

1.1.3 CSA Staff Notice 33-307 List of Canadian Registrant and Non-Registrant Firms that Completed the CSA STP Readiness Assessment Survey

CSA STAFF NOTICE 33-307

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



The Canadian Securities Administrators (CSA), a council of 13 provincial and territorial securities regulators, believe that straight-through processing (STP) is an extremely important initiative. The CSA provided a 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 **May 9 to May 30, 2003**. 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 asked nearly 998 Canadian Firms to participate in the Survey and received 732 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
Abria Financial Products Ltd.
Acadian Securities Inc.
Accilent Capital Management Inc.
Accumulus Investment Management Ltd.
Ackber Financial Corporation
Acker Finley Asset Management Inc.
Acker Finley Inc.
Acquisitions, Investments, Mergers Group Canada Limited
Action Valeur Ajoutée Inc.
Acuity Funds Ltd.
Acuity Investment Management Inc.
Acumen Capital Finance Partners Limited
ADA Investments Inc.
Addenda Capital Inc.
Adoit Investment Management Ltd.
Adroit Group Ltd.
Aegon Canada
AEGON Capital Management Inc.
AEGON Dealer Services Canada Inc.
Aequanimitas Inc.
AGF Funds Inc.
AGF Securities (Canada) Limited
Agilerus Investment Management Limited
AIC Limited
AIG Global Investment Corp. (Canada)
AIM Funds Management Inc.
Alan W. McFarlane Associates
All-Canadian Management Inc.

