

The Ontario Securities Commission

OSC Bulletin

December 24, 2020

Volume 43, Issue 52

(2020), 43 OSCB

The Ontario Securities Commission administers the *Securities Act* of Ontario (R.S.O. 1990, c. S.5) and the *Commodity Futures Act* of Ontario (R.S.O. 1990, c. C.20)

The Ontario Securities Commission

Cadillac Fairview Tower
22nd Floor, Box 55
20 Queen Street West
Toronto, Ontario
M5H 3S8

416-593-8314 or Toll Free 1-877-785-1555

Contact Centre – Inquiries, Complaints:

Office of the Secretary:

Published under the authority of the Commission by:

Thomson Reuters
One Corporate Plaza
2075 Kennedy Road
Toronto, Ontario
M1T 3V4

416-609-3800 or 1-800-387-5164

Fax: 416-593-8122
TTY: 1-866-827-1295

Fax: 416-593-2318



The OSC Bulletin is published weekly by Thomson Reuters Canada, under the authority of the Ontario Securities Commission.

Thomson Reuters Canada offers every issue of the Bulletin, from 1994 onwards, fully searchable on *SecuritiesSource*[™], Canada's pre-eminent web-based securities resource. *SecuritiesSource*[™] also features comprehensive securities legislation, expert analysis, precedents and a weekly Newsletter. For more information on *SecuritiesSource*[™], as well as ordering information, please go to:

<http://www.westlawecarswell.com/SecuritiesSource/News/default.htm>

or call Thomson Reuters Canada Customer Support at 1-416-609-3800 (Toronto & International) or 1-800-387-5164 (Toll Free Canada & U.S.).

Claims from *bona fide* subscribers for missing issues will be honoured by Thomson Reuters Canada up to one month from publication date.

Space is available in the Ontario Securities Commission Bulletin for advertisements. The publisher will accept advertising aimed at the securities industry or financial community in Canada. Advertisements are limited to tombstone announcements and professional business card announcements by members of, and suppliers to, the financial services industry.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise without the prior written permission of the publisher.

The publisher is not engaged in rendering legal, accounting or other professional advice. If legal advice or other expert assistance is required, the services of a competent professional should be sought.

Printed in the United States by Thomson Reuters.

© Copyright 2020 Ontario Securities Commission
ISSN 0226-9325
Except Chapter 7 ©CDS INC.



One Corporate Plaza
2075 Kennedy Road
Toronto, Ontario
M1T 3V4

Customer Support
1-416-609-3800 (Toronto & International)
1-800-387-5164 (Toll Free Canada & U.S.)
Fax 1-416-298-5082 (Toronto)
Fax 1-877-750-9041 (Toll Free Canada Only)
Email CustomerSupport.LegalTaxCanada@TR.com

Table of Contents

<p>Chapter 1 Notices9643</p> <p>1.1 Notices9643</p> <p>1.1.1 OSC Staff Notice 11-742 (Revised) – Securities Advisory Committee..... 9643</p> <p>1.1.2 Notice of Correction – MOAG Copper Gold Resources Inc. et al. – ss. 127(1), 127.1 9644</p> <p>1.2 Notices of Hearing..... (nil)</p> <p>1.3 Notices of Hearing with Related Statements of Allegations9645</p> <p>1.3.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1 9645</p> <p>1.3.2 StableView Asset Management Inc. and Colin Fisher – ss. 127, 127.1..... 9652</p> <p>1.4 Notices from the Office of the Secretary9660</p> <p>1.4.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. 9660</p> <p>1.4.2 First Global Data Ltd. et al. 9660</p> <p>1.4.3 Miner Edge Inc. et al. 9661</p> <p>1.4.4 David Randall Miller 9661</p> <p>1.4.5 First Global Data Ltd. et al. 9662</p> <p>1.4.6 StableView Asset Management Inc. and Colin Fisher 9662</p> <p>1.4.7 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. 9663</p> <p>1.4.8 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. 9663</p> <p>1.4.9 Dino Paolucci 9664</p> <p>1.5 Notices from the Office of the Secretary with Related Statements of Allegations (nil)</p> <p>Chapter 2 Decisions, Orders and Rulings9665</p> <p>2.1 Decisions9665</p> <p>2.1.1 Ayr Strategies Inc. 9665</p> <p>2.1.2 Outcome Metric Asset Management Limited Partnership et al. 9672</p> <p>2.1.3 Northwest & Ethical Investments L.P. 9676</p> <p>2.1.4 Morningstar Associates Inc. 9680</p> <p>2.2 Orders.....9686</p> <p>2.2.1 Miner Edge Inc. et al. 9686</p> <p>2.2.2 David Randall Miller 9686</p> <p>2.2.3 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 144, 147 9687</p> <p>2.2.4 George Weston Limited – s. 6.1 of NI 62-104..... 9691</p> <p>2.2.5 Loblaw Companies Limited – s. 6.1 of NI 62-104..... 9695</p> <p>2.2.6 Nemaska Lithium Inc. 9698</p> <p>2.2.7 Dino Paolucci – ss. 127(1), 127(10) 9701</p> <p>2.2.8 MOAG Copper Gold Resources Inc. et al. – ss. 127(1), 127.1 9702</p>	<p>2.3 Orders with Related Settlement Agreements 9704</p> <p>2.3.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1 9704</p> <p>2.4 Rulings..... (nil)</p> <p>Chapter 3 Reasons: Decisions, Orders and Rulings 9721</p> <p>3.1 OSC Decisions 9721</p> <p>3.1.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1 9721</p> <p>3.1.2 Dino Paolucci – ss. 127(1), 127(10)..... 9724</p> <p>3.2 Director’s Decisions(nil)</p> <p>Chapter 4 Cease Trading Orders 9727</p> <p>4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders..... 9727</p> <p>4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders 9727</p> <p>4.2.2 Outstanding Management & Insider Cease Trading Orders 9727</p> <p>Chapter 5 Rules and Policies(nil)</p> <p>Chapter 6 Request for Comments(nil)</p> <p>Chapter 7 Insider Reporting 9729</p> <p>Chapter 9 Legislation.....(nil)</p> <p>Chapter 11 IPOs, New Issues and Secondary Financings..... 9913</p> <p>Chapter 12 Registrations..... 9925</p> <p>12.1.1 Registrants..... 9925</p> <p>Chapter 13 SROs, Marketplaces, Clearing Agencies and Trade Repositories 9927</p> <p>13.1 SROs 9927</p> <p>13.1.1 Mutual Fund Dealers Association of Canada (MFDA) – Proposed Amendments to MFDA Rules 2.3.2 and 2.3.3 – Limited Trading Authorization – Request for Comment 9927</p> <p>13.2 Marketplaces(nil)</p> <p>13.3 Clearing Agencies(nil)</p> <p>13.4 Trade Repositories(nil)</p> <p>Chapter 25 Other Information(nil)</p> <p>Index 9929</p>
---	--

Chapter 1

Notices

1.1 Notices

1.1.1 OSC Staff Notice 11-742 (Revised) – Securities Advisory Committee

REVISED ONTARIO SECURITIES COMMISSION STAFF NOTICE 11-742 SECURITIES ADVISORY COMMITTEE

In a Notice published in the OSC Bulletin on October 8, 2020, the Commission invited applications for positions on the Securities Advisory Committee (“SAC”). SAC provides advice to the Commission and staff on a variety of matters including legislative and policy initiatives and important capital markets trends and brings various issues to the attention of the Commission and staff.

The Commission was very impressed with the number of highly qualified practitioners who applied for positions on SAC and would like to thank all those who applied.

The Commission is pleased to publish the names of the four new members who will be participating on SAC for the next three years:

- Chris Birkett, Toronto Stock Exchange
- Margaret Chow, Richardson GMP Limited
- Bradley Freelan, Fasken Martineau DuMoulin LLP
- Chris Sunstrum, Goodmans LLP

The members of SAC have staggered terms. The continuing members of SAC are:

- Kathryn J. Daniels, Canada Pension Plan Investment Board
- Linda Fuerst, Norton Rose Fulbright Canada LLP
- Desmond Lee, Osler, Hoskin & Harcourt LLP
- Jennifer F. Longhurst, Davies Ward Phillips Vineberg LLP
- Julie Mansi, Borden Ladner Gervais LLP
- Leila Rafi, McMillan LLP
- Rima Ramchandani, Torys LLP
- Ora Wexler, Dentons LLP

The Commission would like to take this opportunity to thank the four members of SAC, listed below, whose terms have ended and who have served on the Committee with great dedication. Their advice and guidance on a range of issues has been very valuable to the Commission.

- Deanna Dobrowsky, Toronto Stock Exchange
- Margaret Gunawan, BlackRock Asset Management
- Barbara Hendrickson, Bax Securities Law
- Blair Wiley, Wealthsimple

Reference: Naizam Kanji
General Counsel
Tel: 416-593-8060
nkanji@osc.gov.on.ca

1.1.2 Notice of Correction – MOAG Copper Gold Resources Inc. et al. – ss. 127(1), 127.1

The Order for MOAG Copper Gold Resources Inc. et al. – ss. 127(1), 127.1 published at (2020), 43 OSCB 9464 contained an error. The corrected Order is republished in full in Chapter 2 of this issue.

1.3 Notices of Hearing with Related Statements of Allegations

1.3.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1

FILE NO.: 2020-39

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED
AND
BLOOMBERG TRADING FACILITY B.V.**

NOTICE OF HEARING

Sections 127 and 127.1 of the *Securities Act*, RSO 1990, c S.5

PROCEEDING TYPE: Public Settlement Hearing

HEARING DATE AND TIME: December 18, 2020 at 10:00 a.m.

LOCATION: By videoconference

PURPOSE

The purpose of this proceeding is to consider whether it is in the public interest for the Commission to approve the Settlement Agreement dated December 15, 2020 between Staff of the Commission, Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. in respect of the Statement of Allegations filed by Staff of the Commission dated December 14, 2020.

REPRESENTATION

Any party to the proceeding may be represented by a representative at the hearing.

FAILURE TO PARTICIPATE

IF A PARTY DOES NOT PARTICIPATE, THE HEARING MAY PROCEED IN THE PARTY'S ABSENCE AND THE PARTY WILL NOT BE ENTITLED TO ANY FURTHER NOTICE IN THE PROCEEDING.

FRENCH HEARING

This Notice of Hearing is also available in French on request of a party. Participation may be in either French or English. Participants must notify the Secretary's Office in writing as soon as possible if the participant is requesting a proceeding be conducted wholly or partly in French.

AVIS EN FRANÇAIS

L'avis d'audience est disponible en français sur demande d'une partie, que la participation à l'audience peut se faire en français ou en anglais et que les participants doivent aviser le Bureau du secrétaire par écrit dès que possible si le participant demande qu'une instance soit tenue entièrement ou partiellement en français.

Dated at Toronto this 15th day of December, 2020

"Grace Knakowski"
Secretary to the Commission

For more information

Please visit www.osc.gov.on.ca or contact the Registrar at registrar@osc.gov.on.ca.

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.**

STATEMENT OF ALLEGATIONS

(Subsection 127(1) and Section 127.1 of the *Securities Act*, RSO 1990, c S.5)

A. OVERVIEW

1. Before foreign and domestic marketplaces are permitted to carry on business in Ontario, they must obtain authorization from the Commission to do so and their application for such authorization must provide candid, accurate and complete information. These requirements serve to protect Ontario market participants and investors and foster fair and efficient markets.
2. In order to manage risks to Ontario investors and market participants, the Commission may also impose terms and conditions on any order issued, including exemptive relief orders. It is critical to fostering fair and efficient capital markets and confidence in capital markets that persons and companies comply with all terms and conditions of exemptive relief orders.
3. Commission and Staff rely upon the completeness and accuracy of information contained in applications made by individuals or companies seeking a recognition or exemption order to manage risks to Ontario investors and market participants. It is therefore critical that persons and companies seeking a recognition or exemption order from the Commission disclose all material information relating to the order sought and that this information is accurate and complete. This ensures that any order that may be issued by the Commission is properly determined to be in the public interest.
4. In this case, two sophisticated corporations - Bloomberg Trading Facility Limited (**BTFL**) and Bloomberg Trading Facility B.V. (**BV**) (collectively, the **Respondents**) - failed to comply with Ontario securities law by:
 - (a) operating a marketplace, and in particular, an exchange without receiving recognition or an exemption;
 - (b) filing applications that contained inaccurate and incomplete information with the Commission to obtain exemptions, and therefore, to that extent, were misleading to Staff and the Commission; and
 - (c) in the case of BTFL, failing to comply with the terms and conditions of an interim exemptive relief order.
5. In today's capital markets where the majority of marketplaces operate electronic trading facilities and are no longer reliant on physical floors or have moved from voice to electronic trading, a marketplace is carrying on business in Ontario if it provides direct access to an Ontario participant (whether traders are physically located in Ontario or elsewhere). Once carrying on business in Ontario, Ontario securities laws apply. Foreign marketplaces that provide access to Ontario participants must ensure that they are properly authorized to do so. They must implement a robust compliance system in recognition of the compliance risks associated with operating in multiple jurisdictions, including ensuring appropriate communications about the relevant Ontario regulatory obligations throughout the business.
6. Over a 15-month period and beginning at different times, BTFL provided 18 institutional Ontario participants access to trade in fixed income securities. Over that period of time, 11 of the 18 Ontario participants conducted fixed income trading on BTFL's multilateral trading facility (**MTF**) in a principal amount of approximately \$228.5 billion USD and representing 2.93% of all fixed income trading on BTFL's MTF during that time.
7. Over a one-year period and beginning at different times, BV provided 16 institutional Ontario participants access to trade in fixed income securities. Over that period of time, two of the 16 Ontario participants conducted fixed income trading on BV's MTF in a principal amount of approximately \$4.4 billion USD and representing 1.61% of all fixed income trading on BV's MTF during that time.
8. Before the Respondents had sought or obtained recognition or an exemption order from the Commission, they carried on business as exchanges by failing to prevent, or otherwise permitting, fixed income trading by Ontario participants on their MTFs.
9. The Respondents each filed applications with the Commission requesting orders exempting them from the requirement to be recognized as an exchange which contained inaccurate and incomplete information. Specifically, neither BTFL nor BV disclosed the fact that:

- (a) Ontario users had already been onboarded to their respective MTFs; and
 - (b) Ontario users had already engaged in fixed income trading activity on their respective MTFs;
 - (c) after BTFL obtained an exemption order, it failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on its MTF contrary to the terms and conditions of the exemption order; and
 - (d) after BTFL obtained an exemption order, it filed quarterly reports that failed to accurately and completely disclose fixed income trading by Ontario participants on BTFL's MTF.
10. These are serious and unacceptable breaches of Ontario securities law. When marketplaces, including exchanges, operate without authorization in Ontario, they undermine investor confidence and the fairness and efficiency of our markets.

B. FACTS

Staff of the Enforcement Branch of the Ontario Securities Commission (**Staff**) make the following allegations of fact:

A. Respondents

11. BTFL is a private limited company organized under the laws of England and Wales and is a wholly owned subsidiary of Bloomberg L.P., a Delaware limited partnership (**BLP**). BTFL has no physical presence in Ontario.
12. BV is a private limited company organized under the laws of the Netherlands and is a wholly owned subsidiary of BLP. BV has no physical presence in Ontario.

B. Overview and Background

13. In July 2015, BTFL was authorized by the United Kingdom Financial Conduct Authority to act as the operator of an MTF for interest rate swaps and credit default swaps. In 2016, the Financial Conduct Authority varied its authorization to allow BTFL's MTF to trade other financial instruments, including fixed income securities. Fixed income trading on BTFL's MTF became operational or "went live" on July 20, 2017. BTFL's MTF supports request-for-quote and request-for-trade functionality for professional client participants that onboard to BTFL's MTF by signing a user acknowledgement with BTFL.
14. In January 2019, BV was authorized by the Netherlands Authority for the Financial Markets to act as the operator of an MTF. Trading on BV's MTF became operational or "went live" on March 25, 2019. BV's MTF supports request-for-quote and request-for-trade functionality for professional client participants that onboard to BV's MTF by signing a user acknowledgement with BV.
15. For the purposes of Ontario securities law, each of BTFL's MTF and BV's MTF falls under the definition of "marketplace" set out in subsection 1(1) of the *Securities Act* (the **Act**) because each brings together buyers and sellers of securities or derivatives and use established, non-discretionary methods under which orders interact with each other.
16. Subsection 3.1(1) of the Companion Policy to National Instrument 21-101 *Marketplace Operation* provides that a "marketplace" is considered to be an "exchange" if it, among other things, sets requirements governing the conduct of marketplace participants. An MTF has certain obligations to monitor participants' trading activity and because an MTF sets requirements for the conduct of its participants and surveils the trading activity of its participants, it is considered by the Commission to be an "exchange" for purposes of the Act.
17. OSC Staff Notice 21-702 *Regulatory Approach for Foreign-Based Stock Exchanges* provides that the Commission considers an exchange located outside Ontario to be "carrying on business as an exchange" in Ontario if it provides Ontario participants with direct access to the exchange. This includes a participant with its headquarters or legal address in Ontario (e.g., as indicated by a participant's Legal Entity Identifier (**LEI**) and all traders conducting transactions on its behalf, regardless of the traders' physical location (inclusive of non-Ontario branches of Ontario legal entities), as well as any trader physically located in Ontario who conducts transactions on behalf of any other entity.
18. Subsection 21(1) of the Act provides that no person or company shall carry on business as an exchange in Ontario unless recognized by the Commission.

19. During a time when neither BTFL nor BV was recognized by the Commission to carry on business as an exchange:
 - (a) Each of BTFL and BV onboarded Ontario participants to their respective MTFs and carried on business as an exchange by failing to prevent, or otherwise permitting, trading by Ontario participants, including fixed income securities transactions.
 - (b) Each of BTFL and BV filed an application with the Commission requesting an order to exempt them from the requirement to be recognized as an exchange. In their respective applications, both BTFL and BV did not provide accurate and complete disclosure of the fact that Ontario participants had already been onboarded and had already engaged in fixed income trading activity, which rendered the applications misleading to Staff and the Commission.
 - (c) In the case of BTFL, during Staff's four-month review of BTFL's application for exemptive relief, BTFL did not provide accurate and complete disclosure to Staff of the fact that Ontario participants had already been onboarded and had already engaged in fixed income trading activity, which rendered the disclosure misleading to Staff.
20. On December 22, 2017, the Commission issued an interim exemptive relief order to BTFL exempting it from the requirement to be recognized as an exchange (the **BTFL Order**). The BTFL Order, which expires on December 31, 2020, included terms and conditions, including:
 - (a) A condition that BTFL will not provide access to Ontario users to trading in products other than swaps, and
 - (b) A condition that BTFL file quarterly reports with the Commission disclosing all trading by Ontario users of BTFL's MTF, including a breakdown by product traded and the total trading volume and value originating from Ontario participants.
21. In the time period following the date of the BTFL Order:
 - (a) BTFL failed to prevent, or otherwise permitted, trading in products other than swaps, including fixed income, by Ontario participants on BTFL's MTF, and
 - (b) BTFL filed quarterly reports that did not accurately and completely disclose such trading by Ontario participants on BTFL's MTF.

C. Carrying on Business as an Exchange Without Recognition or an Exemption

- (1) BTFL Carrying on Business as an Exchange Prior to December 22, 2017
22. On August 2, 2017, BTFL filed an application (the **BTFL Application**) with the Commission pursuant to section 147 of the Act requesting an interim order exempting BTFL from the requirement to be recognized as an exchange under subsection 21(1) of the Act. The BTFL Application included the following statements:
 17. *Since the Applicant [BTFL] would provide Ontario Participants with direct access to trading of the MTF Instruments on the Bloomberg MTF, it will be considered by the Commission to be "carrying on business as an exchange" in Ontario, and therefore must either be recognized or exempt from recognition by the Commission;*
 18. *The Applicant submits that an exemption from recognition is appropriate for the MTF because the MTF is subject to regulation by the FCA and full regulation by the Commission would be duplicative and inefficient.*
23. The BTFL Application was written in a forward-looking manner and conveyed that there would be Ontario participants at a future time. The BTFL Application did not disclose all material facts relating to BTFL's MTF, including the fact that Ontario participants had already been onboarded and had already engaged in fixed income transactions on BTFL's MTF, prior to the date of the BTFL Application.
24. During Staff's ensuing review of the BTFL Application – which culminated in the BTFL Order – although BTFL had corresponded and spoken with Staff frequently, BTFL did not disclose to Staff the fact that Ontario participants had already been onboarded and had already engaged in fixed income transactions on BTFL's MTF. Further, during these discussions between Staff and BTFL, Staff repeatedly advised BTFL that any interim exemptive relief order that might be considered by the Commission would exclude any authorization for BTFL's MTF to facilitate fixed income trading by Ontario participants.
25. Unbeknownst to Staff and the Commission, prior to the issuance of the BTFL Order by the Commission, BTFL had onboarded Ontario participants to its MTF and had failed to prevent Ontario participants from engaging in fixed income securities transactions on its MTF. In particular:

- (a) BTFL had onboarded 18 Ontario participants to its MTF prior to the BTFL Order, with the first onboarding of an Ontario participant occurring on September 20, 2016.
 - (b) The date on which an Ontario participant first conducted a fixed income trade or request for quote on BTFL's MTF was July 20, 2017, approximately one month prior to the BTFL Application.
 - (c) Five of the Ontario participants onboarded to BTFL's MTF had conducted fixed income trading prior to the BTFL Order.
26. The aggregate principal amount of the fixed income trading by these five Ontario participants on BTFL's MTF prior to the date of the BTFL Order was approximately \$57 billion USD.
27. BTFL did not earn fees or other compensation amounts respecting its exchange activities prior to the date of the BTFL Order.
- (2) BV Carrying on Business as an Exchange
28. On March 20, 2019, BV filed an application (the **BV Application**) with the Commission pursuant to section 147 of the Act requesting an interim order exempting BV from the requirement to be recognized as an exchange under subsection 21(1) of the Act. The BV Application made express reference to BTFL and BTFL's MTF and included the following statements:
- 18. Since the Applicant [BV] would provide Ontario Participants with direct access to trading of the MTF Instruments on BTFE [BV's MTF], it will be considered by the Commission to be "carrying on business as an exchange" in Ontario, and therefore must either be recognized or exempt from recognition by the Commission;*
- 19. The Applicant submits that an exemption from recognition is appropriate for BTFE because BTFE is subject to regulation by the AFM [Netherlands Authority for the Financial Markets] and full regulation by the Commission would be duplicative and inefficient.*
29. Similar to the BTFL Application, the BV Application was written in a forward-looking manner and conveyed that there would be Ontario participants at a future time. The BV Application did not disclose all material facts relating to BV's MTF, including the fact that an Ontario participant had already been onboarded. During Staff's ensuing review of the BV Application, BV did not disclose to Staff the fact that Ontario participants had already been onboarded and had already engaged in fixed income securities transactions on BV's MTF.
30. The Commission has not, to date, issued any order granting any exemptive relief to BV.
31. During the time period commencing March 2019 through to Q1 2020, a total of 16 Ontario participants were onboarded to BV's MTF. In particular:
- (a) Two days prior to the date of the BV Application, BV onboarded one Ontario participant to BV's MTF. This Ontario participant never traded fixed income securities on BV's MTF.
 - (b) The remaining 14 Ontario participants were onboarded to BV's MTF after the date of the BV Application.
 - (c) Two Ontario participants conducted fixed income securities trading on BV's MTF over a one-year period through to Q1 2020.
32. The aggregate principal amount of the fixed income trading by these two Ontario participants was approximately \$4.4 billion USD.
33. BV earned fees relating to its exchange activities totaling \$13,440.50 USD.

D. BTFL Failed to Comply With The Terms and Conditions of a Commission Order

- (1) Prohibition on Providing Access to Ontario Participants to Trading in Products other than Swaps
34. On October 25, 2018, BTFL disclosed to Staff for the first time that it had identified "limited" fixed income trading activity on its MTF by traders physically located in Ontario on behalf of four Ontario participants. BTFL subsequently provided further details to Staff which identified the following:
- (a) Following December 22, 2017 and continuing through to October 25, 2018, 11 of the 15 Ontario participants onboarded to BTFL's MTF conducted fixed income trading, contrary to the terms and conditions contained in the BTFL Order. Four of these 15 Ontario participants never conducted any fixed income trading on BTFL's MTF.

- (b) The aggregate principal amount of the fixed income securities trading by Ontario participants on BTFL's MTF from the date of the BTFL Order (December 22, 2017) through to October 25, 2018 was approximately \$171.5 billion USD and representing 3.09% of all fixed income trading on BTFL's MTF during that time.
35. BTFL earned fees relating to the fixed income securities trading by Ontario participants on BTFL's MTF through to November 1, 2018 totaling approximately \$688,496.30 CAD.
- (2) Overlapping Fixed Income Trading Activity
36. A limited amount of fixed income trading on BTFL's MTF described above was conducted by (i) a small number of traders located in Québec on behalf of two entities represented by an LEI whose legal entity address and headquarters address are located in Ontario, (ii) a small number of traders located in Ontario on behalf of an entity represented by an LEI whose legal entity address and headquarters address are located in Québec, and (iii) traders located in Ontario, Québec, and elsewhere on behalf of an entity represented by an LEI whose legal entity address is located in Québec and headquarters address is located in Ontario (the **Overlapping Activity**). The amount of fees attributed to the Overlapping Activity up to November 1, 2018 is \$25,191.08 CAD.
- (3) Requirement to File Quarterly Reports
37. Following December 22, 2017 and continuing through to Q2 2019, BTFL filed quarterly reports with the Commission that were inaccurate and incomplete as they did not accurately disclose the fixed income securities trading particulars, including those described in paragraph 36 above.

BREACHES OF ONTARIO SECURITIES LAW AND CONDUCT CONTRARY TO THE PUBLIC INTEREST

Staff allege the following breaches of Ontario securities law and conduct contrary to the public interest:

38. With respect to BTFL:
- (a) Beginning in July 2017 and continuing through to the date of the BTFL Order on December 22, 2017, BTFL carried on business as an exchange in Ontario without being recognized or exempted by the Commission, contrary to subsection 21(1) of the Act.
- (b) BTFL filed the BTFL Application with the Commission, which contained inaccurate and incomplete information insofar as BTFL did not disclose the fact that Ontario participants had already been onboarded to BTFL's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.
- (c) BTFL, in the course of responding to Staff's questions relating to Staff's review of the BTFL Application, provided incomplete information. Specifically, BTFL did not disclose the fact that Ontario participants had already been onboarded to BTFL's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.
- (d) During the time period from December 22, 2017 through to October 25, 2018, BTFL failed to administer appropriate systems and controls to prevent Ontario participants from engaging in fixed income securities transactions on BTFL's MTF, contrary to the terms and conditions of the BTFL Order.
- (e) During the time period commencing December 22, 2017 and continuing through to Q2 2019, BTFL filed quarterly reports that did not accurately and completely disclose Ontario participants' fixed income securities transactions on BTFL's MTF, contrary to the terms and conditions of the BTFL Order.
39. With respect to BV:
- (a) Beginning in March 2019 and continuing through to Q1 2020, BV carried on business as an exchange in Ontario without being recognized or exempted by the Commission, contrary to subsection 21(1) of the Act.
- (b) BV filed the BV Application with the Commission, which contained inaccurate and incomplete information insofar as BV did not disclose the fact that Ontario participants had already been onboarded to BV's MTF, contrary to the public interest.
- (c) BV, in the course of responding to Staff's questions relating to Staff's review of the BV Application, provided incomplete information. Specifically, BV did not disclose the fact that Ontario participants had already been onboarded to BV's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.

ORDER SOUGHT

40. Staff request that the Commission make an order pursuant to subsection 127(1) and section 127.1 of the Act to approve the settlement dated December 14, 2020 between the Respondents and Staff.
41. Staff reserve the right to amend these allegations and to make such further allegations as Staff deem fit and the Commission may permit.

DATED at Toronto this 14th day of December, 2020.

ONTARIO SECURITIES COMMISSION

20 Queen Street West, 22ndFloor
Toronto, ON M5H

Rikin Morzaria

Tel: 416-597-7236

Email: rmorzaria@osc.gov.on.ca

Staff of the Enforcement Branch

1.3.2 StableView Asset Management Inc. and Colin Fisher – ss. 127, 127.1

FILE NO.: 2020-40

**IN THE MATTER OF
STABLEVIEW ASSET MANAGEMENT INC.
AND
COLIN FISHER**

NOTICE OF HEARING

Sections 127 and 127.1 of the *Securities Act*, RSO 1990, c S.5

PROCEEDING TYPE: Enforcement Proceeding

HEARING DATE AND TIME: January 13, 2021 at 2:30 p.m.

LOCATION: By Teleconference

PURPOSE

The purpose of this proceeding is to consider whether it is in the public interest for the Commission to make the order requested in the Statement of Allegations filed by Staff of the Commission on December 16, 2020.

The hearing set for the date and time indicated above is the first attendance in this proceeding, as described in subsection 5(1) of the Commission's Practice Guideline.

REPRESENTATION

Any party to the proceeding may be represented by a representative at the hearing.

FAILURE TO ATTEND

IF A PARTY DOES NOT ATTEND, THE HEARING MAY PROCEED IN THE PARTY'S ABSENCE AND THE PARTY WILL NOT BE ENTITLED TO ANY FURTHER NOTICE IN THE PROCEEDING.

FRENCH HEARING

This Notice of Hearing is also available in French on request of a party. Participation may be in either French or English. Participants must notify the Secretary's Office in writing as soon as possible if the participant is requesting a proceeding be conducted wholly or partly in French.

AVIS EN FRANÇAIS

L'avis d'audience est disponible en français sur demande d'une partie, que la participation à l'audience peut se faire en français ou en anglais et que les participants doivent aviser le Bureau du secrétaire par écrit dès que possible si le participant demande qu'une instance soit tenue entièrement ou partiellement en français.

Dated at Toronto this 17th day of December 2020.

"Robert Blair"

Per: Grace Knakowski
Secretary to the Commission

For more information

Please visit www.osc.gov.on.ca or contact the Registrar at registrar@osc.gov.on.ca.

**IN THE MATTER OF
STABLEVIEW ASSET MANAGEMENT INC.
AND
COLIN FISHER**

Statement of Allegations

(Section 127 and 127.1 of the *Securities Act*, R.S.O. 1990, c S.5)

A. Overview

1. This proceeding centres on registrants acting as a portfolio manager (**PM**) and investment fund manager (**IFM**) who flagrantly disregarded investment restrictions when managing client money. The registrants advised clients that certain investment parameters and restrictions designed to limit risk would be respected in the registrants' discretionary management of client funds. The registrants then ignored these restrictions and increasingly invested client monies in a thinly-traded penny stock company that was suffering from a deteriorating financial position. In order to prop up this penny stock company, the registrants continued to gamble client money on it, repeatedly throwing good money after bad in a vicious cycle of ever-increasing risks and losses for the investors. The registrants did not tell clients about these investments or their deleterious effect on the restrictions set out in the registrants' agreements with clients. Nor did the registrants tell clients about the corporate registrant's receipt of "consulting" fees from the penny stock company. Through their actions, the registrants exposed clients to risks not contemplated by them and clients have been harmed. The registrants' actions were fraudulent.
2. Stableview Asset Management Inc. (**Stableview**) and its principal and directing mind, Colin Fisher (**Fisher**) managed and advised two investment funds that were distributed to Stableview's separately managed account (**SMA**) clients.
3. Stableview advised its SMA clients that their portfolios would be diversified and that Stableview would follow certain investment parameters and restrictions including limits on investments in private debt. For most SMA clients, this limit was set at 10% of the client's holdings.
4. From 2016 to 2019, Fisher caused Stableview's investment funds to become increasingly concentrated in the private debt of a penny stock company, Clarocity Corporation (**Clarocity**), formerly known as Zaio Corporation. Prior to and while these investments were made, Clarocity's financial position was substantially deteriorating to the knowledge of Fisher. Moreover, Stableview received compensation from Clarocity for "consulting services" including cash payments totalling \$105,000, Clarocity common stock, and a \$150,000 Clarocity debenture which it sold to two of the funds it managed. None of this was disclosed to investors. Fisher is the sole owner of Stableview, and Fisher benefitted from Stableview's misconduct.
5. Despite Clarocity's deteriorating financial circumstances, Stableview continued to value the funds' investments in the Clarocity debentures at cost or at par. Stableview eventually sought and obtained a receiver over Clarocity's assets in June 2019. By that date, the funds held Clarocity debentures with a par value of approximately \$16.5 million compared to a valuation of the company by Clarocity's receiver in the range of \$3 million to \$4.8 million.
6. Clients received account statements that showed the number of units they held in the funds and the net asset value of those units. They were not informed of the specific investments held by the funds. As a result, they did not know that their investments were primarily concentrated in Clarocity debentures or that the value of their holdings in the fund(s) was in doubt given Clarocity's significant financial issues.
7. In 2019, Staff from the Compliance and Registrant Regulation Branch of the Ontario Securities Commission (**Commission**) conducted a compliance review of Stableview's compliance with Ontario securities law and identified numerous significant deficiencies. As a result, terms and conditions were placed on Stableview's registration that included trading and financial restrictions. In order to protect investors from further harm, in the spring of 2020, Staff from the Enforcement Branch (**Enforcement Staff**) on behalf of the Commission applied for and had a receiver appointed over Stableview and the funds' assets.
8. Clients placed their trust in Fisher and gave Stableview discretionary authority to manage their hard-earned savings. Fisher and Stableview blatantly disregarded the investment restrictions they promised to follow and knowingly breached representations they made to their clients. They were reckless as to the consequences of their conduct. Their actions exposed clients to risks not contemplated by them and were fraudulent.
9. The setting of investment parameters is an important part of the client/registrant relationship. Registrants have a duty under securities law to respect these parameters. Registrants who flagrantly disregard investment restrictions and fail to disclose material facts to investors about their investments significantly undermine the integrity of Ontario's capital markets.

B. Facts

10. Enforcement Staff makes the following allegations of fact:

Background

11. Stableview is registered under the *Securities Act*, R.S.O. 1990, c S.5 (the **Act**) as an IFM, PM, and exempt market dealer. Stableview was the PM for approximately 100 SMA clients.
12. Stableview managed and advised the following two funds that were distributed to its SMA clients:
 - a. Stableview Progressive Growth Fund (the **Progressive Fund**); and
 - b. Stableview Yield & Growth Fund (the **Yield Fund**) (collectively the **Pooled Funds**).
13. All investment decisions for the Pooled Funds were made by Fisher, who is Stableview's sole director and officer, and is registered under the Act as its sole Advising Representative, sole Dealing Representative, Chief Compliance Officer and Ultimate Designated Person. Fisher was the directing mind of Stableview and made all decisions on its behalf.
14. Stableview also managed a third fund, the Insight Fund LP (the **Insight Fund**) that was made available to high net worth clients outside of Stableview's SMA client base and was distributed to approximately 7 clients.
15. The Pooled Funds were formed and pooled in July 2016. The features of each fund, including restrictions on their investment activities, were set out in a legal constating document the Respondents called a "regulation", with each fund having its own regulation (collectively, the **Regulations**). The Pooled Funds are both unit trusts with Stableview acting as the trustee. Following their creation, the Pooled Funds were distributed to Stableview's SMA clients as part of its discretionary portfolio management of the assets of those clients. As of November 30, 2018, the Pooled Funds had 102 investors.
16. After the creation of the Pooled Funds, Stableview primarily invested SMA client monies in one or more of the Pooled Funds for which Stableview received a management fee.
17. From August 2016 to June 30, 2019, Fisher caused the Pooled Funds to become increasingly over-concentrated in Clarocity debt, by acquiring over \$16.5 million in Clarocity debentures. Clarocity operated at a loss over this entire period. At all relevant times, Fisher and Stableview knew of Clarocity's poor financial performance.
18. While Fisher was investing SMA client monies (and subsequently the Pooled Funds' monies) in Clarocity, he caused Stableview to enter into fee arrangements with Clarocity. Stableview entered into two agreements with Clarocity. The first agreement dated January 25, 2016, and subsequently amended, involved Stableview entering into a debt facility that Stableview was to coordinate for Clarocity, with funds to be supplied by, among other sources, Stableview's SMA clients (the **Debt Coordination Agreement**).
19. The second agreement was a financial advisory and consulting agreement made effective as of March 28, 2016 (the **Fiscal Advisory/Consulting Agreement**). Under this agreement, Stableview was to assist Clarocity in reorganizing its capital structure.
20. Stableview received the following compensation from Clarocity (collectively, the **Clarocity Compensation**):
 - a. **Debentures:** Stableview received a \$150,000 debenture under the terms of the Debt Coordination Agreement.
 - b. **Common Shares:** Stableview received 1.36 million common shares of Clarocity under the Fiscal Advisory/Consulting Agreement as compensation for assisting Clarocity to reorganize its capital structure.
 - c. **Cash:** Stableview received \$105,000 under the terms of the Debt Coordination Agreement, paid in 6 quarterly payments of \$17,500 each.
21. As Clarocity's financial condition continued to deteriorate, Stableview sought the appointment of a receiver over the business and affairs of Clarocity. On June 11, 2019, a receiver was appointed over Clarocity.
22. According to the first report of Clarocity's receiver, the total indebtedness owing by Clarocity to debenture holders was \$23.7 million, including interest (the **First Report**) (over \$16.5 million of which was owed to the Pooled Funds). The three Stableview funds were the largest of the debenture holders, holding in aggregate approximately 90% of the total outstanding indebtedness owed by Clarocity to the debenture holders.
23. According to the First Report, the estimated liquidation value of Clarocity was in the range of \$3 to \$4.8 million. The First Report also stated that debenture holders would suffer a significant shortfall in the range of \$20 to \$22 million.

24. As part of the receivership, Stableview negotiated a transaction with Clarocity's receiver and iLookabout Corp. (**iLookabout**), another penny stock company, in which iLookabout acquired all assets of Clarocity for a purchase price in the amount of the indebtedness owed by Clarocity to iLookabout and the debenture holders payable in common shares, warrants and convertible debentures of iLookabout (the **iLookabout Transaction**). Following the court's approval of the iLookabout Transaction, the Pooled Funds received an interest in iLookabout encompassing 18,947,182 common shares, 15,652,000 warrants and a \$7,166,971 convertible debenture.

C. Conduct in breach of Ontario Securities Law

i. Fraudulent Conduct

25. By engaging in the conduct described above and below, Fisher and Stableview engaged directly or indirectly in an act, practice or course of conduct relating to securities that they knew or reasonably ought to have known perpetrated a fraud on their SMA clients.

26. In order to open an SMA at Stableview, clients signed a Portfolio Management Agreement and Investment Policy Statement (the **PMA & IPS**). The PMA & IPS represented to investors that their portfolio would be "diversified over multiple industry sectors" (**Diversification Representation**).

27. The PMA & IPS also contained a restriction on Stableview's ability to invest funds in illiquid investments, referred to as "alternative investments". The PMA & IPS described "alternative investments" as "investments in non-conventional instruments" that "would include but are not limited to such instruments as hedge funds, venture capital, commodities and private equity funds, private companies, private debt issuance." The investments made by Stableview at Fisher's direction in Clarocity debentures are "alternative investments" under the PMA & IPS.

28. In the alternative, even if some or all of the Clarocity debentures could be characterized as "fixed income" investments, Stableview represented to its SMA clients in the PMA & IPS that the fixed income component of the client's portfolio would be "primarily invested in investment grade bonds as at the date of purchase" (**Fixed Income Representation**). The Clarocity debentures did not constitute investment grade bonds.

29. Pursuant to the PMA & IPS, Stableview's authority to perform discretionary management over client funds was subject to the investment objectives, policies and restrictions contained in the client's PMA & IPS.

30. For some long-standing clients of Fisher, the only PMA & IPS that Stableview had on file was the PMA & IPS between the client and Fisher's predecessor employer. Those PMA & IPSs contained the same representations and restrictions as referred to above.

31. Virtually all of the PMA & IPSs on file for Stableview's SMA clients stipulated a maximum investment in alternative investments of 10% (**10% Alternative Investment Restriction**).

32. The Pooled Funds were created in July 2016. According to the Pooled Funds' Regulations, which constituted their legal constating documents, the intention was for the Pooled Funds to be invested "primarily in a diversified group of securities in both public and private companies which are deemed to represent solid return on equity for as minimal a risk as possible for the given return" (**Diversification Provision**) and leverage was supposed to be limited to 20% (**20% Leverage Restriction**).

33. By August 2016, Fisher caused the Pooled Funds to invest more than 10% of their holdings in private debt. This caused SMA client investments in the Pooled Funds to be offside the 10% Alternative Investment Restriction. From that point onward, Fisher grossly disregarded the Diversification Representation, the 10% Alternative Investment Restriction, the Fixed Income Representation and/or the Diversification Provision in making investment decisions on behalf of the Pooled Funds.

34. According to Clarocity's publicly-filed financial statements, Clarocity had a cumulative deficit of \$91.2 million as of December 31, 2015. This cumulative deficit continued to grow during the period of the Pooled Funds' direct and indirect investments in Clarocity debentures from August 2016 to July 2019.

35. The following summarizes the Pooled Funds' investments in Clarocity debentures as a percentage of the Pooled Funds' portfolio holdings from August 31, 2016 to June 30, 2019 (prior to the Clarocity receivership and iLookabout Transaction):

Date	Progressive Fund	Yield Fund
Aug 31, 2016	13%	14%
Dec 31, 2016	22%	22%
May 31, 2017	27%	31%
Sep 30, 2017	37%	43%
Dec 31, 2017	38%	42%
July 31, 2018	44%	48%
Dec 31, 2018	70%	83%
Jun 30, 2019	67%	96%

36. SMA clients' total exposure to one issuer (Clarocity) and one sector (technology) was even greater than the percentages set out above because the Pooled Funds' held other Clarocity securities and Fisher caused some SMA clients to hold direct investments in Clarocity securities over and above their exposure to Clarocity through their investments in the Pooled Funds.
37. Following the Clarocity receivership, Fisher initiated the iLookabout Transaction, which resulted in the Pooled Funds continuing to be overconcentrated in debentures and in the securities of one issuer and one sector. As of October 31, 2019, investments in iLookabout debentures as a percentage of the Pooled Funds' portfolio holdings was 60% for the Yield Fund, and 39% for the Progressive Fund and investments in iLookabout securities (shares and debentures) as a percentage of the Pooled Fund's holdings was 95% for the Yield Fund and 62% for the Progressive Fund.
38. The Pooled Funds' over-concentrations in Clarocity debentures arose as a result of:
- Fisher causing the Pooled Fund to continuously over-invest in Clarocity debentures from August 2016 to August 2018;
 - Fisher directing the Yield Fund, in August 2018, to purchase \$75,000 of the \$150,000 Clarocity debenture Stableview received as compensation from Clarocity when the Yield Fund's concentration in Clarocity debentures was already at 48%; and
 - Fisher causing the Progressive Fund, in March and July 2019, to purchase units in the Yield Fund (a fund that was almost entirely comprised of Clarocity debentures by that time) for \$1,742,000 in order to bring needed cash into the illiquid Yield Fund to reduce its use of margin in its margin account at an investment dealer when the Progressive Fund's concentration in Clarocity debentures was already at 66%. These transactions increased the Progressive Fund's concentration in Clarocity debentures to 76%.
39. Fisher also blatantly disregarded the 20% Leverage Restriction when making investment decisions on behalf of the Pooled Funds. As of the end of 2017, the Yield Fund and Progressive Fund leverage ratios were double and triple the 20% limit. The following summarizes leverage as a percentage of the Pooled Funds' net assets as of the end of 2017 to the end of 2018:

Date	Yield Fund	Progressive Fund
Dec 31, 2017	64%	45%
July 31, 2018	78%	45%
Dec 31, 2018 ¹	45%	26%

40. In addition, from December 2019 to February 2020, Fisher caused the Progressive Fund to make loans of approximately \$45,000 and \$117,000 to the Insight Fund and the Yield Fund respectively either to cover their negative cash balances that arose from the payment of invoices, including the payment of monthly management fees to Stableview or to allow them to pay such invoices (**Inter-Fund Loans**).

¹ On August 7, 2018, the Pooled Funds' custodian (an investment dealer) restricted Stableview's margin accounts to redemptions only. By the end of 2018, the Pooled Funds' leverage ratios reflected the custodian's externally-imposed leverage restriction but were still considerably offside the 20% Leverage Restriction.

41. In causing the transactions referred to in paragraphs 33 and 40 above to occur, the Respondents blatantly disregarded and breached the Diversification Representation, the 10% Alternative Investment Restriction, the Fixed Income Representation, the Diversification Provision, and/or the 20% Leverage Restriction.
 42. The Respondents failed to disclose the facts referred to in paragraphs 33 to 41 above to SMA clients, which facts, individually and/or collectively constituted material facts. Other material facts the Respondents omitted to disclose to SMA clients included:
 - a. Stableview's receipt of the Clarocity Compensation²; and
 - b. Clarocity's financial difficulties, which eventually led Stableview to seek the appointment of a receiver over Clarocity's assets.
 43. This conduct put investors' pecuniary interests at risk.
 44. By engaging in the conduct described above, Fisher and Stableview knowingly contravened representations they made to investors and restrictions contained in the Pooled Funds' legal constating documents, failed to disclose material facts to clients and/or put their own interests or the interests of one fund ahead of the interest of another fund. They were reckless as to the consequences of their conduct. Their conduct exposed investors to risks not contemplated by them by the terms of their PMA and IPS agreement with Stableview. Their conduct was fraudulent.
- ii. Breach of Subsection 44(2) of the Act**
45. Through their conduct described at paragraphs 33 to 42 above, Fisher and Stableview made untrue statements about matters that a reasonable investor would consider relevant in deciding whether to enter into or maintain a trading or advising relationship and/or omitted information necessary to prevent statements from being false or misleading in the circumstances in which they were made, contrary to subsection 44(2) of the Act.
- iii. Breaches of Duties and Obligations as Registrants**
46. At all material times, Fisher and Stableview were registrants. The conduct described above not only constituted fraud but also resulted in numerous breaches of the Respondents' duties and obligations as registrants as set out in Part D below.
- iv. Fisher Authorized and Acquiesced in Stableview's Misconduct**
47. At all material times, Fisher was the sole directing mind of Stableview and authorized and directed the conduct of Stableview described above and is responsible for Stableview's breaches of Ontario securities law pursuant to section 129.2 of the Act.
- D. Breaches of Ontario Securities Law and Conduct Contrary to the Public Interest**
48. Enforcement Staff alleges the following breaches of Ontario securities law and/or conduct contrary to the public interest as a result of the conduct described above:
 - a. Fisher and Stableview directly or indirectly engaged in or participated in acts, practices, or courses of conduct relating to securities that they knew or reasonably ought to have known perpetrated a fraud on persons or companies, contrary to subsection 126.1(1)(b) of the Act;
 - b. Fisher and Stableview made untrue statements about matters that a reasonable investor would consider relevant in deciding whether to enter into or maintain a trading or advising relationship and/or omitted information necessary to prevent statements from being false or misleading in the circumstances in which they were made, contrary to subsection 44(2) of the Act;
 - c. Stableview (as PM) breached its duty to identify, respond and disclose material conflicts of interest as required by subsection 32(1) of the Act and section 13.4 and 14.2 of National Instrument 31-103 – *Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103)* in relation to its receipt of the Clarocity Compensation and by causing the Yield Fund to purchase a \$75,000 Clarocity debenture owned by Stableview;
 - d. Stableview (as PM) breached its obligations pursuant to section 14.2 of NI 31-103 to deliver to the holders of the SMAs all information that a reasonable investor would consider important about their relationship with Stableview, which, under the circumstances, would include a description of the conflict of interest created by Stableview' receipt of the Clarocity Compensation and the Yield Fund's purchase of a \$75,000 Clarocity debenture owned by Stableview;

² While the PMA and IPS contained some boilerplate disclosure that the PM may receive fees from providing financial advisory services to corporations whose securities are purchased for the investment account, no details of the Clarocity Compensation were disclosed to SMA clients.

- e. Stableview (as PM) and Fisher (as Advising Representative) failed to fulfill the obligation to make suitable investments for the Pooled Funds and the holders of the SMAs as set out in section 13.3 of NI 31-103;
 - f. Stableview (as PM) and Fisher (as Advising Representative and Dealing Representative) breached the duties owed to the Pooled Funds and the holders of the SMAs to deal with them fairly, honestly and in good faith as set out in section 2.1 of OSC Rule 31-505 – *Conditions of Registration (Rule 31-505)*;
 - g. Stableview (as IFM) breached the duties owed to the Pooled Funds to act honestly, in good faith and in the best interests of the Pooled Funds, and to exercise the degree of care, diligence, and skill that a reasonably prudent person would exercise in the circumstances as required by section 116 of the Act;
 - h. Stableview (as PM) breached the prohibition against knowingly causing an investment portfolio managed by it to purchase a security from a responsible person (i.e., Stableview and Fisher) as set out in subsection 13.5(2)(b)(i) of NI 31-103 when it caused the Yield Fund to purchase a \$75,000 Clarocity debenture from Stableview;
 - i. With regard to the Inter-Fund Loans, Stableview (as IFM) breached the prohibition against inter-fund loans as set out in section 111 of the Act and failed to file the required report documenting the Inter-Fund Loans as required by section 117 of the Act;
 - j. Fisher (as Ultimate Designated Person) breached the duties prescribed by s. 5.1 of NI 31-103, including promoting compliance with securities legislation;
 - k. Fisher (as Chief Compliance Officer) breached the duties prescribed by s. 5.2 of NI 31-103, including monitoring and assessing compliance with securities legislation;
 - l. Fisher (as the officer and director of Stableview) authorized, permitted or acquiesced in Stableview's breaches of the obligations and duties above and is thereby liable for these breaches under section 129.2 of the Act; and
 - m. Fisher and Stableview have engaged in conduct that is contrary to the public interest.
49. Enforcement Staff reserve the right to amend these allegations and to make such further and other allegations as Enforcement Staff may advise and the Commission may permit.

E. Order Sought

50. Enforcement Staff request that the Commission make the following orders:
- a. that the registration of the Respondents under Ontario securities law be terminated, or be suspended or restricted for such period as is specified by the Commission pursuant to paragraph 1 of subsection 127(1) of the Act;
 - b. that trading in any securities or derivatives by the Respondents cease permanently or for such period as is specified by the Commission, pursuant to paragraph 2 of subsection 127(1) of the Act;
 - c. that the Respondents be prohibited from acquiring any securities permanently or for such period as is specified by the Commission, pursuant to paragraph 2.1 of subsection 127(1) of the Act;
 - d. that any exemptions contained in Ontario securities law do not apply to the Respondents permanently or for such period as is specified by the Commission, pursuant to paragraph 3 of subsection 127(1) of the Act;
 - e. that the Respondents be reprimanded, pursuant to paragraph 6 of subsection 127(1) of the Act;
 - f. that Fisher resign one or more positions that he holds as a director or officer of any issuer or registrant pursuant to paragraphs 7, 8.1 and 8.3 of subsection 127(1) of the Act;
 - g. that Fisher be prohibited from becoming or acting as a director or officer of any issuer or registrant, pursuant to paragraphs 8, 8.2 and 8.4 of subsection 127(1) of the Act;
 - h. that the Respondents be prohibited from becoming or acting as a registrant or promoter permanently or for such period as is specified by the Commission, pursuant to paragraph 8.5 of subsection 127(1) of the Act;
 - i. that the Respondents each pay an administrative penalty of not more than \$1 million for each failure to comply with Ontario securities law, pursuant to paragraph 9 of subsection 127(1)(9) of the Act;
 - j. that the Respondents disgorge to the Commission any amounts obtained as a result of non-compliance with Ontario securities law, pursuant to paragraph 10 of subsection 127(1)(10) of the Act;

- k. that the Respondents pay costs of the Commission investigation and the hearing, pursuant to section 127.1 of the Act; and,
- l. such other order as the Commission considers appropriate in the public interest.

Dated this 16th day of December, 2020

Ontario Securities Commission
20 Queen Street West, 22nd Floor
Toronto, ON M5H 3S8

“Robert L. Gain”
Senior Litigation Counsel
rgain@osc.gov.on.ca
Tel: 416.593.3653

Staff of the Enforcement Branch

1.4 Notices from the Office of the Secretary

**1.4.1 Bloomberg Trading Facility Limited and
Bloomberg Trading Facility B.V.**

**FOR IMMEDIATE RELEASE
December 16, 2020**

**BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.,
File No. 2020-39**

TORONTO – The Office of the Secretary issued a Notice of Hearing for a hearing to consider whether it is in the public interest to approve a settlement agreement entered into by Staff of the Commission and Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. in the above named matter.

The hearing will be held on December 18, 2020 at 10:00 a.m.

A copy of the Notice of Hearing dated December 15, 2020 and Statement of Allegations dated December 14, 2020 are available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.2 First Global Data Ltd. et al.

**FOR IMMEDIATE RELEASE
December 16, 2020**

**FIRST GLOBAL DATA LTD.,
GLOBAL BIOENERGY RESOURCES INC.,
NAYEEM ALLI,
MAURICE AZIZ,
HARISH BAJAJ, AND
ANDRE ITWARU,
File No. 2019-22**

TORONTO – Take notice that additional merits hearing dates in the above-named matter are scheduled for January 18, 21, 25, and 26, 2021 at 10:00 a.m. on each day.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.3 Miner Edge Inc. et al.

FOR IMMEDIATE RELEASE
December 17, 2020

**MINER EDGE INC.,
MINER EDGE CORP. and
RAKESH HANDA,
File No. 2019-44**

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

A copy of the Order dated December 17, 2020 is available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.4 David Randall Miller

FOR IMMEDIATE RELEASE
December 17, 2020

**DAVID RANDALL MILLER,
File No. 2019-48**

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

A copy of the Order dated December 17, 2020 is available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.5 First Global Data Ltd. et al.

**FOR IMMEDIATE RELEASE
December 17, 2020**

**FIRST GLOBAL DATA LTD.,
GLOBAL BIOENERGY RESOURCES INC.,
NAYEEM ALLI,
MAURICE AZIZ,
HARISH BAJAJ, AND
ANDRE ITWARU,
File No. 2019-22**

TORONTO – Take notice that the hearing in the above named matter scheduled to be heard on December 18, 2020 will not proceed as scheduled.

The hearing on the merits will continue on January 7, 2021 at 10:00 a.m.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.6 StableView Asset Management Inc. and Colin Fisher

**FOR IMMEDIATE RELEASE
December 17, 2020**

**STABLEVIEW ASSET MANAGEMENT INC. AND
COLIN FISHER,
File No. 2020-40**

TORONTO – The Office of the Secretary issued a Notice of Hearing on December 17, 2020 setting the matter down to be heard on January 13, 2021 at 2:30 p.m. or as soon thereafter as the hearing can be held in the above named matter

A copy of the Notice of Hearing dated December 17, 2020 and Statement of Allegations dated December 16, 2020 are available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

**1.4.7 Bloomberg Trading Facility Limited and
Bloomberg Trading Facility B.V.**

**FOR IMMEDIATE RELEASE
December 18, 2020**

**BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.,
File No. 2020-39**

TORONTO – Following a hearing held today, the Commission issued an Order in the above named matter approving the Settlement Agreement reached between Staff of the Commission and Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V.

A copy of the Order dated December 18, 2020 and the Settlement Agreement dated December 15, 2020 are available at www.osc.gov.on.ca

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

**1.4.8 Bloomberg Trading Facility Limited and
Bloomberg Trading Facility B.V.**

**FOR IMMEDIATE RELEASE
December 21, 2020**

**BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.,
File No. 2020-39**

TORONTO – The Commission issued its Reasons for Approval of a Settlement in the above named matter.

A copy of the Reasons for Approval of a Settlement dated December 18, 2020 is available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.9 Dino Paolucci

FOR IMMEDIATE RELEASE
December 22, 2020

DINO PAOLUCCI,
File No. 2020-25

TORONTO – The Commission issued its Reasons and Decision and an Order pursuant to Subsections 127(1) and 127(10) of the *Securities Act* in the above named matter.

A copy of the Reasons and Decision and the Order dated December 21, 2020 are available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Ayr Strategies Inc.

Headnote

Multilateral Instrument 11-102 Passport System and National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief from the take-over bid requirements in Part 2 of NI 62-104 to allow for take-over bid thresholds to be calculated based on the aggregate number of non-multiple voting shares outstanding, as opposed to on a per-class basis – multi-class share structure among non-multiple voting shares was implemented solely to ensure the issuer’s continued status as a “foreign private issuer” under U.S. securities laws; all classes of non-multiple voting shares are freely tradable, trade under the same trading symbol, have identical economic attributes and are automatically and mandatorily inter-convertible based on the shareholder’s status as a U.S. Person – relief granted to allow offerors to calculate their ownership position by combining the outstanding classes of non-multiple voting shares for the purposes of determining whether take-over bid requirements are triggered.

Relief from the early warning requirements to allow early warning thresholds to be calculated based on the aggregate number of non-multiple voting shares outstanding, as opposed to on a per-class basis – multi-class share structure among non-multiple voting shares was implemented solely to ensure the issuer’s continued status as a “foreign private issuer” under U.S. securities laws; all classes of non-multiple voting shares are freely tradable, trade under the same trading symbol, have identical economic attributes and are automatically and mandatorily inter-convertible based on the shareholder’s status as a U.S. Person – relief granted to allow acquirors to calculate their ownership position by combining the outstanding classes of non-multiple voting shares for the purposes of determining whether early warning requirements are triggered.

Relief from the issuer-bid requirements in Part 2 of NI 62-104 to allow for the thresholds in the normal course issuer bid exemption in s.4.8(3) of NI 62-104 to be calculated based on the aggregate number of non-multiple voting shares outstanding, as opposed to on a per-class basis – multi-class share structure among non-multiple voting shares was implemented solely to ensure the issuer’s continued status as a “foreign private issuer” under U.S. securities laws; all classes of non-multiple voting shares are freely tradable, trade under the same trading symbol, have identical economic attributes and are automatically and mandatorily inter-convertible based on the shareholder’s status as a U.S. Person – relief granted to allow the issuer to calculate thresholds for normal course issuer bid exemption by combining the outstanding classes of non-multiple voting shares.

Relief from the requirement to issue and file a news release in section 5.4 of NI 62-104 to provide that the threshold triggering the requirement for an acquiror to file a news release during a take-over bid or an issuer bid is to be calculated based on the aggregate number of non-multiple voting shares outstanding, as opposed to on a per-class basis – multi-class share structure among non-multiple voting shares was implemented solely to ensure the issuer’s continued status as a “foreign private issuer” under U.S. securities laws; all classes of non-multiple voting shares are freely tradable, trade under the same trading symbol, have identical economic attributes and are automatically and mandatorily inter-convertible based on the shareholder’s status as a U.S. Person – relief granted to allow acquirors to calculate their ownership position by combining the outstanding classes of non-multiple voting shares for the purposes of determining whether the requirement to file a news release during a take-over bid or issuer bid is triggered.

Relief so that the issuer can provide disclosure on significant shareholders in its information circular on a combined basis among non-multiple voting shares, rather than for each class of non-multiple voting shares - to be calculated based on the aggregate number of non-multiple voting shares outstanding, as opposed to on a per-class basis – multi-class share structure among non-multiple voting shares was implemented solely to ensure the issuer’s continued status as a “foreign private issuer” under U.S. securities laws; all classes of non-multiple voting shares are freely tradable, trade under the same trading symbol, have identical economic attributes and are automatically and mandatorily inter-convertible based on the shareholder’s status as a U.S. Person – relief granted to allow issuer to provide disclosure on holders of its non-multiple voting shares on a combined basis in its information circular.

Issuer granted relief from requirements under National Instrument 41-101 General Prospectus Requirements, National Instrument 51-102 Continuous Disclosure Requirements and OSC Rule 56-501 Restricted Shares to refer to Limited Voting Shares using prescribed restricted security term – relief subject to condition that specified alternate term is used.

Applicable Legislative Provisions

National Instrument 62-104 Take-Over Bids and Issuer Bids, Part 2, ss. 5.2, 5.4 and 6.1.

National Instrument 62-103 The Early Warning System and Related Take-Over Bid and Insider Reporting Issues, ss. 4.1, 4.5 and 11.1.

National Instrument 51-102 Continuous Disclosure Obligations, s. 13.1.

National Instrument 41-101 General Prospectus Requirements, s. 19.1.

Ontario Securities Commission Rule 56-501 Restricted Shares, s 4.2.

December 3, 2020

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

AND

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

AND

**IN THE MATTER OF
AYR STRATEGIES INC.
(the "Filer")**

DECISION

Background

The principal regulator in the Jurisdiction has received an application (the "**Application**") from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the "**Legislation**") that:

1. In connection with National Instrument 62-104 *Take-Over Bids and Issuer Bids* ("**NI 62-104**") and National Instrument 62-103 *The Early Warning System and Related Take-over Bid and Insider Reporting Issues* ("**NI 62-103**"):
 - (a) an offer to acquire outstanding subordinate voting shares ("**Subordinate Voting Shares**"), restricted voting shares ("**Restricted Voting Shares**") or limited voting shares ("**Limited Voting Shares**"), and collectively with the Subordinate Voting Shares and the Restricted Voting Shares, the "**non-Multiple Voting Shares**") of the Filer, as the case may be, which would constitute a take-over bid under the Legislation as a result of the securities subject to the offer to acquire, together with the offeror's securities, representing in the aggregate 20% or more of the outstanding Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, at the date of the offer to acquire, be exempt from the requirements set out in Part 2 of NI 62-104 applicable to take-over bids (the "**TOB Relief**"),
 - (b) an acquiror who triggers the disclosure and filing obligations pursuant to the early warning requirements contained in the Legislation with respect to the Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, be exempt from such requirements (the "**Early Warning Relief**"),
 - (c) an acquiror who acquires, during a take-over bid or an issuer bid, beneficial ownership of, or control or direction over, Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, that, together with the acquiror's securities of that class, would constitute 5% or more of the outstanding Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, be exempt from the requirement to issue and file a news release set out in section 5.4 of NI 62-104 (the "**News Release Relief**"),
 - (d) an issuer bid made by the Filer in the normal course on a published market, other than a designated exchange, with respect to Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, be exempt from the requirements set out in Part 2 of NI 62-104 applicable to issuer bids (the "**NCIB Relief**" and together with the TOB Relief, the News Release Relief and the Early Warning Relief, the "**Bid Relief**");
2. The Filer be exempt from the disclosure requirements in Item 6.5 of Form 51-102F5 *Information Circular* ("**Form 51-102F5**") (the "**Alternative Disclosure Relief**", and together with the Bid Relief, the "**Aggregation Relief**"); and

3. The requirements under:
- (a) (i) subsections 12.2(3) and 12.2(4) of National Instrument 41-101 *General Prospectus Exemptions* (“**NI 41-101**”), (ii) Item 1.13(1) of Form 41-101 F1 *Information Required in a Prospectus* (“**Form 41-101F1**”); and (iii) item 1.12(1) of Form 44-101F1 *Short Form Prospectus* (including in respect of any equivalent disclosure in a prospectus or supplement filed pursuant to National Instrument 44-102 *Shelf Distributions* (“**NI 44-102**”)) relating to the use of restricted security terms,
 - (b) subsections 10.1(1)(a), 10.1(4) and 10.1(6) of NI 51-102 *Continuous Disclosure Obligations* (“**51-102**”) relating to the use of restricted security terms, and
 - (c) subsections 2.3(1)(1.), 2.3(1)(3.) and 2.3(2) of Ontario Securities Commission Rule 56-501 *Restricted Shares* (“**OSC Rule 56-501**”) relating to the use of restricted share terms,
- shall not apply to the Limited Voting Shares (the “**Nomenclature Relief**”, and together with the Aggregation Relief, the “**Exemption Sought**”).

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

- (a) the Ontario Securities Commission is the principal regulator for this Application, and
- (b) the Filer has provided notice that section 4.7(1) of Multilateral Instrument 11-102 *Passport System* (“**MI 11-102**”) is intended to be relied upon in Alberta, British Columbia, Manitoba, New Brunswick, Newfoundland, the Northwest Territories, Nova Scotia, Nunavut, Prince Edward Island, Quebec, Saskatchewan and the Yukon Territory.

Interpretation

Terms defined in National Instrument 14-101 *Definitions*, MI 11-102, NI 62-103 and NI 62-104, including without limitation, “offeror”, “offeror’s securities”, “offer to acquire”, “acquiror”, “acquiror’s securities”, “eligible institutional investor”, and “security-holding percentage”, have the same meaning if used in this decision, unless otherwise defined herein.

Representations

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

1. The Filer is a corporation continued under the *Business Corporations Act* (British Columbia) (the “**BCBCA**”).
2. The Filer is a reporting issuer in each of the provinces and territories of Canada, except Quebec, and is not in default of the securities legislation in any of these jurisdictions.
3. The Filer’s head office is located at 590 Madison Ave., 26th Floor, New York, NY 10022.
4. The Filer’s authorized share capital consists of (i) an unlimited number of multiple voting shares (“**Multiple Voting Shares**” and together with the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, the “**Shares**”), and (ii) an unlimited number of Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares.
5. As of December 2, 2020, 3,696,486 Multiple Voting Shares and 20,875,997 non-Multiple Voting Shares were issued and outstanding.
6. The Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares are listed on the CSE under the symbol “AYR.A”.
7. The Filer is a vertically integrated multi-state operator in the U.S. cannabis sector, with operations in Massachusetts and Nevada. Through its operating companies, the Filer is a leading cultivator, manufacturer and retailer of cannabis products and branded cannabis packaged goods.

Aggregation Relief

8. As at June 30, 2020, the Filer believes it qualified as an FPI under Rule 405 of the U.S. *Securities Act of 1933*, as amended, and Rule 3b-4(b) of the U.S. *Securities Exchange Act of 1934*, as amended, as:
 - (a) the Filer is continued under the laws of British Columbia; and

- (b) based on reasonable enquiry, less than 50% of the Filer's outstanding voting securities are held directly or indirectly of record by residents of the United States (the "**FPI Threshold**").
9. For the purposes of the FPI Threshold, "voting securities" are defined as those securities that entitle the holders to vote for the election of directors at the time of such determination.
10. As (a) the majority of the Filer's executive officers and directors are U.S. citizens or residents, (b) more than 50% of the Filer's assets are located in the United States, and (c) the Filer's business is administered primarily in the United States, the Filer will not qualify as an FPI should it exceed the FPI Threshold at the applicable time.
11. The Filer derives material benefits from its status as an FPI.
12. On December 3, 2020, the Filer amended its articles (the "**Amendments**") to (a) create and set the terms of two new share classes of the Filer, being the Restricted Voting Shares and the Limited Voting Shares, including applying coattail terms to such shares similar to those applicable to the existing Subordinate Voting Shares, and (b) amend the terms of the Filer's existing Multiple Voting Shares and Subordinate Voting Shares, including by amending the requirements in respect of who may hold Subordinate Voting Shares.
13. The Filer received the shareholder approvals required under applicable corporate and securities laws to implement the Amendments at the annual general and special meeting of the Filer held on November 4, 2020.
14. The Amendments are intended to ensure that the Filer maintains its FPI status under applicable U.S. securities laws and thereby avoids a commensurate material increase in its ongoing costs. This is to be accomplished by implementing a mandatory conversion mechanism in the Filer's share capital to decrease the number of shares eligible to be voted for directors of the Filer if the Filer's FPI Threshold would be exceeded.
15. For the purposes of the Amendments, a "**U.S. Person**" means a U.S. person as defined in Regulation S (promulgated under the U.S. *Securities Act of 1933*) in Section 902(k)(1) (as amended or replaced from time to time), and a "**Non-U.S. Person**" is any person who is not a U.S. Person. Under the Amendments, where Subordinate Voting Shares are held, beneficially owned or controlled, directly or indirectly, or jointly by (a) one or more U.S. Persons, and (b) one or more Non-U.S. Persons, such Subordinate Voting Shares shall be deemed to be held, beneficially owned or controlled by a U.S. Person.
16. Subject to the Specified Exceptions (as defined below), the Subordinate Voting Shares may only be held, beneficially owned or controlled by Non-U.S. Persons, and will carry one vote per share for the election of directors (and for all other purposes). The Subordinate Voting Shares will be automatically converted, without further act or formality, on a one-for-one basis into Restricted Voting Shares if they become held, beneficially owned or controlled by a U.S. Person.
17. Subject to the Specified Exceptions, (a) the Restricted Voting Shares may be held, beneficially owned or controlled only by U.S. Persons and will carry one vote per share for the election of directors (and for all other purposes), and (b) the Limited Voting Shares may be held, beneficially owned or controlled only by U.S. Persons and will carry one vote per share on all matters except the election of directors, as the holders of Limited Voting Shares shall not have any entitlement to vote in respect of the election for directors of the Filer.
18. If, at any given time, the Restricted Voting Shares or the Limited Voting Shares are held, beneficially owned or controlled by Non-U.S. Persons, they will be automatically converted, without further act or formality, on a one-for-one basis into Subordinate Voting Shares.
19. Notwithstanding the foregoing, if, at any given time, the total number of Restricted Voting Shares represents a number equal to or in excess of the formulaic threshold set forth below, representing the FPI Threshold, then the minimum number of Restricted Voting Shares required to stay within the FPI Threshold will be automatically converted, without further act or formality, on a pro-rata basis across all registered holders of Restricted Voting Shares (rounded up to the next nearest whole number of shares), on a one-for-one basis, into Limited Voting Shares:
- $$(0.50 \times \text{Aggregate Number of Multiple Voting Shares, Subordinate Voting Shares and Restricted Voting Shares}) - (\text{Aggregate Number of Multiple Voting Shares held, beneficially owned or controlled by U.S. Persons})$$
20. Notwithstanding the foregoing, in connection with a formal bid for all equity shares on identical terms made in compliance with Canadian securities laws that results in the bidder owning or controlling more than fifty percent (50%) of the total voting power of the voting securities of the Filer for the election of directors (assuming for such purposes that the Limited Voting Shares each have one (1) vote per share for the election of directors), the bidder may elect, by way of written notice to the Filer, that the Restricted Voting Shares it so acquires not be automatically converted into Limited Voting Shares.

21. If, at any given time, the total number of Restricted Voting Shares represents a number below the FPI Threshold, then a number of Limited Voting Shares will be automatically converted, without further act or formality, on a pro-rata basis across all registered holders of Limited Voting Shares (rounded down to the next nearest whole number of shares), on a one-for-one basis, into Restricted Voting Shares, to the maximum extent possible such that the Restricted Voting Shares then represent a number of Shares that is one share less than the FPI Threshold.
22. The “**Specified Exceptions**” are (i) Shares held, beneficially owned or controlled by one or more underwriters for the purposes of a distribution to the public, and (ii) Shares held by a person acting solely in the capacity of an intermediary in connection with either the payment of funds and/or the delivery of securities and that provides centralized facilities for the deposit, clearing or settlement of trades in securities (including CDS Clearing and Depository Services Inc., or any successor or assign).
23. The Multiple Voting Shares may be held, beneficially owned or controlled, directly or indirectly, by U.S. Persons or Non-U.S. Persons, and each Multiple Voting Share carries 25 votes per share. Each Multiple Voting Share will be convertible at the holder’s option, on a one-for-one basis, into (a) a Subordinate Voting Share, if such Multiple Voting Share is held, beneficially owned or controlled by a Non-U.S. Person, and (b) a Restricted Voting Share, if such Multiple Voting Share is held, beneficially owned or controlled by a U.S. Person.
24. All Shares shall rank equally with the other Shares as to dividends on a share-for-share basis, without preference or distinction, except that, subject to applicable regulatory and stock exchange approvals, stock dividends or distributions may be declared by the Filer’s board of directors that are payable in Multiple Voting Shares on the Multiple Voting Shares, in Subordinate Voting Shares on the Subordinate Voting Shares, in Restricted Voting Shares on the Restricted Voting Shares, and in Limited Voting Shares on the Limited Voting Shares, provided an equal number of shares is declared as a dividend or distribution on a per-share basis in each case. All Shares will rank *pari passu* on a per-share basis in the event of the Filer’s liquidation, dissolution or winding-up, or a distribution of assets of the Filer for the purposes of a dissolution or winding-up of the Filer. All holders of Shares will be entitled to receive notice of, to attend (if applicable, virtually) and vote at all meetings of the Filer’s shareholders, except that they will not be able to vote (but will be entitled to receive notice of, to attend (if applicable, virtually) and to speak) at those meetings at which the holders of a specific class are entitled to vote separately as a class under the BCBCA.
25. Each class of Shares shall be subject to coattail provisions to be contained in the terms of such class of Shares, pursuant to which each class of Shares may be converted into another class of Shares in the event an offer is made to purchase such other class of Shares and the offer is one which is required to be made to all or substantially all the holders in Canada of such other class of Shares (assuming that the offeree was resident in Ontario).
26. Aside from the differences in (a) who may hold Subordinate Voting Shares and Restricted Voting Shares and Limited Voting Shares as between U.S. Persons and Non-U.S. Persons, and (b) the voting rights attributable to each class of non-Multiple Voting Shares set out above, the non-Multiple Voting Shares are the same in all respects and are mandatorily inter-convertible (continuously and without formality) based on (i) the holder’s status as a U.S. Person or Non-U.S. Person, and (ii) the Filer’s FPI status.
27. The multi-class share structure among the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares was implemented solely to ensure the Filer’s continued status as an FPI and thereby reduce compliance costs; it has no other purpose.
28. The non-Multiple Voting Shares will be automatically and mandatorily inter-convertible based on (a) the holder’s status as a U.S. Person or Non-U.S. Person (as between Subordinate Voting Shares and Restricted Voting Shares/Limited Voting Shares), and (b) the status of the Filer’s FPI Threshold (as between Restricted Voting Shares and Limited Voting Shares), in each case without any further act of the Filer or the holder or further formality.
29. An investor will not control or choose which class of non-Multiple Voting Shares it acquires and holds. There are no unique features of any class of non-Multiple Voting Shares which an existing or potential investor will be able to choose to acquire, exercise or dispose of; the class ultimately available to an investor will be a function of such investor’s status as a U.S. Person or Non-U.S. Person and the Filer’s FPI status only. Moreover, if after having acquired non-Multiple Voting Shares (a) a holder’s status as a U.S. Person or Non-U.S. Person changes, or (b) the Filer’s FPI status changes in a material manner, such Shares will convert accordingly and automatically, without formality or regard to any other consideration.

Nomenclature Relief

30. Section 1.1 of NI 41-101 and Section 1.1 of NI 51-102 defines “restricted security terms” to mean each of the terms “non-voting security”, “subordinate voting security” and “restricted voting security”.
31. Section 1.1 of OSC Rule 56-501 defines “restricted share terms” to mean “non-voting shares”, “subordinate voting shares”, “restricted voting shares” or any other term deemed appropriate by the Director.

Decisions, Orders and Rulings

32. The Limited Voting Shares may be considered restricted securities and restricted shares, as applicable, under NI 41-101, NI 51-102 and OSC Rule 56-501 as there will be (a) another class of shares that carries a disproportionate vote per share relative to the Limited Voting Shares, and (b) the share terms of the Limited Voting Shares contain provisions that nullify certain of the voting rights attributable to the Limited Voting Shares.
33. The Filer is limited to the restricted security term “non-voting” in respect of the nomenclature for the Limited Voting Shares insofar as (a) the restricted security terms “subordinate voting” and “restricted voting” are already taken by the Subordinate Voting Shares and Restricted Voting Shares, respectively, and (b) also naming the Limited Voting Shares as “restricted voting shares” would cause market confusion and be impracticable from a logistical standpoint given the need to distinguish the Limited Voting Shares from the Restricted Voting Shares.
34. It would be inappropriate to use the restricted security term “non-voting” in respect of the Limited Voting Shares because they will carry the right to vote generally other than in respect of the election of the Filer’s directors.
35. The Filer desires to refer to such shares as Limited Voting Shares in any offering documents, in any future prospectuses and in all future continuous disclosure documents of the Filer to avoid confusing the Limited Voting Shares with Subordinate Voting Shares and/or Restricted Voting Shares.
36. The features of the Limited Voting Shares will be set out in disclosure documents pursuant to NI 41-101, National Instrument 44-101 *Short Form Prospectus Distributions*, NI 44-102 and NI 51-102, as applicable, in compliance with the form requirements of such instruments.

Decision

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

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

1. the Filer publicly discloses the Exemption Sought and the terms and conditions of this decision in a news release filed on SEDAR promptly following the issuance of this decision;
2. the Filer discloses the Exemption Sought and the terms and conditions of this decision in each of its annual information forms and management information circulars filed on SEDAR following the issuance of this decision and in any other filing where the characteristics of the Shares are described;
3. with respect only to the TOB Relief, the securities subject to the offer to acquire, together with the offeror’s securities, would not represent in the aggregate 20% or more of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, as the case may be, calculated using (a) a denominator comprised of all of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, determined in accordance with subsection 1.8(2) of NI 62-104 on a combined basis, as opposed to a per-class basis, and (b) a numerator including as offeror’s securities all of the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, as applicable, that constitute offeror’s securities;
4. with respect only to the News Release Relief, the Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, that the acquiror acquires beneficial ownership of, or control or direction over, when added to the acquiror’s securities of that class, would not constitute 5% or more of the outstanding Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as the case may be, calculated using (a) a denominator comprised of all of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, determined in accordance with subsection 1.8(2) of NI 62-104 on a combined basis, as opposed to a per-class basis, and (b) a numerator including as acquiror’s securities, all of the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares that constitute acquiror’s securities;
5. with respect only to the NCIB Relief, the Filer complies with the conditions in subsection 4.8(3) of NI 62-104, except that: (a) the bid is for not more than 5% of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares on a combined basis, as opposed to a per-class basis, and (b) the aggregate number of Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares acquired in reliance on the NCIB Relief by the Filer and any person acting jointly or in concert with the Filer within any 12-month period does not exceed 5% of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares on a combined basis, as opposed to a per-class basis, at the beginning of such 12-month period;
6. with respect only to the Early Warning Relief:
 - (a) the acquiror complies with the early warning requirements, except that, for the purpose of determining the percentage of outstanding Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, as

the case may be, that the acquiror has acquired or disposed of beneficial ownership, or acquired or ceased to have control or direction over, the acquiror calculates the percentage using (i) a denominator comprised of all of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, determined in accordance with subsection 1.8(2) of NI 62-104, on a combined basis, as opposed to a per-class basis, and (ii) a numerator including, as acquiror's securities, all of the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, as applicable, that constitute acquiror's securities; or

- (b) in the case of an acquiror that is an eligible institutional investor, the acquiror complies with the requirements of the alternative monthly reporting system set out in Part 4 of NI 62-103 to the extent it is not disqualified from filing reports thereunder pursuant to section 4.2 of NI 62-103, except that, for purposes of determining the acquiror's securityholding percentage, the acquiror calculates its securityholding percentage using (i) a denominator comprised of all of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares determined in accordance with subsection 1.8(2) of NI 62-104 on a combined basis, as opposed to a per-class basis, and (ii) a numerator including all of the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares, as applicable, beneficially owned or controlled by the eligible institutional investor;

- 7. with respect only to the Alternative Disclosure Relief, the Filer provides the disclosure required by Item 6.5 of Form 51-102F5 except that for purposes of determining the percentage of voting rights attached to the Subordinate Voting Shares, Restricted Voting Shares or Limited Voting Shares, the Filer calculates the voting percentage using (a) a denominator comprised of all of the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares on a combined basis, as opposed to a per-class basis, and (b) a numerator including all of the Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares beneficially owned, or over which control or direction is exercised, directly or indirectly, by any person who, to the knowledge of the Filer's directors or executive officers, beneficially owns, controls or directs, directly or indirectly, voting securities carrying 10% or more of the voting rights attached to the outstanding Subordinate Voting Shares, Restricted Voting Shares and Limited Voting Shares on a combined basis, as opposed to a per-class basis; and

- 8. with respect only to the Nomenclature Relief, the Limited Voting Shares are referred to as "Limited Voting Shares".

"Jason Koskela"
Acting Director, Office of Mergers & Acquisitions
Ontario Securities Commission

2.1.2 Outcome Metric Asset Management Limited Partnership et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – One-time transfer of portfolio securities between two pooled funds, both advised by the same portfolio adviser, to implement a merger between the funds – Funds have substantially similar investment objectives and strategies, fees and valuation policies – Costs of the merger borne by manager – Sale of securities exempt from the self-dealing prohibition in paragraph s.13.5(2)(b)(iii), National Instrument 31-103 – Registration Requirements, Exemptions and Ongoing Registrant Obligations.

Applicable Legislative Provisions

National Instrument 31-103 – Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss.13.5(2)(b)(iii) and 15.1.

December 17, 2020

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

AND

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

AND

**IN THE MATTER OF
OUTCOME METRIC ASSET MANAGEMENT LIMITED PARTNERSHIP
(the Filer)**

AND

**METRIC ASSET ALLOCATION FUND
(the Terminating Fund)**

AND

**OUTCOME GLOBAL TACTICAL ASSET ALLOCATION FUND
(the Continuing Fund)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for an exemption from subparagraph 13.5(2)(b)(iii) of National Instrument 31-103 *Registration Requirements Exemptions and Ongoing Registrant Obligations* (**NI 31-103**), which prohibits a registered adviser from knowingly causing an investment portfolio managed by it, including an investment fund for which it acts as an adviser, to purchase or sell a security from or to the investment portfolio of an investment fund for which a responsible person acts as an adviser, in order to effect the proposed merger (the **Merger**) of the Terminating Fund into the Continuing Fund (the **Exemption Sought**).

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filer has provided notice that section 4.7 of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick, Nova Scotia, Newfoundland and Labrador, Prince Edward Island, Northwest Territories, Nunavut and Yukon.

Interpretation

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

Representations

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

The Filer:

1. The Filer is a limited partnership established under the laws of Ontario with its head office in Toronto, Ontario. The general partner of the Filer, Outcome Metric Asset GP Inc., is a corporation formed under the laws of Canada.
2. The Filer is registered as a portfolio manager, investment fund manager, exempt market dealer and commodity trading manager in Ontario, as an exempt market dealer in British Columbia, Manitoba, New Brunswick, Nova Scotia, Prince Edward Island and Saskatchewan, and as portfolio manager, investment fund manager, exempt market dealer and derivatives portfolio manager in Quebec.
3. The Filer's registration is subject to terms and conditions to address a unique situation, specifically, the Filer must ensure that the general partner of the Filer, identified in the limited partnership agreement governing the affairs of the Filer, and any other general partner of the Filer, will not carry on any activities other than as general partner of the Filer and that any activities they do carry on will be for or on behalf of the Filer.
4. The Filer is the trustee, portfolio manager and investment fund manager of the Terminating Fund, and the portfolio manager and investment fund manager of the Continuing Fund. The Filer will become the trustee of the Continuing Fund on January 1, 2021. The current trustee of the Continuing Fund is TSX Trust Company.
5. The Filer is not in default of securities legislation in any Jurisdiction.

The Funds:

6. Each of the Terminating Fund and Continuing Fund (together, the **Funds** and each, a **Fund**) is an open-end mutual fund trust established under the laws of Ontario. The Funds are not reporting issuers in any jurisdiction and are not subject to National Instrument 81-102 Investment Funds or National Instrument 81-107 Independent Review Committee for Investment Funds (**NI 81-107**).
7. Each Fund offers its units in all provinces and territories of Canada pursuant to available prospectus exemptions in accordance with National Instrument 45-106 Prospectus and Registration Exemptions.
8. The Funds are not in default of securities legislation in any Jurisdiction.
9. Currently, neither Fund qualifies as a "mutual fund trust" under the Income Tax Act (Canada) (the **Tax Act**) as neither Fund has at least 150 unitholders.

The Merger:

10. The Filer wishes to merge the Terminating Fund into the Continuing Fund on or with effect December 31, 2020 (the **Effective Date**), subject to receipt of all regulatory, and other, approvals. The Filer has decided to effect the Merger because of the substantial similarities in the Funds' investment portfolios and the desire to potentially reduce the management expense ratio by virtue of increased assets in the Continuing Fund.
11. Pursuant to the declaration of trust of the Terminating Fund, a special meeting of unitholders has been called by the Filer, to take place on December 30, 2020, whereat unitholders will be asked to approve the Merger. Unitholders were provided with an information circular (the **Circular**) providing relevant details of the Merger and a form of voting proxy. Provided approval of unitholders of the Terminating Fund is obtained in accordance with the declaration of trust, the Filer, in its capacity as trustee of the Terminating Fund, may effect the Merger and other related amendments.
12. There is no requirement in the declaration of trust of the Continuing Fund to provide notice to or obtain approval of unitholders for the issuance of units pursuant to the Merger or otherwise in connection therewith. The Filer has determined that the Merger is not material to the Continuing Fund.
13. There will be no change in management fees paid by unitholders of the Terminating Fund or the Continuing Fund as a result of the Merger.

Decisions, Orders and Rulings

14. No redemption fees, other fees or commissions will be payable by the Funds' unitholders in connection with the Merger. No sales charges will be payable in connection with the acquisition by the Continuing Fund of the Terminating Fund's investment portfolio.
15. The costs associated with the Merger will be paid by the Filer.
16. As the Funds do not qualify as "mutual fund trusts" under the Tax Act, the Merger is not eligible to be completed on a tax deferred basis and, accordingly, will be completed on a taxable basis. Unitholders of the Terminating Fund will trigger a disposition for tax purposes on the effective date of the Merger, which will trigger a taxable gain or loss depending on the adjusted cost base of each unitholder's units, but will not give rise to material adverse tax consequences for the Terminating Fund and the vast majority of its unitholders. Unitholders of the Terminating Fund were provided with disclosure in the Circular that the Merger will be effected on a taxable basis because a tax-deferred alternative was not possible under the Tax Act.
17. Unitholders of the Terminating Fund will be able to redeem their units at net asset value (**NAV**) at all redemption dates up to the Effective Date.
18. The investment objectives and portfolios of the Continuing Fund and the Terminating Fund are substantially similar and both Funds primarily invest in exchange traded funds. The portfolio of assets of the Terminating Fund to be acquired by the Continuing Fund arising from the Merger will be consistent with the investment objectives of the Continuing Fund.
19. The NAV of each of the Funds is determined using substantially similar valuation principles and the Funds have similar redemption policies.
20. The following steps will be carried out to effect the Merger:
 - a. the value of the Terminating Fund's investment portfolio and other assets will be determined at the close of business on the effective date of the Merger in accordance with its declaration of trust;
 - b. any securities in the investment portfolio of the Terminating Fund which do not conform to the investment objective and strategies of the Continuing Fund will be sold in the market for cash;
 - c. the Continuing Fund will acquire the portfolio assets and other assets of the Terminating Fund in exchange for units of the Continuing Fund;
 - d. the units of the Continuing Fund received by the Terminating Fund will have an aggregate NAV equal to the value of the Terminating Fund's portfolio assets and other assets that the Continuing Fund is acquiring, which units will be issued at the applicable NAV per security as of the close of business on the effective date of the Merger;
 - e. if necessary, the Terminating Fund will distribute a sufficient amount of its income and capital gains, if any, to ensure that the Terminating Fund will not be liable for income tax under Part I of the Tax Act, other than alternative minimum tax, for its current taxation year. Currently, it is expected that there will not be any distributions from the Terminating Fund;
 - f. immediately thereafter, the units of the Continuing Fund received by the Terminating Fund will be distributed to unitholders of the Terminating Fund on a dollar-for-dollar basis in exchange for their respective equivalent class of units in the Terminating Fund; and
 - g. as soon as reasonably possible following the Merger, the Terminating Fund will be wound up.
21. The assets of the Funds will be valued in accordance with the valuation policies and procedures outlined in the declaration of trust of each Fund, and, at this value, the assets of the Terminating Fund will subsequently be exchanged for units of the Continuing Fund as described above.
22. The transfer of the assets of the Terminating Fund to the Continuing Fund will not adversely impact the liquidity of the Continuing Fund.
23. The board of directors of the general partner of the Filer, on behalf of the Filer, has determined that the Merger is in the best interests of the Funds and has approved the Merger, subject to obtaining the Exemption Sought.
24. The Filer believes that the Merger is in the best interests of unitholders of the Funds for the following reasons:
 - a. the Merger will result in a more streamlined and simplified product line-up that is easier for investors to understand;

Decisions, Orders and Rulings

- b. the Merger will eliminate similar fund offerings across product line ups, reducing duplication and redundancy;
 - c. it is expected that the increased assets and larger unitholder base in the Continuing Fund will potentially allow for the reduction in management expense ratio; and
 - d. the Continuing Fund will benefit from its larger profile in the marketplace.
25. The desired end result of the Merger could be achieved by each unitholder redeeming his or her units of the Terminating Fund and using the proceeds to purchase units of the Continuing Fund. Executing the trades in this manner would result in negative consequences to the Terminating Fund and the Continuing Fund through the incurrence of unnecessary brokerage charges relating to the sale and repurchase of portfolio securities.
26. The portfolio securities and other assets of the Terminating Fund will be transferred from the Terminating Fund to the Continuing Fund in accordance with the steps described above. Because the transfer of portfolio securities and assets will take place at a value determined by common valuation procedures and the issue of units will be based upon the relative net asset value of the portfolio securities and other assets received by the Continuing Fund, and notice and redemption rights have been provided to Terminating Fund unitholders, it is the Filer's submission that any potential conflict of interest has been adequately addressed and as a result there is no conflict of interest for the Filer in effecting the Merger.
27. The sale of the assets of the Terminating Fund to the Continuing Fund and the corresponding purchase of such assets by the Continuing Fund as a step in the Merger may be considered a purchase or sale of securities, knowingly caused by a registered adviser that manages the investment portfolios of both Funds, from the Terminating Fund to, or by the Continuing Fund from, an investment fund for which a "responsible person" acts as an adviser, contrary to subparagraph 13.5(2)(b)(iii) of NI 31-103.
28. Unless the Exemption Sought is granted, the Filer would be prohibited from knowingly causing the securities of the Terminating Fund to be transferred to the Continuing Fund in connection with the Merger.

Decision

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

The decision of the principal regulator under the Legislation is that the Exemption Sought is granted provided that the Merger is approved at a special meeting of unitholders of the Terminating Fund held for that purpose.

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

2.1.3 Northwest & Ethical Investments L.P.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – approval of investment fund mergers – approval required because the mergers do not meet all the pre-approval criteria in National Instrument 81-102 Investment Funds – mergers are not a “qualifying exchange” – continuing funds and terminating funds do not have substantially similar investment objectives – securityholders of the terminating funds provided timely and adequate disclosure regarding the mergers.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 5.5(1)(b), 5.6(1), 5.7(1)(b) and 19.1(2).

December 18, 2020

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

AND

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

AND

**IN THE MATTER OF
NORTHWEST & ETHICAL INVESTMENTS L.P.
(the Filer or the Manager)**

AND

**IN THE MATTER OF
THE FUNDS
(as defined below)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) approving (the **Approval Sought**) the proposed mergers of the Terminating Funds (as defined below) with the Continuing Funds (as defined below) (the **Proposed Mergers**) pursuant to clause 5.5(1)(b) of National Instrument 81-102 – *Investment Funds (NI 81-102)*.

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filer has provided notice that section 4.7(1) of Multilateral Instrument 11-102 – *Passport System (MI 11-102)* is intended to be relied upon in each of the other provinces and territories of Canada (together with Ontario, the **Jurisdictions**).

Interpretation

Terms defined in National Instrument 14-101 – *Definitions* and MI 11-102 have the same meaning in this decision unless they are otherwise defined in this decision. The terms below have the following meanings:

Circular means the joint management information circular of the Terminating Funds.

Continuing Funds means each of NEI U.S. Equity RS Fund, NEI International Equity RS Fund, NEI Select Income RS Portfolio, NEI Select Income & Growth RS Portfolio, NEI Select Balanced RS Portfolio, NEI Select Growth & Income RS Portfolio, NEI Select Growth RS Portfolio, NEI Select Maximum Growth RS Portfolio, and NEI Balanced Yield Portfolio.

Fund or Funds	means the Terminating Funds and the Continuing Funds.
IRC	means the Independent Review Committee of the Funds.
NEI	means Northwest & Ethical Investments L.P.
SEDAR	System for Electronic Document Analysis and Retrieval.
Tax Act	means the <i>Income Tax Act</i> (Canada).
Taxable Merger	means the proposed mergers of: NEI Select Income Portfolio into NEI Select Income RS Portfolio; NEI Select Income & Growth Portfolio into NEI Select Income & Growth RS Portfolio; NEI Select Balanced Portfolio into NEI Select Balanced RS Portfolio; NEI Select Growth & Income Portfolio into NEI Select Growth & Income RS Portfolio; NEI Select Maximum Growth Portfolio into NEI Select Maximum Growth RS Portfolio; and NEI Tactical Yield Portfolio into NEI Balanced Yield Portfolio.
Tax-deferred Merger	means the proposed mergers of: NEI U.S. Equity Fund into NEI U.S. Equity RS Fund; NEI International Equity Fund into NEI International Equity RS Fund; and NEI Select Growth Portfolio into NEI Select Growth RS Portfolio.
Terminating Funds	means each of NEI U.S. Equity Fund, NEI International Equity Fund, NEI Select Income Portfolio, NEI Select Income & Growth Portfolio, NEI Select Balanced Portfolio, NEI Select Growth & Income Portfolio, NEI Select Growth Portfolio, NEI Select Maximum Growth Portfolio, and NEI Tactical Yield Portfolio.

