	> Exempt Market Dealer
SPROTT ASSET MANAGEMENT LP	28740	> Investment Fund Manager
SPROTT ASSET MANAGEMENT LP	28740	> Portfolio Manager
SPROTT CAPITAL PARTNERS LP	29070	> Investment Dealer
SPRUCEGROVE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS SPRUCEGROVE	3990	> Exempt Market Dealer
SPRUCEGROVE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS SPRUCEGROVE	3990	> Investment Fund Manager
SPRUCEGROVE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS SPRUCEGROVE	3990	> Portfolio Manager
SPRUCEVIEW CAPITAL PARTNERS LLC.	48510	> Portfolio Manager
SPRUCEVIEW CAPITAL PARTNERS LLC.	48510	> Exempt Market Dealer
SPRUNG INVESTMENT MANAGEMENT INC.	21900	> Portfolio Manager
ST GLOBAL ASSET MANAGEMENT INC.	64390	> Commodity Trading Manager
ST GLOBAL ASSET MANAGEMENT INC.	64390	> Portfolio Manager
ST&T CAPITAL MANAGEMENT LTD.	62730	> Investment Fund Manager
ST&T CAPITAL MANAGEMENT LTD.	62730	> Portfolio Manager
ST&T CAPITAL MANAGEMENT LTD.	62730	> Exempt Market Dealer
STABLEVIEW ASSET MANAGEMENT INC.	44420	> Exempt Market Dealer
STABLEVIEW ASSET MANAGEMENT INC.	44420	> Portfolio Manager
STABLEVIEW ASSET MANAGEMENT INC.	44420	> Investment Fund Manager
STACEY MUIRHEAD CAPITAL MANAGEMENT LTD.	6880	> Investment Fund Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
STACEY MUIRHEAD CAPITAL MANAGEMENT LTD.	6880	> Portfolio Manager
STACEY MUIRHEAD CAPITAL MANAGEMENT LTD.	6880	> Exempt Market Dealer
STANTON ASSET MANAGEMENT INC./GESTION D'ACTIFS STANTON INC.	20470	> Investment Fund Manager
STANTON ASSET MANAGEMENT INC./GESTION D'ACTIFS STANTON INC.	20470	> Commodity Trading Manager
STANTON ASSET MANAGEMENT INC./GESTION D'ACTIFS STANTON INC.	20470	> Exempt Market Dealer
STANTON ASSET MANAGEMENT INC./GESTION D'ACTIFS STANTON INC.	20470	> Portfolio Manager
STARBRIDGE CAPITAL LTD.	41500	> Portfolio Manager
STARBRIDGE CAPITAL LTD.	41500	> Exempt Market Dealer
STARLIGHT INVESTMENTS CAPITAL LP	61980	> Investment Fund Manager
STARLIGHT INVESTMENTS CAPITAL LP	61980	> Portfolio Manager
STARLIGHT INVESTMENTS CAPITAL LP	61980	> Exempt Market Dealer
STARVINE CAPITAL CORPORATION	50120	> Portfolio Manager
STATE STREET GLOBAL MARKETS CANADA INC. / MARCHES MONDIAUX STATE STREET CANADA INC.	8850	> Investment Dealer
STEADYHAND INVESTMENT FUNDS INC.	24160	> Mutual Fund Dealer
STEADYHAND INVESTMENT MANAGEMENT LTD.	23820	> Investment Fund Manager
STEADYHAND INVESTMENT MANAGEMENT LTD.	23820	> Portfolio Manager
STEEPE & CO. LTD.	25760	> Investment Fund Manager
STEEPE & CO. LTD.	25760	> Exempt Market Dealer
STEPHENAvenue SECURITIES INC.	8080	> Investment Dealer
STERLING MUTUALS INC.	5910	> Exempt Market Dealer
STERLING MUTUALS INC.	5910	> Mutual Fund Dealer
STERLING PORTFOLIO ADVISORY INC.	70370	> Portfolio Manager
STIFEL NICOLAUS CANADA INC.	3370	> Investment Dealer
STODGELL INVESTMENT MANAGEMENT LIMITED	7840	> Portfolio Manager
STONE ASSET MANAGEMENT LIMITED	9330	> Restricted Dealer
STONE ASSET MANAGEMENT LIMITED	9330	> Investment Fund Manager
STONE ASSET MANAGEMENT LIMITED	9330	> Portfolio Manager
