The Ontario Securities Commission

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Commodity Futures Act of Ontario (R.S.O. 1990, c. C.20)

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Chapter 1

Notices

1.1 Notices

1.1.1 CSA Staff Notice 13-315 (Revised) – Securities Regulatory Authority Closed Dates 2020

CSA Staff Notice 13-315 (Revised)
Securities Regulatory Authority Closed Dates 2020*

December 12, 2019

We have a review system for prospectuses (including long form, short form and mutual fund prospectuses), prospectus amendments, pre-filings, and waiver applications. It is described in National Policy 11-202 *Process for Prospectus Reviews in Multiple Jurisdictions* (**NP 11-202**).

Under NP 11-202, a filer that receives a receipt from the principal regulator will be deemed to have a receipt in each passport jurisdiction where the prospectus was filed. However, the principal regulator's receipt will only evidence that the Ontario Securities Commission (**OSC**) has issued a receipt if the OSC is open on the date of the principal regulator's receipt and has indicated that it is "clear for final". If the OSC is not open on the date of the principal regulator's receipt, the principal regulator will issue a second receipt that evidences that the OSC has issued a receipt on the next day that the OSC is open.

The following is a list of the closed dates of the securities regulatory authorities for 2020 and January 2021. Bracketed information indicates those jurisdictions that are closed on the particular date. Issuers should note these dates in structuring their affairs.

1. Saturdays and Sundays (all)
2. Wednesday, January 1 (all)
3. Thursday, January 2 (QC)
4. Monday, February 17 (BC, AB, SK, MB, ON, NB, PE, NS)
5. Friday, February 21 (YT)
6. Monday, March 16 (NL)
7. Friday, April 10 (all)
8. Monday, April 13 (all except AB, SK, NU, ON)
9. Monday, May 18 (all)
10. Monday, June 22 (NL, YT, NT)
11. Wednesday, June 24 (QC)
12. Wednesday, July 1 (all)
13. Thursday, July 9 (NU)
14. Monday, July 13 (NL)
15. Monday, July 31 (SK)

16. Monday, August 3 (all except YT, QC, NL, PE)
17. Wednesday, August 5 (NL*)
18. Monday, August 17 (YT)
19. Friday, August 21 (PE)
20. Monday, September 7 (all)
21. Monday, October 12 (all)
22. Wednesday, November 11 (all except AB, ON, QC)
23. Wednesday, December 23 (NT)
24. Thursday, December 24 (NT, QC)
25. Thursday, December 24 after 12:00 p.m. (NB, PE, NS), after 1:00 p.m. (YT, BC)
26. Friday, December 25 (all)
27. Monday, December 28 (all)
28. Tuesday, December 29 (NT)
29. Wednesday, December 30 (NT)
30. Thursday, December 31 (NT, QC)
31. Thursday, December 31 after 12:00 p.m. (NB), after 1:00 p.m. (BC)
32. Friday, January 1, **2021** (all)
33. Monday, January 4, **2021** (QC)

*Weather permitting, otherwise observed on the first following acceptable weather day, such determination made on morning of holiday.

1.1.2 Notice of Ministerial Approval of Amendments to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations

NOTICE OF MINISTERIAL APPROVAL OF AMENDMENTS TO
NATIONAL INSTRUMENT 31-103
REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS

On November 26, 2019, the Minister of Finance approved, pursuant to section 143.3 of the *Securities Act* (Ontario), amendments made by the Ontario Securities Commission (**OSC** or the **Commission**) to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) (the **Amendments**).

The Amendments, as well as corresponding changes to commentaries and Companion Policy, were published on the OSC website at http://www.osc.gov.on.ca and in the OSC Bulletin in (2019) 42 OSCB Supp-1 on October 4, 2019. Except as noted below, the same material is being published today in Chapter 5 of this Bulletin.