Representations

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

- A. The Manager is an Ontario limited partnership. The general partner of the Manager is Northwest & Ethical Investments Inc., a corporation formed under the laws of Canada with its head office in Toronto, Ontario.
- B. The Manager is the investment fund manager of the Funds and is registered as (i) a portfolio manager and commodity trading manager in Ontario, (ii) an exempt market dealer in British Columbia, Ontario, Quebec and Saskatchewan, and (iii) an investment fund manager in British Columbia, Newfoundland and Labrador, Ontario and Quebec.
- C. Each of the Funds is a mutual fund trust established under the laws of British Columbia or Ontario and is a reporting issuer under the applicable securities legislation of each Jurisdiction.
- D. The securities of each Fund are qualified for distribution in the Jurisdictions pursuant to simplified prospectuses and annual information forms prepared and filed in accordance with the securities legislation of the Jurisdictions.
- E. Each Fund is subject to the requirements of NI 81-102 (to the extent varied by exemptive relief if and as applicable). The securities of each Fund are issuable and redeemable on any business day.
- F. Neither the Manager nor any Fund is in default of securities legislation in any Jurisdiction.
- G. In accordance with National Instrument 81-106 – *Investment Fund Continuous Disclosure (81-106)*, on December 15, 2020 a press release announcing the Proposed Mergers was issued, a material change report with respect to the Proposed Mergers was filed on SEDAR and Amendments to the Funds' simplified prospectus, annual information form and Fund Facts were filed on SEDAR.
- H. The Manager has received approval from its Board of Directors to proceed with the Proposed Mergers.
- I. Meetings of the unitholders of the Terminating Funds will be held on or about March 9, 2021 (the **Meetings**), with the Proposed Mergers, if approved, being completed on or about April 16, 2021 in respect of the NEI U.S. Equity Fund and NEI International Equity Fund and April 23, 2021 in respect of the remaining Terminating Funds, or such later date as may be determined by the Manager (the **Effective Date**).
- J. Pursuant to a Notice-and-Access decision¹ (the **Notice-and-Access Decision**), the Filer has obtained an exemption from the requirement in paragraph 12.2(2)(a) of NI 81-106 to send an information circular and proxy-related materials to the securityholders of each Terminating Fund and instead allows each Terminating Fund to make use of a notice-and-access process.

¹ The Manager will be relying on the notice-and-access method pursuant to *Re: Brandes Investment Partners & Co.*, 2016 CanLII 84805 (ON SEC).

- K.** The notice prescribed by the Notice-and-Access Decision (the **Notice-and-Access Document**), the form of proxy and the fund facts document(s) relating to the relevant series of the applicable Continuing Fund will be sent to securityholders of each Terminating Fund commencing on or about February 5, 2021. Additionally, the Notice-and-Access Document, form of proxy and information circular (the **Meeting Materials**) will be filed via SEDAR and posted on the Filer's website on or about February 5, 2021.
- L.** The Meeting Materials will provide securityholders of each Terminating Fund with sufficient information to permit them to make an informed decision as to whether or not to approve the Proposed Mergers, including a discussion regarding the tax implications of the Proposed Mergers and the potential benefits of the Proposed Mergers.
- M.** Unitholders of the Funds will continue to have the right to redeem units of the Funds up to the close of business on the business day immediately prior to the Effective Date.
- N.** The application was made in connection with the following Proposed Mergers:

TERMINATING FUND	CONTINUING FUND
NEI U.S. Equity Fund*	NEI U.S. Equity RS Fund*
NEI International Equity Fund*	NEI International Equity RS Fund*
NEI Select Income Portfolio	NEI Select Income RS Portfolio
NEI Select Income & Growth Portfolio	NEI Select Income & Growth RS Portfolio
NEI Select Balanced Portfolio	NEI Select Balanced RS Portfolio
NEI Select Growth & Income Portfolio	NEI Select Growth & Income RS Portfolio
NEI Select Growth Portfolio*	NEI Select Growth RS Portfolio*
NEI Select Maximum Growth Portfolio	NEI Select Maximum Growth RS Portfolio
NEI Tactical Yield Portfolio	NEI Balanced Yield Portfolio

*Tax-deferred Mergers

- O.** The Proposed Mergers do not meet the requirements in section 5.6(1) of NI 81-102 as:
- (a) in the case of the Taxable Mergers they will not be implemented as “qualifying exchanges” within the meaning of the Tax Act or as tax-deferred transactions under the Tax Act; and
 - (b) each Continuing Fund has investment objectives and strategies that are similar, but not necessarily substantially similar in all respects, to the applicable Terminating Fund.
- P.** The Taxable Mergers are proposed to proceed as a taxable merger as:
- (a) implementing the Taxable Mergers on a taxable basis will preserve any unused tax losses of a Continuing Fund, which would otherwise expire upon implementation of the Taxable Merger on a tax deferred basis and therefore would not be available to shelter income and capital gains realized by the Continuing Fund in future years; and
 - (b) the Terminating Funds have or expect to have available loss-carryforwards, capital gains refunds, and/or accrued but as of yet unrealized losses on certain portfolio holdings that should serve to reduce the aggregate potential net realized capital gains resulting from the Proposed Mergers.
- Q.** Unitholders of the Terminating Funds will be provided with information about the tax consequences of the Proposed Mergers in the Circular and will have the opportunity to consider such information prior to voting on the Proposed Mergers.
- R.** Except as noted above, the Proposed Mergers will otherwise comply with all other criteria for pre-approved reorganizations and transfers set out in section 5.6 of NI 81-102.
- S.** The Manager has determined that the Proposed Mergers do not result in a material change for the Continuing Funds.
- T.** It is proposed that the following steps will be carried out to effect each Proposed Merger:

Step 1: Before the effective date of the Proposed Merger, certain of the securities in the portfolios of the Terminating Fund will be liquidated.

Step 2: The Terminating Fund will distribute to its unitholders sufficient amounts of its net income and net realized capital gains so that it will not be subject to tax under Part I of the Tax Act for its current taxation year.

Step 3: The Terminating Fund will transfer all of its assets, which will consist of cash and/or portfolio securities less an amount required to satisfy the liabilities of the Terminating Fund, to the applicable Continuing Fund, in exchange for units of the applicable Continuing Fund.

Step 4: Immediately following the above-noted transfer, the Terminating Fund will distribute to its unitholders the units of the applicable Continuing Fund so that following the distribution, the unitholders of the Terminating Fund will become direct holders of the applicable series of units of the applicable Continuing Fund.

Step 5: As soon as reasonably possible following the Merger, the Terminating Fund will be wound up.

- U.** The Manager believes the Proposed Mergers to be in the best interests of unitholders of the Terminating Funds for the following reasons:
- (a) each Continuing Fund will have a larger net asset value following the Proposed Mergers, allowing for greater portfolio diversification opportunities, a potential for decreased amounts of assets dedicated to redemption, and a reduction in some shared transactional costs, than the Terminating Funds and Continuing Funds would enjoy separately;
 - (b) the Proposed Mergers will result in a more streamlined and simplified product line-up that is easier for investors to understand; and
 - (c) each Continuing Fund, as a result of its increased size, will benefit from a more significant profile in the marketplace.
- V.** No sales charges, redemption fees or other fees or commissions will be payable by unitholders in connection with the Proposed Mergers or with respect to any portfolio rebalancing in the Terminating Funds arising in connection with the Proposed Mergers. The costs and expenses specifically associated with the Proposed Mergers will be borne by the Manager.
- W.** Unitholders of a Terminating Fund will receive the same series of securities of the Continuing Fund as such unitholders hold in the Terminating Fund upon closing of the Proposed Merger.
- X.** The combined management and administrative fees for the relevant series of the applicable Continuing Fund are, or will as of the Effective Date be, in each case, the same as or lower than those of each Terminating Fund.
- Y.** The valuation procedures for the applicable Continuing Fund are the same as those of each Terminating Fund.
- Z.** Investors in the Terminating Funds will have the right to vote on the Proposed Mergers. Due to the redemption rights of unitholders, each unitholder ultimately can choose whether to remain in the Continuing Fund or not.
- AA.** Subsequent to the completion of the Proposed Mergers, the Terminating Funds will be wound up.
- BB.** Investors of each Terminating Fund are expected to benefit from the increased scale and operational efficiencies of the Continuing Fund, enjoying the same management fees.
- CC.** The Manager has referred the Proposed Mergers to the IRC for review, and after reasonable inquiry, the IRC has determined that the Proposed Mergers achieve a fair and reasonable result for the Terminating Funds and their unitholders. The results of the IRC's review of the Proposed Mergers will be referred to in the Circular.

Decision

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

The decision of the principal regulator under the Legislation is that the Approval Sought is granted, provided that the Manager obtains the prior approval of the unitholders of the Terminating Funds for the Proposed Mergers at a special meeting held for that purpose.

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

2.1.4 Morningstar Associates Inc.

Headnote

Pursuant to National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief from the know-your-client and suitability requirements, and the requirements to deliver account statements and investment performance reports, granted to a portfolio manager in respect of investors in a model portfolio service offered through unaffiliated mutual fund dealers and investment dealers.

Applicable Legislative Provisions

Multilateral Instrument 11-102 Passport System, s. 4.7(1).

National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss. 13.2, 13.3, 14.14, 14.14.1, 14.18 and 15.1(2).

November 12, 2020

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

AND

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

AND

IN THE MATTER OF
MORNINGSTAR ASSOCIATES INC.
(the Filer)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction (the **Legislation**) exempting the Filer from the following requirements with respect to clients invested in the Model Portfolios (as defined below):

- (a) the requirement (the **Know Your Client Requirement**) in the Legislation that the Filer take reasonable steps to:
 - (i) establish the identity of a client and, if the Filer has cause for concern, make reasonable inquiries as to the reputation of the client;
 - (ii) establish whether the client is an insider of a reporting issuer or any other issuer whose securities are publicly traded;
 - (iii) ensure that the Filer has sufficient information regarding the client's investment needs, objectives, financial circumstances and risk tolerance, among other information, to enable the Filer to meet its obligations under the Legislation to make a determination with respect to the Suitability Requirement (as defined below); and
 - (iv) keep the information described above current
(collectively, the **Know Your Client Exemption**);
- (b) the requirement (the **Suitability Requirement**) in the Legislation that the Filer take reasonable steps to ensure that, before it makes a recommendation to or accepts an instruction from a client to buy or sell a security, or makes a purchase or sale of a security for a client's account, or upon the occurrence of any other required suitability assessment event, such action is suitable for the client (the **Suitability Exemption**); and

- (c) the requirement (the **Statement Delivery Requirement**) in the Legislation that the Filer deliver account statements and investment performance reports to clients who have invested in the Model Portfolios (the **Statement Delivery Exemption**).

The Know Your Client Exemption, Suitability Exemption and the Statement Delivery Exemption are collectively referred to as the **Exemption Sought**.

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filer has provided notice that section 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon by the Filer in all of the other provinces of Canada (the **Other Jurisdictions**, and, together with Ontario, the **Canadian Jurisdictions**) in respect of the Exemption Sought.

Interpretation

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

NI 31-103 means National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*.

Representations

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

The Filer

1. The Filer is a corporation incorporated under the laws of Ontario with its head office located in Toronto, Ontario.
2. The Filer is registered under the Legislation as a portfolio manager and is also registered as a portfolio manager under the securities legislation in each of the Other Jurisdictions.
3. The Filer is not in default of securities legislation in any of the Canadian Jurisdictions.

The Model Portfolio Service

4. The Filer proposes to use its valuation and selection methodologies to construct and maintain model investment portfolios for various stated investment objectives (each a **Model Portfolio** and collectively the **Model Portfolios**).
5. Each Model Portfolio will have investment guidelines governing the acceptable minimum and maximum allocation to various asset classes within the Model Portfolio (the **Permitted Ranges**, and each, a **Permitted Range**).
6. Each Model Portfolio will be comprised exclusively of open-ended mutual funds, including exchange-traded mutual funds (**ETFs**), (collectively **Funds** and individually a **Fund**) established under the laws of a Canadian Jurisdiction and available on the platform of the Dealers, and cash and cash equivalents.
7. Each of the Funds is, or will be, a reporting issuer in one or more of the Canadian Jurisdictions, and subject to the requirements of National Instrument 81-102 *Investment Funds*.
8. The securities of each of the Funds are, or will be, qualified for distribution in one or more of the Canadian Jurisdictions pursuant to a: (a) simplified prospectus, annual information form and Fund Facts prepared and filed in accordance with National Instrument 81-101 *Mutual Fund Prospectus Disclosure*, or (b) long form prospectus and ETF Facts prepared and filed in accordance with National Instrument 41-101 *General Prospectus Requirements*.
9. The securities of each Fund that is an ETF are, or will be, listed and traded on a recognized exchange.
10. Each of the Funds is, or will be, managed by a third-party investment fund manager that is unaffiliated with the Filer. In the future, one or more of the Funds may be managed by the Filer or an affiliate of the Filer.
11. The Model Portfolios will be offered as a service (the **Service**) to investors through registered dealers that are not affiliated with the Filer and that are either registered mutual fund dealers and members of The Mutual Fund Dealers Association of Canada (**MFDA**), or registered investment dealers and dealer members of the Investment Industry Regulatory Organization of Canada (**IIROC**) (collectively **Dealers** and individually a **Dealer**).

Decisions, Orders and Rulings

12. The applicable Dealer will collect all of the required know your client (**KYC**) and suitability information for each client considering the Service. Based on an assessment of the client's KYC and suitability information, the Dealer's dealing representative will recommend a Model Portfolio for the client.
13. The client will discuss the recommended Model Portfolio and the Funds within the Model Portfolio with their Dealer's dealing representative, and the client ultimately chooses the Model Portfolio. Model Portfolios are not changed or tailored for individual Clients.
14. If the client decides to invest in a Model Portfolio, a tripartite agreement (the **Agreement**) is entered into between the client, the Dealer and the Filer in respect of the Service as described below.
15. Securities of the Funds that comprise each Model Portfolio will be distributed through the Dealers to clients and will be held either directly by each client in his/her own account(s) established with the Dealer, or in the case of nominee accounts, in the Dealer's name, in trust for the client.
16. Clients will have no direct contact with the Filer in connection with the Filer's management of the Model Portfolios and will interact solely with their Dealer and approved persons of their Dealer in connection with the Filer's management of the Model Portfolios and the Dealer's administration of its accounts.
17. Each Dealer has the option of imposing a minimum investment amount for clients to participate in the Service, and the minimum investment amount for different Dealers may vary.
18. The Dealer will be responsible for gathering and periodically updating KYC information concerning the client and confirming, on at least an annual basis, the suitability of the Model Portfolio for the client.
19. Where a Dealer determines that a Model Portfolio is no longer appropriate for the client or that a different Model Portfolio would be more appropriate for the client, this will be communicated to the Filer and the client by the Dealer, and the Dealer will take appropriate action. A change to a different Model Portfolio will not be made without the client entering into a new Agreement in respect of the new Model Portfolio.
20. A client may terminate the Service at any time by instructing the Dealer to redeem or switch the client's investment out of the Funds. The Dealer and the Filer can terminate the Service under the conditions set out in the Agreement.

Monitoring, Service Trades and Additional Investment Trades

21. The Filer will oversee and monitor each Model Portfolio to ensure it remains in compliance with its stated investment objective and investment guidelines at all times and to determine whether any changes to the composition of the Model Portfolio or Permitted Ranges would be appropriate.
22. As part of the Service, provided that the Model Portfolio remains consistent with its stated investment objective at all times, the Filer may, from time to time, use its discretion to make decisions regarding certain changes to the holdings of a Model Portfolio within the Permitted Ranges (the **Optimization Changes**).
23. As part of the Service, provided that the client is given at least 60 days' advance written notice (the **Written Notice**) and the Model Portfolio remains consistent with its stated investment objective at all times, the Filer may also, from time to time, use its discretion to make decisions regarding certain changes to the Permitted Ranges (the **Weighting Changes**).
24. The Written Notice will describe the proposed Weighting Change and specify that if the client does not provide his or her objection to the proposed Weighting Change by a specified date, this non-objection will be deemed to be consent for the change on the effective date.
25. The Optimization Changes and Weighting Changes to Model Portfolios that are determined from time to time by the Filer will be communicated by the Filer to the Dealers in writing and will be effected in a client's account by the relevant Dealer through the following types of trades:
 - (a) purchase of securities to increase holdings of an existing Fund in a Model Portfolio (the **Increase Trades**);
 - (b) sale of securities to decrease holdings of an existing Fund in a Model Portfolio (the **Decrease Trades**);
 - (c) purchase of securities to add a new Fund to a Model Portfolio (the **New Fund Trades**); and
 - (d) sale of securities to remove an existing Fund from a Model Portfolio (the **Fund Removal Trades**, and together with the Increase Trades, Decrease Trades and New Fund Trades, the **Service Trades**).
26. In each case, the Dealer will confirm receipt of the Filer's instructions and will provide written confirmation to the Filer that the Service Trades have been effected in accordance with the Filer's instructions in the applicable client accounts.

Decisions, Orders and Rulings

27. A client may, from time to time, contribute additional funds to the client's account with a Dealer for investment in the selected Model Portfolio through the Service. Such additional funds will be applied towards the purchase of additional securities of the Funds in accordance with the Permitted Ranges (the **Additional Investment Trades**). All Additional Investment Trades will be effected by the relevant Dealer.
28. Dealers will not have discretionary authority to participate in the management of the Model Portfolios or to recommend Optimization Changes or Weighting Changes.

Fees and Expenses

29. Each client pays the Dealer a negotiated fee for the Service that is calculated as a percentage of the market value of the client's investment in the Service. Independent of the Service, each client also negotiates a separate fee for the services of their Dealer's dealing representative.
30. The Filer's fee for managing the Model Portfolios may vary from Dealer to Dealer, and is calculated based on the aggregate amount of assets held in Model Portfolios by all the Dealer's clients. This fee is paid by the Dealer and included in the service fee that the client pays to the Dealer.
31. The Model Portfolios will be comprised of institutional series units of Funds that are not ETFs, and regular units of Funds that are ETFs. The management fees for institutional series units of Funds that are not ETFs will be charged outside the Funds and are negotiable with the applicable Fund manager. The Dealer is responsible for negotiating the management fees for these Funds and these management fees will be included in the negotiated service fee that each client pays the Dealer. Certain institutional series of Funds that are not ETFs have operating expenses that will be charged within the Funds. The management fees and operating expenses for ETFs will be charged within the ETFs.
32. There will be no duplication of any fees or charges as a result of a client's decision to use the Service.
33. For Model Portfolios comprised of Funds that are not ETFs, there will be no separate fees, such as sales charges, redemption fees, switch fees or early trading fees, charged in connection with the Service Trades.
34. For Model Portfolios comprised of Funds that are ETFs, there will be no separate fees, such as sales charges, redemption fees, switch fees or early trading fees, charged in connection with the Service Trades except for brokerage fees (also known as trading or transaction fees) charged by the Dealer for each Service Trade, if any, which will be charged to each client on a proportional basis.

Agreement among the Filer, the Dealer and the Client and Client Reporting

35. The Agreement entered into among the Filer, the Dealer and each client in respect of the Service will set out, among other matters, the following:
 - (a) the name, investment objective and Permitted Ranges of the selected Model Portfolio, and the names of the underlying Funds that form part of the selected Model Portfolio at the time the Agreement is entered into;
 - (b) the role, duties and responsibilities of the Filer, including:
 - (i) that the client authorizes the Filer to manage the client's investments on a discretionary basis in accordance with the terms of the Model Portfolio selected by the client and without reference to the client's circumstances;
 - (ii) that the Filer has the discretion to make Optimization Changes, provided the Model Portfolio remains consistent with its stated investment objective and the Permitted Ranges;
 - (iii) that the Filer has the discretion to recommend Weighting Changes, provided the Client is given at least 60 days' advance written notice and does not object and the Model Portfolio remains consistent with its stated investment objective;
 - (c) the role, duties and responsibilities of the Dealer, including:
 - (i) that the Dealer will be solely responsible for gathering and periodically updating KYC information concerning the client and confirming, on at least an annual basis, the suitability of the selected Model Portfolio for the client;
 - (ii) that the Dealer will not have discretionary authority to participate in the management of the Model Portfolio or to recommend Optimization Changes or Weighting Changes;

- (iii) that the Dealer is responsible for effecting all trades for the client associated with the Service, including the Service Trades;
 - (iv) that the Dealer is responsible for providing the client with all required reporting under the Legislation in connection with the Service, including trade confirmations, account statements and investment performance reports;
 - (d) a description of all fees and expenses payable by a client in respect of an investment in a Model Portfolio, including those charged directly to a client in respect of the Service and those charged in respect of an investment in the Funds through the Service, as well as confirmation that there will be no duplication of any fees or charges as a result of the client's decision to use the Service, as described in paragraphs 29 to 34 above;
 - (e) a statement that the Filer's fee, which is paid by the Dealer and included in the service fee that the client pays to the Dealer, is calculated based on the aggregate amount of assets held in Model Portfolios by all the Dealer's clients, and that it may vary from Dealer to Dealer;
 - (f) how the Service may be terminated.
36. The Dealer will provide a copy of the Agreement to the client and be responsible for ensuring that the client understands the Service and the topics covered in the Agreement.
37. The Dealer will reflect the Service Trades and Additional Investment Trades in each client's account(s) on the next business day following such trades, subject to technological limitations.
38. Clients will be able to access their accounts via Dealer online access on a daily basis.
39. Fund Facts and ETF Facts will be delivered to each client by the Dealer as required by the Legislation, subject to any applicable exemption.
40. Trade confirmations for every transaction in a client's account, including Service Trades, will be provided to the client by the Dealer in accordance with the requirements under the Legislation.
41. The Dealer will send account statements and investment performance reports to each client in the Service in accordance with the requirements under the Legislation.
42. The Dealer will provide each client in the Service with an annual tax reporting package.

Exemption Sought

43. In the absence of the Exemption Sought, the Filer would be required:
- (a) to gather and update the information contemplated by the Know Your Client Requirement in section 13.2 of NI 31-103 for each client in the Service;
 - (b) to ensure that each Service Trade is suitable for each client in the Service in accordance with the Suitability Requirement in section 13.3 of NI 31-103, rather than invested in accordance with the terms of the client's Model Portfolio; and
 - (c) to deliver account statements and investment performance reports to clients who have invested in the Model Portfolios in accordance with the Statement Delivery Requirement in sections 14.14, 14.14.1 and 14.18 of NI 31-103.
44. The Dealers do not require an exemption from the adviser registration requirement under the Legislation as a result of their involvement with the Service as they will not be engaged in providing discretionary management advice to clients in connection with the management of the Model Portfolios and will be effecting the Service Trades in accordance with the Filer's instructions, without exercising any discretion.

Decision

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

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

- (a) the Filer is, at the time of each Service Trade, registered under the Legislation as an adviser in the category of portfolio manager;

- (b) each Service Trade is made in accordance with the terms of the selected Model Portfolio;
- (c) each client in the Service is informed in writing in the Agreement or otherwise:
 - (i) of the roles, duties and responsibilities of the Filer and the Dealer, including that:
 - a. the Filer will manage the Model Portfolios without reference to the client's circumstances and only in accordance with the terms of the Model Portfolio selected by the client;
 - b. the Dealer will be solely responsible for gathering and periodically updating KYC information concerning the client and confirming, on at least an annual basis, the suitability of the selected Model Portfolio for the client;
 - (ii) that the client will receive account statements and performance reports from the Dealer, and will not receive account statements and performance reports from the Filer;
- (d) the Filer will adopt, maintain and apply policies and procedures designed to provide reasonable assurance that each Dealer complies with its KYC and suitability obligations with respect to each client in the Service, including requiring that:
 - (i) the Dealer not market and sell the Model Portfolios through an order-execution-only, suitability-exempt channel;
 - (ii) the Dealer notify the Filer of each instance where a Model Portfolio is sold to a client on the basis of a client-directed trade as contemplated in section 13.3 of NI 31-103 and similar provisions under IIROC or MFDA rules;
 - (iii) the Dealer be responsible for gathering and periodically updating KYC information concerning the client and confirming, on at least an annual basis, the suitability of the selected Model Portfolio for each client, and
 - (iv) the Dealer, on an annual basis, no later than 30 days after the end of the calendar year, provide a certificate to the Filer that the Dealer has complied with its KYC and suitability obligations with respect to each client in the Service.
- (e) the Filer will adopt, maintain and apply policies and procedures designed to provide reasonable assurance that each Dealer complies with the client reporting obligations under the rules of the MFDA or IIROC, as applicable, in respect of clients in the Service, including requiring that the Dealer, on an annual basis, no later than 30 days after the end of the calendar year, provide a certificate to the Filer that:
 - (i) the Dealer has complied with its client reporting obligations under the rules of the MFDA or IIROC, as applicable, and
 - (ii) the Dealer has performed and documented sample testing and reconciliations to provide reasonable assurance that account statements and investment performance reports delivered to clients are complete, accurate and delivered on a timely basis in a format that is compliant with the rules of the MFDA or IIROC, as applicable.
- (f) the Filer will adopt, maintain and apply policies and procedures designed to provide reasonable assurance that each Dealer complies with its obligations in respect of all trading for clients in connection with the Service, including requiring that the Dealer, on an annual basis, no later than 30 days after the end of the calendar year, provide a certificate to the Filer that:
 - (i) the Dealer has effected all trades for clients in connection with the Service, including all Additional Investment Trades, in accordance with the selected Model Portfolios, and
 - (ii) the Dealer has effected all Service Trades in accordance with the Filer's written instructions in the applicable client accounts.
- (g) the Filer has a written agreement in place with each Dealer concerning their respective roles, duties and responsibilities to clients in respect of the Service.

"Felicia Tedesco"
Deputy Director, Compliance and Registrant Regulation Branch
Ontario Securities Commission

2.2 Orders

2.2.1 Miner Edge Inc. et al.

File No. 2019-44

**IN THE MATTER OF
MINER EDGE INC.,
MINER EDGE CORP. and
RAKESH HANDA**

Lawrence P. Haber, Commissioner and Chair of the Panel

December 17, 2020

ORDER

WHEREAS on December 17, 2020, the Ontario Securities Commission held a hearing by teleconference to consider a request by Staff of the Commission (**Staff**) for an adjournment of the merits hearing in this proceeding, previously set by order of the Commission dated July 15, 2020;

ON HEARING the submissions of the representatives for Staff and for Miner Edge Inc., Miner Edge Corp. and Rakesh Handa, and on considering the parties consent to the making of this order;

IT IS ORDERED THAT:

1. the hearing dates of February 1, 2021 and March 1, 3, 4, 5, 8, 10, 11, 12, 15 and 17, 2021 are vacated;
2. each party shall serve the other party with a hearing brief containing copies of the documents, and identifying the other things, that the party intends to produce or enter as evidence at the merits hearing by no later than May 4, 2021;
3. each party shall file a completed copy of the *E-hearing Checklist for Videoconference Hearings* by no later than May 7, 2021;
4. a further attendance in this proceeding is scheduled for May 14, 2021 at 10:00 a.m., by teleconference, or on such other date and time as may be agreed to by the parties and set by the Office of the Secretary;
5. each party shall provide to the Registrar the electronic documents that the Party intends to rely on or enter into evidence at the merits hearing, along with an Index File, in accordance with the *Protocol for E-hearings*, by no later than June 7, 2021; and
6. the merits hearing shall take place by videoconference and commence on June 15, 2021 at 10:00 a.m. and continue on June 16, 17, 18, 21, 22, 23, 24, 25 and 28, 2021 at 10:00 a.m. on each day, or on such other dates and times as may be agreed to by the parties and set by the Office of the Secretary.

“Lawrence P. Haber”

2.2.2 David Randall Miller

File No. 2019-48

**IN THE MATTER OF
DAVID RANDALL MILLER**

Wendy Berman, Vice-Chair and Chair of the Panel

December 17, 2020

ORDER

WHEREAS on December 16, 2020, the Ontario Securities Commission held a hearing by teleconference;

ON HEARING the submissions of the representatives for Staff of the Commission and for the respondent, David Randall Miller, and on considering a joint request for an adjournment of the hearing on the merits, and the parties' consent to the making of this order;

IT IS ORDERED THAT:

1. the merits hearing scheduled to begin on January 18, 2021 is adjourned;
2. the merits hearing shall take place by videoconference and commence on May 28, 2021, at 10:00 a.m., and continue on May 31, June 3, 4, 7, 9, 10 and 11, 2021, at 10:00 a.m. on each day, or on such other dates and times as may be agreed to by the Parties and set by the Office of the Secretary;
3. each Party shall serve the other Party with a hearing brief containing copies of the documents, and identifying the other things, that the Party intends to produce or enter as evidence at the merits hearing, by no later than April 19, 2021;
4. each Party shall provide to the Registrar a completed copy of the *E-hearing Checklist for Videoconference Hearings* by no later than 4:30 p.m. on April 23, 2021;
5. each Party shall provide to the Registrar the electronic documents that the Party intends to rely on or enter into evidence at the merits hearing, along with an index file containing hyperlinks to the documents in the hearing brief, in accordance with the *Protocol for E-hearings*, by no later than 4:30 p.m. on May 21, 2021; and
6. a further attendance in this proceeding is scheduled for April 28, 2021, by teleconference, at 10:00 a.m., or on such other date and time as may be agreed to by the Parties and set by the Office of the Secretary.

“Wendy Berman”

2.2.3 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 144, 147

Headnote

Application for revocation under s. 144 of Securities Act and for interim exemptions from recognition as exchanges under s. 21(1) of Act pursuant to section 147 of Act – interim relief granted to BTFL and BV – subject to terms and conditions.

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

AND

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED
(BTFL)**

AND

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY B.V.
(BV)**

**ORDER
(Sections 144 and 147 of the Act)**

WHEREAS BTFL is authorized by the U.K. Financial Conduct Authority, a financial regulatory body in the United Kingdom, to act as the operator of a multilateral trading facility (MTF), specifically BMTF;

AND WHEREAS BV is authorized by the Netherlands Authority for the Financial Markets (*Autoriteit Financiële Markten*) as an investment firm with permission to operate an MTF, specifically BTFE;

AND WHEREAS BTFL and BV (together, the **Applicants**) have participants located in Ontario;

AND WHEREAS an MTF that allows access by Ontario participants is considered by the Ontario Securities Commission (**Commission**) to be carrying on business as an exchange in Ontario;

AND WHEREAS on December 22, 2017, the Commission issued an interim order under section 147 of the Act exempting BTFL on an interim basis from the requirement in subsection 21(1) of the Act to be recognized as an exchange (**Interim Order**);

AND WHEREAS on December 14, 2018, the Commission issued an order varying the termination date of the Interim Order (**First Variation Order**);

AND WHEREAS on June 27, 2019, the Commission issued a second order varying the termination date of the Interim Order (**Second Variation Order**);

AND WHEREAS on December 13, 2019, the Commission issued a third order varying the termination date of the Interim Order (**Third Variation Order**);

AND WHEREAS the Interim Order, as varied by the First Variation Order, the Second Variation Order, and the Third Variation Order will terminate on the earlier of (i) December 31, 2020 and (ii) the effective date of a subsequent order exempting BTFL from the requirement to be recognized as an exchange under section 21(1) of the Act, unless further extended by order of the Commission;

AND WHEREAS the Interim Order and all subsequent variations contained a condition that BTFL not provide access to Ontario participants to trading in products other than swaps, as defined in section 1a(47) of the United States Commodity Exchange Act, as amended, without prior Commission approval;

AND WHEREAS pursuant to the terms of a settlement agreement approved by the Commission on December 18, 2020 (the **Settlement Agreement**), BTFL admitted that it breached Ontario securities laws by, among other things failing to prevent, or otherwise permitting, trading in fixed income securities by Ontario participants in contravention of the terms of the Interim Order and subsequent variations of the Interim Order;

AND WHEREAS pursuant to the terms of the Settlement Agreement, BV admitted it breached Ontario securities laws by, among other things, failing to prevent, or otherwise permitting, trading by Ontario participants without being recognized as an exchange by the Commission or obtaining an exemption from the requirement to be recognized;

AND WHEREAS pursuant to the terms of the Settlement Agreement, the Applicants have been ordered to:

1. Each conduct an internal review of their compliance practices and procedures relating to ensuring compliance with Ontario securities laws, and institute any necessary changes in accordance with the process set forth in Schedule “A” to the Settlement Order, pursuant to paragraph 4 of subsection 127(1) of the Act;
2. Disgorge to the Commission amounts obtained as a result of non-compliance with Ontario securities law in the amount of \$663,305.20, pursuant to paragraph 10 of subsection 127(1) of the Act;
3. Pay an administrative penalty in the amount of \$2,506,011.80, pursuant to paragraph 9 of subsection 127(1) of the Act; and
4. Bring themselves into compliance with Ontario securities law by submitting an application with the Commission, pursuant to sections 144 and 147 of the Act, requesting that the Interim Order be revoked and restated to exempt BTFL and BV on an interim basis from the requirement in subsection 21(1) of the Act to be recognized as an exchange and to allow for the trading of swaps and fixed income securities, provided that applications for Subsequent Decisions (as defined below) for each of the Applicants are filed by January 31, 2021;

AND WHEREAS the MTFs operated by the Applicants are important sources of liquidity to Ontario participants for derivatives and fixed income securities;

AND WHEREAS requiring the MTFs operated by the Applicants to cease operating prior to the issuance of Subsequent Decisions could potentially burden Ontario participants and disrupt the capital markets;

AND WHEREAS the Applicants have submitted applications dated December 14, 2020 pursuant to sections 144 and 147 of the Act (the **Applications**) requesting that the Interim Order be revoked and restated to exempt BTFL and BV on an interim basis from the requirement in subsection 21(1) of the Act to be recognized as an exchange and to allow for the trading of swaps and fixed income securities (the **Restated Order**);

AND WHEREAS the products traded on the Applicants' MTFs, BMTF and BTFE, are not commodity futures contracts as defined in the *Commodity Futures Act* (Ontario) and the Applicants are not considered to be carrying on business as commodity futures exchanges in Ontario;

AND WHEREAS each of the Applicants is required under the Settlement Agreement to file a full application for subsequent decisions to allow for the trading of swaps and fixed income securities by January 31, 2021 (the **Subsequent Decisions**);

AND WHEREAS as part of the application or filings for the Subsequent Decisions, the Applicants must include a request for the registration and authorization of a Canadian affiliate as an alternative trading system, as that term is defined in National Instrument 21-101 *Marketplace Operation*;

AND WHEREAS pursuant to the Settlement Agreement, the Applications, and the representations made by the Applicants to the Commission, the Commission has determined that the granting of the Restated Order would not be prejudicial to the public interest;

IT IS HEREBY ORDERED by the Commission that

1. Pursuant to section 144 of the Act, the Interim Order is hereby revoked.
2. Pursuant to section 147 of the Act, BTFL is exempt from recognition as an exchange under subsection 21(1) of the Act to operate BMTF, provided that
 - (a) BTFL complies with the terms and conditions contained in Schedule "A"; and
 - (b) BTFL files an application for a Subsequent Decision by January 31, 2021.
3. Pursuant to section 147 of the Act, BV is exempt from recognition as an exchange under subsection 21(1) of the Act to operate BTFE, provided that
 - (a) BV complies with the terms and conditions contained in Schedule "A"; and

- (b) BV files an application for a Subsequent Decision by January 31, 2021.

4. For each of BTFL or BV, this Order shall terminate on the earlier of (i) June 30, 2021 and (ii) the effective date of the Subsequent Decisions in respect of BTFL or BV, as the case may be.

DATED December 18, 2020

"Frances Korodyback"

"Cecilia Williams"

SCHEDULE “A”

TERMS AND CONDITIONS

Regulation and Oversight of the Applicants

1. The Applicants will maintain their registration, in the case of BTFL, as a multilateral trading facility (**MTF**) with the U.K. Financial Conduct Authority (the **FCA**), and, in the case of BV, as an investment firm with permission to operate an MTF with the Netherlands Authority for the Financial Markets (*Autoriteit Financiële Markten*) (the **AFM**).
2. BTFL will continue to be subject to the regulatory oversight of the FCA.
3. BV will continue to be subject to the regulatory oversight of the AFM.
4. The Applicants will continue to comply with the ongoing requirements applicable to them as MTFs registered with the FCA and AFM.
5. The Applicants will promptly notify the Commission if their registration as MTFs has been revoked, suspended, or amended by the FCA or AFM, as applicable, or the basis on which their registration as MTFs has been granted has significantly changed.
6. The Applicants must do everything within their control, which includes cooperating with the Commission as needed, to carry out their activities as exchanges exempted from recognition under subsection 21(1) of the Act in compliance with Ontario securities law.

Access

7. The Applicants will not provide direct access to a participant in Ontario (**Ontario User**) unless the Ontario User is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements.
8. For each Ontario User provided direct access to its MTF, each Applicant will require, as part of its application documentation or continued access to the MTF, the Ontario User to represent that it is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements.
9. The Applicants may reasonably rely on a written representation from the Ontario User that specifies either that it is appropriately registered as applicable under Ontario securities laws or is exempt from or not subject to those requirements, provided the Applicant notifies such Ontario User that this representation is deemed to be repeated each time it enters an order, request for quote or response to a request for quote or otherwise uses the Applicants' MTFs.

10. The Applicants will require Ontario Users to notify the Applicants if their registration as applicable under Ontario securities laws has been revoked, suspended, or amended by the Commission or if they are no longer exempt from or become subject to those requirements and, following notice from the Ontario User and subject to applicable laws, the Applicants will promptly restrict the Ontario User's access to the Applicants if the Ontario User is no longer appropriately registered or exempt from those requirements.
11. The Applicants must make available to Ontario Users appropriate training for each person who has access to trade on the Applicants' facilities.

Trading by Ontario Users

12. The Applicants will not provide access to an Ontario User to trading in any products other than swaps, as defined in section 1a(47) of the United States Commodity Exchange Act as amended (but without regard to any exclusions from the definition), or fixed income securities without prior Commission approval.

Submission to Jurisdiction and Agent for Service

13. With respect to a proceeding brought by the Commission arising out of, related to, concerning or in any other manner connected with the Commission's regulation and oversight of the activities of the Applicants in Ontario, the Applicants will submit to the non-exclusive jurisdiction of (i) the courts and administrative tribunals of Ontario and (ii) an administrative proceeding in Ontario.
14. The Applicants will maintain with the Commission a valid and binding appointment of an agent for service in Ontario upon whom the Commission may serve a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding arising out of, related to, concerning or in any other manner connected with the Commission's regulation and oversight of the Applicants' activities in Ontario.

Disclosure

15. The Applicants will provide to its Ontario Users disclosure that:
 - a. rights and remedies against the Applicants may only be governed by the laws of the United States (**U.S.**), as applicable, rather than the laws of Ontario and may be required to be pursued in the U.S., as applicable, rather than in Ontario; and
 - b. the rules applicable to trading on the Applicants may be governed by the laws of the U.S., United Kingdom, or the Netherlands, rather than the laws of Ontario.

Prompt Reporting

16. The Applicants will notify staff of the Commission promptly of:
- a. any material change to their businesses or operations or the information provided in the Application, including, but not limited to material changes:
 - i. to the regulatory oversight by the FCA and AFM, as applicable;
 - ii. the corporate governance structure of the Applicants;
 - iii. the access model, including eligibility criteria, for Ontario Users;
 - iv. systems and technology; and
 - v. the clearing and settlement arrangements for the Applicants;
 - b. any condition or change in circumstances whereby the Applicants are unable or anticipates they will not be able to continue to meet any of the relevant rules and regulations of the FCA or AFM, as applicable;
 - c. any known investigations of, or any disciplinary action against the Applicants by the FCA, AFM, or any other regulatory authority to which they are subject;
 - d. any matter known to the Applicants that may materially and adversely affect their financial or operational viability, including, but not limited to, any declaration of an emergency pursuant to the Applicants' rules;
 - e. any default, insolvency, or bankruptcy of a participant of the Applicants known to the Applicants or its representatives that may have a material, adverse impact upon the Applicants; and
 - f. any material systems outage, malfunction or delay.
17. The Applicants will promptly provide staff of the Commission with the following information to the extent it is required to provide to or file such information with the FCA or AFM:
- a. details of any material legal proceeding instituted against the Applicants;
 - b. notification that the Applicants have instituted a petition for a judgment of bankruptcy or insolvency or similar relief, or to wind up or liquidate the Applicants or has a proceeding for any such petition

instituted against them; and

- c. the appointment of a receiver or the making of any voluntary arrangement with creditors.

Quarterly Reporting

18. The Applicants will maintain the following updated information and submit such information in a manner and form acceptable to the Commission on a quarterly basis (within 30 days of the end of each calendar quarter), and at any time promptly upon the request of staff of the Commission:
- a. a current list of all Ontario Users and whether the Ontario User is registered under Ontario securities laws or is exempt from or not subject to registration, and, to the extent known by the Applicants, other persons or companies located in Ontario trading on the Applicants' MTFs as customers of participants (Other Ontario Participants);
 - b. the legal entity identifier assigned to each Ontario User, and, to the extent known by the Applicants, to Other Ontario Participants in accordance with the standards set by the Global Legal Entity Identifier System;
 - c. a list of all Ontario Users whom the Applicants have referred to the FCA or AFM, as applicable, or, to the best of the Applicants' knowledge, whom have been disciplined by the FCA or AFM, as applicable, with respect to such Ontario Users' activities on the Applicants' MTFs and the aggregate number of all participants referred to the FCA and/or the AFM, as applicable in the last quarter by the Applicants;
 - d. a list of all active investigations during the quarter by the Applicants relating to Ontario Users and the aggregate number of active investigations during the quarter relating to all participants undertaken by the Applicants;
 - e. a list of all Ontario applicants for status as a participant who were denied such status or access to the Applicants during the quarter, together with the reasons for each such denial;
 - f. a list of all additions, deletions, or changes to the products available for trading since the prior quarter;
 - g. for each product,
 - h. the total trading volume and value originating from Ontario Users, and, to the

extent known by the Applicants, from Other Ontario Participants, presented on a per Ontario User or per Other Ontario Participant basis; and

- i. the proportion of worldwide trading volume and value on the Applicants conducted by Ontario Users, and, to the extent known by the Applicants, by Other Ontario Participants, presented in the aggregate for such Ontario Users and Other Ontario Participants;
- j. provided in the required format; and
- k. a list outlining each material incident of a security breach, systems failure, malfunction, or delay (including cyber security breaches, systems failures, malfunctions or delays reported under section 15(g) of this Schedule) that occurred at any time during the quarter for any system relating to trading activity, including trading, routing or data, specifically identifying the date, duration and reason, to the extent known or ascertainable by the Applicants, for the failure, malfunction or delay, and noting any corrective action taken.

Information Sharing

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

2.2.4 George Weston Limited – s. 6.1 of NI 62-104

Headnote

Section 6.1 of NI 62-104 – Issuer bid – relief from requirements applicable to issuer bids in Part 2 of NI 62-104 – issuer proposes to repurchase 1,300,000 of its common shares at a discount to market price from a related party – the subject shares represent less than 1% of the issuer’s outstanding shares – the repurchase is an exempt related party transaction under MI 61-101 – selling shareholder is not able to sell shares into the market and is required to restrict sales to persons that are related to it or else put the tax-deferred nature of the butterfly reorganization at risk, to the detriment of the issuer and all other shareholders – repurchase was reviewed, negotiated and unanimously approved by issuer’s independent directors with the support of a financial advisor – shares are highly liquid securities and the purchase price will be at a discount to the prevailing market price of the shares so other shareholders will be able to sell their shares in the market at a higher price than what the selling shareholder is receiving from the issuer – share repurchase is exempt from the requirements applicable to issuer bids in Part 2 of NI 62-104, subject to conditions, including that, the repurchase is announced at least two clear trading days before it is completed so that the purchase price takes into account any changes in the market price following announcement of the repurchase.

Statutes Cited

National Instrument 62-104 Take-Over Bids and Issuer Bids, Part 2 and s. 6.1.

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

AND

**IN THE MATTER OF
GEORGE WESTON LIMITED**

ORDER

(Section 6.1 of National Instrument 62-104)

UPON the application (the “**Application**”) of George Weston Limited (“**GWL**”) to the Ontario Securities Commission (the “**Commission**”) for an order of the Commission pursuant to section 6.1 of National Instrument 62-104 *Take-Over Bids and Issuer Bids* (“**NI 62-104**”) exempting GWL from the requirements applicable to issuer bids in Part 2 of NI 62-104 (the “**Issuer Bid Requirements**”) in respect of the proposed purchase by GWL of 1,300,000 of GWL’s common shares (the “**Subject Shares**”) in one trade executed following the close of markets on December 21, 2020 (the “**GWL Transaction**”) from 1283837 Ontario Limited, an entity controlled by W. Galen Weston (the “**Weston Entity**”, and together with the other entities controlled by W. Galen Weston, the “**Weston Control Group**”);

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

AND UPON GWL (and the Weston Control Group in respect of paragraphs 6, 7, 13, 15, 16, 17, 21, and 31, as they relate to the Weston Entity or the Weston Control Group) having represented to the Commission that:

1. GWL is a corporation existing under the *Canada Business Corporations Act* and is in good standing.
2. The registered and head office of GWL is located at 22 St. Clair Avenue East, Suite 700, Toronto, Ontario, Canada, M4T 2S5.
3. GWL is a reporting issuer in each of the provinces and territories of Canada, and is not in default of any requirements under applicable securities legislation or the rules and regulations made pursuant thereto in the jurisdictions in which it is a reporting issuer.
4. The authorized share capital of GWL consists of an unlimited number of common shares (the "**GWL Shares**"), up to 10,000,000 preferred shares, series I ("**GWL Series I Preferred Shares**"), up to 10,600,000 preferred shares, series II ("**GWL Series II Preferred Shares**"), up to 10,000,000 preferred shares, series III ("**GWL Series III Preferred Shares**"), up to 8,000,000 preferred shares, series IV ("**GWL Series IV Preferred Shares**"), and up to 8,000,000 preferred shares, series V ("**GWL Series V Preferred Shares**"). As of December 7, 2020, there were 153,670,563 GWL Shares, 9,400,000 Series I Preferred Shares, no Series II Preferred Shares, 8,000,000 Series III Preferred Shares, 8,000,000 Series IV Preferred Shares, and 8,000,000 Series V Preferred Shares issued and outstanding.
5. The GWL Shares, GWL Series I Preferred Shares, GWL Series III Preferred Shares, GWL Series IV Preferred Shares, and GWL Series V Preferred Shares are listed on the Toronto Stock Exchange (the "**TSX**") under the symbols "WN", "WN.PR.A", "WN.PR.C", "WN.PR.D", and "WN.PR.E", respectively.
6. W. Galen Weston is the controlling shareholder of GWL. As of December 7, 2020, the Weston Control Group beneficially owned or had control or direction over an aggregate of 81,706,054 GWL Shares (which include the Subject Shares), representing approximately 53.2% of the issued and outstanding GWL Shares. All of the Subject Shares are held by the Weston Entity in the Province of Ontario.
7. GWL is the controlling shareholder of Loblaw Companies Limited ("**Loblaw**"). As of December 7, 2020, GWL was the beneficial owner of an aggregate of 184,020,849 common shares of Loblaw (the "**Loblaw Shares**"), representing approximately 52.2% of the issued and outstanding Loblaw Shares. Through his control of GWL, W. Galen Weston also controls Loblaw.
8. Pursuant to a "Notice of Intention to Make Normal Course Issuer Bid" dated May 21, 2020 that was filed with, and accepted by, the TSX, GWL is permitted to make purchases of up to 7,683,528 GWL Shares, representing approximately 5% of outstanding GWL Shares as at the date specified in the notice, pursuant to a normal course issuer bid (the "**GWL NCIB**") during the 12-month period beginning on May 25, 2020 and ending on May 24, 2021. As at December 7, 2020, no GWL Shares have been acquired under the GWL NCIB.
9. To the best of GWL's knowledge, as of December 7, 2020, the "public float" for the GWL Shares represented approximately 46.5% of all issued and outstanding GWL Shares for purposes of the TSX rules governing normal course issuer bids (the "**TSX NCIB Rules**").
10. The GWL Shares are "highly-liquid securities" within the meaning of section 1.1 of Commission Rule 48-501 *Trading during Distributions, Formal Bids and Share Exchange Transactions* ("**Rule 48-501**") and section 1.1 of the Universal Market Integrity Rules ("**UMIR**").
11. On November 1, 2018, Loblaw spun out its approximate 61.6% effective interest in Choice Properties Real Estate Investment Trust ("**Choice REIT**") by way of a butterfly reorganization (the "**Butterfly Reorganization**"). In connection with the Butterfly Reorganization, holders of Loblaw Shares (the "**Loblaw Shareholders**") other than GWL received 0.135 of a GWL Share for each Loblaw Share held, which was equivalent to the market value of their pro rata interest in Choice REIT, and GWL received Loblaw's approximate 61.6% effective interest in Choice REIT.
12. The Butterfly Reorganization was the only form of spin-out that could be implemented on a basis that was tax efficient for both Loblaw and its Canadian shareholders. At the time of announcement of the Butterfly Reorganization, Loblaw's interest in Choice REIT had an embedded deferred liability for Canadian income tax purposes in an amount of approximately \$640 million. Had Loblaw spun-out, or directly distributed, its interest in Choice REIT to all Loblaw Shareholders, Loblaw would have triggered that entire tax liability for itself, to the detriment of Loblaw Shareholders in an implied amount of approximately \$1.70 per Loblaw Share. In addition, such a direct distribution would generally have been taxable to Loblaw Shareholders as a dividend.
13. The Weston Control Group has indicated to GWL that it wishes to sell 1,300,000 Subject Shares held by the Weston Entity. The Weston Control Group confirmed that these sales are part of an internal reorganization of W. Galen Weston's holdings and that the Weston family intends to maintain its control position in GWL.

14. The Subject Shares represent approximately 0.85% of the issued and outstanding GWL Shares as at December 7, 2020.
15. The Weston Control Group has also indicated to Loblaw that it wishes to sell 3,269,208 Loblaw Shares held by the Weston Entity as part of an internal reorganization of W. Galen Weston's holdings. Loblaw has also made an application to the Commission for an order of the Commission pursuant to section 6.1 of NI 62-104 exempting Loblaw from the Issuer Bid Requirements in respect of the proposed purchase by Loblaw of 3,269,208 Loblaw Shares from the Weston Entity on substantially the same terms as the GWL Transaction.
16. For the purposes of the "butterfly" rules in section 55 of the *Income Tax Act* (the "**Tax Act**"), if a "specified shareholder" (for the purposes of those rules) sells GWL Shares or Loblaw Shares to an unrelated person or partnership in certain circumstances, this could cause the Butterfly Reorganization to become taxable to GWL and Loblaw and each of them would be liable for a substantial amount of tax. The members of the Weston Control Group, including the Weston Entity, are "specified shareholders" for the purposes of the "butterfly" rules in section 55 of the Tax Act.
17. The Weston Entity could effect the sale of the Subject Shares in the open market in reliance on the exemption for a trade by a control person provided in National Instrument 45-102 *Resale of Securities* (the "**NI 45-102 Exemption**"). However, as a result of the Butterfly Reorganization and in order to not put the tax-deferred nature of the Butterfly Reorganization at risk, the Weston Entity is unable to sell the Subject Shares into the market and must restrict sales to persons that are related to it. Accordingly, the NI 45-102 Exemption is not available to facilitate the sale of the Subject Shares. As the only practical alternative, the Weston Control Group approached GWL to ask GWL to consider repurchasing the Subject Shares.
18. The GWL Transaction will be executed at a price that is 97% of the lesser of: (a) the volume weighted average price (the "**VWAP**") of the GWL Shares on the TSX for the 20 trading days immediately prior to the date the GWL Transaction is agreed to; and (b) the VWAP of the GWL Shares on the TSX for the two trading days immediately prior to completion of the GWL Transaction (the "**Purchase Price**"). Other than the Purchase Price, no fee or other consideration will be paid by GWL in connection with the GWL Transaction.
19. The GWL Transaction was reviewed, negotiated and unanimously approved by the independent directors of GWL (the "**Independent Directors**"), and Scotia Capital Inc. (the "**Financial Advisor**") was engaged to provide financial advice to support this process. The board of GWL approved the GWL Transaction (with Galen G. Weston and Paviter S. Binning abstaining from the vote) on the basis of the unanimous recommendation of the Independent Directors.
20. As the Weston Entity is willing to sell the Subject Shares at a discount to the prevailing market price of the GWL Shares, GWL has determined that (a) it would be advantageous to purchase the Subject Shares from a pricing, volume and timing perspective, (b) it will be able to purchase the Subject Shares at a lower per share price than the price that it would be able to purchase GWL Shares under the GWL NCIB, and (c) the purchase of Subject Shares is in the best interests of GWL and the holders of GWL Shares (the "**GWL Shareholders**"), constitutes a desirable use of GWL's funds and would not impose an imprudent financial burden on GWL.
21. Other than the Subject Shares, (a) GWL has no current plans to repurchase any GWL Shares from the Weston Control Group, and (b) the Weston Control Group has no current plans to sell any GWL Shares.
22. The GWL Transaction was not proposed or agreed to with the intention of conferring preferential treatment to the Weston Control Group and the Financial Advisor has advised that the GWL Transaction does not confer preferential treatment on the Weston Control Group from a financial perspective. In particular, the Financial Advisor has advised that if the Weston Entity was to sell the Subject Shares into the market, it would be able to do so at less than a 3% discount. In addition, other than accommodating the Butterfly Reorganization considerations set out above, the tax result of the GWL Transaction is expected to be effectively the same for the Weston Entity as if it sold the Subject Shares into the market.
23. The purchase of Subject Shares will not adversely affect GWL or the rights of any of GWL's security holders and will not materially affect control of GWL. The GWL Transaction will not prejudice the ability of other GWL Shareholders to otherwise sell GWL Shares in the open market at the prevailing market price.
24. Following the receipt of this Order, and prior to or upon GWL entering into the definitive agreement with respect to the GWL Transaction, GWL will issue and file a press release (the "**Press Release**") that: (a) describes the GWL Transaction (including the terms of this Order); and (b) states that, immediately following the completion of the GWL Transaction, GWL will file a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the GWL Transaction.
25. The Press Release will be issued and filed at least two clear trading days prior to the completion of the GWL Transaction.

26. Immediately following the completion of the GWL Transaction, GWL will file a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the GWL Transaction.
27. GWL and the entities in the Weston Control Group, including the Weston Entity, are “related parties” and the GWL Transaction would be a “related party transaction” for the purposes of Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* (“MI 61-101”).
28. Paragraphs 5.5(a) and 5.7(1)(a) of MI 61-101 (the “**25% Market Cap Exemption**”) exempts related party transactions from the valuation and minority approval requirements if, at the time the transaction is agreed to, neither the fair market value of the subject matter of, nor the fair market value of the consideration for, the transaction, insofar as it involves interested parties, exceeds 25% of the issuer’s market capitalization. The GWL Transaction is able to satisfy the conditions of the 25% Market Cap Exemption and accordingly, GWL is relying on same in respect of the GWL Transaction.
29. But for the fact that the Purchase Price will be at a discount to the prevailing market price and below the prevailing bid-ask price for the GWL Shares on the TSX at the time of the GWL Transaction, GWL could otherwise acquire the Subject Shares through the facilities of the TSX as a “block purchase” under the GWL NCIB in accordance with the block purchase exception in paragraph 629(1)7 of the TSX NCIB Rules and the exemption from the Issuer Bid Requirements set out in subsection 4.8(2) of NI 62-104.
30. In accordance with the requirements of the TSX, the Subject Shares repurchased under the GWL Transaction will be taken into account by GWL when calculating the maximum annual aggregate limit that is imposed upon the GWL NCIB. After the 1,300,000 Subject Shares are repurchased under the GWL Transaction, GWL will still be able to purchase 6,383,528 GWL Shares under the GWL NCIB.
31. At the time that the definitive agreement in respect of the GWL Transaction is entered into, and at the time that the GWL Transaction is completed, neither GWL, any member of the Weston Control Group, nor any of their respective personnel who negotiated the definitive agreement or made, participated in the making of, or provided advice in connection with the decision to enter into the GWL Transaction, will be aware of any “material change” or any “material fact” (each as defined in the *Securities Act* (Ontario) (the “**Act**”)) in respect of GWL or the GWL Shares that has not been generally disclosed.

AND UPON the Commission being satisfied that to do so would not be prejudicial to the public interest;

IT IS ORDERED pursuant to section 6.1 of NI 62-104 that GWL be exempt from the Issuer Bid Requirements in connection with the GWL Transaction, provided that:

- (a) following the receipt of this Order, and prior to or upon GWL entering into the definitive agreement in respect of the GWL Transaction, GWL issues and files the Press Release;
- (b) the Press Release is issued and filed at least two clear trading days prior to the completion of the GWL Transaction;
- (c) the Subject Shares will be repurchased by GWL from the Weston Entity for a per share purchase price equal to 97% of the lesser of: (i) the VWAP of the GWL Shares on the TSX for the 20 trading days immediately prior to the date the GWL Transaction is agreed to, and (ii) the VWAP of the GWL Shares on the TSX for the two trading days immediately prior to completion of the GWL Transaction;
- (d) immediately following the completion of the GWL Transaction, GWL files a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the GWL Transaction;
- (e) at the time that the definitive agreement in respect of the GWL Transaction is entered into, and at the time that the GWL Transaction is completed, the GWL Shares are “highly-liquid securities” within the meaning of section 1.1 of Rule 48-501 and section 1.1 of UMIR; and
- (f) at the time that the definitive agreement in respect of the GWL Transaction is entered into, and at the time that the GWL Transaction is completed, neither GWL, any member of the Weston Control Group, nor any of their respective personnel who negotiated the definitive agreement or made, participated in the making of, or provided advice in connection with the decision to enter into the GWL Transaction, is aware of any “material change” or any “material fact” (each as defined in the Act) in respect of GWL or the GWL Shares that has not been generally disclosed.

DATED at Toronto this 17th day of December, 2020.

“Jason Koskela”
Acting Director, Office of Mergers & Acquisitions
Ontario Securities Commission

2.2.5 Loblaw Companies Limited – s. 6.1 of NI 62-104

Headnote

Section 6.1 of NI 62-104 – Issuer bid – relief from requirements applicable to issuer bids in Part 2 of NI 62-104 – issuer proposes to repurchase 3,269,208 of its common shares at a discount to market price from a related party – the subject shares represent less than 1% of the issuer’s outstanding shares – the repurchase is an exempt related party transaction under MI 61-101 – selling shareholder is not able to sell shares into the market and is required to restrict sales to persons that are related to it or else put the tax-deferred nature of the butterfly reorganization at risk, to the detriment of the issuer and all other shareholders – repurchase was reviewed, negotiated and unanimously approved by issuer’s independent directors with the support of a financial advisor – shares are highly liquid securities and the purchase price will be at a discount to the prevailing market price of the shares so other shareholders will be able to sell their shares in the market at a higher price than what the selling shareholder is receiving from the issuer – share repurchase is exempt from the requirements applicable to issuer bids in Part 2 of NI 62-104, subject to conditions, including that, the repurchase is announced at least two clear trading days before it is completed so that the purchase price takes into account any changes in the market price following announcement of the repurchase.

Statutes Cited

National Instrument 62-104 Take-Over Bids and Issuer Bids, Part 2 and s. 6.1.

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

AND

**IN THE MATTER OF
LOBLAW COMPANIES LIMITED**

ORDER

(Section 6.1 of National Instrument 62-104)

UPON the application (the “**Application**”) of Loblaw Companies Limited (“**Loblaw**”) to the Ontario Securities Commission (the “**Commission**”) for an order of the Commission pursuant to section 6.1 of National Instrument 62-104 *Take-Over Bids and Issuer Bids* (“**NI 62-104**”) exempting Loblaw from the requirements applicable to issuer bids in Part 2 of NI 62-104 (the “**Issuer Bid Requirements**”) in respect of the proposed purchase by Loblaw of 3,269,208 of Loblaw’s common shares (the “**Subject Shares**”) in one trade executed following the close of markets on December 21, 2020 (the “**Loblaw Transaction**”) from 1283837 Ontario Limited, an entity controlled by W. Galen Weston (the “**Weston Entity**”, and together with the other entities controlled by W. Galen Weston, the “**Weston Control Group**”);

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

AND UPON Loblaw (and the Weston Control Group in respect of paragraphs 7, 8, 14, 16, 17, 18, 22, and 33, as they relate to the Weston Entity or the Weston Control Group) having represented to the Commission that:

1. Loblaw is a corporation existing under the *Canada Business Corporations Act* and is in good standing.
2. The registered office of Loblaw is located at 22 St. Clair Avenue East, Suite 700, Toronto, Ontario, Canada, M4T 2S5. The head office of Loblaw is located at 1 President’s Choice Circle, Brampton, Ontario, Canada, L6Y 5S5.
3. Loblaw is a reporting issuer in each of the provinces and territories of Canada, and is not in default of any requirements under applicable securities legislation or the rules and regulations made pursuant thereto in the jurisdictions in which it is a reporting issuer.
4. The authorized share capital of Loblaw consists of an unlimited number of common shares (the “**Loblaw Shares**”), up to 1,000,000 first preferred shares (“**Loblaw First Preferred Shares**”), an unlimited number of second preferred shares, series A (“**Loblaw Second Preferred Shares, Series A**”) and an unlimited number of second preferred shares, Series B (“**Loblaw Second Preferred Shares, Series B**”). As of December 7, 2020, there were 352,861,654 Loblaw Shares, no Loblaw First Preferred Shares, no Loblaw Second Preferred Shares, Series A and 9,000,000 Loblaw Second Preferred Shares, Series B issued and outstanding.
5. The Loblaw Shares and Loblaw Second Preferred Shares, Series B are listed on the Toronto Stock Exchange (the “**TSX**”) under the symbols “L” and “L.PR.B”, respectively.
6. George Weston Limited (“**GWL**”) is the controlling shareholder of Loblaw. As of December 7, 2020, GWL was the beneficial owner of an aggregate of 184,020,849 Loblaw Shares, representing approximately 52.2% of the issued and outstanding Loblaw Shares.
7. W. Galen Weston is the controlling shareholder of GWL. As of December 7, 2020, the Weston Control Group beneficially owned or had control or direction over an aggregate of 81,706,054 common shares of GWL (the “**GWL Shares**”), representing approximately 53.2% of the issued and outstanding GWL Shares. Through his control of GWL, W. Galen Weston also controls Loblaw.
8. In addition, as of December 7, 2020, the Weston Control Group beneficially owned or had control or direction over an aggregate of 5,280,208 Loblaw Shares (which include the Subject Shares), representing approximately 1.5% of the issued and outstanding Loblaw Shares. All of the Subject Shares are held by the Weston Entity in the Province of Ontario.

9. Pursuant to a “Notice of Intention to Make Normal Course Issuer Bid” dated April 29, 2020 that was filed with, and accepted by, the TSX, Loblaw is permitted to make purchases of up to 17,888,888 Loblaw Shares, representing approximately 5% of outstanding Loblaw Shares as at the date specified in the notice, pursuant to a normal course issuer bid (the “**Loblaw NCIB**”) during the 12-month period beginning on May 1, 2020 and ending on April 30, 2021. As at December 7, 2020, an aggregate of 5,045,667 Loblaw Shares have been acquired under the Loblaw NCIB.
10. To the best of Loblaw’s knowledge, as of December 7, 2020, the “public float” for the Loblaw Shares represented approximately 46.2% of all issued and outstanding Loblaw Shares for purposes of the TSX rules governing normal course issuer bids (the “**TSX NCIB Rules**”).
11. The Loblaw Shares are “highly-liquid securities” within the meaning of section 1.1 of Commission Rule 48-501 *Trading during Distributions, Formal Bids and Share Exchange Transactions* (“**Rule 48-501**”) and section 1.1 of the Universal Market Integrity Rules (“**UMIR**”).
12. On November 1, 2018, Loblaw spun out its approximate 61.6% effective interest in Choice Properties Real Estate Investment Trust (“**Choice REIT**”) by way of a butterfly reorganization (the “**Butterfly Reorganization**”). In connection with the Butterfly Reorganization, holders of Loblaw Shares (the “**Loblaw Shareholders**”) other than GWL received 0.135 of a GWL Share for each Loblaw Share held, which was equivalent to the market value of their pro rata interest in Choice REIT, and GWL received Loblaw’s approximate 61.6% effective interest in Choice REIT.
13. The Butterfly Reorganization was the only form of spin-out that could be implemented on a basis that was tax efficient for both Loblaw and its Canadian shareholders. At the time of announcement of the Butterfly Reorganization, Loblaw’s interest in Choice REIT had an embedded deferred liability for Canadian income tax purposes in an amount of approximately \$640 million. Had Loblaw spun-out, or directly distributed, its interest in Choice REIT to all Loblaw Shareholders, Loblaw would have triggered that entire tax liability for itself, to the detriment of Loblaw Shareholders in an implied amount of approximately \$1.70 per Loblaw Share. In addition, such a direct distribution would generally have been taxable to Loblaw Shareholders as a dividend.
14. The Weston Control Group has indicated to Loblaw that it wishes to sell 3,269,208 Subject Shares held by the Weston Entity. The Weston Control Group confirmed that these sales are part of an internal reorganization of W. Galen Weston’s holdings and that the Weston family intends to maintain its control position in Loblaw.
15. The Subject Shares represent approximately 0.93% of the issued and outstanding Loblaw Shares as at December 7, 2020.
16. The Weston Control Group has also indicated to GWL that it wishes to sell 1,300,000 GWL Shares held by the Weston Entity as part of an internal reorganization of W. Galen Weston’s holdings. GWL has also made an application to the Commission for an order of the Commission pursuant to section 6.1 of NI 62-104 exempting GWL from the Issuer Bid Requirements in respect of the proposed purchase by GWL of 1,300,000 GWL Shares from the Weston Entity on substantially the same terms as the Loblaw Transaction.
17. For the purposes of the “butterfly” rules in section 55 of the *Income Tax Act* (the “**Tax Act**”), if a “specified shareholder” (for the purposes of those rules) sells Loblaw Shares or GWL Shares to an unrelated person or partnership in certain circumstances, this could cause the Butterfly Reorganization to become taxable to Loblaw and GWL and each of them would be liable for a substantial amount of tax. The members of the Weston Control Group, including the Weston Entity, are “specified shareholders” for the purposes of the “butterfly” rules in section 55 of the Tax Act.
18. The Weston Entity could effect the sale of the Subject Shares in the open market in reliance on the exemption for a trade by a control person provided in National Instrument 45-102 *Resale of Securities* (the “**NI 45-102 Exemption**”). However, as a result of the Butterfly Reorganization and in order to not put the tax-deferred nature of the Butterfly Reorganization at risk, the Weston Entity is unable to sell the Subject Shares into the market and must restrict sales to persons that are related to it. Accordingly, the NI 45-102 Exemption is not available to facilitate the sale of the Subject Shares. As the only practical alternative, the Weston Control Group approached Loblaw to ask Loblaw to consider repurchasing the Subject Shares.
19. The Loblaw Transaction will be executed at a price that is 97% of the lesser of: (a) the volume weighted average price (the “**VWAP**”) of the Loblaw Shares on the TSX for the 20 trading days immediately prior to the date the Loblaw Transaction is agreed to; and (b) the VWAP of the Loblaw Shares on the TSX for the two trading days immediately prior to completion of the Loblaw Transaction (the “**Purchase Price**”). Other than the Purchase Price, no fee or other consideration will be paid by Loblaw in connection with the Loblaw Transaction.
20. The Loblaw Transaction was reviewed, negotiated and unanimously approved by the independent directors of Loblaw (the “**Independent Directors**”), and Scotia Capital Inc. (the “**Financial Advisor**”) was engaged to provide financial advice to support this process. The board of Loblaw approved the

- Loblaw Transaction (with Galen G. Weston and Paviter S. Binning abstaining from the vote) on the basis of the unanimous recommendation of the Independent Directors.
21. As the Weston Entity is willing to sell the Subject Shares at a discount to the prevailing market price of the Loblaw Shares, Loblaw has determined that (a) it would be advantageous to purchase the Subject Shares from a pricing, volume and timing perspective, (b) it will be able to purchase the Subject Shares at a lower per share price than the price that it would be able to purchase Loblaw Shares under the Loblaw NCIB, and (c) the purchase of Subject Shares is in the best interests of Loblaw and Loblaw Shareholders, constitutes a desirable use of Loblaw's funds and would not impose an imprudent financial burden on Loblaw.
 22. Other than the Subject Shares, (a) Loblaw has no current plans to repurchase any Loblaw Shares from the Weston Control Group, and (b) the Weston Control Group has no current plans to sell any Loblaw Shares.
 23. The Loblaw Transaction was not proposed or agreed to with the intention of conferring preferential treatment to the Weston Control Group and the Financial Advisor has advised that the Loblaw Transaction does not confer preferential treatment on the Weston Control Group from a financial perspective. In particular, the Financial Advisor has advised that if the Weston Entity was to sell the Subject Shares into the market, it would be able to do so at less than a 3% discount. In addition, other than accommodating the Butterfly Reorganization considerations set out above, the tax result of the Loblaw Transaction is expected to be effectively the same for the Weston Entity as if it sold the Subject Shares into the market.
 24. The purchase of Subject Shares will not adversely affect Loblaw or the rights of any of Loblaw's security holders and will not materially affect control of Loblaw. The Loblaw Transaction will not prejudice the ability of other Loblaw Shareholders to otherwise sell Loblaw Shares in the open market at the prevailing market price.
 25. Following the receipt of this Order, and prior to or upon Loblaw entering into the definitive agreement with respect to the Loblaw Transaction, Loblaw will issue and file a press release (the "**Press Release**") that: (a) describes the Loblaw Transaction (including the terms of this Order); and (b) states that, immediately following the completion of the Loblaw Transaction, Loblaw will file a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the Loblaw Transaction.
 26. The Press Release will be issued and filed at least two clear trading days prior to the completion of the Loblaw Transaction.
 27. Immediately following the completion of the Loblaw Transaction, Loblaw will file a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the Loblaw Transaction.
 28. Loblaw and the entities in the Weston Control Group, including the Weston Entity, are "related parties" and the Loblaw Transaction would be a "related party transaction" for the purposes of Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* ("**MI 61-101**").
 29. Paragraphs 5.5(a) and 5.7(1)(a) of MI 61-101 (the "**25% Market Cap Exemption**") exempts related party transactions from the valuation and minority approval requirements if, at the time the transaction is agreed to, neither the fair market value of the subject matter of, nor the fair market value of the consideration for, the transaction, insofar as it involves interested parties, exceeds 25% of the issuer's market capitalization. The Loblaw Transaction is able to satisfy the conditions of the 25% Market Cap Exemption and accordingly, Loblaw is relying on same in respect of the Loblaw Transaction.
 30. But for the fact that the Purchase Price will be at a discount to the prevailing market price and below the prevailing bid-ask price for the Loblaw Shares on the TSX at the time of the Loblaw Transaction, Loblaw could otherwise acquire the Subject Shares through the facilities of the TSX as a "block purchase" under the Loblaw NCIB in accordance with the block purchase exception in paragraph 629(1)7 of the TSX NCIB Rules and the exemption from the Issuer Bid Requirements set out in subsection 4.8(2) of NI 62-104.
 31. In accordance with the requirements of the TSX, the Subject Shares repurchased under the Loblaw Transaction will be taken into account by Loblaw when calculating the maximum annual aggregate limit that is imposed upon the Loblaw NCIB. After the 3,269,208 Subject Shares are repurchased under the Loblaw Transaction, Loblaw will still be able to purchase 9,574,013 Loblaw Shares under the Loblaw NCIB.
 32. As the Loblaw Transaction is not occurring pursuant to the Loblaw NCIB, it will not trigger the automatic securities disposition plan dated February 25, 2020 that operates pursuant to the Loblaw NCIB to allow GWL to maintain its approximate 52.2% interest in Loblaw.
 33. At the time that the definitive agreement in respect of the Loblaw Transaction is entered into, and at the time that the Loblaw Transaction is completed, neither Loblaw, any member of the Weston Control Group, nor any of their respective personnel who negotiated the definitive agreement or made, participated in the making of, or provided advice in

connection with the decision to enter into the Loblaw Transaction, will be aware of any “material change” or any “material fact” (each as defined in the *Securities Act* (Ontario) (the “Act”)) in respect of Loblaw or the Loblaw Shares that has not been generally disclosed.

AND UPON the Commission being satisfied that to do so would not be prejudicial to the public interest;

IT IS ORDERED pursuant to section 6.1 of NI 62-104 that Loblaw be exempt from the Issuer Bid Requirements in connection with the Loblaw Transaction, provided that:

- (a) following the receipt of this Order, and prior to or upon Loblaw entering into the definitive agreement in respect of the Loblaw Transaction, Loblaw issues and files the Press Release;
- (b) the Press Release is issued and filed at least two clear trading days prior to the completion of the Loblaw Transaction;
- (c) the Subject Shares will be repurchased by Loblaw from the Weston Entity for a per share purchase price equal to 97% of the lesser of: (i) the VWAP of the Loblaw Shares on the TSX for the 20 trading days immediately prior to the date the Loblaw Transaction is agreed to, and (ii) the VWAP of the Loblaw Shares on the TSX for the two trading days immediately prior to completion of the Loblaw Transaction;
- (d) immediately following the completion of the Loblaw Transaction, Loblaw files a report on SEDAR indicating the aggregate dollar amount paid for the Subject Shares pursuant to the Loblaw Transaction;
- (e) at the time that the definitive agreement in respect of the Loblaw Transaction is entered into, and at the time that the Loblaw Transaction is completed, the Loblaw Shares are “highly-liquid securities” within the meaning of section 1.1 of Rule 48-501 and section 1.1 of UMIR; and
- (f) at the time that the definitive agreement in respect of the Loblaw Transaction is entered into, and at the time that the Loblaw Transaction is completed, neither Loblaw, any member of the Weston Control Group, nor any of their respective personnel who negotiated the definitive agreement or made, participated in the making of, or provided advice in connection with the decision to enter into the Loblaw Transaction, is aware of any “material change” or any “material fact” (each as defined in the Act) in respect of Loblaw or the Loblaw Shares that has not been generally disclosed.

DATED at Toronto this 17th day of December, 2020.

“Jason Koskela”
Acting Director, Office of Mergers & Acquisitions
Ontario Securities Commission

2.2.6 Nemaska Lithium Inc.

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications and National Policy 11-207 Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions – application for order that issuer is not a reporting issuer and for full revocation of failure-to-file cease trade order – issuer cease traded due to failure to file annual audited financial statements and annual management’s discussion and analysis and related certifications – issuer has completed reorganization under the Companies’ Creditors Arrangement Act – issuer has applied for a full revocation of the cease trade order – amalgamated issuer created as part of the CCAA Reorganization has applied to cease to be a reporting issuer in each jurisdiction where it is a reporting issuer – full revocation of the failure-to-file cease trade order and cease to be reporting issuer application granted.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., ss. 1(10)(a)(ii) and 144.

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications.

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

DÉCISION No 2020-DIC-0027

Dossier n° 29444

[TRANSLATION]

December 14, 2020

IN THE MATTER OF
THE SECURITIES LEGISLATION OF
QUEBEC AND ONTARIO
(the JURISDICTIONS)

AND

IN THE MATTER OF
A REVOCATION OF
A FAILURE-TO-FILE CEASE TRADE ORDER

AND

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

AND

IN THE MATTER OF
NEMASKA LITHIUM INC.

ORDER

Background

Nemaska Lithium Inc. (the **Issuer**) is the ultimate surviving amalgamated corporation and the successor entity to the

corporation also named "Nemaska Lithium Inc." prior to the CCAA Reorganization (defined below). As the successor to such predecessor entity pursuant to the CCAA Reorganization, the Issuer is subject to a failure-to-file cease trade order (the **FFCTO**) issued by the regulator or securities regulatory authority in each of the Jurisdictions (each a **Decision Maker**) on November 6, 2020.

The Decision Makers have received an application from the Issuer, through its predecessor entity named Nemaska Lithium Inc., under the securities legislation of the Jurisdictions (the **Legislation**) for:

- (i) an order (the **FFCTO Revocation Order**) under the Legislation revoking the FFCTO; and
- (ii) an order (the **Cease to be a Reporting Issuer Order**) under the Legislation that the Issuer, as a successor to its predecessor entity named Nemaska Lithium Inc, has ceased to be a reporting issuer in all jurisdictions of Canada in which it is a reporting issuer.

The FFCTO Revocation Order is the order of the regulator or securities regulatory authority in Québec (the **Principal Regulator**) and evidences the decision of the Decision Maker in Ontario.

In respect of the Cease to be a Reporting Issuer Order, under the Process for Cease to be a Reporting Issuer Applications (for a dual application):

- (a) the regulator or securities regulatory authority in Québec is the principal regulator;
- (b) the Issuer, through its predecessor entity named Nemaska Lithium Inc., has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied in Alberta, British Columbia, Saskatchewan, Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Prince Edward Island, Northwest Territories, Nunavut and Yukon; and
- (c) the Cease to be a Reporting Issuer Order is the order of the Principal Regulator and evidences the decision of the regulator or securities regulatory authority in Ontario.

Interpretation

Terms defined in National Instrument 14-101 *Definitions* or, in Québec, in *Regulation 14-501Q on definitions*, MI 11-102, National Policy 11-206 *Process for Cease to be Reporting Issuer Applications* (**NP 11-206**) and National Policy 11-207 *Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions* have the same meanings if used in this order, unless otherwise defined.

Representations

The order is based upon the following facts represented by the Issuer:

1. Nemaska Lithium Inc., as a predecessor to the Issuer, was, and the Issuer is, a corporation existing under the *Canada Business Corporations Act* with its registered and principal Canadian office in the Province of Québec.
2. The Issuer is, as a successor to its predecessor entity also named Nemaska Lithium Inc., a reporting issuer in default of filing its annual audited financial statements and annual management's discussion and analysis for the year ended June 30, 2020 under the *Securities Act* (Québec) (the **Act**) and the securities legislation of each of the jurisdictions of Canada and the annual certifications required in respect of such filings pursuant to *Regulation 52-109 respecting Certification of Disclosure in Issuers' Annual and Interim Filings* (**Filings**).
3. The authorized share capital of Nemaska Lithium Inc., as a predecessor to the Issuer, consisted of an unlimited number of common shares (**Common Shares**).
4. Immediately prior to the implementation of the CCAA Reorganization, Nemaska Lithium Inc., as a predecessor to the Issuer, had 847,634,338 issued and outstanding Common Shares.
5. In addition to the Common Shares, there were also outstanding, immediately prior to the implementation of the CCAA Reorganization, options to purchase Common Shares that were issued pursuant to the share purchase option plan of Nemaska Lithium Inc., as a predecessor to the Issuer, all of which were "out of the money" (**Options**).
6. Nemaska Lithium Inc., as a predecessor to the Issuer, had no securities issued and outstanding immediately prior to the implementation of the CCAA Reorganization other than the Common Shares and the Options.
7. The Common Shares were previously listed and posted for trading on the Toronto Stock Exchange (**TSX**). The Common Shares were delisted from the TSX on February 6, 2020, and from the American stock exchange Over-the-Counter QX on December 31, 2019.
8. Immediately prior to the implementation of the CCAA Reorganization, no securities of Nemaska Lithium Inc., as a predecessor to the Issuer, were traded in Canada on a "marketplace" as defined in *Regulation 21-101 respecting Marketplace Operation* (**Regulation 21-101**).
9. On November 6, 2020, an FFCTO was issued in respect of the Filings. The FFCTO took effect in

each jurisdiction of Canada that has a statutory reciprocal order provision, subject to the terms of the local securities legislation.

10. As the successor to Nemaska Lithium Inc., the FFCTO applies to the Issuer as of and from the Effective Date (defined below).

11. Since October 29, 2020, Nemaska Lithium Inc., as a predecessor to the Issuer, had been and remained in default regarding the Filings and its interim financial statements and interim management's discussion and analysis for the period ended September 30, 2020 under the Act and the securities legislation of each of the jurisdictions of Canada and the certifications required in respect of such filings pursuant to *Regulation 52-109 (Interim Filings)*.

The CCAA Proceedings

12. On December 23, 2019, Nemaska Lithium Inc., Nemaska Lithium P1P Inc. (**Nemaska P1P**), Nemaska Lithium Shawinigan Transformation Inc. (**Nemaska Shawinigan**), Nemaska Lithium Whabouchi Inc. (**Nemaska Whabouchi**) and Nemaska Lithium Innovation Inc. (**Nemaska LI**) (collectively, **Nemaska Entities**) sought and obtained protection from their creditors under the *Companies' Creditors Arrangement Act* (the **CCAA (CCAA Proceedings)**), the whole pursuant to the provisions of an order of the Superior Court of Québec (Commercial Division) (**Court**), as amended, restated and supplemented since December 23, 2019.

13. PricewaterhouseCoopers Inc. was appointed by the Court as the monitor (**Monitor**) in the CCAA Proceedings.

14. On January 29, 2020, the Nemaska Entities sought and obtained from the Court an order pursuant to the CCAA approving a sale or investor solicitation process in respect of the Nemaska Entities authorizing the solicitation of offers for the sale of all or substantially all of their property, assets and undertakings all in accordance with the sale or investor solicitation procedures.

15. On October 15, 2020, the Court issued an Approval and Vesting Order (**RVO**) approving, among other things, the acquisition by Investissement Québec (**IQ**) and Quebec Lithium Partners (UK) Limited (**QLP**) of all of the issued and outstanding shares of a corporation resulting from the amalgamation of the Nemaska Entities and the Orion Creditors (as defined below) in a series of steps (**CCAA Reorganization**) set out in a share purchase agreement among IQ, QLP and the Nemaska Entities (**Share Purchase Agreement**).

The CCAA Reorganization

16. The CCAA Reorganization included the completion of the following key steps in the order set out below:

(a) all of the Common Shares were exchanged for common shares of NMX Residual Liabilities Inc. (**New ParentCo**), initially a wholly-owned subsidiary of the Nemaska Lithium Inc., on a one-for-one basis, such that, as a consequence, New ParentCo now holds all of the then issued and outstanding Common Shares and previous holders of issued and outstanding Common Shares now hold the equivalent number of common shares of New ParentCo (**Share Exchange**);

(b) simultaneously with the preceding step, the one voting share held by Nemaska Lithium Inc. in the capital of New ParentCo and all of the Options were cancelled for no consideration;

(c) Nemaska Shawinigan acquired all of the issued and outstanding shares in the capital of Nemaska Lithium Inc.'s largest secured creditors, OMF Fund II (K) Ltd. and OMF Fund II (N) Ltd. (collectively, **Orion Creditors**) from OMF (Cayman) Co-VII Ltd. (**OMF Cayman**) pursuant to a share purchase agreement among Nemaska Shawinigan, OMF Cayman, IQ and QLP;

(d) Nemaska Lithium Inc., Nemaska P1P, Nemaska Shawinigan, Nemaska LI and the Orion Creditors amalgamated pursuant to a long-form amalgamation (the corporation resulting from such amalgamation, **AmalCo1**) and the shares of Nemaska Lithium Inc. held by New ParentCo were converted into two common shares of AmalCo1;

(e) AmalCo1 and Nemaska Whabouchi amalgamated pursuant to a long-form amalgamation to form the Issuer;

(f) IQ and QLP acquired all of the issued and outstanding shares of the Issuer from New ParentCo pursuant to the terms of the Share Purchase Agreement;

(g) IQ and QLP each subscribed for 30,000,000 common shares of the Issuer for an aggregate subscription price of US\$60,000,000.

17. The effective date of the CCAA Reorganization was December 1, 2020 (**Effective Date**).

18. The FFCTO contained a carve-out allowing the Nemaska Entities and their successors and assigns to implement the CCAA Reorganization steps.

19. As and from the Effective Date, the Issuer, as the ultimate legal successor to Nemaska Lithium Inc., became a reporting issuer under the securities legislation of each jurisdiction of Canada.

20. As of and since the Effective Date, the authorized share capital of the Issuer consists solely of common shares.
21. As of and since the Effective Date, the Issuer only has two registered and beneficial securityholders, namely IQ and QLP.
22. The rights of the shareholders of the Issuer are governed by and subject to the Issuer's share terms, which are set forth in (a) the Issuer's Articles of Amalgamation, and (b) a unanimous shareholders' agreement to which all shareholders of the Issuer, initially only IQ and QLP, shall be parties following the completion of the CCAA Reorganization.
23. There is no obligation in any of the RVO, the Issuer's Articles of Amalgamation or the unanimous shareholders' agreement for the Issuer to maintain its status as a reporting issuer and no prohibition on ceasing to be a reporting issuer.
24. The Issuer as a successor to Nemaska Lithium Inc., is not in default of securities legislation in any jurisdiction of Canada, other than its obligations to complete the Filings and the Interim Filings, and therefore is not eligible to use the "simplified procedure" under NP 11-206.
25. As of and since the Effective Date, the Issuer is not an OTC reporting issuer under *Regulation 51-105 respecting Issuers Quoted in the U.S. Over-the-Counter Markets*.
26. As of and since the Effective Date, no securities of the Issuer are traded on a "marketplace" as defined in Regulation 21-101 and there is currently no intention on the part of the shareholders, directors or officers of the Issuer to cause the Issuer to seek financing by way of a public offering of its securities in Canada or elsewhere.

Order

Each of the Decision Makers is satisfied that the FFCTO Revocation Order and the Cease to be a Reporting Issuer Order meet the test set out in the Legislation for the Decision Maker to make the orders.

The decision of the Decision Makers under the Legislation is that the FFCTO Revocation Order and the Cease to be a Reporting Issuer Order are granted.

"Marie-Claude Brunet-Ladrie"
Acting Director, Continuous Disclosure

2.2.7 Dino Paolucci – ss. 127(1), 127(10)

File No. 2020-25

**IN THE MATTER OF
DINO PAOLUCCI**

Wendy Berman, Vice-Chair and Chair of the Panel

December 21, 2020

ORDER

(Subsections 127(1) and 127(10) of
the *Securities Act*, RSO 1990, c S.5)

WHEREAS the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider a request by Staff of the Commission (**Staff**) for an order imposing sanctions against Dino Paolucci (**Paolucci**) pursuant to subsections 127(1) and 127(10) of the Act;

ON READING the materials filed by Staff, Paolucci having not filed any materials, although properly served;

IT IS ORDERED THAT:

1. pursuant to paragraph 2 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**), trading in any securities or derivatives by Paolucci shall cease permanently;
2. pursuant to paragraph 2.1 of subsection 127(1) of the Act, acquisition of any securities by Paolucci shall be prohibited permanently;
3. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Paolucci permanently;
4. pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Paolucci resign any positions that he holds as a director or officer of any issuer or registrant;
5. pursuant to paragraphs 8 and 8.2 of subsection 127(1) of the Act, Paolucci be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and
6. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Paolucci be prohibited permanently from becoming or acting as a registrant or promoter.

"Wendy Berman"

2.2.8 MOAG Copper Gold Resources Inc. et al. – ss.
127(1), 127.1

File No. 2018-41

**IN THE MATTER OF
MOAG COPPER GOLD RESOURCES INC.,
GARY BROWN
AND
BRADLEY JONES**

M. Cecilia Williams, Commissioner and Chair of the Panel
Timothy Moseley, Vice-Chair
Mary Anne De Monte-Whelan, Commissioner

December 14, 2020

ORDER

(Subsection 127(1) and Section 127.1 of
the *Securities Act*, RSO 1990, c S.5)

WHEREAS on July 15, 2020, the Ontario Securities Commission (the **Commission**) held a hearing by videoconference to consider the sanctions and costs that the Commission should impose on MOAG Copper Gold Resources Inc. (**MOAG**), Gary Brown (**Brown**) and Bradley Jones (**Jones**) as a result of the findings in the Commission's Reasons and Decision on the merits, issued on January 15, 2020;

ON READING the materials filed by Staff of the Commission (**Staff**) and Jones, and on hearing the submissions of the representatives for Staff, for Jones and for MOAG, no one participating on behalf of Brown;

IT IS ORDERED THAT:

1. pursuant to paragraph 2 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**), trading in any securities of MOAG shall cease permanently;
2. Against Brown:
 - (a) pursuant to paragraph 2 of subsection 127(1) of the Act, trading in any securities or derivatives by Brown shall cease permanently;
 - (b) pursuant to paragraph 2.1 of subsection 127(1) of the Act, Brown is prohibited permanently from acquiring any securities;
 - (c) pursuant to paragraph 3 of subsection 127(1) of the Act, the exemptions contained in Ontario securities law shall not apply to Brown permanently;
 - (d) pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Brown shall immediately resign from any positions he holds as a director or officer of any issuer or registrant;

- (e) pursuant to paragraphs 8 and 8.2 of subsection 127(1) of the Act, Brown is prohibited permanently from becoming or acting as a director or officer of any issuer or registrant;
- (f) pursuant to paragraph 8.5 of subsection 127(1) of the Act, Brown is permanently prohibited from becoming or acting as a registrant or promoter;
- (g) pursuant to paragraph 9 of subsection 127(1) of the Act, Brown shall pay an administrative penalty of C\$200,000, which amount shall be designated for allocation or use by the Commission in accordance with subclause 3.4(2)(b)(i) or (ii) of the Act;
- (h) pursuant to paragraph 10 of subsection 127(1) of the Act, Brown shall be required, jointly and severally with Jones, to disgorge to the Commission the sum of US\$610,000, which amount shall be designated for allocation or use by the Commission in accordance with subclause 3.4(2)(b)(i) or (ii) of the Act;
- (i) pursuant to section 127.1 of the Act, Brown shall pay costs of C\$30,000 to the Commission; and

3. Against Jones:

- (a) pursuant to paragraph 2 of subsection 127(1) of the Act, trading in any securities or derivatives by Jones shall cease permanently;
- (b) pursuant to paragraph 2.1 of subsection 127(1) of the Act, Jones is prohibited permanently from acquiring any securities;
- (c) pursuant to paragraph 3 of subsection 127(1) of the Act, the exemptions contained in Ontario securities law shall not apply to Jones permanently;
- (d) pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Jones shall immediately resign from any positions he holds as a director or officer of any issuer or registrant;
- (e) pursuant to paragraphs 8 and 8.2 of subsection 127(1) of the Act, Jones is prohibited permanently from becoming or acting as a director or officer of any issuer or registrant;
- (f) pursuant to paragraph 8.5 of subsection 127(1) of the Act, Jones is permanently prohibited from becoming or acting as a registrant or promoter;

- (g) pursuant to paragraph 9 of subsection 127(1) of the Act, Jones shall pay an administrative penalty of C\$400,000, which amount shall be designated for allocation or use by the Commission in accordance with subclause 3.4(2)(b)(i) or (ii) of the Act;
- (h) pursuant to paragraph 10 of subsection 127(1) of the Act, Jones shall be required to disgorge to the Commission:
 - (i) jointly and severally with Brown, the sum of US\$610,000, and
 - (j) the sum of US\$2,968,187,
 - (k) which amounts shall be designated for allocation or use by the Commission in accordance with subclause 3.4(2)(b)(i) or (ii) of the Act; and
 - (l) pursuant to section 127.1 of the Act, Jones shall pay costs of C\$70,000 to the Commission.

“M. Cecilia Williams”

“Timothy Moseley”

“Mary Anne De Monte-Whelan”

2.3 Orders with Related Settlement Agreements

2.3.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1

File No. 2020-39

IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.

Wendy Berman, Vice-Chair and Chair of the Panel
M. Cecilia Williams, Commissioner
Frances Kordyback, Commissioner

December 18, 2020

ORDER

(Sections 127 and 127.1 of the *Securities Act*, RSO 1990, c S.5)

WHEREAS on December 18, 2020, the Ontario Securities Commission (the **Commission**) held a hearing by video conference to consider the request made jointly by Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. (collectively, the **Respondents**) and Staff of the Commission (**Staff**) for approval of a settlement agreement dated December 15, 2020 (the **Settlement Agreement**);

ON READING the Joint Application for a Settlement Hearing, including the Statement of Allegations dated December 14, 2020 and the Settlement Agreement, and on hearing the submissions of the representatives for the Respondents;

IT IS ORDERED, with reasons to follow, that:

1. the Settlement Agreement is approved;
2. the Respondents shall each conduct an internal review of their compliance practices and procedures relating to ensuring compliance with Ontario securities laws, and institute any necessary changes in accordance with the process set forth in Schedule “A” to the Order, pursuant to paragraph 4 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**);
3. the Respondents shall disgorge to the Commission amounts obtained as a result of non-compliance with Ontario securities law in the amount of \$663,305.20, pursuant to paragraph 10 of subsection 127(1) of the Act;
4. the Respondents shall pay an administrative penalty in the amount of \$2,506,011.80 pursuant to paragraph 9 of subsection 127(1) of the Act; and
5. the amounts referred to in paragraphs 3 and 4 above shall be designated for allocation or use by the Commission in accordance with section 3.4(2)(b)(i) or (ii) of the Act.

“Wendy Berman”

“M. Cecilia Williams”

“Frances Kordyback”

SCHEDULE "A" TO THE ORDER

File No. 2020-39

IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.