Allianz Education Funds, Inc.
Altamira Investment Services Inc.
Altamira Management Ltd.
Altus Securities Inc.
AMI Partners Inc.
ANIX Fund Management Corp.
Anvest Financial Services Inc.
ARC Financial Corporation
Archipelago Canada Inc.
Argosy Securities Inc.
Armstrong & Quaille Associates Inc.
Artech Asset Advisory Services Inc.
Ascendant Capital Inc.
Ascendant Capital Management Inc.
ASG Financial Corp.
Ashford Capital Canada Inc.
Aspen Futures & Options Inc.
Assante Asset Management Ltd.
Assante Capital Management Ltd.
Assante Financial Management Ltd.
Asset Logics Capital Management Inc.
Assurance Capital Management Corporation
Aurion Capital Management Inc.
Avanti Securities Corporation
Avenue Bancorp Ltd.
Avenue Wealth Management Inc.
Axis Capital Corporation
Baker Gilmore & Associés Inc.
Bank Julius Baer & Co. Ltd.
Banwell Financial Inc.
Barclays Global Investors Canada Limited
Barclays Global Investors Services Canada Limited
Barrantagh Investment Management Inc.
Baskin Financial Services Inc.
Bedford Capital Corporation
Benson-Quinn-GMS Inc.
Berkshire Securities Inc.
Beutel Goodman Managed Funds Inc.
Beutel, Goodman & Company Ltd.
Bick Financial Security Corporation
Bieber Securities Inc.
BioCatalyst Yorkton Inc.
Biremis Corporation
BLC - Edmond de Rothschild Gestion d'Actifs Inc.
Bloom Investment Counsel, Inc.
Bluestone Financial Corporation
Bluewater Investment Management Inc.
BluMont Capital Corporation
BMO Harris Investment Management Inc.
BMO Investments Inc.
BMO InvestorLine Inc.
Bolder Investment Partners
BonaVista Asset Management Ltd.
Borealis Securities Inc.
Boucher & Company Inc.
Bradley Leonard Jones
Brant Securities Limited
Brawley Cathers Limited
Buckingham Capital Corporation
Bullion Management Services Inc.
Bureen Financial Management Corporation
Burgeonvets Securities
Burgundy Asset Management Ltd.
Bush Associés Ltée
Byron Securities Limited
C.A. Delaney Capital Management Ltd.
C.F.G. Heward Investment Management Ltd.
C.P.M.S. Computerized Portfolio Management Services Inc.
Caldwell Investment Banking Inc.
Cale Financial Corporation
Callum/Jackson Bancorp Inc.
Campbell & Lee Investment Management Inc.
Campbell Valuation Partners Limited
Canaccord Capital Corporation
Canada Life Mortgage Services Ltd.
Canadian ShareOwner Investments Inc.
CanDeal.ca Inc.
Canfin Magellan Investments Inc.
Canso Investment Counsel, Ltd.
CAP Investment Management Inc.
Capital Alliance Ventures Inc.
Capital Canada Limited
Capital Genoa Inc.
Capital International Asset Management (Canada), Inc.
Cartier Partners Financial Services Inc.
Cartier Partners Securities Inc.
Casgrain & Compagnie Limitée
Castellum Capital Management Inc.
CBID Markets Inc.
CDP Capital Marchés Mondiaux inc.
Centerfire Capital Management Inc.
Centurion Investment Advisors Inc.
Certus Wealth Management Inc.
CFI Leasing Limited
CGU Investment Management Canada
Chiefswood Investment Management Inc.
Chinook Agri Marketing Inc.
Chou Associates Management Inc.
CI Fund Services Inc.
CI Mutual Funds Inc.
CIBC Asset Management Inc.
CIBC Investor Services Inc.
CIBC Securities Inc.
CIBC World Markets Inc.
Cirplus Futures Inc.
CL Capital Management (Canada) Inc.
Claremont Advisors Ltd.
Clarica Investco Inc.
ClaringtonFunds Inc.
Clipper Advisors Ltd.
Closeburn Management Ltd.
Cluster Asset Management Ltd.
CMG-Worldsource Financial Services Inc.
CMS Investment Resources (Canada) Inc.
Coast Capital Investments
Cockfield Porretti Cunningham Investment Counsel
Cogesfonds Inc.
Coleford Investment Management Ltd.
Commodity Management Inc.
Commonfund Canada Inc.
Confident Financial Services (1969) Limited
Coniston Investment Corp.
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 Chabotpage Inc. (Les)
Conseillers en Valeurs Visavis Inc.
Conseillers Interinvest Corporation du Canada Ltée
Co-operators Investment Counselling Limited
Corporation Gestion de Placements Claret
Cougar Global Investments Limited Partnership
Covington Capital Corporation
Cowans & Company Ltd.
Coxswain Row Capital Corporation
CPA Securities Inc.
Craig & Taylor Financial Services Inc.
Crane Capital Associates (Canada) Inc.
Cranston, Gaskin, O'Reilly & Vernon
Credential Securities Inc.
Credifinance Securities Limited
Credit Suisse First Boston Canada Inc.
Crescent Capital Corp.
Creststreet Asset Management Limited
Crosbie & Company Inc.
Crosbie Capital Management Inc.
Crystal Wealth Management System Ltd.
Cumberland Asset Management Corp.
Cunningham Investment Counsel Inc.
CWB Canadian Western Financial Ltd.
CWM Funds Inc.
CWM Investment Counsel Inc.
D.A.W. Services Ltd.
D.W. Good Investment Co. Ltd.
Danz Financial Corporation
Dattner Consulting (sole proprietorship)
Davis-Rea Ltd.
De Thomas Financial
Deans Knight Capital Management Ltd.
Delmar Investments Inc.
DePutter Publishing Ltd.
Desjardins Trust Investment Services Inc.
Deutsche Bank Securities Limited
DG Walkow, Investment Counsel Inc.
Di Tomasso Group Inc.
DNL Money Management Ltd.
Dominick & Dominick Securities Inc.
Dominion Equity Resource Fund Inc.
DONRO Financial Ltd.
Dorchester Investment Management
Douglas Capital Inc.
Drake Goodwin & Co. Canada Limited
Dundee Securities Corporation
Dusby Management Corp.
Dynamic Mutual Fund Services Inc.
Dynamic Mutual Funds Ltd.
E*TRADE Canada
E.M. Smithies & Associates Investment Management Inc.
e3m Investments Inc.
East Asia Securities Inc.
Echlin Investment Management Limited
eFunds.ca Securities Limited
Elliott & Page Limited
Elmwood Capital Inc.
Emerging Equities Inc.
Enterprise Capital Management Inc.
Epic Capital Management Inc.
Equilibrium Capital Management Inc.
Equilife Investment Management Inc.
Ernst & Young Corporate Finance Inc.
ETS Equities Trading Services Inc.
Evan S. Sone Financial Management Inc.
Exceder Investment Management Inc.
Excel Financial Growth Inc.
F.L. Securities Inc.
Fahnestock Canada Inc.
Faiz & Associates Inc.
Faiz Asset Management Inc.
Family Investment Planning Inc.
Family Wealth Advisors Ltd.
Faraday Financial Corporation
Farm Mutual Financial Services Inc.
Felcom Management Corp.
Fidelity Investments
Fiducie Desjardins Inc.
Fimat Produits Dérivés Canada Inc.
Financial Architects Investments Inc.
Financial Decisions Inc.
Finch Asset Management Inc.
Firestar Capital Management Corporation
First Affiliated Holdings Inc.
First Asset Advisory Services Inc.
First Asset Management Inc.
First Associates Investments Inc.
First Canadian Property Investments Ltd.
First Defined Portfolio Management Co.
First Leaside Finance Inc.
First Ontario Management Ltd.
FirstEnergy Capital Corp.
Fonds des professionnels - Fonds d'investissement
Forest & Marine Financial Corporation
Foresters Securities (Canada) Inc.
Foster & Associates Financial Services
Fourth Street Capital Ltd.
Foyston, Gordon & Payne Inc.
Frank Russell Canada Limited
Franklin Templeton Investment Corp.
Freedom International Brokerage Company
Friedberg Commodity Management Inc.
Friedberg Mercantile Group
Front Street Capital Inc.
Fruchet Asset Management
Fulton Financial Corporation
FundEX Investments Inc.
FundTrade Financial Corp.
Fusion Capital Partners Inc.
Galileo Equity Management
Garmaise Investment Technologies Inc.
Gary Bean Securities Ltd.
Gary W. Cox Ltd.
GBC Asset Management Inc.
Generation Financial Corp.
Geneva Merger & Acquisition Services of Canada (Ont.)
Inc.
Genus Capital Management Inc.
Gestion d'Actif Structurée Inc.
Gestion d'Arbitrage Cristallin Inc.
Gestion de Capitaux Rothenberg Inc.
Gestion de Placements Eterna Inc.
Gestion de Placements Portus Inc.