The Amendments now also reflect the elimination of unnecessary changes by the Commission to subsections 9.3(1), 9.3(2), 9.4(1) and 9.4(2) of NI 31-103. The Amendments also now reflect revisions to subsections 9.4(1.2) and (1.3) of NI 31-103, which apply only in the province of Quebec and duplicate identical changes made by the Autorité des marchés financiers. Today's Chapter 5 incorporates these additional amendments and corresponding changes to the Companion Policy for NI 31-103.

The Amendments relating to conflicts of interest and the associated relationship disclosure information provisions come into force on December 31, 2020. The remaining Amendments come into force on December 31, 2021.

1.4 Notices from the Office of the Secretary

1.4.1 Aly Babu Husein Mawji

FOR IMMEDIATE RELEASE
December 4, 2019

ALY BABU HUSEIN MAWJI,
File No. 2019-38

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

A copy of the Reasons and Decision and the Order dated December 3, 2019 are available at www.osc.gov.on.ca.

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GRACE KNAKOWSKI
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1.4.2 The Catalyst Group Inc. et al.

FOR IMMEDIATE RELEASE
December 5, 2019

THE CATALYST CAPITAL GROUP INC. and HUDSON'S BAY COMPANY, RICHARD A. BAKER, LISA BAKER, LISA AND RICHARD BAKER ENTERPRISES, LLC, RED TRUST, YELLOW TRUST, BLUE TRUST, ROBERT BAKER, CHRISTINA BAKER, A TRUST FOR BETTINA JANE RICHMAN, A TRUST FOR EMMA RICHMAN, A TRUST FOR FRANCESCA RICHMAN, ASHLEY S. BAKER 3/15/84 TRUST, LION TRUST, MR. AND MRS. ROBERT BAKER FAMILY FOUNDATION, CHRISTINA BAKER TRUST FOR GRANDCHILDREN, ROBERT C. BAKER TRUST FOR GRANDCHILDREN, WILLIAM MACK, THE WILLIAM AND PHYLLIS MACK FAMILY FOUNDATION, INC., MACK 2010 FAMILY TRUST I, RICHARD MACK WRS ADVISORS III, LLC, WRS ADVISORS IV, LLC, LEE NEIBART, LEE S. NEIBART 2010 GRAT, HANOVER INVESTMENTS (LUXEMBOURG) S.A., ABRAMS CAPITAL PARTNERS I, L.P., ABRAMS CAPITAL PARTNERS II, L.P., WHITECREST PARTNERS, LP, FABRIC LUXEMBOURG HOLDINGS S.À.R.L.,
File No. 2019-41

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

A copy of the Order dated December 5, 2019 is available at www.osc.gov.on.ca.

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1.4.3 The Catalyst Group Inc. et al.

FOR IMMEDIATE RELEASE
December 6, 2019

THE CATALYST CAPITAL GROUP INC. and HUDSON'S BAY COMPANY, RICHARD A. BAKER, LISA BAKER, LISA AND RICHARD BAKER ENTERPRISES, LLC, RED TRUST, YELLOW TRUST, BLUE TRUST, ROBERT BAKER, CHRISTINA BAKER, A TRUST FOR BETTINA JANE RICHMAN, A TRUST FOR EMMA RICHMAN, A TRUST FOR FRANCESCA RICHMAN, ASHLEY S. BAKER 3/15/84 TRUST, LION TRUST, MR. AND MRS. ROBERT BAKER FAMILY FOUNDATION, CHRISTINA BAKER TRUST FOR GRANDCHILDREN, ROBERT C. BAKER TRUST FOR GRANDCHILDREN, WILLIAM MACK, THE WILLIAM AND PHYLLIS MACK FAMILY FOUNDATION, INC., MACK 2010 FAMILY TRUST I, RICHARD MACK WRS ADVISORS III, LLC, WRS ADVISORS IV, LLC, LEE NEIBART, LEE S. NEIBART 2010 GRAT, HANOVER INVESTMENTS (LUXEMBOURG) S.A., ABRAMS CAPITAL PARTNERS I, L.P., ABRAMS CAPITAL PARTNERS II, L.P., WHITECREST PARTNERS, LP, FABRIC LUXEMBOURG HOLDINGS S.À.R.L., L&T B (CAYMAN) INC. and RUPERT ACQUISITION LLC, File No. 2019-41

TORONTO – The Applicant, The Catalyst Capital Group Inc. filed an Amended Application dated December 2, 2019.