Bloomberg Internal Review of MTF (BTFL and BTFE) Compliance Practices and Procedures Relating to Ensuring Compliance with Ontario Securities Laws

1. **Inventory:** Create an Inventory of all requirements within the MTFs' OSC Exemptive Orders, including the Restated Order, as defined in the Settlement Agreement, and any additional Ontario Securities Law provisions applicable to the MTFs (each, an "Ontario Legal Obligation").
2. **Document Mapping:** Map internal MTF policies, rulebook(s), manual(s), standards, and procedures ("Policy Documents") to each Ontario Legal Obligation in the Inventory, and assess to confirm sufficient coverage of each Ontario Legal Obligation within one or more Policy Documents. Enhance Policy Documents, if needed, to address any gaps in coverage.
3. **Control Mapping:** Map key controls to each Ontario Legal Obligation, including access controls across asset classes and controls for monitoring participant activity across asset classes, and assess to confirm control coverage for each Legal Obligation is appropriate.
4. **Key Control Testing:** Test effectiveness of key controls. Bloomberg Compliance Testing will test control design and/or control performance (operating effectiveness), as appropriate, for each key control.
5. **Internal Review Report:** Summarize findings and identified issues, including any recommended areas for enhancement in a Compliance Testing Report (the "Internal Review Report"). Identified issues will be tracked to completion via the Firms' standard issue management processes.

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.**

SETTLEMENT AGREEMENT

PART I – INTRODUCTION AND STAFF’S REGULATORY MESSAGE

1. This Settlement Agreement serves to emphasize that domestic and foreign marketplaces have the obligation to take all appropriate steps to comply with Ontario securities law, including any specific terms and conditions contained in orders of the Commission.
2. Before foreign and domestic marketplaces are permitted to carry on business in Ontario, they must obtain authorization from the Commission to do so and their application for such authorization must provide candid, accurate and complete information. These requirements serve to protect Ontario market participants and investors and foster fair and efficient markets.
3. In order to manage risks to Ontario investors and market participants, the Commission may also impose terms and conditions on any order issued, including exemptive relief orders. It is critical to fostering fair and efficient capital markets and confidence in capital markets that persons and companies comply with all terms and conditions of exemptive relief orders.
4. Commission and Staff rely upon the completeness and accuracy of information contained in applications made by individuals or companies seeking a recognition or exemption order to manage risks to Ontario investors and market participants. It is therefore critical that persons and companies seeking a recognition or exemption order from the Commission disclose all material information relating to the order sought and that this information is accurate and complete. This ensures that any order that may be issued by the Commission is properly determined to be in the public interest.
5. In today’s capital markets where the majority of marketplaces operate electronic trading facilities and are no longer reliant on physical floors or have moved from voice to electronic trading, a marketplace is carrying on business in Ontario if it provides direct access to an Ontario participant (whether traders are physically located in Ontario or elsewhere). Once carrying on business in Ontario, Ontario securities laws apply. Foreign marketplaces that provide access to Ontario participants must ensure that they are properly authorized to do so. They must implement a robust compliance system in recognition of the compliance risks associated with operating in multiple jurisdictions, including ensuring appropriate communications about the relevant Ontario regulatory obligations throughout the business.
6. In this case, two sophisticated corporations – Bloomberg Trading Facility Limited (**BTFL**) and Bloomberg Trading Facility B.V. (**BV**) (collectively, the **Respondents**) – failed to comply with Ontario securities law by:
 - (a) operating a marketplace, and in particular, an exchange without receiving recognition or an exemption;
 - (b) filing applications that contained inaccurate and incomplete information with the Commission to obtain exemptions, and therefore, to that extent, were misleading to Staff and the Commission; and
 - (c) in the case of BTFL, after it was granted an exemptive relief order, it failed to comply with the terms and conditions set out in that order.
7. Over a 15-month period and beginning at different times, BTFL provided 18 institutional Ontario participants access to trade in fixed income securities. Over that period of time, 11 of the 18 Ontario participants conducted fixed income trading on BTFL’s multilateral trading facility (**MTF**) in a principal amount of approximately \$228.5 billion USD and representing 2.93% of all fixed income trading on BTFL’s MTF during that time.
8. Over a one-year period and beginning at different times, BV provided 16 institutional Ontario participants access to trade in fixed income securities. Over that period of time, two of the 16 Ontario participants conducted fixed income trading on BV’s MTF in a principal amount of approximately \$4.4 billion USD and representing 1.61% of all fixed income trading on BV’s MTF during that time.
9. This Settlement Agreement reflects the Respondents’ admissions that:
 - (a) before the Respondents had sought or obtained recognition or an exemption order from the Commission, they carried on business as an exchange by failing to prevent, or otherwise permitting, fixed income trading by Ontario participants on their MTFs;

- (b) the Respondents each filed applications with the Commission requesting orders exempting them from the requirement to be recognized as an exchange which contained inaccurate and incomplete information. Specifically, neither BTFL nor BV disclosed the fact that:
 - i) Ontario users had already been onboarded to their respective MTFs; and
 - ii) Ontario users had already engaged in fixed income trading activity on their respective MTFs;
 - (c) after BTFL obtained an exemption order, it failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on its MTF contrary to the terms and conditions of the exemption order; and
 - (d) after BTFL obtained an exemption order, it filed quarterly reports that failed to accurately and completely disclose fixed income trading by Ontario participants on BTFL's MTF.
10. These are serious and unacceptable breaches of Ontario securities law. When marketplaces, including exchanges, operate without authorization in Ontario, they undermine investor confidence and the fairness and efficiency of our markets.
11. This Settlement Agreement reflects the Respondents' admissions to breaches of Ontario securities laws and/or conduct contrary to the public interest. It also reflects the fact of the Respondents' exemplary cooperation and efforts in identifying, addressing, and remediating those inadequacies, including initially reporting deficiencies to Staff.
12. The parties will jointly file a request that the Commission issue a Notice of Hearing (the **Notice of Hearing**) to announce that it will hold a hearing (the **Settlement Hearing**) to consider whether, pursuant to sections 127 and 127.1 of the *Securities Act*, RSO 1980 c. s.5, as amended (the **Act**), it is in the public interest for the Commission to make certain orders against each of BTFL and BV.
13. The Respondents have also filed an application with the Commission, pursuant to sections 144 and 147 of the Act, requesting that the BTFL Order (defined in paragraph 20, below) be revoked and restated (the **Restated Order**) to exempt BTFL and BV from the requirement in subsection 21(1) of the Act to be recognized as an exchange and to allow for the trading of swaps and fixed income securities. The requested Restated Order requires that an application or filings for Subsequent Decisions (as defined in the Restated Order) to allow for the trading of swaps and debt securities be filed by January 31, 2021. The requested Restated Order will expire on June 30, 2021.
14. As part of the application or filings for the Subsequent Decisions, the Respondents must include a request for the registration and authorization of a Canadian affiliate as an alternative trading system, as that term is defined in National Instrument 21-101 *Marketplace Operation*.

PART II – JOINT SETTLEMENT RECOMMENDATION

15. Staff of the Commission (**Staff**) recommend settlement of the proceeding (the **Proceeding**) against the Respondents commenced by the Notice of Hearing, in accordance with the terms and conditions set out in Part V of this Settlement Agreement. The Respondents consent to the making of an order (the **Order**) substantially in the form attached as Schedule "A" to this Settlement Agreement based on the facts set out herein.
16. For the purposes of the Proceeding, and any other regulatory proceeding commenced by a securities regulatory authority, the Respondents agree with the facts set out in Part III of this Settlement Agreement and the conclusion in Part IV of this Settlement Agreement.

PART III – AGREED FACTS

A. RESPONDENTS

17. BTFL is a private limited company organized under the laws of England and Wales and is a wholly owned subsidiary of Bloomberg L.P., a Delaware limited partnership (**BLP**). BTFL has no physical presence in Ontario.
18. BV is a private limited company organized under the laws of the Netherlands and is a wholly owned subsidiary of BLP. BV has no physical presence in Ontario.

B. OVERVIEW AND BACKGROUND

19. In July 2015, BTFL was authorized by the United Kingdom Financial Conduct Authority to act as the operator of an MTF for interest rate swaps and credit default swaps. In 2016, the Financial Conduct Authority varied its authorization to allow BTFL's MTF to trade other financial instruments, including fixed income securities. Fixed income trading on BTFL's MTF became operational or "went live" on July 20, 2017. BTFL's MTF supports request-for-quote and request-for-trade functionality for professional client participants that onboard to BTFL's MTF by signing a user acknowledgement with BTFL.

20. In January 2019, BV was authorized by the Netherlands Authority for the Financial Markets to act as the operator of an MTF. Trading on BV's MTF became operational or "went live" on March 25, 2019. BV's MTF supports request-for-quote and request-for-trade functionality for professional client participants that onboard to BV's MTF by signing a user acknowledgement with BV.
21. For the purposes of Ontario securities law, each of BTFL's MTF and BV's MTF falls under the definition of "marketplace" set out in subsection 1(1) of the Act because each brings together buyers and sellers of securities or derivatives and use established, non-discretionary methods under which orders interact with each other.
22. Subsection 3.1(1) of the Companion Policy to National Instrument 21-101 *Marketplace Operation* provides that a "marketplace" is considered to be an "exchange" if it, among other things, sets requirements governing the conduct of marketplace participants. An MTF has certain obligations to monitor participants' trading activity and because an MTF sets requirements for the conduct of its participants and surveils the trading activity of its participants, it is considered by the Commission to be an "exchange" for purposes of the Act.
23. OSC Staff Notice 21-702 *Regulatory Approach for Foreign-Based Stock Exchanges* provides that the Commission considers an exchange located outside Ontario to be "carrying on business as an exchange" in Ontario if it provides Ontario participants with direct access to the exchange. This includes a participant with its headquarters or legal address in Ontario (e.g., as indicated by a participant's Legal Entity Identifier (LEI)) and all traders conducting transactions on its behalf, regardless of the traders' physical location (inclusive of non-Ontario branches of Ontario legal entities), as well as any trader physically located in Ontario who conducts transactions on behalf of any other entity.
24. Subsection 21(1) of the Act provides that no person or company shall carry on business as an exchange in Ontario unless recognized by the Commission.
25. During a time when neither BTFL nor BV was recognized by the Commission to carry on business as an exchange:
 - (a) Each of BTFL and BV onboarded Ontario participants to their respective MTFs and carried on business as an exchange by failing to prevent, or otherwise permitting, trading by Ontario participants, including fixed income securities transactions.
 - (b) Each of BTFL and BV filed an application with the Commission requesting an order to exempt them from the requirement to be recognized as an exchange. In their respective applications, both BTFL and BV did not provide accurate and complete disclosure of the fact that Ontario participants had already been onboarded and had already engaged in fixed income trading activity, which rendered the applications misleading to Staff and the Commission.
 - (c) In the case of BTFL, during Staff's 4-month review of BTFL's application for exemptive relief, BTFL did not provide accurate and complete disclosure to Staff of the fact that Ontario participants had already been onboarded and had already engaged in fixed income trading activity, which rendered the disclosure misleading to Staff.
26. On December 22, 2017, the Commission issued an interim exemptive relief order to BTFL exempting it from the requirement to be recognized as an exchange (the **BTFL Order**). The BTFL Order, which expires on December 31, 2020, included terms and conditions, including:
 - (a) A condition that BTFL will not provide access to Ontario users to trading in products other than swaps, and
 - (b) A condition that BTFL file quarterly reports with the Commission disclosing all trading by Ontario users of BTFL's MTF, including a breakdown by product traded and the total trading volume and value originating from Ontario participants.
27. In the time period following the date of the BTFL Order:
 - (a) BTFL failed to prevent, or otherwise permitted, trading in products other than swaps, including fixed income, by Ontario participants on BTFL's MTF, and
 - (b) BTFL filed quarterly reports that did not accurately and completely disclose such trading by Ontario participants on BTFL's MTF.

C. CARRYING ON BUSINESS AS AN EXCHANGE WITHOUT BEING RECOGNIZED OR EXEMPTED BY THE COMMISSION

(3) BTFL Carrying on Business as an Exchange Prior to December 22, 2017

28. On August 2, 2017, BTFL filed an application (the **BTFL Application**) with the Commission pursuant to section 147 of the Act requesting an interim order exempting BTFL from the requirement to be recognized as an exchange under subsection 21(1) of the Act. The BTFL Application included the following statements:

“17. Since the Applicant [BTFL] would provide Ontario Participants with direct access to trading of the MTF Instruments on the Bloomberg MTF, it will be considered by the Commission to be “carrying on business as an exchange” in Ontario, and therefore must either be recognized or exempt from recognition by the Commission;

18. The Applicant submits that an exemption from recognition is appropriate for the MTF because the MTF is subject to regulation by the FCA and full regulation by the Commission would be duplicative and inefficient”

29. The BTFL Application was written in a future-looking manner and conveyed that there would be Ontario participants at a future time. The BTFL Application did not disclose all material facts relating to BTFL’s MTF, including the fact that Ontario participants had already been onboarded and had already engaged in fixed income transactions on BTFL’s MTF, prior to the date of the BTFL Application.

30. During Staff’s ensuing review of the BTFL Application – which culminated in the BTFL Order – although BTFL had corresponded and spoken with Staff frequently, BTFL did not disclose to Staff the fact that Ontario participants had already been onboarded and had already engaged in fixed income transactions on BTFL’s MTF. Further, during these discussions between Staff and BTFL, Staff repeatedly advised BTFL that any interim exemptive relief order that might be considered by the Commission would exclude any authorization for BTFL’s MTF to facilitate fixed income trading by Ontario participants.

31. Unbeknownst to Staff and the Commission, prior to the issuance of the BTFL Order by the Commission, BTFL had onboarded Ontario participants to its MTF and had failed to prevent Ontario participants from engaging in fixed income securities transactions on its MTF. In particular:

- (a) BTFL had onboarded 18 Ontario participants to its MTF prior to the BTFL Order, with the first onboarding of an Ontario participant occurring on September 20, 2016.
- (b) The date on which an Ontario participant first conducted a fixed income trade or request for quote on BTFL’s MTF was July 20, 2017, approximately one month prior to the BTFL Application.
- (c) Five of the Ontario participants onboarded to BTFL’s MTF had conducted fixed income trading prior to the BTFL Order.

32. The aggregate principal amount of the fixed income trading by these five Ontario participants on BTFL’s MTF prior to the date of the BTFL Order was approximately \$57 billion USD.

33. BTFL did not earn fees or other compensation amounts respecting its exchange activities prior to the date of the BTFL Order.

(4) BV Carrying on Business as an Exchange

34. On March 20, 2019, BV filed an application (the **BV Application**) with the Commission pursuant to section 147 of the Act requesting an interim order exempting BV from the requirement to be recognized as an exchange under subsection 21(1) of the Act. The BV Application made express reference to BTFL and BTFL’s MTF and included the following statements:

“18. Since the Applicant [BV] would provide Ontario Participants with direct access to trading of the MTF Instruments on BTFE [BV’s MTF], it will be considered by the Commission to be “carrying on business as an exchange” in Ontario, and therefore must either be recognized or exempt from recognition by the Commission;

19. The Applicant submits that an exemption from recognition is appropriate for BTFE because BTFE is subject to regulation by the AFM [Netherlands Authority for the Financial Markets] and full regulation by the Commission would be duplicative and inefficient”

35. Similar to the BTFL Application, the BV Application was written in a future-looking manner and conveyed that there would be Ontario participants at a future time. The BV Application did not disclose all material facts relating to BV’s MTF, including the fact that an Ontario participant had already been onboarded. During Staff’s ensuing review of the BV Application, BV did not disclose to Staff the fact that Ontario participants had already been onboarded and had already engaged in fixed income securities transactions on BV’s MTF.

36. The Commission has not, to date, issued any order granting any exemptive relief to BV.
37. During the time period commencing March 2019 through to Q1 2020, a total of 16 Ontario participants were onboarded to BV's MTF. In particular:
- (a) Two days prior to the date of the BV Application, BV onboarded one Ontario participant to BV's MTF. This Ontario participant never traded fixed income securities on BV's MTF.
 - (b) The remaining 14 Ontario participants were onboarded to BV's MTF after the date of the BV Application.
 - (c) Two Ontario participants conducted fixed income securities trading on BV's MTF over a 1-year period through to Q1 2020.
38. The aggregate principal amount of the fixed income trading by these two Ontario participants was approximately \$4.4 billion USD.
39. BV earned fees relating to its exchange activities totaling \$13,440.50 USD.

D. BTFL FAILING TO COMPLY WITH TERMS AND CONDITIONS OF A COMMISSION ORDER

(1) Prohibition on Providing Access to Ontario Participants to Trading in Products other than Swaps

40. On October 25, 2018, BTFL disclosed to Staff for the first time that it had identified "limited" fixed income trading activity on its MTF by traders physically located in Ontario on behalf of four Ontario participants. BTFL subsequently provided further details to Staff which identified the following:
- (a) Following December 22, 2017 and continuing through to October 25, 2018, 11 of the 15 Ontario participants onboarded to BTFL's MTF conducted fixed income trading, contrary to the terms and conditions contained in the BTFL Order. Four of these 15 Ontario participants never conducted any fixed income trading on BTFL's MTF.
 - (b) The aggregate principal amount of the fixed income securities trading by Ontario participants on BTFL's MTF from the date of the BTFL Order (December 22, 2017) through to October 25, 2018 was approximately \$171.5 billion USD and representing 3.09% of all fixed income trading on BTFL's MTF during that time.
41. BTFL earned fees relating to the fixed income securities trading by Ontario participants on BTFL's MTF through to November 1, 2018 totaling approximately \$688,496.30 CAD.

(2) Overlapping Fixed Income Trading Activity

42. A limited amount of fixed income trading on BTFL's MTF described above was conducted by (i) a small number of traders located in Québec on behalf of two entities represented by an LEI whose legal entity address and headquarters address are located in Ontario, (ii) a small number of traders located in Ontario on behalf of an entity represented by an LEI whose legal entity address and headquarters address are located in Québec, and (iii) traders located in Ontario, Québec, and elsewhere on behalf of an entity represented by an LEI whose legal entity address is located in Québec and headquarters address is located in Ontario (the "**Overlapping Activity**"). The amount of fees attributed to the Overlapping Activity up to November 1, 2018 is \$25,191.08 CAD.
43. For the purposes of this Settlement Agreement, notwithstanding that it would otherwise fall within the scope of this Settlement Agreement, Staff and the Respondents agree to carve out the fees attributable to the Overlapping Activity. Therefore, the fees at issue are \$663,305.20 CAD.

(3) Requirement to File Quarterly Reports

44. Following December 22, 2017 and continuing through to Q2 2019, BTFL filed quarterly reports with the Commission that were inaccurate and incomplete as they did not accurately disclose the fixed income securities trading particulars, including those described in paragraph 34 above.

E. MITIGATING FACTORS

45. Staff have considered the above and certain mitigating factors in arriving at the monetary amounts set out below. The methodology is set out in **Schedule "B"** to the Settlement Agreement entitled "Calculation of Payment". It includes the nature and seriousness of the conduct.

46. Staff acknowledges BTFL's and BV's exemplary cooperation in resolving this matter, as well as the following:

(1) Undertaking Internal Investigation

47. When the matters at issue in this Settlement Agreement were brought to the Respondents' attention, the Respondents reported the issues to Staff and proactively initiated a counsel-led privileged internal investigation (the "**Internal Investigation**") to:

- (a) assess Staff's asserted position on non-compliance;
- (b) determine the scope and extent of the alleged non-compliant activity;
- (c) determine the cause of any determined non-compliant conduct and activity;
- (d) determine whether any non-compliance was intentional; and
- (e) begin to develop and implement a remediation program as required.

48. The Respondents shared the results of the Internal Investigation with Staff and provided Staff with non-privileged and relevant documents as well as information learned during numerous witness interviews.

49. The results of the Internal Investigation are summarized in paragraph 60 below including the finding that there was no evidence of dishonest conduct or any intention to deceive.

50. As a result of the Respondents' exemplary cooperation, this matter was able to be dealt with expeditiously, significantly limiting any enforcement costs and leading to a prompt resolution.

(2) Compliance Remediation

51. Upon identifying and confirming that traders located in Ontario were engaging in fixed income trading on its MTF, the Respondents have:

- (a) developed and implemented a new technological control designed to close the controls gap that failed to prevent traders located in Ontario from trading fixed income on the Respondents' MTFs; and
- (b) developed and implemented a new internal tool for documenting and communicating asset class restrictions by jurisdiction.

52. The Respondents continue to make investments in their compliance program and technological controls and are evaluating certain additional remedial steps to take to strengthen their compliance programs. These further steps will be detailed in the internal review referenced at paragraph 62(b).

(3) The Respondents' Intent was Bona Fide

53. The Respondents had a bona fide belief based on legal advice that they were not acting contrary to Ontario law, as described in paragraph 60 below.

F. REGULARIZATION OF ACTIVITIES

54. BTFL and BV shall file a complete and accurate application for a Subsequent Decision (as defined in the Restated Order) in accordance with the timing set out in the Restated Order. For greater certainty, going forward the Respondents shall apply the definition of Ontario participant set out at paragraph 17 in connection with their Ontario-related operations.

55. The Respondents must submit the internal review report to Staff regarding compliance practices and procedures required by paragraph 62(b) by March 31, 2021. The report must describe all changes made to BTFL or BV's policies and procedures in response to the review or any proposed changes which the Respondents are otherwise committed to implement.

56. In light of:

- (a) the impending expiry of the BTFL Order on December 31, 2020;
- (b) the specific facts and circumstances underlying this Settlement Agreement;
- (c) the MTFs operated by BTFL and BV being important sources of liquidity to current Ontario users;
- (d) the fact that an interruption of Ontario users' access to the MTFs operated by BTFL and BV could disrupt the capital markets; and

- (e) the potential burden that a denial of access to trading on the MTFs operated by BTFL and BV would have on current Ontario users,

BTFL and BV have filed an application requesting the Restated Order. In addition, as described in the requested Restated Order, BTFL and BV shall take such steps as appropriate to satisfy the requirements of Staff and the Commission for offering trading of derivatives and fixed income securities to Ontario users prior to the expiry of the Restated Order.

PART IV – NON-COMPLIANCE WITH ONTARIO SECURITIES LAW AND CONDUCT CONTRARY TO THE PUBLIC INTEREST

57. The Settlement Agreement reflects the Respondents' admission to breaches of Ontario securities laws and/or conduct contrary to the public interest, including:
- (a) Both BTFL and BV failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on their respective MTFs before seeking recognition or an exemption order from the Commission.
 - (b) Both BTFL and BV filed inaccurate and incomplete information with their applications to the Commission requesting orders exempting them from the requirement to be recognized as an exchange. Specifically, neither BTFL nor BV disclosed the fact that:
 - i) Ontario participants had already been onboarded to their respective MTFs; and
 - ii) Ontario participants had already engaged in fixed income trading activity on their respective MTFs.
 - (c) After the Commission issued an interim exemptive relief order to BTFL that exempted BTFL from the requirement to be recognized as an exchange, but prohibited BTFL from providing Ontario participants with access to trading in products other than swaps, BTFL failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on BTFL's MTF.
 - (d) In the period after BTFL obtained an interim exemptive relief order, BTFL filed quarterly reports with the Commission that did not accurately and completely disclose the fixed income trading by Ontario participants on BTFL's MTF.
58. BTFL acknowledges and admits that, during the time periods set out below, it engaged in the following conduct contrary to Ontario securities law and contrary to the public interest:
- (a) During the time period commencing July 2017 and continuing through to the date of the BTFL Order on December 22, 2017, BTFL carried on business as an exchange in Ontario without being recognized or exempted by the Commission, contrary to subsection 21(1) of the Act.
 - (b) The BTFL Application filed with the Commission contained inaccurate and incomplete information insofar as BTFL did not disclose the fact that Ontario participants had already been onboarded to BTFL's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.
 - (c) BTFL, in the course of responding to Staff's questions relating to Staff's review of the BTFL Application, provided incomplete information insofar as BTFL did not disclose the fact that Ontario participants had already been onboarded to BTFL's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.
 - (d) During the time period commencing December 22, 2017 and continuing through to October 25, 2018, BTFL failed to administer appropriate systems and controls to prevent Ontario participants from engaging in fixed income securities transactions on BTFL's MTF, contrary to the terms and conditions of the BTFL Order.
 - (e) During the time period commencing December 22, 2017 and continuing through to Q2 2019, BTFL filed quarterly reports that did not accurately and completely disclose Ontario participants' fixed income securities transactions on BTFL's MTF, contrary to the terms and conditions of the BTFL Order.
59. BV acknowledges and admits that, during the time periods set out below, it engaged in the following conduct contrary to Ontario securities law and contrary to the public interest:
- (a) During the time period commencing March 2019 and continuing through to Q1 2020 BV carried on business as an exchange in Ontario without being recognized or exempted by the Commission, contrary to subsection 21(1) of the Act.
 - (b) The BV Application filed with the Commission contained inaccurate and incomplete information insofar as BV did not disclose the fact that Ontario participants had already been onboarded to BV's MTF, contrary to the public interest.

- (c) BV, in the course of responding to Staff's questions relating to Staff's review of the BV Application, provided incomplete information insofar as BV did not disclose the fact that Ontario participants had already been onboarded to BV's MTF and that Ontario participants had already engaged in fixed income securities transactions, contrary to the public interest.

PART V – RESPONDENTS' POSITION

60. The Respondents intend to request, and Staff do not object, that the panel at the Settlement Hearing consider the following mitigating circumstances:
- (a) At no time did the Respondents intend to, or knowingly, act contrary to their regulatory obligations, by failing to prevent certain trading activities on the MTFs, or by providing inaccurate or incomplete information to Staff, or to mislead Staff in any way:
 - i) At all material times, the Respondents had a good faith belief that they were not carrying on business as an exchange in Ontario within the meaning of Ontario law, with respect to trading by traders located outside of Ontario, and understood that the definition of Ontario participants and Ontario users related only to traders physically located in Ontario, regardless of the entity on behalf of whom they traded.
 - ii) The Respondents' good faith understanding of their Ontario regulatory obligations and the definition of Ontario participants and Ontario users was based on legal advice from external counsel and supported by views and practices of others in the market, that the Respondents believed was correct.
 - iii) Prior to reporting the issues in October 2018 to Staff, the Respondents discovered a gap in their technological controls that failed to properly identify and prevent traders physically located in Ontario from engaging in sell-side fixed income trading on the BTFL's MTF. Prior to this discovery, the Respondents were not aware that traders physically located in Ontario were engaging in sell-side fixed income trading on BTFL's MTF. This sell-side fixed income trading was the only fixed income trading facilitated on BTFL's MTF by traders physically located in Ontario.
 - iv) The control gap which failed to prevent the sell-side fixed income trading by traders located in Ontario was accompanied by a failure within the organization to appropriately communicate the relevant Ontario regulatory obligations effectively throughout the business.
 - v) The Internal Investigation found no evidence of any intention to withhold information from Staff which was required to be provided, or to provide information that was less than accurate.
 - (b) The implementation of multiple significant international regulatory changes contributed to the shortcomings and non-compliance described in this Settlement Agreement.
 - (c) The Respondents notified Staff on October 25, 2018 that traders located in Ontario were engaging in sell-side fixed income trading on BTFL's MTF. The Respondents subsequently worked and continue to work with Staff to resolve and remediate its breaches cooperatively and in a manner that did not disrupt the Ontario capital markets.
 - (d) The Respondents demonstrated a bona fide commitment to cooperation and ongoing remediation in this matter as acknowledged by Staff at paragraphs 0 to 50.

PART VI – TERMS OF SETTLEMENT

61. The Respondents agree to the terms of settlement set forth below.
62. The Respondents consent to the Order substantially in the form attached as **Schedule "A"**, pursuant to which it is ordered that:
- (a) The Settlement Agreement be approved;
 - (b) The Respondents will each conduct an internal review of their compliance practices and procedures relating to ensuring compliance with Ontario securities laws, and institute any necessary changes in accordance with the process set forth in **Schedule "A"** to the Order, pursuant to paragraph 4 of subsection 127(1) of the Act;
 - (c) The Respondents must submit an internal review report to Staff describing all changes made, or which they propose to make, to their compliance policies and procedures in response to their internal review by March 31, 2021.

- (d) The Respondents will disgorge to the Commission amounts obtained as a result of non-compliance with Ontario securities law in the amount of \$663,305.20, pursuant to paragraph 10 of subsection 127(1) of the Act;
- (e) The Respondents will pay an administrative penalty in the amount of \$2,506,011.80, pursuant to paragraph 9 of subsection 127(1) of the Act;
- (f) The amounts referred to in paragraphs (d) and (e) above shall be designated for allocation or use by the Commission in accordance with section 3.4(2)(b)(i) or (ii) of the Act.

63. The Respondent acknowledges that the Settlement Agreement and the Order may form the basis for orders of parallel effect in other jurisdictions in Canada. The securities laws of some other Canadian jurisdictions allow orders made in this manner to take effect in those other jurisdictions automatically, without further notice to the Respondents.

PART VII – FURTHER PROCEEDINGS

- 64. If the Commission approves the Settlement Agreement, Staff will not commence or continue any proceeding against the Respondents under Ontario securities law based on the misconduct described in Part III of the Settlement Agreement, unless the Respondents fail to comply with any term in the Settlement Agreement, in which case Staff may bring proceedings under Ontario securities law against the Respondents that may be based on, among other things, the facts set out in Part III of the Settlement Agreement as well as the breach of the Settlement Agreement.
- 65. The Respondents acknowledge that, if the Commission approves the Settlement Agreement and the Respondents fail to comply with any term in it, Staff or the Commission are entitled to bring any proceedings necessary to, among other things, recover the amounts set out in sub-paragraphs 0 and 62(e), above.
- 66. The Respondents waive any defences to a proceeding referenced in paragraphs 58 and 39 that are based on the limitation period in the Act, provided that no such proceeding shall be commenced later than six years from the date of the occurrence of the last failure to comply with the Settlement Agreement.

PART VIII – PROCEDURE FOR APPROVAL OF SETTLEMENT

- 67. The parties will seek approval of the Settlement Agreement at the Settlement Hearing before the Commission, which shall be held on a date determined by the Secretary to the Commission in accordance with the Settlement Agreement and the Commission's Rules of Procedure, dated July 23, 2019.
- 68. The Respondents may have a representative attend the Settlement Hearing in person or have counsel attend the Settlement Hearing on their behalf.
- 69. The parties confirm that the Settlement Agreement sets forth all of the agreed facts that will be submitted at the Settlement Hearing, unless the parties agree that additional facts should be submitted at the Settlement Hearing.
- 70. If the Commission approves the Settlement Agreement:
 - (a) the Respondents irrevocably waive all rights to a full hearing, judicial review or appeal of this matter under the Act; and
 - (b) neither party will make any public statement that is inconsistent with the Settlement Agreement or with any additional agreed facts submitted at the Settlement Hearing.
- 71. Whether or not the Commission approves the Settlement Agreement, the Respondents will not use, in any proceeding, the Settlement Agreement or the negotiation or process of approval as the basis for any attack on the Commission's jurisdiction, alleged bias, alleged unfairness or any other remedies or challenges that may be available.

PART VIII – DISCLOSURE OF SETTLEMENT AGREEMENT

- 72. If the Commission does not make the Order:
 - (a) the Settlement Agreement and all discussions and negotiations between Staff and the Respondents before the Settlement Hearing will be without prejudice to Staff and the Respondents; and
 - (b) Staff and the Respondents will each be entitled to all available proceedings, remedies and challenges, including proceeding to a hearing on the merits of the allegations contained in the Statement of Allegations in respect of the Proceeding. Any such proceedings, remedies and challenges will not be affected by the Settlement Agreement, or by any discussions or negotiations relating to the Settlement Agreement.

73. The parties will keep the terms of the Settlement Agreement confidential until the Settlement Hearing, unless they agree in writing not to do so or unless otherwise required by law.

PART IX – EXECUTION OF SETTLEMENT AGREEMENT

74. The Settlement Agreement may be signed in one or more counterparts which together constitute a binding agreement.
75. A facsimile copy or other electronic copy of any signature will be as effective as an original signature.

DATED at Norwich, Norfolk, United Kingdom, this 15th day of December, 2020.

“Daniel Vogel”
Witness

BLOOMBERG TRADING FACILITY LIMITED

“Nicholas Bean”
Chief Executive Officer

BLOOMBERG TRADING FACILITY B.V.

“Nicholas Bean”
Chief Executive Officer

DATED at Toronto, Ontario, this 14th day of December, 2020.

ONTARIO SECURITIES COMMISSION

“Jeff Kehoe”
Director, Enforcement Branch

IN THE MATTER OF
**BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.**

Wendy Berman, Vice-Chair and Chair of the Panel
M. Cecilia Williams, Commissioner
Frances Kordyback, Commissioner

[Date]

ORDER

(Sections 127 and 127.1 of the *Securities Act*, RSO 1990, c S.5)

WHEREAS on December X, 2020, the Ontario Securities Commission (the **Commission**) held a hearing by video conference to consider the request made jointly by Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. (collectively, the **Respondents**) and Staff of the Commission (**Staff**) for approval of a settlement agreement dated December X, 2020 (the **Settlement Agreement**);

ON READING the Statement of Allegations dated December X, 2020, the Settlement Agreement and the written submissions of Staff and on hearing the submissions of Staff and the representatives for the Respondents;

IT IS ORDERED THAT:

1. the Settlement Agreement is approved;
2. the Respondents shall each conduct an internal review of their compliance practices and procedures relating to ensuring compliance with Ontario securities laws, and institute any necessary changes in accordance with the process set forth in Schedule "A" to the Order, pursuant to paragraph 4 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**);
3. The Respondents shall submit an internal review report to Staff describing all changes made, or which they propose to make, to their compliance policies and procedures in response to their internal review by March 31, 2021;
4. the Respondents shall disgorge to the Commission amounts obtained as a result of non-compliance with Ontario securities law in the amount of \$663,305.20, pursuant to paragraph 10 of subsection 127(1) of the Act;
5. the Respondents shall pay an administrative penalty in the amount of \$2,506,011.80 pursuant to paragraph 9 of subsection 127(1) of the Act; and
6. the amounts referred to in paragraphs 3 and 4 above shall be designated for allocation or use by the Commission in accordance with section 3.4(2)(b)(i) or (ii) of the Act.

"Wendy Berman"

"M. Cecilia Williams"

"Frances Kordyback"

SCHEDULE "A" TO THE ORDER

File No. 2020-39

IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED and
BLOOMBERG TRADING FACILITY B.V.

Bloomberg Internal Review of MTF (BTFL and BTFE) Compliance Practices and Procedures Relating to Ensuring Compliance with Ontario Securities Laws

1. **Inventory:** Create an Inventory of all requirements within the MTFs' OSC Exemptive Orders, including the Restated Order, as defined in the Settlement Agreement, and any additional Ontario Securities Law provisions applicable to the MTFs (each, an "Ontario Legal Obligation").
2. **Document Mapping:** Map internal MTF policies, rulebook(s), manual(s), standards, and procedures ("Policy Documents") to each Ontario Legal Obligation in the Inventory, and assess to confirm sufficient coverage of each Ontario Legal Obligation within one or more Policy Documents. Enhance Policy Documents, if needed, to address any gaps in coverage.
3. **Control Mapping:** Map key controls to each Ontario Legal Obligation, including access controls across asset classes and controls for monitoring participant activity across asset classes, and assess to confirm control coverage for each Legal Obligation is appropriate.
4. **Key Control Testing:** Test effectiveness of key controls. Bloomberg Compliance Testing will test control design and/or control performance (operating effectiveness), as appropriate, for each key control.
5. **Internal Review Report:** Summarize findings and identified issues, including any recommended areas for enhancement in a Compliance Testing Report (the "Internal Review Report"). Identified issues will be tracked to completion via the Firms' standard issue management processes

DATED at , this day of December, 2020.

SCHEDULE "B"

CALCULATION OF PAYMENT

1. Staff have approached the calculation of the payment by BTFL and BV to account for certain principles, which are described below together with Staff's analysis.

Four-Step Methodology

2. Staff have considered a four-step methodology to the calculation.

Step 1: Disgorgement

3. BTFL earned fees of \$507,463.24 USD from trading in fixed income securities by Ontario users on BTFL's MTF through to October 25, 2018. The effective USD to CAD exchange rate on October 25, 2018 was 1.3071, bringing to BTFL's fees from fixed income trading by Ontario users through to October 25, 2018 to \$663,305.20.

Step 2: The Seriousness of The Conduct

4. The Respondents' conduct was serious:
 - (a) Both BTFL and BV failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on their respective MTFs before seeking recognition or an exemption order from the Commission.
 - (b) Both BTFL and BV filed inaccurate and incomplete information with their applications to the Commission requesting orders exempting them from the requirement to be recognized as an exchange. Specifically, neither BTFL nor BV disclosed the fact that:
 - i) Ontario participants had already been onboarded to their respective MTFs; and
 - ii) Ontario participants had already engaged in fixed income trading activity on their respective MTFs.
 - (c) After the Commission issued an interim exemptive relief order to BTFL that exempted BTFL from the requirement to be recognized as an exchange, but prohibited BTFL from providing Ontario participants with access to trading in products other than swaps, BTFL failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on BTFL's MTF.
 - (d) In the period after BTFL obtained an interim exemptive relief order, BTFL filed quarterly reports with the Commission that did not accurately and completely disclose the fixed income trading by Ontario participants on BTFL's MTF.
5. At Step 2 Staff have considered a figure that reflects the seriousness of the conduct described above. Taking all of these factors into account, Staff have determined that disgorgement amount of \$663,305.20 appropriately reflects the seriousness of the Respondents' misconduct.
6. Staff have also determined that it is appropriate to apply interest to the amount of the disgorgement (\$663,305.20). The applicable interest for the period from October 25, 2018 through July 29, 2020 using the 1.75% Bank of Canada interest rate in effect as of October 25, 2018 is \$20,434.89.
7. Step 2 is therefore \$683,740.09.

Step 3: Adjustment for deterrence

8. In Step 3, Staff have considered whether the figure arrived at after Step 2 is insufficient to deter the Respondents or other market participants. Staff consider that adding the following specified amount for each of three periods of time to be appropriate.
 - (a) **Period 1** – From September 23, 2016 (when BTFL first onboarded an Ontario user without recognition or an exemption) to December 21, 2017 (when the Commission issued the BTFL Order): \$1,500,000;
 - (b) **Period 2** - From December 22, 2017 (after the Commission issued the BTFL Order) to October 25, 2018 (when BTFL first disclosed to Staff that it had identified limited fixed income trading by Ontario users on BTFL's MTF): \$1,100,000; and

(c) **Period 3** – From October 26, 2018 (after BTFL's first disclosure to Staff) to March 31, 2019 (when BTFL and BV filed the last quarterly report that failed to accurately and completely disclose Ontario participants' fixed income trading activity on BTFL and BV's respective MTFs): \$571,662.68.

9. The total amount for these three periods is \$3,171,662.68. Adding the total of Step 2 to this amount brings the Step 3 total to \$3,855,402.77.

Step 4: Settlement Discount

10. Staff consider that the exemplary cooperation during this investigation as well as the early settlement by BTFL and BV merit a significant discount of 35% to the amount referred to in Step 3. The application of Step 4 results in a total administrative penalty of \$2,506,011.80.

11. The total payment equals \$3,169,317, including an administrative penalty of \$2,506,011.80 and disgorgement of \$663,305.20.

This page intentionally left blank

Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V. – ss. 127, 127.1

Citation: *Bloomberg Trading Facility Limited (Re)*, 2020 ONSEC 31

Date: 2020-12-18

File No.: 2020-39

**IN THE MATTER OF
BLOOMBERG TRADING FACILITY LIMITED AND
BLOOMBERG TRADING FACILITY B.V.**

**REASONS FOR APPROVAL OF A SETTLEMENT
(Sections 127 and 127.1 of the *Securities Act*, RSO 1990, c S.5)**

Hearing:	December 18, 2020	
Decision:	December 18, 2020	
Panel:	Wendy Berman	Vice-Chair and Chair of the Panel
	M. Cecilia Williams	Commissioner
	Frances Kordyback	Commissioner
Appearances:	Rikin Morzaria	For Staff of the Commission
	Lawrence Ritchie	For Bloomberg Trading Facility Limited and Bloomberg Trading Facility B.V.
	Seth Whitmore	

REASONS FOR APPROVAL OF A SETTLEMENT

I. OVERVIEW

- [1] Staff of the Ontario Securities Commission (**Staff of the Commission**), Bloomberg Trading Facility Limited (**BTFL**) and Bloomberg Trading Facility B.V. (**BV**) (collectively the **Respondents**) have jointly submitted that it would be in the public interest for us to approve a settlement agreement among the parties dated December 14, 2020 (the **Settlement Agreement**) and to issue the requested order.
- [2] This matter concerns allegations against the Respondents described in the Statement of Allegations dated December 14, 2020 relating to the Respondents operating a marketplace in Ontario, and in particular an exchange, without being recognized or exempted by the Commission contrary to subsection 21(1) of the *Securities Act*¹ (the **Act**).
- [3] After considering the Settlement Agreement and the submissions of the parties, we concluded that it would be in the public interest to approve the Settlement Agreement. These are our reasons.

II. SUMMARY OF THE FACTS

- [4] The underlying facts and the specific breaches of Ontario securities laws are fully set out in the Settlement Agreement, which has been filed with the Commission and is publicly available. Accordingly, we need not repeat them in detail here.
- [5] In summary, both Respondents operate multilateral trading facilities (**MTFs**) that facilitate the buying and selling of securities and derivatives and admit that they engaged in conduct that contravened Ontario securities laws and was contrary to the public interest as follows:

¹ RSO 1990, c S.5

- a. prior to obtaining recognition or an exemptive order, the Respondents each carried on business as an exchange in Ontario by failing to prevent, or otherwise permitting, fixed income trading by Ontario participants on their MTFs contrary to subsection 21(1) of the Act;
- b. after BTFL obtained an exemptive order, it failed to prevent, or otherwise permitted, fixed income trading by Ontario participants on its MTF contrary to the terms and conditions of the exemptive order and it filed quarterly reports with the Commission that failed to accurately and completely disclose such fixed income trading;
- c. over a 15-month period, BTFL provided 18 institutional Ontario participants with access to trade in fixed income securities and 11 of the 18 Ontario participants conducted fixed income trading on BTFL's MTF in the principal amount of approximately \$228.5 billion USD;
- d. over a 12-month period, BV provided 16 institutional Ontario participants with access to trade in fixed income securities and that two of the 16 Ontario participants conducted fixed income trading on BV's MTF in the principal amount of approximately \$4.4 billion USD;
- e. the Respondents provided inaccurate and incomplete information with their applications to the Commission requesting exemptive relief from the requirement to be recognized as an exchange;
- f. BTFL earned fees relating to the fixed income securities trading by Ontario participants on BTFL's MTF totaling approximately \$663,305.20 CAD (excluding fees of \$25,191.08 CAD related to limited trading conducted by traders located in Quebec and limited trading on behalf of an entity located in Quebec); and
- g. BV earned fees relating to its exchange activities totaling approximately \$13,440.50 USD.

[6] As part of the Settlement Agreement, the parties agreed to various sanctions as follows:

- a. the Respondents will disgorge to the Commission the amount of \$663,305.20;
- b. the Respondents will pay an administrative penalty in the amount of \$2,506,011.80; and
- c. the Respondents will each conduct an internal review of their compliance practices and procedures relating to ensuring compliance with Ontario securities laws, and institute any necessary changes in accordance with the process set forth in Schedule "A" to the draft order.

[7] The Respondents agreed to pay the disgorgement and administrative penalty, in the total amount of \$3,169,317, in advance of this hearing. Staff confirmed that the Respondents have done so.

III. LAW AND ANALYSIS

[8] The Commission's role at a settlement hearing is to determine whether the terms of the settlement fall within a range of reasonable outcomes and whether the approval of the settlement is in the public interest.²

[9] The Settlement Agreement is the result of lengthy negotiations between Staff and the Respondents, all ably represented by counsel. The Commission respects the negotiation process and accords significant deference to the resolution reached by the parties.³

[10] Settlements serve the public interest in resolving regulatory proceedings promptly, efficiently and with certainty. Settlements avoid the significant resources that would be incurred in a contested proceeding and promote timely statements regarding regulatory requirements and standards to all capital market participants.

[11] We have reviewed the Settlement Agreement in detail and considered the submissions of counsel for the parties. We also conducted a confidential settlement conference with counsel for the parties during which we reviewed the proposed settlement agreement, asked questions of counsel and heard their submissions.

[12] In assessing whether it is in the public interest to approve the settlement, we considered various aggravating and mitigating factors.

[13] The breaches of Ontario securities law in this matter are serious and occurred over a lengthy time period. The requirements that foreign and domestic marketplaces obtain authorization from the Commission to operate in Ontario, comply with any terms and conditions of such authorization and have robust systems of control to ensure compliance with Ontario securities laws are critical to ensuring investor protection, addressing systemic risk and maintaining confidence in the integrity of the Ontario capital markets.

² *Research in Motion Limited (Re)*, 2009 ONSEC 19, (2009) 32 OSCB 4434 (**Research in Motion**) at paras 44-46
³ *Katanga Mining Limited (Re)*, 2018 ONSEC 59, (2018) 41 OSCB 9987 at para 18; *Research in Motion* at para 45

- [14] The Respondents are experienced and sophisticated market participants. However, Staff does not allege dishonest conduct or intentional misconduct by the Respondents. Further, the Respondents have accepted responsibility for their actions through detailed admissions without the need for protracted proceedings and proactively took steps to promptly remediate their non-compliance in cooperation with Staff.
- [15] We considered the following mitigating factors to be particularly relevant:
- a. the Respondents provided exemplary cooperation throughout Staff's investigation and the resolution of this matter;
 - b. the Respondents identified and reported the issues in this matter to Staff;
 - c. the Respondents proactively initiated a counsel-led internal investigation, shared the results of the internal investigation with Staff and provided non-privileged relevant documents as well as information learned during numerous witness interviews to Staff;
 - d. the Respondents proactively developed and implemented a compliance remediation program and have continued to make investments in their compliance program and technological controls; and
 - e. the Respondents had a good faith belief that they were not carrying on a business as an exchange in Ontario based on legal advice.
- [16] We note that Staff relied upon a four-step methodology for calculating disgorgement and the administrative penalty which is detailed in Schedule B to the Settlement Agreement. Staff advised that this methodology has been utilized in certain prior settlement agreements which were approved by the Commission.⁴
- [17] We reviewed the methodology in detail, asked questions of Staff and considered their responses. We did not find this formulaic approach helpful in establishing a foundation for the quantum of the administrative penalty in this matter. We did not rely on this methodology in determining whether the monetary sanctions were within a range of reasonable outcomes.
- [18] As outlined above, we considered the totality of the circumstances, including seriousness of the misconduct, the Respondents' sophistication and experience, the nature and duration of the non-compliant activity, the quantum of fees earned from the non-compliant activity, the Respondents' conduct in promptly addressing the misconduct, the Respondents' good faith reliance on legal advice and the Respondents' exemplary cooperation in this matter in our assessment of the monetary sanctions.

IV. CONCLUSION

- [19] In our view, the terms of the Settlement Agreement fall within a range of reasonable dispositions in the circumstances and will have a significant deterrent effect on the Respondents and other domestic and foreign marketplaces from carrying on business in the Ontario capital market without proper authorization or without adequate internal controls and compliance systems.
- [20] In our view, the disgorgement and administrative penalties appropriately reflect the principles applicable to sanctions, including the importance of fostering investor protection and confidence in the market, recognition of the seriousness of the misconduct, the need for specific and general deterrence and the importance of cooperation by market participants in promptly addressing misconduct. In addition, the review to be conducted by the Respondents will ensure ongoing robust internal controls and compliance systems designed to avoid future contraventions of Ontario securities laws.
- [21] For these reasons, we conclude that the Settlement Agreement is in the public interest. We approve the Settlement Agreement on the terms proposed by the parties and will issue an order substantially in the form requested.

Dated at Toronto this 18th day of December 2020.

"Wendy Berman"

"M. Cecilia Williams"

"Frances Kordyback"

⁴ *The Toronto-Dominion Bank (Re)*, 2019 ONSEC 29, (2019) 42 OSCB 7273; *Royal Bank of Canada (Re)*, 2019 ONSEC 30, (2019) 42 OSCB 7275

3.1.2 Dino Paolucci – ss. 127(1), 127(10)

Citation: *Paolucci (Re)*, 2020 ONSEC 32

Date: 2020-12-21

File No.: 2020-25

IN THE MATTER OF
DINO PAOLUCCI

REASONS AND DECISION
(Subsections 127(1) and 127(10) of the *Securities Act*, RSO 1990, c S.5)

Hearing: In Writing
Decision: December 21, 2020
Panel: Wendy Berman Vice-Chair and Chair of the Panel
Submissions: Vivian Lee For Staff of the Commission
No submissions made by or on behalf of Dino Paolucci

REASONS AND DECISION

I. OVERVIEW

- [1] On September 6, 2019, Dino Paolucci was convicted in the United States District Court for the Eastern District of Pennsylvania (the **US Court**) of four counts of securities fraud in violation of Title 15 of the United States Code, Sections 78j(b) and 78ff, Title 17 of the Code of Federal Regulations, Section 240.10b-5, and Title 18 of the United States Code, Section 2. After pleading guilty to the offences,¹ Mr. Paolucci was sentenced to 84 months of imprisonment and ordered to forfeit US\$2 million.²
- [2] Staff of the Ontario Securities Commission (**Staff**) applies for a protective order in the public interest pursuant to s. 127(10) of the *Securities Act*, RSO 1990 c S.5 (the **Act**), which provides that an order may be made under s. 127(1) of the Act against a person who has been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities or derivatives. Staff submits that this precondition has been met and that it is in the public interest based on these circumstances to make an inter-jurisdictional enforcement order permanently prohibiting Mr. Paolucci from participating in Ontario's capital markets.
- [3] For the reasons that follow, I find that Mr. Paolucci's conviction arose from a course of conduct related to securities, and that it is in the public interest to permanently prohibit Mr. Paolucci's participation in Ontario's capital markets by issuing the order requested by Staff.

II. SERVICE AND PARTICIPATION

- [4] Staff served Mr. Paolucci with the Notice of Hearing, Statement of Allegations and Staff's hearing brief, written submissions and brief of authorities by courier at the US correctional facility where Mr. Paolucci is currently incarcerated.³ Staff obtained confirmation from a representative of the US correctional facility that Mr. Paolucci personally received these materials on August 12, 2020.⁴
- [5] I find that service was properly effected on Mr. Paolucci on August 12, 2020.
- [6] Staff elected to proceed by way of the expedited procedure for a written hearing provided for in the Commission's *Rules of Procedure and Forms*.⁵ As stated on the Notice of Hearing, Mr. Paolucci had 21 days from the date of service to file a request for an oral hearing, and 28 days from the date of service to file a hearing brief and written submissions. The deadlines for Mr. Paolucci to request an oral hearing and to serve and file written submissions have passed. No request for an oral hearing was made and no materials were filed by or on behalf of Mr. Paolucci.

¹ Exhibit 1, Staff's Hearing Brief, Transcript of Change of Plea Hearing Before the Honorable Eduardo C. Robreno United States District Court Judge dated September 6, 2019, Tab 2 (**Guilty Plea Transcript**) at 35

² Exhibit 1, Staff's Hearing Brief, Transcript of Sentencing Hearing before the Honorable Eduardo C. Robreno United States District Court Judge dated December 10, 2019, Tab 3 (**Reasons for Sentence**) and Judgment in a Criminal Case of the United States District Court for the Eastern District of Pennsylvania dated December 10, 2019, Tab 4 (**Judgment**)

³ Affidavit of Service of Michelle Spain, sworn August 13, 2020

⁴ Supplementary Affidavit of Service of Michelle Spain, sworn October 6, 2020

⁵ (2019) 42 OSCB 9714 (**OSC Rules of Procedure**), r 11(3)

- [7] Pursuant to the *Statutory Powers Procedure Act*⁶ and the OSC Rules of Procedure,⁷ the Commission may proceed in the absence of a party who has been provided adequate notice of a proceeding. I am satisfied that Mr. Paolucci was provided with adequate notice of this proceeding and that I may proceed in his absence.
- [8] On December 3, 2020, Staff filed a copy of the US government's change of plea memorandum dated September 6, 2019 in respect of Mr. Paolucci's guilty plea (the **Change of Plea Memorandum**).⁸
- [9] Staff confirmed with a member of the US Department of Justice that the Change of Plea Memorandum is the document referenced as the "plea memorandum" and the "sentencing guilty plea memorandum" at both the change of plea and sentencing hearings before the US Court.⁹
- [10] The Change of Plea Memorandum was not contained in Staff's hearing brief. As Mr. Paolucci has failed to participate in this proceeding and this document is part of the criminal proceedings against him before the US Court, I have granted Staff's request to waive any requirement for service of this document on Mr. Paolucci in accordance with the OSC Rules of Procedure¹⁰ and to admit this document as part of the record in this proceeding.

III. FACTUAL BACKGROUND

A. Conduct at Issue, Guilty Plea and Conviction

- [11] Mr. Paolucci is a resident of Ontario and has never been registered with the Commission in any capacity.¹¹
- [12] As part of the guilty plea before the US Court, Mr. Paolucci admitted the facts contained in pages 3 to 26 of the Change of Plea Memorandum.¹² The key facts are as follows.
- [13] From 2012 through 2013, Mr. Paolucci, along with his co-schemers, promoted penny stocks knowing that the trading volume and price of those stocks were manipulated by himself and others to facilitate what is commonly known as "pump and dump schemes".¹³
- [14] Mr. Paolucci worked with others who had gained control of the vast majority of restricted stocks and free trading stocks of four companies that traded on the over-the-counter markets. Mr. Paolucci worked with others to coordinate trading of the stocks to create a false appearance of an active and liquid market and to artificially drive up the share price and trading volume of each stock. This enabled Mr. Paolucci and his co-schemers to make maximum profits by selling the shares at inflated prices during stock promotions that they orchestrated.¹⁴
- [15] As a result of his misconduct, Mr. Paolucci benefited, either directly or indirectly, in the amount of approximately US\$2 million.¹⁵ The total fraud loss for which Mr. Paolucci and his co-schemers were responsible was between US\$25 million and US\$65 million.¹⁶
- [16] To avoid detection by securities regulators in the US, Mr. Paolucci and his co-schemers used nominee corporations and individuals to conceal their ownership and control of most of the stocks being manipulated. In addition, offshore accounts and nominees were used to veil the identity of recipients of the proceeds of the manipulations.¹⁷
- [17] On September 6, 2019, Mr. Paolucci pled guilty to four counts of securities fraud before the US Court.¹⁸

B. Sentencing

- [18] On December 10, 2019, Mr. Paolucci was sentenced to 84 months imprisonment and ordered to forfeit US\$2 million.
- [19] In ordering this sentence, the US Court considered Mr. Paolucci's guilty plea but concluded that the seriousness of the conduct warranted a significant custodial sentence. The US Court noted that the conduct was "a hard-core" securities violation and that restitution was not an available remedy as there were too many victims.¹⁹

⁶ RSO 1990, c.S.22, s.7(2)

⁷ OSC Rules of Procedure, r.21(3)

⁸ Exhibit 2, United States of America v. Dino Paolucci, Government's Change of Plea Memorandum for the United States District Court for the Eastern District of Pennsylvania dated September 6, 2019

⁹ Affidavit of Michelle Spain, sworn on December 8, 2020

¹⁰ OSC Rules of Procedure, r.6(4)

¹¹ Exhibit 1, Staff's Hearing Brief, Dino Paolucci Section 139 Certificate dated December 10, 2019

¹² Guilty Plea Transcript at 27-28 and 30

¹³ Change of Plea Memorandum at 3-4

¹⁴ Change of Plea Memorandum at 4 and 12-26

¹⁵ Guilty Plea Transcript at 12, lines 22-25 and 13, line 1; Change of Plea Memorandum at 17, 19, 22 and 26

¹⁶ Guilty Plea Transcript at 16, lines 1-6

¹⁷ Change of Plea Memorandum at 4-5

¹⁸ Guilty Plea Transcript at 35, line 3

¹⁹ Reasons for Sentence at 71, lines 6-13

IV. LEGAL FRAMEWORK

- [20] Subsection 127(10) of the Act provides that an order may be made under s. 127(1) where a person has been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities or derivatives. If that precondition is met, the Commission must consider whether it should exercise its jurisdiction to make a protective order in the public interest.
- [21] In determining whether such an order should be made in the public interest, the Commission may consider, among other factors, the seriousness of the misconduct, the harm suffered by investors, specific and general deterrence and any aggravating or mitigating factors.²⁰ The purpose of such an order is “protective and preventative” and made to restrain potential conduct that could be detrimental to the integrity of Ontario’s capital markets and therefore prejudicial to the public interest.

V. ANALYSIS AND CONCLUSION

- [22] Mr. Paolucci pled guilty to four counts of securities fraud arising from his participation in schemes to manipulate the volume and price of the stocks of four companies. I am satisfied that Mr. Paolucci’s conviction for securities fraud arises from a course of conduct related to securities. Therefore, the precondition for an order under s. 127(1) of the Act has been met.
- [23] Mr. Paolucci’s misconduct was extremely serious. Over a one-year period, Mr. Paolucci manipulated the stock prices of four companies by coordinating trading of the stocks to create a false appearance of an active and liquid market and to artificially drive up the share price and trading volume of each stock. He and his co-schemers were responsible for fraud losses of between US\$25 million and US\$65 million.
- [24] Further, he worked with others to conceal aspects of this activity in order to avoid detection by securities regulators.
- [25] Fraud is one of the most egregious securities regulatory violations.²¹ It causes direct and immediate harm to investors and significantly undermines confidence in the capital markets.
- [26] Given these circumstances, it is important that this Commission impose sanctions that will protect Ontario investors by specifically deterring Mr. Paolucci from engaging in similar or other misconduct in Ontario, and by acting as a general deterrent to other like-minded persons.
- [27] In my view and for the reasons set out above, a permanent ban prohibiting Mr. Paolucci from participating in the capital markets is necessary to adequately protect investors and the capital markets. I therefore order that:
- a. pursuant to paragraph 2 of subsection 127(1) of the Act, trading in any securities or derivatives by Mr. Paolucci shall cease permanently;
 - b. pursuant to paragraph 2.1 of subsection 127(1) of the Act, acquisition of any securities by Mr. Paolucci shall be prohibited permanently;
 - c. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law shall not apply to Mr. Paolucci permanently;
 - d. pursuant to paragraphs 7 and 8.1 of subsection 127(1) of the Act, Mr. Paolucci shall resign any positions that he holds as a director or officer of any issuer or registrant;
 - e. pursuant to paragraphs 8 and 8.2 of subsection 127(1) of the Act, Mr. Paolucci shall be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and
 - f. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Mr. Paolucci shall be prohibited permanently from becoming or acting as a registrant or promoter.

Dated at Toronto this 21st day of December, 2020.

“Wendy Berman”

²⁰ *Reeve (Re)*, 2018 ONSEC 55, (2018) 41 OSCB 9433 at para 27

²¹ *Theroux (Re)*, 2019 ONSEC 20, (2019) 42 OSCB 5043 at para 30; *Lim (Re)*, 2018 ONSEC 39, (2018) 41 OSCB 6045 at para 1

Chapter 4

Cease Trading Orders

4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders

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

Failure to File Cease Trade Orders

Company Name	Date of Order	Date of Revocation
Blacksteel Energy Inc.	October 20, 2020	December 17, 2020
Victory Capital Corp.	December 4, 2020	December 15, 2020

4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders

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

4.2.2 Outstanding Management & Insider Cease Trading Orders

Company Name	Date of Order or Temporary Order	Date of Hearing	Date of Permanent Order	Date of Lapse/Expire	Date of Issuer Temporary Order
Performance Sports Group Ltd.	19 October 2016	31 October 2016	31 October 2016		

Company Name	Date of Order	Date of Lapse
Agrios Global Holdings Ltd.	September 17, 2020	
Greenbank Capital Inc.	December 1, 2020	
Nutritional High International Inc.	December 1, 2020	

This page intentionally left blank

Chapter 7

Insider Reporting

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

Guide to Codes

Relationship of Insider to Issuer (Rel'n)

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

Nature of Transaction (T/O)

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

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

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

2 ©CDS INC.

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
01 Communique Laboratory Inc.	Common Shares	Stringer, Brian	5	2020-12-14	10	0.39	320,500	-54,500
01 Communique Laboratory Inc.	Common Shares	Train, William, Archibald	4	2020-12-14	10	0.38	268,500	-10,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-07	38	2.415	12,300	5,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-08	38	2.393	18,700	6,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-08	38		11,800	-6,900
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-09	38	2.3533	17,500	5,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-09	38		12,100	-5,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-10	38	2.3439	19,017	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-11	38	2.3357	25,934	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-11	38		19,534	-6,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-11	38		13,834	-5,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-14	38	2.3324	20,751	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-14	38		13,834	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-15	38	2.3244	20,751	6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-15	38		13,834	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-16	38	2.3784	18,234	4,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-16	38		11,317	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-17	38	2.3524	18,017	6,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-17	38		11,100	-6,917
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-18	38		6,700	-4,400
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-12-18	38	2.3774	13,617	6,917
Abaxx Technologies Inc.	Common Shares	Boisjoli, Robert	5	2018-11-06	00			
Abaxx Technologies Inc.	Common Shares	Boisjoli, Robert	5	2020-12-15	46	1	30,000	30,000
Absolute Software Corporation	Common Shares	Malli, Maninder	5	2020-12-11	57		9,935	2,931
Absolute Software Corporation	Common Shares	Malli, Maninder	5	2020-12-11	10	13.24	8,330	-1,605
Absolute Software Corporation	Common Shares	Malli, Maninder	5	2020-12-15	10	13.24		-1,605
Absolute Software Corporation	Rights Restricted Share Unit	Malli, Maninder	5	2020-12-11	57		33,638	-2,931
Acerus Pharmaceuticals Corporation	Options	Chabursky, Borys	4	2020-12-16	50		2,169,291	1,569,291
Acerus Pharmaceuticals Corporation	Options	Cotton, Geoffrey David	4	2020-05-04	00			
Acerus Pharmaceuticals Corporation	Options	Cotton, Geoffrey David	4	2020-12-16	50		1,569,291	1,569,291
Acerus Pharmaceuticals Corporation	Options	Gregory, Stephen Robert	4	2020-12-16	50		4,484,463	1,569,291
Acerus Pharmaceuticals Corporation	Restricted Share Units	Gudaitis, Edward Joseph	4, 5	2018-05-01	00			
Acerus Pharmaceuticals Corporation	Restricted Share Units	Gudaitis, Edward Joseph	4, 5	2020-12-16	56		3,961,218	3,961,218
Acerus Pharmaceuticals Corporation	Options	Hickey, Kevin Thomas	5	2020-12-16	50		2,462,316	1,143,218
Acerus Pharmaceuticals Corporation	Options	Leckie, William Scott	4	2020-06-23	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Acerus Pharmaceuticals Corporation	Options	Leckie, William Scott	4	2020-12-16	50		1,569,291	1,569,291
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-03-10	30	0.95		29,500
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-03-10	30	0.95		29,500
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-05-11	30			7,870
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-05-11	30			7,870
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-08-09	30			7,800
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-08-09	30			7,800
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-12-20	30			4,025
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2016-12-20	30			4,025
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2017-03-14	30			5,600
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2017-03-14	30			5,600
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2017-05-10	30			2,750
AcuityAds Holdings Inc.	Common Shares	Dent, Roger	4	2017-05-10	30			2,750
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2016-03-10	56		29,500	29,500
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2016-05-11	56		37,370	7,870
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2016-08-09	56		45,170	7,800
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2016-12-20	56		49,195	4,025
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2017-03-14	56		54,795	5,600
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2017-05-10	56		57,545	2,750
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2018-03-06	46			14,950
AcuityAds Holdings Inc.	Rights DSU	Dent, Roger	4	2018-03-06	46		69,370	8,600
AcuityAds Holdings Inc.	Rights DSU	Mayer, Igal	4	2018-03-06	56			14,950
AcuityAds Holdings Inc.	Rights DSU	Mayer, Igal	4	2018-03-06	56		69,370	8,600
AcuityAds Holdings Inc.	Common Shares	Pollack, Jonathan	5	2020-12-14	47	12.01	642,462	-4,565
AcuityAds Holdings Inc.	Common Shares	Pollack, Jonathan	5	2020-12-15	10	12.891	542,462	-100,000
AcuityAds Holdings Inc.	Rights DSU	Pollack, Sheldon M.	4	2018-03-06	56			14,950
AcuityAds Holdings Inc.	Rights DSU	Pollack, Sheldon M.	4	2018-03-06	56		69,370	8,600
AcuityAds Holdings Inc.	Rights DSU	Waxman, Yishay	4	2018-03-06	56			12,699
AcuityAds Holdings Inc.	Rights DSU	Waxman, Yishay	4	2018-03-06	56		65,420	6,900
ADCORE Inc.	Common Shares	Bentov, Albert Leon	5	2020-12-10	10	0.5	4,755,700	-1,000
ADCORE Inc.	Common Shares	Bentov, Albert Leon	5	2020-12-11	10	0.53	4,754,700	-1,000
ADCORE Inc.	Common Shares	Bentov, Albert Leon	5	2020-12-14	10	0.63	4,753,700	-1,000
ADCORE Inc.	Common Shares	Bentov, Albert Leon	5	2020-12-15	10	0.73	4,752,700	-1,000
ADCORE Inc.	Common Shares	Brill, Omri	3, 4, 5	2020-12-10	10	0.5013	40,506,552	12,000
ADCORE Inc.	Common Shares	Jaegermann, Ronen	4	2019-05-27	00			
ADCORE Inc.	Common Shares	Jaegermann, Ronen	4	2020-12-14	57	0.6	26,000	26,000
ADCORE Inc.	Common Shares	Jaegermann, Ronen	4	2020-12-14	10	0.62	0	-26,000
ADCORE Inc.	Restricted Share Units	Jaegermann, Ronen	4	2020-12-14	57		74,000	-26,000
Aequus Pharmaceuticals Inc.	Options	Clark, Christopher John	4	2020-12-08	50		800,000	350,000
Aequus Pharmaceuticals Inc.	Options	Flowerday, Jason	4	2020-12-08	50	0.105	800,000	350,000
AEterna Zentaris Inc.	Options	Ammer, Nicola Karin, Dr.	5	2020-12-14	50	0.366	60,000	25,000
AEterna Zentaris Inc.	Options	Gerlach, Matthias	7	2020-12-14	50	0.366	65,000	25,000
AEterna Zentaris Inc.	Options	Grau, Guenther	7	2020-12-14	50	0.366	40,000	20,000
AEterna Zentaris Inc.	Options	Günther, Eckhard	7	2020-12-14	50	0.366	65,398	25,000
AEterna Zentaris Inc.	Options	Paulini, Klaus	4, 7, 5	2020-12-14	50	0.366	97,500	35,000
Aimia Inc.	Common Shares	Aimia Inc.	1	2020-12-14	10	4.03	82,269	1,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-12-14	10	4.03	15,111,233	1,000
AirlIQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	30	0.335		123,000
AirlIQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	30	0.335	82,500	82,500
AirlIQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	38			-123,000
AirlIQ Inc.	Common Shares	AIRIQ INC.	1	2020-12-02	38		0	-82,500
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-12-10	30		245	16
Akumin Inc.	Common Shares	Fernandes, Leigh Anne	7	2020-12-10	30		342	18
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2020-12-10	30		367	4
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2020-12-10	30		1,051	13
Akumin Inc.	Common Shares	Luckey, Michael	5	2020-12-10	30		959	13
Akumin Inc.	Common Shares	Meredith, Michael	5	2020-12-10	30		354	11
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2020-12-10	30		404	14
Akumin Inc.	Common Shares	Richardson, Jason	5	2020-12-10	30		1,052	13
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2020-12-15	30		49,071	405
Alexco Resource Corp.	Common Shares	Clark, Michael	5	2020-12-13	57	3.22	128,762	16,667
Alexco Resource Corp.	Common Shares	Clark, Michael	5	2020-12-15	57	3.19	150,762	22,000
Alexco Resource Corp.	Common Shares	Clark, Michael	5	2020-12-16	10	3.41	139,359	-11,403
Alexco Resource Corp.	Options	Clark, Michael	5	2020-12-15	50	3.19	873,000	143,000
Alexco Resource Corp.	Restricted Share Units	Clark, Michael	5	2020-12-13	57	3.22	41,667	-16,667
Alexco Resource Corp.	Restricted Share Units	Clark, Michael	5	2020-12-15	56	3.19	107,667	66,000
Alexco Resource Corp.	Restricted Share Units	Clark, Michael	5	2020-12-15	57	3.19	85,667	-22,000
Alexco Resource Corp.	Common Shares	Jones, Paul Vernon	5	2020-09-08	00			
Alexco Resource Corp.	Common Shares	Jones, Paul Vernon	5	2020-12-15	57	3.19	18,333	18,333
Alexco Resource Corp.	Options	Jones, Paul Vernon	5	2020-12-15	50	3.19	115,000	65,000
Alexco Resource Corp.	Restricted Share Units	Jones, Paul Vernon	5	2020-09-08	00			
Alexco Resource Corp.	Restricted Share Units	Jones, Paul Vernon	5	2020-12-15	56	3.19		55,000
Alexco Resource Corp.	Restricted Share Units	Jones, Paul Vernon	5	2020-12-15	56	3.19	36,667	36,667
Alexco Resource Corp.	Restricted Share Units	Jones, Paul Vernon	5	2020-12-15	57	3.19	55,000	18,333
Alexco Resource Corp.	Options	Krepiakevich, Terry	5	2020-12-15	50	3.19	400,000	30,000
Alexco Resource Corp.	Rights Deferred Share Units	Krepiakevich, Terry	5	2020-12-15	56		55,000	30,000
Alexco Resource Corp.	Options	McMaster, Karen Isobel	4	2020-12-15	50	3.19	250,000	30,000
Alexco Resource Corp.	Rights Deferred Share Units	McMaster, Karen Isobel	4	2020-12-15	56		55,000	30,000
Alexco Resource Corp.	Common Shares	McOnie, Alan William	5	2020-12-13	57	3.22	57,655	8,333
Alexco Resource Corp.	Common Shares	McOnie, Alan William	5	2020-12-15	57	3.19	65,321	7,666
Alexco Resource Corp.	Common Shares	McOnie, Alan William	5	2020-12-16	10	3.41	61,348	-3,973
Alexco Resource Corp.	Options	McOnie, Alan William	5	2020-12-15	50	3.19	235,000	50,000
Alexco Resource Corp.	Restricted Share Units	McOnie, Alan William	5	2020-12-13	57	3.22	16,668	-8,333
Alexco Resource Corp.	Restricted Share Units	McOnie, Alan William	5	2020-12-15	56	3.19	39,668	23,000
Alexco Resource Corp.	Restricted Share Units	McOnie, Alan William	5	2020-12-15	57	3.19	32,002	-7,666
Alexco Resource Corp.	Options	Nauman, Clynton R.	5	2020-12-15	50	3.19	2,502,000	267,000
Alexco Resource Corp.	Restricted Share Units	Nauman, Clynton R.	5	2020-12-15	56	3.19	107,334	24,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Alexco Resource Corp.	Rights Deferred Share Units	Nauman, Clynton R.	5	2020-12-15	56	3.19	253,000	123,000
Alexco Resource Corp.	Options	Sanders, Elaine	4	2020-12-15	50	3.19	415,000	30,000
Alexco Resource Corp.	Rights Deferred Share Units	Sanders, Elaine	4	2020-12-15	56		55,000	30,000
Alexco Resource Corp.	Common Shares	Thrall, Bradley Allen	5	2020-12-13	57	3.22	744,965	23,333
Alexco Resource Corp.	Common Shares	Thrall, Bradley Allen	5	2020-12-15	57	3.19	774,298	29,333
Alexco Resource Corp.	Common Shares	Thrall, Bradley Allen	5	2020-12-16	10	3.41	766,697	-7,601
Alexco Resource Corp.	Common Shares	Thrall, Bradley Allen	5	2020-12-16	51	0.84	891,697	125,000
Alexco Resource Corp.	Common Shares	Thrall, Bradley Allen	5	2020-12-16	10	3.38	766,697	-125,000
Alexco Resource Corp.	Options	Thrall, Bradley Allen	5	2020-12-15	50	3.19	1,627,000	191,000
Alexco Resource Corp.	Options	Thrall, Bradley Allen	5	2020-12-16	51	0.84	1,502,000	-125,000
Alexco Resource Corp.	Restricted Share Units	Thrall, Bradley Allen	5	2020-12-13	57	3.22	56,668	-23,333
Alexco Resource Corp.	Restricted Share Units	Thrall, Bradley Allen	5	2020-12-15	56	3.19	144,668	88,000
Alexco Resource Corp.	Restricted Share Units	Thrall, Bradley Allen	5	2020-12-15	57	3.19	115,335	-29,333
Alexco Resource Corp.	Options	Van Nieuwenhuysse, Rick	4	2020-12-15	50	3.19	450,000	30,000
Alexco Resource Corp.	Rights Deferred Share Units	Van Nieuwenhuysse, Rick	4	2020-12-15	56		55,000	30,000
Alexco Resource Corp.	Common Shares	Zigarlick, Wayne	5	2020-12-13	00		11,666	
Alexco Resource Corp.	Common Shares	Zigarlick, Wayne	5	2020-12-13	57	3.22	23,333	11,667
Alexco Resource Corp.	Common Shares	Zigarlick, Wayne	5	2020-12-15	57	3.19	34,999	11,666
Alexco Resource Corp.	Common Shares	Zigarlick, Wayne	5	2020-12-16	10	3.41	28,953	-6,046
Alexco Resource Corp.	Options	Zigarlick, Wayne	5	2020-12-13	00		90,000	
Alexco Resource Corp.	Options	Zigarlick, Wayne	5	2020-12-15	50	3.19	165,000	75,000
Alexco Resource Corp.	Restricted Share Units	Zigarlick, Wayne	5	2020-12-13	00			
Alexco Resource Corp.	Restricted Share Units	Zigarlick, Wayne	5	2020-12-13	00		23,334	
Alexco Resource Corp.	Restricted Share Units	Zigarlick, Wayne	5	2020-12-13	57	3.22	11,667	-11,667
Alexco Resource Corp.	Restricted Share Units	Zigarlick, Wayne	5	2020-12-15	56	3.19	46,667	35,000
Alexco Resource Corp.	Restricted Share Units	Zigarlick, Wayne	5	2020-12-15	57	3.19	35,001	-11,666
Alexco Resource Corp.	Options	Zimmer, Richard Norman	4	2020-12-15	50	3.19	190,000	30,000
Alexco Resource Corp.	Rights Deferred Share Units	Zimmer, Richard Norman	4	2020-12-15	56		55,000	30,000
Algernon Pharmaceuticals Inc.	Common Shares	Levine, David	4	2015-12-14	00			
Algernon Pharmaceuticals Inc.	Common Shares	Levine, David	4	2020-09-29	57		70,604	70,604
Algernon Pharmaceuticals Inc.	Rights RSUs	Levine, David	4	2020-09-29	57		167,500	-82,500
Algernon Pharmaceuticals Inc.	Common Shares	Moreau, Christopher	4, 5	2020-09-29	57		1,168,788	268,788
Algernon Pharmaceuticals Inc.	Rights RSUs	Moreau, Christopher	4, 5	2020-09-29	57		837,500	-412,500
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	4, 5	2020-09-29	57			330,000
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	4, 5	2020-09-29	57		504,056	240,149
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	4, 5	2020-12-15	10	0.31	354,056	-150,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Algonquin Pharmaceuticals Inc.	Rights RSUs	Sadhra, Michael	4, 5	2020-09-29	57			-330,000
Algonquin Pharmaceuticals Inc.	Rights RSUs	Sadhra, Michael	4, 5	2020-09-29	57			-240,149
Algonquin Pharmaceuticals Inc.	Rights RSUs	Sadhra, Michael	4, 5	2020-09-29	57		670,000	-330,000
Algonquin Pharmaceuticals Inc.	Common Shares	Williams, Mark Stephen	5	2020-09-29	57		222,093	222,093
Algonquin Pharmaceuticals Inc.	Rights RSUs	Williams, Mark Stephen	5	2020-09-29	57		670,000	-330,000
Algonquin Power & Utilities Corp.	Common Shares	Johnston, Anthony Hunter	5	2020-12-18	57	20.42	3,993	3,993
Algonquin Power & Utilities Corp.	Restricted Share Units	Johnston, Anthony Hunter	5	2020-12-18	57	20.42	56,614	-8,593
Algonquin Power & Utilities Corp.	Common Shares	Norman, Jeffery Todd	5	2020-12-11	57	20.36	33,160	3,541
Algonquin Power & Utilities Corp.	Restricted Share Units	Norman, Jeffery Todd	5	2020-12-11	57	20.36	29,053	-7,621
Algonquin Power & Utilities Corp.	Common Shares	Tindale, Jennifer Sara	5	2020-12-11	57	20.36	35,262	3,541
Algonquin Power & Utilities Corp.	Restricted Share Units	Tindale, Jennifer Sara	5	2020-12-11	57	20.36	15,242	-7,621
Algonquin Power & Utilities Corp.	Common Shares	Trisic, George	5	2020-12-11	57	20.36	32,969	3,417
Algonquin Power & Utilities Corp.	Restricted Share Units	Trisic, George	5	2020-12-11	57	20.36	56,678	-7,354
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-10	10	0.285	6,579,300	50,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-18	10	0.325	6,604,300	25,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-11	10	0.305		-25,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-11	10	0.305		-25,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-12-18	10	0.325	548,888	-40,000
Allegiant Gold Ltd.	Common Shares	nichols, shawn	4	2020-12-18	10	0.325	1,923,865	40,000
Almaden Minerals Ltd.	Options	Carlson, Gerald George	4	2020-12-13	52	0.86	368,000	-72,000
Almaden Minerals Ltd.	Options	Carlson, Gerald George	4	2020-12-15	50	0.89	440,000	72,000
Almaden Minerals Ltd.	Options	McDonald, Douglas John	5	2020-12-15	50		800,000	255,000
Almaden Minerals Ltd.	Options	Poliquin, James Duane	4, 5	2020-12-15	50		1,194,189	100,000
Almaden Minerals Ltd.	Options	Poliquin, Morgan James	4, 5	2020-12-15	50	0.89	3,140,000	300,000
Almaden Minerals Ltd.	Options	Trieu, Korm	5	2020-12-15	50	0.89	845,000	30,000
Almaden Minerals Ltd.	Options	WORRALL, WILLIAM JOSEPH	4	2020-12-13	52	0.86	435,000	-30,000
Almaden Minerals Ltd.	Options	WORRALL, WILLIAM JOSEPH	4	2020-12-15	50	0.89	465,000	30,000
Almadex Minerals Ltd. (formerly 1154229 B.C. Ltd.)	Options	McDonald, Douglas John	4	2020-12-17	52	0.27	260,000	-90,000
Almadex Minerals Ltd. (formerly 1154229 B.C. Ltd.)	Options	Trieu, Korm	5	2020-12-17	52	0.27	320,000	-30,000
Almonty Industries Inc.	Common Shares	D'Amato, Daniel Guy	4	2020-12-15	10	0.7	2,057,300	5,000
Almonty Industries Inc.	Common Shares	D'Amato, Daniel Guy	4	2020-12-18	10	0.69	2,062,300	5,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Almonty Industries Inc.	Common Shares	Deutsche Rohstoff AG	3	2020-12-10	10	0.71	23,342,624	30,000
Almonty Industries Inc.	Common Shares	Deutsche Rohstoff AG	3	2020-12-11	10	0.68	23,352,624	10,000
Almonty Industries Inc.	Common Shares	Gutschlag, Thomas Joerg	4, 6	2020-12-10	10	0.71	23,342,624	30,000
Almonty Industries Inc.	Common Shares	Gutschlag, Thomas Joerg	4, 6	2020-12-11	10	0.68	23,352,624	10,000
Altius Minerals Corporation	Common Shares	Conway, Teresa	4	2020-12-16	10	12.6	2,000	2,000
American Hotel Income Properties REIT LP	Restricted Stock	Evans, Steve	4	2020-12-15	57		0	-3,513
American Hotel Income Properties REIT LP	Units	Evans, Steve	4	2020-12-15	57		14,184	3,513
American Hotel Income Properties REIT LP	Restricted Stock	Frank, Richard	4	2020-12-15	57		0	-7,704
American Hotel Income Properties REIT LP	Units	Frank, Richard	4	2020-12-15	57		23,286	7,704
American Hotel Income Properties REIT LP	Restricted Stock	Lalani, Azim	5	2020-12-15	57		162,406	-1,702
American Hotel Income Properties REIT LP	Units	Lalani, Azim	5	2020-12-15	57		87,407	1,702
American Hotel Income Properties REIT LP	Restricted Stock	Lawson, Tamara	4	2020-12-15	57		0	-4,374
American Hotel Income Properties REIT LP	Units	Lawson, Tamara	4	2020-12-15	57		35,492	4,374
American Hotel Income Properties REIT LP	Restricted Stock	Murphy, William Michael	4	2020-12-15	57		0	-3,381
American Hotel Income Properties REIT LP	Units	Murphy, William Michael	4	2020-12-15	57	3381		3,381
American Hotel Income Properties REIT LP	Units	Murphy, William Michael	4	2020-12-15	57		72,752	3,381
American Hotel Income Properties REIT LP	Restricted Stock	O'Neill, Robert Francis	4, 5	2020-12-15	57		0	-3,119
American Hotel Income Properties REIT LP	Units	O'Neill, Robert Francis	4, 5	2020-12-15	57		830,349	3,119
American Hotel Income Properties REIT LP	Restricted Stock	van der Lee, Charles	4	2020-12-15	57		0	-5,313
American Hotel Income Properties REIT LP	Units	van der Lee, Charles	4	2020-12-15	57		45,680	5,313
American Hotel Income Properties REIT LP	Restricted Stock	Yu, Anne	5	2020-12-15	57		80,218	-750
American Hotel Income Properties REIT LP	Units	Yu, Anne	5	2020-12-15	57		7,836	750
American Manganese Inc.	Common Shares	Reaugh, Larry	4	2020-12-08	10	0.205	3,615,907	-4,500
American Manganese Inc.	Common Shares	Reaugh, Larry	4	2020-12-08	10	0.2	3,576,407	-39,500
Amilot Capital Inc. (formerly Tolima Gold Inc.)	Common Shares	Martin, John William	7, 5	2020-12-16	10	0.065	200,765	5,000
AMPD Ventures Inc.	Common Shares	Brown, Anthony	4, 5	2020-12-02	11	0.1	2,192,386	-1,460,500
AMPD Ventures Inc.	Common Shares	Brown, Anthony	4, 5	2020-12-14	11	0.1	4,652,886	2,460,500
AMPD Ventures Inc.	Warrants	Brown, Anthony	4, 5	2020-12-14	11		3,711,750	1,230,250
AMPD Ventures Inc.	Common Shares	Mari, Paul Phillip	5	2020-12-14	10	0.1	3,632,884	100,000
AMPD Ventures Inc.	Options	Mari, Paul Phillip	5	2020-06-23	11	0.19	400,000	200,000
AMPD Ventures Inc.	Options	Mari, Paul Phillip	5	2020-08-05	97	0.24	200,000	-200,000
AMPD Ventures Inc.	Warrants	Mari, Paul Phillip	5	2020-12-14	11	0.15	231,500	50,000
AMPD Ventures Inc.	Common Shares	Ross, John Charles	5	2019-10-17	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AMPD Ventures Inc.	Common Shares	Ross, John Charles	5	2020-12-14	16	0.1	135,000	135,000
AMPD Ventures Inc.	Warrants	Ross, John Charles	5	2019-10-17	00			
AMPD Ventures Inc.	Warrants	Ross, John Charles	5	2020-12-14	16		67,500	67,500
Anaconda Mining Inc.	Options	Casgrain, Tim	4	2013-10-09	00			
Anaconda Mining Inc.	Options	Casgrain, Tim	4	2013-10-09	00			
Anaconda Mining Inc.	Common Shares	Dufour, Robert	5	2020-12-16	10	0.57	738,054	-25,000
Anaconda Mining Inc.	Common Shares	Dufour, Robert	5	2020-12-18	54	0.45	819,790	81,736
Anaconda Mining Inc.	Warrants	Dufour, Robert	5	2020-12-18	54	0.45	0	-81,736
Ansar Financial and Development Corporation	Common Shares	Jama, Ahmed	4	2016-10-29	00			
Ansar Financial and Development Corporation	Common Shares	Jama, Ahmed	4	2020-12-17	10	0.48	15,000	15,000
Antibe Therapeutics Inc.	Common Shares	Batal, Rami	5	2020-12-01	37		2,817	-25,352
Antibe Therapeutics Inc.	Common Shares	Batal, Rami	5	2020-12-01	37		21,000	-189,000
Antibe Therapeutics Inc.	Restricted Share Units	Batal, Rami	5	2020-12-01	37		32,500	-292,500
Antibe Therapeutics Inc.	Restricted Share Units	Batal, Rami	5	2020-12-01	37		7,500	-67,500
Antibe Therapeutics Inc.	Common Shares	Curtis, Scott Wilson	5	2020-12-01	37		30,900	-278,100
Antibe Therapeutics Inc.	Options	Curtis, Scott Wilson	5	2020-12-01	37		70,000	-630,000
Antibe Therapeutics Inc.	Restricted Share Units	Curtis, Scott Wilson	5	2020-12-01	37		113,000	-1,017,000
Antibe Therapeutics Inc.	Common Shares	Flower, Roderick John	4	2020-11-30	57		385,825	53,333
Antibe Therapeutics Inc.	Common Shares	Flower, Roderick John	4	2020-12-01	37		38,583	-347,242
Antibe Therapeutics Inc.	Options	Flower, Roderick John	4	2020-12-01	37		33,751	-303,757
Antibe Therapeutics Inc.	Restricted Share Units	Flower, Roderick John	4	2020-11-30	57		226,667	-53,333
Antibe Therapeutics Inc.	Restricted Share Units	Flower, Roderick John	4	2020-12-01	37		22,667	-204,000
Antibe Therapeutics Inc.	Restricted Share Units	Khouri, Amal	4	2020-12-01	37		52,000	-468,000
Antibe Therapeutics Inc.	Common Shares	Legault, Daniel Marcel	4, 6, 5	2020-12-01	37		37,500	-337,500
Antibe Therapeutics Inc.	Common Shares	Legault, Daniel Marcel	4, 6, 5	2020-12-01	37		29,667	-266,999
Antibe Therapeutics Inc.	Options	Legault, Daniel Marcel	4, 6, 5	2020-12-01	37		338,021	-3,042,185
Antibe Therapeutics Inc.	Restricted Share Units	Legault, Daniel Marcel	4, 6, 5	2020-12-01	37		679,000	-6,111,000
Antibe Therapeutics Inc.	Warrants	Legault, Daniel Marcel	4, 6, 5	2020-12-01	37		5,750	-51,750
Antibe Therapeutics Inc.	Common Shares	Macnee, Walter Minnes	4	2020-11-30	57		4,850,267	53,333
Antibe Therapeutics Inc.	Common Shares	Macnee, Walter Minnes	4	2020-12-01	37		485,027	-4,365,240
Antibe Therapeutics Inc.	Options	Macnee, Walter Minnes	4	2020-12-01	37		52,500	-472,500
Antibe Therapeutics Inc.	Restricted Share Units	Macnee, Walter Minnes	4	2020-11-30	57		226,667	-53,333
Antibe Therapeutics Inc.	Restricted Share Units	Macnee, Walter Minnes	4	2020-12-01	37		22,667	-204,000
Antibe Therapeutics Inc.	Warrants	Macnee, Walter Minnes	4	2020-12-01	37		8,333	-75,000
Antibe Therapeutics Inc.	Common Shares	Stauffer, Joseph	5	2020-12-01	37		9,804	-88,235