Gestion de Portefeuille Natcan Inc.
Gestion Monan Inc.
Giraffe Capital Corporation
Global Securities Corporation
Global Trader 24/7 Canada Inc.
Global Wealth Builders Ltd.
GlobeInvest Capital Management Inc.
Globevest Capital Inc.
Gluskin Sheff + Associates Inc.
GMPD Consulting Inc.
Golden Capital Securities
Goldman Sachs Canada Inc.
Goldstein Snider Investments Inc.
Goodhope Management Ltd.
Goodreid Investment Counsel Corp.
Goodwood Inc.
GP Capital Corporation
Granite Associates Ltd.
Graylie Management Limited
Great Western Financial Corporation
Greenleaf Group Inc.
Griffiths McBurney & Partners
Groundlayer Capital Inc.
Groupe Option Retraite Inc. (Le)
GrowthWorks Capital Ltd.
GTS Securities
Guardian Capital Inc.
Guardian Group of Funds Ltd.
Gundy Inc.
GWL Investment Management Ltd.
GWP Wealth Management Inc.
H&H Securities Limited
H.O. Financial Services Inc.
Hahn Investment Stewards & Company Inc.
Hamblin Watsa Investment Counsel Ltd.
Hanover Private Client Corporation
Harrar Capital Partners Inc.
Harris Partners Limited
Hartford Investments Canada Corp.
Hawk Capital Corporation
Haywood Securities Inc.
Heathbridge Graham Inc.
Hemisphere Capital Management
Hendrickson Financial Inc.
Henkedan Corp
Hesperian Capital Management Ltd.
Heward MacNicol Asset Management Inc.
Hibernian Capital Management Ltd.
Highbridge Financial Advisors, Inc.
Highstreet Asset Management Inc.
Hill & Crawford Investment Management Group Ltd.
Hill & Gertner Capital Corp.
Hillsdale Investment Management Inc.
Hottinger Asset Management Canada Inc.
Howell Investment Management Inc.
Howson Tattersall Investment Counsel Limited
HSBC Asset Management (Canada) Ltd.
HSBC Investment Funds (Canada) Inc.
HSBC Securities (Canada) Inc.
Hub Capital Inc.
Hugues Ouimet + Associates Inc.
Hutton Investment Counsel Inc.
I.F.S. Securities Inc.
I.U. Go Capital Inc.
IBK Capital Corp.
IMV Strategies Corp
Independent Accountants' Investment Group Inc.
Independent Planning Group Inc.
Independent Trading Group
INFO Financial Consulting Group Inc.
ING Direct Funds Limited
ING Wealth Management Inc.
Instinet Canada Limited
Institutional Capital
Integra Capital
Integrated Investment Management Inc.
Interexxim Inc.
International Capital Management Inc.
Inverlochy Capital
Investia Financial Services Inc.
Investissements en Capital Derek Hirsch Ltée
Investors Group Inc.
IOCT Financial Inc.
IPC Investment Corporation
IPC Portfolio Management Ltd.
IPC Securities Corporation
IPO Capital Corp
IQON Financial Inc.
ITG Canada Corp.
J C Hood Investment Counsel Inc.
J. Zechner Associates, Inc.
J.C. Clark Ltd.
J.F. Mackie & Company
J.P. Morgan Securities Canada Inc.
J.R. Senecal & Associates Investment Counsel Corp.
Jacques Nadeau & Associés Conseillers en Placements Inc.
Jeffrey D. Stacey & Associates Ltd.
Jenam Securities Inc.
JenKriMar Investments Corporation
Jeremiah Properties Inc.
JML Portfolio Management Ltd.
John D. Hillery Investment Counsel 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.
JR/Janus Merchant Brokers Ltd.
Julius Baer Conseil en Investissements (Canada) Ltée
Juniper Fund Management Corp.
JVK Life & Wealth Advisory Group Inc.
K J Harrison & Partners Inc.
K2 & Associates Investment Management Inc.
Kaimor Securities Inc.
KBSH Capital Management Inc.
Kernaghan Securities Ltd.
Kingsdale Capital Markets Inc.
Kingsdale Capital Partners
KingsGate Securities Limited
Kingsway Capital of Canada Inc.
KPMG Corporate Finance Inc.
Laketon Investment Management Ltd.
Lancet Asset Management Inc.
Latitude Partners Securities Inc.