A copy of the Amended Application dated December 2, 2019 is available at www.osc.gov.on.ca.

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1.4.4 Majd Kitmitto et al.

FOR IMMEDIATE RELEASE
December 10, 2019

MAJD KITMITTO, STEVEN VANNATTA, CHRISTOPHER CANDUSSO, CLAUDIO CANDUSSO, DONALD ALEXANDER (SANDY) GOSS, JOHN FIELDING, and FRANK FAKHRY, File No. 2018-70

TORONTO – Take notice the hearing in the above named matter scheduled to be heard on December 13, 2019 at 10:00 a.m. is vacated.

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Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Strathbridge Asset Management Inc. et al.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Approval of investment fund merger – approval required because merger does not meet the criteria for pre-approved reorganizations and transfers – merger will not be a "qualifying exchange" or a tax-deferred transaction under the Income Tax Act – merger to otherwise comply with pre-approval criteria, including securityholder vote and IRC approval – securityholders provided with timely and adequate disclosure regarding the mergers – National Instrument 81-102 Investment Funds.

Applicable Legislative Provisions

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

November 15, 2019

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
STRATHBRIDGE ASSET MANAGEMENT INC.
(the Filer)

AND

IN THE MATTER OF
LOW VOLATILITY U.S. EQUITY INCOME FUND

AND

NDX GROWTH & INCOME FUND

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of Low Volatility U.S. Equity Income Fund (**LVU**), NDX Growth & Income Fund (**NGI** and together with LVU, the **Terminating Funds**) and Mulvihill Premium Yield Fund (the **Continuing Fund** and together with the Terminating Funds, the **Funds**) for a decision of the principal regulator under the securities legislation of the Jurisdiction of the principal regulator (the Legislation) for approval of the proposed merger of the Funds (the **Merger**) pursuant to subsection 5.5(1)(b) of National Instrument 81-102 Investment Funds (NI 81-102) in connection with (the **Approval 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 subsection 4.7(1) of Multinational Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Yukon, Northwest Territories and Nunavut (together with Ontario, the **Canadian Jurisdictions**).

Interpretation

Defined terms contained 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:

The Filer

1. The Filer is a corporation existing under the laws of Canada with its principal offices located in Toronto, Ontario.

2. The Filer is the manager of the Funds and the trustee of the Continuing Fund.

3. The Filer is registered as an investment fund manager in the Province of Ontario.

4. The Filer is not in default of the securities legislation of any province or territory of Canada.

The Funds

5. LVU is an investment fund established under the laws of the Province of Ontario pursuant to a trust agreement dated February 26, 2013.

6. NGI is an investment fund established under the laws of the Province of Ontario pursuant to a trust agreement dated November 28, 2013.

7. The Continuing Fund is a mutual fund governed by the laws of the Province of Ontario pursuant to an amended and restated declaration of trust dated September 18, 2019.

8. LVU and NGI are reporting issuers under the provinces of Ontario, British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland and Labrador.

9. The Continuing Fund is a reporting issuer under the laws of all of the Canadian Jurisdictions.

10. None of LVU, NGI or the Continuing Fund are in default of the securities legislation of any province or territory of Canada.

11. LVU is a non-redeemable investment fund that offered its units (the **LVU Units**) to the public and completed its initial public offering on March 13, 2013. LVU Units currently trade under the ticker symbol LVU.UN. NGI is a non-redeemable investment fund that offered its Class A units and Class U units (the **NGI Units** and together with the LVU Units, the **Terminating Funds Units**) to the public and completed its initial public offering on December 19, 2013. The Class A units of NGI currently trade under the ticker symbol NGI.UN. The Continuing Fund offers Class A units, Class UA units, Class F units and Class UF units.

