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Chapter 1

Notices / News Releases

1.1 Notices

1.1.1 CSA Staff Notice 51-357 Staff Review of Reporting Issuers in the Cannabis Industry

CSA Staff Notice 51-357 *Staff Review of Reporting Issuers in the Cannabis Industry* is reproduced on the following separately numbered pages. Bulletin pagination resumes at the end of the CSA Staff Notice.

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CSA/ACVM Canadian Securities Administrators Autorités canadiennes en valeurs mobilières

CSA Staff Notice 51-357
Staff Review of Reporting Issuers in the Cannabis Industry

October 10, 2018

1. EXECUTIVE SUMMARY

Staff of the Canadian Securities Administrators (**Staff** or **we**) are publishing this notice based on a review conducted by the securities regulatory authorities in Alberta, British Columbia, Ontario and Québec. Staff reviewed the disclosure of 70 reporting issuers operating in the cannabis[1] industry. This review included reporting issuers with varying levels of involvement in the industry and with operations in different countries.

The purpose of this notice is to highlight good disclosure practices for issuers in the cannabis industry so that investors are provided with transparent information about financial performance and risks and uncertainties, to support informed investing decisions.

The cannabis industry has benefited from increasingly permissive legal frameworks and has grown significantly as an emerging public market sector. Our review identified industry specific disclosure deficiencies, which are notable given the recent rapid growth of this industry.

Our results identified the following key areas where we expect issuers to improve their disclosure:

- Licensed cannabis producers (**LPs**) often did not provide sufficient information in their financial statements and management's discussion and analysis (**MD&A**) for an investor to understand their financial performance. International Financial Reporting Standards (**IFRS**) require issuers to record growing cannabis plants at their fair value[2]. 100% of the LPs we reviewed needed to improve their fair value and fair value related disclosures,
- Some issuers did not consistently comply with securities requirements for forward-looking information, guidance for providing balanced disclosure and certain other requirements, and
- 74% of issuers with cannabis operations in the U.S. did not provide sufficient disclosure about the risks related to their U.S. operations to satisfy the disclosure expectations set out in CSA Staff Notice 51-352 (Revised) *Issuers with U.S. Marijuana-Related Activities* (the **U.S. Disclosure Expectations Notice**).

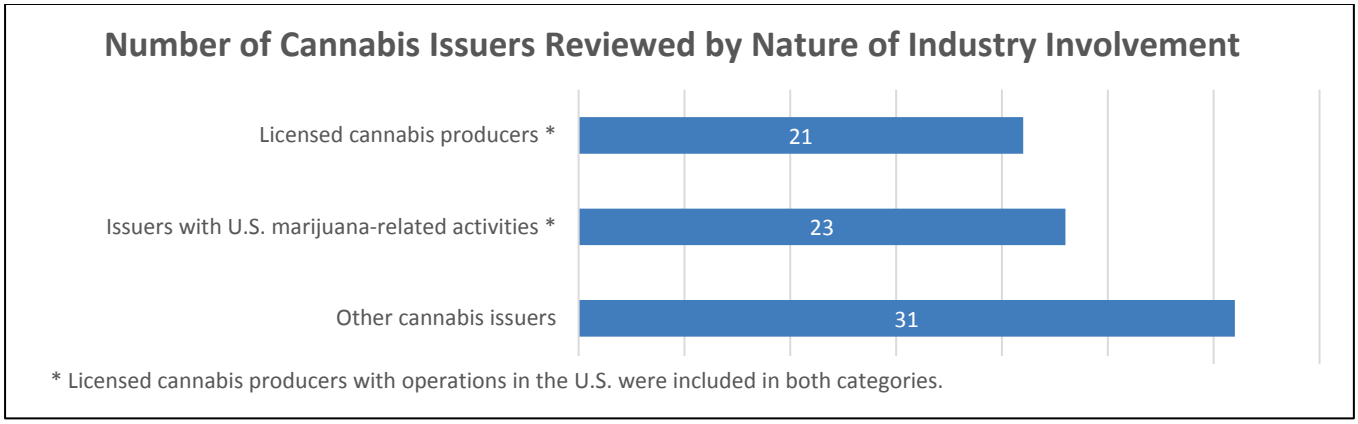
Where deficient disclosure was identified during our review, issuers either committed to prospective improvements or, when the deficiencies were pervasive, refiled certain documents.

[1] The terms cannabis and marijuana are used interchangeably in this notice.

[2] In the context of growing cannabis plants intended for harvest, references throughout this notice to fair value are understood to represent fair value less costs to sell. Refer to International Accounting Standard 41 *Agriculture* (**IAS 41**).

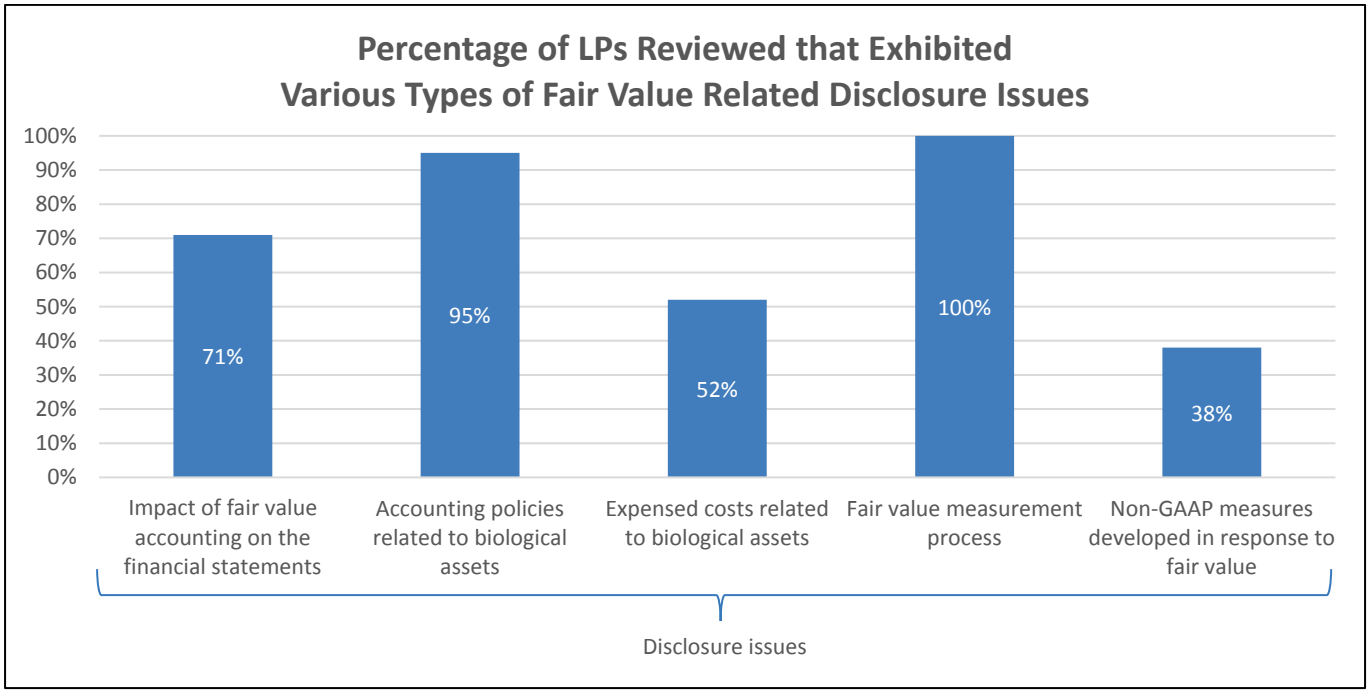
2. Review Scope

As outlined in the following table, we reviewed issuers with any type of involvement in the cannabis industry, including issuers that are not directly involved in the production or sale of cannabis and issuers that are planning cannabis-related activities but have not yet commenced operations.

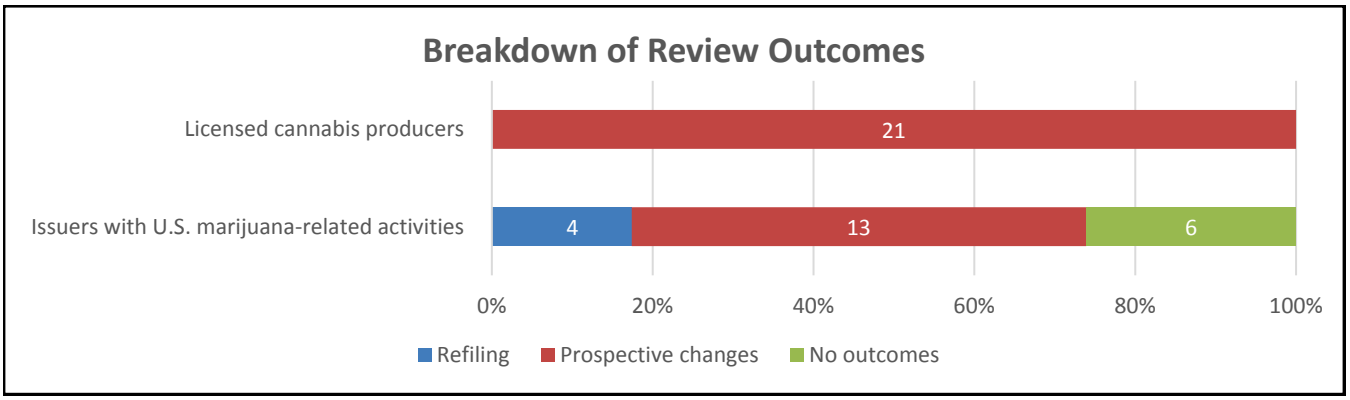


3. Review Outcomes

All of the LPs that we reviewed took action to improve their disclosure in response to issues raised in five main categories, which are summarized below and further explained in section 4. Some of the disclosure concerns that we identified were industry-wide, with most or all LPs having the same or similar issues.



Our review also resulted in 74% of issuers with U.S. marijuana-related activities taking action to improve their disclosure, with 17% refiling their most recent MD&A to correct more pervasive deficiencies.



While some of the review outcomes discussed in this notice may be useful for other types of cannabis issuers, our review results focus on licensed cannabis producers and issuers with U.S. marijuana-related activities. We encourage all issuers in the cannabis sector, including those in ancillary businesses, to consider applicable findings in this notice.

4. Findings for Licensed Cannabis Producers

4.1 Disclosure About the Impact of Fair Value Accounting on the Financial Statements

Issuers with agricultural activities are required to measure living plants, or biological assets, at their fair value under IFRS. As a result, the statement of profit and loss (**P&L**) of an LP often includes unrealized fair value gains related to the growth of biological assets which have not yet been sold.

During our review, we noted that 71% of LPs did not separately disclose all fair value amounts included in the P&L. In these cases, fair value adjustments were often embedded in cost of goods sold. It is critical for investors to be able to understand how much it costs a company to produce its product. Since fair value amounts in the P&L of an LP are not costs that have been incurred related to cannabis sold, it is important for all fair value amounts to be separately disclosed, so that investors can understand a company's cost of sales excluding any fair value amounts.

To ensure investors understand an LPs financial performance, issuers should separately disclose each of the following:[3]

- Unrealized gains/losses resulting from fair value changes on growth of biological assets, and
- Realized fair value amounts included in the cost of inventory sold.

[3] Paragraph 85 of IAS 1 *Presentation of Financial Statements* (**IAS 1**) states that "an entity shall present additional line items… in the statement(s) presenting profit or loss and other comprehensive income when such presentation is relevant to an understanding of the entity's financial performance." Paragraph 97 further states that material income or expense items should be disclosed separately.

The following example illustrates the type of disclosure which was observed during our review, followed by an example of how disclosure can be enhanced.

Example 4.1(a) – Observed disclosure of fair value impacts on the P&L

In the P&L excerpt shown below, changes in fair value of $500,000 arising from the growth of biological assets (unrealized fair value changes) have been separately disclosed as required by paragraph 40 of IAS 41. However, fair value amounts included in inventory sold (realized fair value changes) have not been separately disclosed. Issuers should separately disclose these amounts in order to provide more clear and transparent information to investors.

Revenue	$ 1,000,000
Cost of finished cannabis inventory sold	(1,100,000)
Unrealized fair value gain on growth of biological assets	500,000
Gross profit	**$ 400,000**

Example 4.1(b) – Enhanced disclosure of fair value impacts on the P&L

In the enhanced example, both unrealized and realized fair value amounts are presented as separate line items on the face of the P&L.

Revenue	$ 1,000,000
Cost of finished cannabis inventory sold	(700,000)
Gross profit, excluding fair value items	**300,000**
Realized fair value amounts included in inventory sold	(400,000)
Unrealized fair value gain on growth of biological assets	500,000
Gross profit	**$ 400,000**

While presentation of these amounts as separate line items on the face of the P&L would provide clear and transparent information, disclosure in the financial statement notes may be an acceptable alternative.

During our review, we also noted instances where fair value changes initially appeared to be separately disclosed but in fact were not, for example, because they were disclosed on an aggregate basis with other items such as inventory write-downs. A financial statement line item labelled ‘fair value gain on growth of biological assets and other’ would be inappropriate in the absence of additional disclosure separating fair value changes from any ‘other’ items.

4.2 Disclosure of Accounting Policies Related to Biological Assets

IAS 41 does not prescribe an accounting policy for determining what costs are directly or indirectly attributable to biological assets, nor whether those costs should be capitalized to biological assets or expensed as incurred. Rather, IAS 41 requires biological assets to be measured at their fair value[4], regardless of what costs may or may not be capitalized to them.

While most issuers had a P&L line item within the gross profit subtotal called 'production costs' or 'cost of goods sold' they generally did not discuss the composition of those line items, such as whether they included all of the direct and indirect costs related to biological assets and inventory sold. In some cases we found that items such as depreciation expense for equipment related to biological asset production was included in a 'depreciation and amortization' P&L line item below gross profit, without any disclosure to indicate that not all the direct and/or indirect costs of production were included within gross profit. In these cases, the use of the subtotal 'gross profit' could be misleading for investors since it may be understood as revenue less costs of goods sold, where cost of goods sold is determined using the principles outlined in IAS 2 *Inventories* (**IAS 2**).

We similarly found that most issuers did not clearly disclose whether they were capitalizing or expensing costs directly and indirectly related to biological assets.

As noted in section 4.1 above, investors may refer to the P&L subtotal 'gross profit, excluding fair value items' to understand an LPs financial performance.[5] It is important for investors to understand what costs are included in this subtotal and when those costs are recognized as an expense. Therefore, as part of their significant accounting policy disclosure, we expect issuers to clearly disclose: [6]

- What they consider to be the direct and indirect costs of production associated with biological assets,
- Which P&L line item(s) these direct and indirect costs are recorded in,[7] and
- Whether the direct and indirect costs of biological assets are capitalized, or whether they are expensed as incurred.

We sent comment letters to all of the LPs that we reviewed seeking clarification about their accounting policies for biological assets. The following example illustrates the type of disclosure which was observed, followed by an example of how disclosure can be enhanced.

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[4] Refer to paragraph 12 of IAS 41.

[5] If this subtotal is not presented, investors may rely on similar information derived from the issuer's other disclosure, including disclosure in the financial statement notes. As a result, the disclosure expectations outlined in this section are important regardless of whether this subtotal is presented.

[6] Paragraph 117 of IAS 1 requires disclosure of significant accounting policies. Refer also to paragraph 10 of IAS 8 *Accounting Policies, Changes in Accounting Estimates and Errors*.

[7] Paragraph 104 of IAS 1 requires additional disclosure about the nature of expenses within P&L line items classified by function.

Example 4.2(a) – Observed disclosure of biological asset accounting policies

Biological assets are measured at their fair value less costs to sell and inventory is measured at the lower of cost and net realizable value, with the initial cost of inventory being the fair value of the biological asset at the time of harvest. All direct and indirect costs related to harvested inventory are capitalized.

Example 4.2(b) – Enhanced disclosure of biological asset accounting policies

Biological Assets
While the Company's biological assets are within the scope of IAS 41 *Agriculture*, the direct and indirect costs of biological assets are determined using an approach similar to the capitalization criteria outlined in IAS 2 *Inventories.* They include the direct cost of seeds and growing materials as well as other indirect costs such as utilities and supplies used in the growing process. Indirect labour for individuals involved in the growing and quality control process is also included, as well as depreciation on production equipment and overhead costs such as rent to the extent it is associated with the growing space. All direct and indirect costs of biological assets are capitalized as they are incurred and they are all subsequently recorded within the line item 'cost of goods sold' on the P&L in the period that the related product is sold. Unrealized fair value gains/losses on growth of biological assets are recorded in a separate line on the face of the P&L. Biological assets are measured at their fair value less costs to sell on the balance sheet.

Inventory
The direct and indirect costs of inventory initially include the fair value of the biological asset at the time of harvest. They also include subsequent costs such as materials, labour and depreciation expense on equipment involved in packaging, labeling and inspection. All direct and indirect costs related to inventory are capitalized as they are incurred and they are subsequently recorded within 'cost of goods sold' on the P&L at the time cannabis is sold, except for realized fair value amounts included in inventory sold which are recorded as a separate line on the face of the P&L. Inventory is measured at lower of cost or net realizable value on the balance sheet.

4.3 Disclosure Issues for LPs that Expense Costs Related to Biological Assets as Incurred

48% of the LPs that we reviewed capitalized all direct and indirect costs related to biological assets. The findings in this section relate specifically to the remaining 52% of LPs who expensed these costs as incurred.

4.3.1 Disclosure About the Cost of Cannabis Sold in the Period

When issuers elect to expense direct and indirect costs related to biological assets, the P&L will typically include costs incurred in the current period related to cannabis which has not yet been sold. As a result, investors may not be able to determine which costs relate to cannabis sold in the period. Issuers in other industries (e.g. manufacturing) that are within the scope of IAS 2, but that do not have biological assets, will generally provide this information because IAS 2 requires the capitalization of costs which are directly and indirectly related to the production of inventories. Investors in the cannabis industry may want information about the cost of cannabis sold in the period, regardless of whether an issuer elects to capitalize or expense biological asset costs under IAS 41.

Issuers who expense biological asset costs as incurred should consider whether this accounting policy results in information that is relevant to the decision-making needs of investors[8]. These issuers are encouraged to provide supplemental information in their MD&A such as, for example, information about the impact that capitalization of direct and indirect costs related to biological assets would have had on the P&L.[9] This type of information may be useful to investors who want to compare gross profit between different issuers.

4.3.2 Presentation of a Gross Profit Subtotal

The presentation of a gross profit subtotal may be misleading when that amount does not include all of the direct and indirect costs of production for cannabis sold during the period. The term 'gross profit' may be understood to consist exclusively of the direct and/or indirect costs of cannabis sold during the period. Since the P&L of issuers that expense the direct and indirect costs of biological assets includes costs incurred on goods which have not yet been sold, these issuers should consider whether the presentation of a gross profit P&L subtotal could mislead investors.

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[8] Paragraph 10 of IAS 8 *Accounting Policies, Changes in Accounting Estimates and Errors* indicates that "in the absence of an IFRS that specifically applies to a transaction, other event or condition, management shall use its judgement in developing and applying an accounting policy that results in information that is… relevant to the economic decision-making needs of users."

[9] Issuers who provide such disclosure should ensure they meet the disclosure expectations outlined in CSA Staff Notice 52-306 (Revised) *Non-GAAP Financial Measures and Additional GAAP Measures* (**SN 52-306**).

4.4 Disclosure About the Fair Value Measurement Process

The processes and assumptions used by LPs to determine the fair value of biological assets are subjective and involve significant judgements. Growing cannabis plants may progress through various stages prior to harvest, requiring management to make judgements at each financial reporting date. Investors should be able to understand these judgements. While IFRS requires certain disclosures about these processes and assumptions[10], all of the LPs we reviewed were providing deficient disclosure in this area. In most cases, LPs were not providing:

- A description of the valuation techniques and processes,
- A description of the inputs used in the fair value measurement including quantitative information about significant unobservable inputs,
- The level of the fair value hierarchy within which the fair value measurement is categorized,
- The sensitivity of the fair value measurement to changes in certain inputs, and
- A discussion of any interrelationships between significant unobservable inputs and how they may affect fair value measurement.

The following example illustrates the type of disclosure which was observed, followed by an example of how disclosure could be enhanced.

Example 4.4(a) – Observed disclosure about the fair value measurement process

Biological assets are measured at their fair value less costs to sell. Significant assumptions used in determining fair value include the sales price of finished cannabis inventory and post-harvest costs. A 10% increase/decrease in these significant assumptions on a combined basis would have increased/decreased the fair value of biological assets by $1,000 in aggregate.

[10] Refer to paragraphs 91, 92 and 93 of IFRS 13 *Fair Value Measurement*.

Example 4.4(b) – Enhanced disclosure about the fair value measurement process

The Company measures its biological assets at their fair value less costs to sell. This is determined using a model which estimates the expected harvest yield in grams for plants currently being cultivated, and then adjusts that amount for the expected selling price per gram and also for any additional costs to be incurred, such as post-harvest costs.

The following significant unobservable inputs, all of which are classified as level 3 on the fair value hierarchy, were used by management as part of this model:

- Selling price – calculated as the weighted average historical selling price for all strains of cannabis sold by the Company, which is expected to approximate future selling prices
- Stage of growth – represents the weighted average number of weeks out of the 15 week growing cycle that biological assets have reached as of the measurement date
- Yield by plant – represents the expected number of grams of finished cannabis inventory which are expected to be obtained from each harvested cannabis plant
- Wastage – represents the weighted average percentage of biological assets which are expected to fail to mature into cannabis plants that can be harvested
- Post-harvest costs – calculated as the cost per gram of harvested cannabis to complete the sale of cannabis plants post harvest, consisting of the cost of direct and indirect materials and labour related to labelling and packaging

The following table quantifies each significant unobservable input, and also provides the impact a 10% increase/decrease in each input would have on the fair value of biological assets.

	December 31 20X7	**December 31 20X6**	**10% Change as at 12/31/20X7**	**10% Change as at 12/31/20X6**
Selling price	$7.50	$7.00	$10,000	$9,000
Stage of growth	12 weeks	6 weeks	$9,000	$8,000
Yield by plant	100 grams	90 grams	$7,000	$6,000
Wastage	1%	5%	$1,000	$5,000
Post-harvest costs	$0.50	$0.60	$4,000	$5,000

Biological assets were on average at a more advanced stage of growth in 20X7 (i.e. 12 weeks grown vs. 6 in 20X6). As a plant matures the likelihood of wastage declines. As a result, wastage estimates were lower in 20X7.

The Company accretes fair value on a straight line basis according to stage of growth. As a result, a cannabis plant that is 50% through its 15 week growing cycle would be ascribed approximately 50% of its harvest date expected fair value (subject to wastage adjustments).

4.5 Disclosure About Non-GAAP Financial Measures Developed in Response to Fair Value

48% of LPs that we reviewed disclose a non-GAAP financial measure similar to 'cash cost per gram' to portray their cost of production, after excluding non-cash fair value adjustments. While this measure is often calculated differently by individual LPs, the way in which it has been calculated should be understandable to investors.[11]

In many cases, the composition of a non-GAAP financial measure was unclear because it was difficult to understand what costs had been included in the GAAP measure that formed the starting point in calculating cash cost per gram. Sections 4.1, 4.2 and 4.3 above provide examples of how issuers can ensure that investors understand the nature of costs included in a line item presented in the financial statements, from which a non-GAAP financial measure such as cash cost per gram may be derived.

In other cases, the composition of a non-GAAP financial measure was unclear because the reconciling items used to calculate it were not sufficiently explained. Issuers should ensure that the nature of any reconciling items is sufficiently explained and that any significant judgements made in quantifying the reconciling item are also provided.

For example, several issuers did not sufficiently explain significant judgements used in determining what represents a gram for the purposes of calculating cash cost per gram. In some cases a gram represented a gram sold and in other cases it represented a gram harvested. In other cases, for LPs that sell both dried cannabis as well as cannabis oils, an undisclosed equivalency factor was used to determine how many grams of dried cannabis were used in the production of a millilitre of oil sold. These and any other significant assumptions should be clearly disclosed.

We also noted instances where a non-GAAP financial measure similar to cash cost per gram had been disclosed without being identified as a non-GAAP financial measure. Issuers should ensure that all non-GAAP financial measures are identified as non-GAAP financial measures and that they are reconciled to the most directly comparable GAAP measure presented in the financial statements, with the appropriate related disclosures.[12]

While cash cost per gram gives investors information about an issuer's cash cost incurred, it generally does not provide a fulsome understanding of the cost of cannabis sold for issuers who expense the costs of biological assets as they are incurred. We refer issuers that expense direct and indirect costs of biological assets to the disclosure expectations outlined in section 4.3 above, in addition to the disclosure expectations noted in this section.

[11] Refer to the disclosure expectations outlined in SN 52-306.
[12] ibid

5. OTHER REVIEW FINDINGS

During the course of our review, we noted the following other issues which issuers should consider in preparing their public filings.

5.1 Production Estimates

Issuers who make announcements about anticipated production capacity in a new facility under construction should disclose the material factors and assumptions related to that projection. Assumptions for financial projections should be specific and comprehensive, particularly with respect to quantitative details, such that an investor is able to clearly understand how each assumption contributes to the projection. Issuers should also ensure that this forward looking information is updated, as required by securities law.[13]

The following example illustrates the type of disclosure which was observed, followed by an example of how disclosure could be enhanced.

Example 5.1(a) – Observed disclosure about production estimates

The Company is in the process of building a second greenhouse directly adjacent to its current facility. While construction has commenced, it is still at an early stage, with only the foundation having been poured. The second greenhouse, once constructed and approved/licensed by Health Canada, will be able to produce approximately 100,000 kilograms of dried cannabis per year.

Example 5.1(b) – Enhanced disclosure about production estimates

The Company is in the process of building a second greenhouse directly adjacent to its current facility. While construction has commenced, it is still at an early stage, with only the foundation having been poured. The second greenhouse, once constructed and approved/licensed by Health Canada, will be able to produce approximately 100,000 kilograms of dried cannabis per year. This forward looking estimate is based on the following material factors and assumptions:

- The facility size will be approximately 800,000 square feet(1), with all of that space being used for cultivation.
- The ratio of dried cannabis cultivated per square foot of facility space will be consistent with historical output in our existing facility.
- Costs to construct the facility will be approximately $100 million(1), where only a deminimis amount has been incurred to date.
- The second greenhouse facility is expected to be fully constructed and ready for final inspection by Health Canada by December 1, 20X9(1).

(1) These statements constitute forward-looking information related to possible events, conditions or financial performance based on future economic conditions and courses of action. These statements involve known and unknown risks, assumptions, uncertainties and other factors that may cause actual results or events to differ materially. The Company believes there is a reasonable basis for the expectations reflected in the forward-looking statements, however these expectations may not prove to be correct.

[13] Refer to Part 4A *Forward-Looking Information* and Section 5.8 *Disclosure Relating to Previously Disclosed Material Forward-Looking Information* of National Instrument 51-102 *Continuous Disclosure Obligations*.

5.2 Misleading or Unbalanced Disclosure

Issuers considering entering the cannabis industry, or issuers considering new investments in the cannabis industry, should ensure that announcements about these new opportunities are balanced and that they are not misleading to investors as a result.[14]

The following example illustrates disclosure that is unbalanced because it does not fully discuss material contingencies and terms to events being announced, followed by an example of how this disclosure can be improved.

Example 5.2(a) – Unbalanced disclosure about plans to enter the cannabis industry

On July 5, 20X8 the Company entered in to a binding arrangement to acquire Cannabis Co., an entity that has applied for a recreational marijuana dispensary licence in the U.S. state of Colorado. Other than the license application, Cannabis Co. has no other material assets. The expected purchase price of $50 million will be paid in cash.

We expect the acquisition to close on December 1, 20X8.

Example 5.2(b) – Enhanced disclosure about plans to enter the cannabis industry

On July 5, 20X8 the Company entered in to a binding arrangement to acquire Cannabis Co., an entity that has applied for a recreational marijuana dispensary licence in the U.S. state of Colorado. Other than the license application, Cannabis Co. has no other material assets. The expected purchase price of $50 million will be paid in cash.

The acquisition is subject to a number of contingencies which must be satisfied prior to closing, including that Cannabis Co. must obtain regulatory approval for its dispensary license on or before December 1, 20X8. If the dispensary licence application is not approved by the state regulator on or prior to December 1, 20X8 then the binding acquisition arrangement may be terminated by either party without penalty.

5.3 Impairment

Issuers with material cannabis-related assets should perform appropriate impairment testing[15] in response to any impairment event, including in the event of an industry-wide change in cannabis-related asset valuations. For example, this may include adverse changes in a regulatory framework with potentially negative impacts on current or future cash flows or revenues.

5.4 Material Contracts

Generally speaking, issuers who are substantially dependent on licenses to cultivate or sell cannabis, or on leased facilities in which those activities are performed, should consider filing the related licenses/agreements as material contracts.

[14] Refer to National Policy 51-201 *Disclosure Standards* as well as the disclosure requirements in Part 1(a) of Form 51-102F1 *MD&A*.
[15] Refer to IAS 36 *Impairment of Assets*.

5.5 Regulatory Frameworks

Issuers with cannabis operations outside North America should provide disclosure about the foreign regulatory frameworks that are applicable to them, as they would for operations in Canada and the U.S.

We also remind issuers that in light of the illegal treatment of cannabis under U.S. federal law any engagement in cannabis-related activities, both in Canada as well as in foreign jurisdictions, may lead to heightened scrutiny by regulatory bodies and other authorities. For example, recent statements made by the U.S. Customs and Border Protection agency about working in or facilitating the legal cannabis industry, and the impact this involvement may have on admissibility to the U.S. Issuers should ensure that their risk factor disclosure addresses these risks, as well as other relevant risks, as they evolve.

6. FINDINGS FOR ISSUERS WITH U.S. MARIJUANA-RELATED ACTIVITIES

Staff published the U.S. Disclosure Expectations Notice in February 2018 to provide specific disclosure expectations for issuers that currently have, or are in the process of developing, marijuana-related activities in the U.S. where such activity has been authorized within a state regulatory framework (**U.S. Marijuana Issuers**). These disclosure expectations include, but are not limited to:

- A description of the nature of an issuer's involvement in the U.S. marijuana industry,
- Disclosure that marijuana is illegal under U.S. federal law and that enforcement of relevant laws is a significant risk,
- Related risks including, among others, the risk that third party service providers could suspend or withdraw services and the risk that regulatory bodies could impose certain restrictions on the issuer's ability to operate in the U.S.,
- A discussion of the issuer's ability to access public and private capital, including which financing options are and are not available to support continuing operations,
- A quantification of the issuer's balance sheet and operating statement exposure to U.S. marijuana-related activities, and
- As further described in the U.S. Disclosure Expectations Notice, additional disclosures are expected depending on whether an issuer has direct, indirect or ancillary involvement with U.S. marijuana-related activities. For example, issuers with direct involvement are expected to provide a description of applicable regulatory frameworks, a discussion of internal procedures for monitoring compliance and a statement confirming compliance, amongst other things.

These are critically important disclosures about material risks that arise as a result of the unique legal and regulatory environment surrounding marijuana in the U.S. Our review noted inadequate disclosure provided by most U.S. Marijuana Issuers. As noted in section 3 above, our review resulted in 74% of issuers with U.S. marijuana-related activities taking action to improve their disclosure, with 17% refiling their most recent MD&A.

As stated in the U.S. Disclosure Expectations Notice, these disclosures and any related risks should be evaluated, monitored and reassessed by U.S. Marijuana Issuers on an ongoing basis and provided to investors in public filings, including in the event of government policy changes or the introduction of new or amended guidance, laws or regulations.

7. CONCLUSION

In light of the relatively recent emergence of the cannabis industry, accounting and disclosure requirements and best practices are evolving. The guidance outlined in this notice aims to help issuers understand their disclosure obligations in order to provide high quality information to the public. We will continue to monitor these areas in our review program activities moving forward. Issuers who do not provide appropriate disclosure may be subject to additional regulatory action.

8. QUESTIONS

Please refer your questions to any of the following:

Ontario Securities Commission
Sonny Randhawa
Deputy Director, Corporate Finance
416-204-4959
srandhawa@osc.gov.on.ca

Jonathan Blackwell
Senior Accountant, Corporate Finance
416-593-8138
jblackwell@osc.gov.on.ca

Katrina Janke
Senior Legal Counsel, Corporate Finance
416-593-8297
kjanke@osc.gov.on.ca

British Columbia Securities Commission
Allan Lim
Manager, Corporate Finance
604-899-6780
alim@bcsc.bc.ca

Alan Mayede
Senior Securities Analyst
604-899-6546
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Alberta Securities Commission
Tom Graham
Director, Corporate Finance
403-297-5355
tom.graham@asc.ca

Autorité des marchés financiers
Livia Alionte
Analyst, Continuous Disclosure
514-395-0337, ext. 4336
livia.alionte@lautorite.qc.ca

Nadine Gamelin
Senior Analyst, Financial Information
514-395-0337, ext. 4417
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Financial and Consumer Services Commission (New Brunswick)
John Paixao
Securities Analyst
506-643-7435
john.paixao@fcnb.ca

Financial and Consumer Affairs Authority of Saskatchewan
Tony Herdzik
Deputy Director, Corporate Finance
306-787-5849
tony.herdzik@gov.sk.ca

The Manitoba Securities Commission
Wayne Bridgeman
Deputy Director, Corporate Finance
204-945-4905
wayne.bridgeman@gov.mb.ca

Government of the Northwest Territories
Thomas W. Hall
Superintendent of Securities
867-767-9305
securitiesregistry@gov.nt.ca

Nova Scotia Securities Commission
Abel Lazarus
Director, Corporate Finance
902-424-6859
abel.lazarus@novascotia.ca

1.3 Notices of Hearing with Related Statements of Allegations

1.3.1 eToro (Europe) Limited – ss. 127, 127.1

FILE NO.: 2018-44

IN THE MATTER OF
ETORO (EUROPE) LIMITED

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: October 10, 2018 at 9:00 a.m.

LOCATION: 20 Queen Street West, 17th Floor, Toronto, Ontario

PURPOSE

The purpose of this hearing is to consider whether it is in the public interest for the Commission to approve the Settlement Agreement dated September 26, 2018 between Staff of the Commission and eToro (Europe) Limited in respect of the Statement of Allegations filed by Staff of the Commission dated October 3, 2018.

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 le plut tôt si le participant demande qu'une instance soit tenue entièrement ou partiellement en français.

Dated at Toronto this 5th day of October, 2018

"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
ETORO (EUROPE) LIMITED

STATEMENT OF ALLEGATIONS
(Subsection 127(1) and (2) and Section 127.1 of the
Securities Act, RSO 1990, c S 5 as amended)

A. ORDER SOUGHT

1. Staff of the Enforcement Branch ("**Staff**") of the Ontario Securities Commission (the "**Commission**") requests that the Commission make an order pursuant to subsections 127(1) and (2) and section 127.1 of the *Securities Act*, RSO 1990 c S.5, as amended (the "**Act**") to approve the settlement agreement dated September 17, 2018 between Staff and eToro (Europe) Limited ("**eToro**").

B. FACTS

2. Foreign companies in the business of online trading of securities or derivatives for Ontario residents, including contracts for difference ("**CFDs**") based on exposure to underlying assets which include cryptocurrencies and stocks, are subject to the registration and prospectus requirements of the Act. The registration and distribution requirements of the Act foster integrity, fairness and enhance protection for Ontario investors.

3. Enforcement Staff make the following allegations of fact:

(a) Overview

4. Between 2008 until approximately October 2, 2017 (the "**Material Time**"), eToro contravened section 25 and 53 of the Act by opening and operating trading accounts for Ontario residents in which CFDs based on exposure to underlying assets including cryptocurrencies and stocks, were traded without registration or proper reliance on available exemptions from the requirement to register. The majority of these accounts were opened by eToro in 2017, after Staff had already raised concerns with eToro about access by Ontario residents to eToro's online trading platform (the "**eToro Platform**").

(b) eToro

5. eToro is a brokerage firm resident in Cyprus which operates the eToro Platform.

6. eToro is regulated by the Cyprus Securities and Exchange Commission.

7. eToro is not a reporting issuer in Ontario and has not filed a prospectus or a preliminary prospectus with the Commission. eToro is not registered to engage in the business of trading in accordance with Ontario securities law.

(c) Ontario Clients

8. During the Material Time, eToro opened and operated nearly 2,500 accounts for clients resident in Ontario (the "**Ontario Accounts**").

9. The Ontario Accounts were opened using an online account application process accessed through eToro's website.

10. During the Material Time, eToro earned revenues from the Ontario Accounts totalling USD $1,791,163. This amount includes all revenues of eToro in relation to the Ontario Accounts, including amounts attributable to rollover (margin) fees and bid-ask spreads with respect to the underlying assets.

11. Ontario investors traded CFDs based on exposure to underlying assets which included cryptocurrencies and stocks through the eToro Platform. eToro was the counterparty to the CFD trades.

(d) eToro Communications with Staff

12. In November 2010, Staff raised concerns with eToro that it was breaching Ontario securities law by offering Ontario residents to participate in the eToro Platform. Staff indicated that it was contemplating adding eToro to its Investor Warning List published on the Commission's website.

13. In December 2010, in order to alleviate Staff's concerns, eToro offered and agreed to, among other things, ensure that all of eToro's sales and support team members were made aware that eToro does not accept trades from Ontario customers and that eToro is not registered in Ontario.

14. In September 2011 and May 2015, in response to further inquiries by Staff, eToro informed Staff that:

- "all our Sales and Support team members are familiar and have been refreshed as to our customer acceptance policy"; and
- eToro had "not changed any of [its] policies towards residents from Ontario".

15. In fact, during the Material Time, unknown to Staff, eToro's sales and support team members did not play any role in reviewing or screening prospective new clients to ensure that they were not from Ontario. Further, eToro had no written policies regarding Ontario residents.

16. Accordingly, during the Material Time, eToro had no meaningful controls in place to prevent Ontario residents from opening accounts and accessing its trading platform. As a result, eToro continued to open accounts and accept trades from Ontario residents.

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

17. Staff alleges the following breaches of Ontario securities law and/or conduct contrary to the public interest by:

a. engaging in the business of trading in securities without registration in accordance with Ontario securities law or an applicable exemption from registration, contrary to section 25 of the Act; and

b. engaging in trading in securities which constitute distributions without complying with the prospectus requirements or without an applicable exemption from the prospectus requirements, contrary to section 53 of the Act.

18. Staff reserves the right to amend these allegations and to make such further and other allegations as Staff deems fit and the Commission may permit.

Dated this 3rd day of October, 2018

1.4 Notices from the Office of the Secretary

1.4.1 Jason Michael Currey et al.

FOR IMMEDIATE RELEASE
October 4, 2018

JASON MICHAEL CURREY,
THE HEALTHY RETIREMENT GROUP INC.,
SUNSET CREEK RESOURCES INC. and
1826487 ALBERTA LTD.,
File No. 2018-48

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 noted matter.

A copy of the Reasons and Decision and the Order dated October 3, 2018 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 investor inquiries:

OSC Contact Centre
416-593-8314
1-877-785-1555 (Toll Free)

1.4.2 Omega Securities Inc.

FOR IMMEDIATE RELEASE
October 4, 2018

OMEGA SECURITIES INC.,
File No. 2017-66

TORONTO – Following a hearing held today, the Commission issued an Order approving the Settlement Agreement reached between Staff of the Commission and Omega Securities Inc. in the above named matter.

A copy of the Order dated October 4, 2018, Settlement Agreement dated September 21, 2018 and Reasons for Approval of Settlement dated October 4, 2018 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 investor inquiries:

OSC Contact Centre
416-593-8314
1-877-785-1555 (Toll Free)

1.4.3 eToro (Europe) Limited

FOR IMMEDIATE RELEASE
October 5, 2018

ETORO (EUROPE) LIMITED,
File No. 2018-44

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 eToro (Europe) Limited in the above named matter.

The hearing will be held on October 10, 2018 at 9:00 a.m. on the 17th floor of the Commission's offices located at 20 Queen Street West, Toronto.

A copy of the Notice of Hearing dated October 5, 2018 and Statement of Allegations dated October 3, 2018 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 investor inquiries:

OSC Contact Centre
416-593-8314
1-877-785-1555 (Toll Free)

1.4.4 Maria Psihopedas

FOR IMMEDIATE RELEASE
October 5, 2018

MARIA PSIHOPEDAS,
File No. 2018-18

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

A copy of the Order dated October 5, 2018 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 investor inquiries:

OSC Contact Centre
416-593-8314
1-877-785-1555 (Toll Free)

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Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Mackenzie Financial Corporation and Quadrus Investment Services Ltd.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Revocation of prior relief – Relief from the requirement in s.3.2.01 of NI 81-101 to deliver a fund facts document to investors who purchase mutual fund securities of a high net worth series pursuant to switches from a regular retail series upon meeting certain eligibility requirements based on the amount of the investor's investments – Relief is expansion of prior relief to include all existing, new and future series – Relief otherwise identical to prior relief – High net worth series securities are identical to regular retail series securities except that the high net worth series have lower combined management and administration fees – Investment fund manager initiating switches on behalf of investors when their investments satisfy eligibility requirements of high net worth series – Switches between series of a fund triggering a distribution of securities attracting the requirement to deliver a fund facts – Relief granted from requirement to deliver a fund facts to investors for purchases of high net worth series securities made pursuant to such switches subject to compliance with certain notification and prospectus/fund facts disclosure requirements – National Instrument 81-101 Mutual Fund Prospectus Disclosure.

Applicable Legislative Provisions

National Instrument 81-101 Mutual Fund Prospectus Disclosure, ss. 3.2.01, 6.1.

June 28, 2018

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
MACKENZIE FINANCIAL CORPORATION
(the Filer)

AND

IN THE MATTER OF
QUADRUS INVESTMENT SERVICES LTD.
(the Dealer)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer and the Dealer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for the revocation (the **Revocation**) of the decision granted by the principal regulator on July 4, 2016 (the **Previous Decision**) and an exemption from the requirement in the Legislation for a dealer to deliver or send the most recently filed fund facts documents (**Fund Facts**) in the manner as required under the Legislation (the **Fund Facts Delivery Requirement**) in respect of purchases of High Net Worth Series (as

defined below) securities of the Quadrus Funds (as defined below) that are made pursuant to Lower Fee Switches (as defined below) (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 British Columbia, Alberta, Saskatchewan, Manitoba, Québec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, the Northwest Territories, Nunavut and Yukon (the **Other Jurisdictions**).

Interpretation

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

Representations

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

1. The Filer is a corporation amalgamated under the laws of the Province of Ontario. The Filer is registered as a portfolio manager, exempt market dealer and investment fund manager in Ontario. The Filer is also registered as a portfolio manager and exempt market dealer in the Other Jurisdictions, as well as an investment fund manager in each of Quebec and Newfoundland & Labrador. The manager is also registered under the *Commodity Futures Act* (Ontario) as a commodity trading manager.

2. The head office of the Filer is located in Toronto, Ontario. The Filer is not in default of the securities legislation of Ontario or the Other Jurisdictions.

3. The Filer is the manager of mutual funds (the **Existing Funds**), each of which is subject to the requirements of National Instrument 81-102 *Mutual Funds* (**NI 81-102**). The Filer may in the future become the manager of additional mutual funds that are subject to the requirements of NI 81-102 (the **Future Funds**, and together with the Existing Funds, the **Funds**, and individually, a **Fund**).

4. Certain of the Funds are or will be available for purchase only through the Dealer (the **Quadrus Funds**), which is the principal distributor for the Quadrus Funds.

5. Each Quadrus Fund is, or will be, an open-end mutual fund trust created under the laws of the Province of Ontario or an open-end mutual fund that is a class of shares of a mutual fund corporation.

6. Each Quadrus Fund is, or will be, a reporting issuer under the laws of Ontario and the Other Jurisdictions, and subject to NI 81-102. The securities of the Quadrus Funds are, or will be qualified for distribution pursuant to a simplified prospectus, annual information form and Fund Facts that have been, or will be, prepared and filed in accordance with National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (**NI 81-101**).

7. The Quadrus Funds are not in default of the securities legislation of Ontario or the Other Jurisdictions.

8. The Dealer is registered as a dealer in Ontario and each of the Other Jurisdictions. The Dealer is not in default of the securities legislation of Ontario or the Other Jurisdictions.

9. The Quadrus Funds currently offer up to 16 series of securities – D5 series, D8 series, H series, H5 series, H8 series, L series, L5 series, L8 series, N series, N5 series, N8 series, Quadrus series, QF series, QF5 series, RB series and Series R – under a simplified prospectus, annual information form and Fund Facts dated June 28, 2017.

10. Certain Quadrus Funds intend to also offer HW series, HW5 series, HW8 series, QFW series and QFW5 series (the **New Series**), which will be qualified for distribution by way of a simplified prospectus, annual information form and Fund Facts to be dated on or around June 28, 2018. The Filer may also offer additional series of the Quadrus Funds in the future.

11. Securities in L series, L5 series, L8 series, HW series, HW5 series, HW8 series, QFW series, QFW5 series and any future applicable preferred pricing series of the Quadrus Funds (the **High Net Worth Series**) have, or will have, lower combined management and administration fees than securities in their corresponding retail series, specifically,

Quadrus series, D5 series, D8 series, H series, H5 series, H8 series, QF series, QF5 series and any future applicable retail series securities of the Quadrus Funds (the **Retail Series**), as applicable. Securities in the High Net Worth Series are, or will be, only available to investors who have invested at least $100,000 in securities of the High Net Worth Series and who also have a minimum total holdings of $500,000 across a group of accounts of which the investor is a member, including segregated fund policies with the London Life Insurance Company or The Great-West Life Assurance Company (the **Eligibility Criteria**).

12. The Filer currently has a program whereby investors holding Quadrus series, D5 series or D8 series are automatically switched into L series, L5 series or L8 series, as applicable, if they meet the Eligibility Criteria (the **Current Lower Fee Switches**). If an investor holding L series, L5 series or L8 series ceases to be eligible to hold that series, the Filer may switch the applicable High Net Worth Series into the applicable Retail Series securities.

13. The Filer intends to extend this automatic switching program to all Retail Series and all High Net Worth Series on or about August 1, 2018 (the **Implementation Date**) so that upon meeting the Eligibility Criteria, investors holding Retail Series securities will automatically be switched into the corresponding High Net Worth Series (the **Lower Fee Switches**), and an investor who ceases to meet the Eligibility Criteria of the High Net Worth Series may be switched into the applicable Retail Series (the **Higher Fee Switches**, and together with the Lower Fee Switches, the **Switches**).

14. Lower Fee Switches will generally take place when the investor purchases additional securities of Quadrus Funds or when positive market movement moves the investor into High Net Worth Series eligibility.

15. Higher Fee Switches may occur because of redemptions that decrease the amount of total investments with the Filer for purposes of calculating the investor's eligibility for High Net Worth Series. However, in no circumstances will market value declines lead to Higher Fee Switches.

16. The Filer will aggregate total investments across the group of eligible accounts in order to determine whether investors are eligible to purchase and to continue to hold High Net Worth Series securities. London Life Insurance Company, as a service provider to the Filer, will monitor investors' investments in each particular series and monitor the total investments across the group of eligible accounts in order to provide the Filer with the information necessary to determine whether investors are eligible to purchase and continue to hold High Net Worth Series securities. If an investor is no longer eligible to hold High Net Worth Series securities, the Filer may effect a Higher Fee Switch.

20. Once an account has qualified for High Net Worth Series, the account will continue to enjoy the benefit of lower combined management and administration fees associated with the applicable High Net Worth Series, even if fund performance reduces the account value below the Eligibility Criteria.

21. Investors may access High Net Worth Series securities by (a) initially investing in High Net Worth Series securities if they meet the Eligibility Criteria, or (b) initially investing in Retail Series securities and then, upon meeting the Eligibility Criteria, having those Retail Series securities switched into High Net Worth Series securities by way of a Lower Fee Switch.

22. Investors may access Retail Series securities by (a) initially investing in Retail Series securities, or (b) initially investing in High Net Worth Series securities and then, upon no longer meeting the Eligibility Criteria for the High Net Worth Series securities, having those High Net Worth Series securities switched into Retail Series securities by way of a Higher Fee Switch.

23. Further to each Lower Fee Switch, an investor's account would continue to hold securities of the same Quadrus Fund(s) as before the Lower Fee Switch, with the only material difference to the investor being that the combined management and administration fees would be lower than those charged prior to the Lower Fee Switch.

24. Further to each Higher Fee Switch, an investor's account would continue to hold securities of the same Quadrus Fund(s) as before the Higher Fee Switch, with the only material difference to the investor being that the combined management and administration fees would be higher than those charged prior to the Higher Fee Switch.

25. The trailing commissions for High Net Worth Series and Retail Series securities are, or will be, identical.

26. Implementation of the Switches has, and will have, no adverse tax consequences on investors under current Canadian tax legislation.

27. There are, and will be, no sales charges, switch fees or other fees payable by the investor upon a Switch.

28. Each Switch will entail (a) a redemption of the applicable Retail Series security, immediately followed by a purchase of the corresponding High Net Worth Series security, or (b) a redemption of the applicable High Net Worth Series

security, immediately followed by a purchase of the corresponding Retail Series security. Each purchase of a Quadrus Fund security done as part of a Switch will be a "distribution" under the Legislation that triggers the Fund Facts Delivery Requirement.

29. Pursuant to the Fund Facts Delivery Requirement, a dealer is required to deliver the most recently filed Fund Facts of a series of a fund to an investor before the dealer accepts an instruction from the investor for the purchase of securities of that series of the fund.

30. While the Filer will initiate each trade done as part of a Switch, the Filer and the Dealer do not propose to deliver the Fund Facts to investors in connection with the purchase of High Net Worth Series securities made pursuant to a Lower Fee Switch for the following reasons:

    (a) at no time will an account that qualifies for High Net Worth Series securities pay more than the combined management and administration fees of the Retail Series securities for which it initially subscribed; and

    (b) since Retail Series securityholders would have received a prospectus or Fund Facts disclosing the higher level of fees which applied to the Retail Series for which they initially subscribed, the investor would derive little benefit from receiving a further Fund Facts relating to the applicable High Net Worth Series for each Lower Fee Switch.

31. The Dealer will deliver the Retail Series Fund Facts to investors in connection with the purchase of Retail Series securities made pursuant to a Higher Fee Switch, as required by the Fund Facts Delivery Requirement.

32. The Filer or the Dealer will deliver, or will arrange for the delivery of, trade confirmations to investors in connection with each trade done further to a Switch. Furthermore, details of the changes in series of securities held will be reflected in the account statements sent to investors for the quarter in which the change occurred.

33. The Filer will communicate extensively with the Dealer and London Life Insurance Company about the Switches so that the Filer will be equipped to appropriately notify existing investors in H series, H5 series, H8 series, QF series and QF5 series of the changes applying to their Retail Series investments and appropriately advise new Retail Series investors about the Switches.

34. The Filer and the Dealer previously received exemptive relief from the Fund Facts Delivery Requirement for the Current Lower Fee Switches pursuant to the Previous Decision.

35. However, the Filer's intention to extend the automatic switching program to all Retail Series and all High Net Worth Series, including the New Series, has triggered the need for the Revocation and the Exemption Sought.

36. In the absence of the Exemption Sought, the Filer may not carry out the Lower Fee Switches aside from the Current Lower Fee Switches without compliance with the Fund Facts Delivery Requirement.

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:

1. the Revocation is granted; and

2. the Exemption Sought is granted provided that:

    (a) for investors invested in H series, H5 series, H8 series, QF series and QF5 series prior to the Implementation Date, the Filer will liaise with the Dealer to devise and implement a notification plan for such investors regarding the Switches to communicate:

        (i) that their investment may be switched to a High Net Worth Series with lower fees upon meeting the Eligibility Criteria;

        (ii) that, other than a difference in fees, there will be no other material difference between the Retail Series and the High Net Worth Series;

(iii) that if they cease to meet the Eligibility Criteria for the High Net Worth Series, their investment will be switched into a series with higher management and administration fees which will not exceed the management and administration fees associated with the Retail Series; and

(iv) that they will not receive the Fund Facts when they purchase High Net Worth Series securities further to a Lower Fee Switch, but that:

a. they may request the most recently filed Fund Facts for the relevant series by calling a specified toll-free number or by sending a request via email to a specified address;

b. the most recently filed Fund Facts will be sent or delivered to them at no cost;

c. the most recently filed Fund Facts may be found either on the SEDAR website or on the Quadrus website; and

d. they will not have a right to withdraw from an agreement of purchase and sale (a Withdrawal Right) in respect of a purchase of series securities made pursuant to a Switch, but they will have the right of action for damages or rescission in the event any Fund Facts or document incorporated by reference into a simplified prospectus for the relevant series contains a misrepresentation, whether or not they request the Fund Facts;

(b) the Filer will incorporate disclosure in the simplified prospectus for the Retail Series and the High Net Worth Series that sets out:

(i) the eligibility requirements for both the Retail Series and the High Net Worth Series;

(ii) the fees applicable to investments in both the Retail Series and the High Net Worth Series; and

(iii) that if investors cease to meet the Eligibility Criteria, their investment may be switched into a series with higher management and administration fees which will not exceed the applicable Retail Series fees;

(c) in each Fund Facts of each Retail Series and each High Net Worth Series of the Quadrus Funds, as applicable, the Filer will disclose:

(i) under the heading “How much does it cost?”, a summary of the Switches consisting of:

a. a statement explaining that the Filer offers combined management and administration fee decreases upon meeting the Eligibility Criteria;

b. in the case of the Retail Series only, a statement explaining the scenarios in which the Lower Fee Switches will be made;

c. a statement that Higher Fee Switches may be made due to the investor no longer meeting the Eligibility Criteria;

d. a cross-reference to the disclosure described below under paragraph 2(c)(ii);

e. a cross-reference to specific sections of the simplified prospectus of the Quadrus Funds for more details about the Switches; and

f. a statement disclosing that investors should speak to their representative for more details about the Switches; and

(ii) at the end of the disclosure under the sub-heading “Fund expenses”, a statement that discloses the combined management and administration fee decrease of the applicable High Net Worth Series from the combined management and administration fee of the applicable Retail Series, shown in percentage terms; and

(d) for Retail Series investors, the Filer sends these investors an annual reminder notice advising that they will not receive the Fund Facts when they purchase High Net Worth Series securities further to a Lower Fee Switch, but that:

(i) they may request the most recently filed Fund Facts for the relevant series by calling a specified toll-free number or by sending a request via email to a specified address;

(ii) the most recently filed Fund Facts will be sent or delivered to them at no cost;

(iii) the most recently filed Fund Facts may be found either on the SEDAR website or on the Quadrus website; and

(iv) they will not have a Withdrawal Right in respect of a purchase of securities made pursuant to a Switch, but they will have a right of action for damages or rescission in the event any Fund Facts or document incorporated by reference into a simplified prospectus for the relevant series contains a misrepresentation, whether or not they request the Fund Facts.

"Stephen Paglia"
Manager
Investment Funds and Structured Products Branch
Ontario Securities Commission

2.1.2 Ninepoint Partners LP

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from sections 2.3(1)(f), 2.3(1)(h), 2.5(2)(a) and 2.5(2)(c) of National Instrument 81-102Investment Funds to permit mutual funds to invest up to 10% of net asset value in leveraged ETFs, inverse ETFs and commodity ETFs traded on Canadian or U.S. stock exchanges.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 2.3(1)(f), 2.3(1)(h), 2.5(2)(a), 2.5(2)(c), 19.1.

August 31, 2018

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
NINEPOINT PARTNERS LP

AND

IN THE MATTER OF
THE FUNDS
(as defined below)

DECISION

Background

The principal regulator in the Jurisdiction has received an application (the **Application**) from Ninepoint Partners LP on behalf of the Specified, Enumerated and Future Funds (defined below) managed and/or advised by Ninepoint Partners LP or an affiliate thereof (together, the **Filer**) and to which National Instrument 81-102 *Investment Funds* (**NI 81-102**) applies other than Ninepoint Gold Bullion Fund and Ninepoint Silver Bullion Fund, for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) pursuant to section 19.1 of NI 81-102:

(a) exempting the Funds from sections 2.3(1)(f) and 2.3(1)(h) of NI 81-102 to permit each Fund to invest indirectly in physical commodities other than gold through investments in Commodity ETFs (as defined below) (the **Commodity Relief**):

(b) exempting the Funds from sections 2.5(2)(a) and 2.5(2)(c) of NI 81-102 to permit each Fund to invest in the following categories of exchange-traded funds (**ETFs**) traded on a stock exchange in Canada or the United States that do not qualify as "index participation units" (**IPUs**) (as defined in NI 81-102) (the following ETFs are each referred to as an **Underlying ETF** and collectively as **Underlying ETFs**) (the **FOF Relief**):

(i) ETFs that seek to provide daily results that replicate the daily performance of a specified widely-quoted market index (the **Underlying Inde**x) by a multiple of up to 200% (Leveraged Bull ETFs) or an inverse multiple of up to 200% (**Leveraged Bear ETFs**, which, together with Leveraged Bull ETFs are collectively referred to as **Leveraged ETFs**):

(ii) ETFs that seek to provide daily results that replicate the daily performance of their Underlying Index by an inverse multiple of up to 100% (**Inverse ETFs**):

(iii) ETFs that seek to provide daily results that replicate the daily performance of gold or silver or the value of a specified derivative the underlying interest of which is gold or silver on an unlevered basis (the **ETF's Underlying Gold or Silver Interest**), by a multiple of up to 200% (**Leveraged Gold ETFs** and **Leveraged Silver ETFs**, respectively); and

(iv) ETFs that have exposure to one or more physical commodities, including but not limited to gold and silver, on an unlevered basis (**Unlevered Commodity ETFs**, which, together with Leveraged Gold ETFs and Leveraged Silver ETFs, are collectively referred to as **Commodity ETFs**),

(collectively, the **Requested Relief**).

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

(A) the Ontario Securities Commission is the principal regulator for the Application: and

(B) Ninepoint Partners LP 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 provinces and territories of Canada other than Ontario.

Interpretation

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

The term **Enumerated Funds** when used herein means the investment funds set out in Exhibit A hereto under the heading "Enumerated Funds."

The term **Future Funds** when used herein means investment funds that will be reporting issuers to which NI 81-102 applies and of which the Filer will act as manager and/or portfolio adviser in the future.

The term **Specified Funds** when used herein means the investment funds set out in Exhibit A hereto under the heading "Specified Funds."

The term **Funds** when used herein means collectively the Specified Funds, the Enumerated Funds and the Future Funds (each, a Fund).

Representations

The decision is based on the following facts represented by Ninepoint Partners LP:

Ninepoint Partners LP and the Funds

1. Ninepoint Partners LP is a limited partnership formed and organized under the laws of the Province of Ontario. The general partner of Ninepoint Partners LP is Ninepoint Partners GP Inc., a corporation incorporated under the laws of the Province of Ontario. The head office of Ninepoint Partners LP is located in Ontario.

2. Ninepoint Partners LP is registered as (i) an investment fund manager in Ontario, Quebec and Newfoundland and Labrador, (ii) a portfolio manager in Ontario, British Columbia, Alberta, Saskatchewan, Manitoba, New Brunswick, Nova Scotia and Newfoundland and Labrador, and (iii) an exempt market dealer in Ontario, British Columbia, Alberta, Saskatchewan, Manitoba, New Brunswick, Nova Scotia, Newfoundland and Labrador and Quebec.

3. The Filer acts, or will act, as manager and portfolio manager of each of the Funds.

4. Each Fund is, or will be, a mutual fund governed by the laws of Canada or a jurisdiction in Canada and a reporting issuer under the laws of one or more provinces and territories of Canada.

5. Neither Ninepoint Partners LP nor the Funds that are currently managed by Ninepoint Partners LP are in default of securities legislation in any of the provinces or territories of Canada.

6. Securities of each Fund are, or will be, qualified for distribution in some or all of the jurisdictions of Canada under a simplified prospectus, annual information form and fund facts prepared and filed in accordance with National Instrument 81-101 *Mutual Fund Prospectus Disclosure*. Each Fund is, or will be, governed by NI 81-102, subject to any relief therefrom granted by the securities regulatory authorities.

Existing Relief

7. Ninepoint Partners LP became the manager and portfolio adviser of the Specified Funds when the management agreements relating to the Specified Funds were transferred to Ninepoint Partners LP by Sprott Asset Management LP pursuant to an Asset Purchase Agreement among, inter alia, Sprott Asset Management LP, Sprott Private Wealth LP and Ninepoint Financial Group Inc. (formerly 2568004 Ontario Inc.) dated April 10, 2017, as filed on SEDAR under the profile of Sprott Inc., as the same may be amended, supplemented or modified from time to time in accordance with its terms.

8. Ninepoint Partners LP acquired the management agreement relating to Ninepoint UIT Alternative Health Fund from Redwood Asset Management Inc. pursuant to the approval of securityholders of that fund on March 19, 2018 and pursuant to regulatory approval of the change of manager in a decision dated March 12, 2018. Ninepoint Partners LP recently launched the Ninepoint Concentrated Canadian Equity Fund and Ninepoint International Small Cap Fund by way of simplified prospectus and annual information form dated April 23, 2018.

9. Each of the Specified Funds obtained the same relief as the Requested Relief evidenced by a decision dated December 16, 2015 (the **Specified Prior Relief**). Ninepoint Partners LP, as the current manager and portfolio advisor of the Specified Funds, is now seeking to obtain the Requested Relief in a separate, new decision, reflecting itself as the current manager of the Specified Funds, and on behalf of the Specified Funds, the Enumerated Funds and the Future Funds the Filer may establish in the future.

10. Should the Requested Relief be granted, neither the Filer nor any of the Funds will rely on the Specified Prior Relief. The Specified Prior Relief will continue to apply to existing and future investment funds managed by Sprott Asset Management LP.

11. In addition to the Specified Prior Relief, each of Ninepoint Resource Class, Ninepoint Silver Equities Class and Ninepoint Gold and Precious Minerals Fund has, in relation to their respective investment strategies, already obtained an exemption from the requirements of sections 2.3(1)(e), 2.3(1)(f) and/or 2.3(1)(h) of NI 81-102, as applicable, to invest in certain physical commodities, as described below (collectively, the **Other Relief**). In respect of these Funds, Ninepoint Partners LP seeks to extend and complement the Other Relief.

12. Ninepoint Resource Class obtained relief to invest up to 10% of its total net assets, taken at market value at the time of purchase, in gold, permitted gold certificates, silver, silver certificates and/or specified derivatives of which the underlying interest is gold or silver in a decision document dated January 31, 2012.

13. Ninepoint Silver Equities Class is a “precious metals fund” as defined in National Instrument 81-104 *Commodity Pools* (**NI 81-104**). Ninepoint Silver Equities Class obtained relief to invest up to 20% of its total net assets, taken at market value at the time of purchase, in silver, silver certificates and/or specified derivatives of which the underlying interest is silver in a decision document dated January 31, 2012.

14. Ninepoint Gold and Precious Minerals Fund is a “precious metals fund” as defined in NI 81-104. Ninepoint Gold and Precious Minerals Fund obtained relief (i) to invest more than 10% of its net assets, taken at the market value thereof at the time of investment, in gold, gold certificates or specified derivatives of which the underlying interest is gold, and (ii) to permit the Fund to obtain indirect exposure to, or invest directly in, precious metals and minerals in a decision document dated October 24, 2001.

The Underlying ETFs

15. Each Leveraged ETF will be generally rebalanced daily to ensure that its performance and exposure to its Underlying Index will not exceed +/-200% of the corresponding daily performance of its Underlying Index.

16. Each Inverse ETF will be generally rebalanced daily to ensure that its performance and exposure to its Underlying Index will not exceed 100% of the corresponding daily performance of its Underlying Index.

17. Each Leveraged Gold ETF and Leveraged Silver ETF will be generally rebalanced daily to ensure that its performance and exposure to its Underlying Gold or Silver Interest will not exceed +200% of the corresponding daily performance of its Underlying Gold or Silver Interest. Each Leveraged Gold ETF and Leveraged Silver ETF provides a Fund with market value exposure to the underlying physical commodity (i.e. gold or silver) that is two times the net asset value of the ETF on a daily basis.

18. Each Underlying ETF is, or will be, a “mutual fund” as such term is defined under the *Securities Act* (Ontario).

19. The securities of each Underlying ETF trade, or will trade, on a stock exchange in Canada or the United States.

20. The assets of a Leveraged Gold ETF and Leveraged Silver ETF consist primarily of gold or silver, as the case may be, or derivatives the underlying interest of which is gold or silver on an unlevered basis, as the case may be. The objective of these ETFs is to reflect the price of gold or silver, as the case may be, (less the ETF's expenses and liabilities) on a leveraged basis.

21. The assets of Unlevered Commodity ETFs consist primarily of one or more physical commodities, or derivatives that have an underlying interest in such physical commodity or commodities. These physical commodities may include, without limitation, precious metals commodities (such as gold, silver, platinum, platinum certificates, palladium and palladium certificates), energy commodities (such as crude oil, gasoline, heating oil and natural gas), industrials and/or metals commodities (such as aluminum, copper, nickel and zinc) and agricultural commodities (such as coffee, corn, cotton, lean hogs, live cattle, soybeans, soybean oil, sugar and wheat). The objective of an Unlevered Commodity ETF is to reflect the price of the applicable commodity or commodities (less such Unlevered Commodity ETF's expenses and liabilities) on an unlevered basis, or track the performance of an index which is intended to reflect the changes in the market value of the applicable physical commodity or commodities sector.

Investment in the Underlying ETFs

22. The Funds propose to have the ability to invest in the Underlying ETFs, the securities of which are not IPUs.

23. Each Fund is, or will be, permitted, in accordance with its investment objectives and investment strategies, to invest in the Underlying ETFs.

24. An investment by a Fund in securities of an Underlying ETF will represent the business judgment of responsible persons uninfluenced by considerations other than the best interests of the Fund.

25. Any regulatory concerns, such as undue risk, liquidity concerns or lack of transparency, in connection with investing in the Underlying ETFs are mitigated by the following facts:

    (a) The Underlying ETFs trade on a Canadian or U.S. exchange and are generally relatively liquid. The Underlying ETFs will either be "registered" investment companies in the United States or reporting issuers in one or more jurisdictions in Canada, which means that there will be clear disclosure about the Underlying ETFs readily available in the marketplace.

    (b) The amount of loss that can result from an investment by a Fund in an Underlying ETF will be limited to the amount invested by the Fund in securities of the Underlying ETF.

    (c) Investments by the Funds in Commodity ETFs will be very limited. In accordance with the investment strategies of the Funds, no more than 10% of the net asset value of the Fund will be invested in a combination of Underlying ETFs taken at market value at the time of purchase.

    (d) The simplified prospectus of the Funds will disclose: (i) in the investment strategy section: (I) that the Fund has obtained relief to invest in securities of the Underlying ETFs; (II) an explanation of what each type of Underlying ETFs is; (III) to the extent the Fund may invest in securities of a Commodity ETF, that the Fund may indirectly invest in gold and other physical commodities; and (ii) the risks associated with such investments and strategies.

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:

1. The Commodity Relief and FOF Relief is granted, provided that:

    (a) the investment by a Fund in securities of an Underlying ETF is in accordance with the fundamental investment objectives of the Fund:

    (b) the securities of the Underlying ETFs are traded on a stock exchange in Canada or the United States:

    (c) a Fund does not purchase securities of Inverse ETFs or securities of Leveraged Bear ETFs or sell any securities short if, immediately after the transaction, the Fund's aggregate market value exposure represented

by all such securities purchased and securities sold short would exceed 20% of the net asset value of the Fund, taken at market value at the time of the transaction:

(d) other than Ninepoint Silver Equities Class and Ninepoint Gold and Precious Minerals Fund, a Fund's market value exposure (whether direct or indirect, including through Commodity ETFs) to all physical commodities (including gold) does not exceed 10% of the net asset value of the Fund, taken at market value at the time of the transaction:

(e) for Ninepoint Silver Equities Class,

(i) the Fund only purchases Commodity ETFs that provide exposure to silver: and

(ii) the Fund's market value exposure (whether direct or indirect, including through Commodity ETFs) to silver does not exceed 20% of the net asset value of the Fund, taken at market value at the time of the transaction;

(f) for Ninepoint Gold and Precious Minerals Fund,

(i) the Fund only purchases Commodity ETFs that provide exposure to gold, silver and other precious metals and minerals: and

(ii) the Fund's market value exposure (whether direct or indirect, including through Commodity ETFs) to gold, silver and other precious metals and minerals does not exceed 100% of the net asset value of the Fund, taken at market value at the time of the transaction:

(g) each Fund does not purchase securities of an Underlying ETF if, immediately after the transaction, more than 10% of the net asset value of the Fund, taken at market value at the time of the transaction, would consist of securities of Underlying ETFs:

(h) the simplified prospectus of each Specified Fund and each Enumerated Fund discloses, and the simplified prospectus of each Future Fund will disclose:

(i) in the investment strategy section:

(A) that the Fund has obtained relief to invest in securities of the Underlying ETFs:

(B) an explanation of what each type of Underlying ETFs is: and

(C) to the extent the Fund may invest in securities of a Commodity ETF, that the Fund may indirectly invest in gold and other physical commodities: and

(ii) the risks associated with such investments and strategies.

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

EXHIBIT A

SPECIFIED FUNDS

1. Ninepoint Diversified Bond Fund
2. Ninepoint Energy Fund
3. Ninepoint Global Infrastructure Fund
4. Ninepoint Global Real Estate Fund
5. Ninepoint Gold and Precious Minerals Fund
6. Ninepoint Short Term Bond Fund
7. Ninepoint Enhanced Balanced Fund
8. Ninepoint Diversified Bond Class
9. Ninepoint Real Asset Class
10. Ninepoint Resource Class
11. Ninepoint Short-Term Bond Class
12. Ninepoint Silver Equities Class
13. Ninepoint Enhanced Balanced Class
14. Ninepoint Enhanced Equity Class
15. Ninepoint Enhanced U.S. Equity Class
16. Ninepoint Focused Global Dividend Class
17. Ninepoint Focused U.S. Dividend Class

ENUMERATED FUNDS

1. Ninepoint Concentrated Canadian Equity Fund
2. Ninepoint International Small Cap Fund
3. Ninepoint UIT Alternative Health Fund

2.1.3 1832 Asset Management L.P. et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted to mutual funds subject to National Instrument 81-101 Mutual Fund Prospectus Disclosure that seeks to engage in alternative investment strategies not otherwise permitted by National Instrument 81-102 Investment Funds – Relief to permit funds to invest up to 20% of net assets in securities of a single issuer – Relief from cash cover and designated rating requirement in respect of use of derivatives – Relief to permit funds to borrow cash for investment purposes and to grant a security interest over assets in connection with such borrowing – Relief to permit funds to engage in short selling in excess of 20% of the net assets of the fund and to use proceeds from short sales to enter into a long position in a security – Relief to permit funds to enter into incentive fee arrangements – Borrowing and short selling subject to a combined maximum limit of 50% of the fund's net asset value – Aggregate gross exposure of the fund (long positions, short positions and notional value of derivatives positions) subject to maximum limit of 3 times the net asset value of the fund – Relief subject to certain limitations on distribution of securities of the funds – Relief subject to the inclusion of certain required disclosures in the simplified prospectus, annual information form, fund facts document and continuous disclosure documents.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 2.1(1), 2.6, 2.6.1(1)(c), (2), and (3), 2.7(1), (2), and(3), 2.8, 2.11, 6.8, 7.1, 19.1.

October 2, 2018

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
1832 ASSET MANAGEMENT L.P.
(the Filer)

AND

IN THE MATTER OF
DYNAMIC ALPHA PERFORMANCE II FUND,
DYNAMIC PREMIUM YIELD PLUS FUND
(each a Fund and collectively, the Funds)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of the Funds for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**), pursuant to section 19.1 of National Instrument 81-102 *Investment Funds* (**NI 81-102**), exempting the Funds from the following provisions of NI 81-102:

(i) subsection 2.1(1) of NI 81-102 , to permit a Fund to invest more than 10% of its net asset value in the securities of a single issuer (**Single Issuer Relief**);

(ii) subsections 2.3(d),(e), (f) and (h) of NI 81-102, to permit a Fund to invest in precious metal certificates (other than permitted gold certificates), if, immediately after the purchase, more than 10% of the Fund's net asset value would be made up of precious metal certificates; to invest in gold certificates, including permitted gold certificates; and to invest in physical commodities other than gold certificates (**Commodities Relief**);

(iii) subsection 2.3(g) of NI 81-102 to purchase, sell or use specified derivatives and/or debt-like securities other than in compliance with subsections 2.7(1),(2) and (3) and section 2.8 of NI 81-102 (**Specified Derivatives Relief**);

(iv) section 2.6 of NI 81-102, to permit a Fund to borrow cash to use for investment purposes in excess of the limits set out in subsection 2.6(a) of NI 81-102 and to grant a security interest of its assets in connection therewith (**Cash Borrowing Relief**);

(v) subsections 2.6.1(1)(c) and 2.6.1(2) and (3) of NI 81-102, to permit a Fund to borrow securities from a borrowing agent to sell securities short whereby: (i) the aggregate market value of all securities of the issuer of the securities sold short by the Fund may exceed 5% of the net asset value of the Fund; (ii) the aggregate market value of all securities sold short by the Fund may exceed 20% of the net asset value of the Fund; (iii) the Fund is not required to hold cash cover in connection with short sales of securities by the Fund; and (iv) the Fund is permitted to use the cash from a short sale to enter into a long-position in a security (**Short Selling Relief**);

(vi) section 6.8 of NI 81-102, to permit a Fund to deposit with its lender, assets over which it has granted a security interest in connection with the Cash Borrowing Relief (**Cash Borrowing Custody Relief**); and

(vii) section 7.1 of NI 81-102 to permit Dynamic Alpha Performance II Fund to pay a performance fee that is based on the cumulative total return of the Fund for the period that began immediately after the last period for which the performance fee was paid (the **Performance Fee Relief**);

(collectively, the **Requested Relief**).

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

(i) the Ontario Securities Commission is the principal regulator for this application; and

(ii) the Filer has provided notice that subsection 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in each of the other provinces and territories of Canada (the **Other Jurisdictions**).

Interpretation

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

Representations

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

Background Facts

1. The Filer will be the trustee, investment fund manager and the portfolio manager of the Funds. The Filer is registered as: (i) a portfolio manager in all of the provinces of Canada and in the Northwest Territories and the Yukon; (ii) an exempt market dealer in all of the provinces of Canada (except Prince Edward Island and Saskatchewan); (iii) an investment fund manager in Ontario, Québec, Newfoundland and Labrador and the Northwest Territories; and (iv) a commodity trading manager in Ontario.

2. The Funds will be mutual funds created under the laws of the Province of Ontario and will be governed by the provisions of NI 81-102, subject to any relief therefrom granted by the securities regulatory authorities.

3. The Filer and the Funds are not in default of securities legislation in any Jurisdiction.

4. Units of the Funds will be offered by simplified prospectus filed in all of the provinces and territories in Canada and, accordingly, each Fund will be a reporting issuer in each of the provinces and territories of Canada.

5. The proposed investment objective of Dynamic Alpha Performance II Fund is to protect capital during a wide range of economic and market environments while earning superior risk-adjusted equity or equity related returns that are not correlated to major stock market indices. The Fund will use alternative investment strategies primarily including engaging in physical short sales and may also include purchasing securities on margin or with borrowed funds. The Fund aims to reduce risk and invest in a diversified portfolio of equity securities from around the world.

6. The proposed investment objective of Dynamic Premium Yield PLUS Fund is to achieve long-term capital appreciation primarily by investing directly in U.S. equity securities, writing call options on these securities, and/or by writing put options, which generate premium yield. The Fund will use alternative investment strategies including the use of leverage, primarily created through the use of derivatives.

7. The Funds may use leverage through a combination of one or more of the following: (i) borrowing cash for investment purposes; (ii) physical short sales on equities, fixed-income securities or other portfolio assets; and/or (iii) through the use of specified derivatives.

8. The Funds may invest in a variety of derivatives and may take both long and short positions. A Fund's use of derivatives may include futures (including commodity futures, index futures, equity futures, bond futures and interest rate futures); currency forwards; and options and swaps (including commodity swaps, swaps on commodity futures, equity swaps, swaps on index futures, total return swaps, interest rate swaps, and credit default swaps). In its use of derivatives, a Fund will aim to contribute to the target return and the volatility objectives of the Fund.

9. The Funds may also invest in foreign currencies and/or physical commodities.

10. The Filer will determine the Funds' risk ratings using the CSA's Mutual Fund Risk Classification Methodology For Use In Fund Facts and ETF Facts as set out in Appendix F of NI 81-102 (the **Risk Methodology**). Given that the Funds do not have established ten-year track records, the Filer will determine the risk rating for each Fund based on the standard deviation of a reference index selected in accordance with Item 5 of the Risk Methodology (the **Reference Index**). In conducting this analysis, the Filer will also consider whether it is appropriate to exercise the discretion accorded by the Risk Methodology to increase the risk rating of the Fund.

11. The Filer acknowledges that additional guidance regarding proficiency for the distribution of alternative funds has not been finalized at this time and will accompany the final publication of the proposed amendments to NI 81-102 (the **Proposed Alternative Fund Investment Restrictions**) and 81-101 *Mutual Funds Prospectus Disclosure* (the **Proposed Alternative Fund Disclosure**) (the Proposed Alternative Fund Investment Restrictions and the Proposed Alternative Fund Disclosure, collectively, the **Proposed Alternative Fund Rules**), which were contemplated within the CSA Notice and Request for Comment – *Modernization of Investment Fund Product Regulation – Alternative Funds* (2016), 39 OSCB 8051 dated September 22, 2016. The Filer will take steps to ensure the Funds are only distributed through dealers that are registered with the Investment Industry Regulatory Organization of Canada (**IIROC**) or to Top Funds (as defined below) managed by the Filer.

12. The Filer also manages other mutual funds, and will manage future mutual funds, subject to NI 81-102 (collectively, the **Top Funds**). A Top Fund may seek to invest up to 10% of its net assets in a Fund provided that such investment is consistent with the Top Fund's investment objectives.

13. The Filer has previously been granted relief to allow mutual funds managed or advised by the Filer to invest up to 10% of their net assets in non-redeemable investment funds (**NRIFs**) and, specifically for Dynamic Alternative Yield Fund (the **Specified Top Fund**), to invest up to 25% of its net assets in NRIFs.

14. Prior to allowing a Top Fund managed by the Filer to invest in a Fund, the Filer will implement policies and procedures to monitor a Top Fund's compliance with the investment limits that will apply to a Top Fund's investment in the Fund and, where applicable, the Top Fund's investment in NRIFs.

15. The Filer believes that it is in the best interest of the Top Funds to be permitted to invest in the Funds and that such investments would be consistent with the requirements in Proposed Alternative Fund Investment Restrictions relating to investments by mutual funds in alternative funds.

Fund Disclosure of Alternative Strategies

16. The Filer proposes to file a simplified prospectus in respect of the Funds that:

    (a) indicates on the prospectus cover that the Funds are alternative funds;

    (b) discloses within the Funds' investment objectives the asset classes and strategies used which are outside the scope of the existing NI 81-102;

    (c) discloses within the Funds' investment objectives the maximum amount of leverage to be employed;

(d) discloses within the Funds' strategies the maximum amount the Fund may borrow, together with a description of how borrowing will be used in conjunction with the Funds' other strategies and a summary of the Funds' borrowing arrangements; and

(e) discloses, in connection with investment strategies that may be used which are outside the scope of the existing NI 81-102, how such strategies may affect investors' chance of losing money on their investment in the Funds.

17. The Filer proposes to file an annual information form in respect of the Funds that:

(a) indicates on the annual information form cover that Funds are alternative funds; and

(b) discloses the name of each person or company that has lent money to a Fund including whether such person or company is an affiliate or associate of the manager of the Fund.

18. The Filer proposes to file Fund Facts documents for the Funds that indicate the Funds are alternative funds and includes text box disclosure to highlight how the Funds differ from other mutual funds in terms of their investment strategies and the assets they are permitted to invest in.

19. The Filer will include within the Funds' financial statements and management reports of fund performance disclosure regarding actual use of leverage within the Funds for the applicable period referenced therein.

20. The Filer submits that the proposed Funds' disclosure accurately describes their investment strategies while emphasizing the particular strategies which are outside the scope of the existing NI 81-102.

Single Issuer Relief

21. A Fund's investment strategies may allow it to invest up to 20% of its net asset value in securities of an issuer.

22. Subsection 2.1(1) of NI 81-102, does not permit an investment fund to purchase a security of an issuer, enter into a specified derivatives transaction or purchase index participation units if, immediately after the transaction, more than 10% of its net asset value would be invested in securities of any issuer.

23. The Filer believes that it is in the best interests of the Funds to be permitted to invest up to 20% of their net assets in one issuer, as such investments will allow the Funds to fully express the convictions of the Funds' portfolio managers.

Specified Derivatives and Debt-Like Security Relief

24. The investment strategies of the Funds contemplate flexible use of specified derivatives for hedging and/or non-hedging purposes. The Funds have the ability to opportunistically use options, swaps, futures and forward contracts and/or other derivatives under different market conditions.

25. Under subsections 2.7(1), (2) and (3) of NI 81-102, a mutual fund cannot purchase an option (other than a clearing corporation option) or a debt-like security or enter into a swap or a forward contract unless, at the time of the transaction, the option, debt-like security, swap or contract has a designated rating or the equivalent debt of the counterparty or of a person or company that has fully and unconditionally guaranteed the obligations of the counterparty in respect of the option, debt-like security, swap or contract, has a designated rating (the **Designated Rating Requirement**). The policy rationale behind this is to address, at least in part, a mutual fund's counterparty credit risk by ensuring that counterparties that enter into certain types of derivatives with mutual funds meet a minimum credit rating.

26. The Filer is seeking to have the operational flexibility to deal with a variety of over- the-counter derivative counterparties, including scenarios where at the time of the transaction, the specified derivative or equivalent counterparty (or its guarantor) will not have a designated rating. The Filer submits that this flexibility will provide more competitive pricing and give the Funds access to a wider variety of over-the-counter products.

27. The Filer submits that any increased credit risk which may arise due to an exemption from the Designated Rating Requirements is counterbalanced by the fact that a Fund's mark-to-market exposure to any specified derivatives counterparty (other than for positions in cleared specified derivatives) must not exceed 10% of its net asset value for a period of 30 days or more.

28. Under Section 2.8 of NI 81-102, a mutual fund must not purchase a debt-like security that has an options component, unless, immediately after the purchase, not more than 10% of its net asset value would be made up of those

instruments held for purposes other than hedging. Section 2.8 also imposes a series of requirements for mutual funds to cover their specified derivatives positions for purposes other than hedging, using a combination of cash, cash equivalents, the underlying interest of the specified derivative and/or the right to acquire the underlying interest of the specified derivative (the **Option and Cover Requirements)**.

Commodities Relief

29. The investment strategies of the Funds may permit them to purchase precious metal certificates other than permitted gold certificates, to invest in physical commodities either directly or indirectly, and to invest more than 10% of the net assets of a Fund in physical commodities or precious metal certificates.

30. Subsections 2.3(d), (e), (f) and (h) of NI 81-102, do not permit an investment fund to:

    (a) purchase a gold certificate, other than a permitted gold certificate;

    (b) purchase gold or a permitted gold certificate if, immediately after the purchase, more than 10% of its net asset value would be made up of gold and permitted gold certificates; and

    (c) except for the above conditions, to purchase a physical commodity including indirectly through the use of specified derivatives.

31. The Filer believes that it is in the best interests of the Funds for them to be permitted to invest in physical commodities, other than gold, including indirect exposure to certain physical commodities through the use of certificates, index participation units and/or specified derivatives.

Cash Borrowing Relief

32. The investment strategies of the Funds will permit the Funds to borrow cash in excess of the limits currently described in section 2.6 of NI 81-102, provided that:

    (a) a Fund may only borrow from an entity described in section 6.2 of NI 81-102, except that the requirement set out in subsection 6.2(3)(a) of NI 81-102 will be satisfied if the company has equity, as reported in its most recent audited financial statements that have been made public or that will be made available to the Fund and its custodian upon request, of not less than $10,000,000;

    (b) if the lender is an affiliate of the Filer, the independent review committee shall approve the applicable borrowing agreement under subsection 5.2(2) of NI 81- 107;

    (c) the borrowing agreement entered into is in accordance with normal industry practice and on standard commercial terms for the type of transaction; and

    (d) the total value of cash borrowed shall not exceed 50% of a Fund's net asset value.

33. Subsection 2.6(a) of NI 81-102, restricts investment funds from borrowing cash or providing a security interest over portfolio assets unless the transaction is a temporary measure to accommodate redemptions, the security interest is required to enable the investment fund to effect a specified derivative transaction or short sale under NI 81- 102, the security interest secures a claim for the fees and expenses of the custodian or sub-custodian of the investment fund, or, in the case of an exchange-traded mutual fund, the transaction is to finance the acquisition of its portfolio securities and the outstanding amount of all borrowings is repaid on the closing of its initial public offering.

34. The Proposed Alternative Fund Investment Restrictions give investment funds the ability to borrow up to 50% of their net asset value to use for investment purposes in order to facilitate a wider array of investment strategies.

35. The Filer believes that it is in the best interests of the Funds to be permitted to borrow cash to meet their investment objectives and strategies.

Short Sale Relief

36. The investment strategies of the Funds will permit the Funds to:

    (a) sell securities short, provided the aggregate market value of securities of any one issuer sold short by a Fund does not exceed 10% of the net asset value of the Fund, and the aggregate market value of all securities sold short by a Fund does not exceed 50% of its net asset value;

(b) sell a security short without holding cash cover; and

(c) sell a security short and use the cash from a short sale to enter into a long position in a security, other than a security that qualifies as cash cover.

37. Subsection 2.6.1 of NI 81-102, requires that a fund may only sell a security short if, at the time the fund sells the security short, the fund has borrowed or arranged to borrow the security to be sold under the short sale, if the aggregate market value of all securities of the issuer of the securities sold short by the fund does not exceed 5% of the net asset value of the fund, and if the aggregate market value of all securities sold short by the fund does not exceed 20% of the net asset value of the Fund.

38. The Filer believes that it is in the best interests of the Funds to be permitted to sell securities short in excess of the current limits, in a manner that is consistent with the Proposed Alternative Fund Investment Restrictions.

Performance Fee Relief

39. Dynamic Alpha Performance II Fund proposes to pay the Filer an annual performance fee equal to (a) 20% of the amount by which the Net Asset Value per Unit on the last day of such calendar year (before giving effect to any distributions by the Fund since the High Water Mark (as defined in the Fund's simplified prospectus) and adjusted to exclude the accrual of the incentive fee during the calendar year) exceeds 103% of the High Water Mark, multiplied by (b) the average number of Units of that series outstanding during such calendar year.

40. Section 7.1 of NI 81-102 restricts a mutual fund from paying a performance fee unless the payment of the fee is based on the comparison of the total return of the mutual fund against the cumulative total percentage increase or decrease of a benchmark or index.

41. The Proposed Alternative Fund Rules would create an exemption from the requirement in Section 7.1 of NI 81-102 that a performance fee paid by a mutual fund be calculated with reference to a benchmark or index. This exemption is currently available to publically offered Commodity Pools subject to NI 81-104 – Commodity Pools.

42. For the reasons provided above, the Filer respectfully submits that it would not be prejudicial to the public interest to grant the Requested Relief.

Decision

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

1. the Filer will file a standalone simplified prospectus, annual information form and fund facts document for the Funds, which will include the following disclosure:

   (a) the simplified prospectus and annual information form will indicate on the cover page that each Fund is an alternative fund;

   (b) within the simplified prospectus, the Filer will include disclosure within each Fund's investment objectives on the asset classes that the Fund may invest in and the investment strategies that the Fund may engage in pursuant to the Requested Relief and which are outside the scope of NI 81-102;

   (c) within the simplified prospectus, the Filer will include disclosure in each Fund's investment objectives describing the maximum amount of leverage to be employed by the Fund;

   (d) within the simplified prospectus, the Filer will include disclosure in each Fund's investment strategies on the maximum amount of borrowing and short selling that the Fund may engage in, together with a description of how borrowing and short selling will be used in conjunction with the Fund's other strategies;

   (e) within the simplified prospectus, the Filer will include disclosure in each Fund's investment strategies explaining how the investment strategies that the Fund may engage in pursuant to the exemptive relief which are outside the scope of the existing NI 81-102 may affect investors' chance of losing money on their investment in the Fund;

   (f) the annual information form will disclose under Item 10 of Form 81-101F2 the name of each person or company that has lent money to the Fund including whether such person or company is an affiliate or associate of the Filer; and

(g) the fund facts document will include text box disclosure above Item 2 of Part I of Form 81-101F3 identifying each Fund as an alternative fund and highlighting how the Fund differs from other mutual funds in terms of its investment strategies and the assets it is permitted to invest in.

2. The Filer will disclose in each Fund's annual and interim financial statements and each Fund's Management Report of Fund Performance:

(a) the lowest and highest level of leverage experienced by the Fund in the reporting period covered by the financial statements;

(b) a brief explanation of the sources of leverage used (e.g. borrowing, short selling or use of derivatives);

(c) a description of how the Fund calculates leverage; and

(d) the significance to the Fund of the lowest and highest levels of leverage.

3. In the case of the Single Issuer Relief, the Fund must not purchase a security of an issuer, enter into a specified derivatives transaction or purchase an index participation unit if, immediately after the transaction, more than 20% of its net asset value would be invested in securities of any one issuer, provided, however, this limitation shall not apply in respect of (i) a government security; (ii) a security issued by a clearing corporation; (iii) a security issued by an investment fund if the purchase is made in accordance with the requirements of section 2.5 of NI 81-102; or (iv) an index participation unit that is a security of an investment fund.

4. In the case of the Specified Derivatives Relief:

(a) each Fund's aggregate gross exposure calculated as the sum of the following, must not exceed three times the Fund's net asset value: (i) the aggregate market value of the Fund's long positions; (b) the aggregate market value of securities sold short by the Fund pursuant to the Short Selling Relief; and (c) the aggregate notional value of the Fund's specified derivatives positions excluding any specified derivatives used for "hedging purposes" as defined in NI 81-102;

(b) in determining each Fund's compliance with the restriction contained in 4(a) above, the Fund must also include in its calculation its proportionate shares of securities of any underlying investment funds for which a similar calculation is required;

(c) each Fund must determine its compliance with the restriction contained in 4(a) above, as of the close of business of each day on which the Fund calculates a net asset value; and

(d) if a Fund's aggregate gross exposure as determined in subsection 4(a) above exceeds three times the Fund's net asset value, the Fund must, as quickly as is commercially reasonable, take all necessary steps to reduce the aggregate gross exposure to three times the Fund's net asset value or less.

5. In the case of the Cash Borrowing Relief:

(a) each Fund may only borrow from an entity described in section 6.2 of NI 81-102, except that the requirement set out in subsection 6.2(3)(a) of NI 81-102 will be satisfied if the company has equity, as reported in its most recent audited financial statements that have been made public or that will be made available to the Fund and its custodian upon request, of not less than $10,000,000;

(b) if the lender is an affiliate of the Filer, the independent review committee must approve the applicable borrowing agreement under subsection 5.2(2) of NI 81-107;

(c) the borrowing agreement entered into is in accordance with normal industry practice and on standard commercial terms for the type of transaction; and

(d) the total value of cash borrowed must not exceed 50% of each Fund's net asset value.

6. In the case of Short Selling Relief:

(a) the aggregate market value of all securities sold short by each Fund does not exceed 50% of the net asset value of the Fund; and

(b) the aggregate market value of all securities of the issuer of the securities sold short by each Fund does not exceed 10% of the net asset value of the Fund.