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Antibe Therapeutics Inc.	Restricted Share Units	Stauffer, Joseph	5	2020-12-01	37		50,000	-450,000
Antibe Therapeutics Inc.	Common Shares	Vaughan, David James	5	2020-12-01	37		5,250	-47,250
Antibe Therapeutics Inc.	Options	Vaughan, David James	5	2020-12-01	37		66,000	-594,000
Antibe Therapeutics Inc.	Restricted Share Units	Vaughan, David James	5	2020-12-01	37		95,000	-855,000
Antibe Therapeutics Inc.	Common Shares	Wallace, John Lawrence	4, 6, 5	2020-12-01	37		34,827	-313,443
Antibe Therapeutics Inc.	Common Shares	Wallace, John Lawrence	4, 6, 5	2020-12-01	37		40,000	-360,000
Antibe Therapeutics Inc.	Options	Wallace, John Lawrence	4, 6, 5	2020-12-01	37		310,000	-2,790,000
Antibe Therapeutics Inc.	Restricted Share Units	Wallace, John Lawrence	4, 6, 5	2020-12-01	37		605,000	-5,445,000
Antibe Therapeutics Inc.	Common Shares	Wilson, Alain	5	2020-12-01	37		3,810	-34,290
Antibe Therapeutics Inc.	Common Shares	Wilson, Alain	5	2020-12-01	37		21,418	-192,763
Antibe Therapeutics Inc.	Options	Wilson, Alain	5	2020-12-01	37		70,000	-630,000
Antibe Therapeutics Inc.	Restricted Share Units	Wilson, Alain	5	2020-12-01	37		157,500	-1,417,500
Antibe Therapeutics Inc.	Common Shares	Wu, Yung Cheng	4	2020-11-30	57		1,793,333	53,333
Antibe Therapeutics Inc.	Common Shares	Wu, Yung Cheng	4	2020-12-01	37		179,333	-1,614,000
Antibe Therapeutics Inc.	Common Shares	Wu, Yung Cheng	4	2020-12-01	37		240,000	-2,160,000
Antibe Therapeutics Inc.	Options	Wu, Yung Cheng	4	2020-12-01	37		20,000	-180,000
Antibe Therapeutics Inc.	Restricted Share Units	Wu, Yung Cheng	4	2020-11-30	57		226,667	-53,333
Antibe Therapeutics Inc.	Restricted Share Units	Wu, Yung Cheng	4	2020-12-01	37		22,667	-204,000
Appia Energy Corp.	Common Shares	van de Water, Frank	4, 5	2020-12-14	54	0.25	183,000	25,000
Appia Energy Corp.	Warrants	van de Water, Frank	4, 5	2020-12-14	54	0.25	50,000	-25,000
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-12-14	10	1.34	5,694,401	-500
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-12-15	10	1.3681	5,688,501	-5,900
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-12-16	10	1.3162	5,706,801	18,300
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-12-17	10	1.2981	5,782,501	75,700
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-12-18	10	1.2813	5,873,701	91,200
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Lyon, Martin Andrew	4	2020-11-13	00		200,000	
Arbutus Biopharma Corporation	Common Shares	McElhaugh, Michael John	5	2020-12-14	10	5	1,327,457	-40,000
Argo Gold Inc.	Common Shares	Baker, Judith Catharine	4	2020-12-14	10	0.17	3,189,750	-1,256,000
Armada Mercantile Ltd.	Common Shares	Cole, Patrick	5	2020-12-18	10	0.165	6,113,901	1,000
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2020-12-11	38	18.526	1,000	1,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2020-12-18	38	19.046	2,900	1,900
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2020-12-11	38	17.882	3,054	3,054
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2020-12-18	38	18.112	7,808	4,754
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2020-12-11	38	11.35	388,768	55,967
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-09	10	10.836	1,317,325	30,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-10	10	10.892	1,321,825	4,500
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-14	10	10.941	1,325,975	4,150
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-15	10	11.05	1,327,225	1,250
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-09	10	10.836	2,543,782	90,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-10	10	10.904	2,837,282	293,500
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-11	10	10.9	3,037,282	200,000
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-14	10	10.941	3,049,732	12,450
Artis Real Estate Investment Trust	Units	Barazzuol, Renzo	6	2020-12-15	10	11.05	3,053,482	3,750
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-09	10	10.836	1,317,325	30,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-10	10	10.892	1,321,825	4,500
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-14	10	10.941	1,325,975	4,150
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-15	10	11.05	1,327,225	1,250
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-09	10	10.836	2,543,782	90,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-10	10	10.904	2,837,282	293,500
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-11	10	10.9	3,037,282	200,000
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-14	10	10.941	3,049,732	12,450
Artis Real Estate Investment Trust	Units	GILL, NAVDEEP KAUR	6	2020-12-15	10	11.05	3,053,482	3,750
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-09	10	10.836	1,317,325	30,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-10	10	10.892	1,321,825	4,500
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-14	10	10.941	1,325,975	4,150
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-15	10	11.05	1,327,225	1,250
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-09	10	10.836	2,543,782	90,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-10	10	10.904	2,837,282	293,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-11	10	10.9	3,037,282	200,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-14	10	10.941	3,049,732	12,450
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2020-12-15	10	11.05	3,053,482	3,750
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-09	10	10.836	1,317,325	30,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-10	10	10.892	1,321,825	4,500
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-14	10	10.941	1,325,975	4,150
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-15	10	11.05	1,327,225	1,250
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-09	10	10.836	2,543,782	90,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-10	10	10.904	2,837,282	293,500
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-11	10	10.9	3,037,282	200,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-14	10	10.941	3,049,732	12,450
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6	2020-12-15	10	11.05	3,053,482	3,750
Artis Real Estate Investment Trust	Restricted Units	Martens, Philip	5	2020-12-15	56	10.94	13,709	56
Artis Real Estate Investment Trust	Restricted Units	Martens, Philip	5	2020-12-15	56	11.1	15,809	2,100
Artis Real Estate Investment Trust	Restricted Units	Riley, Kimberly	5	2020-12-15	56	10.94	11,241	46
Artis Real Estate Investment Trust	Restricted Units	Riley, Kimberly	5	2020-12-15	56	11.1	13,341	2,100
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2020-12-15	56	10.94	12,092	49
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-09	10	10.836	1,317,325	30,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-10	10	10.892	1,321,825	4,500
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-14	10	10.941	1,325,975	4,150
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-15	10	11.05	1,327,225	1,250
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-09	10	10.836	2,543,782	90,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-10	10	10.904	2,837,282	293,500
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-11	10	10.9	3,037,282	200,000
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-14	10	10.941	3,049,732	12,450
Artis Real Estate Investment Trust	Units	Sandpiper Asset Management Inc.	3	2020-12-15	10	11.05	3,053,482	3,750
Artis Real Estate Investment Trust	Restricted Units	Sherlock, Stephen Francis Patrick	5	2020-12-15	56	10.94	13,348	55
Artis Real Estate Investment Trust	Restricted Units	Sherlock, Stephen Francis Patrick	5	2020-12-15	56	11.1	15,448	2,100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2020-12-15	56	11.1		140
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2020-12-15	56	10.94	34,200	140
Asante Gold Corporation	Common Shares	MacQuarrie, Douglas Richard	5	2020-12-15	10	0.12	12,071,929	15,000
Asante Gold Corporation	Common Shares	MacQuarrie, Douglas Richard	5	2020-12-15	10	0.125	12,076,929	5,000
Asbestos Corporation Limited	Common Shares	MONETTE, SERGE	3, 4	2020-12-10	10	0.64	157,000	-2,500
Asbestos Corporation Limited	Common Shares	MONETTE, SERGE	3, 4	2020-12-10	10	0.65	156,000	-1,000
ATCO LTD.	Non-Voting Shares Class I	Bayley, Melanie	5	2020-12-15	38		0	-2,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Bayley, Melanie	5	2020-12-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Bayley, Melanie	5	2020-12-15	50		2,000	2,000
ATCO LTD.	Non-Voting Shares Class I	Beattie, Adam M.	7	2020-12-15	38		0	-10,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Beattie, Adam M.	7	2018-01-04	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Beattie, Adam M.	7	2020-12-15	50		65,000	65,000
ATCO LTD.	Rights 42.08 (Phantom AMTIP 2018-03-15)	Beattie, Adam M.	7	2020-12-15	58 - Expiration of rights		0	-4,000
ATCO LTD.	Non-Voting Shares Class I	Constantinescu, M. George	5	2020-12-15	38		0	-4,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Constantinescu, M. George	5	2018-02-16	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Constantinescu, M. George	5	2020-12-15	50		2,000	2,000
ATCO LTD.	Non-Voting Shares Class I	Cook, P. Derek	5	2020-12-15	38		0	-2,000
ATCO LTD.	Non-Voting Shares Class I	DeChamplain, Dennis A	7	2020-12-15	38		2,000	-30,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	DeChamplain, Dennis A	7	2005-01-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	DeChamplain, Dennis A	7	2020-12-15	50		60,000	60,000
ATCO LTD.	Non-Voting Shares Class I	Gareau, Chad L	7	2020-03-11	97			-1,650
ATCO LTD.	Non-Voting Shares Class I	Gareau, Chad L	7	2020-03-11	97		5,500	-1,500
ATCO LTD.	Non-Voting Shares Class I	Gareau, Chad L	7	2020-12-15	38		0	-4,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Gareau, Chad L	7	2011-08-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Gareau, Chad L	7	2020-12-15	50		1,000	1,000
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2019-08-01	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2019-08-01	00		2,040	
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2020-12-15	38		0	-1,350
ATCO LTD.	Options Options 38.40 (2020-12-15)	Jackson, Colin	7	2019-08-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Jackson, Colin	7	2020-12-15	50		1,000	1,000
ATCO LTD.	Non-Voting Shares Class I	Kiefer, Siegfried W.	7, 5	2020-12-15	38		0	-40,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Kiefer, Siegfried W.	7, 5	2003-03-17	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Kiefer, Siegfried W.	7, 5	2020-12-15	50		60,000	60,000
ATCO LTD.	Non-Voting Shares Class I	Landon, James	5	2020-12-15	38		0	-7,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Landon, James	5	2020-12-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Landon, James	5	2020-12-15	50		3,000	3,000
ATCO LTD.	Non-Voting Shares Class I	Lidgett, George J.	7	2020-12-15	38		0	-15,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Myles, Robert J.	5	2020-03-11	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Myles, Robert J.	5	2020-12-15	50		10,000	10,000
ATCO LTD.	Non-Voting Shares Class I	Patrick, Katherine-Jane	7	2020-12-15	38		0	-3,500
ATCO LTD.	Options Options 38.40 (2020-12-15)	Patrick, Katherine-Jane	7	2017-06-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Patrick, Katherine-Jane	7	2020-12-15	50		4,000	4,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Penrice, Becky	5	2020-01-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Penrice, Becky	5	2020-12-15	50		3,000	3,000
ATCO LTD.	Non-Voting Shares Class I	Sentgraf Enterprises Ltd.	3	2020-12-14	10	38.35	26,175,596	10,000
ATCO LTD.	Non-Voting Shares Class I	Sentgraf Enterprises Ltd.	3	2020-12-15	10	37.5	26,177,296	1,700
ATCO LTD.	Non-Voting Shares Class I	Sentgraf Enterprises Ltd.	3	2020-12-16	10	37.609	26,190,596	13,300
ATCO LTD.	Non-Voting Shares Class I	Sentgraf Enterprises Ltd.	3	2020-12-17	10	37.322	26,198,536	7,940
ATCO LTD.	Options Options 38.40 (2020-12-15)	Sharpe, D Jason	7	2015-12-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Sharpe, D Jason	7	2020-12-15	50		2,000	2,000
ATCO LTD.	Non-Voting Shares Class I	Shkrobot, Brian P.	7	2020-12-15	38		0	-2,000
ATCO LTD.	Non-Voting Shares Class I	Southern-Heathcott, Linda A.	6, 7	2020-12-14	10	38.35	26,410,596	10,000
ATCO LTD.	Non-Voting Shares Class I	Southern-Heathcott, Linda A.	6, 7	2020-12-15	10	37.5	26,412,296	1,700
ATCO LTD.	Non-Voting Shares Class I	Southern-Heathcott, Linda A.	6, 7	2020-12-16	10	37.609	26,425,596	13,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ATCO LTD.	Non-Voting Shares Class I	Southern-Heathcott, Linda A.	6, 7	2020-12-17	10	37.322	26,433,536	7,940
ATCO LTD.	Non-Voting Shares Class I	Southern, Margaret E	3	2020-12-14	10	38.35	26,410,596	10,000
ATCO LTD.	Non-Voting Shares Class I	Southern, Margaret E	3	2020-12-15	10	37.5	26,412,296	1,700
ATCO LTD.	Non-Voting Shares Class I	Southern, Margaret E	3	2020-12-16	10	37.609	26,425,596	13,300
ATCO LTD.	Non-Voting Shares Class I	Southern, Margaret E	3	2020-12-17	10	37.322	26,433,536	7,940
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	51	28.32	166,295	25,000
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	38		0	-30,000
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-14	10	38.35	26,410,596	10,000
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	10	37.5	26,412,296	1,700
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-16	10	37.609	26,425,596	13,300
ATCO LTD.	Non-Voting Shares Class I	Southern, Nancy C.	4, 6, 7, 5	2020-12-17	10	37.322	26,433,536	7,940
ATCO LTD.	Options 56.63	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	51		0	-25,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Southern, Nancy C.	4, 6, 7, 5	2003-01-09	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	50		200,000	200,000
ATCO LTD.	Rights 56.63 (SAR)	Southern, Nancy C.	4, 6, 7, 5	2020-12-14	59	38.16	0	-25,000
ATCO LTD.	Non-Voting Shares Class I	Stensby, Wayne K.	7	2020-12-15	38		0	-15,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Stensby, Wayne K.	7	2014-06-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Stensby, Wayne K.	7	2020-12-15	50		20,000	20,000
ATCO LTD.	Options Options 38.40 (2020-12-15)	Wilmot, Marshall	5	2020-12-01	00			
ATCO LTD.	Options Options 38.40 (2020-12-15)	Wilmot, Marshall	5	2020-12-15	50		2,000	2,000
Athabasca Minerals Inc.	Common Shares	Archibald, Dana Forbes	5	2020-12-15	30	0.135	255,901	5,710
Athabasca Minerals Inc.	Common Shares	Beekhuizen, Robet James	5	2020-12-15	30	0.135	782,870	8,488
Athabasca Minerals Inc.	Common Shares	Smith, Mark Gregory Edward	5	2020-12-15	30	0.135	238,008	4,630
Athabasca Oil Corporation	Common Shares	Equinor ASA (formerly Statoil ASA)	3	2017-12-31	99		100,000,000	100,000,000
Athabasca Oil Corporation	Common Shares	Equinor ASA (formerly Statoil ASA)	3	2020-12-14	00			
Athabasca Oil Corporation	Common Shares	Equinor Canada Ltd. (formerly Statoil Canada Ltd.)	3	2017-01-31	00			
Athabasca Oil Corporation	Common Shares	Equinor Canada Ltd. (formerly Statoil Canada Ltd.)	3	2017-01-31	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Athabasca Oil Corporation	Common Shares	Equinor Canada Ltd. (formerly Statoil Canada Ltd.)	3	2017-01-31	00			
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-12-15	51	15.83	10,000	10,000
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-12-15	10	23.3	0	-10,000
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-12-15	51	12.77	3,125	3,125
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-12-15	10	22.95	0	-3,125
ATS Automation Tooling Systems Inc.	Options	Roberts, Simon	5	2020-12-15	51	15.83	68,742	-10,000
ATS Automation Tooling Systems Inc.	Options	Roberts, Simon	5	2020-12-15	51	12.77	65,617	-3,125
Aumento Capital VII Corporation	Common Shares	Green, Drew (Charles Andrew)	3, 4	2020-12-07	00		4,695,419	
Aumento Capital VII Corporation	Options	Green, Drew (Charles Andrew)	3, 4	2020-12-07	00		727,700	
Aumento Capital VII Corporation	Restricted Share Units	Green, Drew (Charles Andrew)	3, 4	2020-12-07	00		1,000,000	
Aumento Capital VII Corporation	Restricted Share Units	Kim, John	4	2020-12-07	00		154,000	
Aumento Capital VII Corporation	Options	LEONG, Jonathan Reginald	5	2020-12-07	00		500,000	
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-09	10	1.05	7,707,100	7,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-09	10	1.04	7,732,100	25,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-10	10	1.05	7,738,100	6,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-10	10	1.04	7,781,700	43,600
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-11	10	1.05	7,782,700	1,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-11	10	1.06	7,796,700	14,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-11	10	1.06	7,836,700	40,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-11	10	1.04	7,846,700	10,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-14	10	1.05	7,871,700	25,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-14	10	1.05	7,872,000	300
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-14	10	1.04	7,882,000	10,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2020-12-15	10	1.05	7,917,000	35,000
Aurora Cannabis Inc.	Options	Atkins, Margaret Shan	4	2020-11-30	50		16,572	3,371
Aurora Cannabis Inc.	Deferred Share Unit	Beauchamp, Norma	4	2020-11-30	56		4,499	860
Aurora Cannabis Inc.	Options	Beauchamp, Norma	4	2020-11-30	50		17,156	3,371
Aurora Cannabis Inc.	Deferred Share Units	Detlefsen, Michael Erik	4	2020-11-30	56		3,446	860
Aurora Cannabis Inc.	Options	Detlefsen, Michael Erik	4	2020-11-30	50		11,931	3,371
Aurora Cannabis Inc.	Options	Friedmann, Lance	4	2020-11-30	50		11,931	3,371
Aurora Cannabis Inc.	Rights	Friedmann, Lance	4	2020-11-30	56		3,446	860
Aurora Cannabis Inc.	Common Shares Deferred Share Units	Funk, Ronald	4	2020-11-30	56		4,499	860
Aurora Cannabis Inc.	Options	Funk, Ronald	4	2020-11-30	50		17,156	3,371
Austral Gold Limited	Ordinary Shares	Hubert, Wayne	7	2020-12-10	10	0.17	2,445,000	100,000
Austral Gold Limited	Ordinary Shares	Hubert, Wayne	7	2020-12-11	10	0.17	2,545,000	100,000
AutoCanada Inc.	Deferred share units	DesRosiers, Dennis Stephan	4	2020-12-15	56		23,191	299
AutoCanada Inc.	Deferred share units	Green, Stephen	4	2020-12-15	56		28,440	957
AutoCanada Inc.	Deferred share units	James, Barry Lee	4	2020-12-15	56		14,454	299

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
AutoCanada Inc.	Deferred share units	Keller, Maryann Natalie	4	2020-12-15	56		48,845	1,032
AutoCanada Inc.	Deferred share units	Olmata, Elias	4	2020-12-15	56		24,213	807
Automotive Properties Real Estate Investment Trust	Trust Units	893353 Alberta Inc.	3	2020-12-15	10	11	177,900	29,900
Automotive Properties Real Estate Investment Trust	Trust Units	TWC Enterprises Limited	3	2020-12-11	10	10.9	6,521,657	121,900
Auxly Cannabis Group Inc.	Options	Rapsey, Ian Peter	6	2020-06-29	50		1,503,929	190,000
Auxly Cannabis Group Inc.	Options	Schmitt, Brian William	5	2020-06-29	50		1,450,000	450,000
Avante Logixx Inc.	Common Shares	Osler, Carol	4	2018-09-19	00			
Avante Logixx Inc.	Common Shares	Osler, Carol	4	2020-12-14	10	1.499	33,000	33,000
Avante Logixx Inc.	Options	Osler, Carol	4	2018-09-19	00			
Avcorp Industries Inc.	Common Shares	Kaler, Amandeep Singh	5	2020-12-17	10	0.065	898,495	146,000
Avcorp Industries Inc.	Common Shares	Kaler, Amandeep Singh	5	2020-12-18	10	0.065	903,495	5,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-10	10	0.345	7,230,833	70,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-11	10	0.34	7,249,333	18,500
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-15	10	0.33	7,324,333	75,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-16	10	0.335	7,344,333	20,000
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-12-17	10	0.33	7,419,333	75,000
Aztec Minerals Corp.	Common Shares	Cooke, Bradford	4	2020-07-17	30	0.3	3,725,083	400,000
Aztec Minerals Corp.	Common Shares	Cooke, Bradford	4	2020-12-17	10	0.235	4,013,083	100,000
Aztec Minerals Corp.	Warrants	Cooke, Bradford	4	2020-07-17	30	0.4	1,720,500	200,000
Azucar Minerals Ltd. (formerly Almadex Minerals Limited)	Stock Options	McDonald, Douglas John	4	2020-12-15	52	0.39	310,000	-90,000
Azucar Minerals Ltd. (formerly Almadex Minerals Limited)	Stock Options	McDonald, Douglas John	4	2020-12-17	50	0.16	400,000	90,000
Azucar Minerals Ltd. (formerly Almadex Minerals Limited)	Stock Options	Trieu, Korm	5	2020-12-15	52	0.39	370,000	-30,000
Azucar Minerals Ltd. (formerly Almadex Minerals Limited)	Stock Options	Trieu, Korm	5	2020-12-17	50	0.16	400,000	30,000
Ballard Power Systems Inc.	Common Shares	Guglielmin, Anthony Robert	5	2020-12-18	10	27	9,218	-7,500
Ballard Power Systems Inc.	Common Shares	HILLIER, KERRY BRENT	5	2020-12-17	10	25.7	3,067	-3,000
Bank of Montreal	Options	Barclay, Daniel	5	2020-12-14	50	97.14	211,230	64,817
Bank of Montreal	Performance Share Units	Barclay, Daniel	5	2020-12-14	56	89.73	86,911	37,669
Bank of Montreal	Options	Casper, David Robert	5	2020-12-14	50	97.14	184,028	32,621
Bank of Montreal	Performance Share Units	Casper, David Robert	5	2020-12-14	56	89.73	89,459	30,339
Bank of Montreal	Options	Cronin, Patrick	5	2020-12-14	50	97.14	322,798	38,127
Bank of Montreal	Performance Share Units	Cronin, Patrick	5	2020-12-14	56	89.73	86,815	21,843
Bank of Montreal	Options	Fish, Simon Adrian	5	2020-12-14	50	97.14	171,867	11,438
Bank of Montreal	Restricted Share Units	Fish, Simon Adrian	5	2020-12-14	56	89.73	25,747	8,247
Bank of Montreal	Options	Flynn, Thomas Earl	7	2020-12-14	50	97.14	199,969	30,121
Bank of Montreal	Performance Share Units	Flynn, Thomas Earl	7	2020-12-14	56	89.73	53,784	17,218

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bank of Montreal	Common Shares	Fowler, Cameron McAskile	5	2020-12-16	47	97.427	0	-213
Bank of Montreal	Options	Fowler, Cameron McAskile	5	2020-12-14	50	97.14	197,629	43,465
Bank of Montreal	Performance Share Units	Fowler, Cameron McAskile	5	2020-12-14	56	89.73	76,893	25,744
Bank of Montreal	Options	Johannson, Erminia	5	2020-12-14	50	97.14	83,598	23,639
Bank of Montreal	Performance Share Units	Johannson, Erminia	5	2020-12-14	56	89.73	49,372	20,617
Bank of Montreal	Options	Malone, Mona Elizabeth	5	2020-12-14	50	97.14	31,484	14,488
Bank of Montreal	Performance Share Units	Malone, Mona Elizabeth	5	2020-12-14	56	89.73	14,145	8,414
Bank of Montreal	Options	Rotenberg, Joanna Michelle	5	2020-12-14	50	97.14	131,573	31,265
Bank of Montreal	Performance Share Units	Rotenberg, Joanna Michelle	5	2020-12-14	56	89.73	56,177	18,500
Bank of Montreal	Options	Tennyson, Steven Lloyd	5	2020-12-14	50	97.14	154,963	28,214
Bank of Montreal	Performance Share Units	Tennyson, Steven Lloyd	5	2020-12-14	56	89.73	31,122	16,271
Bank of Montreal	Options	White, William Darryl	7, 5	2020-12-14	50	97.14	439,876	101,171
Bank of Montreal	Performance Share Units	White, William Darryl	7, 5	2020-12-14	56	89.73	149,696	50,660
Bank of Nova Scotia, The	Options	Arellano, Ian	5	2020-12-15	50	68.36		33,462
Bank of Nova Scotia, The	Options	Arellano, Ian	5	2020-12-15	50	68.36	115,158	33,462
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Arellano, Ian	5	2020-12-15	30	62.4	33,587	-12,377
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Arellano, Ian	5	2020-12-15	30		30,096	-3,491
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Arellano, Ian	5	2020-12-15	56	62.4	46,519	16,423
Bank of Nova Scotia, The	Options	Deschamps, Ignacio	5	2020-12-15	50	68.36	209,282	71,076
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Deschamps, Ignacio	5	2020-12-15	30	62.4	86,010	-32,287
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Deschamps, Ignacio	5	2020-12-15	30		76,904	-9,106
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Deschamps, Ignacio	5	2020-12-15	56	62.4	111,787	34,883
Bank of Nova Scotia, The	Options	Frew, Robin Nicole	5	2020-12-15	50	68.36	44,578	12,428
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Frew, Robin Nicole	5	2020-12-15	30	62.4	10,524	-2,953
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Frew, Robin Nicole	5	2020-12-15	30		9,691	-833
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Frew, Robin Nicole	5	2020-12-15	56	62.4	15,791	6,100
Bank of Nova Scotia, The	Options	Gowland, Glen Bruce	5	2020-12-15	50	68.36	217,812	49,828
Bank of Nova Scotia, The	Rights Deferred Stock Units (DSU)	Gowland, Glen Bruce	5	2020-12-15	56	75.8	44,524	9,167
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Gowland, Glen Bruce	5	2020-12-15	30	62.4	32,122	-8,252
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Gowland, Glen Bruce	5	2020-12-15	30		29,795	-2,327

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Gowland, Glen Bruce	5	2020-12-15	56	62.4	54,250	24,455
Bank of Nova Scotia, The	Options	Lawrence, Jason	5	2020-12-15	50	68.36	150,430	64,000
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Lawrence, Jason	5	2020-12-15	30	62.4	32,091	-4,348
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Lawrence, Jason	5	2020-12-15	30		30,865	-1,226
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Lawrence, Jason	5	2020-12-15	56	62.4	62,275	31,410
Bank of Nova Scotia, The	Options	Mason, Barbara Frances	5	2020-12-15	50	68.36	342,896	45,202
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Mason, Barbara Frances	5	2020-12-15	30	62.4	41,491	-14,115
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Mason, Barbara Frances	5	2020-12-15	30		37,510	-3,981
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Mason, Barbara Frances	5	2020-12-15	56	62.4	59,695	22,185
Bank of Nova Scotia, The	Options	McGuire, Thomas J.	5	2020-12-15	50	68.36	67,282	25,688
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	McGuire, Thomas J.	5	2020-12-15	30	62.4	24,643	-11,156
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	McGuire, Thomas J.	5	2020-12-15	30		21,496	-3,147
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	McGuire, Thomas J.	5	2020-12-15	56	62.4	34,104	12,608
Bank of Nova Scotia, The	Rights Restricted Share Units	McGuire, Thomas J.	5	2020-12-15	30		1,459	86
Bank of Nova Scotia, The	Rights Restricted Share Units	McGuire, Thomas J.	5	2020-12-15	30	62.4	0	-1,459
Bank of Nova Scotia, The	Options	Moore, Daniel	5	2020-12-15	50	68.36	190,272	34,742
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Moore, Daniel	5	2020-12-15	30	62.4	38,856	-12,595
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Moore, Daniel	5	2020-12-15	30		35,304	-3,552
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Moore, Daniel	5	2020-12-15	56	62.4	52,355	17,051
Bank of Nova Scotia, The	Options	Neate, James	5	2020-12-15	50	68.36	184,450	62,628
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Neate, James	5	2020-12-15	30	62.4	34,576	-8,078
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Neate, James	5	2020-12-15	30		32,298	-2,278
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Neate, James	5	2020-12-15	30	62.4	32,103	-195
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Neate, James	5	2020-12-15	30		32,048	-55
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Neate, James	5	2020-12-15	56	62.4	62,785	30,737
Bank of Nova Scotia, The	Options	Porter, Brian J	4, 5	2020-12-15	50	68.36	1,208,854	167,836
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Porter, Brian J	4, 5	2020-12-15	30	62.4	175,320	-62,973
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Porter, Brian J	4, 5	2020-12-15	30		157,558	-17,762
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Porter, Brian J	4, 5	2020-12-15	56	62.4	239,962	82,404

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bank of Nova Scotia, The	Options	Rees, Daniel Llewellyn	5	2020-12-15	50	68.36	202,086	61,256
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Rees, Daniel Llewellyn	5	2020-12-15	30	62.4	40,238	-6,732
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Rees, Daniel Llewellyn	5	2020-12-15	30		38,339	-1,899
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Rees, Daniel Llewellyn	5	2020-12-15	30	62.4	37,145	-1,194
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Rees, Daniel Llewellyn	5	2020-12-15	30		36,808	-337
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Rees, Daniel Llewellyn	5	2020-12-15	56	62.4	66,872	30,064
Bank of Nova Scotia, The	Common Shares	Viswanathan, Rajagopal	5	2020-12-14	51	55.63	22,499	4,416
Bank of Nova Scotia, The	Options	Viswanathan, Rajagopal	5	2020-12-14	51	55.63	71,282	-4,416
Bank of Nova Scotia, The	Options	Viswanathan, Rajagopal	5	2020-12-15	50	68.36	117,910	46,628
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Viswanathan, Rajagopal	5	2020-12-15	30	62.4	20,356	-2,606
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Viswanathan, Rajagopal	5	2020-12-15	30		19,621	-735
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Viswanathan, Rajagopal	5	2020-12-15	56	62.4	42,506	22,885
Bank of Nova Scotia, The	Options	Zerbs, Michael	5	2020-12-15	50	68.36	177,236	48,456
Bank of Nova Scotia, The	Rights Deferred Stock Units (DSU)	Zerbs, Michael	5	2020-12-15	56	75.8	38,789	7,866
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Zerbs, Michael	5	2020-12-15	30	62.4	39,337	-9,859
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Zerbs, Michael	5	2020-12-15	30		36,556	-2,781
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Zerbs, Michael	5	2020-12-15	56	62.4	60,338	23,782
Banyan Gold Corp.	Options	Ayranto, Mark	3, 4	2020-12-09	50	0.23	1,393,350	225,000
Banyan Gold Corp.	Options	Gray, Paul Dunstan	8	2020-12-09	50	0.23	1,425,000	175,000
Barsele Minerals Corp.	Common Shares	Cope, Gary Gordon	4	2020-12-14	10	0.6	2,254,500	30,000
Barsele Minerals Corp.	Common Shares	Cope, Gary Gordon	4	2020-12-17	10	0.55	2,274,500	20,000
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-12-04	51	14.38	304,922	114,055
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-12-04	51	19.871	190,867	-114,055
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Options	Humphries, William Douglas	5	2020-12-04	51	14.38	101,148	-114,055
Baylin Technologies Inc.	Common Shares	Dewey, Randy	4, 5	2020-12-15	16	0.75	300,039	83,000
Baylin Technologies Inc.	Warrants	Dewey, Randy	4, 5	2013-11-20	00			
Baylin Technologies Inc.	Warrants	Dewey, Randy	4, 5	2020-12-15	16		41,500	41,500
Baylin Technologies Inc.	Common Shares	Royer, Jeffrey	3, 4	2020-12-15	16	0.75	17,771,874	1,333,600

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Baylin Technologies Inc.	Warrants	Royer, Jeffrey	3, 4	2013-11-20	00			
Baylin Technologies Inc.	Warrants	Royer, Jeffrey	3, 4	2013-11-20	00			
Baylin Technologies Inc.	Warrants	Royer, Jeffrey	3, 4	2020-12-15	16		666,800	666,800
Baytex Energy Corp.	Common Shares	Lundberg, Chad	5	2020-12-15	57	0.82	200,358	42,840
Baytex Energy Corp.	Common Shares	Lundberg, Chad	5	2020-12-15	57	0.82	205,118	4,760
Baytex Energy Corp.	Common Shares	Lundberg, Chad	5	2020-12-15	30	0.79	185,204	-19,914
Baytex Energy Corp.	Performance Awards (RRX)	Lundberg, Chad	5	2020-12-15	57	0.82	0	-42,840
Baytex Energy Corp.	Restricted Awards (RRX)	Lundberg, Chad	5	2020-12-15	57	0.82	0	-4,760
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Common Shares	Taylor, Kevin Robert	4	2020-12-10	15	0.11		-200,000
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Common Shares	Taylor, Kevin Robert	4	2020-12-10	10	0.11	5,340,132	-200,000
BC Craft Supply Co. Ltd. (Formerly Pasha Brands Ltd.)	Common Shares	Taylor, Kevin Robert	4	2020-12-14	10	0.1101	4,876,632	-463,500
BELLUS Health Inc.	Options	Benamar, Ramzi	5	2020-12-07	00			
BELLUS Health Inc.	Options	Benamar, Ramzi	5	2020-12-14	50		390,000	390,000
Benton Resources Inc.	Common Shares	Stares, Stephen	4	2020-12-11	16	0.2	4,976,265	50,000
Benton Resources Inc.	Warrants	Stares, Stephen	4	2020-12-11	16	0.3	92,500	25,000
Better Plant Sciences Inc.	Options	Drezdoff, Cole David	4	2020-07-31	00			
Better Plant Sciences Inc.	Options	Drezdoff, Cole David	4	2020-12-17	50		100,000	100,000
Better Plant Sciences Inc.	Options	HUANG, YU CAI	4, 5	2020-12-17	50		1,122,000	500,000
Better Plant Sciences Inc.	Options	Margaris, Spiros	4	2020-12-17	50		2,012,000	100,000
Better Plant Sciences Inc.	Options	Mullen, Bruce Wayne	3, 4	2020-12-17	50		600,000	100,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 5	2020-12-11	10	0.1425	15,940,721	-620,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 5	2020-12-14	10	0.2142	14,390,721	-1,550,000
Better Plant Sciences Inc.	Options	White, Penny Olga	3, 5	2020-12-17	50		2,962,000	2,500,000
BetterLife Pharma Inc.	Options	Doroudian, Ahmad	4, 5	2020-12-09	50	0.77	525,655	200,000
BetterLife Pharma Inc.	Options	Metcalfe, Robert	4	2020-05-22	50	0.18	300,000	200,000
BetterLife Pharma Inc.	Options	Metcalfe, Robert	4	2020-06-29	37		30,000	-270,000
BetterLife Pharma Inc.	Options	Metcalfe, Robert	4	2020-12-09	50	0.77	90,000	60,000
BetterLife Pharma Inc.	Options	Ong, Moira Wi Ting	5	2020-12-09	50	0.77	485,655	200,000
BetterLife Pharma Inc.	Options	Renz, Wolfgang	4	2020-06-29	37		400,000	-3,600,000
BetterLife Pharma Inc.	Options	Renz, Wolfgang	4	2020-12-09	50	0.77	460,000	60,000
BetterLife Pharma Inc.	Options	Renz, Wolfgang	4	2020-12-14	52	1	260,000	-200,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-14	10	0.52	755,000	-10,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-10-09	51	0.3		150,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-10-09	51	0.3	2,225,050	200,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-10-14	51	0.3		150,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-10-14	51	0.3		200,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-10-14	51	0.3		200,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-11-13	51	0.3		200,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-11-13	51	0.3	2,204,050	53,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-11-13	51	0.33	2,351,050	147,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-10-09	51			-150,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-10-09	51		2,313,667	-200,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-10-14	51			-150,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-10-14	51			-150,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-11-13	51			-200,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-11-13	51		1,460,667	-53,000
BevCanna Enterprises Inc.	Options	Leone, Marcello	3, 4, 5	2020-11-13	51		1,313,667	-147,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-12-17	10	0.47	1,248,000	5,000
BIGG Digital Assets Inc.	Common Shares	Morginn, Lance	4	2020-12-18	10	0.5	8,455,978	10,000
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-12-15	10	0.1307	2,694,904	15,000
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-12-18	10	0.14	2,704,904	10,000
Bitfarms Ltd.	Common Shares	Finkielstain, Andres	4	2020-12-15	10	0.83	25,000	-25,000
Bitfarms Ltd.	Common Shares	Finkielstain, Andres	4	2020-12-15	10	0.86	0	-25,000
Bitfarms Ltd.	Common Shares	Vachon, Mathieu	3	2020-12-14	10	0.72	8,429,953	-50,000
Black Diamond Group Limited	Common Shares	Redmond, Edward John	5	2020-12-08	10	2.08	191,783	400
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Eacobacci, Tom	5	2020-06-15	00			
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Eacobacci, Tom	5	2020-07-23	56		1,265,821	1,265,821
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Eacobacci, Tom	5	2020-06-15	00			
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Eacobacci, Tom	5	2020-07-23	56		843,881	843,881
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-10	10	0.155	2,823,644	22,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-10	10	0.16	2,831,644	8,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-11	10	0.16	2,931,644	100,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2020-12-11	10	0.155	2,951,644	20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bloclip Entertainment Inc.	Common Shares	Fairhurst, Emma	3	2020-11-20	00			
Bloclip Entertainment Inc.	Common Shares	Fairhurst, Emma	3	2020-12-16	11	0.1	4,500,000	4,500,000
Bloclip Entertainment Inc.	Warrants	Fairhurst, Emma	3	2020-11-20	00			
Bloclip Entertainment Inc.	Warrants	Fairhurst, Emma	3	2020-12-16	11	0.15	4,500,000	4,500,000
Blue Sky Energy Inc.	Common Shares	Apollo Lighting Corp.	3	2020-11-23	10	0.11	0	-6,042,743
Blue Sky Energy Inc.	Common Shares	Wachsberg, Charles	3	2020-11-23	10	0.11	6,042,743	6,042,743
Blue Sky Energy Inc.	Common Shares	Wachsberg, Sonia	3	2020-11-23	10	0.11	0	-6,042,743
Blue Star Gold Corp.	Options	Ewing, Grant David	5	2020-12-17	50	0.11	2,200,000	1,000,000
Blue Star Gold Corp.	Options	Kuhn, Peter Martin	5	2020-12-17	50	0.11	2,050,000	1,000,000
Blue Star Gold Corp.	Options	Metcalfe, Robert	4	2020-12-17	50	0.11	2,400,000	600,000
Blue Star Gold Corp.	Options	Pollert, Georg	3, 4	2020-12-17	50	0.11	1,500,000	500,000
Blue Star Gold Corp.	Options	Schmid, Klaus Georg	4	2020-12-17	50	0.11	1,100,000	500,000
Blue Star Gold Corp.	Options	Urata, Jan	5	2020-12-17	50	0.11	300,000	300,000
Blue Star Gold Corp.	Options	Yuan, Ke Feng (Andrea)	5	2020-01-01	00			
Blue Star Gold Corp.	Options	Yuan, Ke Feng (Andrea)	5	2020-12-17	50		1,000,000	1,000,000
Blue Star Gold Corp.	Options	Yurichuk, Kenneth R.	4	2020-12-17	50	0.11	2,300,000	500,000
Blue Thunder Mining Inc.	Warrants	Red Cloud Mining Capital Inc.	3	2020-12-10	53	0.11	2,481,613	935,457
Blue Thunder Mining Inc.	Warrants	Red Cloud Mining Capital Inc.	3	2020-12-10	53	0.11	2,643,887	162,274
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-01-14	46	0.01		8,000,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-01-14	46	0.12	666,667	666,667
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-03	10	0.01		261,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-03	10	0.12	688,417	21,750
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-04	10	0.01		1,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-04	10	0.12	688,500	83
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-04	10	0.01		9,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-04	10	0.12	689,250	750
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-09	10	0.01		16,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-09	10	0.12	690,583	1,333
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-11	10	0.01		3,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-11	10	0.12	690,833	250
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.01		28,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.12	693,166	2,333
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.01		50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.12	697,333	4,167
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.01		132,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.12	708,333	11,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.01		300,000
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2020-03-12	10	0.12	733,333	25,000
Bluesky Digital Assets Corp.	Options	Gelfand, Benjamin	4, 5	2019-05-27	00			
Bluesky Digital Assets Corp.	Options	Gelfand, Benjamin	4, 5	2019-05-27	00			
Bluesky Digital Assets Corp.	Options	Gelfand, Benjamin	4, 5	2019-05-27	00			
Bluesky Digital Assets Corp.	Options	Gelfand, Benjamin	4, 5	2020-12-14	50		466,666	466,666
Bluesky Digital Assets Corp.	Units Warrants	Gelfand, Benjamin	4, 5	2019-05-27	00			
Bluesky Digital Assets Corp.	Units Warrants	Gelfand, Benjamin	4, 5	2020-12-14	16	0.15	444,444	444,444
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2020-12-17	10	1.72	4,106,137	7,000
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2020-12-17	10	1.72	4,111,137	5,000
Bonterra Energy Corp.	Options	Thompson, Robb Douglas	5	2020-12-09	50	1.67	245,000	100,000
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.41	1,084,900	-1,300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.39	1,084,800	-100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.38	1,082,500	-2,300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.37	1,082,400	-100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.35	1,069,500	-12,900
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.34	1,068,800	-700
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.33	1,068,700	-100
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.32	1,063,700	-5,000
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.31	1,062,800	-900
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.3	1,057,600	-5,200
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-15	10	39.28	1,056,600	-1,000
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-16	10	39.34	1,055,100	-1,500
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-16	10	39.33	1,054,800	-300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-16	10	39.32	1,052,500	-2,300
Borex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-16	10	39.31	1,050,800	-1,700

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Boralex Inc.	Common Shares	Kernaghan, Edward Hume	4	2020-12-16	10	39.3	1,046,600	-4,200
Brachium Capital Corp.	Common Shares Class A Common Shares	Graham, Craig Lawrence	4	2019-09-08	00		200,000	
Brachium Capital Corp.	Common Shares Class A Common Shares	Graham, Craig Lawrence	4	2019-09-27	00			
Brachium Capital Corp.	Options	Graham, Craig Lawrence	4	2019-09-08	00			
Brachium Capital Corp.	Options	Graham, Craig Lawrence	4	2019-09-27	00			
BRAMPTON BRICK LIMITED	Options	DeGasperis, Jim V	4	2012-08-12	52	13.75	19,000	-2,500
BRAMPTON BRICK LIMITED	Options	DeGasperis, Jim V	4	2014-05-04	52	14.5	20,700	-2,500
BRAMPTON BRICK LIMITED	Options	DeGasperis, Jim V	4	2015-05-25	52	10.51	22,200	-2,500
BRAMPTON BRICK LIMITED	Options	DeGasperis, Jim V	4	2018-03-14	52	10.51	8,800	-2,500
Braveheart Resources Inc.	Common Shares	Berzins, Ian Martin	4, 5	2020-12-11	10	0.125	2,539,500	6,000
Braveheart Resources Inc.	Common Shares	Berzins, Ian Martin	4, 5	2020-12-11	10	0.12	2,545,500	6,000
Braveheart Resources Inc.	Common Shares	Berzins, Ian Martin	4, 5	2020-12-17	10	0.135	2,548,000	2,500
Braveheart Resources Inc.	Common Shares	Johnston, David Walter	4, 5	2020-12-16	10	0.13	1,563,983	-50,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-12-10	10	0.125	7,327,001	7,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-12-11	10	0.1207	7,338,001	11,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-12-17	11	53.58		-15,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-12-17	47	53.58	18,611,871	-15,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.05	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.05	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.07	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.07	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.08	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.08	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.1	1,100	1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.1	0	-1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.11	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.11	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.12	700	700

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.12	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.14	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.14	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.15	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.15	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.17	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.17	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.18	2,000	2,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.18	0	-2,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.19	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.19	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.2	1,000	1,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.2	0	-1,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.21	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.21	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.23	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.23	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.24	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.24	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.25	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.25	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.27	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.27	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.37	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.37	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.46	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	39.46	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.09	100	100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.09	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.55	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.55	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.56	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.56	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.6	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.6	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.66	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.66	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.665	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.665	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.67	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.67	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.68	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.68	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.76	332	332
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.76	0	-332
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.89	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.89	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.95	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.95	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.96	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.96	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.97	800	800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	40.97	0	-800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41	1,200	1,200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41	0	-1,200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.04	200	200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.04	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.05	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.05	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.17	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.17	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.18	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-10	38	41.18	0	-500
BRP Inc.	Options	Uhr, Thomas	5	2020-12-15	51	27.962	122,750	-5,025
BRP Inc.	Options	Uhr, Thomas	5	2020-12-17	51	27.962	117,725	-5,025
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-15	51	27.962	5,025	5,025
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-15	10	84.751	4,025	-1,000
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-15	10	84.489	2,025	-2,000
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-15	10	84.504	0	-2,025
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-17	51	27.962	5,025	5,025
BRP Inc.	Subordinate Voting Shares	Uhr, Thomas	5	2020-12-17	10	86.29	0	-5,025
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-12-14	10	8.44	21,533	100
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-12-16	10	8.73	21,833	300
C21 Investments Inc.	Convertible Debentures	Kidd, Michael Starrett	4, 5	2020-12-11	54	1000		\$5
C21 Investments Inc.	Convertible Debentures	Kidd, Michael Starrett	4, 5	2020-12-11	11	1000	\$15,000	\$5,000
C21 Investments Inc.	Warrants	Kidd, Michael Starrett	4, 5	2020-12-11	54	1000	0	-5
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	51	15	44,197	22,500
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	51	16.15	57,572	13,375
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.17	56,372	-1,200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.18	56,172	-200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.41	48,972	-7,200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.4	39,697	-9,275
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.42	38,697	-1,000
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.43	38,497	-200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.43	36,397	-2,100
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.43	36,297	-100
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.44	36,097	-200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.459	35,697	-400
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.446	35,597	-100
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.444	35,502	-95
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.432	35,397	-105
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.408	35,197	-200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.408	35,097	-100
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.45	35,072	-25

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.45	34,297	-775
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.44	32,997	-1,300
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.41	29,897	-3,100
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.4	26,097	-3,800
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.408	25,897	-200
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.435	25,497	-400
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.42	23,497	-2,000
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.43	22,097	-1,400
CAE Inc.	Common Shares	Hounsell, Mark	5	2020-12-08	10	32.425	21,697	-400
CAE Inc.	Options Employee Stock Option Plan	Hounsell, Mark	5	2020-12-08	51	15	235,575	-22,500
CAE Inc.	Options Employee Stock Option Plan	Hounsell, Mark	5	2020-12-08	51	16.15	222,200	-13,375
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	51	22.17	155,372	102,600
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	51	16.15	182,672	27,300
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.71	182,272	-400
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.7	177,872	-4,400
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.67	177,372	-500
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.66	176,067	-1,305
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.65	173,472	-2,595
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.64	171,772	-1,700
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.63	170,472	-1,300
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.62	168,072	-2,400
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.61	166,352	-1,720
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.6	163,752	-2,600
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.59	158,730	-5,022
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.58	147,332	-11,398
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.57	123,567	-23,765
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.56	107,767	-15,800
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.55	96,576	-11,191
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.54	86,715	-9,861
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.53	80,452	-6,263
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.52	76,784	-3,668
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.51	72,859	-3,925
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.5	67,857	-5,002
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.49	63,157	-4,700
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.48	62,590	-567
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.47	60,594	-1,996
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.46	58,494	-2,100
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.45	56,894	-1,600
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.44	55,472	-1,422
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.43	54,272	-1,200
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.42	53,972	-300
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-08	10	31.41	52,772	-1,200
CAE Inc.	Common Shares	Leontidis, Nick	5	2020-12-16	10	32.65	59,772	7,000
CAE Inc.	Options Employee Stock Option Plan	Leontidis, Nick	5	2020-12-08	51	22.17	396,500	-102,600
CAE Inc.	Options Employee Stock Option Plan	Leontidis, Nick	5	2020-12-08	51	16.15	369,200	-27,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	Basler, Raymond Gregory	4	2020-12-15	56	60.73	3,260	14
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	loeb, kenneth jeffrey	4	2020-12-15	56	60.73	8,714	39
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	Park, Young	4	2020-12-15	56	60.73	1,712	7
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	Poirier, Jo-Anne Cecile	4	2020-12-15	56	60.73	2,894	13
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	Vickers, Richard Allan	4	2020-12-15	56	60.73	4,851	22
Calian Group Ltd.	Deferred Share Units (Cash Value of Common Shares)	weber, george brian	4	2020-12-15	56	60.73	4,169	18
Calibre Mining Corp.	Restricted Share Units	Gregg, Jason Jared	5	2020-12-03	10	2.42	321,828	-31,743
Cameco Corporation	Rights Performance Share Units	Breker, Jeremy Andrew	5	2020-12-15	30		23,653	47
Cameco Corporation	Rights Performance Share Units	Breker, Jeremy Andrew	5	2020-12-15	30		23,717	64
Cameco Corporation	Rights Restricted Share Units	Breker, Jeremy Andrew	5	2020-12-15	30		10,141	5
Cameco Corporation	Rights Restricted Share Units	Breker, Jeremy Andrew	5	2020-12-15	30		10,184	43
Cameco Corporation	Rights Performance Share Units	Clark, Dale Robert	5	2020-12-15	30		38,367	60
Cameco Corporation	Rights Performance Share Units	Clark, Dale Robert	5	2020-12-15	30		38,418	51
Cameco Corporation	Rights Performance Share Units	Clark, Dale Robert	5	2020-12-15	30		38,487	69
Cameco Corporation	Rights Restricted Share Units	Clark, Dale Robert	5	2020-12-15	30		9,796	46
Cameco Corporation	Rights Performance Share Units	Doerksen, David Fehr	5	2020-12-15	30		37,018	58
Cameco Corporation	Rights Performance Share Units	Doerksen, David Fehr	5	2020-12-15	30		37,067	49
Cameco Corporation	Rights Performance Share Units	Doerksen, David Fehr	5	2020-12-15	30		37,134	67
Cameco Corporation	Rights Restricted Share Units	Doerksen, David Fehr	5	2020-12-15	30		9,454	44
Cameco Corporation	Rights Performance Share Units	Girard, Rachelle Spring	5	2020-12-15	30		28,027	43
Cameco Corporation	Rights Performance Share Units	Girard, Rachelle Spring	5	2020-12-15	30		28,064	37
Cameco Corporation	Rights Performance Share Units	Girard, Rachelle Spring	5	2020-12-15	30		28,117	53
Cameco Corporation	Rights Restricted Share Units	Girard, Rachelle Spring	5	2020-12-15	30		7,455	35
Cameco Corporation	Rights Performance Share Units	Gitzel, Tim Scott	5	2020-12-15	30		539,624	920
Cameco Corporation	Rights Performance Share Units	Gitzel, Tim Scott	5	2020-12-15	30		540,327	703
Cameco Corporation	Rights Performance Share Units	Gitzel, Tim Scott	5	2020-12-15	30		541,245	918

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cameco Corporation	Rights Restricted Share Units	Gitzel, Tim Scott	5	2020-12-15	30		130,362	612
Cameco Corporation	Rights Performance Share Units	Gorsalitz, Caroline Marie	5	2020-12-15	30		36,917	58
Cameco Corporation	Rights Performance Share Units	Gorsalitz, Caroline Marie	5	2020-12-15	30		36,966	49
Cameco Corporation	Rights Performance Share Units	Gorsalitz, Caroline Marie	5	2020-12-15	30		37,032	66
Cameco Corporation	Rights Restricted Share Units	Gorsalitz, Caroline Marie	5	2020-12-15	30		9,434	44
Cameco Corporation	Rights Performance Share Units	Huntington, Jonathan	5	2020-12-15	30		28,027	43
Cameco Corporation	Rights Performance Share Units	Huntington, Jonathan	5	2020-12-15	30		28,064	37
Cameco Corporation	Rights Performance Share Units	Huntington, Jonathan	5	2020-12-15	30		28,117	53
Cameco Corporation	Rights Restricted Share Units	Huntington, Jonathan	5	2020-12-15	30		7,455	35
Cameco Corporation	Rights Performance Share Units	Isaac, Grant Everett	5	2020-12-15	30		206,109	348
Cameco Corporation	Rights Performance Share Units	Isaac, Grant Everett	5	2020-12-15	30		206,374	265
Cameco Corporation	Rights Performance Share Units	Isaac, Grant Everett	5	2020-12-15	30		206,731	357
Cameco Corporation	Rights Restricted Share Units	Isaac, Grant Everett	5	2020-12-15	30		50,738	238
Cameco Corporation	Common Shares	Johnson, Jill Amanda	7	2020-12-11	10	17	4,039	-2,444
Cameco Corporation	Rights Restricted Share Units	Johnson, Jill Amanda	7	2020-12-15	30		3,342	3
Cameco Corporation	Rights Restricted Share Units	Johnson, Jill Amanda	7	2020-12-15	30		3,346	4
Cameco Corporation	Rights Restricted Share Units	Johnson, Jill Amanda	7	2020-12-15	30		3,355	9
Cameco Corporation	Rights Performance Share Units	Leach, Mark Sean	5	2020-12-15	30		34,387	54
Cameco Corporation	Rights Performance Share Units	Leach, Mark Sean	5	2020-12-15	30		34,433	46
Cameco Corporation	Rights Performance Share Units	Leach, Mark Sean	5	2020-12-15	30		34,496	63
Cameco Corporation	Rights Restricted Share Units	Leach, Mark Sean	5	2020-12-15	30		8,892	42
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	51	11.32	34,854	18,400
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.21	33,254	-1,600
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.172	30,354	-2,900
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.16	27,654	-2,700
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.159	27,054	-600
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.146	26,951	-103
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.14	26,777	-174
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.133	23,951	-2,826
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.12	21,151	-2,800
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.12	21,054	-97
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.14	19,054	-2,000
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.13	18,254	-800
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.11	16,754	-1,500
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.108	16,454	-300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.62		-4,100
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.62		-4,100
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.67		-1,900
Cameco Corporation	Common Shares	McHardy, Scott	5	2020-12-16	10	17.67		-1,900
Cameco Corporation	Options	McHardy, Scott	5	2020-12-16	51	11.32	100,193	-18,400
Cameco Corporation	Rights Performance Share Units	McHardy, Scott	5	2020-12-15	30		34,137	54
Cameco Corporation	Rights Performance Share Units	McHardy, Scott	5	2020-12-15	30		34,183	46
Cameco Corporation	Rights Performance Share Units	McHardy, Scott	5	2020-12-15	30		34,244	61
Cameco Corporation	Rights Restricted Share Units	McHardy, Scott	5	2020-12-15	30		8,721	41
Cameco Corporation	Rights Performance Share Units	McNally-Power, Lynn Debra	5	2020-12-15	30		34,137	54
Cameco Corporation	Rights Performance Share Units	McNally-Power, Lynn Debra	5	2020-12-15	30		34,183	46
Cameco Corporation	Rights Performance Share Units	McNally-Power, Lynn Debra	5	2020-12-15	30		34,244	61
Cameco Corporation	Rights Restricted Share Units	McNally-Power, Lynn Debra	5	2020-12-15	30		8,721	41
Cameco Corporation	Rights Performance Share Units	Mooney, Ronald Liam	5	2020-12-15	30		36,917	58
Cameco Corporation	Rights Performance Share Units	Mooney, Ronald Liam	5	2020-12-15	30		36,966	49
Cameco Corporation	Rights Performance Share Units	Mooney, Ronald Liam	5	2020-12-15	30		37,032	66
Cameco Corporation	Rights Restricted Share Units	Mooney, Ronald Liam	5	2020-12-15	30		9,434	44
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	51	11.32	19,677	9,953
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.62	15,577	-4,100
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.67	13,677	-1,900
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.668	13,477	-200
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.605	13,377	-100
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.592	12,977	-400
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.541	12,577	-400
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.515	12,277	-300
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.53	12,177	-100
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.51	11,577	-600
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.49	11,024	-553
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.48	10,424	-600
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.477	9,824	-600
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.489	9,771	-53
Cameco Corporation	Common Shares	Orr, Kelly Lovern	5	2020-12-16	10	17.45	9,724	-47
Cameco Corporation	Options	Orr, Kelly Lovern	5	2020-12-16	51	11.32	44,387	-9,953
Cameco Corporation	Rights Performance Share Units	Orr, Kelly Lovern	5	2020-12-15	30		40,104	64
Cameco Corporation	Rights Performance Share Units	Orr, Kelly Lovern	5	2020-12-15	30		40,157	53
Cameco Corporation	Rights Performance Share Units	Orr, Kelly Lovern	5	2020-12-15	30		40,229	72
Cameco Corporation	Rights Restricted Share Units	Orr, Kelly Lovern	5	2020-12-15	30		10,158	48

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cameco Corporation	Rights Performance Share Units	Quinn, Sean Anthony	5	2020-12-15	30		138,840	218
Cameco Corporation	Rights Performance Share Units	Quinn, Sean Anthony	5	2020-12-15	30		139,053	213
Cameco Corporation	Rights Performance Share Units	Quinn, Sean Anthony	5	2020-12-15	30		139,277	224
Cameco Corporation	Rights Restricted Share Units	Quinn, Sean Anthony	5	2020-12-15	30		31,749	149
Cameco Corporation	Rights Performance Share Units	Reilly, Brian Arthur	5	2020-12-15	30		154,438	251
Cameco Corporation	Rights Performance Share Units	Reilly, Brian Arthur	5	2020-12-15	30		154,639	201
Cameco Corporation	Rights Performance Share Units	Reilly, Brian Arthur	5	2020-12-15	30		154,914	275
Cameco Corporation	Rights Restricted Share Units	Reilly, Brian Arthur	5	2020-12-15	30		39,134	184
Cameco Corporation	Rights Performance Share Units	Shockey, Heidi Lynn	5	2020-12-15	30		37,149	58
Cameco Corporation	Rights Performance Share Units	Shockey, Heidi Lynn	5	2020-12-15	30		37,199	50
Cameco Corporation	Rights Performance Share Units	Shockey, Heidi Lynn	5	2020-12-15	30		37,266	67
Cameco Corporation	Rights Restricted Share Units	Shockey, Heidi Lynn	5	2020-12-15	30		9,485	45
Cameco Corporation	Rights Performance Share Units	Thorne, Andrew Miles	5	2020-12-15	30		40,977	65
Cameco Corporation	Rights Performance Share Units	Thorne, Andrew Miles	5	2020-12-15	30		41,032	55
Cameco Corporation	Rights Performance Share Units	Thorne, Andrew Miles	5	2020-12-15	30		41,106	74
Cameco Corporation	Rights Restricted Share Units	Thorne, Andrew Miles	5	2020-12-15	30		10,469	49
Cameco Corporation	Rights Performance Share Units	Wong, Alice Louise	5	2020-12-15	30		133,308	225
Cameco Corporation	Rights Performance Share Units	Wong, Alice Louise	5	2020-12-15	30		133,480	172
Cameco Corporation	Rights Performance Share Units	Wong, Alice Louise	5	2020-12-15	30		133,711	231
Cameco Corporation	Rights Restricted Share Units	Wong, Alice Louise	5	2020-12-15	30		32,804	154
Cameo Industries Corp. (formerly Cameo Cobalt Corp.)	Options	Teniere, Paul John	5	2020-12-15	50		375,000	375,000
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Bralver, Charles Norman	4	2020-12-10	56	9.3598	97,504	570
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Denham, Gillian H. (Jill)	4	2020-12-10	56	9.3598	2,088	12
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Harris, Michael Deane	4	2020-12-10	56	9.3598	190,556	1,113
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Jones, Merri	4	2020-12-10	56	9.3598	25,191	147
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Lyons, Terrence	4	2020-12-10	56	9.3598	111,642	652
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2020-11-16	90		7,570	-34,237
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2020-11-16	90			34,237

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2020-11-16	90		34,358	34,237
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2020-12-14	10	10.11	31,558	-2,800
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Rosenfeld, Eric Stuart	4	2020-12-10	56	9.3598	2,088	12
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	2020-12-10	56	9.3598	84,857	496
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Tennant, Sally Jennifer	4	2020-12-10	56	9.3598	20,551	120
Canacol Energy Ltd.	Notes 7.25% Senior Notes - March 5, 2025 (US\$)	Fourth Sail Capital, LP	3	2020-12-09	10	107.5	\$13,054,000	-\$200,000
Canacol Energy Ltd.	Notes 7.25% Senior Notes - March 5, 2025 (US\$)	Fourth Sail Capital, LP	3	2020-12-10	10	107.5	\$11,554,000	-\$1,500,000
Canadian Imperial Bank of Commerce	Common Shares	Capatides, Michael	7, 5	2020-12-10	47	88	13,599	-346
Canadian Imperial Bank of Commerce	Options	Kramer, Christina Charlotte	5	2020-09-01	51	78.5		2,389
Canadian Imperial Bank of Commerce	Options	Kramer, Christina Charlotte	5	2020-09-01	51	78.5	173,879	-2,389
Canadian Imperial Bank of Commerce	Options	Kramer, Christina Charlotte	5	2020-09-01	51	78.5		4,181
Canadian Imperial Bank of Commerce	Options	Kramer, Christina Charlotte	5	2020-09-01	51	78.5	169,698	-4,181
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	51	90.52	2,083	325
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	47	110.56	1,758	-325
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	51	82.98	1,833	75
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	47	110.54	1,758	-75
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	51	102.33	5,697	3,939
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	10	111.08	1,758	-3,939
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	51	97.81	9,473	7,715
Canadian Imperial Bank of Commerce	Common Shares	SHARMAN, SANDY	5	2020-12-16	10	110.77	1,758	-7,715
Canadian Imperial Bank of Commerce	Options	SHARMAN, SANDY	5	2020-12-16	51	90.52	83,685	-325
Canadian Imperial Bank of Commerce	Options	SHARMAN, SANDY	5	2020-12-16	51	82.98	83,610	-75
Canadian Imperial Bank of Commerce	Options	SHARMAN, SANDY	5	2020-12-16	51	102.33	79,671	-3,939
Canadian Imperial Bank of Commerce	Options	SHARMAN, SANDY	5	2020-12-16	51	97.81	71,956	-7,715
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-10	51	22.9	10,000	10,000
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-10	10	32.2	0	-10,000
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-10	51	28.85	7,500	7,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-10	10	32.35	0	-7,500
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-15	51	28.85	17,500	17,500
Canadian Natural Resources Limited	Common Shares	Bieber, Corey B.	5	2020-12-15	10	31.39	0	-17,500
Canadian Natural Resources Limited	Options	Bieber, Corey B.	5	2020-12-10	51	22.9	231,225	-10,000
Canadian Natural Resources Limited	Options	Bieber, Corey B.	5	2020-12-10	51	28.85	223,725	-7,500
Canadian Natural Resources Limited	Options	Bieber, Corey B.	5	2020-12-15	51	28.85	206,225	-17,500
Canadian Natural Resources Limited	Common Shares	Cassidy, Trevor James	5	2020-12-15	51	28.85	37,117	10,000
Canadian Natural Resources Limited	Common Shares	Cassidy, Trevor James	5	2020-12-15	10	31.997	27,117	-10,000
Canadian Natural Resources Limited	Options	Cassidy, Trevor James	5	2020-12-15	51	28.85	265,000	-10,000
Canadian Natural Resources Limited	Options	Edwards, Norman Murray	4, 5	2020-12-16	59	32.01	1,575,000	-360,000
Canadian Natural Resources Limited	Common Shares	Fichter, Darren	5	2020-12-10	51	22.9	69,185	7,500
Canadian Natural Resources Limited	Common Shares	Fichter, Darren	5	2020-12-10	10	31.9	61,685	-7,500
Canadian Natural Resources Limited	Options	Fichter, Darren	5	2020-12-10	51	22.9	455,000	-7,500
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-10	51	28.85	26,523	2,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-10	10	32.29	24,523	-2,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-15	51	28.85	27,523	3,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2020-12-15	10	31.99	24,523	-3,000
Canadian Natural Resources Limited	Options	Froc, Jay Ellery	5	2020-12-10	51	28.85	277,000	-2,000
Canadian Natural Resources Limited	Options	Froc, Jay Ellery	5	2020-12-15	51	28.85	274,000	-3,000
Canadian Natural Resources Limited	Common Shares	Laing, Ronald Keith	5	2020-12-11	51	28.52	26,578	12,500
Canadian Natural Resources Limited	Common Shares	Laing, Ronald Keith	5	2020-12-11	10	32	14,078	-12,500
Canadian Natural Resources Limited	Options	Laing, Ronald Keith	5	2020-12-11	51	28.85	376,000	-12,500
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2020-12-16	10	31.27	2,373,762	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2020-12-17	10	31.16	2,368,762	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2020-12-18	10	31.05	2,363,762	-5,000
Canadian Natural Resources Limited	Common Shares	Stagg, Kendall W.	5	2020-12-15	10	28.85	76,115	12,500
Canadian Natural Resources Limited	Common Shares	Stagg, Kendall W.	5	2020-12-15	10	31.6	63,615	-12,500
Canadian Natural Resources Limited	Options	Stagg, Kendall W.	5	2020-12-15	51	28.85	257,500	-12,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2020-12-16	10	163.95	600	100
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2020-12-18	10	169.8	650	50
Canadian Utilities Limited	Non-Voting Shares Class A	Bayley, Melanie	5	2020-12-15	38		0	-8,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Bayley, Melanie	5	2020-12-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Bayley, Melanie	5	2020-12-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Bayley, Melanie	5	2020-12-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Bayley, Melanie	5	2020-12-15	50		10,000	10,000
Canadian Utilities Limited	Non-Voting Shares Class A	Constantinescu, M. George	5	2020-12-15	38		0	-4,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Constantinescu, M. George	5	2018-02-16	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Constantinescu, M. George	5	2020-12-15	50		2,000	2,000
Canadian Utilities Limited	Non-Voting Shares Class A	Cook, P. Derek	6, 5	2020-12-15	38		0	-6,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Cook, P. Derek	6, 5	2011-08-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Cook, P. Derek	6, 5	2020-12-15	50		4,000	4,000
Canadian Utilities Limited	Non-Voting Shares Class A	DeChamplain, Dennis A	7	2020-12-15	38		2,000	-30,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	DeChamplain, Dennis A	7	2005-01-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	DeChamplain, Dennis A	7	2020-12-15	50		75,000	75,000
Canadian Utilities Limited	Non-Voting Shares Class A	Gareau, Chad L	7	2020-12-15	38		0	-4,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Gareau, Chad L	7	2011-08-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Gareau, Chad L	7	2020-12-15	50		3,000	3,000
Canadian Utilities Limited	Non-Voting Shares Class A	Jackson, Colin	7	2019-08-01	00			
Canadian Utilities Limited	Non-Voting Shares Class A	Jackson, Colin	7	2019-08-01	00		2,040	
Canadian Utilities Limited	Non-Voting Shares Class A	Jackson, Colin	7	2020-12-15	38		0	-1,350
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Jackson, Colin	7	2019-08-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Jackson, Colin	7	2020-12-15	50		1,000	1,000
Canadian Utilities Limited	Non-Voting Shares Class A	Kiefer, Siegfried W.	7, 5	2016-03-15	30			-2,000
Canadian Utilities Limited	Non-Voting Shares Class A	Kiefer, Siegfried W.	7, 5	2016-03-15	30		25,000	-10,000
Canadian Utilities Limited	Non-Voting Shares Class A	Kiefer, Siegfried W.	7, 5	2020-12-15	38		0	-40,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Kiefer, Siegfried W.	7, 5	2003-03-17	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Kiefer, Siegfried W.	7, 5	2020-12-15	50		85,000	85,000
Canadian Utilities Limited	Non-Voting Shares Class A	Lidgett, George J.	7	2020-12-15	38		0	-20,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Myles, Robert J.	5	2020-03-11	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Myles, Robert J.	5	2020-12-15	50		20,000	20,000
Canadian Utilities Limited	Non-Voting Shares Class A	Patrick, Katherine-Jane	7	2020-12-15	38		0	-5,500
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Patrick, Katherine-Jane	7	2017-06-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Patrick, Katherine-Jane	7	2020-12-15	50		2,000	2,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Penrice, Becky	5	2020-01-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Penrice, Becky	5	2020-12-15	50		3,000	3,000
Canadian Utilities Limited	Non-Voting Shares Class A	Sharpe, D Jason	7	2020-12-15	38		0	-8,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Sharpe, D Jason	7	2015-12-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Sharpe, D Jason	7	2020-12-15	50		10,000	10,000
Canadian Utilities Limited	Non-Voting Shares Class A	Shkrobot, Brian P.	7	2020-12-15	38		0	-8,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Shkrobot, Brian P.	7	2014-05-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Shkrobot, Brian P.	7	2020-12-15	50		6,000	6,000
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	51	24.73	53,086	25,000
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	2016-03-15	30			-2,000
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	2016-03-15	30		20,000	-20,000
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	38		0	-30,000
Canadian Utilities Limited	Options 49.47	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	51		0	-25,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Southern, Nancy C.	4, 6, 7, 5	2003-01-09	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Southern, Nancy C.	4, 6, 7, 5	2020-12-15	50		140,000	140,000
Canadian Utilities Limited	Rights 49.47 (SAR)	Southern, Nancy C.	4, 6, 7, 5	2020-12-14	59	31.99	0	-25,000
Canadian Utilities Limited	Non-Voting Shares Class A	Stensby, Wayne K.	7	2020-12-15	38		0	-20,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Stensby, Wayne K.	7	2014-06-01	00			
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Stensby, Wayne K.	7	2020-12-15	50		65,000	65,000
Canadian Utilities Limited	Non-Voting Shares Class A	Wilmot, Marshall	5	2020-12-15	38		20,000	-13,000
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Wilmot, Marshall	5	2020-12-01	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian Utilities Limited	Options Options 32.09 (2020-12-15)	Wilmot, Marshall	5	2020-12-15	50		2,000	2,000
Canadian Western Bank	Rights Deferred Share Units	Bibby, Andrew John	4	2020-12-15	56	29.174	14,732	685
Canadian Western Bank	Rights Deferred Share Units	Filippelli, Maria	4	2020-08-01	00			
Canadian Western Bank	Rights Deferred Share Units	Filippelli, Maria	4	2020-12-15	56	29.174	1,499	1,499
Canadian Western Bank	Rights Deferred Share Units	Hohol, Linda Margaret Owerri	4	2020-12-15	56	29.174	17,279	685
Canadian Western Bank	Rights Deferred Share Units	Manning, Robert Adrian	4	2020-12-15	56	29.174	30,037	1,114
Canadian Western Bank	Rights Deferred Share Units	Mitchell, Elizabeth Gay	4	2020-12-15	56	29.174	8,753	985
Canadian Western Bank	Rights Deferred Share Units	Morgan-Silvester, Sarah Alyson	4	2020-12-15	56	29.174	20,375	1,799
Canadian Western Bank	Rights Deferred Share Units	Mulligan, Margaret Jean	4	2020-12-15	56	29.174	18,015	1,628
Canadian Western Bank	Rights Performance Share Units	Ozdemir, Hamdi B	5	2020-12-07	30		11,319	527
Canadian Western Bank	Rights Restricted Share Units	Ozdemir, Hamdi B	5	2020-12-07	56			-4,314
Canadian Western Bank	Rights Restricted Share Units	Ozdemir, Hamdi B	5	2020-12-07	56			-4,314
Canadian Western Bank	Rights Restricted Share Units	Ozdemir, Hamdi B	5	2020-12-07	56		10,640	4,314
Canadian Western Bank	Rights Restricted Share Units	Ozdemir, Hamdi B	5	2020-12-07	59		7,311	-3,329
Canadian Western Bank	Rights Deferred Share Units	Phillips, Robert L.	4	2020-12-15	56	29.174	26,454	856
Canadian Western Bank	Rights Deferred Share Units	Protti, Raymond Joseph	4	2020-12-15	56	29.174	21,086	685
Canadian Western Bank	Rights Deferred Share Units	Reid, Ian MacNevin	4	2020-12-15	56	29.174	28,860	685
Canadian Western Bank	Rights Deferred Share Units	Riley, Sanford	4	2020-12-15	56	29.174	34,476	1,499
Canagold Resources Ltd.	Common Shares	Biles, Garry	5	2020-12-08	37		170,668	-682,672
Canagold Resources Ltd.	Options	Biles, Garry	5	2020-12-08	37		530,000	-2,120,000
Canagold Resources Ltd.	Common Shares	Cooke, Bradford	4, 5	2020-11-02	30	0.08		5,000,000
Canagold Resources Ltd.	Common Shares	Cooke, Bradford	4, 5	2020-11-02	30	0.08		5,000,000
Canagold Resources Ltd.	Warrants	Cooke, Bradford	4, 5	2020-11-02	30	0.13	6,840,000	2,500,000
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2020-12-16	51	0.325	250,000	220,000
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2020-12-16	10	0.434	128,500	-121,500
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2020-12-17	10	0.415	68,500	-60,000
CanAlaska Uranium Ltd.	Options	FERN, VICTOR	4	2020-12-16	51	0.325	250,000	-220,000
CanAlaska Uranium Ltd.	Common Shares	Graham, Thomas	4	2020-12-15	10	0.34	410,500	-34,500
CanAlaska Uranium Ltd.	Common Shares	Graham, Thomas	4	2020-12-16	10	0.34	367,055	-43,445
CanAlaska Uranium Ltd.	Common Shares	Schimann, Karl	4, 5	2020-12-15	10	0.495	814,000	160,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CanAlaska Uranium Ltd.	Common Shares	Schimann, Karl	4, 5	2020-12-16	10	0.45	807,500	-6,500
Canarc Resource Corp.	Common Shares	Cooke, Bradford	4, 5	2020-10-07	11	0.08		1,500,000
Canarc Resource Corp.	Common Shares	Cooke, Bradford	4, 5	2020-10-07	30	0.08	12,299,580	5,000,000
CannAmerica Brands Corp.	Options	Anglin, Diana	4, 5	2020-12-15	50	0.05	1,050,000	250,000
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Bizotto, Antonietta (Neda)	4	2020-12-17	10	2.3	700	200
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Bizotto, Antonietta (Neda)	4	2020-12-17	10	2.3	700	400
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Carney, Brian	5	2020-12-17	10	2.3	1,000	200
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carney, Brian	5	2020-12-17	10	2.3	600	400
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Carswell, John Paul	3, 4	2020-12-17	10	2.3	9,369	1,900
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carswell, John Paul	3, 4	2020-12-14	10	2.3	1,300	100
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carswell, John Paul	3, 4	2020-12-17	10	2.3	4,500	3,200
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Mason-Wood, Heather Elizabeth	7	2020-12-17	10	2.3	900	200
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Mason-Wood, Heather Elizabeth	7	2020-12-17	10	2.3	500	300
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Sumsion, Shirley	5	2020-12-17	10	2.3	1,000	200
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Sumsion, Shirley	5	2020-12-17	10	2.3	600	400
Canstar Resources Inc.	Common Shares	Kargl-Simard, Christian Peter	6	2020-12-16	10	0.299	222,000	10,500
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-14	10	0.19	8,561,000	8,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-15	10	0.19	8,584,500	23,500
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-15	10	0.23	8,590,000	5,500
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-15	10	0.21	8,600,000	10,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-15	10	0.2	8,620,000	20,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	16	0.25	8,812,000	192,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	10	0.2	8,882,500	70,500
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	10	0.21	8,883,500	1,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	10	0.22	8,940,000	56,500
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	10	0.225	8,950,000	10,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-16	10	0.23	8,972,000	22,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-17	10	0.24	8,980,000	8,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-12-18	10	0.23	8,990,000	10,000
Canuc Resources Corporation	Warrants	Berlet, Christopher James	4	2020-12-16	16	0.35	1,031,000	96,000
Capstone Mining Corp.	Common Shares	Annett, Jerrold	5	2019-09-25	00			
Capstone Mining Corp.	Common Shares	Annett, Jerrold	5	2020-12-16	10	2.05	28,100	28,100
Capstone Mining Corp.	Common Shares	Annett, Jerrold	5	2020-12-16	10	2.04	4,040,958	23,700
Cardinal Resources Limited	Common Shares	Easah, Malik Mohammed	4	2020-10-08	51			1,818,818
Cardinal Resources Limited	Common Shares	Easah, Malik Mohammed	4	2020-10-08	51		1,181,818	1,181,818
Cardinal Resources Limited	Common Shares	Easah, Malik Mohammed	4	2020-12-10	51	0.5	5,181,818	4,000,000
Cardinal Resources Limited	Options (Unlisted)	Easah, Malik Mohammed	4	2020-10-08	51			-1,818,818
Cardinal Resources Limited	Options (Unlisted)	Easah, Malik Mohammed	4	2020-10-08	51		4,000,000	-1,181,818
Cardinal Resources Limited	Options (Unlisted)	Easah, Malik Mohammed	4	2020-12-10	51	0.5	0	-4,000,000
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	2020-12-10	51	0.5	6,435,606	4,500,000
Cardinal Resources Limited	Options (Unlisted)	Koimtsidis, Arthur	4	2020-12-10	51	0.5	0	-4,500,000
Cardinal Resources Limited	Common Shares	Shipway, Sarah	5	2020-12-14	22	1.05	0	-791,168
Cardinal Resources Limited	Common Shares	Tomlinson, Kevin Michael	4	2020-12-10	51	0.5	5,918,800	5,000,000
Cardinal Resources Limited	Options (Unlisted)	Tomlinson, Kevin Michael	4	2020-12-10	51	0.5	0	-5,000,000
CardioComm Solutions, Inc.	Options	Caines, Robert Earle	4	2020-12-15	52		300,000	-100,000
Carebook Technologies Inc. (formerly Pike Mountain Minerals Inc.)	Options	Audette, Pascale	5	2020-12-08	50	1.52	1,020,160	200,000
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2020-12-15	30	14.97	2,734	31
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2020-12-15	30	14.97	1,830	21
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ebanks, Sheree	4	2020-12-15	30	14.97	1,238	11
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2020-12-15	30	14.97	1,145	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2020-12-15	30	14.97	1,145	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Hew, J.F. Richard	4, 5	2020-12-15	30	14.97	1,145	13
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Macfee, Mark Roderick	4	2020-12-15	30	14.97	4,517	37
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2020-12-15	30	14.97	44,181	12

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2020-12-15	30	14.97	1,529	17
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2020-12-15	30	14.97	7,334	84
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2020-12-15	30	14.97	4,473	51
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2020-12-15	30	14.97	5,557	63
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Thomson, Peter A.	4	2020-12-15	30	14.97	6,460	74
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2020-12-15	30	14.97	10,134	115
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2020-12-15	30	14.97	1,887	17
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2020-12-15	30	14.97	584	6
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Watler, David	5	2020-12-15	30	14.97	500	4
Carlyle Commodities Corp.	Common Shares	Amarc Resources Ltd.	3	2020-12-17	00		5,500,000	
Carlyle Commodities Corp.	Warrants Warrants	Amarc Resources Ltd.	3	2020-12-17	00		5,500,000	
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-15	38	15.04	5,000	5,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-15	38	15.04	0	-5,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-16	38	15	12,300	12,300
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-16	38	15	0	-12,300
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-17	38	14.85	14,000	14,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-17	38	14.85	0	-14,000
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-18	38	14.67	34,800	34,800
Cascades Inc.	Common Shares	Cascades inc.	1	2020-12-18	38	14.67	0	-34,800
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-10	10			8,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-10	10	0.55	122,285	8,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Baptista Roque, Marco Ivan	4, 5	2020-12-14	10	0.55	132,285	10,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, James Alan	4	2020-12-15	10	0.58	332,264	10,063
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Letwin, Stephen Joseph James	4	2020-12-14	10	0.57	2,753,307	10,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2020-12-11	10	0.58	157,514	15,000
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2020-12-14	10	0.55	162,514	5,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Cassiar Gold Corp. (formerly Margaux Resources Ltd.)	Common Shares	Wood, Michael Andrew James	4	2020-12-17	10	0.6	172,514	10,000
CAT Strategic Metals Corporation	Common Shares Class A	Rosner, Robert	4	2020-12-14	10	0.05	1,281,000	80,000
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-11	51	43.9	35,160	18,100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-11	10	60	17,060	-18,100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	51	43.9	33,560	16,500
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60	25,160	-8,400
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.01	21,460	-3,700
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.015	21,260	-200
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.02	20,660	-600
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.025	20,260	-400
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.03	18,160	-2,100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.035	18,060	-100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.06	17,560	-500
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.065	17,460	-100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-14	10	60.07	17,060	-400
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	51	43.9	25,960	8,900
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.5	25,260	-700
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.51	24,960	-300
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.52	23,860	-1,100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.53	23,060	-800
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.54	22,360	-700
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.56	22,160	-200
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.59	22,060	-100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.6	19,760	-2,300
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.61	19,660	-100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.62	19,360	-300
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.63	18,560	-800
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.64	17,660	-900

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.65	17,460	-200
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.66	17,360	-100
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.67	17,160	-200
CCL Industries Inc.	Non-Voting Shares Class B	Birkner, Gunther Johann	7	2020-12-15	10	59.68	17,060	-100
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-12-11	51	43.9	228,400	-18,100
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-12-14	51	43.9	211,900	-16,500
CCL Industries Inc.	Options	Birkner, Gunther Johann	7	2020-12-15	51	43.9	203,000	-8,900
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-14	51	43.9	37,000	37,000
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-14	10	59.782	74,000	37,000
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	51	43.9	98,200	24,200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.47	98,000	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.44	97,800	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.435	97,600	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.42	97,500	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.4	97,300	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.4	97,100	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.39	96,900	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.38	96,400	-500
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.375	96,300	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.37	96,200	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.36	95,300	-900
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.355	95,200	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.35	94,900	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.34	94,400	-500
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.33	93,800	-600
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.32	93,500	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.315	93,300	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.31	92,900	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.3	92,700	-200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.29	92,400	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.28	92,200	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.275	92,100	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.27	90,300	-1,800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.26	88,100	-2,200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.255	87,700	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.25	84,900	-2,800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.245	84,600	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.24	82,000	-2,600
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.235	81,500	-500
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.23	78,700	-2,800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.225	78,500	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.22	75,700	-2,800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.215	75,400	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.21	75,100	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.2	74,300	-800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2020-12-15	10	60.18	74,000	-300
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2020-12-14	51	43.9	24,200	-37,000
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2020-12-15	51	43.9	0	-24,200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	51	43.9	72,345	10,000
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.89	71,845	-500
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.84	71,745	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	71,645	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	70,145	-1,500
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	70,045	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	69,845	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	69,645	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	69,545	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	69,345	-200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	68,345	-1,000
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	68,245	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	68,045	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	65,445	-2,600
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	65,345	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	63,345	-2,000
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	63,245	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	63,045	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	62,945	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.8	62,745	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.82	62,645	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.84	62,545	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.83	62,445	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lilienthal, Ben Yaacob	7	2020-12-15	10	59.86	62,345	-100
CCL Industries Inc.	Options	Lilienthal, Ben Yaacob	7	2020-12-15	51	43.9	58,500	-10,000
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	51	43.9	13,116	7,500
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.1	12,916	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.12	12,816	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.16	12,616	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.17	12,516	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.2	12,416	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.23	12,116	-300
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.24	12,016	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.25	11,516	-500
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.26	11,216	-300
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.27	11,016	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.28	10,816	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.3	10,716	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.31	10,616	-100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.33	10,516	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.34	10,216	-300
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.35	10,016	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.36	9,816	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.38	9,716	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.4	9,516	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.42	9,416	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.43	9,216	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.47	9,116	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.49	9,016	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.5	8,916	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.51	8,516	-400
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.52	8,416	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.53	8,016	-400
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.535	7,916	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.54	7,416	-500
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.55	7,116	-300
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.57	6,916	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.58	6,716	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.59	6,516	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.61	6,416	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.62	6,216	-200
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.63	6,116	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.64	6,016	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.65	5,916	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.69	5,816	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.7	5,716	-100
CCL Industries Inc.	Non-Voting Shares Class B	McClendon, Mark	5	2020-12-16	10	60.71	5,616	-100
CCL Industries Inc.	Options	McClendon, Mark	5	2020-12-16	51	43.9	51,000	-7,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CCL Industries Inc.	Non-Voting Shares Class B	Vecchiarelli, Nicolangelo	5	2020-12-16	51	43.9	3,437	2,187
CCL Industries Inc.	Non-Voting Shares Class B	Vecchiarelli, Nicolangelo	5	2020-12-16	10	60.5	2,650	-787
CCL Industries Inc.	Non-Voting Shares Class B	Vecchiarelli, Nicolangelo	5	2020-12-16	10	60.51	2,250	-400
CCL Industries Inc.	Non-Voting Shares Class B	Vecchiarelli, Nicolangelo	5	2020-12-16	10	60.51	2,150	-100
CCL Industries Inc.	Non-Voting Shares Class B	Vecchiarelli, Nicolangelo	5	2020-12-16	10	60.52	1,250	-900
CCL Industries Inc.	Options	Vecchiarelli, Nicolangelo	5	2020-12-16	51	43.9	38,750	-2,187
Enovus Energy Inc.	Common Shares	MacPhail, Keith A.J.	4	2020-12-16	10	7.54	160,000	46,000
Centerra Gold Inc.	Deferred Share Units	Connor, Richard Webster	4	2020-12-04	30		58,873	224
Centerra Gold Inc.	Common Shares	D'Orazio, Claudia	5	2020-12-04	30		657	1
Centerra Gold Inc.	Performance Share Units	D'Orazio, Claudia	5	2020-12-04	30		23,043	87
Centerra Gold Inc.	Rights Restricted Share Units	D'Orazio, Claudia	5	2020-12-04	30		26,615	101
Centerra Gold Inc.	Common Shares	Desjardins, Daniel Richard	5	2020-12-04	30		112,937	43
Centerra Gold Inc.	Performance Share Units	Desjardins, Daniel Richard	5	2020-12-04	30		86,253	327
Centerra Gold Inc.	Rights Restricted Share Units	Desjardins, Daniel Richard	5	2020-12-04	30		34,038	129
Centerra Gold Inc.	Rights Restricted Share Units	Kasenov, Dushenaly	4	2020-12-04	30		7,163	27
Centerra Gold Inc.	Rights Restricted Share Units	Kobonbaev, Maksat	4	2020-12-04	30		7,188	27
Centerra Gold Inc.	Common Shares	Kwong, Dennis	5	2020-12-04	30		43,062	62
Centerra Gold Inc.	Performance Share Units	Kwong, Dennis	5	2020-12-04	30		119,917	453
Centerra Gold Inc.	Rights Restricted Share Units	Kwong, Dennis	5	2020-12-04	30		61,604	233
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2020-12-04	30		15,425	28
Centerra Gold Inc.	Performance Share Units	Millman, Darren	5	2020-12-04	30		150,342	569
Centerra Gold Inc.	Rights Restricted Share Units	Millman, Darren	5	2020-12-04	30		116,929	444
Centerra Gold Inc.	Rights Restricted Share Units	Parrett, Michael S.	4	2020-12-04	30		99,285	379
Centerra Gold Inc.	Common Shares	Pearson, John William	5	2020-12-04	30		17,080	24
Centerra Gold Inc.	Performance Share Units	Pearson, John William	5	2020-12-04	30		36,486	137
Centerra Gold Inc.	Rights Restricted Share Units	Pearson, John William	5	2020-12-04	30		28,158	106
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2020-12-04	30		113,857	5
Centerra Gold Inc.	Performance Share Units	Perry, Scott Graeme	5	2020-12-04	30		337,091	1,275
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2020-12-04	30		249,910	952
Centerra Gold Inc.	Deferred Share Units	Pressler, Sheryl	4	2020-12-04	30		32,412	123
Centerra Gold Inc.	Common Shares	Rehman, Yousef	5	2020-12-04	30		18,221	55
Centerra Gold Inc.	Performance Share Units	Rehman, Yousef	5	2020-12-04	30		109,765	415

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Centerra Gold Inc.	Rights Restricted Share Units	Rehman, Yousef	5	2020-12-04	30		44,656	170
Centerra Gold Inc.	Deferred Share Units	Walter, Bruce V.	4	2020-12-04	30		167,319	638
Centerra Gold Inc.	Rights Restricted Share Units	Walter, Bruce V.	4	2020-12-04	30		29,779	114
Centerra Gold Inc.	Deferred Share Units	Wright, Paul Nicholas	4	2020-12-04	30		1,990	7
Centerra Gold Inc.	Rights Restricted Share Units	Wright, Paul Nicholas	4	2020-12-04	30		1,327	5
Centerra Gold Inc.	Deferred Share Units	Yurkovich, Susan L	4	2020-12-04	30		50,321	191
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-12-10	10	3.025	15,942,957	10,000
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-12-11	10	3.02	16,342,957	400,000
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-12-14	10	3.0289	16,571,957	229,000
Ceres Global Ag Corp.	Common Shares	Vanasek, James Thomas	3, 4	2020-12-16	10	3.06	16,596,957	25,000
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2020-12-14	10	0.041	853,071	1,000
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2020-12-15	10	0.04	853,571	500
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2020-12-16	10	1.206	1,700,344	7,500
Champion Iron Limited	Share Rights	Cataford, David	4, 5	2014-10-31	00			
Champion Iron Limited	Share Rights	Cataford, David	4, 5	2014-10-31	00			
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Hammer, Russell	5	2020-12-15	36		13,526	789
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Rights Restricted Share Awards	Hammer, Russell	5	2020-12-15	36		50,873	-1,111
Choice Properties Real Estate Investment Trust	Class B Units of CP LP exchangeable 1 for 1 for Trust Units	George Weston Limited	3	2013-07-04	00			
Choice Properties Real Estate Investment Trust	Class B Units of CP LP exchangeable 1 for 1 for Trust Units	George Weston Limited	3	2020-12-18	11	13.58	5,824,742	5,824,742
Choice Properties Real Estate Investment Trust	Trust Units	Wasti, Rashid	7	2020-12-17	10	13.45	55,000	2,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-14	10	0.68	5,172,400	44,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-16	10	0.66	5,174,700	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-12-17	10	0.66	5,177,000	2,300
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2020-12-16	30	0.72	75,466	1,234
Cipher Pharmaceuticals Inc.	Common Shares	Wolkin, Harold Morton	4	2020-12-16	30	0.72	273,751	5,455
Circa Enterprises Inc.	Common Shares	Johnston, Robert Bruce	4	2020-12-14	51	0.88	205,818	5,000
Circa Enterprises Inc.	Options	Johnston, Robert Bruce	4	2020-12-14	51	0.88	20,000	-5,000
Circa Enterprises Inc.	Common Shares	Tamagi, Cory	5	2020-12-15	11	0.93	70,000	5,000
Clean Air Metals Inc. (formerly, Regency Gold Corp.)	Common Shares	Stares, Stephen	6	2020-12-17	10	0.39	170,000	50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Clean Air Metals Inc. (formerly, Regency Gold Corp.)	Common Shares	Stares, Stephen	6	2014-05-14	00			
Clean Air Metals Inc. (formerly, Regency Gold Corp.)	Common Shares	Stares, Stephen	6	2020-12-17	10	0.387	50,000	50,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-12-14	51	0.19	25,000	25,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Martin, John Howard	4	2020-12-14	10	1.01	0	-25,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Options	Martin, John Howard	4	2020-12-14	51	0.19	0	-25,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2020-12-11	10	2.1	327,000	1,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Common Shares	Kohler, Mark William	4	2020-12-14	10	2.07	328,000	1,000
CLS Holdings USA, Inc.	Common Shares	Swanson, Todd	3	2020-12-15	10	0.17	13,446,057	-86,634
COIN HODL INC. (formerly Malbex Resources Inc.)	Common Shares	DPS Capital Inc.	3	2020-12-11	10	0.2692	1,575,000	22,000
COIN HODL INC. (formerly Malbex Resources Inc.)	Common Shares	DPS Capital Inc.	3	2020-12-14	10	0.31	1,578,500	3,500
COLLIERS INTERNATIONAL GROUP INC.	Options	Finley, Rebecca	5	2020-12-10	50	88.9	118,000	33,000
COLLIERS INTERNATIONAL GROUP INC.	Options	Galvin, Christopher Brian	4	2020-12-10	50	88.9	35,000	10,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2020-12-11	57	6.1	104,204	103,204
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Abbott, Michael James	3, 4	2020-12-11	57	6.1	1,228,108	-217,673
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Boesgaard, Lars Robert	5	2020-12-11	57	6.1	72,281	22,805
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Boesgaard, Lars Robert	5	2020-12-11	57	6.1	470,938	-43,535
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Hart, David	5	2020-12-08	10	6.1012	62,798	-10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Hart, David	5	2020-12-10	10	6.1601	36,208	-26,590
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Hart, David	5	2020-12-11	57	6.1	92,350	56,142
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Hart, David	5	2020-12-11	57	6.1	1,506,197	-108,836
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Hussussian, Guy Jacques	5	2020-12-11	57	6.1	44,656	15,896
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Hussussian, Guy Jacques	5	2020-12-11	57	6.1	251,871	-32,651
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Mazanet, Rosemary	5	2020-12-11	57	6.1	788,538	43,535
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Mazanet, Rosemary	5	2020-12-11	57	6.1	756,899	-43,535
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Miller, Mary-Alice	5	2020-12-11	57	6.1	278,761	30,595
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Miller, Mary-Alice	5	2020-12-11	57	6.1	658,649	-54,418
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Olson, Bryan Lamont	5	2020-12-11	57	6.1	171,222	26,778
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Olson, Bryan Lamont	5	2020-12-11	57	6.1	662,622	-43,535
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-11	57	6.1	213,407	117,404
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Restricted Share Unit	Vita, Nicholas Keane	3, 4, 5	2020-12-11	57	6.1	1,527,645	-217,673
Compass Gold Corporation	Common Shares	Archibald, Sandy Mackintosh	8	2019-12-12	00		15,000	
Compass Gold Corporation	Common Shares	Conway, Joseph	4	2020-12-15	15	0.2		50,000
Compass Gold Corporation	Common Shares	Conway, Joseph	4	2020-12-15	15	0.2	392,587	250,000
Compass Gold Corporation	Common Shares	Nagy, Louis Robert	5	2020-12-15	16	0.2	75,000	35,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Compass Gold Corporation	Common Shares	Phillips, Larry	4	2020-12-15	11	0.2	1,490,900	375,000
Compass Gold Corporation	Options	Phillips, Larry	4	2019-12-16	50		1,050,000	250,000
Compass Gold Corporation	Common Shares	Pugliese, William	4	2020-12-15	11	0.2	2,720,381	500,000
Compass Gold Corporation	Options	Pugliese, William	4	2019-05-22	50	0.3	350,000	50,000
Computer Modelling Group Ltd.	Rights Deferred Share Units	Athaide, Judith	4	2020-12-15	30		9,843	97
Computer Modelling Group Ltd.	Rights Performance Share Units	Balic, Sandra	5	2020-12-15	30		11,965	118
Computer Modelling Group Ltd.	Rights Restricted Share Units	Balic, Sandra	5	2020-12-15	30		9,932	98
Computer Modelling Group Ltd.	Rights Performance Share Units	Close, Jason	5	2020-12-15	30		7,603	75
Computer Modelling Group Ltd.	Rights Restricted Share Units	Close, Jason	5	2020-12-15	30		8,694	85
Computer Modelling Group Ltd.	Rights Deferred Share Units	Dedeluk, Kenneth Michael	4	2020-12-15	30		8,059	79
Computer Modelling Group Ltd.	Rights Performance Share Units	Erdle, James Craig	5	2020-12-15	30		11,965	118
Computer Modelling Group Ltd.	Rights Restricted Share Units	Erdle, James Craig	5	2020-12-15	30		8,220	81
Computer Modelling Group Ltd.	Rights Deferred Share Units	Fong, Christopher Lee	4	2020-12-15	30		9,843	97
Computer Modelling Group Ltd.	Rights Performance Share Units	Hicks, Robert David	5	2020-12-15	30		11,965	118
Computer Modelling Group Ltd.	Rights Restricted Share Units	Hicks, Robert David	5	2020-12-15	30		8,220	81
Computer Modelling Group Ltd.	Rights Deferred Share Units	Jamieson, Patrick	4	2020-12-15	30		11,824	116
Computer Modelling Group Ltd.	Rights Deferred Share Units	Kinash, Peter Harry	4	2020-12-15	30		11,124	109
Computer Modelling Group Ltd.	Rights Performance Share Units	Kumar, Anjani	5	2020-12-15	30		11,965	118
Computer Modelling Group Ltd.	Rights Restricted Share Units	Kumar, Anjani	5	2020-12-15	30		9,932	98
Computer Modelling Group Ltd.	Rights Deferred Share Units	Miller, Mark Robert	4	2020-12-15	30		6,306	62
Computer Modelling Group Ltd.	Rights Performance Share Units	Nghiem, Long X	5	2020-12-15	30		11,965	118
Computer Modelling Group Ltd.	Rights Restricted Share Units	Nghiem, Long X	5	2020-12-15	30		9,932	98
Computer Modelling Group Ltd.	Rights Performance Share Units	SCHNEIDER, RYAN NICOLAS	4, 5	2020-12-15	30		25,014	246
Computer Modelling Group Ltd.	Rights Restricted Share Units	SCHNEIDER, RYAN NICOLAS	4, 5	2020-12-15	30		20,574	202
Computer Modelling Group Ltd.	Rights Deferred Share Units	Zaozirny, John Brian	4	2020-12-15	30		14,750	145
Condor Petroleum Inc.	Common Shares	Disbrow, Robert	3	2020-12-14	10	0.58	1,996,250	-1,500
CONDOR RESOURCES INC.	Common Shares	Younie, Jonathan Leslie	5	2020-12-10	10	0.22	0	-100,000
Conquest Resources Limited	Options	Gauthier, Gerald John	4	2020-12-15	37		200,000	-300,000
Conquest Resources Limited	Options	Kearney, John Francis	4, 5	2020-12-15	36			-600,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Conquest Resources Limited	Options	Kearney, John Francis	4, 5	2020-12-15	37		400,000	-600,000
Conquest Resources Limited	Options	Kinloch, Robert	4, 5	2020-12-15	36			-900,000
Conquest Resources Limited	Options	Kinloch, Robert	4, 5	2020-12-15	37		600,000	-900,000
Conquest Resources Limited	Options	McKillen, Terence Nigel	4	2020-12-15	37		200,000	-300,000
Conquest Resources Limited	Options	Steenberg, Neil James Francis	4, 5	2020-12-15	37		200,000	-300,000
Conquest Resources Limited	Options	Varma, Danesh Kumar	5	2020-12-15	37		160,000	-240,000
Constellation Software Inc.	Debentures - Subordinated Floating Rate, Series 1 due March 31, 2040	Scotchmer, Steven	4	2020-12-16	10	127.97	\$10,000	-\$145,000
Copperbank Resources Corp.	Common Shares	Kovacevic, John Gianni	4, 5	2020-12-14	10	0.23	5,358,800	50,000
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Cote, Stephane	5	2020-09-18	30	15.657	14,356	182
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Cote, Stephane	5	2020-10-01	35	15.61	14,538	182
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Cote, Stephane	5	2020-10-30	30	15.158	14,820	282
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Cote, Stephane	5	2020-11-27	30	16.16	14,996	176
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Llewellyn, Robert	4	2020-09-18	30	15.657	5,459	175
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Llewellyn, Robert	4	2020-10-01	35	15.61	5,516	57
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Lussier, Donald Vincent	4	2020-09-18	30	15.657	7,306	175
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Lussier, Donald Vincent	4	2020-10-01	35	15.61	7,397	91
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Mayle, Edward	4, 5	2020-08-21	30	16.094	2,553	113
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Mayle, Edward	4, 5	2020-09-18	30	15.657	2,669	116
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Mayle, Edward	4, 5	2020-10-01	35	15.61	2,701	32
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Mayle, Edward	4, 5	2020-10-30	30	15.158	2,881	180
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Mayle, Edward	4, 5	2020-11-27	30	16.16	2,993	112

