

1.1.3 CSA Staff Notice 33-311 List of Canadian Registrant and Non-Registrant Firms that Completed the CSA STP Readiness Assessment Survey

CSA STAFF NOTICE 33-311

LIST OF CANADIAN REGISTRANT AND NON-REGISTRANT FIRMS THAT COMPLETED THE CSA STP READINESS ASSESSMENT SURVEY

The Canadian Securities Administrators (CSA), a council of the 13 securities regulators of Canada's provinces and territories, believe that straight-through processing (STP) is an extremely important initiative. The CSA provided a second STP Readiness Assessment Survey (Survey) to Canadian registrant and non-registrant firms (Firms) to assess the preparedness of the industry in Canada for STP.

The Survey was available online from **June 14 to July 12, 2004**. The CSA asked investment dealers; mutual fund dealers; investment counsels and/or portfolio managers; limited market dealers; mutual fund managers; discount brokers (Quebec registrant category); and unrestricted brokers (Quebec registrant category) to complete the Survey. We have received 532 responses. The CSA is now in the process of tabulating the results and will publish the aggregate results of the Survey in the fall.

Below is a list of Canadian Firms who have taken the time to complete the voluntary Survey.

ABN AMRO Asset Management Canada Limited
ABN AMRO Capital Markets Canada Limited
Acadian Securities Inc.
Access Capital Corp.
Accilent Capital Management Inc.
Ackber Financial Corporation
Acker Finley Asset Management Inc.
Acker Finley Inc.
Acuity Funs Ltd.
Acuity Investment Management Inc.
Addenda Capital Inc.
Adroit Group Ltd.
Adroit Investment Management Ltd.
Aegis Corporate Financial Services Limited
AEGON Capital Management Inc.
Aegon Services aux courtiers Canada inc.
Aequanimitas Inc.
AGF Funds Inc.
AGF Securities (Canada) Limited
Agilerus Investment Management Limited
AIG Global Investment Corp. (Canada)
AIM Funds Management Inc.
Alan W. McFarlane Associates
Alexander Gluskin Investments Inc.
Alexander Hagan Inc.
Alliance Capital Management Canada, Inc.
Allianz Education Funds, Inc.
Allied Corporate Services Inc.
ALT Capital Markets Inc.
Altamira Investment Services Inc.

Ambrose Investment Counsel Ltd.
Ameritrade Canada, Inc.
AMI Partners Inc.
ARC Financial Corporation
Argosy Securities Inc.
ARX Capital Inc.
Ashford Capital Canada Inc.
Assante Asset Management Ltd.
Aurion Capital Management Inc.
Avantages, Services Financiers Inc.
Avanti Securities Corporation
Aviva Investment Canada Inc.
AXA Financial Services Inc.
Baker Gilmore & Associés Inc.
Banwell Financial Inc.
Barrantagh Investment Management Inc.
Beacon Securities Ltd.
Beutel Goodman Managed Funds Inc.
Beutel, Goodman & Company Ltd.
Bick Financial Security Corporation
Bieber Securities Inc.
Bimcor Inc.
BLC - Edmond de Rothschild Gestion d'Actifs Inc.
Bloomberg Tradebook Canada Company
Blueprint Investment Corp.
Bluestone Financial Corporation
Bluewater Investment Management Inc.
BluMont Capital Corporation
BMO Harris Investment Management Inc.
BMO Investments Inc.
BMO InvestorLine Inc.
BMO Nesbitt Burns Inc.
BonaVista Asset Management Ltd.
Borealis Securities Inc.
Botica Capital Management Inc.
Boucher & Company Inc.
Bradley Leonard Jones
Brompton Capital Advisors
Brownstone Investment Planning Inc.
Burgundy Asset Management Ltd.
Bush Associés Ltée
Byron Securities Limited
C Morgan Investment Counseling
C.F.G. Heward Investment Management Ltd.
C.P.M.S. Computerized Portfolio Management Services Inc.
Caldwell Investment Management Limited
Caldwell Securities Ltd.
Cambridge Corporate Development Inc.
Campbell & Lee Investment Management Inc.
Campbell Valuation Partners Limited
Canaccord Capital Corporation
CanDeal Inc.
Candor Financial Group Inc.
Canfin Financial Group
Canso Investment Counsel, Ltd.
CAP Investment Management Inc.
Capital Access Corporation
Capital Alliance Ventures Inc.
Capital Canada Limited
Capital Genoa Inc.
Capital International Asset Management (Canada), Inc.
Capstone Consultants Ltd.