7. In the case of Incentive Fee Relief:

Each Fund must not pay, or enter into arrangements that would require it to pay, an incentive fee that is determined by the performance of the Fund unless:

(a) the payment of the incentive fee is based on the cumulative total return of the Fund for the period that began immediately after the last period for which such incentive fee was paid; and

(b) the method of calculating the incentive fee payable by each Fund shall be described in the simplified prospectus in respect of each Fund.

8. In the case of the Cash Borrowing Relief and the Short Selling Relief:

(a) each Fund must not borrow cash pursuant to the Cash Borrowing Relief or sell securities short pursuant to the Short Selling Relief, if immediately after entering into a cash borrowing or short selling transaction, the aggregate value of cash borrowed combined with the aggregate market value of all securities sold short by the Fund would exceed 50% of the Fund's net asset value; and

(b) if the aggregate value of cash borrowed combined with the aggregate market value of all securities sold short by each Fund exceeds 50% of the Fund's net asset value, the Fund must, as quickly as commercially reasonable take all necessary steps to reduce the aggregate value of cash borrowed combined with the aggregate market value of securities sold short to 50% or less of the Fund's net asset value.

Distribution

9. The Filer will ensure each Fund is only distributed through dealers that are registered with IIROC.

10. The Filer will not distribute securities of the Fund to other mutual funds other than the Top Funds.

11. In the case of Top Funds managed by the Filer, with the exception of the Specified Top Fund, the Filer will ensure that such Top Funds will not purchase securities of the Funds if, immediately after the transaction, more than 10% of the net asset value of the Top Fund, taken at market value at the time of the transaction, would consist of securities of the Funds and NRIFs.

12. In the case of the Specified Top Fund, the Filer will ensure that the Specified Top Fund will not purchase securities of the Funds if, immediately after the transaction: (i) more than 10% of the net asset value of the Specified Top Fund, taken at market value at the time of the transaction, would consist of securities of the Funds; and (ii) more than 25% of the net asset value of the Specified Top Fund, taken at market value at the time of the transaction, would consist of securities of the Funds and NRIFs.

Term

13. This decision shall expire upon the earlier of: (i) the coming into force of the Proposed Alternative Fund Rules or substantially similar rules; and (ii) five years from the date of this decision.

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

2.1.4 Merrill Lynch Canada Inc.

Headnote

Application for a ruling pursuant to section 74 of the Securities Act granting relief from the dealer registration requirement in section 25 of the OSA to allow the Filer, an investment dealer and member of the Investment Industry Regulatory Organization of Canada (IIROC), to use employees of a Designated Foreign Affiliate of the Filer for After-Hours Trading in securities on the Bourse de Montréal Inc. – Relief granted, subject to terms and conditions

Statutes Cited

Securities Act, R.S.O. 1990, c. S.5, as am., ss. 25(1), 74(1).

Instruments Cited

Multilateral Instrument 11-102 Passport System, s. 4.7.

October 5, 2018

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
MERRILL LYNCH CANADA INC.
(the Filer)

DECISION

Background

The principal regulator in Ontario has received an application from the Filer for a decision under the securities legislation of the Jurisdiction (the **Legislation**) exempting the Designated Foreign Affiliate Employees (as defined below) of the Filer, when conducting Extended Hours Activities (as defined below) on the Bourse de Montréal Inc. (the **MX**), from the dealer registration requirement in the Legislation, subject to the terms and conditions set out below (the **Exemption Sought**).

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

(a) the Ontario Securities Commission is 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 each of the remaining provinces and territories of Canada, other than Québec and Nunavut (together with Ontario, the **Jurisdictions**).

Interpretation

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

Representations

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

The Filer

1. The Filer is a corporation formed under the laws of Canada. The head office of the Filer is located in Toronto, Ontario.

2. The Filer is registered as an investment dealer under the securities legislation of all the jurisdictions of Canada except Nunavut; is registered as a futures commission merchant under the commodity futures legislation of Ontario and Manitoba; and is registered as a dealer under the derivatives legislation of Québec.

3. The Filer is a member of the Investment Industry Regulatory Organization of Canada (**IIROC**) and the TSX Venture Exchange, an approved participant of the MX and a participating organization of the Toronto Stock Exchange.

4. The Filer is not in default of securities or commodity futures legislation in any jurisdiction of Canada.

5. Merrill Lynch International (**MLI** or the **Designated Foreign Affiliate**) is a private unlimited company incorporated in England and Wales. The head office of MLI is located in London, England.

6. The Filer and MLI are each a wholly-owned indirect subsidiary of Bank of America Corporation.

7. MLI is a United Kingdom-based broker dealer in securities and dealer in equity derivatives. MLI is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and Prudential Regulation Authority.

8. MLI holds memberships and/or has third-party clearing relationships with commodity and financial futures exchanges and clearing associations, including the London Stock Exchange. It also

carries positions reflecting trades executed on other exchanges through affiliates and/or third-party clearing brokers.

The MX Extended Trading Hours Amendments

9. The MX, based in Montréal, Québec, operates an exchange for options, commodity futures contracts and commodity futures options, and offers access to trading in those to market participants in Canada.

10. On July 9, 2018, the MX announced that the MX had approved amendments to its rules and procedures in order to accommodate the extension of the MX's trading hours. As a result of these amendments, it is anticipated that, commencing October 9, 2018, trading of certain products on the MX will commence at 2:00 a.m. Eastern Time (**ET**) rather than the current 6:00 a.m. ET.

11. As set out in MX Circular 111-18, in order to accommodate this earlier trading, the MX amended its rules to allow participants on the MX to have employees of affiliated corporations, including foreign affiliates, become an approved person of the MX participant and thus be able to handle trading requests originating from the MX participant's clients or clients of the MX participant's affiliated corporations or subsidiaries.

Application of the dealer registration requirement to Designated Foreign Affiliate Employees

12. The Filer is an MX approved participant and MLI is an affiliated corporation. The Filer wishes to make use of certain designated employees of MLI (the **Designated Foreign Affiliate Employees**) to handle trading requests on the MX from the Filer's clients and clients of the Filer's affiliated corporations or subsidiaries during the MX's extended trading hours from 2:00 a.m. ET to 6:00 a.m. ET each day on which the MX is open for trading (the **Extended Hours Activities**).

13. The dealer registration requirement under the Legislation requires an individual to be registered to act as a dealing representative on behalf of a registered firm. The Exemption Sought is intended to provide the Filer with an exemption from (i) the requirement that the Filer use only registered dealing representatives to conduct the Extended Hours Activities; and (ii) the requirement that the employees of MLI who will be conducting the Extended Hours Activities be registered as dealing representatives of the Filer.

14. The Filer seeks an exemption from the dealer registration requirement because, in the absence of such exemption, each employee of MLI who was to trade on behalf of the Filer would be required to become individually registered and licensed in Canada. The Filer believes this would be duplicative since the Designated Foreign Affiliate Employees are certified under applicable United Kingdom law, would be supervised by the Filer's designated supervisors and would otherwise be subject to the conditions set forth below. The Filer believes this would be unduly onerous in light of the limited trading activities the Designated Foreign Affiliate Employees would be conducting on behalf of the Filer, namely only handling client orders, and only during the period from 2:00 a.m. ET to 6:00 a.m. ET.

15. The Filer has also applied to IIROC for an exemption from the registered representative requirements that are found in IIROC Dealer Member Rules 18.2(a) and 18.2(c) and the requirement to enter into an employee or agent relationship with the person conducting securities related business on its behalf that is found in IIROC Dealer Member Rule 39.3.

16. The Filer anticipates that the IIROC Relief, if granted, will be subject to certain conditions, including:

    (a) The Designated Foreign Affiliate Employees must be certified under the applicable laws of the United Kingdom in a category that permits trading the types of products which they will be trading on the MX.

    (b) The Designated Foreign Affiliate Employees will be permitted to accept and enter orders from clients of the Filer or clients of the Filer's affiliated corporations or subsidiaries during the period from 2:00 a.m. ET to 6:00 a.m. ET.

    (c) The Filer retains all responsibilities for its client accounts.

    (d) The actions of the Designated Foreign Affiliate Employees will be supervised by specific designated supervisors of the Filer (the **Designated Supervisors**), each of whom is qualified to supervise trading in futures contracts, futures contract options and options.

17. The Exemption Sought would apply to Designated Foreign Affiliate Employees who are designated and recorded on a list maintained by the Designated Supervisors, which list would be subject to review by IIROC upon request.

18. The Filer and MLI will enter into a services agreement pursuant to which

    (a) MLI will, among other things, agree to designate members of its staff to serve as Designated Foreign Affiliate Employ-

ees who are properly registered, licensed, certified or authorized in their home jurisdiction and sufficiently skilled and familiar to undertake such trading and front office activity, and further agree that the activities of the Designated Foreign Affiliate Employees permitted under this exemptive relief shall be supervised by the Designated Supervisors of the Filer; and

(b) the Filer will assume all responsibility for the actions of the Designated Foreign Affiliate Employees and of MLI that relate to the Filer's clients regarding this trading on MX, and the Filer will acknowledge that it will be liable under IIROC rules for such actions.

19. All MX trading rules will apply to orders entered by the Designated Foreign Affiliate Employees.

20. Other than individual registration, all other existing Canadian regulatory requirements would continue to apply to this arrangement, including without limitation:

(a) the Filer's client accounts would continue to be carried on the books of the Filer;

(b) all communications with the Filer's clients will continue to be in the name of the Filer; and

(c) the Filer's client account monies, security and property will continue to be held by the Filer or its approved custodian.

21. The Filer will establish and maintain written policies and procedures that address the performance and supervision requirements relating to MX extended trading hours.

22. The Filer will disclose this extended trading hours arrangement to clients for its MX trading services.

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 so long as:

(a) the Designated Foreign Affiliate and the Designated Foreign Affiliate Employees are registered, licensed, certified or authorized under the applicable laws of the foreign jurisdiction in which the head office or principal place of business of the Designated Foreign Affiliate is located in a category that permits trading the type of products which the Designated Foreign Affiliate Employees will be trading on the MX;

(b) the Designated Foreign Affiliate Employees are permitted to accept and enter orders from clients of the Filer or clients of the Filer's affiliated corporations or subsidiaries on behalf of the Filer during the period from 2:00 a.m. ET to 6:00 a.m. ET;

(c) the Filer retains all responsibilities for its client accounts;

(d) the actions of the Designated Foreign Affiliate Employees will be supervised by the Designated Supervisors, each of whom is qualified to supervise trading in futures contracts, futures contract options and options;

(e) the Filer and the Designated Foreign Affiliate enter into a services agreement substantially as described in paragraph 18, and such agreement remains in effect; and

(f) the Filer has applied for and obtained from IIROC an exemption from the registered representative requirements that are found in the IIROC Dealer Member Rules, and any other requirements of IIROC that IIROC reasonably determines is applicable to the Firm and the Designated Foreign Affiliate Employees in connection with conducting the Extended Hours Activities (collectively, the **IIROC Relief**) and remains in compliance with the terms and conditions of the IIROC Relief.

"Tim Moseley"
Vice-Chair
Ontario Securities Commission

"Grant Vingoe"
Vice-Chair
Ontario Securities Commission

2.2 Orders

2.2.1 Metanor Resources Inc.

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – The issuer ceased to be a reporting issuer under securities legislation.

Applicable Legislative Provisions

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

File N°: 21036

October 2, 2018

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

AND

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

AND

IN THE MATTER OF
METANOR RESOURCES INC.
(the Filer)

ORDER

Background

The securities regulatory authority or regulator in each of the Jurisdictions (Decision Maker) has received an application from the Filer for an order under the securities legislation of the Jurisdictions (the Legislation) that the Filer has ceased to be a reporting issuer in all jurisdictions of Canada in which it is a reporting issuer (the Order Sought).

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

(a) the Autorité des marchés financiers is the principal regulator for this application,

(b) the Filer has provided notice that subsection 4C.5(1) of *Regulation 11-102 respecting Passport System* (Regulation 11-102) is intended to be relied upon in British Columbia and Alberta;

(c) this order is the order of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

Interpretation

Terms defined in *Regulation 14-101 respecting Definitions*, in Regulation 11-102 and, in *Regulation 14-501Q respecting Definitions* have the same meaning if used in this order, unless otherwise defined.

Representations

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

1. the Filer is not an OTC reporting issuer under *Regulation 51-105 respecting Issuers Quoted in the U.S. Over-the-Counter Markets*;

2. the outstanding securities of the Filer, including debt securities, are beneficially owned, directly or indirectly, by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders in total worldwide;

3. no securities of the Filer, including debt securities, are traded in Canada or another country on a marketplace as defined in *Regulation 21-101 respecting Marketplace Operation* or any other facility for bringing together buyers and sellers of securities where trading data is publicly reported;

4. the Filer is applying for an order that the Filer has ceased to be a reporting issuer in all of the jurisdictions of Canada in which it is a reporting issuer; and

5. the Filer is not in default of securities legislation in any jurisdiction.

Order

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

The decision of the Decision Makers under the Legislation is that the Order Sought is granted.

“Martin Latulippe”
Director, Continuous Disclosure

2.2.2 Sierra Madre Developments Inc. – s. 144

Headnote

Application by an issuer for a revocation of a cease trade order issued by the Commission – cease trade order issued because the issuer had failed to file certain continuous disclosure materials required by Ontario securities law – defaults subsequently remedied by bringing continuous disclosure filings up-to-date – cease trade order revoked.

Statutes Cited

Securities Act, R.S.O. 1990, c. S.5, as am., ss. 127, 144.

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

AND

IN THE MATTER OF
SIERRA MADRE DEVELOPMENTS INC.

ORDER
(Section 144 of the Act)

WHEREAS the securities of Sierra Madre Developments Inc. (the **Applicant**) are subject to a cease trade order dated August 12, 2014, issued by the Director of the Ontario Securities Commission (the **Commission**) pursuant to paragraph 2 of subsection 127(1) and subsection 127(5) of the Act, and as extended by a further cease trade order issued by the Director on August 25, 2014 pursuant to paragraph 2 of subsection 127(1) of the Act (the **Ontario Cease Trade Order**), directing that all trading in the securities of the Applicant, whether direct or indirect, cease until the Ontario Cease Trade Order is revoked by the Director;

AND WHEREAS the Ontario Cease Trade Order was made on the basis that the Applicant was in default of certain filing requirements under Ontario securities law as described in the Ontario Cease Trade Order;

AND WHEREAS the Applicant has applied to the Commission under section 144 of the Act for a full revocation of the Ontario Cease Trade Order;

AND UPON the Applicant having represented to the Commission that:

1. The Applicant was incorporated on April 30, 2009 under the *Business Corporations Act* (British Columbia).

2. The Applicant's head office is located at 8792 Shook Road, Mission, British Columbia V2V 7N1.

3. The Applicant is a junior mineral exploration company focused on a gold property in British Columbia.

4. The Applicant is a reporting issuer under the securities legislation of the provinces of British Columbia, Alberta, and Ontario (the **Reporting Jurisdictions**). The Applicant is not a reporting issuer in any other jurisdiction in Canada. The Applicant's principal regulator is the British Columbia Securities Commission (the **BCSC**).

5. The Applicant's authorized share capital consists of an unlimited number of common shares, without nominal or par value (the **Common Shares**). As of the date hereof, there are 53,980,827 Common Shares issued and outstanding.

6. The Applicant has no other securities, including debt securities, issued and outstanding.

7. The Common Shares were suspended from trading on the TSX Venture Exchange on August 7, 2014. The Common Shares have not been, and are not currently listed on any other exchange or market in Canada or elsewhere.

8. The Ontario Cease Trade Order was issued as a result of the Applicant's failure to file its annual audited financial statements, the accompanying management's discussion and analysis (**MD&A**) and related certifications of annual filings as required by National Instrument 52-109 *Certification of Disclosure in Issuers' Annual and Interim Filings* (**NI 52-109**) for the fiscal year ended March 31, 2014 (the **2014 Annual Filings**).

9. The Applicant is also subject to a cease trade order issued by the BCSC dated August 6, 2014 (the **BC Cease Trade Order**), and a cease trade order issued by the Alberta Securities Commission (the **ASC**) dated November 5, 2014 (the **Alberta Cease Trade Order**) (collectively with the Ontario Cease Trade Order, the **Cease Trade Orders**).

10. The Applicant has concurrently applied to the BCSC for a full revocation of the BC Cease Trade Order; and has concurrently applied to the ASC for a full revocation of the Alberta Cease Trade Order.

11. Subsequent to the issuance of the Ontario Cease Trade Order, the Applicant failed to file in the Reporting Jurisdictions the following continuous disclosure documents within the prescribed time-frame in accordance with the requirements of applicable securities laws:

    (i) all audited annual financial statements, accompanying MD&A and related NI 52-109 certificates for the financial years ended March 31, 2015 to March 31, 2017;

(ii) all unaudited interim financial statements, accompanying MD&A and related NI 52-109 certificates for the interim periods ended June 30, 2014 through December 31, 2017; and

(iii) the statements of executive compensation for the financial years ended March 31, 2014 to March 31, 2017.

12. Since the issuance of the Ontario Cease Trade Order, the Applicant has filed in the Reporting Jurisdictions:

(i) the audited annual financial statements, accompanying MD&A and related NI 52-109 certificates for each of the fiscal years ended March 31, 2017 and 2018; and

(ii) the statements of executive compensation for the financial years ended March 31, 2017 and 2018.

13. The Applicant has not filed (i) audited annual financial statements, accompanying MD&A, and related NI 52-109 certificates for the fiscal years ended March 31, 2014, March 31, 2015 and March 31, 2016; (ii) unaudited interim financial statements, accompanying MD&A, and related NI 52-109 certificates for the interim periods ended June 31, 2014 to December 31, 2017 and (iii) statements of executive compensation for the years ended March 31, 2014 to 2016 (collectively, the **Outstanding Filings**) and has requested the Commission to exercise its discretion in accordance with section 6 of National Policy 12-202 *Revocation of Certain Cease Trade Orders* and elect not to require the Applicant to file the Outstanding Filings.

14. Except for the Outstanding Filings, the Applicant is (i) up-to-date with all of its continuous disclosure obligations; (ii) not in default of any requirements under applicable securities legislation or the rules and regulations made pursuant thereto in any of the Reporting Jurisdictions, except for the existence of the Cease Trade Orders and that it has not held its annual general shareholders meeting for 2014, 2015, 2016 and 2017; and (iii) not in default of any of its obligations under the Cease Trade Orders.

15. The Applicant's issuer profile on the System for Electronic Document Analysis and Retrieval (**SEDAR**) and issuer profile supplement on the System for Electronic Disclosure by Insiders (**SEDI**) are current and accurate.

16. The Applicant has paid all outstanding activity, participation and late filing fees that are required to be paid to the Commission and has filed all forms associated with such payments.

17. The Applicant is not considering nor is it involved in any discussions related to, a reverse take-over, merger, amalgamation or other form of combination or transaction similar to any of the foregoing.

18. Since the issuance of the Cease Trade Orders, there have not been any material changes in the business, operations or affairs of the Applicant that have not been disclosed to the public.

19. The Applicant has given the Commission a written undertaking that it will hold an annual meeting of its shareholders within three months after the date on which the Ontario Cease Trade Order is revoked.

20. Upon the issuance of this revocation order and concurrent revocation orders from the ASC and BCSC, the Applicant will issue a news release announcing the revocation of the Cease Trade Orders and concurrently file the news release and a related material change report on SEDAR.

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

AND UPON the Director being satisfied that it would not be prejudicial to the public interest to revoke the Ontario Cease Trade Order;

IT IS ORDERED pursuant to section 144 of the Act that the Ontario Cease Trade Order is revoked.

DATED at Toronto, Ontario on this 2nd day of October, 2018.

"Michael Balter"
Manager, Corporate Finance
Ontario Securities Commission

2.2.3 Citigroup Finance Canada ULC

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – The issuer ceased to be a reporting issuer under securities legislation.

Applicable Legislative Provisions

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

October 3, 2018

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

AND

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

AND

IN THE MATTER OF
CITIGROUP FINANCE CANADA ULC
(the "Filer")

ORDER

Background

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

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

(a) the Ontario Securities Commission is the principal regulator for this application, and

(b) the Filer has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 *Passport System* ("**MI 11-102**") is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Québec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Nunavut and Yukon.

Interpretation

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

Representations

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

1. the Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*;

2. the outstanding securities of the Filer, including debt securities, are beneficially owned, directly or indirectly, by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders in total worldwide;

3. no securities of the Filer, including debt securities, are traded in Canada or another country on a marketplace as defined in National Instrument 21-101 *Marketplace Operation* or any other facility for bringing together buyers and sellers of securities where trading data is publicly reported;

4. the Filer is applying for an order that the Filer has ceased to be a reporting issuer in all of the jurisdictions of Canada in which it is a reporting issuer; and

5. the Filer is not in default of securities legislation in any jurisdiction.

Order

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

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

"Winnie Sanjoto"
Manager, Corporate Finance
Ontario Securities Commission

2.2.4 Avcorp Industries Inc.

Headnote

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

Applicable Legislative Provisions

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

Citation: 2018 BCSECCOM 270

REVOCATION ORDER

AVCORP INDUSTRIES INC.

Under the securities legislation of British Columbia and Ontario (the Legislation)

Background

1 Avcorp Industries Inc. (the Issuer) is subject to a failure-to-file cease trade order (the FFCTO) issued by the British Columbia Securities Commission (the Principal Regulator) and Ontario (each a Decision Maker) respectively on April 9, 2018.

2 The Issuer has applied to each of the Decision Makers under National Policy 11-207 *Failure-to-File Cease Trade Orders and Revocation in Multiple Jurisdictions* (NP 11-207) for an order revoking the FFCTOs.

3 This order is the order of the Principal Regulator and evidences the decision of the Decision Maker in Ontario.

Interpretation

4 Terms defined in National Instrument 14-101 *Definitions* or in NP 11-207 have the same meaning if used in this order, unless otherwise defined.

Order

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

6 The decision of the Decision Makers under the Legislation is that the FFCTO is revoked.

7 September 12, 2018

"Allan Lim, CPA, CA"
Manager
Corporate Finance

2.2.5 Jason Michael Currey et al. – ss. 127(1), 127(10)

FILE NO.: 2018-48

IN THE MATTER OF
JASON MICHAEL CURREY,
THE HEALTHY RETIREMENT GROUP INC.,
SUNSET CREEK RESOURCES INC. and
1826487 ALBERTA LTD.

D. Grant Vingoe, Vice-Chair and Chair of the Panel

October 3, 2018

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

WHEREAS the Ontario Securities Commission held a hearing in writing, to consider a request by staff of the Ontario Securities Commission (**Staff**) for an order imposing sanctions against Jason Michael Currey (**Currey**), The Healthy Retirement Group Inc. (**HRG**), Sunset Creek Resources Inc. (**Sunset**) and 1826487 Alberta Ltd. (**182 Alberta**) pursuant to subsections 127(1) and 127(10) of the *Securities Act*, RSO 1990, c S.5 (the **Act**);

ON READING the decision of the Alberta Securities Commission (the **ASC**) dated February 27, 2018 with respect to Currey, HRG, Sunset and 182 Alberta, and the Statement of Admissions and Joint Submission on Sanction between Currey, HRG, Sunset, 182 Alberta and ASC Staff dated October 6, 2017 and on reading the materials filed by Staff;

IT IS ORDERED:

1. Against Currey that:

   Until the until the later of February 27, 2038 or the date on which the administrative penalty ordered against Currey in paragraph 94 of the Alberta Securities Commission's Order dated February 27, 2018 (the **ASC Order**) has been paid in full:

   a) pursuant to paragraph 2 of subsection 127(1) of the Act, trading in securities or derivatives by Currey shall cease, except that this order does not preclude Currey from trading in securities through a registrant in Ontario (who has first been given a copy of the ASC Order, and a copy of this Order) in registered accounts or tax-free savings accounts maintained with that registrant for the benefit of one or more of Currey, his spouse or his dependent children;

   b) pursuant to paragraph 2.1 of subsection 127(1) of the Act, the acquisition of any securities by Currey shall cease, except that this order does not preclude Currey from purchasing securities through a registrant in Ontario (who has first been given a copy of the ASC Order, and a copy of this Order) in registered accounts or tax-free savings accounts maintained with that registrant for the benefit of one or more of Currey, his spouse or his dependent children;

   c) pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law shall not apply to Currey;

   d) pursuant to paragraphs 7, 8.1 and 8.3 of subsection 127(1) of the Act, Currey shall resign any positions that he holds as a director or officer of any issuer, registrant, or investment fund manager;

   e) pursuant to paragraphs 8, 8.2 and 8.4 of subsection 127(1) of the Act, Currey is prohibited from becoming or acting as a director or officer of any issuer, registrant, or investment fund manager, except that this order does not preclude Currey from becoming or acting as a director or officer of an issuer that is wholly owned by Currey, his spouse, his parents, his siblings or his children, and which does not issue or propose to issue securities to the public; and

   f) pursuant to paragraph 8.5 of subsection 127(1) of the Act, Currey is prohibited from becoming or acting as a registrant, investment fund manager, or promoter.

2. against HRG, Sunset and 182 Alberta that:

   until the later of February 27, 2038 or the date on which the administrative penalty ordered against Currey in paragraph 94 of the ASC Order has been paid in full:

   a) pursuant to paragraph 2 of subsection 127(1) of the Act, trading in securities or derivatives by HRG, Sunset and 182 Alberta shall cease;

   b) pursuant to paragraph 2.1 of subsection 127(1) of the Act, the acquisition of any securities by HRG, Sunset and 182 Alberta shall cease;

   c) pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law shall not apply to HRG, Sunset or 182 Alberta; and

d) pursuant to paragraph 8.5 of subsection 127(1) of the Act, HRG is prohibited from becoming or acting as a registrant or investment fund manager.

"D. Grant Vingoe"

2.2.6 Ecopetrol S.A.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – the Filer cannot avail itself of the simplified procedure under National Policy 11-206 as its securities are not beneficially owned by fewer than 51 securityholders in total worldwide and it is in default of the requirement in National Instrument 52-108 Auditor Oversight that its auditor's report be prepared by a public accounting firm that, as of the date of the auditor's report, is a "participating audit firm" – the Filer has a *de minimis* connection to Canada – in the 12 months before applying for the order, the Filer did not take any steps that indicate there is a market for its securities in Canada – The Filer has no current intention to distribute any securities to the public in Canada – The Filer will remain a reporting company in the United States under the Securities and Exchange Act of 1934 and will concurrently deliver to its Canadian security holders all disclosure the Filer is required under U.S. securities laws to deliver to U.S. resident security holders – the Filer is deemed to no longer be a reporting issuer under securities legislation.

Applicable Legislative Provisions

Securities Act, RSA 2000, c S-4, s. 153.
Securities Act, RSO 1990, c. S.5, as am., s. 1(10)(a)(ii).

Citation: *Re Ecopetrol S.A.*, 2018 ABASC 144

August 29, 2018

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

AND

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

AND

IN THE MATTER OF
ECOPETROL S.A. (the Filer)

ORDER

Background

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

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

(a) the Alberta Securities Commission is the principal regulator for this application;

(b) this order is the order of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

Interpretation

Terms defined in National Instrument 14-101 *Definitions* or Multilateral Instrument 11-102 *Passport System* have the same meaning if used in this Order, unless otherwise defined.

Representations

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

1. The Filer is a corporation governed by the laws of Colombia, with its head office in Bogota, Colombia. The Alberta Securities Commission was selected as principal regulator because the Filer is extra-provincially registered in Alberta.

2. The Filer is an oil company with operations in Peru, Brazil and the U.S. Gulf Coast. It does not have assets or operations in any jurisdiction of Canada and none of its officers or directors are Canadian residents.

3. The Filer is a reporting issuer in the Jurisdictions. The Filer became a reporting issuer upon the listing of its American depository receipts (**ADRs**) on the Toronto Stock Exchange (**TSX**) on August 11, 2010.

Common Shares

4. The authorized share capital of the Filer consists of an unlimited number of common shares, par value COP$609 per share (**Common Shares**). As of September 30, 2017, 41,316,694,690 Common Shares were outstanding, 88.49% of which are beneficially owned or controlled by the Republic of Colombia. The remaining 11.51% (the **Public Float**) are listed for trading only on the Colombian Securities Exchange (**BVC**). The Common Shares comprising the Public Float are held in book-entry form through Depósito Centralizado de Valores de Colombia (**DECEVAL S.A.**).

5. Based on information provided by DECEVAL S.A., as of September 30, 2017, there are 350,413 holders of Common Shares, 29 of whom appear to live in Canada (representing 0.008% of holders of Common Shares worldwide) and hold 15,584,928 Common Shares (representing 0.03% of the Public Float). Of those Canadian holders of Common Shares, four institutional investors hold 98.3% of such Common Shares. DECEVAL S.A.'s shareholder position listings do not identify the residency of the underlying beneficial owners of the Common Shares.

ADRs

6. Each ADR represents 20 Common Shares. As of September 30, 2017, there were 35,827,088 ADRs outstanding, representing 1.74% of the total outstanding Common Shares and 15.14% of the Public Float. The ADRs are listed and posted for trading on the New York Stock Exchange (**NYSE**) under the symbol "EC". The ADRs were not offered to Canadian residents. The ADRs were only cross-listed on the TSX and were delisted from the TSX on March 2, 2016 due to their limited trading activity on such exchange.

7. Ownership of the ADRs is held in book-entry form through JPMorgan Chase Bank, National Association (**JPMorgan**), acting as the depositary bank, which is the sole registered holder of the ADRs. Based on information from JPMorgan, as of September 30, 2017, there were 35 participants holding ADRs worldwide, one of whom is located in Canada (representing 2.86% of holders of ADRs worldwide) and holds 742 ADRs (representing 0.002% of the outstanding ADRs). JPMorgan's participant position listings do not identify the residency of the underlying beneficial owners of the ADRs.

8. Based on the information above, on an aggregate basis, there are 350,448 holders of Common Shares and ADRs worldwide, 30 of whom are located in Canada, who hold 15,501,768 Common Shares and ADRs, representing 0.037% of total number of Common Shares and ADRs.

U.S. Notes

9. As of September 30, 2017, the Filer had the following debt securities outstanding in the U.S.:

(a) U.S.$1.5 billion principal amount of 7.625% notes due July 2019 (the **2019 Notes**);

(b) U.S.$350 million principal amount of 4.250% notes due September 2018 (the **2018 Notes**);

(c) U.S.$1.8 billion principal amount of 5.875% notes due September 2023 (the **2023 Notes**);

(d) U.S.$850 million principal amount of 7.375% notes due September 2043 (the **2043 Notes**);

(e) U.S.$2.0 billion principal amount of 5.875% notes due May 2045 (the **2045 Notes**);

(f) U.S.$1.2 billion principal amount of 4.125% notes due January 2025 (the **2025 Notes**); and

(g) U.S.$1.5 billion principal amount of 5.375% notes due June 2026 (the **2026 Notes**)

(collectively, the **U.S. Notes**).

10. The 2018 U.S. Notes, 2023 U.S. Notes, 2043 U.S. Notes, 2045 U.S. Notes, 2025 U.S. Notes and 2026 U.S. Notes were issued in a registered public offering in the U.S. under the 1933 Act. The 2019 U.S. Notes were sold in the United States in a private placement under Rule 144A and Regulation S of the 1933 Act and subsequently registered. The 2045 U.S. Notes and the 2025 U.S. Notes were also offered in Canada in Alberta, British Columbia, Manitoba, Ontario and Québec pursuant to Canadian offering memoranda dated, respectively, May 20, 2014 and September 9, 2014. No U.S. Notes were distributed in any jurisdiction of Canada pursuant to either of these offering memoranda.

11. Ownership of the U.S. Notes is held in book-entry form through Cede & Co., as nominee for The Depositary Trust Company (**DTC**), which is the sole registered holder of the U.S. Notes. Based on information provided by DTC, as of September 26, 2017, participants with a Canadian reporting address hold as follows:

(a) 0.0063% of the principal amount of the 2019 Notes, representing 3.57% of the total participant holders of 2019 Notes;

(b) 0.25% of the principal amount of the 2018 Notes, representing 1.92% of the total participant holders of 2018 Notes;

(c) 0.13% of the principal amount of the 2023 Notes, representing 5.19% of the total participant holders of 2023 Notes;

(d) 0.33% of the principal amount of the 2043 Notes, representing 3.57% of the total participant holders of 2043 Notes;

(e) 0.055% of the principal amount of the 2045 Notes, representing 4.23% of the total participant holders of 2045 Notes;

(f) 0.31% of the principal amount of the 2025 Notes, representing 2.94% of the total participant holders of 2025 Notes; and

(g) 0.12% of the principal amount of the 2026 Notes, representing 2.82% of the total participant holders of 2026 Notes.

12. The DTC participant position listings do not identify the residency of the underlying beneficial owners of the U.S. Notes.

13. Distribution of the U.S. Notes occurred prior to the date on which the Filer became a reporting issuer in the Jurisdictions.

Colombian Notes

14. As of September 30, 2017, the Filer had the following debt securities outstanding in Colombia:

(a) COP $138.7 billion principal amount of floating rate notes due December 2017;

(b) COP$479.9 billion principal amount of floating rate notes due December 2020;

(c) COP$284.3 billion principal amount of floating rate notes due December 2040;

(d) COP$120.95 billion principal amount of floating rate notes due August 2018;

(e) COP$168.6 billion principal amount of floating rate notes due August 2023;

(f) COP$347.5 billion principal amount of floating rate notes due August 2028; and

(g) COP$262.95 billion principal amount of floating rate notes due August 2043

(collectively, the **Floating Rate Notes**).

15. The Colombian Floating Rate Notes were distributed only in Colombia by way of Dutch auctions led by the BVC. Ownership of the Floating Rate Notes is held in book-entry form through DECEVAL S.A., which is the sole registered holder of the Floating Rate Notes. Based on information provided by DECEVAL S.A., none of the holders of any of the Floating Rate Notes live in Canada. DECEVAL S.A.'s shareholder position listings do not identify the residency of the underlying beneficial owners of the Floating Rate Notes.

16. DECEVAL S.A. is the only official source of information the Filer can use to obtain information regarding the ownership of its Common Shares and Colombian Notes.

General

17. Based on the information above, there are 351,468 security holders of the Filer worldwide, 46

of whom are located in Canada, representing 0.013% of the total security holders of the Filer.

18. Based on the information above, residents of Canada do not:

    (a) directly or indirectly beneficially own more than 2% of each class or series of outstanding securities (including debt securities) of the Filer worldwide; and

    (b) directly or indirectly comprise more than 2% of the total number of securityholders of the Filer worldwide.

19. The Filer is subject to and is in compliance with all requirements applicable to it imposed by the SEC, the 1933 Act, the1934 Act, the *Sarbanes-Oxley Act of 2002* (United States) and the rules of the NYSE (collectively, the **U.S. Rules**).

20. The Filer qualifies as an "SEC foreign issuer" under National Instrument 71-102 *Continuous Disclosure and Other Exemptions Relating to Foreign Issuers* (**NI 71-102**) and as such, relies on and complies with the exemptions from Canadian continuous disclosure requirements afforded to SEC foreign issuers under Part 4 of NI 71-102.

21. The Filer has no current intention to seek public financing by way of an offering of its securities in Canada.

22. In the 12 months before applying for this order, the Filer has not taken any steps that indicate there is a market for its securities in Canada, including conducting a prospectus offering in Canada, establishing or maintaining a listing on an exchange in Canada or having its securities traded on a marketplace or any other facility in Canada for bringing together buyers and sellers where trading data is publicly reported.

23. The Filer provided advance notice to Canadian resident securityholders in a news release that it has applied for an order to cease to be a reporting issuer in the Jurisdictions and, if the Order Sought is granted, the Filer will no longer be a reporting issuer in any jurisdiction in Canada.

24. The Filer will concurrently deliver to its Canadian securityholders all disclosure it would be required to deliver to U.S. resident securityholders under the U.S. Rules.

25. The Filer is not in default of securities legislation in any jurisdiction of Canada, except for the requirement in subsection 4(a) of National Instrument 52-108 *Auditor Oversight* (**NI 52-108**) that its auditor's report is prepared by a public accounting firm that, as of the date of the auditor's report, is a "participating audit firm", as defined therein. The financial statements of the Filer for: (i) the fiscal year ended December 31, 2016; and (ii) the fiscal year ended December 31, 2017 were accompanied by an auditor's report prepared by Ernst & Young Audit S.A.S., which is not a participating audit firm as defined in NI 52-108, as it has not entered into a participation agreement (as defined in NI 52-108) with the Canadian Public Accountability Board.

Decision

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

The decision of the Decision Makers under the Legislation is that the Order Sought is granted.

“Timothy Robson”
Manager, Legal, Corporate Finance
Alberta Securities Commission

2.2.7 Maria Psihopedas – s. 8

FILE NO.: 2018-18

IN THE MATTER OF
MARIA PSIHOPEDAS

Robert P. Hutchison, Commissioner and Chair of the Panel

October 5, 2018

ORDER
(Section 8 of the
Securities Act, RSO 1990, c S.5)

WHEREAS the Ontario Securities Commission (the **Commission**) received a request to vacate the hearing dates for this proceeding, previously set by order of the Commission dated September 14, 2018;

ON READING correspondence indicating the consent of Staff of the Commission and the Applicant;

IT IS ORDERED THAT:

1. the hearing dates scheduled for October 16 and 17, 2018 are hereby vacated; and

2. this Order is without prejudice to the right of any party to this Application to request hearing dates or attendances before the Commission.

“Robert P. Hutchison”

2.3 Orders with Related Settlement Agreements

2.3.1 Omega Securities Inc. – s. 127(1)

FILE NO.: 2017-66

IN THE MATTER OF
OMEGA SECURITIES INC.

Mark J. Sandler, Commissioner and Chair of the Panel
AnneMarie Ryan, Commissioner

October 4, 2018

ORDER
(Subsection 127(1) of the
Securities Act, RSO 1990, c S.5)

WHEREAS on October 4, 2018, the Ontario Securities Commission (the **Commission**) held a hearing at the offices of the Commission, located at 20 Queen Street West, 17th Floor, Toronto, Ontario, to consider an application made jointly by Omega Securities Inc. (**OSI**) and staff of the Commission (**Staff**) for approval of a settlement agreement dated September 21, 2018 (the **Settlement Agreement**);

ON READING the Settlement Hearing Brief, including the Statement of Allegations dated November 16, 2017, the Settlement Agreement and the Consents of the parties, and on hearing the submissions of the respresentatives for OSI and Staff;

IT IS ORDERED THAT:

1. the Settlement Agreement is approved;

2. pursuant to paragraph 1 of subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the **Act**), the following terms and conditions are imposed on OSI's registration:

   (a) OSI shall continue to ensure that:

      (i) the broker IDs of counterparties to a trade are recorded accurately;

      (ii) timestamps pertaining to the "time of order receipt" and the "time of the trade" are disseminated in accordance with Part 7 of National Instrument 21-101 *Marketplace Operation* (**NI 21-101**), and if transmission times are disseminated, they are disseminated in addition to the aforementioned timestamps and identified as such; and

      (iii) the MRF Feed is providing the Investment Industry Regulatory Organization of Canada (**IIROC**) with accurate timestamps of order receipt and execution of trades;

   (b) OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the MRF Patch, on a quarterly basis for a 12-month period following December 11, 2017, and provide these reports to Staff and IIROC, if IIROC so requests;

   (c) OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the upgrade to the ITCH 5.0 protocol on a quarterly basis for the four quarters ending after June 8, 2018, and provide these reports to Staff and IIROC, if IIROC so requests; and

   (d) OSI shall maintain policies and procedures designed to ensure, on an ongoing and consistent basis, that mechanisms are in place that are designed to ensure that OSI's systems and their operations are compliant with NI 21-101;

3. pursuant to paragraph 9 of subsection 127(1) of the Act, OSI pay to the Commission an administrative penalty in the amount of $500,000, which shall be designated for allocation or for use by the Commission in accordance with subclause 3.4(2)(b)(i) or (ii) of the Act; and

4. the hearing date for the Second Attendance of October 4, 2018 is vacated.

“Mark J. Sandler”

“AnneMarie Ryan”

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

AND

IN THE MATTER OF
OMEGA SECURITIES INC.

SETTLEMENT AGREEMENT BETWEEN
STAFF OF THE ONTARIO SECURITIES COMMISSION and
OMEGA SECURITIES INC.

PART I – INTRODUCTION

A. Regulatory Message

1. Accurate and timely collection and dissemination of information by marketplaces is critical to the integrity of Ontario's capital markets and investor confidence. The information disseminated by marketplaces forms the basis of trading decisions and inaccuracies may impact market and execution quality and market integrity. In addition, the dissemination of inaccurate market data could result in advantage to some investors and disproportionately disadvantage other investors. Accurate and timely information also assists regulators in discharging their enforcement and regulatory mandates.

2. In this matter, Staff of the Ontario Securities Commission ("**Staff**") identified deficiencies with the systems of Omega Securities Inc. ("**OSI**"). OSI is a registrant operating two Alternative Trading Systems ("**Omega ATS**" and "**Lynx ATS**") and was disseminating inaccurate information with respect to the identities of buy and sell brokers for certain transactions, the time of receipt of certain orders, and the time of execution of certain trades. In addition, the number of messages disseminated across OSI's data feeds did not always match.

3. The existence of these deficiencies had the potential to strike at the heart of the integrity and efficient operation of Ontario's capital markets. Staff considered that, because of the material nature of these deficiencies, and the need to ensure that any changes to address them were fully tested by OSI and its participants, it would have taken OSI a significant amount of time to ensure that its systems were in full compliance with Ontario securities laws.

4. With inaccurate information continuing to be publicly disseminated, Staff's view was that it could not allow such serious deficiencies to continue without immediate and public regulatory action.

B. Staff's Application for a Temporary Order

5. In certain respects, OSI cooperated with Staff's investigation by responding to requests for documents and attending interviews to provide information on a voluntary basis. Nonetheless, in Staff's view, in the nearly-one-year period leading up to Staff's application for a temporary order OSI failed to conduct itself in a manner expected of a market participant, including by:

(i) inadequately responding to the requests for information made to OSI related to concerns raised by Staff with OSI;

(ii) inadequately addressing the problems with its collection and dissemination of marketplace information;

(iii) leaving it to Staff to piece together the serious deficiencies with OSI's systems – a task that OSI as a market participant should have discovered and fixed on its own; and, moreover,

(iv) having had the serious deficiencies noted to it by Staff, OSI failed to correct the deficiencies in a timely manner.

6. On November 13, 2017, Staff commenced an application before the Commission seeking a temporary order suspending the registration of OSI and that trading in any securities by OSI cease until the conclusion of a hearing on the merits.

7. Staff alleged that Omega ATS and Lynx ATS may have failed to comply with National Instrument 21-101 in four respects:

(i) Inaccurate identification of brokers participating in mid-point peg transactions;

(ii) Time stamp deficiencies;

(iii) Content discrepancies across OSI's data feeds; and

(iv) Dissemination of data to certain subscribers prior to TMX Information Processor.

8. On November 14, 2017, Staff also published OSC Staff Notice 23-706, advising that "marketplaces and marketplace participants may consider declaring 'self-help'" under Part 6 of NI 23-101 (the "**Self-Help Notice**").

9. The hearing was held on November 17, 20, and 21, 2017. On November 23, 2017, the Commission declined to suspend OSI's registration but did issue a temporary order (the "**Temporary Order**") imposing the following terms and conditions on OSI's registration (pursuant to subsection 127(5) and paragraph 1 of subsection 127(1) of the Act):

(i) OSI shall forthwith provide notice on its website and to its subscribers in writing that the time of execution of trades disseminated pursuant to its ITCH protocol may differ, at the millisecond level, from the time internally recorded by OSI in its matching engine for the execution of these trades;

(ii) OSI shall upgrade from the ITCH 3.0 protocol to the ITCH 5.0 protocol as expeditiously as possible, in compliance with existing regulatory requirements;

(iii) OSI shall report, on a monthly basis, in writing, to Staff of the Commission and to IIROC, if IIROC so requests, on the ongoing steps taken by OSI to upgrade to the ITCH 5.0 protocol;

(iv) OSI shall implement a MRF Feed patch as expeditiously as possible, in compliance with existing regulatory requirements, including IIROC approvals or certification;

(v) OSI shall forthwith notify its subscribers that after seven days, all order acknowledgement messages sent pursuant to its FIX Feed will be sent at the millisecond level, except to such subscribers which notify OSI in writing within seven days that they choose not to receive such acknowledgements to the millisecond level;

(vi) OSI shall comply with the terms of the notification referred to in paragraph (v), above, and provide a written report to Staff of the Commission within 14 days and to IIROC, if requested by IIROC, outlining steps taken to so comply; and

(vii) OSI shall retain, within 14 days or such later time period as approved by Staff of the Commission, at its own expense, the services of an independent systems reviewer or reviewers that are approved by Staff of the Commission to provide reporting to OSI and Staff of the Commission and to IIROC, if IIROC so requests, regarding the effectiveness of the MRF Feed patch and the ITCH 5.0 protocol, on a quarterly basis for a 12 month period, after each respectively, is implemented (the "**Independent Systems Reviewer**").

10. Staff of the Commission and OSI agree that, up to the date of this Settlement Agreement, OSI has fully complied with the terms of the Temporary Order.

PART II – JOINT SETTLEMENT RECOMMENDATION

11. The parties shall jointly file a request that the Ontario Securities Commission (the "**Commission**") issue a Notice of Hearing to announce that it will hold a hearing to consider whether, pursuant to sections 127 and 127.1 of the *Securities Act*, R.S.O. 1990, c. S.5, as amended (the "**Act**"), it is in the public interest for the Commission to make certain orders against OSI in respect of the conduct described herein.

12. Staff recommend settlement of the proceeding commenced by the Notice of Hearing dated November 16, 2017, (the "**Proceeding**") against OSI according to the terms and conditions set out in Part VI of this Settlement Agreement (the "**Settlement Agreement**"). OSI consents to the making of an order in the form attached as Schedule "A" (the "**Order**"), based on the facts set out below.

13. For the purposes of this Proceeding, and any other regulatory proceeding commenced by a securities regulatory authority, OSI agrees with the facts as set out in Part III and the conclusion in Part IV of this Settlement Agreement.

PART III – AGREED FACTS

A. Overview & Regulatory Framework

14. The establishment and operations of ATSs are governed by the regulatory framework set out in the Act as well as National Instrument 21-101 ("**NI 21-101**") and its related companion policies (collectively, the "**Marketplace Rules**").

15. The transparency requirements for marketplaces set out in Part 7 of NI 21-101 are a critical component of the regulatory framework and support fair and efficient markets and confidence in those markets. They are also critical to support the regulator's ability to monitor markets and monitor compliance with regulatory requirements.

16. These transparency requirements require that marketplaces (including those operated by OSI) disseminate accurate and timely information relating to orders and trades to an information processor.

17. As a result of an upgrade to OSI's systems in July 2013, OSI began to disseminate inaccurate information with respect to the identities of buy and sell brokers for certain transactions. Since 2012, OSI has also disseminated inaccurate information with respect to the time of receipt of certain orders, the time of execution of certain trades, and the number of messages disseminated across OSI's data feeds.

B. Background

18. As noted above, OSI is a registrant operating two Alternative Trading Systems in Ontario: Omega ATS and Lynx ATS.

19. Omega ATS began operations on or about December 6, 2007. Lynx ATS began operations on or about February 3, 2014.

20. OSI's regulation services provider is the Investment Industry Regulatory Organization of Canada ("**IIROC**").

C. OSI's Trading Platform

21. While the Marketplace Rules set out requirements for ATSs, including information transparency requirements, they do not dictate how an ATS implements these requirements. ATSs determine the appropriate measures they will implement in order to meet the requirements of the Marketplace Rules, including the marketplace software and computer hardware they choose to implement (commonly referred to as their "**Trading Platform**").

22. The Trading Platform implemented by OSI to operate Omega ATS and Lynx ATS functions as follows:

(i) An OSI subscriber sends an order instruction *(e.g.* a buy order);

(ii) This instruction passes through the primary gateway at OSI by placing the message in a queue to be submitted to the "Matching Engine", which is a software program designed to match orders between buyers and sellers;

(iii) The Matching Engine then submits this information to other OSI processes in preparation for dissemination;

(iv) OSI disseminates the information (*i.e.* messages) regarding trading activity (including orders and executions) that takes place on Omega ATS and Lynx ATS to multiple third parties using three data feeds:

(a) The "**ITCH Process**," which is used to disseminate data on the "**ITCH Feed**" to OSI's information processor ("**TMX IP**") and direct purchasers of OSI's data;

(b) The market regulation feed process ("**MRF Process**,") which is used to disseminate data on the "**MRF Feed**" to IIROC; and

(c) The participant-facing processes used to disseminate data on the "**FIX Feed**" in real time to the following three destinations, with a copy to OSI's own history database of all trade executions:

(A) FIX 4.2 execution messages sent back to the trade execution system of the party who placed the order;

(B) FIX 4.2 "drop copies", which certain OSI users request primarily to be able to maintain intra-day "state" on their own outstanding orders and trade executions; and

(C) the CDS file, the cumulative file of which is sent to CDS at end-of-day as the definitive record of all OSI trade executions for a trading day.

D. Inaccurate Identification of Brokers Participating in Mid-Point Peg Transactions

23. Omega ATS and Lynx ATS failed to comply with the Marketplace Rules and the Act by providing inaccurate identification of brokers participating in approximately 65,000 mid-point peg transactions.

24. To meet Canadian regulatory requirements, subsection 7.2(1) of NI 21-101 requires a marketplace to provide "accurate and timely information regarding trades … to an information processor", which includes properly identifying the buyer and seller broker IDs that were part of an execution.

25. In July 2013, OSI introduced a new order type that would allow investors to place mid-point peg orders on Omega ATS and Lynx ATS.

26. From July 2013 to June 2016, OSI's Trading Platform altered the data identifying the actual buyer and seller brokers for over 65,000 mid-point peg transactions on Omega ATS and Lynx ATS publicly disseminated by OSI via the ITCH Feed. In particular, OSI reversed the buyer broker ID and the seller broker ID for mid-point peg transactions when the buyer was "active" (i.e. meaning the buyer's order was matched with a previously entered or "passive" sell order).

27. This incorrect information was disseminated to TMX IP via OSI's ITCH Feed contrary to Part 7 of NI 21-101.

28. On May 26, 2016, a market participant complained to IIROC about a dealer identification error on a mid-point peg trade. IIROC notified OSI and Staff, who contacted OSI.

29. OSI corrected its systems in June 2016, with IIROC certification, and reported to IIROC and Market Regulation while doing so. Since that time, messages regarding mid-point peg transactions disseminated by OSI for Omega ATS and Lynx ATS using the ITCH feed have reflected the accurate and proper buyer and seller brokers IDs.

30. In discussions with Staff, OSI acknowledged that the company was aware of the reversal of broker IDs but believed that doing so was industry standard, to avoid excessive information leakage for large "hidden" orders. OSI admitted they had misinterpreted the way that the industry handled mid-point peg transactions.

E. Time Stamp Deficiencies and Other Discrepancies

31. OSI's Trading Platform resulted in four types of time stamp deficiencies and other discrepancies:

(a) Time stamp deficiencies for unmatched orders;

(b) Time stamp deficiencies for matched orders (i.e. executed trades);

(c) Time stamp discrepancies for identical events on different feeds; and

(d) Content discrepancies across OSI's data feeds.

(a) Time stamp deficiencies for unmatched orders

32. Subsection 7.1(1) of NI 21-101 requires marketplaces to provide "accurate and timely information regarding orders" to the information processor. Subsection 9.1(2) of the Companion Policy to NI 21-101 indicates that the information to be provided to the information processor "should contain all relevant information including details as to … time of the order ...".

33. When a buy or sell order is received by OSI's systems, a "time of order receipt" is assigned to that order. However, prior to June 8, 2018, that "time of order receipt" was not sent through OSI's ITCH Feed to TMX IP but was instead replaced with a time label that reflected the "time of transmission". Consequently, messages disseminated by OSI on the ITCH Feed included the "time of transmission" and not the "time of order receipt". Prior to December 11, 2017, this was also the case with respect to the MRF Process.

34. In compliance with the terms of the Temporary Order, on December 11, 2017, OSI implemented an MRF Feed patch, such that the "time of order receipt" is currently being disseminated accurately on the MRF Feed. The process was certified by IIROC.

35. Also in compliance with the terms of the Temporary Order, on June 8, 2018, OSI upgraded the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, such that the "time of the order receipt" is currently being disseminated accurately on the ITCH Feed.

(b) Time stamp deficiencies for executed trades

36. Subsection 7.2(1) of NI 21-101 requires marketplaces to provide "accurate and timely information regarding trades" to the information processor. Subsection 9.1(2) of the Companion Policy to NI 21-101 indicates that the information to be provided to the information processor "should contain all relevant information including details as to … time of the … trade ...".

37. When a buy order is matched with a sell order on OSI's marketplaces, the resulting "trade execution message" is time-stamped by OSI's Matching Engine with the "time of the trade" as recorded in the Matching Engine. However, prior to June 8, 2018, that "time of the trade" was not sent through OSI's ITCH Feed to TMX IP but was instead replaced with a time label that reflected the "time of transmission". Consequently, messages disseminated by OSI on the ITCH Feed included the "time of transmission" and not the "time of the trade." Prior to December 11, 2017, this was also the case with respect to the MRF Process.

38. In compliance with the terms of the Temporary Order, on December 11, 2017, OSI implemented an MRF Feed patch, such that the "time of the trade" is currently being disseminated accurately on the MRF Feed. The process was certified by IIROC.

39. Also in compliance with the terms of the Temporary Order, on June 8, 2018, OSI upgraded the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, such that the "time of the trade" is currently being disseminated accurately on the ITCH Feed.

(c) Time stamp discrepancies for identical events on different feeds.

40. The internal clocks for OSI's ITCH Feed and the MRF Feed were, at times, desynchronized, such that the "time of transmission" was not always the same for the two feeds. As a result, the "time labels" assigned to orders and trades not only did not accurately reflect the "time of order receipt" or "time of the trade," but were not the same across multiple feeds.

41. Staff's investigation found that in almost all cases, the time stamp discrepancies were within one to two milliseconds. In a number of instances, during periods of exceptional market conditions or when Omega was experiencing technical difficulties, the variance between the time stamps across the feeds exceeded 50 milliseconds.

42. As a result of the MRF Patch, which was implemented on December 11, 2017, and OSI's upgrade of the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, which was completed on June 8, 2018, any variance between time stamps on the ITCH and MRF Feeds is expected to have been eliminated.

(d) Content discrepancies across OSI's data feeds

43. OSI disseminates the ITCH Feed of Omega ATS from two different computer ports: "Port 4005" and "Port 4006".

44. From June 2013 through to June 2016, on certain trading days, the number of messages (i.e. orders and transactions) disseminated via Port 4005 differed from the number of messages disseminated via Port 4006. As a result, market participants accessing the ITCH Feed from the port that did not include certain messages did not receive full information about trading activity on Omega ATS.

45. Also on certain trading days the number of transactions disseminated on the MRF Feed was either higher or lower than the number of transactions disseminated on either Port 4005 or 4006. As a result, on some of those trading days, IIROC was not provided with copies of all messages transmitted to market participants.

46. The highest content discrepancies appear to have occurred on dates on which Omega experienced known market data or internal connectivity issues.

PART IV – NON-COMPLIANCE WITH ONTARIO SECURITIES LAW

47. By engaging in the conduct described above, OSI admits and acknowledges that it has breached Ontario securities law. In particular:

(i) OSI disseminated inaccurate post-trade information relating to mid-point peg transactions executed on Omega ATS and Lynx ATS, in breach of subsection 7.2(1) of NI 21-101;

(ii) OSI disseminated inaccurate pre-trade information relating to orders for exchange-traded securities displayed by Omega ATS and Lynx ATS to the information processor, in breach of subsection 7.1(1) of NI 21-101; and

(iii) OSI disseminated inaccurate post-trade information relating to trades for exchange-traded securities executed on Omega ATS and Lynx ATS to the information processor, in breach of subsection 7.2(1) of NI 21-101.

48. OSI agrees that it is in the public interest for the Commission to make an order on the terms set out in Part VI below, to ensure the resolution of the identified deficiencies in the OSI Trading Platform in a manner that instills greater confidence in the accuracy of information recorded and disseminated by OSI and to reinforce the importance of transparency and accuracy of market data.

PART V – OSI'S POSITION

49. OSI requests that the Panel at the Settlement Hearing consider the following mitigating circumstances:

(i) OSI immediately took steps to begin to address the technical issues identified in Staff's application for a temporary order, and proposed fixes to each of them at the temporary order hearing, which formed the basis for the terms imposed in the Temporary Order.

(ii) Since Staff made OSI aware of potential content discrepancies in November 2017, OSI has been conducting daily comparisons of the content disseminated on the different market data ports, and has observed no discrepancies between the feeds on any trading day.

(iii) OSI has complied with all terms of the Temporary Order, and in particular:

a. On November 24, 2017, OSI provided notice on its website and to its subscribers in writing that the time of trades disseminated on its ITCH Feed could on occasion differ, at the millisecond level, from the time internally recorded by OSI in its Matching Engine for execution of these trades;

b. On November 27, 2017, OSI notified all of its subscribers that after seven days, all order acknowledgment messages sent by its gateways would be sent at the millisecond level. Since December 1, 2017, OSI's Trading Platform has recorded the time that all incoming messages are first received by OSI to the millisecond level. OSI provided a written report of this change to OSC Staff and to IIROC;

c. On December 11, 2017, OSI implemented an MRF Feed patch such that the correct matching engine time stamp is being disseminated on the MRF Feed;

d. On June 8, 2018, OSI upgraded the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, such that the correct "time of the order" and "time of the trade" are being disseminated on the ITCH Feed; and

e. OSI has engaged E&Y to provide a quarterly review of all data feeds, and determined the scope and format of this testing, in cooperation with IIROC and OSC's Market Regulation branch.

(iv) OSI did not profit from or avoid any losses as a result of the impugned conduct;

(v) With regard to paragraph 33, in almost all cases, except when there was heavy message traffic in OSI's environment, the "time of transmission" was the same as or within one to two milliseconds of the "time of order receipt";

(vi) With regard to paragraph 37, in almost all cases, except when there was heavy message traffic in OSI's environment, the "time of transmission" was the same as or within one to two milliseconds of the "time of the trade"; and

(vii) The Temporary Order proceedings and the issuance of the Self-Help Notice have already had a detrimental impact on OSI. In particular:

a. During the 10 day period from Staff's issuance of the Self-Help Notice to the Commission's issuance of the Temporary Order, OSI's trading volumes dropped over 96%, and commission revenues fell accordingly. As of the date of this Settlement Agreement, OSI's market share has just recently returned to its approximate levels prior to the commencement of these enforcement proceedings;

b. OSI has suffered harm to its business and reputation as a result of the Temporary Order proceedings and of the Self-Help Notice;

c. OSI incurred significant legal costs in responding to Staff's application for a temporary order; and

d. OSI has incurred significant costs to comply with the Temporary Order, including the following:

i. OSI has incurred additional costs to complete the migration to the ITCH 5.0 protocol on an accelerated timeline; and

ii. The Temporary Order required OSI to retain an independent systems reviewer to provide written reporting on the effectiveness of the MRF Feed patch and the ITCH 5.0 protocol.

PART VI – TERMS OF SETTLEMENT

50. OSI agrees to the terms of settlement set forth below and agrees that an Order approving the Settlement Agreement and imposing the terms and conditions below on OSI's registration would be in the public interest.

51. OSI consents to the Order, pursuant to which it is ordered that:

(a) The Settlement Agreement is approved;

(b) Pursuant to paragraph 1 of subsection 127(1) of the Act, the following terms and conditions be imposed on OSI's registration:

a. OSI shall continue to ensure that:

i. The broker IDs of counterparties to a trade are recorded accurately;

ii. Timestamps pertaining to the "time of order receipt" and the "time of the trade" are disseminated in accordance with Part 7 of NI 21-101, and if transmission times are disseminated, they are disseminated in addition to the aforementioned timestamps and identified as such;

iii. The MRF Feed is providing IIROC with accurate timestamps of order receipt and execution of trades;

b. OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the MRF Patch, on a quarterly basis for a 12 month period following December 11, 2017, and provide these reports to Staff and IIROC, if IIROC so requests.

c. OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the upgrade to the ITCH 5.0 protocol on a quarterly basis for the four quarters ending after June 8, 2018, and provide these reports to Staff and IIROC, if IIROC so requests.

d. OSI shall maintain policies and procedures designed to ensure, on an ongoing and consistent basis, that mechanisms are in place that are designed to ensure that OSI's systems and their operations are compliant with NI 21-101; and

(c) Pursuant to paragraph 9 of section 127(1) of the Act, OSI shall pay to the Commission an administrative penalty in the amount of $500,000, which shall be designated for allocation or for use by the Commission in accordance with subsections 3.4(2)(b)(i) or (ii) of the Act.

52. OSI will make the payment specified in paragraph 51(c), above, by bank draft prior to the issuance of any Commission order approving this Settlement Agreement.

53. OSI undertakes to consent to a regulatory Order made by any provincial or territorial securities regulatory authority in Canada containing any or all of the terms and conditions set out in subparagraphs 51(b)(a) and 51(b)(d), above. These terms and conditions may be modified to reflect the provisions of the relevant provincial or territorial securities law.

54. OSI acknowledges that this Settlement Agreement and proposed Order may form the basis for parallel orders in other jurisdictions in Canada. The securities laws of some other Canadian jurisdictions may allow orders made in this matter to take effect in those other jurisdictions automatically, without further notice to OSI. OSI should contact the securities regulator of any other jurisdiction in which it may intend to engage in any securities related activities, prior to undertaking such activities.

PART VII – FURTHER PROCEEDINGS

55. If the Commission approves this Settlement Agreement, Staff will not commence or continue any proceeding against OSI under Ontario securities law based on the misconduct described in Part III of this Settlement Agreement, unless OSI fails to comply with any term in this Settlement Agreement, in which case Staff may bring proceedings under Ontario securities law

against OSI that may be based on, among other things, the facts set out in Part III of this Settlement Agreement as well as the breach of this Settlement Agreement.

56. OSI acknowledges that, if the Commission approves this Settlement Agreement and the OSI fails to comply with any term in it, the Commission is entitled to bring any proceedings necessary.

57. OSI waives any defences to a proceeding referenced paragraphs 55 and 56, above, 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 this Settlement Agreement.

PART VIII – PROCEDURE FOR APPROVAL OF SETTLEMENT

58. The parties will seek approval of this Settlement Agreement at a public hearing (the "**Settlement Hearing**") before the Commission, which shall be held on a date determined by the Secretary to the Commission in accordance with this Settlement Agreement and the Commission's *Rules of Procedure* (2017), 40 OSCB 8981.

59. OSI's senior management will attend the Settlement Hearing in person.

60. The parties confirm that this 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.

61. If the Commission approves this Settlement Agreement:

(a) OSI irrevocably waives 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 this Settlement Agreement or with any additional agreed facts submitted at the Settlement Hearing.

62. Whether or not the Commission approves this Settlement Agreement, OSI will not use, in any proceeding, this Settlement Agreement or the negotiation or process of approval of this Settlement Agreement 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 IX – DISCLOSURE OF SETTLEMENT AGREEMENT

63. If the Commission does not approve this Settlement Agreement or does not make the order attached as Schedule "A" to this Settlement Agreement:

(a) This Settlement Agreement and all discussions and negotiations between Staff and OSI before the settlement hearing takes place will be without prejudice to Staff and OSI; and

(b) Staff and OSI will each be entitled to all available proceedings, remedies and challenges, including proceeding to a hearing of the allegations contained in the Statement of Allegations. Any proceedings, remedies and challenges will not be affected by this Settlement Agreement, or by any discussions or negotiations relating to this agreement.

64. All parties will keep the terms of the Settlement Agreement confidential until the Commission approves the Settlement Agreement, subject to the parties' need to make submissions for purposes of the public hearing.

PART X – EXECUTION OF SETTLEMENT AGREEMENT

65. This Settlement Agreement may be signed in one or more counterparts which, together, constitute a binding agreement.

66. A facsimile copy or other electronic copy of any signature will be as effective as an original signature.

Dated at Toronto this 19th day of September, 2018.

"Sean Debotte"
Omega Securities Inc.
Per: Sean Debotte
I am authorized to bind the corporation

"Raymond Tung"
Raymond Tung
Witness

Dated at Toronto this 21st day of September , 2018.

"Jeff Kehoe"
Jeff Kehoe
Director, Enforcement Branch of the Ontario Securities Commission

Schedule "A"

IN THE MATTER OF
OMEGA SECURITIES INC.

[Name(s) of Commissioners comprising the Panel]

Date

ORDER
(Subsections 127(1) and 127.1 of the
Securities Act, RSO 1990, c S.5)

WHEREAS:

1. On [date], the Ontario Securities Commission (the "**Commission**") issued a Notice of Hearing (the "**Notice of Hearing**") in relation to the Statement of Allegations filed by Staff of the Commission ("**Staff**") on November 16, 2017, with respect to Omega Securities Inc. ("**OSI**");

2. The Notice of Hearing gave notice that on October 4, 2018, the Commission would hold a hearing to consider whether it is in the public interest to approve a settlement agreement between the Respondent and Staff dated [date] (the "**Settlement Agreement**");

3. OSI acknowledges that the Settlement Agreement and this Order may form the basis for orders of parallel effect in other jurisdictions in Canada;

4. The Commission has reviewed the Settlement Agreement, the Notice of Hearing, and the Statement of Allegations and heard submissions from counsel for the OSI and Staff; and

6. The Commission is of the opinion that it is in the public interest to make this Order.

ON READING the Settlement Agreement, the Notice of Hearing, the Statement of Allegations of Staff dated November 16, 2017, and hearing submissions from Staff and from counsel for OSI;

IT IS ORDERED THAT:

1. The Settlement Agreement is approved, pursuant to subsection 127(1) of the *Securities Act*, RSO 1990, c S.5 (the "**Act**");

2. Pursuant to paragraph 1 of subsection 127(1) of the Act, the following terms and conditions are imposed on OSI's registration:

   (a) OSI shall continue to ensure that:

      (i) The broker IDs of counterparties to a trade are recorded accurately;

      (ii) Timestamps pertaining to the "time of order receipt" and the "time of the trade" are disseminated in accordance with Part 7 of NI 21-101, and if transmission times are disseminated, they are disseminated in addition to the aforementioned timestamps and identified as such;

      (iii) The MRF Feed is providing IIROC with accurate timestamps of order receipt and execution of trades;

   (b) OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the MRF Patch, on a quarterly basis for a 12 month period following December 11, 2017, and provide these reports to Staff and IIROC, if IIROC so requests.

   (c) OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the upgrade to the ITCH 5.0 protocol on a quarterly basis for the four quarters ending after June 8, 2018, and provide these reports to Staff and IIROC, if IIROC so requests.

   (d) OSI shall maintain policies and procedures designed to ensure, on an ongoing and consistent basis, that mechanisms are in place that are designed to ensure that OSI's systems and their operations are compliant with NI 21-101.

3. Pursuant to paragraph 9 of section 127(1) of the Act, OSI pay to the Commission an administrative penalty in the amount of $500,000, which shall be designated for allocation or for use by the Commission in accordance with subsections 3.4(2)(b)(i) or (ii) of the Act.

DATED at Toronto, this 4th day of October, 2018.

_____

2.4 Rulings

2.4.1 Merrill Lynch Canada Inc. – s. 38(1) of the CFA

Headnote

Application for a ruling pursuant to section 38 of the Commodity Futures Act granting relief from the dealer registration requirement in section 22 of the CFA to allow the Filer, an investment dealer and member of the Investment Industry Regulatory Organization of Canada (IIROC), to use employees of a Designated Foreign Affiliate of the Filer for After-Hours Trading in commodity futures contracts and commodity futures options on the Bourse de Montréal Inc. – Relief granted, subject to terms and conditions.

Statutes Cited

Commodity Futures Act, R.S.O. 1990, c. C.20. as am., ss. 22(1), 38(1).

October 5, 2018

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

AND

IN THE MATTER OF
MERRILL LYNCH CANADA INC.
(the Filer)

RULING
(Subsection 38(1) of the CFA)

UPON the application (the **Application**) of the Filer to the Ontario Securities Commission (the **Commission**) for a ruling of the Commission, pursuant to subsection 38(1) of the CFA, that the Designated Foreign Affiliate Employees (as defined below) of the Filer are not subject to the dealer registration requirement in the CFA when conducting Extended Hours Activities (as defined below) on the Bourse de Montréal Inc. (the **MX**), subject to the terms and conditions set out below (the **Exemption Sought**).

AND WHEREAS for the purposes of this ruling (the **Decision**):

(i) **"dealer registration requirement in the CFA"** means the provisions of section 22 of the CFA that prohibit a person or company from trading in Exchange-Traded Futures unless the person or company satisfies the applicable provisions of section 22(1)(a) of the CFA;

(ii) **"Exchange-Traded Future"** means a commodity futures contract or a commodity futures option as those terms are defined in subsection 1(1) of the CFA; and

(iii) terms used in this Decision that are defined in the OSA, and not otherwise defined in this Decision or in the CFA, shall have the same meaning as in the OSA, unless the context otherwise requires;

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

AND UPON the Filer having represented to the Commission and the Director as follows:

The Filer

1. The Filer is a corporation formed under the laws of Canada. The head office of the Filer is located in Toronto, Ontario.

2. The Filer is registered as an investment dealer under the securities legislation of all the jurisdictions of Canada except Nunavut; is registered as a futures commission merchant under the commodity futures legislation of Ontario and Manitoba; and is registered as a dealer under the derivatives legislation of Québec.

3. The Filer is a member of the Investment Industry Regulatory Organization of Canada (**IIROC**) and the TSX Venture Exchange, an approved participant of the MX and a participating organization of the Toronto Stock Exchange.

4. The Filer is not in default of securities or commodity futures legislation in any jurisdiction of Canada.

5. Merrill Lynch International (**MLI** or the **Designated Foreign Affiliate**) is a private unlimited company incorporated in England and Wales. The head office of MLI is located in London, England.

6. The Filer and MLI are each a wholly-owned indirect subsidiary of Bank of America Corporation.

7. MLI is a United Kingdom-based broker dealer in securities and dealer in equity derivatives. MLI is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and Prudential Regulation Authority.

8. MLI holds memberships and/or has third-party clearing relationships with commodity and financial futures exchanges and clearing associations, including the London Stock Exchange. It also carries positions reflecting trades executed on other exchanges through affiliates and/or third-party clearing brokers.

The MX Extended Trading Hours Amendments

9. The MX, based in Montréal, Québec, operates an exchange for options, commodity futures contracts and commodity futures options, and offers access to trading in those to market participants in Canada.

10. On July 9, 2018, the MX announced that the MX had approved amendments to its rules and procedures in order to accommodate the extension of the MX's trading hours. As a result of these amendments, it is anticipated that, commencing October 9, 2018, trading of certain products on the MX will commence at 2:00 a.m. Eastern Time (**ET**) rather than the current 6:00 a.m. ET.

11. As set out in MX Circular 111-18, in order to accommodate this earlier trading, the MX amended its rules to allow participants on the MX to have employees of affiliated corporations, including foreign affiliates, become an approved person of the MX participant and thus be able to handle trading requests originating from the MX participant's clients or clients of the MX participant's affiliated corporations or subsidiaries.

Application of the dealer registration requirement in the CFA to Designated Foreign Affiliate Employees

12. The Filer is an MX approved participant and MLI is an affiliated corporation. The Filer wishes to make use of certain designated employees of MLI (the **Designated Foreign Affiliate Employees**) to handle trading requests on the MX from the Filer's clients and clients of the Filer's affiliated corporations or subsidiaries during the MX's extended trading hours from 2:00 a.m. ET to 6:00 a.m. ET each day on which the MX is open for trading (the **Extended Hours Activities**).

13. The dealer registration requirement in the CFA requires an individual to be registered to act as a dealing representative on behalf of a registered firm. The Exemption Sought is intended to provide the Filer with an exemption from (i) the requirement that the Filer use only registered dealing representatives to conduct the Extended Hours Activities; and (ii) the requirement that the employees of MLI who will be conducting the Extended Hours Activities be registered as dealing representatives of the Filer.

14. The Filer seeks an exemption from the dealer registration requirement in the CFA because, in the absence of such exemption, each employee of MLI who was to trade on behalf of the Filer would be required to become individually registered and licensed in Canada. The Filer believes this would be duplicative since the Designated Foreign Affiliate Employees are certified under applicable United Kingdom law, would be supervised by the Filer's designated supervisors and would otherwise be subject to the conditions set forth below. The Filer believes this would be unduly onerous in light of the limited trading activities the Designated Foreign Affiliate Employees would be conducting on behalf of the Filer, namely only handling client orders, and only during the period from 2:00 a.m. ET to 6:00 a.m. ET.

15. The Filer has also applied to IIROC for an exemption from the registered representative requirements that are found in IIROC Dealer Member Rules 18.2(a) and 18.2(c) and the requirement to enter into an employee or agent relationship with the person conducting securities related business on its behalf that is found in IIROC Dealer Member Rule 39.3.

16. The Filer anticipates that the IIROC Relief, if granted, will be subject to certain conditions, including:

    (a) The Designated Foreign Affiliate Employees must be certified under the applicable laws of the United Kingdom in a category that permits trading the types of products which they will be trading on the MX.

    (b) The Designated Foreign Affiliate Employees will be permitted to accept and enter orders from clients of the Filer or clients of the Filer's affiliated corporations or subsidiaries during the period from 2:00 a.m. ET to 6:00 a.m. ET.

(c) The Filer retains all responsibilities for its client accounts.

(d) The actions of the Designated Foreign Affiliate Employees will be supervised by specific designated supervisors of the Filer (the **Designated Supervisors**), each of whom is qualified to supervise trading in futures contracts, futures contract options and options.

17. The Exemption Sought would apply to Designated Foreign Affiliate Employees who are designated and recorded on a list maintained by the Designated Supervisors, which list would be subject to review by IIROC upon request.

18. The Filer and MLI will enter into a services agreement pursuant to which

(a) MLI will, among other things, agree to designate members of its staff to serve as Designated Foreign Affiliate Employees who are properly registered, licensed, certified or authorized in their home jurisdiction and sufficiently skilled and familiar to undertake such trading and front office activity, and further agree that the activities of the Designated Foreign Affiliate Employees permitted under this exemptive relief shall be supervised by the Designated Supervisors of the Filer; and

(b) the Filer will assume all responsibility for the actions of the Designated Foreign Affiliate Employees and of MLI that relate to the Filer's clients regarding this trading on MX, and the Filer will acknowledge that it will be liable under IIROC rules for such actions.

20. All MX trading rules will apply to orders entered by the Designated Foreign Affiliate Employees.

21. Other than individual registration, all other existing Canadian regulatory requirements would continue to apply to this arrangement, including without limitation:

(a) the Filer's client accounts would continue to be carried on the books of the Filer;

(b) all communications with the Filer's clients will continue to be in the name of the Filer; and

(c) the Filer's client account monies, security and property will continue to be held by the Filer or its approved custodian.

22. The Filer will establish and maintain written policies and procedures that address the performance and supervision requirements relating to MX extended trading hours.

23. The Filer will disclose this extended trading hours arrangement to clients for its MX trading services.

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

IT IS RULED pursuant to subsection 38(1) of the CFA that the Exemption Sought is granted, so long as:

(a) the Designated Foreign Affiliate and the Designated Foreign Affiliate Employees are registered, licensed, certified or authorized under the applicable laws of the foreign jurisdiction in which the head office or principal place of business of the Designated Foreign Affiliate is located in a category that permits trading the type of products which the Designated Foreign Affiliate Employees will be trading on the MX;

(b) the Designated Foreign Affiliate Employees are permitted to accept and enter orders from clients of the Filer or clients of the Filer's affiliated corporations or subsidiaries on behalf of the Filer during the period from 2:00 a.m. ET to 6:00 a.m. ET;

(c) the Filer retains all responsibilities for its client accounts;

(d) the actions of the Designated Foreign Affiliate Employees will be supervised by the Designated Supervisors, each of whom is qualified to supervise trading in futures contracts, futures contract options and options;

(e) the Filer and the Designated Foreign Affiliate enter into a services agreement substantially as described in paragraph 18, and such agreement remains in effect; and

(f) the Filer has applied for and obtained from IIROC an exemption from the registered representative requirements that are found in the IIROC Dealer Member Rules, and any other requirements of IIROC that IIROC reasonably determines is applicable to the Firm and the Designated Foreign Affiliate Employees in

connection with conducting the Extended Hours Activities (collectively, the **IIROC Relief**) and remains in compliance with the terms and conditions of the IIROC Relief.

"Tim Moseley"
Vice-Chair
Ontario Securities Commission

"Grant Vingoe"
Vice-Chair
Ontario Securities Commission

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Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Jason Michael Currey et al. – ss. 127(1), 127(10)

IN THE MATTER OF
JASON MICHAEL CURREY,
THE HEALTHY RETIREMENT GROUP INC.,
SUNSET CREEK RESOURCES INC. and
1826487 ALBERTA LTD.

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

Citation: Currey (Re), 2018 ONSEC 47
Date: 2018-10-03
File No. 2018-48

Hearing:	In Writing	
Decision:	October 3, 2018	
Panel:	D. Grant Vingoe	Vice-Chair and Chair of the Panel
Submissions:	Christina Galbraith	For Staff of the Commission
	No submissions made by or on behalf of Jason Michael Currey, The Healthy Retirement Group Inc., Sunset Creek Resources Inc. and 1826487 Alberta Ltd.	

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IV. STATUTORY AUTHORITY TO MAKE PUBLIC INTEREST ORDERS

V. ANALYSIS AND DECISION

REASONS AND DECISION

I. INTRODUCTION AND BACKGROUND

[1] On February 27, 2018, a hearing panel of the Alberta Securities Commission (the **ASC**) found that Jason Michael Currey (**Currey**), The Healthy Retirement Group (**HRG**), Sunset Creek Resources Inc. (**Sunset**) and 1826487 Alberta Ltd. (**182 Alberta**) (collectively, the **Respondents**) dealt in securities without registration and perpetrated a fraud on investors, contrary to sections 75(1)(a) and 93(b) of the Alberta *Securities Act* (the **Alberta Act**).[1] Two of the Respondents, Currey and HRG, were also found to have acted as an adviser without being registered, contrary to section 75(1)(b) of the Alberta Act.

[1] RSA 2000, c S-4.

[2] The ASC Order (the **ASC Order**)[2] imposed sanctions, conditions, restrictions and requirements on the Respondents, which are set out in Part II of these Reasons.

[3] Staff of the Ontario Securities Commission (**Staff** or the **Commission**) rely on the inter-jurisdictional enforcement provisions found in subsection 127(10) of the Ontario *Securities Act* (the **Act**)[3] to request that a protective order be issued in the public interest under subsection 127(1) of the Act.

[4] The issues for me to consider are:

a. whether one of the circumstances under subsection 127(10) of the Act applies to the Respondents, namely, are the Respondents subject to an order made by a securities regulatory authority imposing sanctions, conditions, restrictions or requirements (s. 127(10)(4)); and if so

b. whether the Commission should exercise its jurisdiction to make a protective order in the public interest in respect of the Respondents pursuant to subsection 127(1) of the Act.

II. ASC PROCEEDING AND FINDINGS

A. Findings – Breach of sections 75(1)(a), 75(1)(b) and section 93(b) of the Alberta Act

[5] On October 6, 2017, the Respondents entered into a Statement of Admissions and Joint Submission on Sanction (**Statement of Admissions**), in which they admitted to breaches of the Alberta Act.[4]

[6] Currey, a resident of Calgary, Alberta, admitted that he held himself out as an investment dealer and adviser, while not registered under the Alberta Act. He also admitted that he committed fraud by directing investor funds to purposes other than those disclosed to investors, by using investor funds to repay principal amounts owing to prior investors and by misappropriating funds from investors for his personal use. Currey was the founder, guiding mind, and sole director, shareholder and employee of each of the three corporate Respondents.[5]

[7] HRG, an Alberta Corporation, purported to be a vehicle for insurance sales and was also Currey's primary marketing vehicle. HRG admitted to engaging in trading and advising in securities while not registered under the Alberta Act and to committing fraud.[6]

[8] Sunset, an Alberta Corporation, was Currey's investment vehicle. Debentures and other securities in Sunset were sold to investors and the proceeds were then purportedly used to fund investments in resource development companies.[7]

[9] Like Sunset, 182 Alberta was an Alberta Corporation that was used by Currey as an investment vehicle. The proceeds from the sale of 182 Alberta securities was purportedly used to fund investments in real estate and other securities.[8]

[10] Each of the Respondents admitted to dealing in securities without registration, contrary to section 75(1)a of the Alberta Act. Between November 2013 and October 2014 (the **Material Time**) Currey and HRG used Sunset and 182 Alberta to raise approximately $3.2 million from nine investors through the sale of promissory notes and debentures.[9]

[11] Each Respondent also admitted to perpetrating a fraud on investors, contrary to section 93(b) of the Alberta Act. Investors were told that funds invested in Sunset and 182 Alberta would be directed to certain non-high risk investments.[10] However, beginning in June 2014 funds began to be directed to other purposes, including repaying principal to prior investors and misappropriation by Currey for his personal use.[11] In total, approximately $290,000 was used to repay principal to earlier investors and $695,000 was misappropriated by Currey.[12]

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2 Exhibit 1, Tab 2, ASC Order dated February 27, 2018 (**ASC Order**).

3 RSO 1990 c S.5.

4 Exhibit 1, Tab 1, Statement of Admissions and Joint Submissions on Sanction dated October 6, 2017 (**Statement of Admissions**).

5 Statement of Admissions at paras 3-6 and 16.

6 Statement of Admissions at para 4.

7 Statement of Admissions at para 5.

8 Statement of Admissions at para 6.

9 Statement of Admissions at paras 7-8.

10 Statement of Admissions at paras 15-16.

11 Statement of Admissions at para 17.

12 Statement of Admissions at paras 16 and 18.

[12] Additionally, Currey and HRG admitted to advising without registration, contrary to section 75(1)(b) of the Alberta Act. Currey and HRG acted in an advisory capacity to the investors from whom they raised capital.[13]

B. The ASC Order

[13] The ASC ordered:[14]

a. Market-Access Bans

i. under s. 198(1)(d) of the Alberta Act, Currey must immediately resign all positions he holds as a director or officer of any issuer, registrant, investment fund manager, recognized exchange, recognized self-regulatory organization, recognized clearing agency, recognized trade repository or recognized quotation and trade reporting system;

ii. for a period of 20 years from the date of the ASC Order or until the administrative penalty set out below is paid in full, whichever is the later:

(a) under s. 198(1)(b) of the Alberta Act, the Respondents must cease trading in or purchasing any securities or derivatives, except that the ASC Order does not preclude Currey from trading in or purchasing securities through a registrant (who has first been given a copy of the ASC Order) in registered accounts or tax-free savings accounts maintained with that registrant for the benefit of one or more of himself, his spouse or his dependent children;

(b) under s. 198(1)(c) of the Alberta Act, all of the exemptions contained in Alberta securities laws do not apply to the Respondents;

(c) under s. 198(1)(e) of the Alberta Act, Currey is prohibited from becoming or acting as a director or officer (or both) of any issuer (or other person or company that is authorized to issue securities), registrant, investment fund manager, recognized exchange, recognized self-regulatory organization, recognized clearing agency, recognized trade repository or recognized quotation and trade reporting system, except that the ASC Order does not preclude Currey from becoming or acting as a director or officer (or both) of an issuer that is wholly owned by himself, his spouse, his parents, his siblings or his children, and which does not issue or propose to issue securities to the public;

(d) under s. 198(1)(e.1) of the Alberta Act, Currey and HRG are prohibited from advising in securities or derivatives;

(e) under s. 198(1)(e.2) of the Alberta Act, Currey is prohibited from becoming or acting as a registrant, investment fund manager or promoter; and

(f) under s. 198(1)(e.3) of the Alberta Act, Currey is prohibited from acting in a management or consultative capacity in connection with activities in the securities market;

b. Disgorgement

i. under s. 198(1)(i) of the Alberta Act, Currey must pay to the ASC $120,200 obtained as a result of his non-compliance with Alberta securities laws;

c. Administrative Penalty

i. under s. 199 of the Alberta Act, Currey must pay to the ASC an administrative penalty of $200,000; and

d. Cost Recovery

i. under s. 202 of the Alberta Act, Currey must pay to the ASC $25,000 of the costs of the ASC's investigation and hearing.

[13] Statement of Admissions at para 12.

[14] ASC Order at para 94.

III. SERVICE AND PARTICIPATION

[14] Currey was served personally and on behalf of HRG, Sunset, and 182 Alberta with the Notice of Hearing, Statement of Allegations and Staff's Written Hearing Materials via email on August 15, 2018. The Respondents were also served with the same documents by courier on August 16, 2018.[15]

[15] Pursuant to Rule 11(3) of the Ontario Securities Commission *Rules of Procedure and Forms* (**OSC Rules of Procedure**)[16] the deadline for Currey and the corporate respondents to serve and file written submissions was Wednesday, September 12, 2018. No materials were filed on behalf of the Respondents.

[16] I am satisfied that the Respondents were provided with adequate notice of this proceeding. Pursuant to the *Statutory Powers and Procedures Act* and the OSC Rules of Procedure the Commission may proceed in the absence of a party where that party has been given notice of the hearing.[17]

IV. STATUTORY AUTHORITY TO MAKE PUBLIC INTEREST ORDERS

[17] Subsection 127(10) of the Act facilitates the inter-jurisdictional enforcement of judgements for breaches of securities law by providing the Commission with a mechanism to issue protective and preventative orders to ensure that conduct which took place in other jurisdictions will not be repeated in Ontario's capital markets.[18]

[18] Subsection 127(10) of the Act does not itself empower the Commission to make an order, rather it provides a basis for an order under subsection 127(1). On receiving evidence that a respondent is subject to an order made by a securities regulatory authority, in any jurisdiction, that imposes sanctions, conditions, restrictions or requirements on the person or company,[19] the Commission must determine whether an order under subsection 127(1) of the Act should be made.

[19] Orders made under subsection 127(1) of the Act are "protective and preventative" and are made to restrain potential conduct which could be detrimental to the integrity of the capital markets and therefore prejudicial to the public interest.[20]

[20] In exercising its jurisdiction to make an order under subsection 127(10) of the Act, the Commission does not require a pre-existing connection to Ontario. However, it is a factor that can be considered by the Commission in exercising its discretion.[21]

V. ANALYSIS AND DECISION

[21] The threshold has been met under paragraph 4 of subsection 127(10) of the Act, as the Respondents are subject to the ASC Order, which imposes sanctions, conditions, restrictions or requirements upon them. Since the threshold in subsection 127(10) has been met, it is now open to me to make one or more orders under subsection 127(1) if it is my opinion that it is in the public interest to do so.

[22] The Commission may consider a number of factors in determining the nature and scope of sanctions, including the seriousness of the misconduct, the harm suffered by investors, specific and general deterrence and any mitigating factors.[22]

[23] The unregistered dealing, advising and fraud admitted to by Currey and the corporate Respondents would have been serious breaches of the Act in Ontario. The ASC Panel stated:

> We have no hesitation concluding that the Respondents' misconduct was very serious. We agree with Staff's submission that it "falls at the most serious end of the spectrum", as it involved fraud and "a substantial degree of deceit and dishonesty" – deliberate misconduct – over a sustained period with respect to a "significant amount of money".[23]

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15 Affidavit of Service of Lee Crann, sworn August 20, 2018 at paras 2 and 5.

16 Ontario Securities Commission *Rules of Procedure and Forms* (2017), 40 OSCB 8988, r 11(3)(g) (**OSC Rules of Procedure**).

17 *Statutory Powers and Procedures Act*, RSO 1990 c S.22, s 7(2); *OSC Rules of Procedure*, r 21(3).

18 *Black (Re)*, 2014 ONSEC 16, (2014), 37 OSCB 5847 at para 7 (***Black***).

19 *Securities Act*, s. 127(1)4.

20 *Committee for Equal Treatment of Asbestos Minority Shareholders v. Ontario (Securities Commission)*, 2001 SCC 26, [2001] 2 SCR 132 (SCC) at paras 42-43.

21 *Biller (Re)* (2005), 28 OSCB 10131 at paras 32-35.

22 *Beltco Holdings Inc. (Re)* (1998), 21 OSCB 7743 at 7746-7747; *MCJC Holdings* (2002), 25 OSCB 1133 at 1136.

23 ASC Order at para 56.

[24] The harm suffered by investors was also significant. Not only did investors suffer significant financial harm, the Respondents also deprived investors of their legal entitlement under the Alberta Act to have a qualified dealer and adviser who was registered with the ASC.[24]

[25] Staff of the ASC calculated that Currey was personally enriched from the personal use of approximately $400,000 of investor funds.[25]

[26] The misconduct continued throughout the Material Time, a period of almost two years. Therefore, it involved persistent wrongdoing.

[27] Several mitigating factors were cited by the ASC in their decision and the Panel found that Currey was "genuinely remorseful … and recognizes the seriousness of his misconduct and the impact it has had on the investors."[26]

[28] In the Statement of Admissions relied upon in the original proceeding, the Respondents acknowledged that the Statement of Admissions could be used for securities regulatory proceedings in other jurisdictions.[27]

[29] The sanctions imposed by the Commission in this case must deter Currey and other like-minded individuals from engaging in similar misconduct in Ontario.

[30] Therefore, in considering the factors set out above, I find it appropriate to grant an order in the public interest pursuant to the authority provided in subsection 127(1) of the Act, and as requested by Staff. This order will protect the Ontario capital markets from the Respondents, as well as deter other persons who may wish to conduct similar misconduct in Ontario.

[31] For the reasons provided above, I make the following order:

a. Against Currey that:

Until the until the later of February 27, 2038 or the date on which the administrative penalty ordered against Currey in paragraph 94 of the Alberta Securities Commission's Order dated February 27, 2018 (the ASC Order) has been paid in full:

i. pursuant to paragraph 2 of subsection 127(1) of the Act, trading in securities or derivatives by Currey shall cease, except that this order does not preclude Currey from trading in securities through a registrant in Ontario (who has first been given a copy of the ASC Order, and a copy of this Order) in registered accounts or tax-free savings accounts maintained with that registrant for the benefit of one or more of Currey, his spouse or his dependent children;

ii. pursuant to paragraph 2.1 of subsection 127(1) of the Act, the acquisition of any securities by Currey shall cease, except that this order does not preclude Currey from purchasing securities through a registrant in Ontario (who has first been given a copy of the ASC Order, and a copy of this Order) in registered accounts or tax-free savings accounts maintained with that registrant for the benefit of one or more of Currey, his spouse or his dependent children;

iii. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law shall not apply to Currey;

iv. pursuant to paragraphs 7, 8.1 and 8.3 of subsection 127(1) of the Act, Currey shall resign any positions that he holds as a director or officer of any issuer, registrant, or investment fund manager;

v. pursuant to paragraphs 8, 8.2 and 8.4 of subsection 127(1) of the Act, Currey is prohibited from becoming or acting as a director or officer of any issuer, registrant, or investment fund manager, except that this order does not preclude Currey from becoming or acting as a director or officer of an issuer that is wholly owned by Currey, his spouse, his parents, his siblings or his children, and which does not issue or propose to issue securities to the public; and

[24] ASC Order at para 57.

[25] ASC Order at para 56.

[26] ASC Order at para 75.

[27] Statement of Admissions at para 31.

vi. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Currey is prohibited from becoming or acting as a registrant, investment fund manager, or promoter.

b. against HRG, Sunset and 182 Alberta that:

until the later of February 27, 2038 or the date on which the administrative penalty ordered against Currey in paragraph 94 of the ASC Order has been paid in full:

i. pursuant to paragraph 2 of subsection 127(1) of the Act, trading in securities or derivatives by HRG, Sunset and 182 Alberta shall cease;

ii. pursuant to paragraph 2.1 of subsection 127(1) of the Act, the acquisition of any securities by HRG, Sunset and 182 Alberta shall cease;

iii. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law shall not apply to HRG, Sunset or 182 Alberta; and

iv. pursuant to paragraph 8.5 of subsection 127(1) of the Act, HRG is prohibited from becoming or acting as a registrant or investment fund manager.