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	McCarthy, George	4	2020-09-18	30	15.657	29,233	298
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	McCarthy, George	4	2020-10-01	35	15.61	29,547	314
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Nielsen, Patricia	4	2020-09-18	30	15.657	25,953	175
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Nielsen, Patricia	4	2020-10-01	35	15.61	26,075	122
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Thorne, Mark	5	2020-08-21	30	16.094	2,427	172
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Thorne, Mark	5	2020-09-18	30	15.657	2,604	177
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Thorne, Mark	5	2020-10-01	35	15.61	2,635	31
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Thorne, Mark	5	2020-10-30	30	15.158	2,910	275
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Thorne, Mark	5	2020-11-27	30	16.16	3,082	172
Corby Spirit and Wine Limited (formerly Corby Distilleries Limited)	Common Shares Class A	Valencia, Marc Andrew	5	2020-11-27	30	16.16	37,412	204
Cornish Metals Inc.	Warrants	OSISKO GOLD ROYALTIES LTD	3	2020-11-09	16	0.1	10,140,398	140,398
Cover Technologies Inc. (formerly Mag One Products Inc.)	Common Shares	Vlastelic, Frank	4	2020-12-14	10	0.385	153,450	-3,300
Cresco Labs Inc.	Subordinate Voting Shares	Ellis, David William	5	2020-12-15	10	10.002	13,974	-49,966
Crest Resources Inc.	Common Shares	Collins, John Michael William	4	2020-12-18	11	0.115	5,092,028	942,028
Crest Resources Inc.	Common Shares	Fairhurst, Emma	3	2020-12-14	00			
Crest Resources Inc.	Common Shares	Fairhurst, Emma	3	2020-12-14	11	0.115	16,000,055	16,000,055
Crest Resources Inc.	Common Shares	Fairhurst, Emma	3	2020-12-14	00		750,000	
Crest Resources Inc.	Options	Fairhurst, Emma	3	2020-12-14	00		150,000	
Crest Resources Inc.	Warrants	Fairhurst, Emma	3	2020-12-14	00		9,000,000	
Crest Resources Inc.	Common Shares	Huggins, Christopher	5	2020-09-09	00			
Crest Resources Inc.	Common Shares	Huggins, Christopher	5	2020-12-16	10	0.105	75,000	75,000
CRH Medical Corporation	Common Shares	Bear, Richard	5	2020-12-08	57	3.61	368,000	30,000
CRH Medical Corporation	Options	Bear, Richard	5	2020-12-08	57		1,060,000	-30,000
CRH Medical Corporation	Options	Bear, Richard	5	2020-12-14	56		1,116,000	56,000
CRH Medical Corporation	Common Shares	Kreger, James	5	2020-12-07	57	3.63	66,100	12,500
CRH Medical Corporation	Common Shares	Kreger, James	5	2020-12-11	10	3.63	61,088	-5,012
CRH Medical Corporation	Options	Kreger, James	5	2020-12-07	57		337,500	-12,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CRH Medical Corporation	Options	Kreger, James	5	2020-12-14	56		371,500	34,000
CRH Medical Corporation	Options	Ramani, Tushar	4	2020-12-14	56		1,630,000	90,000
CRH Medical Corporation	Common Shares	Webb, Ian A.	4	2020-12-18	10	3.7	123,500	-25,000
Crombie Real Estate Investment Trust	Trust Units Special Voting	Empire Company Limited	3	2020-12-15	30	14.769	64,724,915	5,417
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2020-12-16	47	0.245	2,737,134	-1,250,000
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2016-05-27	00			
Cronos Group Inc.	Warrants	Adler, Jason Marc	4	2020-12-16	47	0.245	1,250,000	1,250,000
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Brussa, John Albert	4	2020-12-15	56		17,393	7,678
Crown Capital Partners Inc.	Rights Medium-Term Performance Units	Budovitch, Paul	5	2020-12-16	56		42,599	583
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Gillis, Colin Robert	4, 6	2020-12-15	56		18,042	4,387
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Gillis, Colin Robert	4, 6	2020-12-16	56		18,322	280
Crown Capital Partners Inc.	Rights Medium-Term Performance Units	Hughes, Brent Gerald	5	2020-12-16	56		42,599	583
Crown Capital Partners Inc.	Rights Performance Share Units	Hughes, Brent Gerald	5	2020-12-16	56		5,378	188
Crown Capital Partners Inc.	Rights Restricted Share Units	Hughes, Brent Gerald	5	2020-12-16	56		5,386	189
Crown Capital Partners Inc.	Rights Medium-Term Performance Units	Johnson, Christopher Allen	4, 5	2020-12-16	56		82,047	1,123
Crown Capital Partners Inc.	Rights Performance Share Units	Johnson, Christopher Allen	4, 5	2020-12-16	56		10,763	377
Crown Capital Partners Inc.	Rights Restricted Share Units	Johnson, Christopher Allen	4, 5	2020-12-16	56		10,768	378
Crown Capital Partners Inc.	Rights Medium-Term Performance Units	Oldfield, Timothy James	5	2020-12-16	56		42,599	583
Crown Capital Partners Inc.	Rights Performance Share Units	Oldfield, Timothy James	5	2020-12-16	56		5,378	188
Crown Capital Partners Inc.	Rights Restricted Share Units	Oldfield, Timothy James	5	2020-12-16	56		5,386	189
Crown Capital Partners Inc.	Rights Medium-Term Performance Units	Overvelde, Michael John	5	2020-12-16	56		47,332	647
Crown Capital Partners Inc.	Rights Performance Share Units	Overvelde, Michael John	5	2020-12-16	56		5,379	188
Crown Capital Partners Inc.	Rights Restricted Share Units	Overvelde, Michael John	5	2020-12-16	56		5,384	189
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Rowe, Alan Macdonald	4	2020-12-15	56		31,631	571
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Rowe, Alan Macdonald	4	2020-12-15	56		43,148	11,517
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Runge, Aaron Duane	4	2020-12-15	56		12,224	3,839
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Runge, Aaron Duane	4	2020-12-16	56		12,346	122

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Sharpe, Steven Blair	4	2020-12-15	56		13,617	7,678
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-12-03	10	14.959	5,031,157	-95,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-12-04	10	15.51	5,009,157	-22,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-12-07	10	15.818	4,968,257	-40,900
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-12-10	10	15.406	4,954,457	-13,800
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Kahn, Mitchell Phillip	4	2020-12-16	10	15.809	4,868,491	-85,966
Cuspis Capital II Ltd.	Options	McCutcheon, Grant	4, 5	2020-11-13	00			
Cuspis Capital II Ltd.	Options	McCutcheon, Grant	4, 5	2020-12-11	50		312,000	312,000
Cuspis Capital II Ltd.	Options	Ollerhead, William	4, 5	2020-11-13	00			
Cuspis Capital II Ltd.	Options	Ollerhead, William	4, 5	2020-12-11	50		312,500	312,500
Cuspis Capital II Ltd.	Options	Schoenmakers, Jack Theodorus	4	2020-11-13	00			
Cuspis Capital II Ltd.	Options	Schoenmakers, Jack Theodorus	4	2020-12-11	50	0.2		312,500
Cuspis Capital II Ltd.	Options	Schoenmakers, Jack Theodorus	4	2020-12-11	50	0.2	312,500	312,500
CWC Energy Services Corp.	Common Shares	Apps, Robert Charles Nelson	5	2020-12-11	57	0.13	150,500	148,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-11	57	0.13	1,407,447	-7,400
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-11	57	0.13	1,333,447	-74,000
CWC Energy Services Corp.	Restricted Share Units	Austin, Daryl George	4	2020-12-15	58 - Expiration of rights		770,833	-135,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-12-08	37		0	-1,282,500
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2020-12-14	57	0.155	999,666	14,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2020-12-14	57	0.155	1,703,141	-14,000
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Common Shares	Fahel, Gabriel	5	2020-11-13	00		75,000	
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Options	Greene, Brett	5	2020-12-14	00		570,000	
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Common Shares	Lawson, Mark	4	2020-11-10	90		752,883	82,883
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Common Shares	Lawson, Mark	4	2020-11-10	37		82,883	-670,000
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Options	Palfreyman, Michael Gavin	5	2020-12-14	00		760,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Fogarassy, Josef Anthony Steve	4	2020-12-17	10	0.05	915,100	-91,000
Dexterra Group Inc.	Options	Nigro, Dawn Teresa	7	2020-12-16	00			
Dexterra Group Inc.	Options	Nigro, Dawn Teresa	7	2020-12-16	50	6.21	25,000	25,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-12	10	0.38	2,427,922	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-12	10	0.38	2,428,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-13	10	0.38	2,433,922	5,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-19	10	0.42	2,435,922	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-20	10	0.42	2,436,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-20	10	0.43	2,437,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-20	10	0.41	2,438,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-20	10	0.43	2,439,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-23	10	0.405	2,440,922	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-24	10	0.33	2,455,922	15,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-11-30	10	0.39	2,458,922	3,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-16	10	0.375	444,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-16	10	0.375	445,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-16	10	0.375	446,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-16	10	0.35	456,500	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-16	10	0.385	466,500	10,000
Dollarama Inc.	Common Shares	Gunn, Stephen	4	2020-12-15	47		99,341	-95
Dollarama Inc.	Common Shares	Gunn, Stephen	4	2020-12-15	47		99,154	-187
Dollarama Inc.	Common Shares	Ross, Michael	5	2020-12-11	51	14.797	87,400	86,000
Dollarama Inc.	Common Shares	Ross, Michael	5	2020-12-11	10	54.293	1,400	-86,000
Dollarama Inc.	Common Shares	Ross, Michael	5	2020-12-11	51	23.677	97,400	96,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Dollarama Inc.	Common Shares	Ross, Michael	5	2020-12-11	10	54.294	1,400	-96,000
Dollarama Inc.	Options	Ross, Michael	5	2020-12-11	51	14.797	450,000	-86,000
Dollarama Inc.	Options	Ross, Michael	5	2020-12-11	51	23.677	354,000	-96,000
Dollarama Inc.	Common Shares	Rossy, Neil George	4, 5	2020-12-11	51	14.797	2,672,748	120,000
Dollarama Inc.	Common Shares	Rossy, Neil George	4, 5	2020-12-11	51	23.677	2,822,748	150,000
Dollarama Inc.	Common Shares	Rossy, Neil George	4, 5	2020-12-11	51	30.197	3,062,748	240,000
Dollarama Inc.	Common Shares	Rossy, Neil George	4, 5	2020-12-11	11	53.25	4,264,614	-875,000
Dollarama Inc.	Common Shares	Rossy, Neil George	4, 5	2020-12-11	11	53.25	7,959,723	-1,625,000
Dollarama Inc.	Options	Rossy, Neil George	4, 5	2020-12-11	51	14.797	1,290,000	-120,000
Dollarama Inc.	Options	Rossy, Neil George	4, 5	2020-12-11	51	23.677	1,140,000	-150,000
Dollarama Inc.	Options	Rossy, Neil George	4, 5	2020-12-11	51	30.197	900,000	-240,000
Dorel Industries Inc.	Share Appreciation Rights	Braunstein, Norman	5	2020-12-14	38		0	-9,919
Dorel Industries Inc.	Share Appreciation Rights	Duran, Nicolas Fernando	5	2020-12-14	38		0	-2,878
Dorel Industries Inc.	Share Appreciation Rights	Rana, Franco	5	2020-12-14	38		0	-26,172
Dorel Industries Inc.	Share Appreciation Rights	Schwartz, Alan	3, 4, 5	2020-12-14	38		0	-50,193
Dorel Industries Inc.	Share Appreciation Rights	Schwartz, Jeffrey	3, 4, 5	2020-12-14	38		0	-50,193
Dorel Industries Inc.	Share Appreciation Rights	Schwartz, Martin	3, 4, 5	2020-12-14	38		0	-50,193
Dorel Industries Inc.	Share Appreciation Rights	Segel, Jeffrey	3, 4, 5	2020-12-14	38		0	-50,193
Dorel Industries Inc.	Share Appreciation Rights	Woods, Peter	5	2020-12-14	38		0	-8,649
Dorel Industries Inc.	Share Appreciation Rights	Wyse, Edward	5	2020-12-14	38		0	-3,817
Dundee Precious Metals Inc.	Common Shares	Nixon, Peter	4	2020-12-17	51	2.85	10,754	10,000
Dundee Precious Metals Inc.	Common Shares	Nixon, Peter	4	2020-12-17	10	8.9818	754	-10,000
Dundee Precious Metals Inc.	Options	Nixon, Peter	4	2020-12-17	51	2.85	18,620	-10,000
Dundee Precious Metals Inc.	Common Shares	Young, Donald Walter	4	2020-12-17	51	9.05		5,000
Dundee Precious Metals Inc.	Common Shares	Young, Donald Walter	4	2020-12-17	51	2.21	6,700	5,000
Dundee Precious Metals Inc.	Common Shares	Young, Donald Walter	4	2020-12-17	10	9.05	1,700	-5,000
Dundee Precious Metals Inc.	Options	Young, Donald Walter	4	2020-12-17	51	2.21	38,620	-5,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	2020-12-15	10	0.55	0	-100,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	2020-12-15	47	0.55	2,701,834	-50,000
E Split Corp.	Common Shares Class A	Lauzon, Robert	7	2020-12-15	10	11.32	16,400	-2,000
E Split Corp.	Common Shares Class A	Lauzon, Robert	7	2020-12-16	10	11.326	14,900	-1,500
E Split Corp.	Common Shares Class A	Lauzon, Robert	7	2020-12-17	10	11.5	13,400	-1,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
E Split Corp.	Common Shares Class A	Orrico, Dean	4, 6, 5	2020-12-15	10	11.32	15,000	-2,000
E Split Corp.	Common Shares Class A	Orrico, Dean	4, 6, 5	2020-12-16	10	11.35	13,500	-1,500
E Split Corp.	Common Shares Class A	Orrico, Dean	4, 6, 5	2020-12-17	10	11.403	11,500	-2,000
E3 Metals Corp.	Options	Reinhart, Paul Gerard	4	2017-05-30	00			
E79 Resources Corp.	Common Shares	Butler, Steven Howard	4	2020-12-09	00		40,000	
E79 Resources Corp.	Options	Butler, Steven Howard	4	2020-12-09	00		350,000	
Eat Beyond Global Holdings Inc.	Common Shares	Kang, Ravinder	4	2020-12-11	10	2.11	40,000	-10,000
Eclipse Gold Mining Corporation	Common Shares	Cardey, Darryl	4	2020-12-11	10	0.58	975,000	25,000
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2020-12-16	30	16.1	1,491	31
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2020-12-16	30	16.1	3,712	77
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2020-12-16	30	16.1	24,670	259
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2020-12-16	30	16.1	7,885	79
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2020-12-16	30	16.1	1,658	134
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2020-12-16	30	16.1	3,854	79
Element 29 Resources Inc.	Common Shares	Barr, Clinton	6	2020-12-07	00		632,044	
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-09-07	00			
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-09-07	00			
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-11-10	50	0.5		75,000
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-11-10	50	0.6		75,000
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-11-10	50	0.5		75,000
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-12-07	99	0.5		75,000
Element 29 Resources Inc.	Options	Betteridge, Angela	5	2020-12-07	99		75,000	75,000
Element 29 Resources Inc.	Common Shares	Booth, Brian	5	2019-02-19	11	0.1		2,000,000
Element 29 Resources Inc.	Common Shares	Booth, Brian	5	2019-02-19	11	0.1		2,000,000
Element 29 Resources Inc.	Common Shares	Booth, Brian	5	2020-12-03	15	0.5		20,000
Element 29 Resources Inc.	Common Shares	Booth, Brian	5	2020-12-03	15	0.5		20,000
Element 29 Resources Inc.	Common Shares	Booth, Brian	5	2020-12-07	99		2,020,000	2,020,000
Element 29 Resources Inc.	Options	Booth, Brian	5	2020-06-25	50	0.3		500,000
Element 29 Resources Inc.	Options	Booth, Brian	5	2020-12-07	99		500,000	500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Element 29 Resources Inc.	Warrants	Booth, Brian	5	2020-12-03	15	0.7		10,000
Element 29 Resources Inc.	Warrants	Booth, Brian	5	2020-12-07	99		10,000	10,000
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-10-29	00			
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-10-29	00			
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-10-29	50	0.5		150,000
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-12-07	99	0.5		150,000
Element 29 Resources Inc.	Options	Doggett, Michael David	4	2020-12-07	99		150,000	150,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-13	00		200,000	
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-23	16		300,000	100,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-13	00		300,000	
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-23	16		420,000	120,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-13	00		1,136,965	
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-13	00		1,175,000	
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-03	36	0.4	1,300,000	125,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-13	00			
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-11-23	16		360,000	360,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-07	10	0.4187	386,000	26,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-11	10	0.47	426,000	40,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-15	10	0.4506	451,000	25,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-16	10	0.4247	477,500	26,500
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2020-12-17	10	0.4133	499,500	22,000
Element 29 Resources Inc.	Convertible Debentures	Elliott, David Brian	6	2020-11-13	00		\$50,000	
Element 29 Resources Inc.	Convertible Debentures	Elliott, David Brian	6	2020-12-03	36	0.4	\$0	-\$50,000
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-13	00			
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-23	16		60,000	60,000
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-13	00			
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-12-03	36		62,500	62,500
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-12-03	46		136,095	73,595

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-13	00			
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-23	16		50,000	50,000
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-13	00			
Element 29 Resources Inc.	Warrants	Elliott, David Brian	6	2020-11-23	16		180,000	180,000
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2019-03-07	00			
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2020-12-07	35	0.3	300,000	300,000
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2019-03-07	00		450,000	
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2019-03-25	11	0.3	550,000	100,000
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2020-12-07	15	0.5	592,000	42,000
Element 29 Resources Inc.	Common Shares	Elliott, Patrick	4	2020-12-07	10	0.4186	617,000	25,000
Element 29 Resources Inc.	Options	Elliott, Patrick	4	2019-03-07	00		750,000	
Element 29 Resources Inc.	Options	Elliott, Patrick	4	2020-06-25	50		900,000	150,000
Element 29 Resources Inc.	Warrants	Elliott, Patrick	4	2019-03-07	00			
Element 29 Resources Inc.	Warrants	Elliott, Patrick	4	2020-12-07	15	0.7	21,000	21,000
Element 29 Resources Inc.	Common Shares	GlobeTrotters Resource Group Inc.	3	2020-12-07	00		12,983,768	
Element 29 Resources Inc.	Options	LO, DUANE	5	2019-01-20	00			
Element 29 Resources Inc.	Options	LO, DUANE	5	2019-01-20	00			
Element 29 Resources Inc.	Options	LO, DUANE	5	2019-08-23	50	0.3		150,000
Element 29 Resources Inc.	Options	LO, DUANE	5	2019-08-23	50	0.3		150,000
Element 29 Resources Inc.	Options	LO, DUANE	5	2019-08-23	50	0.3		150,000
Element 29 Resources Inc.	Options	LO, DUANE	5	2020-05-19	50	0.3		100,000
Element 29 Resources Inc.	Options	LO, DUANE	5	2020-05-19	50	0.3		100,000
Element 29 Resources Inc.	Options	LO, DUANE	5	2020-12-07	99		250,000	250,000
Element 29 Resources Inc.	Common Shares	Montoya, Manuel	6	2020-12-07	00		1,550,333	
Element 29 Resources Inc.	Common Shares	Montoya, Manuel	6	2020-12-07	00		525,212	
Element 29 Resources Inc.	Options	Montoya, Manuel	6	2020-12-07	00		150,000	
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-07	97		500,000	500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	11	0.01		1
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	11	0.01		1
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2018-06-22	16	0.1		300,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2018-06-22	16	0.1		300,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-09-09	35	0.5		810,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-09-09	35	0.3		810,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-09-09	35	0.3		810,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-03	15	0.5		20,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-03	15	0.5		20,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-07	97		1,130,001	1,130,001
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2019-02-01	45	0.1		28,112,501
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2019-02-01	45	0.1		28,112,501
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-08-09	35	0.3		-18,128,733
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-08-09	35	0.3		-18,128,733
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-03	45	0.5		3,000,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-03	45	0.5		3,000,000
Element 29 Resources Inc.	Common Shares	Osmond, Richard	4	2020-12-07	97		938,219	938,219
Element 29 Resources Inc.	Options	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Options	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Options	Osmond, Richard	4	2020-06-25	50	0.3		200,000
Element 29 Resources Inc.	Options	Osmond, Richard	4	2020-06-25	50	0.3		200,000
Element 29 Resources Inc.	Options	Osmond, Richard	4	2020-12-07	97	0.3	200,000	200,000
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2017-08-30	00			
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2017-08-30	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2020-12-03	15	0.7		10,000
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2020-12-03	15	0.7		10,000
Element 29 Resources Inc.	Warrants	Osmond, Richard	4	2020-12-07	97	0.7	10,000	10,000
Elemental Royalties Corp.	Subscription Receipts	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-07-28	00			
Elemental Royalties Corp.	Subscription Receipts	Bell, Frederick Augustus Ronald Peter McMillan	4, 5	2020-12-15	16	1.5	13,400	13,400
Elemental Royalties Corp.	Subscription Receipts	Turenne, Martin Emery Joseph	4	2020-07-28	00			
Elemental Royalties Corp.	Subscription Receipts	Turenne, Martin Emery Joseph	4	2020-07-28	00			
Elemental Royalties Corp.	Subscription Receipts	Turenne, Martin Emery Joseph	4	2020-12-15	16	1.5	13,000	13,000
Elemental Royalties Corp.	Common Shares	Zours, Wilhelm K. T.	3	2020-12-15	00		5,400,000	
Elemental Royalties Corp.	Common Shares	Zours, Wilhelm K. T.	3	2020-12-15	00		2,852,489	
Elementos Limited	Common Shares	Wellings, Mark	3	2020-12-10	10	0.0076	432,642,558	-4,626,128
Elementos Limited	Common Shares	Wellings, Mark	3	2020-12-11	10	0.0076	427,268,686	-5,373,872
Elementos Limited	Common Shares	Wellings, Mark	3	2020-12-14	10	0.0077	422,268,686	-5,000,000
Elementos Limited	Common Shares	Wellings, Mark	3	2020-12-15	10	0.0077	407,268,686	-15,000,000
Else Nutrition Holdings Inc.	Common Shares	Yitzhak, Hamutal	4, 7	2020-12-14	90		899,993	-299,997
Else Nutrition Holdings Inc.	Common Shares	Yitzhak, Hamutal	4, 7	2020-12-14	90		179,974	-59,992
Else Nutrition Holdings Inc.	Common Shares	Yitzhak, Hamutal	4, 7	2020-12-14	90		720,018	-240,006
Emerge Commerce Ltd.	Common Shares	Halazon, Ghassan	3, 4, 5	2020-12-07	00		10,222,469	
Emerge Commerce Ltd.	Options	Halazon, Ghassan	3, 4, 5	2020-12-07	00		1,727,700	
Emerge Commerce Ltd.	Warrants	Halazon, Ghassan	3, 4, 5	2020-12-07	00		62,500	
Emerge Commerce Ltd.	Common Shares	Khaishgi, Fazal Ur Rahman	5	2020-12-07	00		192,938	
Emerge Commerce Ltd.	Options	Khaishgi, Fazal Ur Rahman	5	2020-12-07	00		725,000	
Emerge Commerce Ltd.	Common Shares	Sun, Nan (Jonson)	4	2020-12-07	00			
Emerge Commerce Ltd.	Common Shares	Sun, Nan (Jonson)	4	2020-12-07	22		2,704,284	2,704,284
Emerge Commerce Ltd.	Common Shares	Sun, Nan (Jonson)	4	2020-12-07	00			
Emerge Commerce Ltd.	Common Shares	Sun, Nan (Jonson)	4	2020-12-07	22		2,000,000	2,000,000
Emerge Commerce Ltd.	Rights Restricted Share Units	Sun, Nan (Jonson)	4	2020-12-07	00			
Emerge Commerce Ltd.	Rights Restricted Share Units	Sun, Nan (Jonson)	4	2020-12-07	22		400,000	400,000
Emerge Commerce Ltd.	Rights Restricted Share Units	Sun, Nan (Jonson)	4	2020-12-07	00			
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	51	28.775		45,000
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	51	28.775		45,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	38			-30,121
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	38			-30,121
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	10	42.97		-1,200
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	10	42.97		-1,200
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	10	42.964		-500
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-11	10	42.964		-500
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-14	51	28.775	84,611	45,000
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-14	10	42.97	83,411	-1,200
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-14	10	42.964	82,911	-500
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-14	10	42.96	80,848	-2,063
Enbridge Inc.	Common Shares	Gruending, Colin Kenneth	5	2020-12-14	38		50,727	-30,121
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Gruending, Colin Kenneth	5	2020-12-11	51			-45,000
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Gruending, Colin Kenneth	5	2020-12-11	51			-45,000
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Gruending, Colin Kenneth	5	2020-12-14	51		0	-45,000
Enbridge Inc.	Rights 2018 Restricted Stock Units (RSUs)	Gruending, Colin Kenneth	5	2020-12-01	30		5,958	736
Enbridge Inc.	Rights 2018 Restricted Stock Units (RSUs)	Gruending, Colin Kenneth	5	2020-12-11	59		0	-5,958
Enbridge Inc.	Common Shares	Hansen, Cynthia Lynn	5	2020-12-16	51	28.77	176,584	69,200
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Hansen, Cynthia Lynn	5	2020-12-16	51	28.775	0	-69,200
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-09-01	30	44.08	882,218	4,081
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-11-30	30	41.06	890,865	8,647
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-12-11	51	28.775	990,865	100,000
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-12-11	38		924,647	-66,218
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-12-11	10	43.45	920,547	-4,100
Enbridge Inc.	Common Shares	Monaco, Albert	4, 5	2020-12-11	10	43.44	916,105	-4,442
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Monaco, Albert	4, 5	2020-12-11	51		0	-100,000
Enbridge Inc.	Common Shares	Yu, Vernon Dai-Chung	5	2020-12-18	51	28.775	180,182	23,600
Enbridge Inc.	Common Shares	Yu, Vernon Dai-Chung	5	2020-12-18	38		164,137	-16,045
Enbridge Inc.	Common Shares	Yu, Vernon Dai-Chung	5	2020-12-18	10	42.335	161,537	-2,600
Enbridge Inc.	Common Shares	Yu, Vernon Dai-Chung	5	2020-12-18	10	42.33	156,582	-4,955
Enbridge Inc.	Options \$28.775 (\$57.55) - February 14, 2021 Expiry	Yu, Vernon Dai-Chung	5	2020-12-18	51		0	-23,600

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
enCore Energy Corp.	Common Shares	Cherry, Richard	4	2020-12-14	10	0.75	260,000	-10,000
enCore Energy Corp.	Common Shares	Cherry, Richard	4	2020-12-15	10	0.78	245,000	-15,000
enCore Energy Corp.	Common Shares	Cherry, Richard	4	2020-12-16	10	0.81	220,000	-25,000
Enertopia Corp.	Options	McAllister, Robert	4, 5	2020-10-23	52	0.05	500,000	-500,000
Enertopia Corp.	Options	McAllister, Robert	4, 5	2020-12-14	50		1,000,000	500,000
Enertopia Corp.	Warrants	McAllister, Robert	4, 5	2019-12-08	55	0.06	1,000,000	-400,000
Enertopia Corp.	Warrants	McAllister, Robert	4, 5	2020-01-12	55	0.06	800,000	-200,000
Enertopia Corp.	Warrants	McAllister, Robert	4, 5	2020-05-11	55	0.075	600,000	-200,000
Engine Media Holdings, Inc.	Common Shares	Liabotis, Peter	4	2020-12-14	57		29,454	5,787
Engine Media Holdings, Inc.	Restricted Share Units	Liabotis, Peter	4	2020-12-14	57		10,597	-5,787
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	Maida, Stephen James	4	2019-08-29	00			
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	Maida, Stephen James	4	2019-08-29	00			
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	Maida, Stephen James	4	2019-08-29	00		60,000,000	
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Options	Maida, Stephen James	4	2019-08-29	00			
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Options	Maida, Stephen James	4	2019-08-29	00		2,000,000	
Entree Resources Ltd.	Options	Edwards, Alan R.	4	2020-12-08	50	0.51		200,000
Entree Resources Ltd.	Options	Edwards, Alan R.	4	2020-12-08	50		975,000	200,000
Entree Resources Ltd.	Common Shares	Harris, James Lindsay	4	2020-12-16	90		873,000	580,000
Entree Resources Ltd.	Common Shares	Harris, James Lindsay	4	2020-12-16	90		233,500	-580,000
Entree Resources Ltd.	Options	LO, DUANE	5	2020-12-08	50	0.51		225,000
Entree Resources Ltd.	Options	LO, DUANE	5	2020-12-08	50		1,275,000	225,000
Entree Resources Ltd.	Options	McLeod, Susan Elizabeth	5	2020-12-08	50	0.51		225,000
Entree Resources Ltd.	Options	McLeod, Susan Elizabeth	5	2020-12-08	50		1,150,000	225,000
Entree Resources Ltd.	Options	Price, Michael	4	2020-12-08	50	0.51		200,000
Entree Resources Ltd.	Options	Price, Michael	4	2020-12-08	50		725,000	200,000
Entree Resources Ltd.	Options	Scott, Stephen Victor	5	2020-12-08	50	0.51		350,000
Entree Resources Ltd.	Options	Scott, Stephen Victor	5	2020-12-08	50		2,075,000	350,000
Entree Resources Ltd.	Options	Stylianides, Anna	4	2020-12-08	50	0.51		200,000
Entree Resources Ltd.	Options	Stylianides, Anna	4	2020-12-08	50		975,000	200,000
Equinox Gold Corp.	Common Shares	Campbell, Gordon	4	2020-03-10	00			
Equinox Gold Corp.	Common Shares	Campbell, Gordon	4	2020-03-10	00		20,703	
Equitable Group Inc.	Rights Deferred Share Units	Giard, Diane	4	2020-12-17	56		220	220
Equitable Group Inc.	Rights Deferred Share Units	Kim, Yongah	4	2020-12-17	56		220	220
Ero Copper Corp.	Options	Bath, Anthea Ingrid	5	2020-12-17	50	18.9	221,242	33,894
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Bath, Anthea Ingrid	5	2020-12-17	97		34,035	16,508
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Braaten, Lyle	4	2020-12-17	56		8,059	4,677

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ero Copper Corp.	Options	Braaten, Lyle	4	2020-12-17	50	18.9	64,809	3,601
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Busby, Steven	4	2020-12-17	56		13,556	4,677
Ero Copper Corp.	Options	Busby, Steven	4	2020-12-17	50	18.9	64,809	3,601
Ero Copper Corp.	Options	DeFilippo, Makko Aaron	5	2020-12-17	50	18.9	257,706	33,894
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	DeFilippo, Makko Aaron	5	2020-12-17	97		36,367	16,508
Ero Copper Corp.	Options	Drier, Wayne	5	2020-12-17	50	18.9	446,567	33,894
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Drier, Wayne	5	2020-12-17	56		44,406	16,508
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Dunn, Christopher Noel	4, 5	2020-12-17	97		118,404	45,397
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Eyre, Sally Louise	4	2020-12-17	56		10,464	4,677
Ero Copper Corp.	Options	Eyre, Sally Louise	4	2020-12-17	50	18.9	29,809	3,601
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Gosselin, Chantal	4	2020-12-17	56		12,868	4,677
Ero Copper Corp.	Options	Gosselin, Chantal	4	2020-12-17	50	18.9	29,809	3,601
Ero Copper Corp.	Options	Hundal, Deepk	5	2020-12-17	50	18.9	243,532	21,184
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Hundal, Deepk	5	2020-12-17	97		27,844	10,317
Ero Copper Corp.	Options	Mejia Herrera, Pablo Eliecer	5	2020-12-17	50	18.9	194,891	21,184
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Mejia Herrera, Pablo Eliecer	5	2020-12-17	97		24,066	10,317
Ero Copper Corp.	Options	richard, michel	5	2020-12-17	50	18.9	309,814	36,013
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	richard, michel	5	2020-12-17	97		47,770	17,540
Ero Copper Corp.	Options	Romanowski, Michal Jan	5	2020-12-17	50	18.9	183,532	21,184
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Romanowski, Michal Jan	5	2020-12-17	97		27,844	10,317
Ero Copper Corp.	Units Performance Share Units (Common Share or Cash Settled)	Strang, David Maxwell	4, 5	2020-12-17	97		118,404	45,397
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Wright, John H	4	2020-12-17	56		8,059	4,677
Ero Copper Corp.	Options	Wright, John H	4	2020-12-17	50		64,809	3,601
Ero Copper Corp.	Deferred Share Unit (Cash Settled)	Wubs, Matthew Harley	4	2020-12-17	56		13,899	4,677
Ero Copper Corp.	Options	Wubs, Matthew Harley	4	2020-12-17	50	18.9	64,809	3,601
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-02	51	3.23		25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-02	51	3.23		25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-02	51	4		6,534

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-02	51	4		6,534
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		6,864
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		6,864
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		1,716
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		1,716
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81		2,184
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23		25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23		25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		1,716
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4	859,753	1,716
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23		25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23	884,753	25,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4	891,287	6,534
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81		2,184
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81		2,184
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81	893,471	2,184
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4.67		6,773
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4.67	900,244	6,773
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		-1,716
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		-1,716
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4	65,284	-1,716
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23		-25,000
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23		-25,000
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.23	40,284	-25,000
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		-6,534
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4		-6,534
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4	33,750	-6,534
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81		-2,184

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81		-2,184
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	3.81	31,566	-2,184
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4.67		-6,773
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4.67		-6,773
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-03	51	4.67	24,793	-6,773
ESSA Pharma Inc.	Options	BERGER, FRANKLIN MILAN	4	2020-12-11	50	7	41,293	16,500
ESSA Pharma Inc.	Options	Brettman, Ari	1	2020-12-11	50	7	66,500	16,500
ESSA Pharma Inc.	Options	Cesano, Alessandra	5	2020-12-11	51	7	482,500	57,500
ESSA Pharma Inc.	Options	Cesano, Alessandra	5	2020-12-11	50	7	540,000	57,500
ESSA Pharma Inc.	Options	Glickman, Richard	4	2020-12-11	50	7	102,000	25,000
ESSA Pharma Inc.	Options	Martin, John Alexander	4	2020-12-11	50	7	66,500	16,500
ESSA Pharma Inc.	Options	Parkinson, David	4	2020-12-11	50	7	1,779,448	266,948
ESSA Pharma Inc.	Options	Parkinson, David	4	2020-12-11	50	7	2,046,396	266,948
ESSA Pharma Inc.	Options	Requadt, Scott	4	2020-12-11	50	7	83,500	16,500
ESSA Pharma Inc.	Options	Sollis, Gary Ralph	4	2020-12-11	50	7	83,500	16,500
ESSA Pharma Inc.	Options	Thorell, Ann Marella	4	2020-12-11	50	7	66,500	16,500
ESSA Pharma Inc.	Options	Virsik, Peter	4	2020-12-11	50	7	1,397,500	200,000
ESSA Pharma Inc.	Options	Virsik, Peter	4	2020-12-11	50	7	1,597,500	200,000
ESSA Pharma Inc.	Options	Wood, David Sidney	5	2020-12-11	51	7	535,000	100,000
ESSA Pharma Inc.	Options	Wood, David Sidney	5	2020-12-11	50	7	635,000	100,000
ESSA Pharma Inc.	Options	Zweifach, Sanford	4	2020-12-11	50	7	66,500	16,500
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Lorito Holdings S.a.r.l.	3	2010-11-12	00			
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Lorito Holdings S.a.r.l.	3	2010-11-12	00			
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Lorito Holdings S.a.r.l.	3	2020-12-18	11		\$2,000,000	\$2,000,000
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Zebra Holdings and Investments S.a.r.l.	3	2010-11-12	00			
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Zebra Holdings and Investments S.a.r.l.	3	2010-11-12	00			
Etrion Corporation	Debentures Euro 4.0 Million Dec 2020	Zebra Holdings and Investments S.a.r.l.	3	2020-12-18	11		\$2,000,000	\$2,000,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	2020-12-16	11	0.19	7,000,000	142,000
Euro Manganese Inc.	Common Shares	Webster, John	4, 5	2020-12-16	11	0.19	424,450	52,632
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2020-12-15	58 - Expiration of rights		115,530	-25,500
Excellon Resources Inc.	Options	Colas, Alfred Aguilar	5	2020-10-19	00		30,000	
Excellon Resources Inc.	Restricted Share Units	Colas, Alfred Aguilar	5	2020-10-19	00		30,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Excellon Resources Inc.	Restricted Share Units	Ford, R. Craig	5	2020-12-15	58 - Expiration of rights		47,258	-14,800
Excellon Resources Inc.	Restricted Share Units	Pullinger, Benjamin	5	2020-12-15	58 - Expiration of rights		65,110	-17,000
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-12-09	47		11,330,893	-2,347,826
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-12-09	47		10,942,976	-387,917
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-09-09	37		1,557,399	-6,229,597
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2016-04-04	00		1,557,399	
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-12-09	47		3,905,225	2,347,826
Excellon Resources Inc.	Common Shares	Sprott, Eric S.	3	2020-12-09	47		4,293,142	387,917
Excellon Resources Inc.	Warrants	Sprott, Eric S.	3	2019-08-27	15	1.4		472,500
Excellon Resources Inc.	Warrants	Sprott, Eric S.	3	2019-08-27	15	7	472,500	472,500
Excellon Resources Inc.	Warrants	Sprott, Eric S.	3	2020-09-09	37		94,500	-378,000
Exco Technologies Limited	Options	ROBBINS, PAUL	1	2020-12-02	50	8.29	110,000	20,000
Exploits Discovery Corp.	Options	Huggins, Christopher	4	2020-08-21	00			
Exploits Discovery Corp.	Options	Huggins, Christopher	4	2020-08-21	00			
Exploits Discovery Corp.	Options	Huggins, Christopher	4	2020-10-14	50	0.57	250,000	250,000
Extendicare Inc.	Common Shares	Hibben, Alan Roy	4	2020-12-14	10	6.78	37,317	4,820
Fairfax Financial Holdings Limited	Subordinate Voting Shares	McFarland, R. William	4	2020-12-11	10	449.99	1,200	200
Fairfax Financial Holdings Limited	Subordinate Voting Shares	McFarland, R. William	4	2020-12-11	10	454.61	1,250	50
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Common Shares	Glavac, Anthony	5	2017-07-31	00			
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Common Shares	Glavac, Anthony	5	2020-12-11	10	0.43	5,000	5,000
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2020-12-10	10	0.125	20,190,811	75,000
Filo Mining Corp.	Common Shares	Beck, James Andrew	4, 5	2020-12-16	10	1.983	70,000	13,250
Finning International Inc.	Performance Share Units	Amar, Juan Pablo	5	2020-12-17	30	20.193	30,460	1,027
Finning International Inc.	Restricted Share Unit (RSU)	Amar, Juan Pablo	5	2020-12-17	30	20.193	14,846	505
Finning International Inc.	Performance Share Units	Boothman, Tant Michael	5	2020-12-17	30	21.898	11,911	336
Finning International Inc.	Restricted Share Unit (RSU)	Boothman, Tant Michael	5	2020-12-17	30	21.898	6,207	175
Finning International Inc.	Units Deferred Share Units	Boothman, Tant Michael	5	2020-12-17	30	21.898	1,802	51

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Finning International Inc.	Performance Share Units	Cummings, David William	5	2020-12-16	30	20.193	51,329	1,877
Finning International Inc.	Performance Share Units	Cummings, David William	5	2020-12-16	99		51,328	-1
Finning International Inc.	Restricted Share Unit (RSU)	Cummings, David William	5	2020-12-16	30	20.193	22,014	840
Finning International Inc.	Restricted Share Unit (RSU)	Cummings, David William	5	2020-12-16	99		22,013	-1
Finning International Inc.	Units Deferred Share Units	Cummings, David William	5	2020-12-16	30	26.821	13,299	101
Finning International Inc.	Performance Share Units	Damjanic Yutronic, Pedro Antonio	5	2020-12-17	30	20.193	16,933	615
Finning International Inc.	Restricted Share Unit (RSU)	Damjanic Yutronic, Pedro Antonio	5	2020-12-17	30	20.193	7,351	282
Finning International Inc.	Restricted Share Unit (RSU)	Damjanic Yutronic, Pedro Antonio	5	2020-12-17	99		7,352	1
Finning International Inc.	Performance Share Units	de Moraes Zanelatto, Alexandre	5	2020-12-17	30	23.384	15,826	280
Finning International Inc.	Restricted Share Unit (RSU)	de Moraes Zanelatto, Alexandre	5	2020-12-17	30	23.384	9,495	168
Finning International Inc.	Performance Share Units	Gray, Cheryl Lynn	5	2020-12-17	30	20.193	6,270	195
Finning International Inc.	Restricted Share Unit (RSU)	Gray, Cheryl Lynn	5	2020-12-17	30	20.193	3,857	125
Finning International Inc.	Performance Share Units	Guridi, Sebastian Tomas	5	2020-12-17	30	20.193	18,643	686
Finning International Inc.	Restricted Share Unit (RSU)	Guridi, Sebastian Tomas	5	2020-12-17	30	20.193	18,593	747
Finning International Inc.	Restricted Share Unit (RSU)	Guridi, Sebastian Tomas	5	2020-12-17	99		18,592	-1
Finning International Inc.	Performance Share Units	Harrod, Darcy Joel	5	2020-12-17	30	20.193	19,667	728
Finning International Inc.	Restricted Share Unit (RSU)	Harrod, Darcy Joel	5	2020-12-17	30	20.193	8,263	315
Finning International Inc.	Units Deferred Share Units	Harrod, Darcy Joel	5	2020-12-17	30	20.193	5,572	230
Finning International Inc.	Performance Share Units	Hiley, Chad, Stephen	5	2020-12-16	30	20.193	51,329	1,877
Finning International Inc.	Performance Share Units	Hiley, Chad, Stephen	5	2020-12-16	99		51,328	-1
Finning International Inc.	Restricted Share Unit (RSU)	Hiley, Chad, Stephen	5	2020-12-16	30	20.193	22,013	840
Finning International Inc.	Units Deferred Share Units	Hiley, Chad, Stephen	5	2020-12-16	30	20.193	7,987	329
Finning International Inc.	Performance Share Units	Hobson, Amanda Fern	5	2020-12-17	30	20.193	15,143	541
Finning International Inc.	Restricted Share Unit (RSU)	Hobson, Amanda Fern	5	2020-12-17	30	20.193	6,756	229
Finning International Inc.	Performance Share Units	Hogg, Mark Stephen	5	2020-12-17	30	20.193	11,173	408
Finning International Inc.	Restricted Share Unit (RSU)	Hogg, Mark Stephen	5	2020-12-17	30	20.193	4,809	181
Finning International Inc.	Units Deferred Share Units	Hogg, Mark Stephen	5	2020-12-17	30	21.898	2,182	62
Finning International Inc.	Units Deferred Share Units	Hogg, Mark Stephen	5	2020-12-17	99		2,181	-1

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Finning International Inc.	Performance Share Units	Maini, Eddy Enrico Bernardo	5	2020-12-17	30	20.193	11,728	431
Finning International Inc.	Performance Share Units	Maini, Eddy Enrico Bernardo	5	2020-12-17	99		11,727	-1
Finning International Inc.	Restricted Share Unit (RSU)	Maini, Eddy Enrico Bernardo	5	2020-12-17	30	20.193	4,993	174
Finning International Inc.	Performance Share Units	Marks, Anna Pia	5	2020-12-17	30	20.193	21,168	769
Finning International Inc.	Restricted Share Unit (RSU)	Marks, Anna Pia	5	2020-12-17	30	20.193	9,191	341
Finning International Inc.	Restricted Share Unit (RSU)	Marks, Anna Pia	5	2020-12-17	99		9,190	-1
Finning International Inc.	Units Deferred Share Units	Marks, Anna Pia	5	2020-12-17	30	20.193	27,182	1,121
Finning International Inc.	Performance Share Units	McCarthy, Michael James	5	2020-10-13	00		1,065	
Finning International Inc.	Performance Share Units	McCarthy, Michael James	5	2020-12-17	30	26.821	1,073	8
Finning International Inc.	Restricted Share Unit (RSU)	McCarthy, Michael James	5	2020-10-13	00		713	
Finning International Inc.	Restricted Share Unit (RSU)	McCarthy, Michael James	5	2020-12-17	30	26.821	718	5
Finning International Inc.	Performance Share Units	Murdoch, Heather Jane	5	2020-12-17	30	20.193	17,590	642
Finning International Inc.	Restricted Share Unit (RSU)	Murdoch, Heather Jane	5	2020-12-17	30	20.193	7,570	286
Finning International Inc.	Units Deferred Share Units	Murdoch, Heather Jane	5	2020-12-17	30	20.193	2,135	88
Finning International Inc.	Performance Share Units	Palaschuk, Gregory	5	2020-12-17	30	20.193	30,769	1,040
Finning International Inc.	Restricted Share Unit (RSU)	Palaschuk, Gregory	5	2020-12-17	30	20.193	14,948	550
Finning International Inc.	Performance Share Units	Parkes, Kevin	5	2020-12-17	30	20.193	52,126	1,900
Finning International Inc.	Performance Share Units	Parkes, Kevin	5	2020-12-17	99		52,125	-1
Finning International Inc.	Restricted Share Unit (RSU)	Parkes, Kevin	5	2020-12-17	30	20.193	22,494	853
Finning International Inc.	Units Deferred Share Units	Parkes, Kevin	5	2020-12-17	30	20.193	6,915	285
Finning International Inc.	Performance Share Units	Primrose, David Francis Neil	5	2020-12-17	30	20.193	39,322	1,413
Finning International Inc.	Restricted Share Unit (RSU)	Primrose, David Francis Neil	5	2020-12-17	30	20.193	17,372	635
Finning International Inc.	Units Deferred Share Units	Primrose, David Francis Neil	5	2020-12-17	30	20.193	5,572	230
Finning International Inc.	Performance Share Units	Thomson, Scott	5	2020-12-16	30	20.193	288,680	10,484
Finning International Inc.	Restricted Share Unit (RSU)	Thomson, Scott	5	2020-12-16	30	20.193	125,311	4,728
Finning International Inc.	Restricted Share Unit (RSU)	Thomson, Scott	5	2020-12-16	99		125,312	1
Finning International Inc.	Units Deferred Share Units	Thomson, Scott	5	2020-12-16	30	20.193	9,262	382
Fiore Cannabis Ltd.	Common Shares	Anderson, Erik Murray Lloyd	4, 5	2020-12-15	10	0.18	3,813,086	1,650
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-12-15	10	0.1525	150,000	50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-12-14	10	14.61	1,336,702	1,000
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-12-15	10	14.55	1,337,102	400
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-12-17	10	14.46	1,338,202	1,100
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-12-18	10	14.3	1,345,102	6,900
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-12-15	10	14.83	1,116,718	1,000
First Majestic Silver Corp.	Common Shares	Alkhafaji, Mani	5	2020-12-15	51	4.8	11,000	5,000
First Majestic Silver Corp.	Common Shares	Alkhafaji, Mani	5	2020-12-15	10	14.09	6,000	-5,000
First Majestic Silver Corp.	Options	Alkhafaji, Mani	5	2020-12-15	51	4.8	155,000	-5,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-12-16	10	15.25	60,000	-10,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-12-16	10	15.35	50,000	-10,000
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	51	9.01	40,496	28,972
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14.05	40,096	-400
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14.04	34,324	-5,772
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14.03	30,324	-4,000
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14.01	24,924	-5,400
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14	22,624	-2,300
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	13.99	21,024	-1,600
First Majestic Silver Corp.	Common Shares	Co, Rose Marjorie	4	2020-12-15	10	14.02	11,524	-9,500
First Majestic Silver Corp.	Options	Co, Rose Marjorie	4	2020-12-15	51	9.01	70,524	-28,972
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2020-12-16	51	4.8	116,500	5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2020-12-16	10	14.98	111,500	-5,000
First Majestic Silver Corp.	Options	Lillico, Connie	5	2020-12-16	51	4.8	385,000	-5,000
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-16	51	4.8	20,000	20,000
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-16	10	15.01	14,600	-5,400
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-16	10	15.02	7,200	-7,400
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-16	10	15.03	0	-7,200
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-17	51	4.8	10,000	10,000
First Majestic Silver Corp.	Common Shares	Liu, Karen	5	2020-12-17	10	15.86	0	-10,000
First Majestic Silver Corp.	Options	Liu, Karen	5	2020-12-16	51	4.8	345,000	-20,000
First Majestic Silver Corp.	Options	Liu, Karen	5	2020-12-17	51	4.8	335,000	-10,000
First Majestic Silver Corp.	Common Shares	Mendoza Reyes, Ramon	5	2020-12-16	10	15.079	-11,000	-12,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
First Majestic Silver Corp.	Common Shares	Mendoza Reyes, Ramon	5	2020-12-16	10	15.021	-31,000	-20,000
First Majestic Silver Corp.	Common Shares	Mendoza Reyes, Ramon	5	2020-12-17	51	9.01	-11,000	20,000
First Majestic Silver Corp.	Common Shares	Mendoza Reyes, Ramon	5	2020-12-17	51	7.9	1,500	12,500
First Majestic Silver Corp.	Options	Mendoza Reyes, Ramon	5	2020-12-17	51	9.01	162,500	-20,000
First Majestic Silver Corp.	Options	Mendoza Reyes, Ramon	5	2020-12-17	51	7.9	150,000	-12,500
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2020-12-16	10	15.02	18,775	-1,900
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2020-12-16	10	15.04	11,275	-7,500
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2020-12-16	10	15.01	5,675	-5,600
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2020-12-17	51	4.8	20,675	15,000
First Majestic Silver Corp.	Options	Poon, Andrew Winston	5	2020-12-17	51	4.8	265,000	-15,000
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-11	10	20.27	21,287	-15,594
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-14	51		36,288	15,001
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-14	10	21	21,287	-15,001
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-17	51		33,087	11,800
First Quantum Minerals Ltd	Common Shares	Wozniak, Zenon	5	2020-12-17	10	22	21,287	-11,800
First Quantum Minerals Ltd	Options	Wozniak, Zenon	5	2020-12-14	51		153,286	-15,001
First Quantum Minerals Ltd	Options	Wozniak, Zenon	5	2020-12-17	51		141,486	-11,800
First Responder Technologies Inc.	Common Shares	Dameron, Robert Charles	4	2020-11-26	00		30,000	
First Responder Technologies Inc.	Options	Dameron, Robert Charles	4	2020-11-26	00		300,000	
First Responder Technologies Inc.	Warrants	Dameron, Robert Charles	4	2020-11-26	00		10,000	
First Responder Technologies Inc.	Options	Day, Stockwell	4	2020-07-09	00		500,000	
First Responder Technologies Inc.	Rights RSUs	Day, Stockwell	4	2020-07-09	00			
First Responder Technologies Inc.	Rights RSUs	Day, Stockwell	4	2020-08-17	56		650,000	650,000
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.62	35,614	-100
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.66	35,514	-100
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.67	35,114	-400
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.5	34,170	-944
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.53	33,370	-800
FIRSTSERVICE CORPORATION	Common Shares	Ghert, Bernard I.	4	2020-12-15	10	165.51	33,170	-200
Fission Uranium Corp.	Common Shares	Chang, Robby Sai Kit	4	2020-12-14	46	0.3359	141,421	17,862

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Fission Uranium Corp.	Options	Estergaard, Eyer Frank	4	2020-12-14	46	0.3359	2,281,000	6,000
Fission Uranium Corp.	Options	Marsh, William	4	2020-12-14	46	0.3359	2,281,000	6,000
Fission Uranium Corp.	Options	Yip, Darian Heung-Yeung	4	2020-12-14	46	0.3359	1,006,000	6,000
Flow Capital Corp. (formerly LOGIQ Asset Management Inc.)	Common Shares	Lobo, Vernon	4	2020-12-14	10	0.35	311,500	16,500
Flow Capital Corp. (formerly LOGIQ Asset Management Inc.)	Common Shares	Lobo, Vernon	4	2020-12-14	10	0.345	314,500	3,000
Flow Capital Corp. (formerly LOGIQ Asset Management Inc.)	Common Shares	Lobo, Vernon	4	2020-12-15	10	0.355	325,500	11,000
Flow Capital Corp. (formerly LOGIQ Asset Management Inc.)	Common Shares	Lobo, Vernon	4	2020-12-16	10	0.4	425,500	100,000
Foran Mining Corporation	Common Shares	MYERSON, DANIEL	4, 5	2020-12-15	10	0.62	5,201,000	150,000
Founders Advantage Capital Corp.	Common Shares Class A	Bell, James Geral	4	2020-12-16	10	2.93	195,347	34,000
Franco-Nevada Corporation	Common Shares	Blanchette, John	7	2020-12-11	57		256	205
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Blanchette, John	7	2020-12-11	57		357	-205
Franco-Nevada Corporation	Common Shares	Brink, Paul	5	2020-12-11	57		207,392	2,997
Franco-Nevada Corporation	Common Shares	Brink, Paul	5	2020-12-11	57		211,635	4,243
Franco-Nevada Corporation	Common Shares	Brink, Paul	5	2020-12-11	10	168.23	207,756	-3,879
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Brink, Paul	5	2020-12-11	57		9,734	-2,997
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Brink, Paul	5	2020-12-11	57		4,856	-4,243
Franco-Nevada Corporation	Common Shares	de Vries, Boris	7	2020-12-11	57		1,064	546
Franco-Nevada Corporation	Common Shares	de Vries, Boris	7	2020-12-11	57		1,554	490
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	de Vries, Boris	7	2020-12-11	57		922	-546
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	de Vries, Boris	7	2020-12-11	57		460	-490
Franco-Nevada Corporation	Common Shares	Gray, Eaun Harrison	5	2020-12-11	57		1,226	423
Franco-Nevada Corporation	Common Shares	Gray, Eaun Harrison	5	2020-12-11	57		2,190	964
Franco-Nevada Corporation	Common Shares	Gray, Eaun Harrison	5	2020-12-11	10	168	1,445	-745
Franco-Nevada Corporation	Common Shares	Gray, Eaun Harrison	5	2020-12-11	57		1,804	164
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Gray, Eaun Harrison	5	2020-12-11	57		2,305	-587
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Gray, Eaun Harrison	5	2020-12-11	57		1,123	-964

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Franco-Nevada Corporation	Common Shares	Harquail, David	4, 5	2020-12-11	57		840,049	8,492
Franco-Nevada Corporation	Common Shares	Harquail, David	4, 5	2020-12-11	57		847,677	7,628
Franco-Nevada Corporation	Common Shares	Harquail, David	4, 5	2020-12-11	10	167.39	839,048	-8,629
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Harquail, David	4, 5	2020-12-11	57		14,394	-8,492
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Harquail, David	4, 5	2020-12-11	57		6,732	-7,628
Franco-Nevada Corporation	Common Shares	Hong, Lloyd Hyunsoo	5	2020-12-11	57		6,884	2,333
Franco-Nevada Corporation	Common Shares	Hong, Lloyd Hyunsoo	5	2020-12-11	57		9,333	2,449
Franco-Nevada Corporation	Common Shares	Hong, Lloyd Hyunsoo	5	2020-12-11	10	167.43	6,321	-3,012
Franco-Nevada Corporation	Common Shares	Hong, Lloyd Hyunsoo	5	2020-12-11	57		2,214	165
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Hong, Lloyd Hyunsoo	5	2020-12-11	57		4,850	-2,498
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Hong, Lloyd Hyunsoo	5	2020-12-11	57		2,326	-2,449
Franco-Nevada Corporation	Common Shares	Jenkins, Jeffery	7	2020-12-11	57		72	72
Franco-Nevada Corporation	Common Shares	Jenkins, Jeffery	7	2020-12-17	10	136.01	0	-72
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Jenkins, Jeffery	7	2020-12-11	57		145	-72
Franco-Nevada Corporation	Common Shares	O'Connell, Jason	5	2020-12-11	57		7,626	1,099
Franco-Nevada Corporation	Common Shares	O'Connell, Jason	5	2020-12-11	57		8,819	1,193
Franco-Nevada Corporation	Common Shares	O'Connell, Jason	5	2020-12-11	10	167.24	7,590	-1,229
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	O'Connell, Jason	5	2020-12-11	57		2,482	-1,099
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	O'Connell, Jason	5	2020-12-11	57		1,214	-1,193
Franco-Nevada Corporation	Common Shares	Rana, Sandip	5	2020-12-11	57		43,386	2,747
Franco-Nevada Corporation	Common Shares	Rana, Sandip	5	2020-12-11	57		46,074	2,688
Franco-Nevada Corporation	Common Shares	Rana, Sandip	5	2020-12-11	10	167.37	43,162	-2,912
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Rana, Sandip	5	2020-12-11	57		5,315	-2,747
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Rana, Sandip	5	2020-12-11	57		2,545	-2,688
Franco-Nevada Corporation	Common Shares	Tek, Bonavie	5	2019-05-08	00			
Franco-Nevada Corporation	Common Shares	Tek, Bonavie	5	2020-12-11	57		54	54

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Tek, Bonavie	5	2020-12-11	57		107	-54
Franco-Nevada Corporation	Common Shares	Wilson, Philip Dane	5	2020-12-11	57		13,034	1,049
Franco-Nevada Corporation	Common Shares	Wilson, Philip Dane	5	2020-12-11	57		13,715	681
Franco-Nevada Corporation	Common Shares	Wilson, Philip Dane	5	2020-12-11	10	168	12,786	-929
Franco-Nevada Corporation	Rights Restricted Share Units (Performance)	Wilson, Philip Dane	5	2020-12-11	57		2,020	-1,049
Franco-Nevada Corporation	Rights Restricted Share Units (Time-based)	Wilson, Philip Dane	5	2020-12-11	57		643	-681
Freegold Ventures Limited	Common Shares	Steblin, Gordon	5	2020-12-11	10	0.79	411,666	-30,000
Freegold Ventures Limited	Common Shares	Steblin, Gordon	5	2020-12-11	10	0.84	401,666	-10,000
Freegold Ventures Limited	Common Shares	Steblin, Gordon	5	2020-12-14	10	0.83	393,166	-8,500
Freegold Ventures Limited	Common Shares	Steblin, Gordon	5	2020-12-14	10	0.82	391,666	-1,500
Freehold Royalties Ltd.	Subscription Rights Subscription Receipts	Canadian National Railway Company, Administrator of the CN Trust Funds	3	2011-01-01	00			
Freehold Royalties Ltd.	Subscription Rights Subscription Receipts	Canadian National Railway Company, Administrator of the CN Trust Funds	3	2020-12-09	15	4.8		9,856,000
Freehold Royalties Ltd.	Subscription Rights Subscription Receipts	Canadian National Railway Company, Administrator of the CN Trust Funds	3	2020-12-09	15	4.8		9,856,000
Freehold Royalties Ltd.	Subscription Rights Subscription Receipts	Canadian National Railway Company, Administrator of the CN Trust Funds	3	2020-12-09	16	4.8		2,761,667
Freehold Royalties Ltd.	Subscription Rights Subscription Receipts	Canadian National Railway Company, Administrator of the CN Trust Funds	3	2020-12-09	16	4.8	2,791,667	2,791,667
Freshii Inc.	Deferred Share Units	Briant, Heather	4	2020-12-18	56		83,571	27,473
Freshii Inc.	Deferred Share Units	Romanow, Michele	4	2020-12-18	56		69,619	23,352
Freshii Inc.	Deferred Share Units	Schultz, William	4	2020-12-18	56		48,369	23,352
Freshii Inc.	Deferred Share Units	Smith, Stephen A.	4	2020-12-18	56		53,427	30,220
G Mining Ventures Corp.	Common Shares	Petkovic, Dusan	4	2020-12-15	00			
G Mining Ventures Corp.	Options	Petkovic, Dusan	4	2020-12-15	00			
G Mining Ventures Corp.	Warrants	Petkovic, Dusan	4	2020-12-15	00			
G2 Goldfields Inc.	Common Shares	Murphy, Paul	5	2020-12-14	57		200,000	100,000
G2 Goldfields Inc.	Rights Restricted Share Units	Murphy, Paul	5	2020-12-14	57		100,000	-100,000
G2 Goldfields Inc.	Common Shares	Rosenberg, Bruce	4	2020-12-17	54	0.2	335,437	100,000
G2 Goldfields Inc.	Warrants	Rosenberg, Bruce	4	2020-12-17	54		85,000	-100,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Ashe, Michael	5	2020-10-26	00			
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Ashe, Michael	5	2020-12-15	11		60,903	60,903
Galaxy Digital Holdings Ltd.	Common Shares	Englebardt, Samuel Eli	7, 5	2020-12-02	10	6.2059		-76,600
Galaxy Digital Holdings Ltd.	Common Shares	Englebardt, Samuel Eli	7, 5	2020-12-02	10	6.2059	164,899	-76,700
Galaxy Digital Holdings Ltd.	Common Shares	Ferraro, Christopher Charles	7, 5	2020-12-17	10	7.905	32,900	-29,100
Galaxy Digital Holdings Ltd.	Common Shares	Ferraro, Christopher Charles	7, 5	2020-12-17	10	7.8321	18,000	-14,900
Galaxy Digital Holdings Ltd.	Common Shares	Ferraro, Christopher Charles	7, 5	2020-12-17	10	7.751	0	-18,000
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Vanderwilt, Damian Richard Paul	5	2020-12-03	00			
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Vanderwilt, Damian Richard Paul	5	2020-12-15	11		920,029	920,029
Galaxy Digital Holdings Ltd.	Equity Grant	Vanderwilt, Damian Richard Paul	5	2020-12-03	00			
Galaxy Digital Holdings Ltd.	Equity Grant	Vanderwilt, Damian Richard Paul	5	2020-12-15	56		1,079,971	1,079,971
Galaxy Digital Holdings Ltd.	Class B GDH LP Units	Wasserman, Gregory	7, 5	2020-12-15	11		0	-355,932
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-12-15	10	6.6832	696,625	-85,000
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-12-16	10	6.849	534,825	-161,800
Galaxy Digital Holdings Ltd.	Common Shares	Wasserman, Gregory	7, 5	2020-12-17	10	7.0044	439,125	-95,700
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-12-11	10	6.39	428,860	-2,000
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-12-14	10	6.39	422,860	-6,000
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-12-15	10	6.6832		-85,000
Galaxy Digital Holdings Ltd.	Common Shares	Wisniewski, Peter Alan	7, 5	2020-12-15	10	6.6832		-85,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-12-15	10	1.1	14,268,519	5,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-12-15	10	1.11	14,273,519	5,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2020-12-15	10	1.15	14,278,519	5,000
Gatekeeper Systems Inc.	Common Shares	Galbraith, Robert	4	2020-12-14	51	0.135	692,500	100,000
Gatekeeper Systems Inc.	Options	Galbraith, Robert	4	2020-12-14	51	0.135	400,000	-100,000
Genesis Land Development Corp.	Common Shares	Mitchell, Garfield Robert	3	2020-12-14	11	2.25	20,512,720	750,000
Genesis Land Development Corp.	Common Shares	Mitchell, Mark William	4	2020-12-14	10	2.2499	7,207,800	755,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-15	10	0.195	1,808,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-16	10	0.193	1,810,186	2,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-17	10	0.195	1,813,186	3,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-12-18	10	0.195	1,814,186	1,000
Geodrill Limited	Common Shares	Ciampi, Johnny	4	2020-12-18	10	1.5001	0	-776,900
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-12-11	10	1.5503	7,894,500	-14,800
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-12-15	10	1.56	7,891,200	-3,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-12-16	10	1.5502	7,878,100	-13,100
Geodrill Limited	Common Shares	Sustainable Capital Ltd	3	2020-12-17	10	1.553	7,856,827	-21,273
George Weston Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		0	-1,300,000
George Weston Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		1,300,000	1,300,000
Getchell Gold Corp.	Options	Sieb, Mike	4	2020-12-11	50	0.35	1,000,000	150,000
GFL Environmental Inc.	Margin loan secured by pledge matures March 2023	Dovigi, Patrick Joseph	3, 4, 5	2020-12-15	90		5,892,861	2,946,431
GFL Environmental Inc.	Margin loan secured by pledge matures March 2023	Dovigi, Patrick Joseph	3, 4, 5	2020-12-15	90		138,621	69,310
GFL Environmental Inc.	Margin loan secured by pledge matures March 2023	Dovigi, Patrick Joseph	3, 4, 5	2020-12-15	90		0	-2,946,431
GFL Environmental Inc.	Margin loan secured by pledge matures March 2023	Dovigi, Patrick Joseph	3, 4, 5	2020-12-15	90		0	-69,310
Global Crossing Airlines Inc.	Common Shares Common & Variable Voting Shares	Goepel, Ryan	4, 5	2020-12-09	10	0.7	668,784	1,000
Global Crossing Airlines Inc.	Common Shares Common & Variable Voting Shares	Goepel, Ryan	4, 5	2020-12-11	10	0.71	671,784	3,000
Global Crossing Airlines Inc.	Rights Restricted Share Units	Goepel, Ryan	4, 5	2020-12-14	56		150,000	75,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-11-24	10	0.02	1,697,743	-300,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-11-25	10	0.02	1,556,743	-141,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-11-26	10	0.02	1,497,743	-59,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-11-30	10	0.02	1,327,743	-170,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-12-02	10	0.02	1,200,743	-127,000
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-12-08	10	0.03	1,150,000	-50,743
Global Hemp Group Inc.	Common Shares Class A	Huber, Curtis Ralph William	4	2020-12-11	16	0.015	5,150,000	4,000,000
Global Hemp Group Inc.	Warrants	Huber, Curtis Ralph William	4	2020-12-11	16		11,211,187	4,000,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-10	10	0.115	29,318,201	4,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-10	10	0.12	29,319,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-11	10	0.115	29,320,201	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-14	10	0.11	29,339,201	19,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-15	10	0.115	29,351,701	12,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2020-12-15	10	0.11	29,354,201	2,500
Globex Mining Enterprises Inc.	Options	Marrelli, Carmelo	5	2020-12-14	50		50,000	50,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-06	10	79.91	322,257	-23,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-09	10	79.39	277,257	-45,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-10	10	80.45	252,257	-25,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-11	10	80.25	227,257	-25,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-11	10	80.44	222,257	-5,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-12	10	80.02	207,257	-15,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-13	10	82.21	202,257	-5,000
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2020-11-16	10	86.19	197,257	-5,000
Golcap Resources Corp.	Options	Tam, Alan Shui Yan	4	2020-12-19	00		100,000	
Gold Plus Mining Inc.	Common Shares	Niu, Alson	4	2020-11-26	00			
Gold Standard Ventures Corp.	Common Shares	McLeod, Robert John	4	2020-12-14	51		438,540	250,000
Gold Standard Ventures Corp.	Common Shares	McLeod, Robert John	4	2020-12-14	10		235,540	-203,000
Gold Standard Ventures Corp.	Common Shares	McLeod, Robert John	4	2020-12-15	10	0.97	215,540	-20,000
Gold Standard Ventures Corp.	Options	McLeod, Robert John	4	2020-12-14	51		76,786	-250,000
Gold Standard Ventures Corp.	Options	McLeod, Robert John	4	2020-12-14	99		383,309	306,523
Gold Standard Ventures Corp.	Rights Subscription Rights Restricted Share Units	McLeod, Robert John	4	2020-12-14	99		155,079	36,729
Gold Standard Ventures Corp.	Common Shares	Strauss, James Digby Ronald	4	2020-12-11	51	0.73	419,300	250,000
Gold Standard Ventures Corp.	Common Shares	Strauss, James Digby Ronald	4	2020-12-11	10	0.9357		196,983
Gold Standard Ventures Corp.	Common Shares	Strauss, James Digby Ronald	4	2020-12-11	10	0.9357	222,317	-196,983
Gold Standard Ventures Corp.	Options	Strauss, James Digby Ronald	4	2020-12-11	51	0.73	883,309	250,000
Gold Standard Ventures Corp.	Options	Threlkeld, William Earl II	4	2020-12-14	52	0.73	383,309	-250,000
Gold Standard Ventures Corp.	Common Shares	Waldkirch, Michael	5	2020-12-14	51	0.73	987,750	200,000
Gold Standard Ventures Corp.	Options	Waldkirch, Michael	5	2020-12-14	51	0.73	379,208	-200,000
Gold Terra Resource Corp.	Options	Brown, Mark Thomas	5	2020-12-11	50	0.35	500,000	100,000
Gold Terra Resource Corp.	Options	Dionne, Louis	4	2020-12-11	50	0.35	250,000	50,000
Gold Terra Resource Corp.	Options	Rogers, Stuart	4, 5	2020-12-11	50		250,000	50,000
Gold Terra Resource Corp.	Options	Siwanowicz, Hellen Linda	4	2020-12-11	50	0.35	250,000	50,000
Gold Terra Resource Corp.	Options	suda, david, richard	5	2020-12-04	50	0.35	2,000,000	150,000
Golden Independence Mining Corp.	Options	Doulis, Christos	5	2020-12-14	50	0.55	450,000	50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Golden Lake Exploration Inc.	Common Shares	England, Michael Bruno John Franz	4, 5	2020-12-16	10	0.13	484,500	25,000
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2020-12-17	10	0.15	3,355,378	40,000
GoldHaven Resources Corp. (formerly Altum Resource Corp.)	Common Shares	Schieber, Gerhard Daniel	4	2020-12-11	10	0.48	430,000	10,000
GoldHaven Resources Corp. (formerly Altum Resource Corp.)	Common Shares	SMITH, DAVID CHARLES	4, 5	2020-12-11	10	0.5	1,642,000	10,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-12-15	10	2.9	7,882	-2,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Dhaliwal, Herb	4	2020-12-15	10	2.94	0	-7,882
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Kong, David TokPay	4	2020-12-14	10	2.83	101,851	-15,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Kong, David TokPay	4	2020-12-16	10	2.95	81,851	-20,000
GoldMining Inc. (formerly Brazil Resources Inc.)	Common Shares	Kong, David TokPay	4	2020-12-18	10	3.07	61,851	-20,000
GoldQuest Mining Corp.	Common Shares	Balint, Frank	4	2020-12-11	10		500,000	-79,000
GoldQuest Mining Corp.	Common Shares	Siegfried, Florian	4	2020-11-04	51	0.13	1,432,500	100,000
GoldQuest Mining Corp.	Options	Siegfried, Florian	4	2020-11-04	51	0.13	2,650,000	-100,000
Goliath Resources Limited	Common Shares	Lafleur, Jean	4	2020-12-15	11	0.19	189,950	52,000
Goliath Resources Limited	Common Shares	Lafleur, Jean	4	2020-12-15	53	0.285		52,000
Goliath Resources Limited	Common Shares	Lafleur, Jean	4	2020-12-15	53	0.285	241,950	52,000
Goliath Resources Limited	Common Shares	Warren, Graham	5	2020-12-11	11	0.19	333,000	152,000
Goliath Resources Limited	Warrants	Warren, Graham	5	2020-12-11	53	0.285	302,000	152,000
good natured Products Inc.	Common Shares	Antoniadis, Paul John	4	2020-12-17	11	0.47	2,233,666	100,000
good natured Products Inc.	Common Shares	Zadra, Jim	4	2020-12-17	54	0.1	601,901	83,333
good natured Products Inc.	Common Shares	Zadra, Jim	4	2020-12-17	54	0.16	625,351	23,450
good natured Products Inc.	Warrants	Zadra, Jim	4	2020-12-17	54		287,849	-83,333
good natured Products Inc.	Warrants	Zadra, Jim	4	2020-12-17	54		264,399	-23,450
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2020-12-18	30	0.38	143,444	7,333
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2020-12-18	30	0.38	56,527	3,235
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2020-12-18	30	0.38	217,313	10,352
Gran Tierra Energy Inc.	Common Shares	Mah, Glen	5	2020-12-18	30	0.48	15,255	1,035
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2020-12-18	30	0.38	101,255	5,176
Granite REIT Inc.	Deferred Share Units	Aghar, Peter	4	2020-12-15	35	76.46	8,549	27
Granite REIT Inc.	Deferred Share Units	Daal, Remco	4	2020-12-15	35	76.46	7,705	24

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Granite REIT Inc.	Performance Share Units	Gorrie, Kevan Stuart	4, 5	2020-12-15	35	76.46	26,722	84
Granite REIT Inc.	Restricted Share Units	Gorrie, Kevan Stuart	4, 5	2020-12-15	35	76.46	28,844	91
Granite REIT Inc.	Deferred Share Units	Grodner, Fern Phyllis	4	2020-12-15	35	76.46	1,499	5
Granite REIT Inc.	Performance Share Units	KUMER, LORNE	5	2020-12-15	35	76.46	6,899	22
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2020-12-15	35	76.46	10,545	33
Granite REIT Inc.	Deferred Share Units	Marshall, Kelly John	4	2020-12-15	35	76.46	10,893	34
Granite REIT Inc.	Deferred Share Units	Mawani, Al	4	2020-12-15	35	76.46	9,492	30
Granite REIT Inc.	Deferred Share Units	Miller, Gerald	4	2020-12-15	35	76.46	12,051	38
Granite REIT Inc.	Deferred Share Units	Murray, Sheila A.	4	2020-12-15	35	76.46	2,801	9
Granite REIT Inc.	Performance Share Units	Neto, Teresa	5	2020-12-15	35	76.46	4,573	14
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2020-12-15	35	76.46	7,262	23
Granite REIT Inc.	Deferred Share Units	Warren, Edna Jennifer	4	2020-12-15	35	76.46	4,877	16
Great Bear Resources Ltd.	Common Shares	Rogers, Paula	4	2020-12-15	00			
Great Bear Resources Ltd.	Common Shares	Rogers, Paula	4	2020-12-16	10	16.89	1,500	1,500
Great Bear Resources Ltd.	Options	Rogers, Paula	4	2020-12-15	00			
Great Bear Resources Ltd.	Options	Rogers, Paula	4	2020-12-16	50	16.89	150,000	150,000
Great Bear Royalties Corp.	Common Shares	Paterson, James R.	4	2020-12-08	56			16,759
Great Bear Royalties Corp.	Common Shares	Paterson, James R.	4	2020-12-08	56		42,664	10,464
Great Bear Royalties Corp.	Common Shares	Robins, John Edward	5	2020-12-15	56	0.15	1,229,756	685,013
Great Bear Royalties Corp.	Common Shares	Taylor, Christopher Neil Akehurst	4	2020-05-05	00			
Great Bear Royalties Corp.	Common Shares	Taylor, Christopher Neil Akehurst	4	2020-05-05	00		231,126	
Great Bear Royalties Corp.	Common Shares	Taylor, Christopher Neil Akehurst	4	2020-12-15	51		418,626	187,500
Great Bear Royalties Corp.	Common Shares	Taylor, Christopher Neil Akehurst	4	2020-12-15	56	0.15	963,133	544,507
Great Bear Royalties Corp.	Options	Taylor, Christopher Neil Akehurst	4	2020-12-15	51		0	-187,500
Great Bear Royalties Corp.	Warrants	Taylor, Christopher Neil Akehurst	4	2020-05-05	00			
Great Bear Royalties Corp.	Warrants	Taylor, Christopher Neil Akehurst	4	2020-05-05	00			
Great Canadian Gaming Corporation	Units Restricted Shares	Baker, Rodney	4, 5	2020-12-11	59	38.21	6,538	-8,368
Great Canadian Gaming Corporation	Units Restricted Shares	Doyle, Terrance Michael	5	2020-12-11	59	38.21	3,133	-2,789
Great Canadian Gaming Corporation	Common Shares	Young, Michael James	4	2020-12-16	51	24.07	7,659	6,667

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Great Canadian Gaming Corporation	Common Shares	Young, Michael James	4	2020-12-16	10	36.25	992	-6,667
Great Canadian Gaming Corporation	Options	Young, Michael James	4	2020-12-16	51	24.07	0	-6,667
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	51	0.71	423,011	50,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	10	0.71	373,011	-50,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	51	0.71	403,011	30,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	10	0.71	373,011	-30,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	51	0.71	397,011	24,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	10	0.71	373,011	-24,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	51	0.71	408,011	35,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	10	0.71	373,011	-35,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	51	0.71	398,011	25,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-12-17	10	0.71	373,011	-25,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-12-17	51		1,683,000	-50,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-12-17	51		1,653,000	-30,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-12-17	51		1,629,000	-24,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-12-17	51		1,594,000	-35,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-12-17	51		1,569,000	-25,000
Green Thumb Industries Inc.	Subordinate Voting Shares	Kadens, Pete Albert	3	2020-12-17	11	27.5	496,324	-511,591
Green Thumb Industries Inc.	Subordinate Voting Shares	Kovler, Benjamin	4, 5	2020-12-17	11	27.5	2,509,881	-2,500,000
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Cisarovsky, Mirek	5	2020-12-11	00		1,750,002	
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Compton, Brittany Leigh	5	2020-12-11	00		1,750,000	
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Fagan, Howard Glenn	4	2020-07-28	00			
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Fagan, Howard Glenn	4	2020-12-11	50	0.06	1,000,002	1,000,002
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Faryaszewski, Jan	5	2020-11-10	00			
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Faryaszewski, Jan	5	2020-11-10	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Faryaszewski, Jan	5	2020-11-10	00			
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Faryaszewski, Jan	5	2020-12-11	50		1,750,002	1,750,002
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Guerin, Justin	5	2020-11-09	00		30,955	
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Guerin, Justin	5	2020-12-11	50	0.06	530,956	500,001
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Henderson, Paul	5	2020-02-26	00			
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	Henderson, Paul	5	2020-12-11	50		5,000,001	5,000,001
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	LeClair, Michael	4	2019-09-01	00			
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	LeClair, Michael	4	2020-12-11	50		1,000,002	1,000,002
GreenSpace Brands Inc. (formerly Aumento IV Capital Corporation)	Options	McNaughton, Shawn	5	2020-12-11	00		1,000,000	
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-12-14	10	0.1	29,366,266	35,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-12-15	10	0.1	29,381,266	15,000
GTEC Holdings Ltd.	Common Shares	Singhavon, Norton	3, 4, 5	2020-12-16	11	0.12	13,743,121	100,000
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2020-12-11	10	26.05	17,400	17,400
H2O INNOVATION INC.	Common Shares	HOEL, Richard	3, 4	2020-12-10	10	2.25	2,777,613	-400
H2O INNOVATION INC.	Common Shares	HOEL, Richard	3, 4	2020-12-11	10	2.1	1,872,513	-905,100
H2O INNOVATION INC.	Common Shares	HOEL, Richard	3, 4	2020-12-11	10	2.11	1,861,013	-11,500
H2O INNOVATION INC.	Common Shares	HOEL, Richard	3, 4	2020-12-11	10	2.12	1,859,613	-1,400
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	36		63,750	63,750
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	36		459,489	395,739
Haivision Systems Inc.	Common Shares Class B Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00			
Haivision Systems Inc.	Common Shares Class B Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	51		4,656	4,656
Haivision Systems Inc.	Common Shares Class B Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	37		395,739	391,083
Haivision Systems Inc.	Common Shares Class B Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	36		0	-395,739
Haivision Systems Inc.	Common Shares Class C Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00		750	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Haivision Systems Inc.	Common Shares Class C Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	37		63,750	63,000
Haivision Systems Inc.	Common Shares Class C Shares	Al-Daccak, Mahmoud Jawad	5	2020-12-16	36		0	-63,750
Haivision Systems Inc.	Options	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00			
Haivision Systems Inc.	Options	Al-Daccak, Mahmoud Jawad	5	2020-12-16	50		59,500	59,500
Haivision Systems Inc.	Options Class B Options	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00		6,500	
Haivision Systems Inc.	Options Class B Options	Al-Daccak, Mahmoud Jawad	5	2020-12-16	51		0	-6,500
Haivision Systems Inc.	Rights Restricted Share Units	Al-Daccak, Mahmoud Jawad	5	2020-12-09	00			
Haivision Systems Inc.	Rights Restricted Share Units	Al-Daccak, Mahmoud Jawad	5	2020-12-16	56		59,500	59,500
Haivision Systems Inc.	Common Shares	Bienenstock, Harvey	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Bienenstock, Harvey	4	2020-12-16	36		898,807	898,807
Haivision Systems Inc.	Common Shares Class B Shares	Bienenstock, Harvey	4	2020-12-09	00		10,574	
Haivision Systems Inc.	Common Shares Class B Shares	Bienenstock, Harvey	4	2020-12-16	37		898,807	888,233
Haivision Systems Inc.	Common Shares Class B Shares	Bienenstock, Harvey	4	2020-12-16	36		0	-898,807
Haivision Systems Inc.	Rights Deferred Share Units	Bienenstock, Harvey	4	2020-12-09	00			
Haivision Systems Inc.	Rights Deferred Share Units	Bienenstock, Harvey	4	2020-12-16	56		4,166	4,166
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			62,088
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			62,088
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		62,092	62,092
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		175,023	112,931
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	15		250,023	75,000
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			72,998
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			72,998
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			132,719
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			132,719
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		72,998	72,998
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		205,717	132,719
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	15		230,717	25,000
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			41,361
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			41,361
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			75,284
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36			75,284
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		41,361	41,361
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		116,645	75,284
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		44,914	44,914
Haivision Systems Inc.	Common Shares	Duval, Glenn	4	2020-12-16	36		126,709	81,795

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-09	00		730	
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			61,358
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			61,358
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-62,088
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-62,088
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37		62,092	61,362
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36		0	-62,092
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-09	00		859	
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			72,139
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			72,139
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-72,998
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-72,998
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37		72,998	72,139
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36		0	-72,998
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-09	00		487	
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			40,874
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			40,874
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-41,361
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36			-41,361
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37		41,361	40,874
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36		0	-41,361
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-09	00		528	
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			44,386
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37			44,386
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	37		44,914	44,386
Haivision Systems Inc.	Common Shares Class C Shares	Duval, Glenn	4	2020-12-16	36		0	-44,914
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-09	00		1,329	
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			111,602

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			111,602
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-112,931
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-112,931
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37		112,931	111,602
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36		0	-112,931
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-09	00		1,561	
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			131,158
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			131,158
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-132,719
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-132,719
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37		132,719	131,158
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36		0	-132,719
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-09	00		886	
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			74,398
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			74,398
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-75,284
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36			-75,284
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37		75,284	74,398
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36		0	-75,284
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-09	00		962	
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			80,833
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37			80,833
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	37		81,795	80,833
Haivision Systems Inc.	Common Shares Class D Shares	Duval, Glenn	4	2020-12-16	36		0	-81,795
Haivision Systems Inc.	Rights Deferred Share Units	Duval, Glenn	4	2020-12-09	00			
Haivision Systems Inc.	Rights Deferred Share Units	Duval, Glenn	4	2020-12-16	56		4,166	4,166
Haivision Systems Inc.	Common Shares	HECHT, THOMAS O.	3	2020-12-09	00			
Haivision Systems Inc.	Common Shares	HECHT, THOMAS O.	3	2020-12-16	36		898,807	898,807
Haivision Systems Inc.	Common Shares	HECHT, THOMAS O.	3	2020-12-09	00			
Haivision Systems Inc.	Common Shares	HECHT, THOMAS O.	3	2020-12-16	36		2,369,545	2,369,545

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Haivision Systems Inc.	Common Shares Class A Shares	HECHT, THOMAS O.	3	2020-12-09	00		27,877	
Haivision Systems Inc.	Common Shares Class A Shares	HECHT, THOMAS O.	3	2020-12-16	37		2,369,545	2,341,668
Haivision Systems Inc.	Common Shares Class A Shares	HECHT, THOMAS O.	3	2020-12-16	36		0	-2,369,545
Haivision Systems Inc.	Common Shares Class B Shares	HECHT, THOMAS O.	3	2020-12-09	00		10,574	
Haivision Systems Inc.	Common Shares Class B Shares	HECHT, THOMAS O.	3	2020-12-16	37		898,807	888,233
Haivision Systems Inc.	Common Shares Class B Shares	HECHT, THOMAS O.	3	2020-12-16	36		0	-898,807
Haivision Systems Inc.	Common Shares	Hindle, Neil Richard	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Hindle, Neil Richard	4	2020-12-16	36		133,280	133,280
Haivision Systems Inc.	Common Shares	Hindle, Neil Richard	4	2020-12-16	36		172,805	39,525
Haivision Systems Inc.	Common Shares	Hindle, Neil Richard	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Hindle, Neil Richard	4	2020-12-16	36		63,750	63,750
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-09	00		1,568	
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-16	37		133,280	131,712
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-16	36		0	-133,280
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-16	51		750	750
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-16	37		63,750	63,000
Haivision Systems Inc.	Common Shares Class B Shares	Hindle, Neil Richard	4	2020-12-16	36		0	-63,750
Haivision Systems Inc.	Common Shares Class C Shares	Hindle, Neil Richard	4	2020-12-09	00		465	
Haivision Systems Inc.	Common Shares Class C Shares	Hindle, Neil Richard	4	2020-12-16	37		39,525	39,060
Haivision Systems Inc.	Common Shares Class C Shares	Hindle, Neil Richard	4	2020-12-16	36		0	-39,525
Haivision Systems Inc.	Options Class B Options	Hindle, Neil Richard	4	2020-12-09	00		750	
Haivision Systems Inc.	Options Class B Options	Hindle, Neil Richard	4	2020-12-16	51		0	-750
Haivision Systems Inc.	Rights Deferred Share Units	Hindle, Neil Richard	4	2020-12-09	00			
Haivision Systems Inc.	Rights Deferred Share Units	Hindle, Neil Richard	4	2020-12-16	56		5,833	5,833
Haivision Systems Inc.	Common Shares	Maag, Peter	5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Maag, Peter	5	2020-12-16	36		63,750	63,750
Haivision Systems Inc.	Common Shares	Maag, Peter	5	2020-12-16	36		568,015	504,265
Haivision Systems Inc.	Common Shares Class B Shares	Maag, Peter	5	2020-12-09	00			
Haivision Systems Inc.	Common Shares Class B Shares	Maag, Peter	5	2020-12-16	51		5,933	5,933
Haivision Systems Inc.	Common Shares Class B Shares	Maag, Peter	5	2020-12-16	37		504,265	498,332
Haivision Systems Inc.	Common Shares Class B Shares	Maag, Peter	5	2020-12-16	36		0	-504,265

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Haivision Systems Inc.	Common Shares Class D Shares	Maag, Peter	5	2020-12-09	00		750	
Haivision Systems Inc.	Common Shares Class D Shares	Maag, Peter	5	2020-12-16	37		63,750	63,000
Haivision Systems Inc.	Common Shares Class D Shares	Maag, Peter	5	2020-12-16	36		0	-63,750
Haivision Systems Inc.	Options	Maag, Peter	5	2020-12-09	00			
Haivision Systems Inc.	Options	Maag, Peter	5	2020-12-16	50		59,500	59,500
Haivision Systems Inc.	Options Class B Options	Maag, Peter	5	2020-12-09	00		7,500	
Haivision Systems Inc.	Options Class B Options	Maag, Peter	5	2020-12-16	51		0	-7,500
Haivision Systems Inc.	Rights Restricted Share Units	Maag, Peter	5	2020-12-09	00			
Haivision Systems Inc.	Rights Restricted Share Units	Maag, Peter	5	2020-12-16	56		59,500	59,500
Haivision Systems Inc.	Common Shares	Rabinowitz, Daniel	5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Rabinowitz, Daniel	5	2020-12-16	36		66,640	66,640
Haivision Systems Inc.	Common Shares	Rabinowitz, Daniel	5	2020-12-16	36		458,672	392,032
Haivision Systems Inc.	Common Shares Class B Shares	Rabinowitz, Daniel	5	2020-12-09	00		784	
Haivision Systems Inc.	Common Shares Class B Shares	Rabinowitz, Daniel	5	2020-12-16	37		66,640	65,856
Haivision Systems Inc.	Common Shares Class B Shares	Rabinowitz, Daniel	5	2020-12-16	36		0	-66,640
Haivision Systems Inc.	Common Shares Class D Shares	Rabinowitz, Daniel	5	2020-12-09	00		250	
Haivision Systems Inc.	Common Shares Class D Shares	Rabinowitz, Daniel	5	2020-12-16	51		4,612	4,362
Haivision Systems Inc.	Common Shares Class D Shares	Rabinowitz, Daniel	5	2020-12-16	37		392,032	387,420
Haivision Systems Inc.	Common Shares Class D Shares	Rabinowitz, Daniel	5	2020-12-16	36		0	-392,032
Haivision Systems Inc.	Options	Rabinowitz, Daniel	5	2020-12-09	00			
Haivision Systems Inc.	Options	Rabinowitz, Daniel	5	2020-12-16	50		59,500	59,500
Haivision Systems Inc.	Options Class D Options	Rabinowitz, Daniel	5	2020-12-09	00		7,500	
Haivision Systems Inc.	Options Class D Options	Rabinowitz, Daniel	5	2020-12-16	51		0	-7,500
Haivision Systems Inc.	Rights Restricted Share Units	Rabinowitz, Daniel	5	2020-12-09	00			
Haivision Systems Inc.	Rights Restricted Share Units	Rabinowitz, Daniel	5	2020-12-16	56		59,500	59,500
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			792,965
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			792,965
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			792,965
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			792,965
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36		792,965	792,965
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36		2,027,437	1,234,472
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			20,122
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			20,122
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			20,122

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36			20,122
Haivision Systems Inc.	Common Shares	Rush, Robin	4	2020-12-16	36		20,122	20,122
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-09	00			
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	51		237	237
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	37			19,885
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	37			19,885
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	36			-20,122
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	36			-20,122
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	37			19,885
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	37			19,885
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	36			-20,122
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	36			-20,122
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	37		20,122	19,885
Haivision Systems Inc.	Common Shares Class B Shares	Rush, Robin	4	2020-12-16	36		0	-20,122
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-09	00		9,329	
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	37			783,636
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	37			783,636
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	36			-792,965
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	36			-792,965
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	37			783,636
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	37			783,636
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	36			-792,965
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	36			-792,965
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	37		792,965	783,636
Haivision Systems Inc.	Common Shares Class C Shares	Rush, Robin	4	2020-12-16	36		0	-792,965
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-09	00		14,523	
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	37			1,119,932
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	37			1,119,932
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	36			-1,134,455

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	36			-1,134,455
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	37			1,219,932
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	37			1,219,932
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	36			-1,234,455
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	36			-1,234,455
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	37		1,234,472	1,219,949
Haivision Systems Inc.	Common Shares Class D Shares	Rush, Robin	4	2020-12-16	36		0	-1,234,472
Haivision Systems Inc.	Options Class B Options	Rush, Robin	4	2020-12-09	00		274	
Haivision Systems Inc.	Options Class B Options	Rush, Robin	4	2020-12-16	51		0	-274
Haivision Systems Inc.	Rights Deferred Share Units	Rush, Robin	4	2020-12-09	00			
Haivision Systems Inc.	Rights Deferred Share Units	Rush, Robin	4	2020-12-16	56		4,166	4,166
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	15		3,000	3,000
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	15		3,000	3,000
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36		1,795,115	1,795,115
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	15		3,000	3,000
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	15		3,000	3,000
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			63,019
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			63,019
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			124,030
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			124,030
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36			1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36		1,579,725	1,579,725
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36		1,642,744	63,019
Haivision Systems Inc.	Common Shares	Wicha, Miroslav	4, 5	2020-12-16	36		1,766,774	124,030
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-16	51		1,459	1,459
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-16	37		124,030	122,571
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-124,030