STONEBRIDGE FINANCIAL CORPORATION/CORPORATION FINANCIERE STONEBRIDGE	9290	> Investment Fund Manager
STONEBRIDGE FINANCIAL CORPORATION/CORPORATION FINANCIERE STONEBRIDGE	9290	> Portfolio Manager
STONEBRIDGE FINANCIAL CORPORATION/CORPORATION FINANCIERE STONEBRIDGE	9290	> Exempt Market Dealer
STONEBROOKE ASSET MANAGEMENT LTD.	22370	> Portfolio Manager
STONECASTLE INVESTMENT MANAGEMENT INC.	26340	> Investment Fund Manager
STONECASTLE INVESTMENT MANAGEMENT INC.	26340	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
STONECASTLE INVESTMENT MANAGEMENT INC.	26340	> Portfolio Manager
STONEHOUSE CAPITAL MANAGEMENT INC.	10030	> Portfolio Manager
STORMCROW CAPITAL LIMITED	50240	> Exempt Market Dealer
STORMONT PARTNERS SECURITIES INC.	69900	> Exempt Market Dealer
STORNOWAY PORTFOLIO MANAGEMENT INC.	18410	> Investment Fund Manager
STORNOWAY PORTFOLIO MANAGEMENT INC.	18410	> Portfolio Manager
STORNOWAY PORTFOLIO MANAGEMENT INC.	18410	> Exempt Market Dealer
STRAND SECURITIES CORPORATION	3320	> Exempt Market Dealer
STRATEGIC GLOBAL ADVISORS, LLC	50880	> Portfolio Manager
STRATHBRIDGE ASSET MANAGEMENT INC./ GESTION D'ACTIFS STRATHBRIDGE INC.	690	> Investment Fund Manager
STRATHBRIDGE ASSET MANAGEMENT INC./ GESTION D'ACTIFS STRATHBRIDGE INC.	690	> Portfolio Manager
STRATHBRIDGE ASSET MANAGEMENT INC./ GESTION D'ACTIFS STRATHBRIDGE INC.	690	> Exempt Market Dealer
STRATHBRIDGE ASSET MANAGEMENT INC./ GESTION D'ACTIFS STRATHBRIDGE INC.	690	> Mutual Fund Dealer
SUCCESSFUL INVESTOR WEALTH MANAGEMENT INC.	6350	> Investment Fund Manager
SUCCESSFUL INVESTOR WEALTH MANAGEMENT INC.	6350	> Portfolio Manager
SUCCESSFUL INVESTOR WEALTH MANAGEMENT INC.	6350	> Exempt Market Dealer
SUMMERHILL CAPITAL MANAGEMENT INC.	16980	> Portfolio Manager
SUMMERWOOD CAPITAL CORP.	23700	> Commodity Trading Counsel
SUMMERWOOD CAPITAL CORP.	23700	> Exempt Market Dealer
SUMMERWOOD CAPITAL CORP.	23700	> Investment Fund Manager
SUMMERWOOD CAPITAL CORP.	23700	> Portfolio Manager
SUMMERWOOD CAPITAL CORP.	23700	> Commodity Trading Manager
SUN LIFE CAPITAL MANAGEMENT (CANADA) INC./GESTION DE CAPITAL SUN LIFE (CANADA) INC.	45590	> Exempt Market Dealer
SUN LIFE CAPITAL MANAGEMENT (CANADA) INC./GESTION DE CAPITAL SUN LIFE (CANADA) INC.	45590	> Commodity Trading Manager
SUN LIFE CAPITAL MANAGEMENT (CANADA) INC./GESTION DE CAPITAL SUN LIFE (CANADA) INC.	45590	> Investment Fund Manager
SUN LIFE CAPITAL MANAGEMENT (CANADA) INC./GESTION DE CAPITAL SUN LIFE (CANADA) INC.	45590	> Portfolio Manager
SUN LIFE FINANCIAL INVESTMENT SERVICES (CANADA) INC./PLACEMENTS FINANCIERE SUN LIFE (CANADA) INC.	2260	> Mutual Fund Dealer
SUSTAINABLE GROWTH ADVISERS, LP	33300	> Portfolio Manager
SVX	45060	> Exempt Market Dealer
SYGNET CAPITAL INC.	64100	> Portfolio Manager
SYMETRYX CAPITAL MANAGEMENT INC.	59700	> Investment Fund Manager
SYMETRYX CAPITAL MANAGEMENT INC.	59700	> Portfolio Manager

## List of Ontario Registrants as of September 16, 2021

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Registrant Name

NRD Number

Registration Category

SYMETRYX CAPITAL MANAGEMENT INC.