Dated at Toronto this 3rd day of October, 2018.

“D. Grant Vingoe”

3.1.2 Omega Securities Inc. – ss. 127, 127.1

IN THE MATTER OF
OMEGA SECURITIES INC.

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

Citation: *Omega Securities Inc. (Re)*, 2018 ONSEC 48
Date: 2018-10-04
File No.: 2017-66

Hearing:	October 4, 2018	
Decision:	October 4, 2018	
Panel:	Mark Sandler	Commissioner and Chair of the Panel
	AnneMarie Ryan	Commissioner
Appearances:	Keir Wilmut	For Staff of the Commission
	Gregory Ljubic	
	Eliot Kolers	For Omega Securities Inc.
	Sinziana Hennig	

REASONS FOR APPROVAL OF SETTLEMENT

I. BACKGROUND

[1] Omega Securities Inc. (**OSI**) is a registrant operating two Alternative Trading Systems (**ATSs**) in Ontario: **Omega ATS** and **Lynx ATS**. Omega ATS commenced operations in December 2007. Lynx ATS commenced operations in February 2014.

[2] OSI is regulated by the Ontario Securities Commission (the Commission) and the Investment Industry Regulatory Organization of Canada (**IIROC**). The establishment and operations of ATSs are governed by the regulatory framework set out in the *Securities Act*[1] (the **Act**), as well as National Instrument 21-101 *Marketplace Operation* (**NI 21-101**) and its related Companion Policy (collectively, the **Marketplace Rules**).

[3] Part 7 of NI 21-101 sets out transparency provisions for certain marketplaces, including those operated by OSI. These transparency provisions require such marketplaces to disseminate accurate and timely information relating to orders and trades to an information processor. Information processors consolidate order and trade information and disseminate that information to market participants and data vendors. These transparency requirements are of critical importance to the regulatory framework. They support fair and efficient markets, confidence in those markets and the regulator's ability to monitor marketplaces and their regulatory compliance.

[4] Staff of the Commission (**Staff**) identified deficiencies with OSI's systems. In particular, OSI was disseminating inaccurate information respecting the identity of buy and sell brokers for certain transactions, the time of receipt of certain orders, and the time that certain trades were executed. As well, there were some discrepancies between the number of messages disseminated across OSI's data feeds.

[5] Staff was of the view that it could not allow these serious deficiencies to continue without timely regulatory action. Accordingly, on November 13, 2017, Staff commenced an application before the Commission seeking a temporary order suspending OSI's registration and ceasing the trading in any securities by OSI pending completion of a hearing on the merits. Staff alleged four areas of non-compliance with NI 21-101:

a. Inaccurate identification of brokers participating in mid-point peg transactions;

b. Time stamp deficiencies;

c. Content discrepancies across OSI's data feeds; and

[1] *Securities Act*, RSO 1990, c S.5.

d. Dissemination of data to certain subscribers before making it available to OSI's information processor (the **TMX IP**).

[6] The following day, on November 14, 2017, Staff published OSC Staff Notice 23-706 *Omega Securities Inc.* (the **Self-Help Notice**), advising marketplaces and marketplace participants that they might consider declaring self-help pursuant to Part 6 of National Instrument 23-101 *Trading Rules*, thereby exempting them from the Order Protection Rule set out in that Part.[2]

[7] On November 17, 2017, the Commission began hearing Staff's application for a temporary order. On November 23, 2017, the Commission declined to suspend OSI's registration, but issued a temporary order (the **Temporary Order**) imposing certain terms and conditions on OSI's registration, pursuant to s. 127(5) and paragraph 1 of s. 127(1) of the Act.[3] The terms and conditions included the following:

a. OSI shall forthwith provide notice on its website and to its subscribers in writing that the time of execution of trades disseminated pursuant to its ITCH protocol may differ, at the millisecond level, from the time internally recorded by OSI in its matching engine for the execution of these trades;

b. OSI shall upgrade from the ITCH 3.0 protocol to the ITCH 5.0 protocol as expeditiously as possible, in compliance with existing regulatory requirements;

c. OSI shall report, on a monthly basis, in writing, to Staff of the Commission and to IIROC, if IIROC so requests, on the ongoing steps taken by OSI to upgrade to the ITCH 5.0 protocol;

d. OSI shall implement a MRF Feed patch as expeditiously as possible, in compliance with existing regulatory requirements, including IIROC approvals or certification;

e. OSI shall forthwith notify its subscribers that after seven days, all order acknowledgement messages sent pursuant to its FIX Feed will be sent at the millisecond level, except to such subscribers which notify OSI in writing within seven days that they choose not to receive such acknowledgements to the millisecond level;

f. OSI shall comply with the terms of the notification referred to in paragraph (e), above, and provide a written report to Staff of the Commission within 14 days and to IIROC, if requested by IIROC, outlining steps taken to so comply; and

g. OSI shall retain, within 14 days or such later time period as approved by Staff of the Commission, at its own expense, the services of an independent systems reviewer or reviewers that are approved by Staff of the Commission to provide reporting to OSI and Staff of the Commission and to IIROC, if IIROC so requests, regarding the effectiveness of the MRF Feed patch and the ITCH 5.0 protocol, on a quarterly basis for a 12 month period, after each respectively, is implemented.

[8] The Commission extended the Temporary Order, on consent, on multiple occasions to facilitate ongoing efforts by the parties to settle this matter. Those efforts led to a settlement agreement, the terms of which are set out below. The terms include payment of an administrative penalty of $500,000, together with terms and conditions imposed on OSI's registration, and designed to ensure compliance with the Marketplace Rules. These terms and conditions largely track, with appropriate modifications, the terms and conditions contained in the Temporary Order. The Temporary Order expired on October 4, 2018.

[9] On that same day, October 4, 2018, the Commission approved the settlement on the terms proposed by the parties. An Order was issued in substantially the form appended to the settlement agreement. Written reasons were to follow. These are our written reasons.

II. THE CONDUCT

[10] The Marketplace Rules set out requirements for ATSs. Subsection 7.1(1) of NI 21-101 requires marketplaces to provide "accurate and timely information regarding orders" to the information processor. Subsection 9.1(2) of the Companion Policy to NI 21-101 states that the information provided "should contain all relevant information, including details as to ... [the] time of the order or trade."

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[2] The Order Protection Rule requires marketplaces to establish, maintain and ensure compliance with written policies and procedures reasonably designed to prevent inferior-priced orders from "trading through," or being executed before immediately accessible, visible, better-priced limit orders.

[3] The hearing panel's Reasons on Application for a Temporary Order were published on December 14, 2017; see *Omega Securities Inc. (Re)*, 2017 ONSEC 42.

[11] Subsection 7.2(1) of NI 21-101 requires a marketplace to provide "accurate and timely information regarding trades" to the information processor, which includes properly specifying the IDs of the buyer and seller broker involved in an execution.

[12] The Marketplace Rules do not dictate how to implement these requirements. ATSs determine the appropriate measures to meet regulatory requirements, which include selecting the appropriate computer software and hardware (commonly referred to as the **Trading Platform**).

[13] The OSI Trading Platform disseminates information regarding trading activity on Omega ATS and Lynx ATS using three data feeds:

a. The **ITCH Feed**, which disseminates information to the TMX IP;

b. The **MRF Feed**, which disseminates information to IIROC; and

c. The **FIX Feed**, which disseminates information to other destinations.

[14] OSI failed to comply with the Marketplace Rules due to the following:

a. Inaccurate identification of brokers participating in mid-point peg transactions;

b. Time stamp deficiencies for unmatched orders;

c. Time stamp deficiencies for matched orders (i.e. executed trades);

d. Time stamp discrepancies for identical events on different feeds; and

e. Content discrepancies across OSI's data feeds.

A. Inaccurate Identification of Brokers Participating in Mid-Point Peg Transactions

[15] In July 2013, OSI introduced a new order type that would allow investors to place mid-point peg orders on Omega ATS and Lynx ATS.

[16] From July 2013 to June 2016, OSI's Trading Platform reversed the buyer broker ID and the seller broker ID for over 65,000 mid-point peg transactions on Omega ATS and Lynx ATS. The incorrect data was publicly disseminated on the ITCH Feed.

[17] OSI corrected its systems in June 2016 and reported to IIROC and the Commission's Market Regulation Branch while doing so. The corrected process was certified by IIROC. Since that time, messages regarding mid-point peg transactions disseminated by OSI for Omega ATS and Lynx ATS using the ITCH Feed have reflected the proper buyer and seller broker IDs.

B. Time Stamp Deficiencies for Unmatched Orders

[18] When a buy or sell order is received by OSI's systems, a "time of order receipt" is assigned to that order.

[19] Prior to June 8, 2018, the "time of order receipt" information sent by the ITCH Feed to the TMX IP was replaced with a time label that instead reflected the "time of transmission." Prior to December 11, 2017, this was also the case with respect to the MRF Feed.

[20] In compliance with the terms of the Temporary Order, on December 11, 2017, OSI implemented an MRF Feed patch, such that "time of order receipt" information is currently being disseminated accurately on the MRF Feed. The process was certified by IIROC.

[21] Also in compliance with the terms of the Temporary Order, on June 8, 2018, OSI upgraded the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, such that "time of order receipt" information is currently being disseminated accurately on the ITCH Feed.

C. Time Stamp Deficiencies for Matched Orders (i.e. Executed Trades)

[22] When a buy order is matched with a sell order on OSI's marketplaces, the resulting trade execution message is time-stamped with the "time of the trade."

[23] Prior to June 8, 2018, the "time of the trade" information sent by the ITCH Feed to the TMX IP was replaced with a time label that instead reflected the "time of transmission." Prior to December 11, 2017, this was also the case with respect to the MRF Feed.

[24] As a result of the December 11, 2017 patch and June 8, 2018 upgrade, "time of the trade" information is currently being disseminated accurately on the MRF and ITCH Feeds.

D. Time Stamp Discrepancies for Identical Events on Different Feeds

[25] The internal clocks for OSI's ITCH Feed and the MRF Feed were, at times, desynchronized, such that the "time of transmission" was not always the same for the two feeds. As a result, the time labels assigned to orders and trades not only failed to accurately reflect the "time of order receipt" or "time of the trade," but were not the same across all feeds.

[26] Staff's investigation found that in almost all cases, the time stamp discrepancies were within one to two milliseconds, although in a number of instances, during periods of exceptional market conditions or when OSI was experiencing technical difficulties, the discrepancies exceeded 50 milliseconds.

[27] As a result of the December 11, 2017 patch and June 8, 2018 upgrade, any variance between time stamps on the ITCH and MRF Feeds appears to have been eliminated.

E. Content Discrepancies Across OSI's Data Feeds

[28] OSI disseminates the ITCH Feed of Omega ATS from two different computer ports: **Port 4005** and **Port 4006**.

[29] On some trading days between June 2013 and June 2016, the number of messages (i.e. orders and transactions) disseminated via Port 4005 differed from the number of messages disseminated via Port 4006. As a result, some market participants accessing the ITCH Feed were deprived of full information about trading activity on Omega ATS.

[30] Also, on certain trading days, the number of transactions disseminated on the MRF Feed (which went to IIROC) did not equal the number of transactions disseminated on either Ports 4005 or 4006 of the ITCH Feed. As a result, on some of those trading days, IIROC was not provided with copies of all messages transmitted to market participants.

III. THE TERMS OF THE SETTLEMENT AGREEMENT

[31] The parties agreed (as do we) that by engaging in the conduct described immediately above, OSI breached Ontario securities law in three ways:

a. OSI disseminated inaccurate post-trade information relating to mid-point peg transactions executed on Omega ATS and Lynx ATS, in breach of subsection 7.2(1) of NI 21-101;

b. OSI disseminated inaccurate pre-trade information relating to orders for exchange-traded securities displayed by Omega ATS and Lynx ATS to the TMX IP, in breach of subsection 7.1(1) of NI 21-101; and

c. OSI disseminated inaccurate post-trade information relating to trades for exchange-traded securities executed on Omega ATS and Lynx ATS to the TMX IP, in breach of subsection 7.2(1) of NI 21-101.

[32] The settlement agreement proposed that the Commission make the following order:

a. The settlement agreement be approved;

b. Pursuant to paragraph 1 of subsection 127(1) of the Act, the following terms and conditions be imposed on OSI's registration:

i. OSI shall continue to ensure that:

(a) The broker IDs of counterparties to a trade are recorded accurately;

(b) Timestamps pertaining to the "time of order receipt" and the "time of the trade" are disseminated in accordance with Part 7 of NI 21-101, and if transmission times are disseminated, they are disseminated in addition to the aforementioned timestamps and identified as such;

(c) The MRF Feed is providing IIROC with accurate timestamps of order receipt and execution of trades;

ii. OSI shall continue to retain the independent systems reviewer (the **Independent Systems Reviewer**) to perform quarterly reviews and provide written reports regarding the effectiveness of the MRF Patch, on a quarterly basis for a 12-month period following December 11, 2017, and provide these reports to Staff and IIROC, if IIROC so requests.

iii. OSI shall continue to retain the Independent Systems Reviewer to perform quarterly reviews and provide written reports regarding the effectiveness of the upgrade to the ITCH 5.0 protocol on a quarterly basis for the four quarters ending after June 8, 2018, and provide these reports to Staff and IIROC, if IIROC so requests.

iv. OSI shall maintain policies and procedures designed to ensure, on an ongoing and consistent basis, that mechanisms are in place to ensure that OSI's systems and their operations are compliant with NI 21-101; and

c. Pursuant to paragraph 9 of section 127(1) of the Act, OSI shall pay to the Commission an administrative penalty in the amount of $500,000, which shall be designated for allocation or for use by the Commission in accordance with subclauses 3.4(2)(b)(i) or (ii) of the Act.

[33] We have been advised that the $500,000 administrative penalty has been paid.

IV. ANALYSIS

[34] The Commission is to deny approval of a settlement agreement only in exceptional circumstances. As stated in *Cheng (Re)*,

> [t]his deference is explained, in part, by the high desirability of encouraging settlement agreements between Staff and respondents, and promoting certainty in the industry. Of course, the Commission is fully entitled to reject a settlement agreement which falls outside the range of reasonable outcomes available in the circumstances and thus, is contrary to the public interest. The Commission is to consider the terms of the settlement agreement in their totality, rather than considering each term in isolation.[4]

[35] In our view, this settlement agreement falls within the range of reasonable dispositions available in the circumstances and is in the public interest.

[36] Accurate and timely collection and dissemination of information by marketplaces is of critical importance to the integrity of Ontario's capital markets and to the confidence of both participants and investors in those markets. The dissemination of inaccurate market information could result in an unfair advantage to some investors and unfair disadvantage to others. Accurate information also assists regulators in performing their enforcement and regulatory mandates. Inaccurate reporting of data by a marketplace impedes regulators in carrying out effective oversight of public markets. It follows that a marketplace's non-compliance with any regulatory transparency requirements must be treated as a serious matter.

[37] In our view, the $500,000 administrative penalty, viewed together with the other sanctions, sends a strong and appropriate deterrent message. Deterrence, in this context, includes both specific and general deterrence.

[38] The settlement agreement also takes into consideration factors relied upon by OSI to contextualize or mitigate its conduct. These factors include the following:

a. The absence of any prior record of non-compliance with securities law;

b. OSI's acknowledgment of non-compliance, obviating the need for a contested hearing;

c. OSI took steps to begin to address the issues identified in Staff's application for a temporary order before the application was heard. Its proposed "fixes" to each of the deficiencies identified figured prominently in the terms and conditions the Commission imposed at the temporary order hearing;

[4] *Cheng (Re)*, 2018 ONSEC 34 at para 8.

d. Staff and OSI agree that, up to the date of the settlement agreement, OSI fully complied with the terms of the Temporary Order. This involved the following:

   i. On November 24, 2017, OSI provided notice on its website and to its subscribers in writing that the time of trades disseminated on its ITCH Feed could on occasion differ, at the millisecond level, from the time internally recorded by OSI;

   ii. On November 27, 2017, OSI notified all of its subscribers that after seven days, all order acknowledgment messages sent by its gateways would be sent at the millisecond level. Since December 1, 2017, OSI's Trading Platform has recorded the time that all incoming messages are first received by OSI to the millisecond level. OSI provided a written report of this change to Staff and to IIROC;

   iii. On December 11, 2017, OSI implemented an MRF Feed patch such that the correct matching engine time stamp is being disseminated on the MRF Feed;

   iv. On June 8, 2018, OSI upgraded the ITCH Feed from the ITCH 3.0 protocol to the ITCH 5.0 protocol, such that the correct "time of the order" and "time of the trade" are being disseminated on the ITCH Feed; and

   v. OSI has engaged the Independent Systems Reviewer to provide a quarterly review of all data feeds, and determined the scope and format of this testing, in cooperation with IIROC and the Commission's Market Regulation Branch; and

e. During the 10-day period from Staff's issuance of the Self-Help Notice to the Commission's issuance of the Temporary Order, OSI's trading volumes dropped by more than 96%, and commission revenues fell accordingly. As of the date of the settlement agreement, OSI's market share had just recently returned to its approximate level prior to the commencement of this enforcement proceeding.

[39] OSI has already incurred significant costs to comply with the Temporary Order. These financial costs, while necessitated by OSI's conduct, reflect that OSI has paid a financial price substantially larger than that represented by the $500,000 administrative penalty.

V. CONCLUSION

[40] For these reasons, we approved the terms of the settlement agreement set out in paragraph 32 above.

[41] We are grateful to all counsel for their assistance in this matter.

Dated at Toronto on this 4th day of October, 2018.

"Mark J. Sandler"

"AnneMarie Ryan"

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
Sierra Madre Developments Inc.	August 12, 2014	August 25, 2014	August 25, 2014	October 2, 2018

Failure to File Cease Trade Orders

Company Name	Date of Order	Date of Revocation
Callitas Health Inc.	September 5, 2018	October 5, 2018
ZoomMed Inc.	October 5, 2018	
Top Strike Resources Corp.	October 5, 2018	

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
Katanga Mining Limited	15 August 2017	

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Chapter 7

Insider Reporting

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

Guide to Codes

Relationship of Insider to Issuer (Rel=n)

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

Nature of Transaction (T/O)

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

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

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

2 ©CDS INC.

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
01 Communique Laboratory Inc.	Options	Ng, Joanna	4	9/26/2018	00			
01 Communique Laboratory Inc.	Options	Ng, Joanna	4	9/26/2018	50		250,000	250,000
48North Cannabis Corp.	Warrants	Caland, Pierre	3	9/28/2018	55		6,454,545	-1,000,000
A&W Revenue Royalties Income Fund	Trust Units	Mindell, David Allen	4	9/28/2018	10	35.99	40,639	158
ABCOURT MINES INC.	Common Shares catégorie B	DÉCOCHIB	3	10/4/2018	10	0.05	42,250,541	200,000
ABCOURT MINES INC.	Common Shares catégorie B	Hinse, Renaud	3, 4, 5	10/4/2018	10	0.05	42,250,541	200,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/4/2018	38	3.57	7,000	7,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/5/2018	38	3.55	14,000	7,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.3	15,600	1,600
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.34	17,000	1,400
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.36	17,600	600
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.37	22,300	4,700
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.38	23,400	1,100
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.4	25,000	1,600
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/12/2018	38	3.43	28,000	3,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/21/2018	38	3.39	35,000	7,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/24/2018	38		7,000	-28,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/25/2018	38	3.34	14,000	7,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Aberdeen Asia-Pacific Income Investment Company Limited	1	9/28/2018	38		0	-14,000
Aberdeen Asia-Pacific Income Investment Company Limited	Common Shares	Braithwaite, William James	4	10/2/2018	10	3.32	14,000	5,000
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/4/2018	38	9.6	1,100	100
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/10/2018	38	9.65	1,200	100
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/11/2018	38	9.65	1,600	400
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/21/2018	38	9.85	1,800	200
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/24/2018	38	9.85	1,900	100
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/28/2018	38	9.89	2,100	200
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	9/28/2018	38		200	-1,900
Abitibi Royalties Inc.	Common Shares	Ball, Ian	4, 5	10/1/2018	10	9.6	29,150	200
Acasti Pharma Inc.	Common Shares (Actions de catégorie A)	Hamilton, James Stuart	6	10/4/2018	10	1.85	10,000	10,000
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Angevine, Jill Terilee	4	9/30/2018	56		35,202	1,447
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Balog, Stephen	4	9/30/2018	56		44,323	1,447

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Fagerheim, Grant Bradley	4	9/30/2018	56		45,858	1,736
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Haggis, Paul	4	9/30/2018	56		49,592	1,591
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	McIntosh, Ronald A	4	9/30/2018	56		68,112	2,199
Advantex Marketing International Inc.	Debentures	Abramson, Randall	3	10/4/2018	97		$1,989,320	($10,000)
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Franceschini, Anthony P.	4	3/4/2009	00			
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Franceschini, Anthony P.	4	9/26/2018	15	1000	$1,000	$1,000
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Sloan, Monica	4	6/11/2013	00			
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Sloan, Monica	4	9/26/2018	15	1000	$400	$400
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Sloan, Monica	4	6/11/2013	00			
Aecon Group Inc.	Convertible Debentures 5.00% Unsecured Subordinated	Sloan, Monica	4	9/26/2018	15	1000	$200	$200
Affinor Growers Inc.	Options	Minhas, Randip	5	9/28/2018	50		1,000,000	500,000
Affinor Growers Inc.	Options	Whitlock, Brian Kent	4	9/28/2018	50	0.1	2,400,000	500,000
Ag Growth International Inc.	Rights Deferred Compensation Plan	Anderson, Gary Keith	4, 5	10/1/2018	56		178	40
Ag Growth International Inc.	Rights Deferred Compensation Plan	Giesselman, Janet	4	10/1/2018	56		4,931	222
Ag Growth International Inc.	Rights Deferred Compensation Plan	Lambert, William Allen	4	10/1/2018	56		13,093	363
Ag Growth International Inc.	Rights Deferred Compensation Plan	Moore, Malcolm	4	10/1/2018	56		4,258	212
Ag Growth International Inc.	Rights Deferred Compensation Plan	White, David	4	10/1/2018	56		8,812	212
AGF Management Limited	Common Shares ESOP - Cash	BASARABA, Adrian	5	9/30/2018	30	6.43	32,885	2,211
AGF Management Limited	Common Shares ESOP - RRSP	BASARABA, Adrian	5	9/30/2018	30	6.64	4,437	53
AGF Management Limited	Common Shares ESOP - Select Plan	BASARABA, Adrian	5	9/30/2018	30	6.64	1,869	22
AGF Management Limited	Common Shares ESP Vested	BASARABA, Adrian	5	9/30/2018	30	6.65	9,548	112
AGF Management Limited	Common Shares ESOP - Cash	Goldring, Judy	4, 5	9/30/2018	30	6.46	54,555	2,075
AGF Management Limited	Common Shares ESOP - Select Plan	Goldring, Judy	4, 5	9/30/2018	30	6.65	4,754	57
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	9/30/2018	30	6.65	19,914	237
AGF Management Limited	Common Shares ESOP - Cash	MCCREADIE, KEVIN ANDREW	5	9/30/2018	30	6.43	36,068	2,511
AGF Management Limited	Common Shares ESP Vested	MCCREADIE, KEVIN ANDREW	5	9/30/2018	30	6.65	97,995	1,165
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Al-Katib, Murad	3, 4, 5	9/28/2018	10	17.989	582,682	1,181
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Al-Katib, Murad	3, 4, 5	9/28/2018	10	17.989	583,273	591
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Bourassa, Gaetan Michael	5	9/28/2018	10	17.989	54,738	625
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Bourassa, Gaetan Michael	5	9/28/2018	10	17.989	55,051	313

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Ireland, Lori Ann	5	9/28/2018	10	17.989	68,802	233
AGT Food and Ingredients Inc. (formerly, Alliance Grain Traders Inc.)	Common Shares	Ireland, Lori Ann	5	9/28/2018	10	17.989	68,918	116
Aimia Inc.	Deferred Share Units	Brown, Robert Ellis	4	10/1/2018	56	4.46	201,022	9,025
Aimia Inc.	Deferred Share Units	Doroniuk, Roman	4	10/1/2018	56	4.46	74,757	2,803
Aimia Inc.	Deferred Share Units	Edwards, Brian	4	10/1/2018	56	4.46	12,488	2,803
Aimia Inc.	Deferred Share Units	Gardner, Thomas David	4	10/1/2018	56	4.46	51,219	4,204
Aimia Inc.	Deferred Share Units	Griffin, Emma Kate	4	10/1/2018	56	4.46	85,842	8,379
Aimia Inc.	Deferred Share Units	Kreidler, Robert Christopher	4	10/1/2018	56	4.46	34,787	2,803
Aimia Inc.	Deferred Share Units	McEwan, William Gerard	4	10/1/2018	56	4.46	77,250	8,408
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	9/28/2018	97		26,637,047	-5,100
Aimia Inc.	Deferred Share Units	Mittleman, Philip C.	4	10/1/2018	56	4.46	12,488	2,803
Air Canada	Deferred Share Units	Clark, Christie James Beckett	4	10/1/2018	56		17,204	1,097
Air Canada	Deferred Share Units	Doer, Gary Albert	4	10/1/2018	56		3,322	1,154
Air Canada	Deferred Share Units	Fyfe, Robert Ian	4	10/1/2018	56		6,440	1,641
Air Canada	Deferred Share Units	Green, Michael	4	10/1/2018	56		27,834	1,073
Air Canada	Deferred Share Units	Huot, Jean Marc	4	10/1/2018	56		210,912	1,025
Air Canada	Deferred Share Units	PAQUIN, MADELEINE	4	10/1/2018	56		35,680	1,230
Air Canada	Deferred Share Units	Sorensen, Vagn	4	10/1/2018	56		136,143	2,098
Air Canada	Deferred Share Units	Taylor, Kathleen	4	10/1/2018	56		25,233	1,645
Air Canada	Deferred Share Units	Verschuren, Annette Marie	4	10/1/2018	56		45,233	1,097
Air Canada	Deferred Share Units	Wilson, Michael M.	4	10/1/2018	56		61,028	2,289
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/21/2018	38	11.487	1,108	1,108
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/21/2018	38	11.48	1,308	200
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/24/2018	38	11.473	1,608	300
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/24/2018	38	11.47	1,808	200
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/24/2018	38	11.47	1,908	100
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/24/2018	38	11.48	1,916	8
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/27/2018	38	11.413	2,316	400
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/27/2018	38	11.42	2,324	8
AIRBOSS OF AMERICA CORP.	Common Shares	AirBoss of America Corp.	1	9/28/2018	38	11.485	2,732	408
AIRBOSS OF AMERICA CORP.	Rights - Deferred Stock Units	Hagerman, Robert	4	9/30/2018	56	11.549	3,011	541
AIRBOSS OF AMERICA CORP.	Rights - Deferred Stock Units	Matthews, Mary	4	9/30/2018	56	11.549	7,398	779
AIRBOSS OF AMERICA CORP.	Rights - Deferred Stock Units	McLeish, Robert	4	9/30/2018	56	11.549	10,342	1,104
AIRBOSS OF AMERICA CORP.	Rights - Deferred Stock Units	Robbins, Brian Andrew	4	9/30/2018	56		15,643	1,753
AIRBOSS OF AMERICA CORP.	Rights - Deferred Stock Units	Watson, Alan JD	4	9/30/2018	56	11.549	6,694	768
Akita Drilling Ltd.	Non-Voting Shares	Charlton, Loraine	4	9/28/2018	30	5.89	13,964	297
Akita Drilling Ltd.	Non-Voting Shares	Coleman, Raymond	5	9/28/2018	30	5.89	27,874	424
Akita Drilling Ltd.	Non-Voting Shares	Coleman, Raymond	5	10/1/2018	30	5.95	29,685	1,811
Akita Drilling Ltd.	Non-Voting Shares	Dease, Colin	5	9/28/2018	30	5.89	9,540	424
Akita Drilling Ltd.	Non-Voting Shares	Hensel, Fred	5	9/28/2018	30	5.89	37,577	424
Akita Drilling Ltd.	Non-Voting Shares	Hensel, Fred	5	10/1/2018	30	5.95	37,931	354
Akita Drilling Ltd.	Non-Voting Shares	Kushner, Craig	5	9/28/2018	30	5.89	17,705	424
Akita Drilling Ltd.	Non-Voting Shares	Mohan, Harish	4	9/28/2018	30	5.89	6,038	297

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Akita Drilling Ltd.	Non-Voting Shares	Reynolds, Darcy	5	9/28/2018	30	5.89	7,387	424
Akita Drilling Ltd.	Non-Voting Shares	Reynolds, Darcy	5	10/1/2018	30	5.95	7,541	154
Akita Drilling Ltd.	Non-Voting Shares	RICHARDSON, DALE	4	9/28/2018	30	5.89	37,073	297
Akita Drilling Ltd.	Non-Voting Shares	Ruud, Karl	4	9/28/2018	30	5.89	45,957	424
Akita Drilling Ltd.	Non-Voting Shares	Southern-Heathcott, Linda A.	4, 6	9/28/2018	30	5.89	26,157	297
Akita Drilling Ltd.	Non-Voting Shares	Southern, Nancy C.	4, 6	9/28/2018	30	5.89	27,438	297
Akita Drilling Ltd.	Non-Voting Shares	Spitznagel, Curt Perry	4	9/28/2018	30	5.89	12,029	297
Akita Drilling Ltd.	Non-Voting Shares	Wilmot, Harry	4	9/28/2018	30	5.89	3,842	297
Akita Drilling Ltd.	Non-Voting Shares	WILSON, Charles W.	4	9/27/2018	30	5.67	28,983	1,800
Akita Drilling Ltd.	Non-Voting Shares	WILSON, Charles W.	4	9/28/2018	30	5.9	34,383	5,400
Akita Drilling Ltd.	Non-Voting Shares	WILSON, Charles W.	4	9/28/2018	30	5.89	34,680	297
Akita Drilling Ltd.	Non-Voting Shares	WILSON, Charles W.	4	10/1/2018	30	5.55	36,080	1,400
Akita Drilling Ltd.	Non-Voting Shares	WILSON, Charles W.	4	10/2/2018	30	5.55	43,580	7,500
Alderon Iron Ore Corp.	Rights DSUs	Baker, John	4, 6	9/30/2018	56	0.2894	23,447	13,173
Alderon Iron Ore Corp.	Rights DSUs	Furey, Andrew John	4	9/30/2018	56	0.2894	80,826	13,173
Alderon Iron Ore Corp.	Rights DSUs	LOADER, WILLIAM ADRIAN	4	9/30/2018	56	0.2894	696,219	15,765
Alderon Iron Ore Corp.	Rights DSUs	Morier, Rolland Guy	4	9/30/2018	56	0.2894	14,479	14,479
Alderon Iron Ore Corp.	Rights DSUs	Porter, David James	4	9/30/2018	56	0.2894	799,931	15,765
Alderon Iron Ore Corp.	Rights DSUs	Zhou, Wei	4	9/30/2018	56	0.2894	13,183	13,183
Algoma Central Corporation	Common Shares	Algoma Central Corporation	1	9/30/2018	38	13.234	11,700	11,700
Algoma Central Corporation	Common Shares	Algoma Central Corporation	1	9/30/2018	38	13.234	0	-11,700
Algoma Central Corporation	Common Shares	Lazarz, Christopher	5	8/1/2017	00		1,018	
Algoma Central Corporation	Convertible Debentures	Lazarz, Christopher	5	8/1/2017	00		$10	
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	10/1/2018	30	13.217	1,391,738	-2,429
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	10/2/2018	30	13.235	1,389,309	-2,429
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	10/3/2018	30	13.229	1,386,880	-2,429
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	10/4/2018	30	12.958	1,384,451	-2,429
Algonquin Power & Utilities Corp.	Common Shares	Jarratt, Christopher Kenneth	5	10/5/2018	30	12.867	1,382,022	-2,429
Algonquin Power & Utilities Corp.	Common Shares	Robertson, Ian Edward	5	10/1/2018	30	13.217	1,543,215	-3,471
Algonquin Power & Utilities Corp.	Common Shares	Robertson, Ian Edward	5	10/2/2018	30	13.235	1,539,744	-3,471
Algonquin Power & Utilities Corp.	Common Shares	Robertson, Ian Edward	5	10/3/2018	30	13.229	1,536,273	-3,471
Algonquin Power & Utilities Corp.	Common Shares	Robertson, Ian Edward	5	10/4/2018	30	12.958	1,532,802	-3,471
Algonquin Power & Utilities Corp.	Common Shares	Robertson, Ian Edward	5	10/5/2018	30	12.867	1,529,331	-3,471
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	9/27/2018	10	0.075	172,000	20,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	9/28/2018	10	0.075	200,000	28,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	10/1/2018	10	0.075	218,000	18,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	10/2/2018	10	0.075	238,000	20,000
Almaden Minerals Ltd.	Options	McCleary, John Daniel	4	10/1/2018	50	0.79	550,000	50,000
Almonty Industries Inc.	Common Shares	D'Amato, Daniel Guy	4	10/5/2018	10	0.8	2,026,900	5,000
AltaGas Ltd.	Rights Restricted Units (RU)	Cornhill, David Wallace	4, 5	10/1/2018	46	22.69	18,082	6,610
AltaGas Ltd.	Rights Deferred Share Unit (DSU)	Knoll, Phillip R.	4, 5	10/1/2018	46	22.69	16,512	3,966

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AltaGas Ltd.	Rights Restricted Units (RU)	Knoll, Phillip R.	4, 5	10/1/2018	46	22.69	12,808	2,644
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38	12.1	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38		0	-2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38	12.3	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38	12.15	4,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38	12.25	6,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38	12.2	8,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/4/2018	38		0	-8,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/5/2018	38	11.95	400	400
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/5/2018	38	12	1,300	900
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/5/2018	38	12.05	3,300	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/5/2018	38	12.1	7,300	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/5/2018	38		0	-7,300
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/6/2018	38	12.25	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/6/2018	38	12.4	4,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/6/2018	38	12.5	8,000	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/6/2018	38	12.3	10,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/6/2018	38		0	-10,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/7/2018	38	12.1	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/7/2018	38	12.09	4,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/7/2018	38	12.05	6,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/7/2018	38		0	-6,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/10/2018	38	12.03	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/10/2018	38	12.05	4,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/10/2018	38	12.08	6,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/10/2018	38	12.07	7,000	1,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/10/2018	38		0	-7,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/11/2018	38	12	6,000	6,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/11/2018	38	11.97	8,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/11/2018	38		0	-8,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/12/2018	38	12.25	6,900	6,900
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/12/2018	38	12.2	7,500	600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/12/2018	38		0	-7,500
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/13/2018	38	12.2	3,000	3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/13/2018	38	12.15	5,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/13/2018	38	12.05	7,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/13/2018	38		0	-7,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/14/2018	38	12.1	2,000	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/14/2018	38	12.05	2,600	600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/14/2018	38	12.15	4,600	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/14/2018	38		0	-4,600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/17/2018	38	12.25	4,000	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/17/2018	38	12.19	4,600	600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/17/2018	38	12.2	8,600	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/17/2018	38		0	-8,600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/18/2018	38	12.2	3,300	3,300
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/18/2018	38	12.3	7,300	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/18/2018	38	12.25	9,300	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/18/2018	38		0	-9,300
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/19/2018	38	12.45	300	300
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/19/2018	38	12.65	2,300	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/19/2018	38	12.6	4,300	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/19/2018	38	12.49	4,500	200
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/19/2018	38		0	-4,500
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/28/2018	38	12.7	1,000	1,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/28/2018	38	12.65	5,000	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/28/2018	38	12.6	7,000	2,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	9/28/2018	38		0	-7,000
Altus Group Limited	Common Shares	Probyn, Alex	7	9/5/2018	51	19.64	26,960	2,000
Altus Group Limited	Common Shares	Probyn, Alex	7	9/5/2018	51	19.29	29,294	2,334
Altus Group Limited	Common Shares	Probyn, Alex	7	9/5/2018	10	30.563	27,294	-2,000
Altus Group Limited	Common Shares	Probyn, Alex	7	9/5/2018	10	30.563	24,960	-2,334
Altus Group Limited	Options	Probyn, Alex	7	9/5/2018	51	19.64	22,982	-2,000
Altus Group Limited	Options	Probyn, Alex	7	9/5/2018	51	19.29	20,648	-2,334
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	10/1/2018	00		1,000	
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	10/1/2018	00		49,000	
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	10/1/2018	00		305,000	
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	10/1/2018	00		462,065	
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	10/1/2018	00		154,400	
American Pacific Mining Corp.	Common Shares	Smith, Warwick	4, 5	10/4/2018	10	0.0755	195,501	53,000
Americas Silver Corporation	Rights Deferred Share Units	Davidson, Alexander John	4	10/2/2018	56		78,107	1,882
Americas Silver Corporation	Rights Deferred Share Units	Edwards, Alan R.	4	10/2/2018	56		44,197	1,291
Americas Silver Corporation	Rights Deferred Share Units	HAWLEY, PETER JUDE	4, 5	10/2/2018	56		45,727	1,237
Americas Silver Corporation	Rights Deferred Share Units	Kipp, Bradley Robert	4	10/2/2018	56		67,930	1,398
Americas Silver Corporation	Rights Deferred Share Units	Pridham, Gordon E.	4	10/2/2018	56		39,337	1,344
Americas Silver Corporation	Rights Deferred Share Units	RIVERA RABA, MANUEL ALBERTO	4	10/2/2018	56		4,121	1,075
Americas Silver Corporation	Rights Deferred Share Units	Waisberg, Lorie	4	10/2/2018	56		42,925	1,452
Anaconda Mining Inc.	Common Shares	Slepcev, Gordana	5	10/2/2018	10	0.23	100,521	14,000
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	ROONEY, ERIN LOUISE	5	9/29/2018	51	11.66	28,725	5,333
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	ROONEY, ERIN LOUISE	5	9/29/2018	10	16.38	23,392	-5,333
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Options	ROONEY, ERIN LOUISE	5	9/29/2018	51	11.66	21,067	-5,333
Antibe Therapeutics Inc.	Restricted Share Units	Bourgeois, Nicolas	7	10/15/2015	00			
Antibe Therapeutics Inc.	Restricted Share Units	Bourgeois, Nicolas	7	10/3/2018	97		600,000	600,000
Antibe Therapeutics Inc.	Restricted Share Units	Curtis, Scott Wilson	5	1/1/2016	00			
Antibe Therapeutics Inc.	Restricted Share Units	Curtis, Scott Wilson	5	10/3/2018	97		730,000	730,000
Antibe Therapeutics Inc.	Restricted Share Units	Flower, Roderick John	4	6/10/2013	00			
Antibe Therapeutics Inc.	Restricted Share Units	Flower, Roderick John	4	10/3/2018	97		360,000	360,000
Antibe Therapeutics Inc.	Restricted Share Units	Khouri, Amal	4	3/19/2018	00			
Antibe Therapeutics Inc.	Restricted Share Units	Khouri, Amal	4	10/3/2018	97		360,000	360,000
Antibe Therapeutics Inc.	Restricted Share Units	Legault, Daniel Marcel	4, 6, 5	6/10/2013	00			
Antibe Therapeutics Inc.	Restricted Share Units	Legault, Daniel Marcel	4, 6, 5	10/3/2018	97		4,750,000	4,750,000
Antibe Therapeutics Inc.	Common Shares	Macnee, Walter Minnes	4	9/28/2018	10	0.34	4,390,267	150,000
Antibe Therapeutics Inc.	Restricted Share Units	Macnee, Walter Minnes	4	6/10/2013	00			
Antibe Therapeutics Inc.	Restricted Share Units	Macnee, Walter Minnes	4	10/3/2018	97		360,000	360,000
Antibe Therapeutics Inc.	Restricted Share Units	McMillan, Michael	7	10/15/2015	00			
Antibe Therapeutics Inc.	Restricted Share Units	McMillan, Michael	7	10/3/2018	97		600,000	600,000
Antibe Therapeutics Inc.	Restricted Share Units	Vaughan, David James	5	6/10/2013	00			
Antibe Therapeutics Inc.	Restricted Share Units	Vaughan, David James	5	10/3/2018	97		550,000	550,000
Antibe Therapeutics Inc.	Restricted Share Units	Wallace, John Lawrence	4, 6, 5	6/10/2013	00			
Antibe Therapeutics Inc.	Restricted Share Units	Wallace, John Lawrence	4, 6, 5	10/3/2018	97		4,200,000	4,200,000
Antibe Therapeutics Inc.	Restricted Share Units	Wilson, Alain	5	12/1/2015	00			
Antibe Therapeutics Inc.	Restricted Share Units	Wilson, Alain	5	10/3/2018	97		1,100,000	1,100,000
Antibe Therapeutics Inc.	Restricted Share Units	Wu, Yung Cheng	4	7/18/2016	00			

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Antibe Therapeutics Inc.	Restricted Share Units	Wu, Yung Cheng	4	10/3/2018	97		360,000	360,000
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Collyer, David Ralph	4	9/30/2018	56		15,991	2,474
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Dielwart, John Patrick	4	9/30/2018	56		56,000	4,123
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Dyment, Fred J.	4	9/30/2018	56		48,847	2,316
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Houck, James Curtis	4	9/30/2018	56		55,771	2,702
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Kvisle, Harold N.	4	9/30/2018	56		104,575	7,281
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	O'Neill, Kathleen M.	4	9/30/2018	56		65,821	3,439
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Pinder, Herbert	4	9/30/2018	56		83,411	4,123
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Sembo, William, George	4	9/30/2018	56		34,080	2,895
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Smith, Nancy Lynn	4	9/30/2018	56		34,403	4,123
AREV Brands International Ltd. (Formerly, AREV Nutrition Sciences Inc)	Common Shares	mcdermid, scott	4	10/3/2018	10	0.4	900,000	500,000
Argentum Silver Corp.	Common Shares	Balderson, Geoffrey	4	9/27/2018	10	0.18	2,191,760	-40,000
Argentum Silver Corp.	Common Shares	Balderson, Geoffrey	4	9/28/2018	10	0.18	2,142,760	-49,000
Argentum Silver Corp.	Common Shares	Balderson, Geoffrey	4	9/28/2018	10	0.17	2,061,760	-81,000
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Kozak, John Frederick	5	9/28/2018	00		400,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Kozak, John Frederick	5	9/28/2018	00		200,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	McDonald, Bruce	4	9/28/2018	00		35,600	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	McDonald, Bruce	4	9/28/2018	00		2,728,343	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	McDonald, Bruce	4	9/28/2018	00		330,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	McFarland, James D.	4	9/28/2018	00		50,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	McFarland, James D.	4	9/28/2018	00		150,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	McFarland, James D.	4	9/28/2018	00		100,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Miller, Philip Lyall	5	9/28/2018	00		50,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Miller, Philip Lyall	5	9/28/2018	00		50,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Newman, John Edward	5	9/28/2018	00		1,009,039	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Options	Newman, John Edward	5	9/28/2018	00		600,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Newman, John Edward	5	9/28/2018	00		150,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Scott, John Francis	5	9/28/2018	00		200,000	

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Scott, John Francis	5	9/28/2018	00		100,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Sharma, Ravi	4	9/28/2018	00		100,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Sharma, Ravi	4	9/28/2018	00		100,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Smith, Reginald Stevenson	4	9/28/2018	00		200,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Smith, Reginald Stevenson	4	9/28/2018	00		100,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Common Shares	Wine, Gary Dale	4, 5	9/28/2018	00		200,000	
Arrow Exploration Corp. (formerly Front Range Resources Ltd.)	Warrants	Wine, Gary Dale	4, 5	9/28/2018	00		100,000	
Artis Real Estate Investment Trust	Deferred Units	Albo, Ida	4	10/1/2018	56	11.75	3,812	2,265
Artis Real Estate Investment Trust	Deferred Units	Jack, Bruce William James	4	10/1/2018	56	11.75	19,556	3,904
Artis Real Estate Investment Trust	Deferred Units	Joyce, Steven	4	10/1/2018	56	11.75	4,083	2,265
Artis Real Estate Investment Trust	Deferred Units	Martens, Cornelius	4	10/1/2018	56	11.75	6,775	510
Artis Real Estate Investment Trust	Deferred Units	Rimer, Ronald Albert	4	10/1/2018	56	11.75	32,064	2,670
Artis Real Estate Investment Trust	Deferred Units	Thielmann, Victor	4	10/1/2018	56	11.75	6,775	510
Artis Real Estate Investment Trust	Deferred Units	Townsend, Kenneth	4	10/1/2018	56	11.75	6,775	510
Artis Real Estate Investment Trust	Deferred Units	Warkentin, Edward	4	10/1/2018	56	11.75	6,775	510
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	10/1/2018	56	11.75	3,781	2,234
Asbestos Corporation Limited	Common Shares	MONETTE, SERGE	3, 4	10/4/2018	10	0.33	143,000	500
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	9/27/2018	10	0.32	15,641,178	1,000
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	9/28/2018	10	0.32	15,664,178	23,000
Athabasca Oil Corporation	Deferred Share Units	Begley, Bryan	4	9/28/2018	56	1.46	421,083	9,846
Athabasca Oil Corporation	Deferred Share Units	Ebbern, Thomas William	4	9/28/2018	56	1.46	100,475	8,562
Athabasca Oil Corporation	Deferred Share Units	ECKHARDT, Ronald John	4	9/28/2018	56	1.46	606,335	17,123
Athabasca Oil Corporation	Deferred Share Units	Fierro, Carlos Antonio	4	9/28/2018	56	1.46	513,443	8,562
Atico Mining Corporation	Common Shares	Dutina, Igor	8	10/2/2018	10	0.38	87,278	5,500
Atlantic Gold Corporation (previously Spur Ventures Inc.)	Common Shares	Beedie, Ryan K	3, 4	10/4/2018	10	1.5679	65,353,276	200,000
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/6/2018	38	2.15	840	840
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/7/2018	38	2.15	50,029	49,189
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/10/2018	38	2.1488	174,444	124,415
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/11/2018	38	2.1496	304,338	129,894
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/12/2018	38	2.15	415,267	110,929
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/13/2018	38	2.15	539,183	123,916
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/14/2018	38	2.15	551,830	12,647
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/17/2018	38	2.78	552,630	800
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/20/2018	38	2.77	552,930	300
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/21/2018	38	2.79	556,030	3,100
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/24/2018	38	2.77	560,130	4,100
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/25/2018	38	2.78	570,130	10,000
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/26/2018	38	2.78	570,330	200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	9/28/2018	38		0	-570,330
Atlantic Power Corporation	Preferred Shares Series 1	Atlantic Power Corporation	1	9/5/2018	38	15.3	110,716	110,716
Atlantic Power Corporation	Preferred Shares Series 1	Atlantic Power Corporation	1	9/18/2018	38	15.3	237,500	126,784
Atlantic Power Corporation	Preferred Shares Series 1	Atlantic Power Corporation	1	9/28/2018	38		0	-237,500
Atlantic Power Corporation	Deferred Share Units	Duncan, Richard Foster	4	9/30/2018	56		166,713	7,802
Atlantic Power Corporation	Deferred Share Units	Gerstein, Irving Russell	4	9/30/2018	56		138,082	9,535
Atlantic Power Corporation	Deferred Share Units	Howell, Kevin	4	9/30/2018	56		100,558	7,513
Atlantic Power Corporation	Common Shares	Palter, Gilbert Samuel	4	9/28/2018	10	2.15	662,281	10,663
Atlantic Power Corporation	Deferred Share Units	Palter, Gilbert Samuel	4	9/30/2018	56		86,630	7,513
ATS Automation Tooling Systems Inc.	RSU	Alexander, Angella	5	10/1/2018	00			
ATS Automation Tooling Systems Inc.	RSU	Alexander, Angella	5	10/1/2018	56		12,500	12,500
Aura Health Inc. (formerly Lamêlée Iron Ore Ltd.)	Common Shares	Freudman, Joel Aaron	4	10/2/2018	00			
Aura Health Inc. (formerly Lamêlée Iron Ore Ltd.)	Convertible Notes US$	Freudman, Joel Aaron	4	10/2/2018	00			
Aura Health Inc. (formerly Lamêlée Iron Ore Ltd.)	Options	Freudman, Joel Aaron	4	10/2/2018	00			
Aura Health Inc. (formerly Lamêlée Iron Ore Ltd.)	Warrants	Freudman, Joel Aaron	4	10/2/2018	00			
Aurania Resources Ltd.	Common Shares	Kaiser, Marvin Kent	4	9/26/2018	10	2.38	83,540	-2,500
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	11/13/2017	00			
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	3/20/2018	51	4.64	25,000	25,000
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	3/20/2018	10	11.11	0	-25,000
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	9/28/2018	51	4.64	25,000	25,000
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	9/28/2018	10	12.25	19,339	-5,661
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	9/28/2018	10	12.32	10,866	-8,473
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	9/28/2018	51	4.64	35,866	25,000
Aurora Cannabis Inc.	Common Shares	Jang, Diane	4	9/28/2018	10	12.38	10,866	-25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	3/16/2018	51	4.64		-25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	3/16/2018	59	4.64	75,000	-25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	9/28/2018	51	4.64		25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	9/28/2018	59	4.64	50,000	-25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	9/28/2018	51	4.64		25,000
Aurora Cannabis Inc.	Options	Jang, Diane	4	9/28/2018	51	4.64	25,000	-25,000
Aurora Cannabis Inc.	Common Shares	Singer, Michael	4	10/3/2018	51	0.46	71,329	50,000
Aurora Cannabis Inc.	Common Shares	Singer, Michael	4	10/3/2018	10		21,329	-50,000
Aurora Cannabis Inc.	Common Shares	Singer, Michael	4	10/4/2018	51		196,329	175,000
Aurora Cannabis Inc.	Common Shares	Singer, Michael	4	10/4/2018	10	12.16	100,151	-96,178
Aurora Cannabis Inc.	Common Shares	Singer, Michael	4	10/3/2018	10		40,000	-19,250
Aurora Cannabis Inc.	Options	Singer, Michael	4	10/3/2018	51	0.46	1,294,527	-50,000
Aurora Cannabis Inc.	Options	Singer, Michael	4	10/4/2018	51		1,119,527	-175,000
Automotive Properties Real Estate Investment Trust	Deferred Units	Forbes, Louis Marie	4	9/28/2018	56		8,278	1,481
Automotive Properties Real Estate Investment Trust	Deferred Units	Lazier, Francis Stuart	4	9/28/2018	56		14,778	1,423
Automotive Properties Real Estate Investment Trust	Deferred Units	Morrison, John Rennie	4	9/28/2018	56		16,397	1,597
Avante Logixx Inc.	Options	Sampath, Raghunath Kannan	5	9/19/2018	50		300,000	75,000
Avante Logixx Inc.	Common Shares	Verner, Leland	4, 5	10/3/2018	10	0.45	20,200	-29,800
AVINO SILVER & GOLD MINES LTD.	Common Shares	Baybak, Michael	4	9/27/2018	57	1.02	299,700	1,667
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Baybak, Michael	4	9/27/2018	57	1.02	41,000	-1,667
AVINO SILVER & GOLD MINES LTD.	Common Shares	Chin, Dorothy	5	9/27/2018	57	1.02	42,000	1,667
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Chin, Dorothy	5	9/27/2018	57	1.02	71,000	-1,667
AVINO SILVER & GOLD MINES LTD.	Common Shares	Davidson, Malcolm	5	9/27/2018	57	1.02	113,000	2,500

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AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Davidson, Malcolm	5	9/27/2018	57	1.02	135,000	-2,500
AVINO SILVER & GOLD MINES LTD.	Common Shares	Robertson, Gary Ralph	4	9/27/2018	57	1.02	176,795	3,333
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Robertson, Gary Ralph	4	9/27/2018	57	1.02	106,667	-3,333
AVINO SILVER & GOLD MINES LTD.	Common Shares	Rodriguez Moreno, Jose Carlos	5	9/27/2018	57	1.02	202,500	2,500
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Rodriguez Moreno, Jose Carlos	5	9/27/2018	57	1.02	156,000	-2,500
AVINO SILVER & GOLD MINES LTD.	Common Shares	Wolfin, David	4	9/27/2018	57	4333	1,424,402	4,333
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Wolfin, David	4	9/27/2018	57	1.02	497,001	-4,333
AVINO SILVER & GOLD MINES LTD.	Common Shares	Yee, Jasman	4	9/27/2018	57	1.02	282,520	2,500
AVINO SILVER & GOLD MINES LTD.	Restricted Share Units	Yee, Jasman	4	9/27/2018	57	1.02	81,000	-2,500
B2Gold Corp.	Rights Deferred Share Units	Gayton, Robert	4	10/2/2018	56		77,682	6,488
B2Gold Corp.	Common Shares	Johnson, Clive Thomas	4	10/1/2018	47	2.94		-5,200
B2Gold Corp.	Common Shares	Johnson, Clive Thomas	4	10/1/2018	47	2.94	6,074,343	-5,200
B2Gold Corp.	Rights Deferred Share Units	Johnson, George	5	10/2/2018	56		93,007	12,111
B2Gold Corp.	Rights Deferred Share Units	Mtshisi, Bongani	4	10/2/2018	56		75,324	5,623
B2Gold Corp.	Options	Rogers, Dana	5	10/1/2018	00		559,200	
B2Gold Corp.	Options	Rogers, Dana	5	10/2/2018	50	2.94	759,200	200,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	9/28/2018	10	0.16	638,937	17,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	10/1/2018	10	0.12	648,937	10,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	10/2/2018	10	0.15	659,937	11,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	10/3/2018	10	0.12	690,437	30,500
BacTech Environmental Corporation	Options	Richardson, James Angus Wilson (Bilkstys-)	4	7/18/2018	00			
BacTech Environmental Corporation	Options	Richardson, James Angus Wilson (Bilkstys-)	4	10/3/2018	50	0.07	100,000	100,000
Ballard Power Systems Inc.	Units Deferred Share Units	Hayhurst, Douglas Palmer	4	9/30/2018	56	5.54	191,940	2,369
Ballard Power Systems Inc.	Units Deferred Share Units	Le, Duy-Loan	4	9/30/2018	56	5.54	16,961	2,030
Ballard Power Systems Inc.	Units Deferred Share Units	Neese, Marty Tucker	4	9/30/2018	56	5.54	47,869	4,061
Ballard Power Systems Inc.	Units Deferred Share Units	Roche, James Norman	4	9/30/2018	56	5.54	58,857	3,384
Ballard Power Systems Inc.	Units Deferred Share Units	Sutcliffe, Ian Douglas	4	9/30/2018	56	5.54	83,670	2,030
Ballard Power Systems Inc.	Units Deferred Share Units	Woodruff, Janet Patricia	4	9/30/2018	56	5.54	14,880	2,369
Bank of Nova Scotia, The	Common Shares	Babatz, Guillermo	4	10/3/2018	10	74.93	1,800	781
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/4/2018	38	75.25	600,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/5/2018	38	75.106	800,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/6/2018	38	75.341	1,000,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/7/2018	38	74.887	1,199,900	199,900
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/10/2018	38	75.057	1,399,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/11/2018	38	75.15	1,599,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/12/2018	38	75.224	1,799,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/13/2018	38	75.293	1,999,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/14/2018	38	75.311	2,199,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/17/2018	38	75.871	2,399,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/18/2018	38	76.498	2,599,900	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/19/2018	38	76.872	2,800,000	200,100

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Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/20/2018	38	77.47	3,000,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/21/2018	38	77.979	3,200,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/24/2018	38	77.866	3,400,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/25/2018	38	77.712	3,600,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/26/2018	38	77.688	3,800,000	200,000
Bank of Nova Scotia, The	Common Shares	Bank of Nova Scotia, The	1	9/28/2018	38		0	-3,800,000
Bank of Nova Scotia, The	Common Shares	Power, Una Marie	4	10/1/2018	10	76.187	5,783	3,283
Bank of Nova Scotia, The	Common Shares	Segal, Susan Louise	4	10/3/2018	10	58.86	1,100	100
Bank of Nova Scotia, The	Common Shares	Segal, Susan Louise	4	10/3/2018	10	58.87	1,500	400
Bank of Nova Scotia, The	Common Shares	Segal, Susan Louise	4	10/3/2018	10	58.88	1,600	100
Bank of Nova Scotia, The	Common Shares	Segal, Susan Louise	4	10/3/2018	10	58.89	1,800	200
Bank of Nova Scotia, The	Common Shares	Segal, Susan Louise	4	10/3/2018	10	58.9	1,839	39
Banyan Gold Corp.	Common Shares Class "A"	Christie, Tara	4	10/3/2018	10	0.04	84,000	2,000
Barker Minerals Ltd.	Common Shares	Doyle, Louis Eric	4, 5	9/26/2018	10	0.01	310,047	-600,000
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Benitez Pereira, Maria Ignacia	4	9/30/2018	56	11.06	5,575	3,391
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Benitez Pereira, Maria Ignacia	4	9/30/2018	30	10.11	5,581	6
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Cisneros, Gustavo Alfredo	4	9/30/2018	56	11.06	126,839	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Cisneros, Gustavo Alfredo	4	9/30/2018	30	10.11	127,202	363
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Clow, Graham G.	4	9/30/2018	56	11.06	24,478	3,391
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Clow, Graham G.	4	9/30/2018	30	10.11	24,540	62
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Evans, John Michael	4	9/30/2018	56	11.06	68,241	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Evans, John Michael	4	9/30/2018	30	10.11	68,430	189
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Greenspun, Brian Lee	4	9/30/2018	56	11.06	51,181	3,391
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Greenspun, Brian Lee	4	9/30/2018	30	10.11	51,322	141
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Harvey, Joseph Brett	4	9/30/2018	56	11.06	99,012	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Harvey, Joseph Brett	4	9/30/2018	30	10.11	99,292	280
Barrick Gold Corporation	Common Shares	Hatter, Patricia Ann	4	9/28/2018	10	11.22	4,563	2,699
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Marcet, Pablo	4	9/30/2018	56	11.06	25,677	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Marcet, Pablo	4	9/30/2018	30	10.11	25,739	62
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Munk, Anthony	4	9/30/2018	56	11.06	115,074	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Munk, Anthony	4	9/30/2018	30	10.06	115,402	328
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Prichard, John Robert Stobo	4	9/30/2018	56	11.06	39,136	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Prichard, John Robert Stobo	4	9/30/2018	30	10.11	39,238	102
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Shapiro, Steven J.	4	9/30/2018	56	11.06	94,936	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Shapiro, Steven J.	4	9/30/2018	30	10.11	95,204	268
Barrick Gold Corporation	Common Shares	Thornton, John Lawson	4, 5	3/15/2018	30	11.68	1,709,496	1,906
Barrick Gold Corporation	Common Shares	Thornton, John Lawson	4, 5	6/15/2018	30	12.72	1,711,523	2,027
Barrick Gold Corporation	Common Shares	Thornton, John Lawson	4, 5	9/17/2018	30	9.69	1,714,190	2,667
Barrick Gold Corporation	Common Shares	Thornton, John Lawson	4, 5	9/28/2018	10	11.105	3,819,530	2,105,340
Barrick Gold Corporation	Common Shares	Thornton, John Lawson	4, 5	10/1/2018	10	11.112	3,985,219	165,689
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Thornton, John Lawson	4, 5	9/30/2018	30	10.11	1,151	3

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Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Thrasher, Ernie Leo	4	9/30/2018	56	11.06	71,294	4,521
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Thrasher, Ernie Leo	4	9/30/2018	30	10.11	71,492	198
Battery Road Capital Corp.	Common Shares	Dawe, Wade K.	3	8/14/2018	00		3,000,000	
Battery Road Capital Corp.	Common Shares	Dawe, Wade K.	3	8/14/2018	00		300,000	
Battery Road Capital Corp.	Common Shares	Megann, Harold James (Jim)	4	8/14/2018	00		200,000	
Battery Road Capital Corp.	Common Shares	Stewart, Garry	5	10/1/2018	00		100,000	
Battery Road Capital Corp.	Common Shares	Whittaker, Daniel Davies	4	8/14/2018	00			
Battery Road Capital Corp.	Common Shares	Whittaker, Daniel Davies	4	8/14/2018	00		300,000	
Battery Road Capital Corp.	Common Shares	Whittaker, Daniel Davies	4	8/14/2018	15	0.05		300,000
Battery Road Capital Corp.	Common Shares	Whittaker, Daniel Davies	4	8/14/2018	15	0.05		300,000
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	DE SCHUTTER, Richard Urbain	4	9/28/2018	56		26,018	1,217
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Paulson, John	4	9/28/2018	56		39,211	1,071
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Robertson, Russel Clark	4	9/28/2018	56		75,167	1,460
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Wechsler, Amy	4	9/28/2018	56		71,449	1,217
Baylin Technologies Inc.	Deferred Share Units	Day, Stockwell	4	9/28/2018	56		59,201	616
Baylin Technologies Inc.	Deferred Share Units	Reiter, Barry	4	9/28/2018	56		83,304	821
Baylin Technologies Inc.	Deferred Share Units	Saska, David	4	9/28/2018	56		1,785	308
Baylin Technologies Inc.	Deferred Share Units	SIMMONDS, DONALD E.	4	9/28/2018	56		59,201	616
Baylin Technologies Inc.	Deferred Share Units	Wolkin, Harold Morton	4	9/28/2018	56		91,008	1,539
Baytex Energy Corp.	Common Shares	Grimwood, Jonathan L.	5	8/22/2018	00			
Baytex Energy Corp.	Common Shares	Grimwood, Jonathan L.	5	10/2/2018	57	3.84	20,400	20,400
Baytex Energy Corp.	Common Shares	Grimwood, Jonathan L.	5	10/2/2018	30	3.83	12,074	-8,326
Baytex Energy Corp.	Restricted Awards (RRX)	Grimwood, Jonathan L.	5	10/2/2018	57	3.84	40,800	-20,400
Baytex Energy Corp.	Common Shares	Lundberg, Chad	5	10/2/2018	57	3.82	50,276	20,400
Baytex Energy Corp.	Common Shares	Lundberg, Chad	5	10/2/2018	30	3.86	42,047	-8,229
Baytex Energy Corp.	Restricted Awards (RRX)	Lundberg, Chad	5	10/2/2018	57	3.82	34,680	-20,400
Beleave Inc. (formerly Stream Ventures Inc.)	Common Shares	wnek, andrew thomas	4	9/26/2018	46	1.43	1,472,000	800,000
Belo Sun Mining Corp.	Common Shares	Sun Valley Gold LLC	3	10/1/2018	10	0.205	104,308,274	364,800
Belo Sun Mining Corp.	Common Shares	Sun Valley Gold LLC	3	10/5/2018	10	0.205	104,808,274	500,000
Benchmark Botanics Inc.	Common Shares	Dorin, George Graham	4	11/2/2017	00			
Benchmark Botanics Inc.	Common Shares	Dorin, George Graham	4	10/4/2018	51	0.2	100,000	100,000
Benchmark Botanics Inc.	Options	Dorin, George Graham	4	10/4/2018	51		500,000	-100,000
Benchmark Botanics Inc.	Common Shares	Stowell, Claude Clifford	4	10/2/2018	10	0.58	1,322,600	-10,000
Benchmark Botanics Inc.	Common Shares	Stowell, Claude Clifford	4	10/3/2018	10	0.55	1,312,600	-10,000
Big Rock Brewery Inc.	Common Shares	Riddell, James H. T.	4	1/1/2011	00			
Big Rock Brewery Inc.	Common Shares	Riddell, James H. T.	4	9/15/2018	48 - Acquisition by inheritance or disposition by bequest			210,200
Big Rock Brewery Inc.	Common Shares	Riddell, James H. T.	4	9/15/2018	48 - Acquisition by inheritance or disposition by bequest			210,200
Big Rock Brewery Inc.	Common Shares	Riddell, James H. T.	4	9/15/2018	97		210,200	210,200
BioHEP Technologies Ltd.	Common Shares	Fehr, Ann	5	9/24/2018	00		324,755	
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	10/1/2018	10	0.05	969,500	30,000
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	37		7,200,000	7,200,000

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Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	37		6,600,000	6,600,000
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	37		15,000,000	15,000,000
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Jacob, Sasha	3	10/3/2018	37		21,000,000	21,000,000
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	James, Brett	4	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	James, Brett	4	10/3/2018	37		62,500	62,500
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Malik, Khurram	4, 5	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Malik, Khurram	4, 5	10/3/2018	37		3,000,000	3,000,000
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Smitherman, George Fredrick	4	10/3/2018	00			
Biome Grow Inc. (Orca Touchscreen Technologies Ltd.)	Common Shares	Smitherman, George Fredrick	4	10/3/2018	37		30,000	30,000
BioSyent Inc.	Common Shares	Wilson, Kevin	5	9/27/2018	51	9.6		-1,011
BioSyent Inc.	Common Shares	Wilson, Kevin	5	9/27/2018	10	9.6	49,602	-1,011
BioSyent Inc.	Common Shares	Wilson, Kevin	5	10/1/2018	51	9.6		-1,011
BioSyent Inc.	Common Shares - Options	Wilson, Kevin	5	9/27/2018	51	4.45	16,887	1,551
Bird Construction Inc.	Deferred Share Units	Bird, John Richard	4	9/28/2018	56		5,221	1,725
Bird Construction Inc.	Deferred Share Units	Brooks, Karyn Anne	4	9/28/2018	56		17,961	3,450
Bird Construction Inc.	Deferred Share Units	Charette, Paul Alphonse	4	9/28/2018	56		8,979	2,967
Bird Construction Inc.	Deferred Share Units	Doyle, Donald Gregory	4	9/28/2018	56		58,165	3,958
Bird Construction Inc.	Deferred Share Units	DuPont, Bonnie Dianne Rose	4	9/28/2018	56		43,988	1,979
Bird Construction Inc.	Deferred Share Units	Messier, Luc Jean-Francois	4	9/28/2018	56		19,980	3,450
Bird Construction Inc.	Deferred Share Units	Munkley, Ronald David	4	9/28/2018	56		46,640	3,450
Bird Construction Inc.	Deferred Share Units	Raboud, Paul Robert	4	9/28/2018	56		4,636	1,532
Bird Construction Inc.	Deferred Share Units	Thorsteinson, Arni Clayton	4	9/28/2018	56		48,402	3,451
Black Diamond Group Limited	Rights DSU	Olsson, David	4	10/1/2018	56	3.3684	47,023	983
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Capelli, Steven	5	9/29/2018	57		113,700	85,334
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Capelli, Steven	5	9/29/2018	10	10.411	65,372	-48,328
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Capelli, Steven	5	10/1/2018	56		591,756	207,756
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Capelli, Steven	5	9/29/2018	57		107,694	-85,334
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Capelli, Steven	5	10/1/2018	56		246,198	138,504
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Chennakeshu, Sandeep	5	9/28/2018	57		725,484	76,403
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Chennakeshu, Sandeep	5	9/28/2018	10	10.802		-23,613

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Chennakeshu, Sandeep	5	9/28/2018	10	10.802		-23,613
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Chennakeshu, Sandeep	5	9/28/2018	10	10.802	692,822	-32,662
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Chennakeshu, Sandeep	5	9/28/2018	57		39,999	-55,239
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Chennakeshu, Sandeep	5	9/28/2018	38		0	-39,999
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Chennakeshu, Sandeep	5	9/28/2018	57		0	-21,164
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Cook, Randall	5	9/1/2018	00			
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Cook, Randall	5	10/1/2018	56		83,101	83,101
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Cook, Randall	5	9/1/2018	00			
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Cook, Randall	5	10/1/2018	56		55,401	55,401
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	9/28/2018	57		201,483	66,851
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	9/28/2018	10	10.802	165,475	-36,008
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	9/29/2018	57		193,144	27,669
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	9/29/2018	10	10.411	177,470	-15,674
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	10/3/2018	10	10.49	157,470	-20,000
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Ho, Sai Yuen (Billy)	5	9/28/2018	57		159,509	-48,333
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Ho, Sai Yuen (Billy)	5	9/28/2018	38		124,510	-34,999
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Ho, Sai Yuen (Billy)	5	10/1/2018	56		179,911	55,401
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Ho, Sai Yuen (Billy)	5	9/28/2018	57		67,264	-18,518
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Ho, Sai Yuen (Billy)	5	9/29/2018	57		39,595	-27,669
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Ho, Sai Yuen (Billy)	5	10/1/2018	56		76,529	36,934
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/28/2018	57		200,709	35,813
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/28/2018	10	10.802	181,417	-19,292
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/29/2018	57	10.411		14,359
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/29/2018	57	10.411		14,359
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/29/2018	10	10.411	173,280	-8,137
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	9/29/2018	57		187,639	14,359
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	White-Ivy, Nita	5	9/28/2018	57		83,363	-25,893
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	White-Ivy, Nita	5	9/28/2018	38		64,615	-18,748
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	White-Ivy, Nita	5	10/1/2018	56		109,628	45,013
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	White-Ivy, Nita	5	9/28/2018	57		34,681	-9,920
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	White-Ivy, Nita	5	9/29/2018	57		20,322	-14,359
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	White-Ivy, Nita	5	10/1/2018	56		50,331	30,009
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wiese, Carl James	5	9/28/2018	57		251,532	105,820

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wiese, Carl James	5	9/28/2018	10	10.802	210,798	-40,734
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wiese, Carl James	5	9/29/2018	57		246,697	35,899
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wiese, Carl James	5	9/29/2018	10	10.411	230,557	-16,140
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Wiese, Carl James	5	10/1/2018	56		223,867	62,326
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wiese, Carl James	5	9/28/2018	57		86,703	-105,820
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wiese, Carl James	5	9/29/2018	57		50,804	-35,899
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wiese, Carl James	5	10/1/2018	56		92,355	41,551
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	9/28/2018	57		88,452	9,550
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	9/28/2018	10	10.802	84,859	-3,593
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	9/29/2018	57		88,134	3,275
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	9/29/2018	10	10.411	86,834	-1,300
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Wilson, Mark George	5	9/28/2018	57		32,041	-6,905
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Wilson, Mark George	5	9/28/2018	38		27,042	-4,999
BlackBerry Limited (formerly Research In Motion Limited)	Performance Restricted Share Units	Wilson, Mark George	5	10/1/2018	56		58,204	31,162
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wilson, Mark George	5	9/28/2018	57		36,301	-2,645
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wilson, Mark George	5	9/29/2018	57		33,026	-3,275
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wilson, Mark George	5	10/1/2018	56		53,801	20,775
BlackPearl Resources Inc.	Common Shares	BURGUNDY ASSET MANAGEMENT LTD.	3	10/1/2018	00		45,279,528	
BLOCKStrain Technology Corp.	Common Shares	Kakumanu, Swapan	4, 5	9/28/2018	00		300,000	
BLOCKStrain Technology Corp.	Options	Kakumanu, Swapan	4, 5	9/28/2018	00			
BLOCKStrain Technology Corp.	Options	Kakumanu, Swapan	4, 5	9/28/2018	50	0.3	300,000	300,000
BLOCKStrain Technology Corp.	Options	Kakumanu, Swapan	4, 5	9/28/2018	00		100,000	
Blocplay Entertainment Inc.	Common Shares	Irwin, Christopher	5	10/1/2018	00		1,875	
Blocplay Entertainment Inc.	Common Shares	Irwin, Christopher	5	10/1/2018	00		449,614	
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/4/2018	38	9.02	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/4/2018	38	9.02	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/5/2018	38	8.95	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/5/2018	38	8.95	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/6/2018	38	9	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/6/2018	38	9	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/7/2018	38	8.96	3,000	3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/7/2018	38	8.96	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/10/2018	38	8.89	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/10/2018	38	8.89	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/11/2018	38	8.88	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/11/2018	38	8.88	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/12/2018	38	8.93	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/12/2018	38	8.93	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/13/2018	38	8.92	1,300	1,300
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/13/2018	38	8.92	0	-1,300
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/14/2018	38	8.97	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/14/2018	38	8.97	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/17/2018	38	8.91	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/17/2018	38	8.91	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/19/2018	38	8.94	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/19/2018	38	8.94	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/21/2018	38	8.99	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/21/2018	38	8.99	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/25/2018	38	9.04	100	100
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/25/2018	38	9.04	0	-100
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/25/2018	38	9.05	2,900	2,900
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/25/2018	38	9.05	0	-2,900
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/26/2018	38	9.02	900	900
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/26/2018	38	9.02	0	-900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/27/2018	38	9.04	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/27/2018	38	9.04	0	-3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/28/2018	38	9.01	3,000	3,000
Blue Ribbon Income Fund (formerly Citadel Diversified Investment Trust)	Trust Units	Blue Ribbon Income Fund	1	9/28/2018	38	9.01	0	-3,000
BMGB Capital Corp.	Common Shares	Birdsall, Lucas Christopher	4	10/2/2018	00			
BMGB Capital Corp.	Common Shares	Bromley, Sean	4	10/2/2018	00		200,000	
BMGB Capital Corp.	Options	Bromley, Sean	4	10/2/2018	00		75,000	
BMGB Capital Corp.	Common Shares	Morrison, Brian	4	10/2/2018	00		250,000	
BMGB Capital Corp.	Options	Morrison, Brian	4	10/2/2018	00		75,000	
BMGB Capital Corp.	Common Shares	O'Flaherty, Patrick Michael	5	10/2/2018	00			
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/4/2018	38	15.07	1,100	1,100
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/4/2018	38		0	-1,100
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/5/2018	38	15.82	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/5/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/6/2018	37	15.34	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/6/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/7/2018	38	15.15	100	100
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/7/2018	38		0	-100
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/10/2018	38	15.98	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/10/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/11/2018	38	15.82	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/11/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/12/2018	38	15.99	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/12/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/13/2018	38	15.95	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/13/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/14/2018	38	15.53	1,000	1,000
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/14/2018	38		0	-1,000
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/19/2018	38	15.95	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/19/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/20/2018	38	15.72	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/20/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/21/2018	38	15.67	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/21/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/25/2018	38	16.03	1,000	1,000
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/25/2018	38		0	-1,000
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/26/2018	38	16.41	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/26/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/27/2018	38	16.38	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/27/2018	38		0	-1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/28/2018	38	16.34	1,300	1,300
BMTC Group Inc.	Common Shares	Groupe BMTC Inc.	1	9/28/2018	38		0	-1,300
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Bissonnette, Joanne	4	10/1/2018	56		360,147	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Bombardier, J.R. André	3, 4, 5	10/1/2018	56		616,480	10,786
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Brooks, Martha	4	10/1/2018	56		472,264	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Fontaine, Jean-Louis	4, 5	10/1/2018	56		614,792	10,786

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Giard, Diane	4	10/1/2018	56		50,720	12,584
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Henningsen, August W.	4	10/1/2018	56		169,825	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Marcouiller, Pierre	4	10/1/2018	56		98,404	11,505
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Oberhelman, Douglas R.	4	10/1/2018	56		51,823	11,146
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Pandit, Vikram S.	4	10/1/2018	56		317,129	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Represas, Carlos	4	10/1/2018	56		415,568	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Tyler, Antony N.	4	10/1/2018	56		84,997	5,393
Bombardier Inc.	Deferred Stock Units/Unités d'actions différées	Weder di Mauro, Beatrice	4	10/1/2018	56		169,825	5,393
Bonterra Resources Inc.	Common Shares	folk, allan john	4	4/3/2017	00			
Bonterra Resources Inc.	Common Shares	folk, allan john	4	9/27/2018	36		64,156	64,156
Bonterra Resources Inc.	Common Shares	folk, allan john	4	9/27/2018	36		325,457	200,457
Bonterra Resources Inc.	Common Shares	Hamelin, Pascal	7	9/24/2018	00		67,203	
Bonterra Resources Inc.	Common Shares	Sprott, Eric S.	3	9/24/2018	00		1,876,242	
Bonterra Resources Inc.	Common Shares	Sprott, Eric S.	3	9/24/2018	00		33,495,702	
Bonterra Resources Inc.	Common Shares	Sprott, Eric S.	3	9/24/2018	00		1,122,730	
Bonterra Resources Inc.	Warrants	Sprott, Eric S.	3	9/24/2018	00		2,000,000	
Bonterra Resources Inc.	Warrants	Sprott, Eric S.	3	9/24/2018	00		3,128,500	
BQE Water Inc.	Common Shares	Kratochvil, David	5	10/4/2018	10	0.075	50,000	3,000
BRAMPTON BRICK LIMITED	Subordinate Voting Shares - Class A	Brampton Brick Limited, Brampton Brick Limited	1	9/28/2018	38		0	-5,000
BRAMPTON BRICK LIMITED	Subordinate Voting Shares - Class A	Brampton Brick Limited, Brampton Brick Limited	1	10/1/2018	10	8.489	1,000	1,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/1/2018	10	0.355	3,272,100	20,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/3/2018	10	0.34	3,319,100	47,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/4/2018	10	0.35	3,399,100	80,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/5/2018	10	0.34	3,412,100	13,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/4/2018	10	0.345	1,809,366	16,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/5/2018	10	0.345	1,813,366	4,000
Brisio Innovations Inc.	Common Shares	Andreola, Gianpaolo Fabrisio	4	10/5/2018	10	0.34	1,842,366	29,000
Brookfield Asset Management Inc.	Deferred Share Units	Allan, Elyse	4	9/30/2018	30	44.52	12,024	41
Brookfield Asset Management Inc.	Deferred Share Units	Allan, Elyse	4	9/30/2018	56	44.52	13,203	1,179
Brookfield Asset Management Inc.	Deferred Share Units	Braly, Angela F.	4	9/30/2018	30	44.52	16,439	55
Brookfield Asset Management Inc.	Deferred Share Units	Braly, Angela F.	4	9/30/2018	56	44.52	17,703	1,264
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	30	53.07	48,230	104
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	30	44.52	48,288	58
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	44.52	49,692	1,404

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Asset Management Inc.	Deferred Share Units	Ferreira, Murilo	4	9/30/2018	30	44.52	4,904	17
Brookfield Asset Management Inc.	Deferred Share Units	Ferreira, Murilo	4	9/30/2018	56	44.52	6,111	1,207
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	9/30/2018	30	53.07	53,857	140
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	9/30/2018	30	44.52	53,898	41
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	9/30/2018	56	44.52	54,502	604
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	9/30/2018	30	53.07	163,833	315
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	9/30/2018	30	44.52	164,069	236
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	9/30/2018	56	44.52	166,877	2,808
Brookfield Asset Management Inc.	Deferred Share Units	Miranda Robredo, Rafael	4	9/30/2018	30	44.52	4,904	17
Brookfield Asset Management Inc.	Deferred Share Units	Miranda Robredo, Rafael	4	9/30/2018	56	44.52	6,111	1,207
Brookfield Asset Management Inc.	Deferred Share Units	Nasr, Youssef	8	9/30/2018	30	44.52	25,531	45
Brookfield Asset Management Inc.	Deferred Share Units	Nasr, Youssef	8	9/30/2018	30	53.07	25,572	41
Brookfield Asset Management Inc.	Deferred Share Units	Nasr, Youssef	8	9/30/2018	56	44.52	26,478	906
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	9/30/2018	30	44.52	27,273	78
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	9/30/2018	30	53.07	27,287	14
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	9/30/2018	56	44.52	28,494	1,207
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Price, Timothy Robert	6	9/26/2018	10	58	3,861,794	-50,000
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	9/30/2018	30	53.07	30,760	26
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	9/30/2018	30	44.52	30,838	78
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	9/30/2018	56	44.52	32,045	1,207
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	9/30/2018	30	53.07	33,466	37
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	9/30/2018	30	44.52	33,541	75
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	9/30/2018	56	44.52	34,749	1,208
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Asset Management Inc.	3	10/3/2018	10	20.485	22,949,992	236,476
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Asset Management Inc.	3	10/4/2018	10	26.229	22,992,692	42,700
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Asset Management Inc.	3	10/4/2018	10	20.337	24,181,692	1,189,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Asset Management Inc.	3	10/5/2018	10	20.166	25,370,692	1,189,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Asset Management Inc.	3	10/5/2018	10	26.001	25,400,992	30,300
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	9/28/2018	30	39.31	7,525	62
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	9/28/2018	30	39.31	7,564	39
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	9/28/2018	30	39.31	7,583	19
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	9/28/2018	30	39.31	720	5
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	9/28/2018	30	39.31	726	6
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/4/2018	38	1.19	48,900	36,300

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BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/5/2018	38	1.19	85,200	36,300
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/6/2018	38	1.19	121,500	36,300
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/7/2018	38	1.2095	129,400	7,900
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/10/2018	38	1.2093	134,800	5,400
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/11/2018	38	1.2043	169,800	35,000
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/12/2018	38	1.1833	184,800	15,000
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/13/2018	38	1.19	209,800	25,000
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/14/2018	38	1.1813	212,800	3,000
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/17/2018	38	1.1912	249,100	36,300
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/18/2018	38	1.1469	285,400	36,300
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/19/2018	38	1.1633	300,400	15,000
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/20/2018	38	1.1327	308,200	7,800
BSM Technologies Inc.	Common Shares	BSM Technologies Inc.	1	9/28/2018	38		0	-308,200
BSR Real Estate Investment Trust	Deferred Units	Halter, William Amos	4	9/30/2018	56		5,034	1,677
BSR Real Estate Investment Trust	Deferred Units	Held, Bryan Henry	4	9/30/2018	56		5,562	2,110
BSR Real Estate Investment Trust	Deferred Units	Hughes, Jr., William Daniel	4	9/30/2018	56		5,191	1,834
BSR Real Estate Investment Trust	Deferred Units	Labatte, Neil Joseph	4	9/30/2018	56		7,254	3,328
BSR Real Estate Investment Trust	Deferred Units	Senst, Graham David	4	9/30/2018	56		5,895	2,411
BSR Real Estate Investment Trust	Deferred Units	Wademan, Elizabeth Anne	4	9/30/2018	56		5,895	2,411
BTB Real Estate Investment Trust	Parts différées	Ducharme, Lucie	4	9/30/2018	46	4.816	18,507	1,817
BTB Real Estate Investment Trust	Parts différées	Ducharme, Lucie	4	9/30/2018	35	4.816	18,922	415
BTB Real Estate Investment Trust	Parts différées	Janson, Jean-Pierre	4	9/30/2018	35	4.816	3,581	77
BTB Real Estate Investment Trust	Parts différées	Lachapelle, Luc	4, 5	9/30/2018	35	4.816	3,581	77
BTB Real Estate Investment Trust	Parts différées	Polatos, Peter	4	9/30/2018	35	4.816	894	19
BTB Real Estate Investment Trust	Parts différées	Proteau, Jocelyn	4	9/30/2018	35	4.816	7,162	153
BURCON NUTRASCIENCE CORPORATION	Common Shares	Chan, Yiu Lun, Alan	3, 4	4/20/2010	00			
BURCON NUTRASCIENCE CORPORATION	Common Shares	Chan, Yiu Lun, Alan	3, 4	9/28/2018	11		2,641,058	2,641,058
BURCON NUTRASCIENCE CORPORATION	Common Shares	Chan, Yiu Lun, Alan	3, 4	4/20/2010	00			
BURCON NUTRASCIENCE CORPORATION	Common Shares	Chan, Yiu Lun, Alan	3, 4	9/28/2018	11		7,225,510	7,225,510
BURCON NUTRASCIENCE CORPORATION	Convertible Notes CAD2 mil.,convertible into common shares at CAD3.94 each	Chan, Yiu Lun, Alan	3, 4	4/20/2010	00			
BURCON NUTRASCIENCE CORPORATION	Convertible Notes CAD2 mil.,convertible into common shares at CAD3.94 each	Chan, Yiu Lun, Alan	3, 4	9/28/2018	11		$2,000,000	$2,000,000
BURCON NUTRASCIENCE CORPORATION	Warrants	Chan, Yiu Lun, Alan	3, 4	4/20/2010	00			
BURCON NUTRASCIENCE CORPORATION	Warrants	Chan, Yiu Lun, Alan	3, 4	9/28/2018	11		253,815	253,815
Buzz Capital 2 Inc.	Common Shares	Lalonde, Patrick	3, 4, 5	9/25/2018	00		800,000	
Buzz Capital 2 Inc.	Common Shares	Rifici, Charles	4	9/25/2018	00		800,000	
C21 Investments Inc.	Common Shares	Pinnick, Skyler	4	10/3/2018	00		288,516	
C21 Investments Inc.	Options	Pinnick, Skyler	4	6/26/2018	50	2.8	100,000	100,000
C21 Investments Inc.	Options	Pinnick, Skyler	4	10/3/2018	00			
CAE Inc.	Deferred Share Units	Billson, Margaret	4	9/30/2018	56	26.37	25,911	1,818
CAE Inc.	Common Shares	CAE INC.	1	9/4/2018	38	25.52	119,000	119,000
CAE Inc.	Common Shares	CAE INC.	1	9/5/2018	38	26.02	169,000	50,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CAE Inc.	Common Shares	CAE INC.	1	9/6/2018	38	26.07	218,700	49,700
CAE Inc.	Common Shares	CAE INC.	1	9/7/2018	38	26.23	268,700	50,000
CAE Inc.	Common Shares	CAE INC.	1	9/10/2018	38	26.49	318,700	50,000
CAE Inc.	Common Shares	CAE INC.	1	9/11/2018	38	26.51	357,400	38,700
CAE Inc.	Common Shares	CAE INC.	1	9/12/2018	38	26.72	407,400	50,000
CAE Inc.	Common Shares	CAE INC.	1	9/13/2018	38	26.71	414,900	7,500
CAE Inc.	Common Shares	CAE INC.	1	9/14/2018	38	26.41	422,400	7,500
CAE Inc.	Common Shares	CAE INC.	1	9/17/2018	38	26.34	429,800	7,400
CAE Inc.	Common Shares	CAE INC.	1	9/18/2018	38	26.39	437,000	7,200
CAE Inc.	Common Shares	CAE INC.	1	9/19/2018	38	26.4	444,200	7,200
CAE Inc.	Common Shares	CAE INC.	1	9/20/2018	38	26.4	451,700	7,500
CAE Inc.	Common Shares	CAE INC.	1	9/21/2018	38	26.34	459,200	7,500
CAE Inc.	Common Shares	CAE INC.	1	9/24/2018	38	26.03	478,200	19,000
CAE Inc.	Common Shares	CAE INC.	1	9/25/2018	38	26.01	537,200	59,000
CAE Inc.	Common Shares	CAE INC.	1	9/26/2018	38	26.24	542,200	5,000
CAE Inc.	Common Shares	CAE INC.	1	9/26/2018	38	26.29	0	-542,200
CAE Inc.	Deferred Share Units	Fortier, Michael M	4	9/30/2018	56	26.37	62,407	2,049
CAE Inc.	Deferred Share Units	MacGibbon, Alan	4	9/30/2018	56	26.37	30,716	2,024
CAE Inc.	Deferred Share Units	Manley, John Paul	4	9/30/2018	56	26.37	111,427	2,786
CAE Inc.	Deferred Share Units	Olivier, François	4	9/30/2018	56	26.37	11,305	1,764
CAE Inc.	Deferred Share Units	Roach, Michael	4	9/30/2018	56	26.37	6,152	1,695
CAE Inc.	Deferred Share Units	Schwartz, Norton	4	9/30/2018	00			
CAE Inc.	Deferred Share Units	Schwartz, Norton	4	9/30/2018	56	26.37	866	866
CAE Inc.	Deferred Share Units	Stevens, Andrew John	4	9/30/2018	56	26.37	57,035	2,076
CAE Inc.	Deferred Share Units	Stevenson, Katharine Berghuis	4	9/30/2018	56	26.37	113,447	2,195
Cameco Corporation	Rights Deferred Share Units	Bruce, Ian	4	9/21/2018	56		47,308	3,609
Cameco Corporation	Rights Deferred Share Units	Camus, Daniel Robert	4	9/21/2018	56		75,977	1,067
Cameco Corporation	Rights Deferred Share Units	Clappison, John	4	9/21/2018	56		53,075	1,115
Cameco Corporation	Rights Deferred Share Units	Deranger, Donald Hearl Felix	4	9/21/2018	56		57,435	1,973
Cameco Corporation	Rights Deferred Share Units	Gignac, Catherine	4	9/21/2018	56		34,285	2,192
Cameco Corporation	Rights Deferred Share Units	Gowans, James Kitchener	4	9/21/2018	56		63,438	1,096
Cameco Corporation	Rights Deferred Share Units	Jackson, Kathryn	4	9/21/2018	56		16,655	2,309
Cameco Corporation	Rights Deferred Share Units	Kayne, Donald Blair	4	9/21/2018	56		46,115	4,557
Cameco Corporation	Rights Deferred Share Units	McLellan, A. Anne	4	9/21/2018	56		47,198	1,039
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Bralver, Charles Norman	4	9/10/2018	56	7.0732	61,640	87
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Bralver, Charles Norman	4	9/30/2018	56	6.8949	63,453	1,813
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	9/5/2018	38		0	-5,900
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Desai, Kalpana	4	9/10/2018	56	7.0732	36,380	51
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Desai, Kalpana	4	9/30/2018	56	6.8949	38,193	1,813
Canaccord Genuity Group Inc.	Options Performance Share Options (PSOs)	Freeman, Marcus Geoffrey John	7	3/7/2014	00			
Canaccord Genuity Group Inc.	Options Performance Share Options (PSOs)	Freeman, Marcus Geoffrey John	7	9/30/2018	50	7.067	400,000	400,000
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Harris, Michael Deane	4	9/10/2018	56	7.0732	136,259	192
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Harris, Michael Deane	4	9/30/2018	56	6.8949	140,248	3,989