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-124,030
Haivision Systems Inc.	Common Shares Class B Shares	Wicha, Miroslav	4, 5	2020-12-16	36		0	-124,030
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-09	00		741	
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	37		63,019	62,278
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-63,019
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-63,019
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-63,019
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-63,019
Haivision Systems Inc.	Common Shares Class D Shares	Wicha, Miroslav	4, 5	2020-12-16	36		0	-63,019
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-09	00		21,119	
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	37		1,795,115	1,773,996
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,795,115
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,795,115
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36		0	-1,795,115
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-09	00		18,585	
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	37		1,579,725	1,561,140
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,579,725
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,579,725
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,579,725
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,579,725
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36			-1,579,725
Haivision Systems Inc.	Common Shares Class E Shares	Wicha, Miroslav	4, 5	2020-12-16	36		0	-1,579,725
Haivision Systems Inc.	Options	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Options	Wicha, Miroslav	4, 5	2020-12-16	50		170,000	170,000
Haivision Systems Inc.	Options Class B Options	Wicha, Miroslav	4, 5	2020-12-09	00		2,000	
Haivision Systems Inc.	Options Class B Options	Wicha, Miroslav	4, 5	2020-12-16	51		0	-2,000
Haivision Systems Inc.	Rights Restricted Share Units	Wicha, Miroslav	4, 5	2020-12-09	00			
Haivision Systems Inc.	Rights Restricted Share Units	Wicha, Miroslav	4, 5	2020-12-16	56		170,000	170,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Evolution Trustees Limited, as trustee for SP1 Credit Fund	3	2020-12-18	00		169,916,339	
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-07-13	10	0.112	3,733,687	-450,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-07-14	10	0.14	3,683,687	-50,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-09-23	10	0.075	3,383,687	-300,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-09-28	10	0.075	3,233,687	-150,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-11-20	10	0.07	3,084,687	-149,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-11-23	10	0.066	2,709,687	-375,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-11-25	10	0.065	2,624,687	-85,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	van den Berg, Philippus Johannes Theodorus	4, 5	2020-12-11	10	0.055	2,233,687	-391,000
Hammond Power Solutions Inc.	Rights Deferred Share Units	David, FitzGibbon	4	2020-12-17	56		18,197	194
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2020-12-17	56		24,442	260
Hammond Power Solutions Inc.	Rights Deferred Share Units	HAMMOND, BILL	6	2020-12-17	56		25,612	263
Hammond Power Solutions Inc.	Rights Deferred Share Units	HUETHER, CHRIS	5	2020-12-17	56		25,082	263
Hammond Power Solutions Inc.	Rights Deferred Share Units	Jaques, Frederick Maurice	4	2020-12-17	56		27,875	296
Hammond Power Solutions Inc.	Rights Deferred Share Units	MACADAM, DON	4	2020-12-17	56		18,197	194
Hammond Power Solutions Inc.	Rights Deferred Share Units	Robinson, Grant Cameron	4	2020-12-17	56		21,009	224
Hammond Power Solutions Inc.	Rights Deferred Share Units	Turnbull, AnneMarie	4	2020-12-17	56		1,405	15
Happy Supplements Inc. (formerly, Viking Gold Exploration Inc.)	Common Shares	Verdejo, Dominic	4	2020-12-11	00		123,333	
Happy Supplements Inc. (formerly, Viking Gold Exploration Inc.)	Options	Verdejo, Dominic	4	2020-12-11	00		30,000	
Happy Supplements Inc. (formerly, Viking Gold Exploration Inc.)	Warrants	Verdejo, Dominic	4	2020-12-11	00		123,333	
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Sandhar, Karamjit Singh	4	2020-12-02	00			
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Sandhar, Karamjit Singh	4	2020-12-15	50	2.39	120,000	120,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Walters, Sarah Jane	4	2020-12-02	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Options	Walters, Sarah Jane	4	2020-12-15	50	2.39	120,000	120,000
Healthcare Special Opportunities Fund	Trust Units Class A Units	LDIC Inc.	3	2020-12-09	10	12.91	2,425,190	-2,420
Healthcare Special Opportunities Fund	Trust Units Class A Units	LDIC Inc.	3	2020-12-10	10	12.906	2,421,853	-3,337
Heatherdale Resources Ltd.	Common Shares	McLeod, Robert John	4, 5	2020-12-17	10	0.917	1,799,995	10,000
Heatherdale Resources Ltd.	Common Shares	Neale, Susan	5	2020-12-10	10	1.03	614,389	1,000
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Multiple Voting Shares	HFP Investment Holdings SARL	3	2020-12-08	00		25,452,865	
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	HFP Investment Holdings SARL	3	2020-12-08	00		24,632,413	
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Multiple Voting Shares	Lawani, Temitope	4, 5	2020-12-08	00		25,452,865	
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Lawani, Temitope	4, 5	2020-12-08	00		24,632,413	
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Multiple Voting Shares	Soyoye, Babatunde	4, 5	2020-12-08	00		25,452,865	
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Soyoye, Babatunde	4, 5	2020-12-08	00		24,632,413	
Hemisphere Energy Corporation	Common Shares	SIMMONS, DON	5	2020-12-14	10	0.19	2,100,000	5,000
Hemlo Explorers Inc. (Formerly, Canadian Orebodies Inc.)	Common Shares	Howlett, Brian	4, 5	2020-12-18	10	0.89	108,000	2,000
Heritage Cannabis Holdings Corp. (formerly Umbral Energy Corp.)	Common Shares	Senger, Debra Lynn	4	2020-12-14	10	0.125	6,850,000	-100,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Arsenault, Stephane	5	2020-12-01	97	14.54		-8,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Arsenault, Stephane	5	2020-12-01	97	14.54		-8,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Arsenault, Stephane	5	2020-12-15	97	14.54	35,000	-8,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Brassard, Martin	4, 5	2020-12-01	97	14.54		-10,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Brassard, Martin	4, 5	2020-12-15	97	14.54	61,500	-10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Gravel, Jean	5	2020-12-01	97	14.54		-3,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Gravel, Jean	5	2020-12-15	97	14.54	14,000	-3,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Labbe, Gilles	3, 4, 6, 5	2020-12-01	97	14.54		-25,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Labbe, Gilles	3, 4, 6, 5	2020-12-01	97	14.54		-25,000
Heroux-Devtek Inc.	Performance Share Units/UnitOs d'actions liOes au rendement	Labbe, Gilles	3, 4, 6, 5	2020-12-15	97	14.54	56,000	-25,000
High Arctic Energy Services Inc.	Rights Deferred Share Units	Batcup, Simon Paul	4	2020-12-11	30		53,699	22,500
Hill Street Beverage Company Inc. (formerly Avanco Capital Corp.)	Common Shares	Chambers, Hinta	5	2020-12-11	10		650,000	-150,000
Hill Street Beverage Company Inc. (formerly Avanco Capital Corp.)	Common Shares	Chambers, Hinta	5	2020-12-11	54	0.1	800,000	150,000
Hill Street Beverage Company Inc. (formerly Avanco Capital Corp.)	Warrants	Chambers, Hinta	5	2020-12-11	54		200,000	-150,000
HIRE Technologies Inc.	Common Shares	Cleary, Sean	4	2019-12-17	00			
HIRE Technologies Inc.	Common Shares	Cleary, Sean	4	2019-12-17	00			
HIRE Technologies Inc.	Common Shares	Cleary, Sean	4	2020-12-14	16	0.6	42,000	42,000
HIRE Technologies Inc.	Warrants	Cleary, Sean	4	2019-12-17	00			
HIRE Technologies Inc.	Warrants	Cleary, Sean	4	2020-12-14	16		21,000	21,000
Home Capital Group Inc.	Options	Blowes, Robert	4	2020-12-09	52	39.65	0	-10,000
Home Capital Group Inc.	Common Shares	Bruyey, Amy	5	2020-12-15	57	29.52	1,795	95
Home Capital Group Inc.	Common Shares	Bruyey, Amy	5	2020-12-15	10	29.52	1,743	-52
Home Capital Group Inc.	Rights Restricted Share Units	Bruyey, Amy	5	2020-12-15	57	29.52	5,896	-95
Home Capital Group Inc.	Options	Cluff, David	5	2020-12-09	52	39.65	29,658	-2,000
Home Capital Group Inc.	Options	Hong, John	5	2020-12-09	52	39.65	750	-4,000
Home Capital Group Inc.	Common Shares	Karthaus, Edward	5	2020-12-15	57	29.52	1,508	436
Home Capital Group Inc.	Common Shares	Karthaus, Edward	5	2020-12-15	10	29.52	1,267	-241
Home Capital Group Inc.	Rights Restricted Share Units	Karthaus, Edward	5	2020-12-15	57	29.52	0	-436
Home Capital Group Inc.	Options	Katchen, Benjamin	5	2020-12-09	52	39.65	51,013	-4,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2020-12-16	10	0.325	1,326,500	40,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2020-12-16	10	0.32	1,346,500	20,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2020-12-16	10	0.32	2,831,750	19,000
Hudson Resources Inc.	Common Shares	Phillips, Donna Louise	4	2020-12-17	10	0.3	2,838,750	7,000
Hudson Resources Inc.	Common Shares	Shields, Robert Lewis	3	2020-12-14	10	0.365	18,540,827	-190,000
Hudson Resources Inc.	Common Shares	Shields, Robert Lewis	3	2020-12-15	10	0.331	18,466,827	-74,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-07	10	1.645	2,064,158	-162,800
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-08	10	1.57	1,935,558	-128,600
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-09	10	1.48	1,794,858	-140,700
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-10	10	1.527	1,627,098	-167,760
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-11	10	1.52	1,471,598	-155,500
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-14	10	1.568	1,326,598	-145,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-15	10	1.5933	1,166,743	-159,855
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Vaiopoulos, Demetrios	5	2020-12-16	51	1.14	60,216	30,108
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Vaiopoulos, Demetrios	5	2020-12-16	10		30,108	-30,108
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Options	Vaiopoulos, Demetrios	5	2020-12-16	51		159,892	-30,108
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2020-12-15	10	0.1558	159,810	300,000
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2020-12-18	10	0.16	259,810	100,000
IMAX Corporation	Common Shares	IMAX Corporation	1	2020-12-15	30		4,441	-10,644
IMAX Corporation	Common Shares	Wechsler, Bradley J.	4	2020-12-14	47		24,022	-88,300
IMAX Corporation	Common Shares	Wechsler, Bradley J.	4	2020-12-14	47		123,300	88,300
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-16	10		1,099,000	5,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-16	10		1,098,500	-500
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-17	10		1,093,500	-5,000
Inca One Gold Corp.	Common Shares	HART, Kevin Ryan	5	2020-12-17	10		1,084,000	-9,500
Inca One Gold Corp.	Options	HART, Kevin Ryan	5	2020-12-18	50	0.55	800,000	600,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-12-16	10	0.095	6,727,000	20,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-12-17	10	0.09	6,748,000	21,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-12-18	10	0.095	6,828,000	80,000
Infinite Ore Corp.	Options	England, Michael Bruno John Franz	4, 5	2020-12-15	50	0.06	1,818,750	700,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Infinite Ore Corp.	Options	England, Michael Bruno John Franz	4, 5	2020-12-15	52	0.3	1,100,000	-718,750
Infinite Ore Corp.	Options	Masters, John Parker	4, 5	2020-12-15	50	0.06	1,055,000	500,000
Infinite Ore Corp.	Options	Masters, John Parker	4, 5	2020-12-15	52	0.3	700,000	-355,000
InMed Pharmaceuticals Inc.	Options	Adams, Eric Ashley	4, 5	2020-12-16	50		347,424	125,000
InMed Pharmaceuticals Inc.	Options	Colwill, Bruce	5	2020-06-30	37		30,303	-969,697
InMed Pharmaceuticals Inc.	Options	Colwill, Bruce	5	2020-12-16	50	3.85	90,303	60,000
InMed Pharmaceuticals Inc.	Options	Cutler, Adam	4	2020-12-16	50		39,425	7,000
InMed Pharmaceuticals Inc.	Options	Garner, William James	4	2020-12-16	50		33,364	7,000
InMed Pharmaceuticals Inc.	Common Shares	Hsu, Eric Chih-Hsien	5	2020-06-30	37		1,272	-40,728
InMed Pharmaceuticals Inc.	Options	Hsu, Eric Chih-Hsien	5	2020-06-30	37		46,969	-1,503,031
InMed Pharmaceuticals Inc.	Options	Hsu, Eric Chih-Hsien	5	2020-12-16	50		81,969	35,000
InMed Pharmaceuticals Inc.	Options	Hull, Andrew Harold	4	2020-12-16	50		39,425	7,000
InMed Pharmaceuticals Inc.	Common Shares	Mancini, Alexandra Diane Janet	5	2020-06-30	37		6,059	-193,941
InMed Pharmaceuticals Inc.	Options	Mancini, Alexandra Diane Janet	5	2020-06-30	37		45,453	-1,454,547
InMed Pharmaceuticals Inc.	Options	Mancini, Alexandra Diane Janet	5	2020-12-16	50	3.85	80,453	35,000
InMed Pharmaceuticals Inc.	Options	Sazdanoff, Catherine	4	2020-06-30	37		4,091	-130,909
InMed Pharmaceuticals Inc.	Options	Sazdanoff, Catherine	4	2020-12-16	50		22,091	18,000
InMed Pharmaceuticals Inc.	Common Shares	Woudenberg, Michael Henry	5	2020-06-30	37		530	-16,970
InMed Pharmaceuticals Inc.	Options	Woudenberg, Michael Henry	5	2020-06-30	37		31,060	-993,940
InMed Pharmaceuticals Inc.	Options	Woudenberg, Michael Henry	5	2020-12-16	50		61,060	30,000
INSCAPE Corporation	Subordinate Voting Shares CLASS B	Bortolotto, Tania	4	2020-12-18	50	0.99	18,500	7,500
INSCAPE Corporation	Subordinate Voting Shares CLASS B	BULL, BARTLEY	3, 4	2020-12-18	50	0.99	7,500	7,500
INSCAPE Corporation	Subordinate Voting Shares CLASS B	Ehgoetz, Eric Keith	4	2020-12-18	50	0.99	32,360	7,500
INSCAPE Corporation	Subordinate Voting Shares CLASS B	Horvath, Dezso Joseph	4	2020-12-18	50	0.99	14,600	7,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Arnold, Timothy Daniel	5	2020-12-15	50		217,600	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Arnold, Timothy Daniel	5	2019-11-05	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Arnold, Timothy Daniel	5	2020-12-15	56		28,000	28,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Awram, David	4	2020-12-15	50		247,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Rights Deferred Share Units	Awram, David	4	2017-11-03	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Rights Deferred Share Units	Awram, David	4	2020-12-15	56		17,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Baker, Edward Max	5	2020-12-15	50		469,600	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Baker, Edward Max	5	2017-10-10	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Baker, Edward Max	5	2020-12-15	56		28,000	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	De Jong, Stephen Edward	4, 5	2017-08-17	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	De Jong, Stephen Edward	4, 5	2020-12-15	56		17,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	De Jong, Stephen Edward	4, 5	2020-12-15	50		413,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	De Jong, Stephen Edward	4, 5	2017-08-17	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Jauristo, Timo	4, 5	2018-02-28	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Jauristo, Timo	4, 5	2020-12-15	56		17,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Jauristo, Timo	4, 5	2020-12-15	50		247,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Ladd-Kruger, Anna	4	2018-12-12	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Ladd-Kruger, Anna	4	2020-12-15	56		17,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Ladd-Kruger, Anna	4	2020-12-15	50		197,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Otter, Clement Leroy Butch	4	2019-09-16	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Deferred Share Units	Otter, Clement Leroy Butch	4	2020-12-15	56		17,500	17,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Otter, Clement Leroy Butch	4	2020-12-15	50		197,500	17,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Salamis, George	4, 5	2020-12-15	50		920,800	56,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Salamis, George	4, 5	2017-08-17	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Salamis, George	4, 5	2020-12-15	56		56,000	56,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	Serfass, Joshua	5	2020-12-15	50		210,000	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Serfass, Joshua	5	2020-12-03	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	Serfass, Joshua	5	2020-12-15	56		28,000	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Options Stock Option Plan	St-Germain, Andree	5	2020-12-15	50		469,600	28,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	St-Germain, Andree	5	2017-08-17	00			
Integra Resources Corp. (formerly, Mag Copper Limited)	Restricted Share Units	St-Germain, Andree	5	2020-12-15	56		28,000	28,000
International Petroleum Corporation	Common Shares	Hogue, Chris W.	5	2020-12-10	10	2.9		200,000
International Petroleum Corporation	Common Shares	Hogue, Chris W.	5	2020-12-10	10	2.9	1,074,454	-200,000
International Prospect Ventures Ltd. (formerly Uranium Valley Mines Ltd.)	Common Shares	Walter, Martin	4, 5	2020-12-17	10	0.12	1,745,000	50,000
Intouch Insight Ltd.	Common Shares	Beutel, Eric Marshall	3, 4	2020-12-16	10	0.72	1,077,500	-10,000
Intouch Insight Ltd.	Common Shares	Beutel, Eric Marshall	3, 4	2020-12-17	10	0.72	1,037,000	-40,500
Intouch Insight Ltd.	Common Shares	Beutel, Eric Marshall	3, 4	2020-12-18	10	0.72	1,012,500	-24,500
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2020-12-10	10	0.7	1,545,761	-500
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2020-12-11	10	0.7	1,496,261	-49,500
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2020-12-14	10	0.74	1,476,261	-20,000
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2020-12-16	10	0.74	1,469,761	-6,500
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2017-12-15	00			
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-12-09	10	0.33	4,000	4,000
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-12-11	10	0.315	20,000	16,000
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-12-11	10	0.3179	26,000	6,000
Ion Energy Ltd.	Common Shares	Waraich, Aneel Singh	4	2020-12-11	10	0.32	40,100	14,100
Itasca Capital Ltd.	Options	Liggett, Michael	5	2020-12-14	00		25,000	
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	2020-12-17	97		465,000	5,091
Ivanhoe Mines Ltd.	Common Shares Class A	Joubert, Pierre	5	2020-12-17	97		51,125	885
Ivanhoe Mines Ltd.	Common Shares Class A	Makhesha, Setha Patricia	7, 5	2020-12-17	97		12,514	2,852
Ivanhoe Mines Ltd.	Common Shares Class A	Makhesha, Setha Patricia	7, 5	2020-12-18	10	6.345	8,314	-4,200

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ivanhoe Mines Ltd.	Common Shares Class A	Zhou, Chao (Peter)	5	2020-12-17	97		8,793	2,004
Jabbo Capital Corp.	Options	Bayley, Brian Eric	4, 5	2020-11-05	00			
Jabbo Capital Corp.	Options	Bayley, Brian Eric	4, 5	2020-12-14	50		75,000	75,000
Jabbo Capital Corp.	Options	Downes, John Graham	4	2020-11-05	00			
Jabbo Capital Corp.	Options	Downes, John Graham	4	2020-12-14	50		75,000	75,000
Jabbo Capital Corp.	Options	Lee, Sandra	4	2020-11-05	00			
Jabbo Capital Corp.	Options	Lee, Sandra	4	2020-12-14	50		75,000	75,000
Jaguar Mining Inc.	Common Shares	Guenther, Benjamin Wayne	4, 5	2020-11-23	51	6.2	62,500	52,500
Jaguar Mining Inc.	Options	Guenther, Benjamin Wayne	4, 5	2020-11-23	51		57,000	-52,500
Jaguar Mining Inc.	Common Shares	WENG, THOMAS SUN	4	2020-12-11	51	7.66	17,687	17,000
Jaguar Mining Inc.	Common Shares	WENG, THOMAS SUN	4	2020-12-11	10	7.66	12,139	-5,548
Jaguar Mining Inc.	Options	WENG, THOMAS SUN	4	2020-12-11	51		20,000	-17,000
Josemaria Resources Inc.	Common Shares	Brettschneider, Arndt Wolfgang	5	2019-08-06	00			
Josemaria Resources Inc.	Common Shares	Brettschneider, Arndt Wolfgang	5	2020-12-17	10	0.74	60,000	60,000
K-Bro Linen Inc.	Common Shares	Utahara, Ryo	5	2020-12-16	10	37.63	2,817	-300
Kanadario Gold Inc.	Common Shares	Dagenais, Marc	5	2020-12-16	00		60,000	
Kanadario Gold Inc.	Warrants	Dagenais, Marc	5	2020-12-16	00		30,000	
Kanadario Gold Inc.	Common Shares	LAFLEUR, JULIE	5	2020-12-16	00		50,000	
Kanadario Gold Inc.	Warrants	LAFLEUR, JULIE	5	2020-12-16	00		25,000	
Kanadario Gold Inc.	Common Shares	Neal, Jason Robert	4	2020-12-16	00		2,820,000	
Kanadario Gold Inc.	Warrants	Neal, Jason Robert	4	2020-12-16	00		410,000	
Karora Resources Inc.	Common Shares	Karora Resources Inc.	1	2020-12-15	38	3.27	80,000	10,000
Kerr Mines Inc.	Common Shares	McVicar, James Greig	4	2020-12-15	10	0.13	183,571	5,000
Kerr Mines Inc.	Common Shares	McVicar, James Greig	4	2020-12-15	10	0.125	188,571	5,000
Kinaxis Inc.	Common Shares	Carreiro, Paul	5	2020-12-10	57	176.45	12,897	10,892
Kinaxis Inc.	Common Shares	Carreiro, Paul	5	2020-12-10	10	176.45	2,005	-10,892
Kinaxis Inc.	Rights Restricted Share Units	Carreiro, Paul	5	2020-12-10	57		8,783	-10,892
Kinaxis Inc.	Common Shares	Liu, Kerry	5	2020-12-10	57	176.45	2,900	2,900
Kinaxis Inc.	Common Shares	Liu, Kerry	5	2020-12-10	10	176.45	0	-2,900
Kinaxis Inc.	Rights Restricted Share Units	Liu, Kerry	5	2020-12-10	57		5,800	-2,900
Kinaxis Inc.	Common Shares	Mauger, Michael David	5	2020-12-10	57	176.45	3,084	3,084
Kinaxis Inc.	Common Shares	Mauger, Michael David	5	2020-12-10	10	176.45	0	-3,084
Kinaxis Inc.	Rights Restricted Share Units	Mauger, Michael David	5	2020-12-10	57		4,169	-3,084
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-12-10	57	176.45	4,892	4,892
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-12-10	10	176.45	0	-4,892
Kinaxis Inc.	Rights Restricted Share Units	McDonald, Andrew John	5	2020-12-10	57		7,783	-4,892
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-12-10	57	176.45	33,591	9,775
Kinaxis Inc.	Common Shares	Monkman, Richard George	5	2020-12-10	10	176.45	23,816	-9,775
Kinaxis Inc.	Rights Restricted Share Units	Monkman, Richard George	5	2020-12-10	57		11,897	-9,775
Kinaxis Inc.	Common Shares	Muelhoefer, Jay Allan	5	2020-12-10	57	176.45	5,771	5,744

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Kinaxis Inc.	Common Shares	Muelhoefer, Jay Allan	5	2020-12-10	10	176.45	27	-5,744
Kinaxis Inc.	Rights Restricted Share Units	Muelhoefer, Jay Allan	5	2020-12-10	57		8,152	-5,744
Kinaxis Inc.	Common Shares	Paterson, Megan	5	2020-12-10	57	176.45	4,648	3,547
Kinaxis Inc.	Common Shares	Paterson, Megan	5	2020-12-10	10	176.45	1,101	-3,547
Kinaxis Inc.	Rights Restricted Share Units	Paterson, Megan	5	2020-12-10	57		5,234	-3,547
Kinaxis Inc.	Common Shares	Robinson, Anne Gillian	5	2020-12-10	57	176.45	4,957	3,687
Kinaxis Inc.	Common Shares	Robinson, Anne Gillian	5	2020-12-10	10	176.45	1,270	-3,687
Kinaxis Inc.	Rights Restricted Share Units	Robinson, Anne Gillian	5	2020-12-10	57		5,373	-3,687
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	57	18374		18,374
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	57	18374		18,374
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	10	176.45		-18,374
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	10	176.45		-18,374
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	57	176.45	242,741	18,374
Kinaxis Inc.	Common Shares	Sicard, John Ernest	4, 5	2020-12-10	10	176.45	224,367	-18,374
Kinaxis Inc.	Rights Restricted Share Units	Sicard, John Ernest	4, 5	2020-12-10	57			-18,374
Kinaxis Inc.	Rights Restricted Share Units	Sicard, John Ernest	4, 5	2020-12-10	57			-18,374
Kinaxis Inc.	Rights Restricted Share Units	Sicard, John Ernest	4, 5	2020-12-10	57		18,132	-18,374
Kincora Copper Limited	Options	Holliday, John	4	2019-11-16	52		1,597,990	-163,874
Kincora Copper Limited	Warrants	Holliday, John	4	2017-02-01	00			
Kincora Copper Limited	Warrants	Holliday, John	4	2019-06-11	11	0.25	150,000	150,000
Kincora Copper Limited	Options	Marks, Lewis	4	2020-07-30	52		616,377	-125,000
Kincora Copper Limited	Warrants	Marks, Lewis	4	2018-07-30	00			
Kincora Copper Limited	Warrants	Marks, Lewis	4	2019-06-11	11	0.25	175,000	175,000
Kincora Copper Limited	Options	McRae, Cameron	4	2020-08-09	52		3,652,846	-125,000
Kincora Copper Limited	Warrants	McRae, Cameron	4	2018-08-13	00			
Kincora Copper Limited	Warrants	McRae, Cameron	4	2020-06-11	11	0.25	1,400,000	1,400,000
Kincora Copper Limited	Options	Nadarajah, Rayhan	4	2020-05-10	52		1,942,961	-125,001
Kincora Copper Limited	Warrants	Nadarajah, Rayhan	4	2018-05-10	00			
Kincora Copper Limited	Warrants	Nadarajah, Rayhan	4	2019-06-11	11	0.25	800,000	800,000
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2016-09-12	50	0.375	8,750,021	600,021
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2016-09-12	50	0.525		600,021
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2016-09-12	50	0.525	9,350,041	600,020
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2017-06-12	52		6,533,761	-3,500,000
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2018-05-31	52		5,769,117	-1,250,000
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-05-28	52		2,369,117	-3,400,000
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-09-27	50	0.11		795,295
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-09-27	50	0.11	3,141,657	772,540
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-09-27	50	0.25		795,295
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-09-27	50	0.25	3,959,707	818,050
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-11-16	52		3,610,109	-349,598
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2019-11-16	52		3,474,351	-135,758
Kincora Copper Limited	Options	Spring, Jonathan (Sam)	5	2020-11-16	52			-135,758
Kincora Copper Limited	Warrants	Spring, Jonathan (Sam)	5	2019-06-11	11	0.25	1,573,864	1,050,000
Kinross Gold Corporation	Restricted Shares	Elliott, Thomas Ballantyne	5	2020-12-10	35	9.32	218,693	912

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Kinross Gold Corporation	Restricted Shares	Freeborough, Andrea Susan	5	2020-12-10	35	9.36	207,702	93
Kinross Gold Corporation	Restricted Shares	Freeborough, Andrea Susan	5	2020-12-10	35	9.32	208,478	776
Kinross Gold Corporation	Restricted Shares	Gold, Geoffrey Peters	5	2020-12-10	59	9.19	752,265	-76
Kinross Gold Corporation	Restricted Shares	Gold, Geoffrey Peters	5	2020-12-10	35	9.36	752,973	708
Kinross Gold Corporation	Restricted Shares	Gold, Geoffrey Peters	5	2020-12-10	35	9.32	755,487	2,514
Kinross Gold Corporation	Restricted Shares	Longenecker, Nathan M.	5	2020-12-10	35	9.32	251,925	1,050
Kinross Gold Corporation	Restricted Shares	Mittler, Andreas	5	2020-12-10	35	9.36	153,754	122
Kinross Gold Corporation	Restricted Shares	Mittler, Andreas	5	2020-12-10	35	9.32	154,274	520
Kinross Gold Corporation	Restricted Shares	Rollinson, Jonathon Paul	4, 5	2020-12-10	59	9.19	1,694,638	-192
Kinross Gold Corporation	Restricted Shares	Rollinson, Jonathon Paul	4, 5	2020-12-10	35	9.36	1,695,573	935
Kinross Gold Corporation	Restricted Shares	Rollinson, Jonathon Paul	4, 5	2020-12-10	35	9.32	1,701,920	6,347
Kinross Gold Corporation	Restricted Shares	Schimper, Claude J.S.	5	2020-12-10	35	9.32	206,218	860
Kinross Gold Corporation	Restricted Shares	Sims, John Lewis	5	2020-12-10	35	9.32	145,724	607
Kinross Gold Corporation	Restricted Shares	Sylvestre, Michel	5	2020-12-10	35	9.32	285,548	1,233
Kinross Gold Corporation	Restricted Shares	Timpano, HØIØne	5	2020-12-10	35	9.32	185,865	775
Kinross Gold Corporation	Restricted Shares	Tomory, Paul Botond Stilicho	5	2020-12-10	59	9.19	415,487	-46
Kinross Gold Corporation	Restricted Shares	Tomory, Paul Botond Stilicho	5	2020-12-10	35	9.36	415,717	230
Kinross Gold Corporation	Restricted Shares	Tomory, Paul Botond Stilicho	5	2020-12-10	35	9.32	417,272	1,555
Kinross Gold Corporation	Restricted Shares	van Akkooi, Michiel	5	2020-12-10	35	9.32	253,124	839
Kinross Gold Corporation	Restricted Shares	Wiseman, Tara H.	5	2020-12-10	35	9.32	90,956	379
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-10-01	10	65.6	656,300	225,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-10-01	38		431,300	-225,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-10-02	10	64.79	174,800	174,800
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-10-02	38		0	-174,800
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-09	10	58.34	425,200	425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-09	38		0	-425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-10	10	58.02	425,200	425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-10	38		0	-425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-11	10	57.75	250,000	250,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-11	38		0	-250,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-20	10	54.06	368,800	368,800
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-20	38		0	-368,800
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-23	10	51.81	424,900	424,900
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-23	38		0	-424,900
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-24	10	50.68	279,200	279,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-11-24	38		0	-279,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-12-15	10	51.55	425,200	425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-12-16	10	53.07	775,200	350,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-12-18	38		350,000	-425,200
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2020-12-18	38		0	-350,000
Kismet Resources Corp.	Common Shares	Dau, John-Paul	4	2020-12-01	00			
Kismet Resources Corp.	Common Shares	Dau, John-Paul	4	2020-12-01	00			
Kismet Resources Corp.	Common Shares	Dau, John-Paul	4	2020-12-11	00		721,200	
Kismet Resources Corp.	Common Shares	French, Andrew George	4	2020-12-11	00		716,666	
Kismet Resources Corp.	Common Shares	French, Andrew George	4	2020-12-12	00			
Kismet Resources Corp.	Common Shares	French, Andrew George	4	2020-12-11	00		248,356	
Kismet Resources Corp.	Common Shares	French, Andrew George	4	2020-12-12	00			
Kismet Resources Corp.	Warrants	French, Andrew George	4	2020-12-11	00		33,500	
Kismet Resources Corp.	Warrants	French, Andrew George	4	2020-12-12	00			
Kismet Resources Corp.	Common Shares	morgan, fletcher	4, 5	2020-12-11	00		85,000	
Kismet Resources Corp.	Common Shares	morgan, fletcher	4, 5	2020-12-11	00		1,078,871	
Kismet Resources Corp.	Warrants	morgan, fletcher	4, 5	2020-12-11	00		42,500	
kneat.com, inc.	Common Shares	Ainsworth, Ian	4	2020-12-11	10	2.05	1,145,147	15,000
kneat.com, inc.	Common Shares	Dawe, Wade K.	5	2020-12-11	10	2.08	2,782,194	3,300
kneat.com, inc.	Common Shares	Dawe, Wade K.	5	2020-12-11	10	2.09	2,783,194	1,000
kneat.com, inc.	Common Shares	Dawe, Wade K.	5	2020-12-11	10	2.1	2,848,894	65,700
Koios Beverage Corp.	Common Shares	Miller, Christopher Blake Ewing	3, 4, 7, 5	2020-11-05	10	0.06	400,000	-100,000
Koios Beverage Corp.	Common Shares	Miller, Christopher Blake Ewing	3, 4, 7, 5	2020-12-14	10	0.06	300,000	-100,000
Kraken Robotics Inc.	Common Shares	Reid, Gregory Michael	5	2020-12-15	51	0.18	4,897,364	300,000
Kraken Robotics Inc.	Common Shares	Reid, Gregory Michael	5	2020-12-15	10	0.58	4,737,749	-159,615
Kraken Robotics Inc.	Options	Reid, Gregory Michael	5	2020-12-15	51	0.18	200,000	-300,000
Kraken Robotics Inc.	Common Shares	Shea, David	5	2020-12-10	10	0.57	740,000	-82,000
Kraken Robotics Inc.	Common Shares	Shea, David	5	2020-12-15	51	0.18	990,000	250,000
Kraken Robotics Inc.	Options	Shea, David	5	2020-12-15	51	0.18	200,000	-250,000
Kuya Silver Corporation	Common Shares	Soria Lopez, Erika Claudia	3	2020-12-15	00		3,929,288	
Lassonde Industries Inc.	Subordinate Voting Shares CatOgorie A	Gattuso, Jean	7, 5	2020-12-15	47	177.7	3,400	-550
LAURENTIAN BANK OF CANADA	Options	Allidina, Azmina	7	2019-12-18	50	43.68		6,480
LAURENTIAN BANK OF CANADA	Options	Allidina, Azmina	7	2019-12-18	50	43.68	12,628	6,480
LAURENTIAN BANK OF CANADA	Options	Allidina, Azmina	7	2020-12-14	50	33.13	19,851	7,223
LAURENTIAN BANK OF CANADA	Options	Artinian, Vania	5	2019-12-18	50	43.68		9,962
LAURENTIAN BANK OF CANADA	Options	Artinian, Vania	5	2019-12-18	50	43.68	19,720	9,962
LAURENTIAN BANK OF CANADA	Options	Artinian, Vania	5	2020-12-14	50	33.13	30,716	10,996
LAURENTIAN BANK OF CANADA	Options	Backman, Craig	5	2019-12-18	50	43.68		24,148

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
LAURENTIAN BANK OF CANADA	Options	Backman, Craig	5	2019-12-18	50	43.68	47,802	24,148
LAURENTIAN BANK OF CANADA	Options	Bernier, Julie	5	2019-12-18	50	43.68		5,617
LAURENTIAN BANK OF CANADA	Options	Bernier, Julie	5	2019-12-18	50	43.68	11,119	5,617
LAURENTIAN BANK OF CANADA	Options	Bernier, Julie	5	2020-12-14	50	33.13	17,197	6,078
LAURENTIAN BANK OF CANADA	Options	De Broux, Christian	5	2019-12-18	50	43.68		9,006
LAURENTIAN BANK OF CANADA	Options	De Broux, Christian	5	2019-12-18	50	43.68	17,595	9,006
LAURENTIAN BANK OF CANADA	Options	Deschamps, Yvan	5	2019-12-18	50	43.68		7,345
LAURENTIAN BANK OF CANADA	Options	Deschamps, Yvan	5	2019-12-18	50	43.68	14,399	7,345
LAURENTIAN BANK OF CANADA	Options	Deschamps, Yvan	5	2020-12-14	50	33.13	24,819	10,420
LAURENTIAN BANK OF CANADA	Options	Desjardins, Francois	4, 5	2019-12-18	50	43.68		102,467
LAURENTIAN BANK OF CANADA	Options	Desjardins, Francois	4, 5	2019-12-18	50	43.68	256,118	102,467
LAURENTIAN BANK OF CANADA	Options	Farooqi, Sarim	5	2019-12-18	50	43.68		10,007
LAURENTIAN BANK OF CANADA	Options	Farooqi, Sarim	5	2019-12-18	50	43.68	19,570	10,007
LAURENTIAN BANK OF CANADA	Options	Farooqi, Sarim	5	2020-12-14	50	33.13	30,724	11,154
LAURENTIAN BANK OF CANADA	Options	Fox, Sivan	5	2019-12-18	50	43.68		7,045
LAURENTIAN BANK OF CANADA	Options	Fox, Sivan	5	2019-12-18	50	43.68	7,045	7,045
LAURENTIAN BANK OF CANADA	Options	Fox, Sivan	5	2020-12-14	50	33.13	14,744	7,699
LAURENTIAN BANK OF CANADA	Options	Geddes, Gale	5	2019-12-18	50	43.68		6,731
LAURENTIAN BANK OF CANADA	Options	Geddes, Gale	5	2019-12-18	50	43.68	6,731	6,731
LAURENTIAN BANK OF CANADA	Options	Geddes, Gale	5	2020-12-14	50	33.13	14,185	7,454
LAURENTIAN BANK OF CANADA	Options	Gunderson, Kelsey	5	2019-12-18	50	43.68		30,185
LAURENTIAN BANK OF CANADA	Options	Gunderson, Kelsey	5	2019-12-18	50	43.68	30,185	30,185
LAURENTIAN BANK OF CANADA	Options	Gunderson, Kelsey	5	2020-12-14	50	33.13	62,849	32,664
LAURENTIAN BANK OF CANADA	Options	LAFRESNAYE, DIANE	7	2019-12-18	50	43.68		6,269
LAURENTIAN BANK OF CANADA	Options	LAFRESNAYE, DIANE	7	2019-12-18	50	43.68	12,231	6,269
LAURENTIAN BANK OF CANADA	Options	LAFRESNAYE, DIANE	7	2020-12-14	50	33.13	19,151	6,920
LAURENTIAN BANK OF CANADA	Options	Laurin, Francois	5	2019-12-18	50	43.68		33,746
LAURENTIAN BANK OF CANADA	Options	Laurin, Francois	5	2019-12-18	50	43.68	78,814	33,746

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
LAURENTIAN BANK OF CANADA	Options	Laurin, Francois	5	2020-12-14	50	33.13	115,331	36,517
LAURENTIAN BANK OF CANADA	Options	Llewellyn, Rania	4, 5	2020-10-30	00			
LAURENTIAN BANK OF CANADA	Options	Llewellyn, Rania	4, 5	2020-12-14	50	33.13	240,246	240,246
LAURENTIAN BANK OF CANADA	Options	Mason, William James Alexander	5	2019-12-18	50	43.68		33,746
LAURENTIAN BANK OF CANADA	Options	Mason, William James Alexander	5	2019-12-18	50	43.68	66,802	33,746
LAURENTIAN BANK OF CANADA	Options	Mason, William James Alexander	5	2020-12-14	50	33.13	103,319	36,517
LAURENTIAN BANK OF CANADA	Options	Migliara, Antonino	5	2019-12-18	50	43.68		8,644
LAURENTIAN BANK OF CANADA	Options	Migliara, Antonino	5	2019-12-18	50	43.68	16,864	8,644
LAURENTIAN BANK OF CANADA	Options	Migliara, Antonino	5	2020-12-14	50	33.13	26,481	9,617
LAURENTIAN BANK OF CANADA	Options	O'Neill, David	7	2019-12-18	50	43.68		9,981
LAURENTIAN BANK OF CANADA	Options	O'Neill, David	7	2019-12-18	50	43.68	19,451	9,981
LAURENTIAN BANK OF CANADA	Options	O'Neill, David	7	2020-12-14	50	33.13	30,576	11,125
LAURENTIAN BANK OF CANADA	Options	Pilote, Diane	5	2019-12-18	50	43.68		9,598
LAURENTIAN BANK OF CANADA	Options	Pilote, Diane	5	2019-12-18	50	43.68		9,598
LAURENTIAN BANK OF CANADA	Options	Pilote, Diane	5	2019-12-18	50	43.68	18,771	9,598
LAURENTIAN BANK OF CANADA	Options	Pilote, Diane	5	2020-12-14	50	33.13	29,417	10,646
LAURENTIAN BANK OF CANADA	Options	Provost, Eric	5	2019-12-18	50	43.68		11,000
LAURENTIAN BANK OF CANADA	Options	Provost, Eric	5	2019-12-18	50	43.68	21,461	11,000
LAURENTIAN BANK OF CANADA	Options	Provost, Eric	5	2020-12-14	50	33.13	33,751	12,290
LAURENTIAN BANK OF CANADA	Options	Rose, Deborah	5	2019-12-18	50	43.68		37,298
LAURENTIAN BANK OF CANADA	Options	Rose, Deborah	5	2019-12-18	50	43.68	101,731	37,298
LAURENTIAN BANK OF CANADA	Options	Stamadianos, Eva	5	2019-12-18	50	43.68		9,763
LAURENTIAN BANK OF CANADA	Options	Stamadianos, Eva	5	2019-12-18	50	43.68	19,151	9,763
LAURENTIAN BANK OF CANADA	Options	Stamadianos, Eva	5	2020-12-14	50	33.13	29,927	10,776
LAURENTIAN BANK OF CANADA	Options	Teijeira, Alejandro	5	2019-12-18	50	43.68		7,201
LAURENTIAN BANK OF CANADA	Options	Teijeira, Alejandro	5	2019-12-18	50	43.68	7,201	7,201
Laurion Mineral Exploration Inc.	Common Shares	AquinTerra Inc.	4, 5	2003-06-09	00			
Laurion Mineral Exploration Inc.	Common Shares	AquinTerra Inc.	4, 5	2020-12-14	51	0.23		600,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Laurion Mineral Exploration Inc.	Common Shares	AquinTerra Inc.	4, 5	2020-12-14	51	0.23		600,000
Laurion Mineral Exploration Inc.	Common Shares	AquinTerra Inc.	4, 5	2020-12-14	90	0.12	600,000	600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2003-06-09	00			
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2010-12-31	50			600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2010-12-31	50			600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2020-12-14	50			600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2020-12-14	50			600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	AquinTerra Inc.	4, 5	2020-12-14	50		250,000	250,000
Laurion Mineral Exploration Inc.	Options	Burmi, Harminder	4	2020-12-14	50		650,000	250,000
Laurion Mineral Exploration Inc.	Options	Covello, Jonathan Grey	4	2020-12-14	50		1,109,043	250,000
Laurion Mineral Exploration Inc.	Options	Covello, Jonathan Grey	4	2020-12-14	50		1,185,880	76,837
Laurion Mineral Exploration Inc.	Options	Ierfino, Nick	4	2020-12-14	50		500,000	250,000
Laurion Mineral Exploration Inc.	Options	Ierfino, Nick	4	2020-12-14	50		576,837	76,837
Laurion Mineral Exploration Inc.	Common Shares	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51	0.12	5,908,218	600,000
Laurion Mineral Exploration Inc.	Common Shares	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	90	0.12	5,308,218	-600,000
Laurion Mineral Exploration Inc.	Common Shares	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51	0.12		600,000
Laurion Mineral Exploration Inc.	Common Shares	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51	0.12		600,000
Laurion Mineral Exploration Inc.	Common Shares	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	90	0.12	9,633,088	600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2010-12-31	50	0.12		600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2010-12-31	50		1,630,000	600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	50			250,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	50			250,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51		2,150,000	-600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2003-06-09	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2010-12-31	50	0.12		600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2010-12-31	50	0.12		600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	50			250,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	50			250,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	50		250,000	250,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	Le Sueur - Aquin, Cynthia Elaine	4, 5	2020-12-14	51			-600,000
Laurion Mineral Exploration Inc.	Options	NAGAMATSU, MILES	5	2020-12-07	50	0.23	500,000	250,000
LE CHATEAU INC.	Multiple Voting Shares Class B shares	gruman, molly	3	2020-12-04	10	0.02		-10,680
LE CHATEAU INC.	Multiple Voting Shares Class B shares	gruman, molly	3	2020-12-04	10	0.02	3,371,000	-534,000
LE CHATEAU INC.	Multiple Voting Shares Class B shares	gruman, molly	3	2020-12-09	10	0.02		-7,500
LE CHATEAU INC.	Multiple Voting Shares Class B shares	gruman, molly	3	2020-12-09	10	0.02	2,996,000	-375,000
LE CHATEAU INC.	Options	Kaback, Ronna	5	2020-12-17	52	0.31	20,000	-25,000
LE CHATEAU INC.	Options	Volpe, Paolo	5	2020-12-17	52	0.31	20,000	-25,000
Leon's Furniture Limited	Common Shares	Cooney, John Andrew	5	2020-12-16	16	20.06	6,445	-1,500
Leon's Furniture Limited	Common Shares	Cooney, John Andrew	5	2020-12-16	10	20.11	4,445	-2,000
Leon's Furniture Limited	Common Shares	Freeman, David Brian	5	2020-12-07	10	20.139	0	-4,902
LeoNovus Inc.	Options	Archambault, Denis	4	2020-12-13	50		497,540	98,040
Leucrotta Exploration Inc.	Special Warrants Performance Warrants	Trudeau, Terry	5	2020-08-16	54	1.7		-1,150,000
Leucrotta Exploration Inc.	Special Warrants Performance Warrants	Trudeau, Terry	5	2020-08-16	55	1.7	0	-1,150,000
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Geisler, Mitchell	3, 4, 6, 5	2020-12-07	00		5,114,062	
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Landau, Robert	4, 6, 5	2020-12-07	00		5,114,062	
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	MEDD Medical Imaging Corp.	3	2020-12-07	00		13,757,987	
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Newman, G. Michael	4	2020-12-01	00			
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Newman, G. Michael	4	2020-12-15	10	0.4	5,000	5,000
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Stevens, Jeff	4	2020-12-14	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Stevens, Jeff	4	2020-12-14	00			
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Stevens, Jeff	4	2020-12-14	00			
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Stevens, Jeff	4	2020-12-14	10	0.4	100,000	100,000
Libero Copper & Gold Corporation (Formerly Libero Copper Corporation)	Options	McCall, Judy A.	5	2020-12-17	50	0.07	600,000	300,000
Libero Copper & Gold Corporation (Formerly Libero Copper Corporation)	Options	Slater, Ian	4, 5	2020-12-17	50	0.07	3,625,000	1,000,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	2020-12-14	51	0.52	6,229,500	100,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	2020-12-15	51	1.6	6,429,500	200,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Everett, Calvin Clovis	5	2020-12-14	51	0.52	2,850,000	-100,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Everett, Calvin Clovis	5	2020-12-15	51	0.52	2,650,000	-200,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Shabestari, Peter	5	2020-12-08	50	1.66	1,188,750	150,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Shabestari, Peter	5	2020-12-08	56	1.66	1,271,270	82,520
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Smith, Moira Tracey	5	2020-12-08	50	1.66	2,160,000	200,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Smith, Moira Tracey	5	2020-12-08	30	1.66	2,273,265	113,265
Liberty One Lithium Corp.	Options	Steinke, Nathan	5	2020-12-14	37		100,000	-900,000
Lightspeed POS Inc.	Options	Brouillette, Manon	4	2020-12-11	50	75.88	1,458	1,458
Lightspeed POS Inc.	Options	Chauvet, Jean Paul	4, 5	2020-12-14	51	2.96	1,042,038	-18,400
Lightspeed POS Inc.	Options	Chauvet, Jean Paul	4, 5	2020-12-14	51	4.72	900,438	-141,600
Lightspeed POS Inc.	Subordinate Voting Shares	Chauvet, Jean Paul	4, 5	2020-12-14	51	2.96	19,770	18,400
Lightspeed POS Inc.	Subordinate Voting Shares	Chauvet, Jean Paul	4, 5	2020-12-14	10	71.91	1,370	-18,400
Lightspeed POS Inc.	Subordinate Voting Shares	Chauvet, Jean Paul	4, 5	2020-12-14	51	4.72	142,970	141,600
Lightspeed POS Inc.	Subordinate Voting Shares	Chauvet, Jean Paul	4, 5	2020-12-14	10	71.91	1,370	-141,600
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2020-12-04	10	77.119		-14,167
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2020-12-04	10	77.219	14,539	-14,167
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2020-12-04	10	77.119		-1,307
Lightspeed POS Inc.	Subordinate Voting Shares	Saint-Martin, Jean-David	5	2020-12-04	10	76.046	14,539	-1,307

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Lightspeed POS Inc.	Options	Texier, Jean-Michel	5	2020-12-17	51	41.01	428,784	-53,750
Lightspeed POS Inc.	Subordinate Voting Shares	Texier, Jean-Michel	5	2019-08-19	00			
Lightspeed POS Inc.	Subordinate Voting Shares	Texier, Jean-Michel	5	2020-12-17	51	41.01	53,750	53,750
Lightspeed POS Inc.	Subordinate Voting Shares	Texier, Jean-Michel	5	2020-12-17	10	74.017	0	-53,750
Linamar Corporation	Common Shares	Bennett, Ronald Dale	4	2017-10-03	10	14.7	4,225	2,400
Linamar Corporation	Common Shares	Bennett, Ronald Dale	4	2020-12-17	10	69.5		-2,492
Linamar Corporation	Common Shares	Bennett, Ronald Dale	4	2020-12-17	10	69.5	2,333	-2,392
Linamar Corporation	Common Shares	Fulton, Roger	5	2020-12-16	10	67.909	7,966	435
Linamar Corporation	Common Shares	HASENFRATZ, LINDA	4, 5	2020-12-14	10	67.82	200,000	50,000
Linamar Corporation	Common Shares	McDougall, Kenneth	5	2020-12-14	10	67.54	2,169	-3,769
Linamar Corporation	Common Shares	Schneider, Dale	5	2020-12-16	10	67.909	20,008	589
Linamar Corporation	Common Shares	STODDART, MARK	4, 5	2020-12-16	10	67.909	11,458	333
Lions Bay Capital Inc.	Common Shares	Byrne, John Joseph	3, 4, 5	2017-11-14	00			
Lions Bay Capital Inc.	Common Shares	Byrne, John Joseph	3, 4, 5	2017-11-14	00		400,000	
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47			-77
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47		18,061	-17
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47			-77
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-02	47			-154
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-03	47		17,984	-77
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-04	47		17,830	-154
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-16	47		17,770	-60
Loblaw Companies Limited	Common Shares	Clark, Christie James Beckett	4	2020-12-16	47		17,155	-615
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-12-14	38	65.2	473,476	-162,877
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-12-15	38	65.14	310,598	-162,878
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-12-16	38	65.41	147,721	-162,877
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		0	-2,500,000
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		0	-340,661
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		2,500,000	2,500,000
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		2,928,547	428,547
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		3,269,208	340,661
Loblaw Companies Limited	Common Shares	Weston, W. Galen	3	2020-12-10	90		0	-428,547
Loon Energy Corporation	Common Shares	Rose, Paul Herbert	5	2020-12-08	11	0.05	819,280	554,280
Loop Insights Inc.	Common Shares	Abdiye, Abbey	5	2019-06-12	00			
Loop Insights Inc.	Common Shares	Abdiye, Abbey	5	2020-12-04	51		75,000	75,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Loop Insights Inc.	Common Shares	Abdiye, Abbey	5	2020-12-04	10		0	-75,000
Loop Insights Inc.	Common Shares	Abdiye, Abbey	5	2020-12-04	51		200,000	200,000
Loop Insights Inc.	Common Shares	Abdiye, Abbey	5	2020-12-04	10		0	-200,000
Loop Insights Inc.	Options	Abdiye, Abbey	5	2020-07-20	50		475,000	75,000
Loop Insights Inc.	Options	Abdiye, Abbey	5	2020-12-04	51		400,000	-75,000
Loop Insights Inc.	Options	Abdiye, Abbey	5	2020-12-04	51		200,000	-200,000
Loop Insights Inc.	Common Shares	Lotz, Mark	5	2020-12-14	00			
Loop Insights Inc.	Options	Lotz, Mark	5	2020-12-14	00			
Lundin Mining Corporation	Common Shares	Laurenson, Annie	5	2020-12-17	10	8.34	8,000	8,000
Lundin Mining Corporation	Common Shares	Laurenson, Annie	5	2020-12-17	10	10.308	0	-8,000
Lundin Mining Corporation	Options	Laurenson, Annie	5	2020-12-17	51	8.34	43,000	-8,000
Lundin Mining Corporation	Common Shares	Schauman, Mikael	5	2020-12-17	10	4.32	214,000	132,000
Lundin Mining Corporation	Common Shares	Schauman, Mikael	5	2020-12-17	10	10.35	82,000	-132,000
Lundin Mining Corporation	Options	Schauman, Mikael	5	2020-12-17	51	4.32	460,990	-132,000
Lupaka Gold Corp.	Options	Ellis, Gordon Lloyd	4, 5	2020-12-11	50	0.05	2,250,000	300,000
Lupaka Gold Corp.	Options	Keevil III, Norman	4	2020-12-11	50	0.05	1,010,000	200,000
Lupaka Gold Corp.	Options	Pareja, Lucio D	4	2020-12-11	50	0.05	680,000	200,000
Lupaka Gold Corp.	Options	Stifano, Mario	4	2020-12-11	50	0.05	450,000	200,000
Luxxfolio Holdings Inc.	Options	Byron, Michael	4	2019-03-21	00			
Luxxfolio Holdings Inc.	Options	Byron, Michael	4	2020-12-16	50	0.075	100,000	100,000
Luxxfolio Holdings Inc.	Options	Farquhar, Bradley Douglas	4	2020-11-24	00			
Luxxfolio Holdings Inc.	Options	Farquhar, Bradley Douglas	4	2020-12-16	50	0.075	100,000	100,000
Luxxfolio Holdings Inc.	Options	Klatik, Kelly	4	2019-03-21	00			
Luxxfolio Holdings Inc.	Options	Klatik, Kelly	4	2020-12-16	50	0.075	75,000	75,000
Luxxfolio Holdings Inc.	Options	Linden, Dean	5	2019-03-21	00			
Luxxfolio Holdings Inc.	Options	Linden, Dean	5	2020-12-16	50	0.075	100,000	100,000
Luxxfolio Holdings Inc.	Options	McCord, Geoffrey Keith	5	2019-03-21	00			
Luxxfolio Holdings Inc.	Options	McCord, Geoffrey Keith	5	2020-12-16	50	0.075	125,000	125,000
Luxxfolio Holdings Inc.	Options	Wong, David Anthony	4	2019-03-21	00			
Luxxfolio Holdings Inc.	Options	Wong, David Anthony	4	2020-12-16	50		125,000	125,000
Magna International Inc.	Common Shares	Kotagiri, Seetarama Swamy	5	2020-12-15	38	62.22	74,662	6,418
Magna International Inc.	Rights Restricted Stock Units	Kotagiri, Seetarama Swamy	5	2020-12-15	38	62.22	70,850	-5,511
Magna International Inc.	Rights Restricted Stock Units	Kotagiri, Seetarama Swamy	5	2020-12-15	38	62.22	64,432	-6,418
Magna International Inc.	Common Shares	Magna International Inc.	1	2020-12-15	38	79.44	7,018	-31,925
Magna International Inc.	Common Shares	Magna International Inc.	1	2020-12-15	38	62.22	100	-6,418
Magna International Inc.	Rights Restricted Stock Units (Cash)	McCarthy, Aaron David	5	2020-12-15	38	80.05	855	-766
Magna International Inc.	Common Shares	Seguin, Francis	5	2020-12-15	38	79.44	84,058	7,241
Magna International Inc.	Rights Restricted Stock Units	Seguin, Francis	5	2020-12-15	38	79.44	22,127	-8,340
Magna International Inc.	Rights Restricted Stock Units	Seguin, Francis	5	2020-12-15	38	79.44	14,886	-7,241

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Magna International Inc.	Common Shares	Skudutis, Tommy Joseph	7, 5	2020-12-15	38	79.44	24,684	24,684
Magna International Inc.	Rights Restricted Stock Units	Skudutis, Tommy Joseph	7, 5	2020-12-15	38	79.44	24,684	-28,433
Magna International Inc.	Rights Restricted Stock Units	Skudutis, Tommy Joseph	7, 5	2020-12-15	38	79.44	0	-24,684
Magna International Inc.	Common Shares	Tobin, Sr., James Joseph	5	2020-12-10	47		48,331	-4,727
Magna International Inc.	Rights Restricted Stock Units (Cash)	Wilds, Eric Jon Wilds	5	2020-12-15	35		6,281	234
Magna International Inc.	Rights Restricted Stock Units (Cash)	Wilds, Eric Jon Wilds	5	2020-12-15	38	61.95	4,364	-1,917
MANSA EXPLORATION INC.	Common Shares	Cheung, Ryan	5	2019-09-04	00			
MANSA EXPLORATION INC.	Options	Cheung, Ryan	5	2019-09-04	00			
MANSA EXPLORATION INC.	Common Shares	Trimble, Jordan	3	2020-10-30	00		1,400,000	
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Cloherly, Eileen	7	2020-12-15	59	23.1	1,830	-2,015
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Collins, Brian	7	2020-12-15	59	23.1	6,019	-6,331
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Doughty, Michael James	7, 5	2020-12-15	59	23.1	13,980	-12,774
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Finch, Steve	5	2020-12-15	59	23.1	44,626	-36,264
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Gallagher, James D.	5	2020-12-15	59	23.1	8,209	-17,125
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Gori, Rocco	4, 5	2020-12-15	59	23.1	64,310	-59,865
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Harrison, Marianne	7, 5	2020-12-15	59	23.1	29,875	-29,932
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Hartz, Scott	5	2020-12-15	59	23.1	16,759	-27,198
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Hirji, Rahim	5	2020-12-15	59	23.1	30,390	-31,937
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Irshad, Naveed	5	2020-12-15	59	23.1	8,508	-12,774
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Kalita von dem Hagen, Halina	5	2020-12-15	59	23.1	11,037	-7,585
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Lorentz, Paul	5	2020-12-15	59	23.1	15,988	-27,944
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Pariath, Sebastian	7	2020-12-15	59	23.1	9,020	-9,670
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Sheerin, Martin Ignatius	7	2020-12-15	59	23.1	8,593	-9,152
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Springer-Haynes, Renee	7	2020-12-15	59	23.1	1,724	-1,727
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Tingle, Brooks	7	2020-12-15	59	23.1	13,486	-10,706
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Vendittelli, Simonetta	7	2020-12-15	59	23.1	6,566	-7,482
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Wadhvani, Anil	7, 5	2020-12-15	59	23.1	23,092	-20,723
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Witherington, Philip James	7, 5	2020-12-15	59	23.1	19,190	-18,250

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Wong, Henry	7	2020-12-15	59	23.1	7,756	-7,770
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Yeo, Steven Hui Chin	7	2020-12-15	59	23.1	6,587	-6,623
Marret High Yield Strategies Fund	Trust Units Class A units	Stratton, Neil	3	2020-12-11	10	0.06	5,515,600	37,000
Martello Technologies Group Inc.	Common Shares	Leboyer, Antoine Rene Frederic	4	2020-11-17	00		2,553,041	
Martello Technologies Group Inc.	Options	Leboyer, Antoine Rene Frederic	4	2020-11-17	00			
Martello Technologies Group Inc.	Options	Leboyer, Antoine Rene Frederic	4	2020-11-20	50		104,000	104,000
Martinrea International Inc.	Performance Share Units	Cirulis, Peter	5	2020-12-15	58 - Expiration of rights		19,563	-10,437
Martinrea International Inc.	Restricted Share Units	Cirulis, Peter	5	2020-12-15	58 - Expiration of rights		19,563	-10,437
Martinrea International Inc.	Performance Share Units	D'Eramo, Frank Patrick	4	2020-12-15	58 - Expiration of rights		94,503	-49,891
Martinrea International Inc.	Restricted Share Units	D'Eramo, Frank Patrick	4	2020-12-15	58 - Expiration of rights		94,503	-49,891
Martinrea International Inc.	Performance Share Units	Di Tosto, Alfred	5	2020-12-15	58 - Expiration of rights		18,676	-10,271
Martinrea International Inc.	Restricted Share Units	Di Tosto, Alfred	5	2020-12-15	58 - Expiration of rights		18,676	-10,271
Martinrea International Inc.	Performance Share Units	Fairchild, Robert	5	2020-12-15	58 - Expiration of rights		3,347	-3,653
Martinrea International Inc.	Restricted Share Units	Fairchild, Robert	5	2020-12-15	58 - Expiration of rights		3,347	-3,653

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Martinrea International Inc.	Performance Share Units	Hunter Lulgjuraj, Megan Rae	5	2020-12-15	58 - Expiration of rights		7,232	-5,918
Martinrea International Inc.	Restricted Share Units	Hunter Lulgjuraj, Megan Rae	5	2020-12-15	58 - Expiration of rights		7,232	-5,918
Martinrea International Inc.	Performance Share Units	Iyer, Ganesh Koduvayur Venkatasubramanian Kesavan	5	2020-12-15	58 - Expiration of rights		2,391	-2,609
Martinrea International Inc.	Restricted Share Units	Iyer, Ganesh Koduvayur Venkatasubramanian Kesavan	5	2020-12-15	58 - Expiration of rights		2,391	-2,609
Martinrea International Inc.	Performance Share Units	Johnson, Bruce Norman	5	2020-12-15	58 - Expiration of rights		891	-2,613
Martinrea International Inc.	Restricted Share Units	Johnson, Bruce Norman	5	2020-12-15	58 - Expiration of rights		891	-2,613
Martinrea International Inc.	Performance Share Units	Leal, Michael Allen	5	2020-12-15	58 - Expiration of rights		2,478	-522
Martinrea International Inc.	Restricted Share Units	Leal, Michael Allen	5	2020-12-15	58 - Expiration of rights		2,478	-522
Martinrea International Inc.	Common Shares	Morsy, Hany	5	2020-12-14	10	14.95	29,000	1,000
Martinrea International Inc.	Performance Share Units	Morsy, Hany	5	2020-12-15	58 - Expiration of rights		478	-522
Martinrea International Inc.	Restricted Share Units	Morsy, Hany	5	2020-12-15	58 - Expiration of rights		478	-522

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Martinrea International Inc.	Performance Share Units	Pagliari, Armando	5	2020-12-15	58 - Expiration of rights		8,279	-3,651
Martinrea International Inc.	Restricted Share Units	Pagliari, Armando	5	2020-12-15	58 - Expiration of rights		8,279	-3,651
Martinrea International Inc.	Performance Share Units	Paine, Lawrence Arthur	5	2020-12-15	58 - Expiration of rights		4,770	-2,176
Martinrea International Inc.	Restricted Share Units	Paine, Lawrence Arthur	5	2020-12-15	58 - Expiration of rights		4,770	-2,176
Martinrea International Inc.	Performance Share Units	Pope, Kerri Lynn	5	2020-12-15	58 - Expiration of rights		10,207	-5,918
Martinrea International Inc.	Restricted Share Units	Pope, Kerri Lynn	5	2020-12-15	58 - Expiration of rights		10,207	-5,918
Martinrea International Inc.	Performance Share Units	Wildeboer, Robert Peter Edward	4, 5	2020-12-15	58 - Expiration of rights		94,503	-49,891
Martinrea International Inc.	Restricted Share Units	Wildeboer, Robert Peter Edward	4, 5	2020-12-15	58 - Expiration of rights		94,503	-49,891
Mason Graphite Inc.	Options	L'Heureux, Jean	5	2020-12-17	52	0.6	875,000	-300,000
Mason Graphite Inc.	Options	L'Heureux, Jean	5	2020-12-17	52	0.6	675,000	-200,000
Mason Graphite Inc.	Options	L'Heureux, Jean	5	2020-12-17	52	0.38	550,000	-125,000
Mason Graphite Inc.	Options	L'Heureux, Jean	5	2020-12-17	52	0.61	450,000	-100,000
Maverix Metals Inc.	Common Shares	McIntyre, Ryan Thomas	5	2020-12-17	10	5.15	50,000	20,000
Maverix Metals Inc.	Common Shares	O'Flaherty, Daniel	5	2020-12-15	10	6.25	3,200,517	20,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-05	10	0.43	269,000	-3,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-16	10	0.47		-10,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-10-16	10	0.47	244,000	-15,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-11-04	10	0.4	208,000	-2,000
Mawson Gold Limited	Common Shares	Ahola, Noora	4	2020-11-06	10	0.44	191,000	-4,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2020-12-16	10	0.09	1,088,000	1,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-11	38	6.0229	700	700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-11	38		0	-700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-15	38	6.0539	3,100	3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-12-15	38		0	-3,100
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-12-14	10	0.05		60,000
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-12-14	10	0.05		60,000
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-12-14	10	0.05		60,000
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-12-14	10	0.05	820,000	60,000
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-12-15	10	0.05		60,000
MEG Energy Corp.	Deferred Share Units	Billing, Grant Donald	4	2020-12-15	56	4.44	72,872	5,856
MEG Energy Corp.	Deferred Share Units	Billing, Grant Donald	4	2020-12-15	56	4.44	76,157	3,285
MEG Energy Corp.	Deferred Share Units	Bruce, Ian	4	2020-12-15	56	4.44	35,625	3,379
MEG Energy Corp.	Deferred Share Units	Fairburn, Judy	4	2020-12-15	56	4.44	31,868	2,928
MEG Energy Corp.	Deferred Share Units	Hodgins, Robert Bruce	4	2020-12-15	56	4.44	70,021	2,928
MEG Energy Corp.	Deferred Share Units	KLESSE, William Robert	4	2020-12-15	56	4.44	64,194	2,928
MEG Energy Corp.	Deferred Share Units	MacKenzie, Susan Mary	4	2020-12-15	56	4.44	24,966	5,856
MEG Energy Corp.	Deferred Share Units	McCaig, Jeffrey James	4	2020-12-15	56	4.44	157,246	2,928
MEG Energy Corp.	Deferred Share Units	McCaig, Jeffrey James	4	2020-12-15	56	4.44	160,531	3,285
MEG Energy Corp.	Deferred Share Units	McFarland, James D.	4	2020-12-15	56	4.44	108,636	5,856
MEG Energy Corp.	Deferred Share Units	McQUEEN, Diana Janet	4	2020-12-15	56	4.44	96,631	5,856
Melcor Developments Ltd.	Rights RSU	Brown, Robert	5	2020-12-15	56	7.48	12,850	8,700
Melcor Developments Ltd.	Rights RSU	Eggert, Daniel	5	2020-12-15	56	7.48	12,850	8,700
Melcor Developments Ltd.	Rights RSU	Melton, Graeme	5	2020-12-15	56	7.48	12,850	8,700
Melcor Developments Ltd.	Rights RSU	Melton, Timothy Charles	3, 4, 5	2020-12-15	56	7.48	28,200	19,000
Melcor Developments Ltd.	Rights RSU	Monson, Susan	5	2020-12-15	56	7.48	12,850	8,700
Melcor Developments Ltd.	Rights RSU	Pelletier, Guy	5	2020-12-15	56	7.48	12,850	8,700
Melcor Developments Ltd.	Rights RSU	Rayburn, Darin Anthony	5	2020-12-15	56	7.48	44,000	30,000
Melcor Developments Ltd.	Rights RSU	Stefura, Naomi Marie	5	2020-12-15	56	7.48	31,700	22,000
Mene Inc.	Class B subordinate voting shares	Chiabra, Tommaso	4	2020-12-14	10	0.7	950,000	-50,000
Metals Creek Resources Corp.	Common Shares	Reid, Newman Wayne	4, 5	2020-12-17	16	0.06	188,949	100,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Metals Creek Resources Corp.	Warrants	Reid, Newman Wayne	4, 5	2020-12-17	16	0.1	50,000	50,000
Metals Creek Resources Corp.	Common Shares	Stares, Alexander	4	2020-12-17	16	0.05	711,306	200,000
Metals Creek Resources Corp.	Warrants	Stares, Alexander	4	2020-12-17	16	0.1	350,000	200,000
Metals Creek Resources Corp.	Common Shares	Stares, Michael	4	2020-12-17	16	0.05	1,238,000	200,000
Metals Creek Resources Corp.	Warrants	Stares, Michael	4	2008-01-28	00			
Metals Creek Resources Corp.	Warrants	Stares, Michael	4	2020-12-17	16	0.1	200,000	200,000
Methanex Corporation	Common Shares	Boon, Sarah	5	2020-12-15	10	55.12	2,781	-2,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-12-14	90	42.655	2,794,412	87,739
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-12-14	90	42.655	4,398,642	280,261
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-12-14	90	42.655	6,153,493	-368,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-12-14	10	0.115	494,000	-12,500
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-12-15	10	0.115	484,000	-10,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Bhushan, Bharat	4	2020-12-16	10	0.105	481,500	-2,500
Midas Gold Corp.	Common Shares	Robison, Christopher James	4	2020-12-03	00		100,000	
Middlefield Can-Global REIT Income Fund	Trust Units	Middlefield Can-Global REIT Income Fund	1	2020-12-15	38	9.7	5,334,041	300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-11	38	8.8532	949,700	1,900
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-14	38	8.87	950,800	1,100
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-12-15	38	8.878	952,300	1,500
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-15	10	2.8	1,073,420	-24,700
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-16	10	2.8	1,048,120	-25,300
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Options incentive stock options	Rahn, Jamon Alexander	4, 5	2020-12-16	51		3,750,000	-1,250,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2020-12-15	10	4.4	9,095,000	-1,000,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2020-12-16	51	0.33	10,345,000	1,250,000
Minfocus Exploration Corp.	Options	Manns, Francis Tucker	3	2018-02-07	50	0.08	342,857	42,857
Minfocus Exploration Corp.	Options	Manns, Francis Tucker	3	2020-09-10	50	0.07		107,143

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Minifocus Exploration Corp.	Options	Manns, Francis Tucker	3	2020-09-10	50	0.07		107,143
Minifocus Exploration Corp.	Options	Manns, Francis Tucker	3	2020-09-11	50	0.07	450,000	107,143
Minifocus Exploration Corp.	Warrants	Manns, Francis Tucker	3	2018-09-20	00			
Minifocus Exploration Corp.	Warrants	Manns, Francis Tucker	3	2018-09-20	00			
Minifocus Exploration Corp.	Common Shares	Milne, Alicia	4	2020-12-14	10	0.075	69,000	4,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-12-11	38	5.195	71,805,651	400
Minto Apartment Real Estate Investment Trust	Deferred Units	Morin, Julie	5	2020-12-14	56		21,330	4,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Moss, John Edward	5	2020-12-14	56		12,500	2,500
Montero Mining and Exploration Ltd.	Common Shares	des Rivieres, Jean	4	2020-10-23	00			
Montero Mining and Exploration Ltd.	Common Shares	des Rivieres, Jean	4	2020-12-11	16	0.15	170,000	170,000
Montero Mining and Exploration Ltd.	Warrants	des Rivieres, Jean	4	2020-10-23	00			
Montero Mining and Exploration Ltd.	Warrants	des Rivieres, Jean	4	2020-12-11	16		85,000	85,000
Montero Mining and Exploration Ltd.	Common Shares	levy, Jamie	4	2020-12-11	16	0.15	918,500	400,000
Montero Mining and Exploration Ltd.	Warrants	levy, Jamie	4	2018-05-15	00			
Montero Mining and Exploration Ltd.	Warrants	levy, Jamie	4	2020-12-11	16		200,000	200,000
Montero Mining and Exploration Ltd.	Warrants	levy, Jamie	4	2019-10-27	55		0	-200,000
Morguard Corporation	Common Shares	King, David	4	2020-12-17	10	115	73,956	-300
Morguard Real Estate Investment Trust	Units	Morguard Corporation	3	2020-12-15	30	5.5621	12,886,689	276,724
Mullen Group Ltd.	Common Shares	Mullen, Murray Kenneth	4, 5	2009-05-01	00			
Namaste Technologies Inc.	Options	wilczynski, andrew	4	2019-05-24	00			
Namaste Technologies Inc.	Options	wilczynski, andrew	4	2019-05-24	00			
Namaste Technologies Inc.	Options	wilczynski, andrew	4	2019-05-24	00			
Namaste Technologies Inc.	Options	wilczynski, andrew	4	2020-11-02	50	0.34	200,000	200,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2020-12-16	50		2,170,000	350,000
Nanotech Security Corp.	Rights Deferred Share Units	Bullock, Gordon Troy	4, 5	2020-12-16	56		169,915	80,995
Nanotech Security Corp.	Options	Donnelly, Brian	5	2020-12-16	50		625,000	150,000
Nanotech Security Corp.	Rights Deferred Share Units	Donnelly, Brian	5	2020-12-16	56		16,596	10,743
Nanotech Security Corp.	Rights Deferred Share Units	Green, Andrew Richard	5	2020-05-25	00			
Nanotech Security Corp.	Rights Deferred Share Units	Green, Andrew Richard	5	2020-12-16	56		4,500	4,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Nanotech Security Corp.	Options	LeRoux, Iginatius Johannes	5	2020-12-16	50	0.48	850,000	50,000
Nanotech Security Corp.	Rights Deferred Share Units	LeRoux, Iginatius Johannes	5	2020-12-16	56		77,079	10,000
Nanotech Security Corp.	Options	Russell, Monika	5	2020-12-16	50		525,000	150,000
Nanotech Security Corp.	Rights Deferred Share Units	Russell, Monika	5	2020-12-16	56		21,189	11,750
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-14	10	0.06	2,911,000	-90,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.07	2,861,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.075	2,811,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.08	2,761,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.085	2,711,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.09	2,661,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.1	2,611,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.105	2,561,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.11	2,511,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.11	2,461,000	-50,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.11	2,452,000	-9,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-15	10	0.09	2,484,000	32,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2020-12-16	10	0.11	2,443,000	-41,000
NeonMind Biosciences Inc.	Common Shares	Better Plant Sciences Inc.	3	2020-12-09	00		28,001,000	
NeonMind Biosciences Inc.	Common Shares	Better Plant Sciences Inc.	3	2020-12-09	00		5,312,500	
NeonMind Biosciences Inc.	Warrants	Better Plant Sciences Inc.	3	2020-12-09	00		55,000,000	
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-09	00		50,000	
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2020-12-09	00		1,000,000	
NeonMind Biosciences Inc.	Warrants	HUANG, YU CAI	6	2020-12-09	00		50,000	
NeonMind Biosciences Inc.	Common Shares	Panenka, William	3	2020-12-09	00		4,000,000	
NeonMind Biosciences Inc.	Common Shares	Panenka, William	3	2020-12-09	00		8,000,000	
NeonMind Biosciences Inc.	Options	Panenka, William	3	2020-12-09	00		800,000	
NeonMind Biosciences Inc.	Warrants	Panenka, William	3	2020-12-09	00		4,000,000	
NeonMind Biosciences Inc.	Warrants	Panenka, William	3	2020-12-09	00		12,000,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NeonMind Biosciences Inc.	Restricted Share Unit	RICHARDSON, KAREN FAITH	4	2020-12-09	00		1,000,000	
NeonMind Biosciences Inc.	Restricted Share Unit	Smith, Jeffrey Brian	6	2020-12-09	00		5,000,000	
NeonMind Biosciences Inc.	Common Shares	White, Penny Olga	4, 5	2020-12-09	00		6,400,000	
NeonMind Biosciences Inc.	Options	White, Penny Olga	4, 5	2020-12-09	00		3,000,000	
NeonMind Biosciences Inc.	Restricted Share Unit	White, Penny Olga	4, 5	2020-12-09	00		1,000,000	
NeonMind Biosciences Inc.	Warrants	White, Penny Olga	4, 5	2020-12-09	00		1,400,000	
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Options	Cammarata, Michael Taylor	4	2020-12-16	50	1.59	10,848,261	1,648,261
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Restricted Share Units	Cammarata, Michael Taylor	4	2020-12-16	56	1.59	3,191,157	1,713,383
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Common Shares	Moretz, John Morris	4	2020-12-16	47		3,797,044	681,818
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Common Shares	Moretz, John Morris	4	2020-12-17	47		3,115,226	-681,818
Nerds On Site Inc.	Subordinate Voting Shares	Regan, Charles Donald	4, 5	2020-12-14	10	0.045	681,124	55,000
New Millennium Iron Corp.	Common Shares	Tata Steel Global Minerals Holdings Pte Ltd	3	2020-12-11	11		0	-47,169,226
Newcore Gold Ltd.	Common Shares	Forster, Douglas Burton	3, 4	2020-12-16	10	0.65	6,870,375	20,000
Newcore Gold Ltd.	Common Shares	Karwowska, Malgorzata	5	2020-12-16	10	0.65	65,575	10,000
Newcore Gold Ltd.	Common Shares	Karwowska, Malgorzata	5	2020-12-16	10	0.64	73,375	7,800
Newcore Gold Ltd.	Common Shares	Karwowska, Malgorzata	5	2020-12-17	10	0.68	80,875	7,500
Newscope Capital Corporation	Common Shares	Chianelli, Fabio	4, 5	2020-12-16	10	0.39	15,275,000	25,000
NexGen Energy Ltd.	Options	Curyer, Leigh Robert	4, 5	2020-12-11	50	3.24	11,150,000	2,000,000
NexGen Energy Ltd.	Options	George, Anthony Paul	5	2020-12-11	50	3.24	600,000	100,000
NexGen Energy Ltd.	Options	Gilman, Warren Philip	4	2020-12-11	50	3.24	1,700,000	250,000
NexGen Energy Ltd.	Options	Howlett, Karri Lynn	4	2020-12-11	50	3.24	1,450,000	250,000
NexGen Energy Ltd.	Options	McFadden, Christopher Walter	4	2020-12-11	50	3.24	2,200,000	250,000
NexGen Energy Ltd.	Options	Patricio, Richard J	4, 6	2020-12-11	50	3.24	2,350,000	250,000
NexGen Energy Ltd.	Options	Thiele, Trevor John	4	2020-12-11	50	3.24	2,350,000	250,000
NexGen Energy Ltd.	Options	Veenman, Sybil Elsa	4	2020-12-11	50	3.24	1,450,000	250,000
NexGen Energy Ltd.	Options	Wall, Bradley John	4	2020-12-11	50	3.24	1,450,000	250,000
NexJ Health Holdings Inc.	Common Shares	Alvarez, Richard	4	2016-01-25	00			
NexJ Health Holdings Inc.	Common Shares	Alvarez, Richard	4	2020-12-11	36	0.25		200,000
NexJ Health Holdings Inc.	Common Shares	Alvarez, Richard	4	2020-12-11	16	0.25	200,000	200,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
NexJ Health Holdings Inc.	Common Shares	Singer, Errol Charles	5	2020-12-11	36	0.25		480,000
NexJ Health Holdings Inc.	Common Shares	Singer, Errol Charles	5	2020-12-11	16	0.25	1,447,645	480,000
NexJ Health Holdings Inc.	Common Shares	Tatham, William Murray	3, 4, 5	2020-12-11	36	0.25		6,660,000
NexJ Health Holdings Inc.	Common Shares	Tatham, William Murray	3, 4, 5	2020-12-11	16	0.25	23,653,497	6,660,000
Next Green Wave Holdings Inc.	Options	Jewell, Matthew	5	2020-12-17	50	0.35	2,250,000	1,000,000
Next Green Wave Holdings Inc.	Common Shares	Kovacs, Benjamin S	4	2020-12-03	00		3,466,250	
Nexus Gold Corp.	Warrants	Robb, Warren	4	2019-02-23	55	1.2	0	-10,417
Nexus Gold Corp.	Warrants	SANDSTORM GOLD LTD.	3	2019-05-25	55		0	-3,000,000
Nickel Creek Platinum Corp.	Options	Harshaw, Stuart	4, 5	2020-10-19	00			
Nickel Creek Platinum Corp.	Options	Harshaw, Stuart	4, 5	2020-12-14	50	0.16	1,000,000	1,000,000
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Harshaw, Stuart	4, 5	2020-10-19	00			
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Harshaw, Stuart	4, 5	2020-12-14	56		2,000,000	2,000,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-12-14	10	1.22	9,873,442	8,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-12-16	10	1.3	9,874,042	600
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-12-17	10	1.3	9,874,842	800
NioCorp Developments Ltd.	Options	Ashburn, Jr., John F	5	2020-12-15	50	0.75	1,275,000	250,000
NioCorp Developments Ltd.	Options	Honan, Scott	5	2020-12-14	50	0.75	1,800,000	250,000
NioCorp Developments Ltd.	Options	Klamas, Fernanda Reda Fenga Viana	4	2020-12-11	00			
NioCorp Developments Ltd.	Options	Klamas, Fernanda Reda Fenga Viana	4	2020-12-16	50	0.75	500,000	500,000
NioCorp Developments Ltd.	Options	Shah, Neal	5	2020-12-15	50	0.75	1,500,000	250,000
NioCorp Developments Ltd.	Options	Sims, James	5	2020-12-15	50	0.75		250,000
NioCorp Developments Ltd.	Options	Sims, James	5	2020-12-15	50	0.75	1,475,000	250,000
NioCorp Developments Ltd.	Options	Smith, Mark	4, 5	2020-12-15	50	0.75	3,400,000	500,000
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2020-12-15	10	1.05	6,463,060	1,000
Nomad Royalty Company Ltd.	Common Shares	de la Plante, Joseph	4, 5	2020-12-17	10	1.0212	6,467,060	4,000
Nomad Royalty Company Ltd.	Common Shares	Metcalfe, Vincent	4, 5	2020-12-17	10	1.03	6,524,010	25,000
Nomad Royalty Company Ltd.	Common Shares	Yamana Gold Inc.	3	2020-12-11	15	1.1	43,750,000	-22,750,000
Northern Superior Resources Inc.	Common Shares	Gentile, Michael	3, 4	2020-12-17	16	0.8	10,484,358	250,000
Northern Superior Resources Inc.	Warrants	Gentile, Michael	3, 4	2020-12-17	16		6,367,858	125,000
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		748,000	-249,857

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	11	42.2	0	-748,000
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	11	42.2	0	-12,031
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	11	42.2	0	-437,575
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		7,136,467	-2,241,000
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	11	42.2	0	-7,136,467
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		4,568,819	489,671
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		6,809,819	2,241,000
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		7,059,676	249,857
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	11	42.2	0	-7,059,676
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47			-489,671
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47			-489,671
Northland Power Inc.	Common Shares	Temerty, James C.	3, 4, 5	2020-12-15	47		0	-489,671
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Petersen, Brian Kenneth	4	2020-12-16	57	12.59	35,703	-10,000
NorthWest Healthcare Properties Real Estate Investment Trust	Trust Units	Petersen, Brian Kenneth	4	2020-12-16	57	12.59	59,448	10,000
NORZINC LTD.	Common Shares	MacDonald, Robert John	5	2020-11-18	57	0.065	11,299,999	999,999
Nova Royalty Corp.	Common Shares	Tucker, E.B.	4	2020-12-14	10	1.36	1,676,667	10,000
Novo Resources Corp.	Common Shares	Hennigh, Quinton Todd	4	2020-12-14	10	2.057	3,160,000	3,000
NTG Clarity Networks Inc.	Common Shares	Siddiqi, Mohammed Saleem	4	2020-11-26	00		150,000	
NTG Clarity Networks Inc.	Options	Siddiqi, Mohammed Saleem	4	2020-11-26	00		300,000	
Nubeva Technologies Ltd.	Common Shares	Jones, Juliet	5	2020-12-17	51	0.05	475,000	200,000
Nubeva Technologies Ltd.	Common Shares	Jones, Juliet	5	2020-12-18	10	0.425	425,000	-50,000
Nubeva Technologies Ltd.	Options	Jones, Juliet	5	2020-12-17	51	0.05	500,821	-200,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-24	10	0.58		-4,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-24	10	0.58	564,000	-4,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2019-04-02	11	0.1	559,500	300,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-05-21	10	1.01	549,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-05-25	10	1.01	539,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-17	10	0.45	549,500	10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-17	10	0.45	559,500	10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-25	10	0.65	539,500	-20,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-25	10	0.71	529,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-25	10	0.64	509,500	-20,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-26	10	0.79	499,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-26	10	0.81	489,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-27	10	0.77	479,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-30	10	0.72	499,500	20,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-12-02	10	0.72	469,500	-30,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-12-03	10	0.71	459,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-12-04	10	0.78	449,500	-10,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-05-21	37		60,000	-60,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-20	10	0.45		6,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-20	10	0.45	54,000	-6,000
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-24	10	0.59		9,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Numinus Wellness Inc.	Common Shares	Morishita, Allen	4, 5	2020-11-24	10	0.59	45,000	-9,000
Nutrien Ltd.	Performance Share Units	Frank, Michael John	5	2018-12-31	35	51.15		7,541
Nutrien Ltd.	Performance Share Units	Frank, Michael John	5	2018-12-31	35	51.15	206,215	12,584
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2018-11-01	00			
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2018-11-01	00		10,291	
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2020-02-19	56			4,109
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2020-02-19	56		18,297	6,212
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2020-02-19	57	54.66		-6,309
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2020-02-19	57	54.66	13,167	-5,130
Nutrien Ltd.	Performance Share Units	Magro, Charles Victor	4, 5	2018-12-31	35	51.15		9,190
Nutrien Ltd.	Performance Share Units	Magro, Charles Victor	4, 5	2018-12-31	35	51.15	258,053	10,679
Nutrien Ltd.	Performance Share Units	Poohkay, Brent Donald	5	2018-01-01	00			
Nutrien Ltd.	Performance Share Units	Poohkay, Brent Donald	5	2018-01-01	00		11,017	
Nutrien Ltd.	Performance Share Units	Poohkay, Brent Donald	5	2020-02-19	57	54.66		-8,526
Nutrien Ltd.	Performance Share Units	Poohkay, Brent Donald	5	2020-02-19	57	54.66	16,771	-6,932
Nutrien Ltd.	Common Shares	Sully, Raef	5	2019-12-31	30	52.25	10,015	42
Nutrien Ltd.	Performance Share Units	Sully, Raef	5	2018-01-01	00			
Nutrien Ltd.	Performance Share Units	Sully, Raef	5	2018-01-01	00		24,626	
Nutrien Ltd.	Performance Share Units	Sully, Raef	5	2020-02-19	57	41.28		-19,104
Nutrien Ltd.	Performance Share Units	Sully, Raef	5	2020-02-19	57	41.28	44,064	-15,532
Nutrien Ltd.	Performance Share Units	Webb, Michael Reed	5	2018-12-31	35	51.15		923
Nutrien Ltd.	Performance Share Units	Webb, Michael Reed	5	2018-12-31	35	51.15	25,981	1,087
NUVISTA ENERGY LTD.	Options	Andreachuk, Ross Lloyd	5	2020-11-25	52	7.43	735,491	-21,130
NUVISTA ENERGY LTD.	Options	Andreachuk, Ross Lloyd	5	2020-11-25	52	8.1	718,824	-16,667
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-11-25	52	7.43	646,303	-16,904
NUVISTA ENERGY LTD.	Options	Asman, Kevin Garth	5	2020-11-25	52	8.1	632,303	-14,000
NUVISTA ENERGY LTD.	Options	Lawford, Michael	5	2020-11-25	52	7.43	834,698	-22,242
NUVISTA ENERGY LTD.	Options	Lawford, Michael	5	2020-11-25	52	8.1	818,031	-16,667
NUVISTA ENERGY LTD.	Options	Paulgaard, Ryan Daniel	5	2020-11-25	52	7.43	498,192	-7,740
NUVISTA ENERGY LTD.	Options	Paulgaard, Ryan Daniel	5	2020-11-25	52	8.1	491,192	-7,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
NUVISTA ENERGY LTD.	Options	Truba, Joshua Thomas	5	2020-11-25	52	7.43	594,501	-16,237
NUVISTA ENERGY LTD.	Options	Truba, Joshua Thomas	5	2020-11-25	52	8.1	581,167	-13,334
NUVISTA ENERGY LTD.	Options	Wright, Jonathan Andrew	5	2020-11-25	52	7.43	1,417,321	-37,144
NUVISTA ENERGY LTD.	Options	Wright, Jonathan Andrew	5	2020-11-25	52	8.1	1,389,987	-27,334
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-12-14	10	0.4073	2,803,973	67,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-12-15	10	0.46	2,852,673	48,700
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-12-16	10	0.4425	2,876,673	24,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-12-17	10	0.48	2,983,673	107,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-12-18	10	0.54	3,124,673	141,000
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2020-12-11	10	2.953	2,917,065	16,900
Olympia Financial Group Inc.	Common Shares	BARNARD, GERHARD STEPHANUS	5	2020-12-11	10	39	4,940	-250
Olympia Financial Group Inc.	Common Shares	BARNARD, GERHARD STEPHANUS	5	2020-12-15	10	39	4,440	-500
Oncolytics Biotech Inc.	Options	Coffey, Matthew	4, 5	2020-12-11	50	3.17	943,333	300,000
Oncolytics Biotech Inc.	Options	Coffey, Matthew	4, 5	2020-12-14	52	63.84	931,228	-12,105
Oncolytics Biotech Inc.	Options	de Guttadauro, Andrew	5	2020-12-11	50	3.17	357,893	200,000
Oncolytics Biotech Inc.	Options	Hagerman, Allison	5	2020-12-11	50	3.17	349,787	200,000
Oncolytics Biotech Inc.	Options	Hagerman, Allison	5	2020-12-14	52	63.84	349,577	-210
Oncolytics Biotech Inc.	Options	Heineman, Thomas	5	2020-12-11	50	3.17	170,000	100,000
Oncolytics Biotech Inc.	Options	Look, Kirk	5	2020-12-11	50	3.17	616,544	250,000
Oncolytics Biotech Inc.	Options	Look, Kirk	5	2020-12-14	52	63.84	613,913	-2,631
ONEX CORPORATION	Options	Heersink, Ewout R.	4, 5	2020-12-15	51	29.29		-10,003
ONEX CORPORATION	Options	Heersink, Ewout R.	4, 5	2020-12-15	59	29.29	343,997	-10,003
ONEX CORPORATION	Options	Heersink, Ewout R.	4, 5	2020-12-15	59	29.29		-14,997
ONEX CORPORATION	Options	Heersink, Ewout R.	4, 5	2020-12-15	51	29.29	329,000	-14,997
ONEX CORPORATION	Subordinate Voting Shares	Heersink, Ewout R.	4, 5	2020-12-15	11	73.039	60,858	14,997
ONEX CORPORATION	Subordinate Voting Shares	Heersink, Ewout R.	4, 5	2020-12-17	47		59,308	-1,550
ONEX CORPORATION	Subordinate Voting Shares	Heersink, Ewout R.	4, 5	2020-12-15	11	14997	14,997	14,997
ONEX CORPORATION	Subordinate Voting Shares	Heersink, Ewout R.	4, 5	2020-12-15	47	73.039	0	-14,997
Opawica Explorations Inc.	Common Shares	Reynolds, Christopher	4	2020-09-02	00		300,000	
Opawica Explorations Inc.	Common Shares	Wong, Sandra	5	2020-12-14	16	0.1	636,708	150,000
Orea Mining Corp.	Common Shares	Gianulis, Peter Lawrence	4	2020-12-10	10	0.11	644,444	-150,000
Orezone Gold Corporation	Rights Restricted Share Units	Archambeault, Louis	5	2019-01-31	00			
Orezone Gold Corporation	Rights Restricted Share Units	Archambeault, Louis	5	2020-12-10	46		134,000	134,000
Orezone Gold Corporation	Rights Restricted Share Units	Tam, Peter	5	2018-03-04	00			
Orezone Gold Corporation	Rights Restricted Share Units	Tam, Peter	5	2020-12-10	56		290,000	290,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Organto Foods Inc.	Convertible Debentures Expiring May/June 2022	Bromley, Steven	4	2020-11-16	36	0.05	\$0	-\$125,000
Organto Foods Inc.	Common Shares	Gianulis, Peter Lawrence	6	2020-12-16	10	0.23	5,266,500	63,000
Organto Foods Inc.	Common Shares	Gianulis, Peter Lawrence	6	2020-12-17	10	0.26	5,316,500	50,000
Organto Foods Inc.	Common Shares	Gianulis, Peter Lawrence	6	2020-12-11	10	0.235	2,844,293	-194,500
Orla Mining Ltd.	Common Shares	Lassonde, Pierre	3	2020-12-11	10	6.198	41,400	-17,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2020-12-18	10	1.76	1,734,000	-10,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Atkin, Michael	4	2020-12-17	50		124,000	24,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Buschmann, Michael Daro	3, 4, 5	2016-04-29	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Buschmann, Michael Daro	3, 4, 5	2020-12-17	50		15,000	15,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Hoemann, Caroline Dieckmann	3, 4	2016-04-29	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Hoemann, Caroline Dieckmann	3, 4	2020-12-17	50		15,000	15,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Laurin, Pierre	4	2020-12-17	50		120,250	20,250
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Norton, Brent	4, 5	2020-12-17	50	0.71	365,000	15,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Options	Wright, Tom ES	4	2020-12-17	50		120,250	20,250
Osino Resources Corp.	Common Shares	Underwood, David Tilford	5	2020-12-07	10	1.278	160,499	-37,800
Osino Resources Corp.	Common Shares	Underwood, David Tilford	5	2020-12-07	54	0.55	198,299	37,800
Osino Resources Corp.	Common Shares	Underwood, David Tilford	5	2020-12-08	10	1.28	192,799	-5,500
Osino Resources Corp.	Common Shares	Underwood, David Tilford	5	2020-12-08	54	0.55	198,299	5,500
Osino Resources Corp.	Warrants	Underwood, David Tilford	5	2020-12-07	54	0.55	44,629	-37,800
Osino Resources Corp.	Warrants	Underwood, David Tilford	5	2020-12-08	54	0.55	39,129	-5,500
Outback Goldfields Corp.	Options	Archambeault, Louis	4	2020-12-16	46	0.6	514,167	166,667
Outback Goldfields Corp.	Options	Donaldson, Christopher Cameron	4, 5	2020-10-01	00			
Outback Goldfields Corp.	Options	Donaldson, Christopher Cameron	4, 5	2020-12-16	50	0.6	1,750,000	1,750,000
Outback Goldfields Corp.	Options	Hally, Ota	4, 5	2020-12-16	50	0.6	950,000	500,000
Outback Goldfields Corp.	Options	Hanson, Jennifer	5	2020-12-16	50	0.6	316,667	166,667
Outback Goldfields Corp.	Options	Parry, Craig Andrew	3, 4, 5	2020-12-16	50	0.6	1,480,000	1,000,000
Outback Goldfields Corp.	Common Shares	Petratherm Limited	3	2020-12-15	00			
Outback Goldfields Corp.	Common Shares	Petratherm Limited	3	2020-12-15	16		33,333,333	33,333,333
Outback Goldfields Corp.	Options	Zaunscherb, Eric	4	2020-11-19	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Outback Goldfields Corp.	Options	Zaunscherb, Eric	4	2020-12-16	50	0.6	166,667	166,667
Ovintiv Inc.	Director Restricted Share Units	Gentle, Meg Anne	4	2020-12-16	00			
Ovintiv Inc.	Director Restricted Share Units	Gentle, Meg Anne	4	2020-12-16	56	15.09	487	487
P2 Gold Inc.	Common Shares	McNaughton, Kenneth C.	4	2020-12-17	10	0.33	2,558,500	50,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-12-11	10	0.2	1,668,502	3,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-12-14	10	0.2	1,670,502	2,000
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-12-14	10	0.185	1,675,502	5,000
Pan American Silver Corp.	Common Shares	Andrews, Matthew Robert	5	2020-12-11	46	5061	28,372	5,061
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Andrews, Matthew Robert	5	2020-12-11	56	39.48	7,891	563
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Andrews, Matthew Robert	5	2020-12-11	56	39.48	8,453	562
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Andrews, Matthew Robert	5	2020-12-11	56	39.48	9,015	562
Pan American Silver Corp.	Rights Performance Share Units	BERGERON, BRENT	5	2020-12-11	56	39.51	7,779	3,006
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	BERGERON, BRENT	5	2020-12-11	56	39.48	15,944	4,011
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	BERGERON, BRENT	5	2020-12-11	56	39.48	19,955	4,011
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	BERGERON, BRENT	5	2020-12-11	56	39.48	23,965	4,010
Pan American Silver Corp.	Common Shares	Busby, Steven	5	2020-12-11	46	39.48	90,687	5,795
Pan American Silver Corp.	Rights Performance Share Units	Busby, Steven	5	2020-12-11	56	39.51	32,430	6,176
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Busby, Steven	5	2020-12-11	56	39.48	11,310	1,288
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Busby, Steven	5	2020-12-11	56	39.48	12,598	1,288
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Busby, Steven	5	2020-12-11	56	39.48	13,885	1,287
Pan American Silver Corp.	Common Shares	Couturier, Ignacio Llerena	5	2020-12-11	46	39.48	9,337	596
Pan American Silver Corp.	Options	Couturier, Ignacio Llerena	5	2020-12-11	50	15.8	53,134	2,975
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Couturier, Ignacio Llerena	5	2020-12-11	56	39.48	4,199	794
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Couturier, Ignacio Llerena	5	2020-12-11	56	39.48	4,993	794
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Couturier, Ignacio Llerena	5	2020-12-11	56	39.48	5,786	793
Pan American Silver Corp.	Common Shares	Dasso, Andres Antonio	5	2020-12-11	46	39.48	73,010	4,854
Pan American Silver Corp.	Rights Performance Share Units	Dasso, Andres Antonio	5	2020-12-11	56	39.51	33,729	6,467