59700

> Exempt Market Dealer

## List of Ontario Registrants as of September 16, 2021

<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
T. ROWE PRICE (CANADA), INC.	4570	> Investment Fund Manager
T. ROWE PRICE (CANADA), INC.	4570	> Exempt Market Dealer
T. ROWE PRICE (CANADA), INC.	4570	> Portfolio Manager
TACITA CAPITAL INC.	23760	> Investment Fund Manager
TACITA CAPITAL INC.	23760	> Exempt Market Dealer
TACITA CAPITAL INC.	23760	> Portfolio Manager
TACTEX GESTION D'ACTIFS INC. / TACTEX ASSET MANAGEMENT INC.	30250	> Investment Fund Manager
TACTEX GESTION D'ACTIFS INC. / TACTEX ASSET MANAGEMENT INC.	30250	> Exempt Market Dealer
TACTEX GESTION D'ACTIFS INC. / TACTEX ASSET MANAGEMENT INC.	30250	> Portfolio Manager
TAILWIND CAPITAL INC.	16930	> Investment Fund Manager
TAILWIND CAPITAL INC.	16930	> Portfolio Manager
TAILWIND CAPITAL INC.	16930	> Exempt Market Dealer
TANCOOK INVESTMENT MANAGEMENT LIMITED	52950	> Investment Fund Manager
TANCOOK INVESTMENT MANAGEMENT LIMITED	52950	> Portfolio Manager
TANCOOK INVESTMENT MANAGEMENT LIMITED	52950	> Exempt Market Dealer
TANGERINE INVESTMENT FUNDS LIMITED/FONDS D'INVESTISSEMENT TANGERINE LIMITEE	2570	> Mutual Fund Dealer
TANGERINE INVESTMENT MANAGEMENT INC./GESTION D'INVESTISSEMENTS TANGERINE INC.	26280	> Investment Fund Manager
TANGERINE INVESTMENT MANAGEMENT INC./GESTION D'INVESTISSEMENTS TANGERINE INC.	26280	> Portfolio Manager
TD ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS TD INC.	5850	> Investment Fund Manager
TD ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS TD INC.	5850	> Commodity Trading Manager
TD ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS TD INC.	5850	> Portfolio Manager
TD ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS TD INC.	5850	> Exempt Market Dealer
TD INVESTMENT SERVICES INC. / SERVICES D'INVESTISSEMENT TD INC.	11610	> Mutual Fund Dealer
TD SECURITIES INC. / VALEURS MOBILIERES TD INC.	5860	> Futures Commission Merchant
TD SECURITIES INC. / VALEURS MOBILIERES TD INC.	5860	> Investment Dealer
TD WATERHOUSE CANADA INC.	8950	> Investment Dealer
TD WATERHOUSE PRIVATE INVESTMENT COUNSEL INC. / GESTION PRIVEE TD WATERHOUSE INC.	18660	> Portfolio Manager
TD WATERHOUSE PRIVATE INVESTMENT COUNSEL INC. / GESTION PRIVEE TD WATERHOUSE INC.	18660	> Exempt Market Dealer
TEAMMAX INVESTMENT CORP.	9640	> Mutual Fund Dealer
TEMPERED INVESTMENT MANAGEMENT LTD.	32780	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
TEMPERED INVESTMENT MANAGEMENT LTD.	32780	> Exempt Market Dealer
TEMPERED INVESTMENT MANAGEMENT LTD.	32780	> Portfolio Manager
TENSQUARED INVESTMENTS INC. / INVESTISSEMENTS DIXCARRE INC.	53430	> Portfolio Manager
TERA CAPITAL CORPORATION	6660	> Investment Fund Manager
TERA CAPITAL CORPORATION	6660	> Portfolio Manager
TERA CAPITAL CORPORATION	6660	> Exempt Market Dealer
TERRA COTTA INVESTMENT COUNSEL INC.	56020	> Portfolio Manager
TERRA COTTA INVESTMENT COUNSEL INC.	56020	> Exempt Market Dealer
TERRA FUND MANAGEMENT LTD.	34160	> Investment Fund Manager
TFP INVESTMENT COUNSEL CORP.	16940	> Portfolio Manager
THE AUGUST GROUP CAPITAL LIMITED	69620	> Portfolio Manager
THE CATALYST CAPITAL GROUP INC.	25600	> Portfolio Manager
THE MURRAY WEALTH GROUP INC.	50380	> Investment Fund Manager
THE MURRAY WEALTH GROUP INC.	50380	> Portfolio Manager
THE MURRAY WEALTH GROUP INC.	50380	> Exempt Market Dealer