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Lyons, Terrence	4	9/10/2018	56	7.0732	73,043	103
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Lyons, Terrence	4	9/30/2018	56	6.8949	75,174	2,131
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	9/10/2018	56	7.0732	50,007	71
Canaccord Genuity Group Inc.	Rights Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	9/30/2018	56	6.8949	51,820	1,813
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/5/2018	38	8.84	3,000	3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/5/2018	38	8.84	0	-3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/6/2018	38	8.84	3,000	3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/6/2018	38	8.84	0	-3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/7/2018	38	8.78	1,800	1,800
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/7/2018	38	8.78	0	-1,800
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/10/2018	38	8.77	100	100
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/10/2018	38	8.77	0	-100
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/12/2018	38	8.8	3,000	3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/12/2018	38	8.8	0	-3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/25/2018	38	8.78	2,600	2,600
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/25/2018	38	8.78	0	-2,600
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/27/2018	38	8.73	1,900	1,900
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/27/2018	38	8.73	0	-1,900
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/28/2018	38	8.73	3,000	3,000
Canadian High Income Equity Fund	Units	Canadian High Income Equity Fund	1	9/28/2018	38	8.73	0	-3,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/4/2018	38	122.39	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/4/2018	38	122.39	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/5/2018	38	123.08	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/5/2018	38	123.08	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/6/2018	38	123.4	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/6/2018	38	123.4	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/7/2018	38	122.87	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/7/2018	38	122.87	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/10/2018	38	123.32	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/10/2018	38	123.32	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/11/2018	38	123.25	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/11/2018	38	123.25	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/12/2018	38	122.78	100,000	100,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/12/2018	38	122.78	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/13/2018	38	122.59	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/13/2018	38	122.59	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/14/2018	38	122.5	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/14/2018	38	122.5	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/17/2018	38	122.75	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/17/2018	38	122.75	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/18/2018	38	123.04	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/18/2018	38	123.04	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/19/2018	38	123.67	100,000	100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/19/2018	38	123.67	0	-100,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/20/2018	38	124.62	50,000	50,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	9/20/2018	38	124.62	0	-50,000
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2/18/2015	38		598,340	-74,550
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/4/2018	38	115.62	68,117	71,330
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/5/2018	38	113.9	69,180	72,400
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/6/2018	38		-2,150	-71,330
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/6/2018	38	114.42	69,940	72,090
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/7/2018	38		-2,460	-72,400
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/7/2018	38	113.84	69,990	72,450
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/10/2018	38		-2,100	-72,090
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/10/2018	38	113.87	72,385	74,485
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/11/2018	38		-65	-72,450
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/11/2018	38	114.17	74,225	74,290
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/12/2018	38		-260	-74,485
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/12/2018	38	112.56	75,095	75,355
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/13/2018	38		805	-74,290
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/13/2018	38	113.08	75,805	75,000
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/14/2018	38		450	-75,355
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/14/2018	38	113.78	75,000	74,550
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/14/2018	38	113.78		74,100
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/14/2018	38	113.78		74,100
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/17/2018	38		0	-75,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/17/2018	38	114.14	74,310	74,310
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/18/2018	38	114.13	148,620	74,310
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/19/2018	38		74,310	-74,310
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/19/2018	38	111.74	150,210	75,900
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/20/2018	38		75,900	-74,310
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/20/2018	38	113.21	150,810	74,910
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/21/2018	38		74,910	-75,900
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/21/2018	38	114.4	149,070	74,160
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/24/2018	38		74,160	-74,910
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/24/2018	38	113.17	149,095	74,935
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/25/2018	38		74,935	-74,160
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/25/2018	38	114.07	149,280	74,345
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/26/2018	38		74,345	-74,935
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/26/2018	38	116.17	147,386	73,041
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/27/2018	38		73,041	-74,345
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/27/2018	38	116.98	145,572	72,531
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/28/2018	38		72,531	-73,041
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	9/28/2018	38	115.23	146,165	73,634
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	10/1/2018	38		73,634	-72,531
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	10/2/2018	38		0	-73,634
Canadian Natural Resources Limited	Common Shares	Best, Catherine May	4	10/1/2018	46	43.135	35,228	1,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	9/30/2018	38	42.487	3,282,000	2,832,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	9/30/2018	38	32.578	6,150,000	2,868,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	9/30/2018	38		600,000	-5,550,000
Canadian Natural Resources Limited	DSU	Faithfull, Timothy W.	4	10/1/2018	46	43.135	32,000	1,000
Canadian Natural Resources Limited	DSUs	Fong, Christopher Lee	4	10/1/2018	46	43.135	4,000	1,000
Canadian Natural Resources Limited	Common Shares	Giffin, Gordon D.	4	10/1/2018	46	43.135	71,224	1,000
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	10/1/2018	46	43.135	34,600	1,000
Canadian Natural Resources Limited	DSU	McKenna, Frank	4	10/1/2018	46	43.135	38,010	1,000
Canadian Natural Resources Limited	Common Shares	Tuer, David	4	10/1/2018	46	43.135	82,508	1,000
Canadian Natural Resources Limited	DSUs	Verschuren, Annette Marie	4	10/1/2018	46	43.135	4,000	1,000
Canadian Pacific Railway Limited	Rights DSU	Baird, John Russell	4	9/30/2018	56	270.87	4,054	239
Canadian Pacific Railway Limited	Rights DSU	Courville, Isabelle	4	9/30/2018	56	270.87	6,805	137

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian Pacific Railway Limited	Rights DSU	Denham, Gillian H. (Jill)	4	9/30/2018	56	270.87	2,305	239
Canadian Pacific Railway Limited	Rights DSU	MACDONALD, REBECCA	4	9/30/2018	56	270.87	10,181	275
Canadian Pacific Railway Limited	Rights DSU	Paull, Matthew	4	9/30/2018	56	209.03	4,284	275
Canadian Pacific Railway Limited	Rights DSU	Peverett, Jane Leslie	4	9/30/2018	56	270.87	2,188	275
Canadian Pacific Railway Limited	Rights DSU	Reardon, Andrew Fitzpatrick	4	9/30/2018	56	209.03	12,119	472
Canadian Pacific Railway Limited	Rights DSU	Trafton II, Gordon T.	4	9/30/2018	56	209.03	2,250	239
Canadian Tire Corporation, Limited	Deferred Share Units	Anderson, Eric Thomas	4	9/30/2018	56	155.03	2,893	397
Canadian Tire Corporation, Limited	Deferred Share Units	Boivin, Pierre	4	9/30/2018	56	155.03	6,480	292
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	9/28/2018	38	152.99	11,900	11,900
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	9/28/2018	38		0	-11,900
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/1/2018	38	152.38	20,000	20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/1/2018	38		0	-20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/2/2018	38	150.02	20,000	20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/2/2018	38		0	-20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/3/2018	38	151.63	20,000	20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/3/2018	38		0	-20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/4/2018	38	151.31	20,000	20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/4/2018	38		0	-20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/5/2018	38	150.65	20,000	20,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	10/5/2018	38		0	-20,000
Canadian Tire Corporation, Limited	Deferred Share Units	Connolly, Patrick Joseph	4	9/30/2018	56	155.03	606	195
Canadian Tire Corporation, Limited	Deferred Share Units	Derbyshire, Mark Elwin	4	9/30/2018	56	155.03	3,157	305
Canadian Tire Corporation, Limited	Deferred Share Units	Furlong, John Aloysius Francis	4	9/30/2018	56	155.03	6,233	148
Canadian Tire Corporation, Limited	Deferred Share Units	L'Heureux, Claude R.	4	9/30/2018	56	155.03	12,308	271
Canadian Tire Corporation, Limited	Deferred Share Units	Murray, Donald Allan	4	9/30/2018	56	155.03	1,694	281
Canadian Tire Corporation, Limited	Deferred Share Units	Price, Timothy Robert	4	9/30/2018	56	155.03	18,349	194
Canadian Tire Corporation, Limited	Deferred Share Units	von Hahn, Anatol	4	9/30/2018	56	155.03	3,993	323
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	3/1/2018	30	33.085	170,170	1,999
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	6/1/2018	30	30.73	172,347	2,177
Canadian Utilities Limited	Non-Voting Shares Class A	Southern, Nancy C.	4, 6, 7, 5	9/1/2018	30	31.11	174,525	2,178
Canadian Western Bank	Common Shares	Bibby, Andrew John	4	9/28/2018	30	34.52	9,121	68
Canadian Western Bank	Common Shares	Bibby, Andrew John	4	9/28/2018	30	34.52	1,113	8
Canarc Resource Corp.	Common Shares	Canarc Resource Corp.	1	9/28/2018	38		0	-208,000
Canfor Corporation	Common Shares	Canfor Corporation	1	10/1/2018	38		0	-2,302,090
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Effron, Craig	3	9/28/2018	10	9.1233	279,350	25,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Effron, Craig	3	9/28/2018	10	9.195	287,500	8,150
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Effron, Craig	3	10/2/2018	10	9.1957	292,500	5,000
Cannabis Strategies Acquisition Corp.	Warrants	Effron, Craig	3	9/13/2018	00			
Cannabis Strategies Acquisition Corp.	Warrants	Effron, Craig	3	10/1/2018	10	2.2094	159,600	159,600
Cannabis Strategies Acquisition Corp.	Warrants	Effron, Craig	3	10/2/2018	10	2.3187	250,000	90,400
Cannabis Strategies Acquisition Corp.	Warrants	Effron, Craig	3	10/3/2018	10	2.4095	340,200	90,200
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Schenker, Curtis	3	9/28/2018	10	8.8569		30,000
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Schenker, Curtis	3	9/28/2018	10	8.8569		30,000
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Schenker, Curtis	3	9/28/2018	10	8.8569		30,000
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Schenker, Curtis	3	9/28/2018	10	8.8569	230,000	30,000
Cannabis Strategies Acquisition Corp.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Schenker, Curtis	3	10/2/2018	10	9.1957	235,000	5,000
Cannabis Strategies Acquisition Corp.	Warrants	Schenker, Curtis	3	9/13/2018	00			
Cannabis Strategies Acquisition Corp.	Warrants	Schenker, Curtis	3	10/1/2018	10	2.2094	159,600	159,600
Cannabis Strategies Acquisition Corp.	Warrants	Schenker, Curtis	3	10/2/2018	10	2.3187	250,000	90,400
Cannabis Strategies Acquisition Corp.	Warrants	Schenker, Curtis	3	10/3/2018	10	2.4095	340,200	90,200
CannTrust Holdings Inc.	Common Shares	Aceto, Peter	5	10/1/2018	00			
CannTrust Holdings Inc.	Options	Aceto, Peter	5	10/1/2018	00			
CannTrust Holdings Inc.	Warrants	Aceto, Peter	5	10/1/2018	00			
CannTrust Holdings Inc.	Common Shares	Dawber, Mark	4	9/19/2018	10	13	23,000	-7,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.44	54,502	3,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.445	57,502	3,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.45	66,002	8,500
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.455	70,002	4,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.46	73,002	3,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.465	76,002	3,000
Cannvas MedTech Inc.	Common Shares	Loutskou, Steve	3, 4, 5	10/4/2018	10	0.47	88,502	12,500
Cannvas MedTech Inc.	Common Shares	Moniz, Shawn	3, 4, 5	10/4/2018	10	0.445	5,056,491	500
Cannvas MedTech Inc.	Common Shares	Moniz, Shawn	3, 4, 5	10/4/2018	10	0.4588	5,059,091	2,600
Cannvas MedTech Inc.	Common Shares	Moniz, Shawn	3, 4, 5	10/4/2018	10	0.4619	5,067,091	8,000
Cannvas MedTech Inc.	Common Shares	Moniz, Shawn	3, 4, 5	10/4/2018	10	0.45	5,068,091	1,000
Cannvas MedTech Inc.	Common Shares	Moniz, Shawn	3, 4, 5	10/4/2018	10	0.465	5,068,591	500
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/27/2018	10	64.43	0	-36,350
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/27/2018	51	2.11	83,333	83,333
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/27/2018	10	64.63	0	-83,333
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/28/2018	51	3.85	93,750	93,750
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/28/2018	10	64.63	0	-93,750
Canopy Growth Corporation	Common Shares	Bell, John K.	4	8/3/2018	36	30.145		6,316
Canopy Growth Corporation	Common Shares	Bell, John K.	4	8/3/2018	36	30.145	69,967	6,317
Canopy Growth Corporation	Common Shares	Bell, John K.	4	9/27/2018	10	64.07	14,967	-55,000
Canopy Growth Corporation	Options	Bell, John K.	4	9/27/2018	51	3.85		-93,750
Canopy Growth Corporation	Options	Bell, John K.	4	9/27/2018	51	2.11	93,750	-83,333
Canopy Growth Corporation	Options	Bell, John K.	4	9/28/2018	51	3.85	0	-93,750

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Canopy Growth Corporation	Common Shares	Bigioni, David	5	5/1/2018	00			
Canopy Growth Corporation	Common Shares	Bigioni, David	5	9/27/2018	51	8.91	95,000	95,000
Canopy Growth Corporation	Common Shares	Bigioni, David	5	9/27/2018	10	65.014	47,500	-47,500
Canopy Growth Corporation	Common Shares	Bigioni, David	5	9/27/2018	10	64.102	0	-47,500
Canopy Growth Corporation	Options	Bigioni, David	5	9/27/2018	51	8.91	190,000	-95,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90			300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90			300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90			300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	10	65.066	1,527,268	-280,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	10	65.649	1,517,268	-10,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	10	65.738	1,507,268	-10,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	10	64.28	1,437,268	-70,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90			394,592
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	394,592	394,592
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	0	-2,564,592
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90		300,000	300,000
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	8/28/2015	00			
Canopy Growth Corporation	Common Shares	Goldman, Murray	4	9/28/2018	90	64.28	300,000	300,000
Canopy Growth Corporation	Common Shares	Linton, Bruce	3, 4, 5	9/27/2018	10	64.658	2,266,225	-300,000
Canopy Growth Corporation	Common Shares	Linton, Bruce	3, 4, 5	9/27/2018	10	64.182	2,258,380	-7,845
Canopy Growth Corporation	Common Shares	Pryce, Dave	5	5/1/2018	00			
Canopy Growth Corporation	Common Shares	Pryce, Dave	5	9/27/2018	51	11.71	60,000	60,000
Canopy Growth Corporation	Common Shares	Pryce, Dave	5	9/27/2018	10	65.077	0	-60,000
Canopy Growth Corporation	Options	Pryce, Dave	5	9/27/2018	51	11.71	120,000	-60,000
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	51	1.92	116,667	116,667
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	51	2.95	166,667	50,000
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	51	2.68	200,001	33,334
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	51	9.88	241,668	41,667
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	51	8.18	375,001	133,333
Canopy Growth Corporation	Common Shares	Saunders, Timothy Rob	5	9/27/2018	10	65.324	0	-375,001
Canopy Growth Corporation	Options	Saunders, Timothy Rob	5	9/27/2018	51	1.92	691,667	-116,667
Canopy Growth Corporation	Options	Saunders, Timothy Rob	5	9/27/2018	51	2.95	641,667	-50,000
Canopy Growth Corporation	Options	Saunders, Timothy Rob	5	9/27/2018	51	2.68	608,333	-33,334
Canopy Growth Corporation	Options	Saunders, Timothy Rob	5	9/27/2018	51	9.88	566,666	-41,667
Canopy Growth Corporation	Options	Saunders, Timothy Rob	5	9/27/2018	51	8.18	433,333	-133,333
Canopy Growth Corporation	Common Shares	Shaer, Phillip	5	9/27/2018	54	2.68		36,666
Canopy Growth Corporation	Common Shares	Shaer, Phillip	5	9/27/2018	51	2.68	36,666	36,666
Canopy Growth Corporation	Common Shares	Shaer, Phillip	5	9/27/2018	51	8.18	69,999	33,333
Canopy Growth Corporation	Common Shares	Shaer, Phillip	5	9/27/2018	10	65.86	36,666	-33,333
Canopy Growth Corporation	Common Shares	Shaer, Phillip	5	9/27/2018	10	66.18	0	-36,666
Canopy Growth Corporation	Options	Shaer, Phillip	5	9/27/2018	51	2.68	136,667	-36,666
Canopy Growth Corporation	Options	Shaer, Phillip	5	9/27/2018	51	8.18	103,334	-33,333
Canopy Growth Corporation	Common Shares	Stringham, Peter	4	9/28/2018	51	3.85	107,500	100,000
Canopy Growth Corporation	Common Shares	Stringham, Peter	4	9/28/2018	10	64.37	7,500	-100,000
Canopy Growth Corporation	Options	Stringham, Peter	4	9/28/2018	51	3.85	25,000	-100,000
Canopy Growth Corporation	Common Shares	Wadasinghe, Ru	5	5/1/2018	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canopy Growth Corporation	Common Shares	Wadasinghe, Ru	5	9/27/2018	51	3.86	33,333	33,333
Canopy Growth Corporation	Common Shares	Wadasinghe, Ru	5	9/27/2018	51	8.18	66,666	33,333
Canopy Growth Corporation	Common Shares	Wadasinghe, Ru	5	9/27/2018	10	65.794	0	-66,666
Canopy Growth Corporation	Options	Wadasinghe, Ru	5	9/27/2018	51	3.86		-33,333
Canopy Growth Corporation	Options	Wadasinghe, Ru	5	9/27/2018	51	3.86	183,334	-33,333
Canopy Growth Corporation	Options	Wadasinghe, Ru	5	9/27/2018	51	8.18	150,001	-33,333
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.11	276,082	41,667
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.95		10,000
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.95	376,082	100,000
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.68	476,082	100,000
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	9.88	526,082	50,000
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	8.18	692,749	166,667
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	10	64.9	677,349	-15,400
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	10	64.3	599,588	-77,761
Canopy Growth Corporation	Common Shares	Zekulin, Mark Anthony Nicholas	5	9/27/2018	10	64.695	141,254	-458,334
Canopy Growth Corporation	Options	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.11	950,000	-41,667
Canopy Growth Corporation	Options	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.95	850,000	-100,000
Canopy Growth Corporation	Options	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	2.68	750,000	-100,000
Canopy Growth Corporation	Options	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	9.88	700,000	-50,000
Canopy Growth Corporation	Options	Zekulin, Mark Anthony Nicholas	5	9/27/2018	51	8.18	533,333	-166,667
Canso Credit Income Fund	Units Class A Units	Morin, Joseph Patrick	7	10/1/2018	10	11.905	7,900	-1,000
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Burns, Brenda Ellen	4	10/3/2018	10	4.58	507	1
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Burns, Brenda Ellen	4	10/2/2018	10	4.6	6	1
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Canso Partners II Fund	3	10/3/2018	10	4.58	887,231	1,000
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Canso Partners II Fund	3	10/2/2018	10	4.6	9,800	300
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Carney, Brian	5	10/3/2018	10	4.58	6,333	7
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carney, Brian	5	10/2/2018	10	4.6	70	2
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Carswell, John Paul	3, 4	10/3/2018	10	4.58	710,998	801
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carswell, John Paul	3, 4	10/2/2018	10	4.6	7,853	240
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Carswell, Kim Maria	7	10/3/2018	10	4.58	13,015	14
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Carswell, Kim Maria	7	10/2/2018	10	4.6	144	5
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	GRIP Investments Limited	3	10/3/2018	10	4.58	710,998	801
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	GRIP Investments Limited	3	10/2/2018	10	4.6	7,853	240
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Hicks, Timothy John	7	10/3/2018	10	4.58	6,333	7
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Hicks, Timothy John	7	10/2/2018	10	4.6	70	2
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Klubi, Stephen	4	10/2/2018	10	4.6	3,200	250

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Mason-Wood, Heather Elizabeth	7	10/3/2018	10	4.58	12,667	14
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Mason-Wood, Heather Elizabeth	7	10/2/2018	10	4.6	140	4
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Mudie, Gail Roberta	7	10/3/2018	10	4.58	25,334	29
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Mudie, Gail Roberta	7	10/2/2018	10	4.6	280	9
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Sit, Elizabeth	7	10/3/2018	10	4.58	507	1
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Sit, Elizabeth	7	10/2/2018	10	4.6	6	1
Canso Select Opportunities Corporation	Multiple Voting Shares Class A	Usher-Jones, Brian Richard	7	10/3/2018	10	4.58	7,600	8
Canso Select Opportunities Corporation	Subordinate Voting Shares Class B	Usher-Jones, Brian Richard	7	10/2/2018	10	4.6	84	3
CanWel Building Materials Group Ltd.	Common Shares	Doman, Amar	4	9/28/2018	10	5.5785	12,864,570	35,900
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	9/5/2017	00			
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	10/1/2018	57		21,053	21,053
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	10/1/2018	10		10,948	-10,105
Cardinal Energy Ltd.	Restricted Bonus Awards	Kelly, David	5	10/1/2018	57		42,106	-21,053
Cardinal Energy Ltd.	Restricted Bonus Awards	Kelly, David	5	10/1/2018	56		87,780	45,674
Cardinal Energy Ltd.	Restricted Bonus Awards	Sterling, Stephanie	4	10/1/2018	56		40,788	24,038
Cardinal Resources Limited	Class A Performance Shares	Easah, Malik Mohammed	4	12/28/2017	52		0	-10
Cardinal Resources Limited	Class A Performance Shares	Koimtsidis, Arthur	4	12/28/2017	52		0	-10
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	12/20/2017	10	0.55		500,000
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	12/20/2017	10	0.55	7,302,565	400,000
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	10/1/2018	90		8,017,565	715,000
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	10/1/2018	90		0	-540,000
Cardinal Resources Limited	Common Shares	Koimtsidis, Arthur	4	10/1/2018	90		0	-175,000
Cardinal Resources Limited	Options (Listed)	Koimtsidis, Arthur	4	10/1/2018	90		4,191,731	3,172,500
Cardinal Resources Limited	Options (Listed)	Koimtsidis, Arthur	4	10/1/2018	90		0	-3,172,500
Cardinal Resources Limited	Common Shares	Shipway, Sarah	5	10/3/2018	46	0.455	254,200	79,200
Carmanah Technologies Corporation	Common Shares	Brown, Evan	5	10/2/2018	10	4.33	9,227	485
Carmanah Technologies Corporation	Common Shares	Simmons, John Charles	4, 5	10/2/2018	30	4.33	68,032	831
CCL Industries Inc.	Rights Deferred Share Units	Galifi, Vincent Joseph	4	9/30/2018	56	59.17	4,743	112
CCL Industries Inc.	Rights Deferred Share Units	Guillet, Edward	4	9/30/2018	56	59.17	69,770	153
CCL Industries Inc.	Rights Deferred Share Units	Keller-Hobson, Kathleen	4	9/30/2018	56	59.17	7,182	15
CCL Industries Inc.	Rights Deferred Share Units	Lang, Erin Melissa	4	9/30/2018	56	59.17	4,552	43
CCL Industries Inc.	Rights Deferred Share Units	Lang, Stuart W.	4	9/30/2018	56	59.17	31,536	69
CCL Industries Inc.	Rights Deferred Share Units	Muzyka, Douglas W.	4	9/30/2018	56	59.17	6,205	102
CCL Industries Inc.	Rights Deferred Share Units	Peddie, Tom	4	9/30/2018	56	59.17	157,524	345
CCL Industries Inc.	Rights Deferred Share Units	Shapansky, Mandy	4	9/30/2018	56	59.17	9,227	21
Celestica Inc.	Deferred Share Units	Chopra, Deepak	4	10/1/2018	56	10.83		4,068
Celestica Inc.	Deferred Share Units	Chopra, Deepak	4	10/1/2018	56	10.83	7,780	4,068
Celestica Inc.	Deferred Share Units	DiMaggio, Dan	4	10/1/2018	56	10.83	181,694	4,242
Celestica Inc.	Deferred Share Units	Etherington, William	4	10/1/2018	56	10.83	409,290	8,311
Celestica Inc.	Deferred Share Units	Koellner, Laurette	4	10/1/2018	56	10.83	207,022	4,588
Celestica Inc.	Deferred Share Units	Onex Corporation	3	9/30/2018	56	10.83	212,440	5,425
Celestica Inc.	Deferred Share Units	Perry, Carol Susan	4	10/1/2018	56	10.83	117,003	5,425
Celestica Inc.	Deferred Share Units	Ryan, Eamon James	4	10/1/2018	56	10.83	257,423	4,329

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Celestica Inc.	Deferred Share Units	Wilson, Michael M.	4	10/1/2018	56	10.83	183,029	5,656
Centerra Gold Inc.	Rights Restricted Share Units	Connor, Richard Webster	4	9/30/2018	56	5.38	5,367	5,367
Centerra Gold Inc.	Rights Restricted Share Units	Kubatov, Eduard	4	9/30/2018	56	5.38	9,350	5,367
Centerra Gold Inc.	Rights Restricted Share Units	Lang, Stephen A.	5	9/30/2018	56	5.38	76,788	11,152
Centerra Gold Inc.	Rights Restricted Share Units	Lang, Stephen A.	5	9/30/2018	59	5.38	76,493	-295
Centerra Gold Inc.	Rights Restricted Share Units	Lang, Stephen A.	5	9/30/2018	59	5.38	68,454	-8,039
Centerra Gold Inc.	Rights Restricted Share Units	Oskombaev, Askar	4	9/30/2018	56	5.38	8,029	5,367
Centerra Gold Inc.	Rights Restricted Share Units	Parrett, Michael S.	4	9/30/2018	56	5.38	65,969	5,367
Centerra Gold Inc.	Common Shares	Perron, Jacques	4	9/30/2018	57	5.38	105,135	2,683
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	9/30/2018	56	5.38	5,367	5,367
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	9/30/2018	57	5.38	2,684	-2,683
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	9/30/2018	59	5.38	0	-2,684
Centerra Gold Inc.	Rights Restricted Share Units	Pressler, Sheryl	4	9/30/2018	56	5.38	5,367	5,367
Centerra Gold Inc.	Rights Restricted Share Units	Sagynov, Bektur	4	9/30/2018	56	5.38	16,354	5,367
Centerra Gold Inc.	Deferred Share Units	Walter, Bruce V.	4	9/30/2018	56	5.38	120,502	8,366
Centerra Gold Inc.	Deferred Share Units	Yurkovich, Susan L	4	9/30/2018	56	5.38	12,201	8,155
Central Timmins Exploration Corp.	Common Shares	Dastoor, Neville	4	11/10/2017	00		4,050,000	
Central Timmins Exploration Corp.	Options	Dastoor, Neville	4	11/10/2017	00		600,000	
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	9/30/2018	56		90,550	10,165
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	9/30/2018	56		92,637	10,564
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	9/30/2018	56		94,428	9,730
CGI Group Inc.	Rights Performance Share Units	Baticle, Jean-Michel	5	10/1/2018	56	85.62	14,483	6,570
CGI Group Inc.	Rights Performance Share Units	Boulanger, François	5	10/1/2018	56	85.62	24,967	11,601
CGI Group Inc.	Rights Performance Share Units	Boyajian, Mark	5	10/1/2018	56	85.62	13,148	5,793
CGI Group Inc.	Rights Performance Share Units	Dube, Benoit	5	10/1/2018	56	85.62	12,639	6,249
CGI Group Inc.	Rights Performance Share Units	Godin, Julie	4	10/1/2018	56	85.62	12,727	5,688
CGI Group Inc.	Rights Performance Share Units	Godin, Serge	3, 4	10/1/2018	56	85.62	543,761	120,927
CGI Group Inc.	Rights Performance Share Units	Gorber, Lorne Shawn	5	10/1/2018	56	85.62	4,129	1,845
CGI Group Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	9/19/2018	38	84.932	21,000	21,000
CGI Group Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	9/20/2018	38	85	21,300	300
CGI Group Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	9/21/2018	38		300	-21,000
CGI Group Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	9/24/2018	38		0	-300
CGI Group Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	9/28/2018	38	83.595	50,000	50,000
CGI Group Inc.	Rights Performance Share Units	Henderson, Dave	5	10/1/2018	56	66.12	14,680	6,352
CGI Group Inc.	Rights Performance Share Units	Hurlebaus, Timothy	5	10/1/2018	56	66.12	12,608	6,182
CGI Group Inc.	Rights Performance Share Units	Keating, Michael John	5	10/1/2018	56	85.62	3,861	1,939

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CGI Group Inc.	Rights Performance Share Units	Linder, Kevin Morris	5	10/1/2018	56	85.62	2,460	1,080
CGI Group Inc.	Rights Performance Share Units	Mattackal, George Jacob	5	10/1/2018	56	85.62	4,844	2,155
CGI Group Inc.	Rights Performance Share Units	MCGEEHAN, TARA	5	10/1/2018	56	85.62	7,984	4,411
CGI Group Inc.	Rights Performance Share Units	Nikku, Heikki	5	10/1/2018	56	85.62	12,516	5,635
CGI Group Inc.	Rights Performance Share Units	Perron, Steve	5	10/1/2018	56	85.62	2,104	934
CGI Group Inc.	Rights Performance Share Units	Rocheleau, Daniel	5	10/1/2018	56	85.62	4,957	2,377
CGI Group Inc.	Rights Performance Share Units	Schindler, George Donald	4, 5	10/1/2018	56	66.12	80,006	37,990
CGI Group Inc.	Rights Performance Share Units	Strass, Torsten	5	10/1/2018	56	85.62	5,935	3,495
CGI Group Inc.	Rights Performance Share Units	Vigeant, Guy	5	10/1/2018	56	85.62	5,048	2,190
Chartwell Retirement Residences	Deferred Units	Bastarache, Lise	4	9/30/2018	46	15.153	76,420	1,845
Chartwell Retirement Residences	Rights Restricted Trust Units	Binions, W. Brent	4, 5	9/30/2018	30	15.281	192,024	1,835
Chartwell Retirement Residences	Rights Restricted Trust Units	Boulakia, Jonathan	5	9/30/2018	30	15.281	46,963	449
Chartwell Retirement Residences	Rights Restricted Trust Units	Chateauvert, Sheri Lynn	5	9/30/2018	30	15.281	47,331	452
Chartwell Retirement Residences	Deferred Units	Davis, Virginia Ann	4	9/30/2018	46	15.153	6,851	1,180
Chartwell Retirement Residences	Deferred Units	Harris, Michael Deane	4	9/30/2018	46	15.153	274,780	6,249
Chartwell Retirement Residences	Deferred Units	Kuzmicki, Andre	7	9/30/2018	46	15.153	167,304	4,047
Chartwell Retirement Residences	Deferred Units	Robinson, Sidney P H	4	9/30/2018	46	15.153	208,513	4,240
Chartwell Retirement Residences	Deferred Units	Sallows, Sharon	4	9/30/2018	46	15.153	119,869	3,174
Chartwell Retirement Residences	Rights Restricted Trust Units	Sullivan, Karen Leslie	5	9/30/2018	30	15.281	53,809	514
Chartwell Retirement Residences	Deferred Units	Thomas, John Huw	4	9/30/2018	46	15.153	93,340	3,340
Chartwell Retirement Residences	Rights Restricted Trust Units	Volodarski, Vlad	5	9/30/2018	30	15.281	54,039	516
Chemesis International Inc.	Common Shares	Rae Ventures Inc.	3	10/1/2018	10	1.9955	8,017,633	20,000
Cherry Street Capital Inc.	Options	ARBUCKLE, JOSH	4	7/20/2018	00			
Cherry Street Capital Inc.	Options	ARBUCKLE, JOSH	4	9/28/2018	50	0.5	3,050	3,050
Cherry Street Capital Inc.	Options	Cheddie, Rudy	4	7/20/2018	00			
Cherry Street Capital Inc.	Options	Cheddie, Rudy	4	9/28/2018	50	0.5	100,650	100,650
Cherry Street Capital Inc.	Options	Del Moral, Jose	4, 5	7/30/2018	00			
Cherry Street Capital Inc.	Options	Del Moral, Jose	4, 5	9/28/2018	50	0.5	100,650	100,650
Cherry Street Capital Inc.	Options	Faissal, Robert	4	7/20/2018	00			
Cherry Street Capital Inc.	Options	Faissal, Robert	4	9/28/2018	50	0.5	100,650	100,650
Chinook Energy Inc.	Common Shares	Wierzba, P. Grant	4, 5	10/2/2018	10	0.26	575,039	-4,000
Chinook Energy Inc.	Common Shares	Wierzba, P. Grant	4, 5	10/3/2018	10	0.26	390,039	-185,000
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Adams, Kerry Dawn	4	9/30/2018	30		44,787	650
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Adams, Kerry Dawn	4	10/1/2018	56		46,142	1,355
Choice Properties Real Estate Investment Trust	Trust Units	Barrafato, Mario	5	5/4/2018	00			
Choice Properties Real Estate Investment Trust	Trust Units	Barrafato, Mario	5	5/4/2018	00		173,174	
Choice Properties Real Estate Investment Trust	Trust Units	Barrafato, Mario	5	9/28/2018	10	12.357	207,521	34,347
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Clark, Christie James Beckett	4, 6	9/30/2018	30		12,411	176

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Clark, Christie James Beckett	4, 6	10/1/2018	56		13,633	1,222
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	5/4/2018	00		41,832	
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	9/28/2018	10	12.357	85,309	43,477
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	9/28/2018	11	12.357	41,832	-43,477
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	5/4/2018	00			
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	5/4/2018	00		347,285	
Choice Properties Real Estate Investment Trust	Trust Units	Diamond, Rael Lee	5	9/28/2018	11	12.357	390,762	43,477
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Eadie, Graeme McAlilster	4	9/30/2018	30		7,338	102
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Eadie, Graeme McAlilster	4	10/1/2018	56		8,713	1,375
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Graham, Anthony R.	7	9/30/2018	30		13,355	182
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Graham, Anthony R.	7	10/1/2018	56		16,167	2,812
Choice Properties Real Estate Investment Trust	Trust Units	Johnson, Stephen Edward	4, 5	9/28/2018	10	12.357	1,443,943	294,673
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Kinsley, Karen	4	9/30/2018	30		1,439	14
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Kinsley, Karen	4	10/1/2018	56		3,857	2,418
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Latimer, Robert Michael	4	9/30/2018	30		1,439	14
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Latimer, Robert Michael	4	10/1/2018	56		3,841	2,402
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Weiss, Paul Raymond	4	9/30/2018	30		32,651	474
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Weiss, Paul Raymond	4	10/1/2018	56		33,670	1,019
Choice Properties Real Estate Investment Trust	Rights Deferred Units	Weston, Willard Galen Garfield	6	9/30/2018	30		54,760	803
Chorus Aviation Inc.	Deferred Share Units	Clandillon, Margaret	4	9/30/2018	56	7.6597	4,468	1,632
Chorus Aviation Inc.	Deferred Share Units	Collins, Gary	4	9/30/2018	56	7.6597	159,522	1,632
Chorus Aviation Inc.	Deferred Share Units	Cramm, Karen	4	9/30/2018	56	7.6597	92,558	2,219
Chorus Aviation Inc.	Deferred Share Units	Falconer, Richard Douglas	4	9/30/2018	56	7.6597	92,566	3,101
Chorus Aviation Inc.	Deferred Share Units	Hannahs, R. Stephen	4	9/30/2018	56	7.6597	38,803	2,986
Chorus Aviation Inc.	Deferred Share Units	Isaacs, Sydney John	4, 7	9/30/2018	56	7.6597	90,715	1,632
Chorus Aviation Inc.	Deferred Share Units	McCoy, Richard H.	4	9/30/2018	56	7.6597	248,822	5,712
Chorus Aviation Inc.	Deferred Share Units	Morin, Marie-Lucie	4, 5	9/30/2018	56	7.6597	18,104	1,950
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/4/2018	38	20.973	47,000	47,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/4/2018	38		0	-47,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/5/2018	38	20.617	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/5/2018	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/6/2018	38	20.488	150,000	150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/6/2018	38		0	-150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/7/2018	38	20.347	150,000	150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/7/2018	38		0	-150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/10/2018	38	20.565	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/10/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/11/2018	38	20.18	155,200	155,200
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/11/2018	38		0	-155,200
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/12/2018	38	20.414	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/12/2018	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/13/2018	38	20.423	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/13/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/14/2018	38	20.42	91,700	91,700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/14/2018	38		0	-91,700
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/17/2018	38	20.35	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/17/2018	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/18/2018	38	20.255	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/18/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/19/2018	38	20.581	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/19/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/20/2018	38	20.609	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/20/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/21/2018	38	20.606	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/21/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/24/2018	38	20.581	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/24/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/25/2018	38	20.537	50,000	50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/25/2018	38		0	-50,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/26/2018	38	20.727	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/26/2018	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/27/2018	38	20.426	150,000	150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/27/2018	38		0	-150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/28/2018	38	20.549	133,900	133,900
CI Financial Corp.	Common Shares	CI Financial Corp.	1	9/28/2018	38		0	-133,900
CI Financial Corp.	Common Shares	Holland, William Thomas	4	10/5/2018	10	19.65	111,270	50,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	10/3/2018	10	0.82	1,319,500	13,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	10/4/2018	10	0.82	1,333,000	13,500
Co-operators General Insurance Company	Preferred Shares Class A Series B	Daniel, Kevin	7	9/30/2018	30	100	1,764	1
Co-operators General Insurance Company	Preferred Shares Class A Series B	Hanna, Paul	7	9/30/2018	30	100	975	1
Co-operators General Insurance Company	Preferred Shares Class A Series B	McCombie, Richard Allen	7	9/30/2018	30	100	3,544	4
Cobalt Blockchain Inc.	Common Shares	Peralta, Samuel	4	10/3/2018	51	0.05	1,500,000	500,000
Cobalt Blockchain Inc.	Options	Peralta, Samuel	4	10/3/2018	51	0.05	2,000,000	-500,000
Colibri Resource Corporation	Common Shares	Goguen, Ronald J.	4	9/28/2018	10	0.03	1,015,000	16,000
Colibri Resource Corporation	Common Shares	Goguen, Ronald J.	4	10/3/2018	10	0.03	1,016,000	1,000
Concordia International Corp. (formerly Concordia Healthcare Corp.)	Limited Voting Shares	Solus Alternative Asset Management LP	3	9/26/2018	10	24.017	8,481,073	51,000
Concordia International Corp. (formerly Concordia Healthcare Corp.)	Limited Voting Shares	Solus Alternative Asset Management LP	3	9/27/2018	10	23.972	8,484,073	3,000
Concordia International Corp. (formerly Concordia Healthcare Corp.)	Limited Voting Shares	Solus Alternative Asset Management LP	3	9/27/2018	10	25.5	8,481,073	-3,000
Concordia International Corp. (formerly Concordia Healthcare Corp.)	Limited Voting Shares	Solus Alternative Asset Management LP	3	9/28/2018	10	25.181	8,474,073	-7,000
Concordia International Corp. (formerly Concordia Healthcare Corp.)	Limited Voting Shares	Solus Alternative Asset Management LP	3	10/1/2018	10	24.503	8,491,173	17,100
CONDOR RESOURCES INC.	Common Shares	Davis, Lyle Roy	4	9/17/2018	10	0.05	1,078,500	16,000
Continental Gold Inc.	Common Shares	Carrizosa, Martin Jose	4	10/3/2018	10	2.5324	524,069	23,600
Continental Gold Inc.	Common Shares	Sussman, Ari B	4, 5	10/2/2018	10	2.62	1,642,480	5,000
Continental Gold Inc.	Common Shares	Sussman, Ari B	4, 5	10/2/2018	10	2.64	1,644,480	2,000
Continental Gold Inc.	Common Shares	Sussman, Ari B	4, 5	10/2/2018	10	2.68	1,649,480	5,000
COPPER REEF MINING CORPORATION	Common Shares	Masson, Stephen Leo	3	9/28/2018	10	0.015	2,449,816	32,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	1/16/2003	00			
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/28/2017	90			205,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	4/9/2018	90		153,750	153,750

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/16/2015	10	0.065		1,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/21/2015	10	0.065		5,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/22/2015	10	0.065		3,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/29/2015	10	0.065		5,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	4/24/2017	90	0.05		200,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	4/24/2017	90	0.05	200,750	200,750
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/16/2015	10	0.065	3,335,000	1,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/21/2015	10	0.065	3,340,000	5,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/22/2015	10	0.065	3,343,000	3,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	12/29/2015	10	0.065	3,348,000	5,000
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	7/30/2018	10			132,313
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	7/30/2018	10		6,963,813	118,313
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	7/9/2018	90			1,312,434
CORAL GOLD RESOURCES LTD.	Common Shares	Wolfin, David	4	7/9/2018	90		1,429,904	1,429,904
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Options	Piggott, Keith	4, 5	10/1/2018	50	0.3	3,100,000	600,000
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Common Shares	Washer, Robert	3	9/27/2018	10	0.26	4,746,284	-500
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Common Shares	Washer, Robert	3	9/28/2018	10	0.26	4,720,784	-25,500
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Common Shares	Washer, Robert	3	10/1/2018	10	0.27	4,700,784	-20,000
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Common Shares	Washer, Robert	3	10/1/2018	10	0.29	4,686,284	-14,500
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Common Shares	Washer, Robert	3	10/3/2018	10	0.275	4,648,284	-38,000
Core Gold Inc. (formerly Dynasty Metals & Mining Inc.)	Options	WONG, SAM K.	5	10/1/2018	50	0.3	650,000	100,000
Coro Mining Corp.	Common Shares	Kinley, Colin Brent	4	9/26/2018	11	0.05	185,711	85,711
Coro Mining Corp.	Common Shares	Rivera, Sergio	5	9/26/2018	11	0.05	3,899,949	1,799,949
Corridor Resources Inc.	Deferred Share Unit (DSU)	McKee, James Simon	4	10/1/2018	56		298,610	15,040
Corsa Coal Corp.	Common Shares	Dethlefsen, George	4, 5	10/5/2018	10	1.2	64,083	29,900
Corsa Coal Corp.	Common Shares	Dethlefsen, George	4, 5	10/5/2018	10	1.19	64,183	100
Cott Corporation	Common Shares	Cott Corporation	1	9/4/2018	38	15.447	88,200	88,200
Cott Corporation	Common Shares	Cott Corporation	1	9/5/2018	38	15.22	148,620	60,420
Cott Corporation	Common Shares	Cott Corporation	1	9/6/2018	38	15.197	248,067	99,447
Cott Corporation	Common Shares	Cott Corporation	1	9/7/2018	38	15.106	358,032	109,965
Cott Corporation	Common Shares	Cott Corporation	1	9/30/2018	38		0	-358,032
Covalon Technologies Ltd.	Options	Brannagan, John Daniel	5	9/27/2018	50	8.5	172,500	30,000
Covalon Technologies Ltd.	Common Shares	Caplan, Elinor	4	9/28/2018	10			-10,000
Covalon Technologies Ltd.	Common Shares	Caplan, Elinor	4	9/28/2018	10		25,700	-10,000
Covalon Technologies Ltd.	Common Shares	DiTizio, Valerio	6, 5	9/24/2018	10	8.7	10,200	-4,800
Covalon Technologies Ltd.	Common Shares	DiTizio, Valerio	6, 5	9/25/2018	10	8.6	7,000	-3,200
Covalon Technologies Ltd.	Common Shares	DiTizio, Valerio	6, 5	9/26/2018	10	8.43	4,600	-2,400

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Covalon Technologies Ltd.	Common Shares	Pedlar, Brian Edward	4, 5	9/24/2018	51	0.85	884,052	200,000
Covalon Technologies Ltd.	Options	Pedlar, Brian Edward	4, 5	9/24/2018	51	0.85	1,515,000	-200,000
Crescent Point Energy Corp.	Deferred Share Units	Amirault, Rene	4	10/1/2018	56		62,134	8,471
Crescent Point Energy Corp.	Common Shares	Bannister, Peter	4	10/1/2018	57		571,695	5,059
Crescent Point Energy Corp.	Common Shares	Bannister, Peter	4	10/1/2018	97		569,265	-2,430
Crescent Point Energy Corp.	Restricted Share Units	Bannister, Peter	4	10/1/2018	56		33,827	8,827
Crescent Point Energy Corp.	Restricted Share Units	Bannister, Peter	4	10/1/2018	57		28,768	-5,059
Crescent Point Energy Corp.	Common Shares	Bryksa, Craig Stephen	4, 5	10/1/2018	57		49,565	5,059
Crescent Point Energy Corp.	Common Shares	Bryksa, Craig Stephen	4, 5	10/1/2018	97		47,135	-2,430
Crescent Point Energy Corp.	Restricted Share Units	Bryksa, Craig Stephen	4, 5	10/1/2018	57		58,219	-5,059
Crescent Point Energy Corp.	Common Shares	Cillis, Laura Ann	4	10/1/2018	57		11,483	4,941
Crescent Point Energy Corp.	Common Shares	Cillis, Laura Ann	4	10/1/2018	97		9,109	-2,374
Crescent Point Energy Corp.	Restricted Share Units	Cillis, Laura Ann	4	10/1/2018	56		32,545	8,471
Crescent Point Energy Corp.	Restricted Share Units	Cillis, Laura Ann	4	10/1/2018	57		27,604	-4,941
Crescent Point Energy Corp.	Common Shares	Eade, Mark Gordon	5	10/1/2018	57		35,622	24,000
Crescent Point Energy Corp.	Common Shares	Eade, Mark Gordon	5	10/1/2018	97		24,102	-11,520
Crescent Point Energy Corp.	Restricted Share Units	Eade, Mark Gordon	5	10/1/2018	57		35,098	-24,000
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	10/1/2018	56		27,750	8,471
Crescent Point Energy Corp.	Performance Share Units	Gritzfeldt, Ryan Chad Raymond	5	10/1/2018	56		250,729	5,665
Crescent Point Energy Corp.	Restricted Share Units	Gritzfeldt, Ryan Chad Raymond	5	10/1/2018	56		46,240	281
Crescent Point Energy Corp.	Common Shares	Heinemann, Robert Frederick	4	10/1/2018	57		17,061	4,461
Crescent Point Energy Corp.	Common Shares	Heinemann, Robert Frederick	4	10/1/2018	97		14,918	-2,143
Crescent Point Energy Corp.	Deferred Share Units	Heinemann, Robert Frederick	4	10/1/2018	56		23,307	3,198
Crescent Point Energy Corp.	Restricted Share Units	Heinemann, Robert Frederick	4	10/1/2018	56		26,142	5,924
Crescent Point Energy Corp.	Restricted Share Units	Heinemann, Robert Frederick	4	10/1/2018	57		21,681	-4,461
Crescent Point Energy Corp.	Common Shares	Jackson, Michael Sidney	4	10/1/2018	57		33,044	2,423
Crescent Point Energy Corp.	Common Shares	Jackson, Michael Sidney	4	10/1/2018	97		31,880	-1,164
Crescent Point Energy Corp.	Restricted Share Units	Jackson, Michael Sidney	4	10/1/2018	56		27,391	8,471
Crescent Point Energy Corp.	Restricted Share Units	Jackson, Michael Sidney	4	10/1/2018	57		24,968	-2,423
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	10/1/2018	56		14,083	12,342
Crescent Point Energy Corp.	Restricted Share Units	Langlois, Francois	4	5/4/2018	00			
Crescent Point Energy Corp.	Restricted Share Units	Langlois, Francois	4	10/1/2018	56		2,962	2,962
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	10/1/2018	57		5,423	1,440
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	10/1/2018	97		4,731	-692
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	10/1/2018	56		43,550	11,373
Crescent Point Energy Corp.	Restricted Share Units	Munroe, Barbara Elaine	4	10/1/2018	57		5,985	-1,440
Crescent Point Energy Corp.	Common Shares	ROMANZIN, GERALD A.	4	10/1/2018	57		3,782	2,566
Crescent Point Energy Corp.	Common Shares	ROMANZIN, GERALD A.	4	10/1/2018	97		2,549	-1,233
Crescent Point Energy Corp.	Deferred Share Units	ROMANZIN, GERALD A.	4	10/1/2018	56		52,433	5,924
Crescent Point Energy Corp.	Restricted Share Units	ROMANZIN, GERALD A.	4	10/1/2018	56		12,761	2,547
Crescent Point Energy Corp.	Restricted Share Units	ROMANZIN, GERALD A.	4	10/1/2018	57		10,195	-2,566
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/30/2018	38	6.4	3,400	3,400
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/30/2018	38		0	-3,400
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/30/2018	38	6.41	4,300	4,300
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/30/2018	38		0	-4,300
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38	6.38	21,021	21,021
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38		0	-21,021
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38	6.4	1,900	1,900
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38		0	-1,900
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38	6.39	300	300
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38		0	-300
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38	6.36	1,900	1,900
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38		0	-1,900

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Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38	6.37	300	300
Crius Energy Trust	Trust Units	Crius Energy Trust	1	8/31/2018	38		0	-300
Crombie Real Estate Investment Trust	Rights Deferred Units	Barnoski, John Thomas	5	7/27/2015	00			
Crombie Real Estate Investment Trust	Rights Deferred Units	Barnoski, John Thomas	5	9/30/2018	36		3,957	3,957
Crombie Real Estate Investment Trust	Rights Restricted Units	Barnoski, John Thomas	5	9/30/2018	30	12.97	24,834	396
Crombie Real Estate Investment Trust	Rights Restricted Units	Barnoski, John Thomas	5	9/30/2018	36		20,877	-3,957
Crombie Real Estate Investment Trust	Rights Restricted Units	Barnoski, John Thomas	5	9/30/2018	57	13.252	16,920	-3,957
Crombie Real Estate Investment Trust	Rights Deferred Units	Clow, Donald Everett	4, 5	9/30/2018	36		102,854	53,996
Crombie Real Estate Investment Trust	Rights Restricted Units	Clow, Donald Everett	4, 5	9/30/2018	30	12.97	145,860	2,701
Crombie Real Estate Investment Trust	Rights Restricted Units	Clow, Donald Everett	4, 5	9/30/2018	36		91,864	-53,996
Crombie Real Estate Investment Trust	Rights Deferred Units	Fraser, Cheryl Ann	5	3/1/2014	00			
Crombie Real Estate Investment Trust	Rights Deferred Units	Fraser, Cheryl Ann	5	9/30/2018	36		2,281	2,281
Crombie Real Estate Investment Trust	Rights Restricted Units	Fraser, Cheryl Ann	5	9/30/2018	30	12.97	14,948	163
Crombie Real Estate Investment Trust	Rights Restricted Units	Fraser, Cheryl Ann	5	9/30/2018	57	13.252	13,970	-978
Crombie Real Estate Investment Trust	Rights Restricted Units	Fraser, Cheryl Ann	5	9/30/2018	36		11,689	-2,281
Crombie Real Estate Investment Trust	Rights Deferred Units	Hynes, Robert Glenn	5	9/30/2018	36		40,805	20,040
Crombie Real Estate Investment Trust	Rights Restricted Units	Hynes, Robert Glenn	5	9/30/2018	30	12.97	67,075	1,102
Crombie Real Estate Investment Trust	Rights Restricted Units	Hynes, Robert Glenn	5	9/30/2018	36		47,035	-20,040
Crombie Real Estate Investment Trust	Rights Deferred Units	Lee, Trevor Roger	5	9/30/2018	36		7,043	5,803
Crombie Real Estate Investment Trust	Rights Restricted Units	Lee, Trevor Roger	5	9/30/2018	30	12.97	16,986	290
Crombie Real Estate Investment Trust	Rights Restricted Units	Lee, Trevor Roger	5	9/30/2018	36		11,183	-5,803
Crombie Real Estate Investment Trust	Rights Deferred Units	MacLean, Scott Richard	5	9/30/2018	36		10,643	5,520
Crombie Real Estate Investment Trust	Rights Restricted Units	MacLean, Scott Richard	5	9/30/2018	30	12.97	18,460	276
Crombie Real Estate Investment Trust	Rights Restricted Units	MacLean, Scott Richard	5	9/30/2018	36		12,940	-5,520
Crombie Real Estate Investment Trust	Rights Deferred Units	Santini, Ferdinando	5	11/18/2014	00			
Crombie Real Estate Investment Trust	Rights Deferred Units	Santini, Ferdinando	5	9/30/2018	36		2,520	2,520
Crombie Real Estate Investment Trust	Rights Restricted Units	Santini, Ferdinando	5	9/30/2018	30	12.97	11,034	126
Crombie Real Estate Investment Trust	Rights Restricted Units	Santini, Ferdinando	5	9/30/2018	36		8,514	-2,520
Crown Capital Partners Inc.	Common Shares	Crown Capital Partners Inc.	1	9/28/2018	10	9.98	2,200	2,200
Crown Capital Partners Inc.	Common Shares	Crown Capital Partners Inc.	1	10/2/2018	38		0	-2,200
CryptoStar Corp.	Common Shares	Adrenaline Pty Ltd	3	9/26/2018	00			
CryptoStar Corp.	Common Shares	Adrenaline Pty Ltd	3	9/26/2018	16		162,500,000	162,500,000
CryptoStar Corp.	Warrants	Adrenaline Pty Ltd	3	9/26/2018	00			
CryptoStar Corp.	Warrants	Adrenaline Pty Ltd	3	9/26/2018	53		10,000,000	10,000,000
CryptoStar Corp.	Options	Cahill, Brendan Thomas	4	9/26/2018	00			
CryptoStar Corp.	Options	Cahill, Brendan Thomas	4	9/26/2018	50		120,000	120,000
CryptoStar Corp.	Options	Dozhier, Corey Oscar	5	9/26/2018	00			
CryptoStar Corp.	Options	Dozhier, Corey Oscar	5	9/26/2018	50		1,000,000	1,000,000
CryptoStar Corp.	Options	Jellins, David Simon	4, 5	9/26/2018	00			

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CryptoStar Corp.	Options	Jellins, David Simon	4, 5	9/26/2018	50		120,000	120,000
CryptoStar Corp.	Options	Jones, Amelia Jane	4, 5	9/26/2018	00			
CryptoStar Corp.	Options	Jones, Amelia Jane	4, 5	9/26/2018	50		120,000	120,000
CryptoStar Corp.	Options	Kline, Adam	4	9/26/2018	00			
CryptoStar Corp.	Options	Kline, Adam	4	9/26/2018	50		120,000	120,000
CT Real Estate Investment Trust	Deferred Units	Briant, Heather	4	9/30/2018	56	12.98	2,189	1,502
CT Real Estate Investment Trust	Deferred Units	Laidley, David Howard	4	9/30/2018	56	12.98	48,917	2,099
CT Real Estate Investment Trust	Deferred Units	Martini, Anna	4	9/30/2018	56	12.98	36,112	1,618
CT Real Estate Investment Trust	Deferred Units	O'Bryan, John Charles	4	9/30/2018	56	12.98	27,108	1,522
Current Water Technologies Inc.	Common Shares	Shelp, Gene Sidney	4, 5	10/1/2005	10	0.06	1,736,241	70,000
Current Water Technologies Inc.	Common Shares	Shelp, Gene Sidney	4, 5	10/1/2018	10	0.065	4,786,074	50,000
Current Water Technologies Inc.	Common Shares	Shelp, Gene Sidney	4, 5	10/1/2018	10	0.06	4,816,074	30,000
Current Water Technologies Inc.	Common Shares	Shelp, Gene Sidney	4, 5	10/2/2018	10	0.06	4,822,074	6,000
Current Water Technologies Inc.	Common Shares	Shelp, Gene Sidney	4, 5	10/3/2018	10	0.075	4,837,074	15,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	10/3/2018	10	0.17	40,000	10,000
Cymbria Corporation	Deferred Share Units	Bizzarri, Ugo	4	9/28/2018	56	58.793	1,888	127
Cymbria Corporation	Deferred Share Units	Carter, Reena	4	9/28/2018	56	58.793	2,361	159
Cymbria Corporation	Deferred Share Units	MacDonald, James Stuart Alexander	4	9/28/2018	56	58.793	11,685	148
Cypress Development Corp.	Common Shares	Huston, Donald Carl	4, 5	9/18/2018	10	0.275	236,000	6,000
Cypress Development Corp.	Common Shares	Huston, Donald Carl	4, 5	9/19/2018	10	0.275	237,000	1,000
Datable Technology Corporation (formerly 3TL Technologies Corp.)	Common Shares	Oishi, Kim	4	9/28/2018	10	0.1607	1,716,643	30,000
Datable Technology Corporation (formerly 3TL Technologies Corp.)	Common Shares	Oishi, Kim	4	10/2/2018	10	0.139	1,736,643	20,000
Datable Technology Corporation (formerly 3TL Technologies Corp.)	Common Shares	Oishi, Kim	4	10/3/2018	10	0.1392	1,836,643	100,000
Datable Technology Corporation (formerly 3TL Technologies Corp.)	Common Shares	Oishi, Kim	4	10/4/2018	10	0.1417	1,866,643	30,000
Datable Technology Corporation (formerly 3TL Technologies Corp.)	Common Shares	Oishi, Kim	4	10/5/2018	10	0.14	1,886,643	20,000
DECISIVE DIVIDEND CORPORATION	Common Shares	Healey, Daniel	5	10/1/2018	10	4.3	0	-926
Delphi Energy Corp.	Common Shares	Batteke, Hugo	5	9/30/2018	30	0.72	500,608	8,340
Delphi Energy Corp.	Common Shares	BEHR, John	5	9/30/2018	30	0.72	185,758	7,460
Delphi Energy Corp.	Common Shares	Behrman, Mark Dwayne	5	9/30/2018	30	0.72	117,682	9,705
Delphi Energy Corp.	Common Shares	Galvin, Michael	5	9/30/2018	30	0.72	192,428	8,734
Delphi Energy Corp.	Common Shares	Hume, Rod Allan	5	9/30/2018	30	0.72	475,629	9,705
Delphi Energy Corp.	Common Shares	Reid, David James	4, 5	9/30/2018	30	0.72	1,006,891	12,131
Desert Mountain Energy Corp.	Common Shares	Olian, Irwin Alois	3, 4, 5	9/25/2018	10	0.16	3,982,125	45,000
Desert Mountain Energy Corp.	Common Shares	Olian, Irwin Alois	3, 4, 5	9/28/2018	10	0.16	3,987,125	5,000
Detour Gold Corporation	Rights Deferred Share Units	Kenyon, John Michael	4, 5	9/26/2018	56	11.14	38,251	8,977
DHX Media Ltd.	Options	Ames, Aaron	5	9/27/2018	50	1.51	600,000	450,000
DHX Media Ltd.	Options	Beale, Elizabeth Jane	4	9/27/2018	50	1.51	347,300	100,000
DHX Media Ltd.	Options	Colville, David Cameron	4	9/27/2018	50	1.51	347,300	100,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/27/2018	10	1.9798	3,876,705	295,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/27/2018	10	1.98	3,881,705	5,000

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DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.8094	3,897,705	16,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.805	3,913,705	16,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.8097	3,920,905	7,200
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.81	3,940,005	19,100
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.8355	3,990,005	50,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.8429	4,012,005	22,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.97	4,018,205	6,200
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.95	4,023,205	5,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.93	4,028,205	5,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.9078	4,033,205	5,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	2	4,043,205	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.9851	4,070,905	27,700
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/1/2018	30	2.8329	4,071,437	532
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/1/2018	10	1.9793	4,081,337	9,900
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/1/2018	10	1.9795	4,091,337	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/1/2018	10	1.9184	4,095,837	4,500
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/1/2018	10	1.98	4,095,937	100
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.8499	4,107,937	12,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.84	4,112,937	5,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.8599	4,122,937	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.86	4,134,937	12,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.8655	4,144,937	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/2/2018	10	1.863	4,149,937	5,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/3/2018	10	2.04	4,159,937	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/4/2018	10	2	4,174,937	15,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	10/4/2018	10	1.99	4,184,937	10,000
DHX Media Ltd.	Common Voting Shares	Donovan, Michael	4	9/28/2018	10	1.97	850	800
DHX Media Ltd.	Options	Drisdell, Deborah Ann	4	9/27/2018	50	1.51	307,800	100,000
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	9/27/2018	10	1.5122	33,094,650	950,000
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	9/27/2018	10	1.5586	33,404,650	310,000
DHX Media Ltd.	Options	Gosine, Mark Gregory	5	9/27/2018	50	1.51	740,000	175,000
DHX Media Ltd.	Common Voting Shares	Hibben, Alan Roy	4	9/28/2018	10	1.9	25,000	10,000
DHX Media Ltd.	Common Voting Shares	Hibben, Alan Roy	4	10/2/2018	10	1.87	35,000	10,000
DHX Media Ltd.	Options	Hibben, Alan Roy	4	3/23/2018	00			
DHX Media Ltd.	Options	Hibben, Alan Roy	4	9/27/2018	50	1.51	73,500	73,500
DHX Media Ltd.	Options	Lamb, Douglas Edward John	5	2/26/2018	00			
DHX Media Ltd.	Options	Lamb, Douglas Edward John	5	9/27/2018	50	1.51	294,500	294,500
DHX Media Ltd.	Options	Loi, Anne H.	5	9/27/2018	50	1.51	615,000	250,000
DHX Media Ltd.	Common Voting Shares	Machum, Donald Geoffrey	4	10/1/2018	30	3.43	115,865	122
DHX Media Ltd.	Options	Machum, Donald Geoffrey	4	9/27/2018	50	1.51	347,300	100,000
DHX Media Ltd.	Options	Regan, David A.	5	9/27/2018	50	1.51	1,040,000	175,000
DHX Media Ltd.	Options	Scherba, Joshua Charles	5	9/27/2018	50	1.51	1,143,125	500,000
DHX Media Ltd.	Options	Tedesco, Joseph	5	9/27/2018	50	1.51	365,000	50,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	9/28/2018	10	1.45	419,980	15,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	9/28/2018	10	1.5784	449,980	30,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	9/28/2018	10	1.5904	529,980	80,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	9/28/2018	10	1.5122	629,980	100,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	9/28/2018	10	1.6165	779,980	150,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	10/1/2018	10	1.54	788,220	8,240
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	10/2/2018	10	1.45	800,220	12,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	10/2/2018	10	1.55	850,220	50,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	10/3/2018	10	1.54	865,220	15,000
DHX Media Ltd.	Variable Voting Shares	Whitcher, Jonathan	4	10/3/2018	10	1.59	885,220	20,000
DHX Media Ltd.	Options	Wright, Donald Arthur	4	9/27/2018	50		384,800	100,000
Diamond Estates Wines & Spirits Inc.	Options	Beutel, David Michael	4	10/1/2018	50	0.28	300,000	300,000

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Diamond Estates Wines & Spirits Inc.	Options	HARRIS, KEITH RAYMOND	3, 4	10/1/2018	50	0.28	200,000	200,000
Diamond Estates Wines & Spirits Inc.	Options	Hick, John Walter Wallen	4	10/1/2018	50		200,000	200,000
Difference Capital Financial Inc.	Common Shares	Difference Capital Financial Inc.	1	9/19/2018	38	2.779	39,120	1,000
Difference Capital Financial Inc.	Common Shares	Difference Capital Financial Inc.	1	9/21/2018	38	2.81	40,120	1,000
Difference Capital Financial Inc.	Common Shares	Difference Capital Financial Inc.	1	9/25/2018	38	2.74	40,220	100
DIRTT Environmental Solutions Ltd.	Common Shares	Baker, Tracy May	5	9/24/2018	10	6.4	39,932	-35,735
DIRTT Environmental Solutions Ltd.	Common Shares	Gosling, Geoffrey William	5	10/1/2018	10	6.5349	472,814	-79,500
DIRTT Environmental Solutions Ltd.	Common Shares	Gosling, Geoffrey William	5	10/3/2018	10	6.55	402,814	-70,000
DIRTT Environmental Solutions Ltd.	Common Shares	Turner, Denise Eileen	4	10/5/2018	10	6.4344	22,300	900
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/18/2018	38	42	698,735	698,735
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/19/2018	38	42.004	941,735	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/20/2018	38	42.492	1,184,735	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/21/2018	38	43.121	1,427,735	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/24/2018	38	42.902	2,046,799	619,064
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/25/2018	38	41.751	2,289,799	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/26/2018	38	41.358	2,532,799	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/27/2018	38	41.64	2,775,799	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/28/2018	38	41.227	3,018,799	243,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	9/28/2018	38		0	-3,018,799
Dolly Varden Silver Corporation	Common Shares	Hecla Mining Company	3	9/28/2018	54	0.3	6,807,626	1,250,000
Dolly Varden Silver Corporation	Warrants	Hecla Mining Company	3	9/28/2018	54	0.3	101,762	-1,250,000
Dorel Industries Inc.	Rights Deferred Share Units	Benedetti, Alain	4	8/17/2018	35	24.93	33,979	525
Dorel Industries Inc.	Performance Share Units	Braunstein, Norman	5	8/17/2018	35	24.79	12,668	180
Dorel Industries Inc.	Performance Share Units	Braunstein, Norman	5	9/30/2018	97	23.18	12,285	-383
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Braunstein, Norman	5	8/17/2018	35	24.79	4,123	64
Dorel Industries Inc.	Rights Executive Deferred Share Units	Braunstein, Norman	5	8/17/2018	35	24.85		196
Dorel Industries Inc.	Rights Executive Deferred Share Units	Braunstein, Norman	5	8/17/2018	35	24.85	12,630	196
Dorel Industries Inc.	Rights Deferred Share Units	Cohen, Dian	4	8/17/2018	35	24.93	29,608	458
Dorel Industries Inc.	Rights Deferred Share Units	CORMIER, MICHELLE ANN	4	8/17/2018	35	24.93	8,350	129
Dorel Industries Inc.	Rights Deferred Share Units	CORMIER, MICHELLE ANN	4	9/30/2018	56	23.51	9,371	1,021
Dorel Industries Inc.	Rights Deferred Share Units	Duchesne, Rupert	4	8/17/2018	35	24.93	31,206	483
Dorel Industries Inc.	Performance Share Units	Duran, Nicolas Fernando	5	8/17/2018	35	24.79	4,198	91
Dorel Industries Inc.	Performance Share Units	Duran, Nicolas Fernando	5	9/30/2018	97	23.18	2,917	-1,281
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Duran, Nicolas Fernando	5	8/17/2018	35	24.79	3,431	54
Dorel Industries Inc.	Rights Executive Deferred Share Units	Duran, Nicolas Fernando	5	8/17/2018	35	24.85	6,543	113
Dorel Industries Inc.	Rights Executive Deferred Share Units	Duran, Nicolas Fernando	5	9/30/2018	97	23.18	5,939	-604
Dorel Industries Inc.	Performance Share Units	Rana, Franco	5	8/17/2018	35	24.79	15,865	292
Dorel Industries Inc.	Performance Share Units	Rana, Franco	5	9/30/2018	97	23.18	14,141	-1,724
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Rana, Franco	5	8/17/2018	35	24.79	6,712	105
Dorel Industries Inc.	Rights Executive Deferred Share Units	Rana, Franco	5	8/17/2018	35	24.85	11,267	175
Dorel Industries Inc.	Performance Share Units	Schwartz, Alan	3, 4, 5	8/17/2018	35	24.79	30,425	560

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Dorel Industries Inc.	Performance Share Units	Schwartz, Alan	3, 4, 5	9/30/2018	97	23.18	27,119	-3,306
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Schwartz, Alan	3, 4, 5	8/17/2018	35	24.79	12,870	201
Dorel Industries Inc.	Rights Executive Deferred Share Units	Schwartz, Alan	3, 4, 5	8/17/2018	35	24.85	3,439	53
Dorel Industries Inc.	Performance Share Units	Schwartz, Jeffrey	3, 4, 5	8/17/2018	35	24.79	30,425	560
Dorel Industries Inc.	Performance Share Units	Schwartz, Jeffrey	3, 4, 5	9/30/2018	97	23.18	27,119	-3,306
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Schwartz, Jeffrey	3, 4, 5	8/17/2018	35	24.79	12,870	201
Dorel Industries Inc.	Rights Executive Deferred Share Units	Schwartz, Jeffrey	3, 4, 5	8/17/2018	35	24.85	18,661	290
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	8/17/2018	35	24.79		560
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	8/17/2018	35	24.79		560
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	8/17/2018	35	24.79	30,425	560
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	9/30/2018	97	23.18		-3,306
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	9/30/2018	97	23.18		-3,306
Dorel Industries Inc.	Performance Share Units	Schwartz, Martin	3, 4, 5	9/30/2018	97	23.18	27,119	-3,306
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Schwartz, Martin	3, 4, 5	8/17/2018	35	24.79	12,870	201
Dorel Industries Inc.	Performance Share Units	Segel, Jeffrey	3, 4, 5	8/17/2018	35	24.79	30,425	560
Dorel Industries Inc.	Performance Share Units	Segel, Jeffrey	3, 4, 5	8/17/2018	97	23.18		-3,306
Dorel Industries Inc.	Performance Share Units	Segel, Jeffrey	3, 4, 5	9/30/2018	97	23.18	27,119	-3,306
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Segel, Jeffrey	3, 4, 5	8/17/2018	35	24.79	12,870	201
Dorel Industries Inc.	Rights Executive Deferred Share Units	Segel, Jeffrey	3, 4, 5	8/17/2018	35	24.85	14,706	228
Dorel Industries Inc.	Rights Deferred Share Units	Steinberg, Norman M.	4	9/30/2018	56	23.51	1,701	1,701
Dorel Industries Inc.	Rights Deferred Share Units	Tousson, Maurice	4	8/17/2018	35	24.93	42,856	663
Dorel Industries Inc.	Performance Share Units	Woods, Peter	5	8/17/2018	35	24.79	6,185	162
Dorel Industries Inc.	Performance Share Units	Woods, Peter	5	9/30/2018	97	23.18	5,817	-368
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Woods, Peter	5	8/17/2018	35	24.79	5,371	83
Dorel Industries Inc.	Rights Executive Deferred Share Units	Woods, Peter	5	8/17/2018	35	24.85	15,035	247
Dorel Industries Inc.	Rights Executive Deferred Share Units	Woods, Peter	5	9/30/2018	97	23.18	14,892	-143
Dorel Industries Inc.	Performance Share Units	Wyse, Edward	5	8/17/2018	35	24.79	5,088	94
Dorel Industries Inc.	Performance Share Units	Wyse, Edward	5	9/30/2018	97	23.18	4,539	-549
Dorel Industries Inc.	RESTRICTED SHARE UNIT	Wyse, Edward	5	8/17/2018	35	24.79	2,092	32
Dorel Industries Inc.	Rights Executive Deferred Share Units	Wyse, Edward	5	8/17/2018	35	24.85	6,077	94
Dream Global Real Estate Investment Trust	Rights Deferred Trust Units	Bhatia, Rajan Sacha	4	9/30/2018	56	14.99	26,286	834
Dream Global Real Estate Investment Trust	Rights Deferred Trust Units	Jackman, Duncan Newton Rowell	4	9/30/2018	56	14.99	85,962	1,084
Dream Global Real Estate Investment Trust	Rights Deferred Trust Units	Sullivan, John	4	9/30/2018	56	14.99	68,938	751
Dream Hard Asset Alternatives Trust	Deferred Trust Units	Bhalla, Amar	4	9/30/2018	56	6.75	25,745	2,961
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/4/2018	38	6.7812	12,000	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/5/2018	38	6.7411	10,400	4,400
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/6/2018	38		4,400	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/6/2018	38	6.857	10,400	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/7/2018	38		6,000	-4,400
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/7/2018	38	6.8508	12,000	6,000

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Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/10/2018	38		6,000	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/10/2018	38	6.8021	8,400	2,400
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/11/2018	38		2,400	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/11/2018	38	6.7807	5,300	2,900
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/12/2018	38		2,900	-2,400
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/12/2018	38	6.8023	8,900	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/13/2018	38		6,000	-2,900
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/13/2018	38	6.7812	10,100	4,100
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/14/2018	38		4,100	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/14/2018	38	6.7627	10,100	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/17/2018	38		6,000	-4,100
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/17/2018	38	6.7346	10,800	4,800
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/18/2018	38		4,800	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/18/2018	38	6.7248	10,800	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/19/2018	38		6,000	-4,800
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/19/2018	38	6.7193	10,200	4,200
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/20/2018	38		4,200	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/20/2018	38	6.703	10,200	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/21/2018	38		6,000	-4,200
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/21/2018	38	6.7076	10,600	4,600
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/24/2018	38		4,600	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/24/2018	38	6.7082	5,700	1,100
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/25/2018	38		1,100	-4,600
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/25/2018	38	6.769	7,100	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/26/2018	38		6,000	-1,100
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/26/2018	38	6.7543	12,000	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/27/2018	38		6,000	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/27/2018	38	6.7343	12,000	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/28/2018	38		6,000	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	9/28/2018	38	6.786	12,000	6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	10/1/2018	38		6,000	-6,000
Dream Hard Asset Alternatives Trust	Units	Dream Hard Asset Alternatives Trust	1	10/2/2018	38		0	-6,000
Dream Hard Asset Alternatives Trust	Deferred Trust Units	Eaton, James George	7	9/30/2018	56	6.75	78,638	1,666

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Dream Hard Asset Alternatives Trust	Deferred Trust Units	Ferstman, Joanne Shari	7	9/30/2018	56	6.75	69,290	1,666
Dream Hard Asset Alternatives Trust	Deferred Trust Units	MacIndoe, Karine	4	9/30/2018	56	6.75	9,014	2,036
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Mulroney, Benedict Martin Paul	4	9/30/2018	56	10.16	63,379	1,230
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Schiff, Vicky Lee	4	9/30/2018	56	10.16	15,111	1,230
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Schiff, Vicky Lee	4	10/1/2018	57		14,966	-145
Dream Industrial Real Estate Investment Trust	Units	Schiff, Vicky Lee	4	10/1/2018	57		1,293	145
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Segal, Leerom	4	9/30/2018	56	10.16	71,450	984
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Sera, Maria Vincenza	4, 7	9/30/2018	56	10.16	122,945	1,968
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Wiseman, Sheldon	4	9/30/2018	56	10.16	61,063	1,476
Dream Office Real Estate Investment Trust	Rights deferred trust units	BIERBAUM, DETLEF	4	9/30/2018	56	24.66	17,654	608
Dream Office Real Estate Investment Trust	Rights deferred trust units	Charter, Donald Kinloch	4, 6	9/30/2018	56	24.66	59,181	1,217
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/5/2018	38	24.391	15,000	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/6/2018	38	24.49	27,400	12,400
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/7/2018	38		12,400	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/7/2018	38	24.608	27,400	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/10/2018	38		15,000	-12,400
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/10/2018	38	24.577	30,000	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/11/2018	38		15,000	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/11/2018	38	24.768	30,000	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/12/2018	38		15,000	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/12/2018	38	24.749	30,000	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/13/2018	38		15,000	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/13/2018	38	24.971	30,000	15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/14/2018	38		15,000	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/14/2018	38	25.141	24,000	9,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/17/2018	38		9,000	-15,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/18/2018	38		0	-9,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/19/2018	38	24.773	1,000	1,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/20/2018	38	24.706	11,000	10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/21/2018	38		10,000	-1,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/21/2018	38	24.767	13,300	3,300
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/24/2018	38		3,300	-10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/25/2018	38		0	-3,300

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Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/25/2018	38	24.675	15,200	15,200
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/26/2018	38	24.702	25,200	10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/27/2018	38		10,000	-15,200
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/27/2018	38	24.198	20,000	10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/28/2018	38		10,000	-10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	9/28/2018	38	24.103	20,000	10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	10/1/2018	38		10,000	-10,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	10/2/2018	38		0	-10,000
Dream Office Real Estate Investment Trust	Rights deferred trust units	GAVAN, JANE	4	9/30/2018	56	24.66	53,067	446
Dream Office Real Estate Investment Trust	Rights deferred trust units	GOODALL, ROBERT	4	9/30/2018	56	24.66	65,441	669
Dream Office Real Estate Investment Trust	Rights deferred trust units	Leitch, Kellie	4	9/30/2018	56	24.66	19,272	558
Dream Office Real Estate Investment Trust	Rights deferred trust units	MacIndoe, Karine	4	9/30/2018	56	24.66	24,160	872
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/4/2018	38	7.6949	10,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/6/2018	38		0	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/13/2018	38	7.7722	8,800	8,800
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/14/2018	38	7.9147	15,100	6,300
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/17/2018	38		6,300	-8,800
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/17/2018	38	8.0355	12,800	6,500
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/18/2018	38		6,500	-6,300
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/18/2018	38	8.2471	16,500	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/19/2018	38		10,000	-6,500
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/19/2018	38	8.3639	20,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/20/2018	38		10,000	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/20/2018	38	8.2629	20,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/21/2018	38		10,000	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/21/2018	38	8.333	19,000	9,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/24/2018	38		9,000	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/24/2018	38	8.328	19,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/25/2018	38		10,000	-9,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/25/2018	38	8.3298	20,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/26/2018	38		10,000	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/26/2018	38	8.2471	20,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/27/2018	38		10,000	-10,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/27/2018	38	8.18	20,000	10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/28/2018	38		10,000	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	9/28/2018	38	8.1031	18,400	8,400
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	10/1/2018	38		8,400	-10,000
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	10/2/2018	38		0	-8,400
DREAM Unlimited Corp.	Deferred Share Units	Eaton, James George	4	9/30/2018	56	8.2	7,085	1,524
DREAM Unlimited Corp.	Deferred Share Units	Ferstman, Joanne Shari	4	9/30/2018	56	8.2	77,045	4,785
DREAM Unlimited Corp.	Deferred Share Units	Gateman, Richard N.	4, 7	9/30/2018	56	8.2	51,116	2,042
DREAM Unlimited Corp.	Deferred Share Units	Jackman, Duncan Newton Rowell	4	9/30/2018	56	8.2	18,146	1,524
DREAM Unlimited Corp.	Deferred Share Units	Koss, Jennifer	4	9/30/2018	56	8.2	48,448	2,042
DREAM Unlimited Corp.	Deferred Share Units	Sera, Maria Vincenza	4, 7	9/30/2018	56	8.2	54,477	2,377
Dundee Precious Metals Inc.	Rights Deferred Share Units	Gillin, Robert Peter Charles	4	9/30/2018	56	3.04		11,637
Dundee Precious Metals Inc.	Rights Deferred Share Units	Gillin, Robert Peter Charles	4	9/30/2018	56	3.04	235,855	11,637
Dundee Precious Metals Inc.	Common Shares	GMT Capital Corp	3	10/2/2018	10	2.5	274,580	-75,360
Dundee Precious Metals Inc.	Rights Deferred Share Units	Goodman, Jonathan Carter	4	9/30/2018	56	3.04	549,271	11,565
Dundee Precious Metals Inc.	Rights Deferred Share Units	Kinsman, Jeremy	4	9/30/2018	56	3.04	105,446	5,058
Dundee Precious Metals Inc.	Rights Deferred Share Units	Montalvo, Juanita	4	9/30/2018	56	3.04	77,249	11,636
Dundee Precious Metals Inc.	Rights Deferred Share Units	Nixon, Peter	4	9/30/2018	56	3.04	131,573	6,374
Dundee Precious Metals Inc.	Rights Deferred Share Units	Tawil, Marie-Anne	4	9/30/2018	56	3.04	131,070	11,637
Dundee Precious Metals Inc.	Rights Deferred Share Units	Walsh, Anthony P.	3	9/30/2018	56	3.04	152,460	8,347
Dundee Precious Metals Inc.	Rights Deferred Share Units	Young, Donald Walter	4	9/30/2018	56	3.04	94,854	5,057
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		2,754,646	-115,793
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		0	-325,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		748,000	150,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		725,000	-150,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	1/21/2014	00		325,000	
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		3,675,334	1,510,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Strashin, Elliot Phillip	4	10/2/2018	99		0	-1,010,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Strashin, Elliot Phillip	4	10/2/2018	99		0	-1,642,857
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Strashin, Elliot Phillip	4	10/2/2018	99		50,000	50,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Strashin, Elliot Phillip	4	10/2/2018	99		0	-50,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Strashin, Elliot Phillip	4	10/2/2018	99		250,000	50,000
Dynacor Gold Mines Inc.	Common Shares	Canova, Eddy	4	10/4/2018	10	1.56	31,000	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/5/2018	38	1.6	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/5/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/6/2018	38	1.59	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/6/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/7/2018	38	1.55	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/7/2018	38		0	-3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/10/2018	38	1.59	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/10/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/11/2018	38	1.59	2,600	2,600
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/11/2018	38	1.65	3,000	400
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/11/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/13/2018	38	1.6	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/13/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/14/2018	38	1.59	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/14/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/17/2018	38	1.6	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/17/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/18/2018	38	1.6	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/18/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/19/2018	38	1.58	1,000	1,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/19/2018	38	1.6	1,100	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/19/2018	38	1.62	3,000	1,900
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/19/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/20/2018	38	1.6	100	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/20/2018	38	1.62	3,000	2,900
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/20/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/21/2018	38	1.6	300	300
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/21/2018	38	1.62	3,000	2,700
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/21/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/24/2018	38	1.61	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/24/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/25/2018	38	1.6	400	400
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/25/2018	38	1.62	1,100	700
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/25/2018	38	1.63	1,200	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/25/2018	38	1.64	3,000	1,800
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/25/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/26/2018	38	1.62	2,300	2,300
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/26/2018	38	1.63	2,700	400
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/26/2018	38		0	-2,700
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/27/2018	38	1.62	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/27/2018	38		0	-3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/28/2018	38	1.59	3,000	3,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	9/28/2018	38		0	-3,000
Dynamo Capital Corp.	Common Shares	Balderson, Geoffrey	3, 4, 5	10/1/2018	10	0.12	505,000	5,000
Eastmain Resources Inc.	Restricted Share Units (Time-based)	Fazzini, Joseph	5	9/18/2018	56	0.18		225,000
Eastmain Resources Inc.	Restricted Share Units (Time-based)	Fazzini, Joseph	5	9/18/2018	56		258,334	225,000
Eastmain Resources Inc.	Restricted Share Units (Time-based)	Lemasson, Claude	4, 5	9/18/2018	56	0.18		325,000
Eastmain Resources Inc.	Restricted Share Units (Time-based)	Lemasson, Claude	4, 5	9/18/2018	56		383,334	325,000
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2017	46	13.173		474
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2017	56	13.173	474	474
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	10/10/2017	46	13.25		708
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	10/10/2017	46	13.25		708
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	10/10/2017	46	13.25		9,375
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	10/10/2017	46	13.25		708
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	10/10/2017	56	13.25	1,182	708

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	1/15/2018	46			9,724
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	1/15/2018	46			9,724
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	1/15/2018	46	12.92		752
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	1/15/2018	56	12.92	1,934	752
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	4/2/2018	46			9,375
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	4/2/2018	46			9,375
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	4/2/2018	46	12.29		763
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	4/2/2018	56	12.29	2,697	763
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2018	46			9,375
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2018	46			9,375
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2018	46	11.98		783
Echelon Financial Holdings Inc.	Restricted Share Units	Quon, Gary	4	7/4/2018	56	11.98	3,480	783
Eclipse Residential Mortgage Investment Corporation	Common Shares	Eclipse Residential Mortgage Investment Corporation	1	9/6/2018	38	9.68	1,000	1,000
Eclipse Residential Mortgage Investment Corporation	Common Shares	Eclipse Residential Mortgage Investment Corporation	1	9/6/2018	38	9.68	0	-1,000
Eclipse Residential Mortgage Investment Corporation	Common Shares	Eclipse Residential Mortgage Investment Corporation	1	9/7/2018	38	9.68	100	100
Eclipse Residential Mortgage Investment Corporation	Common Shares	Eclipse Residential Mortgage Investment Corporation	1	9/7/2018	38	9.68	0	-100
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/5/2018	38	3.696		315,847
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/5/2018	38	3.696	631,748	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/6/2018	38	3.6706		315,847
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/6/2018	38	3.6706	947,622	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/10/2018	38	3.7039		315,847
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/10/2018	38	3.7039	1,559,870	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/27/2018	38	3.8385	5,666,232	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/28/2018	38	3.795	5,982,106	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	9/28/2018	38		631,748	-5,350,358
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	10/1/2018	38	38241	947,622	315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	10/2/2018	38	3.7303		315,874
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	10/2/2018	38	3.739	1,263,496	315,874
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/3/2018	38	1.84	300	300
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/3/2018	38	1.83	500	200
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/4/2018	38	1.81	600	100
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/5/2018	38	1.81	800	200
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/6/2018	38	1.81	1,600	800
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/7/2018	38	1.75	11,500	9,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/10/2018	38	1.76	21,400	9,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/11/2018	38	1.76	25,300	3,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/12/2018	38	1.8	35,200	9,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/14/2018	38	1.84	35,400	200
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/17/2018	38	1.9	45,300	9,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/18/2018	38	1.9	54,200	8,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/20/2018	38	1.9	64,100	9,900
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/21/2018	38	1.9	66,100	2,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/24/2018	38	1.9	67,900	1,800

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/25/2018	38	1.89	73,100	5,200
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/26/2018	38	1.87	75,100	2,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	9/28/2018	38		0	-75,100
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	9/24/2018	00		250,000	
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Clarke, Andrew	4	5/14/2018	00			
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Clarke, Andrew	4	10/2/2018	56	7.59	9,542	9,542
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Damp, Paul	4	10/2/2018	56	7.59	62,025	6,653
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Graham, George Keith	4	5/14/2018	00			
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Graham, George Keith	4	10/2/2018	56	7.59	9,683	9,683
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Greene, Alexander David	4	5/14/2018	00			
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Greene, Alexander David	4	10/2/2018	56	7.59	9,542	9,542
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Lamm-Tennant, Joan	5	10/2/2018	56	7.59	129,664	8,516
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Lovatt, William Wayne	4	10/2/2018	56	7.59	195,779	10,202
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	McDougal, Rubin Jay	4	5/14/2018	00			
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	McDougal, Rubin Jay	4	10/2/2018	56	7.59	12,394	12,394
Element Fleet Management Corp. (formerly Element Financial Corporation)	Deferred Share Units	Tobin, Brian Vincent	4	10/2/2018	56	7.59	109,874	10,539
Emblem Corp. (formerly Saber Capital Corp.)	Options	Dean, Nicholas	5	9/25/2018	50	1.6	700,000	200,000
Emblem Corp. (formerly Saber Capital Corp.)	Options	Saperia, Adam	5	9/25/2018	50	1.6	350,000	50,000
Emblem Corp. (formerly Saber Capital Corp.)	Options	Stojanovic, Alexander Milan	5	9/25/2018	50	1.6	250,000	100,000
Emera Incorporated	DSU	Ana-Marie, Codina Barlick	7	9/30/2018	30		1,209	16
Emera Incorporated	DSU	Ana-Marie, Codina Barlick	7	9/30/2018	56		1,798	589
Emera Incorporated	DSU	Bertram, James Vance	4	7/10/2018	00			
Emera Incorporated	DSU	Bertram, James Vance	4	9/30/2018	56		1,020	1,020
Emera Incorporated	DSU	Bragg, James Lee	4	9/30/2018	30		13,544	185
Emera Incorporated	DSU	Bragg, James Lee	4	9/30/2018	56		13,772	228
Emera Incorporated	DSU	Chrominska, Sylvia Dolores	4	9/30/2018	30		30,793	419
Emera Incorporated	DSU	Chrominska, Sylvia Dolores	4	9/30/2018	56		31,847	1,054
Emera Incorporated	DSU	Demone, Henry	4	9/30/2018	30		16,871	230
Emera Incorporated	DSU	Demone, Henry	4	9/30/2018	56		17,986	1,115
Emera Incorporated	DSU	Edgeworth, Allan Leslie	4	9/30/2018	30		54,861	747
Emera Incorporated	DSU	Edgeworth, Allan Leslie	4	9/30/2018	56		56,051	1,190
Emera Incorporated	DSU	Eisenhauer, James Daniel	4	9/30/2018	30		48,129	655
Emera Incorporated	DSU	Eisenhauer, James Daniel	4	9/30/2018	56		49,277	1,148
Emera Incorporated	DSU	Greer, Sandra	7	9/30/2018	30		8,713	119
Emera Incorporated	DSU	Greer, Sandra	7	9/30/2018	56		9,169	456
Emera Incorporated	DSU	Harvey, Kent Michael	4	9/30/2018	30		1,755	24
Emera Incorporated	DSU	Harvey, Kent Michael	4	9/30/2018	56		2,426	671
Emera Incorporated	DSU	Iorio, Pam	7	9/30/2018	30		2,877	39

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Emera Incorporated	DSU	Iorio, Pam	7	9/30/2018	56		3,466	589
Emera Incorporated	DSU	Ivany, Raymond Edmund	7	9/30/2018	30		20,067	273
Emera Incorporated	DSU	Ivany, Raymond Edmund	7	9/30/2018	56		20,523	456
Emera Incorporated	DSU	Law, Rhea	7	9/30/2018	30		2,877	39
Emera Incorporated	DSU	Law, Rhea	7	9/30/2018	56		3,466	589
Emera Incorporated	DSU	Loewen, Lynn	4	9/30/2018	30		24,573	335
Emera Incorporated	DSU	Loewen, Lynn	4	9/30/2018	56		25,736	1,163
Emera Incorporated	DSU	McLennan, John T.	7	9/30/2018	30		90,027	1,225
Emera Incorporated	DSU	Pether, Donald Allison	4	9/30/2018	30		45,108	614
Emera Incorporated	DSU	Pether, Donald Allison	4	9/30/2018	56		46,279	1,171
Emera Incorporated	DSU	Ramil, John	4	9/30/2018	30		9,871	135
Emera Incorporated	DSU	Ramil, John	4	9/30/2018	56		11,147	1,276
Emera Incorporated	DSU	Rosen, Andrea Sarah	4	9/30/2018	30		55,980	762
Emera Incorporated	DSU	Rosen, Andrea Sarah	4	9/30/2018	56		57,227	1,247
Emera Incorporated	DSU	Rounding, Marie Catherine	7	9/30/2018	30		21,279	290
Emera Incorporated	DSU	Sergel, Richard	4	9/30/2018	30		15,429	210
Emera Incorporated	DSU	Sergel, Richard	4	9/30/2018	56		16,099	670
Emera Incorporated	DSU	SHEPPARD, Mary Jacqueline	4	9/30/2018	30		61,161	833
Emera Incorporated	DSU	SHEPPARD, Mary Jacqueline	4	9/30/2018	56		63,307	2,146
Emera Incorporated	DSU	Tilk, Jochen	4	7/10/2018	00			
Emera Incorporated	DSU	Tilk, Jochen	4	9/30/2018	56		812	812
Enbridge Income Fund	Trust Units	Enbridge Income Fund Holdings Inc.	3	9/28/2018	10	32.01	176,406,207	282,511
Enbridge Income Fund	Trust Units	Enbridge Income Fund Holdings Inc.	3	9/28/2018	10	32.66	176,406,621	414
Enbridge Income Fund Holdings Inc.	Common Shares	Enbridge Inc.	3	9/6/2018	30	32.32	35,049,921	53,329
Enbridge Income Fund Holdings Inc.	Common Shares	Enbridge Inc.	3	9/6/2018	30	32.98	35,050,129	208
Endurance Gold Corporation	Common Shares	Boyd, Robert T.	4, 5	9/27/2018	10	0.045	1,455,000	5,000
Enercare Inc. (formerly The Consumers' Waterheater Income Fund)	Deferred Share Units	Pantelidis, James	4	9/30/2018	56		202,087	1,878
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	9/27/2018	10	0.06	7,904,914	-250,000
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	9/27/2018	11		5,444,914	-2,460,000
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	10/2/2018	10	0.08	5,344,914	-100,000
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Boswell, Robert Stephen	4	9/30/2018	46	16.2	18,376	772
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Cormier Jackson, Maureen Ellen	4	9/30/2018	46	16.2	13,432	3,261
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Dunn, William Byron	4	9/30/2018	46	16.2	75,973	3,361
Enerflex Ltd.	Common Shares	Harbilas, James	5	9/28/2018	51	11.66	21,500	10,000
Enerflex Ltd.	Common Shares	Harbilas, James	5	9/28/2018	10	16.5	11,500	-10,000
Enerflex Ltd.	Options	Harbilas, James	5	9/28/2018	51	11.66	640,803	-10,000
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Marshall, H. Stanley	4	9/30/2018	46	16.2	77,585	3,501
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Reinhart, Kevin Jerome	4	9/30/2018	46	16.2	14,260	3,521
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Savidant, Stephen James	4	9/30/2018	46	16.2	129,085	4,843
Enerflex Ltd.	Common Shares	Stewart, Gregory Dean	5	9/28/2018	51	11.66	46,489	35,000
Enerflex Ltd.	Common Shares	Stewart, Gregory Dean	5	9/28/2018	10	16.621	11,489	-35,000
Enerflex Ltd.	Options	Stewart, Gregory Dean	5	9/28/2018	51	11.66	357,937	-35,000
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Weill, Michael	4	9/30/2018	46	16.2	40,802	1,543
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	WESLEY, HELEN JUNE	4	9/30/2018	46	16.2	54,406	3,361