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Dasso, Andres Antonio	5	2020-12-11	56	39.48	10,550	1,079
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Dasso, Andres Antonio	5	2020-12-11	56	39.48	11,629	1,079
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Dasso, Andres Antonio	5	2020-12-11	56	39.48	12,707	1,078
Pan American Silver Corp.	Common Shares	Doyle, Alun Robert	5	2020-12-11	46	39.48	61,656	4,845
Pan American Silver Corp.	Rights Performance Share Units	Doyle, Alun Robert	5	2020-12-11	56	39.51	26,312	5,164
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Doyle, Alun Robert	5	2020-12-11	56	39.48	14,621	1,077
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Doyle, Alun Robert	5	2020-12-11	56	39.48	15,698	1,077
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Doyle, Alun Robert	5	2020-12-11	56	39.48	16,774	1,076
Pan American Silver Corp.	Common Shares	Emerson, Christopher	5	2020-12-11	46	39.48	14,777	1,936
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Emerson, Christopher	5	2020-12-11	56	39.48	6,702	1,291
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Emerson, Christopher	5	2020-12-11	56	39.48	7,992	1,290
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Emerson, Christopher	5	2020-12-11	56	39.48	9,282	1,290
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisekci, Siren	5	2020-12-11	56	39.48	10,900	1,716
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisekci, Siren	5	2020-12-11	56	39.48	12,616	1,716
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisekci, Siren	5	2020-12-11	56	39.48	14,331	1,715
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisher, Delaney Joseph	5	2020-12-11	56	39.48	6,278	2,229
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisher, Delaney Joseph	5	2020-12-11	56	39.48	8,507	2,229
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Fisher, Delaney Joseph	5	2020-12-11	56	39.48	10,736	2,229
Pan American Silver Corp.	Rights Performance Share Units	Greer, Georges	5	2020-12-11	56	39.51	20,120	2,563
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Greer, Georges	5	2020-12-11	56	39.48	33,423	3,420
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Greer, Georges	5	2020-12-11	56	39.48	36,843	3,420
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Greer, Georges	5	2020-12-11	56	39.48	40,262	3,419
Pan American Silver Corp.	Common Shares	Lemon, Christopher	5	2020-12-11	46	39.48		3,084
Pan American Silver Corp.	Common Shares	Lemon, Christopher	5	2020-12-11	46	39.48		3,084
Pan American Silver Corp.	Common Shares	Lemon, Christopher	5	2020-12-11	46	39.48	14,656	3,084

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Pan American Silver Corp.	Rights Performance Share Units	Lemon, Christopher	5	2020-12-11	56	39.51		3,082
Pan American Silver Corp.	Rights Performance Share Units	Lemon, Christopher	5	2020-12-11	56	39.51		3,082
Pan American Silver Corp.	Rights Performance Share Units	Lemon, Christopher	5	2020-12-11	56	39.51	22,583	3,082
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48		2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48	15,048	2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48	17,104	2,056
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Lemon, Christopher	5	2020-12-11	56	39.48	19,160	2,056
Pan American Silver Corp.	Rights Performance Share Units	McAleer, Sean	5	2020-12-11	56	39.51	22,692	3,038
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	McAleer, Sean	5	2020-12-11	56	39.48	42,043	4,662
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	McAleer, Sean	5	2020-12-11	56	39.48	46,704	4,661
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	McAleer, Sean	5	2020-12-11	56	39.48	51,365	4,661
Pan American Silver Corp.	Common Shares	Paterson, Cameron	5	2020-12-11	46	39.48	6,850	1,135
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Paterson, Cameron	5	2020-12-11	56	39.48	5,639	757

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Paterson, Cameron	5	2020-12-11	56	39.48	6,396	757
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Paterson, Cameron	5	2020-12-11	56	39.48	7,152	756
Pan American Silver Corp.	Common Shares	Steinmann, Michael	4, 5	2020-12-11	46	39.48	99,276	7,758
Pan American Silver Corp.	Rights Performance Share Units	Steinmann, Michael	4, 5	2020-12-11	56	39.51	126,041	31,006
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48		5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48	40,374	5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48	45,546	5,172
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Steinmann, Michael	4, 5	2020-12-11	56	39.48	50,717	5,171
Pan American Silver Corp.	Common Shares	Vincent, Wayne	5	2020-12-11	46	39.48	34,411	2,349
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Vincent, Wayne	5	2020-12-11	56	39.48	4,988	522
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Vincent, Wayne	5	2020-12-11	56	39.48	5,510	522
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Vincent, Wayne	5	2020-12-11	56	39.48	6,032	522
Pan American Silver Corp.	Common Shares	Wafforn, Martin	5	2020-12-11	46	39.48	29,052	3,629
Pan American Silver Corp.	Rights Performance Share Units	Wafforn, Martin	5	2020-12-11	56	39.51	18,835	2,418
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Wafforn, Martin	5	2020-12-11	56	39.48	7,807	807

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Wafforn, Martin	5	2020-12-11	56	39.48	8,613	806
Pan American Silver Corp.	Rights Restricted Share Units ("RSUs")	Wafforn, Martin	5	2020-12-11	56	39.48	9,419	806
Paramount Resources Ltd.	Common Shares Class A	Bell, James GERALD	4	2020-12-14	10	4.55	12,025	1,100
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2017-06-01	00			
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-04-03	10	1.15	5,000	5,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-04-09	10	1.5	15,000	10,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-08-18	10	3.14	12,000	-3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-08-26	10	2.75	15,000	3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-09-02	10	2.6	19,000	4,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-12-15	10	4.5	16,000	-3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-12-18	10	4.7	13,000	-3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-03-10	10	1.44	13,195	3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-03-13	10	1.4	16,195	3,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-08-18	10	3.14		-2,996
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-08-18	10	3.14	19,042	-2,966
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-08-18	10	3.08	17,042	-2,000
Paramount Resources Ltd.	Common Shares Class A	Reid, David Blake	5	2020-12-18	10	4.72	5,042	-12,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-11	51	20.57	574,070	40,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-11	10	41.673	534,070	-40,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-11	51	20.574	539,070	5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-11	10	42	534,070	-5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-15	57	41.682	536,763	2,693
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	51	20.574	541,763	5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	10	42.2	536,763	-5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	51	20.574	540,605	3,842
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	10	43.5	536,763	-3,842
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	51	20.574	541,763	5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-16	10	43	536,763	-5,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-17	51	20.57	544,763	8,000
Parkland Corporation	Common Shares	Espey, Robert Berthold	5	2020-12-17	10	42	536,763	-8,000
Parkland Corporation	Restricted Common Shares	Espey, Robert Berthold	5	2020-12-15	57			-5,179
Parkland Corporation	Restricted Common Shares	Espey, Robert Berthold	5	2020-12-15	57	41.682	119,047	-2,693
Parkland Corporation	Restricted Common Shares	Espey, Robert Berthold	5	2020-12-15	59	41.682	116,561	-2,486
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-11	51	20.57	919,008	-40,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-11	51	20.574	914,008	-5,000
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-16	51	20.574	909,008	-5,000
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-16	51	20.574	905,166	-3,842
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-16	51	20.574	900,166	-5,000
Parkland Corporation	Share Options	Espey, Robert Berthold	5	2020-12-17	51	20.57	892,166	-8,000
Parkland Corporation	Common Shares	Kilty, Colin Peter	5	2020-12-15	57	41.682	32,003	600
Parkland Corporation	Restricted Common Shares	Kilty, Colin Peter	5	2020-12-15	57	41.682	24,704	-600
Parkland Corporation	Restricted Common Shares	Kilty, Colin Peter	5	2020-12-15	59	41.682	24,150	-554
Parkland Corporation	Common Shares	Magnan, Pierre Patrick Gerard	5	2020-12-17	57	41.682	23,690	918
Parkland Corporation	Restricted Common Shares	Magnan, Pierre Patrick Gerard	5	2020-12-17	57	41.682	30,315	-918
Parkland Corporation	Restricted Common Shares	Magnan, Pierre Patrick Gerard	5	2020-12-17	59	41.682	30,243	-72
Parkland Corporation	Common Shares	Smart, Darren Robert	5	2020-12-15	57	41.682	16,660	1,372
Parkland Corporation	Restricted Common Shares	Smart, Darren Robert	5	2020-12-15	57	41.682	31,738	-1,372
Parkland Corporation	Restricted Common Shares	Smart, Darren Robert	5	2020-12-15	59	41.682	30,470	-1,268
Parkland Corporation	Common Shares	White, Ian James	5	2020-12-15	57	41.682	16,470	450
Parkland Corporation	Restricted Common Shares	White, Ian James	5	2020-12-15	57	41.682	25,595	-450
Parkland Corporation	Restricted Common Shares	White, Ian James	5	2020-12-15	59	41.682	25,087	-508
Pascal Biosciences Inc.	Common Shares	BIERTUMPEL, JENS	4	2020-11-30	16	0.2	980,849	310,850
Pascal Biosciences Inc.	Common Shares	Gray, Patrick	4, 5	2020-11-30	16	0.2	1,368,262	842,975
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2020-11-30	50	7.33		30,250
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2020-11-30	50	7.33		21,250
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2020-11-30	50	7.33	160,560	31,250
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2020-11-30	56			30,952
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2020-11-30	56		36,187	31,975
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Warrants	JOSEPH, Johnson	4, 5	2020-12-14	47	0.25	175,000	75,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Landreville, Jean	5	2020-12-16	36	0.5	132,800	20,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Debentures Non convertible avec warrants, OchOance. D'ocembre 2020, 8%	Landreville, Jean	5	2020-12-16	36		\$0	-\$10,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Warrants	Landreville, Jean	5	2020-12-14	47	0.25	310,000	75,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Warrants	Landreville, Jean	5	2020-12-16	36	0.5	290,000	-20,000
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Warrants	Liang, Qiu	4	2020-12-14	47	0.25	1,095,000	-650,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Positioning Technologies Inc.)								
Pelangio Exploration Inc.	Common Shares	Hibbard, Ingrid Jo-Ann	4, 5	2020-12-10	16	0.13	2,680,514	250,000
Pelangio Exploration Inc.	Warrants	Hibbard, Ingrid Jo-Ann	4, 5	2020-12-10	16		875,000	250,000
Pelangio Exploration Inc.	Common Shares	Mosher, David Vaughn	4	2020-12-10	16	0.17	519,650	300,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	Capps, Richard Crissman	4	2020-12-18	50		1,800,000	1,350,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	ELLWOOD, EDWARD LEITH	5	2020-12-18	50		850,000	50,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	Manning, Luard Joseph	4	2020-12-18	50	0.135	500,000	50,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	O'Donnell, John Frederick	4, 5	2000-12-18	50		600,000	50,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	Plexman, Eric	4, 5	2020-12-18	50	0.135	850,000	50,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	Teodorovici, Paul Valerian	4	2020-12-18	50		1,800,000	500,000
Peloton Minerals Corporation	Options 2005 Stock Option Plan	Wiebe, Clifford Alvin	4	2020-12-18	50	0.135	250,000	50,000
Pembina Pipeline Corporation	Common Shares	Forrest, Jennifer	5	2020-12-17	10	32.6	4,000	1,000
Pershimex Resources Corporation	Warrants	Gagnon, Robert	4, 5	2020-12-17	55	0.1	383,334	62,500
Peyto Exploration & Development Corp.	Options	Burdick, Todd	5	2020-12-14	52		349,667	-36,667
Peyto Exploration & Development Corp.	Options	Curran, Lee Russell	5	2020-12-14	52		438,167	-45,000
Peyto Exploration & Development Corp.	Options	Gee, Darren	5	2020-12-14	52		722,766	-76,667
Peyto Exploration & Development Corp.	Options	Lachance, Jean-Paul Henri	5	2020-12-14	52		645,333	-66,667
Peyto Exploration & Development Corp.	Options	Robinson, Scott	5	2020-12-14	52		303,167	-53,333
Peyto Exploration & Development Corp.	Options	Thomas, David Alan	5	2020-12-14	52		497,834	-53,333
Peyto Exploration & Development Corp.	Options	Turgeon, Kathy	5	2020-12-14	52		434,835	-44,999
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-14	10	23.5	1,003,100	-2,700
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-16	10	23.5	1,002,600	-500
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.62	1,002,500	-100
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.61	1,002,100	-400
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.6	1,001,900	-200
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.52	1,001,800	-100
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.51	999,600	-2,200
PFB Corporation	Common Shares	Kernaghan, Edward Hume	3	2020-12-17	10	23.5	998,300	-1,300
PFB Corporation	Common Shares	Read, John K.	4	2020-12-14	10	23.314	15,000	-13,400

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.38		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.38		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.38		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.38		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.45		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.45		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.38	45,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-14	10	1.45	40,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-15	10	1.46		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-15	10	1.46		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-15	10	1.46	35,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.67		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.67		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.67		-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.72		-10,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.72		-8,500
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.72		-8,500
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.67	30,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-16	10	1.72	25,000	-5,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	1.81	20,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	1.81	15,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	1.88	10,000	-5,000
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.27	9,900	-100
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.25	9,800	-100
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.27	9,700	-100
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.25	9,500	-200
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.25	7,800	-1,700
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.21	500	-7,300
PharmaCielo Ltd. (formerly, AAJ Capital 1 Corp.)	Common Shares	Von Koss, Henning	4, 5	2020-12-17	10	2.22	0	-500
Pharmadrug Inc.	Common Shares	Cohen, Daniel	5	2020-12-14	10	0.1118	0	-1,750,000
Pharmadrug Inc.	Common Shares	Cohen, Daniel	5	2020-12-18	36		2,696,045	2,696,045
Pharmadrug Inc.	Common Shares	Cohen, Daniel	5	2020-12-18	36		5,392,090	2,696,045
Pharmadrug Inc.	Common Shares	Cohen, Daniel	5	2020-12-14	10	0.12	1,300,000	-1,243,000
Pharmadrug Inc.	Convertible Debentures 12%	Cohen, Daniel	5	2020-12-18	36			-\$134,802
Pharmadrug Inc.	Convertible Debentures 12%	Cohen, Daniel	5	2020-12-18	36			-\$134,802
Pharmadrug Inc.	Convertible Debentures 12%	Cohen, Daniel	5	2020-12-18	36		\$368,007	-\$134,802
Pharmadrug Inc.	Warrants	Cohen, Daniel	5	2020-12-18	36		2,023,022	1,348,022
Phoenix Canada Oil Company Limited	Common Shares	Burns, Charles	4	2020-12-17	10	1.28	229,300	5,800
Photon Control Inc.	Common Shares	Hunton, Nigel David	4	2020-12-14	10	1.92	132,500	7,500
Photon Control Inc.	Options	Hunton, Nigel David	4	2020-12-10	50		700,000	100,000
Photon Control Inc.	Common Shares	McGrath, Ronan Dominic	4	2020-12-16	10	1.95	324,000	8,000
Photon Control Inc.	Common Shares	Towns, Damian Jon	5	2020-05-13	00			
Photon Control Inc.	Common Shares	Towns, Damian Jon	5	2020-12-14	10	1.92	2,000	2,000
Pieridae Energy Limited	Common Shares	Dargewitz, Robert	5	2020-12-16	10	0.48	344,250	4,000
Pieridae Energy Limited	Common Shares	Dargewitz, Robert	5	2020-12-17	10	0.47	350,250	6,000
Pieridae Energy Limited	Common Shares	Dargewitz, Robert	5	2020-12-18	10	0.48	360,750	10,500
Pieridae Energy Limited	Common Shares	Gray, Joseph Adam	5	2020-12-16	10	0.48	150,000	10,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.23	20,116,500	42,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.225	20,166,500	50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.23	20,266,500	100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.23	20,366,500	100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.23	20,466,500	100,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.23	22,400,000	42,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.225	22,450,000	50,000
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-12-11	10	1.37	3,109,151	1,200
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-12-15	10	1.37	3,109,251	100
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-12-16	10	1.37	3,113,751	4,500
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-12-17	10	1.37	3,113,951	200
Pizza Pizza Royalty Corp.	Common Shares	GOUDREAU, PHILIP	5	2020-12-15	10	9.25	10,606	6,606
Plant&Co. Brands Ltd.	Common Shares	Habuda, Jerry	4	2020-12-14	16	0.2	200,000	50,000
Plant&Co. Brands Ltd.	Warrants	Habuda, Jerry	4	2020-12-14	16		50,000	50,000
Plant&Co. Brands Ltd.	Common Shares	Hamelin, Lindsay	4	2020-12-14	16	0.2	289,200	75,000
Plant&Co. Brands Ltd.	Warrants	Hamelin, Lindsay	4	2020-12-14	16			75,000
Plant&Co. Brands Ltd.	Warrants	Hamelin, Lindsay	4	2020-12-14	16		100,000	75,000
Plant&Co. Brands Ltd.	Common Shares	Moniz, Shawn	3, 4, 5	2020-12-14	16	0.2		750,000
Plant&Co. Brands Ltd.	Common Shares	Moniz, Shawn	3, 4, 5	2020-12-14	16	0.2	1,330,000	750,000
Plant&Co. Brands Ltd.	Warrants	Moniz, Shawn	3, 4, 5	2018-01-16	00			
Plant&Co. Brands Ltd.	Warrants	Moniz, Shawn	3, 4, 5	2020-12-14	16		750,000	750,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Field-Dyde, Quinn	4	2020-12-16	56		160,000	10,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Hoffman, Alexandra	5	2020-08-05	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Hoffman, Alexandra	5	2020-12-16	11	0.55		90,910
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Hoffman, Alexandra	5	2020-12-16	16	0.55	90,910	90,910
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Hoffman, Alexandra	5	2020-08-05	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Hoffman, Alexandra	5	2020-12-16	56		50,000	50,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Hoffman, Alexandra	5	2020-08-05	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Hoffman, Alexandra	5	2020-12-16	16	0.55	90,910	90,910
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Rapkin, Lorne	4, 5	2020-12-16	56		333,000	133,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Shapiro, Todd Michael	4	2020-12-16	56		125,000	25,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Simeon, Peter Emmanouil	4	2020-08-05	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Simeon, Peter Emmanouil	4	2020-12-16	16	0.55	100,000	100,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Restricted Share Units	Simeon, Peter Emmanouil	4	2020-12-16	56		120,000	20,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Simeon, Peter Emmanouil	4	2020-08-05	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Simeon, Peter Emmanouil	4	2020-12-16	16	0.55	100,000	100,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.32	5,969,280	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.32	5,869,280	-100,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.32	5,834,280	-35,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.32	5,809,280	-25,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-14	10	0.3256	5,759,280	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-14	10	0.3256	5,730,780	-28,500
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.3166	5,680,780	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.3166	5,670,780	-10,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-15	10	0.3166	5,630,780	-40,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-16	10	0.3346	5,580,780	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-16	10	0.3346	5,550,780	-30,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-17	10	0.3346	5,510,780	-40,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-17	10	0.3346	5,485,280	-25,500
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-17	10	0.3346	5,475,280	-10,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.3201	600,000	-98,669
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-11	10	0.32	500,000	-100,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-15	11	0.3166	418,500	-81,500
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-16	10	0.3346	359,500	-59,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-16	10	0.3346		-30,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-16	10	0.3346		-30,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-12-17	10	0.3346	279,500	-80,000
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-05-12	97	0.19	159,594	1,590
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-12-16	10	0.3343	43,094	-66,500
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2020-12-17	10	0.335	0	-43,094
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-12-09	10	6.32	700	-7,633

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-12-09	10	6.31	400	-300
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-12-09	10	6.3	0	-400
Platinum Group Metals Ltd.	Common Shares	Begic, Kris	5	2020-12-16	51	1.81	66,666	66,666
Platinum Group Metals Ltd.	Options	Begic, Kris	5	2020-12-16	51	1.81	283,334	-66,666
Platinum Group Metals Ltd.	Options	Begic, Kris	5	2020-12-16	50	6.58	483,334	200,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Begic, Kris	5	2020-12-16	56		56,318	25,000
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-12-14	51	1.81	73,433	50,000
Platinum Group Metals Ltd.	Common Shares	Hallam, Frank	4, 5	2020-12-14	10	7.244	23,433	-50,000
Platinum Group Metals Ltd.	Options	Hallam, Frank	4, 5	2020-12-14	51	1.81	625,000	-50,000
Platinum Group Metals Ltd.	Options	Hallam, Frank	4, 5	2020-12-16	50	6.58	1,075,000	450,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Hallam, Frank	4, 5	2020-12-16	56		120,255	54,000
Platinum Group Metals Ltd.	Common Shares	Harshaw, Stuart	4	2020-12-11	10	5.7215	5,000	-8,000
Platinum Group Metals Ltd.	Common Shares	Harshaw, Stuart	4	2020-12-11	10	7.1854	0	-5,000
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-11	10	6.95	16,198	-2,000
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-11	10	6.93	13,198	-3,000
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-14	10	7.27	8,198	-5,000
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-16	51	1.81	23,198	15,000
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-16	10	6.583	19,798	-3,400
Platinum Group Metals Ltd.	Common Shares	Jones, R. Michael	4, 5	2020-12-16	10	6.58	13,198	-6,600
Platinum Group Metals Ltd.	Options	Jones, R. Michael	4, 5	2020-12-16	51	1.81	860,000	-15,000
Platinum Group Metals Ltd.	Options	Jones, R. Michael	4, 5	2020-12-16	50	6.58	1,360,000	500,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Jones, R. Michael	4, 5	2020-12-16	56		170,159	60,000
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-12-11	56	3.55	5,656	1,379
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-12-15	30	3.51	5,681	25
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-12-15	57	3.51	4,250	-1,431
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-12-17	57	3.54	2,713	-1,537
Plaza Retail REIT	Trust Units	Drake, James (Jim)	5	2019-09-13	99		56,084	56,084
Plaza Retail REIT	Trust Units	Drake, James (Jim)	5	2020-12-15	57	3.51	69,568	967
Plaza Retail REIT	Trust Units	Drake, James (Jim)	5	2020-12-17	57	3.54	70,592	1,024
Plaza Retail REIT	Trust Units	Drake, James (Jim)	5	2019-09-13	99		0	-56,084
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-12-11	56	3.55	10,732	5,176
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-12-15	30	3.51	10,766	34
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-12-15	57	3.51	8,972	-1,794

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-12-17	58 - Expiration of rights	3.54		-2,035
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-12-17	57	3.54	6,937	-2,035
Plaza Retail REIT	Trust Units	Mackenzie, Peter	5	2020-12-15	30	3.51	89,677	1,168
Plaza Retail REIT	Trust Units	Mackenzie, Peter	5	2020-12-17	30	3.54	90,917	1,240
Plaza Retail REIT	Trust Units	Mackenzie, Peter	5	2020-12-15	57	3.51	81,168	1,168
Plaza Retail REIT	Trust Units	Mackenzie, Peter	5	2020-12-17	57	3.54	82,470	1,302
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-12-11	56	3.55	5,656	1,379
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-12-15	57	3.51	4,225	-1,431
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-12-15	30	3.51	4,250	25
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-12-17	57	3.54	2,713	-1,537
Plaza Retail REIT	Trust Units	Penney, Stephen	5	2020-12-15	57	3.51	24,212	980
Plaza Retail REIT	Trust Units	Penney, Stephen	5	2020-12-17	57	3.54	25,251	1,039
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2020-12-15	30	3.51	1,138	6
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2020-12-15	57	3.51	783	-355
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2020-12-17	57	3.54	366	-417
Plaza Retail REIT	Trust Units	Strange, Kimberly A.	5	2020-12-15	57	3.51	3,719	260
Plaza Retail REIT	Trust Units	Strange, Kimberly A.	5	2020-12-17	57	3.54	4,024	305
Plurilock Security Inc.	Common Shares	Carlson, Barry	4	2020-09-17	00			
Plurilock Security Inc.	Common Shares	Carlson, Barry	4	2020-09-17	00			
Plurilock Security Inc. (formerly, Libby K Industries Inc.)	Common Shares	Paterson, Ian	4, 5	2020-12-14	10	0.365	1,459,980	500
Polymet Mining Corp.	Common Shares	Lock, Richard	5	2020-12-15	36	3.96	32,500	16,250
Polymet Mining Corp.	RSU's	Lock, Richard	5	2020-12-15	36		16,250	-16,250
Polymet Mining Corp.	RSU's	Lock, Richard	5	2020-12-15	59	3.96	0	-16,250
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Chatham Asset High Yield Master Fund, Ltd.	3	2020-12-14	90	1.45	22,614,841	1,580,463
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Chatham Asset Management, LLC	3	2020-12-14	90	1.45	22,614,841	1,580,463
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Chatham Asset Management, LLC	3	2020-12-14	90	1.45	39,704,208	-1,580,463
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Cooperman, Leon	3	2020-12-11	10	1.45	7,242,500	500
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Melchiorre, Anthony	3	2020-12-14	90	1.45	22,614,841	1,580,463
Postmedia Network Canada Corp.	Class NC Variable Voting Shares	Melchiorre, Anthony	3	2020-12-14	90	1.45	39,704,208	-1,580,463
Prairie Storm Resources Corp.	Common Shares	Din, Julian John	4, 5	2020-12-16	00		4,470,334	
Prairie Storm Resources Corp.	Options	Din, Julian John	4, 5	2020-12-16	00		1,600,000	
Precision Drilling Corporation	Common Shares	Culbert, Michael Robert	4	2020-11-12	37		5,750	-109,250
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Culbert, Michael Robert	4	2020-11-12	37		9,871	-187,551
Precision Drilling Corporation	Common Shares	Donovan, William T.	4	2020-11-12	37		5,648	-107,322
Precision Drilling Corporation	Common Shares	Donovan, William T.	4	2020-11-12	37		213	-4,060

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Precision Drilling Corporation	Common Shares	Donovan, William T.	4	2020-11-12	37		2,198	-41,775
Precision Drilling Corporation	Deferred Share Units	Donovan, William T.	4	2020-11-12	37		1,329	-25,268
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Donovan, William T.	4	2020-11-12	37		10,798	-205,179
Precision Drilling Corporation	Common Shares	Foley, Veronica H.	5	2020-11-12	37		5,968	-113,399
Precision Drilling Corporation	Options	Foley, Veronica H.	5	2020-11-12	37		15,180	-288,420
Precision Drilling Corporation	Performance Shares Units	Foley, Veronica H.	5	2020-11-12	37		37,925	-720,575
Precision Drilling Corporation	Restricted Share Units	Foley, Veronica H.	5	2020-11-12	37		11,438	-217,329
Precision Drilling Corporation	Common Shares	FORD, CAREY THOMAS	7	2020-11-12	37		12,313	-233,947
Precision Drilling Corporation	Options	FORD, CAREY THOMAS	7	2020-11-12	37		31,725	-602,775
Precision Drilling Corporation	Performance Shares Units	FORD, CAREY THOMAS	7	2020-11-12	37		54,150	-1,028,850
Precision Drilling Corporation	Restricted Share Units	FORD, CAREY THOMAS	7	2020-11-12	37		16,341	-310,493
Precision Drilling Corporation	Common Shares	Gibson, Brian James	4	2020-11-12	37		6,075	-115,425
Precision Drilling Corporation	Common Shares	Gibson, Brian James	4	2020-11-12	37		2,920	-55,480
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Gibson, Brian James	4	2020-11-12	37		12,494	-237,402
Precision Drilling Corporation	Options	Goraya, Shuja	5	2020-11-12	37		5,392	-102,458
Precision Drilling Corporation	Performance Shares Units	Goraya, Shuja	5	2020-11-12	37		32,955	-626,145
Precision Drilling Corporation	Restricted Share Units	Goraya, Shuja	5	2020-11-12	37		13,656	-259,479
Precision Drilling Corporation	Common Shares	Hunter, Grant MacLeod	7	2020-11-12	37		717	-13,633
Precision Drilling Corporation	Options	Hunter, Grant MacLeod	7	2020-11-12	37		23,975	-455,525
Precision Drilling Corporation	Performance Shares Units	Hunter, Grant MacLeod	7	2020-11-12	37		27,380	-520,220
Precision Drilling Corporation	Restricted Share Units	Hunter, Grant MacLeod	7	2020-11-12	37		9,051	-171,984
Precision Drilling Corporation	Common Shares	Krablin, Steven Wayne	4	2020-11-12	37		1,250	-23,750
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Krablin, Steven Wayne	4	2020-11-12	37		20,745	-394,174
Precision Drilling Corporation	Common Shares	MacKenzie, Susan Mary	4	2020-11-12	37		3,225	-61,275
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	MacKenzie, Susan Mary	4	2020-11-12	37		8,325	-158,191
Precision Drilling Corporation	Common Shares	Meyers, Kevin Omar	4	2020-11-12	37		2,475	-47,025

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Precision Drilling Corporation	Deferred Share Units	Meyers, Kevin Omar	4	2020-11-12	37		140	-2,663
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Meyers, Kevin Omar	4	2020-11-12	37		10,946	-207,987
Precision Drilling Corporation	Common Shares	Neveu, Kevin A.	4, 5	2020-11-12	37		64,398	-1,223,577
Precision Drilling Corporation	Common Shares	Neveu, Kevin A.	4, 5	2020-11-12	37		27	-523
Precision Drilling Corporation	Common Shares	Neveu, Kevin A.	4, 5	2020-11-12	37		35	-665
Precision Drilling Corporation	Options	Neveu, Kevin A.	4, 5	2020-11-12	37		149,590	-2,842,210
Precision Drilling Corporation	Performance Shares Units	Neveu, Kevin A.	4, 5	2020-11-12	37		179,560	-3,411,640
Precision Drilling Corporation	Restricted Share Units	Neveu, Kevin A.	4, 5	2020-11-12	37		50,285	-955,415
Precision Drilling Corporation	Common Shares	Pickering, William Ross	7	2020-11-12	37		617	-11,736
Precision Drilling Corporation	Options	Pickering, William Ross	7	2020-11-12	37		21,355	-405,745
Precision Drilling Corporation	Performance Shares Units	Pickering, William Ross	7	2020-11-12	37		27,270	-518,130
Precision Drilling Corporation	Restricted Share Units	Pickering, William Ross	7	2020-11-12	37		8,988	-170,780
Precision Drilling Corporation	Common Shares	Ruhr, Darren	5	2020-11-12	37		5,573	-105,890
Precision Drilling Corporation	Common Shares	Ruhr, Darren	5	2020-11-12	37		445	-8,455
Precision Drilling Corporation	Options	Ruhr, Darren	5	2020-11-12	37		26,190	-497,610
Precision Drilling Corporation	Performance Shares Units	Ruhr, Darren	5	2020-11-12	37		38,065	-723,235
Precision Drilling Corporation	Restricted Share Units	Ruhr, Darren	5	2020-11-12	37		11,450	-217,551
Precision Drilling Corporation	Options	Stahl, Gene	5	2020-11-12	37		40,815	-775,485
Precision Drilling Corporation	Performance Shares Units	Stahl, Gene	5	2020-11-12	37		49,285	-936,415
Precision Drilling Corporation	Restricted Share Units	Stahl, Gene	5	2020-11-12	37		14,750	-280,252
Precision Drilling Corporation	Common Shares	Stickland, Wane Jacob	7	2020-11-12	37		5,901	-112,136
Precision Drilling Corporation	Common Shares	Stickland, Wane Jacob	7	2020-11-12	37		330	-6,277
Precision Drilling Corporation	Common Shares	Stickland, Wane Jacob	7	2020-11-12	37		41	-780
Precision Drilling Corporation	Common Shares	Stickland, Wane Jacob	7	2020-11-12	37		572	-10,886
Precision Drilling Corporation	Options	Stickland, Wane Jacob	7	2020-11-12	37		7,150	-135,850
Precision Drilling Corporation	Performance Shares Units	Stickland, Wane Jacob	7	2020-11-12	37		11,855	-225,245
Precision Drilling Corporation	Restricted Share Units	Stickland, Wane Jacob	7	2020-11-12	37		6,091	-115,743
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2018-10-26	10	2.4925		10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2020-11-12	37			-9,500
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2018-10-26	10	2.4925	10,000	10,000
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2020-11-12	37		15,500	-9,500
Precision Drilling Corporation	Common Shares	WILLIAMS, DAVID	4	2020-12-14	10	20.747	3,500	1,000
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	WILLIAMS, DAVID	4	2020-11-12	37		4,390	-83,415
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	GRAFSTEIN, Jerahmiel Samson	4	2016-08-09	00			
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	GRAFSTEIN, Jerahmiel Samson	4	2020-12-14	50	0.205	250,000	250,000
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	James, Grimes	4	2019-03-19	00			
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	James, Grimes	4	2020-12-14	50	0.205	250,000	250,000
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Qureshi, Khurram	5	2020-12-14	50	0.205	636,364	400,000
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Qureshi, Khurram	5	2020-12-15	50	0.205		400,000
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Roth, Millard	4	2015-04-21	00			
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Roth, Millard	4	2020-12-14	50	0.205	250,000	250,000
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Smith, Darryl Alexander	7	2018-05-31	00			
Predictiv AI Inc. (formerly, Internet of Things Inc.)	Options	Smith, Darryl Alexander	7	2020-12-14	11	0.205	150,000	150,000
Premier Diversified Holdings Inc.	Common Shares	Corner Market Capital Corp	3	2020-12-15	16	0.015	45,278,351	-32,488,344
Premier Diversified Holdings Inc.	Common Shares	Corner Market Capital US Inc.	3	2020-12-15	16	0.015	45,278,351	-32,488,344
Premier Diversified Holdings Inc.	Common Shares	Ingman, Eric	3	2020-12-15	00		21,181,729	
Premier Diversified Holdings Inc.	Common Shares	Mohan, Alnesh	8, 4, 6, 7, 5	2020-12-15	16	0.015	45,278,351	-32,488,344
Premier Diversified Holdings Inc.	Common Shares	Parsad, Sanjeev	4, 6, 7, 5	2020-12-15	16	0.015	45,278,351	-32,488,344
Pretium Resources Inc.	Common Shares	Birkey, Peter Merriman	4	2020-12-18	57		107,658	2,509
Pretium Resources Inc.	Rights RSUs	Birkey, Peter Merriman	4	2020-12-18	57		1,314	-2,509
Pretium Resources Inc.	Rights RSUs	Birkey, Peter Merriman	4	2020-12-18	59		0	-1,314
Pretium Resources Inc.	Rights RSUs	Cvijetinovic, Vladimir	5	2020-12-15	59		8,092	-1,363
Pretium Resources Inc.	Common Shares	Paspalas, George Nickolas	4	2020-12-18	57		44,275	2,018
Pretium Resources Inc.	Rights RSUs	Paspalas, George Nickolas	4	2020-12-18	57		1,805	-2,018
Pretium Resources Inc.	Rights RSUs	Paspalas, George Nickolas	4	2020-12-18	59		0	-1,805

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pretium Resources Inc.	Rights PSUs	Romero, Michelle Ann	5	2020-12-12	58 - Expiration of rights		38,445	-9,665
Pretium Resources Inc.	Rights RSUs	Romero, Michelle Ann	5	2020-12-15	59		25,630	-3,222
Pretium Resources Inc.	Rights RSUs	Romero, Michelle Ann	5	2020-12-15	59		21,321	-4,309
Pretium Resources Inc.	Common Shares	Smith, David	4	2020-12-18	57		30,601	2,054
Pretium Resources Inc.	Rights RSUs	Smith, David	4	2020-12-18	57		1,769	-2,054
Pretium Resources Inc.	Rights RSUs	Smith, David	4	2020-12-18	59		0	-1,769
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Options	Lortie, Murielle	4	2020-11-30	00			
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Options	Lortie, Murielle	4	2020-12-15	50	23.02	10,000	10,000
Progressive Planet Solutions Inc.	Common Shares	Richardson, George David	3	2020-12-15	10	0.095	11,227,333	100,000
Prosper Gold Corp. (formerly Lander Energy Corporation)	Common Shares	Bernier, Peter	4	2020-12-14	10	1.097	799,442	40,000
Prosper Gold Corp. (formerly Lander Energy Corporation)	Common Shares	Bernier, Peter	4	2020-12-18	10	1.086	814,541	15,099
Providence Gold Mines Inc.	Common Shares	coombes, ronald allan	4	2020-12-18	10		1,114,500	50,000
Puma Exploration Inc.	Common Shares	Robillard, Marcel	4, 5	2020-12-16	10	0.17	6,115,465	2,500
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Galloro, Michael Bernardino	3, 4, 5	2020-12-07	37			-1,170,000
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Galloro, Michael Bernardino	3, 4, 5	2020-12-14	37		30,000	-1,170,000
Radiant Technologies Inc.	Common Shares	Gougoux, Yves	4	2020-02-07	00			
Radiant Technologies Inc.	Common Shares	Gougoux, Yves	4	2020-12-16	16	0.1	651,233	651,233
Rambler Metals and Mining plc	Common Shares	Mills, Bradford	4	2016-06-02	00			
Rambler Metals and Mining plc	Common Shares	Mills, Bradford	4	2020-12-08	16	0.002	5,000,000	5,000,000
Rambler Metals and Mining plc	Warrants	Mills, Bradford	4	2016-06-02	00			
Rambler Metals and Mining plc	Warrants	Mills, Bradford	4	2020-12-08	16		250,000	250,000
Rambler Metals and Mining plc	Common Shares	Sanford, Timothy Neil	5	2020-12-08	10	0.002	1,950,200	1,925,000
Rambler Metals and Mining plc	Warrants	Sanford, Timothy Neil	5	2012-10-05	00			
Rambler Metals and Mining plc	Warrants	Sanford, Timothy Neil	5	2020-12-08	10	0.002		96,250
Rambler Metals and Mining plc	Warrants	Sanford, Timothy Neil	5	2020-12-08	10	0.002	96,250	96,250
RAMM Pharma Corp.	Common Shares	BLANKLEIDER, ARMANDO GABRIEL	3, 4	2020-11-16	10	0.3014	19,951,500	-48,500
RAMM Pharma Corp.	Common Shares	BLANKLEIDER, ARMANDO GABRIEL	3, 4	2020-11-18	10	0.2717	19,931,500	-20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
RAMM Pharma Corp.	Common Shares	BLANKLEIDER, ARMANDO GABRIEL	3, 4	2020-11-23	10	0.2671	19,681,500	-250,000
RAMM Pharma Corp.	Common Shares	BLANKLEIDER, ARMANDO GABRIEL	3, 4	2020-11-30	10	0.3051	19,671,500	-10,000
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Brasseur, Jeremy	6	2020-12-14	10	14.333	4,000	700
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Orrico, Dean	4, 6, 5	2020-12-17	10	14.43	7,900	400
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-14	10	18.93	3,700,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-15	10	18.81	3,697,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-16	10	18.832	3,694,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-17	10	18.914	3,691,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-12-18	10	19.064	3,688,384	-3,000
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-14	10	16.556	33,284	-5,000
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-14	10	16.596	28,284	-5,000
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-16	10	16.6	23,684	-4,600
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-16	10	16.8	23,284	-400
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-18	10	16.7	13,284	-10,000
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Aisenstat, David	7	2020-12-18	10	16.75	8,284	-5,000
Recipe Unlimited Corporation (formerly Cara Operations Limited)	Subordinate Voting Shares	Norris, Michael John	4	2020-12-10	11		24,707	-2,121
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-12-14	38	3.01	5,600	5,600
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-12-14	38	3.01	0	-5,600
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-12-17	38	3.02	5,800	5,800
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2020-12-17	38	3.02	0	-5,800
Restaurant Brands International Inc.	Common Shares	Schwan, Axel	5	2020-12-15	51		59,394	44,218
Restaurant Brands International Inc.	Common Shares	Schwan, Axel	5	2020-12-15	10	62.58	21,540	-37,854
Restaurant Brands International Inc.	Common Shares	Schwan, Axel	5	2020-12-16	51		25,133	3,593
Restaurant Brands International Inc.	Options	Schwan, Axel	5	2020-12-15	51	42.26	210,218	-44,218
Restaurant Brands International Inc.	Options	Schwan, Axel	5	2020-12-16	51	42.26	206,625	-3,593
Restaurant Brands International Inc.	Units Restricted Shares	Siddiqui, Sami	5	2020-12-14	56		300,497	20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Resverlogix Corp.	Units Deferred Share Units	Biln, Norma	4	2020-12-15	46		133,572	30,000
Resverlogix Corp.	Restricted Share Units (RSU's)	Cann, Aaron Bradley	5	2020-12-15	46		1,095,620	31,600
Resverlogix Corp.	Restricted Share Units (RSU's)	JOHANSSON, DR. JAN OVE	5	2020-12-15	46		378,900	100,000
Resverlogix Corp.	Restricted Share Units (RSU's)	Kulikowski, Ewelina	5	2020-12-15	46		1,006,415	25,000
Resverlogix Corp.	Restricted Share Units (RSU's)	Lebioda, Kenneth Eugene	5	2020-12-15	46		800,881	16,300
Resverlogix Corp.	Units Deferred Share Units	Lu, Shawn Shuguang	4	2020-12-15	46		48,763	30,000
Resverlogix Corp.	Restricted Share Units (RSU's)	MCCAFFREY, DONALD J.	4, 5	2020-12-15	46		2,572,951	35,100
Resverlogix Corp.	Units Deferred Share Units	McNeill, Kelly Bret	4	2020-12-15	46		136,334	30,000
Resverlogix Corp.	Restricted Share Units (RSU's)	Sweeney, Michael	5	2020-12-15	46		1,602,269	39,000
Resverlogix Corp.	Units Deferred Share Units	To, Siu Lun	4	2020-12-15	46		40,912	11,700
Resverlogix Corp.	Restricted Share Units (RSU's)	WONG, NORMAN C.W.	5	2020-12-15	46		313,900	50,000
Resverlogix Corp.	Units Deferred Share Units	Zuerblis, Kenneth	4	2020-12-15	46		119,472	30,000
Revival Gold Inc.	Common Shares	Agro, Hugh	3, 4, 5	2020-12-14	10	0.84	3,750,339	18,000
Revival Gold Inc.	Common Shares	Agro, Hugh	3, 4, 5	2020-12-14	10	0.85	3,782,339	32,000
Revival Gold Inc.	Common Shares	Hubert, Wayne	4	2020-11-30	10	0.7258		50,000
Revival Gold Inc.	Common Shares	Hubert, Wayne	4	2020-11-30	10	0.93	133,333	50,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Lonis, Bernard Jean Jacques	4	2020-12-17	10	0.405	333,333	-500,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Manresa Ruiz, Alfredo	4	2020-12-14	10	0.4612	103,500	-146,500
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Manresa Ruiz, Alfredo	4	2020-12-15	10	0.433	0	-103,500
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Manresa Ruiz, Alfredo	4	2020-12-17	52	0.26		250,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Manresa Ruiz, Alfredo	4	2020-12-17	51	0.26	250,000	250,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	Manresa Ruiz, Alfredo	4	2020-12-17	51	0.26	0	-250,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Marshall, Stephen, Anthony	5	2020-12-17	51	0.24		2,190,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Marshall, Stephen, Anthony	5	2020-12-17	51	0.24		2,190,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	Marshall, Stephen, Anthony	5	2020-12-17	51	0.24	23,636,666	2,190,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	Marshall, Stephen, Anthony	5	2020-12-17	51	0.24	0	-2,190,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	Marshall, Stephen, Anthony	5	2020-12-18	51	0.24		-2,190,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	Marshall, Stephen, Anthony	5	2020-12-18	51	0.24		-2,190,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	PETTIT, JAMES, GAYDON	4	2020-12-17	10	0.3862	726,600	-189,500
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	PETTIT, JAMES, GAYDON	4	2020-12-17	51	0.055	801,600	75,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Common Shares	PETTIT, JAMES, GAYDON	4	2020-12-17	51	0.05	916,100	114,500
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	PETTIT, JAMES, GAYDON	4	2020-12-17	51	0.055	1,039,500	-75,000
RevoluGROUP Canada Inc. (previously CUV Ventures Corp.)	Options	PETTIT, JAMES, GAYDON	4	2020-12-17	51	0.05	925,000	-114,500
Rex Opportunity Corp.	Common Shares	Boyle, James Patrick	4, 5	2012-07-27	00			
Rex Opportunity Corp.	Common Shares	Boyle, James Patrick	4, 5	2020-12-15	11	0.35	300,000	300,000
Rex Opportunity Corp.	Warrants	Boyle, James Patrick	4, 5	2012-07-27	00			
Rex Opportunity Corp.	Warrants	Boyle, James Patrick	4, 5	2020-12-15	11		150,000	150,000
Rhyolite Resources Ltd.	Common Shares	CHEDRAOUI, ANTOINE GEORGES	4	2020-12-14	00		8,000,000	
Rhyolite Resources Ltd.	Common Shares	CHEDRAOUI, ANTOINE GEORGES	4	2020-12-14	00		3,830,000	
Rhyolite Resources Ltd.	Common Shares	Leskovec, Michael George	4	2020-12-14	00		135,000	
Rhyolite Resources Ltd.	Common Shares	Leskovec, Michael George	4	2020-12-14	00		65,000	
Richards Packaging Income Fund	Trust Units	Edwards, Terry	5	2020-12-14	10	60.036	8,700	500
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-12-17	11	68	1,193,156	-1,000,000
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-12-18	11	67.5	0	-1,193,156
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2004-04-07	00			
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-12-17	11	68	1,000,000	1,000,000
Richards Packaging Income Fund	Trust Units	Glynn, Gerard Walter	3, 4, 7	2020-12-18	11	67.5	2,193,156	1,193,156
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-12-16	30	35.949	2,801	55
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-12-16	30	35.949	11,488	127
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-12-16	30	35.949	49,792	182
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2020-12-16	30	35.949	4,227,319	119
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-11	10	17.1	10,808,520	18,879
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-11	10	17.1	10,791,410	-17,110

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-14	10	17.1	10,795,614	4,204
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-14	10	17.1	10,794,503	-1,111
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-15	10	17.24	10,794,875	372
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-15	10	17.24	10,794,502	-373
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-16	10	17.1	10,821,199	26,697
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-16	10	17.1	10,818,562	-2,637
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-12-17	11	16.32	11,374,280	555,718
Riley Gold Corp. (formerly Riley Resources Corp.)	Common Shares	Hilditch, Todd	5	2020-12-17	10	0.48	1,551,668	5,000
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Brooks, Bonnie	4	2020-12-15	56		61,740	1,339
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Brooks, Bonnie	4	2020-12-15	30		63,162	1,422
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Dansereau, Richard	4	2020-12-15	56		29,767	1,809
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Dansereau, Richard	4	2020-12-15	30		30,425	658
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Dansereau, Richard	4	2020-12-15	56		30,511	86
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Dansereau, Richard	4	2020-12-16	30			658
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Godfrey, Paul Victor	4	2020-12-15	56		78,631	1,068
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Godfrey, Paul Victor	4	2020-12-15	30		80,457	1,826
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Lastman, Dale Howard	4	2020-12-15	56		52,184	817
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Lastman, Dale Howard	4	2020-12-15	30		53,393	1,209
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Marshall, S. Jane	4	2020-12-15	56		42,949	1,823
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Marshall, S. Jane	4	2020-12-15	30		43,917	968
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Marshall, S. Jane	4	2020-12-15	30		44,002	85
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Sallows, Sharon	4	2020-12-15	56		70,196	1,681

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Sallows, Sharon	4	2020-12-15	30		71,809	1,613
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Sallows, Sharon	4	2020-12-15	56		71,894	85
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Vanaselja, Siim A.	4	2020-12-15	56		41,191	1,880
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Vanaselja, Siim A.	4	2020-12-15	30		42,117	926
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Vanaselja, Siim A.	4	2020-12-15	56		42,203	86
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Winograd, Charles	4	2020-12-15	56		65,241	1,481
RIOCAN REAL ESTATE INVESTMENT TRUST	Deferred Units	Winograd, Charles	4	2020-12-15	30		66,742	1,501
Ritchie Bros. Auctioneers Incorporated	Options	Ackley, Matthew Farrell	5	2020-12-11	59	17.76	105,145	-2,000
Ritchie Bros. Auctioneers Incorporated	Common Shares	Jeter, James Jeffrey	5	2020-12-14	59	70.5	17,350	-4,300
Ritchie Bros. Auctioneers Incorporated	Common Shares	Zimmerman, Christopher	4	2020-12-14	59	70.44	180	-395
Ritchie Bros. Auctioneers Incorporated	Common Shares	Zimmerman, Christopher	4	2020-12-14	47	70.44	72	-108
Ritchie Bros. Auctioneers Incorporated	Common Shares	Zimmerman, Christopher	4	2020-12-14	47	70.44	0	-72
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-09	10	3	2,186,750	-100
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-09	10	2.89	2,185,950	-800
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-10	10	2.89	2,185,850	-100
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-15	10	2.89	2,184,850	-1,000
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-17	10	2.76	2,184,650	-200
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-17	10	2.75	2,180,950	-3,700
RIWI Corp.	Common Shares	Beaty, Ross J.	6	2020-12-18	10	2.75	2,179,850	-1,100
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-09	10	3	2,186,750	-100
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-09	10	2.89	2,185,950	-800
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-10	10	2.89	2,185,850	-100
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-15	10	2.89	2,184,850	-1,000
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-17	10	2.76	2,184,650	-200
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-17	10	2.75	2,180,950	-3,700
RIWI Corp.	Common Shares	BP Capital Ltd.	3	2020-12-18	10	2.75	2,179,850	-1,100
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-09	10	3	2,186,750	-100
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-09	10	2.89	2,185,950	-800
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-10	10	2.89	2,185,850	-100
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-15	10	2.89	2,184,850	-1,000
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-17	10	2.76	2,184,650	-200
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-17	10	2.75	2,180,950	-3,700
RIWI Corp.	Common Shares	Pirooz, Robert Pirooz	4	2020-12-18	10	2.75	2,179,850	-1,100
RJK Explorations Ltd.	Common Shares	Mackay, Robert John	4	2020-12-14	10	0.29	2,263,000	140,000
RJK Explorations Ltd.	Common Shares	Mackay, Robert John	4	2020-12-16	10	0.26	2,743,000	480,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Joan	3	2019-09-23	37		600,215	-2,400,860
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Joan	3	2019-09-23	37		2,602,000	-10,408,000
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Joan	3	2019-09-23	37		4,924,969	-19,699,878
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Joan	3	2020-12-02	10	0.12	6,174,969	1,250,000
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Joan	3	2019-09-23	37		57,834	-231,335
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Peter	3, 5	2019-09-23	37		613,321	-2,453,284
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Peter	3, 5	2019-09-23	37		2,602,000	-10,408,000
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Peter	3, 5	2019-09-23	37		4,924,969	-19,699,878
Rocky Mountain Liquor Inc.	Common Shares	Byrne, Peter	3, 5	2020-12-02	10	0.12	6,174,969	1,250,000
Rojo Resources Ltd.	Warrants	Morishita, Allen	4, 5	2019-04-03	16	0.15		300,000
Rojo Resources Ltd.	Warrants	Morishita, Allen	4, 5	2019-04-03	16	0.15		300,000
Rojo Resources Ltd.	Warrants	Morishita, Allen	4, 5	2019-04-03	16	0.15	-150,000	-150,000
Rokmaster Resources Corp.	Common Shares	Zours, Wilhelm K. T.	3	2020-12-14	10	0.3242	8,207,500	357,500
Rokmaster Resources Corp.	Common Shares	Zours, Wilhelm K. T.	3	2020-12-15	10	0.32	8,270,000	62,500
Rokmaster Resources Corp.	Common Shares	Zours, Wilhelm K. T.	3	2020-12-16	10	0.34	8,295,000	25,000
Romios Gold Resources Inc.	Common Shares	van de Water, Frank	4	2020-12-17	16	0.065	150,000	150,000
Roxgold Inc.	Common Shares	Criddle, Paul Andrew	5	2020-12-17	51	0.69	300,000	300,000
Roxgold Inc.	Common Shares	Criddle, Paul Andrew	5	2020-12-17	10	1.7633	0	-300,000
Roxgold Inc.	Options	Criddle, Paul Andrew	5	2020-12-17	51	0.69	579,944	-300,000
Royal Bank of Canada	Options	Bolger, Rod	5	2020-12-14	50	106	227,206	40,274
Royal Bank of Canada	Rights Performance Deferred Share Units	Bolger, Rod	5	2020-12-14	56	106.12	61,190	19,195
Royal Bank of Canada	Options	Dobbins, Michael	5	2020-12-14	50	106	95,400	21,590
Royal Bank of Canada	Rights Performance Deferred Share Units	Dobbins, Michael	5	2020-12-14	56	106.12	30,218	10,290
Royal Bank of Canada	Options	Gottschling, Helena	5	2020-12-14	50	106	87,394	19,100
Royal Bank of Canada	Rights Performance Deferred Share Units	Gottschling, Helena	5	2020-12-14	56	106.12	24,438	9,102
Royal Bank of Canada	Options	guzman, douglas antony	5	2020-12-14	50	106	290,142	56,880
Royal Bank of Canada	Rights Performance Deferred Share Units	guzman, douglas antony	5	2020-12-14	56	106.12	110,864	32,576
Royal Bank of Canada	Options	Hepworth, Graeme Ashley	5	2020-12-14	50	106	95,606	29,894
Royal Bank of Canada	Rights Performance Deferred Share Units	Hepworth, Graeme Ashley	5	2020-12-14	56	106.12	40,209	14,248
Royal Bank of Canada	Options	Knoess, Christoph	5	2020-12-14	50	106	43,520	43,520
Royal Bank of Canada	Rights Performance Deferred Share Units	Knoess, Christoph	5	2020-12-14	56	82.984	20,750	20,750
Royal Bank of Canada	Options	McKay, David Ian	4, 5	2020-12-14	50	106	1,069,876	149,464

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Royal Bank of Canada	Rights Performance Deferred Share Units	McKay, David Ian	4, 5	2020-12-14	56	106.12	220,704	71,240
Royal Bank of Canada	Options	McLaughlin, Neil	5	2020-12-14	50	106	169,998	52,520
Royal Bank of Canada	Rights Performance Deferred Share Units	McLaughlin, Neil	5	2020-12-14	56	106.12	72,210	25,032
Royal Bank of Canada	Options	Neldner, Derek Arthur	5	2019-11-01	00			
Royal Bank of Canada	Options	Neldner, Derek Arthur	5	2020-12-14	50	106	77,106	77,106
Royal Bank of Canada	Rights Deferred Share Units	Neldner, Derek Arthur	5	2020-12-15	56	106.12	26,411	12,368
Royal Bank of Canada	Rights Performance Deferred Share Units	Neldner, Derek Arthur	5	2019-11-01	00			
Royal Bank of Canada	Rights Performance Deferred Share Units	Neldner, Derek Arthur	5	2020-12-14	56	106.12	36,750	36,750
Royal Bank of Canada	Options	Ross, Bruce Washington	5	2020-12-14	50	106	254,964	45,670
Royal Bank of Canada	Rights Performance Deferred Share Units	Ross, Bruce Washington	5	2020-12-14	56	106.12	68,196	21,767
Royal Road Minerals Limited	Options	Devia Manchola, Ivan	5	2020-12-09	50		1,450,000	1,000,000
Royal Road Minerals Limited	Options	Mullens, Peter James	4	2020-12-11	50	0.4	3,050,000	1,100,000
Royal Road Minerals Limited	Options	Stone, Marcus Kraig	4	2020-12-09	00		500,000	
Royal Road Minerals Limited	Ordinary Shares	Stone, Marcus Kraig	4	2020-12-09	00		100,000	
RT Minerals Corp.	Common Shares	CLARK, DONALD M.	3, 4, 5	2020-12-16	10	0.105	4,573,550	5,000
RT Minerals Corp.	Common Shares	CLARK, DONALD M.	3, 4, 5	2020-12-17	10	0.11	4,576,550	3,000
RTG Mining Inc.	Common Shares	Hains, Richard Charles	3	2020-12-11	10	0.185	37,575,687	585,137
RTG Mining Inc.	Common Shares	Hains, Richard Charles	3	2020-12-14	10	0.1925	38,107,774	532,087
RTG Mining Inc.	Common Shares	Hains, Richard Charles	3	2020-12-15	10	0.1926	38,266,283	158,509
Rubicon Organics Inc.	Common Shares	BRODIE, MARGARET RUTH	4, 5	2020-12-15	54	3.5	951,430	10,000
Rubicon Organics Inc.	Warrants	BRODIE, MARGARET RUTH	4, 5	2020-12-15	54	3.5	40,000	-9,250
Rubicon Organics Inc.	Common Shares	Doig, Peter	5	2020-12-14	51	1	1,334,279	42,500
Rubicon Organics Inc.	Options	Doig, Peter	5	2020-12-14	51	1	250,000	-42,500
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	2020-12-14	51	1	11,434,465	400,000
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	2020-12-16	54	3.5	11,497,322	62,857
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	2020-12-17	10	3.3	11,512,322	15,000
Rubicon Organics Inc.	Options	McConnell, Jesse	3, 4, 5	2020-12-14	51	1	310,000	-400,000
Rubicon Organics Inc.	Warrants	McConnell, Jesse	3, 4, 5	2020-12-16	54	3.5	686,695	-62,857
Rubicon Organics Inc.	Warrants	McConnell, Jesse	3, 4, 5	2020-12-16	10	0.001	649,552	-37,143
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2020-12-14	54	3.5	3,894,600	100,000
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2020-12-14	10	3.6	3,914,600	20,000
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2020-12-16	10	3.48	3,924,600	10,000
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2020-12-17	10	3.4	3,934,600	10,000
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2020-12-17	10	3.3	3,944,600	10,000
Rubicon Organics Inc.	Warrants	Savics, Eric	3	2020-12-14	54	3.5	537,275	-100,000
Rupert Resources Ltd.	Common Shares	Brimacombe, Alan Douglas	3	2020-12-17	10	5.35	19,659,300	-14,900

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Benedetti, Alain	4	2020-12-15	56		70,611	1,219
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Britton, Marion Eleanor	5	2020-12-15	56		38,708	669
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Bryant, Gregg Edward	5	2020-12-15	56		2,275	39
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Clark, John	4	2020-12-15	56		57,810	998
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Coleman, Lesley Margaret Seppings	5	2020-12-15	56		7,587	131
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Dinning, James Francis	4	2020-12-15	56		55,427	957
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Halcrow, David	5	2020-12-15	56		8,274	143
Russel Metals Inc.	Common Shares	Hedges, Brian Robie	4	2020-12-14	10	22	100,000	-5,000
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Hedges, Brian Robie	4	2020-12-15	56		21,416	370
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Juravsky, Martin Leb	5	2020-12-15	56		14,542	251
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Kelly, Maureen Ann	5	2020-12-15	56		8,964	155
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Laberge, Alice D.	4	2020-12-15	56		42,949	741
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacDermid, Ryan Wallace	5	2020-12-15	56		7,537	130
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacLean, John	5	2020-12-15	56		8,964	155
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	McKelvey, Sherri Lynn	5	2020-12-15	56		1,034	18
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	O'Reilly, William Michael	4	2020-12-15	56		44,897	776
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Reid, John Gregory	5	2020-12-15	56		176,623	3,049
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Robb, Lloyd Bruce	5	2020-12-15	56		6,945	120
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Thabet, Annie	4	2020-12-15	56		20,983	362
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Tulloch, John Russell	4	2020-12-15	56		28,674	495
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2020-12-15	56		2,072	36
Sabina Gold & Silver Corp.	Common Shares	Morton, James Nicholson	4	2020-12-04	51	0.78	317,633	70,787
Sabina Gold & Silver Corp.	Options	Morton, James Nicholson	4	2020-12-04	51	0.78	594,088	-70,787
Sabina Gold & Silver Corp.	Common Shares	Pickard, Matthew	5	2020-12-11	10	2.8	251,187	-25,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Salazar Resources Limited	Common Shares	Walter, Etienne E.V.	4	2020-12-15	10	0.31	51,433	-30,000
Salona Global Medical Device Corporation	Common Shares	Dalsin, Michael	3	2020-12-15	37			-5,616,375
Salona Global Medical Device Corporation	Common Shares	Dalsin, Michael	3	2020-12-15	37		4,027,319	-2,470,748
Salona Global Medical Device Corporation	Options	Dalsin, Michael	3	2020-12-15	37			-885,923
Salona Global Medical Device Corporation	Options	Dalsin, Michael	3	2020-12-15	37		635,266	-389,734
Salona Global Medical Device Corporation	Common Shares	Greene, Roger Scott	3	2020-12-15	37		3,871,469	-2,375,134
Salona Global Medical Device Corporation	Options	Greene, Roger Scott	3	2020-12-15	37		619,772	-380,228
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-12-11	10	0.215	1,854,888	20,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-12-14	10	0.2	1,914,888	60,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-12-14	10	0.195	1,924,888	10,000
SANDSTORM GOLD LTD.	Common Shares	KAZEMI-ESFAHANI, ERFAN	5	2020-12-14	57		35,466	8,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	KAZEMI-ESFAHANI, ERFAN	5	2020-12-14	57		238,500	-8,000
SANDSTORM GOLD LTD.	Common Shares	KOBALIA, VERA	4	2020-12-14	57		24,367	18,000
SANDSTORM GOLD LTD.	Common Shares	KOBALIA, VERA	4	2020-12-16	10	9.33	14,367	-10,000
SANDSTORM GOLD LTD.	Common Shares	KOBALIA, VERA	4	2020-12-17	10	9.8	12,367	-2,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	KOBALIA, VERA	4	2020-12-14	57		57,333	-18,000
SANDSTORM GOLD LTD.	Common Shares	Little, Mary Lois	4	2020-12-14	57		321,128	26,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Little, Mary Lois	4	2020-12-14	57		105,000	-26,000
Schwabo Capital Corporation	Common Shares	Ross, Charles Edward	4	2012-09-10	00			
Schwabo Capital Corporation	Common Shares	Ross, Charles Edward	4	2020-12-16	11	0.01	890,001	890,001
Seabridge Gold Inc.	Rights Restricted Share Units	Banfield, Armine Frederick	4	2020-12-16	56		4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Fronk, Rudi P.	4, 1	2020-12-16	56		28,000	28,000
Seabridge Gold Inc.	Rights Restricted Share Units	Gonzalez-Urien, Eliseo	4	2020-12-16	56		4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Kraus, Richard Carl	4	2020-12-16	56		4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Layman, Jay Scott	5	2020-12-16	56		12,000	12,000
Seabridge Gold Inc.	Rights Restricted Share Units	Miller, Elizabeth K. Fillatre	5	2020-12-16	56		3,200	3,200
Seabridge Gold Inc.	Rights Restricted Share Units	Miller, Melanie Renee	4	2020-12-16	97	18.84	4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Pelletier, Clement A	4	2020-12-16	56		4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Reynolds, Christopher Justin	5	2020-12-16	56		7,600	7,600
Seabridge Gold Inc.	Common Shares	Sabine, John William	4	2020-04-27	57	18.31	15,550	5,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Seabridge Gold Inc.	Rights Restricted Share Units	Sabine, John William	4	2020-04-27	57		0	-5,000
Seabridge Gold Inc.	Rights Restricted Share Units	Sabine, John William	4	2020-12-16	56		4,000	4,000
Seabridge Gold Inc.	Rights Restricted Share Units	Scott, Charles Bruce Scott	5	2020-12-16	56		11,500	11,500
Seabridge Gold Inc.	Rights Restricted Share Units	Shafai, Neggar	5	2020-06-25	00			
Seabridge Gold Inc.	Rights Restricted Share Units	Shafai, Neggar	5	2020-12-16	56		1,200	1,200
Seabridge Gold Inc.	Rights Restricted Share Units	Skurski, Michael George	5	2020-12-16	56		6,700	6,700
Seabridge Gold Inc.	Rights Restricted Share Units	Threlkeld, William Earl II	5	2020-12-16	56		5,000	5,000
Seabridge Gold Inc.	Rights Restricted Share Units	Williams, Peter D.	5	2020-12-16	56		5,000	5,000
Sharc International Systems Inc.	Common Shares	Chiu, Eleanor Pui Fong	4	2020-02-26	00			
Sharc International Systems Inc.	Common Shares	Chiu, Eleanor Pui Fong	4	2020-12-18	16	0.3	420,000	420,000
Sharc International Systems Inc.	Common Shares	Despotovski, Sasko	4	2020-12-10	10	0.34	17,000	-43,000
Sharc International Systems Inc.	Common Shares	Despotovski, Sasko	4	2020-12-11	10	0.34	0	-17,000
Sharc International Systems Inc.	Common Shares	Engelhardt, Matthew Aaron	5	2020-12-18	16	0.3	600,000	100,000
Sharc International Systems Inc.	Common Shares	Saurette, Allen	4	2020-02-26	00			
Sharc International Systems Inc.	Common Shares	Saurette, Allen	4	2020-12-18	16	0.3	100,000	100,000
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2020-12-10	51	22.44	112,855	-790
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2020-12-17	51	22.44	112,065	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-01	10	1069.5		-685
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-01	10	1069.5	674	-686
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-10	51	22.44	927	790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-10	30	1020	137	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-17	51	22.44	927	790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-17	30	1161.4	137	-790

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-12-18	30	1181.8	0	-137
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-12-14	30	1050	8,847	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-04	30	1066.4		-1,074
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-04	30	1066.4	106	-1,075
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-15	30	1054.2	0	-106
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-12-14	30	1056.6	195,000	-5,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2020-12-15	30	1074.9	111,000	-6,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2020-12-15	90		108,000	-3,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2020-12-15	90		3,000	3,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2020-12-15	30	1357.4	0	-3,000
Shopify Inc.	Options	Shannan, Tobbyn David	5	2020-12-14	51	22.44	54,148	-2,500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Tobbyn David	5	2020-12-14	51	22.44	18,718	2,500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shannan, Tobbyn David	5	2020-12-14	30	1051.8	16,218	-2,500
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2020-12-10	51	137.72	56,031	-656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-12-10	51	137.72	18,266	656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-12-10	30	1020	17,610	-656

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Common Shares	Hung, David Kar Ho	5	2020-12-16	10	14.2	2,897	2,500
Silver Dollar Resources Inc.	Options	Clark, James Garnet (Garry)	4	2020-12-14	50	1.75	450,000	300,000
Silver Dollar Resources Inc.	Options	English, Perry Vern	4	2020-12-14	50	1.75	300,000	300,000
Silver Dollar Resources Inc.	Options	Romanik, Michael	5	2020-12-14	50	1.75	450,000	300,000
Silver Dollar Resources Inc.	Common Shares	Smulders, Joseph Jerome	5	2020-12-16	10	1.5	439,000	-1,000
Silver Dollar Resources Inc.	Common Shares	Smulders, Joseph Jerome	5	2020-12-17	10	1.6015	435,000	-4,000
Silver Dollar Resources Inc.	Options	Smulders, Joseph Jerome	5	2020-12-14	50	1.75	450,000	300,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Duncan, David Raymo	4	2020-12-11	51	0.1	1,470,000	200,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Options	Duncan, David Raymo	4	2020-12-11	51	0.1	975,000	-200,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Gordon, Richard Basil	4, 5	2020-12-11	51	0.1	2,291,956	150,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Options	Gordon, Richard Basil	4, 5	2020-12-11	51	0.1		150,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Options	Gordon, Richard Basil	4, 5	2020-12-11	51	0.1	1,168,334	-150,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Holmes, Glenn	4, 5	2020-12-11	51	0.1	1,981,007	150,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Options	Holmes, Glenn	4, 5	2020-12-11	51	0.1	1,325,000	-150,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Common Shares	Jessome, Glenn	5	2020-12-11	51	0.1	1,566,074	200,000
Silver Tiger Metals Inc. (formerly Oceanus Resources Corp)	Options	Jessome, Glenn	5	2020-12-11	51	0.1	3,715,000	-200,000
SILVERCORP METALS INC.	Common Shares without par value	Liu, Derek Zhihua	5	2020-12-17	57		43,333	8,333
SILVERCORP METALS INC.	Rights Restricted Share Units	Liu, Derek Zhihua	5	2020-12-17	57		96,667	-8,333
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2020-12-14	10	0.17	1,749,000	1,000
Skeena Resources Limited	Common Shares	Beard, Greg	4	2020-07-27	00		102,500	
Skeena Resources Limited	Common Shares	Beard, Greg	4	2020-08-14	10	1.933	106,000	3,500
Skeena Resources Limited	Common Shares	Beard, Greg	4	2020-08-17	10	1.9377	106,400	400
Skeena Resources Limited	Common Shares	Beard, Greg	4	2020-08-26	10	1.9065	108,600	2,200
Skeena Resources Limited	Common Shares	Beard, Greg	4	2020-08-27	10	1.939	120,900	12,300

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2020-12-16	10	0.23	1,406,045	41,000
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2020-12-16	10	0.245	1,430,045	24,000
Sky Gold Corp.	Common Shares	England, Michael Bruno John Franz	4	2020-12-16	10	0.13		25,000
Sky Gold Corp.	Common Shares	England, Michael Bruno John Franz	4	2020-12-16	10	0.13		25,000
Skyharbour Resources Ltd.	Common Shares	Cates, David Daniel	4	2020-12-17	16	0.24	291,000	50,000
Skyharbour Resources Ltd.	Warrants	Cates, David Daniel	4	2020-08-02	55		167,500	-15,000
Skyharbour Resources Ltd.	Warrants	Cates, David Daniel	4	2020-12-17	16	0.35	192,500	25,000
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2019-05-09	56			11,611
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2019-05-09	56			15,482
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2019-05-09	56		85,611	15,482
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2019-12-31	30			4,470
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2019-12-31	30		90,372	4,657
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2020-11-05	56			15,358
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2020-11-05	56		115,900	21,501
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Deferred Units	Goldhar, Mitchell	3	2020-12-10	56			15,482
SmartCentres Real Estate Investment Trust (formerly, Smart Real Estate Investment Trust)	Rights (LTIP - Performance Units)	Goldhar, Mitchell	3	2020-12-14	38		0	-28,354
Solaris Resources Inc.	Common Shares	Smith, Gregory	4, 5	2020-12-14	51	0.4	333,334	4,144
Solaris Resources Inc.	Options	Smith, Gregory	4, 5	2020-12-14	51	0.4	341,775	-4,144
Sona Nanotech Inc.	Common Shares	gross, michael	4	2020-12-15	11	1	227,855	25,000
Sona Nanotech Inc.	Warrants	gross, michael	4	2019-04-25	00			
Sona Nanotech Inc.	Warrants	gross, michael	4	2020-12-15	53	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	Lievonen, John Mark	4	2020-11-02	00			
Sona Nanotech Inc.	Common Shares	Lievonen, John Mark	4	2020-12-15	11	1	25,000	25,000
Sona Nanotech Inc.	Warrants	Lievonen, John Mark	4	2020-11-02	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sona Nanotech Inc.	Warrants	Lievonen, John Mark	4	2020-12-15	53	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	McKay, Robert Scott	4	2020-12-15	11	1	1,125,072	25,000
Sona Nanotech Inc.	Warrants	McKay, Robert Scott	4	2020-12-15	53	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	Megann, Harold James (Jim)	4	2020-12-15	11	1	3,797,347	25,000
Sona Nanotech Inc.	Warrants	Megann, Harold James (Jim)	4	2019-12-19	00			
Sona Nanotech Inc.	Warrants	Megann, Harold James (Jim)	4	2020-12-15	53	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	Randall, Robert William George	5	2020-12-15	16	1	232,500	25,000
Sona Nanotech Inc.	Warrants	Randall, Robert William George	5	2020-12-15	16	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	Regan, David A.	5	2020-07-14	00			
Sona Nanotech Inc.	Common Shares	Regan, David A.	5	2020-12-15	11	1	25,000	25,000
Sona Nanotech Inc.	Warrants	Regan, David A.	5	2020-07-14	00			
Sona Nanotech Inc.	Warrants	Regan, David A.	5	2020-12-15	53	1.25	12,500	12,500
Sona Nanotech Inc.	Common Shares	Whittaker, Daniel Davies	4	2020-12-15	16	1	1,902,806	100,000
Sona Nanotech Inc.	Warrants	Whittaker, Daniel Davies	4	2018-08-08	00			
Sona Nanotech Inc.	Warrants	Whittaker, Daniel Davies	4	2020-12-15	16	1.25	50,000	50,000
Sonoro Gold Corp.	Common Shares	Darch, John Michael	4	2020-12-17	10	0.21	1,511,500	500
Sonoro Gold Corp.	Common Shares	Darch, John Michael	4	2020-12-18	10	0.21	1,516,000	4,500
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-12-07	10	0.29	561,818	-10,000
SouthGobi Resources Ltd.	Options	Quan, Jin Lan	4	2020-12-14	52	0.29	600,000	-100,000
SouthGobi Resources Ltd.	Options	Sun, Mao	4	2020-12-14	52	0.29		100,000
SouthGobi Resources Ltd.	Options	Sun, Mao	4	2020-12-14	52	0.29	800,000	-100,000
Spanish Mountain Gold Ltd.	Options	Beattie, Morris John Vreugde	4	2020-12-16	50	0.36	625,000	500,000
Spanish Mountain Gold Ltd.	Options	Coxe, Donald Gordon Maxwell	4	2020-12-16	50	0.36	800,000	200,000
Spanish Mountain Gold Ltd.	Options	Lattanzi, Christopher	4	2020-12-16	50	0.36	850,000	250,000
Spanish Mountain Gold Ltd.	Options	MacLean, William Terry	4	2020-12-16	50		550,000	250,000
Spanish Mountain Gold Ltd.	Options	Ng, Sharon	5	2020-12-16	50	0.36	700,000	200,000
Spanish Mountain Gold Ltd.	Options	Stoeterau, Judith Ann	5	2020-12-16	50	0.36	800,000	200,000
Spanish Mountain Gold Ltd.	Options	Yau, Larry	5	2020-12-16	50	0.36	1,500,000	500,000
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	2020-12-15	10	0.035	2,572,458	3,000
SQI Diagnostics Inc.	Warrants	Beddoe, Clive	3, 4	2020-12-15	55		48,244,303	-2,335,315
SQI Diagnostics Inc.	Warrants	Matthews, Wilmot Leslie	3, 4	2020-12-15	55		48,244,302	-2,335,315
St-Georges Eco-Mining Corp.	Options	Billings, Mark Anthony	4	2020-12-08	50	0.2	-300,000	500,000
Stampede Drilling Inc. (formerly known as MATRRIX Energy Technologies Inc.)	Options	Hawkins, Rodger Glen	4	2020-12-16	52	0.12	155,000	-30,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-12-01	10	0.1275	259,000	15,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-12-15	10	0.155	303,000	12,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-12-16	10	0.15	313,500	10,500
Stantec Inc.	Common Shares	Kennedy, Michael Aloysius	7	2020-12-14	51	32.01	19,169	4,920
Stantec Inc.	Common Shares	Kennedy, Michael Aloysius	7	2020-12-14	10	41.579	14,849	-4,320
Stantec Inc.	Options	Kennedy, Michael Aloysius	7	2020-12-14	51	32.01	3,848	-4,920
Stantec Inc.	Common Shares	Stone, Jeffrey Philip	7	2020-12-14	51	32.9	1,500	1,500
Stantec Inc.	Common Shares	Stone, Jeffrey Philip	7	2020-12-14	10	41.708	0	-1,500
Stantec Inc.	Options	Stone, Jeffrey Philip	7	2020-12-14	51	32.9	10,496	-1,500
Stella-Jones Inc.	Common Shares	Webster, Mary	4	2020-12-18	47		21,650	-125
Stella-Jones Inc.	Common Shares	Webster, Mary	4	2020-12-18	47		21,500	-150
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2020-12-04	57	0.6521		3,551
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2020-12-04	57	0.6521		3,552
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2020-12-04	57	0.6521	49,281	3,551
STEP Energy Services Ltd.	Performance Share Units - Business Unit	Burvill, Michael Edward	5	2020-12-04	57			-3,552
STEP Energy Services Ltd.	Performance Share Units - Business Unit	Burvill, Michael Edward	5	2020-12-04	57		894	-3,551
Stingray Group Inc.	Deferred Share Units (DSU)	Boyko, Eric	3, 4, 5	2020-12-15	56	6.4156	241,495	1,585
Stone Gold Inc.	Common Shares	Howlett, Brian	4	2020-12-15	47	0.19		50,000
Stone Gold Inc.	Common Shares	Howlett, Brian	4	2020-12-15	47	0.19	1,406,250	-50,000
StorageVault Canada Inc.	Options	Fleming, Jay Lynne	4	2020-12-15	50	3.98	625,000	225,000
StorageVault Canada Inc.	Options	Harris, Benjamin	4	2020-12-15	00			
StorageVault Canada Inc.	Options	Harris, Benjamin	4	2020-12-15	50	3.98	200,000	200,000
StorageVault Canada Inc.	Options	Khan, Iqbal	4, 5	2020-12-15	50	3.98	7,356,250	1,373,500
StorageVault Canada Inc.	Options	Scott, Steven Robert	4, 5	2020-12-15	50	3.98	7,356,250	1,373,500
StorageVault Canada Inc.	Options	Simpson, Alan Arthur	4	2020-12-15	50	3.98	825,000	225,000
StorageVault Canada Inc.	Options	Souglis, Tamara	5	2020-12-15	00		75,000	
StorageVault Canada Inc.	Options	Souglis, Tamara	5	2020-12-15	50	3.98	105,000	30,000
StorageVault Canada Inc.	Options	Tamblyn, Robert Blair	3	2020-12-15	50	3.98	800,000	200,000
Storm Resources Ltd.	Options	Brister, Matthew	4	2020-12-13	52		126,000	-33,000
Storm Resources Ltd.	Options	Brister, Matthew	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Rights Director Share Awards	Brister, Matthew	4	2010-08-17	00			
Storm Resources Ltd.	Rights Director Share Awards	Brister, Matthew	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Director Share Awards (Common Shares)	Brussa, John Albert	4	2010-08-12	00			
Storm Resources Ltd.	Director Share Awards (Common Shares)	Brussa, John Albert	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Options	Brussa, John Albert	4	2020-12-13	52	5.43	126,000	-33,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Storm Resources Ltd.	Options	Brussa, John Albert	4	2020-12-14	50	2.07	157,500	31,500
Storm Resources Ltd.	Common Shares	Butler, Mark	4	2020-12-15	10	2.12	0	-556
Storm Resources Ltd.	Director Share Rewards	Butler, Mark	4	2010-08-17	00			
Storm Resources Ltd.	Director Share Rewards	Butler, Mark	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Options	Butler, Mark	4	2020-12-13	52		126,000	-33,000
Storm Resources Ltd.	Options	Butler, Mark	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Common Shares	Clark, Stuart George	4	2020-12-14	56			10,500
Storm Resources Ltd.	Common Shares	Clark, Stuart George	4	2020-12-14	56			10,500
Storm Resources Ltd.	Options	Clark, Stuart George	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Rights Director Share Awards (Common Shares)	Clark, Stuart George	4	2010-08-17	00			
Storm Resources Ltd.	Rights Director Share Awards (Common Shares)	Clark, Stuart George	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Common Shares	Conboy, Jamie Peter	5	2020-12-14	56			33,000
Storm Resources Ltd.	Common Shares	Conboy, Jamie Peter	5	2020-12-14	56			33,000
Storm Resources Ltd.	Options	Conboy, Jamie Peter	5	2020-12-14	52	5.43	450,000	-120,000
Storm Resources Ltd.	Options	Conboy, Jamie Peter	5	2020-12-14	50	2.07	549,000	99,000
Storm Resources Ltd.	Rights Performance Awards (common shares)	Conboy, Jamie Peter	5	2015-05-01	00			
Storm Resources Ltd.	Rights Performance Awards (common shares)	Conboy, Jamie Peter	5	2020-12-15	56		33,000	33,000
Storm Resources Ltd.	Options	Evans, Hayden Darren	5	2020-12-14	52		504,000	-120,000
Storm Resources Ltd.	Options	Evans, Hayden Darren	5	2020-12-14	50		630,000	126,000
Storm Resources Ltd.	Rights Performance Shares	Evans, Hayden Darren	5	2015-05-01	00			
Storm Resources Ltd.	Rights Performance Shares	Evans, Hayden Darren	5	2020-12-14	56		42,000	42,000
Storm Resources Ltd.	Options	Hearn, Michael James	5	2020-12-14	50	2.07	566,500	112,500
Storm Resources Ltd.	Rights Performance Share Awards	Hearn, Michael James	5	2017-05-16	00			
Storm Resources Ltd.	Rights Performance Share Awards	Hearn, Michael James	5	2020-12-14	56		37,500	37,500
Storm Resources Ltd.	Common Shares	Kimpton, Bret Alan	5	2020-12-14	56			37,500
Storm Resources Ltd.	Common Shares	Kimpton, Bret Alan	5	2020-12-14	56			37,500
Storm Resources Ltd.	Options	Kimpton, Bret Alan	5	2020-12-13	52		450,000	-120,000
Storm Resources Ltd.	Options	Kimpton, Bret Alan	5	2020-12-14	50	2.07	562,500	112,500
Storm Resources Ltd.	Options	Kimpton, Bret Alan	5	2020-12-14	56			37,500
Storm Resources Ltd.	Options	Kimpton, Bret Alan	5	2020-12-14	56			37,500
Storm Resources Ltd.	Rights Performance Rewards	Kimpton, Bret Alan	5	2015-05-01	00			
Storm Resources Ltd.	Rights Performance Rewards	Kimpton, Bret Alan	5	2020-12-14	56		37,500	37,500
Storm Resources Ltd.	Common Shares Performance Award	Lavergne, Brian	4, 5	2010-08-17	00			
Storm Resources Ltd.	Common Shares Performance Award	Lavergne, Brian	4, 5	2020-12-14	56	2.07	37,500	37,500
Storm Resources Ltd.	Options	Lavergne, Brian	4, 5	2020-12-13	52		450,000	-120,000
Storm Resources Ltd.	Options	Lavergne, Brian	4, 5	2020-12-14	50		562,500	112,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Storm Resources Ltd.	Options	Leggett, Sheila	4	2020-12-14	50	2.07	159,250	26,250
Storm Resources Ltd.	Rights Director Share Awards	Leggett, Sheila	4	2018-07-11	00			
Storm Resources Ltd.	Rights Director Share Awards	Leggett, Sheila	4	2020-12-14	56		8,750	8,750
Storm Resources Ltd.	Common Shares	Tiberio, Robert S	5	2020-12-14	56			46,500
Storm Resources Ltd.	Common Shares	Tiberio, Robert S	5	2020-12-14	56			46,500
Storm Resources Ltd.	Common Shares Performance Shares	Tiberio, Robert S	5	2010-08-17	00			
Storm Resources Ltd.	Common Shares Performance Shares	Tiberio, Robert S	5	2020-12-14	56		46,500	46,500
Storm Resources Ltd.	Options	Tiberio, Robert S	5	2020-12-14	52		558,000	-150,000
Storm Resources Ltd.	Options	Tiberio, Robert S	5	2020-12-14	50	2.07	697,500	139,500
Storm Resources Ltd.	Options	Tiberio, Robert S	5	2020-12-14	56			46,500
Storm Resources Ltd.	Options	Tiberio, Robert S	5	2020-12-14	56			46,500
Storm Resources Ltd.	Options	Turnbull, Gregory George	4	2020-12-13	52		126,000	-33,000
Storm Resources Ltd.	Options	Turnbull, Gregory George	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Rights Director Share Awards	Turnbull, Gregory George	4	2010-08-17	00			
Storm Resources Ltd.	Rights Director Share Awards	Turnbull, Gregory George	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Options	Wierzba, P. Grant	4	2020-12-13	52		126,000	-33,000
Storm Resources Ltd.	Options	Wierzba, P. Grant	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Rights Director Share Awards	Wierzba, P. Grant	4	2010-08-17	00			
Storm Resources Ltd.	Rights Director Share Awards	Wierzba, P. Grant	4	2020-12-14	56		10,500	10,500
Storm Resources Ltd.	Options	Wignes, Ingrid Emily	5	2020-12-14	50	2.07	566,500	112,500
Storm Resources Ltd.	Rights Performance Awards	Wignes, Ingrid Emily	5	2017-05-16	00			
Storm Resources Ltd.	Rights Performance Awards	Wignes, Ingrid Emily	5	2020-12-14	56		37,500	37,500
Storm Resources Ltd.	Common Shares	Wilson, James Kenneth	4	2020-12-14	56			10,500
Storm Resources Ltd.	Common Shares	Wilson, James Kenneth	4	2020-12-14	56			10,500
Storm Resources Ltd.	Options	Wilson, James Kenneth	4	2020-12-13	52		126,000	-33,000
Storm Resources Ltd.	Options	Wilson, James Kenneth	4	2020-12-14	50		157,500	31,500
Storm Resources Ltd.	Rights Director Share Awards	Wilson, James Kenneth	4	2010-08-17	00			
Storm Resources Ltd.	Rights Director Share Awards	Wilson, James Kenneth	4	2020-12-14	56		10,500	10,500
Suncor Energy Inc.	Restricted Share Unit	MacSween, Michael Roderick	5	2020-12-12	59	21.72	17,534	-7,891
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2020-12-16	10	12.627	18,320,700	5,000
Surge Energy Inc.	Common Shares	Leach, Robert Allen	4	2020-12-17	10	0.335	458,200	-100,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-12-11	38	10.315	587,200	2,500
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-12-14	38	10.302	588,400	1,200
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-12-15	38	10.296	589,400	1,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-11	38	9.3411	329,200	4,600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-14	38	9.4389	330,100	900
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2020-12-15	38	9.4371	332,900	2,800
Taal Distributed Information Technologies Inc.	Options	Baker, Richard	4	2020-12-10	00			
Taal Distributed Information Technologies Inc.	Options	Baker, Richard	4	2020-12-14	50	1.95	25,000	25,000
Taal Distributed Information Technologies Inc.	Options	Cella, Michael	4	2020-12-11	50	1.9	65,000	32,500
Taal Distributed Information Technologies Inc.	Options	Darcy, Michael	4	2020-12-11	50	1.9	60,000	30,000
Taal Distributed Information Technologies Inc.	Options	Holowaychuk, Angela	4, 5	2020-12-11	50	1.9	115,000	20,000
Taal Distributed Information Technologies Inc.	Options	Matthews, Stefan	4	2020-12-11	50	1.9	360,000	20,000
Taal Distributed Information Technologies Inc.	Options	Rosati, Deborah	4	2020-12-10	00			
Taal Distributed Information Technologies Inc.	Options	Rosati, Deborah	4	2020-12-14	50	1.95	32,500	32,500
Taal Distributed Information Technologies Inc.	Options	Strub, Marco	4	2020-12-11	52	2.8	12,500	-20,000
Taal Distributed Information Technologies Inc.	Options	Strub, Marco	4	2020-12-11	50	1.9	45,000	32,500
Talisker Resources Ltd.	Options Stock	Gilchrist, Brent Lindsay	4	2020-12-11	50		820,000	220,000
Talisker Resources Ltd.	Options Stock	Harbort, Terence	4, 5	2020-12-11	50		2,700,000	600,000
Talisker Resources Ltd.	Rights Restricted Share Units	Harbort, Terence	4, 5	2019-04-18	00			
Talisker Resources Ltd.	Rights Restricted Share Units	Harbort, Terence	4, 5	2020-12-11	56		375,000	375,000
Talisker Resources Ltd.	Options Stock	Prychidny, Morris	4	2020-12-11	50		675,000	275,000
Talisker Resources Ltd.	Rights Restricted Share Units	Souza, Leonardo	5	2020-03-20	00			
Talisker Resources Ltd.	Rights Restricted Share Units	Souza, Leonardo	5	2020-12-11	56		125,000	125,000
Talisker Resources Ltd.	Options Stock	Tinajero, Andres	4, 5	2020-12-11	50		1,672,500	360,000
Talisker Resources Ltd.	Rights Restricted Share Units	Tinajero, Andres	4, 5	2020-12-11	56		220,000	220,000
Talisker Resources Ltd.	Options Stock	Zaritsky, Blair David	4	2020-12-11	50		820,000	220,000
Talmora Diamond Inc.	Common Shares	Davies, Raymond	3, 4, 5	2020-12-15	51	0.05	25,098,866	250,000
Talmora Diamond Inc.	Options	Davies, Raymond	3, 4, 5	2020-12-15	51		0	-250,000
Tantalex Resources Corporation (formerly, Lynnwood Capital Inc.)	Common Shares	Allard, Eric	4	2020-11-19	00		7,645,575	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tantalex Resources Corporation (formerly, Lynnwood Capital Inc.)	Options	Allard, Eric	4	2020-11-19	00		5,000,000	
Tantalex Resources Corporation (formerly, Lynnwood Capital Inc.)	Common Shares	Lebeuf, Michel	4	2020-12-16	51	0.01	4,132,500	3,000,000
Tantalex Resources Corporation (formerly, Lynnwood Capital Inc.)	Options	Lebeuf, Michel	4	2020-12-16	51		0	-3,000,000
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2020-12-11	10	0.6116	3,408,370	200,000
Tarachi Gold Corp. (formerly Kal Minerals Corp.)	Common Shares	Konnert, Michael	4	2020-12-10	47		539,000	-1,500,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-14	10	0.29	13,992,250	5,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-14	10	0.3	13,994,250	2,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-14	10	0.305	14,024,250	30,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-14	10	0.315	14,025,250	1,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-15	10	0.305	14,026,750	1,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-15	10	0.32	14,037,750	11,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-12-16	10	0.34	14,045,750	8,000
Taseko Mines Limited	Common Shares	Thiessen, Ronald William	4	2020-12-14	51	0.38	1,172,695	165,000
Taseko Mines Limited	Common Shares	Thiessen, Ronald William	4	2020-12-14	10	1.417	1,007,695	-165,000
Taseko Mines Limited	Options	Thiessen, Ronald William	4	2020-12-14	51	0.38		-165,000
Taseko Mines Limited	Options	Thiessen, Ronald William	4	2020-12-14	51	0.38		-165,000
Taseko Mines Limited	Options	Thiessen, Ronald William	4	2020-12-14	51	0.38	240,000	-165,000
Taseko Mines Limited	Common Shares	Thomas, Trevor	5	2020-12-16	51	0.38	83,558	26,000
Taseko Mines Limited	Common Shares	Thomas, Trevor	5	2020-12-16	10	1.45	57,558	-26,000
Taseko Mines Limited	Options	Thomas, Trevor	5	2020-12-16	51	0.38	354,000	-26,000
TC Energy Corporation	Common Shares	Hartl, Gloria L.	5	2020-12-15	10	56.566	1,060	500
TC Energy Corporation	Common Shares	Johnson, Nancy Angenita	5	2020-12-14	10	57.45	1,542	100
TC Energy Corporation	Common Shares	Kirby, Sonya	7	2020-12-14	10	56.921	2,630	560
TC Energy Corporation	Common Shares	Marchand, Donald R.	5	2020-12-15	10	56.55	2,626	1,000
TC Energy Corporation	Common Shares	Masud, Jawad	7	2020-12-14	10	57.74	1,910	30
TDG Gold Corp. (Formerly: Kismet Resources Corp.)	Common Shares	French, Andrew George	4	2020-12-11	36		783,666	67,000
TDG Gold Corp. (Formerly: Kismet Resources Corp.)	Common Shares	Meyer, Doris	5	2020-12-11	00		166,666	
TDG Gold Corp. (Formerly: Kismet Resources Corp.)	Common Shares	O'Brien, Daniel	5	2020-12-11	00			
Tecsys Inc.	Common Shares	Brereton, David	3, 4, 5	2020-12-18	47		1,512,252	-100,000
Tecsys Inc.	Common Shares	Brereton, David	3, 4, 5	2020-12-18	10	48.56	1,509,672	-2,580
Tecsys Inc.	Common Shares	Brereton, David	3, 4, 5	2020-12-18	10	48.56	199,600	-286
Tecsys Inc.	Common Shares	Lobo, Vernon	4	2020-12-11	10	48	5,000	-2,000
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-04	90	25.37	2,284	-1,212
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-04	90	25.37	1,073	-1,211
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-07	30			138