12. Other than under circumstances in which the securities regulatory authority or securities regulator of the Canadian Jurisdictions has expressly exempted a Fund therefrom, each of the Funds is governed and follows the standard investment restrictions and practices established by NI 81-102.

13. The investment objectives of LVU are: (a) to maximize risk adjusted returns for holders of LVU Units; and (b) to pay unitholders monthly cash distributions in an amount targeted to be 5.0% per annum on the net asset value (**NAV**) per LVU Unit. LVU was created been to provide investors with an actively managed investment in the common shares of low volatility, large capitalization, U.S. companies while mitigating downside risk and paying a monthly cash distribution. LVU invests in a conservative portfolio consisting primarily of large capitalization equity securities selected from the S&P 100 Index with a beta of less than 1.0 (the **Investment Universe**), combined with selected covered call option writing designed to enhance portfolio income and mitigate downside risk. The investment manager for LVU may also invest up to 25% of LVU's NAV in securities of other issuers included in the S&P 100 Index. The portfolio will generally consist of 20 to 30 securities of issuers selected from the Investment Universe.

14. NGI's investment objectives are to provide holders of units with: (a) stable quarterly cash distributions; and (b) the opportunity for capital appreciation. NGI was created to provide investors with an actively managed portfolio consisting of equity securities of any issuer included in the NASDAQ-100 IndexSM. NGI may invest up to 10% of its NAV in equity securities of any one issuer.

15. MPY has been designed to provide holders with: (i) high quarterly income on a tax efficient basis; (ii) long-term capital appreciation through investment in a portfolio of high quality equity securities; and (iii) lower overall portfolio volatility. MPY will write options to seek to earn tax efficient option premiums, reduce overall portfolio volatility and enhance the portfolio's total return. In order to achieve its investment objectives, MPY will (i) invest in an actively managed portfolio comprised of securities from the S&P/TSX Composite Index and S&P 500 Index; and (ii) use option writing strategies from time to time in response to market conditions to generate an enhanced tax efficient yield. MPY is also permitted to invest in public investment funds including exchange traded funds and other funds managed by the Filer (provided that no more than 15% of the net asset value of may be invested in securities of other funds managed by the Filer and provided there are no duplication of fees) that provide exposure to such securities in accordance with applicable law.

Reasons for Approval Sought

16. The Filer proposes to merge the LVU into the Continuing Fund on or about November 15, 2019 (the **LVU Effective Date**) and NGI into the Continuing Fund on or about November 19, 2019 (the **NGI Effective Date**, and together with the LVU Effective Date, the **Effective Date**). Currently, LVU has net assets of approximately $3.2 million. Currently, NGI has net assets of approximately $3.3 million. The Continuing Fund has accumulated non-capital losses and capital losses which will be available for future use by MPY.

17. The Approval Sought is required because the Merger does not meet all of the criteria for pre-

approved reorganizations and transfers set out in subsection 5.6(1) of NI 81-102.

18. In particular, the Merger will not be a "qualifying exchange" within the meaning of section 132.2 of the *Income Tax Act* (Canada) (the **ITA**) or a tax-deferred transaction under subsection 85(1), 85.1(1), 86(1) or 87(1) of the ITA.

19. Except as described above, the Merger will otherwise comply with all other criteria for pre-approved reorganizations and transfers as set out in section 5.6 of NI 81-102.

20. Although the Merger is being conducted on a taxable basis, in the Filer's view, it is in the best interest of the unitholders of the Funds to complete the Merger on a taxable basis so that the capital losses in the Continuing Fund will continue to be available to the Continuing Fund.

The Merger

21. A press release with respect to the Merger was issued on September 27, 2019 and filed on the System for Electronic Document Analysis and Retrieval (**SEDAR**) on September 30, 2019.