Casgrain & Compagnie Limitée
Cassels Investment Management Inc.
Castellum Capital Management Inc.
CBID Markets Inc.
CBID Brokerage Services Inc.
CDP Capital Inc.
Centurion Investment Advisors Inc.
Certus Wealth Management Inc.
CFI Leasing Limited
CFI Trust
Chinook Agri Marketing Inc.
Chou Associates Management Inc.
CI Mutual Funds Inc.
CIBC Asset Management Inc.
CIBC Investor Services Inc.
CIBC Wealth Management Inc.
CIBC World Markets Inc.
CIT Group Securities (Canada) Inc.
Citigroup Global Markets Canada Inc.
Clarica Investco Inc.
ClaringtonFunds Inc.
Clarus Securities Inc.
CMS Investment Resources (Canada) Inc.
Coast Capital Savings
Cockfield Porretti Cunningham Investment Counsel
Coleford Investment Management Ltd.
Commodity Management Inc.
Commonfund Canada Inc.
Compagnie Valeurs Mobilières Transatlantiques Limitée
Connor, Clark & Lunn Arrowstreet Capital Ltd.
Connor, Clark & Lunn Capital Markets
Connor, Clark & Lunn Financial Group
Connor, Clark & Lunn Private Capital Management
Conseillers en Placements Kerr Inc. (Les)
Conseillers en Valeurs Visavis Inc.
Co-operators Investment Counselling Limited
Corporation NBF Valeurs Mobilières (USA)
Cougar Global Investments Limited Partnership
Courtage à escompte Banque Nationale Inc.
Covenant Financial Inc.
Covington Capital Corporation
Coxswain Row Capital Corporation
CR Advisors Corporation
Craig & Taylor Financial Services Inc.
Crane Capital Associates (Canada) Inc.
Cranston, Gaskin, O'Reilly & Vernon
Credifinance Securities Limited
Creststreet Asset Management Limited
Crosbie & Company Inc.
Crosbie Capital Management Inc.
Crystal Wealth Management System Ltd.
Cundill Investment Research Ltd.
D.W. Good Investment Co. Ltd.
Dacks Money Management Inc.
Danzinger & Hochman
Davis-Rea Ltd.
Deans Knight Capital Management Ltd.
Delmar Investments Inc.
Deloitte & Touche LLP
DeltaOne Asset Management Corporation
Demers Conseil Inc.
DePutter Publishing Ltd.
DG Walkow, Investment Counsel Inc.
DNL Money Management Ltd.
Dorchester Investment Management
Douglas Capital Inc.
Drake Goodwin & Co. Canada Limited
Dubeau Capital & Compagnie Ltée
Dundee Private Investors Inc.
Dundee Securities Corporation
E.M. Smithies & Associates Investment Management Inc.
e3m Investments Inc.
Elmwood Capital Inc.
Elysium Wealth Management Inc.
Emerging Equities Inc.
Enterprise Capital Management Inc.
Epic Capital Management Inc.
Equilife Investment Management Inc.
Equitable Life of Canada
Equity Associates Inc.
Ernst & Young Corporate Finance Inc.
ETS Equities Trading Services Inc.
Evangeline Securities Limited
Everest Financial Planning Inc.
Exceder Investment Management Inc.
Excel Financial Growth Inc.
F.W. Thompson Co. Limited
FactorCorp
Fairlane Asset Management Ltd.
Fidelity Investments
Fiducie Desjardins Inc.
Fiera Capital inc.
Fimat Produits Dérivés Canada Inc.
Financière Banque Nationale Inc.
First Affiliated Holdings Inc.
First Asset Brokerage Corporation
First Asset Investment Management Inc.
First Asset Management Inc.
First Associates Investments Inc.
First Canadian Property Investments Ltd.
First Defined Portfolio Management Co.
First Financial Securities Inc.
First Leaside Finance Inc.
First Leaside Securities Inc.
First Nations Equity Inc.
First Ontario Management Ltd.
Fonds des professionnels Fonds d'investissement inc.
Foresters Securities (Canada) Inc.
Foyston, Gordon & Payne Inc.
Franklin Templeton Investment Corp.
Freedom International Brokerage Company
Friedberg Mecantile Group
Front Street Investment Management Inc.
Fruchet Asset Management
Full Cycle Energy Investment Management Ltd.
FundEX Investments Inc.
Fusion Capital Partners Inc.
Gary Bean Securities Ltd.
Genus Capital Management Inc.
Gestion d'Actif Structurée Inc.
Gestion d'Actifs MGP Media Inc.
Gestion de Placements du Groupe Investors (Québec) Ltée
Gestion de Placements Eterna Inc.
Gestion de Placements Holdun Inc.
Gestion de Placements Innocap Inc.
Gestion de Placements Norshield (Canada) Ltée