THE PALLAS ATHENA CORPORATION / CORPORATION PALLAS ATHENA	2720	> Portfolio Manager
THIRD EYE CAPITAL MANAGEMENT INC.	31410	> Portfolio Manager
THIRD EYE CAPITAL MANAGEMENT INC.	31410	> Investment Fund Manager
THIRD EYE CAPITAL MANAGEMENT INC.	31410	> Exempt Market Dealer
THORNMARK ASSET MANAGEMENT INC. / GESTION D'ACTIFS THORNMARK	7730	> Investment Fund Manager
THORNMARK ASSET MANAGEMENT INC. / GESTION D'ACTIFS THORNMARK	7730	> Portfolio Manager
THORNMARK ASSET MANAGEMENT INC. / GESTION D'ACTIFS THORNMARK	7730	> Exempt Market Dealer
TIDEFALL CAPITAL MANAGEMENT INC.	65100	> Investment Fund Manager
TIDEFALL CAPITAL MANAGEMENT INC.	65100	> Portfolio Manager
TIDEFALL CAPITAL MANAGEMENT INC.	65100	> Exempt Market Dealer
TIMELO INVESTMENT MANAGEMENT INC.	37210	> Portfolio Manager
TIMELO INVESTMENT MANAGEMENT INC.	37210	> Exempt Market Dealer
TIMELO INVESTMENT MANAGEMENT INC.	37210	> Investment Fund Manager
TK DALE WEALTH MANAGEMENT INC.	62960	> Portfolio Manager
TOBAM S.A.S.	39190	> Restricted Portfolio Manager
TOKENGX INC.	63780	> Exempt Market Dealer
TONUS CAPITAL INC.	25670	> Investment Fund Manager
TONUS CAPITAL INC.	25670	> Exempt Market Dealer
TONUS CAPITAL INC.	25670	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
TOPAZ CAPITAL LTD.	70830	> Investment Fund Manager
TOPAZ CAPITAL LTD.	70830	> Portfolio Manager
TOPAZ CAPITAL LTD.	70830	> Exempt Market Dealer
TOPELFT SECURITIES LTD.	26700	> Exempt Market Dealer
TORONTO TRUST MANAGEMENT LTD.	33690	> Investment Fund Manager
TORVA CAPITAL MANAGEMENT INC.	69630	> Investment Fund Manager
TORVA CAPITAL MANAGEMENT INC.	69630	> Portfolio Manager
TORVA CAPITAL MANAGEMENT INC.	69630	> Exempt Market Dealer
TOWER ASSET MANAGEMENT INC.	17030	> Portfolio Manager
TRADELOGIQ MARKETS INC.	28310	> Investment Dealer
TRADEX MANAGEMENT INC. / GESTION TRADEX INC.	3670	> Investment Fund Manager
TRADEX MANAGEMENT INC. / GESTION TRADEX INC.	3670	> Mutual Fund Dealer
TRALUCENT ASSET MANAGEMENT INC.	27890	> Investment Fund Manager
TRALUCENT ASSET MANAGEMENT INC.	27890	> Portfolio Manager
TRALUCENT ASSET MANAGEMENT INC.	27890	> Exempt Market Dealer
TRANS-CANADA CAPITAL INC.	62050	> Commodity Trading Manager
TRANS-CANADA CAPITAL INC.	62050	> Investment Fund Manager
TRANS-CANADA CAPITAL INC.	62050	> Portfolio Manager
TRANS-CANADA CAPITAL INC.	62050	> Exempt Market Dealer
TRANSITION FINANCIAL ADVISORS GROUP, INC.	30590	> Portfolio Manager
TRAYNOR RIDGE CAPITAL INC.	66660	> Investment Fund Manager
TRAYNOR RIDGE CAPITAL INC.	66660	> Portfolio Manager
TRAYNOR RIDGE CAPITAL INC.	66660	> Exempt Market Dealer
TREEGROVE INVESTMENT MANAGEMENT INC.	62300	> Portfolio Manager
TREZ CAPITAL FUND MANAGEMENT LIMITED PARTNERSHIP/FOND DE GESTION TREZ CAPITAL SOCIETE EN COMMANDITE	40680	> Exempt Market Dealer
TREZ CAPITAL FUND MANAGEMENT LIMITED PARTNERSHIP/FOND DE GESTION TREZ CAPITAL SOCIETE EN COMMANDITE	40680	> Investment Fund Manager
TRI VIEW CAPITAL LTD.	40830	> Exempt Market Dealer
TRIACT CANADA MARKETPLACE LP	21250	> Investment Dealer
TRIDELTA INVESTMENT COUNSEL INC.	37940	> Investment Fund Manager
TRIDELTA INVESTMENT COUNSEL INC.	37940	> Commodity Trading Manager
TRIDELTA INVESTMENT COUNSEL INC.	37940	> Portfolio Manager
TRIDELTA INVESTMENT COUNSEL INC.	37940	> Exempt Market Dealer
TRIUMPH ASSET MANAGEMENT INC.	18830	> Portfolio Manager