22. A material change report with respect to the Merger was filed on SEDAR for the Terminating Funds on September 30, 2019.

23. Pursuant to National Instrument 81-107 *Independent Review Committee for Investment Funds*, the independent review committee of the Terminating Funds (the **IRC**) reviewed the Merger as a potential "conflict of interest matter", and provided its positive recommendation for the Merger, after determining that the Merger would achieve a fair and reasonable result for the Terminating Funds.

24. Pursuant to paragraph 5.1(1)(f) of NI 81-102, unitholders of each of the Terminating Funds approved the Merger at a special meeting of unitholders held on November 1, 2019 (the **Meeting**), as required by NI 81-102.

25. A notice of meeting, management information circular dated October 2, 2019 (the **Circular**) and forms of proxy in connection with the Meeting (the **Meeting Materials**) were mailed to the unitholders of the Terminating Funds on October 11, 2019 and filed on SEDAR in accordance with applicable securities laws.

26. The Circular describes all of the relevant facts concerning the Merger, including a description of the proposed Merger, information about the Funds, including the differences between the respective investment objectives of the Funds, and income tax considerations for unitholders of the Terminating Funds, as well as the IRC's recommendation of the Merger, so that unitholders of the Terminating Funds may make an informed decision before voting on whether to approve the Merger.

27. The Circular also describes the various ways in which unitholders can obtain for each of the Funds, as applicable, at no cost, the simplified prospectus, the annual information form, the comparative financial statements and the management report of fund performance.

28. Investors of the Terminating Funds had an opportunity to consider this information prior to voting on the Merger at the Meeting.

29. The Merger will not be a "material change" for the Continuing Fund and accordingly, the Filer has no intention to convene a meeting of unitholders for the Continuing Fund to approve the Merger.

30. The Filer will pay for the costs and expenses associated with the Merger, including the cost of holding the meeting and of soliciting proxies, including the costs of mailing the Circular and accompanying materials. None of the Funds will bear any of the costs and expenses associated with the Merger.

31. No fees or sales charges will be payable by unitholders of the Funds in connection with the Merger.

32. The investment portfolio and other assets of the Terminating Funds to be acquired by the Continuing Fund in order to effect the Merger are currently, or will be on the applicable Effective Date, acceptable to the portfolio manager of the Continuing Fund and are, or will be, consistent with the investment objectives of the Continuing Fund.

33. The cash and any other assets of the Terminating Funds acquired by the Continuing Fund in connection with the Merger will be acquired in compliance with NI 81-102.

34. The Merger will be structured substantially as follows:

    (a) The value of the Terminating Funds' portfolios and other assets will be determined as of the close of trading on the business day immediately preceding the applicable Effective Date.

    (b) Immediately following the close of business on the applicable Effective Date, the Terminating Funds will transfer all or substantially all of its net assets to the Continuing Fund in consideration for the issuance by the Continuing Fund to the applicable Terminating Fund of a

number of the Continuing Fund's Class F units (the **Continuing Fund Units**) determined based on an exchange ratio calculated based on the relative NAVs of the Continuing Fund Units and Terminating Funds Units (the **Exchange Ratio**).

(c) Immediately following the transfer of assets of the Terminating Funds to the Continuing Fund and the issuance of Continuing Fund Units to the Terminating Funds, all of the Terminating Funds Units will be automatically redeemed.

(d) Each unitholder of Terminating Funds Units will receive such number of the Continuing Fund Units, as determined by the Exchange Ratio.

(e) The Terminating Funds Units will, subject to the approval of the Toronto Stock Exchange (**TSX**), be de-listed from the TSX in advance of the applicable Effective Date.

(f) As soon as reasonably possible following the Merger, the Terminating Funds will be wound up and the Continuing Fund will continue as an open-ended mutual fund existing under the laws of Ontario.

35. The result of the Merger will be that unitholders of the Terminating Funds will cease to be unitholders of the Terminating Funds and will become unitholders of the Continuing Fund. The Continuing Fund will continue as a publicly offered open-ended mutual fund.