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Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Casswell, Gary William	4	9/28/2018	56	6.4366	11,358	3,366
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Casswell, Gary William	4	10/4/2018	30	6.3458	11,509	151
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Howe, James Brian	4	9/28/2018	56	6.4366	9,023	1,347
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Howe, James Brian	4	10/4/2018	30	6.3458	9,168	145
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Kangas, Leonard	4	9/28/2018	56	6.4366	49,905	1,347
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Kangas, Leonard	4	10/4/2018	30	6.3458	50,823	918
Ensign Energy Services Inc.	Common Shares	Moomjian, Jr., Cary A.	4	9/28/2018	46	6.345	15,166	1,690
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Moomjian, Jr., Cary A.	4	9/28/2018	56	6.4366	42,510	1,683
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Moomjian, Jr., Cary A.	4	10/4/2018	30	6.3458	43,282	772
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Schroeder, John G.	4	9/28/2018	56	6.4366	75,055	3,366
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Schroeder, John G.	4	10/4/2018	30	6.3458	76,411	1,356
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Surkan, Gail Donelda	4	9/28/2018	56	6.4366	28,098	3,366
Ensign Energy Services Inc.	Rights Deferred Share Units (Common Shares)	Surkan, Gail Donelda	4	10/4/2018	30	6.3458	28,566	468
Ensign Energy Services Inc.	Common Shares	Whitham, Barth Edward	4	9/28/2018	46	6.345	76,092	3,432
EnWave Corporation	Common Shares	Henriques, Daniel Stephen	5	10/1/2018	10		5,200	-9,800
EnWave Corporation	Common Shares	Henriques, Daniel Stephen	5	10/2/2018	10		0	-5,200
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	9/28/2018	38	2.4909	37,105	4,401
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	10/1/2018	38	2.498	39,105	2,000
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	10/1/2018	38		8,801	-30,304
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	10/2/2018	38	2.5	11,801	3,000
Epsilon Energy Ltd.	Common Shares	Epsilon Energy Ltd.	1	10/4/2018	38	2.5	14,801	3,000
Erdene Resource Development Corporation	Rights Deferred Share Units	Akerley, Peter	4, 5	9/30/2018	56	0.29	869,032	30,181
Erdene Resource Development Corporation	Rights Deferred Share Units	Biolik, Anna	4	9/30/2018	56	0.29	54,139	8,621
Erdene Resource Development Corporation	Rights Deferred Share Units	Byrne, John Philip	4	9/30/2018	56	0.29	310,205	8,621
Erdene Resource Development Corporation	Rights Deferred Share Units	Cowan, John Christopher	4	9/30/2018	56	0.29	546,058	8,621
Erdene Resource Development Corporation	Rights Deferred Share Units	Croft, Thomas Layton	4	9/30/2018	56	0.29	128,511	8,621
Erdene Resource Development Corporation	Rights Deferred Share Units	MacDonald, Kenneth	4	9/30/2018	56	0.29	445,033	10,141
Erdene Resource Development Corporation	Rights Deferred Share Units	McRae, Cameron	4	9/30/2018	56	0.29	16,516	8,621
Ero Copper Corp.	Common Shares	Drier, Wayne	5	10/2/2018	51	1.5	266,333	100,000
Ero Copper Corp.	Common Shares	Drier, Wayne	5	10/2/2018	10		166,333	-100,000
Ero Copper Corp.	Options	Drier, Wayne	5	10/2/2018	51	1.5	615,000	-100,000
ESI Energy Services Inc.	Common Shares	Zimmer, Harold R.	4	9/28/2018	10	0.2	12,000	7,000
Ethos Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	10/5/2018	10	0.14	100,500	80,000
Ethos Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	10/5/2018	10	0.15	105,000	4,500
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/2/2018	11	0.25		600,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/2/2018	15	0.25	3,225,000	600,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/2/2018	10	0.215	3,475,000	250,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/2/2018	10	0.215		350,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/2/2018	10	0.215	3,575,000	100,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/3/2018	10	0.215		114,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/3/2018	10	0.215	3,691,000	116,000
Euro Manganese Inc.	Common Shares	Romero, Marco Antonio	4, 5	10/4/2018	10	0.2	4,191,000	500,000
Euro Manganese Inc.	Common Shares	Shklanka, Roman	4, 5	10/2/2018	15	0.25	1,645,000	1,600,000
Euro Manganese Inc.	Common Shares	Shklanka, Roman	4, 5	10/4/2018	10	0.2	1,995,000	350,000

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Euro Manganese Inc.	Common Shares	Webster, John	4	10/2/2018	15	0.25	190,000	40,000
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Konig, Martyn	4, 5	9/30/2018	46		2,213,080	180,176
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Morgan-Wynne, Timothy	4	9/30/2018	46		1,465,646	120,120
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Threlkeld, Raymond Wesley	4	10/3/2018	46		600,193	120,120
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/4/2018	38	9.41	700	700
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/4/2018	38	9.41	0	-700
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/4/2018	38	9.42	2,300	2,300
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/4/2018	38	9.42	0	-2,300
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/5/2018	38	9.33	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/5/2018	38	9.33	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/6/2018	38	9.33	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/6/2018	38	9.33	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/7/2018	38	9.15	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/7/2018	38	9.15	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/7/2018	38	9.3	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/7/2018	38	9.3	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/10/2018	38	9.26	1,600	1,600
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/10/2018	38	9.26	0	-1,600
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/10/2018	38	9.27	1,400	1,400
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/10/2018	38	9.27	0	-1,400
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/11/2018	38	9.27	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/11/2018	38	9.27	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/12/2018	38	9.16	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/12/2018	38	9.16	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/17/2018	38	9.15	400	400
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/17/2018	38	9.15	0	-400
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/18/2018	38	9.15	100	100
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/18/2018	38	9.15	0	-100
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/19/2018	38	9.15	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/19/2018	38	9.15	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/21/2018	38	9.2	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/21/2018	38	9.2	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/21/2018	38	9.05	1,000	1,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/21/2018	38	9.05	0	-1,000

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European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/24/2018	38	9.23	2,000	2,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/24/2018	38	9.23	0	-2,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/24/2018	38	9.19	1,000	1,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/24/2018	38	9.19	0	-1,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/27/2018	38	9.23	500	500
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/27/2018	38	9.23	0	-500
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/28/2018	38	9.09	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/28/2018	38	9.09	0	-3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/28/2018	38	9.24	3,000	3,000
European Dividend Growth Fund	Units	European Dividend Growth Fund	1	9/28/2018	38	9.24	0	-3,000
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	9/28/2018	38	8.5116	776,300	12,500
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	10/1/2018	38	8.5356	777,200	900
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	10/2/2018	38	8.4905	779,400	2,200
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	10/3/2018	38	8.444	779,900	500
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	10/4/2018	38	8.4094	781,500	1,600
Evrim Resources Corp.	Common Shares	Funk, Charles Walter	5	10/3/2018	10	1.45	70,000	-30,000
Evrim Resources Corp.	Common Shares	Funk, Charles Walter	5	10/3/2018	10	1.45	0	-10,000
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	10/4/2018	56	0.96	685,930	26,042
Excellon Resources Inc.	Deferred Share Units	Farncomb, Andrew	4	10/4/2018	56		101,352	6,771
Excellon Resources Inc.	Deferred Share Units	Fernandez Mena, Oliver	4	10/4/2018	56		354,041	11,068
Excellon Resources Inc.	Deferred Share Units	Fortier, André Y.	4	10/4/2018	56		516,552	9,766
Exchange Income Corporation	Common Shares	Exchange Income Corporation	1	9/18/2018	30	33.844	65,500	10,000
Exchange Income Corporation	Common Shares	Exchange Income Corporation	1	9/24/2018	30	33.503	79,500	14,000
Exchange Income Corporation	Common Shares	Exchange Income Corporation	1	9/25/2018	30	32.736	89,500	10,000
Exchange Income Corporation	Common Shares	Exchange Income Corporation	1	9/27/2018	38		0	-89,500
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	9/4/2018	38	9.9711	29,200	10,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	9/5/2018	38	9.9807	39,200	10,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	9/6/2018	38	10	44,800	5,600
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	9/7/2018	38		5,600	-39,200
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	9/14/2018	38		0	-5,600
Exco Technologies Limited	Common Shares	Riganelli, Paul	5	10/4/2018	10	10.15	182,550	-10,000
Exco Technologies Limited	Common Shares	ROBBINS, PAUL	5	10/2/2018	10	9.901	19,054	2,000
Explorex Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	10/3/2018	10	0.24	650,500	8,000
Fairfax India Holdings Corporation	Subordinate Voting Shares	Bonham, David	7	1/30/2015	00			
Fairfax India Holdings Corporation	Subordinate Voting Shares	Bonham, David	7	9/27/2018	10	14.86	500	500
Fairfax India Holdings Corporation	Subordinate Voting Shares	Bonham, David	7	1/30/2015	00			
Fairfax India Holdings Corporation	Subordinate Voting Shares	Bonham, David	7	9/27/2018	10	14.86	300	300
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	9/21/2018	38	15	14,240	14,240
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	9/26/2018	38	14.957	21,240	7,000

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Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	9/28/2018	38		0	-21,240
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Common Shares	Caron, Mario	4	10/3/2018	11	0.26	118,400	40,000
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Common Shares	Caron, Mario	4	10/3/2018	10	0.38	82,555	-35,845
Falco Resources Ltd. (formerly Falco Pacific Resource Group Inc.)	Options	Caron, Mario	4	10/3/2018	51		897,833	-40,000
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Restricted Share Units (CASH)	Bourdon, François	5	9/19/2018	35	12.665		462
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Restricted Share Units (CASH)	Bourdon, François	5	9/19/2018	35	12.665	22,493	462
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Restricted Share Units (CASH)	Lemay, Jean-Philippe	5	9/19/2018	35	12.665		116
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Restricted Share Units (CASH)	Lemay, Jean-Philippe	5	9/19/2018	35	12.665	7,580	116
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Deferred Share Units (DSUs)	Shaw, David Robinson	4	9/19/2018	35			382
Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	Deferred Share Units (DSUs)	Shaw, David Robinson	4	9/19/2018	35		8,265	382
Filo Mining Corp.	Common Shares	Zebra Holdings and Investments S.à.r.l.	3	9/28/2018	11	2.1974	16,453,968	1,908,900
First Cobalt Corp.	Options	Fisker, Henrik	4	9/27/2018	00		1,000,000	
First Cobalt Corp.	Rights Deferred Share Units	Fisker, Henrik	4	9/27/2018	00		60,000	
First Cobalt Corp.	Common Shares	Mell, Trent	5	9/30/2018	36		2,161,352	120,833
First Cobalt Corp.	Options	Mell, Trent	5	9/27/2018	50		2,087,172	700,000
First Cobalt Corp.	Rights Performance Share Units	Mell, Trent	5	9/30/2018	36		0	-120,833
First Cobalt Corp.	Rights Deferred Share Units	Pollesel, John Joseph	4	9/27/2018	56		321,267	60,000
First Cobalt Corp.	Options	Santaguida, Frank	5	9/27/2018	50		1,134,821	200,000
First Mining Gold Corp.	Common Shares	Swinoga, Jeffrey Anthony	5	10/2/2018	10	0.34	217,000	25,000
First Quantum Minerals Ltd	Units Deferred Share	Adams, Andrew Bell	4	10/1/2018	46		21,537	929
First Quantum Minerals Ltd	Common Shares	Brunner, Paul	4	9/28/2018	30	11.965	81,896	935
First Quantum Minerals Ltd	Units Deferred Share	Harding, Robert J	4	10/3/2018	30	15.687	20,115	930
First Quantum Minerals Ltd	Common Shares	Hogenson, Kathleen Applegate	4	9/28/2018	30	12.44	22,423	3,870
First Quantum Minerals Ltd	Common Shares	Scott, Simon John	4	9/28/2018	30	15.44	1,700	950
First Quantum Minerals Ltd	Common Shares	St. George, Peter	4	9/28/2018	30	15.44	500,783	950
Five Star Diamonds Limited	Common Shares	Waraich, Aneel Singh	4	9/25/2018	10	0.09	43,000	10,000
Five Star Diamonds Limited	Common Shares	Waraich, Aneel Singh	4	9/27/2018	10	0.09	53,000	10,000
Five Star Diamonds Limited	Common Shares	Waraich, Aneel Singh	4	10/5/2018	10	0.09	54,000	1,000
Five Star Diamonds Limited	Common Shares	Waraich, Aneel Singh	4	9/25/2018	10	0.09	2,592,630	11,500
Five Star Diamonds Limited	Common Shares	Waraich, Aneel Singh	4	10/5/2018	10	0.09	2,593,080	450
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/4/2018	38	11.8	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/4/2018	38	11.8	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/6/2018	38	11.87	1,100	1,100
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/6/2018	38	11.87	0	-1,100
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/7/2018	38	11.87	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/7/2018	38	11.87	0	-3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/10/2018	38	11.9	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/10/2018	38	11.9	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/12/2018	38	11.84	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/12/2018	38	11.84	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/14/2018	38	11.9	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/14/2018	38	11.9	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/17/2018	38	11.93	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/17/2018	38	11.93	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/18/2018	38	11.89	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/18/2018	38	11.89	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/24/2018	38	11.85	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/24/2018	38	11.85	0	-3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/26/2018	38	11.86	100	100
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/26/2018	38	11.86	0	-100
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/27/2018	38	11.86	3,000	3,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Fixed Income Fund	1	9/27/2018	38	11.86	0	-3,000
FogChain Corp.	Options	Berman, Charles	4	5/24/2018	00			
FogChain Corp.	Options	Berman, Charles	4	10/1/2018	50		250,000	250,000
FogChain Corp.	Options	Cerna, Anthony	5	5/24/2018	00			
FogChain Corp.	Options	Cerna, Anthony	5	10/1/2018	50	0.28	125,000	125,000
FogChain Corp.	Options	Cerna, James	3, 4, 5	5/24/2018	00			
FogChain Corp.	Options	Cerna, James	3, 4, 5	10/1/2018	50	0.28	300,000	300,000
FogChain Corp.	Options	Kang, Ravinder	5	5/24/2018	00			
FogChain Corp.	Options	Kang, Ravinder	5	10/1/2018	50	0.28	250,000	250,000
FogChain Corp.	Options	Quilter, Patrick	4, 5	10/1/2018	00			
FogChain Corp.	Options	Quilter, Patrick	4, 5	10/1/2018	50		150,000	150,000
FogChain Corp.	Options	Zachary, Dymala-Dolesky	4	9/24/2018	00			
FogChain Corp.	Options	Zachary, Dymala-Dolesky	4	10/1/2018	50		150,000	150,000
Foraco International SA	Common Shares	Foraco International SA	1	9/7/2018	38	0.38	350,269	1,000
Foraco International SA	Common Shares	Foraco International SA	1	9/10/2018	38	0.4	351,269	1,000
Foraco International SA	Common Shares	Foraco International SA	1	9/12/2018	38	0.39	351,769	500
Foraco International SA	Common Shares	Foraco International SA	1	9/21/2018	38	0.4	352,769	1,000
Foraco International SA	Common Shares	Foraco International SA	1	9/24/2018	38	0.4	353,269	500
Foraco International SA	Common Shares	Foraco International SA	1	9/24/2018	30		125,269	-228,000
Foraco International SA	Common Shares	Foraco International SA	1	9/25/2018	38	0.4	125,769	500

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Foran Mining Corporation	Rights DSU	Dowdall, Sharon Elizabeth	4	9/30/2018	56	0.34	106,852	14,706
Foran Mining Corporation	Rights DSU	Morcombe, Darren James	4	9/30/2018	56	0.35	1,281,663	75,399
Foran Mining Corporation	Rights DSU	Petroff, David Michael	4	9/30/2018	56	0.34	106,852	14,706
Foran Mining Corporation	Rights DSU	Tagami, Maurice Alan	4	9/30/2018	56	0.34	106,852	14,706
Fortis Inc.	Deferred Share Unit	Ball, Tracey Colleen	4	10/1/2018	56	41.98	15,739	715
Fortis Inc.	Deferred Share Unit	Blouin, Pierre J.	4	10/1/2018	56	41.98	12,527	714
Fortis Inc.	Deferred Share Unit	Bonavia, Paul	4	10/1/2018	56	32.344	1,455	724
Fortis Inc.	Deferred Share Unit	Borgard, Lawrence	4	10/1/2018	56	32.344	4,214	725
Fortis Inc.	Deferred Share Unit	Clark, Maura	4	10/1/2018	56	32.344	10,080	724
Fortis Inc.	Deferred Share Unit	Dilley, Margarita	4	10/1/2018	56	32.344	7,804	725
Fortis Inc.	Deferred Share Unit	Dobson, Julie	4	10/1/2018	56	32.344	1,455	724
Fortis Inc.	Deferred Share Unit	Goodreau, Ida Jacqueline	4	10/1/2018	56	41.98	35,274	714
Fortis Inc.	Deferred Share Unit	Haughey, Douglas J.	4	10/1/2018	56	41.98	29,328	1,102
Fortis Inc.	Deferred Share Unit	Welch, Joseph	7	10/1/2018	56	32.344	4,214	725
Fortis Inc.	Deferred Share Unit	Zurel, Jo Mark	4	10/1/2018	56	41.98	7,022	714
Founders Advantage Capital Corp.	Options	Kayat, Christopher Mark	4	1/3/2018	00			
Founders Advantage Capital Corp.	Options	Kayat, Christopher Mark	4	10/1/2018	50	1.75	500,000	500,000
Founders Advantage Capital Corp.	Options	Mauris, Gary Brian	4	10/1/2018	50	1.75	600,000	500,000
Founders Advantage Capital Corp.	Common Shares Class A	McRae, Peter Croft	4	10/4/2018	10	1.7	40,000	5,000
Fox River Resources Corporation	Common Shares	Case, Stephen Dunbar	3, 4, 5	9/27/2018	10	0.06	8,233,838	3,000
Fox River Resources Corporation	Common Shares	Case, Stephen Dunbar	3, 4, 5	10/3/2018	10	0.06	8,237,838	4,000
Fox River Resources Corporation	Common Shares	Lotan Holdings Inc.	3	10/4/2018	10	0.065	4,738,500	100,000
Frankly Inc. (formerly WB III Acquisition Corp.)	Common Shares	Hyun, Choong Sik	4	9/28/2018	36		37,583	8,954
Frankly Inc. (formerly WB III Acquisition Corp.)	Rights RSU Plan	Hyun, Choong Sik	4	9/28/2018	36		0	-8,954
Frankly Inc. (formerly WB III Acquisition Corp.)	Common Shares	Rogers, Thomas	4	9/28/2018	36		70,612	13,194
Frankly Inc. (formerly WB III Acquisition Corp.)	Rights RSU Plan	Rogers, Thomas	4	9/28/2018	36		0	-13,194
Frankly Inc. (formerly WB III Acquisition Corp.)	Common Shares	Zenz, Steven	4	9/28/2018	36		56,120	9,571
Frankly Inc. (formerly WB III Acquisition Corp.)	Rights RSU Plan	Zenz, Steven	4	9/28/2018	36		0	-9,571
Freehold Royalties Ltd.	Deferred Share Units	BUGEAUD, GARY RONALD JOSEPH	4	9/28/2018	30		18,988	249
Freehold Royalties Ltd.	Common Shares	Canadian National Railway Company, Administrator of the CN Trust Funds	3	9/28/2018	46	11.14	5,851,157	55,000
Freehold Royalties Ltd.	Deferred Share Units	HARRISON, PETER T	4	9/28/2018	30		21,332	280
Freehold Royalties Ltd.	Deferred Share Units	Kay, J. Douglas	4	9/28/2018	30		13,934	182
Freehold Royalties Ltd.	Deferred Share Units	Korpach, Arthur Neil	4	9/28/2018	30		29,591	388
Freehold Royalties Ltd.	Deferred Share Units	MacKenzie, Susan Mary	4	9/28/2018	30		22,238	291
Freehold Royalties Ltd.	Deferred Share Units	Romanow, Marvin F.	4	9/28/2018	30		25,772	338
Freehold Royalties Ltd.	Deferred Share Units	Walsh, Aidan Murphy	4	9/28/2018	30		25,642	337
Frontenac Mortgage Investment Corporation	Common Shares	Cruickshank, Kevin	5	10/2/2018	15	30	15,870	63
Frontenac Mortgage Investment Corporation	Common Shares	REISER, DAWN	5	10/2/2018	15	30	1,636	20
FRONTIER LITHIUM INC.	Common Shares	Barker, Bruce	4	10/2/2018	10	0.336	4,175,778	73,585
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	9/27/2018	10		66,000	26,000
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	10/2/2018	10		81,000	15,000
FSD Pharma Inc.	Multiple Voting Shares Class A	Bokhari, Raza	4	7/31/2018	00			
FSD Pharma Inc.	Options	Bokhari, Raza	4	7/31/2018	00			
FSD Pharma Inc.	Options	Bokhari, Raza	4	8/14/2018	50	0.13	3,000,000	3,000,000

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FSD Pharma Inc.	Options	Bokhari, Raza	4	9/11/2018	50	0.74	43,000,000	40,000,000
FSD Pharma Inc.	Subordinate Voting Shares Class B	Bokhari, Raza	4	7/31/2018	00		1,127,000	
FSD Pharma Inc.	Warrants	Durkacz, Anthony John	3, 4	5/24/2018	11	0.09		34,324,958
FSD Pharma Inc.	Warrants	Durkacz, Anthony John	3, 4	5/24/2018	11	0.09		34,324,958
FSD Pharma Inc.	Warrants	Durkacz, Anthony John	3, 4	5/24/2018	37	0.038		2,153,882
FSD Pharma Inc.	Warrants	Durkacz, Anthony John	3, 4	5/24/2018	37	0.038		2,153,882
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Lalinde, Jaime	5	10/1/2018	50	0.38	650,000	100,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Lopez, Damian	5	10/1/2018	50	0.38	650,000	125,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	moore, geoffrey scott	4	9/17/2018	00			
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	moore, geoffrey scott	4	10/1/2018	50	0.38	250,000	250,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Ptolemy, Ryan Jeffery	5	10/1/2018	50	0.38	565,000	100,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Roy, Ashim Kumar	5	10/1/2018	50	0.38	1,450,000	350,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Schrader, Roberto	4	10/1/2018	50	0.38	300,000	50,000
Fura Gems Inc. (formerly known as Fura Emeralds Inc.)	Options	Shetty, Devidas	4, 5	10/1/2018	50	0.38	2,420,881	530,189
Galane Gold Ltd.	Common Shares	Bhalla, Amar	4	10/1/2018	16	0.05	2,125,000	2,000,000
Galane Gold Ltd.	Common Shares	Bhalla, Amar	4	10/1/2018	16	0.05	10,989,689	4,000,000
Galane Gold Ltd.	Warrants	Bhalla, Amar	4	5/29/2008	00			
Galane Gold Ltd.	Warrants	Bhalla, Amar	4	10/1/2018	16	0.05	2,000,000	2,000,000
Galane Gold Ltd.	Warrants	Bhalla, Amar	4	10/1/2018	16	0.05	4,000,000	4,000,000
Galane Gold Ltd.	Common Shares	Brodie, Nicholas	4, 5	10/1/2018	16	0.05	2,715,000	2,535,000
Galane Gold Ltd.	Warrants	Brodie, Nicholas	4, 5	10/4/2012	00			
Galane Gold Ltd.	Warrants	Brodie, Nicholas	4, 5	10/1/2018	16	0.05	2,535,000	2,535,000
Galane Gold Ltd.	Common Shares	Hatton-Jones, Wayne	5	10/1/2018	16	0.05	3,585,763	1,053,000
Galane Gold Ltd.	Warrants	Hatton-Jones, Wayne	5	10/1/2018	16	0.05	1,326,378	1,053,000
Galane Gold Ltd.	Common Shares	Vandervegt, Gavin John	5	10/1/2018	16	0.05	975,000	975,000
Galane Gold Ltd.	Warrants	Vandervegt, Gavin John	5	10/16/2016	00			
Galane Gold Ltd.	Warrants	Vandervegt, Gavin John	5	10/1/2018	16	0.05	975,000	975,000
Galantas Gold Corporation	Common Shares	Melquart Limited	3	3/2/2017	00		22,222,222	
Galantas Gold Corporation	Common Shares	Melquart Limited	3	11/30/2017	11		28,319,783	6,097,561
Galantas Gold Corporation	Common Shares	Melquart Limited	3	9/25/2018	11		40,224,545	11,904,762
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	10/4/2018	10	0.17	11,587,884	40,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	10/4/2018	10	0.165	11,609,884	22,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	10/5/2018	10	0.165	11,627,884	18,000
Gamehost Inc.	Common Shares	Gamehost Inc.	1	9/4/2018	10	12.25	2,100	2,100
Gamehost Inc.	Common Shares	Gamehost Inc.	1	9/5/2018	10	12.03	4,200	2,100
Gamehost Inc.	Common Shares	Gamehost Inc.	1	9/6/2018	10	12.1	6,300	2,100
Gamehost Inc.	Common Shares	Gamehost Inc.	1	9/27/2018	38		0	-6,300
Gazit-Globe Ltd.	Debentures Series J (denominated in Israeli new shekels)	Bar On, Ronnie Haim	4	9/30/2018	38	100	$36,400	($400)
Gazit-Globe Ltd.	Debentures Series K (denominated in Israeli new shekels)	Ben Dor, Haim Michael	4	9/30/2018	38	100	$2,478,048	($192,087)
Gazit-Globe Ltd.	Debentures Series K (denominated in Israeli new shekels)	Norstar Holdings Inc.	3	7/2/2018	10	120.18		($30,000,000)

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Gazit-Globe Ltd.	Debentures Series K (denominated in Israeli new shekels)	Norstar Holdings Inc.	3	7/2/2018	10	120.18	$27,100,000	($40,900,000)
Gazit-Globe Ltd.	Debentures Series K (denominated in Israeli new shekels)	Norstar Holdings Inc.	3	9/30/2018	38	100	$24,390,000	($2,710,000)
Gazit-Globe Ltd.	Debentures Series M (denominated in Israeli new shekels)	Norstar Holdings Inc.	3	7/2/2018	10	102.53		$30,000,000
Gazit-Globe Ltd.	Debentures Series M (denominated in Israeli new shekels)	Norstar Holdings Inc.	3	7/2/2018	10	102.53	$57,900,000	$40,900,000
Gazit-Globe Ltd.	Debentures Series K (denominated in Israeli new shekels)	Orgler, Yair Ernst	4	9/30/2018	38	100	$225,000	($25,000)
GDI Integrated Facility Services Inc.	Deferred Share Units	Blanchet, Suzanne	4	9/30/2018	56		1,546	943
GDI Integrated Facility Services Inc.	Deferred Share Units	Boychuk, Michael T.	4	9/30/2018	56		10,440	1,159
GDI Integrated Facility Services Inc.	Deferred Share Units	GALLOWAY, DAVID ALEXANDER	4	9/30/2018	56		15,785	1,038
GDI Integrated Facility Services Inc.	Deferred Share Units	Roy, Richard G	4	9/30/2018	56		15,229	1,038
GDI Integrated Facility Services Inc.	Deferred Share Units	Youngman, Carl	4	9/30/2018	56		12,562	1,038
Gear Energy Ltd.	Common Shares	Chretien, Joseph Steve Yvan	5	9/28/2018	51	1.17	302,738	52,737
Gear Energy Ltd.	Common Shares	Chretien, Joseph Steve Yvan	5	10/5/2018	51	1.13	318,733	15,995
Gear Energy Ltd.	Options	Chretien, Joseph Steve Yvan	5	9/28/2018	51	0.71	976,225	-160,000
Gear Energy Ltd.	Options	Chretien, Joseph Steve Yvan	5	10/5/2018	51	0.69	927,225	-49,000
Gear Energy Ltd.	Common Shares	Dozzi, Bryan	5	9/28/2018	51	1.17	53,526	20,688
Gear Energy Ltd.	Common Shares	Dozzi, Bryan	5	10/5/2018	51	1.13	70,763	17,237
Gear Energy Ltd.	Options	Dozzi, Bryan	5	9/28/2018	51	0.71	1,067,047	-63,000
Gear Energy Ltd.	Options	Dozzi, Bryan	5	10/5/2018	51	0.69	1,014,047	-53,000
Gear Energy Ltd.	Common Shares	Hwang, Han-Bom David	5	10/1/2018	51	1.2	832,082	62,553
Gear Energy Ltd.	Common Shares	Hwang, Han-Bom David	5	10/1/2018	51	1.2	855,435	23,353
Gear Energy Ltd.	Options	Hwang, Han-Bom David	5	10/1/2018	51	0.71	1,198,720	-184,000
Gear Energy Ltd.	Options	Hwang, Han-Bom David	5	10/1/2018	51	0.69	1,132,720	-66,000
Gear Energy Ltd.	Common Shares	Kaluski, Jason John Kenneth	5	9/28/2018	51	1.17	234,771	54,488
Gear Energy Ltd.	Options	Kaluski, Jason John Kenneth	5	9/28/2018	51	0.71	1,070,230	-166,000
Gear Energy Ltd.	Common Shares	O'Connell, John	4	9/19/2018	10	1.1426	2,799,168	80,000
Gear Energy Ltd.	Common Shares	O'Connell, John	4	9/28/2018	10	1.18	2,799,248	80
Genesis Land Development Corp.	Options	Mitchell, Mark William	4	6/30/2016	38		0	-75,000
Genius Properties Ltd.	Common Shares	Goulet, Guy	4, 5	10/3/2018	10	0.325	3,074,044	20,000
Genius Properties Ltd.	Common Shares	Goulet, Guy	4, 5	10/4/2018	11	0.3	3,054,044	-20,000
Genius Properties Ltd.	Common Shares	Goulet, Guy	4, 5	10/4/2018	11	0.3	40,000	20,000
Genius Properties Ltd.	Common Shares	Goulet, Guy	4, 5	10/5/2018	99		0	-40,000
Genworth MI Canada Inc.	Common Shares	Cubric, Michel	5	2/6/2018	00		47	
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/28/2018	90		35,949,255	136,089
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/4/2018	38	43.93		-116,065
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/4/2018	38	43.93		-116,065
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/4/2018	38	43.93	269,406	-116,065
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/5/2018	38	44.28		-15,899
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/5/2018	38	44.28		-15,899
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/5/2018	38	44.28	253,507	-15,899
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/6/2018	38	44.05	191,897	-61,610
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/7/2018	38	43.9	136,089	-55,808
Genworth MI Canada Inc.	Common Shares	Genworth Financial, Inc.	3	9/28/2018	90		0	-136,089

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Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/4/2018	38	43.931	203,665	203,665
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/4/2018	38		0	-203,665
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/5/2018	38	44.081	27,899	27,899
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/5/2018	38		0	-27,899
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/6/2018	38	44.023	108,110	108,110
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/6/2018	38		0	-108,110
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/7/2018	38	43.903	97,929	97,929
Genworth MI Canada Inc.	Common Shares	Genworth MI Canada Inc.	1	9/7/2018	38		0	-97,929
Genworth MI Canada Inc.	Common Shares	Hewat, Mary-Jo	5	9/28/2018	30		1,107	127
Genworth MI Canada Inc.	Common Shares	Hurley, Brian Leo	4, 5	9/28/2018	30		70,025	291
Genworth MI Canada Inc.	Common Shares	Levings, Stuart Kendrick	4	9/28/2018	30		23,068	207
Genworth MI Canada Inc.	Common Shares	Macdonell, Winsor James	5	9/28/2018	30		15,050	148
Genworth MI Canada Inc.	Common Shares	Mayers, Philip Adrian Virgil	5	9/28/2018	30		20,112	259
Genworth MI Canada Inc.	Common Shares	McPherson, Deborah Lynn	5	9/28/2018	30		14,940	272
Genworth MI Canada Inc.	Common Shares	Pinto, Jonathan	5	9/28/2018	30		1,514	91
Genworth MI Canada Inc.	Common Shares	Piroli, Robert John	5	9/28/2018	30		676	7
Genworth MI Canada Inc.	Common Shares	Spitali, Jim	7	9/28/2018	30		1,742	133
Genworth MI Canada Inc.	Common Shares	Spitali, Jim	7	9/28/2018	30		99	1
Genworth MI Canada Inc.	Common Shares	Sweeney, Craig	5	9/28/2018	30		8,661	118
Genworth MI Canada Inc.	Common Shares	Williams, Aaron James Glyndwr	7	9/28/2018	30		1,351	74
Gibson Energy Inc.	Deferred Share Units	Bloom, Douglas Palmer	4	10/1/2018	56	20.3	14,010	1,847
Gibson Energy Inc.	Deferred Share Units	Brown, Sean	5	10/1/2018	56	20.3	4,997	1,398
Gibson Energy Inc.	Deferred Share Units	Cleary, James Joseph	4	10/1/2018	56	20.3	42,000	2,470
Gibson Energy Inc.	Deferred Share Units	Dannecker, George Frank	5	4/9/2018	00			
Gibson Energy Inc.	Deferred Share Units	Dannecker, George Frank	5	10/1/2018	56	20.3	2,141	2,141
Gibson Energy Inc.	Deferred Share Units	Estey, James	4	10/1/2018	56	20.3	54,473	2,770
Gibson Energy Inc.	Deferred Share Units	Festival, John Larry	4	10/1/2018	56	20.3	1,641	985
Gibson Energy Inc.	Deferred Share Units	Lindsay, Michael	7	10/1/2018	56	20.3	3,656	1,023
Gibson Energy Inc.	Deferred Share Units	McRae, Marshall L.	4	10/1/2018	56	20.3	40,590	1,970
Gibson Energy Inc.	Deferred Share Units	Peters, Mary Ellen	4	10/1/2018	56	20.3	38,949	1,275
Gibson Energy Inc.	Deferred Share Units	SPAULDING, STEVEN R.	4, 5	10/1/2018	56	20.3	71,558	2,625
Gibson Energy Inc.	Deferred Share Units	WILSON, SEAN	7	10/1/2018	56	20.3	3,656	1,023
Gibson Energy Inc.	Deferred Share Units	Wise, Richard Morgan	5	10/1/2018	56	20.3	53,208	454
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Anderson, William D.	4	9/10/2018	35	29.07	53,548	206
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Anderson, William D.	4	9/30/2018	56	30.05	54,796	1,248
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Berg, Donald	4	9/10/2018	35	29.07	21,741	83
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Berg, Donald	4	9/30/2018	56	30.05	23,605	1,864
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	7/1/2018	56	27.95		851
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	7/1/2018	56	27.95	680	680
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	9/10/2018	35	29.07	683	3
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	9/30/2018	56	30.05	1,611	928
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Caira, Marc	4	9/10/2018	35	29.07	1,281	5
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Caira, Marc	4	9/30/2018	56	30.05	2,928	1,647
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	7/1/2018	56	27.95		1,610
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	7/1/2018	56	27.95	6,598	1,825
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	9/10/2018	35	29.07	6,623	25
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	9/30/2018	56	30.05	8,320	1,697

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Gildan Activewear Inc.	Deferred Share Units (DSUs)	Goodman, Russell Andrew	4	9/10/2018	35	29.07	31,977	123
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Goodman, Russell Andrew	4	9/30/2018	56	30.05	32,942	965
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Heller, George Jason	4	9/10/2018	35	29.07	67,237	258
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Heller, George Jason	4	9/30/2018	56	30.05	68,884	1,647
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Herington, Charles	4	9/10/2018	35	29.07	1,281	5
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Herington, Charles	4	9/30/2018	56	30.05	2,928	1,647
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Leavitt, Craig Ansel	4	9/10/2018	35	29.07	533	2
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Leavitt, Craig Ansel	4	9/30/2018	56	30.05	1,282	749
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Martin-Vachon, Anne	4	9/10/2018	35	29.07	18,114	70
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Martin-Vachon, Anne	4	9/30/2018	56	30.05	19,612	1,498
Gildan Activewear Inc.	Deferred Share Units (DSUs)	VALDES-FAULI, Gonzalo	4	9/10/2018	35	29.07	41,579	160
Gildan Activewear Inc.	Deferred Share Units (DSUs)	VALDES-FAULI, Gonzalo	4	9/30/2018	56	30.05	42,328	749
Giyani Metals Corp.	Options	Birchall, Robin Jonathan Eckford Birchall	4, 5	10/1/2018	50		1,700,000	950,000
Giyani Metals Corp.	Options	Boubou, Wajd	5	10/1/2018	50		575,000	75,000
Giyani Metals Corp.	Options	Breard, Scott Alexander	4	10/1/2018	50	0.28	500,000	150,000
Giyani Metals Corp.	Options	Crandall, Daniel Gary	5	10/1/2018	50	0.28	375,000	75,000
Giyani Metals Corp.	Options	Henry, Jonathan	4	8/24/2018	00			
Giyani Metals Corp.	Options	Henry, Jonathan	4	8/24/2018	00			
Giyani Metals Corp.	Options	Henry, Jonathan	4	8/24/2018	00			
Giyani Metals Corp.	Options	Henry, Jonathan	4	10/1/2018	50		650,000	650,000
Giyani Metals Corp.	Options	Jones, Michael Shivas	4	10/1/2018	50	0.28	500,000	150,000
Giyani Metals Corp.	Options	Lee, Eugene	4	10/1/2018	50	0.28	800,000	150,000
Giyani Metals Corp.	Common Shares	Parnham, Duane	3, 4, 5	10/2/2018	10	0.25	9,418,668	-25,000
Giyani Metals Corp.	Options	Petersen, John	4	9/28/2018	50	0.28	650,000	150,000
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	9/28/2018	38	9.9289	398,300	1,900
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	10/1/2018	38	9.9205	402,600	4,300
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	10/2/2018	38	9.8239	410,900	8,300
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	10/3/2018	38	9.8135	413,500	2,600
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	10/4/2018	38	9.7478	422,200	8,700
Global Real Estate Dividend Growers Corp.	Common Shares Equity Shares	Global Real Estate Dividend Growers Corp.	1	9/28/2018	38	8.4057	7,185,389	700
Global Real Estate Dividend Growers Corp.	Common Shares Equity Shares	Global Real Estate Dividend Growers Corp.	1	10/2/2018	38	8.2	7,185,789	400
Globalive Technology Inc. (formerly, Corporate Catalyst Acquisition Inc.)	Common Shares	Lacavera, Anthony	3, 4, 5	10/1/2018	10	0.445	56,611,902	1,000
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	9/28/2018	38	0.31	9,500	-41,000
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	9/28/2018	38	0.37	0	-9,500
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	10/1/2018	38	0.335	9,000	9,000
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	10/4/2018	38	0.31	34,000	25,000
Gluskin Sheff + Associates Inc.	Deferred Share Units	Beeston, Paul	5	9/30/2018	56		51,237	2,940
Gluskin Sheff + Associates Inc.	Deferred Share Units	Davis, Virginia Ann	4	9/30/2018	56		16,732	1,470

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Gluskin Sheff + Associates Inc.	Deferred Share Units	Gobert, Wilfred Arthur	4	9/30/2018	56		50,168	2,520
Gluskin Sheff + Associates Inc.	Deferred Share Units	Halperin, Stephen	4	9/30/2018	56		30,590	2,520
Gluskin Sheff + Associates Inc.	Deferred Share Units	Lockhart, Nancy	4	9/30/2018	56		37,874	4,200
Gluskin Sheff + Associates Inc.	Common Shares	Morris, David Roy	5	10/3/2018	10	14.38	7,260	-3
Gluskin Sheff + Associates Inc.	Deferred Share Units	Themens, Pierre-Andre	4	9/30/2018	56		50,997	2,520
GMP Capital Inc.	Options	Bond, Chris	7	9/28/2018	52		50,000	-40,000
GMP Capital Inc.	Options	Fricker, Harris Anthony	5	9/28/2018	52		0	-133,500
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/24/2018	38	2.2325	32,375	32,375
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/25/2018	38	2.258	39,250	6,875
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/26/2018	38	2.2334	55,825	16,575
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/27/2018	38	2.2332	62,925	7,100
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/28/2018	38	2.256	69,225	6,300
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	9/28/2018	38		13,400	-55,825
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	10/2/2018	38		6,300	-7,100
GMP Capital Inc.	Common Shares	GMP Capital Inc.	1	10/3/2018	38		0	-6,300
GMP Capital Inc.	Options	WEIR, ROBERT RUSSELL	7	9/28/2018	52		210,000	-40,000
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Appel, David Harry	4	9/30/2018	56	53.62	59,164	398
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Basian, Karen	4	9/30/2018	56	53.62	18,672	398
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Doniz, Susan	4	9/30/2018	56	53.62	3,382	62
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Johnson, Donald Kenneth	3, 4	9/30/2018	56	53.62	67,266	503
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Morrison, Sean	4	9/30/2018	56	53.62	6,202	375
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Thomson, David J.	4	9/30/2018	56	53.62	23,770	242
Goldcorp Inc.	Common Shares	Attew, Jason Mark	5	10/5/2018	30	12.95	27,164	537
Goldcorp Inc.	Common Shares	Garofalo, David	4, 5	9/21/2018	30	13.44	154,354	248
Golden Predator Mining Corp.	Options	Fentie, Dennis Gordon	4	10/1/2018	52		325,000	-17,500
Golden Predator Mining Corp.	Common Shares Class "A"	Hayes, Gregory Donald	4, 5	9/28/2018	51	0.14	310,286	35,000
Golden Predator Mining Corp.	Options	Hayes, Gregory Donald	4, 5	9/28/2018	51		610,000	-35,000
Golden Star Resources Ltd.	Common Shares	Crew, Graham John	4	10/1/2018	00			
Golden Star Resources Ltd.	Deferred Share Units	Crew, Graham John	4	10/1/2018	00			
Golden Star Resources Ltd.	Options	Crew, Graham John	4	10/1/2018	00			
Golden Star Resources Ltd.	Options	Crew, Graham John	4	10/5/2018	50		100,000	100,000
Golden Star Resources Ltd.	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	10/1/2018	00		163,210,500	
Golden Star Resources Ltd.	Common Shares	Wray, Andrew Michael	4	10/1/2018	00			
Golden Star Resources Ltd.	Deferred Share Units	Wray, Andrew Michael	4	10/1/2018	00			
Golden Star Resources Ltd.	Options	Wray, Andrew Michael	4	10/1/2018	00			
Golden Star Resources Ltd.	Options	Wray, Andrew Michael	4	10/5/2018	50		100,000	100,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Mennega, Paul Michael	5	10/3/2018	10	2.25	4,500	500
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/11/2017	00			
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	11			448,719
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	11			448,719
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	90		448,719	448,719

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Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	11			-448,719
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	11			-448,719
Goliath Resources Limited (formerly Bitumen Capital Inc.)	Common Shares	Rosmus, Roger	4, 5	10/1/2018	90		4,038,474	-448,719
Goviex Uranium Inc.	Options	Randabel, Joseph Piere Jerome	7, 5	9/25/2018	50		1,975,000	750,000
Gran Tierra Energy Inc.	Options	Dey, Peter James	4	10/1/2018	50	3.87	117,522	1,867
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Dey, Peter James	4	10/1/2018	56		109,147	7,720
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	10	3.86	15,697,630	74,100
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	10	3.86	18,091,690	81,300
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	10	3.86	27,014,356	140,400
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	36	3.86	738,900	738,900
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	10	3.86	972,330	4,200
Gran Tierra Energy Inc.	Common Shares	GMT Capital Corp	3	10/1/2018	10	3.86	2,462,800	12,900
Gran Tierra Energy Inc.	Options	Hazell, Evan James	4	10/1/2018	50	3.87	117,522	1,867
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Hazell, Evan James	4	10/1/2018	56		94,652	5,637
Gran Tierra Energy Inc.	Options	Hodgins, Robert Bruce	4	10/1/2018	50	3.87	102,220	3,442
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Hodgins, Robert Bruce	4	10/1/2018	56		102,151	4,924
Gran Tierra Energy Inc.	Options	Royal, Ronald William	4	10/1/2018	50	3.87	117,522	1,867
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Royal, Ronald William	4	10/1/2018	56		142,354	8,478
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Scott, Sondra	4	10/1/2018	56		49,402	8,611
Gran Tierra Energy Inc.	Options	Smith, David Paul	4	10/1/2018	50	3.87	117,522	1,867
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Smith, David Paul	4	10/1/2018	56		44,833	2,670
Gran Tierra Energy Inc.	Options	Wade, Brooke Nelson	4	10/1/2018	50	3.87	117,522	1,867
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Wade, Brooke Nelson	4	10/1/2018	56		142,354	8,478
Granite REIT Inc.	Deferred Share Units	Aghar, Peter	4	9/28/2018	56	55.91	3,728	36
Granite REIT Inc.	Deferred Share Units	Daal, Remco	4	9/28/2018	56	55.91	3,425	36
Granite REIT Inc.	Deferred Share Units	Marshall, Kelly John	4	9/28/2018	56	55.91	4,936	36
Great Bear Resources Ltd.	Common Shares	Taylor, Christopher Neil Akehurst	5	6/1/2016	37		22,000	-88,000
Great Bear Resources Ltd.	Common Shares	Taylor, Christopher Neil Akehurst	5	7/18/2016	16	0.15		1,333,333
Great Bear Resources Ltd.	Common Shares	Taylor, Christopher Neil Akehurst	5	7/18/2016	16	0.15	155,333	133,333
Great Bear Resources Ltd.	Common Shares	Taylor, Christopher Neil Akehurst	5	12/27/2017	16	0.3	417,833	100,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	9/25/2013	50	0.15	495,000	325,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	4/23/2015	52	2.75	460,000	-45,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	12/6/2015	52	2	395,000	-65,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	6/1/2016	37			-404,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	6/1/2016	37			-404,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	6/1/2016	37		79,000	-316,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	7/13/2016	52	7.5	71,000	-8,000
Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	9/1/2016	50	0.23	291,000	220,000

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Great Bear Resources Ltd.	Options	Taylor, Christopher Neil Akehurst	5	7/17/2017	52	5	287,000	-4,000
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	9/8/2015	16	0.08	150,000	100,000
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	6/1/2016	37		30,000	-120,000
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	7/18/2016	53	0.2		1,333,333
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	7/18/2016	53	0.2	163,333	133,333
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	9/1/2016	53	0.2		43,500
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	9/16/2016	53	0.27	250,833	87,500
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	7/31/2017	53	0.35		20,000
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	8/4/2017	53	0.35	270,833	20,000
Great Bear Resources Ltd.	Warrants	Taylor, Christopher Neil Akehurst	5	12/27/2017	16	0.42	320,833	50,000
Great Canadian Gaming Corporation	Common Shares	Young, Michael James	4	10/4/2018	00		1,992	
Great Canadian Gaming Corporation	Options	Young, Michael James	4	10/4/2018	00		18,000	
Great Canadian Gaming Corporation	Units Restricted Shares	Young, Michael James	4	10/4/2018	00		3,493	
Great-West Lifeco Inc.	Deferred Share Units	Amend, Michael Ryan	4	9/30/2018	56	31.517	3,599	2,711
Great-West Lifeco Inc.	Deferred Share Units	Barrett, Deborah Jean	4	9/30/2018	56	31.513	5,981	1,836
Great-West Lifeco Inc.	Deferred Share Units	Bibeau, Marc A.	6	9/30/2018	30	31.34	3,099	38
Great-West Lifeco Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	31.492	46,708	3,735
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, André	4	9/30/2018	56	31.449	166,275	5,201
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Olivier	7	7/31/2018	30	39.05		118
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Olivier	7	7/31/2018	30	39.05		118
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Olivier	7	8/30/2018	56	35.79		1,048
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Olivier	7	8/30/2018	56	31.498	15,940	1,576
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Paul III	7	9/30/2018	56	31.501	14,692	1,747
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Paul Jr.	4	9/30/2018	56	31.468	38,047	1,627
Great-West Lifeco Inc.	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	31.512	4,463	1,181
Great-West Lifeco Inc.	Deferred Share Units	Fuller, David	4	9/30/2018	56	31.511	5,211	1,318
Great-West Lifeco Inc.	Deferred Share Units	Généreux, Claude	4	9/30/2018	56	31.502	29,959	3,677
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco Inc.	1	9/30/2018	38	31.165	183,996	183,996
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco Inc.	1	9/30/2018	38		0	-183,996
Great-West Lifeco Inc.	Deferred Share Units	Hosek, Chaviva Milada	4	9/30/2018	56	31.472	23,533	1,072
Great-West Lifeco Inc.	Deferred Share Units	Jackson, John David Allan	4	9/30/2018	56	31.497	9,511	900
Great-West Lifeco Inc.	Deferred Share Units	Lempres, Elizabeth Cahill	4	9/30/2018	56	31.517	1,367	1,043
Great-West Lifeco Inc.	Deferred Share Units	Madoff, Paula Beth	4	9/30/2018	56	31.517	1,822	1,498
Great-West Lifeco Inc.	Deferred Share Units	Mahon, Paul	5	9/30/2018	56	31.491	103,483	3,332
Great-West Lifeco Inc.	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	56	31.513	7,131	2,241
Great-West Lifeco Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	9/30/2018	56	31.401	180,012	3,333
Great-West Lifeco Inc.	Deferred Share Units	Plessis-Bélair, Michel	6	9/30/2018	30	31.34	29,759	365
Great-West Lifeco Inc.	Deferred Share Units	Raymond, Donald Michael	4	9/30/2018	56	31.515	3,192	1,449
Great-West Lifeco Inc.	Deferred Share Units	Reynolds, Robert Lloyd	7	9/30/2018	56	31.5	9,389	1,013
Great-West Lifeco Inc.	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4	9/30/2018	56	31.5	42,522	4,664
Great-West Lifeco Inc.	Deferred Share Units	Selitto, Jerome John	4	9/30/2018	56	31.5	14,720	1,656
Great-West Lifeco Inc.	Deferred Share Units	Szathmary, Emoke Jolan Erzsebet	6	9/30/2018	30	31.34	35,180	431
Great-West Lifeco Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	9/30/2018	56	31.492	18,532	1,441
Great-West Lifeco Inc.	Deferred Share Units	Vanaselja, Siim A.	4	9/30/2018	56	31.499	26,002	2,747
Great-West Lifeco Inc.	Deferred Share Units	Walsh, Brian, E.	4	9/30/2018	56	31.471	85,442	3,864
Green River Gold Corp.	Common Shares	Kibblewhite, Vernon Russell	4	8/22/2018	00			
Green River Gold Corp.	Common Shares	Kibblewhite, Vernon Russell	4	9/26/2018	16	0.06	80,000	80,000
Green River Gold Corp.	Warrants	Kibblewhite, Vernon Russell	4	8/22/2018	00			

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Green River Gold Corp.	Warrants	Kibblewhite, Vernon Russell	4	9/26/2018	16	0.1	40,000	40,000
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Options	Grossman, Andrew	5	6/12/2018	00			
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Options	Grossman, Andrew	5	8/30/2018	50	14.64	50,000	50,000
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Rights Restricted Share Units	Grossman, Andrew	5	6/12/2018	00			
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Rights Restricted Share Units	Grossman, Andrew	5	8/30/2018	56		50,000	50,000
Greenbrook TMS Inc.	Options	Burke, Brian Paul	4	10/3/2018	00			
Greenbrook TMS Inc.	Options	Burke, Brian Paul	4	10/3/2018	50		30,000	30,000
Greenbrook TMS Inc.	Common Shares	Campbell, Colleen Rae	4	9/27/2018	00			
Greenbrook TMS Inc.	Common Shares	Campbell, Colleen Rae	4	10/1/2018	54		25,000	25,000
Greenbrook TMS Inc.	Options	Campbell, Colleen Rae	4	9/27/2018	00			
Greenbrook TMS Inc.	Options	Campbell, Colleen Rae	4	10/3/2018	50		30,000	30,000
Greenbrook TMS Inc.	Special Warrants	Campbell, Colleen Rae	4	10/1/2018	54		0	-25,000
Greenbrook TMS Inc.	Options	Cucuz, Sasha	4	9/27/2018	00			
Greenbrook TMS Inc.	Options	Cucuz, Sasha	4	10/3/2018	50		25,000	25,000
Greenbrook TMS Inc.	Options	Graves, Adrienne L.	4	10/3/2018	00			
Greenbrook TMS Inc.	Options	Graves, Adrienne L.	4	10/3/2018	50		25,000	25,000
Greenbrook TMS Inc.	Common Shares	Greybrook Health Inc.	3	10/1/2018	54		20,790,000	750,000
Greenbrook TMS Inc.	Special Warrants	Greybrook Health Inc.	3	10/1/2018	54		0	-750,000
Greenbrook TMS Inc.	Common Shares	Tworecke, Frank	4	10/3/2018	00		200,000	
Greenbrook TMS Inc.	Options	Tworecke, Frank	4	10/3/2018	00			
Greenbrook TMS Inc.	Options	Tworecke, Frank	4	10/3/2018	50		25,000	25,000
Greenbrook TMS Inc.	Options	Vamvakas, Elias	4	9/27/2018	00			
Greenbrook TMS Inc.	Options	Vamvakas, Elias	4	10/3/2018	50		50,000	50,000
Grid Metals Corp.	Common Shares	Dunbar, Robin Edward	4, 5	9/26/2018	10	0.075	1,218,672	30,000
Grid Metals Corp.	Common Shares	Dunbar, Robin Edward	4, 5	9/27/2018	10	0.075	1,258,672	40,000
Guyana Goldfields Inc.	Rights Deferred Share Units	Marion, Rene Louis Joseph	4	10/1/2018	56		63,181	2,421
Guyana Goldfields Inc.	Common Shares	The Baupost Group, L.L.C.	3	9/28/2018	10	2.87	24,768,969	1,000,000
Guyana Goldfields Inc.	Common Shares	The Baupost Group, L.L.C.	3	10/1/2018	10	2.87	24,954,469	185,500
Guyana Goldfields Inc.	Common Shares	The Baupost Group, L.L.C.	3	10/2/2018	10	3	25,588,469	634,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Leigh, Frederic	4	7/24/2015	00			
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Leigh, Frederic	4	9/28/2018	22		156,539	156,539
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Options	Leigh, Frederic	4	7/24/2015	00			
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Options	Leigh, Frederic	4	9/28/2018	22		300,000	300,000
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Warrants	Leigh, Frederic	4	7/24/2015	00			
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Warrants	Leigh, Frederic	4	9/28/2018	22	0.9	337,500	337,500
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	9/28/2018	00		3,120,852	
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	9/28/2018	00		1,909,027	
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Options	Sidhu, Kiranjit Singh	4	9/28/2018	00		1,400,000	
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Subscription Rights Subscription Receipts	Sidhu, Kiranjit Singh	4	9/28/2018	00		195,674	
Halo Labs Inc. (formerly Apogee Opportunities Inc.)	Warrants	Sidhu, Kiranjit Singh	4	9/28/2018	00		810,000	
Hamilton Thorne Ltd.	Options	Edwards, Keith	5	10/5/2018	51	0.22	323,500	25,000
Hamilton Thorne Ltd.	Options	Edwards, Keith	5	10/5/2018	51	0.63	329,750	6,250
Hammond Power Solutions Inc.	Rights Deferred Share Units	Baldwin, Douglas	4	9/27/2018	56		5,778	23

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Hammond Power Solutions Inc.	Rights Deferred Share Units	FitzGibbon, David Joseph	4	9/27/2018	56		5,778	23
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	9/27/2018	56		9,089	33
Hammond Power Solutions Inc.	Rights Deferred Share Units	HAMMOND, BILL	6	9/27/2018	56		6,988	34
Hammond Power Solutions Inc.	Rights Deferred Share Units	HUETHER, CHRIS	5	9/27/2018	56		6,988	34
Hammond Power Solutions Inc.	Rights Deferred Share Units	Jaques, Frederick Maurice	4	9/27/2018	56		12,401	44
Hammond Power Solutions Inc.	Rights Deferred Share Units	MACADAM, DON	4	9/27/2018	56		5,778	23
Hammond Power Solutions Inc.	Rights Deferred Share Units	Robinson, Grant Cameron	4	9/27/2018	56		5,778	23
Hammond Power Solutions Inc.	Rights Deferred Share Units	Waterman, Richard Stanley	4	9/27/2018	56		5,778	23
Happy Creek Minerals Ltd.	Common Shares	blann, David	5	10/3/2018	10	0.15	4,627,501	3,500
Happy Creek Minerals Ltd.	Common Shares	blann, David	5	10/4/2018	10	0.15	4,634,001	6,500
HEXO Corp.	Common Shares	Chiara, Vincent	4	9/28/2018	10	8.79	74,700	6,700
HEXO Corp.	Common Shares	Ewart, Jason	4	10/3/2018	51	0.58	10,000	10,000
Hillcrest Petroleum Ltd.	Common Shares	Currie, Donald James	4, 5	9/25/2018	10	0.04	5,373,000	-350,000
Holloway Lodging Corporation	Common Shares	Holloway Lodging Corporation	1	9/25/2018	30	6.1	485,000	485,000
Holloway Lodging Corporation	Common Shares	Holloway Lodging Corporation	1	9/30/2018	38		0	-485,000
Home Capital Group Inc.	Rights Restricted Share Units	Bissada, Yousry	4, 5	9/28/2018	59		9,921	-4,960
Home Capital Group Inc.	Rights Deferred Share Units	Blowes, Robert	4	9/28/2018	56	15	8,017	958
Home Capital Group Inc.	Rights Deferred Share Units	Derksen, Paul	4	9/28/2018	56	15	3,327	2,208
Home Capital Group Inc.	Rights Deferred Share Units	Haggis, Paul	4	9/28/2018	56	15	16,847	2,417
Home Capital Group Inc.	Rights Deferred Share Units	Hibben, Alan Roy	4	9/28/2018	56	15	30,557	2,417
Home Capital Group Inc.	Rights Restricted Share Units	Kotush, Bradley William	5	9/28/2018	59		2,271	-1,135
Home Capital Group Inc.	Rights Deferred Share Units	Lamoureux, Claude	4	9/28/2018	56	15	15,637	2,250
Home Capital Group Inc.	Rights Deferred Share Units	Lisson, James	4	9/28/2018	56	15	13,347	1,917
Home Capital Group Inc.	Rights Deferred Share Units	Ritchie, Melisa	4	9/28/2018	56	15	1,444	958
Home Capital Group Inc.	Rights Deferred Share Units	Sallows, Sharon	4	9/28/2018	56	15	15,549	2,250
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Amelunxen, Peter Alexander	5	9/1/2018	00			
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Share Units	Amelunxen, Peter Alexander	5	9/1/2018	00			
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/1/2018	10	5.13	7,283,790	-52,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/1/2018	10	5.13	8,277,520	-59,300
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/1/2018	10	5.13	11,911,790	-85,300
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/1/2018	10	5.13	449,200	-3,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/2/2018	10	5.11	352,220	-96,980

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Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	10/1/2018	10	5.13	1,064,600	-7,600
Hudson's Bay Company	Common Shares	Baker, Robert C.	4	10/1/2018	10	9.5	556,698	-25,800
Hudson's Bay Company	Common Shares	Baker, Robert C.	4	10/2/2018	10	9.51	520,098	-36,600
Hudson's Bay Company	Common Shares	Baker, Robert C.	4	10/4/2018	10	9.57	500,000	-20,098
Hudson's Bay Company	Common Shares	L&T B (Cayman) Inc.	3	10/1/2018	10	9.5	556,698	-25,800
Hudson's Bay Company	Common Shares	L&T B (Cayman) Inc.	3	10/2/2018	10	9.51	520,098	-36,600
Hudson's Bay Company	Common Shares	L&T B (Cayman) Inc.	3	10/4/2018	10	9.57	500,000	-20,098
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Options	Vaiopoulos, Demetrios	5	7/10/2018	00			
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Options	Vaiopoulos, Demetrios	5	9/28/2018	50	3	90,000	90,000
IAMGOLD Corporation	Common Shares	Snow, Jeffery Alexander	5	1/24/2018	10	7.85		-15,524
IAMGOLD Corporation	Common Shares	Snow, Jeffery Alexander	5	1/24/2018	38	7.85		-15,524
IAMGOLD Corporation	Common Shares	Snow, Jeffery Alexander	5	1/24/2018	57	7.85		-15,524
IAMGOLD Corporation	Common Shares	Snow, Jeffery Alexander	5	1/24/2018	57	7.85		-15,524
iAnthus Capital Holdings, Inc.	Common Shares	Ford, Hadley	4, 5	9/28/2018	36		750,000	750,000
iAnthus Capital Holdings, Inc.	Exchangeable Shares Class A convertible restricted voting Shares	Ford, Hadley	4, 5	9/28/2018	36		1,812,500	-750,000
iAnthus Capital Holdings, Inc.	Options	Ford, Hadley	4, 5	8/12/2016	00		120,000	
iAnthus Capital Holdings, Inc.	Options	Ford, Hadley	4, 5	3/2/2018	50	3.56	270,000	150,000
IBI Group Inc.	Rights Deferred Unit	Bell, Lorraine Diane	4	9/30/2018	56	4.53	13,398	5,146
IBI Group Inc.	Rights Deferred Unit	Krywiak, Claudia	4	9/30/2018	56	4.53	3,142	2,000
IBI Group Inc.	Rights Deferred Unit	Nobrega, Michael Joseph	4	9/30/2018	56	4.53	27,116	5,719
IBI Group Inc.	Rights Deferred Unit	Reid, John Oliver	4	9/30/2018	56	4.53	27,367	5,939
IBI Group Inc.	Common Shares	Richmond, Dale Elson	4	9/28/2018	10	4.5807	35,600	10,000
IBI Group Inc.	Rights Deferred Unit	Richmond, Dale Elson	4	9/30/2018	56	4.53	283,273	8,303
ICC International Cannabis Corp. (formerly Kaneh Bosm BioTechnology Inc.)	Common Shares	Nguyen, Peter Michael	5	6/13/2018	00			
ICC International Cannabis Corp. (formerly Kaneh Bosm BioTechnology Inc.)	Common Shares	Nguyen, Peter Michael	5	10/2/2018	11	0.76	25,000	25,000
ICC International Cannabis Corp. (formerly Kaneh Bosm BioTechnology Inc.)	Common Shares	Nguyen, Peter Michael	5	10/4/2018	10	0.79	15,000	-10,000
ICC International Cannabis Corp. (formerly Kaneh Bosm BioTechnology Inc.)	Common Shares	Nguyen, Peter Michael	5	10/5/2018	10	0.86	0	-15,000
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	7/31/2018	30	39.05	32,321	447
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	9/30/2018	56	35.79	33,613	1,292
IGM Financial Inc.	Deferred Share Units	Carney, Jeffrey	4	7/31/2018	30	39.05	14,574	197
IGM Financial Inc.	Deferred Share Units	Carney, Jeffrey	4	9/30/2018	56	35.79	15,692	1,118
IGM Financial Inc.	Deferred Share Units	Coutu, Marcel R.	4	7/31/2018	30	39.05	11,845	158
IGM Financial Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	35.79		1,187
IGM Financial Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	35.79	13,032	1,187
IGM Financial Inc.	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	30	39.05		158
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	7/31/2018	30	39.05	62,979	885
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	9/30/2018	56	35.79		1,234
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	9/30/2018	56	35.79	64,213	1,234
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	9/30/2018	30	39.05		885
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	9/30/2018	30	39.05		885
IGM Financial Inc.	Deferred Share Units	Desmarais, André	4, 6	9/30/2018	30	39.05		885
IGM Financial Inc.	Deferred Share Units	Desmarais, Olivier	7	7/31/2018	30	39.05	8,660	117
IGM Financial Inc.	Deferred Share Units	Desmarais, Olivier	7	9/30/2018	56	35.79	9,516	856
IGM Financial Inc.	Deferred Share Units	Desmarais, Paul III	7	7/31/2018	30	39.05	8,842	118
IGM Financial Inc.	Deferred Share Units	Desmarais, Paul III	7	9/30/2018	56	35.79	9,890	1,048
IGM Financial Inc.	Deferred Share Units	Desmarais, Paul Jr.	4	7/31/2018	30	39.05	31,903	449

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IGM Financial Inc.	Deferred Share Units	Desmarais, Paul Jr.	4	9/30/2018	56	35.79		620
IGM Financial Inc.	Deferred Share Units	Desmarais, Paul Jr.	4	9/30/2018	56	35.79	32,523	620
IGM Financial Inc.	Deferred Share Units	Desmarais, Paul Jr.	4	9/30/2018	30	39.05		449
IGM Financial Inc.	Deferred Share Units	Doer, Gary Albert	4	7/31/2018	30	39.05	2,642	32
IGM Financial Inc.	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	35.79		786
IGM Financial Inc.	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	35.79	3,428	786
IGM Financial Inc.	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	30	39.05		32
IGM Financial Inc.	Deferred Share Units	Doniz, Susan	7	7/31/2018	30	39.05	1,851	20
IGM Financial Inc.	Deferred Share Units	Doniz, Susan	7	9/30/2018	56	35.79	2,724	873
IGM Financial Inc.	Deferred Share Units	Généreux, Claude	4	7/31/2018	30	39.05		64
IGM Financial Inc.	Deferred Share Units	Généreux, Claude	4	7/31/2018	30	39.05	5,240	64
IGM Financial Inc.	Deferred Share Units	Généreux, Claude	4	9/30/2018	56	35.79		1,327
IGM Financial Inc.	Deferred Share Units	Généreux, Claude	4	9/30/2018	56	35.79	6,567	1,327
IGM Financial Inc.	Deferred Share Units	Hodgson, Sharon	4	7/31/2018	30	39.05	6,000	78
IGM Financial Inc.	Deferred Share Units	Hodgson, Sharon	4	9/30/2018	56	35.79	6,900	900
IGM Financial Inc.	Deferred Share Units	MacLeod, Sharon	7	7/31/2018	30	39.05	2,738	29
IGM Financial Inc.	Deferred Share Units	MacLeod, Sharon	7	9/30/2018	56	35.79	4,048	1,310
IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	7/31/2018	30	39.05	2,968	37
IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	56	35.79		620
IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	56	35.79	3,588	620
IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	30	39.05		37
IGM Financial Inc.	Deferred Share Units	McCallum, John S.	4	7/31/2018	30	39.05	47,332	661
IGM Financial Inc.	Deferred Share Units	McCallum, John S.	4	9/30/2018	56	35.79	48,624	1,292
IGM Financial Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	7/31/2018	30	39.05	89,672	1,270
IGM Financial Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	9/30/2018	56	35.79		524
IGM Financial Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	9/30/2018	56	35.79	90,196	524
IGM Financial Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	9/30/2018	30	39.05		1,270
IGM Financial Inc.	Deferred Share Units	Plessis-Bélair, Michel	4	7/31/2018	30	39.05	13,050	185
IGM Financial Inc.	Deferred Share Units	Plessis-Bélair, Michel	4	9/30/2018	30	39.05		185
IGM Financial Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	7/31/2018	30	39.05		99
IGM Financial Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	7/31/2018	30	39.05	7,539	99
IGM Financial Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	9/30/2018	56	39.05		943
IGM Financial Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	9/30/2018	56	35.79	8,482	943
IGM Financial Inc.	Deferred Share Units	Wilson, Elizabeth Diane	5	9/30/2018	56	35.79	1,203	1,048
iLOOKABOUT Corp.	Common Shares	iLOOKABOUT Corp.	1	8/21/2018	38		0	-84,000
Imperial Metals Corporation	Common Shares	Deepwell, Andre Henry	5	10/4/2018	30	1.16	288,530	4,405
Imperial Metals Corporation	Common Shares	KYNOCH, J. BRIAN	4, 5	10/4/2018	30	1.16	1,301,785	5,048
Imperial Oil Limited	Rights Deferred Share Units	Cornhill, David Wallace	4	9/30/2018	56		886	166
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	9/26/2018	38	41.92	551,944,599	-112,001
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	9/27/2018	38	42.56	551,832,598	-112,001
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	9/28/2018	38	41.8	551,720,603	-111,995
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	10/1/2018	38	42.86	551,608,602	-112,001
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	10/2/2018	38	42.75	551,496,601	-112,001
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	10/3/2018	38	43.7	551,384,600	-112,001
Imperial Oil Limited	Rights Deferred Share Units	Hoeg, Krystyna	4	9/30/2018	56		33,806	802
Imperial Oil Limited	Rights Deferred Share Units	Hubbs, Miranda C.	4	7/26/2018	00			
Imperial Oil Limited	Rights Deferred Share Units	Hubbs, Miranda C.	4	9/30/2018	56		653	653
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/4/2018	38	40.606	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/4/2018	38	40.606	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/4/2018	38	40.35	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/4/2018	38	40.35	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/5/2018	38	40.094	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/5/2018	38	40.094	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/5/2018	38	40.35	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/5/2018	38	40.35	0	-112,001

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/6/2018	38	40.047	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/6/2018	38	40.047	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/6/2018	38	39.99	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/6/2018	38	39.99	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/7/2018	38	38.957	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/7/2018	38	38.957	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/7/2018	38	39.24	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/7/2018	38	39.24	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/10/2018	38	39.054		48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/10/2018	38	39.054	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/10/2018	38	39.054	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/10/2018	38	38.66	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/10/2018	38	38.66	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/11/2018	38	38.3	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/11/2018	38	38.3	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/11/2018	38	38	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/11/2018	38	38	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/12/2018	38	38.265	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/12/2018	38	38.265	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/12/2018	38	38.3	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/12/2018	38	38.3	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/13/2018	38	38.564	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/13/2018	38	38.564	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/13/2018	38	38.66	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/13/2018	38	38.66	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/14/2018	38	38.967	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/14/2018	38	38.967	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/14/2018	38	38.99	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/14/2018	38	38.99	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/17/2018	38	39.241	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/17/2018	38	39.241	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/17/2018	38	39	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/17/2018	38	39	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/18/2018	38	39.337	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/18/2018	38	39.337	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/18/2018	38	39.44	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/18/2018	38	39.44	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/19/2018	38	39.445	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/19/2018	38	39.445	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/19/2018	38	39.34	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/19/2018	38	39.34	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/20/2018	38	39.368	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/20/2018	38	39.368	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/20/2018	38	39.77	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/20/2018	38	39.77	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/21/2018	38	40.605	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/21/2018	38	40.605	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/21/2018	38	40.76	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/21/2018	38	40.76	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/24/2018	38	41.997	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/24/2018	38	41.997	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/24/2018	38	42.27	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/24/2018	38	42.27	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/25/2018	38	42.467	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/25/2018	38	42.467	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/25/2018	38	42.1	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/25/2018	38	42.1	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/26/2018	38	42.268	48,920	48,920

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/26/2018	38	42.268	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/26/2018	38	41.92	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/26/2018	38	41.92	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/27/2018	38	42.426	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/27/2018	38	42.426	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/27/2018	38	42.56	112,001	112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/27/2018	38	42.56	0	-112,001
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	42.154	48,920	48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	42.154	0	-48,920
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	42.56		111,995
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	41.8	111,995	111,995
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	42.56		-111,995
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	9/28/2018	38	41.8	0	-111,995
Imperial Oil Limited	Rights Deferred Share Units	MINTZ, JACK MAURICE	4	9/30/2018	56		29,631	783
Imperial Oil Limited	Rights Deferred Share Units	Sutherland, David Stewart	4	9/30/2018	56		27,022	771
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	1/31/2018	30	38.82	9,058	75
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	1/31/2018	30	39.11	9,057	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2/28/2018	30	36.59	9,139	82
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	2/28/2018	30	38.7	9,138	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	3/31/2018	30	34.51	9,224	86
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	3/31/2018	30	34.42	9,223	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	4/30/2018	30	34.96	9,351	128
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	4/30/2018	30	33.81	9,350	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	5/31/2018	30	40.64	9,425	75
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	5/31/2018	30	39.39	9,424	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	6/30/2018	30	43.12	9,495	71
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	6/30/2018	30	42.43	9,494	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	7/31/2018	30	43.74	9,605	111
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	7/31/2018	30	43.38	9,604	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	8/31/2018	30	42.43	9,676	72
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	8/31/2018	30	44.01	9,675	-1
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	9/25/2018	10	42.55	9,061	-614
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	9/30/2018	30	39.9	9,138	77
Imperial Oil Limited	Common Shares	Wetmore, Jonathan	5	9/30/2018	30	40.58	9,137	-1
Imperial Oil Limited	Rights Deferred Share Units	Whittaker, Sheelagh	4	9/30/2018	56		55,095	572
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	Gregory, Julia Paige	4	9/30/2018	56		12,846	1,896
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	Hall, James Willis	4	9/30/2018	56		46,004	4,441
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	Pisano, Wayne	4	9/30/2018	56		39,770	3,493
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	SCARDINO, ALBERT JAMES	4	9/30/2018	56		43,965	4,062
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	Sheldon, Andrew J.	4	9/30/2018	56		48,035	3,547
IMV Inc. (formerly Immunovaccine Inc.)	Deferred Share Units	Smithers, Alfred	4	9/30/2018	56		33,747	3,791
Inca One Gold Corp.	Common Shares	Kelly, Edward John	4	9/28/2018	11	0.045		100,000
Inca One Gold Corp.	Common Shares	Kelly, Edward John	4	9/28/2018	10	0.045	1,680,127	100,000
Inca One Gold Corp.	Options	Kelly, Edward John	4	9/21/2018	52		2,200,000	-320,500
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Bourgon, Jocelyne	4	9/30/2018	56	52.92	13,197	986
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Coallier, Robert	4	9/30/2018	56	52.92	1,972	100
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Côté, Agathe	4	9/30/2018	56	52.92	3,550	295

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Darveau-Garneau, Nicolas	4	9/30/2018	56	52.92	562	417
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Griffin, Emma Kate	4	9/30/2018	56	52.92	260	55
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Hanley, Michael	4	9/30/2018	56	52.92	4,038	330
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Lamoureux, Claude	4	9/30/2018	56	52.92	15,779	660
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Poulin, Marc	4	9/30/2018	56	52.92	350	270
Industrial Alliance Insurance and Financial Services inc.	unités d'actions différées (uda)-differed shared units (dsa)	Têtu, Louis	4	9/30/2018	56	52.92	4,441	494
Inovalis Real Estate Investment Trust	Exchangeable Securities	Inovalis S.A.	3	9/30/2018	46	10.509	1,014,880	33,992
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/4/2018	38	1.0142	103,100	55,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/5/2018	38	1.04	200,800	97,700
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/6/2018	38	1.01	250,800	50,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/7/2018	38	1.0194	286,800	36,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/10/2018	38	1.0123	289,900	3,100
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/11/2018	38	1.01	321,100	31,200
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/12/2018	38	1.0378	483,000	161,900
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/13/2018	38	1.0504	506,500	23,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/14/2018	38	1.0445	516,500	10,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/17/2018	38	1.0084	541,500	25,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/18/2018	38	1.0243	553,100	11,600
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/19/2018	38	1.0211	580,500	27,400
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/20/2018	38	1.0147	607,400	26,900
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/21/2018	38	1.0179	617,800	10,400
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/24/2018	38	1.01	632,300	14,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/25/2018	38	1.0256	666,500	34,200
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/26/2018	38	1.0347	691,400	24,900
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/28/2018	38	0.9911	789,400	98,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	9/28/2018	38		143,300	-646,100
INSCAPE Corporation	Subordinate Voting Shares CLASS B	LaSalle, David	4	9/12/2018	00		2,174,600	
INTEGRATED ASSET MANAGEMENT CORP.	Common Shares	Robson, Philip Spencer	7	10/1/2018	10	1.94	17,800	8,800
INTEGRATED ASSET MANAGEMENT CORP.	Common Shares	Robson, Philip Spencer	7	10/2/2018	10	1.94	19,500	1,700
Integrated Cannabis Company, Inc. (formerly, CNRP Mining Inc.)	Options	Kumar, Nishal Rai	4	2/17/2017	00			
Integrated Cannabis Company, Inc. (formerly, CNRP Mining Inc.)	Options	Kumar, Nishal Rai	4	6/8/2018	50	0.4	50,000	50,000
Interfor Corporation	Rights DSUs	HULL, JEANE	4	9/30/2018	56		27,672	971
Interfor Corporation	Common Shares	Interfor Corporation	1	9/28/2018	38	19.2	194,115	64,705
Interfor Corporation	Common Shares	Interfor Corporation	1	10/3/2018	38		0	-194,115
Interfor Corporation	Rights DSUs	MacDougall, Gordon H	4	9/30/2018	56		82,287	971
Interfor Corporation	Rights DSUs	McMillan, James Eddie	4	9/30/2018	56		45,099	971
Interfor Corporation	Rights DSUs	Milroy, Thomas Voysey	4	9/30/2018	56		15,891	1,618
Interfor Corporation	Rights DSUs	Platt, Gillian L.	4	9/30/2018	56		7,755	971
Interfor Corporation	Rights DSUs	Sauder, E. Lawrence	4, 5	9/30/2018	56		70,433	1,941
Interfor Corporation	Rights DSUs	STEVENS, CURTIS	4	9/30/2018	56		2,465	1,618
Interfor Corporation	Rights DSUs	Whitehead, Douglas William Geoffrey	4	9/30/2018	56		37,167	971
Intermap Technologies Corporation	Options	Tennant, J Keith	5	9/28/2018	52		39,377	-52,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
International Battery Metals Ltd. (formerly, Rheingold Exploration Corp.)	Options	Scott, David	4	9/13/2018	50		925,000	400,000
International Cannabrands Inc.	Warrants Performance Warrants	Reeves, Scott Michael	4	2/21/2017	00			
International Cannabrands Inc.	Warrants Performance Warrants	Reeves, Scott Michael	4	10/3/2018	53		3,000,000	3,000,000
InterRent Real Estate Investment Trust	Deferred Units	Amirault, Paul	4	9/30/2018	56		127,854	1,998
InterRent Real Estate Investment Trust	Deferred Units	Bouzanis, Paul	4	9/30/2018	56		77,358	2,656
InterRent Real Estate Investment Trust	Deferred Units	Clancy, Michael Robert	5	9/30/2018	56		18,119	1,534
InterRent Real Estate Investment Trust	Deferred Units	Leslie, Ronald A.	4	9/30/2018	56		131,300	2,209
InterRent Real Estate Investment Trust	Deferred Units	Pangborn, Cheryl Anne	4	9/30/2018	56		9,545	1,619
InterRent Real Estate Investment Trust	Deferred Units	Stone, Victor Reginald	4	9/30/2018	56		116,094	2,403
Intouch Insight Ltd.	Common Shares	Beutel, Eric Marshall	3, 4	9/27/2018	10	0.4861	394,000	47,500
Intrinsyc Technologies Corporation	Common Shares	Intrinsyc Technologies Corporation	1	10/1/2018	10	1.36	3,300	3,300
Intrinsyc Technologies Corporation	Common Shares	Intrinsyc Technologies Corporation	1	10/1/2018	38		0	-3,300
Intrinsyc Technologies Corporation	Common Shares	Intrinsyc Technologies Corporation	1	10/3/2018	10	1.47	500	500
Intrinsyc Technologies Corporation	Common Shares	Intrinsyc Technologies Corporation	1	10/3/2018	38		0	-500
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	amadori, dan peter	4	9/30/2018	56		17,244	2,821
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Benbow, Bradley	4	9/30/2018	56		31,954	3,135
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Hawkins, Shaun	4	9/30/2018	56		36,317	940
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Herman, Charles Jacob	4	9/30/2018	10		14,244	3,135
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Turner, Thomas Richard	4	9/30/2018	56		31,700	2,351
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Wigmore, Elisabeth Shirley	4	9/30/2018	56		6,070	3,135
Invictus MD Strategies Corp.	Warrants	Kriznic, Daniel Stanislav	3, 4, 5	5/18/2018	47		10,000	-75,000
Invictus MD Strategies Corp.	Warrants	Kriznic, Daniel Stanislav	3, 4, 5	9/2/2018	55		0	-10,000
IPL Plastics Inc.	Restricted Share Unit	Hynes, Rose	4	6/21/2018	00			
IPL Plastics Inc.	Restricted Share Unit	Hynes, Rose	4	9/30/2018	56		1,117	1,117
IPL Plastics Inc.	Deferred Share Unit	Kuga Pikulin, Linda	4	6/28/2018	00			
IPL Plastics Inc.	Deferred Share Unit	Kuga Pikulin, Linda	4	9/30/2018	56		1,117	1,117
IPL Plastics Inc.	Deferred Share Unit	McAusland, David L.	4	9/30/2018	56		8,097	4,394
IPL Plastics Inc.	Restricted Share Unit	McCutcheon, Hugh	4	6/21/2018	00			
IPL Plastics Inc.	Restricted Share Unit	McCutcheon, Hugh	4	9/30/2018	56		1,252	1,252
IPL Plastics Inc.	Restricted Share Unit	Meagher, Geoff	4	6/21/2018	00			
IPL Plastics Inc.	Restricted Share Unit	Meagher, Geoff	4	9/30/2018	56		1,060	1,060
IPL Plastics Inc.	Deferred Share Unit	Pel, Sharon Christina	4	6/28/2018	00			
IPL Plastics Inc.	Deferred Share Unit	Pel, Sharon Christina	4	9/30/2018	56		1,021	1,021
IPL Plastics Inc.	Deferred Share Unit	Ritchie, Mary C.	4	6/28/2018	00			
IPL Plastics Inc.	Deferred Share Unit	Ritchie, Mary C.	4	9/30/2018	56		1,214	1,214
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Dusenbury, Eli Seamus Sweet	5	8/7/2018	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Dusenbury, Eli Seamus Sweet	5	9/25/2018	16		100,000	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/1/2017	00			
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/1/2017	00			
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/5/2017	16			6,666,666
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/5/2017	16			6,666,666
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/4/2017	10			-1,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/4/2017	10			-1,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/10/2017	16			2,558,925
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/10/2017	16			2,558,925
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/21/2017	16			4,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/21/2017	16			4,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10			600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10			600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10			-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10			-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/27/2017	10			207,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/27/2017	10			207,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/29/2017	10			391,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/29/2017	10			391,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/2/2018	10			-458,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/2/2018	10			-458,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/3/2018	10			-85,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/3/2018	10			-85,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/4/2018	10			62,400
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/4/2018	10			62,400
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/5/2018	10			304,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/5/2018	10			304,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/8/2018	10			-260,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/8/2018	10			-260,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/9/2018	10			64,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/9/2018	10			64,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/11/2018	10			-55,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/11/2018	10			-55,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/15/2018	10			36,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/15/2018	10			36,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/24/2018	10			250,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/24/2018	10			250,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/29/2018	10			-278,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/29/2018	10			-278,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/6/2018	10			50,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/6/2018	10			50,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/27/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/27/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/28/2018	10			-130,200
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/28/2018	10			-130,200
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/2/2018	10			50,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/2/2018	10			50,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/8/2018	10			-214,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/8/2018	10			-214,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10			-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10			-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/16/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/16/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/22/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/22/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/26/2018	16			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/26/2018	16			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/27/2018	10			-194,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/27/2018	10			-194,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/4/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/4/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/6/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/6/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/9/2018	10			-253,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/9/2018	10			-253,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/23/2018	10			250,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/23/2018	10			250,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/27/2018	10			1,164,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/27/2018	10			1,164,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/14/2018	10			1,122,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/14/2018	10			1,122,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/17/2018	10			-700,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/17/2018	10			-700,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	10			200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	16			273,973
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	16			273,973
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/29/2018	10			-369,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/29/2018	10			-369,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/8/2018	10			750,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/8/2018	10			750,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/15/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/15/2018	10			100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/29/2018	10			600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/29/2018	10			600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/3/2018	10			-375,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/3/2018	10			-375,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/13/2018	10			475,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/13/2018	10			475,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/20/2018	10			-391,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/20/2018	10			-391,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/24/2018	37			-24,012,598
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/24/2018	37			-24,012,598
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/26/2018	10			-47,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/26/2018	10			-47,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/3/2018	10			40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/3/2018	10			40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/14/2018	10			-40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/14/2018	10			-40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/17/2018	10			-4,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/17/2018	10			-4,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/23/2018	10			-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/23/2018	10			-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/24/2018	10			-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/24/2018	10			-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/13/2018	10			-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/13/2018	10			-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/17/2018	10			-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/17/2018	10			-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/19/2018	10			-16,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/19/2018	10			-16,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/20/2018	10			-35,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/20/2018	10			-35,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/21/2018	10			-47,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/21/2018	10			-47,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/24/2018	10			-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/24/2018	10			-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/25/2018	10			-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/25/2018	10			-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/26/2018	10			-36,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/26/2018	10			-36,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/1/2017	00		10,566,500	
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/5/2017	16		17,233,166	6,666,666
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/4/2017	10		16,233,166	-1,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/10/2017	16		18,792,091	2,558,925
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/21/2017	16		22,792,091	4,000,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10		23,392,091	600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/22/2017	10		23,242,091	-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/27/2017	10		23,449,991	207,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	12/29/2017	10		23,841,891	391,900
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/2/2018	10		23,383,891	-458,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/3/2018	10		23,298,891	-85,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/4/2018	10		23,361,291	62,400
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/5/2018	10		23,665,291	304,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/8/2018	10		23,405,291	-260,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/9/2018	10		23,470,191	64,900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/11/2018	10		23,414,891	-55,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/15/2018	10		23,450,891	36,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/24/2018	10		23,700,891	250,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	1/29/2018	10		23,422,891	-278,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/6/2018	10		23,472,891	50,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/27/2018	10		23,672,891	200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	2/28/2018	10		23,542,691	-130,200
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/2/2018	10		23,592,691	50,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/8/2018	10		23,378,691	-214,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10		23,478,691	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/15/2018	10		23,328,691	-150,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/16/2018	10		23,528,691	200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/22/2018	10		23,628,691	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/26/2018	16		23,728,691	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	3/27/2018	10		23,534,691	-194,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/4/2018	10		23,734,691	200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/6/2018	10		23,834,691	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/9/2018	10		23,581,191	-253,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/23/2018	10		23,831,191	250,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	4/27/2018	10		24,995,691	1,164,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/14/2018	10		26,117,691	1,122,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/17/2018	10		25,417,691	-700,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	16		25,691,664	273,973

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/25/2018	10		25,891,664	200,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	5/29/2018	10		25,522,164	-369,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/8/2018	10		26,272,164	750,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/15/2018	10		26,372,164	100,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	6/29/2018	10		26,972,164	600,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/3/2018	10		26,597,164	-375,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/13/2018	10		27,072,164	475,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/20/2018	10		26,680,664	-391,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/24/2018	37		2,668,066	-24,012,598
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	7/26/2018	10		2,620,766	-47,300
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/3/2018	10		2,660,766	40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/14/2018	10		2,620,766	-40,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/17/2018	10		2,616,266	-4,500
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/23/2018	10		2,601,266	-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	8/24/2018	10		2,596,266	-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/13/2018	10		2,586,266	-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/17/2018	10		2,581,266	-5,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/19/2018	10		2,565,266	-16,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/20/2018	10		2,530,266	-35,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/21/2018	10		2,483,266	-47,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/24/2018	10		2,473,266	-10,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/25/2018	10		2,458,266	-15,000
Isodiol International Inc. (formerly Laguna Blends Inc.)	Common Shares	Parmar, Harwinder	8	9/26/2018	10		2,422,266	-36,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	51	1.98	237,876	100,000

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	Cloete, Martie	7, 5	10/2/2018	10	2.9	232,976	-4,900
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.91	225,676	-7,300
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.92	211,976	-13,700
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.93	210,676	-1,300
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.95	206,676	-4,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.96	195,676	-11,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.98	183,976	-11,700
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	2.99	177,876	-6,100
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3	167,876	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.02	162,876	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.03	157,876	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.07	147,976	-9,900
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.08	143,476	-4,500
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.09	138,376	-5,100
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	10/2/2018	10	3.1	137,876	-500
Ivanhoe Mines Ltd.	Options	Cloete, Martie	7, 5	10/2/2018	51	1.98	975,000	-100,000
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	51	1.98	362,230	200,000
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.93	358,230	-4,000
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.94	337,730	-20,500
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.95	303,530	-34,200
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.96	236,830	-66,700
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.97	212,430	-24,400
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.98	190,430	-22,000
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	2.99	189,530	-900
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	3	172,230	-17,300
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	3.01	171,430	-800
Ivanhoe Mines Ltd.	Common Shares Class A	Mikhael, Elia	7	10/4/2018	10	3.02	162,230	-9,200
Ivanhoe Mines Ltd.	Options	Mikhael, Elia	7	10/4/2018	51	1.98	620,000	-200,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	51	1.98	52,638	20,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	10	2.97	47,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	10	2.99	42,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	10	3.03	37,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	10	3.07	32,838	-4,800
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/2/2018	10	3.075	32,638	-200
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	51	1.98	57,638	25,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	10	3	52,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	10	3.02	47,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	10	3.04	42,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	10	3.06	37,638	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	10/3/2018	10	3.08	32,638	-5,000
Ivanhoe Mines Ltd.	Options	Vincelli, Mary	5	10/2/2018	51	1.98	245,000	-20,000
Ivanhoe Mines Ltd.	Options	Vincelli, Mary	5	10/3/2018	51	1.98	220,000	-25,000
James Bay Resources Limited	Common Shares	Brennan, Mark Peter	3, 4	10/2/2018	10	0.21	799,988	-200,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Common Shares	Williamson, Brian	7	10/5/2018	51	0.3	450,000	250,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Common Shares	Williamson, Brian	7	10/5/2018	11	0.6	200,000	-250,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Options	Williamson, Brian	7	10/5/2018	51	0.3	1,150,000	-250,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Common Shares	Wilson, Allen W	4	10/5/2018	51	0.3	2,125,608	350,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Common Shares	Wilson, Allen W	4	10/5/2018	11	0.6	1,775,608	-350,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Options	Wilson, Allen W	4	10/5/2018	51	0.3	900,000	-350,000
Just Energy Group Inc.	Common Shares	MCCULLOUGH, PATRICK	5	9/28/2018	10	3.1	247,845	1,517
Just Energy Group Inc.	Common Shares	MCCULLOUGH, PATRICK	5	9/28/2018	10	3.11	255,393	7,548
Just Energy Group Inc.	Common Shares	MCCULLOUGH, PATRICK	5	9/28/2018	10	3.1	256,328	935
Just Energy Group Inc.	Common Shares	Ross, M. Dallas H.	4	9/26/2018	10	4.018	100,000	38,100

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KDA GROUP INC.	Common Shares	Gestion J.L.H.M. Gélinas Inc.	3	9/28/2018	10	0.238	6,409,374	-10,000
KHAN RESOURCES INC.	Common Shares	Henderson, Marc Charles	4, 5	9/28/2018	10	0.07	4,050,000	50,000
Kingsway Financial Services Inc.	Common Shares	Baqar, Hassan Raza	5	10/1/2018	10	2.8079	41,760	356
Kingsway Financial Services Inc.	Options	Baqar, Hassan Raza	5	3/27/2018	52		0	-35,000
Kingsway Financial Services Inc.	Common Shares	Fitzgerald, John Taylor Maloney	4, 5	10/1/2018	10	2.8079	391,352	743
Kingsway Financial Services Inc.	Common Shares	Hickey, William A.	5	10/1/2018	10	2.8079	81,676	534
Kingsway Financial Services Inc.	Options	Hickey, William A.	5	3/27/2018	52		0	-100,000
Kingsway Financial Services Inc.	Common Shares	Swets, Jr., Larry Gene	3, 4	9/5/2018	11	2.55		-102,550
Kingsway Financial Services Inc.	Common Shares	Swets, Jr., Larry Gene	3, 4	9/5/2018	11	2.55		-102,550
Kingsway Financial Services Inc.	Common Shares	Swets, Jr., Larry Gene	3, 4	9/5/2018	11	2.55		-102,550
Kingsway Financial Services Inc.	Common Shares Restricted	Swets, Jr., Larry Gene	3, 4	9/5/2018	10	2.55		-102,550
Kingsway Financial Services Inc.	Common Shares Restricted	Swets, Jr., Larry Gene	3, 4	9/5/2018	10	2.55		-102,550
Kingsway Financial Services Inc.	Common Shares Restricted	Swets, Jr., Larry Gene	3, 4	9/5/2018	11	2.55	247,450	-102,550
Kingsway Financial Services Inc.	Options	Swets, Jr., Larry Gene	3, 4	3/27/2018	52		0	-400,000
Kinross Gold Corporation	Rights Deferred Share Units	Atkinson, Ian	4	9/30/2018	46	3.52	70,102	10,653
Kinross Gold Corporation	Rights Deferred Share Units	Brough, John A.	4	9/30/2018	46	3.52	297,594	10,831
Kinross Gold Corporation	Rights Deferred Share Units	Dyte, Kerry Don	4	9/30/2018	46	3.52	27,231	9,766
Kinross Gold Corporation	Common Shares	Etter, Gregory Van	5	10/1/2018	10	2.7	1,050	-1,444
Kinross Gold Corporation	Rights Deferred Share Units	Lethbridge, Ave Gabriella	4	9/30/2018	46	3.72	153,063	10,121
Kinross Gold Corporation	Rights Deferred Share Units	McLeod-Seltzer, Catherine	4	9/30/2018	46	3.52	215,630	9,588
Kinross Gold Corporation	Rights Deferred Share Units	Oliver, John Edwin	4, 5	9/30/2018	46	3.52	426,639	17,046
Kinross Gold Corporation	Rights Deferred Share Units	Osborne, Kelly	4	9/30/2018	46	3.52	149,827	20,242
Kinross Gold Corporation	Rights Deferred Share Units	Power, Una Marie	4	9/30/2018	46	3.52	283,305	9,765
Kontrol Energy Corp.	Options	Bowerbank, Andrew	4	10/1/2018	50	0.68	185,000	150,000
Kontrol Energy Corp.	Options	Del Vasto, Claudio	4	10/1/2018	50	0.68	585,000	550,000
LAURENTIAN BANK OF CANADA	Droits à la plus value-DPVA/Stock Appreciation Rights-SARs	Stamadianos, Eva	5	9/28/2018	59		0	-4,500
LeadFX Inc. (formerly, Ivernia Inc.)	Common Shares	InCoR Energy Materials Limited	3	9/28/2018	54		36,699,483	5,750,000
LeadFX Inc. (formerly, Ivernia Inc.)	Warrants	InCoR Energy Materials Limited	3	9/28/2018	54		129,131	-5,750,000
LEAGOLD MINING CORPORATION	Deferred Share Units	Campbell, Gordon	4	10/1/2018	56	1.527	114,048	12,280
LEAGOLD MINING CORPORATION	Deferred Share Units	Clark, Wesley Kanne	4	10/1/2018	56	1.527	116,104	12,280
LEAGOLD MINING CORPORATION	Deferred Share Units	Garel-Jones, Tristan William, Armand, Thomas	4	10/1/2018	56	1.527	99,539	12,280
LEAGOLD MINING CORPORATION	Deferred Share Units	Giustra, Frank	4	10/1/2018	56	1.527	116,104	12,280
LEAGOLD MINING CORPORATION	Deferred Share Units	Marrone, Peter	4, 6	10/1/2018	56	1.527	16,220	12,280
LEAGOLD MINING CORPORATION	Deferred Share Units	Rodriguez, Miguel	4	10/1/2018	56	1.527	116,104	12,280
Leucrotta Exploration Inc.	Common Shares	GMT Capital Corp	3	10/2/2018	10	1.44	133,770	-36,620