Gestion de Portefeuille Natcan Inc.
Gestion J.C. Dorval Inc.
Gestion Monan Inc.
Gestion Palos Inc.
Gestion Privée Diamant Inc.
Gestion Universitas inc.
GIC Financial Services
Giraffe Capital Corporation
Giverny Capital Inc.
Global Capital Partners Inc.
Global Securities Corporation
GMP Securities Ltd.
GMPD Consulting Inc.
Goldman Sachs Canada Inc.
Goodreid Investment Counsel Corp.
Goodman & Company, Investment Counsel Ltd.
Goodman & Company, Dealer Services Inc.
Goodwood Inc.
Granite Associates Ltd.
Grosvenor Park Securities Inc.
Groundlayer Capital Inc.
Groupe Option Retraite Inc. (Le)
GrowthQuest Capital Inc.
GTS Securities
Guardian Capital Advisors Inc.
Guardian Capital Inc.
Guardian Group of Funds Ltd.
Gundy Inc.
GWL Investment Management Ltd.
GWP Wealth Management Inc.
H&H Securities Limited
Hanover Private Client Corporation
Harrar Capital Partners Inc.
Harrington Lane Financial Corp.
Hartford Investments Canada Corp.
Haywood Securities Inc.
Heathbridge Graham Inc.
Hemisphere Capital Management
Hendrickson Financial Inc.
Hesperian Capital Management Ltd.
Heward MacNicol Asset Management Inc.
Highbridge Financial Advisors, Inc.
Highstreet Asset Management Inc.
Hill & Crawford Investment Management Group Ltd.
Hillsdale Investment Management Inc.
Howell Investment Management Inc.
Hugues Ouimet + Associates Inc.
Hutton Investment Counsel Inc.
IBK Capital Corp.
Imperial Capital Corporation
Independent Accountants' Investment Counsel Inc.
Independent Accountants' Investment Group Inc.
Independent Planning Group Inc.
Industrial Alliance Mutual Funds
ING Wealth Management Inc.
Instinet Canada Limited
Institutional Capital
Integra Capital
Integra Capital Management Corporation
Integrated Investment Management Inc.
Integrated Managed Futures Corporation
Inverloch Capital
Inverloch Capital (William Glen Morrison, sole proprietor)

Investia services financiers inc.
Investissements Excel inc.
Investment Financial Group Inc.
IOCT Financial Inc.
IPC Investment Corporation
IPC Portfolio Management Ltd.
IQON Financial Inc.
ITG Canada Corp.
J C Hood Investment Counsel Inc.
J. Zechner Associates, Inc.
J.F. Mackie & Company
J.R. Senecal & Associates Investment Counsel Corp.
Jarislowsky, Fraser Limitée
JDM Financial Ltd.
Jeffrey D. Stacey & Associates Ltd.
JenKriMar Investments Corporation
Jeremiah Properties Inc.
John S. Keenlyside & Co. Ltd.
John To Financial Services Limited
Jones Collombin Investment Counsel Inc.
Jones Heward Investment Counsel
Jones, Gable & Company Limited
Jory Capital Inc.
Juniper Fund Management Corp.
JVK Life & Wealth Advisory Group Inc.
K J Harrison & Partners Inc.
K2 & Associates Investment Management Inc.
KBSH Capital Management Inc.
Kensington Investment Management Inc.
Kernaghan Securities Ltd.
Kingsdale Capital Markets Inc.
KingsGate Securities Limited
Latitude Partners Securities Inc.
Lawrence Decter Investment Counsel Inc.
Lee, Turner & Associates Inc.
Leesh Investments Inc.
Leith Wheeler Investment Counsel Ltd.
Leon Frazer & Associates Inc.
Les Fonds d'investissement FMOQ inc.
Les services financiers Planifax inc.
Les services financiers Teraxis inc.
Lighthouse Private Client
Lightyear Capital Inc.
Lincluden Management Ltd.
Lincluden Mutual Fund Dealer Inc.
Loewen & Partners Corporate Services Inc.
M. Hershberg Capital Limited
MacDougall, MacDougall & MacTier Inc.
Manitou Investment Management Ltd.
Manulife Securities International, Ltd.
Maple Futures Corp.
Maple Securities Canada Limited
Marathon Capital Advisors Inc.
Marquest Investment Counsel Inc.
Marsh Canada Securities Ltd.
Martin, Lucas & Seagram Ltd.
Mawer Investment Management Ltd.
Maxima Investment Management Ltd.
MCA Valeurs Mobilières Inc.
MCAP Securities Inc.
McFarlane Gordon Inc.
McKenna Gale Securities Inc.
McLean & Partners Wealth Management