TRIUMPH ASSET MANAGEMENT INC.	18830	> Exempt Market Dealer
TRIUMPH ASSET MANAGEMENT INC.	18830	> Investment Fund Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
TUDOR, PICKERING, HOLT & CO. SECURITIES - CANADA, ULC	57570	> Investment Dealer
TULETT, MATTHEWS & ASSOC. INC.	20100	> Portfolio Manager
TULLETT PREBON CANADA LIMITED	20410	> Exempt Market Dealer
TURN8 PARTNERS INC. / TURN8 ASSOCIES INC.	40490	> Portfolio Manager
TURTLE CREEK ASSET MANAGEMENT INC.	15890	> Investment Fund Manager
TURTLE CREEK ASSET MANAGEMENT INC.	15890	> Portfolio Manager
TURTLE CREEK ASSET MANAGEMENT INC.	15890	> Exempt Market Dealer
TUTUILA ASSET MANAGEMENT INC.	34140	> Investment Fund Manager
TUTUILA ASSET MANAGEMENT INC.	34140	> Portfolio Manager
TUTUILA ASSET MANAGEMENT INC.	34140	> Exempt Market Dealer
TWMG INC.	41630	> Mutual Fund Dealer
TYCHE GLOBAL FINANCIAL INC.	59670	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
UBS ASSET MANAGEMENT (CANADA) INC.	710	> Investment Fund Manager
UBS ASSET MANAGEMENT (CANADA) INC.	710	> Commodity Trading Manager
UBS ASSET MANAGEMENT (CANADA) INC.	710	> Portfolio Manager
UBS ASSET MANAGEMENT (CANADA) INC.	710	> Exempt Market Dealer
UBS INVESTMENT MANAGEMENT CANADA INC. / GESTION DES PLACEMENTS UBS CANADA INC.	8450	> Portfolio Manager
UBS INVESTMENT MANAGEMENT CANADA INC. / GESTION DES PLACEMENTS UBS CANADA INC.	8450	> Exempt Market Dealer
UBS SECURITIES CANADA INC./UBS VALEURS MOBILIERES CANADA INC.	330	> Investment Dealer
ULLMAN WEALTH MANAGEMENT INC.	57720	> Exempt Market Dealer
ULLMAN WEALTH MANAGEMENT INC.	57720	> Investment Fund Manager
ULLMAN WEALTH MANAGEMENT INC.	57720	> Portfolio Manager
UMC FINANCIAL MANAGEMENT INC.	32690	> Restricted Portfolio Manager
UMC FINANCIAL MANAGEMENT INC.	32690	> Exempt Market Dealer
UNBIASED PORTFOLIO MANAGEMENT INC.	14150	> Portfolio Manager
UNIGESTION ASSET MANAGEMENT (CANADA) INC./GESTION DE PLACEMENTS UNIGESTION (CANADA) INC.	47780	> Investment Fund Manager
UNIGESTION ASSET MANAGEMENT (CANADA) INC./GESTION DE PLACEMENTS UNIGESTION (CANADA) INC.	47780	> Portfolio Manager
UNIGESTION ASSET MANAGEMENT (CANADA) INC./GESTION DE PLACEMENTS UNIGESTION (CANADA) INC.	47780	> Exempt Market Dealer
UNIVERSITY OF TORONTO ASSET MANAGEMENT CORPORATION	16840	> Portfolio Manager



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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
VALEURS MOBILIERES BANQUE LAURENTIENNE INC. / LAURENTIAN BANK SECURITIES INC.	410	> Investment Dealer
VALUE PARTNERS INVESTMENTS INC.	34590	> Exempt Market Dealer
VALUE PARTNERS INVESTMENTS INC.	34590	> Investment Fund Manager
VALUE PARTNERS INVESTMENTS INC.	34590	> Portfolio Manager
VALUE-CONTRARIAN ASSET MANAGEMENT INC. / VALUE-CONTRARIAN, CONSEILLERS EN PLACEMENTS	21830	> Investment Fund Manager
VALUE-CONTRARIAN ASSET MANAGEMENT INC. / VALUE-CONTRARIAN, CONSEILLERS EN PLACEMENTS	21830	> Exempt Market Dealer
VALUE-SCIENCES INC.	4100	> Portfolio Manager
VALUETREND WEALTH MANAGEMENT INC.	59450	> Portfolio Manager
VAN BERKOM AND ASSOCIATES INC.	3800	> Portfolio Manager
VAN DEN BERG MANAGEMENT I, INC	57920	> Portfolio Manager
VANCITY INVESTMENT MANAGEMENT LIMITED / GESTION D'INVESTISSEMENTS VANCITY	14950	> Investment Fund Manager
VANCITY INVESTMENT MANAGEMENT LIMITED / GESTION D'INVESTISSEMENTS VANCITY	14950	> Exempt Market Dealer