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Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	10/2/2018	15	0.4	4,510,500	300,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Warrants	Everett, Calvin Clovis	5	10/2/2018	15	0.6	425,000	300,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	O'Dea, Mark Gerard	4	10/1/2018	15	0.4		375,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	O'Dea, Mark Gerard	4	10/2/2018	15	0.4	4,696,322	375,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Warrants	O'Dea, Mark Gerard	4	10/2/2018	15	0.6	685,183	375,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	RCF Opportunities Fund L.P.	3	10/2/2018	11	0.4	17,284,523	2,500,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Warrants	RCF Opportunities Fund L.P.	3	10/2/2018	11		9,892,261	2,500,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Tetzlaff, Sean Allan	4	10/2/2018	15	0.4	1,561,965	250,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Warrants	Tetzlaff, Sean Allan	4	10/2/2018	15	0.6	312,500	250,000
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Barge, James	5	9/30/2018	30	23.3	115,517	-8,720
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Crawford, Gordon	4	10/1/2018	46	22.49	173,560	567
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	10/1/2018	46	21.2		602
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	10/1/2018	46	21.2		602
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	10/1/2018	46	21.2	208,802	602
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Evrensel, Arthur	4	10/1/2018	46	22.49	25,115	362
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Evrensel, Arthur	4	10/1/2018	30	22.49	25,097	-18
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Evrensel, Arthur	4	10/1/2018	46	21.2	25,287	384
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Evrensel, Arthur	4	10/1/2018	30	21.2	25,268	-19
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Fine, Emily	4	10/1/2018	46	22.49	4,538	649
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Fine, Emily	4	10/1/2018	46	21.2	4,708	689
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Goldsmith, Brian	5	9/30/2018	30	24.39	77,543	-1,621
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Goldsmith, Brian	5	9/30/2018	30	23.3	75,134	-1,621
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Rachesky, Dr. Mark H.	3, 4, 6	10/1/2018	46	22.49	37,408	661
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Rachesky, Dr. Mark H.	3, 4, 6	10/1/2018	46	21.2	37,741	701
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Simm, Daryl	4	10/1/2018	46	22.49	40,083	396
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Simm, Daryl	4	10/1/2018	46	21.2	40,266	420
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	SIMMONS, HARDWICK	4	10/1/2018	46	22.49	48,305	368
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	SIMMONS, HARDWICK	4	10/1/2018	46	21.2	48,491	390
Logistec Corporation	Rights Deferred Share Units	Cherry, James Charles	4	5/6/2011	00			
Logistec Corporation	Rights Deferred Share Units	Cherry, James Charles	4	10/1/2018	56	51.89	703	703
Logistec Corporation	Rights Deferred Share Units	DUBREUIL, SERGE	4	5/23/2003	00			
Logistec Corporation	Rights Deferred Share Units	DUBREUIL, SERGE	4	10/1/2018	56	51.89	155	155
Logistec Corporation	Rights Deferred Share Units	Foltz, Curtis Jay	4	5/9/2017	00			

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Logistec Corporation	Rights Deferred Share Units	Foltz, Curtis Jay	4	10/1/2018	56	51.89	303	303
Logistec Corporation	Rights Deferred Share Units	GUGELMANN, GEORGE	4	5/20/2003	00			
Logistec Corporation	Rights Deferred Share Units	GUGELMANN, GEORGE	4	10/1/2018	56	51.89	679	679
Logistec Corporation	Rights Deferred Share Units	Jones, George	4	4/22/2004	00			
Logistec Corporation	Rights Deferred Share Units	Jones, George	4	10/1/2018	56	51.89	303	303
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	9/5/2018	38	50		200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	9/5/2018	38	50	200	200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	9/7/2018	38			-200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	9/7/2018	38		0	-200
Logistec Corporation	Rights Deferred Share Units	Mack, Rudiger	4	4/23/2008	00			
Logistec Corporation	Rights Deferred Share Units	Mack, Rudiger	4	10/1/2018	56	51.89	303	303
Logistec Corporation	Rights Deferred Share Units	Rodger, Jonathan Mark	4	5/8/2015	00			
Logistec Corporation	Rights Deferred Share Units	Rodger, Jonathan Mark	4	10/1/2018	56	51.89	303	303
Logistec Corporation	Rights Deferred Share Units	Sabbatini, Luc	4	4/12/2012	00			
Logistec Corporation	Rights Deferred Share Units	Sabbatini, Luc	4	10/1/2018	56	51.89	303	303
Logistec Corporation	Rights Deferred Share Units	Villeneuve, Luc	4	5/10/2018	00			
Logistec Corporation	Rights Deferred Share Units	Villeneuve, Luc	4	10/1/2018	56	51.89	121	121
Lotus Ventures Inc.	Common Shares	Correia, Carl Joseph	3, 5	10/4/2018	10		367,500	-500,000
Lotus Ventures Inc.	Common Shares	McClanaghan, Dale	4, 5	8/31/2018	11		2,115,000	-820,000
Lumina Gold Corp.	Common Shares	Daun, Heye Edmund	4	9/5/2018	22		781,814	96,699
Luminex Resources Corp.	Options	Beaty, Ross J.	3	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	Benalcazar Rojas, Diego Manuel	5	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	Braaten, Lyle	4, 5	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	Carstensen, Andrew Brooks	5	9/6/2018	00			
Luminex Resources Corp.	Options	Carstensen, Andrew Brooks	5	9/6/2018	00			
Luminex Resources Corp.	Options	Carstensen, Andrew Brooks	5	9/6/2018	00			
Luminex Resources Corp.	Options	Carstensen, Andrew Brooks	5	9/6/2018	00			
Luminex Resources Corp.	Options	Carstensen, Andrew Brooks	5	10/5/2018	50	0.8	52,500	52,500
Luminex Resources Corp.	Common Shares	Daun, Heye Edmund	8	9/5/2018	00			
Luminex Resources Corp.	Common Shares	Daun, Heye Edmund	8	9/5/2018	22		14,505	14,505
Luminex Resources Corp.	Options	Farrell, David Paul	4	8/31/2018	00			
Luminex Resources Corp.	Options	Farrell, David Paul	4	10/5/2018	50	0.8	90,000	90,000
Luminex Resources Corp.	Options	Hathaway, Peter Leofric	5	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	Koval, Marshall	4, 5	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	Rip, Martin Raymond Danziger	5	10/5/2018	50	0.8	75,000	75,000
Luminex Resources Corp.	Options	RIVADENEIRA, MARCELO	5	8/21/2018	00			
Luminex Resources Corp.	Options	RIVADENEIRA, MARCELO	5	10/5/2018	50	0.8	30,000	30,000
Luminex Resources Corp.	Options	Shumka, Donald	4	10/5/2018	50	0.8	90,000	90,000
Luminex Resources Corp.	Options	Wright, John H	4	8/31/2018	00			
Luminex Resources Corp.	Options	Wright, John H	4	10/5/2018	50	0.8	90,000	90,000
Luminex Resources Corp.	Options	Youle, John	5	10/5/2018	50	0.8	52,500	52,500
Lundin Gold Inc.	Common Shares	Gosselin, Chantal	4	10/2/2018	10	4.74	12,000	2,000
Magna International Inc.	Rights Deferred Share Units	Bonham, Scott Barclay	4	9/14/2018	35	53.71	53,075	324

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Magna International Inc.	Rights Deferred Share Units	Bonham, Scott Barclay	4	10/1/2018	56	52.53	53,789	714
Magna International Inc.	Rights Deferred Share Units	Bowie, Peter Guy	4	9/14/2018	35	53.71	41,182	251
Magna International Inc.	Rights Deferred Share Units	Bowie, Peter Guy	4	9/30/2018	56	52.53	41,373	191
Magna International Inc.	Rights Deferred Share Units	Bowie, Peter Guy	4	10/1/2018	56	52.53	42,205	832
Magna International Inc.	Rights Deferred Share Units	Chan, Mary Shio	4	9/14/2018	35	53.71	5,385	33
Magna International Inc.	Rights Deferred Share Units	Chan, Mary Shio	4	9/30/2018	56	52.53	5,803	418
Magna International Inc.	Rights Deferred Share Units	Chan, Mary Shio	4	10/1/2018	56	52.53	6,636	833
Magna International Inc.	Rights Deferred Share Units	Lauk, Kurt	4	9/14/2018	35	53.71	29,253	178
Magna International Inc.	Rights Deferred Share Units	Lauk, Kurt	4	10/1/2018	56	52.53	29,539	286
Magna International Inc.	Rights Deferred Share Units	MACLELLAN, ROBERT FRANCIS	4	9/14/2018	35	53.71	1,783	10
Magna International Inc.	Rights Deferred Share Units	MACLELLAN, ROBERT FRANCIS	4	9/30/2018	56	52.53	1,898	115
Magna International Inc.	Rights Deferred Share Units	MACLELLAN, ROBERT FRANCIS	4	10/1/2018	56	52.53	2,731	833
Magna International Inc.	Rights Deferred Share Units	Niekamp, Cynthia	4	9/14/2018	35	53.71	8,680	53
Magna International Inc.	Rights Deferred Share Units	Niekamp, Cynthia	4	10/1/2018	56	52.53	9,108	428
Magna International Inc.	Rights Deferred Share Units	RUH, WILLIAM ANTHONY	4	9/14/2018	35	53.71	6,493	39
Magna International Inc.	Rights Deferred Share Units	RUH, WILLIAM ANTHONY	4	9/30/2018	56	52.53	6,798	305
Magna International Inc.	Rights Deferred Share Units	RUH, WILLIAM ANTHONY	4	10/1/2018	56	52.53	7,750	952
Magna International Inc.	Rights Deferred Share Units	Samarasekera, Indira Vasanti	4	9/14/2018	35	53.71	24,799	151
Magna International Inc.	Rights Deferred Share Units	Samarasekera, Indira Vasanti	4	9/30/2018	56	52.53	25,370	571
Magna International Inc.	Rights Deferred Share Units	Samarasekera, Indira Vasanti	4	10/1/2018	56	52.53	26,203	833
Magna International Inc.	Rights Deferred Share Units	Worrall, Lawrence	4	9/14/2018	35	53.71	54,862	335
Magna International Inc.	Rights Deferred Share Units	Worrall, Lawrence	4	10/1/2018	56	52.53	55,148	286
Magna International Inc.	Rights Deferred Share Units	Young, William	4	9/14/2018	35	53.71	94,731	579
Magna International Inc.	Rights Deferred Share Units	Young, William	4	10/1/2018	56	52.53	97,110	2,379
Magnolia Colombia Ltd.	Options	Bozoki, Paul Sandor	5	10/1/2018	50	0.105	350,000	200,000
Magnolia Colombia Ltd.	Options	Colson, Maurice	4	10/1/2018	50	0.105	450,000	200,000
Magnolia Colombia Ltd.	Options	Lanthier, James Andre Charles	4, 5	10/1/2018	00		500,000	
Magnolia Colombia Ltd.	Options	Leigh, Frederic	4, 5	5/1/2015	00		75,000	
Magnolia Colombia Ltd.	Options	Leigh, Frederic	4, 5	10/1/2018	50	0.105	275,000	200,000
Magnolia Colombia Ltd.	Options	Said, Neil	5	10/1/2018	50	0.105	368,181	200,000
Mainstreet Equity Corp.	Common Shares	Amantea, Joe	4	10/1/2018	10	47.427	21,133	-300
Major Drilling Group International Inc.	Common Shares	Breiner, Edward	4	10/4/2018	10	4.76	35,000	20,000
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	10/4/2018	10		902,791	61,000
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	10/2/2018	10		17,032,218	327,843
Manulife Financial Corporation	Deferred Share Units	Ambrose, Ronalee Hope	4	9/19/2018	30		6,691	61
Manulife Financial Corporation	Deferred Share Units	Ambrose, Ronalee Hope	4	9/30/2018	46	23.48	8,777	2,086

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Manulife Financial Corporation	Deferred Share Units	Caron, Joseph Peter	4	9/19/2018	30		44,193	404
Manulife Financial Corporation	Deferred Share Units	Caron, Joseph Peter	4	9/30/2018	46	23.48	45,236	1,043
Manulife Financial Corporation	Deferred Share Units	Cassaday, John M.	4	9/19/2018	30		166,600	1,522
Manulife Financial Corporation	Deferred Share Units	Cassaday, John M.	4	9/30/2018	46	23.48	169,381	2,781
Manulife Financial Corporation	Deferred Share Units	Dabarno, Susan Fay	4	9/19/2018	30		5,073	47
Manulife Financial Corporation	Deferred Share Units	Dabarno, Susan Fay	4	9/30/2018	46	23.48	5,281	208
Manulife Financial Corporation	Deferred Share Units	Fraser, Sheila Sarah Margaret	4	9/19/2018	30		52,877	483
Manulife Financial Corporation	Deferred Share Units	Fraser, Sheila Sarah Margaret	4	9/30/2018	46	23.48	53,920	1,043
Manulife Financial Corporation	Deferred Share Units	Helms, Luther Sherman	4	9/19/2018	30		94,073	859
Manulife Financial Corporation	Deferred Share Units	Helms, Luther Sherman	4	9/30/2018	46	23.48	95,304	1,231
Manulife Financial Corporation	Deferred Share Units	Hsieh, Tsun-Yan	4	9/19/2018	30		82,868	757
Manulife Financial Corporation	Deferred Share Units	Hsieh, Tsun-Yan	4	9/30/2018	46	23.48	85,371	2,503
Manulife Financial Corporation	Deferred Share Units	Jenkins, P. Thomas	4	9/19/2018	30		44,580	408
Manulife Financial Corporation	Deferred Share Units	Jenkins, P. Thomas	4	9/30/2018	46	23.48	47,083	2,503
Manulife Financial Corporation	Deferred Share Units	Kimmet, Pamela O'Brien	5	9/19/2018	30		10,675	98
Manulife Financial Corporation	Deferred Share Units	Kimmet, Pamela O'Brien	5	9/30/2018	46	23.48	11,405	730
Manulife Financial Corporation	Deferred Share Units	Lindsay, Donald Richard	4	9/19/2018	30		57,835	528
Manulife Financial Corporation	Deferred Share Units	Lindsay, Donald Richard	4	9/30/2018	46	23.48	59,365	1,530
Manulife Financial Corporation	Deferred Share Units	Palmer, John Ralph Vernon	4	9/19/2018	30		82,748	756
Manulife Financial Corporation	Deferred Share Units	Palmer, John Ralph Vernon	4	9/30/2018	46	23.48	83,979	1,231
Manulife Financial Corporation	Deferred Share Units	Prieur, Claude. James	4	9/19/2018	30		69,501	635
Manulife Financial Corporation	Deferred Share Units	Rosen, Andrea Sarah	4	9/19/2018	30		85,841	784
Manulife Financial Corporation	Deferred Share Units	Webster, Lesley Daniels	4	9/19/2018	30		45,882	419
Manulife Financial Corporation	Deferred Share Units	Webster, Lesley Daniels	4	9/30/2018	46	23.48	46,925	1,043
Maple Leaf Foods Inc.	Options Employee	Lorimer, Robert Scott	5	10/1/2018	00		8,700	
Maple Leaf Foods Inc.	Rights PSU - Performance Share Units settled with market shares	Lorimer, Robert Scott	5	10/1/2018	00		2,275	
Maple Leaf Foods Inc.	Rights Restricted Share Units settled with market shares	Lorimer, Robert Scott	5	10/1/2018	00		2,275	
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	9/28/2018	38	31.202	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	9/28/2018	38		0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/1/2018	38	30.778	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/1/2018	38		0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/2/2018	38	32.159	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/2/2018	38		0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/3/2018	38	32.727	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/3/2018	38		0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/4/2018	38	32.679	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/4/2018	38		0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/5/2018	38	33.106	40,000	40,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	10/5/2018	38		0	-40,000
Martinrea International Inc.	Options Options to purchase common shares	Alonso, Alfredo	5	9/28/2018	50	13.19	125,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Di Tosto, Alfred	5	9/28/2018	50	13.19	70,000	50,000
Martinrea International Inc.	Options Options to purchase common shares	Fairchild, Robert	5	11/17/2015	00			
Martinrea International Inc.	Options Options to purchase common shares	Fairchild, Robert	5	9/28/2018	50	13.19	50,000	50,000
Martinrea International Inc.	Options Options to purchase common shares	Hunter Lulgjuraj, Megan Rae	5	9/28/2018	50	13.19	30,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Iyer, Ganesh Koduvayur Venkatasubramanian Kesavan	5	6/12/2018	00			
Martinrea International Inc.	Options Options to purchase common shares	Iyer, Ganesh Koduvayur Venkatasubramanian Kesavan	5	9/28/2018	50	13.19	25,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Johnson, Bruce Norman	5	9/28/2018	50	13.19	60,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Lailey, Robert Clarke	5	9/28/2018	50	13.19	55,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Marinaccio, Rocco	5	9/28/2018	50	13.19	30,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Morsy, Hany	5	9/28/2018	50	13.19	32,000	25,000
Martinrea International Inc.	Options Options to purchase common shares	Pagliari, Armando	5	9/28/2018	50	13.19	100,000	100,000
Martinrea International Inc.	Options Options to purchase common shares	Pope, Kerri Lynn	5	9/28/2018	50	13.19	45,000	25,000
MAV Beauty Brands Inc.	Deferred Share Units	Elshaw, Chris	4	6/28/2018	00			
MAV Beauty Brands Inc.	Deferred Share Units	Elshaw, Chris	4	10/1/2018	56		1,398	1,398
MAV Beauty Brands Inc.	Deferred Share Units	Ennis, Thomas	4	6/28/2018	00			
MAV Beauty Brands Inc.	Deferred Share Units	Ennis, Thomas	4	10/1/2018	56		932	932
MAV Beauty Brands Inc.	Deferred Share Units	Smith, Stephen A.	4	6/28/2018	00			
MAV Beauty Brands Inc.	Deferred Share Units	Smith, Stephen A.	4	10/1/2018	56		1,119	1,119
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Chookaszian, Dennis	4	9/28/2018	56		19,797	666
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Cyprus, Nicholas Stanley	4	9/28/2018	56		1,865	512
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Estes, Howell Marion, III	4	9/28/2018	56		1,865	512
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Garver, Lori	4	9/28/2018	56		5,014	539
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Isham, Joanne	4	9/28/2018	56		3,861	529
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Kehler, Robert	4	9/28/2018	56		3,861	529
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Kenning, Brian Graham	4	9/28/2018	56		14,044	617
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Mason, Leon Roger, Jr.	4	9/28/2018	56		1,865	512
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Phillips, Robert L.	4	9/28/2018	56		30,996	936
Maxar Technologies Ltd.	(DSUs, DRSUs, SARs)	Zahler, Eric	4	9/28/2018	56		10,590	984
Maxim Power Corp.	Options	Auch, Wiley Darren	4	10/4/2018	52	2.62	43,333	-16,667
Maxim Power Corp.	Options	Auch, Wiley Darren	4	10/4/2018	50		60,000	16,667
Maxim Power Corp.	Options	Karran, Kimberly Lorna	5	10/4/2018	52	2.62	129,715	-64,858
Maxim Power Corp.	Options	Karran, Kimberly Lorna	5	10/4/2018	50		194,573	64,858
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/10/2018	38	2.4	15,104	1,300
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/12/2018	38	2.4	17,804	2,700
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/13/2018	38	2.4	19,204	1,400
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/14/2018	38	2.4	22,656	3,452
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/17/2018	38	2.35	26,108	3,452
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/27/2018	38	2.38	29,560	3,452
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	9/28/2018	38	2.38	33,012	3,452
Maxim Power Corp.	Common Shares	Mayder, Michael Raymond	5	10/4/2018	10	2.25	4,540	1,340
Maxim Power Corp.	Options	Mayder, Michael Raymond	5	10/4/2018	52	2.62	391,852	-111,901
Maxim Power Corp.	Options	Mayder, Michael Raymond	5	10/4/2018	50		503,753	111,901
Maxim Power Corp.	Options	Mitton, Kyle Rodney	5	10/4/2018	52	2.62	151,667	-13,333
Maxim Power Corp.	Options	Mitton, Kyle Rodney	5	10/4/2018	50		165,000	13,333
Maxim Power Corp.	Options	Polz, Johann	4	10/4/2018	52	2.62	43,333	-16,667

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Maxim Power Corp.	Options	Polz, Johann	4	10/4/2018	50		60,000	16,667
Maxim Power Corp.	Options	Watson, Robert Bruce	5	10/4/2018	52	2.62	133,352	-24,524
Maxim Power Corp.	Options	Watson, Robert Bruce	5	10/4/2018	50		157,876	24,524
Maxim Power Corp.	Options	Workman, Timothy William	5	10/4/2018	52	2.62	124,451	-20,000
Maxim Power Corp.	Options	Workman, Timothy William	5	10/4/2018	50		144,451	20,000
MAYA GOLD & SILVER INC.	Common Shares	Taub, Robert	3, 4	10/1/2018	10	2.6599	4,704,837	49,800
MAYA GOLD & SILVER INC.	Common Shares	Taub, Robert	3, 4	10/2/2018	10	2.7789	4,718,737	13,900
MAYA GOLD & SILVER INC.	Common Shares	Taub, Robert	3, 4	10/3/2018	10	2.78	4,743,737	25,000
MAYA GOLD & SILVER INC.	Common Shares	Taub, Robert	3, 4	10/4/2018	10	2.64	4,749,037	5,300
MBN Corporation	Units	MBN Corporation	1	9/28/2018	38	6.8243	11,500	11,500
MBN Corporation	Units	MBN Corporation	1	9/28/2018	38		0	-11,500
MBN Corporation	Units	MBN Corporation	1	10/1/2018	38	6.8779	4,700	4,700
MBN Corporation	Units	MBN Corporation	1	10/1/2018	38		0	-4,700
MBN Corporation	Units	MBN Corporation	1	10/3/2018	38	6.8787	1,500	1,500
MBN Corporation	Units	MBN Corporation	1	10/3/2018	38		0	-1,500
MBN Corporation	Units	MBN Corporation	1	10/4/2018	38	6.8618	5,700	5,700
MBN Corporation	Units	MBN Corporation	1	10/4/2018	38		0	-5,700
MCAN Mortgage Corporation	Common Shares	Cuthbert, Verna	4	9/28/2018	30	17.781	6,574	134
MCAN Mortgage Corporation	Deferred Share Units	Jandrisits, William John	4, 7, 5	9/28/2018	30	17.99	62,722	1,264
MCAN Mortgage Corporation	Performance Deferred Share Units	Jandrisits, William John	4, 7, 5	9/28/2018	30	17.989	30,281	222
MCAN Mortgage Corporation	Performance Deferred Share Units	Jandrisits, William John	4, 7, 5	9/28/2018	30	17.989	30,501	220
MCAN Mortgage Corporation	Performance Deferred Share Units	Jandrisits, William John	4, 7, 5	9/28/2018	30	17.989	30,677	176
MCAN Mortgage Corporation	Performance Share Units	Jandrisits, William John	4, 7, 5	9/28/2018	30	17.989	3,294	66
MCAN Mortgage Corporation	Common Shares	Lai, Paco	5	7/4/2018	35	17.691	1,386	30
MCAN Mortgage Corporation	Common Shares	Lai, Paco	5	10/1/2018	30	18.374	1,688	302
MCAN Mortgage Corporation	Common Shares	Sutherland, Ian	3, 4	10/3/2018	30	17.78	595,866	12,145
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	5/31/2018	30	18.05	70	35
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	6/15/2018	30	18.15	105	35
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	6/29/2018	30	17.98	140	35
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	6/29/2018	30	17.69	141	1
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	7/13/2018	30	18.14	176	35
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	7/31/2018	30	18.2	210	34
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	8/15/2018	30	18.93	243	33
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	8/31/2018	30	19.41	275	32
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	9/14/2018	30	19.11	308	33
MCAN Mortgage Corporation	Common Shares	Tyas, John	5	9/28/2018	30	17.44	344	36
MCAN Mortgage Corporation	Performance Share Units	Tyas, John	5	6/29/2018	30		435	8
Mediagrif Interactive Technologies Inc.	Common Shares	Anglaret, Stéphane	5	10/1/2018	30		22,727	154
Mediagrif Interactive Technologies Inc.	Common Shares	Bourque, Paul	5	10/1/2018	30		24,786	150
Mediagrif Interactive Technologies Inc.	Common Shares	Delaney, Eric	5	10/1/2018	30		2,461	99
Mediagrif Interactive Technologies Inc.	Common Shares	Fournier, Louis	7	10/1/2018	30		322	84
Mediagrif Interactive Technologies Inc.	Common Shares	Hallak, Hélène	5	10/1/2018	30		71,097	201
Mediagrif Interactive Technologies Inc.	Common Shares	Moquin, Suzanne	5	10/1/2018	30		2,080	96
Mediagrif Interactive Technologies Inc.	Common Shares	Rousseau, Camil	5	10/1/2018	30		14,296	144
Mediagrif Interactive Technologies Inc.	Common Shares	Roy, Claude	3, 4, 5	10/1/2018	30		46,717	556
Mediagrif Interactive Technologies Inc.	Common Shares	Simon, Andréanne	7	10/1/2018	30		7,037	90
Mediagrif Interactive Technologies Inc.	Common Shares	Stam, Jean-Michel	5	10/1/2018	30		17,887	517
Meteorite Capital Inc.	Options	Greenspoon, Mitchell Lloyd	3, 4	7/19/2018	00			
Meteorite Capital Inc.	Options	Greenspoon, Mitchell Lloyd	3, 4	9/28/2018	50	0.15	141,300	141,300

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Meteorite Capital Inc.	Options	Ryer, Lennie	5	7/20/2018	00			
Meteorite Capital Inc.	Options	Ryer, Lennie	5	9/28/2018	50	0.15	141,300	141,300
Meteorite Capital Inc.	Common Shares	Spector, Charles R.	3, 4	7/19/2018	00			
Meteorite Capital Inc.	Common Shares	Spector, Charles R.	3, 4	9/28/2018	15	0.15	27,500	27,500
Meteorite Capital Inc.	Common Shares	Spector, Charles R.	3, 4	9/28/2018	11		413,000	36,500
Meteorite Capital Inc.	Options	Spector, Charles R.	3, 4	7/19/2018	00			
Meteorite Capital Inc.	Options	Spector, Charles R.	3, 4	9/28/2018	50	0.15	141,300	141,300
Meteorite Capital Inc.	Common Shares	Spector, Ivan Neil	3, 4, 5	9/28/2018	11		413,000	-36,500
Meteorite Capital Inc.	Options	Spector, Ivan Neil	3, 4, 5	7/19/2018	00			
Meteorite Capital Inc.	Options	Spector, Ivan Neil	3, 4, 5	9/28/2018	50	0.15	141,300	141,300
Meteorite Capital Inc.	Options	YANOFSKY, RICHARD	3, 4	7/19/2018	00			
Meteorite Capital Inc.	Options	YANOFSKY, RICHARD	3, 4	9/28/2018	50	0.15	141,300	141,300
Methanex Corporation	Rights Deferred Share Units	Arnell, Douglas James	4	9/30/2018	56		6,178	342
Methanex Corporation	Common Shares	Bertram, James Vance	4	10/1/2018	00			
Methanex Corporation	Common Shares	Methanex Corporation	1	9/4/2018	38	94.991	25,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/5/2018	38	93.963	50,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/6/2018	38	93.708	75,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/7/2018	38	95.143	100,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/10/2018	38	96.033	125,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/11/2018	38	95.114	150,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/12/2018	38	95.002	171,700	21,700
Methanex Corporation	Common Shares	Methanex Corporation	1	9/13/2018	38	99.136	200,000	28,300
Methanex Corporation	Common Shares	Methanex Corporation	1	9/14/2018	38	99.164	225,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/17/2018	38	99.509	250,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/18/2018	38	99.77	275,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/19/2018	38	100.96	300,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/20/2018	38	101.64	325,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/21/2018	38	100.93	350,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/24/2018	38	101.36	375,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/25/2018	38	103.59	400,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/26/2018	38	101.93	425,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/27/2018	38	103.45	450,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/28/2018	38	102.93	475,000	25,000
Methanex Corporation	Common Shares	Methanex Corporation	1	9/28/2018	38		0	-475,000
MGX Minerals Inc.	Common Shares	Reimann, Michael Andrew	5	10/2/2018	10	0.53	1,100,000	-12,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Sadhra, Michael	5	9/28/2018	51	0.3	1,263,500	500,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Common Shares	Sadhra, Michael	5	10/1/2018	10	0.57	1,251,500	-12,000
Micron Waste Technologies Inc. (formerly, Finore Mining Inc.)	Options	Sadhra, Michael	5	9/28/2018	51	0.3	900,000	-500,000
Middlefield Can-Global REIT Income Fund	Trust Units	Middlefield Can-Global REIT Income Fund	1	9/28/2018	38	12.1	5,273,741	400
Middlefield Healthcare & Life Sciences Dividend Fund	Trust Units	Middlefield Healthcare & Life Sciences Dividend Fund	1	10/1/2018	38	10.838	1,102,000	1,000
Middlefield Healthcare & Life Sciences Dividend Fund	Trust Units	Middlefield Healthcare & Life Sciences Dividend Fund	1	10/2/2018	38	10.839	1,102,700	700
Middlefield Healthcare & Life Sciences Dividend Fund	Trust Units	Middlefield Healthcare & Life Sciences Dividend Fund	1	10/3/2018	38	10.761	1,106,600	3,900
Middlefield Healthcare & Life Sciences Dividend Fund	Trust Units	Middlefield Healthcare & Life Sciences Dividend Fund	1	10/4/2018	38	10.654	1,110,300	3,700
Middlefield Healthcare & Wellness Dividend Fund	Trust Units	Middlefield Healthcare & Wellness Dividend Fund	1	9/28/2018	38	10.983	5,266,659	6,600
Middlefield Healthcare & Wellness Dividend Fund	Trust Units	Middlefield Healthcare & Wellness Dividend Fund	1	10/1/2018	38	10.996	5,267,859	1,200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Middlefield Healthcare & Wellness Dividend Fund	Trust Units	Middlefield Healthcare & Wellness Dividend Fund	1	10/2/2018	38	11	5,268,259	400
Middlefield Healthcare & Wellness Dividend Fund	Trust Units	Middlefield Healthcare & Wellness Dividend Fund	1	10/3/2018	38	10.969	5,269,159	900
Middlefield Healthcare & Wellness Dividend Fund	Trust Units	Middlefield Healthcare & Wellness Dividend Fund	1	10/4/2018	38	10.929	5,271,359	2,200
Midnight Star Ventures Corp.	Common Shares	Bio Harvest Ltd.	3	9/27/2018	00		48,337,496	
Midnight Star Ventures Corp.	Options	Rakib, Zaki	5	9/27/2018	00		4,344,800	
Millrock Resources Inc.	Options	Cooper, Lawrence	4	3/26/2018	50	0.23	530,000	50,000
Mineral Mountain Resources Ltd.	Common Shares	Baker, Bradley	4	10/2/2018	10	0.08	550,000	100,000
MINT Income Fund	Trust Units	MINT Income Fund	1	9/28/2018	38	7.162	71,505,151	500
Mobi724 Global Solutions Inc.	Common Shares	Hogue, Vincent	4	6/21/2018	00		89,000	
Mobi724 Global Solutions Inc.	Common Shares	Hogue, Vincent	4	9/28/2018	10	0.09	189,000	100,000
Mongolia Growth Group Ltd.	Common Shares	Kupperman, Harris	3, 4, 5	10/1/2018	10	0.3568	6,085,000	27,500
Mongolia Growth Group Ltd.	Common Shares	Kupperman, Harris	3, 4, 5	10/2/2018	10	0.36	6,087,500	2,500
Mongolia Growth Group Ltd.	Common Shares	Kupperman, Harris	3, 4, 5	10/3/2018	10	0.36	6,092,500	5,000
Mongolia Growth Group Ltd.	Common Shares	Kupperman, Harris	3, 4, 5	10/4/2018	10	0.36	6,095,000	2,500
Mongolia Growth Group Ltd.	Common Shares	Kupperman, Harris	3, 4, 5	10/5/2018	10	0.36	6,097,000	2,000
Morguard Corporation	Common Shares	Morguard Corporation	1	10/1/2018	38	184.98	59,360	59,360
Morguard Corporation	Common Shares	Morguard Corporation	1	10/1/2018	38		0	-59,360
Morguard North American Residential Real Estate Investment Trust	Trust Units	Miatello, Paul	5	10/3/2018	10	16.36	33,600	600
Morguard Real Estate Investment Trust	Units	Miatello, Paul	6, 5	11/4/2004	00			
Morguard Real Estate Investment Trust	Units	Miatello, Paul	6, 5	10/3/2018	10	12.05	800	800
Morien Resources Corp.	Common Shares	Byrne, John Philip	4	10/1/2018	11	0.54	566,250	200,000
Morien Resources Corp.	Common Shares	Byrne, John Philip	4	10/1/2018	11	0.54	194,500	94,500
Morien Resources Corp.	Common Shares	Byrne, John Philip	4	10/2/2018	11	0.54	244,500	50,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	9/26/2018	38	0.52	41,000	41,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	10/1/2018	38		0	-41,000
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bélanger, Pierre-Olivier	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bélanger, Pierre-Olivier	5	10/1/2018	22	1.92	6,510	6,510
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bertrand, Denis	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bertrand, Denis	5	10/1/2018	22	1.92	129,231	129,231
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bertrand, Denis	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Bertrand, Denis	5	10/1/2018	22	1.92	546,116	546,116
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doré, Jean-François	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doré, Jean-François	5	10/1/2018	22	1.92	192,762	192,762
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doyon, Bruno	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doyon, Bruno	5	10/1/2018	22	1.92	587,122	587,122
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doyon, Bruno	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Doyon, Bruno	5	10/1/2018	22	1.92	97,209	97,209
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Kardos, John	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Kardos, John	5	10/1/2018	22	1.92	1,953	1,953
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	22	1.92	94,857	94,857
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	22	1.92	34,765	34,765
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	00			
NanoXplore Inc. (formerly Graniz Mondal Inc.)	Common Shares	Massicotte, Pierre	5	10/1/2018	22	1.92	23,598	23,598
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.43	1,197,100	900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.48	1,197,600	500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.49	1,197,900	300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.51	1,200,600	2,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.52	1,202,100	1,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.54	1,204,000	1,900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.55	1,205,500	1,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.555	1,205,600	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.56	1,207,300	1,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.57	1,210,500	3,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.58	1,215,700	5,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.59	1,216,900	1,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.6	1,222,000	5,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.61	1,223,500	1,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.62	1,227,200	3,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.63	1,232,300	5,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.64	1,233,800	1,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.645	1,233,900	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.65	1,241,200	7,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.66	1,253,000	11,800
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.665	1,253,100	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.67	1,261,400	8,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.68	1,267,600	6,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.69	1,277,600	10,000
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.695	1,277,700	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.7	1,285,800	8,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.71	1,296,600	10,800
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.72	1,309,500	12,900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.73	1,322,900	13,400
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.74	1,328,800	5,900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.75	1,334,500	5,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.76	1,336,500	2,000
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.77	1,340,800	4,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.8	1,341,800	1,000
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/13/2018	38	64.78	1,343,900	2,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.53	1,344,800	900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.54	1,345,800	1,000
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.56	1,347,300	1,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.57	1,348,700	1,400
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.575	1,348,800	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.58	1,352,600	3,800
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.59	1,355,000	2,400
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.6	1,357,300	2,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.61	1,363,400	6,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.62	1,367,000	3,600
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.63	1,373,900	6,900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.635	1,374,100	200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.64	1,388,000	13,900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.645	1,388,100	100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.65	1,397,200	9,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.66	1,406,900	9,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.67	1,416,000	9,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.68	1,423,100	7,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.69	1,428,400	5,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.7	1,431,800	3,400
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.71	1,433,000	1,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.72	1,434,100	1,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.73	1,435,000	900
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.74	1,435,800	800
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.75	1,440,000	4,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.76	1,440,700	700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.77	1,441,800	1,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.78	1,447,100	5,300
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.79	1,453,200	6,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.8	1,453,800	600
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.81	1,456,300	2,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.83	1,459,400	3,100
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.834	1,460,600	1,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.84	1,474,100	13,500
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.85	1,477,800	3,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.86	1,489,000	11,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.87	1,493,200	4,200
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.88	1,495,900	2,700
National Bank of Canada	Common Shares	Banque Nationale du Canada	1	9/14/2018	38	64.89	1,500,000	4,100
Nautilus Minerals Inc.	Common Shares	Visosky, Paul Alexander	5	9/17/2018	00			
Nautilus Minerals Inc.	Options	Visosky, Paul Alexander	5	9/17/2018	00		600,000	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Bedford, Geoffrey Ralph	5	9/28/2018	70		541,962	70,987
Neo Performance Materials Inc.	Options	Bedford, Geoffrey Ralph	5	12/1/2017	00			
Neo Performance Materials Inc.	Options	Bedford, Geoffrey Ralph	5	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) (Neo Cayman Holdings Inc.	Bedford, Geoffrey Ralph	5	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) (Neo Cayman Holdings Inc.	Bedford, Geoffrey Ralph	5	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Bedford, Geoffrey Ralph	5	12/1/2017	00		84,001	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	HOGAN, JEFFREY ROBERT	7	9/28/2018	71		186,121	24,701
Neo Performance Materials Inc.	Options	HOGAN, JEFFREY ROBERT	7	12/1/2017	00			
Neo Performance Materials Inc.	Options	HOGAN, JEFFREY ROBERT	7	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	HOGAN, JEFFREY ROBERT	7	12/1/2017	00		30,001	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Karayannopoulos, Constantine Efthymios	4	9/28/2018	70		77,908	10,556
Neo Performance Materials Inc.	Options	Karayannopoulos, Constantine Efthymios	4	12/1/2017	00			
Neo Performance Materials Inc.	Options	Karayannopoulos, Constantine Efthymios	4	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Karayannopoulos, Constantine Efthymios	4	12/1/2017	00		13,334	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Kroll, Gregory	7	9/28/2018	70		93,062	12,351

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Neo Performance Materials Inc.	Options	Kroll, Gregory	7	10/3/2018	99		60,004	-15,001
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Kroll, Gregory	7	1/1/2018	00		15,001	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Morris, Kevin	5	9/28/2018	70		260,223	34,559
Neo Performance Materials Inc.	Options	Morris, Kevin	5	12/1/2017	00			
Neo Performance Materials Inc.	Options	Morris, Kevin	5	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Morris, Kevin	5	12/1/2017	00		42,001	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Noyrez, Eric	4	9/28/2018	70		47,352	6,597
Neo Performance Materials Inc.	Options	Noyrez, Eric	4	12/1/2017	00			
Neo Performance Materials Inc.	Options	Noyrez, Eric	4	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Noyrez, Eric	4	12/1/2017	00		8,334	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Suleman, Rahim	5	9/28/2018	70		260,313	34,559
Neo Performance Materials Inc.	Options	Suleman, Rahim	5	12/1/2017	00			
Neo Performance Materials Inc.	Options	Suleman, Rahim	5	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Suleman, Rahim	5	12/1/2017	00		42,001	
Neo Performance Materials Inc.	Dividend Equivalents in Dollars (Neo Cayman Holdings Inc.)	Timmerman, Frank	7	9/28/2018	70		90,057	13,722
Neo Performance Materials Inc.	Options	Timmerman, Frank	7	12/1/2017	00			
Neo Performance Materials Inc.	Options	Timmerman, Frank	7	12/1/2017	00			
Neo Performance Materials Inc.	Options (Legacy Options) Neo Cayman Holdings Inc.	Timmerman, Frank	7	12/1/2017	00		16,667	
Neovasc Inc.	Options	Bebeau, Vicki Lee	5	9/30/2018	50	2.72	800,000	100,000
Neovasc Inc.	Options	Chalekian, Aaron	5	9/30/2018	50	2.72	527,891	100,000
Neovasc Inc.	Options	Clark, Christopher John	5	9/30/2018	50	2.72	900,000	300,000
Neovasc Inc.	Options	Colen, Fredericus	5	9/30/2018	50	2.72		600,000
Neovasc Inc.	Options	Colen, Fredericus	5	9/30/2018	50	2.72	2,600,000	600,000
Neovasc Inc.	Options	Geyer, Paul	3, 4, 5	9/30/2018	50	2.72		100,000
Neovasc Inc.	Options	Geyer, Paul	3, 4, 5	9/30/2018	50	2.72	275,000	100,000
Neovasc Inc.	Options	Hsiao, Jane	4	9/30/2018	50	2.72	260,000	100,000
Neovasc Inc.	Options	JANZEN, DOUG	4	9/28/2018	50	2.72	280,000	100,000
Neovasc Inc.	Options	Marko, Alexei	4, 5	9/30/2018	50	2.72	545,000	100,000
Neovasc Inc.	Options	Panton, John Christopher	5	9/30/2018	50	2.72	375,000	100,000
Neovasc Inc.	Options	Rubin, Steven Daniel	4	9/30/2018	50	2.72	270,000	100,000
Neovasc Inc.	Options	William, O'Neill	4	9/30/2018	50	2.72	260,000	100,000
Netcoins Holdings Inc.	Common Shares	Binns, Mark Andrew	4	10/4/2018	10	0.21	388,500	10,000
Netcoins Holdings Inc.	Common Shares	Binns, Mark Andrew	4	10/4/2018	10	0.2	398,500	10,000
Netcoins Holdings Inc.	Common Shares	Binns, Mark Andrew	4	10/4/2018	10	0.195	403,500	5,000
Netcoins Holdings Inc.	Common Shares	Binns, Mark Andrew	4	10/4/2018	10	0.18	428,500	25,000
Netcoins Holdings Inc.	Options	Healy, Mark	4	5/9/2018	00			
Netcoins Holdings Inc.	Options	Healy, Mark	4	5/9/2018	50	0.25	250,000	250,000
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	5/1/2018	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	9/28/2018	10	0.537	12,000	12,000
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	10/1/2018	10	0.515	24,000	12,000
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	10/2/2018	10	0.52	27,000	3,000
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	10/3/2018	10	0.532	43,500	16,500
Nevada Copper Corp.	Common Shares	Gili, Matthew	4, 5	10/4/2018	10	0.518	53,500	10,000
Nevada Exploration Inc.	Options	Buskard, James Livingstone	5	10/1/2018	50		1,030,000	450,000
Nevada Exploration Inc.	Options	Higgs, Darcy Alan	3	10/1/2018	50		700,000	475,000
Nevada Exploration Inc.	Options	Higgs, Dennis	4	10/1/2018	50		750,000	350,000
Nevada Exploration Inc.	Options	Hodges, Wade	4	10/1/2018	50	0.26	1,050,000	450,000
Nevada Exploration Inc.	Options	Leboe, Benjamin Donald	4	10/1/2018	50			100,000
Nevada Exploration Inc.	Options	Leboe, Benjamin Donald	4	10/1/2018	50		350,000	100,000
Nevada Exploration Inc.	Options	Tullar, Kenneth	5	10/1/2018	50		1,030,000	430,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	9/28/2018	10	0.06	1,075,633	37,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	10/1/2018	10	0.07	1,087,633	12,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	10/2/2018	10	0.075	1,089,633	2,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	10/2/2018	10	0.08	1,096,633	7,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	10/3/2018	10	0.08	1,101,633	5,000
Nevada Sunrise Gold Corporation	Common Shares	Stanyer, Warren William	4, 5	10/5/2018	10	0.075	1,103,633	2,000
New Jersey Mining Company	Options	Brackebusch, Grant Andrew	5	6/1/2018	00		1,500,000	
New Jersey Mining Company	Warrants	Brackebusch, Grant Andrew	5	6/1/2018	00		50,000	
New Jersey Mining Company	Options	Hayes, Monique	5	6/1/2018	00		150,000	
New Jersey Mining Company	Common Shares	Morgan, Robert	5	9/29/2018	54	0.15	100,000	100,000
New Jersey Mining Company	Options	Morgan, Robert	5	6/1/2018	00			
New Jersey Mining Company	Options	Morgan, Robert	5	6/1/2018	00		225,000	
New Jersey Mining Company	Options	Morgan, Robert	5	9/29/2018	51	0.15	125,000	-100,000
New Jersey Mining Company	Options	Shiell, Kevin G.	4	6/1/2018	00		250,000	
New Jersey Mining Company	Warrants	Shiell, Kevin G.	4	6/1/2018	00		100,000	
New Jersey Mining Company	Options	Steiner, Delbert W.	4	6/1/2018	00		1,500,000	
New Jersey Mining Company	Options	Swallow, John	3, 4	6/1/2018	00		2,650,000	
New Jersey Mining Company	Warrants	Swallow, John	3, 4	6/1/2018	00		700,000	
New Tech Lithium Corp.	Warrants	de jonge, rudy	4	9/30/2018	55		550,000	-678,500
Newrange Gold Corp.	Options	Cross, David Allen	5	8/30/2018	52		245,000	-25,000
Newrange Gold Corp.	Options	Salari, David John	4	9/26/2018	50	0.08	1,359,000	193,000
Newrange Gold Corp.	Options	Wang, Paul	4	9/26/2018	50	0.08	677,000	345,000
Newstrike Brands Ltd.	Options	Smith, Stephen A.	4	6/27/2018	50			1,722,258
Newstrike Brands Ltd.	Options	Smith, Stephen A.	4	6/27/2018	50			1,722,258
Newstrike Brands Ltd.	Options	Smith, Stephen A.	4	6/27/2018	50			1,722,258
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	4/25/2018	50	1.05		1,000,000
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	4/25/2018	50	1.05	1,000,000	1,000,000
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	6/25/2018	50	0.66		625,000
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	6/25/2018	50	0.66	1,625,000	625,000
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	6/25/2018	50	0.66	1,722,058	97,058
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	9/28/2018	50	0.75		400,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Newstrike Brands Ltd. (formerly, Newstrike Resources Ltd.)	Options	Smith, Stephen A.	4	9/28/2018	50	0.75		400,000
Newstrike Resources Ltd.	Common Shares	Smith, Stephen A.	4	4/27/2018	00			
Newstrike Resources Ltd.	Common Shares	Smith, Stephen A.	4	4/27/2018	00		22,000	
NexgenRx Inc.	Common Shares	Crossett, Paul Everett	3	10/4/2018	10	0.24	6,402,500	13,000
Next Green Wave Holdings Inc.	Common Shares	Jang, Gordon	5	9/28/2018	00		855,000	
Next Green Wave Holdings Inc.	Common Shares	Jang, Gordon	5	9/28/2018	00		970,000	
Next Green Wave Holdings Inc.	Common Shares	Jang, Gordon	5	9/28/2018	00		2,130,000	
Next Green Wave Holdings Inc.	Options	Jang, Gordon	5	9/28/2018	00		200,000	
Next Green Wave Holdings Inc.	Warrants	Jang, Gordon	5	9/28/2018	00		427,500	
Next Green Wave Holdings Inc.	Common Shares	Wilson, David	4	10/31/2017	00		1,335,000	
Next Green Wave Holdings Inc.	Common Shares	Wilson, David	4	10/31/2017	00		665,000	
Next Green Wave Holdings Inc.	Options	Wilson, David	4	10/31/2017	00		700,000	
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Cochran, Phyllis Elaine	4	10/1/2018	56		629	629
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Edwards, Larry Dean	7	10/1/2018	56		16,572	629
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Gray, Adam L.	4	10/1/2018	57	51.34	3,344	1,133
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Hoeg, Krystyna	4	10/1/2018	56		4,388	1,133
NFI Group Inc. (formerly New Flyer Industries Inc.)	Deferred Share Units	Marinucci, Giovanni (John)	4	10/1/2018	56		16,572	629
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/4/2018	38	50.315	36,800	36,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/4/2018	38	50.314	40,000	3,200
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/5/2018	38	50.795	74,800	34,800
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/5/2018	38	50.795	77,300	2,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/6/2018	38	50.892	94,900	17,600
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/6/2018	38	50.911	99,900	5,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/7/2018	38	50.334	100,400	500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/10/2018	38	50.862	126,800	26,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/10/2018	38	50.779	128,300	1,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/11/2018	38	51.297	138,900	10,600
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/11/2018	38	51.363	140,100	1,200
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/12/2018	38	51.453	172,600	32,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/12/2018	38	51.427	179,600	7,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/13/2018	38	51.204	199,000	19,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/13/2018	38	51.158	200,400	1,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/17/2018	38	51.697	227,400	27,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/17/2018	38	51.646	236,400	9,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/18/2018	38	51.668	248,900	12,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/18/2018	38	51.63	252,400	3,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/19/2018	38	51.732	268,400	16,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/19/2018	38	51.718	269,900	1,500
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/20/2018	38	57.49	271,700	1,800
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/20/2018	38	51.72	271,900	200
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/21/2018	38	51.733	274,300	2,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/21/2018	38	51.738	275,400	1,100
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/24/2018	38	51.745	301,300	25,900
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/24/2018	38	51.723	301,700	400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/26/2018	38	51.718	338,800	37,100
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/26/2018	38	51.714	341,600	2,800
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/27/2018	38	50.908	366,000	24,400
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/27/2018	38	50.886	373,300	7,300
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/28/2018	38	50.269	375,200	1,900
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/28/2018	38	50.285	375,400	200
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	NFI Group Inc.	1	9/28/2018	38		33,800	-341,600
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Nunes, Paulo Cezar	4	10/1/2018	56		503	503
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Sardo, Vincent James	4	10/1/2018	56		629	629
NFI Group Inc. (formerly New Flyer Industries Inc.)	Restricted Share Units	Tobin, Brian Vincent	4	10/1/2018	56		9,367	1,007
NGEx Resources Inc.	Common Shares	Zebra Holdings and Investments S.à.r.l.	3	9/28/2018	11	0.9997	58,488,729	17,604,000
NGEx Resources Inc.	Debentures 2018	Zebra Holdings and Investments S.à.r.l.	3	5/31/2009	00			
NGEx Resources Inc.	Debentures 2018	Zebra Holdings and Investments S.à.r.l.	3	10/5/2018	11		$5,000,000	$5,000,000
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Darling, Michèle	4	9/30/2018	56		160,572	51,316
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	FIELDS, MARK	4	10/1/2018	56	0.095	181,003	59,211
Nickel Creek Platinum Corp.	Common Shares	Garrett, Diane Renee	4, 5	9/27/2018	10	0.105	1,906,500	106,500
Nickel Creek Platinum Corp.	Common Shares	Garrett, Diane Renee	4, 5	9/28/2018	10	0.11	1,936,500	30,000
Nickel Creek Platinum Corp.	Common Shares	Garrett, Diane Renee	4, 5	9/28/2018	10	0.105	1,980,000	43,500
Nickel Creek Platinum Corp.	Common Shares	Garrett, Diane Renee	4, 5	9/28/2018	10	0.1	2,000,000	20,000
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Kirk, Harry Wayne	4	9/28/2018	56		93,784	51,316
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Leathley, Gillyeard(Gil) James	4	9/30/2018	56		95,280	2,832
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Manternach, Myron	4	9/30/2018	56		135,866	74,342
Nickel Creek Platinum Corp.	Rights (Deferred Share Units)	Sylvestre, Michel	4	9/30/2018	56		247,036	78,947
Nighthawk Gold Corp.	Common Shares	Howlett, Brian	4	10/3/2018	10	0.435	1,159,000	4,000
Nighthawk Gold Corp.	Warrants	Howlett, Brian	4	9/29/2018	55	1.1	0	-25,000
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/17/2018	38	5.55	42,415	34,700

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Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/17/2018	38	5.55	7,715	-34,700
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/19/2018	38	5.65	3,200	3,200
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/19/2018	38	5.65	0	-3,200
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/20/2018	38	5.6181	11,900	11,900
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/20/2018	38	5.6181	0	-11,900
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/21/2018	38	5.5999	1,711	1,711
Ninepoint Energy Opportunities Trust	Trust Units	Ninepoint Energy Opportunities Trust	1	9/21/2018	38	5.5999	0	-1,711
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Bonneau, Jacques	4	10/1/2018	10	0.2408	557,562	30,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Bonneau, Jacques	4	10/1/2018	10	0.23	587,562	30,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Bonneau, Jacques	4	10/2/2018	10	0.22	597,562	10,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Bonneau, Jacques	4	10/5/2018	10	0.22	627,562	30,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Dufresne, Claude	4, 5	10/1/2018	10	0.25	311,900	10,000
Nobilis Health Corp. (formerly Northstar Healthcare Inc.)	Options	Klein, Kenneth Joseph	5	10/1/2018	50	4.57	500,000	50,000
Nobilis Health Corp. (formerly Northstar Healthcare Inc.)	Options	Klein, Kenneth Joseph	5	10/1/2018	50	1.97	600,000	100,000
Nobilis Health Corp. (formerly Northstar Healthcare Inc.)	Restricted Stock Units	Klein, Kenneth Joseph	5	7/9/2015	00			
Nobilis Health Corp. (formerly Northstar Healthcare Inc.)	Restricted Stock Units	Klein, Kenneth Joseph	5	10/1/2018	56		48,000	48,000
North American Construction Group Ltd.	Deferred Share Units	McIntosh, Ronald A	4	9/30/2018	56		237,540	1,427
North American Construction Group Ltd.	Deferred Share Units	Oehmig, William C.	4	9/30/2018	56		300,886	2,832
North American Construction Group Ltd.	Deferred Share Units	Pinney, Bryan Daniel	4	9/30/2018	56		117,775	3,769
North American Construction Group Ltd.	Deferred Share Units	Pollesel, John Joseph	4	9/30/2018	56		7,098	1,427
North American Construction Group Ltd.	Deferred Share Units	Stan, Thomas Paul	4	9/30/2018	56		27,218	1,528
North American Construction Group Ltd.	Deferred Share Units	Thornton, Jay	4	9/30/2018	56		119,866	2,721
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/26/2018	10	2.5		7,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/26/2018	10	0.025	6,007,000	7,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/27/2018	10	2.5		40,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/27/2018	10	0.025	6,047,000	40,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/27/2018	10	3		1,127,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/27/2018	10	0.03	7,174,000	1,127,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/28/2018	10	3	7,322,000	148,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/28/2018	10	3.5		741,888
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	9/28/2018	10	0.035	8,063,888	741,888
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	10/3/2018	10	0.03	8,755,000	691,112

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Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	10/3/2018	10	0.035	9,175,000	420,000
Northern Shield Resources Inc.	Common Shares	Richards, Russell Montgomery	4	10/5/2018	10	0.03	10,000,000	825,000
Northern Sphere Mining Corp.	Common Shares	Delorme, Monique	5	4/27/2017	00			
Northern Sphere Mining Corp.	Common Shares	Delorme, Monique	5	9/21/2018	46	0.08	385,089	385,089
Northfield Capital Corporation	Common Shares CLASS A RESTRICTED VOTING	Northfield Capital Corporation	1	9/26/2018	38	26	9,552	5,252
Northland Power Inc.	Common Shares	Brace, John Wycliffe	4	9/28/2018	10		1,442,026	-60,000
Northland Power Inc.	Deferred Share Units (DSU)	Gilmour, Barry Kenneth	4	9/30/2018	56	23.19	29,021	1,193
Northland Power Inc.	Deferred Share Units (DSU)	Goodman, Russell Andrew	4	9/30/2018	56	23.19	13,467	608
Northview Apartment Real Estate Investment Trust	Deferred Unit Award Plan	Thon, Scott William	4	10/2/2018	56		14,444	623
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Baron, Robert	4	9/30/2018	56	11.3	129,041	2,832
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Loudon, Colin	4	9/30/2018	56	11.3	33,673	1,991
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Naylor, Christopher David (David)	6	9/30/2018	56	11.3	71,104	3,562
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Petersen, Brian Kenneth	4	9/30/2018	56	11.3	39,411	3,960
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Weaver, Karen Hainsworth	4	9/30/2018	56	11.3	3,964	2,788
NORZINC LTD.	Deferred Share Units	Kearney, John Francis	4, 5	9/6/2018	00			
NORZINC LTD.	Deferred Share Units	Kearney, John Francis	4, 5	9/30/2018	30		56,818	56,818
NORZINC LTD.	Common Shares	Vande Guchte, Michael John	5	9/6/2018	00		95,876	
NORZINC LTD.	Options	Vande Guchte, Michael John	5	9/6/2018	00		500,000	
NORZINC LTD.	Restricted Share Units	Vande Guchte, Michael John	5	9/6/2018	00		900,000	
NORZINC LTD.	Deferred Share Units	Warwick, John Michael	4	9/30/2018	46		334,388	56,818
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Ressources Québec inc.	3	9/28/2018	00		6,666,667	
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	Ressources Québec inc.	3	9/28/2018	11	0.3	15,000,001	8,333,334
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	Ressources Québec inc.	3	9/28/2018	00			
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	Ressources Québec inc.	3	9/28/2018	11		4,166,667	4,166,667
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Common Shares	TURPIN, ARMAND	3	9/28/2018	11	0.3	11,837,368	833,334
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Warrants	TURPIN, ARMAND	3	9/28/2018	53	0.4	8,098,084	416,667
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	7/9/2018	30	4.68	695,057	237
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	7/19/2018	30	4.42	695,308	251

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	8/6/2018	30	4.31	695,566	258
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	8/22/2018	30	3.69	695,867	301
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	9/7/2018	30	3.54	696,181	314
NOVAGOLD RESOURCES INC.	Common Shares	DEISLEY, DAVID LEE	5	9/21/2018	30	3.79	696,474	293
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	7/9/2018	30	4.68	1,287,502	507
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	7/19/2018	30	4.42	1,288,039	537
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	8/6/2018	30	4.31	1,288,590	551
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	8/22/2018	30	3.69	1,289,233	643
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	9/7/2018	30	3.54	1,289,904	671
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	9/21/2018	30	3.79	1,290,530	626
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	7/9/2018	30	4.68	495,649	263
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	7/19/2018	30	4.42	495,927	278
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	8/6/2018	30	4.31	496,212	285
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	8/22/2018	30	3.69	496,545	333
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	9/7/2018	30	3.54	496,892	347
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	9/21/2018	30	3.79	497,216	324
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	7/9/2018	30	4.68	94,562	186
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	7/19/2018	30	4.42	94,759	197
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	8/6/2018	30	4.31	94,961	202
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	8/22/2018	30	3.69	95,197	236
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	9/7/2018	30	3.54	95,444	247
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	9/21/2018	30	3.79	95,674	230
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	7/9/2018	30	4.68	235,925	203
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	7/19/2018	30	4.42	236,140	215
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	8/6/2018	30	4.31	236,361	221
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	8/22/2018	30	3.69	236,618	257
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	9/7/2018	30	3.54	236,886	268
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	9/21/2018	30	3.79	237,137	251
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/3/2018	10	0.05	1,284,000	125,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/4/2018	10	0.05	1,334,000	50,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/4/2018	10	0.06	1,359,000	25,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/4/2018	10	0.07		25,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/4/2018	10	0.07		25,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	BÉDARD, Martin	3, 4, 5	10/4/2018	10	0.07	1,409,000	50,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Cases, Thierry	5	10/4/2018	10	0.045	473,000	48,000
Nutrien Ltd.	Deferred Share Units	Burley, Christopher Michael	4	7/18/2018	30	53.39	11,976	89
Nutrien Ltd.	Deferred Share Units	Burley, Christopher Michael	4	9/28/2018	56	57.53	12,550	574
Nutrien Ltd.	Deferred Share Units	Clark, Maura	4	7/18/2018	30	53.39	7,292	54
Nutrien Ltd.	Deferred Share Units	Clark, Maura	4	9/28/2018	56	57.53	7,896	604
Nutrien Ltd.	Deferred Share Units	Estey, John W.	4	7/18/2018	30	53.39	48,767	363
Nutrien Ltd.	Deferred Share Units	Estey, John W.	4	9/28/2018	56	57.53	49,360	593
Nutrien Ltd.	Deferred Share Units	Everitt, David Charles	4	7/18/2018	30	53.39	18,479	138
Nutrien Ltd.	Deferred Share Units	Everitt, David Charles	4	9/28/2018	56	57.53	19,061	582
Nutrien Ltd.	Deferred Share Units	Girling, Russell	4	7/18/2018	30	53.39	89,692	667
Nutrien Ltd.	Deferred Share Units	Girling, Russell	4	9/28/2018	56	57.53	90,839	1,147
Nutrien Ltd.	Deferred Share Units	Grandey, Gerald Wayne	4	7/18/2018	30	53.39	20,239	151
Nutrien Ltd.	Deferred Share Units	Grandey, Gerald Wayne	4	9/28/2018	56	57.53	21,386	1,147
Nutrien Ltd.	Deferred Share Units	Hubbs, Miranda C.	4	7/18/2018	30	53.39	14,265	106
Nutrien Ltd.	Deferred Share Units	Hubbs, Miranda C.	4	9/28/2018	56	57.53	15,430	1,165
Nutrien Ltd.	Deferred Share Units	Laberge, Alice D.	4	7/18/2018	30	53.39	36,011	268
Nutrien Ltd.	Deferred Share Units	Laberge, Alice D.	4	9/28/2018	56	57.53	36,593	582
Nutrien Ltd.	Deferred Share Units	Madere, Consuelo	4	7/18/2018	30	53.39	6,607	49
Nutrien Ltd.	Deferred Share Units	Madere, Consuelo	4	9/28/2018	56	57.53	6,868	261
Nutrien Ltd.	Deferred Share Units	Martell, Keith	4	7/18/2018	30	53.39	21,123	157
Nutrien Ltd.	Deferred Share Units	Martell, Keith	4	9/28/2018	56	57.53	21,421	298
Nutrien Ltd.	Deferred Share Units	McLellan, A. Anne	4	7/18/2018	30	53.39	54,630	406
Nutrien Ltd.	Deferred Share Units	McLellan, A. Anne	4	9/28/2018	56	57.53	54,974	344
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/5/2018	38	54.754	35,000	35,000
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/6/2018	38	54.766	70,000	35,000
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/7/2018	38		35,000	-35,000
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/7/2018	38	54.814	392,800	357,800
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/7/2018	38	72.269	637,093	244,293
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/10/2018	38		602,093	-35,000
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/10/2018	38	55.426	952,041	349,948
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/10/2018	38	72.952	1,196,334	244,293
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/11/2018	38		594,241	-602,093
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/11/2018	38	55.846	872,278	278,037
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/11/2018	38	73.415	1,435,874	563,596
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/12/2018	38		841,633	-594,241
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/12/2018	38	55.991	887,383	45,750
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/12/2018	38	72.964	913,299	25,916
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/13/2018	38		71,666	-841,633
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/14/2018	38		0	-71,666
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/14/2018	38	55.917	299,840	299,840
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/18/2018	38		0	-299,840
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/19/2018	38	58.613	50,108	50,108
Nutrien Ltd.	Common Shares	Nutrien Ltd	1	9/21/2018	38		0	-50,108
Nutrien Ltd.	Deferred Share Units	Pannell, Derek George	4	7/18/2018	30	53.39	55,585	413
Nutrien Ltd.	Deferred Share Units	Pannell, Derek George	4	9/28/2018	56	57.53	55,846	261
Nutrien Ltd.	Deferred Share Units	Regent, Aaron William	4	7/18/2018	30	53.39	14,084	105
Nutrien Ltd.	Deferred Share Units	Regent, Aaron William	4	9/28/2018	56	57.53	15,249	1,165
Nutrien Ltd.	Deferred Share Units	Schmidt, Mayo	4	7/18/2018	30	53.39	20,758	155
Nutrien Ltd.	Deferred Share Units	Schmidt, Mayo	4	9/28/2018	56	57.53	21,945	1,187
NUVISTA ENERGY LTD.	Common Shares	Lawford, Michael	5	10/2/2018	10	7.51	27,830	5,330
NUVISTA ENERGY LTD.	Common Shares Deferred Share Units	Zawalsky, Grant A.	4	9/28/2018	56		31,446	1,540
Nuvo Pharmaceuticals Inc. (formerly, Nuvo Research Inc.)	Options	Burkett, Mary-Jane Eleanor	5	10/3/2018	50		64,408	8,500
NXGold Ltd.	Common Shares	McFadden, Christopher Walter	4, 5	10/3/2018	10		77,500	17,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NXGold Ltd.	Common Shares	Patricio, Richard J	4	9/28/2018	10	0.14	419,500	119,500
NXGold Ltd.	Common Shares	Patricio, Richard J	4	9/28/2018	10	0.135	429,500	10,000
NXGold Ltd.	Common Shares	Patricio, Richard J	4	10/1/2018	10	0.14	550,000	120,500
Obsidian Energy Ltd.	Common Shares	Friley, William A.	4	9/28/2018	10	1.24	78,448	27,800
Obsidian Energy Ltd.	Common Shares	Friley, William A.	4	9/28/2018	10	1.2484	100,648	22,200
Obsidian Energy Ltd.	Common Shares	Loukas, Stephen	4	10/1/2018	10	0.9492	3,844,605	2,000
Obsidian Energy Ltd.	Common Shares	Thornton, Jay	4	10/3/2018	10	1.22	308,750	20,000
OceanaGold Corporation	Common Shares	MA, YUWEN	5	10/3/2018	10		110,538	-5,000
Olympia Financial Group Inc.	Common Shares	Fry, Kenneth	5	12/15/2017	00			
Olympia Financial Group Inc.	Common Shares	Fry, Kenneth	5	12/15/2017	00			
Olympia Financial Group Inc.	Common Shares	Fry, Kenneth	5	12/15/2017	00		500	
Olympia Financial Group Inc.	Common Shares	Fry, Kenneth	5	10/5/2018	10		1,000	500
Olympia Financial Group Inc.	Common Shares	Janssen, Gerardus Adrianus	4	9/28/2018	10	48.5	3,700	300
Olympia Financial Group Inc.	Common Shares	Janssen, Gerardus Adrianus	4	10/5/2018	10	48	4,100	400
Olympia Financial Group Inc.	Common Shares	Naugler, Dean	7	9/20/2018	00			
Olympia Financial Group Inc.	Common Shares	Naugler, Dean	7	9/26/2018	10	47.997	350	350
Olympia Financial Group Inc.	Common Shares	Skauge, Rick	3, 4, 5	10/3/2018	10	49.9	16,393	21
ONEnergy Inc.	Deferred Share Units	Letwin, Stephen Joseph James	4, 5	10/5/2018	56	0.2	570,886	50,000
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Casey, Daniel C.	4	9/30/2018	56	88.33	91,469	200
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Etherington, William	4	9/30/2018	56	88.33	64,786	200
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Goldhar, Mitchell	4	9/30/2018	56	88.33	8,036	183
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Gouin, Serge	4	9/30/2018	56	88.33	93,748	284
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Huffington, Arianna	4	9/30/2018	56	88.33	18,222	183
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	McCoy, John Bonnet	4	9/30/2018	56	88.33	85,435	256
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Prichard, John Robert Stobo	4	9/30/2018	56	88.33	87,985	248
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Reisman, Heather M.	4	9/30/2018	56	88.33	79,306	183
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Thorsteinson, Arni Clayton	4	9/30/2018	56	88.33	115,655	513
ONEX CORPORATION	Rights Deferred Share Units (cash settled)	Wilkinson, Beth Ann	4	9/30/2018	56	88.33	3,698	183
Open Text Corporation	Restricted Share Units	Maheshwari, Aditya	5	8/6/2018	56	37.71	14,470	5,300
Orezone Gold Corporation	Common Shares	Sun Valley Gold LLC	3	10/3/2018	10	0.63	25,203,324	56,200
Orezone Gold Corporation	Common Shares	Sun Valley Gold LLC	3	10/4/2018	10	0.62	25,219,824	16,500
ORIGIN GOLD CORPORATION (formerly OneCap Investment Corporation)	Common Shares	Depatie, Jean	3, 4	9/24/2018	10	0.09	5,552,983	5,000
ORIGIN GOLD CORPORATION (formerly OneCap Investment Corporation)	Common Shares	Depatie, Jean	3, 4	10/1/2018	10	0.095	5,585,983	13,000
ORIGIN GOLD CORPORATION (formerly OneCap Investment Corporation)	Common Shares	Depatie, Jean	3, 4	10/1/2018	10	0.1	5,594,983	9,000
Oryx Petroleum Corporation Limited	Common Shares	Lewis, Scott Alexander	5	9/26/2018	10	0.2002	81,022	-30,000
Oryx Petroleum Corporation Limited	Common Shares	Lewis, Scott Alexander	5	9/27/2018	10	0.21	21,000	-60,022
Oryx Petroleum Corporation Limited	Common Shares	Lewis, Scott Alexander	5	9/28/2018	10	0.22	14,000	-7,000
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/15/2016	30	14		60

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/15/2016	35	14	20,990	60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	4/15/2016	30	14.44		60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	4/15/2016	35	14.44	21,050	60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	7/15/2016	30	17.53		66
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	7/15/2016	35	17.53	28,416	66
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	10/14/2016	30	13.62		83
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	10/14/2016	35	13.62	28,499	83
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/16/2017	30	13.97		82
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/16/2017	30	13.97		81
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/16/2017	35	13.97	28,580	81
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	4/17/2017	30	15.02		76
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	4/17/2017	35	15.02	28,656	76
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	7/17/2017	30	15.5		93
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	7/17/2017	35	15.5	35,949	93
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	10/16/2017	30	16.55		109
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	10/16/2017	35	16.55	36,058	109
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/15/2018	30	14.86		121
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Bertrand, Françoise	4	1/15/2018	35	14.86	36,179	121
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	7/17/2017	30	15.5		19
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	7/17/2017	35	15.5	7,219	19
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	10/16/2017	30	16.55		21
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	10/16/2017	35	16.55	7,240	21
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	1/15/2018	30	14.86		25

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Burzynski, John Feliks	4	1/15/2018	35	14.86	7,265	25
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/15/2015	30	14.42		155
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/15/2015	35	14.42	74,478	155
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/15/2016	30	14		213
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/15/2016	35	14	74,691	213
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	4/15/2016	30	14.44		207
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	4/15/2016	35	14.44	74,898	207
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	7/15/2016	30	17.53		197
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	7/15/2016	35	17.53	86,495	197
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/14/2016	30	13.62		172
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/14/2016	35	13.62	86,667	172
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/16/2017	30	13.97		168
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/16/2017	35	13.97	59,232	168
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	4/17/2017	30	15.02		158
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	4/17/2017	35	15.02	59,390	158
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	9/11/2017	30	17.3		-57,750
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	9/11/2017	30	17.3		-42,855
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	9/11/2017	30	17.3		-42,912
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	9/11/2017	97	17.3	16,631	-42,912
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/16/2017	30	16.55		72
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/16/2017	30	16.55		50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	10/16/2017	35	16.55	16,681	50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/15/2018	30	14.86		80

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OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/15/2018	30	14.86		115
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	1/15/2018	35	14.86	16,796	115
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	8/7/2018	30			-13,705
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Burzynski, John Feliks	4	8/7/2018	97		3,091	-13,705
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Chenard, Pierre	4	1/15/2018	30	14.86		42
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Chenard, Pierre	4	1/15/2018	35	14.86	12,379	42
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/15/2015	30	14.42		155
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/15/2015	35	14.42	74,478	155
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/15/2016	30	14		213
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/15/2016	35	14	74,691	213
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	4/15/2016	30	14.44		207
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	4/15/2016	35	14.44	74,898	207
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	7/15/2016	30	17.53		223
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	7/15/2016	35	17.53	98,021	223
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/14/2016	30	13.62		288
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/14/2016	35	13.62	98,309	288
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/16/2017	30	13.97		280
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/16/2017	35	13.97	98,589	280
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	4/17/2017	30	15.02		263
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	4/17/2017	35	15.02	98,852	263
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	7/17/2017	30	15.5		367
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	7/17/2017	35	15.5	142,419	367
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	9/11/2017	30	17.3		-74,242

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OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	9/11/2017	30	17.3		-51,651
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	9/11/2017	97	17.3	90,768	-51,651
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/16/2017	30	16.55		273
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	10/16/2017	35	16.55	91,041	273
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/15/2018	30	14.86		305
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	1/15/2018	35	14.86	91,346	305
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	8/7/2018	30			-24,600
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Coates, Bryan A.	5	8/7/2018	97		105,977	-24,600
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Curfman, Christopher C.	4	1/15/2018	30	14.86		67
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Curfman, Christopher C.	4	1/15/2018	35	14.86	19,708	67
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/15/2015	30	14.42		80
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/15/2015	35	14.42	38,349	80
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/15/2016	30	14		110
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/15/2016	35	14	38,459	110
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	4/15/2016	30	14.44		108
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	4/15/2016	35	14.44	38,567	108
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	7/15/2016	30	17.53		113
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	7/15/2016	35	17.53	49,580	113
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/14/2016	30	13.62		144
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/14/2016	35	13.62	49,724	144
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/16/2017	30	13.97		142
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/16/2017	35	13.97	49,866	142
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	4/17/2017	30	15.02		133

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	4/17/2017	35	15.02	49,999	133
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	7/17/2017	30	15.5		172
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	7/17/2017	35	15.5	66,771	172
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	9/11/2017	30	17.3		-39,552
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	9/11/2017	30	17.3		-27,519
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	9/11/2017	97	17.3	39,252	-27,519
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/16/2017	30	16.55		119
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	10/16/2017	35	16.55	39,371	119
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/15/2018	30	14.86		131
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	1/15/2018	35	14.86	39,502	131
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	8/7/2018	30			-11,731
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	de la Plante, Joseph	5	8/7/2018	97		53,323	-11,731
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/15/2015	30	14.42		66
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/15/2015	35	14.42	31,698	66
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/15/2016	30	14		91
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/15/2016	35	14	31,789	91
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	4/15/2016	30	14.44		89
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	4/15/2016	35	14.44	31,878	89
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	7/15/2016	30	17.53		97
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	7/15/2016	35	17.53	42,975	97
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/14/2016	30	13.62		126
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/14/2016	35	13.62	43,101	126
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/16/2017	30	13.97		123

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/16/2017	35	13.97	43,224	123
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	4/17/2017	30	15.02		115
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	4/17/2017	35	15.02	43,339	115
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	7/17/2017	30	15.5		140
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	7/17/2017	35	15.5	54,279	140
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/16/2017	30	16.55		164
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	10/16/2017	35	16.55	54,443	164
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/15/2018	30	14.86		185
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Ferstman, Joanne Shari	4	1/15/2018	35	14.86	54,628	185
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	7/17/2017	30	15.5		19
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	7/17/2017	35	15.5	7,219	19
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	10/16/2017	30	16.55		22
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	10/16/2017	35	16.55	7,241	22
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	1/15/2018	30	14.86		24
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Gaumond, André	4	1/15/2018	35	14.86	7,265	24
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/15/2015	30	14.42		49
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/15/2015	35	14.42	23,795	49
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/15/2016	30	14		68
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/15/2016	35	14	23,863	68
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	4/15/2016	30	14.44		66
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	4/15/2016	35	14.44	23,929	66
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	7/15/2016	30	17.53		86
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	7/15/2016	35	17.53	37,715	86

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/14/2016	30	13.62		110
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/14/2016	35	13.62	37,825	110
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/16/2017	30	13.97		108
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/16/2017	35	13.97	26,007	108
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	4/17/2017	30	15.02		69
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	4/17/2017	35	15.02	26,076	69
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	7/17/2017	30	15.5		67
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	7/17/2017	35	15.5	26,143	67
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/16/2017	30	16.55		79
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	10/16/2017	35	16.55	26,222	79
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/15/2018	30	14.86		88
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	1/15/2018	35	14.86	26,310	88
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	8/7/2018	30			-18,126
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Gaumond, André	4	8/7/2018	97		8,184	-18,126
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/15/2015	30	14.42		24
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/15/2015	35	14.42	11,514	24
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/15/2016	30	14		33
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/15/2016	35	14	11,547	33
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	4/15/2016	30	14.44		33
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	4/15/2016	35	14.44	11,580	33
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	7/15/2016	30	17.53		43
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	7/15/2016	35	17.53	18,923	43
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/14/2016	30	13.62		54

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/14/2016	35	13.62	18,977	54
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/16/2017	30	13.97		54
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/16/2017	35	13.97	19,031	54
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	4/17/2017	30	15.02		51
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	4/17/2017	35	15.02	19,082	51
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	7/17/2017	30	15.5		68
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	7/17/2017	35	15.5	26,350	68
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/16/2017	30	16.55		80
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	10/16/2017	35	16.55	26,430	80
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/15/2018	30	14.86		88
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Labbé, Pierre	4	1/15/2018	35	14.86	26,518	88
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/15/2015	30	14.42		36
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/15/2015	35	14.42	17,470	36
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/15/2016	30	14		50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/15/2016	35	14	17,520	50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	4/15/2016	30	14.44		50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	4/15/2016	35	14.44	17,570	50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	7/15/2016	30	17.53		77
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	7/15/2016	35	17.53	34,447	77
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/14/2016	30	13.62		101
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/14/2016	35	13.62	34,548	101
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/16/2017	30	13.97		99
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/16/2017	35	13.97	34,647	99

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	4/17/2017	30	15.02		92
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	4/17/2017	35	15.02	34,739	92
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	7/17/2017	30	15.5		153
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	7/17/2017	35	15.5	59,292	153
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/16/2017	30	16.55		179
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	10/16/2017	35	16.55	59,471	179
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/15/2018	30	14.86		200
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	1/15/2018	35	14.86	59,671	200
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	8/7/2018	30			-18,063
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Le Bel, André	5	8/7/2018	97		81,013	-18,063
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/15/2015	30	14.42		49
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/15/2015	35	14.42	23,795	49
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/15/2016	30	14		68
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/15/2016	35	14	23,863	68
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	4/15/2016	30	14.44		66
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	4/15/2016	35	14.44	23,929	66
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	7/15/2016	30	17.53		107
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	7/15/2016	35	17.53	46,936	107
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/14/2016	30	13.62		137
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/14/2016	35	13.62	47,073	137
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/16/2017	30	13.97		135
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/16/2017	35	13.97	47,208	135
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	4/17/2017	30	15.02		126

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	4/17/2017	35	15.02	47,334	126
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	7/17/2017	30	15.5		206
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	7/17/2017	35	15.5	80,440	206
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/16/2017	30	16.55		243
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	10/16/2017	35	16.55	80,683	243
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/15/2018	30	14.86		271
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	1/15/2018	35	14.86	80,954	271
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	8/7/2018	30			-24,600
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lessard, Luc	5	8/7/2018	97		95,585	-24,600
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/15/2015	30	14.42		107
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/15/2015	35	14.42	51,727	107
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/15/2016	30	14		148
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/15/2016	35	14	51,875	148
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	4/15/2016	30	14.44		145
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	4/15/2016	35	14.44	52,020	145
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	7/15/2016	30	17.53		158
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	7/15/2016	35	17.53	69,278	158
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/14/2016	30	13.62		202
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/14/2016	35	13.62	69,480	202
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/16/2017	30	13.97		199
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/16/2017	35	13.97	69,679	199
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	4/17/2017	30	15.02		186
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	4/17/2017	35	15.02	69,865	186

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	7/17/2017	30	15.5		250
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	7/17/2017	35	15.5	97,115	250
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	9/11/2017	30	17.3		-49,590
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	9/11/2017	30	17.3		-34,502
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	9/11/2017	97	17.3	62,613	-34,502
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/16/2017	30	16.55		189
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	10/16/2017	35	16.55	62,802	189
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/15/2018	30	14.86		210
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	1/15/2018	35	14.86	63,012	210
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	8/7/2018	30			-24,600
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	8/7/2018	30			-18,477
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Lévesque, Elif	5	8/7/2018	97		88,966	-18,477
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Lewnowski, Oskar	4	1/15/2018	30	14.86		42
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	Lewnowski, Oskar	4	1/15/2018	35	14.86	12,379	42
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	1/16/2017	30	13.97		50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	1/16/2017	35	13.97	17,246	50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	4/17/2017	30	15.02		46
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	4/17/2017	35	15.02	17,292	46
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	7/17/2017	30	15.5		80
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	7/17/2017	35	15.5	31,272	80
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	10/16/2017	30	16.55		95
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	10/16/2017	35	16.55	31,367	95
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	1/15/2018	30	14.86		106

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	1/15/2018	35	14.86	31,473	106
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	8/7/2018	30			-4,983
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Metcalfe, Vincent	5	8/7/2018	97		52,542	-4,983
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/15/2015	30	14.42		44
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/15/2015	35	14.42	21,133	44
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/15/2016	30	14		60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/15/2016	35	14	21,193	60
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	4/15/2016	30	14.44		61
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	4/15/2016	35	14.44	21,254	61
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	7/15/2016	30	17.53		65
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	7/15/2016	35	17.53	28,619	65
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/14/2016	30	13.62		84
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/14/2016	35	13.62	28,703	84
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/16/2017	30	13.97		82
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/16/2017	35	13.97	28,785	82
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	4/17/2017	30	15.02		77
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	4/17/2017	35	15.02	28,862	77
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	7/17/2017	30	15.5		93
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	7/17/2017	35	15.5	36,155	93
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/16/2017	30	16.55		109
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	10/16/2017	35	16.55	36,264	109
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/15/2018	30	14.86		121
OSISKO GOLD ROYALTIES LTD	Rights Deferred Share Units/Unités d'actions différées	PAGE, CHARLES ELIJAH	4	1/15/2018	35	14.86	36,385	121

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/15/2015	30	14.42		206
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/15/2015	35	14.42	99,337	206
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/15/2016	30	14		284
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/15/2016	35	14	99,621	284
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	4/15/2016	30	14.44		276
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	4/15/2016	35	14.44	99,897	276
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	7/15/2016	30	17.53		299
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	7/15/2016	35	17.53	130,696	299
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/14/2016	30	13.62		383
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/14/2016	35	13.62	131,079	383
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/16/2017	30	13.97		376
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/16/2017	35	13.97	131,455	376
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	4/17/2017	30	15.02		350
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	4/17/2017	35	15.02	131,805	350
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	7/17/2017	30	15.02		350
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	7/17/2017	30	15.5		431
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	7/17/2017	35	15.5	167,336	431
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	9/11/2017	30	17.3		-68,902
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	9/11/2017	97	17.3	98,434	-68,902
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/16/2017	30	16.55		297
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	10/16/2017	35	16.55	98,731	297
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/15/2018	30	14.86		333
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	1/15/2018	35	14.86	99,064	333

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	8/7/2018	30			-32,802
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Roosen, Sean	4, 5	8/7/2018	97		176,792	-32,802
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	1/16/2017	30	13.97		53
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	1/16/2017	35	13.97	18,666	53
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	4/17/2017	30	15.02		50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	4/17/2017	35	15.02	18,716	50
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	7/17/2017	30	15.5		89
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	7/17/2017	35	15.5	34,505	89
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	1/15/2018	30	14.86		116
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	1/15/2018	35	14.86	34,725	116
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	8/7/2018	30			-5,813
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Ruel, Frédéric	5	8/7/2018	97		54,964	-5,813
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Vézina, François	5	8/7/2018	30			-2,802
OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Vézina, François	5	8/7/2018	97		27,706	-2,802
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 5	3	10/2/2018	10	3.154	9,172,237	-639,896
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 5	3	10/3/2018	10	2.92	8,680,009	-492,228
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 5	3	10/5/2018	10	28	8,630,786	-49,223
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 6	3	10/2/2018	10	3.154	9,461,884	-660,104
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 6	3	10/3/2018	10	2.92	8,954,112	-507,772
Painted Pony Energy Ltd.	Common Shares	ARC Energy Fund 6	3	10/5/2018	10	2.8	8,903,335	-50,777
Painted Pony Energy Ltd.	Rights Deferred Share Units	Beitel, Paul	4, 6	10/1/2018	56		90,315	9,674
Painted Pony Energy Ltd.	Rights Deferred Share Units	Carley, Glenn Robert	4	10/1/2018	56	2.84	12,136	3,957
Palamina Corp.	Common Shares	Thomson, Andrew	4	10/5/2018	10	0.37	151,000	5,000
Paramount Resources Ltd.	Common Shares Class A	Paramount Resources Ltd.	1	9/5/2018	38	13.443	52,600	52,600
Paramount Resources Ltd.	Common Shares Class A	Paramount Resources Ltd.	1	9/6/2018	38	13.023	145,300	92,700
Paramount Resources Ltd.	Common Shares Class A	Paramount Resources Ltd.	1	9/6/2018	38	13.023	146,300	1,000
Paramount Resources Ltd.	Common Shares Class A	Paramount Resources Ltd.	1	9/7/2018	38	12.93	209,600	63,300
Paramount Resources Ltd.	Common Shares Class A	Paramount Resources Ltd.	1	9/27/2018	38		0	-209,600
Paramount Resources Ltd.	Common Shares Class A	Riddell Rose, Susan L.	3, 4	2/11/2003	00			
Paramount Resources Ltd.	Common Shares Class A	Riddell Rose, Susan L.	3, 4	9/15/2018	97		14,116,473	14,116,473
Paramount Resources Ltd.	Common Shares Class A	Riddell, Brenda Gail	3	9/15/2018	00		256,407	
Paramount Resources Ltd.	Common Shares Class A	Riddell, Brenda Gail	3	9/15/2018	00			
Paramount Resources Ltd.	Common Shares Class A	Riddell, Brenda Gail	3	9/15/2018	97		14,103,436	14,103,436
Paramount Resources Ltd.	Common Shares Class A	Riddell, James H. T.	3, 4, 5	6/3/2003	00			
Paramount Resources Ltd.	Common Shares Class A	Riddell, James H. T.	3, 4, 5	9/15/2018	97		200,000	200,000
Paramount Resources Ltd.	Common Shares Class A	Riddell, James H. T.	3, 4, 5	6/3/2003	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Paramount Resources Ltd.	Common Shares Class A	Riddell, James H. T.	3, 4, 5	9/15/2018	97		28,657,528	28,657,528
Park Lawn Corporation	Common Shares	Robinson, Deborah Wallis	4	10/2/2018	10	25.3	2,300	1,000
Park Lawn Corporation	Common Shares	Robinson, Deborah Wallis	4	10/2/2018	10	25.24	2,500	200
Park Lawn Corporation	Common Shares	Robinson, Deborah Wallis	4	10/2/2018	10	25.2	2,700	200
Parkland Fuel Corporation	Deferred Share Unit Plan	PILLA, DOMENICO	4	10/1/2018	56	43.435	19,742	432
Partners Real Estate Investment Trust	Deferred Units	Anthony, Grant	3, 4	9/30/2018	46		53,167	3,240
Partners Real Estate Investment Trust	Deferred Units	Chapin, Colin Jay	4	9/30/2018	46		7,247	3,306
Partners Real Estate Investment Trust	Deferred Units	Domenico, Jane	5	9/30/2018	46		65,131	464
Partners Real Estate Investment Trust	Deferred Units	Kimberley, Allan Scott	4	9/30/2018	46		66,030	3,858
Partners Real Estate Investment Trust	Deferred Units	Ross, Charles Ian	4	9/30/2018	46		66,797	3,095
Partners Real Estate Investment Trust	Deferred Units	West, Derrick	5	9/30/2018	46		65,131	464
Partners Real Estate Investment Trust	Deferred Units	Woollcombe, Michael Douglas	4	9/30/2018	46		9,902	2,931
Pascal Biosciences Inc.	Common Shares	Pearson, Terry	4	10/3/2018	10		103,000	20,000
Pasinex Resources Limited	Promissory Notes	Olsson, Sven	4	8/9/2018	11			$50,000
Pasinex Resources Limited	Promissory Notes	Olsson, Sven	4	8/9/2018	11		$115,452	$115,452
Pasinex Resources Limited	Promissory Notes	Rainer, Joachim	4	9/1/2018	11			$50,000
Pasinex Resources Limited	Promissory Notes	Rainer, Joachim	4	9/1/2018	11		$50,197	$50,197
Pasinex Resources Limited	Promissory Notes	Seeley, Larry Edward	3, 4	8/9/2018	11			$150,000
Pasinex Resources Limited	Promissory Notes	Seeley, Larry Edward	3, 4	8/9/2018	11		$291,356	$291,356
Pasinex Resources Limited	Promissory Notes	Seeley, Larry Edward	3, 4	8/9/2018	11			$150,000
Pasinex Resources Limited	Promissory Notes	Seeley, Larry Edward	3, 4	8/9/2018	11		$291,356	$291,356
Pason Systems Inc.	DSU	Collins, T Jay	4	9/28/2018	56		45,051	410
Pason Systems Inc.	DSU	Collins, T Jay	4	9/30/2018	57		46,403	1,352
Pason Systems Inc.	DSU	Collins, T Jay	4	9/30/2018	56		46,466	63
Pason Systems Inc.	DSU	Hess, Judi	4	9/28/2018	56		22,129	202
Pason Systems Inc.	DSU	Hess, Judi	4	9/30/2018	56		23,481	1,352
Pason Systems Inc.	DSU	Hess, Judi	4	9/30/2018	56		23,544	63
Pason Systems Inc.	DSU	Hill, James Douglas	3, 4, 5	9/28/2018	56		38,908	354
Pason Systems Inc.	DSU	Howe, James Brian	4	9/28/2018	56		12,830	117
Pason Systems Inc.	DSU	Howe, James Brian	4	9/30/2018	56		14,182	1,352
Pason Systems Inc.	DSU	Howe, James Brian	4	9/30/2018	56		14,308	126
Pathfinder Income Fund	Trust Units	Pathfinder Convertible Debenture Fund	1	9/28/2018	38	8.1486	11,124,598	700
Patriot One Technologies Inc.	Loan secured by pledge (limited recourse) expires 2021	Kandanchatha, Dinesh	4	9/25/2018	70			1
Patriot One Technologies Inc.	Loan secured by pledge (limited recourse) expires 2021	Kandanchatha, Dinesh	4	9/25/2018	70		2	1
Pengrowth Energy Corporation	DSU	Henry, Chandra	4	10/1/2018	00		46,071	
Pengrowth Energy Corporation	DSU	Poole, Albert Terence	4	10/1/2018	56	1.1057	458,814	5,653
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	10/2/2018	10	1.159	110,720,100	720,100
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	10/3/2018	10	1.2118	112,500,000	1,779,900
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	10/4/2018	10	1.2	115,000,000	2,500,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/17/2018	10	0.8936	35,000,000	1,000,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/18/2018	10	0.8936		1,000,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/24/2018	10	1.02	36,800,000	800,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/25/2018	10	1.08	37,700,000	900,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/26/2018	10	1.1	39,000,000	1,300,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/27/2018	10	1.13	39,700,000	700,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	9/28/2018	10	1.16	40,000,000	300,000
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	10/2/2018	10	1.159		720,100
Pengrowth Energy Corporation	Common Shares	Schulich, Seymour	3	10/3/2018	10	1.2118		1,779,900
People Corporation	Common Shares	Anderson, Scott Cameron	4	10/1/2018	10	8.51	1,516,333	-4,500
Perpetual Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	9/15/2018	97		16,396,814	16,396,814
Perpetual Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	6/30/2010	00			
Perpetual Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	9/15/2018	97			16,396,814
Perpetual Energy Inc.	Notes Senior Unsecured Notes - due January 23, 2022	Riddell Rose, Susan	4, 5	6/30/2010	00			
Perpetual Energy Inc.	Notes Senior Unsecured Notes - due January 23, 2022	Riddell Rose, Susan	4, 5	9/15/2018	97		$6,936,000	$6,936,000
Perpetual Energy Inc.	Common Shares	Riddell, James H. T.	3	9/15/2018	00			
Perpetual Energy Inc.	Common Shares	Riddell, James H. T.	3	9/15/2018	97		4,329,126	4,329,126
Perpetual Energy Inc.	Common Shares	Riddell, James H. T.	3	9/15/2018	00			
Perpetual Energy Inc.	Common Shares	Riddell, James H. T.	3	9/15/2018	97		3,068,815	3,068,815
Perpetual Energy Inc.	Warrants	Riddell, James H. T.	3	9/15/2018	00			
Perpetual Energy Inc.	Warrants	Riddell, James H. T.	3	9/15/2018	97	1.75	315,165	315,165
Pershimex Resources Corporation	Common Shares	Gagnon, Robert	4, 5	10/3/2018	10	0.035	1,535,513	23,000
Pershimex Resources Corporation	Common Shares	Gagnon, Robert	4, 5	10/4/2018	10	0.04	1,612,513	77,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Warrants Issued in Private Placements	Hamilton, Daniel	5	9/30/2018	55		210,000	-150,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Warrants Issued in Private Placements	Pezo Camacho, Oscar Francisco	4	9/30/2018	55		200,000	-150,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Warrants Issued in Private Placements	Reeder, Jeffrey	4	9/30/2018	55		2,450,000	-150,000
Petro-Victory Energy Corp.	Common Shares Class A	Fifteen Talents LP	3, 4	9/26/2018	00		28,910,000	
Peyto Exploration & Development Corp.	Common Shares	Robinson, Scott	5	10/1/2018	10	11.5	398,007	50,000
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Athaide, Judith	4	9/30/2018	56	3.08	76,403	121
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Athaide, Judith	4	10/1/2018	57	3.08	76,277	-126
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Athaide, Judith	4	10/1/2018	57	3.08	76,225	-52
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Freeman, Terrance	4	9/30/2018	56	3.08	22,258	243
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	9/30/2018	56	3.08	104,920	487
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	10/1/2018	57	3.08	104,269	-651
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	10/1/2018	57	3.08	104,059	-210
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	9/30/2018	56	3.08	269,594	487
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	10/1/2018	57	3.08	269,468	-126
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	10/1/2018	57	3.08	269,258	-210
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	9/11/2018	10	2.6639	82,800	31,600
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	9/18/2018	10	2.9025	127,000	44,200
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	9/25/2018	10	2.8688	177,600	50,600
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	9/28/2018	10	2.9093	214,500	36,900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	9/28/2018	38		0	-214,500
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Tetreault, Myron Arthur	4	10/1/2018	57	3.08	113,829	-126
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Tetreault, Myron Arthur	4	10/1/2018	57	3.08	113,619	-210
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Thomas, Roger Dale	4	9/30/2018	56	3.08	80,104	365
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Thomas, Roger Dale	4	10/1/2018	57	3.08	80,010	-94
Pine Cliff Energy Ltd.	Common Shares	Rice, William Sanford	4	10/2/2018	10	0.33	180,000	20,000
Pivit Exploration Inc.	Common Shares	Kalt, Ryan	3	10/1/2018	10	0.115	2,486,000	3,000
Pivit Exploration Inc.	Common Shares	Kalt, Ryan	3	10/2/2018	10	0.125	2,500,000	14,000
Plateau Uranium Inc.	Common Shares	Relling, Thomas Peter Max	3	1/22/2018	10	0.7876		60,000
Plateau Uranium Inc.	Common Shares	Relling, Thomas Peter Max	3	1/22/2018	10	0.7876		60,000
Plateau Uranium Inc.	Common Shares	Relling, Thomas Peter Max	3	2/13/2018	10	0.8		20,000
Plateau Uranium Inc.	Common Shares	Relling, Thomas Peter Max	3	2/13/2018	10	0.8	4,548,863	10,000
Points International Ltd.	Common Shares	Points International Ltd.	1	9/4/2018	38	15.228	4,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/5/2018	38	14.608	6,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/6/2018	38	14.508	7,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/7/2018	38	14.831	9,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/10/2018	38	14.389	10,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/11/2018	38	14.354	12,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/12/2018	38	14.202	13,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/13/2018	38	13.818	15,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/14/2018	38	13.195	16,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/17/2018	38	13.329	18,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/18/2018	38	12.943	19,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/19/2018	38	12.638	21,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/20/2018	38	12.553	22,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/21/2018	38	12.511	24,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/24/2018	38	13.178	25,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/25/2018	38	14.015	27,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/26/2018	38	14.167	28,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/27/2018	38	13.934	30,000	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/28/2018	38	14.003	31,500	1,500
Points International Ltd.	Common Shares	Points International Ltd.	1	9/28/2018	38		3,000	-28,500
Postmedia Network Canada Corp.	Class C Voting Shares	Cooperman, Leon	3	10/4/2018	00		5,865,500	
Postmedia Network Canada Corp.	Class C Voting Shares	Cooperman, Leon	3	10/4/2018	10	0.7585	13,083,882	7,218,382
Power Corporation of Canada	Deferred Share Units	Beaudoin, Pierre	4	9/30/2018	56	28.359	66,488	2,224
Power Corporation of Canada	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	28.351		1,996
Power Corporation of Canada	Deferred Share Units	Coutu, Marcel R.	4	9/30/2018	56	28.351	43,724	1,996
Power Corporation of Canada	Deferred Share Units	Desmarais, André	4, 5	9/30/2018	56	28.367		2,512
Power Corporation of Canada	Deferred Share Units	Desmarais, André	4, 5	9/30/2018	56	28.367	93,535	2,512
Power Corporation of Canada	Deferred Share Units	Desmarais, Paul Jr.	4, 5	9/30/2018	56	28.366		1,845
Power Corporation of Canada	Deferred Share Units	Desmarais, Paul Jr.	4, 5	9/30/2018	56	28.366	67,351	1,845
Power Corporation of Canada	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	28.332		1,234
Power Corporation of Canada	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	28.332	6,015	1,234
Power Corporation of Canada	Deferred Share Units	Graham, Anthony R.	4	9/30/2018	56	28.363		2,357
Power Corporation of Canada	Deferred Share Units	Graham, Anthony R.	4	9/30/2018	56	28.363	79,173	2,357