McLean Asset Management Ltd.
McLean Budden Limited
McLean Financial Management Inc.
MD Funds Management Limited
MD Management Limited
MD Private Investment Management Inc.
MDS Capital Management Corporation
Medallion Capital Corp.
Mellon Asset Management, Limited
Meridian Global Investors Inc.
Merrill Lynch Canada Inc.
MFC Global Investment Management
Middlefield Group
Milford Capital Management Inc.
Mirabaud Canada Inc.
Mitchell, Jenner & Associates Inc.
Mondiale Asset Management Ltd.
Moneystrat Securities Inc.
Morgan Bay Capital Inc.
Morgan Meighen & Associates Limited
Morguard Financial Corp.
MRS
MRS Trust
Multi Courtage Capital inc.
Mulvihill Capital Management Inc.
Mulvihill Fund Services Inc.
N.D. Moffat Investment Management Ltd.
NAPG Equities Inc.
Navigator Capital Management Inc.
NB Securities Ltd.
NBCN
NBCN Compensation
Network Financial Corp.
Newport Investment Counsel Inc.
Newport Securities Inc.
Nigel Stephens Counsel Inc.
Nomura Canada Inc.
Norstar Securities International Inc.
Northbrook Financial Group Inc.
Northern Securities Inc.
Northwater Capital Management Inc.
Northwest Mutual Funds Inc.
Nova Bancorp Securities Ltd.
NT Global Advisors, Inc.
O.P.M. Ventures Inc.
Octagon Capital Corporation
Odlum Brown Limited
O'Donnell Asset Management Corp.
Optimum Gestion de Placements Inc.
Optimum placements inc.
Opus 2 Financial Inc.
Opus 2 Securities Inc.
OTG Financial Inc.
Pacific International Securities Inc.
Paradigm Capital Inc.
PARC Capital Management Limited
Partenaires financiers Majesta inc./Majesta financial partners inc.
PCJ Investment Counsel Ltd.
PEAK Financial Group
PEAK Investment Services Inc.
PEAK Securities Inc.
Peregrine Investment Management Inc.
PFSL Investments Canada Ltd.
Pinnacle Merchant Capital Ltd.
Planmar Financial Corp.
Planning Circle Financial Group Inc.
Plum Hollow Investments Inc.
Polar Securities Inc.
Polysecurities Inc.
Pope & Company
Portfolio Strategies Corp.
Portus Alternative Asset Management
Prime Quadrant LP
Private Capital Markets Corp.
Priveq Capital Funds
Professional Investments (Kingston) Inc.
Proxima Capital Management Limited
QFS Financial Services Ltd.
Quadravest Capital Management Inc.
Queensbury Securities Inc.
Questrade Inc.
QVGD Investors Inc.
R.A.Floyd Capital Management Inc.
R.E.G.A.R. Gestion Privée Inc.
R.G. Shoniker & Associates Inc.
R.M. Venditti Investment Management
Rattenbury Financial Management Inc.
Raymond James Ltd.
RBC Asset Management Inc.
RBC Dominion Securities Inc.
Red Barn Capital
Refco Futures (Canada) Ltd.
Renaissance Capital Inc.
Resolution Capital Inc.
Richardson Partners Financial Ltd.
Rimcon Inc.
Robert Evans Investment Council Limited
Rockvale Capital Management Inc.
Rogan Investment Management
Rogers Group Investment Advisors Ltd.
Rosseau Asset Management Ltd.
Royal Mutual Funds Inc.
Salman Partners Inc.
Sanders Wealth Management Group Inc.
Savoy Capital Management Ltd.
Sayer Securities Limited
Scarthingmoor Asset Management Inc.
Sceptre Investment Counsel Limited
Sceptre Mutual Fund Dealer Inc.
Scheer, Rowlett & Associates Investment Mgmt Ltd.
Scotia Cassels Investment Counsel Limited
Scotia Securities Inc.
Scotiabank/Scotia Capital Inc.
Security Financial Services & Investment Corp.
Secutor Capital Management Corporation
SEI Investments Canada Company
Sentry Select Capital Corp.
Services Financiers L'Écu D'Or (9118-9795 Québec inc.)
Services Financiers Penson Canada Inc.
Shah Financial Planning Inc.
Shaunessy & Company Ltd.
Shorcan Brokers Limited
Silvercreek Management Inc.
Sinclair-Cockburn Financial Services, Inc.
Sionna Investment Managers Inc.