VANCITY INVESTMENT MANAGEMENT LIMITED / GESTION D'INVESTISSEMENTS VANCITY	14950	> Portfolio Manager
VANGUARD INVESTMENTS CANADA INC.	37720	> Exempt Market Dealer
VANGUARD INVESTMENTS CANADA INC.	37720	> Commodity Trading Manager
VANGUARD INVESTMENTS CANADA INC.	37720	> Investment Fund Manager
VANGUARD INVESTMENTS CANADA INC.	37720	> Portfolio Manager
VANTAGE ASSET MANAGEMENT INC. / GESTION D'ACTIFS VANTAGE	29620	> Investment Fund Manager
VANTAGE ASSET MANAGEMENT INC. / GESTION D'ACTIFS VANTAGE	29620	> Portfolio Manager
VANTAGE ASSET MANAGEMENT INC. / GESTION D'ACTIFS VANTAGE	29620	> Exempt Market Dealer
VAULT EXEMPT MARKET SERVICES INC.	55860	> Exempt Market Dealer
VECTORGLOBAL INVESTMENT ADVISORY GROUP CANADA ULC	62700	> Portfolio Manager
VELOCITY TRADE CAPITAL LTD.	21850	> Futures Commission Merchant
VELOCITY TRADE CAPITAL LTD.	21850	> Investment Dealer
VENABLE PARK INVESTMENT COUNSEL INC.	21780	> Portfolio Manager
VENATOR CAPITAL MANAGEMENT LTD.	22250	> Investment Fund Manager
VENATOR CAPITAL MANAGEMENT LTD.	22250	> Portfolio Manager
VENATOR CAPITAL MANAGEMENT LTD.	22250	> Exempt Market Dealer
VERED WEALTH MANAGEMENT (CANADA) COMPANY LIMITED	70490	> Investment Dealer
VERITAS ASSET MANAGEMENT INC.	56200	> Investment Fund Manager
VERITAS ASSET MANAGEMENT INC.	56200	> Portfolio Manager
VERITAS ASSET MANAGEMENT INC.	56200	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
VERITION ADVISORS (CANADA) ULC	32880	> Portfolio Manager
VERITY INVESTMENT COUNSEL INC.	14680	> Portfolio Manager
VERUS ADVISORY, INC.	47000	> Commodity Trading Manager
VERUS ADVISORY, INC.	47000	> Portfolio Manager
VESTA WEALTH PARTNERS LTD.	50360	> Investment Fund Manager
VESTA WEALTH PARTNERS LTD.	50360	> Portfolio Manager
VESTA WEALTH PARTNERS LTD.	50360	> Exempt Market Dealer
VESTCAP INVESTMENT MANAGEMENT INC.	3770	> Portfolio Manager
VIEWPOINT INVESTMENT PARTNERS CORPORATION	56350	> Investment Fund Manager
VIEWPOINT INVESTMENT PARTNERS CORPORATION	56350	> Portfolio Manager
VIEWPOINT INVESTMENT PARTNERS CORPORATION	56350	> Exempt Market Dealer
VIKING CAPITAL CORP.	10730	> Investment Fund Manager
VIKING CAPITAL CORP.	10730	> Portfolio Manager
VIKING CAPITAL CORP.	10730	> Exempt Market Dealer
VIRTU FINANCIAL CANADA ULC	57340	> Investment Dealer
VIRTU ITG CANADA CORP.	9780	> Futures Commission Merchant
VIRTU ITG CANADA CORP.	9780	> Investment Dealer
VIRTUS CAPITAL MANAGEMENT INC.	46930	> Exempt Market Dealer
VISION CAPITAL CORPORATION	13070	> Investment Fund Manager
VISION CAPITAL CORPORATION	13070	> Portfolio Manager
VISION CAPITAL CORPORATION	13070	> Exempt Market Dealer
VISION WEALTH MANAGEMENT LTD	30410	> Investment Fund Manager
VISION WEALTH MANAGEMENT LTD	30410	> Portfolio Manager
VIVID CAPITAL MANAGEMENT INC.	52650	> Exempt Market Dealer
VIVID CAPITAL MANAGEMENT INC.	52650	> Investment Fund Manager
VIVID CAPITAL MANAGEMENT INC.	52650	> Portfolio Manager
VL ADVISORS INC.	22210	> Investment Fund Manager
VL ADVISORS INC.	22210	> Portfolio Manager
VULCAN ASSET MANAGEMENT CORPORATION	47400	> Portfolio Manager
VWK CAPITAL MANAGEMENT INC.	28170	> Investment Fund Manager
VWK CAPITAL MANAGEMENT INC.	28170	> Portfolio Manager
VWK CAPITAL MANAGEMENT INC.	28170	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
W.A. ROBINSON ASSET MANAGEMENT LTD.	12660	> Investment Fund Manager