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-07	30		1,211	138
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-07	90	25.45	0	-1,211
TELUS Corporation	Common Shares	Geheran, Tony	5	2020-12-10	10	25.55	136,814	-2,564
Tembo Gold Corp.	Common Shares	Benstead, Simon Charles	3, 4, 5	2020-12-15	10	0.115	11,924,611	50,000
Tembo Gold Corp.	Common Shares	Benstead, Simon Charles	3, 4, 5	2020-12-15	10	0.115	11,974,611	50,000
Tembo Gold Corp.	Common Shares	Benstead, Simon Charles	3, 4, 5	2020-12-16	10	0.115	11,999,611	25,000
Tembo Gold Corp.	Common Shares	Benstead, Simon Charles	3, 4, 5	2020-12-16	10	0.12	12,024,611	25,000
Tempus Capital Inc.	Common Shares	Tanz, Russell	5	2020-12-01	10	0.12	5,805,003	5,000
TeraGo Inc.	Common Shares	BREKKA, Richard James	3, 4	2020-12-17	46		1,343,503	2,064
TeraGo Inc.	Common Shares	Buckner, Laurel	4	2020-12-17	46		14,193	1,847
TeraGo Inc.	Common Shares	Campbell, Kenneth	4	2020-12-17	46		2,111	1,304
TeraGo Inc.	Common Shares	Gerber, Matthew	4	2020-12-17	46		71,598	4,780
TeraGo Inc.	Common Shares	Martin, Michael James	4	2020-12-17	46		21,641	1,847
TeraGo Inc.	Common Shares	Sherlock, Gary Neil	4	2020-12-17	46		38,911	2,173
Tesoro Minerals Corp.	Common Shares	McLean, Scott	4	2013-01-03	00			
Tesoro Minerals Corp.	Common Shares	McLean, Scott	4	2020-12-08	11	0.05	100,000	100,000
Tesoro Minerals Corp.	Common Shares	McLean, Scott	4	2020-12-08	11	0.05		5,000
Tesoro Minerals Corp.	Common Shares	McLean, Scott	4	2020-12-08	11	0.05		5,000
Tesoro Minerals Corp.	Warrants	McLean, Scott	4	2013-01-03	00			
Tesoro Minerals Corp.	Warrants	McLean, Scott	4	2020-12-08	11	0.1	100,000	100,000
Tesoro Minerals Corp.	Warrants	McLean, Scott	4	2020-12-08	11	0.1		5,000
Tesoro Minerals Corp.	Warrants	McLean, Scott	4	2020-12-08	11	0.1		5,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-12-14	11	0.7	27,531,708	3,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-12-15	10	0.7	27,542,708	11,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-12-16	10	0.7	27,551,708	9,000
TFI International Inc.	Common Shares	BØdard, Alain	4, 5	2020-12-15	57	67.751	4,165,144	15,326
TFI International Inc.	Restricted Share Units	BØdard, Alain	4, 5	2020-12-15	57	67.751	98,175	-32,822
TFI International Inc.	Common Shares	Saperstein, David Joseph	5	2020-12-15	57	67.751	4,803	1,210
TFI International Inc.	Restricted Share Units	Saperstein, David Joseph	5	2020-12-15	57	67.751	9,296	-1,600
TFI International Inc.	Common Shares	TFI International Inc.	1	2020-12-14	10	68.016	45,827	5,827
TFI International Inc.	Common Shares	TFI International Inc.	1	2020-12-14	10	68.27	45,901	74
TFI International Inc.	Common Shares	TFI International Inc.	1	2020-12-15	97		74	-45,827
TFI International Inc.	Common Shares	TFI International Inc.	1	2020-12-15	10		0	-74
The Bitcoin Fund	Units Class F	Van Eck Associates Corporation	3	2020-12-11	10	20.3	29,000	-14,000
THE CALDWELL PARTNERS INTERNATIONAL INC.	Options	Beck, Carl Christopher	5	2020-10-08	50		450,000	200,000
THE CALDWELL PARTNERS INTERNATIONAL INC.	Performance Stock Units	Beck, Carl Christopher	5	2020-12-17	59	0.8427	497,297	-170,125
THE CALDWELL PARTNERS INTERNATIONAL INC.	Performance Stock Units	Beck, Carl Christopher	5	2020-12-17	56		636,856	139,559

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
THE CALDWELL PARTNERS INTERNATIONAL INC.	Options	Falagario, Michael R.J.	7	2010-02-05	00			
THE CALDWELL PARTNERS INTERNATIONAL INC.	Options	Falagario, Michael R.J.	7	2020-10-08	50		100,000	100,000
THE CALDWELL PARTNERS INTERNATIONAL INC.	Options	Wallace, John Newton	5	2020-10-08	50		100,000	100,000
THE CALDWELL PARTNERS INTERNATIONAL INC.	Performance Stock Units	Wallace, John Newton	5	2020-12-17	59	0.8427	994,316	-400,356
THE CALDWELL PARTNERS INTERNATIONAL INC.	Performance Stock Units	Wallace, John Newton	5	2020-12-17	56		1,270,215	275,899
The Ether Fund	Units QETH.U Class A (US\$)	Atkinson, Howard John	7	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Atkinson, Howard John	7	2020-12-10	15	10.75	6,000	6,000
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-10	15	10.75		900
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-10	15	10.75		900
The Ether Fund	Units QETH.U Class A (US\$)	Cox, Anthony	4	2020-12-10	15	10.75	900	900
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	15	10.53		1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	15	10.53		1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	36	10.53		-1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	36	10.53		-1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	15	10.53		1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	15	10.53		1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	36	10.53		-1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	36	10.53		-1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	15	10.53	1,000	1,000
The Ether Fund	Units Class F (US\$)	Loeprich, John	5	2020-12-10	36	10.53	0	-1,000
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-01	00			
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-10	36	10.75		1,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-10	36	10.75		1,000
The Ether Fund	Units QETH.U Class A (US\$)	Loeprich, John	5	2020-12-10	36	10.75	1,000	1,000
The Ether Fund	Units QETH.U Class A (US\$)	Van Eck Associates Corporation	3	2020-12-10	00			
The Ether Fund	Units QETH.U Class A (US\$)	Van Eck Associates Corporation	3	2020-12-14	10		27,800	27,800
The Green Organic Dutchman Holdings Ltd.	Options	Bertrand, Marc	4	2020-12-08	50		1,020,000	750,000
The Green Organic Dutchman Holdings Ltd.	Options	Dessureault, Jacques	4	2020-12-08	50		760,000	400,000
The Green Organic Dutchman Holdings Ltd.	Options	KIRTON, Nicholas Grenville	4	2020-12-08	50		1,335,000	600,000
The Green Organic Dutchman Holdings Ltd.	Options	MacCallum, Caroline	4	2020-12-08	50		760,000	400,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Scott, Jeffrey J.	4	2020-12-14	10	0.255	375,000	200,000
The Green Organic Dutchman Holdings Ltd.	Options	Scott, Jeffrey J.	4	2020-12-08	50		1,720,000	750,000
The North West Company Inc.	Variable Voting and Common Voting Shares	Riley, Sanford	4	2020-12-14	10	34.72	4,200	-5,800
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2020-12-11	10	1.49	2,395,042	-800
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2020-12-11	10	1.48	2,387,042	-8,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Rose, Laurence David	4	2020-12-11	10	1.5	2,385,042	-2,000
The Toronto-Dominion Bank	Options	Ahmed, Riaz	5	2020-12-12	50	71.88	495,664	51,696
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Ahmed, Riaz	5	2020-12-12	59	71.88	40,093	-20,862
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Ahmed, Riaz	5	2020-12-12	46	71.88	55,836	15,743
The Toronto-Dominion Bank	Options	BAMBAWALE, AJAI	5	2020-12-12	50	71.88	185,868	41,688
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	BAMBAWALE, AJAI	5	2020-12-12	46	71.88	7,836	2,040
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	BAMBAWALE, AJAI	5	2020-12-12	59	71.88	29,386	-10,901
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	BAMBAWALE, AJAI	5	2020-12-12	46	71.88	42,081	12,695
The Toronto-Dominion Bank	Rights Vesting Share Units (VSU)	BAMBAWALE, AJAI	5	2018-02-01	00			
The Toronto-Dominion Bank	Rights Vesting Share Units (VSU)	BAMBAWALE, AJAI	5	2020-12-12	46	71.88	3,478	3,478
The Toronto-Dominion Bank	Options	Braca, Gregory B.	5	2020-12-12	50	71.88	171,480	33,604
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Braca, Gregory B.	5	2020-12-12	59	71.88	72,983	-27,320

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Braca, Gregory B.	5	2020-12-12	46	71.88	100,718	27,735
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Brinkley, Amy Woods	4, 7	2020-12-12	46	71.88	60,050	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Brinkley, Amy Woods	4, 7	2020-12-12	46	71.88	61,427	1,377
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Campbell, Norie Clare	5	2020-12-13	46	71.82	2,639	10
The Toronto-Dominion Bank	Options	Campbell, Norie Clare	5	2020-12-09	51	52.46		-17,330
The Toronto-Dominion Bank	Options	Campbell, Norie Clare	5	2020-12-09	51	52.46	196,470	-17,330
The Toronto-Dominion Bank	Options	Campbell, Norie Clare	5	2020-12-12	50	71.88	238,158	41,688
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Campbell, Norie Clare	5	2020-12-12	59	71.88	29,511	-13,159
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Campbell, Norie Clare	5	2020-12-12	46	71.88	42,206	12,695
The Toronto-Dominion Bank	Rights Vesting Share Units (VSU)	Campbell, Norie Clare	5	2013-04-15	00			
The Toronto-Dominion Bank	Rights Vesting Share Units (VSU)	Campbell, Norie Clare	5	2020-12-12	46	71.88	2,782	2,782
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Chauvin, Mark Russell	7	2020-12-12	59	71.88	1,076	-19,344
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Condron, P. Kevin	7	2020-12-12	46	71.88	25,947	1,377
The Toronto-Dominion Bank	Options	Currie, Theresa Lynn	5	2020-12-12	50	71.88	408,884	78,172
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Currie, Theresa Lynn	5	2020-12-12	59	71.88	65,853	-19,180
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Currie, Theresa Lynn	5	2020-12-12	46	71.88	89,659	23,806
The Toronto-Dominion Bank	Options	Dorrance, Robert E	5	2020-12-12	50	71.88	761,708	134,608
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Dorrance, Robert E	5	2020-12-12	59	71.88	95,493	-47,961
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Dorrance, Robert E	5	2020-12-12	46	71.88	149,704	54,211
The Toronto-Dominion Bank	Options	Douglas, Paul Campbell	5	2020-12-12	50	71.88	326,292	33,028
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Douglas, Paul Campbell	5	2020-12-12	59	71.88	26,608	-12,668
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Douglas, Paul Campbell	5	2020-12-12	46	71.88	36,665	10,057
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Ferguson, Brian Charles	4	2020-12-12	46	71.88	23,948	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Goggins, Colleen	4	2020-12-12	46	71.88	40,367	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Grayson, Stanley	7	2020-12-12	46	71.88	22,588	1,377
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Halde, Jean-Rene	4	2020-12-12	46	71.88	19,644	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Kepler, David E.	4	2020-12-12	46	71.88	15,761	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Levenson, Dana S.	7	2020-12-12	46	71.88	25,946	1,377

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Levitt, Brian	4	2020-12-12	46	71.88	109,595	3,095
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	MacGibbon, Alan	4, 7	2020-12-12	46	71.88	38,999	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	MacGibbon, Alan	4, 7	2020-12-12	46	71.88	40,376	1,377
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Maidment, Karen	4	2020-12-12	46	71.88	47,904	1,565
The Toronto-Dominion Bank	Options	Masrani, Bharat	4, 7, 5	2020-12-12	50	71.88	1,780,660	220,432
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Masrani, Bharat	4, 7, 5	2020-12-12	59	71.88	162,391	-72,189
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Masrani, Bharat	4, 7, 5	2020-12-12	46	71.88	229,521	67,130
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Miller, Irene Ruth	4	2020-12-12	46	71.88	92,136	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mohamed, Nadir	4	2020-12-12	46	71.88	65,574	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mongeau, Claude	4	2020-12-12	46	71.88	23,049	1,565
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Prezzano, Wilbur J	7	2020-12-12	46	71.88	141,408	1,377
The Toronto-Dominion Bank	Options	Rhodes, Michael George	5	2020-12-12	50	71.88	191,324	29,984
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Rhodes, Michael George	5	2020-12-12	59	71.88	66,857	-24,002
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Rhodes, Michael George	5	2020-12-12	46	71.88	91,600	24,743
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Rowe, Jane	4	2020-04-02	00			
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Rowe, Jane	4	2020-04-30	46	58.86	122	122
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Rowe, Jane	4	2020-07-31	46	59.47	482	360
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Rowe, Jane	4	2020-10-30	46	58.4	856	374
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Rowe, Jane	4	2020-12-12	46	71.88	2,716	1,565
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Salom, Leo	5	2020-12-09	51	53.15		2,100
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Salom, Leo	5	2020-12-10	51	53.15	24,484	24,484
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Salom, Leo	5	2020-12-10	10	72.41	0	-24,484
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Salom, Leo	5	2020-12-10	51	53.15	2,100	2,100
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Salom, Leo	5	2020-12-10	47	72.37	0	-2,100
The Toronto-Dominion Bank	Options	Salom, Leo	5	2020-12-10	51	53.15	178,160	-24,484
The Toronto-Dominion Bank	Options	Salom, Leo	5	2020-12-10	51	53.15	176,060	-2,100
The Toronto-Dominion Bank	Options	Salom, Leo	5	2020-12-12	50	71.88	233,816	57,756
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Salom, Leo	5	2020-12-12	59	71.88	40,619	-16,204

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Salom, Leo	5	2020-12-12	46	71.88	58,208	17,589
The Toronto-Dominion Bank	Rights Vesting Share Units (VSU)	Salom, Leo	5	2020-12-12	46	71.88	23,337	3,478
The Toronto-Dominion Bank	Options	Tran, Kelvin Vi Luan	5	2020-12-12	50	71.88	101,535	12,852
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Tran, Kelvin Vi Luan	5	2020-12-12	59	71.88	12,628	-5,408
The Toronto-Dominion Bank	Rights Performance Share Units (PSU)	Tran, Kelvin Vi Luan	5	2020-12-12	46	71.88	20,347	7,719
The Toronto-Dominion Bank	Rights Restricted Share Units (RSU)	Tran, Kelvin Vi Luan	5	2019-07-08	00			
The Toronto-Dominion Bank	Rights Restricted Share Units (RSU)	Tran, Kelvin Vi Luan	5	2020-12-12	46	71.88	1,776	1,776
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Vigue, Peter G	7	2020-12-12	46	71.88	43,705	1,377
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	von Althann, Natica	7	2020-12-12	46	71.88	23,657	1,377
Thomson Reuters Corporation	Deferred Share Units	Binet, David W.	4, 6	2020-12-15	30	80.4	32,972	155
Thomson Reuters Corporation	Deferred Share Units	Binet, David W.	4, 6	2020-12-15	46	80.4	33,672	700
Thomson Reuters Corporation	Common Shares	Friedenberg, Michael	7	2020-12-10	57		31,456	17,563
Thomson Reuters Corporation	Restricted Share Units	Friedenberg, Michael	7	2020-12-10	57		61,713	-34,418
Thomson Reuters Corporation	Restricted Share Units	Pandita, Sunil	5	2020-11-30	00			
Thomson Reuters Corporation	Restricted Share Units	Pandita, Sunil	5	2020-12-10	56		21,056	21,056
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2020-12-15	30	106.79	327,661,048	56,108
Thomson Reuters Corporation	Deferred Share Units	Thomson, David Kenneth Roy	4, 6	2020-12-15	30	80.4	99,617	469
Thomson Reuters Corporation	Deferred Share Units	Thomson, David Kenneth Roy	4, 6	2020-12-15	46	80.4	101,483	1,866
Thomson Reuters Corporation	Deferred Share Units	Thomson, Peter J.	4, 6	2020-12-15	30	80.4	12,179	57
Thomson Reuters Corporation	Deferred Share Units	Thomson, Peter J.	4, 6	2020-12-15	46	80.4	12,412	233
Thomson Reuters Corporation	Common Shares	Vuicic, Mary Alice	5	2020-12-15	57		25,859	8,367
Thomson Reuters Corporation	Restricted Share Units	Vuicic, Mary Alice	5	2020-12-15	57		64,572	-18,008
ThreeD Capital Inc.	Common Shares	1313366 Ontario Inc.	3	2020-12-14	10	0.5967	884,000	28,000
ThreeD Capital Inc.	Common Shares	1313366 Ontario Inc.	3	2020-12-15	10	0.6737	924,000	40,000
ThreeD Capital Inc.	Common Shares	Kopman, Jeff	6	2020-12-14	10	0.5967	884,000	28,000
ThreeD Capital Inc.	Common Shares	Kopman, Jeff	6	2020-12-15	10	0.6737	924,000	40,000
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2020-12-18	10	8.7002	718,499	-186,600
TIMIA Capital Corp.	Common Shares	Walkinshaw, Michael Christopher	4	2020-12-10	10	0.215	4,295,086	8,000
TIMIA Capital Corp.	Common Shares	Walkinshaw, Michael Christopher	4	2020-12-14	10	0.23	4,297,086	2,000
TMX Group Limited	Rights Restricted Share Units	Bush, Cindy	5	2020-12-07	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TMX Group Limited	Rights Restricted Share Units	Bush, Cindy	5	2020-12-07	56	127.66	783	783
Tombill Mines Limited	Common Shares	Alexander, John	4	2020-12-09	00			
Topaz Energy Corp.	Common Shares	Davidson, Jim	4	2020-12-11	10	13.95	119,765	1,600
Toromont Industries Ltd.	Common Shares	Cuddy, Mike	5	2020-12-14	10	94.65	35,599	-2,800
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	92.502		-10,000
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	92.502	1,195,548	-9,500
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	93.202		-10,000
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	93.202	1,184,948	-9,500
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	93.26	1,184,848	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	93.25	1,184,748	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	93.24	1,184,448	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	92.545	1,184,248	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-09	10	92.54	1,183,948	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-10	10	93	1,181,548	-2,400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.48	1,181,048	-500
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.42	1,180,948	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.4	1,180,748	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.39	1,180,648	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.38	1,178,948	-1,700
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.37	1,177,948	-1,000
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.36	1,175,648	-2,300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.34	1,175,548	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.33	1,175,248	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.32	1,174,648	-600
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.3	1,174,248	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.29	1,174,048	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.28	1,173,648	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.27	1,173,348	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.26	1,173,048	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93.25	1,143,588	-29,460
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-11	10	93	1,128,888	-14,700
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.48		-500
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.42		-100

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.4		-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.39		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.38		-1,700
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.37		-1,000
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.36		-2,300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.34		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.33		-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.32		-600
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.3		-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.62	1,128,488	-400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	11	93.6		-9,400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	11	93.6		-9,400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.63		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.63		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	11	93.63		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	11	93.63		-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.6	1,119,088	-9,400
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	93.63	1,118,888	-200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.1	1,118,788	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.25	1,109,588	-9,200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.11	1,109,488	-100
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.03	1,109,188	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.02	1,108,888	-300
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.25	1,098,688	-10,200
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.5	1,089,788	-8,900
Toromont Industries Ltd.	Common Shares	Ogilvie, Robert M.	4	2020-12-14	10	94.255	1,088,688	-1,100
Toromont Industries Ltd.	Common Shares	Rethy, Katherine Anne	4	2020-12-14	10	90.41		-700
Toromont Industries Ltd.	Common Shares	Rethy, Katherine Anne	4	2020-12-14	10	94.01	1,000	-700
Toromont Industries Ltd.	Common Shares	Rethy, Katherine Anne	4	2020-12-14	10	93.97	988	-12
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-12-16	10	3.5	320,000	20,000
TransAlta Corporation	DSU (Deferred Share Units)	Ambrose, Ronalee Hope	4	2020-12-16	56	9.1	44,389	4,396
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-12-14	90	4.1387	20,450,798	770,204

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2020-12-14	90	4.1387	12,996,667	-770,204
TransAlta Corporation	Common Shares	Dielwart, John Patrick	4	2020-12-16	30	9.0699	17,225	4,548
TransAlta Corporation	DSU (Deferred Share Units)	Fohrer, Alan John	4	2020-12-16	56	9.1	110,479	2,806
TransAlta Corporation	Common Shares	Gellner, Brett	5	2020-12-17	10	9.03	2,382	-102,298
TransAlta Corporation	Common Shares	KADONAGA, Shasta Rae	5	2020-12-08	00		65	
TransAlta Corporation	Common Shares	KADONAGA, Shasta Rae	5	2020-12-08	00		189	
TransAlta Corporation	PSU (Performance Share Units)	KADONAGA, Shasta Rae	5	2020-12-08	00		14,364	
TransAlta Corporation	RSU (Restricted Share Units)	KADONAGA, Shasta Rae	5	2020-12-08	00		7,182	
TransAlta Corporation	DSU (Deferred Share Units)	Mansour, Yakout	4	2020-12-16	56	9.1	116,157	2,806
TransAlta Corporation	DSU (Deferred Share Units)	Nelson, Georgia Ricci	4	2020-12-16	56	9.1	107,678	2,807
TransAlta Corporation	DSU (Deferred Share Units)	Park, Beverlee Faye	4	2020-12-16	56	9.1	90,885	2,197
TransAlta Corporation	DSU (Deferred Share Units)	Pinney, Bryan Daniel	4	2020-12-16	56	9.1	55,689	4,396
TransAlta Corporation	DSU (Deferred Share Units)	SHARMAN, SANDY	4	2020-12-16	56	9.1	13,144	4,396
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Drinkwater, David William	4	2020-12-15	56	18.18	30,037	481
TransAlta Renewables Inc.	DSU (Deferred Share Units)	TAYLOR, PAUL H. E.	4	2020-12-15	56	18.18	34,506	344
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Desaulniers, Christine	7, 5	2020-12-15	38	21.01	41,738	-1,578
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoet	5	2020-10-19	56	16.17		54
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoet	5	2020-10-19	56	16.17	12,283	52
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoet	5	2020-12-15	38	21.01	11,555	-728
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-12-15	38	21.01	37,036	-730
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2020-12-15	56	21.01	39,761	14,279
TransGlobe Energy Corporation	Common Shares	Neely, Randy	4, 5	2020-12-11	10	1.23	250,000	50,000
Transition Metals Corp.	Options	McLean, Scott	5	2020-12-18	50	0.15		500,000
Transition Metals Corp.	Options	McLean, Scott	5	2020-12-18	50	0.15		500,000
Transition Metals Corp.	Options	McLean, Scott	5	2020-12-18	50	0.155	1,324,500	500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trican Well Service Ltd.	Rights Deferred Share Units (DSUs)	Alford, Thomas Malcolm	4	2020-12-08	00			
Trican Well Service Ltd.	Rights Deferred Share Units (DSUs)	Alford, Thomas Malcolm	4	2020-12-15	56		2,981	2,981
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2020-12-16	10	1.6	298,700	-49,700
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2020-12-16	10	1.6	30,460,000	-501,900
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2020-12-16	10	1.6	29,498,100	-961,900
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Baldrige, Kevin	7	2020-12-14	57	11.42	88,147	10,705
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Baldrige, Kevin	7	2020-12-14	57	11.42	11,293	-10,705
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Baldrige, Kevin	7	2020-12-14	38	11.42	3	-11,290
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Baldrige, Kevin	7	2020-12-15	56	11.5	19,970	19,967
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Common Shares	Berman, David	3, 4, 6, 5	2020-12-10	57	10.97	1,405,587	60,438
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, David	3, 4, 6, 5	2020-12-10	57	10.97	431,437	-60,438
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, David	3, 4, 6, 5	2020-12-15	56	11.5	456,220	24,783
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, David	3, 4, 6, 5	2020-12-15	56	11.5	96,030	24,783
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, Gary	4, 5	2020-12-15	56	11.5	896,662	65,571
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Berman, Gary	4, 5	2020-12-15	56	11.5	358,446	87,310
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Berman, Gary	4, 5	2020-12-15	10	11.609	314,804	47,558
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Carmody, Andrew	5	2020-12-15	56	11.5	85,023	21,391
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Carmody, Andrew	5	2020-12-15	56	11.5	78,309	21,391
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Dube, Evelyne	5	2020-12-15	56	11.5	33,434	14,976
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Ellenzweig, Jonathan	5	2020-12-15	50	11.5	419,736	149,707
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Ellenzweig, Jonathan	5	2020-12-15	56	11.5	110,151	26,207

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Francis, Wissam	5	2020-12-15	56	11.5	71,529	12,870
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Options	Francis, Wissam	5	2020-12-15	50	11.5	199,673	49,673
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Francis, Wissam	5	2020-12-15	56	11.5	98,427	23,739
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Francis, Wissam	5	2020-12-15	10	11.609	54,307	4,756
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Joyner, Andrew	5	2020-12-15	56	11.5	47,373	13,011
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-12-15	56	11.5	39,309	5,758
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-12-15	56	11.5		5,758
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-12-15	56	11.5		5,758
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2020-12-15	56	11.5	47,742	12,391
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Quesnel, Douglas Paul	5	2020-12-15	56	11.5	41,406	5,435
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Suski, Sherrie	5	2020-05-14	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Suski, Sherrie	5	2020-12-15	56	11.5	6,656	6,656
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Veneziano, David	5	2020-12-15	56	11.5	47,920	13,148
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Performance Share Units	Veneziano, David	5	2020-12-15	56	11.5	51,677	13,148
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2011-08-25	00			
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-14	51	0.77	106,908	106,908
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-14	10	11.745	0	-106,908
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-15	51	0.77	43,092	43,092
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-15	10	11.63	0	-43,092
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-15	51	0.38	21,046	21,046
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-15	10	11.63	0	-21,046
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-16	51	0.38	14,162	14,162
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-16	10	11.311	0	-14,162

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-18	51	4.23	65,104	65,104
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2020-12-18	10	12.717	0	-65,104
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2011-08-25	00			
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2011-08-25	00			
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2011-08-25	00			
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-09-29	90		463,529	463,529
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-12-14	51	0.77	356,621	-106,908
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-12-15	51	0.77	313,529	-43,092
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-12-15	51	0.38	292,483	-21,046
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-12-16	51	0.38	278,321	-14,162
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-12-18	51	4.23	213,217	-65,104
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-09-29	90			-463,529
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-09-29	90			-463,529
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2020-09-29	90		107,893	-463,529
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2013-04-09	00			
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-14	51	0.77	106,908	106,908
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-14	10	11.745	0	-106,908
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-15	51	0.77	43,092	43,092
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-15	10	11.63	0	-43,092
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-15	51	0.38	21,037	21,037
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-15	10	11.63	0	-21,037
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-16	51	0.38	14,171	14,171
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-16	10	11.529	0	-14,171
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-16	51	4.23	48,228	48,228
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-16	10	11.529	0	-48,228
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	51	4.23	16,876	16,876
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	10	11.85	0	-16,876
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	51	10.35	26,089	26,089
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	10	11.85	0	-26,089
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	51	9.2	13,851	13,851
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	10	11.85	0	-13,851
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	51	8.34	20,226	20,226
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	10	11.85	0	-20,226

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	51	7.5	4,250	4,250
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2020-12-17	10	11.85	0	-4,250
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-09-29	90		463,529	463,529
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-14	51	0.77	356,621	-106,908
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-15	52	0.77	313,529	-43,092
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-15	51	0.38	292,492	-21,037
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-16	51	0.38	278,321	-14,171
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-16	51	4.23	230,093	-48,228
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-17	51	4.23	213,217	-16,876
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-17	51	10.35	187,128	-26,089
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-17	51	9.2	173,277	-13,851
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-17	51	8.34	153,051	-20,226
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-12-17	51	7.5	148,801	-4,250
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-09-29	97			-463,529
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-09-29	97			-463,529
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2020-09-29	90		107,895	-463,529
Trillium Therapeutics Inc.	Options	Shou, Yaping	5	2018-06-11	00			
Trillium Therapeutics Inc.	Options	Shou, Yaping	5	2020-09-29	90		275,833	275,833
Trillium Therapeutics Inc.	Options	Shou, Yaping	5	2020-09-29	90		379,167	-275,833
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2019-09-25	00			
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-14	51	0.54	185,993	185,993
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-14	10	11.804	0	-185,993
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-15	51	0.54	114,007	114,007
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-15	10	11.624	0	-114,007
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-15	51	0.54	28,774	28,774
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-15	10	11.653	0	-28,774
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-16	51	0.54	161,094	161,094
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-16	10	11.53	0	-161,094
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-17	51	0.54	35,132	35,132
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-17	10	11.788	0	-35,132

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-17	51	0.38	75,000	75,000
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2020-12-17	10	11.788	0	-75,000
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2019-09-25	00			
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2019-09-25	00			
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2019-09-25	00			
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-09-29	90		900,000	900,000
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-14	51	0.54	714,007	-185,993
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-15	51	0.54	600,000	-114,007
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-15	51	0.54	571,226	-28,774
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-16	51	0.54	410,132	-161,094
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-17	51	0.54	375,000	-35,132
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-12-17	51	0.38	300,000	-75,000
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-09-29	90			-900,000
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-09-29	90			-900,000
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2020-09-29	90		1,215,000	-900,000
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2013-04-09	00			
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	51	10.35	42,066	42,066
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	10	11.745	0	-42,066
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	51	9.2	20,911	20,911
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	10	11.745	0	-20,911
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	51	8.34	33,713	33,713
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	10	11.745	0	-33,713
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	51	7.5	8,501	8,501
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	10	11.745	0	-8,501
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	51	4.23	15,082	15,082
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-14	10	11.745	0	-15,082
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-15	51	4.23	57,834	57,834
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-15	10	11.63	0	-57,834
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-15	51	0.77	13,249	13,249
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-15	10	11.63	0	-13,249
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-16	51	0.77	69,069	69,069
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-16	10	11.529	0	-69,069
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-17	51	0.77	67,682	67,682

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-17	10	11.855	0	-67,682
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-17	51	0.38	25,702	25,702
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-17	10	11.855	0	-25,702
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-18	51	0.38	21,693	21,693
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2020-12-18	10	12.192	0	-21,693
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2013-04-09	00			
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-09-29	90		519,591	519,591
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-14	51	10.35	477,525	-42,066
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-14	51	9.2	456,614	-20,911
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-14	51	8.34	422,901	-33,713
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-14	51	7.5	414,400	-8,501
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-14	51	4.23	399,318	-15,082
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-15	51	4.23	341,484	-57,834
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-15	51	0.77	328,235	-13,249
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-16	51	0.77	259,166	-69,069
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-17	51	0.77	191,484	-67,682
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-17	51	0.38	165,782	-25,702
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-12-18	51	0.38	144,089	-21,693
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-09-29	90			-519,591
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-09-29	90			-519,591
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2020-09-29	90		136,795	-519,591
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hensley, William L. Iggiagruk	4	2017-12-22	00			
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hensley, William L. Iggiagruk	4	2020-12-10	10	1.93	2,900	2,900
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hensley, William L. Iggiagruk	4	2020-12-10	10	1.94	5,000	2,100
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Lang, Gregory Anthony	4	2020-12-10	50	2.52	400,000	100,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Walters, Diana	4	2020-12-11	10	1.83	10,000	2,000
TriStar Gold Inc.	Common Shares	Zaunscherb, Eric	4	2020-12-10	00		68,000	
TriStar Gold Inc.	Options	Zaunscherb, Eric	4	2020-12-10	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TriStar Gold Inc.	Options	Zaunsherb, Eric	4	2020-12-18	50	0.245	300,000	300,000
TRU Precious Metals Corp.	Common Shares	Greene, Barry	4, 5	2020-12-17	00		750,000	
TRYP Therapeutics Inc.	Common Shares	Jull, Gage Philip	4	2020-09-25	00			
TRYP Therapeutics Inc.	Common Shares	Jull, Gage Philip	4	2020-09-25	00			
TRYP Therapeutics Inc.	Common Shares	Jull, Gage Philip	4	2020-09-25	11		392,400	392,400
TRYP Therapeutics Inc.	Common Shares	Kuo, James	4	2019-09-24	00			
TRYP Therapeutics Inc.	Common Shares	Kuo, James	4	2019-09-24	11		6,000,000	6,000,000
Tucows Inc.	Common Shares	Woroch, David John	5	2020-12-14	10	76.337	61,372	-4,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2020-12-14	47		1,923,000	-150,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2020-12-14	10	0.79	1,933,000	10,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2020-12-14	10	0.8	1,938,000	5,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2020-12-14	10	0.82	1,940,500	2,500
TVA Group Inc.	UnitO d'action diff@rOe	Croteau, Lise	6	2020-12-15	59	2.14	0	-10,042
TVA Group Inc.	Options d'achat d'actions classe B	Rozon, Denis	5	2020-12-14	99		80,000	-20,000
U.S. Financials Income Fund	Trust Units Class A (CAD \$)	World Financial Split Corp.	8	2020-12-15	10	5.38	61,300	-5,100
Ucore Rare Metals Inc.	Warrants	Johnson, Randy T.	3	2020-12-10	55			-1,666,667
Ucore Rare Metals Inc.	Warrants	Johnson, Randy T.	3	2020-12-10	55			-1,666,667
Ucore Rare Metals Inc.	Warrants	Johnson, Randy T.	3	2020-12-11	37			-1,500,001
Ucore Rare Metals Inc.	Warrants	Johnson, Randy T.	3	2020-12-11	37			-1,500,001
Ucore Rare Metals Inc.	Warrants	Johnson, Randy T.	3	2020-12-11	37		773,333	-1,500,000
Ucore Rare Metals Inc.	Warrants	Orca Holdings, LLC	3	2018-06-08	16			1,666,667
Ucore Rare Metals Inc.	Warrants	Orca Holdings, LLC	3	2018-06-08	16		11,408,772	1,666,667
Ucore Rare Metals Inc.	Warrants	Orca Holdings, LLC	3	2020-12-10	55			-1,666,667
Ucore Rare Metals Inc.	Warrants	Orca Holdings, LLC	3	2020-12-10	55			-1,666,667
Ucore Rare Metals Inc.	Warrants	Orca Holdings, LLC	3	2020-12-11	37		773,333	-1,500,000
Ucore Rare Metals Inc.	Common Shares	Ryan, Patrick	4	2020-12-11	37		300	-2,700
Ucore Rare Metals Inc.	Common Shares	Ryan, Patrick	4	2020-12-11	37			-10,300
Ucore Rare Metals Inc.	Common Shares	Ryan, Patrick	4	2020-12-11	37			-10,300
Ucore Rare Metals Inc.	Common Shares	Ryan, Patrick	4	2020-12-11	37		10,300	-92,700
Ucore Rare Metals Inc.	Common Shares	Ryan, Patrick	4	2020-12-11	37		1,690	-15,210
Ucore Rare Metals Inc.	Options	Ryan, Patrick	4	2020-12-10	52		600,000	-1,150,000
Ucore Rare Metals Inc.	Options	Ryan, Patrick	4	2020-12-11	37		330,000	-270,000
Ucore Rare Metals Inc.	Options	Ryan, Patrick	4	2020-12-11	37		60,000	-270,000
Ucore Rare Metals Inc.	Rights Deferred Share Units	Ryan, Patrick	4	2020-12-11	37		3,070	-27,630
Ucore Rare Metals Inc.	Warrants	Ryan, Patrick	4	2020-12-11	37		500	-4,500
UGE International Ltd.	Options	Adkins, Tyler	5	2020-12-09	50	1.8	177,825	100,000
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Parmar, Amandeep Singh	4	2020-09-09	00			
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Parmar, Amandeep Singh	4	2020-11-06	50	0.64	300,000	300,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Universal PropTech Inc.	Common Shares	2612489 Ontario Ltd.	3	2020-12-14	36	0.05	2,363,067	1,545,348
Universal PropTech Inc.	Convertible Debentures 12%	2612489 Ontario Ltd.	3	2020-12-14	36	0.05	\$0	-\$77,267
Universal PropTech Inc.	Common Shares	Access Wealth Corporation	3	2020-12-14	00		2,298,567	
Universal PropTech Inc.	Warrants	Access Wealth Corporation	3	2020-12-14	00		772,674	
Universal PropTech Inc.	Common Shares	Bilodeau, Peter	3	2020-12-14	36	0.05	1,317,954	1,236,278
Universal PropTech Inc.	Convertible Debentures 12%	Bilodeau, Peter	3	2020-12-14	36	0.05	\$0	-\$61,814
Upco International Inc.	Common Shares	Pagani, Andrea	4, 5	2020-12-17	10	0.04	5,208,571	80,000
Ur-Energy Inc.	Common Shares	Boberg, Walter William	5	2020-12-11	51	0.8	852,453	56,470
Ur-Energy Inc.	Common Shares	Boberg, Walter William	5	2020-12-11	10	0.82	795,983	-56,470
Ur-Energy Inc.	Common Shares	Boberg, Walter William	5	2020-12-14	57	0.8	808,615	12,632
Ur-Energy Inc.	Options	Boberg, Walter William	5	2020-12-11	51	0.8	761,668	-56,470
Ur-Energy Inc.	Restricted Share Units	Boberg, Walter William	5	2020-12-14	57	0.8	101,873	-12,632
Ur-Energy Inc.	Common Shares	Cash, John William	5	2020-12-14	57	0.8	187,560	10,519
Ur-Energy Inc.	Options	Cash, John William	5	2020-12-11	52	0.8	785,055	-65,676
Ur-Energy Inc.	Restricted Share Units	Cash, John William	5	2020-12-14	57	0.8	90,152	-13,905
Ur-Energy Inc.	Common Shares	Chang, Robby Sai Kit	4	2020-12-14	57	0.8	16,027	5,870
Ur-Energy Inc.	Restricted Share Units	Chang, Robby Sai Kit	4	2020-12-14	57	0.8	101,873	-12,632
Ur-Energy Inc.	Common Shares	Franklin, James	4	2020-12-14	57	0.8	558,588	5,870
Ur-Energy Inc.	Options	Franklin, James	4	2020-12-11	52	0.8	761,668	-56,470
Ur-Energy Inc.	Restricted Share Units	Franklin, James	4	2020-12-14	57	0.8	101,873	-12,632
Ur-Energy Inc.	Common Shares	Goplerud, Penne Ann	5	2020-12-14	57	0.8	224,580	11,822
Ur-Energy Inc.	Options	Goplerud, Penne Ann	5	2020-12-11	52	0.8	939,892	-78,632
Ur-Energy Inc.	Restricted Share Units	Goplerud, Penne Ann	5	2020-12-14	57	0.8	107,929	-16,647
Ur-Energy Inc.	Common Shares	Hatten, Steven Marcal	5	2020-12-14	57	0.8	182,428	11,037
Ur-Energy Inc.	Options	Hatten, Steven Marcal	5	2020-12-11	52	0.8	823,723	-68,916
Ur-Energy Inc.	Restricted Share Units	Hatten, Steven Marcal	5	2020-12-14	57	0.8	94,589	-14,590
Ur-Energy Inc.	Common Shares	Huber, Gary Chase	4	2020-12-14	57	0.8	185,086	12,632
Ur-Energy Inc.	Options	Huber, Gary Chase	4	2020-12-11	52	0.8	761,668	-56,470
Ur-Energy Inc.	Restricted Share Units	Huber, Gary Chase	4	2020-12-14	57	0.8	101,873	-12,632
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2020-12-14	57	0.8	2,816,172	18,435
Ur-Energy Inc.	Options	Klenda, Jeffrey T.	5	2020-12-11	52	0.8	1,670,316	-199,340
Ur-Energy Inc.	Restricted Share Units	Klenda, Jeffrey T.	5	2020-12-14	57	0.8	219,478	-25,958
Ur-Energy Inc.	Common Shares	Parker, Thomas Howard	4	2020-12-14	57	0.8	203,900	12,632
Ur-Energy Inc.	Options	Parker, Thomas Howard	4	2020-12-11	52	0.8	761,668	-56,470
Ur-Energy Inc.	Restricted Share Units	Parker, Thomas Howard	4	2020-12-14	57	0.8	101,873	-12,632
Ur-Energy Inc.	Common Shares	Smith, Roger L.	5	2020-12-14	57	0.8	341,336	13,150
Ur-Energy Inc.	Options	Smith, Roger L.	5	2020-12-11	52	0.8	1,045,451	-87,462
Ur-Energy Inc.	Restricted Share Units	Smith, Roger L.	5	2020-12-14	57	0.8	120,052	-18,517
Ur-Energy Inc.	Common Shares	Walker, Kathy E.	4	2020-12-14	57	0.8	80,546	12,632

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Ur-Energy Inc.	Restricted Share Units	Walker, Kathy E.	4	2020-12-14	57	0.8	101,873	-12,632
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-14	10	6.49	1,224,000	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-14	10	6.5	1,229,000	5,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-15	10	6.5	1,254,300	25,300
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-16	10	6.55	1,258,700	4,400
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2020-12-17	10	6.5	1,262,200	3,500
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Knickel, Carin Shirley	4	2020-12-15	56	3.4519	61,458	15,535
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Larke, Stephen Phillip	4	2020-12-15	56	4.736	10,456	2,484
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Leiker, Loren Michael	4	2020-12-15	56	3.4519	21,778	3,544
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Macdonald, Larry	4	2020-12-15	56	4.736	33,676	6,602
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Marchant, Timothy	4	2020-12-15	56	4.736	45,147	10,729
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Michaleski, Robert B.	4	2020-12-15	56	4.736	23,511	5,760
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Roby, William	4	2020-12-15	56	3.4519	30,612	7,088
Vermilion Energy Inc.	Common Shares	Williams, Catherine L.	4	2020-12-15	30	6.2593	30,455	2,067
Vermilion Energy Inc.	Rights Deferred Share Units (Paid in Cash or Shares on Retirement)	Williams, Catherine L.	4	2020-12-15	56	4.736	21,541	4,969
Versus Systems Inc.	Common Shares	Chin, Kelsey	5	2020-12-16	37		125,000	-1,875,000
Versus Systems Inc.	Options	Chin, Kelsey	5	2020-12-16	37		30,899	-463,476
Versus Systems Inc.	Warrants	Chin, Kelsey	5	2020-12-16	37		6,250	-93,750
Versus Systems Inc.	Common Shares	Finster, Craig	5	2020-12-16	37		313	-4,687
Versus Systems Inc.	Options	Finster, Craig	5	2020-12-16	37		110,625	-1,659,375
Versus Systems Inc.	Common Shares	Gahagan, Michelle	4	2020-12-16	37		12,500	-187,500
Versus Systems Inc.	Options	Gahagan, Michelle	4	2020-12-16	37		28,125	-421,875
Versus Systems Inc.	Options	Gahagan, Michelle	4	2020-12-16	37		11,719	-175,781
Versus Systems Inc.	Options	Peachey, Jon Alexander	5	2020-12-16	37		110,625	-1,659,375
Versus Systems Inc.	Common Shares	Peymani, Keyvan	4	2020-12-16	37		78,125	-1,171,875
Versus Systems Inc.	Options	Peymani, Keyvan	4	2020-12-16	37		119,375	-1,790,625
Versus Systems Inc.	Warrants	Peymani, Keyvan	4	2020-12-16	37		78,125	-1,171,875
Versus Systems Inc.	Common Shares	Pierce, Matthew	4, 5	2020-12-16	37		171,543	-2,573,138
Versus Systems Inc.	Options	Pierce, Matthew	4, 5	2020-12-16	37		60,469	-907,031
Versus Systems Inc.	Options	Pierce, Matthew	4, 5	2020-12-16	37		192,125	-2,881,875
Versus Systems Inc.	Warrants	Pierce, Matthew	4, 5	2020-12-16	37		441,188	-6,617,812

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Versus Systems Inc.	Common Shares	Tingle, Brian	4	2020-12-16	37		597,250	-8,958,750
Versus Systems Inc.	Common Shares	Tingle, Brian	4	2020-12-16	37		34,719	-520,781
Versus Systems Inc.	Options	Tingle, Brian	4	2020-12-16	37		39,844	-597,656
Versus Systems Inc.	Warrants	Tingle, Brian	4	2020-12-16	55		0	-750,000
Versus Systems Inc.	Common Shares	Vlasic, Paul	4	2020-12-16	37		105,031	-1,575,469
Versus Systems Inc.	Common Shares	Vlasic, Paul	4	2020-12-16	37		325,000	-4,875,000
Versus Systems Inc.	Common Shares	Vlasic, Paul	4	2020-12-16	37		62,500	-937,500
Versus Systems Inc.	Options	Vlasic, Paul	4	2020-12-16	37		106,250	-531,250
Versus Systems Inc.	Warrants	Vlasic, Paul	4	2020-12-16	55		0	-2,600,000
Versus Systems Inc.	Warrants	Vlasic, Paul	4	2020-12-16	55		0	-1,000,000
Victoria Gold Corp.	Options	Ayranto, Mark	5	2020-12-14	50	12.1	243,667	104,000
Victoria Gold Corp.	Common Shares	Gray, Paul Dunstan	5	2020-12-11	10	11.72	12,947	-13,333
Victoria Gold Corp.	Common Shares	Gray, Paul Dunstan	5	2020-12-14	51	2.25	26,280	13,333
Victoria Gold Corp.	Options	Gray, Paul Dunstan	5	2020-12-14	51	2.25	86,334	-13,333
Victoria Gold Corp.	Options	Gray, Paul Dunstan	5	2020-12-14	50	12.1	166,334	80,000
Victoria Gold Corp.	Options	Harvey, T. Sean	4	2020-12-14	50	12.1	172,000	55,000
Victoria Gold Corp.	Options	Hill, Christopher Thomas	4	2020-12-14	50	12.1	124,667	38,000
Victoria Gold Corp.	Options	MacLachlan, Letha	4	2020-12-14	50	12.1	84,333	34,000
Victoria Gold Corp.	Common Shares	McConnell, John Charles	4, 5	2020-12-14	10	11.62	580,253	2,500
Victoria Gold Corp.	Options	McConnell, John Charles	4, 5	2020-12-14	50	12.1	378,323	172,000
Victoria Gold Corp.	Options	McInnis, Michael D.	4	2020-12-14	50	12.1	118,333	38,000
Victoria Gold Corp.	Common Shares	Ovsenek, Joseph J.	4	2020-12-14	10	11.6	20,000	10,000
Victoria Gold Corp.	Options	Ovsenek, Joseph J.	4	2020-08-19	00			
Victoria Gold Corp.	Options	Ovsenek, Joseph J.	4	2020-12-14	50		34,000	34,000
Victoria Gold Corp.	Options	Rendall, Marty	5	2020-12-14	50	12.1	254,667	115,000
Victoria Gold Corp.	Options	Roosen, Sean	4	2020-12-14	50	12.1	117,667	40,000
Victoria Gold Corp.	Options	Rouleau, David Kenneth	5	2020-12-14	50	12.1	173,000	93,000
Victoria Gold Corp.	Options	Scott, Stephen Victor	4	2020-08-19	00			
Victoria Gold Corp.	Options	Scott, Stephen Victor	4	2020-12-14	50	12.1	34,000	34,000
Victory Resources Corporation	Options	Harder, Glen	4	2020-12-14	50	0.055	210,000	200,000
Victory Resources Corporation	Options	Kovaleva, Tatiana	5	2020-12-14	50	0.055	100,000	100,000
Victory Resources Corporation	Options	Lane, David Warren	4, 5	2020-12-14	50	0.055	400,000	400,000
Victory Resources Corporation	Options	Levien, Allan Eugene	4	2020-12-14	50	0.055	100,000	100,000
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-07	10	1.5689	944,615	-169,500
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-08	10	1.5068	855,415	-89,200
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-09	10	1.608	683,815	-171,600

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-10	10	1.6506	675,815	-8,000
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-11	10	1.5303	541,515	-134,300
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-14	10	1.4763	467,715	-73,800
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-15	10	1.4831	424,415	-43,300
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-16	10	1.5189	114,415	-310,000
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-12-17	10	1.5228	0	-114,415
Visible Gold Mines Inc.	Common Shares	Dallaire, Martin	4, 5	2020-12-18	10	0.225	1,719,500	70,000
Vitalhub Corp.	Common Shares	Shen, Francis Nelson	4	2020-12-14	10	2.5	3,465,950	124,800
ViveRE Communities Inc.	Common Shares	Dean, Jeffrey	4	2020-12-11	15	0.2	4,537,070	335,500
ViveRE Communities Inc.	Common Shares	Farrell, Kent Alexander	4	2020-12-11	15	0.2	4,537,070	335,500
ViveRE Communities Inc.	Common Shares	Nicoll, James David	5	2020-12-14	10	0.195	1,605,332	2,000
ViveRE Communities Inc.	Common Shares	Nicoll, James David	5	2020-12-17	10	0.185	1,607,332	2,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-14	10	0.2	62,000	2,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-14	10	0.2	64,000	2,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-14	10	0.2	65,000	1,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-14	10	0.2	66,000	1,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-14	10	0.2	71,000	5,000
Voleo Trading Systems Inc.	Common Shares	Brophy, Kenneth	4	2020-12-17	00		11,500	
Voleo Trading Systems Inc.	Options	Brophy, Kenneth	4	2020-12-17	00		100,000	
Voyager Digital Ltd.	Options	Barrilleaux, Janice	7	2020-11-23	50		195,000	35,000
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Elford, Sara	4	2020-12-09	00			
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Elford, Sara	4	2020-12-09	00		14,295	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Options	Elford, Sara	4	2020-12-09	00		7,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Moore, Benjamin	7	2020-12-09	00		152,887	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Moore, Benjamin	7	2020-12-09	00		1,254,941	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Options	Moore, Benjamin	7	2020-12-09	00		633,963	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Parrish, Shane Alexander	4	2020-12-09	00		1,556,327	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Options	Parrish, Shane Alexander	4	2020-12-09	00		7,000	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Sparling, Christopher	4, 5	2020-12-09	00			
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Table Holdings LP	3	2020-12-09	00		6,382,976	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Wilkinson, Andrew David Charles	3, 4	2020-12-09	00		11,126,668	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Common Shares Class A Common Shares	Wilkinson, Andrew David Charles	3, 4	2020-12-09	00		428,559	
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Options	Wilkinson, Andrew David Charles	3, 4	2020-12-09	00		307,223	
Wescan Goldfields Inc.	Common Shares	MacNeill, Tom	6	2020-12-14	10	0.06	1,254,587	1,000
Westport Fuel Systems Inc.	Restricted Share Units	Buchignani, Michele	4	2020-12-15	56		3,869	3,869
Westport Fuel Systems Inc.	Common Shares	Eprile, Brenda	4	2020-12-16	10	5.5	267,378	-10,000
Westport Fuel Systems Inc.	Common Shares	Eprile, Brenda	4	2020-12-16	10	5.2	270,778	3,400
Westport Fuel Systems Inc.	Restricted Share Units	Eprile, Brenda	4	2020-12-15	56		3,869	3,869
Westport Fuel Systems Inc.	Restricted Share Units	Forst, Rita	4	2020-12-15	56		3,869	3,869
Westport Fuel Systems Inc.	Restricted Share Units	Hancock, Daniel	4	2020-12-15	56		7,143	7,143
Westport Fuel Systems Inc.	Restricted Share Units	Schaller, Karl Hans Viktor	4	2020-12-15	56		3,869	3,869
Westport Fuel Systems Inc.	Restricted Share Units	Wheatman, Eileen Davis	4	2020-12-15	56		3,869	3,869
White Metal Resources Corp.	Common Shares	Strashin, Elliot Phillip	3, 4, 5	2020-12-14	10	0.065	285,000	42,000
White Metal Resources Corp.	Common Shares	Strashin, Elliot Phillip	3, 4, 5	2020-12-18	10	0.065	425,000	140,000
Whitecap Resources Inc.	Common Shares	Nerbas, Michael John	5	2020-12-11	57		115,084	107,177
Whitecap Resources Inc.	Common Shares	Nerbas, Michael John	5	2020-12-11	10	4.95	7,907	-107,177

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Whitecap Resources Inc.	Performance Awards	Nerbas, Michael John	5	2020-12-11	57		175,244	-60,000
Whitecap Resources Inc.	Performance Awards	Nerbas, Michael John	5	2020-12-11	57			107,177
Whitecap Resources Inc.	Performance Awards	Nerbas, Michael John	5	2020-12-11	57			107,177
Whitehorse Gold Corp.	Common Shares	Johnstone, Lorelee	5	2020-12-07	00			
Whitehorse Gold Corp.	Common Shares	Johnstone, Lorelee	5	2020-12-07	00		50,000	
Whitehorse Gold Corp.	Common Shares	Simpson, Stephen Paul	6	2020-12-10	10	3.606	329,450	-5,000
Whitehorse Gold Corp.	Common Shares	Simpson, Stephen Paul	6	2020-12-11	10	3.6	329,050	-400
Wikileaf Technologies Inc.	Common Shares	Cruise, Connor Graham	4	2020-12-11	10	0.025	1,767,335	260,000
Wikileaf Technologies Inc.	Common Shares	Nesta Holding Co. Ltd.	3	2020-12-10	16	0.05	75,369,560	5,800,000
Wikileaf Technologies Inc.	Common Shares	Rifici, Charles	6	2020-12-10	16	0.05	75,369,560	5,800,000
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Ames, Aaron	5	2020-12-16	57	1.6473	92,510	23,512
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Ames, Aaron	5	2020-12-17	10	1.6473	79,924	-12,586
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Ames, Aaron	5	2020-12-16	57	1.6473	25,107	-23,512
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Bishop, James William	5	2020-12-16	57	1.6473	17,928	10,687
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Bishop, James William	5	2020-12-17	10	1.6473	12,157	-5,771
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Bishop, James William	5	2020-12-16	57	1.6473	10,542	-10,687
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Variable Voting)	Ellenbogen, Eric	4	2020-12-16	57	1.6473	1,069,913	-72,755
WildBrain Ltd. (formerly, DHX Media Ltd.)	Variable Voting Shares	Ellenbogen, Eric	4	2020-12-16	57	1.6473	627,770	72,755
WildBrain Ltd. (formerly, DHX Media Ltd.)	Variable Voting Shares	Ellenbogen, Eric	4	2020-12-17	10	1.6473	591,803	-35,967
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Loi, Anne H.	5	2020-12-16	57	1.6473	286,121	14,962
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Loi, Anne H.	5	2020-12-17	10	1.6473	278,112	-8,009
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Loi, Anne H.	5	2020-12-16	57	1.6473	14,759	-14,962
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Scherba, Joshua Charles	5	2020-12-16	57	1.6473	139,364	17,100
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Scherba, Joshua Charles	5	2020-12-17	10	1.6473	130,210	-9,154
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Scherba, Joshua Charles	5	2020-12-16	57	1.6473	17,852	-17,100
Wildsky Resources Inc.	Common Shares	zhang, Baohua	3	2020-12-14	00		4,000,000	
Wildsky Resources Inc.	Warrants	zhang, Baohua	3	2020-12-14	00		2,000,000	
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Gutierrez Kever, Alabin Jordan Carel	4, 5	2020-12-08	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Gutierrez Keever, Alabin Jordan Carel	4, 5	2020-12-08	22	0.75	2,032,904	2,032,904
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Leal Vizcaino, Juan Pablo	5	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Leal Vizcaino, Juan Pablo	5	2020-12-08	22	0.75	437,722	437,722
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Options	Leal Vizcaino, Juan Pablo	5	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Options	Leal Vizcaino, Juan Pablo	5	2020-12-08	22		56,770	56,770
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Malek, Hossein	3, 4	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Malek, Hossein	3, 4	2020-12-08	22	0.75	4,758,092	4,758,092
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Malek, Hossein	3, 4	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Malek, Hossein	3, 4	2020-12-08	22	0.75	6,795,447	6,795,447
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Nasim, Arianpoo	3	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Nasim, Arianpoo	3	2020-12-08	22	0.75	5,095,370	5,095,370
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Steeves, Nicholas Del	5	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Steeves, Nicholas Del	5	2020-12-08	22	0.75	1,946,396	1,946,396
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Tajskandar, Ali	3, 4, 5	2020-12-08	00			
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Tajskandar, Ali	3, 4, 5	2020-12-08	22	0.75	5,095,367	5,095,367
Wolverine Energy and Infrastructure Inc.	Common Shares	HOOSE, CHRISTOPHER GERARD	4	2020-11-30	00			
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	BCE Inc.	3	2018-08-31	00			
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	BCE Inc.	3	2020-12-14	16		\$519,000	\$519,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures 8% Unsecured; Conversion: \$2.00; Maturity: December 14, 2020	BCE Inc.	3	2020-12-14	97		\$0	-\$519,000
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Hirsh, Michael	4	2016-12-15	00			
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Hirsh, Michael	4	2020-12-14	16		\$200,000	\$200,000
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Hirsh, Michael	4	2016-12-15	00			
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Hirsh, Michael	4	2020-12-14	16			\$20,000
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Hirsh, Michael	4	2020-12-14	16		\$200,000	\$200,000
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures 8% Unsecured; Conversion: \$2.00; Maturity: December 14, 2020	Hirsh, Michael	4	2020-12-14	38		\$0	-\$200
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures 8% Unsecured; Conversion: \$2.00; Maturity: December 14, 2020	Hirsh, Michael	4	2020-12-14	38		\$0	-\$200
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Seibert, Frederick	4, 5	2016-12-15	00			
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures	Seibert, Frederick	4, 5	2020-12-14	16		\$242,000	\$242,000
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures 8% Unsecured; Conversion: \$2.00; Maturity: December 14, 2020	Seibert, Frederick	4, 5	2020-12-14	38		\$0	-\$242
Wow Unlimited Media Inc. (formerly, Rainmaker Entertainment Inc.)	Convertible Debentures 8% Unsecured; Conversion: \$2.00; Maturity: December 14, 2020	Vandervelde, John	5	2020-12-14	38		\$0	-\$250
WSP Global Inc.	Common Shares	Langlois, David	5	2020-12-10	51	41.69	5,176	4,570
WSP Global Inc.	Common Shares	Langlois, David	5	2020-12-10	10	120.79	606	-4,570
WSP Global Inc.	Options	Langlois, David	5	2020-12-10	51	41.69	0	-4,570
WSP Global Inc.	Common Shares	Meyer, Jan Magnus	5	2016-06-22	00			
WSP Global Inc.	Common Shares	Meyer, Jan Magnus	5	2020-12-10	51	57.98	3,706	3,706
WSP Global Inc.	Common Shares	Meyer, Jan Magnus	5	2020-12-11	10	119.45	0	-3,706
WSP Global Inc.	Options	Meyer, Jan Magnus	5	2020-12-11	51	57.98	17,105	-3,706
WSP Global Inc.	Common Shares	Ouellette, Robert	5	2020-12-10	51	57.98	8,509	2,590
WSP Global Inc.	Common Shares	Ouellette, Robert	5	2020-12-10	10	120.22	5,919	-2,590
WSP Global Inc.	Options	Ouellette, Robert	5	2020-12-10	51	57.98	16,932	-2,590

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Xenon Pharmaceuticals Inc.	Common Shares	Azab, Mohammad	4	2020-12-15	51	3.74	63,733	3,086
Xenon Pharmaceuticals Inc.	Options	Azab, Mohammad	4	2020-12-15	51	3.74	65,722	-3,086
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2020-12-15	56	12.523	14,983	131
Yellow Pages Limited	Deferred Share Unit	Eckert, David Alan	5	2020-12-15	56	12.523	25,686	224
Yellow Pages Limited	Restricted Share Unit	Eckert, David Alan	5	2020-12-15	56	12.523	327,618	2,853
Yellow Pages Limited	Deferred Share Unit	Forman, Craig	4	2020-12-15	56	12.523	60,806	526
Yellow Pages Limited	Deferred Share Unit	Hall, Rob	4	2020-12-15	56	12.523	41,512	365
Yellow Pages Limited	Restricted Share Unit	King, Sherilyn Ann	5	2020-12-15	56	12.523	12,789	111
Yellow Pages Limited	Deferred Share Unit	Kudzman, Susan	4	2020-12-15	56	12.523	97,083	845
Yellow Pages Limited	Deferred Share Unit	Raina, Kalpana	4	2020-12-15	56	12.523	50,721	442
Yellow Pages Limited	Deferred Share Unit	Russo, Paul W.	4	2020-12-15	56	12.523	38,318	334
Yellow Pages Limited	Restricted Share Unit	Sciannablo, Franco	5	2020-12-15	56	12.523	5,606	49
Ynvisible Interactive Inc.	Common Shares	Hemel, Alexander	4	2020-12-10	51	0.3	262,173	200,000
Ynvisible Interactive Inc.	Options	Hemel, Alexander	4	2020-12-10	51		100,000	-200,000
Ynvisible Interactive Inc.	Common Shares	URQUHART, DARREN CHARLES	5	2020-12-15	51	0.3	100,000	100,000
Ynvisible Interactive Inc.	Options	URQUHART, DARREN CHARLES	5	2020-12-15	51	0.3	50,000	-100,000
Zedcor Inc.	Common Shares	Felesky, Wade Robert Arthur	4	2020-09-24	00			
Zedcor Inc.	Common Shares	Felesky, Wade Robert Arthur	4	2020-12-14	10	0.119	60,000	60,000
Zedcor Inc.	Common Shares	Felesky, Wade Robert Arthur	4	2020-12-15	10	0.11	114,500	54,500
Zedcor Inc.	Common Shares	Felesky, Wade Robert Arthur	4	2020-12-15	10	0.115	214,500	100,000
Zedcor Inc.	Common Shares	Shillington, Dean Myles	4	2017-04-27	00			
Zedcor Inc.	Common Shares	Shillington, Dean Myles	4	2020-12-11	11	0.15	2,000,000	2,000,000
Zedcor Inc.	Warrants	Shillington, Dean Myles	4	2020-12-11	53		4,744,905	843,127
Zedcor Inc.	Common Shares	Swanberg, Dean Sylvan	3, 4, 5	2020-12-15	11	0.1298	13,989,158	160,464
ZEN Graphene Solutions Ltd.	Common Shares	Jordan, James	5	2020-12-17	10	1.67	0	-100,000
ZEN Graphene Solutions Ltd.	Options	Van der Kuur, Colin Stuart	5	2020-12-09	50	1.64	350,000	100,000
Zephyr Minerals Ltd.	Options	Felderhof, G. William	4	2020-12-16	52		400,000	-325,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Options	Dumas, Francois	4, 5	2019-12-18	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Networks Inc.)	Options	Dumas, Francois	4, 5	2020-12-17	50		300,000	300,000
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2007-12-11	10	0.3501		-949,000
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2007-12-11	10	0.3501		-949,000
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2020-09-23	10	0.128	7,861,736	-100,000
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2020-10-21	11	0.128	7,861,736	1,500,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Zinc8 Energy Solutions Inc.	Common Shares	Zimtu Capital Corp.	3	2020-12-11	10	0.3501	6,912,736	-949,000
ZoomerMedia Limited	Options	Chan, Terence	5	2020-02-01	00		1,000,000	
ZoomerMedia Limited	Options	Hamilton, Dan	5	2020-11-25	50		1,500,000	500,000

This page intentionally left blank

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

CMP 2021 Resource Limited Partnership
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated December 16, 2020

NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

Maximum: \$50,000,000 - 50,000 Limited Partnership Units

Price per Unit: \$1,000

Minimum Subscription: \$5,000 (Five Units)

Underwriter(s) or Distributor(s):

SCOTIA CAPITAL INC.
CIBC WORLD MARKETS INC.
NATIONAL BANK FINANCIAL INC.
RBC DOMINION SECURITIES INC.
BMO NESBITT BURNS INC.
TD SECURITIES INC.
INDUSTRIAL ALLIANCE SECURITIES INC.
ECHELON WEALTH PARTNERS INC.
CANACCORD GENUITY CORP.
DESJARDINS SECURITIES INC.
RAYMOND JAMES LTD.

Promoter(s):

Goodman & Company, Investment Counsel Inc.,

Project #3151832

Issuer Name:

MRF 2021 Resource Limited Partnership
Principal Regulator - Alberta (ASC)

Type and Date:

Preliminary Long Form Prospectus dated December 16, 2020

NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

Maximum: \$50,000,000 – 2,000,000 Class A Units and/or Class F Units

Minimum: \$5,000,000 - 200,000 Class A Units and/or Class F Units

Price: \$25.00 per Unit

Minimum subscription: \$2,500

Underwriter(s) or Distributor(s):

CIBC World Markets Inc.
RBC Dominion Securities Inc.
BMO Nesbitt Burns Inc.
National Bank Financial Inc.
Scotia Capital Inc.
TD Securities Inc.
Manulife Securities Incorporated
Richardson Wealth Limited
Industrial Alliance Securities Inc.
Canaccord Genuity Corp.
Echelon Wealth Partners Inc.
Middlefield Capital Corporation
PI Financial Corp.
Raymond James Ltd.

Promoter(s):

Middlefield Resource Corporation

Project #3151731

Issuer Name:

Ninepoint 2021 Flow-Through Limited Partnership -
National Class
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated December 15,
2020

NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

Maximum Aggregate Offering: \$85,000,000 - 3,400,000
Limited Partnership Units - Ninepoint 2021 Flow-Through
Limited Partnership – National Class A Units and National
Class F Units

Maximum: \$75,000,000 - 3,000,000 National Class A Units
or National Class F Units

Minimum: \$10,000,000 - 400,000 National Class A Units or
National Class F Units

Price per Unit: \$25

Minimum Subscription: \$2,500 (100 Units)

Underwriter(s) or Distributor(s):

RBC Dominion Securities Inc.

CIBC World Markets Inc.

TD Securities Inc.

National Bank Financial Inc.

Scotia Capital Inc.

BMO Nesbitt Burns Inc.

Richardson Wealth Limited

Industrial Alliance Securities Inc.

Manulife Securities Incorporated

Raymond James Ltd.

Canaccord Genuity Corp.

Desjardins Securities Inc.

Promoter(s):

Ninepoint 2019 Corporation

Project #3151154

Issuer Name:

Ninepoint 2021 Flow-Through Limited Partnership -
Quebec Class
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated December 15,
2020

NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

Maximum Aggregate Offering: \$85,000,000 - 3,400,000
Limited Partnership Units - Ninepoint 2021 Flow-Through
Limited Partnership – Québec Class A Units and Québec
Class F Units

Maximum: \$10,000,000 - 400,000 Québec Class A Units or
Québec Class F Units

Minimum: \$2,500,000 - 100,000 Québec Class A Units or
Québec Class F Units

Price per Unit: \$25

Minimum Subscription: \$2,500 (100 Units)

Underwriter(s) or Distributor(s):

RBC Dominion Securities Inc.

CIBC World Markets Inc.

TD Securities Inc.

National Bank Financial Inc.

Scotia Capital Inc.

BMO Nesbitt Burns Inc.

Richardson Wealth Limited

Industrial Alliance Securities Inc.

Manulife Securities Incorporated

Raymond James Ltd.

Canaccord Genuity Corp.

Desjardins Securities Inc.

Promoter(s):

Ninepoint 2019 Corporation

Project #3151157

Issuer Name:

Probity Mining 2021 Short Duration Flow-Through Limited Partnership - British Columbia Class
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated December 17, 2020

NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

Maximum Offering: aggregate of \$50,000,000 comprising \$25,000,000 for National Class Units; \$15,000,000 for British Columbia Class Units; and \$10,000,000 for Québec Class Units - 2,500,000 NC-A and/or NC-F Units; 1,500,000 BC-A and/or BC-F Units; and 1,000,000 QC-A and/or QC-F Units

Minimum Offering: \$1,500,000 - 150,000 Class A and/or Class F Units

Price per Unit: \$10.00

Minimum Purchase: \$5,000 (500 Units)

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.

Richardson Wealth Ltd.

Canaccord Genuity Corp.

Raymond James Ltd.

Echelon Wealth Partners Inc.

PI Financial Corp.

Hampton Securities Limited

Sherbooke Street Capital (SSC) Inc.

Wellington-Altus Private Wealth Inc.

Promoter(s):

Probity Capital Corporation

Project #3152341

Issuer Name:

Probity Mining 2021 Short Duration Flow-Through Limited Partnership - National Class
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated December 17, 2020

NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

Maximum Offering: aggregate of \$50,000,000 comprising \$25,000,000 for National Class Units; \$15,000,000 for British Columbia Class Units; and \$10,000,000 for Québec Class Units - 2,500,000 NC-A and/or NC-F Units; 1,500,000 BC-A and/or BC-F Units; and 1,000,000 QC-A and/or QC-F Units

Minimum Offering: \$1,500,000 - 150,000 Class A and/or Class F Units

Price per Unit: \$10.00

Minimum Purchase: \$5,000 (500 Units)

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.

Richardson Wealth Ltd.

Canaccord Genuity Corp.

Raymond James Ltd.

Echelon Wealth Partners Inc.

PI Financial Corp.

Hampton Securities Limited

Sherbooke Street Capital (SSC) Inc.

Wellington-Altus Private Wealth Inc.

Promoter(s):

Probity Capital Corporation

Project #3152344

Issuer Name:

Probity Mining 2021 Short Duration Flow-Through Limited Partnership - Quebec Class
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated December 17, 2020
NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

Maximum Offering: aggregate of \$50,000,000 comprising \$25,000,000 for National Class Units; \$15,000,000 for British Columbia Class Units; and \$10,000,000 for Québec Class Units - 2,500,000 NC-A and/or NC-F Units; 1,500,000 BC-A and/or BC-F Units; and 1,000,000 QC-A and/or QC-F Units

Minimum Offering: \$1,500,000 - 150,000 Class A and/or Class F Units

Price per Unit: \$10.00

Minimum Purchase: \$5,000 (500 Units)

Underwriter(s) or Distributor(s):

Industrial Alliance Securities Inc.

Richardson Wealth Ltd.

Canaccord Genuity Corp.

Raymond James Ltd.

Echelon Wealth Partners Inc.

PI Financial Corp.

Hampton Securities Limited

Sherbooke Street Capital (SSC) Inc.

Wellington-Altus Private Wealth Inc.

Promoter(s):

Probity Capital Corporation

Project #3152348

Issuer Name:

Encasa Canadian Bond Fund (formerly Social Housing Canadian Bond Fund)

Encasa Canadian Short-Term Bond Fund (formerly Social Housing Canadian Short-Term Bond Fund)

Encasa Equity Fund (formerly Encasa Canadian Equity Fund)

Principal Regulator – Ontario

Type and Date:

Combined Preliminary and Pro Forma Simplified Prospectus dated Dec 16, 2020

NP 11-202 Final Receipt dated Dec 16, 2020

Offering Price and Description:

Series A Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3131693

Issuer Name:

PIMCO Climate Bond Fund (Canada)

PIMCO ESG Income Fund (Canada)

Principal Regulator – Ontario

Principal Regulator - Ontario

Type and Date:

Preliminary Simplified Prospectus dated Dec 18, 2020

NP 11-202 Preliminary Receipt dated Dec 18, 2020

Offering Price and Description:

Series I units, Series A units and Series F units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3152892

Issuer Name:

CI Gold Bullion Fund

Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Dec 18, 2020

NP 11-202 Final Receipt dated Dec 18, 2020

Offering Price and Description:

ETF US\$ Series Units and ETF C\$ Hedged Series Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3139060

Issuer Name:

CI Emerging Markets Bond Fund

Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Dec 16, 2020

NP 11-202 Final Receipt dated Dec 17, 2020

Offering Price and Description:

Series I units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3138330

Issuer Name:

Phillips, Hager & North Balanced Fund
Phillips, Hager & North Balanced Pension Trust Principal
Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
December 14, 2020

NP 11-202 Final Receipt dated Dec 15, 2020

Offering Price and Description:

Series A units, Series D units, Series F units and Series O
units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3057355

Issuer Name:

Scotia U.S. Low Volatility Equity LP
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
December 10, 2020

NP 11-202 Final Receipt dated Dec 15, 2020

Offering Price and Description:

Series I units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #2999728

Issuer Name:

Multi-Asset Fixed Income
Multi-Asset Fixed Income Class
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
December 15, 2020

NP 11-202 Final Receipt dated Dec 18, 2020

Offering Price and Description:

Series B, Series B-3, Series E, Series F, Series F-3 and
Series O

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3014798

Issuer Name:

CI Global Longevity Economy Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
December 16, 2020

NP 11-202 Final Receipt dated Dec 21, 2020

Offering Price and Description:

ETF C\$ Series, Series A units, Series F units, Series I units
and Series P units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3042387

Issuer Name:

NEI U.S. Equity Fund
NEI International Equity Fund
NEI Select Income Portfolio NEI Select Income & Growth
Portfolio
NEI Select Balanced Portfolio
NEI Select Growth & Income Portfolio
NEI Select Growth Portfolio
NEI Select Maximum Growth Portfolio
NEI Tactical Yield Portfolio
NEI Global Value Fund
NEI Global High Yield Bond Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
December 15, 2020

NP 11-202 Final Receipt dated Dec 21, 2020

Offering Price and Description:

Series A units, Series F units, Series I units, Series O units,
Series P units, Series PF units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3062488

Issuer Name:

CI MSCI World ESG Impact Fund
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
December 16, 2020

NP 11-202 Final Receipt dated Dec 21, 2020

Offering Price and Description:

Series A units, Series E units, Series F units, Series I units,
Series O units, Series P units, ETF C\$ Hedged Series and
ETF C\$ Series

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3049999

Issuer Name:

CI DoubleLine Core Plus Fixed Income US\$ Fund
CI DoubleLine Income US\$ Fund
CI DoubleLine Total Return Bond US\$ Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
December 16, 2020
NP 11-202 Final Receipt dated Dec 21, 2020

Offering Price and Description:

ETF C\$ Hedged Series, ETF C\$ Unhedged Series, ETF
US\$ Series, Series A units, Series AH units, Series F units,
Series FH units, Series I units, Series IH units, Series P
units, Series PH units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3027840

Issuer Name:

Waratah Alternative ESG Fund
Principal Regulator - Ontario

Type and Date:

Amended and Restated to Final Simplified Prospectus
dated December 16, 2020
NP 11-202 Final Receipt dated Dec 17, 2020

Offering Price and Description:

Class F Founders Units, Class F Units, Class F\$US Units
and Class I Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3047874

NON-INVESTMENT FUNDS

Issuer Name:

AcuityAds Holdings Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 21, 2020
NP 11-202 Preliminary Receipt dated December 21, 2020

Offering Price and Description:

\$250,000,000.00
Common Shares
Preference Shares
Subscription Receipts
Debt Securities
Warrants
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3153284

Issuer Name:

Air Canada
Principal Regulator - Quebec

Type and Date:

Preliminary Short Form Prospectus dated December 15, 2020
NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

\$850,000,000.00
* Class A Variable Voting Shares and/or Class B Voting Shares

Underwriter(s) or Distributor(s):

TD SECURITIES INC.
J.P. MORGAN SECURITIES CANADA INC.
CITIGROUP GLOBAL MARKETS CANADA INC.
MORGAN STANLEY CANADA LIMITED

Promoter(s):

-

Project #3151219

Issuer Name:

Air Canada
Principal Regulator - Quebec

Type and Date:

Amendment dated December 16, 2020 to Preliminary Short Form Prospectus dated December 15, 2020
NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

\$850,080,000.00
35,420,000 Class A Variable Voting Shares and/or Class B Voting Shares

Underwriter(s) or Distributor(s):

TD SECURITIES INC.
J.P. MORGAN SECURITIES CANADA INC.
CITIGROUP GLOBAL MARKETS CANADA INC.
MORGAN STANLEY CANADA LIMITED

Promoter(s):

-

Project #3151219

Issuer Name:

BELLUS Health Inc.
Principal Regulator - Quebec

Type and Date:

Preliminary Shelf Prospectus dated December 14, 2020
NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

US\$250,000,000.00
Common Shares

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3150820

Issuer Name:

Black Shield Metals Corp.
Principal Regulator - British Columbia

Type and Date:

Amendment dated December 18, 2020 to Preliminary Long Form Prospectus dated September 21, 2020
NP 11-202 Preliminary Receipt dated December 21, 2020

Offering Price and Description:

Minimum Public Offering of 4,000,000 Shares at \$0.10 per Share for Gross Proceeds of \$400,000.00
Maximum Public Offering of 5,000,000 Shares at \$0.10 per Share for Gross Proceeds of \$500,000.00

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

-

Project #3114985

Issuer Name:

Eloro Resources Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

Cdn\$5,500,020.00

3,548,400 Units

Price: Cdn\$1.55 per Unit

Underwriter(s) or Distributor(s):

HAYWOOD SECURITIES INC.

ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3151259

Issuer Name:

Field Trip Health Ltd. (formerly Newton Energy Corporation)

Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

\$17,406,000.00

3,868,000 Units \$4.50 per Unit

Underwriter(s) or Distributor(s):

STIFEL NICOLAUS CANADA INC.

CANACCORD GENUITY CORP.

BLOOM BURTON SECURITIES INC.

EIGHT CAPITAL

Promoter(s):

-

Project #3149767

Issuer Name:

Firm Capital Mortgage Investment Corporation
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 21, 2020

NP 11-202 Preliminary Receipt dated December 21, 2020

Offering Price and Description:

\$250,000,000.00

Common Shares

Preferred Shares

Debt Securities

Subscription Receipts

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3153552

Issuer Name:

HAVN Life Sciences Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated December 18, 2020

NP 11-202 Preliminary Receipt dated December 18, 2020

Offering Price and Description:

\$10,000,220.00

9,346,000 Units

Underwriter(s) or Distributor(s):

EIGHT CAPITAL

Promoter(s):

-

Project #3151640

Issuer Name:

Kits Eyecare Ltd.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

Up to \$40,000,000.00

Up to [*] Common Shares

Underwriter(s) or Distributor(s):

Canaccord Genuity Corp.

CIBC Capital Markets Inc.

Scotia Capital Inc.

Roth Canada, ULC

Haywood Securities Inc.

Stifel Nicolaus Canada Inc.

Promoter(s):

-

Project #3151246

Issuer Name:

Kits Eyecare Ltd.
Principal Regulator - British Columbia

Type and Date:

Amendment dated December 16, 2020 to Preliminary Long Form Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

Up to \$40,000,000.00

Up to [*] Common Shares

Underwriter(s) or Distributor(s):

Canaccord Genuity Corp.

CIBC Capital Markets Inc.

Scotia Capital Inc.

Roth Canada, ULC

Haywood Securities Inc.

Stifel Nicolaus Canada Inc.

Promoter(s):

-

Project #3151246

Issuer Name:

MCI Onehealth Technologies Inc.
Principal Regulator - Ontario

Type and Date:

Amendment dated December 17, 2020 to Preliminary Long
Form Prospectus dated December 10, 2020
NP 11-202 Preliminary Receipt dated December 18, 2020

Offering Price and Description:

[*] CLASS A SUBORDINATE VOTING SHARES
\$[*]

Price: \$[*] per Offered Share

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
ECHELON WEALTH PARTNERS INC.
STIFEL NICOLAUS CANADA INC.
TD SECURITIES INC.
EIGHT CAPITAL
HAYWOOD SECURITIES INC.
CLARUS SECURITIES INC.

Promoter(s):

Dr. George Christodoulou
Dr. Sven Grail
Dr. Alexander Dobranowski
Project #3149977

Issuer Name:

Mind Medicine (MindMed) Inc. (formerly Broadway Gold
Mining Ltd.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 18,
2020
NP 11-202 Preliminary Receipt dated December 21, 2020

Offering Price and Description:

\$80,080,000.00
18,200,000 Units
\$4.40 per Unit

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
EIGHT CAPITAL

Promoter(s):

Jamon Alexander Rahn
Stephen Hurst
Project #3150988

Issuer Name:

Ritual Superfoods Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated December 16,
2020
NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

\$4,000,000.00

* Offered Units

* Convertible Note Units issuable upon Deemed
Conversion of Convertible Notes

Underwriter(s) or Distributor(s):

CLARUS SECURITIES INC.
CANACCORD GENUITY CORP.

Promoter(s):

David Kerbel
Project #3152055

Issuer Name:

Rubicon Organics Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated December 16, 2020
NP 11-202 Preliminary Receipt dated December 17, 2020

Offering Price and Description:

\$40,000,000.00
COMMON SHARES
DEBT SECURITIES
SUBSCRIPTION RECEIPTS
WARRANTS
UNITS

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3152047

Issuer Name:

Skylight Health Group Inc. (Formerly CB2 Insights Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

\$12,000,000.00

12,000,000 Common Shares

Price: \$1.00 per Common Share

Underwriter(s) or Distributor(s):

ECHELON WEALTH PARTNERS INC.

BEACON SECURITIES LIMITED

PI FINANCIAL CORP.

MACKIE RESEARCH CAPITAL CORP.

CANACCORD GENUITY CORP.

RAYMOND JAMES LTD.

Promoter(s):

Pradyum Sekar

Kashaf Qureshi

Project #3150225

Issuer Name:

Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated December 17, 2020

NP 11-202 Receipt dated December 17, 2020

Offering Price and Description:

C\$500,000,000.00

Subordinate Voting Shares

Restricting Voting Shares

Limited Voting Shares

Warrants

Subscription Receipts

Debt Securities

Convertible Securities

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3150518

Issuer Name:

Stem Holdings, Inc.

Principal Regulator - Ontario

Type and Date:

Amendment dated December 15, 2020 to Preliminary Short Form Prospectus dated December 14, 2020

NP 11-202 Preliminary Receipt dated December 15, 2020

Offering Price and Description:

\$[*]

[*] Units

Price: \$0.55 per Unit

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

Promoter(s):

-

Project #3150735

Issuer Name:

Drone Delivery Canada Corp. (formerly Asher Resources Corporation)
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated December 15, 2020

NP 11-202 Receipt dated December 15, 2020

Offering Price and Description:

\$12,003,200.00

13,640,000 Units

\$0.88 per Unit

Underwriter(s) or Distributor(s):

Cormark Securities Inc.

Echelon Wealth Partners Inc.

Canaccord Genuity Corp.

Promoter(s):

Tony Di Benedetto

Paul Di Benedetto

Richard Buzbuzian

Project #3147134

Issuer Name:

The Toronto-Dominion Bank

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated December 15, 2020

NP 11-202 Preliminary Receipt dated December 16, 2020

Offering Price and Description:

\$15,000,000,000.00

Debt Securities (subordinated indebtedness)

Common Shares

Class A First Preferred Shares

Warrants to Purchase Preferred Shares

Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3151426

Issuer Name:

E2Gold Inc.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 21, 2020
NP 11-202 Receipt dated December 21, 2020

Offering Price and Description:

\$3,000,000.00
UP TO 6,818,181 FLOW-THROUGH UNITS AND UP TO
15,000,000 UNITS
\$0.22 PER FLOW-THROUGH UNIT \$0.20 PER UNIT

Underwriter(s) or Distributor(s):

BEACON SECURITIES LIMITED
INFOR FINANCIAL INC.
M PARTNERS INC.
RED CLOUD SECURITIES INC.

Promoter(s):

Eric Owens
Project #3133282

Issuer Name:

Frontenac Mortgage Investment Corporation
Principal Regulator - Ontario

Type and Date:

Amendment dated November 27, 2020 to Final Long Form
Prospectus dated May 26, 2020
NP 11-202 Receipt dated December 15, 2020

Offering Price and Description:

Unlimited Number of Common Shares
Price: \$30.00 per Common Share

Underwriter(s) or Distributor(s):

-

Promoter(s):

W.A. ROBINSON ASSET MANAGEMENT LTD.
Project #3055756

Issuer Name:

Hydro One Holdings Limited

Type and Date:

Final Shelf Prospectus dated December 17, 2020
Received on December 17, 2020

Offering Price and Description:

U.S.\$3,000,000,000.00
Debt Securities
Fully and Unconditionally Guaranteed by HYDRO ONE
LIMITED

Underwriter(s) or Distributor(s):

HYDRO ONE LIMITED

Promoter(s):

-

Project #3149444

Issuer Name:

Marimaca Copper Corp. (formerly, Coro Mining Corp.)
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated December 18, 2020
NP 11-202 Receipt dated December 18, 2020

Offering Price and Description:

\$100,000,000.00
Common Shares
Warrants
Units
Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3150187

Issuer Name:

MindBeacon Holdings Inc.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 17, 2020
NP 11-202 Receipt dated December 17, 2020

Offering Price and Description:

\$65,000,000.00
* Common Shares

Underwriter(s) or Distributor(s):

TD SECURITIES INC.
CREDIT SUISSE SECURITIES (CANADA), INC.
CANACCORD GENUITY CORP.
BLOOM BURTON SECURITIES INC.
BEACON SECURITIES LIMITED
ECHELON WEALTH PARTNERS INC.

Promoter(s):

-

Project #3148573

Issuer Name:

Neo Performance Materials Inc.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated December 17, 2020
NP 11-202 Receipt dated December 17, 2020

Offering Price and Description:

C\$47,583,250.00
3,932,500 Common Shares
Offering Price: C\$12.10 per Common Share

Underwriter(s) or Distributor(s):

PARADIGM CAPITAL INC.
CORMARK SECURITIES INC.
CANNACORD GENUITY CORP.
CIBC WORLD MARKETS INC.
RAYMOND JAMES LTD.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.
STIFEL NICOLAUS CANADA INC.

Promoter(s):

-

Project #3148295

Issuer Name:

Standard Lithium Ltd.
Principal Regulator - British Columbia

Type and Date:

Final Short Form Prospectus dated December 14, 2020
NP 11-202 Receipt dated December 15, 2020

Offering Price and Description:

Up to \$30,030,000.00
Up To 13,650,000 Offered Shares
PRICE: \$2.20 PER OFFERED SHARE

Underwriter(s) or Distributor(s):

Roth Canada, ULC
Roth Capital Partners LLC
Echelon Wealth Partners Inc.

Promoter(s):

-

Project #3147502

Issuer Name:

Subversive Capital Acquisition Corp.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 16, 2020
NP 11-202 Receipt dated December 17, 2020

Offering Price and Description:

0.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3141109

Issuer Name:

Topicus.com Inc.
Principal Regulator - Ontario

Type and Date:

Final Long Form Prospectus dated December 18, 2020
NP 11-202 Receipt dated December 18, 2020

Offering Price and Description:

Distribution by Constellation Software Inc. as a Dividend-in-Kind
of 39,412,385 Subordinate Voting Shares of Topicus.com Inc.

Underwriter(s) or Distributor(s):

-

Promoter(s):

CONSTELLATION SOFTWARE INC.

Project #3114924

Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Voluntary Surrender	SurePath Capital Partners Inc.	Exempt Market Dealer	November 3, 2020
New Registration	Canada Life Investment Management Ltd.	Portfolio Manager, Investment Fund Manager and Commodity Trading Manager	December 15, 2020
New Registration	RockCreek (Canada) Adviser, Inc.	Portfolio Manager and Exempt Market Dealer	December 17, 2020
Name Change	From: BBS SECURITIES INC To: CI Investment Services Inc. / CI Services D'Investissement Inc.	Investment Dealer	October 19, 2020
Voluntary Surrender	Pillarfour Securities Inc.	Exempt Market Dealer	December 16, 2020

This page intentionally left blank

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Mutual Fund Dealers Association of Canada (MFDA) – Proposed Amendments to MFDA Rules 2.3.2 and 2.3.3 – Limited Trading Authorization – Request for Comment

REQUEST FOR COMMENT

MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

PROPOSED AMENDMENTS TO MFDA RULES 2.3.2 AND 2.3.3 – LIMITED TRADING AUTHORIZATION

The MFDA is publishing for public comment a proposal to delete MFDA Rules 2.3.2 and 2.3.3 that set out requirements for Limited Trading Authorization (LTA) from clients to facilitate trade execution. It is also proposed to make corresponding changes to record-keeping requirements set out under MFDA Rule 5.1 (together, Proposed Amendments).

The objectives of the Proposed Amendments are:

- reducing regulatory burden,
- ensuring that MFDA requirements reflect current industry practices,
- achieving greater consistency between MFDA requirements and those of other Canadian securities regulators, and
- addressing the potential for trade execution delays related to the requirement to use a prescribed form of LTA, having regard to challenges arising as a result of the COVID-19 global pandemic.

A copy of the MFDA Notice, including the proposed Rules changes, is published on our website at www.osc.gov.on.ca. The comment period ends on March 24, 2021.

This page intentionally left blank

Index

Agrios Global Holdings Ltd.	
Cease Trading Order	9727
Alli, Nayeem	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
Ayr Strategies Inc.	
Decision	9665
Aziz, Maurice	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
Bajaj, Harish	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
BBS SECURITIES INC	
Name Change.....	9925
Blacksteel Energy Inc.	
Cease Trading Order	9727
Bloomberg Trading Facility B.V.	
Notice of Hearing with Related Statements of Allegations – ss. 127, 127.1	9645
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9663
Order – ss. 144, 147	9687
Order with Related Settlement Agreements – ss. 127, 127.1	9704
Reasons for Approval of a Settlement – ss. 127, 127.1	9721
Bloomberg Trading Facility Limited	
Notice of Hearing with Related Statements of Allegations – ss. 127, 127.1	9645
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9663
Order – ss. 144, 147	9687
Order with Related Settlement Agreements – ss. 127, 127.1	9704
Reasons for Approval of a Settlement – ss. 127, 127.1	9721
Brown, Gary	
Notice of Correction – Order – ss. 127(1), 127.1	9644
Order – ss. 127(1), 127.1	9702
Canada Life Investment Management Ltd.	
New Registration.....	9925
CI Investment Services Inc. / CI Services D'Investissement Inc.	
Name Change.....	9925
First Global Data Ltd.	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
Fisher, Colin	
Notice of Hearing with Related Statements of Allegations – ss. 127, 127.1	9652
Notice from the Office of the Secretary	9662
George Weston Limited	
Order – s. 6.1 of NI 62-104.....	9691
Global Bioenergy Resources Inc.	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
Greenbank Capital Inc.	
Cease Trading Order.....	9727
Handa, Rakesh	
Notice from the Office of the Secretary	9661
Order	9686
Itwaru, Andre	
Notice from the Office of the Secretary	9660
Notice from the Office of the Secretary	9662
Jones, Bradley	
Notice of Correction – Order – ss. 127(1), 127.1	9644
Order – ss. 127(1), 127.1	9702
Loblaw Companies Limited	
Order – s. 6.1 of NI 62-104.....	9695
Metric Asset Allocation Fund	
Decision.....	9672
MFDA	
SROs – Proposed Amendments to MFDA Rules 2.3.2 and 2.3.3 – Limited Trading Authorization – Request for Comment	9927
Miller, David Randall	
Notice from the Office of the Secretary	9661
Order	9686
Miner Edge Corp.	
Notice from the Office of the Secretary	9661
Order	9686
Miner Edge Inc.	
Notice from the Office of the Secretary	9661
Order	9686
MOAG Copper Gold Resources Inc.	
Notice of Correction – Order – ss. 127(1), 127.1	9644
Order – ss. 127(1), 127.1	9702
Morningstar Associates Inc.	
Decision.....	9680

Mutual Fund Dealers Association of Canada	
SROs – Proposed Amendments to MFDA	
Rules 2.3.2 and 2.3.3 – Limited Trading	
Authorization – Request for Comment	9927
Nemaska Lithium Inc.	
Order	9698
Northwest & Ethical Investments L.P.	
Decision	9676
Nutritional High International Inc.	
Cease Trading Order	9727
OSC Staff Notice 11-742 (Revised) – Securities	
Advisory Committee	
Notice	9643
Outcome Global Tactical Asset Allocation Fund	
Decision	9672
Outcome Metric Asset Management Limited	
Partnership	
Decision	9672
Paolucci, Dino	
Notice from the Office of the Secretary	9664
Order – ss. 127(1), 127(10)	9701
Reasons and Decision – ss. 127(1), 127(10)	9724
Performance Sports Group Ltd.	
Cease Trading Order	9727
Pillarfour Securities Inc.	
Voluntary Surrender	9925
RockCreek (Canada) Adviser, Inc.	
New Registration	9925
StableView Asset Management Inc.	
Notice of Hearing with Related Statements of	
Allegations – ss. 127, 127.1	9652
Notice from the Office of the Secretary	9662
SurePath Capital Partners Inc.	
Voluntary Surrender	9925
Victory Capital Corp.	
Cease Trading Order	9727