Slabe Inc.
SLF Capital Markets Inc.
Sogeplan Ltée
Sprott Asset Management Inc.
Sprott Securities Inc.
Sprucegrove Investment Management Ltd.
Standard Life Assurance Company
Standard Life Investments Inc.
Stonebridge Financial Corporation
Stonebrooke Asset Management Inc.
Strategic Advisors Corp.
Strategic Capital Partners Inc.
Strathy Investments Ltd.
Structured Capital Inc.
Successful Investor Wealth Management Inc.
Swift-Trade Inc.
Synergy Asset Management Inc.
Synergy Services Corporation
T.E. Investment Counsel
T.H.A. Bodnar & Co. Investment Management Ltd.
Taggart Galt Capital Inc.
TD Asset Management (TDAM)
TD Investment Services Inc
TD Securities Inc.
TD Waterhouse
TechCapital and Stone Road Investment Management Inc.
TEN STAR Financial Inc.
Tera Capital Corporation
The Independent Order of Foresters
The Investment Shop Inc.
Thornmark Asset Management Inc.
Tradex Management Inc.
Treasury and Investment Management Advisors
Tremont Investment Management, Inc.
Triax Capital Corporation
Trilon Securities Corporation
Trust Bank Nationale (NB Trust)
Trust Lombard Odier Darier Hentsch inc.
Tullett Liberty Limited
Turtle Creek Asset Management Inc.
UBS Bank Canada
UBS Global Asset Management
UBS Securities (Canada) Inc.
UBS Trust (Canada)
Valeurs Mobilières Banque Laurentienne Inc.
Valeurs Mobilières Desjardins Inc.
Valeurs Mobilières Everest inc.
Value Investment Planning Centre Inc.
Value Sciences Inc.
Venturelink Advisors Inc.
Veracity Capital Inc.
Verity Investment Counsel Inc.
Viking Capital Corp.
W.D. Latimer Co. Limited
Waterous Securities Inc.
Watt Carmichael Inc.
Wellington West Capital Inc.
Westwind Partners Inc.
Wickham Investment Counsel Inc.
Windcroft Financial Counsel Limited
Wirth Associates Inc.
Wolfcrest Capital Advisors Inc.
YMG Capital Management Inc.

For more information on the STP initiative, please visit the OSC website at www.osc.gov.on.ca and the Canadian Capital Markets Association (CCMA) website at www.ccma-acmc.ca.

For further information regarding the STP Survey, please contact:

Emily Sutlic
Legal Counsel, Market Regulation
Capital Markets Branch
Ontario Securities Commission
Phone: 416-593-2362
Fax: 416-595-8940
E-mail: esutlic@osc.gov.on.ca

Veronica Armstrong
Senior Policy Advisor
British Columbia Securities Commission
Phone: 604-899-6738
Fax: 604-899-6814
E-mail: Varmstrong@bcsc.bc.ca

Patricia Leeson
Legal Counsel
Alberta Securities Commission
Phone: 403-297-5222
Fax: 403-297-6156
Email: patricia.leeson@seccom.ab.ca

Serge Boisvert
Regulatory Analyst
Autorité des marchés financiers
Phone: 514-940-2199, Ext. 2404
Fax: 514-873-7455
Email: serge.boisvert@lautorite.qc.ca

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