W.A. ROBINSON ASSET MANAGEMENT LTD.	12660	> Portfolio Manager
W.A. ROBINSON ASSET MANAGEMENT LTD.	12660	> Exempt Market Dealer
W.D. LATIMER CO. LIMITED	1950	> Investment Dealer
WALTER SCOTT & PARTNERS LIMITED	4110	> Exempt Market Dealer
WARATAH CAPITAL ADVISORS LTD.	32060	> Investment Fund Manager
WARATAH CAPITAL ADVISORS LTD.	32060	> Portfolio Manager
WARATAH CAPITAL ADVISORS LTD.	32060	> Exempt Market Dealer
WATSON DI PRIMIO STEEL (WDS) INVESTMENT MANAGEMENT LTD.	13000	> Portfolio Manager
WATT CARMICHAEL INC.	3870	> Investment Dealer
WATT CARMICHAEL PRIVATE COUNSEL INC.	27470	> Portfolio Manager
WAVEFRONT GLOBAL ASSET MANAGEMENT CORP.	15860	> Investment Fund Manager
WAVEFRONT GLOBAL ASSET MANAGEMENT CORP.	15860	> Portfolio Manager
WAVEFRONT GLOBAL ASSET MANAGEMENT CORP.	15860	> Commodity Trading Manager
WAVEFRONT GLOBAL ASSET MANAGEMENT CORP.	15860	> Exempt Market Dealer
WAVERLEY CORPORATE FINANCIAL SERVICES LTD.	40620	> Exempt Market Dealer
WAYPOINT INVESTMENT PARTNERS INC.	52860	> Investment Fund Manager
WAYPOINT INVESTMENT PARTNERS INC.	52860	> Portfolio Manager
WAYPOINT INVESTMENT PARTNERS INC.	52860	> Exempt Market Dealer
WD CAPITAL MARKETS INC.	27070	> Exempt Market Dealer
WEALHOUSE CAPITAL LIMITED PARTNERSHIP / GESTION DE CAPITAL WEALHOUSE	27690	> Investment Fund Manager
WEALHOUSE CAPITAL LIMITED PARTNERSHIP / GESTION DE CAPITAL WEALHOUSE	27690	> Portfolio Manager
WEALHOUSE CAPITAL LIMITED PARTNERSHIP / GESTION DE CAPITAL WEALHOUSE	27690	> Exempt Market Dealer
WEALTH CREATION PRESERVATION & DONATION INC.	23920	> Exempt Market Dealer
WEALTHBAR FINANCIAL SERVICES INC./SERVICES FINANCIERS WEALTHBAR	46170	> Portfolio Manager
WEALTHBRIDGE INVESTMENT COUNSEL INC.	35340	> Portfolio Manager
WEALTHCO ASSET MANAGEMENT INC.	34530	> Investment Fund Manager
WEALTHCO ASSET MANAGEMENT INC.	34530	> Portfolio Manager
WEALTHCO ASSET MANAGEMENT INC.	34530	> Exempt Market Dealer
WEALTHFORCE INC.	63040	> Mutual Fund Dealer
WEALTHSIMPLE DIGITAL ASSETS INC.	69330	> Restricted Dealer
WEALTHSIMPLE INC.	47940	> Portfolio Manager
WELCH CAPITAL PARTNERS CORPORATE FINANCE INC.	70520	> Exempt Market Dealer
WELLINGTON MANAGEMENT CANADA ULC	61790	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
WELLINGTON MANAGEMENT CANADA ULC	61790	> Commodity Trading Manager
WELLINGTON MANAGEMENT CANADA ULC	61790	> Portfolio Manager
WELLINGTON SQUARE ADVISORS INC.	66460	> Portfolio Manager
WELLINGTON SQUARE CAPITAL PARTNERS INC.	66450	> Portfolio Manager
WELLINGTON-ALTUS PRIVATE COUNSEL INC./WELLINGTON-ALTUS CONSEIL PRIVE	30290	> Investment Fund Manager
WELLINGTON-ALTUS PRIVATE COUNSEL INC./WELLINGTON-ALTUS CONSEIL PRIVE	30290	> Portfolio Manager
WELLINGTON-ALTUS PRIVATE WEALTH INC.	5960	> Investment Dealer
WELLS FARGO SECURITIES CANADA, LTD./VALEURS MOBILIERES WELLS FARGO CANADA, LTEE	32450	> Investment Dealer
WEST FACE CAPITAL INC.	21620	> Exempt Market Dealer
WEST FACE CAPITAL INC.	21620	> Investment Fund Manager
WEST FACE CAPITAL INC.	21620	> Portfolio Manager
WEST HARBOUR CAPITAL	55190	> Exempt Market Dealer
WESTBORO MANAGEMENT LTD.	29160	> Exempt Market Dealer
WESTCOURT CAPITAL CORPORATION	31310	> Portfolio Manager
WESTCOURT CAPITAL CORPORATION	31310	> Exempt Market Dealer
WESTCOURT CAPITAL CORPORATION	31310	> Investment Fund Manager
WESTFIELD PARTNERS LTD.	66030	> Exempt Market Dealer