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Power Corporation of Canada	Deferred Share Units	Jackson, John David Allan	4	9/30/2018	56	28.344		952
Power Corporation of Canada	Deferred Share Units	Jackson, John David Allan	4	9/30/2018	56	28.344	14,958	952
Power Corporation of Canada	Deferred Share Units	Marcoux, Isabelle	4	9/30/2018	56	28.352		2,018
Power Corporation of Canada	Deferred Share Units	Marcoux, Isabelle	4	9/30/2018	56	28.352	47,123	2,018
Power Corporation of Canada	Deferred Share Units	Noyer, Christian	4	9/30/2018	56	28.335		1,467
Power Corporation of Canada	Deferred Share Units	Noyer, Christian	4	9/30/2018	56	28.335	11,462	1,467
Power Corporation of Canada	Deferred Share Units	Orr, Robert Jeffrey	4	9/30/2018	56	28.377		1,406
Power Corporation of Canada	Deferred Share Units	Orr, Robert Jeffrey	4	9/30/2018	56	28.377	64,977	1,406
Power Corporation of Canada	Deferred Share Units	Plessis-Bélair, Michel	5	9/30/2018	56	28.408		390
Power Corporation of Canada	Deferred Share Units	Plessis-Bélair, Michel	5	9/30/2018	56	28.408	29,439	390
Power Corporation of Canada	Equity Forward Contract	Power Corporation of Canada	1	8/28/2018	70	28.408		1
Power Corporation of Canada	Equity Forward Contract	Power Corporation of Canada	1	8/28/2018	70	28.408		1
Power Corporation of Canada	Equity Forward Contract	Power Corporation of Canada	1	9/28/2018	70	28.408	48	1
Power Corporation of Canada	Equity Forward Contract	Power Corporation of Canada	1	10/2/2018	70	28.3	13,727	13,679
Power Corporation of Canada	Equity Swap - Long Position PCC 2015-03	Power Corporation of Canada	1	9/28/2018	70	28.44	10	1
Power Corporation of Canada	Equity Swap - Long Position PCC 2015-08	Power Corporation of Canada	1	9/28/2018	70	28.44	14	1
Power Corporation of Canada	Equity Swap - Long Position PCC 2016-03	Power Corporation of Canada	1	9/28/2018	70	28.44	8	1
Power Corporation of Canada	Equity Swap - Long Position PCC 2016-03	Power Corporation of Canada	1	9/28/2018	70	28.44		1
Power Corporation of Canada	Equity Swap - Long Position PCC 2016-03	Power Corporation of Canada	1	9/28/2018	70	28.44		1
Power Corporation of Canada	Equity Swap - Long Position PCC 2017-03	Power Corporation of Canada	1	9/28/2018	70	28.44	6	1
Power Corporation of Canada	Equity Swap - Long Position PCC 2018-03	Power Corporation of Canada	1	9/28/2018	70	28.44	3	1
Power Corporation of Canada	Equity Swap - Long Position PCC 7	Power Corporation of Canada	1	9/28/2018	70	28.44	3	1
Power Corporation of Canada	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	9/30/2018	56	28.329		1,399
Power Corporation of Canada	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	9/30/2018	56	28.329	2,732	1,399
Power Corporation of Canada	Deferred Share Units	Szathmary, Emoke Jolan Erzsebet	4	9/30/2018	56	28.371		1,187
Power Corporation of Canada	Deferred Share Units	Szathmary, Emoke Jolan Erzsebet	4	9/30/2018	56	28.371	48,446	1,187
Power Financial Corporation	Deferred Share Units	Bibeau, Marc A.	4	9/30/2018	56	30.38		1,899
Power Financial Corporation	Deferred Share Units	Bibeau, Marc A.	4	9/30/2018	56	30.38	49,449	1,899
Power Financial Corporation	Deferred Share Units	Desmarais, André	4, 5	9/30/2018	56	30.514		2,458
Power Financial Corporation	Deferred Share Units	Desmarais, André	4, 5	9/30/2018	56	30.514	90,289	2,458
Power Financial Corporation	Deferred Share Units	Desmarais, Paul Jr.	4, 6, 5	9/30/2018	56	30.523		1,701
Power Financial Corporation	Deferred Share Units	Desmarais, Paul Jr.	4, 6, 5	9/30/2018	56	30.523	63,783	1,701
Power Financial Corporation	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	30.107		1,500
Power Financial Corporation	Deferred Share Units	Doer, Gary Albert	4	9/30/2018	56	30.107	6,206	1,500
Power Financial Corporation	Deferred Share Units	Frère, Gérald	4	9/30/2018	56	30.596		1,275
Power Financial Corporation	Deferred Share Units	Frère, Gérald	4	9/30/2018	56	30.596	55,273	1,275
Power Financial Corporation	Deferred Share Units	Graham, Anthony R.	4	9/30/2018	56	30.467		1,957
Power Financial Corporation	Deferred Share Units	Graham, Anthony R.	4	9/30/2018	56	30.467	64,597	1,957
Power Financial Corporation	Deferred Share Units	Jackson, John David Allan	4	9/30/2018	56	30.239		808

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Power Financial Corporation	Deferred Share Units	Jackson, John David Allan	4	9/30/2018	56	30.239	11,899	808
Power Financial Corporation	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	56	30.08		815
Power Financial Corporation	Deferred Share Units	McArthur, Susan J.	4	9/30/2018	56	30.08	1,598	815
Power Financial Corporation	Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	9/30/2018	56	30.625		1,383
Power Financial Corporation	Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	9/30/2018	56	30.625	63,104	1,383
Power Financial Corporation	Deferred Share Units	Plessis-Bélair, Michel	5	9/30/2018	56	30.96		403
Power Financial Corporation	Deferred Share Units	Plessis-Bélair, Michel	5	9/30/2018	56	30.96	29,183	403
Power Financial Corporation	Equity Forward Contract	POWER FINANCIAL CORPORATION	1	10/2/2018	70	29.944	63	-1
Power Financial Corporation	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	9/30/2018	56	30.079		1,548
Power Financial Corporation	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	9/30/2018	56	30.079	2,855	1,548
Power Financial Corporation	Deferred Share Units	Szathmary, Emoke Jolan Erzsebet	4	9/30/2018	56	30.533		1,085
Power Financial Corporation	Deferred Share Units	Szathmary, Emoke Jolan Erzsebet	4	9/30/2018	56	30.533	41,511	1,085
Power Financial Corporation	Deferred Share Units	Vanaselja, Siim A.	4	9/30/2018	56	30.079		1,250
Power Financial Corporation	Deferred Share Units	Vanaselja, Siim A.	4	9/30/2018	56	30.079	2,387	1,250
Prairie Provident Resources Inc.	Deferred Share Units	Flynn, Terence	4	9/28/2018	56		144,199	32,799
Prairie Provident Resources Inc.	Deferred Share Units	McDonald, Patrick	4	9/28/2018	56		77,726	13,120
Prairie Provident Resources Inc.	Deferred Share Units	Petrie, Derek	4	9/28/2018	56		77,726	13,120
Prairie Provident Resources Inc.	Deferred Share Units	Sabherwal, Ajay	4	9/28/2018	56		77,726	13,120
Prairie Provident Resources Inc.	Deferred Share Units	Wonnacott, Robert	4	9/28/2018	56		77,726	13,120
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	9/28/2018	38	23.481	193,500	182,000
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	9/28/2018	38		17,600	-175,900
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Culbert, Michael Robert	4	10/1/2018	56		51,184	13,541
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Donovan, William T.	4	10/1/2018	56		129,738	7,986
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Gibson, Brian James	4	10/1/2018	46	3.6	163,649	7,986
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Hagerman, Allen R.	4	10/1/2018	56		154,560	7,986
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Krablin, Steven Wayne	4	10/1/2018	56		193,686	20,486
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	MacKenzie, Susan Mary	4	10/2/2018	56		50,274	10,763
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	Meyers, Kevin Omar	4	10/1/2018	56		132,675	7,986
Precision Drilling Corporation	Deferred Share Units - effective January 1, 2012	WILLIAMS, DAVID	4	10/2/2018	56		1,562	1,562
Pretium Resources Inc.	Common Shares	McNaughton, Kenneth C.	6	9/28/2018	10	9.9	330,500	-100,000
Pretium Resources Inc.	Common Shares	McNaughton, Kenneth C.	6	10/1/2018	10	9.9	300,500	-30,000
Primeline Energy Holdings Inc.	Convertible Debentures 2018 Convertible Bonds	Hwang, Victor Yiou Hwa	3, 4, 5	10/19/2000	00			
Primeline Energy Holdings Inc.	Convertible Debentures 2018 Convertible Bonds	Hwang, Victor Yiou Hwa	3, 4, 5	10/3/2018	11		$11,300,000	$11,300,000
Primeline Energy Holdings Inc.	Options	Hwang, Victor Yiou Hwa	3, 4, 5	9/26/2017	52		0	-500,000
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Davidson, Aaron	5	9/27/2002	10	0.72		29,000
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Davidson, Aaron	5	9/28/2018	10	0.73	244,600	6,000
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Davidson, Aaron	5	9/28/2018	10	0.72	273,600	29,000
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Heynen, Ian	5	5/10/2018	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Profound Medical Corp. (formerly Mira IV Acquisition Corp.)	Common Shares	Heynen, Ian	5	9/28/2018	10	0.72	15,000	15,000
ProMIS Neurosciences Inc.	Common Shares	Kupiec, James	5	9/26/2018	00			
ProMIS Neurosciences Inc.	Options	Kupiec, James	5	9/26/2018	00		3,000,000	
Prophecy Development Corp.	Common Shares without par value	Lee, John	4, 5	10/1/2018	10	0.135	13,002,917	23,500
Providence Gold Mines Inc.	Common Shares	Arca, Gary Vittorio	4, 5	10/1/2018	51	0.16	515,000	250,000
Providence Gold Mines Inc.	Options	Arca, Gary Vittorio	4, 5	10/1/2018	51	0.16	0	-250,000
Providence Gold Mines Inc.	Common Shares	Eadie, Robert	3, 4, 5	10/1/2018	51	0.16	1,258,666	400,000
Providence Gold Mines Inc.	Options	Eadie, Robert	3, 4, 5	10/1/2018	51	0.16	0	-400,000
PUF Ventures Inc.	Common Shares	Habuda, Jerry	4	10/2/2018	54	0.25	642,400	150,000
PUF Ventures Inc.	Warrants	Habuda, Jerry	4	10/2/2018	54	0.25	30,000	-150,000
Pure Multi-Family REIT LP	Deferred Units	Berrill, Fraser Reeve	4	9/30/2018	56	6.499	2,008	662
Pure Multi-Family REIT LP	Restricted Units	Kagan, Maurice	4	10/1/2018	56	6.499	2,008	662
Pure Multi-Family REIT LP	Deferred Units	King, Robert William	4	9/30/2018	56	6.499	2,008	662
Pure Multi-Family REIT LP	Deferred Units	O'Neill, John Christopher	4	9/30/2018	56	6.499	2,008	662
Pure Multi-Family REIT LP	Deferred Units	Redekop, James	4	9/30/2018	56	6.499	2,008	662
Pure Multi-Family REIT LP	Deferred Units	Tryssenaar, Sherry Diane	4	9/30/2018	56	6.499	2,008	662
PYROGENESIS CANADA INC.	Common Shares	Pascali, Photis Peter	3, 4, 5	9/28/2018	16	0.58	6,234,781	3,448,276
PYROGENESIS CANADA INC.	Warrants	Pascali, Photis Peter	3, 4, 5	7/11/2011	00			
PYROGENESIS CANADA INC.	Warrants	Pascali, Photis Peter	3, 4, 5	9/28/2018	16		3,448,276	3,448,276
Quadron Cannatech Corporation (formerly Quadron Capital Corporation)	Common Shares	Kieran, Forristal	7	10/3/2018	10	0.256	2,652,800	-15,000
Quadron Cannatech Corporation (formerly Quadron Capital Corporation)	Common Shares	Kieran, Forristal	7	10/4/2018	10	0.27	2,642,800	-10,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/4/2018	38	26.093	69,300	69,300
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/5/2018	38	26.005	144,300	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/6/2018	38	25.698	219,300	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/7/2018	38	25.429	224,800	5,500
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/7/2018	38	25.5	424,800	200,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/10/2018	38	25.315	496,800	72,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/10/2018	38	25.5	696,800	200,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/11/2018	38	25.628	770,600	73,800
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/12/2018	38	26.29	845,600	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/13/2018	38	26.353	920,600	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/14/2018	38	26.292	995,600	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/17/2018	38	26.21	1,006,500	10,900
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/17/2018	38	26.4	1,156,500	150,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/18/2018	38	26.15	1,231,500	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/19/2018	38	26.17	1,300,100	68,600
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/20/2018	38	26.415	1,375,100	75,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/21/2018	38	26.094	1,450,100	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/24/2018	38	25.724	1,521,100	71,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/25/2018	38	25.743	1,596,100	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/26/2018	38	25.813	1,671,100	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/27/2018	38	25.868	1,746,100	75,000
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/28/2018	38	25.986	1,816,700	70,600
Quebecor Inc.	Subordinate Voting Shares Catégorie B	Quebecor inc.	1	9/30/2018	38		0	-1,816,700
Questerre Energy Corporation	Common Shares	Cartier, Alain Sans	4	10/24/2014	10	0.78	6,000	1,000
Questerre Energy Corporation	Common Shares	Cartier, Alain Sans	4	10/2/2018	10	0.57	13,000	2,000
QYOU Media Inc.	Common Shares	Paterson, G. Scott	4	10/2/2018	10	0.12	6,166,894	52,500
Ravensource Fund (formerly The First Asia Income Fund)	Trust Units	Reid, Scott	3	9/28/2018	10	16.38	164,927	-1,600
Razor Energy Corp.	Common Shares	Bailey, Douglas George	4, 5	10/4/2018	10	3	1,184,585	2,230
Razor Energy Corp.	Common Shares	Bergevin, Marc Jay	5	9/12/2018	00			
Razor Energy Corp.	Common Shares	Bergevin, Marc Jay	5	10/4/2018	10	3	1,197	1,197
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	10/4/2018	10	3	169,186	1,842
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	10/4/2018	10	3	79,862	1,842
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	10/5/2018	10	2.94	17,923	260
Razor Energy Corp.	Common Shares	Muller, Frank Peter	4, 5	10/4/2018	10	3	942,693	2,133
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	10/4/2018	10	3	212,723	1,842
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	10/4/2018	90	2.9	203,755	-8,968
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	10/4/2018	90	2.9	191,758	-11,997
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	1/31/2017	00			
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	10/4/2018	90	2.9	8,968	8,968
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	1/31/2017	00			
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	10/4/2018	90	2.9	11,997	11,997
Razor Energy Corp.	Common Shares	Sych, Stephen George	5	10/4/2018	10	3	199,481	1,382
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/4/2018	38	5.5973	10,100	10,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/4/2018	38	5.5973	0	-10,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/5/2018	38	5.5553	10,100	10,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/5/2018	38	5.5553	0	-10,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/6/2018	38	5.6002	10,200	10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/6/2018	38	5.6002	0	-10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/7/2018	38	5.5419	8,100	8,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/7/2018	38	5.5419	0	-8,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/10/2018	38	5.4256	10,200	10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/10/2018	38	5.4256	0	-10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/11/2018	38	5.4132	10,200	10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/11/2018	38	5.4132	0	-10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/12/2018	38	5.286	2,300	2,300
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/12/2018	38	5.286	0	-2,300
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/13/2018	38	5.3733	10,200	10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/13/2018	38	5.3733	0	-10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/14/2018	38	5.3472	9,900	9,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/14/2018	38	5.3472	0	-9,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/17/2018	38	5.3445	10,200	10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/17/2018	38	5.3445	0	-10,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/18/2018	38	5.3335	1,700	1,700
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/18/2018	38	5.3335	0	-1,700
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/19/2018	38	5.2815	5,200	5,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/19/2018	38	5.2815	0	-5,200
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/20/2018	38	5.3268	9,000	9,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/20/2018	38	5.3268	0	-9,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/21/2018	38	5.2582	10,000	10,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/21/2018	38	5.2582	0	-10,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/24/2018	38	5.0184	10,000	10,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/24/2018	38	5.0184	0	-10,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/25/2018	38	4.9609	9,900	9,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/25/2018	38	4.9609	0	-9,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/26/2018	38	4.7695	10,300	10,300
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/26/2018	38	4.7695	0	-10,300
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/27/2018	38	4.606	9,800	9,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/27/2018	38	4.606	0	-9,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/28/2018	38	4.5738	10,300	10,300
Real Matters Inc.	Common Shares	Real Matters Inc.	1	9/28/2018	38	4.5738	0	-10,300
REIT INDEXPLUS Income Fund	Trust Units	REIT INDEXPLUS Income Fund	1	9/28/2018	38	13.155	10,280,625	5,400
REIT INDEXPLUS Income Fund	Trust Units	REIT INDEXPLUS Income Fund	1	10/1/2018	38	12.996	10,281,725	1,100
Reko International Group Inc.	Common Shares	GOBEL, Peter	7	2/7/2011	00			
Reko International Group Inc.	Common Shares	GOBEL, Peter	7	10/3/2018	51	1.15	5,000	5,000
Reko International Group Inc.	Options	GOBEL, Peter	7	10/3/2018	51	1.15	40,000	-5,000
Reko International Group Inc.	Common Shares	PIGNANELLI, Gennaro	7	6/28/2013	00			
Reko International Group Inc.	Common Shares	PIGNANELLI, Gennaro	7	10/3/2018	51	1.15	5,000	5,000
Reko International Group Inc.	Options	PIGNANELLI, Gennaro	7	10/3/2018	51	1.15	28,000	-5,000
Reko International Group Inc.	Common Shares	REKO, DIANE	4, 6, 5	12/24/2002	00		177,035	
Reko International Group Inc.	Common Shares	REKO, DIANE	4, 6, 5	10/3/2018	51	1.15	182,035	5,000
Reko International Group Inc.	Options	REKO, DIANE	4, 6, 5	10/3/2018	51	1.15	110,000	-5,000
Reko International Group Inc.	Common Shares	ROMANELLO, David Mario	7	6/28/2013	00		1,000	
Reko International Group Inc.	Common Shares	ROMANELLO, David Mario	7	10/3/2018	51	1.15	6,000	5,000
Reko International Group Inc.	Options	ROMANELLO, David Mario	7	10/3/2018	51	1.15	28,000	-5,000
Reko International Group Inc.	Common Shares	STAJDUHAR, Ernest Anthony	7	6/28/2013	00			
Reko International Group Inc.	Common Shares	STAJDUHAR, Ernest Anthony	7	10/1/2018	51	5000		5,000
Reko International Group Inc.	Common Shares	STAJDUHAR, Ernest Anthony	7	10/1/2018	51	1.15	5,000	5,000
Reko International Group Inc.	Options	STAJDUHAR, Ernest Anthony	7	10/1/2018	51	1.15	28,000	-5,000
Reko International Group Inc.	Options	STAJDUHAR, Ernest Anthony	7	10/3/2018	51	1.15		-5,000
Reko International Group Inc.	Common Shares	SZONYI, ANDREW	4	10/3/2018	51	1.15	23,860	5,000
Reko International Group Inc.	Options	SZONYI, ANDREW	4	10/3/2018	51	1.15	20,000	-5,000
Relay Medical Corp. (formerly, ChroMedX Corp).	Common Shares	Invidx Corp	3	10/3/2018	10		18,786,552	-44,000
RepliCel Life Sciences Inc.	Options	Kordyback, Thomas Albert	5	10/1/2018	50	0.43	200,000	50,000
Restaurant Brands International Inc.	Units Restricted Shares	Brigleb, Christopher	7	10/1/2018	35		1,255	9
Restaurant Brands International Inc.	Units Restricted Shares	Cil, José E.	5	10/1/2018	35		296,122	2,231
Restaurant Brands International Inc.	Units Restricted Shares	Domanko, Jonathan	7	10/1/2018	35		1,729	13
Restaurant Brands International Inc.	Units Restricted Shares	Dunnigan, Matthew	5	10/1/2018	35		72,590	547
Restaurant Brands International Inc.	Units Restricted Shares	Friesner, Jacqueline	5	10/1/2018	35		17,621	133
Restaurant Brands International Inc.	Units Restricted Shares	Giles-Klein, Lisa	7	10/1/2018	35		15,147	114
Restaurant Brands International Inc.	Units Restricted Shares	Goncalves, Heitor	5	10/1/2018	35		56,435	425
Restaurant Brands International Inc.	Units Restricted Shares	Granat, Jill	5	10/1/2018	35		40,833	307
Restaurant Brands International Inc.	Units Restricted Shares	Macedo, Alexandre	5	10/1/2018	35		254,451	1,917

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Restaurant Brands International Inc.	Units Restricted Shares	Santoro, Alexandre	7	10/1/2018	35		121,852	918
Restaurant Brands International Inc.	Units Restricted Shares	Schwartz, Daniel S.	4, 6, 5	10/1/2018	35		374,776	2,824
Restaurant Brands International Inc.	Units Restricted Shares	Tome, Vicente	7	10/1/2018	35		6,379	48
Return Energy Inc.	Common Shares	HIDES, GARRY THOMAS	4, 5	10/3/2018	10	0.05	384,000	59,000
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	9/28/2018	10	15	7,758,888	9,135
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	9/28/2018	10	15	7,758,819	-69
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	9/28/2018	10	15	7,790,388	31,569
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/1/2018	10	15	7,792,845	2,457
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/1/2018	10	15	7,790,388	-2,457
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/2/2018	10	15	7,795,516	5,128
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/2/2018	10	15	7,790,388	-5,128
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/3/2018	10	15	7,791,021	633
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/3/2018	10	15	7,790,388	-633
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/4/2018	10	15.01	7,801,121	10,733
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	10/4/2018	10	15.01	7,790,388	-10,733
Rio2 Limited	Options	Martinez, Jose Luis	5	9/27/2018	50		666,690	200,000
River Wild Exploration Inc.	Common Shares	Bonin, Norman	4, 5	9/19/2018	10	0.05		-2,400
River Wild Exploration Inc.	Common Shares	Bonin, Norman	4, 5	9/19/2018	10	0.05	150,000	-2,400,000
River Wild Exploration Inc.	Common Shares	Perkins, Rowland	5	9/19/2018	10	0.05		-1,900
River Wild Exploration Inc.	Common Shares	Perkins, Rowland	5	9/19/2018	10	0.05	150,000	-1,900,000
Riverside Resources Inc.	Common Shares	Staude, John-Mark Gardner	5	9/28/2018	10	0.17	171,500	8,000
Riverside Resources Inc.	Common Shares	Staude, John-Mark Gardner	5	9/28/2018	10	0.18	173,500	2,000
RJK Explorations Ltd.	Options Plan	Mackie, Daniel Arthur	4	8/29/2018	50		250,000	150,000
Rocky Mountain Dealerships Inc.	Rights Performance Share Units	Ascott, David	5	9/28/2018	56		5,925	69
Rocky Mountain Dealerships Inc.	Rights Restricted Share Units	Ascott, David	5	9/28/2018	56		3,950	46
Rocky Mountain Dealerships Inc.	Rights DSU	Crawford, Cameron Walter	4	9/28/2018	56		13,907	162
Rocky Mountain Dealerships Inc.	Rights DSU	Crawford, Cameron Walter	4	10/1/2018	56		14,988	1,081
Rocky Mountain Dealerships Inc.	Rights DSU	DeJong, William	4	9/28/2018	56		12,875	150
Rocky Mountain Dealerships Inc.	Rights DSU	DeJong, William	4	10/1/2018	56		13,956	1,081
Rocky Mountain Dealerships Inc.	Rights Performance Share Units	Ganden, Garrett Andrew Wyatt	4, 5	9/28/2018	56		15,476	180
Rocky Mountain Dealerships Inc.	Rights Restricted Share Units	Ganden, Garrett Andrew Wyatt	4, 5	9/28/2018	56		10,318	120
Rocky Mountain Dealerships Inc.	Rights DSU	Herdman, Robert	4	9/28/2018	56		6,275	73

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Rocky Mountain Dealerships Inc.	Rights DSU	Herdman, Robert	4	10/1/2018	56		7,356	1,081
Rocky Mountain Dealerships Inc.	Rights DSU	Mackay, Robert King	4	9/28/2018	56		26,745	311
Rocky Mountain Dealerships Inc.	Rights DSU	Mackay, Robert King	4	10/1/2018	56		27,826	1,081
Rocky Mountain Dealerships Inc.	Rights Performance Share Units	Palmer, Jerald	5	9/28/2018	56		3,095	36
Rocky Mountain Dealerships Inc.	Rights Restricted Share Units	Palmer, Jerald	5	9/28/2018	56		2,064	24
Rocky Mountain Dealerships Inc.	Rights DSU	Tannas, Scott	4	9/28/2018	56		18,867	220
Rocky Mountain Dealerships Inc.	Rights DSU	Tannas, Scott	4	10/1/2018	56		19,948	1,081
Rocky Mountain Dealerships Inc.	Rights Performance Share Units	Wood, James Randall	5	9/28/2018	56		10,778	125
Rocky Mountain Dealerships Inc.	Rights Restricted Share Units	Wood, James Randall	5	9/28/2018	56		7,186	84
Rogers Communications Inc.	Deferred Share Units	Brooks, Bonnie	4	9/30/2018	56		8,057	227
Rogers Communications Inc.	Deferred Share Units	Burgess, Robert Kenneth	4	9/30/2018	56		6,097	434
Rogers Communications Inc.	Deferred Share Units	Gemmell, Robert	4	9/30/2018	56		5,165	454
Rogers Communications Inc.	Deferred Share Units	Marcoux, Isabelle	4	9/30/2018	56		40,286	509
Rogers Communications Inc.	Deferred Share Units	Peterson, David Robert	4	9/30/2018	56		108,798	454
Rogers Sugar Inc.	Common Shares	BERGMAME, Dean	4	10/1/2018	10	5.49	45,091	1,071
Rogers Sugar Inc.	Common Shares	Collins, Gary	4	10/1/2018	10	5.49	6,914	1,070
Rogers Sugar Inc.	Common Shares	Heskin, Michael Andrew	7	10/1/2018	10	5.49	40,292	1,679
Rogers Sugar Inc.	Common Shares	Jewell, Donald	7	10/1/2018	10	5.49	105,815	1,926
Rogers Sugar Inc.	Common Shares	Lafrance, Daniel	4	10/1/2018	10	5.49	47,487	1,070
Rogers Sugar Inc.	Common Shares	Maslechko, William S.	4	10/1/2018	10	5.4891	31,315	1,071
Rogers Sugar Inc.	Common Shares	Ross, M. Dallas H.	4	10/1/2018	10	5.49	108,781	1,407
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/7/2018	38	103.52	50,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/10/2018	38	103.78	100,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/11/2018	38	103.76	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/11/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/12/2018	38	103.26	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/12/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/13/2018	38	103.1	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/13/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/14/2018	38	103.01	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/17/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/18/2018	38	103.34	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/18/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/19/2018	38	104.01	150,000	50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/19/2018	38		100,000	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/20/2018	38	104.43	120,300	20,300
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/20/2018	38		70,300	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/21/2018	38		20,300	-50,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/24/2018	38		0	-20,300
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	9/28/2018	38	103.73	100,000	100,000
Royal Bank of Canada	Common Shares	Royal Bank of Canada	1	10/2/2018	38		0	-100,000
Royal Bank of Canada	Common Shares	Yabuki, Jeffery William	4	10/2/2018	10	80.527	4,400	300
Royal Nickel Corporation	Rights Restricted Share Units	Goudie, Peter James	4	9/28/2018	56		800,177	30,410
Royal Nickel Corporation	Rights Restricted Share Units	Hand, Scott McKee	4, 5	9/28/2018	56		1,854,908	40,013
Royal Nickel Corporation	Rights Restricted Share Units	Kei, Wendy Wai Ting	4	6/28/2018	00			
Royal Nickel Corporation	Rights Restricted Share Units	Kei, Wendy Wai Ting	4	9/28/2018	56		32,010	32,010
Royal Nickel Corporation	Rights Restricted Share Units	Marzoli, Frank	4	9/28/2018	56		634,092	28,809

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Royal Nickel Corporation	Rights Restricted Share Units	McInnes, Donald Arthur	4	10/3/2018	56	0.781	682,557	28,809
Rubicon Organics Inc.	Common Shares	BRODIE, MARGARET RUTH	4, 5	10/3/2018	00		632,030	
Rubicon Organics Inc.	Options	BRODIE, MARGARET RUTH	4, 5	10/3/2018	00		400,000	
Rubicon Organics Inc.	Options	BRODIE, MARGARET RUTH	4, 5	10/3/2018	97	1	900,000	500,000
Rubicon Organics Inc.	Options	BRODIE, MARGARET RUTH	4, 5	10/3/2018	97	3.25	1,205,000	305,000
Rubicon Organics Inc.	Common Shares	Colleran, David	5	4/1/2017	00			
Rubicon Organics Inc.	Common Shares	Colleran, David	5	10/3/2018	00		37,500	
Rubicon Organics Inc.	Options	Colleran, David	5	4/1/2017	00			
Rubicon Organics Inc.	Options	Colleran, David	5	10/3/2018	00		100,000	
Rubicon Organics Inc.	Common Shares	Disher, John Bryan	4	10/4/2018	00		37,500	
Rubicon Organics Inc.	Options	Disher, John Bryan	4	10/4/2018	00		100,000	
Rubicon Organics Inc.	Common Shares	Doig, Peter	5	10/4/2018	00		1,253,595	
Rubicon Organics Inc.	Common Shares	Doig, Peter	5	10/4/2018	00		343,333	
Rubicon Organics Inc.	Options	Doig, Peter	5	10/4/2018	00		650,000	
Rubicon Organics Inc.	Common Shares	Donnan, David	4	10/4/2018	00		50,000	
Rubicon Organics Inc.	Options	Donnan, David	4	10/4/2018	00		100,000	
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	10/4/2018	00		10,262,763	
Rubicon Organics Inc.	Common Shares	McConnell, Jesse	3, 4, 5	10/4/2018	00		12,500	
Rubicon Organics Inc.	Options	McConnell, Jesse	3, 4, 5	10/4/2018	00		710,000	
Rubicon Organics Inc.	Common Shares	Pigott, John	4	10/4/2018	00		5,000	
Rubicon Organics Inc.	Options	Pigott, John	4	10/4/2018	00		100,000	
Rubicon Organics Inc.	Warrants	Pigott, John	4	10/4/2018	00		2,500	
Rubicon Organics Inc.	Common Shares	Savics, Eric	3, 4	10/4/2018	00		9,385,148	
Rubicon Organics Inc.	Options	Savics, Eric	3, 4	10/4/2018	00		100,000	
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Benedetti, Alain	4	9/30/2018	56		51,464	667
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Clark, John	4	9/30/2018	56		39,681	1,425
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Dinning, James Francis	4	9/30/2018	56		35,641	666
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Hedges, Brian Robie	4	9/30/2018	56		1,922	1,221
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Jeremiah, Barbara	4	9/30/2018	56		7,106	666
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Laberge, Alice D.	4	9/30/2018	56		28,110	666
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	O'Reilly, William Michael	5	9/30/2018	56		29,754	666
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Thabet, Annie	4	9/30/2018	56		3,262	1,332
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Tulloch, John Russell	4	9/30/2018	56		16,058	666
Sabina Gold & Silver Corp.	Common Shares	Bennett, Elaine	5	10/1/2018	11	1.56	328,067	15,000
Sabina Gold & Silver Corp.	Common Shares	Campbell, Angus	5	10/1/2018	11	1.56	156,006	10,000
Sabina Gold & Silver Corp.	Common Shares	McLeod, Donald Bruce	4	10/1/2018	11	1.56	822,051	32,051
Sabina Gold & Silver Corp.	Common Shares	Morton, James Nicholson	4	9/17/2018	16	1.56		5,000
Sabina Gold & Silver Corp.	Common Shares	Morton, James Nicholson	4	10/1/2018	16	1.56	175,000	5,000
Sabina Gold & Silver Corp.	Common Shares	Stylianides, Anna	4	3/31/2016	00			
Sabina Gold & Silver Corp.	Common Shares	Stylianides, Anna	4	10/1/2018	11	1.56	19,231	19,231
Sabina Gold & Silver Corp.	Options	Stylianides, Anna	4	1/3/2018	50	2.25	300,000	100,000
Sabina Gold & Silver Corp.	Common Shares	Walsh, Anthony P.	6, 5	10/1/2018	11	1.56	115,116	12,821
Sandspring Resources Ltd.	Common Shares	Gran Colombia Gold Corp.	3	10/2/2018	11	0.25	35,000,000	4,000,000
Sangoma Technologies Corporation	Common Shares	Mandelstam, David	4, 5	10/1/2018	11		4,314,000	10,000
Santé Veritas Holdings Inc. (formerly, Marchwell Ventures Ltd.)	Common Shares	Wood, Suzanne	7	10/2/2018	11	0.3	7,300,000	-3,000,000

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Sarment Holding Limited	Common Shares	Chiaguri, Quentin Jean Ernest	4, 5	9/27/2018	10	3.06	466,506	100
Sarment Holding Limited	Common Shares	Chiaguri, Quentin Jean Ernest	4, 5	9/28/2018	10	3.15	466,606	100
Sarment Holding Limited	Common Shares	Chiaguri, Quentin Jean Ernest	4, 5	10/2/2018	10	3.16	467,606	1,000
Sarment Holding Limited	Common Shares	Chiaguri, Quentin Jean Ernest	4, 5	10/5/2018	10	3.17	468,306	700
Scythian Biosciences Corp. (previously: Kitrinor Metals Inc.)	Common Shares	Rai, Rajiv (Roger)	4	10/3/2018	10	5	180,000	-15,000
Seahawk Ventures Inc.	Common Shares	Gasbarro, Giovanni	4	10/1/2018	10	0.32	2,018,500	21,000
Seahawk Ventures Inc.	Common Shares	Holliday, Alan Blair	4	10/1/2018	00		6,000	
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	9/18/2018	38	215	500	500
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	9/24/2018	38	215	1,000	500
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	9/28/2018	38		0	-1,000
Seven Generations Energy Ltd.	Rights Deferred Share Units	Brown, Kevin Jack	4	9/28/2018	56	15.23		3,488
Seven Generations Energy Ltd.	Rights Deferred Share Units	Brown, Kevin Jack	4	9/28/2018	56	15.23	48,186	3,488
Seven Generations Energy Ltd.	Rights Deferred Share Units	Canada Pension Plan Investment Board	3	9/28/2018	56		17,269	1,970
Seven Generations Energy Ltd.	Rights Deferred Share Units	DOERR, Harvey	4	9/28/2018	56		23,813	3,365
Seven Generations Energy Ltd.	Rights Deferred Share Units	Hand, Paul Warren	4	9/28/2018	56		19,148	3,488
Seven Generations Energy Ltd.	Rights Deferred Share Units	Hohm, Dale Jonathan	4	9/28/2018	56		27,502	3,611
Seven Generations Energy Ltd.	Rights Deferred Share Units	Jespersen, Kent	4	9/28/2018	56		24,517	3,063
Seven Generations Energy Ltd.	Rights Deferred Share Units	McAdam, William	4	9/28/2018	56		28,130	1,970
Seven Generations Energy Ltd.	Rights Deferred Share Units	Rakhit, Kaushik	4	9/28/2018	56		22,771	1,970
Seven Generations Energy Ltd.	Rights Deferred Share Units	SHEPPARD, Mary Jacqueline	4	9/28/2018	56		24,681	3,529
Seven Generations Energy Ltd.	Rights Deferred Share Units	van Steenbergen, Jeff	4	9/28/2018	56		22,771	1,970
SHAW COMMUNICATIONS INC.	Directors' Deferred Share Units (DDSU)	Clark, Christina	4	9/30/2018	56	25.24	370	161
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Estate of James R. Shaw	3	9/27/2018	30	24.776	304	9
SHAW COMMUNICATIONS INC.	Directors' Deferred Share Units (DDSU)	Pew, Paul Kenneth	4	9/30/2018	56	25.24	107,153	550
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 5	9/27/2018	30	24.776	4,335	41
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 5	9/27/2018	30	24.776	2,815	51
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 5	9/27/2018	30	24.776	2,815	51
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 5	9/27/2018	30	24.776	2,815	51
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Bradley	4, 5	9/27/2018	30	24.776	112	2
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Heather Ann	3	9/27/2018	30	24.776	2,919	51
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, JR	3, 4, 5	9/27/2018	30	24.776	58,490	339
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Julie	5	9/27/2018	30	24.776	28,592	123
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Julie	5	9/27/2018	30	24.776	5,204	61
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Julie	5	9/27/2018	30	24.776	4,554	57

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, Julie	5	9/27/2018	30	24.776	4,554	57
SHAW COMMUNICATIONS INC.	Directors' Deferred Share Units (DDSU)	Sievert, Michael	4	9/30/2018	56	19.51	5,364	159
SHAW COMMUNICATIONS INC.	Directors' Deferred Share Units (DDSU)	Vogel, Carl E.	4	9/30/2018	56	19.45	39,916	306
SHAW COMMUNICATIONS INC.	Directors' Deferred Share Units (DDSU)	Weatherill, Sheila Christine	4	9/30/2018	56	25.24	63,376	480
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Finkelstein, Harley Michael	5	10/4/2018	51	0.152	2,226	2,226
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Finkelstein, Harley Michael	5	10/4/2018	36		0	-2,226
Shopify Inc.	Options	Finkelstein, Harley Michael	5	10/4/2018	51	0.152	242,583	-2,226
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	10/4/2018	36		2,532	2,226
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	10/4/2018	30	159.48	306	-2,226
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Frasca, Joseph Andrew	5	10/1/2018	51	6.22	5,000	5,000
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Frasca, Joseph Andrew	5	10/1/2018	36		0	-5,000
Shopify Inc.	Options	Frasca, Joseph Andrew	5	10/1/2018	51	6.22	35,335	-5,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Frasca, Joseph Andrew	5	10/1/2018	36		6,126	5,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Frasca, Joseph Andrew	5	10/1/2018	30	165.34	1,126	-5,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Frasca, Joseph Andrew	5	10/1/2018	30	165.53	626	-500
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	10/1/2018	90		44,735	-4,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	10/1/2018	90		4,000	4,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	10/1/2018	30	163.69	0	-4,000
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Chiesa, Dino	4, 5	9/30/2018	56		153,819	2,470
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Graham, Janet	4	9/30/2018	56		39,392	1,453
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Jourdain Coleman, Paula	4	9/30/2018	56		17,686	1,017
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	MacDonald, Jack C.	4	9/30/2018	56		31,478	1,308
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Sender, Stephen	4	9/30/2018	56		5,079	1,017
Sierra Wireless, Inc.	Common Shares	Thexton, Kent Paul	4	10/1/2018	57		47,676	11,919

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sierra Wireless, Inc.	Restricted Share Units	Thexton, Kent Paul	4	10/1/2018	57		23,838	-11,919
SIR Royalty Income Fund	Units	irvine, william frederick	3	9/28/2018	10	16.063	797,949	10,000
SIR Royalty Income Fund	Units	irvine, william frederick	3	10/2/2018	10	16.049	807,949	10,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	9/28/2018	10	0.08	975,000	8,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	9/28/2018	10	0.09	977,000	2,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	9/30/2018	10	0.08		8,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	12/11/2017	00			
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	10/3/2018	45	0.105	500,000	500,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	9/28/2018	10	0.966	4,875,000	75,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	10/1/2018	10	0.1	4,899,500	24,500
Slate Office REIT	Deferred Trust Units	Baker, Robert Montgomery	4	10/1/2018	00		6,636	
Slate Office REIT	Deferred Units	Baker, Robert Montgomery	4	9/28/2018	56	8.02	8,726	2,090
Slate Office REIT	Deferred Units	Baker, Robert Montgomery	4	10/1/2018	00		6,636	
Slate Office REIT	Deferred Units	Duke, Nora	4	9/28/2018	56	8.02	10,730	998
Slate Office REIT	Deferred Units	O'Bryan, John Charles	4	9/28/2018	56	8.02	37,037	2,900
Slate Office REIT	Deferred Units	Spackman, Pamela Jean	4	9/28/2018	56	8.02	24,474	1,559
Slate Retail REIT	Deferred Units	Altman, Samuel	4	4/20/2017	56	10.9		1,239
Slate Retail REIT	Deferred Units	Altman, Samuel	4	4/20/2017	56	10.9		1,239
Slate Retail REIT	Deferred Units	Altman, Samuel	4	6/30/2017	56	10.52	17,641	1,782
Slate Retail REIT	Deferred Units	Altman, Samuel	4	9/29/2017	56	10.67	18,977	1,336
Slate Retail REIT	Deferred Units	Altman, Samuel	4	12/29/2017	56	10.24	20,369	1,392
Slate Retail REIT	Deferred Units	Altman, Samuel	4	12/31/2017	30			5,922
Slate Retail REIT	Deferred Units	Altman, Samuel	4	12/31/2017	30	10.6		5,922
Slate Retail REIT	Deferred Units	Altman, Samuel	4	12/31/2017	30	10.6		5,922
Slate Retail REIT	Deferred Units	Altman, Samuel	4	3/30/2018	56	9.7	23,073	1,392
Slate Retail REIT	Deferred Units	Altman, Samuel	4	6/29/2018	56	9.75	24,304	1,231
Slate Retail REIT	Deferred Units	Altman, Samuel	4	9/28/2018	56	9.88	25,519	1,215
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	4/20/2017	56	10.9		722
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	4/20/2017	56	10.9		722
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	6/30/2017	56	10.52	10,104	1,040
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	9/29/2017	56	10.67	10,831	727
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	12/29/2017	56	10.24	11,735	904
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	12/31/2017	30			3,376
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	12/31/2017	30	10.6		3,376
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	12/31/2017	30	10.6		3,376
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	3/30/2018	56	9.7	13,375	889
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	6/29/2018	56	9.75	14,183	808
Slate Retail REIT	Deferred Units	Bastable, Colum Patrick	4	9/28/2018	56	9.88	14,904	721
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	4/20/2017	56	10.9		1,101
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	4/20/2017	56	10.9		1,101
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	6/30/2017	56	10.52	16,360	1,640
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	9/29/2017	56	10.67	17,555	1,195
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	12/29/2017	56	10.24	18,507	952
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	12/31/2017	30			5,065
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	12/31/2017	30	10.6		5,065
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	12/31/2017	30	10.6		5,065
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	3/30/2018	56	9.7	20,806	1,082
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	6/29/2018	56	9.75	21,883	1,077
Slate Retail REIT	Deferred Units	Flatley, Patrick William	4	9/28/2018	56	9.88	22,946	1,063
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	8/30/2018	38	12.62	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	8/30/2018	38			10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	8/30/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	8/31/2018	38	12.77	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	8/31/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/5/2018	38	12.88	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/5/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/6/2018	38	12.88	8,523	8,523
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/6/2018	38		0	-8,523

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/7/2018	38	12.83	5,423	5,423
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/7/2018	38		0	-5,423
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/10/2018	38	12.83	7,723	7,723
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/10/2018	38		0	-7,723
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/11/2018	38	12.85	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/11/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/12/2018	38	12.83	35,423	35,423
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/12/2018	38		0	-35,423
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/13/2018	38	12.87	323	323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/13/2018	38		0	-323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/17/2018	38	12.94	2,023	2,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/17/2018	38		0	-2,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/18/2018	38	12.92	103,800	103,800
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/18/2018	38		0	-103,800
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/18/2018	38	12.91	323	323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/18/2018	38		0	-323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/19/2018	38	12.91	5,823	5,823
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/19/2018	38		0	-5,823
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/20/2018	38	12.78	6,023	6,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/20/2018	38		0	-6,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/21/2018	38	12.81	7,923	7,923
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/21/2018	38		0	-7,923
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/24/2018	38	12.84	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/24/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/25/2018	38	12.89	1,023	1,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/25/2018	38		0	-1,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/26/2018	38	12.94	180,323	180,323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/26/2018	38		0	-180,323
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/27/2018	38	12.85	10,023	10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/27/2018	38		0	-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/28/2018	38	12.85		10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/28/2018	38			-10,023
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/28/2018	38	12.78	7,623	7,623
Slate Retail REIT	Trust Units Class U Units	Slate Retail REIT	1	9/28/2018	38		0	-7,623
Slate Retail REIT	Deferred Units	Stephen, Andrea	4	3/30/2018	56	9.7		1,552
Slate Retail REIT	Deferred Units	Stephen, Andrea	4	3/30/2018	56	9.7	4,504	1,522
Slate Retail REIT	Deferred Units	Stephen, Andrea	4	6/29/2018	56	9.75	5,863	1,359
Slate Retail REIT	Deferred Units	Stephen, Andrea	4	9/28/2018	56	9.88	7,204	1,341
Slate Retail REIT	Trust Units Class U Units	Stevenson, Gregory	5	10/2/2018	10	12.77	38,078	10,150
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Bougie, Jacques	4	9/30/2018	56	53.12	17,647	1,156
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Courville, Isabelle	4	9/30/2018	56	53.12	5,103	1,179
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Hughes, Catherine Jeanne	4	9/30/2018	56	53.12	6,800	1,052
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Lynch, Kevin Gordon	4	9/30/2018	56	53.12	9,054	1,940
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Newman, Steven Leon	4	9/30/2018	56	53.12	10,978	1,182
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Raby, Jean	4	9/30/2018	56	53.12	6,410	550
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Rheaume, Alain	4	9/30/2018	56	53.12	12,903	585
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	SIEGEL, Eric	4	9/30/2018	56	53.12	21,122	629
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Smati, Zine Edine	4	9/30/2018	56	53.12	8,518	1,062
SNC-Lavalin Group Inc.	Unités d'actions différées (administrateurs)	Warmbold, Benita Marie	4	9/30/2018	56	53.12	4,585	868
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	9/27/2018	10	0.08	3,724,500	3,500

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Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	9/27/2018	10	0.08	3,740,000	15,500
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	10/2/2018	10	0.085	3,745,000	5,000
Solium Capital Inc.	Restricted Share Units	Dundas, Linda Jayne	5	9/28/2018	56	11.25		5,500
Solium Capital Inc.	Restricted Share Units	Dundas, Linda Jayne	5	9/28/2018	56		9,120	5,500
Solium Capital Inc.	Options	Hall, Cameron	5	9/28/2018	50	11.4	116,800	30,000
Solium Capital Inc.	Restricted Share Units	Le Roy, Paul Justin	5	9/28/2018	56		44,436	7,667
Solium Capital Inc.	Restricted Share Units	Levine, Gary	5	9/28/2018	56		29,825	5,500
Solium Capital Inc.	Options	Lopez, Marcos	4, 5	9/28/2018	50		184,700	35,000
Solium Capital Inc.	Options	Swan, Kevin	5	9/28/2018	50		33,300	16,500
Solium Capital Inc.	Options	Thomas, James Arthur	5	9/28/2018	50		26,500	16,500
Solium Capital Inc.	Options	Titchkosky, Lance Kenneth Shade	5	9/28/2018	50		53,600	30,000
Solium Capital Inc.	Options	Webster, Janice	5	9/28/2018	50		63,000	18,000
Solium Capital Inc.	Restricted Share Units	Wilson, Iain Johnathen	5	9/28/2018	56		20,905	7,667
Solium Capital Inc.	Restricted Share Units	Wright, Jeremy Spencer	5	9/28/2018	56		20,131	7,667
Solium Capital Inc.	Restricted Share Units	Wulforst, James	5	9/28/2018	56		33,798	7,667
Sona Nanotech Inc.	Common Shares	Whittaker, Daniel Davies	4	9/28/2018	16	0.25	616,457	200,000
Speakeasy Cannabis Club Ltd.	Options	Cotter, Deborah	5	10/2/2018	50	0.7	150,000	100,000
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	9/27/2018	16	0.6	491,833	82,833
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	9/27/2018	53		533,250	41,417
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	10/1/2018	10	0.65	508,250	-10,000
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	10/3/2018	10	0.6	518,250	10,000
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	10/4/2018	10	0.6	528,250	10,000
Speakeasy Cannabis Club Ltd.	Common Shares	Merrin, Arie	5	10/4/2018	10	0.59	503,250	-25,000
Speakeasy Cannabis Club Ltd.	Common Shares	Peery, Brian	5	9/27/2018	53		333,334	83,334
Speakeasy Cannabis Club Ltd.	Common Shares	Peery, Brian	5	9/27/2018	16	0.6	500,001	166,667
Spin Master Corp.	Deferred Share Units	Cohen, Jeffrey	4	9/28/2018	56	51.06	6,900	317
Spin Master Corp.	Subordinate Voting Shares	Harrs, Chris	5	9/28/2018	10	53.404	73,454	-21,900
Spin Master Corp.	Deferred Share Units	Howell, Dina	4	9/28/2018	56	51.06	18,932	888
Spin Master Corp.	Deferred Share Units	Tappin, Todd	4	9/28/2018	56	51.06	12,901	444
Spin Master Corp.	Deferred Share Units	Winograd, Charles	4	9/28/2018	56	51.06	17,973	793
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	10/5/2018	10	0.07	2,031,958	3,000
Sprott Resource Holdings Inc. (formerly Adriana Resources Inc.)	EPSP Designation	Yuzpe, Stephen Mark	4, 5	9/28/2018	56	1.5	191,828	2,319
SQI Diagnostics Inc.	Common Shares	Connor, Gerald R.	4	10/3/2018	10	0.12	3,526,520	-10,000
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Anglin, Mike Arthur E.	4	10/1/2018	56	11.46	137,813	6,435
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Booth, Brian	4	10/1/2018	56	11.46	20,616	2,400
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Fish, Simon Adrian	4	10/1/2018	56	11.46	14,280	3,709
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Herrero, Gustavo Adolfo	4	10/1/2018	56	11.46	88,600	2,400
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Park, Beverlee Faye	4	10/1/2018	56	11.46	59,232	2,400
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Paterson, Richard	4	10/1/2018	56	11.46	128,691	4,036
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Reid, Steven Paul	4	10/1/2018	56	11.46	70,180	2,781
SSR Mining Inc. (Silver Standard Resources Inc.)	Deferred Share Unit	Wademan, Elizabeth Anne	4	10/1/2018	56	11.46	14,280	3,709

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Stantec Inc.	Common Shares	Ammerman, Douglas Keith	4	10/1/2018	10	32.21	29,348	401
Stantec Inc.	Common Shares	Hartman, Susan Elaine	4	10/1/2018	10	32.21	13,984	401
Stantec Inc.	Common Shares Performance Share Units	Schefer, Catherine Margaret	7	10/1/2018	00		10,579	
Stantec Inc.	Share Appreciation Rights	Schefer, Catherine Margaret	7	10/1/2018	00		31,740	
Stantec Inc.	Common Shares	Stantec Inc.	1	9/27/2018	38	32.448	49,281	49,281
Stantec Inc.	Common Shares	Stantec Inc.	1	9/27/2018	38	32.448	0	-49,281
Stantec Inc.	Common Shares	Stantec Inc.	1	9/28/2018	38	32.283	49,281	49,281
Stantec Inc.	Common Shares	Stantec Inc.	1	9/28/2018	38	32.283	0	-49,281
Stelco Holdings Inc.	Deferred Share Units	Bowie, Peter Guy	4	9/28/2018	56		6,539	2,321
Stelco Holdings Inc.	Deferred Share Units	Levitt, Brian	4	9/28/2018	56		3,268	1,160
Stelco Holdings Inc.	Deferred Share Units	Samarasekera, Indira Vasanti	4	9/28/2018	56		3,258	2,089
STEP Energy Services Ltd.	Common Shares	Johnson, David Todd	5	8/15/2018	10	7.7761		3,800
STEP Energy Services Ltd.	Common Shares	Johnson, David Todd	5	8/15/2018	10	7.7761	28,000	-3,800
STEP Energy Services Ltd.	Options	Kelly, Michael Grant	5	10/1/2018	50		271,987	201,987
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/28/2018	10	1.24	487,729	550
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/28/2018	10	1.19	488,129	400
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/28/2018	10	1.215	488,729	600
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/1/2018	10	1.24	488,929	200
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/1/2018	10	1.14	489,029	100
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/1/2018	10	1.19	489,129	100
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/1/2018	10	1.175	489,329	200
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/1/2018	10	1.2	489,529	200
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/2/2018	10	1.1	490,779	1,250
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/4/2018	10	1.05	492,654	1,875
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/5/2018	10	1.15	493,364	710
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/5/2018	10	1.1	493,864	500
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/5/2018	10	1.08	494,414	550
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/25/2018	10	1.2	2,370,785	1,350
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/27/2018	10	1.14	2,370,935	150
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	9/28/2018	10	1.24	2,370,945	10
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/2/2018	10	1.1	2,372,295	1,350
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/3/2018	10	1.1	2,372,945	650
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/4/2018	10	1.05	2,376,270	3,325
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/5/2018	10	1.11	2,377,570	1,300
Steppe Gold Ltd.	Common Shares	Waraich, Aneel Singh	4, 5	10/5/2018	10	1.15	2,378,220	650
Storm Resources Ltd.	Common Shares	Wilson, James Kenneth	4	10/4/2018	10	2.8	35,800	-4,200
Storm Resources Ltd.	Common Shares	Wilson, James Kenneth	4	10/4/2018	10	2.81	35,000	-800
Storm Resources Ltd.	Common Shares	Wilson, James Kenneth	4	10/4/2018	10	2.85	30,000	-5,000
Strad Energy Services Ltd.	Common Shares	Strad Energy Services Ltd.	1	9/14/2018	38		0	-25,900
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Ballantyne, Richard Thomas	4	9/30/2018	56	5.76	66,806	2,387
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Bellstedt, Albrecht Wilhelm Albert	4	9/30/2018	56	5.76	130,695	3,038
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Crossley, Raymond	4	8/30/2018	56	6.19		8,077
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Crossley, Raymond	4	8/30/2018	56	6.17	8,103	8,103
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Danard, Chad	4	9/30/2018	56	5.76	83,056	2,170
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Filmon, David Clark	4	8/30/2018	53	6.19		8,077
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Filmon, David Clark	4	8/30/2018	56	6.19		8,077
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Filmon, David Clark	4	8/30/2018	56	6.17	8,103	8,103
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Filmon, David Clark	4	9/30/2018	56	5.76	8,980	877
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Loberg, Carmen Richard	4	9/30/2018	56	5.76	128,131	2,821

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Stuart Olson Inc.	Rights Deferred Share Units (DSUs)	Reid, Ian MacNevin	4	9/30/2018	56	5.76	142,656	3,472
Summit Industrial Income REIT	Trust Units	Maroun, Louis	4	10/1/2018	46	8.901	47,782	2,775
Sun Life Financial Inc.	Deferred Share Units	Accum, Claude	5	9/28/2018	30	53.08		192
Sun Life Financial Inc.	Deferred Share Units	Accum, Claude	5	9/28/2018	30	53.08		192
Sun Life Financial Inc.	Deferred Share Units	Accum, Claude	5	9/28/2018	30	52.06	21,286	192
Sun Life Financial Inc.	Units Sun Shares	Accum, Claude	5	9/28/2018	30	52.06	55,533	502
Sun Life Financial Inc.	Deferred Share Units	Brown, Randolph	5	9/28/2018	30	52.06	37,503	339
Sun Life Financial Inc.	Units Sun Shares	Brown, Randolph	5	9/28/2018	30	52.06	141,507	1,279
Sun Life Financial Inc.	Deferred Share Units	Connor, Dean	4, 5	9/28/2018	30	52.06	133,861	1,210
Sun Life Financial Inc.	Units Sun Shares	Connor, Dean	4, 5	9/28/2018	30	52.06	277,657	2,511
Sun Life Financial Inc.	Deferred Share Units	Dougherty, Kevin	5	9/28/2018	30	52.06	17,653	159
Sun Life Financial Inc.	Units Sun Shares	Dougherty, Kevin	5	9/28/2018	30	52.06	79,128	715
Sun Life Financial Inc.	Deferred Share Units	Dougherty, Linda	5	9/28/2018	30	52.06	7,538	69
Sun Life Financial Inc.	Units Sun Shares	Dougherty, Linda	5	9/28/2018	30	52.06	23,264	211
Sun Life Financial Inc.	Deferred Share Units	Fishbein, Daniel	5	9/28/2018	30	52.06	7,441	67
Sun Life Financial Inc.	Units Sun Shares	Fishbein, Daniel	5	9/28/2018	30	52.06	80,173	725
Sun Life Financial Inc.	Deferred Share Units	Freyne, Colm Joseph	5	9/28/2018	30	52.06	66,985	606
Sun Life Financial Inc.	Units Sun Shares	Freyne, Colm Joseph	5	9/28/2018	30	52.06	64,321	582
Sun Life Financial Inc.	Units Sun Shares	Goulet, Jacques Jr.	5	9/28/2018	30	52.06	78,258	707
Sun Life Financial Inc.	Common Shares	Harris, M. Marianne	4	9/28/2018	30	52.148	5,679	51
Sun Life Financial Inc.	Deferred Share Units	Kennedy, Melissa Jane	5	9/28/2018	30	52.06	9,188	83
Sun Life Financial Inc.	Units Sun Shares	Kennedy, Melissa Jane	5	9/28/2018	30	52.06	35,424	320
Sun Life Financial Inc.	Deferred Share Units	Morrissey, Kevin	5	9/28/2018	30	52.06	2,825	25
Sun Life Financial Inc.	Units Sun Shares	Morrissey, Kevin	5	9/28/2018	30	52.06	18,621	169
Sun Life Financial Inc.	Units Sun Shares	Pagano, Helena Janina	5	9/28/2018	30	52.06	22,835	206
Sun Life Financial Inc.	Deferred Share Units	Peacher, Stephen	5	9/28/2018	30	52.06	27,576	250
Sun Life Financial Inc.	Units Sun Shares	Peacher, Stephen	5	9/28/2018	30	52.06	137,586	1,244
Sun Life Financial Inc.	Units Sun Shares	Saunders, Mark	5	9/28/2018	30	52.06	37,267	337
Sun Life Financial Inc.	Units Sun Shares	Strain, Kevin	5	9/28/2018	30	52.06	72,983	660
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/4/2018	38	51.513	609,105	204,910
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/5/2018	38	51.557	813,839	204,734
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/6/2018	38	51.489	913,839	100,000
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/7/2018	38	51.016	1,068,839	155,000
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/7/2018	38		255,000	-813,839
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/10/2018	38	50.861	413,569	158,569
Sun Life Financial Inc.	Common Shares	Sun Life Financial	1	9/14/2018	38		0	-413,569
Sun Life Financial Inc.	Units Sun Shares	Van den Hoogen, Marlene	5	9/28/2018	30	52.06	10,211	92
Suncor Energy Inc.	Deferred Share Units	Bedient, Patricia Margaret	4	9/30/2018	30	50.72	25,926	183
Suncor Energy Inc.	Deferred Share Units	Bedient, Patricia Margaret	4	9/30/2018	30	50.94	27,695	1,769
Suncor Energy Inc.	Deferred Share Units	Benson, Mel Edward	4	9/30/2018	30	50.72	101,750	718
Suncor Energy Inc.	Deferred Share Units	Benson, Mel Edward	4	9/30/2018	30	50.94	102,987	1,237
Suncor Energy Inc.	Deferred Share Units	Cote, Jacynthe	4	9/30/2018	30	50.72	35,538	250
Suncor Energy Inc.	Deferred Share Units	Cote, Jacynthe	4	9/30/2018	30	50.94	37,222	1,684
Suncor Energy Inc.	Deferred Share Units	D'Alessandro, Dominic	4	9/30/2018	30	50.72	87,011	613
Suncor Energy Inc.	Deferred Share Units	D'Alessandro, Dominic	4	9/30/2018	30	50.94	88,719	1,708
Suncor Energy Inc.	Deferred Share Units	Gass, John Donald	4	9/30/2018	30	50.72	39,634	280
Suncor Energy Inc.	Deferred Share Units	Gass, John Donald	4	9/30/2018	30	50.94	41,098	1,464
Suncor Energy Inc.	Deferred Share Units	Houston, Dennis Michael	4	9/30/2018	30	50.72	7,982	57
Suncor Energy Inc.	Deferred Share Units	Houston, Dennis Michael	4	9/30/2018	30	50.94	9,436	1,454
Suncor Energy Inc.	Deferred Share Units	MacDonald, Brian Patrick	4	7/23/2018	00			
Suncor Energy Inc.	Deferred Share Units	MacDonald, Brian Patrick	4	9/30/2018	56	50.94	4,950	4,950
Suncor Energy Inc.	Deferred Share Units	MacDonald, Brian Patrick	4	9/30/2018	30	50.94	6,633	1,683
Suncor Energy Inc.	Common Shares	McCaw, Maureen	4	9/27/2018	30	51.33	5,555	39
Suncor Energy Inc.	Deferred Share Units	McCaw, Maureen	4	9/30/2018	30	50.72	70,573	498
Suncor Energy Inc.	Deferred Share Units	McCaw, Maureen	4	9/30/2018	30	50.94	72,033	1,460
Suncor Energy Inc.	PC Deferred Shares Units (Directors only)	McCaw, Maureen	4	9/27/2018	30	50.92	17,184	120

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/4/2018	30	40.43	225,000	225,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/4/2018	30		0	-225,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/5/2018	30	39.74	318,000	318,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/5/2018	30		0	-318,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/6/2018	30	39.45	316,483	316,483
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/6/2018	30		0	-316,483
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/7/2018	30	38.8	325,000	325,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/7/2018	30		0	-325,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/10/2018	30	38.88	325,000	325,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/10/2018	30		0	-325,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/11/2018	30	38.35	330,000	330,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/11/2018	30		0	-330,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/12/2018	30	38.76	328,000	328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/12/2018	30		0	-328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/13/2018	30	38.52	333,000	333,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/13/2018	30		0	-333,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/14/2018	30	38.39	334,100	334,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/14/2018	30		0	-334,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/17/2018	30	38.36	333,000	333,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/17/2018	30		0	-333,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/18/2018	30	39.04	328,000	328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/18/2018	30		0	-328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/19/2018	30	39.33	326,500	326,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/19/2018	30		0	-326,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/20/2018	30	38.84	332,000	332,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/20/2018	30		0	-332,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/21/2018	30	39.22	328,000	328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/21/2018	30		0	-328,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/24/2018	30	39.5	326,800	326,800
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/24/2018	30		0	-326,800
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/25/2018	30	39.37	327,000	327,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/25/2018	30		0	-327,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/26/2018	30	39.15	329,000	329,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/26/2018	30		0	-329,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/27/2018	30	39.34	326,500	326,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/27/2018	30		0	-326,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/28/2018	30	38.95	327,400	327,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	9/28/2018	30		0	-327,400
Suncor Energy Inc.	Deferred Share Units	Thomas, Eira Margaret	4	9/30/2018	30	50.72	90,369	637
Suncor Energy Inc.	Deferred Share Units	Thomas, Eira Margaret	4	9/30/2018	30	50.94	91,606	1,237
Suncor Energy Inc.	Deferred Share Units	Wilson, Michael M.	4	9/30/2018	30	50.72	50,565	356
Suncor Energy Inc.	Deferred Share Units	Wilson, Michael M.	4	9/30/2018	30	50.94	53,384	2,819
Sunora Foods Inc.	Common Shares	Sunora Foods Inc.	1	9/27/2018	00		662,000	
Supremex Inc.	Common Shares	Supremex Inc	1	9/5/2018	38	3.2982	8,300	8,300
Supremex Inc.	Common Shares	Supremex Inc	1	9/6/2018	38	3.2909	16,800	8,500
Supremex Inc.	Common Shares	Supremex Inc	1	9/7/2018	38	3.2809	24,800	8,000
Supremex Inc.	Common Shares	Supremex Inc	1	9/10/2018	38	3.31	25,000	200
Supremex Inc.	Common Shares	Supremex Inc	1	9/26/2018	38		0	-25,000
Surge Energy Inc.	Common Shares	Colborne, Paul	4	10/1/2018	10	2.677	4,520,877	10,000
Surge Energy Inc.	Common Shares	Colborne, Paul	4	10/1/2018	10	2.67	4,555,877	35,000
Surge Energy Inc.	Common Shares	Colborne, Paul	4	10/1/2018	10	2.65	638,429	10,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/5/2018	38	8.86	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/5/2018	38	8.86	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/7/2018	38	8.88	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/7/2018	38	8.88	0	-3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/10/2018	38	8.85	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/10/2018	38	8.85	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/11/2018	38	8.84	2,700	2,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/11/2018	38	8.84	0	-2,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/12/2018	38	8.85	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/12/2018	38	8.85	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/13/2018	38	8.8	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/13/2018	38	8.8	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/18/2018	38	8.9	1,700	1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/18/2018	38	8.9	0	-1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/19/2018	38	8.9	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/19/2018	38	8.9	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/20/2018	38	8.93	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/20/2018	38	8.93	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/21/2018	38	8.93	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/21/2018	38	8.93	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/24/2018	38	8.85	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/24/2018	38	8.85	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/25/2018	38	8.86	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/25/2018	38	8.86	0	-3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/27/2018	38	8.9	100	100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/27/2018	38	8.9	0	-100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/28/2018	38	8.9	3,000	3,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	9/28/2018	38	8.9	0	-3,000
Tamarack Valley Energy Ltd.	Common Shares	Boyce, Jeff	4	10/4/2018	51	3.25	708,246	90,000
Tamarack Valley Energy Ltd.	Common Shares	Boyce, Jeff	4	10/4/2018	10	5.0483	618,246	-90,000
Tamarack Valley Energy Ltd.	Options	Boyce, Jeff	4	10/4/2018	51		100,000	-90,000
Tamarack Valley Energy Ltd.	Options	Bradley, Noralee	4	10/1/2018	47	1.7737	45,000	-10,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/5/2018	38	10.94	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/5/2018	38	10.94	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/6/2018	38	10.94	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/6/2018	38	10.94	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/7/2018	38	10.8	300	300
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/7/2018	38	10.8	0	-300
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/7/2018	38	10.79	400	400

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/7/2018	38	10.79	0	-400
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/11/2018	38	10.76	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/11/2018	38	10.76	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/12/2018	38	10.69	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/12/2018	38	10.69	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/13/2018	38	10.62	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/13/2018	38	10.62	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/19/2018	38	10.69	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/19/2018	38	10.69	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/20/2018	38	10.69	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/20/2018	38	10.69	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/24/2018	38	10.73	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/24/2018	38	10.73	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/25/2018	38	10.72	400	400
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/25/2018	38	10.72	0	-400
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/25/2018	38	10.75	600	600
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/25/2018	38	10.75	0	-600
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/26/2018	38	10.75	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/26/2018	38	10.75	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/27/2018	38	10.64	1,000	1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/27/2018	38	10.64	0	-1,000
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/28/2018	38	10.64	500	500
Taylor North American Equity Opportunities Fund	Units	Taylor North American Equity Opportunities Fund	1	9/28/2018	38	10.64	0	-500
Teck Resources Limited	Deferred Share Units	Andres, Dale Edwin	5	9/28/2018	56	30.6	26,412	43
Teck Resources Limited	Performance Share Units	Andres, Dale Edwin	5	9/28/2018	56	30.6	91,933	149
Teck Resources Limited	Restricted Share Units	Andres, Dale Edwin	5	9/28/2018	56	30.6	26,412	43
Teck Resources Limited	Deferred Share Units	Ashar, Mayank Mulraj	4	9/28/2018	56	30.6	81,647	127
Teck Resources Limited	Deferred Share Units	Ashar, Mayank Mulraj	4	9/30/2018	56	30.66	82,568	921
Teck Resources Limited	Deferred Share Units	Barton, Dominic Stephen	4	9/1/2018	00		27,236	
Teck Resources Limited	Performance Share Units	Christopher, Alexander	5	9/28/2018	56	30.6	78,274	126
Teck Resources Limited	Restricted Share Units	Christopher, Alexander	5	9/28/2018	56	30.6	39,170	63
Teck Resources Limited	Deferred Performance Share Units	Davey, Larry	5	9/28/2018	56	30.6	7,614	11
Teck Resources Limited	Deferred Share Units	Davey, Larry	5	9/28/2018	56	30.6	8,480	12
Teck Resources Limited	Performance Share Units	Davey, Larry	5	9/28/2018	56	30.6	21,011	32
Teck Resources Limited	Restricted Share Units	Davey, Larry	5	9/28/2018	56	30.6	6,695	10
Teck Resources Limited	Deferred Share Units	Dottori-Attanasio, Laura Lee	4	9/28/2018	56	30.6	40,003	64
Teck Resources Limited	Deferred Share Units	Dottori-Attanasio, Laura Lee	4	9/30/2018	56	30.66	40,973	970
Teck Resources Limited	Deferred Share Units	Dowling, Edward Camp	4	9/28/2018	56	30.6	53,046	82
Teck Resources Limited	Deferred Share Units	Dowling, Edward Camp	4	9/30/2018	56	30.66	53,588	542
Teck Resources Limited	Performance Share Units	Foley, Real	7	9/28/2018	56	30.6	50,140	80
Teck Resources Limited	Restricted Share Units	Foley, Real	7	9/28/2018	56	30.6	29,118	47

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Teck Resources Limited	Deferred Share Units	Fukuda, Eiichi	4	9/28/2018	56	30.6	22,628	35
Teck Resources Limited	Deferred Share Units	Fukuda, Eiichi	4	9/30/2018	56	30.66	23,451	823
Teck Resources Limited	Deferred Performance Share Units	Golding, Andrew	5	9/28/2018	56	30.6	4,016	6
Teck Resources Limited	Deferred Share Units	Golding, Andrew	5	9/28/2018	56	30.6	47,236	75
Teck Resources Limited	Performance Share Units	Golding, Andrew	5	9/28/2018	56	30.6	87,915	142
Teck Resources Limited	Restricted Share Units	Golding, Andrew	5	9/28/2018	56	30.6	25,769	42
Teck Resources Limited	Performance Share Units	Joudrie, Colin	5	9/28/2018	56	30.6	22,943	36
Teck Resources Limited	Restricted Share Units	Joudrie, Colin	5	9/28/2018	56	30.6	13,397	21
Teck Resources Limited	Deferred Share Units	Keevil III, Norman	4	9/28/2018	56	30.6	45,795	70
Teck Resources Limited	Deferred Share Units	Keevil, Norman Bell	3, 4	9/28/2018	56	30.6	6,138	9
Teck Resources Limited	Restricted Share Units	Keevil, Norman Bell	3, 4	9/28/2018	56	30.6	44,663	72
Teck Resources Limited	Deferred Share Units	Kubota, Takeshi	4	9/28/2018	56	30.6	58,152	91
Teck Resources Limited	Deferred Share Units	Kubota, Takeshi	4	9/30/2018	56	30.66	59,024	872
Teck Resources Limited	Deferred Share Units	Lindsay, Donald Richard	5	9/28/2018	56	30.6	956,354	1,557
Teck Resources Limited	Performance Share Units	Lindsay, Donald Richard	5	9/28/2018	56	30.6	423,603	690
Teck Resources Limited	Deferred Performance Share Units	McFadyen, Kieron	5	9/28/2018	56	30.6	6,619	10
Teck Resources Limited	Performance Share Units	McFadyen, Kieron	5	9/28/2018	56	30.6	6,619	10
Teck Resources Limited	Deferred Share Units	McVicar, Tracey	4	9/28/2018	56	30.6	43,570	69
Teck Resources Limited	Deferred Share Units	McVicar, Tracey	4	9/30/2018	56	30.66	44,605	1,035
Teck Resources Limited	Deferred Share Units	Millos, Ronald Allen	7	9/28/2018	56	30.6	236,684	382
Teck Resources Limited	Performance Share Units	Millos, Ronald Allen	7	9/28/2018	56	30.6	110,376	178
Teck Resources Limited	Restricted Share Units	Millos, Ronald Allen	7	9/28/2018	56	30.6	21,130	34
Teck Resources Limited	Deferred Share Units	Murray, Sheila A.	4	9/28/2018	56	30.6	4,180	6
Teck Resources Limited	Deferred Share Units	Murray, Sheila A.	4	9/30/2018	56	30.66	5,052	872
Teck Resources Limited	Performance Share Units	Phillips, Harold Fraser	5	9/28/2018	56	30.6	15,233	24
Teck Resources Limited	Deferred Share Units	Pickering, Kenneth William	4	9/28/2018	56	30.6	35,267	56
Teck Resources Limited	Deferred Share Units	Pickering, Kenneth William	4	9/30/2018	56	30.66	35,760	493
Teck Resources Limited	Restricted Share Units	Pickering, Kenneth William	4	9/28/2018	56	30.6	2,057	3
Teck Resources Limited	Deferred Share Units	Power, Una Marie	4	9/28/2018	56	30.6	11,728	18
Teck Resources Limited	Deferred Share Units	Power, Una Marie	4	9/30/2018	56	30.66	12,600	872
Teck Resources Limited	Deferred Performance Share Units	Powrie, Douglas	5	9/28/2018	56	30.6	6,664	10
Teck Resources Limited	Deferred Share Units	Powrie, Douglas	5	9/28/2018	56	30.6	56,785	90
Teck Resources Limited	Performance Share Units	Powrie, Douglas	5	9/28/2018	56	30.6	53,560	86
Teck Resources Limited	Restricted Share Units	Powrie, Douglas	5	9/28/2018	56	30.6	8,759	14
Teck Resources Limited	Deferred Performance Share Units	Rozee, Peter Charles	5	9/28/2018	56	30.6	11,141	17
Teck Resources Limited	Deferred Share Units	Rozee, Peter Charles	5	9/28/2018	56	30.6	225,900	362
Teck Resources Limited	Performance Share Units	Rozee, Peter Charles	5	9/28/2018	56	30.6	99,232	160
Teck Resources Limited	Restricted Share Units	Rozee, Peter Charles	5	9/28/2018	56	30.6	43,037	70
Teck Resources Limited	Deferred Share Units	Seyffert, Warren S. R.	4	9/28/2018	56	30.6	96,717	149
Teck Resources Limited	Deferred Share Units	Sheremeta, Robin	5	9/28/2018	56	30.6	33,984	54
Teck Resources Limited	Performance Share Units	Sheremeta, Robin	5	9/28/2018	56	30.6	67,807	109
Teck Resources Limited	Restricted Share Units	Sheremeta, Robin	5	9/28/2018	56	30.6	10,048	16
Teck Resources Limited	Deferred Performance Share Units	Smith, Marcia	5	9/28/2018	56	30.6	24,422	39
Teck Resources Limited	Deferred Share Units	Smith, Marcia	5	9/28/2018	56	30.6	50,510	81
Teck Resources Limited	Performance Share Units	Smith, Marcia	5	9/28/2018	56	30.6	67,506	109
Teck Resources Limited	Restricted Share Units	Smith, Marcia	5	9/28/2018	56	30.6	15,847	25
Teck Resources Limited	Deferred Share Units	Snider, Timothy Roy	4	9/28/2018	56	30.6	39,207	62
Teck Resources Limited	Deferred Share Units	Snider, Timothy Roy	4	9/30/2018	56	30.66	40,177	970
Teck Resources Limited	Deferred Performance Share Units	Stonkus, Andrew	5	9/28/2018	56	30.6	22,012	35
Teck Resources Limited	Deferred Share Units	Stonkus, Andrew	5	9/28/2018	56	30.6	70,349	112
Teck Resources Limited	Performance Share Units	Stonkus, Andrew	5	9/28/2018	56	30.6	45,798	73
TELUS Corporation	Deferred Share Units	Haddad, Mary Jo	4	9/30/2018	30		26,593	292
TELUS Corporation	Deferred Share Units	Haddad, Mary Jo	4	9/30/2018	30			278
TELUS Corporation	Deferred Share Units	Haddad, Mary Jo	4	9/30/2018	30	47.6	26,871	278

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TELUS Corporation	Deferred Share Units	Kinloch, Katherine	4	9/30/2018	30		8,462	89
TELUS Corporation	Deferred Share Units	Kinloch, Katherine	4	9/30/2018	30			473
TELUS Corporation	Deferred Share Units	Kinloch, Katherine	4	9/30/2018	30	47.6	8,935	473
TELUS Corporation	Deferred Share Units	Magee, Christine	4	9/30/2018	30			338
TELUS Corporation	Deferred Share Units	Magee, Christine	4	9/30/2018	30	47.6	2,640	338
TELUS Corporation	Deferred Share Units	Manley, John Paul	4	9/30/2018	30		40,504	445
TELUS Corporation	Deferred Share Units	Manley, John Paul	4	9/30/2018	30			530
TELUS Corporation	Deferred Share Units	Manley, John Paul	4	9/30/2018	30	47.6	41,034	530
TELUS Corporation	Deferred Share Units	Marwah, Sarabjit	4	9/30/2018	30		18,033	196
TELUS Corporation	Deferred Share Units	Marwah, Sarabjit	4	9/30/2018	30			504
TELUS Corporation	Deferred Share Units	Marwah, Sarabjit	4	9/30/2018	30	47.6	18,537	504
TELUS Corporation	Deferred Share Units	Mongeau, Claude	4	9/30/2018	30		8,463	89
TELUS Corporation	Deferred Share Units	Mongeau, Claude	4	9/30/2018	30			504
TELUS Corporation	Deferred Share Units	Mongeau, Claude	4	9/30/2018	30	47.6	8,967	504
TELUS Corporation	Deferred Share Units	Parent, Marc	4	9/30/2018	30		5,765	59
TELUS Corporation	Deferred Share Units	Parent, Marc	4	9/30/2018	30			504
TELUS Corporation	Deferred Share Units	Parent, Marc	4	9/30/2018	30	47.6	6,269	504
Temple Hotels Inc.	Convertible Debentures 7.25% Series E Convertible Redeemable Unsecured Subordinated	Morguard Corporation	3	9/30/2018	38		$1,011,000	($56,000)
Terra Firma Capital Corporation	Deferred Share Units	Bart, Christopher Kenneth	4	9/30/2018	56		364,811	23,438
Terra Firma Capital Corporation	Deferred Share Units	Patava, Miroslav Jerry	4	9/30/2018	56		60,537	13,021
Terra Firma Capital Corporation	Deferred Share Units	Reichmann, Philip	4	9/30/2018	56		317,489	20,834
Terra Firma Capital Corporation	Deferred Share Units	Temkin, Seymour	4	9/30/2018	56		413,168	26,041
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/1/2018	10	0.66	6,000	6,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/1/2018	38	0.66	0	-6,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/2/2018	10	0.66	14,500	14,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/2/2018	38	0.66	0	-14,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/3/2018	10	0.66	5,000	5,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/3/2018	38	0.66	0	-5,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/7/2018	10	0.66	2,000	2,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/7/2018	38	0.66	0	-2,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/8/2018	10	0.66	15,000	15,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/8/2018	38	0.66	0	-15,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/13/2018	10	0.65	10,000	10,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/13/2018	38	0.65	0	-10,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/15/2018	38	0.65	-10,000	-10,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/15/2018	10	0.63	0	10,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/17/2018	10	0.62	46,900	46,900
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/17/2018	38	0.62	0	-46,900
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/20/2018	10	0.64	10,500	10,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/20/2018	38	0.64	0	-10,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/21/2018	10	0.64	46,500	46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/21/2018	38	0.64	0	-46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/24/2018	10	0.63	47,500	47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/24/2018	38	0.63	0	-47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/27/2018	10	0.64	47,000	47,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/27/2018	38	0.64	0	-47,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/28/2018	10	0.64	16,500	16,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/28/2018	38	0.64	0	-16,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/29/2018	10	0.64	46,500	46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/29/2018	38	0.64	0	-46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/30/2018	10	0.64	46,500	46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/30/2018	38	0.64	0	-46,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/31/2018	10	0.61	1,000	1,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	8/31/2018	38	0.61	0	-1,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/4/2018	10	0.63	47,600	47,600
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/4/2018	38	0.63	0	-47,600
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/5/2018	10	0.63	47,500	47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/5/2018	38	0.63	0	-47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/6/2018	10	0.63	47,600	47,600
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/6/2018	38	0.63	0	-47,600
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/7/2018	10	0.63	47,300	47,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/7/2018	38	0.63	0	-47,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/10/2018	10	0.62	48,300	48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/10/2018	38	0.62	0	-48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/11/2018	10	0.62	48,300	48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/11/2018	38	0.62	0	-48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/14/2018	10	0.6	50,000	50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/14/2018	38	0.6	0	-50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/17/2018	10	0.63	47,500	47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/17/2018	38	0.63	0	-47,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/18/2018	10	0.61	100	100
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/18/2018	38	0.61	0	-100
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/19/2018	10	0.61	49,000	49,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/19/2018	38	0.61	0	-49,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/20/2018	10	0.59	50,000	50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/20/2018	38	0.59	0	-50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/21/2018	10	0.61	49,000	49,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/21/2018	38	0.61	0	-49,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/24/2018	10	0.6	11,500	11,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/24/2018	38	0.6	0	-11,500
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/25/2018	10	0.6	15,000	15,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/25/2018	38	0.6	0	-15,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/26/2018	10	0.62	48,300	48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/26/2018	38	0.62	0	-48,300
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/27/2018	10	0.6	50,000	50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/27/2018	38	0.6	0	-50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/28/2018	10	0.6	50,000	50,000
Terra Firma Capital Corporation	Common Shares	Terra Firma Capital Corporation	1	9/28/2018	38	0.6	0	-50,000
TerraVest Industries Inc. (formerly TerraVest Capital Inc.)	Common Shares	Boucher, Marilyn	5	10/3/2018	00			
TerraVest Industries Inc. (formerly TerraVest Capital Inc.)	Common Shares	Boucher, Marilyn	5	10/3/2018	10	10.75	500	500
Tervita Corporation	Common Shares	Riddell Rose, Susan	4	7/19/2018	00			
Tervita Corporation	Common Shares	Riddell Rose, Susan	4	9/15/2018	97		40,812	40,812
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	8/28/2018	00		31,758,506	
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/20/2018	54			31,758,506
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/20/2018	54			31,758,506
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/20/2018	54		63,517,012	31,758,506
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/28/2018	10	0.013		15,982,988
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/28/2018	10	0.013		15,982,988
Tethys Petroleum Limited	Common Shares	Gemini IT Consultants DMCC	3	9/28/2018	11	0.013	79,500,000	15,982,988
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Gemini IT Consultants DMCC	3	8/28/2018	00		31,758,506	
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Gemini IT Consultants DMCC	3	9/20/2018	54	0.0234		-31,758,506
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Gemini IT Consultants DMCC	3	9/20/2018	54	0.0234		-31,758,506
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Gemini IT Consultants DMCC	3	9/20/2018	54	0.0234	0	-31,758,506
Tethys Petroleum Limited	Common Shares	Global Invest Service Capital	3	9/28/2018	11		11,985,722	-31,965,976
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Global Invest Service Capital	3	9/28/2018	11		48,075,000	-48,075,000
Tethys Petroleum Limited	Common Shares	Jaka Partners FZC	3	9/28/2018	00		63,517,012	
Tethys Petroleum Limited	Common Shares	Jaka Partners FZC	3	9/28/2018	11	0.013	79,500,000	15,982,988
Tethys Petroleum Limited	Common Shares	Jaka Partners FZC	3	9/28/2018	11	0.031	123,111,741	43,611,741