Lawrence Asset Management Inc.
Lawrence Capital Partners Inc.
Lawrence Decter Investment Counsel Inc.
LBC Financial Services/BLC Services Financiers
Leesh Investments Inc.
Leeward Hedge Funds Inc.
Legacy Investment Management Inc.
Leon Frazer & Associates Inc.
Letko, Brosseau & Associés Inc.
Lighthouse Private Client
Lightyear Capital Inc.
LMD Financial Services Corporation
Loewen, Ondaatje, McCutcheon Limited
London Life Investment Management Ltd.
M. Hershberg Capital Limited
MacDougall, MacDougall & MacTier Inc.
Mackenzie Financial Corporation
Magnolia Lane Financial Corp.
Maison Placements Canada Inc.
Manitou Investment Management Ltd.
Manulife Securities International, Ltd.
Maple Futures Corp.
Maple Securities Canada Limited
Mapleridge Capital Corporation
Marquest Investment Counsel Inc.
Marret Asset Management Inc.
Martin, Lucas & Seagram Ltd.
Mavrix Funds Management Inc.
Mawer Investment Management
Maxima Investment Management Ltd.
MCA Valeurs Mobilières Inc.
MCAP Securities Inc.
McFarlane Gordon Inc.
McKay Financial Management Limited
McKenna Gale Securities Inc.
McLean & Partners Wealth Management
McLean Budden Limited
McLean Financial Management Inc.
MD Funds Management Limited
MD Management Limited
MD Private Investment Management Inc.
MDS Health Ventures Management Inc.
Medallion Capital Corp.
MediaVentures
MediaVentures Brokerage
MediaVentures Corporation
Mellon Asset Management, Limited
Merchant Capital Wealth Management Corp.
Merrill Lynch Canada Inc.
Merrill Lynch HSBC Canada Inc.
META Financial Management Ltd.
MFC Global Investment Management
Middlefield
Miikary Investments Ltd.
Milestone Investment Counsel Inc.
Milford Capital Management Inc.
Mirabaud Canada Inc.
Mitchell, Jenner & Associates Inc.
Mizrahi & Mizrahi Ltd.
Monarch Delaney Financial Inc.
Mondiale Asset Management Ltd.
MoneyWare Inc.
Morgan Bay Capital Inc.
Morgan Meighen & Associates Limited
Morgan Stanley Canada Limited
Morguard Financial Corp.
MRS
MRS Trust
Murray & Company Investment Services Ltd.
Mutual Propane Ltd.
N M Rothschild & Sons Canada Securities Limited
N.D. Moffat Investment Management Ltd.
NAPG Equities Inc.
National Bank Discount Brokerage Inc.
National Bank Financial Inc.
National Bank Financial Ltd.
National Bank Securities Ltd.
National Bank Trust Inc.
NBCN
NBCN Compensation
NBF Securities USA
NBG Securities Inc.
NCI Money Management Ltd.
Networth Financial Corp.
New Solutions Capital Partners Ltd.
Newcourt Securities Inc.
Newhouse Capital Corporation
NewPoint Capital Partners
Nexus Investment Management Inc.
Nigel Stephens Counsel Inc.
Nomura Canada Inc.
Norlyn Financial Group Inc.
Norstar Securities International Inc.
Northern Rivers Capital Management Inc.
Northwest Asset
Northwest Asset Management
Northwest Asset Management Inc.
Northwest Mutual
Northwest Mutual Funds Inc.
NT Global Advisors, Inc.
O.P.M. Ventures Inc.
Octagon Capital Corporation
O'Donnell Asset Management Corp.
Odyssey Capital Corporation
Ojala Financial Corp.
Olympian Financial Inc.
Olympus United Group
ONE Financial
Ontario Financial Services Inc.
Open Access Limited
Optimal Models and Decisions Inc.
Opus 2 Financial Inc.
Opus 2 Securities Inc.
Orenda Corporate Finance Ltd.
Orientation Finance Inc.
Osprey Capital Partners
OTG Financial Inc.
P.J. Doherty & Associates Co. Ltd.
Pacific International Securities Inc.
PanFin EquiCap Ltd.
Paradigm Capital Inc.
PARC Capital Management Limited
Patient Capital Management Inc.
PCJ Investment Counsel Ltd.
PEAK Investment Services Inc.
PEAK Securities Inc.