WFG SECURITIES INC.	7020	> Mutual Fund Dealer
WHITE CRANE CAPITAL CORP.	59580	> Investment Fund Manager
WHITE CRANE CAPITAL CORP.	59580	> Exempt Market Dealer
WHITEHAVEN ASSET MANAGEMENT INC./GESTION D'ACTIFS WHITEHAVEN INC.	57930	> Investment Fund Manager
WHITEHAVEN ASSET MANAGEMENT INC./GESTION D'ACTIFS WHITEHAVEN INC.	57930	> Portfolio Manager
WHITEHAVEN SECURITIES INC. / VALEURS MOBILIERES WHITEHAVEN INC.	46540	> Exempt Market Dealer
WHITEHORSE LIQUIDITY PARTNERS INC.	55680	> Exempt Market Dealer
WHITEHORSE LIQUIDITY PARTNERS INC.	55680	> Portfolio Manager
WICKHAM INVESTMENT COUNSEL INC.	9850	> Portfolio Manager
WILLOUGHBY ASSET MANAGEMENT INC.	50440	> Investment Fund Manager
WINDCROFT FINANCIAL COUNSEL LIMITED	3830	> Portfolio Manager
WINDERMERE CAPITAL (CANADA) INC.	24490	> Portfolio Manager
WINDERMERE CAPITAL (CANADA) INC.	24490	> Exempt Market Dealer
WINDSTAR EQUITIES LTD.	3930	> Exempt Market Dealer
WINGATE INVESTMENT MANAGEMENT LTD	10240	> Investment Fund Manager
WINGATE INVESTMENT MANAGEMENT LTD	10240	> Portfolio Manager
WINGATE INVESTMENT MANAGEMENT LTD	10240	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
WISE CAPITAL MANAGEMENT INC.	10610	> Investment Fund Manager
WISE CAPITAL MANAGEMENT INC.	10610	> Portfolio Manager
WOODBOURNE CAPITAL MANAGEMENT INTERNATIONAL LP	29340	> Portfolio Manager
WORLDSOURCE FINANCIAL MANAGEMENT INC./GESTION FINANCIERE WORLDSOURCE INC.	830	> Exempt Market Dealer
WORLDSOURCE FINANCIAL MANAGEMENT INC./GESTION FINANCIERE WORLDSOURCE INC.	830	> Mutual Fund Dealer
WORLDSOURCE SECURITIES INC./ VALEURS MOBILIERES WORLDSOURCE INC.	11720	> Investment Fund Manager
WORLDSOURCE SECURITIES INC./ VALEURS MOBILIERES WORLDSOURCE INC.	11720	> Investment Dealer
WUTHERICH & COMPANY INVESTMENT COUNSEL INC./ CONSEILLERS EN VALEURS WUTHERICH & COMPAGNIE INC.	14370	> Portfolio Manager

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
XFO PRIVATE ASSET SOLUTIONS LP	66600	> Investment Fund Manager
XFO PRIVATE ASSET SOLUTIONS LP	66600	> Portfolio Manager
XFO PRIVATE ASSET SOLUTIONS LP	66600	> Exempt Market Dealer
XIB ASSET MANAGEMENT INC.	56050	> Investment Fund Manager
XIB ASSET MANAGEMENT INC.	56050	> Portfolio Manager
XIB ASSET MANAGEMENT INC.	56050	> Exempt Market Dealer

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
Y.I.S. FINANCIAL INC.	4190	> Mutual Fund Dealer
YORKVILLE ASSET MANAGEMENT INC.	33110	> Investment Fund Manager
YORKVILLE ASSET MANAGEMENT INC.	33110	> Portfolio Manager
YORKVILLE ASSET MANAGEMENT INC.	33110	> Exempt Market Dealer
YOUFIRST FINANCIAL INC.	26590	> Portfolio Manager
YTM CAPITAL ASSET MANAGEMENT LTD.	35870	> Investment Fund Manager
YTM CAPITAL ASSET MANAGEMENT LTD.	35870	> Portfolio Manager
YTM CAPITAL ASSET MANAGEMENT LTD.	35870	> Exempt Market Dealer

## List of Ontario Registrants as of September 16, 2021

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<u>Registrant Name</u>	<u>NRD Number</u>	<u>Registration Category</u>
ZED FINANCIAL PARTNERS	12560	> Exempt Market Dealer
ZELOS CAPITAL LTD.	56580	> Investment Fund Manager
ZELOS CAPITAL LTD.	56580	> Portfolio Manager
ZELOS CAPITAL LTD.	56580	> Exempt Market Dealer
ZENISON FINANCIAL SERVICES INC./ZENISON SERVICES FINANCIERS INC.	69640	> Portfolio Manager
ZLC WEALTH INC.	14620	> Exempt Market Dealer
ZLC WEALTH INC.	14620	> Portfolio Manager