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Jaka Partners FZC	3	9/28/2018	00			
Tethys Petroleum Limited	Warrants Share Purchase Warrants Nov 2016	Jaka Partners FZC	3	9/28/2018	11	0.031	48,075,000	48,075,000
Tethys Petroleum Limited	Common Shares	Sjoborg, Mattias	4	11/16/2016	00			
Tethys Petroleum Limited	Common Shares	Sjoborg, Mattias	4	3/31/2017	22	0.03	5,675,982	5,675,982
Tethys Petroleum Limited	Common Shares	Sjoborg, Mattias	4	9/24/2018	10	0.025	7,813,982	2,138,000
Tethys Petroleum Limited	Common Shares	Sjoborg, Mattias	4	9/25/2018	10	0.025	7,869,982	56,000
Tethys Petroleum Limited	Common Shares	Sjoborg, Mattias	4	9/27/2018	10	0.02	7,879,982	10,000
TFI International Inc.	Deferred Share Units	Saputo, Joey	4	9/28/2018	56	47.96	16,150	565
THC BIOMED INTL LTD.	Warrants	Miller, John	3, 4	10/2/2018	53	1.0875	2,871,078	357,143
The Toronto-Dominion Bank	Options	Braca, Gregory B.	5	6/1/2017	00			
The Toronto-Dominion Bank	Options	Braca, Gregory B.	5	6/1/2017	00		91,836	
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Brinkley, Amy Woods	4, 7	9/28/2018	46	79.3	44,681	199
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Campbell, Norie Clare	5	9/27/2018	10	36.64		515
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Campbell, Norie Clare	5	9/27/2018	51	36.64	9,446	515
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Campbell, Norie Clare	5	10/2/2018	47	77.52	8,931	-515
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mullin, Thomas J.	7	7/31/2018	30	77.17	33,950	294
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mullin, Thomas J.	7	9/28/2018	46	79.3		471
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mullin, Thomas J.	7	9/28/2018	46	79.3		471
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Mullin, Thomas J.	7	9/28/2018	46	79.3		471
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Prezzano, Wilbur J	7	9/28/2018	46	79.3	125,814	339
The Toronto-Dominion Bank	Rights Deferred Share Units (DSU)	Vigue, Peter G	7	9/28/2018	46	79.3	33,637	364
The Westaim Corporation	Deferred Share Units	Cole, Stephen	4	9/28/2018	46	3.21	163,442	10,125
The Westaim Corporation	Deferred Share Units	Gildner, John William	4	9/28/2018	56		192,553	7,399
The Westaim Corporation	Deferred Share Units	Walter, Bruce V.	4	9/28/2018	46	3.21	89,789	5,842
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	9/28/2018	10	0.4	792,808	5,000
The Wonderfilm Media Corporation (formerly, Westshire Capital II Corp.)	Common Shares	Shaw, Kirk Edward	5	10/3/2018	10	0.52	30,250	-15,000
Theralase Technologies Inc.	Common Shares	Bruder, Randall	4	10/3/2018	15	0.35	1,602,502	57,142
Theralase Technologies Inc.	Common Shares	Bruder, Randall	4	10/3/2018	53	0.5	1,659,644	57,142
Theralase Technologies Inc.	Common Shares	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	15	0.35	6,370,187	285,714
Theralase Technologies Inc.	Common Shares	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	15	0.35	147,333	100,000
Theralase Technologies Inc.	Common Shares	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	15	0.35	147,333	100,000
Theralase Technologies Inc.	Warrants	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	53	0.5	1,002,381	285,714
Theralase Technologies Inc.	Warrants	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	53	0.5	133,333	100,000
Theralase Technologies Inc.	Warrants	Dumoulin-White, Roger John	3, 4, 5	10/3/2018	53	0.5	133,333	100,000
Theralase Technologies Inc.	Common Shares	Hachey, Kristina Maria	5	10/3/2018	15	0.35	1,456,267	142,857
Theralase Technologies Inc.	Warrants	Hachey, Kristina Maria	5	10/3/2018	53	0.5	542,857	142,857
Thomson Reuters Corporation	Common Shares	Corbin, Stuart	7	10/1/2018	00		1,906	
Tidal Royalty Corp.	Common Shares	Taoussanopoulos, Theodore	5	6/22/2018	00			
Tidal Royalty Corp.	Common Shares	Taoussanopoulos, Theodore	5	10/1/2018	10	0.215	20,000	20,000
Tidal Royalty Corp.	Common Shares	Zilinskas, Stefania	5	8/7/2018	00			
Tidal Royalty Corp.	Common Shares	Zilinskas, Stefania	5	10/5/2018	10	0.165	4,500	4,500

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Till Capital Ltd.	Restricted Voting Shares	Till Capital Ltd	1	9/28/2018	38	1.95	314,675	36,375
Titanium Corporation Inc.	Deferred Share Units	Kadey, Moss	4	10/1/2018	56	0.76	262,959	12,253
Titanium Corporation Inc.	Deferred Share Units	Macdonald, David Charles Wray	4	10/1/2018	56	0.76	435,955	36,842
Titanium Corporation Inc.	Rights Restricted Share Units	Nelson, Scott Eugene	5	10/1/2018	56	0.76	656,605	10,280
Titanium Corporation Inc.	Deferred Share Units	Sangster, Brant G.	4	10/1/2018	56	0.76	330,593	25,740
Titanium Corporation Inc.	Deferred Share Units	Stevens, John	4	10/1/2018	56	0.76	128,284	26,563
TMAC Resources Inc.	Common Shares	Adams, Andrew Bell	4	10/3/2018	15	4.25	132,000	47,000
TMAC Resources Inc.	Common Shares	Curran, Oliver Mark	5	10/3/2018	15	4.25	5,130	1,000
TMAC Resources Inc.	Common Shares	Davis, Franklin Lorie	4	10/3/2018	15	4.9	49,996	30,600
TMAC Resources Inc.	Common Shares	Gagel, Ronald Peter	5	10/3/2018	15	4.25	314,004	20,000
TMAC Resources Inc.	Common Shares	King, David Matthew	5	10/3/2018	15	4.25	61,693	5,000
TMAC Resources Inc.	Common Shares	Lawson, Gilbert John Frederick	5	10/3/2018	15	4.25	14,224	9,412
TMAC Resources Inc.	Common Shares	Lydall, John	4	10/3/2018	15	4.9	136,671	102,000
TMAC Resources Inc.	Common Shares	MacGibbon, Terry	4, 5	10/3/2018	15	4.25	3,161,984	571,601
TMAC Resources Inc.	Common Shares	Micks, Julia Patricia	5	10/3/2018	15	4.25	82,210	5,000
TMAC Resources Inc.	Common Shares	Neal, Jason Robert	5	10/3/2018	15	4.9	260,000	217,500
TMAC Resources Inc.	Common Shares	Neal, Jason Robert	5	10/3/2018	15	4.25	300,000	40,000
TMAC Resources Inc.	Common Shares	Newmont Mining Corporation	3	10/3/2018	11	4.25	8,040,475	5,860,833
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25	444,363	444,363
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25	468,837	468,837
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25	1,217,600	1,217,600
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25	1,522,000	1,522,000
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25	3,044,000	3,044,000
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		444,363
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		444,363
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		468,837
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		468,837
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		1,217,600
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		1,217,600
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		1,522,000
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		1,522,000
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	9/11/2017	00			
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		3,044,000
TMAC Resources Inc.	Common Shares	RCF VI CAD LLC	3	10/3/2018	11	4.25		3,044,000
TMAC Resources Inc.	Common Shares	Theunissen, Marthinus Wilhelmus	5	10/3/2018	15	4.25	64,003	4,000
TomaGold Corporation	Options	Martineau, Jean	4	9/28/2018	00		400,000	
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Casson, Randall	7, 2	10/2/2018	56		22,880	79
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	9/30/2018	56		18,100	105

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Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	10/2/2018	56		18,162	62
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	10/2/2018	56		7,072	24
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	9/30/2018	56		21,072	319
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	10/2/2018	56		21,143	71
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cuddy, Mike	5	10/2/2018	56		11,316	39
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Franklin, Robert	4	9/30/2018	56		42,281	188
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Franklin, Robert	4	10/2/2018	56		42,426	145
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	9/30/2018	56		10,188	349
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	10/2/2018	56		10,222	34
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	10/2/2018	56		11,813	41
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Jewer, Paul Randolph	5	10/2/2018	56		40,228	138
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Malinauskas, David Allan	7	10/2/2018	56		7,303	25
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Medhurst, Scott	4, 5	10/2/2018	56		15,043	52
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	10/2/2018	56		50,330	173
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	9/30/2018	56		18,273	368
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	10/2/2018	56		18,335	62
Torstar Corporation	Rights Deferred Share Units	Aitken, Daryl Denice	4	9/28/2018	56		90,677	9,926
Torstar Corporation	Rights Restricted Share Units	Barber, Jennifer	5	9/28/2018	56		94,714	1,720
Torstar Corporation	Rights Deferred Share Units	Berger, Elaine Margaret Ellen	4	9/28/2018	56		123,077	8,697
Torstar Corporation	Rights Restricted Share Units	Beyette, Marie Elizabeth	5	9/28/2018	56		94,714	1,720
Torstar Corporation	Rights Restricted Share Units	Boynton, John	4	9/28/2018	56		558,570	10,155
Torstar Corporation	Rights Restricted Share Units	DeMarchi, Lorenzo John David	5	9/28/2018	56		273,753	4,975
Torstar Corporation	Rights Restricted Share Units	Fleming, Derek John	7	9/28/2018	56		48,213	875
Torstar Corporation	Rights Restricted Share Units	Frame, Angus	5	9/28/2018	56		16,521	300
Torstar Corporation	Rights Restricted Share Units	Galipeau, Claude	5	9/28/2018	56		41,303	750
Torstar Corporation	Rights Deferred Share Units	Harvey, Campbell Russell	3, 4	9/28/2018	56		148,802	13,637
Torstar Corporation	Rights Deferred Share Units	Honderich, John Allen	3, 4	9/28/2018	56		130,208	8,827
Torstar Corporation	Rights Deferred Share Units	Hughes, Linda	4	9/28/2018	56		113,066	8,515
Torstar Corporation	Rights Deferred Share Units	Jauernig, Daniel	4	9/28/2018	56		235,018	15,096
Torstar Corporation	Rights Deferred Share Units	Oliver, Ian Alan	7	9/28/2018	56		22,137	403
Torstar Corporation	Rights Restricted Share Units	Oliver, Ian Alan	7	9/28/2018	56		228,852	4,159
Torstar Corporation	Rights Restricted Share Units	Oliver, Neil Simon	7	9/28/2018	56		24,781	450
Torstar Corporation	Rights Deferred Share Units	Samji, Alnasir Hussein Habib	4	9/28/2018	56		146,294	9,119

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Torstar Corporation	Rights Deferred Share Units	Strachan, Dorothy Ann Regina	4	9/28/2018	56		102,327	8,320
Torstar Corporation	Rights Deferred Share Units	Thall, Martin	4	9/28/2018	56		134,553	8,906
Torstar Corporation	Rights Deferred Share Units	Weiss, Paul Raymond	4	9/28/2018	56		128,373	8,794
Toscana Energy Income Corporation	Common Shares	DURANTE, Joseph Sam	4, 5	9/21/2018	57		152,304	30,000
Toscana Energy Income Corporation	Rights Restricted Share Units	DURANTE, Joseph Sam	4, 5	9/21/2018	57		0	-30,000
Toscana Energy Income Corporation	Common Shares	Festival, John Larry	4	9/21/2018	57		130,426	10,000
Toscana Energy Income Corporation	Rights Restricted Share Units	Festival, John Larry	4	9/21/2018	57		0	-10,000
Toscana Energy Income Corporation	Common Shares	Hayes, Lew Allen	5	9/21/2018	57		27,000	20,000
Toscana Energy Income Corporation	Rights Restricted Share Units	Hayes, Lew Allen	5	9/21/2018	57		0	-20,000
Toscana Energy Income Corporation	Common Shares	Krausert, Brian Murray	4	9/21/2018	57		66,366	10,000
Toscana Energy Income Corporation	Rights Restricted Share Units	Krausert, Brian Murray	4	9/21/2018	57		0	-10,000
Toscana Energy Income Corporation	Common Shares	Ramnath, Anand	5	9/21/2018	57		26,389	20,000
Toscana Energy Income Corporation	Rights Restricted Share Units	Ramnath, Anand	5	9/21/2018	57		0	-20,000
Toscana Energy Income Corporation	Common Shares	Smith, Stanley Thomas	4	7/18/2018	00			
Toscana Energy Income Corporation	Common Shares	Smith, Stanley Thomas	4	9/21/2018	57		10,000	10,000
Toscana Energy Income Corporation	Rights Restricted Share Units	Smith, Stanley Thomas	4	9/21/2018	57		0	-10,000
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	10/1/2018	10	10.75	560,000	4,200
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	10/2/2018	10	10.8	560,200	200
Total Energy Services Inc.	Common Shares	Pachkowski, Bruce Lawrence	4	10/1/2018	10	10.87	200,900	2,300
Tourmaline Oil Corp.	Common Shares	McKinnon, Earl Henry	5	10/3/2018	10	22.715	49,234	1,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	9/15/2018	97		4,521,559	4,309,512
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	10/4/2018	10	22.95	10,370,097	2,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	10/4/2018	10	22.484	10,372,597	2,500
TransAlta Corporation	DSU (Deferred Share Units)	Ambrose, Ronalee Hope	4	10/1/2018	56	7.17	11,337	48
TransAlta Corporation	DSU (Deferred Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	28,575	159
TransAlta Corporation	PSU (Performance Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	137,110	284
TransAlta Corporation	PSU (Performance Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	137,354	244
TransAlta Corporation	PSU (Performance Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	137,589	235
TransAlta Corporation	RSU (Restricted Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	64,652	142
TransAlta Corporation	RSU (Restricted Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	64,763	111
TransAlta Corporation	RSU (Restricted Share Units)	Collins, Wayne Alexander	5	10/1/2018	56	7.17	64,870	107
TransAlta Corporation	DSU (Deferred Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	11,903	27
TransAlta Corporation	DSU (Deferred Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	11,943	40
TransAlta Corporation	PSU (Performance Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	126,615	221
TransAlta Corporation	PSU (Performance Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	126,868	253
TransAlta Corporation	PSU (Performance Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	127,099	231

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	RSU (Restricted Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	59,610	100
TransAlta Corporation	RSU (Restricted Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	59,737	127
TransAlta Corporation	RSU (Restricted Share Units)	de Lima, Dawn Elizabeth	5	10/1/2018	56	7.17	59,842	105
TransAlta Corporation	DSU (Deferred Share Units)	Dielwart, John Patrick	4	10/1/2018	56	7.17	93,859	491
TransAlta Corporation	DSU (Deferred Share Units)	Faithfull, Timothy W.	4	10/1/2018	56	7.17	75,994	421
TransAlta Corporation	DSU (Deferred Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	411,126	2,281
TransAlta Corporation	PSU (Performance Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	526,441	1,058
TransAlta Corporation	PSU (Performance Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	527,398	957
TransAlta Corporation	PSU (Performance Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	528,314	916
TransAlta Corporation	RSU (Restricted Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	247,955	529
TransAlta Corporation	RSU (Restricted Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	248,390	435
TransAlta Corporation	RSU (Restricted Share Units)	Farrell, Dawn Lorraine	4, 5	10/1/2018	56	7.17	248,806	416
TransAlta Corporation	DSU (Deferred Share Units)	Fohrer, Alan John	4	10/1/2018	56	7.17	77,233	409
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	214,824	365
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	215,275	451
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	215,655	380
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	101,323	166
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	101,548	225
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	10/1/2018	56	7.17	101,721	173
TransAlta Corporation	DSU (Deferred Share Units)	Giffin, Gordon	4	10/1/2018	30	7.17	23,845	132
TransAlta Corporation	Common Shares	Kousinioris, John Harry	5	10/4/2018	30	7.23	37,101	133
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	149,498	300
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	149,770	272
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	150,030	260
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	70,413	150
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	70,536	123
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	5	10/1/2018	56	7.17	70,655	119
TransAlta Corporation	PSU (Performance Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	19,023	31
TransAlta Corporation	PSU (Performance Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	19,067	44
TransAlta Corporation	PSU (Performance Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	19,097	30
TransAlta Corporation	RSU (Restricted Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	9,512	15
TransAlta Corporation	RSU (Restricted Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	9,534	22
TransAlta Corporation	RSU (Restricted Share Units)	Lora-Lei, Brenan	5	10/1/2018	56	7.17	9,549	15
TransAlta Corporation	DSU (Deferred Share Units)	Mansour, Yakout	4	10/1/2018	56	7.17	82,683	440

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	PSU (Performance Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	11,668	30
TransAlta Corporation	PSU (Performance Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	11,688	20
TransAlta Corporation	PSU (Performance Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	11,702	14
TransAlta Corporation	RSU (Restricted Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	5,835	15
TransAlta Corporation	RSU (Restricted Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	5,845	10
TransAlta Corporation	RSU (Restricted Share Units)	Millard, Robert Otis	5	10/1/2018	56	7.17	5,852	7
TransAlta Corporation	DSU (Deferred Share Units)	Nelson, Georgia Ricci	4	10/1/2018	56	7.17	74,544	394
TransAlta Corporation	DSU (Deferred Share Units)	Park, Beverlee Faye	4	10/1/2018	56	7.17	62,762	318
TransAlta Corporation	PSU (Performance Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	67,839	108
TransAlta Corporation	PSU (Performance Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	67,995	156
TransAlta Corporation	PSU (Performance Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	68,108	113
TransAlta Corporation	RSU (Restricted Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	32,110	49
TransAlta Corporation	RSU (Restricted Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	32,189	79
TransAlta Corporation	RSU (Restricted Share Units)	Pierce, Jennifer	5	10/1/2018	56	7.17	32,240	51
TransAlta Corporation	DSU (Deferred Share Units)	Pinney, Bryan Daniel	4	10/1/2018	56	7.17	10,233	27
TransAlta Corporation	DSU (Deferred Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	6,529	37
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	49,445	120
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	49,524	79
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	49,600	76
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	24,722	60
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	24,762	40
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	10/1/2018	56	7.17	24,800	38
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/4/2018	38	7.5348	180,000	60,000
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/5/2018	38	7.4115	240,000	60,000
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/6/2018	38	7.476	300,000	60,000
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/7/2018	38	7.4199	239,900	59,900
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/7/2018	38		119,900	-120,000
TransAlta Corporation	Common Shares	TransAlta Corporation	1	9/14/2018	38		0	-119,900
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	13,125	21
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	13,146	21
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	13,177	31
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	6,564	11
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	6,574	10
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	10/1/2018	56	7.17	6,589	15
TransAlta Corporation	Common Shares	Willis, Aron John	5	10/1/2018	10	26		26
TransAlta Corporation	Common Shares	Willis, Aron John	5	10/1/2018	10	26		26
TransAlta Corporation	Common Shares	Willis, Aron John	5	10/1/2018	10	7.2245		26
TransAlta Corporation	Common Shares	Willis, Aron John	5	10/1/2018	10	7.2245		26

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	Common Shares	Willis, Aron John	5	10/1/2018	10	7.2245	7,239	26
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	65,654	120
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	65,774	120
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	65,900	126
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	30,822	54
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	30,883	61
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	10/1/2018	56	7.17	30,940	57
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Drinkwater, David William	4	9/28/2018	56	11.5	20,744	135
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Hagerman, Allen R.	4	9/28/2018	56	11.5	20,689	126
TransAlta Renewables Inc.	DSU (Deferred Share Units)	McQuade, Kathryn Ann Bova	4	9/28/2018	56	11.5	24,834	157
TransAlta Renewables Inc.	DSU (Deferred Share Units)	TAYLOR, PAUL H. E.	4	9/28/2018	56	11.5	25,536	165
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Fortin, Richard	4	9/28/2018	10	22.937	89,000	43,000
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	LeCavalier, Donald	5	9/28/2018	10	22.966	9,050	1,400
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Thabet, Annie	4	10/3/2018	10	22.046	7,580	2,250
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Transcontinental inc.	1	10/1/2018	38	22.889	52,416	52,416
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Transcontinental inc.	1	10/2/2018	38	22.602	104,832	52,416
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Transcontinental inc.	1	10/3/2018	38	22.084	129,832	25,000
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Transcontinental inc.	1	10/4/2018	38	22.621	154,832	25,000
Transcontinental Inc.	Subordinate Voting Shares Catégorie A	Transcontinental inc.	1	10/5/2018	38	22.152	207,248	52,416
TransGlobe Energy Corporation	Common Shares	Clarkson, Ross Gordon	4, 5	9/28/2018	10	3.3544	1,844,493	-500,000
Traverse Energy Ltd.	Common Shares	smith, laurie james	3, 4, 5	10/2/2018	10	0.08	2,914,500	30,000
Traverse Energy Ltd.	Common Shares	smith, laurie james	3, 4, 5	10/4/2018	10	0.085	2,989,500	75,000
Treasury Metals Inc.	Common Shares	Henderson, Marc Charles	4	10/1/2018	10	0.31	4,975,148	30,000
Treasury Metals Inc.	Common Shares	Vereecke, Christophe	4	10/4/2018	10	0.29	650,000	17,000
Trican Well Service Ltd.	Rights Deferred Share Units (DSUs)	Pourbaix, Alex	4	9/30/2018	56		365,667	10,387
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	9/4/2018	38	2.8704	1,375,800	458,600
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	9/5/2018	38	2.7676	1,834,400	458,600
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	9/6/2018	38	2.7088	2,155,786	321,386
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	9/7/2018	38		321,386	-1,834,400
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	9/14/2018	38		0	-321,386
Tricon Capital Group Inc.	Common Shares	Berman, Gary	4, 5	9/27/2018	36	9.8	446,601	17,448
Tricon Capital Group Inc.	Convertible Debentures 5.6%	Berman, Gary	4, 5	9/27/2018	36	9.8	$0	($171,000)
Trigon Metals Inc.	Common Shares	Eaton, Mark Price	4	10/1/2018	16	0.15	666,666	166,666
Trigon Metals Inc.	Warrants	Eaton, Mark Price	4	10/1/2018	16	0.25	416,665	166,666
Trigon Metals Inc.	Common Shares	Lopez, Damian	5	10/1/2018	16	0.15	99,999	66,666
Trigon Metals Inc.	Warrants	Lopez, Damian	5	10/1/2018	16	0.25	83,332	66,666
Trigon Metals Inc.	Common Shares	Schafer, Robert	4	4/20/2017	00			
Trigon Metals Inc.	Common Shares	Schafer, Robert	4	10/1/2018	16	0.15	66,666	66,666
Trigon Metals Inc.	Warrants	Schafer, Robert	4	4/20/2017	00			
Trigon Metals Inc.	Warrants	Schafer, Robert	4	10/1/2018	16	0.25	66,666	66,666
Trigon Metals Inc.	Common Shares	Theron, Stephanus	4, 5	10/1/2018	16	0.15	1,537,600	1,100,000
Trigon Metals Inc.	Warrants	Theron, Stephanus	4, 5	10/1/2018	16	0.25	1,200,000	1,100,000
Trigon Metals Inc.	Common Shares	Woodhead, Stephen	5	10/1/2018	16	0.15	116,666	66,666

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Trigon Metals Inc.	Warrants	Woodhead, Stephen	5	10/1/2018	16	0.25	91,666	66,666
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Kroloff, Mark	4	9/30/2018	56		14,854	5,527
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Lacavera, Anthony	4	9/30/2018	56		27,005	5,527
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Mohamed, Nadir	4	9/30/2018	56		27,005	5,527
Trisura Group Ltd.	Deferred Share Units	Gallagher, Paul Joseph	4	10/1/2018	56		2,838	545
Trisura Group Ltd.	Deferred Share Units	Hedges, Barton Walter	4	10/1/2018	56		2,827	727
Trisura Group Ltd.	Deferred Share Units	Myhal, George	4, 6	10/1/2018	56		867	545
Trisura Group Ltd.	Deferred Share Units	Taylor, Robert Edward	4, 7	10/1/2018	56		2,333	454
True North Commercial Real Estate Investment Trust	Trust Units	Baryshnik, Jeff Matthew	4	9/28/2018	30	7.229	27,801	578
True North Commercial Real Estate Investment Trust	Trust Units	Biggar, William John	4	9/28/2018	30	6.7229	43,711	935
True North Commercial Real Estate Investment Trust	Trust Units	Cardy, Roland	4	9/28/2018	30	6.7229	29,249	681
True North Commercial Real Estate Investment Trust	Trust Units	Ossip, Alon Samuel	4	9/28/2018	30	6.7229	6,589	578
True North Commercial Real Estate Investment Trust	Trust Units	Poklar, Sandy Ivan	4	9/28/2018	30	6.7229	20,157	657
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Atkins, Benjamin	3, 4	9/21/2018	00		112,333	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Atkins, Jordan Ellis	3	9/21/2018	00		42,600	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Beshears, Thad	4	9/21/2018	00		150,000	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Brummel-Smith, Kenneth	5	9/21/2018	00		520	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Darmody, Kevin James	5	9/21/2018	00		21,670	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Ferrell, Steven Ray	4	9/21/2018	00		8,668	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Garff, Joseph	3	9/21/2018	00		19,933	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Hackney, George	3, 4, 6	9/21/2018	00		501	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Hackney, George	3, 4, 6	9/21/2018	00		140,133	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Kirkland, Thomas Craig	5	9/21/2018	00		4,628,593	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Kirkland, Thomas Craig	5	9/21/2018	00		1,142,033	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Kirkland, Thomas Craig	5	9/21/2018	00		46,286	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Landrum, Kyle Finn	6	9/21/2018	00		8,668	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	May, Richard Suber	4	9/21/2018	00		127	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	May, Richard Suber	4	9/21/2018	00		150,000	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	O'Donnell, Michael Jay	4	9/21/2018	00		41,339	

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Pernell, Jason Barry	5	9/21/2018	00		48,752	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Warrants	Pernell, Jason Barry	5	9/21/2018	00		1,142,033	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Super Voting Shares	Rivers, Kimberly	3, 4, 5	9/21/2018	00		159,867	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Scott, Thomas	3	9/21/2018	00		22,500	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Srinivasan, Mohan	5	9/21/2018	00		8,668	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Multiple Voting Shares	Walker, Victoria	5	9/21/2018	00		82	
Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)	Subordinate Voting Shares	Walker, Victoria	5	9/21/2018	00		8,200	
TSO3 inc.	Common Shares	Catalone, Bradley John	5	9/25/2017	00			
TSO3 inc.	Common Shares	Catalone, Bradley John	5	9/28/2018	30	0.57	3,015	3,015
TSO3 inc.	Common Shares	Kayll, Glen	5	9/28/2018	30	0.57	71,303	3,084
TSO3 inc.	Common Shares	Rumble, Richard Mark	4, 5	9/28/2018	30	0.57	722,275	3,207
TSO3 inc.	Common Shares	Tessman, Harold Robert	5	9/28/2018	30	0.57	147,100	2,979
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	83		-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	83	400,000	-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	85	350,000	-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	0.79	300,000	-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	0.83	250,000	-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	1.25		-50,000
Tsodilo Resources Limited	Options	McGinley, Patrick Charles	4	10/1/2018	52	1.25	200,000	-50,000
Tucows Inc.	Common Shares	Investmentaktiengesellschaft für langfristige Investoren TGV	3	10/4/2018	10	54.851	1,151,943	9,400
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Gill, James Wendell	4	10/1/2018	56	2.76	197,140	11,780
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Robertson, Russel Clark	4	10/1/2018	56	2.76	258,498	17,210
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	9/28/2018	38	12.499	1,400	1,400
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	9/28/2018	38	12.499	0	-1,400
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/1/2018	38	12.6	100	100
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/1/2018	38	12.6	0	-100
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/2/2018	38	12.75	1,400	1,400
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/2/2018	38	12.75	0	-1,400
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/3/2018	38	12.749	800	800
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	10/3/2018	38	12.749	0	-800
U.S. Financials Income Fund	Trust Units Class A (CAD $)	World Financial Split Corp.	8	10/2/2018	10	7.6694	10,000	10,000
U.S. Financials Income Fund	Trust Units Class A (CAD $)	World Financial Split Corp.	8	10/3/2018	10	7.7563	19,000	9,000
UGE International Ltd.	Common Shares	Xie, Xiangrong	3	9/27/2018	54		11,371,936	2,000,000
UGE International Ltd.	Special Warrants	Xie, Xiangrong	3	9/27/2018	54		1,780,000	-2,000,000
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Bibby, David	4	9/30/2018	56	21.852	1,689	972
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	CORMIER, MICHELLE ANN	4	9/30/2018	56	21.852	9,968	1,833
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Courville, André	4, 5	9/30/2018	56	21.852	15,678	1,287
Uni-Select Inc.	Unités actions de Performace /Performance Share Unit	Gagnon, Marie-Noëlle	5	10/1/2018	00		2,228	

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Hall, Jeffrey	4	9/30/2018	56	21.852	8,390	1,121
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Heath, George Edmund	4	9/30/2018	56	21.852	4,821	1,564
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Molenaar, Robert	4	9/30/2018	56	21.852	10,412	2,730
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Roy, Richard G	4	9/30/2018	56	21.852	2,793	229
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Welvaert, Dennis	4	9/30/2018	56	21.852	16,339	1,306
Uni-Select Inc.	Unités d'actions différées (UAD) / Deferred Share Unit Plan	Wright, Michael David	4	9/30/2018	56	21.852	2,544	1,657
Unigold Inc.	Common Shares	Tremblay, Norman	3, 4	10/3/2018	10	0.155	9,420,994	3,000
Unigold Inc.	Common Shares	Tremblay, Norman	3, 4	10/4/2018	10	0.165	9,437,994	17,000
Unigold Inc.	Common Shares	Tremblay, Norman	3, 4	10/5/2018	10	0.16	9,457,994	20,000
United Corporations Limited	Common Shares	E-L Financial Corporation Limited	3	9/28/2018	10	98	6,344,659	500
United Corporations Limited	Common Shares	E-L Financial Corporation Limited	3	10/1/2018	10	98	6,344,859	200
United Corporations Limited	Common Shares	E-L Financial Corporation Limited	3	10/2/2018	10	98	6,345,359	500
United Corporations Limited	Common Shares	E-L Financial Corporation Limited	3	10/3/2018	10	98	6,345,759	400
United Corporations Limited	Common Shares	E-L Financial Corporation Limited	3	10/4/2018	10	98	6,346,259	500
Upco International Inc.	Common Shares	COSERFI s.r.l.	3	10/1/2018	11	0.25	21,140,840	-1,000,000
Uranium Energy Corp.	Common Shares	ABRAHAM, Edward Spencer	4	10/1/2018	46	1.72	116,703	1,890
Uranium Energy Corp.	Common Shares	Melbye, Scott Eric	5	10/1/2018	46	1.72	222,764	2,371
Uranium Energy Corp.	Common Shares	Obara, Pat	5	10/1/2018	46	1.72	340,062	1,136
Urbana Corporation	Common Shares	Gundy, Michael Brydon Charles	4	9/25/2018	10	2.7	15,700	-5,000
UrtheCast Corp.	Common Shares	Chu, Sai W.	5	9/28/2018	11	0.22	317,777	277,777
UrtheCast Corp.	Common Shares	Osborne, Donald Freleigh	5	5/7/2018	00			
UrtheCast Corp.	Common Shares	Osborne, Donald Freleigh	5	9/28/2018	11	0.22	277,778	277,778
UrtheCast Corp.	Common Shares	Vore, Adam Michael	4	5/25/2018	00			
UrtheCast Corp.	Common Shares	Vore, Adam Michael	4	9/28/2018	57	0.22	555,555	555,555
UrtheCast Corp.	Common Shares	Vore, Adam Michael	4	9/28/2018	11	0.22	0	-555,555
UrtheCast Corp.	Rights Restricted Share Units	Vore, Adam Michael	4	9/28/2018	57	0.22		-555,555
UrtheCast Corp.	Rights Restricted Share Units	Vore, Adam Michael	4	9/28/2018	57	0.22	0	-555,555
Valener Inc.	Unités d'action différées (UAD)	Gervais, François	4	10/4/2018	56	19.2	896	277
Valener Inc.	Unités d'action différées (UAD)	Klees, Gwen	4	4/5/2018	56	20.42		759
Valener Inc.	Unités d'action différées (UAD)	Klees, Gwen	4	4/5/2018	56	20.42	1,012	759
Valener Inc.	Unités d'action différées (UAD)	Klees, Gwen	4	10/4/2018	56	19.2	2,678	807
Valener Inc.	Unités d'action différées (UAD)	Monahan, Pierre	4	4/5/2018	56	20.42		223
Valener Inc.	Unités d'action différées (UAD)	Monahan, Pierre	4	4/5/2018	56	20.42	424	223
Valener Inc.	Unités d'action différées (UAD)	Monahan, Pierre	4	10/4/2018	56	19.2	662	238
Vecima Networks Inc.	Options Incentive Stock Options	Colabrese, Ben	4	9/25/2018	99	9.2	5,000	-1,000
Vecima Networks Inc.	Options Incentive Stock Options	Colabrese, Ben	4	10/3/2018	50	9.1	6,000	1,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Vecima Networks Inc.	Options Incentive Stock Options	Elder, Derek Jason	4	8/8/2018	00			
Vecima Networks Inc.	Options Incentive Stock Options	Elder, Derek Jason	4	10/3/2018	50	9.1	5,000	5,000
Vecima Networks Inc.	Options Incentive Stock Options	Elliott, Thomas Kent	4	9/25/2018	99	9.2	5,000	-1,000
Vecima Networks Inc.	Options Incentive Stock Options	Elliott, Thomas Kent	4	10/3/2018	50	9.1	6,000	1,000
Vecima Networks Inc.	Options Incentive Stock Options	Faizullabhoy, Danial	4	9/25/2018	99	9.2	5,000	-1,000
Vecima Networks Inc.	Options Incentive Stock Options	Faizullabhoy, Danial	4	10/3/2018	50	9.1	6,000	1,000
Vecima Networks Inc.	Options Incentive Stock Options	Kumar, Sumit	8, 4, 5	9/25/2018	50	9.2		1,000
Vecima Networks Inc.	Options Incentive Stock Options	Kumar, Sumit	8, 4, 5	9/25/2018	50	9.2		1,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.72	928,800	2,700
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.71	928,900	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.64	929,000	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.63	929,100	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.59	937,700	8,600
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.58	938,100	400
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.5	940,200	2,100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.465	944,200	4,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.45	946,200	2,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.4	957,500	11,300
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.39	957,700	200
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward James	3	10/4/2018	10	11.33	957,800	100
Victoria Gold Corp. (formerly Victoria Resource Corporation)	Common Shares	Perron, Jacques	6	4/13/2018	00			
Victoria Gold Corp. (formerly Victoria Resource Corporation)	Common Shares	Perron, Jacques	6	10/1/2018	10	0.354	100,000	100,000
Vigil Health Solutions Inc.	Common Shares	PEET, GREGORY	4	9/21/2018	10	0.46	3,057,450	500
Vigil Health Solutions Inc.	Common Shares	PEET, GREGORY	4	9/24/2018	10	0.46	3,058,450	1,000
Vigil Health Solutions Inc.	Common Shares	PEET, GREGORY	4	9/25/2018	10	0.46	3,060,450	2,000
Vigil Health Solutions Inc.	Common Shares	PEET, GREGORY	4	9/26/2018	10	0.46	3,070,450	10,000
Vigil Health Solutions Inc.	Common Shares	Vigil Health Solutions Inc.	1	9/13/2018	38	0.47	4,000	4,000
Vigil Health Solutions Inc.	Common Shares	Vigil Health Solutions Inc.	1	9/28/2018	38		0	-4,000
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	10/4/2018	10	0.175	6,858,200	1,000
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	10/5/2018	10	0.18	6,863,700	5,500
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	10/4/2018	10	0.18	3,608,371	50,500
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Alford, Thomas Malcolm	4	9/28/2018	56	26.06	22,933	1,151
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Alford, Thomas Malcolm	4	10/2/2018	30	26.31	23,151	218
Wajax Corporation	2015 Deferred Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	3,081	29
Wajax Corporation	2016 Deferred Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	4,412	42
Wajax Corporation	2016 Performance Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	8,823	83

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2016 Restricted Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	4,412	42
Wajax Corporation	2017 Deferred Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	3,199	30
Wajax Corporation	2017 Performance Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	6,395	60
Wajax Corporation	2017 Restricted Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	3,199	30
Wajax Corporation	2018 Deferred Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	3,243	31
Wajax Corporation	2018 Performance Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	6,486	61
Wajax Corporation	2018 Restricted Share Units	Auld, Stuart Harrison	5	10/2/2018	30	26.31	3,243	31
Wajax Corporation	2016 Performance Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	890	8
Wajax Corporation	2016 Restricted Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	2,670	25
Wajax Corporation	2017 Performance Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	1,075	10
Wajax Corporation	2017 Restricted Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	3,225	30
Wajax Corporation	2018 Performance Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	1,156	11
Wajax Corporation	2018 Restricted Share Units	Baratto, Donna Jean	5	10/2/2018	30	26.31	3,468	33
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Barrett, Edward Malcolm	4	9/28/2018	56	26.06	39,888	432
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Barrett, Edward Malcolm	4	10/2/2018	30	26.31	40,267	379
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Carty, Douglas	4	9/28/2018	56	26.06	23,480	657
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Carty, Douglas	4	10/2/2018	30	26.31	23,703	223
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Chrominska, Sylvia Dolores	4	9/28/2018	56	26.06	9,611	727
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Chrominska, Sylvia Dolores	4	10/2/2018	30	26.31	9,702	91
Wajax Corporation	2014 Deferred Share Units	Deck, Steven	5	10/2/2018	30	26.31	4,569	43
Wajax Corporation	2015 Deferred Share Units	Deck, Steven	5	10/2/2018	30	26.31	3,189	30
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	3/30/2016	56	17.09		8,953
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	3/30/2016	56	17.09	4,476	4,476
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2016	56	14.97		150
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2016	56	14.97		75
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2016	30	14.97	4,551	75
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/3/2016	30	14.87		153
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/3/2016	30	14.87	4,628	77
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	1/4/2017	30	23.12		100
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	1/4/2017	30	23.12	4,678	50
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	4/4/2017	30	22.37		105
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	4/4/2017	30	22.37	4,730	52
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2017	56	22.29		106

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2017	56	22.29		53
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/5/2017	30	22.29	4,783	53
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/3/2017	30	19.68		122
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/3/2017	30	19.68	4,844	61
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	1/3/2018	30	24.56		99
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	1/3/2018	30	24.56	4,893	49
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	4/4/2018	30	23.78		103
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	4/4/2018	30	23.78	4,944	51
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/4/2018	30	24.76		100
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	7/4/2018	30	24.76	4,994	50
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/2/2018	30	26.31		95
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	10/2/2018	30	26.31	5,041	47
Wajax Corporation	2016 Performance Share Units	Deck, Steven	5	7/5/2016	56	14.97		299
Wajax Corporation	2016 Performance Share Units	Deck, Steven	5	7/5/2016	30	14.97	18,204	299
Wajax Corporation	2016 Performance Share Units	Deck, Steven	5	7/5/2017	56	22.29		212
Wajax Corporation	2016 Performance Share Units	Deck, Steven	5	7/5/2017	30	22.29	19,131	212
Wajax Corporation	2016 Performance Share Units	Deck, Steven	5	10/2/2018	30	26.31	20,167	190
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	3/30/2016	56	17.09		8,953
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	3/30/2016	56	17.09	13,429	13,429
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/5/2016	56	14.97		150
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/5/2016	56	14.97		224
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/5/2016	30	14.97	13,653	224
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/3/2016	30	14.87		153
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/3/2016	30	14.87	13,883	230
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	1/4/2017	30	23.12		100
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	1/4/2017	30	23.12	14,033	150
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	4/4/2017	30	22.37		105
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	4/4/2017	30	22.37	14,190	157
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/5/2017	56	22.29		106
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/5/2017	30	22.29	14,349	159
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/3/2017	30	19.68		122
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/3/2017	30	19.68	14,531	182
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	1/3/2018	30	24.56		99

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	1/3/2018	30	24.56	14,679	148
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	4/4/2018	30	23.78		103
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	4/4/2018	30	23.78	14,833	154
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/4/2018	30	24.76		100
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	7/4/2018	30	24.76	14,983	150
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/2/2018	30	26.31		95
Wajax Corporation	2016 Restricted Share Units	Deck, Steven	5	10/2/2018	30	26.31	15,125	142
Wajax Corporation	2017 Performance Share Units	Deck, Steven	5	10/2/2018	30	26.31	7,310	69
Wajax Corporation	2017 Restricted Share Units	Deck, Steven	5	10/2/2018	30	26.31	7,310	69
Wajax Corporation	2018 Performance Share Units	Deck, Steven	5	10/2/2018	30	26.31	7,370	69
Wajax Corporation	2018 Restricted Share Units	Deck, Steven	5	10/2/2018	30	26.31	7,370	69
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Dexter, Robert P.	4	9/28/2018	56	26.06	95,228	1,079
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Dexter, Robert P.	4	10/2/2018	30	26.31	96,133	905
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Eby, John Clifford	4	9/28/2018	56	26.06	35,601	811
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Eby, John Clifford	4	10/2/2018	30	26.31	35,939	338
Wajax Corporation	2016 Performance Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	38,853	366
Wajax Corporation	2016 Restricted Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	38,853	366
Wajax Corporation	2017 Performance Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	28,163	265
Wajax Corporation	2017 Restricted Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	28,163	265
Wajax Corporation	2018 Performance Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	27,264	257
Wajax Corporation	2018 Restricted Share Units	Foote, Alan Mark	4	10/2/2018	30	26.31	27,264	257
Wajax Corporation	Rights Share Ownership Plan	Foote, Alan Mark	4	10/2/2018	30	26.31	20,857	196
Wajax Corporation	2016 Performance Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	1,829	17
Wajax Corporation	2016 Restricted Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	5,487	52
Wajax Corporation	2017 Deferred Share Units	Plain, Thomas Hayward Sanders	5	3/7/2017	56	22.56		3,109
Wajax Corporation	2017 Deferred Share Units	Plain, Thomas Hayward Sanders	5	3/7/2017	56	22.56	3,108	3,108
Wajax Corporation	2017 Deferred Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	3,350	32
Wajax Corporation	2017 Performance Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	6,701	63
Wajax Corporation	2017 Restricted Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	3,350	32
Wajax Corporation	2018 Deferred Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	3,243	31
Wajax Corporation	2018 Performance Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	6,486	61
Wajax Corporation	2018 Restricted Share Units	Plain, Thomas Hayward Sanders	5	10/2/2018	30	26.31	3,243	31
Wajax Corporation	2016 Performance Share Units	Tam, Andrew	5	10/2/2018	30	26.31	1,851	17

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2016 Restricted Share Units	Tam, Andrew	5	10/2/2018	30	26.31	5,560	52
Wajax Corporation	2017 Performance Share Units	Tam, Andrew	5	10/2/2018	30	26.31	1,344	13
Wajax Corporation	2017 Restricted Share Units	Tam, Andrew	5	10/2/2018	30	26.31	4,031	38
Wajax Corporation	2018 Performance Share Units	Tam, Andrew	5	10/2/2018	30	26.31	1,330	13
Wajax Corporation	2018 Restricted Share Units	Tam, Andrew	5	10/2/2018	30	26.31	3,989	38
Wajax Corporation	Rights Share Ownership Plan	Tam, Andrew	5	10/2/2018	30	26.31	2,358	22
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Taylor, Alexander S.	4	9/28/2018	56	26.06	19,260	432
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Taylor, Alexander S.	4	10/2/2018	30	26.31	19,443	183
Wajax Corporation	2017 Deferred Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	10,078	95
Wajax Corporation	2017 Performance Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	13,436	126
Wajax Corporation	2017 Restricted Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	3,359	32
Wajax Corporation	2018 Deferred Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	3,687	35
Wajax Corporation	2018 Performance Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	7,370	69
Wajax Corporation	2018 Restricted Share Units	Yaworsky, Darren Julian	5	10/2/2018	30	26.31	3,687	35
Wallbridge Mining Company Limited	Common Shares	2176423 Ontario Ltd.	3	9/28/2018	11	0.165	57,376,229	24,042,895
Wallbridge Mining Company Limited	Rights DSU	Day, Shawn	4	10/1/2018	56	0.263	196,425	14,259
Wallbridge Mining Company Limited	Common Shares	Farsangi, Parviz	4	10/2/2018	10	0.32	425,000	-200,000
Wallbridge Mining Company Limited	Rights DSU	Farsangi, Parviz	4	10/1/2018	56	0.263	1,550,888	16,635
Wallbridge Mining Company Limited	Rights DSU	Galipeau, René Réal	4	10/1/2018	56	0.263	1,996,464	21,388
Wallbridge Mining Company Limited	Common Shares	HOLMES, WILLIAM WARREN	4	10/2/2018	10	0.305	4,098,500	-150,000
Wallbridge Mining Company Limited	Rights DSU	HOLMES, WILLIAM WARREN	4	10/1/2018	56	0.263	2,390,682	27,182
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	10/1/2018	10	0.275	1,760,106	-250,000
Wallbridge Mining Company Limited	Common Shares	Pentek, Attila	5	10/1/2018	10	0.28		-55,000
Wallbridge Mining Company Limited	Common Shares	Pentek, Attila	5	10/1/2018	10	0.28	250,000	-55,290
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/1/2018	51	0.065	1,462,600	200,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/1/2018	51	0.05	1,612,600	150,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/1/2018	51	0.05	1,737,600	125,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/1/2018	10	0.3	1,637,600	-100,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/1/2018	10	0.303	1,537,600	-100,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	10/2/2018	10	0.33	1,437,600	-100,000
Wallbridge Mining Company Limited	Options	Sittler, Darryl	4	10/1/2018	51	0.065	900,000	-200,000
Wallbridge Mining Company Limited	Options	Sittler, Darryl	4	10/1/2018	51	0.05	750,000	-150,000
Wallbridge Mining Company Limited	Options	Sittler, Darryl	4	10/1/2018	51	0.05	625,000	-125,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wallbridge Mining Company Limited	Rights DSU	Sittler, Darryl	4	10/1/2018	56	0.263	1,642,786	14,259
Wallbridge Mining Company Limited	Common Shares	Soever, Alar	4, 5	9/28/2018	54	0.12	3,139,205	187,500
Wallbridge Mining Company Limited	Common Shares	Soever, Alar	4, 5	10/1/2018	54	0.12		187,500
Wallbridge Mining Company Limited	Warrants	Soever, Alar	4, 5	9/28/2018	54	0.12	0	-187,500
Wallbridge Mining Company Limited	Warrants	Soever, Alar	4, 5	10/1/2018	54	0.12		-187,500
Wallbridge Mining Company Limited	Common Shares	Sprott, Eric S.	3	9/28/2018	11	0.165	57,376,229	24,042,895
Wallbridge Mining Company Limited	Rights DSU	Wilkinson, Janet	4	7/23/2018	00			
Wallbridge Mining Company Limited	Rights DSU	Wilkinson, Janet	4	10/1/2018	56	0.263	9,480	9,480
Wescan Goldfields Inc.	Common Shares	MacNeill, Tom	6	10/4/2018	10	0.05	5,843,779	224,000
West Fraser Timber Co. Ltd.	Deferred Share Unit	Carter, Reid Ewart	4	9/30/2018	56		3,214	253
West Fraser Timber Co. Ltd.	Deferred Share Unit	Floren, John	4	9/30/2018	56		3,214	253
West Fraser Timber Co. Ltd.	Deferred Share Unit	Kenning, Brian Graham	4	9/30/2018	56		1,478	253
West Fraser Timber Co. Ltd.	Deferred Share Unit	Ketcham, John Kendall	4	9/30/2018	56		4,672	253
West Fraser Timber Co. Ltd.	Deferred Share Unit	Miller, Gerald	4	9/30/2018	56		9,919	253
West Fraser Timber Co. Ltd.	Deferred Share Unit	Phillips, Robert L.	4	9/30/2018	56		11,973	253
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/1/2018	38	74.804	540,000	60,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/2/2018	38	74.325	600,000	60,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/3/2018	38	72.55	660,000	60,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/4/2018	38	70.847	720,000	60,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/5/2018	38	71.906	780,000	60,000
West Fraser Timber Co. Ltd.	Common Shares	West Fraser Timber Co. Ltd.	1	10/5/2018	38		180,000	-600,000
West Fraser Timber Co. Ltd.	Deferred Share Unit	Winckler, Gillian	4	9/30/2018	56		1,478	253
Westcore Energy Ltd.	Common Shares	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.02	3,600	1,200
Westcore Energy Ltd.	Common Shares	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.02	3,600,000	3,050,000
Westcore Energy Ltd.	Rights	Davidson, Andrew	4, 6, 5	8/13/2018	56			2,400
Westcore Energy Ltd.	Rights	Davidson, Andrew	4, 6, 5	8/13/2018	56		1,200	1,200
Westcore Energy Ltd.	Rights	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.02	0	-1,200
Westcore Energy Ltd.	Rights	Davidson, Andrew	4, 6, 5	9/28/2018	56	0.02	3,050,000	2,500,000
Westcore Energy Ltd.	Rights	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.02	0	-3,050,000
Westcore Energy Ltd.	Warrants 2018	Davidson, Andrew	4, 6, 5	9/6/2012	00			
Westcore Energy Ltd.	Warrants 2018	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.085	1,200	1,200
Westcore Energy Ltd.	Warrants 2018	Davidson, Andrew	4, 6, 5	9/6/2012	00			
Westcore Energy Ltd.	Warrants 2018	Davidson, Andrew	4, 6, 5	9/28/2018	57	0.085	3,050,000	3,050,000
Westcore Energy Ltd.	Common Shares	MacNeill, Tom	3, 4	9/28/2018	57	0.02	1,002,000	250,000
Westcore Energy Ltd.	Common Shares	MacNeill, Tom	3, 4	10/2/2018	57	0.02	1,504,000	502,000
Westcore Energy Ltd.	Common Shares	MacNeill, Tom	3, 4	10/2/2018	57	0.02	800,000	400,000
Westcore Energy Ltd.	Common Shares	MacNeill, Tom	3, 4	9/28/2018	57	0.02	3,000,000	2,500,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	1/25/2008	00			
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	9/28/2018	56	0.02	250,000	250,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	9/28/2018	57	0.02	0	-250,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	10/2/2018	56	0.02	502,000	502,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	10/2/2018	57	0.02	0	-502,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	10/2/2018	56	0.02		400,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	10/2/2018	56	0.02		400,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	10/2/2018	57	0.02	0	-400,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	8/13/2018	56	0.02	2,500,000	2,000,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	9/28/2018	53	0.02		2,000,000
Westcore Energy Ltd.	Rights	MacNeill, Tom	3, 4	9/28/2018	57		0	-2,500,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	1/25/2008	00			
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	9/28/2018	57	0.085	250,000	250,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	10/2/2018	57	0.085	752,000	502,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	1/25/2008	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	10/2/2018	57	0.085	400,000	400,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	1/25/2008	00			
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	9/28/2018	56	0.02		2,000,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	9/28/2018	56	0.02		2,000,000
Westcore Energy Ltd.	Warrants 2018	MacNeill, Tom	3, 4	9/28/2018	57	0.085	2,500,000	2,500,000
Westcore Energy Ltd.	Common Shares	Sheppard, Jeff	5	10/5/2018	10	0.02	2,236,400	50,000
Westcore Energy Ltd.	Common Shares	Sheppard, Jeff	5	9/28/2018	57	0.02	210,000	100,000
Westcore Energy Ltd.	Common Shares	Sheppard, Jeff	5	9/28/2018	57	0.02	2,186,400	1,593,200
Westcore Energy Ltd.	Common Shares	Sheppard, Jeff	5	9/28/2018	57	0.02	11,800	5,900
Westcore Energy Ltd.	Rights	Sheppard, Jeff	5	9/28/2018	57	0.02	0	-100,000
Westcore Energy Ltd.	Rights	Sheppard, Jeff	5	9/28/2018	56	0.02	1,593,200	1,000,000
Westcore Energy Ltd.	Rights	Sheppard, Jeff	5	9/28/2018	57	0.02	0	-1,593,200
Westcore Energy Ltd.	Rights	Sheppard, Jeff	5	9/28/2018	57	0.02	0	-5,900
Westcore Energy Ltd.	Warrants	Sheppard, Jeff	5	6/11/2014	00			
Westcore Energy Ltd.	Warrants	Sheppard, Jeff	5	9/28/2018	57	0.085	5,900	5,900
Westcore Energy Ltd.	Warrants 2018	Sheppard, Jeff	5	6/11/2014	00			
Westcore Energy Ltd.	Warrants 2018	Sheppard, Jeff	5	9/28/2018	57	0.085	100,000	100,000
Westcore Energy Ltd.	Warrants 2018	Sheppard, Jeff	5	6/11/2014	00			
Westcore Energy Ltd.	Warrants 2018	Sheppard, Jeff	5	9/28/2018	57	0.085	1,593,200	1,593,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/4/2018	38	2.2501	418,200	147,100
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/5/2018	38	2.2743	590,400	172,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/6/2018	38	2.2619	743,100	152,700
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/7/2018	38	2.2524	790,500	47,400
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/10/2018	38	2.274	937,700	147,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/11/2018	38	2.284	1,089,800	152,100
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/12/2018	38	2.2963	1,218,000	128,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/13/2018	38	2.3009	1,357,700	139,700
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/14/2018	38	2.3179	1,468,200	110,500
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/17/2018	38	2.3306	1,640,400	172,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/18/2018	38	2.308	1,812,600	172,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/19/2018	38	2.2011	1,983,300	170,700
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/20/2018	38	2.1691	2,155,500	172,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/21/2018	38	2.1686	2,262,700	107,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/24/2018	38	2.187	2,411,200	148,500
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/25/2018	38	2.1727	2,583,400	172,200
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/26/2018	38	2.17	3,262,400	679,000
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	9/28/2018	38		0	-3,262,400
WestJet Airlines Ltd.	Rights Deferred Share Units	Beddoe, Clive	5	9/30/2018	56		8,055	491
WestJet Airlines Ltd.	Rights Deferred Share Units	Beddoe, Clive	5	9/30/2018	56		8,107	52
WestJet Airlines Ltd.	Rights Deferred Share Units	Bolton, Hugh John	4	9/30/2018	56		30,905	706
WestJet Airlines Ltd.	Rights Deferred Share Units	Bolton, Hugh John	4	9/30/2018	56		31,113	208

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
WestJet Airlines Ltd.	Rights Deferred Share Units	Brenneman, Ron A.	4	9/30/2018	56		11,754	706
WestJet Airlines Ltd.	Rights Deferred Share Units	Brenneman, Ron A.	4	9/30/2018	56		11,830	76
WestJet Airlines Ltd.	Rights Deferred Share Units	Burley, Christopher Michael	4	9/30/2018	56		18,268	1,717
WestJet Airlines Ltd.	Rights Deferred Share Units	Burley, Christopher Michael	4	9/30/2018	56		18,382	114
WestJet Airlines Ltd.	Rights Deferred Share Units	Godfrey, Brett Alan	4	9/30/2018	56		13,438	706
WestJet Airlines Ltd.	Rights Deferred Share Units	Godfrey, Brett Alan	4	9/30/2018	56		13,526	88
WestJet Airlines Ltd.	Rights Deferred Share Units	Jackson, Allan William	4	9/30/2018	56		63,676	1,778
WestJet Airlines Ltd.	Rights Deferred Share Units	Jackson, Allan William	4	9/30/2018	56		64,101	425
WestJet Airlines Ltd.	Rights Deferred Share Units	Jackson, Steven Barry	4	9/30/2018	56		47,183	1,656
WestJet Airlines Ltd.	Rights Deferred Share Units	Jackson, Steven Barry	4	9/30/2018	56		47,496	313
WestJet Airlines Ltd.	Rights Deferred Share Units	Menard, L. Jacques	4	9/30/2018	56		24,663	1,656
WestJet Airlines Ltd.	Rights Deferred Share Units	Menard, L. Jacques	4	9/30/2018	56		24,821	158
WestJet Airlines Ltd.	Rights Deferred Share Units	Rennie, Janice Gaye	4	9/30/2018	56		25,267	1,558
WestJet Airlines Ltd.	Rights Deferred Share Units	Rennie, Janice Gaye	4	9/30/2018	56		25,430	163
WestJet Airlines Ltd.	Rights Deferred Share Units	Sheriff, Karen	4	9/30/2018	56		15,787	1,558
WestJet Airlines Ltd.	Rights Deferred Share Units	Sheriff, Karen	4	9/30/2018	56		15,885	98
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/20/2018	38	26.228	27,400	27,400
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/20/2018	38		0	-27,400
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/21/2018	38	26.246	25,000	25,000
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/21/2018	38		0	-25,000
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/24/2018	38	26.239	9,700	9,700
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/24/2018	38		0	-9,700
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/25/2018	38	26.721	11,800	11,800
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/25/2018	38		0	-11,800
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/26/2018	38	26.72	19,900	19,900
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/26/2018	38		0	-19,900
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/27/2018	38	26.799	508,600	508,600
Westshore Terminals Investment Corporation	Common Shares	Westshore Terminals Investment Corporation	1	9/27/2018	38		0	-508,600
White Metal Resources Corp.	Common Shares	Fretwell, Gordon	5	10/3/2018	10	0.11	330,000	-30,000
White Metal Resources Corp.	Common Shares	Fretwell, Gordon	5	10/4/2018	10	0.11	292,000	-38,000
Whitecap Resources Inc.	Performance Awards	Armstrong, Joel Maxwell	5	10/1/2018	59		291,000	-31,250
Whitecap Resources Inc.	Performance Awards	Christensen, Daniel James	5	10/1/2018	59		158,000	-30,000
Whitecap Resources Inc.	Performance Awards	Dunlop, Darin Roy	5	10/1/2018	59		291,000	-31,250
Whitecap Resources Inc.	Performance Awards	Fagerheim, Grant Bradley	4, 5	10/1/2018	59		760,000	-60,000
Whitecap Resources Inc.	Performance Awards	Fletcher, Gregory Scott	4	10/1/2018	59		10,000	-2,500
Whitecap Resources Inc.	Performance Awards	Gilbert, Daryl Harvey	4	10/1/2018	59		10,000	-5,000
Whitecap Resources Inc.	Performance Awards	Kang, Thanh Chan	5	10/1/2018	59		347,000	-37,000
Whitecap Resources Inc.	Performance Awards	Lebsack, Peter Gary	5	10/1/2018	59		205,000	-27,300

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Whitecap Resources Inc.	Performance Awards	McNamara, Glenn	4	10/1/2018	59		10,000	-2,500
Whitecap Resources Inc.	Performance Awards	Mombourquette, David Michael	5	10/1/2018	59		291,000	-31,250
Whitecap Resources Inc.	Performance Awards	Nikiforuk, Stephen Curtis	4	10/1/2018	59		10,000	-2,500
Whitecap Resources Inc.	Performance Awards	Stickland, Kenneth	4	10/1/2018	59		10,000	-2,500
Whitecap Resources Inc.	Common Shares	Whitecap Resources Inc.	1	9/30/2018	38	7.9509	426,500	426,500
Whitecap Resources Inc.	Common Shares	Whitecap Resources Inc.	1	9/30/2018	38	7.9509	0	-426,500
Whitecap Resources Inc.	Performance Awards	Zawalsky, Grant A.	4	10/1/2018	59		10,000	-2,500
Whitecap Resources Inc.	Performance Awards	Zdunich, Jeffery Byron	5	10/1/2018	59		177,500	-13,000
WPT Industrial Real Estate Investment Trust	Deferred Unit	Arkema, Milo Dwight	4	9/30/2018	46		47,174	2,146
WPT Industrial Real Estate Investment Trust	Deferred Unit	DiNunzio, Luigi Rosario	4	9/30/2018	46		18,321	1,706
WPT Industrial Real Estate Investment Trust	Deferred Unit	Kavanagh, Sarah Baldwin	4	9/30/2018	46		45,520	1,876
WPT Industrial Real Estate Investment Trust	Deferred Unit	Smith, Stuart H.B.	4	9/30/2018	46		15,784	1,421
WPT Industrial Real Estate Investment Trust	Deferred Unit	Spackman, Pamela Jean	4	9/30/2018	46		11,208	1,549
WPT Industrial Real Estate Investment Trust	Deferred Unit	Wolf, Robert Thomas	4	9/30/2018	46		58,599	1,862
WSP Global Inc.	DSUs / UADs	Carrière, Louis-Philippe	4	9/28/2018	56	71.25	4,536	684
WSP Global Inc.	DSUs / UADs	Fitzgibbon, Pierre	4	9/28/2018	56	71.25	2,231	333
WSP Global Inc.	DSUs / UADs	Rancourt, Suzanne	4	9/28/2018	56	71.25	945	126
WSP Global Inc.	DSUs / UADs	Shoiry, Pierre	4, 5	9/28/2018	56	71.25	7,680	877
Xebec Adsorption Inc.	Common Shares	ARNSBY, SIMON DAVID	3	9/28/2018	10	0.8	5,060,250	18,500
Xebec Adsorption Inc.	Common Shares	ARNSBY, SIMON DAVID	3	10/1/2018	10	0.8	5,072,250	12,000
Ximen Mining Corp.	Common Shares	Anderson, Christopher Ross	4	9/27/2018	10	0.14	4,067,229	10,000
Ximen Mining Corp.	Common Shares	Anderson, Christopher Ross	4	9/28/2018	10	0.165	4,139,229	72,000
Ximen Mining Corp.	Common Shares	Anderson, Christopher Ross	4	10/1/2018	10	0.17	4,159,229	20,000
Xtierra Inc.	Common Shares	Gallagher, Timothy David	3, 4, 5	10/1/2018	10	0.05	2,239,000	3,000
Xtierra Inc.	Common Shares	Gallagher, Timothy David	3, 4, 5	10/2/2018	10	0.05	2,244,000	5,000
Yangaroo Inc.	Options Stock options	Hunt, Clifford Adam	5	10/1/2018	52	0.25	150,000	-8,000
Yangaroo Inc.	Options Stock options	Klosa, Richard	5	10/1/2018	52	0.25	1,106,600	-400,000
Yangaroo Inc.	Options Stock options	Miller, Anthony G.	4	10/1/2018	52	0.25	165,000	-100,000
Yangaroo Inc.	Options Stock options	Moss, Gary	5	10/1/2018	52	0.25	1,735,000	-550,000
Yangarra Resources Ltd.	Common Shares	Morton, Frederick Lee	4	9/28/2018	10	4.94	187,267	15,000
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	10/1/2018	30	0.23	8,743	7,894
Zargon Oil & Gas Ltd.	Common Shares	Hansen, Craig Henry	4, 5	10/1/2018	30	0.23	1,044,741	8,877
Zargon Oil & Gas Ltd.	Common Shares	Hustad, Christopher Michael	5	10/1/2018	30	0.23	215,258	7,223
Zargon Oil & Gas Ltd.	Common Shares	Hustad, Christopher Michael	5	10/3/2018	10	0.24	200,258	-15,000
Zedcor Energy Inc.	Common Shares	Swanberg, Dean Sylvan	3, 4, 5	10/3/2018	11	0.1515	11,042,497	68,754

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:
Investors Canadian Money Market Class
Investors Dividend Class
Investors Canadian Equity Class (to be known as Investors North American Equity Class II)
Investors Canadian Growth Class (to be known as Investors North American Equity Class IV)
Investors Canadian Large Cap Value Class (to be known as Investors North American Equity Class V)
Investors Canadian Small Cap Class (to be known as Investors Canadian Small/Mid Cap Class II)
Investors Canadian Small Cap Growth Class (to be known as Investors Canadian Small/Mid Cap Class)
IG Franklin Bissett Canadian Equity Class II
Investors Low Volatility Canadian Equity Class
Investors Quebec Enterprise Class
Investors Summa SRITM Class
IG Beutel Goodman Canadian Equity Class
IG FI Canadian Equity Class
IG Fiera Canadian Small Cap Class
IG Franklin Bissett Canadian Equity Class
IG Mackenzie Canadian Equity Growth Class (to be known as Investors North American Equity Class III)
Investors Core U.S. Equity Class
Investors U.S. Large Cap Value Class (to be known as Investors Core U.S. Equity Class II)
Investors U.S. Opportunities Class
Investors U.S. Small Cap Class
IG AGF U.S. Growth Class
IG T. Rowe Price U.S. Large Cap Equity Class (formerly known as IG FI U.S. Large Cap Equity Class)
IG Putnam Low Volatility U.S. Equity Class (to be known as Investors Core U.S. Equity Class III)
IG Putnam U.S. Growth Class
Investors European Equity Class
Investors European Mid-Cap Equity Class
Investors Global Class
Investors Pan Asian Equity Class II
IG Mackenzie Ivy European Class II
Investors International Small Cap Class
Investors Low Volatility Global Equity Class
Investors North American Equity Class
Investors Pacific International Class
Investors Pan Asian Equity Class
IG AGF Global Equity Class
IG Mackenzie Cundill Global Value Class (to be known as Investors Global Class II)
IG JPMorgan Emerging Markets Class (formerly known as IG Mackenzie Emerging Markets Class)
IG Mackenzie Ivy European Class
IG Mackenzie Ivy Foreign Equity Class
IG Mackenzie Ivy European Class III
Investors Global Consumer Companies Class
Investors Global Financial Services Class
Investors Global Health Care Class
Investors Global Infrastructure Class
Investors Global Natural Resources Class
Investors Global Science & Technology Class
IG Mackenzie Global Precious Metals Class
Allegro Income Balanced Portfolio Class (to be known as IG Core Portfolio Class – Income Balanced)
Allegro Balanced Portfolio Class (to be known as IG Core Portfolio Class – Balanced)
Allegro Balanced Growth Portfolio Class (to be known as IG Core Portfolio Class – Balanced Growth)
Allegro Balanced Growth Portfolio Class II (to be known as IG Core Portfolio Class – Balanced Growth II)
Allegro Growth Portfolio Class (to be known as IG Core Portfolio Class – Growth)
Allegro Growth Portfolio Class II (to be known as IG Core Portfolio Class – Growth II)
Maestro Income Balanced Portfolio Class (to be known as IG Managed Risk Portfolio Class – Income Balanced)3, 7
Maestro Balanced Portfolio Class (to be known as IG Managed Risk Portfolio Class – Balanced)
Maestro Growth Focused Portfolio Class (to be known as IG Managed Risk Portfolio Class – Growth Focus)
Principal Regulator – Manitoba
Type and Date:
Amended and Restated to Final Simplified Prospectus dated September 20, 2018
Received on October 5, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
Investors Group Financial Services Inc. and Investors Group Securities Inc.
Investors Group Financial Inc.
Investors Financial Services Inc.
Promoter(s):
I.G. Investment Management Ltd.
Project #2776337

Issuer Name:
BlackRock – IG Active Allocation Pool I
BlackRock – IG Active Allocation Pool II
BlackRock – IG Active Allocation Pool III
Principal Regulator – Manitoba
Type and Date:
Preliminary Simplified Prospectus dated September 28, 2018
NP 11-202 Preliminary Receipt dated October 4, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
Investors Group Financial Inc. and Investors Group Securities Inc.
Promoter(s):
I.G. Investment Management, Ltd.
Project #2827994

Issuer Name:
RBC Private Canadian Growth and Income Equity Pool
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated October 2, 2018
Received on October 2, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
RBC Global Asset Management Inc. (other than Series A)
Royal Mutual Funds Inc./RBC Direct Investing Inc.
The Royal Trust Company
RBC Dominion Securities Inc.
Phillips, Hager & North Investment Funds Ltd.
Promoter(s):
RBC Global Asset Management Inc. (other than Series A)
Project #2774740

Issuer Name:
Caldwell U.S. Dividend Advantage Fund
Principal Regulator – Ontario
Type and Date:
Preliminary Simplified Prospectus dated September 28, 2018
NP 11-202 Preliminary Receipt dated October 4, 2018
Offering Price and Description:
Series A and Series F units
Underwriter(s) or Distributor(s):
Caldwell Securities Ltd.
Promoter(s):
N/A
Project #2828348

Issuer Name:
Dynamic Active Core Bond Private Pool
Dynamic Active Credit Strategies Private Pool
Dynamic Alternative Managed Risk Private Pool Class
Dynamic Asset Allocation Private Pool
Dynamic Canadian Equity Private Pool Class
Dynamic Conservative Yield Private Pool
Dynamic Conservative Yield Private Pool Class
Dynamic Global Equity Private Pool Class
Dynamic Global Yield Private Pool
Dynamic Global Yield Private Pool Class
Dynamic International Dividend Private Pool
Dynamic North American Dividend Private Pool
Dynamic Premium Bond Private Pool
Dynamic Premium Bond Private Pool Class
Dynamic Tactical Bond Private Pool
Dynamic U.S. Equity Private Pool Class
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus and Amendment #2 to Annual Information Form dated October 3, 2018
Received on October 3, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
1832 Asset Management L.P.
Promoter(s):
1832 Asset Management L.P.
Project #2757005

Issuer Name:
First Asset Cambridge Core U.S. Equity ETF
First Asset Cambridge Global Dividend ETF
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated October 3, 2018
Received on October 3, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2743212

Issuer Name:
Hamilton Capital Canadian Bank Dynamic-Weight ETF
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated October 4, 2018
Received on October 5, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Hamilton Capital Partners Inc.
Project #2793218

Issuer Name:
Horizons S&P/TSX 60™ Index ETF
Horizons S&P 500® Index ETF
Horizons S&P/TSX Capped Financials Index ETF
Horizons US 7-10 Year Treasury Bond ETF
Horizons NASDAQ-100® Index ETF
Horizons EURO STOXX 50® Index ETF
Horizons S&P 500 CAD Hedged Index ETF
Horizons Intl Developed Markets Equity Index ETF
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated October 2, 2018
Received on October 4, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Horizons ETFs Management (Canada) Inc.
Project #2799066

Issuer Name:
Mackenzie Canadian All Cap Dividend Class
Mackenzie Canadian All Cap Value Class
Mackenzie Canadian Bond Fund
Mackenzie Canadian Growth Balanced Class
Mackenzie Canadian Growth Balanced Fund
Mackenzie Canadian Growth Class
Mackenzie Canadian Growth Fund
Mackenzie Canadian Large Cap Dividend Class
Mackenzie Canadian Money Market Fund
Mackenzie Canadian Resource Fund
Mackenzie Canadian Short Term Income Fund
Mackenzie Canadian Small Cap Class
Mackenzie Corporate Bond Fund
Mackenzie Global Dividend Fund
Mackenzie Global Growth Class
Mackenzie Global Small Cap Fund
Mackenzie Global Tactical Bond Fund
Mackenzie Income Fund
Mackenzie Ivy Canadian Fund
Mackenzie Ivy International Fund
Mackenzie Monthly Income Balanced Portfolio
Mackenzie Monthly Income Conservative Portfolio
Mackenzie Private Canadian Focused Equity Pool
Mackenzie Private Canadian Focused Equity Pool Class
Mackenzie Private Global Conservative Income Balanced Pool
Mackenzie Private Global Equity Pool
Mackenzie Private Global Equity Pool Class
Mackenzie Private Global Fixed Income Pool
Mackenzie Private Global Income Balanced Pool
Mackenzie Private Income Balanced Pool
Mackenzie Private Income Balanced Pool Class
Mackenzie Private US Equity Pool
Mackenzie Private US Equity Pool Class
Mackenzie Strategic Bond Fund
Mackenzie Strategic Income Fund
Mackenzie US Mid Cap Growth Class
Symmetry Balanced Portfolio
Symmetry Balanced Portfolio Class
Symmetry Conservative Income Portfolio
Symmetry Conservative Income Portfolio Class
Symmetry Conservative Portfolio
Symmetry Conservative Portfolio Class
Symmetry Equity Portfolio Class
Symmetry Fixed Income Portfolio
Symmetry Growth Portfolio
Symmetry Growth Portfolio Class
Symmetry Moderate Growth Portfolio
Symmetry Moderate Growth Portfolio Class
Principal Regulator – Ontario
Type and Date:
Combined Preliminary and Pro Forma Simplified Prospectus dated September 28, 2018
NP 11-202 Preliminary Receipt dated October 3, 2018
Offering Price and Description:
Series LB, LF, LF5, LW, LW5 and LX securities
Underwriter(s) or Distributor(s):
LBC Financial Services Inc.
Promoter(s):
Mackenzie Financial Corporation
Project #2827888

Issuer Name:
Short Term Bond Fund (Portico)
Real Return Bond Fund (Portico)
U.S. Value Fund
Mackenzie US Mid Cap Growth Class
Canadian Equity Class
North American Specialty Class
U.S. and International Equity Class
U.S. and International Specialty Class
Canadian Dividend Class (Laketon)
Global All Cap Equity Class (Setanta)
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 3, 2018
Offering Price and Description:
D5 Series, H5 Series, L5 Series, N5 Series, QF5 Series, HW5 Series, QFW5 Series, D8 Series, H8 Series, L8 Series, N8 Series and HW8 Series
Underwriter(s) or Distributor(s):
Quadrus Investment Services Ltd.
Quadrus Investment Services Inc.
Promoter(s):
Mackenzie Financial Corporation
Project #2767715

Issuer Name:
Alignvest Top 20 Fund
Principal Regulator – Ontario
Type and Date:
Final Simplified Prospectus dated October 4, 2018
NP 11-202 Receipt dated October 5, 2018
Offering Price and Description:
Class A and Class F Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Alignvest Capital Management Inc.
Project #2819669

Issuer Name:
Big Pharma Split Corp.
Principal Regulator – Ontario
Type and Date:
Final Shelf Prospectus (NI 44-102) dated October 4, 2018
NP 11-202 Receipt dated October 5, 2018
Offering Price and Description:
$200,000,000
Preferred Shares
Class A Shares
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Harvest Portfolios Group Inc.
Project #2825050

Issuer Name:
BMO Advantaged Equal Weight Banks TACTIC Fund
BMO Advantaged Equal Weight Oil & Gas TACTIC Fund
BMO Advantaged Laddered Preferred Share TACTIC Fund
BMO Advantaged S&P/TSX Capped Composite TACTIC Fund
Principal Regulator – Ontario
Type and Date:
Final Long Form Prospectus dated October 1, 2018
NP 11-202 Receipt dated October 2, 2018
Offering Price and Description:
Series A Shares, Series D Shares, Series F Shares and Series I
Shares
Underwriter(s) or Distributor(s):
CIBC Mellon Trust Company
Promoter(s):
N/A
Project #2794907

Issuer Name:
Dynamic Alpha Performance II Fund
Dynamic Premium Yield PLUS Fund
Principal Regulator – Ontario
Type and Date:
Final Simplified Prospectus dated October 1, 2018
NP 11-202 Receipt dated October 2, 2018
Offering Price and Description:
Series A, F, FH, FT, H, I, O and T Units
Underwriter(s) or Distributor(s):
1832 Asset Management L.P.
Promoter(s):
1832 Asset Management L.P.
Project #2808545

Issuer Name:
Mackenzie All China Equity Fund
Mackenzie Balanced ETF Portfolio
Mackenzie Canadian All Cap Dividend Class
Mackenzie Canadian All Cap Dividend Fund
Mackenzie Canadian All Cap Value Class
Mackenzie Canadian All Cap Value Fund
Mackenzie Canadian Balanced Fund
Mackenzie Canadian Bond Fund
Mackenzie Canadian Growth Balanced Class
Mackenzie Canadian Growth Balanced Fund
Mackenzie Canadian Growth Class
Mackenzie Canadian Growth Fund
Mackenzie Canadian Large Cap Dividend Class
Mackenzie Canadian Large Cap Dividend Fund
Mackenzie Canadian Money Market Fund
Mackenzie Canadian Resource Fund
Mackenzie Canadian Short Term Income Fund
Mackenzie Canadian Small Cap Class
Mackenzie Canadian Small Cap Fund
Mackenzie Conservative ETF Portfolio
Mackenzie Conservative Income ETF Portfolio
Mackenzie Corporate Bond Fund
Mackenzie Cundill Canadian Balanced Fund
Mackenzie Cundill Canadian Security Class
Mackenzie Cundill Canadian Security Fund
Mackenzie Cundill Recovery Class
Mackenzie Cundill Recovery Fund
Mackenzie Cundill US Class
Mackenzie Cundill Value Class
Mackenzie Cundill Value Fund
Mackenzie Diversified Alternatives Fund
Mackenzie Emerging Markets Class
Mackenzie Emerging Markets Fund
Mackenzie Floating Rate Income Fund
Mackenzie Global Credit Opportunities Fund
Mackenzie Global Dividend Fund
Mackenzie Global Environmental Equity Fund
Mackenzie Global Equity Fund
Mackenzie Global Growth Class
Mackenzie Global Leadership Impact Fund
Mackenzie Global Resource Class
Mackenzie Global Small Cap Class
Mackenzie Global Small Cap Fund
Mackenzie Global Strategic Income Fund
Mackenzie Global Sustainability and Impact Balanced Fund
Mackenzie Global Tactical Bond Fund
Mackenzie Global Tactical Investment Grade Bond Fund
Mackenzie Gold Bullion Class
Mackenzie Growth ETF Portfolio
Mackenzie Growth Fund
Mackenzie High Diversification Canadian Equity Class
Mackenzie High Diversification Emerging Markets Equity Fund
Mackenzie High Diversification European Equity Fund
Mackenzie High Diversification Global Equity Fund
Mackenzie High Diversification International Equity Fund
Mackenzie High Diversification US Equity Fund
Mackenzie Income Fund
Mackenzie Investment Grade Floating Rate Fund
Mackenzie Ivy Canadian Balanced Class
Mackenzie Ivy Canadian Balanced Fund
Mackenzie Ivy Canadian Fund
Mackenzie Ivy European Class
Mackenzie Ivy Foreign Equity Class
Mackenzie Ivy Foreign Equity Currency Neutral Class
Mackenzie Ivy Foreign Equity Fund
Mackenzie Ivy Global Balanced Class
Mackenzie Ivy Global Balanced Fund
Mackenzie Ivy International Class
Mackenzie Ivy International Fund
Mackenzie Moderate Growth ETF Portfolio
Mackenzie Monthly Income Balanced Portfolio
Mackenzie Monthly Income Conservative Portfolio
Mackenzie North American Corporate Bond Fund
Mackenzie Precious Metals Class
Mackenzie Private Canadian Focused Equity Pool
Mackenzie Private Canadian Focused Equity Pool Class
Mackenzie Private Global Conservative Income Balanced Pool
Mackenzie Private Global Equity Pool
Mackenzie Private Global Equity Pool Class
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Mackenzie Private US Equity Pool Class
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Mackenzie Strategic Income Fund
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Mackenzie US Mid Cap Growth Class
Mackenzie US Mid Cap Growth Currency Neutral Class
Mackenzie US Strategic Income Fund
Mackenzie USD Global Strategic Income Fund
Mackenzie USD Global Tactical Bond Fund
Mackenzie USD Ultra Short Duration Income Fund
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Symmetry Balanced Portfolio Class
Symmetry Conservative Income Portfolio
Symmetry Conservative Income Portfolio Class
Symmetry Conservative Portfolio
Symmetry Conservative Portfolio Class
Symmetry Equity Portfolio Class
Symmetry Fixed Income Portfolio
Symmetry Growth Portfolio
Symmetry Growth Portfolio Class
Symmetry Moderate Growth Portfolio
Symmetry Moderate Growth Portfolio Class
Principal Regulator – Ontario
Type and Date:
Final Simplified Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 4, 2018
Offering Price and Description:
Series A, B, C, D, DA, F, F5, F6, F8, FB, FB5, G, GP, I, O, O6, PW, PWB, PWT5, PWT6, PWX5, PWF, PWF5, PWF8, PWR, PWT5, PWT8, PWFB, PWFB5, PWX, PWX8, S6, S8, SC, T5, T6, T8 and Investor Series securities @ net asset value
Underwriter(s) or Distributor(s):
Quadrus Investment Services Ltd.
LBC Financial Services Inc.

Promoter(s):
MACKENZIE FINANCIAL CORPORATION
Project #2804068

Issuer Name:
Mackenzie Canadian All Cap Dividend Class
Mackenzie Canadian All Cap Value Class
Mackenzie Income Fund
Mackenzie Strategic Income Fund
Principal Regulator – Ontario
Type and Date:
Amendment #4 to Final Simplified Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 5, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
LBC Financial Services Inc.
Promoter(s):
Mackenzie Financial Corporation
Project #2680408

Issuer Name:
Manulife Global Franchise Class (formerly Manulife Global Equity Unconstrained Class)
Manulife Global Franchise Fund (formerly Manulife Global Equity Unconstrained Fund)
Manulife International Focused Fund (to be renamed Manulife EAFE Equity Fund)
Manulife International Value Equity Fund
Manulife Strategic Dividend Bundle
Principal Regulator – Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 2, 2018
Offering Price and Description:
–
Underwriter(s) or Distributor(s):
Manulife Securities Incorporated
Manulife Securities Investment Services Inc.
Promoter(s):
N/A
Project #2783412

Issuer Name:
Phillips, Hager & North LifeTime 2055 Fund
Principal Regulator – Ontario
Type and Date:
Final Simplified Prospectus dated October 4, 2018
NP 11-202 Receipt dated October 5, 2018
Offering Price and Description:
Series D, Series F and Series O units
Underwriter(s) or Distributor(s):
RBC Global Asset Management Inc.
Promoter(s):
N/A
Project #2820667

NON-INVESTMENT FUNDS

Issuer Name:
Acasti Pharma Inc.
Principal Regulator – Quebec
Type and Date:
Preliminary Short Form Prospectus dated October 3, 2018
NP 11-202 Preliminary Receipt dated October 3, 2018
Offering Price and Description:
$* – * Class A Shares
Underwriter(s) or Distributor(s):
Mackie Research Capital Corporation
Promoter(s):
–
Project #2828288

Issuer Name:
Acasti Pharma Inc.
Principal Regulator – Quebec
Type and Date:
Amendment dated October 4, 2018 to Preliminary Short Form Prospectus dated October 3, 2018
NP 11-202 Preliminary Receipt dated October 5, 2018
Offering Price and Description:
$24,000,000.00 (18,750,000 Class A Shares)
Price: $1.28 per Common Share
Underwriter(s) or Distributor(s):
Mackie Research Capital Corporation
Promoter(s):
–
Project #2828288

Issuer Name:
Invictus MD Strategies Corp.
Principal Regulator – British Columbia
Type and Date:
Preliminary Short Form Prospectus dated October 2, 2018
NP 11-202 Preliminary Receipt dated October 3, 2018
Offering Price and Description:
$20,000,000 – 10,000,000 Units
Price: $2.00 per Unit
Underwriter(s) or Distributor(s):
PI FINANCIAL CORP.
GMP SECURITIES L.P.
CANACCORD GENUITY CORP.
ECHELON WEALTH PARTNERS INC.
Promoter(s):
–
Project #2825827

Issuer Name:
Namaste Technologies Inc. (formerly Next Gen Metals Inc.)
Principal Regulator – British Columbia
Type and Date:
Preliminary Short Form Prospectus dated October 2, 2018
NP 11-202 Preliminary Receipt dated October 2, 2018
Offering Price and Description:
$45,000,000 -15,000,000 UNITS
Price: $3.00 per Unit
Underwriter(s) or Distributor(s):
EIGHT CAPITAL
CANACCORD GENUITY CORP.
LAURENTIAN BANK SECURITIES INC.
Promoter(s):
Sean Dollinger
Project #2827965

Issuer Name:
Pinehurst Capital I Inc.
Principal Regulator – Ontario
Type and Date:
Preliminary CPC Prospectus ( ) dated October 3, 2018
NP 11-202 Preliminary Receipt dated October 9, 2018
Offering Price and Description:
$200,000.00 (2,000,000 Common Shares)
Price: $0.10 per Common Share
Underwriter(s) or Distributor(s):
M Partners Inc.
Promoter(s):
Ilana Prussky
Project #2828351

Issuer Name:
The Green Organic Dutchman Holdings Ltd.
Principal Regulator – Ontario
Type and Date:
Preliminary Short Form Prospectus dated October 4, 2018
NP 11-202 Preliminary Receipt dated October 5, 2018
Offering Price and Description:
$75,007,500.00 – 10,950,000 Units
Price: $6.85 per Unit
Underwriter(s) or Distributor(s):
Canaccord Genuity Corp.
PI Financial Corp.
Laurentian Bank Securities Inc.
Promoter(s):
–
Project #2828694

Issuer Name:
The Supreme Cannabis Company, Inc.
Principal Regulator – Ontario
Type and Date:
Preliminary Short Form Prospectus dated October 3, 2018
NP 11-202 Preliminary Receipt dated October 3, 2018
Offering Price and Description:
$90,000,000.00 – $90,000,000 aggregate principal amount of 6.0% Senior Unsecured Convertible Debentures
Price: $1,000 per Debenture
Underwriter(s) or Distributor(s):
GMP SECURITIES L.P.
BMO NESBITT BURNS INC.
CORMARK SECURITIES INC.
EIGHT CAPITAL
BEACON SECURITIES LIMITED
P.I. FINANCIAL CORP
Promoter(s):
–
Project #2826317

Issuer Name:
UrbanGold Minerals Inc.
Principal Regulator – Ontario
Type and Date:
Preliminary Long Form Prospectus dated October 5, 2018
NP 11-202 Preliminary Receipt dated October 9, 2018
Offering Price and Description:
Minimum of $850,000.00 (8,500,000 Units)
Maximum of $1,500,000.00 (15,000,000 Units)
Price: $0.10 per Unit

Minimum of $1,000,000.00 (7,692,308 Flow-Through Common Shares)
Maximum of $1,500,000.00 (11,58,462 Flow-Through Common Shares)
Price: #0.13 per Flow-Through Common Share
Underwriter(s) or Distributor(s):
Industrial Alliance Securities Inc.
Promoter(s):
Jens Eskelund-Hansen
Project #2828893

Issuer Name:
VersaPay Corporation
Principal Regulator – Ontario
Type and Date:
Preliminary Short Form Prospectus dated October 2, 2018
NP 11-202 Preliminary Receipt dated October 2, 2018
Offering Price and Description:
$8,001,000 – 4,572,000 Common Shares
Price: $1.75 per Offered Share
Underwriter(s) or Distributor(s):
RAYMOND JAMES LTD.
HAYWOOD SECURITIES INC.
PI FINANCIAL CORP.
Promoter(s):
–
Project #2825696

Issuer Name:
Central Timmins Exploration Corp.
Principal Regulator – Ontario
Type and Date:
Final Long Form Prospectus dated October 4, 2018
NP 11-202 Receipt dated October 5, 2018
Offering Price and Description:
$1,500,000.00 – 15,000,000 Common Shares
$0.10 per Common Share
Underwriter(s) or Distributor(s):
PI Financial Corp.
Promoter(s):
Charles Gryba
Neville Dastoor
Mark Wellings
Jens Mayer
Project #2798340

Issuer Name:
Genworth MI Canada Inc.
Principal Regulator – Ontario
Type and Date:
Final Shelf Prospectus (NI 44-102) dated October 2, 2018
NP 11-202 Receipt dated October 3, 2018
Offering Price and Description:
$3,000,000,000.00 – Debt Securities, Preferred Shares, Common Shares, Subscription Receipts, Warrants, Units
Underwriter(s) or Distributor(s):
–
Promoter(s):
–
Project #2822378

Issuer Name:
iAnthus Capital Holdings, Inc.
Principal Regulator – Ontario
Type and Date:
Final Short Form Prospectus dated October 3, 2018
NP 11-202 Receipt dated October 4, 2018
Offering Price and Description:
$30,004,800.00 – 4,512,000 Common Shares
Price: $6.65 per Common Share
Underwriter(s) or Distributor(s):
GMP Securities L.P.
Canaccord Genuity Corp.
Cormark Securities Inc.
Beacon Securities Limited
Echelon Wealth Partners Inc.
PI Financial Corp.
Promoter(s):
Hadley Ford
Project #2823590

Issuer Name:
Maricann Group Inc.
Principal Regulator – Ontario
Type and Date:
Final Short Form Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 2, 2018
Offering Price and Description:
23,376,100 Common Shares and 23,376,100 Warrants issuable upon deemed exercise of 23,376,100 Special Warrants
Price Per Special Warrant:: $1.60
Underwriter(s) or Distributor(s):
Canaccord Genuity Corp.
GMP Securities L.P.
Promoter(s):
–
Project #2809296

Issuer Name:
Prairie Provident Resources Inc.
Principal Regulator – Alberta
Type and Date:
Final Short Form Prospectus dated September 28, 2018
NP 11-202 Receipt dated October 2, 2018
Offering Price and Description:
$1,500,060.00 – 3,261,000 Flow-Through Shares
$0.46 per Flow-Through Share
$2,500,290.00 – 6,411,000 Subscription Receipts each representing the right to receive one Unit
$0.39 per Subscription Receipt
Underwriter(s) or Distributor(s):
Mackie Research Capital Corporation
Promoter(s):
–
Project #2823697

Issuer Name:
Rubicon Organics Inc.
Principal Regulator – British Columbia
Type and Date:
Final Long Form Prospectus dated October 2, 2018
NP 11-202 Receipt dated October 3, 2018
Offering Price and Description:
3,658,820 Common Shares and 1,829,410 Warrants Issuable on Exercise of 3,658,820 Special Warrants
Total: C$11,816,168.00
Price per Special Warrant: C$3.25
Underwriter(s) or Distributor(s):
Canaccord Genuity Corp.
Mackie Research Capital Corporation
Haywood Securities Inc.
Promoter(s):
–
Project #2808529

Issuer Name:
Sunniva Inc.
Principal Regulator – British Columbia
Type and Date:
Final Short Form Prospectus dated October 4, 2018
NP 11-202 Receipt dated October 4, 2018
Offering Price and Description:
$20,026,000.00 – 3,800,000Units
$5.27 per Unit
Underwriter(s) or Distributor(s):
–
Promoter(s):
–
Project #2823332

Issuer Name:
Valens Groworks Corp. (formerly Genovation Capital Corp.)
Principal Regulator – British Columbia
Type and Date:
Final Short Form Prospectus dated October 3, 2018
NP 11-202 Receipt dated October 3, 2018
Offering Price and Description:
$25,000,000.00 – 12,820,513 Units $1.95 per Unit
Underwriter(s) or Distributor(s):
AltaCorp Capital Inc.
Mackie Research Capital Corp.
Beacon Securities Limited
Promoter(s):
–
Project #2823260

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Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Name Change	From: NS Partners (Canada) Ltd. To: Connor, Clark & Lunn (Canada) Ltd.	Investment Fund Manager and Portfolio Manager	September 1, 2018
New Registration	Wealthsimple Advisor Services Inc.	Mutual Fund Dealer	October 4, 2018
Voluntary Surrender	State Farm Investor Services (Canada) Co.	Mutual Fund Dealer	October 1, 2018

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Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.2 Marketplaces

13.2.1 Nasdaq CXC Limited – Housekeeping Amendments to Trading Rules and Policies – Notice of Housekeeping Amendments

NASDAQ CXC LIMITED

NOTICE OF HOUSEKEEPING RULE AMENDMENTS

HOUSEKEEPING AMENDMENTS TO TRADING RULES AND POLICIES

Introduction

Nasdaq CXC Limited (Nasdaq Canada) has adopted, and the Ontario Securities Commission (OSC) has approved, housekeeping amendments (Amendments) to the Nasdaq Canada Trading Rules and Policies in accordance with Schedule 5 to its recognition order, as amended (Protocol). The Amendments are Housekeeping Rules under the Protocol and as such have not been published for comment. The OSC has not disagreed with the categorization of the Amendments as Housekeeping Rules.

Description of Change

Nasdaq Canada is proposing to expand the Trading Sessions for the CXC Trading Book and the CX2 Trading Book from 8:30 a.m. through 5:00 p.m. to 8:00 a.m. through 5:00 p.m.

Expected Date of Implementation

The Amendments will be implemented on November 1st 2018.

Any questions regarding these changes should be addressed to
Matt Thompson, Nasdaq CXC Limited: matthew.thompson@nasdaq.com, T: 416-647-6242

APPENDIX A

TEXT OF AMENDMENTS TO THE TRADING RULES AND POLICIES

5.2 Trading Sessions

1. The Exchange shall be open for Trading Sessions on each Business Day.

2. Unless otherwise changed, the hours of the Trading Session for CXC and CX2 Trading Books are 8: 00 a.m. through 5:00 p.m. (Eastern Time). The hours of the Trading Session for CXD are 9:30 a.m. through 4:00 p.m.

3. Changes to Trading Sessions are published by Notice on the Exchange website.

13.3 Clearing Agencies

13.3.1 CDCC – Proposed Amendments to the Rules and Operations Manual of CDCC to Accommodate the Extension of the Trading Hours at Bourse de Montreal Inc. – Notice of Commission Approval

CANADIAN DERIVATIVES CLEARING CORPORATION (CDCC)

NOTICE OF COMMISSION APPROVAL

PROPOSED AMENDMENTS TO THE RULES AND OPERATIONS MANUAL OF CDCC TO ACCOMMODATE THE EXTENSION OF THE TRADING HOURS AT BOURSE DE MONTREAL INC.

In accordance with the Rule Protocol between the Ontario Securities Commission (Commission) and the Canadian Derivatives Clearing Corporation (CDCC), the Commission approved on October 2, 2018 the Amendments to the Rules and Operations Manual of CDCC to Accommodate the Extension of the Trading Hours at Bourse De Montreal Inc.

A copy of the CDCC notice was published for comment on November 23, 2018 on the Commission's website at: http://www.osc.gov.on.ca. No comments were received.

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1832 Asset Management L.P.
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Avcorp Industries Inc.
Order 7912

Callitas Health Inc.
Cease Trading Order 7949

CDCC
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