Pegasus Ontario Holdings Ltd.
Pendo Capital Inc.
Peregrine Financial Group Canada, Inc.
Performance Capital Limited
Perigee Investment Counsel Inc.
Peter Yuile & Co. Ltd.
Peters & Co. Limited
PFSL Investments Canada Ltd.
Phillips, Hager & North
Placements Elantis Inc.
Planmar Financial Corp.
Planning Circle Financial Group Inc.
Platinum Wealth Management Inc.
Plum Hollow Investments Inc.
Polar Securities Inc.
Pollitt & Co Inc.
Polyfunds Investment Inc.
Pope & Company
Portfolio Management Corporation
Portfolio Strategies Corp.
Prebon Marshall Yamane London
PricewaterhouseCoopers Securities Inc.
Prime Quadrant LP
Priority Capital Management Inc.
Professional Investments (Kingston) Inc.
Progressive Financial Strategy Capital Group Corp.
Proxima Capital Management Limited
Pursuit Financial Services Corp
QFS Financial Services Ltd.
Qtrade Investor Inc.
Quadravest Capital Management Inc.
Quadrus Investment Services Ltd.
Quaestor Capital Corporation
Quant Investment Strategies Inc.
Queensway Investment Counsel Limited
Questrade, Inc.
Quorum Funding SME Corporation
QVGD Investors Inc.
R.A.Floyd Capital Management Inc.
R.E.G.A.R. Gestion Privée Inc.
R.G. Shoniker & Associates Inc.
R.N. Croft Financial Group Inc.
Rae & Lipskie Investment Counsel Inc.
Rattenbury Financial Management Inc.
Raymond James Ltd.
RBC Action Direct Inc./RBC Actions En Direct
RBC Dominion Securities Inc.
RBC Global Investment Management Inc.
RBC Private Counsel Inc.
RealCap Holdings Limited
Realty Capital Securities
Red Barn Capital
Reel Capital Corporation
Regent Mercantile Bancorp Inc.
Renaissance Capital Inc.
Research Capital Corporation
Resolute Funds Ltd.
Retrocom Investment Management Inc.
RFA Capital Management Inc.
Rice Financial Group Inc.
Ridge Hill Capital Management Inc.
Rimcon Inc.
RJ Shea & Assoc o/a GIC Financial Services
RMB Gestion du Patrimoine Inc.
Robert Evans Investment Counsel Limited
Rockvale Capital Management Inc.
Rogan Investment Management
Rogers Group Investment Advisors Ltd.
ROI Management
Rosseau Asset Management Ltd.
RoyCap Securities Inc.
Salman Partners Inc.
Savoy Capital Management Ltd.
Saxon Mutual Funds Limited
SBVM Securities Inc.
Scarthingmoor Asset Management Inc.
Sceptre Investment Counsel Limited
Sceptre Mutual Fund Dealer Inc.
Scheer, Rowlett & Associates Investment Mgmt Ltd.
Scholarship Consultants of North America Ltd.
SciVest Alternative Strategies Inc.
SciVest Capital Management Inc.
Scotia Cassels Investment Counsel Limited
Scotia Securities Inc.
Scotiabank/Scotia Capital Inc.
Security Financial Services & Investment Corp.
SEI Investments Canada Company
Sentry Select Capital Corp.
Services d'Investissements GGA Inc. (Les)
Services Financiers Penson Canada Inc.
Services Financiers Tulett Inc.
Shah Financial Planning Inc.
Sharp Asset Management Inc.
Shaunessy & Company Ltd.
Shorcan Brokers Limited
SHSC Financial Inc.
Sigma Analysis & Management Ltd.
Silvercreek Management Inc.
Sionna Investment Managers Inc.
Skylon Advisors Inc.
Skylon Funds Management Inc.
Skypoint Capital Corporation
Slabe Inc.
Société de Fiducie Lombard Odier
Sprott Asset Management Inc.
Sprott Securities Inc.
Sprucegrove Investment Management Ltd.
Standard Life Assurance Company
Standard Life Investments Inc.
Standard Securities Capital Corporation
Starwood Capital Corporation
State Farm Investor Services (Canada) Co.
Status Financial Inc.
Stern Growth Management Inc.
Stone Co. Ltd.
Stone Road Investment Management Inc.
Stonebridge Financial Corporation
Stonehouse Capital Management Inc.
Stratagem Investment Counsel Inc.
Strategic Advisors Corp.
Strategic Capital Partners Inc.
Structured Capital Inc.
Stuart Investment Management Limited
Successful Investor Wealth Management Inc.
Superstar Investment Corp.
Sussman Mortgage Funding Inc.

Swift Trade Securities USA Inc.
Synergy Asset Management Inc.
Synergy Services Corporation
T.E. Investment Counsel
T.H.A. Bodnar & Co. Investment Management Ltd.
TAL Global Asset Management
Target Investment Planners Inc.
TD Asset Management
TD Investment Services Inc.
TD Securities Inc.
TD Waterhouse Canada Inc.
TDK Fund Management Inc.
TEN STAR Financial Inc.
Tera Capital Corporation
The Commercial Capital Securities Inc.
The Glen Ardith Company Ltd.
The Pallas Athena Corporation
Thorhild Management Limited
Thornmark Asset Management Inc.
Timber Hill Canada Company
Transatlantic Securities Company
Tremont Investment Management, Inc.
Triax Capital Corporation
Triax Capital Management Inc.
Triax Investment Management Inc.
Triax Management Services Inc.
Triax Mutual Fund Management Inc.
Triax-Covington Corporation
Triglobal Capital Management
Trilon Securities Corporation
Trinity Wood Capital Corporation
Tristone Capital Inc.
Tullett Liberty Limited
Tuscarora Capital Inc.
Tuscarora Investment Management Inc.
TWC Financial Corp.
Twenty-first Century Funds Inc.
UBS Bank Canada
UBS Global Asset Management
Union Securities Ltd.
University Avenue Asset Management Inc.
Valeurs Mobilières Banque Laurentienne Inc.
Valeurs Mobilières Desjardins Inc.
Valeurs Mobilières Everest inc.
Valeurs Mobilières IForum Inc.
Value Investment Planning Centre Inc.
Value Sciences Inc.
Vancouver City Savings Credit Union
Vengate Capital Partners Company
VenGrowth Capital Management Inc.
Venturelink Advisors Inc.
Veracity Capital Inc.
Verhaag & Partners Financial Services Inc.
Verity Investment Counsel Inc.
Vestcap Investment Management Inc.
Viking Capital Corp.
W.D. Latimer Co. Limited
W.H. Stuart Mutuals Ltd.
Waterous Securities Inc.
Watson Investment Counsel Ltd.
Watt Carmichael Inc.
Wealth Map Financial Limited
Wellington West Capital Inc.

Wellington West Financial Services Alberta Inc.
WFG Securites of Canada Inc.
Windcroft Financial Counsel Limited
Windstar Equities Ltd.
Wirth Associates Inc.
Wise Capital Management Inc.
Wolfcrest Capital Advisors Inc.
Wolverton Securities Ltd.
Working Ventures Canadian Fund Inc. (Affiliate of GrowthWorks Capital Ltd.)
Worldsource Securities Inc.
Y.I.S. Financial Inc.
York Hedge Fund Strategies 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.

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