36. If the Merger is approved by the unitholders of the Terminating Funds, unitholders will have a special redemption right to redeem their units if they so choose on November 15, 2019 (**Special Redemption Date**), if they do not wish to participate in the Merger.

37. In addition, unitholders of the Terminating Funds were able to trade their Terminating Funds Units on the TSX in the ordinary course up until at least the close of business on the business day which is one week before the Special Redemption Date.

Benefits of the Merger

38. The Filer believes that the Merger is beneficial to unitholders of the Terminating Fund for the following reasons:

(a) Unitholders will be provided with an opportunity to invest in a continuing fund with improved operational efficiencies and enhanced economic viability. The merger is expected to eliminate the duplicative administrative and regulatory costs of operating the Terminating Funds as separate investment funds.

(b) The Merger is expected to reduce operational costs on a per unit basis and correspondingly improve returns by spreading fixed costs over a greater number of units.

(c) As an open-ended mutual fund, the Continuing Fund will also be able to accept subscriptions daily and thereby have the ability to grow in size and increase in value, with lower administrative costs. In addition, the Continuing Fund's units will be redeemable daily at NAV.

(d) Given the similarities in the investment strategies of the Funds, unitholders of the Terminating Funds will continue to receive exposure to a blue-chip portfolio of common shares of major U.S. issuers with enhanced income generated by option 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 is that the Approval Sought is granted.

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

2.1.2 RP Investment Advisors LP

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – relief granted from short selling restrictions in NI 81-102 to permit alternative mutual funds to short sell "government securities", as defined in NI 81-102, up to 300% of NAV – relief sought in order to short securities in connection with fund's hedging strategy – relief also granted to alternative mutual funds and mutual funds from the requirement in section 6.1 of NI 81-102 that all portfolio assets of an investment fund be held under custodianship of one custodian – relief needed to permit funds to deposit with a prime broker, excluding the value of the proceeds from collateral, additional collateral subject to limits of 10% of the net asset value of a mutual fund that is not an alternative mutual fund and 25% of the net asset value of an alternative mutual fund – National Instrument 81-102 Investment Funds.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds, ss. 2.6.1(1)(c)(v), 2.6.2, 6.1(1), and 19.1.

December 9, 2019

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
RP INVESTMENT ADVISORS LP
(the Filer)

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer on behalf of RP Alternative Global Bond Fund (the **Existing Alternative Mutual Fund**), any alternative mutual fund established in the future and managed by the Filer or an affiliate of the Filer (each, a **Future Alternative Mutual Fund**, and together with the Existing Alternative Mutual Fund, the **Alternative Mutual Funds**), RP Strategic Income Plus Fund (the **Existing Mutual Fund**), and any mutual fund, that is not an alternative mutual fund, established in the future and managed by the Filer or an affiliate of the Filer (each, a **Future Mutual Fund**, and together with the Existing Mutual Fund, the **Mutual Funds**, and together with the Alternative Mutual Funds, the **Funds**, and each, a **Fund**) for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) exempting:

(a) each Alternative Mutual Fund from the following provisions (the **Short Selling Limits**) of National Instrument 81-102 *Investment Funds* (**NI 81-102**) in order to permit each Alternative Mutual Fund to short sell "government securities" (as defined in NI 81-102) up to a maximum of 300% of the Alternative Mutual Fund's net asset value (**NAV**):

a. subparagraph 2.6.1(1)(c)(v), which restricts an Alternative Mutual Fund from selling a security short if, at the time, the aggregate market value of the securities sold short by the Alternative Mutual Fund exceeds 50% of the Alternative Mutual Fund's NAV; and

b. section 2.6.2, which states that an Alternative Mutual Fund may not borrow cash or sell securities short 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 the securities sold short by the Alternative Mutual Fund would exceed 50% of the Alternative Mutual Fund's NAV

(together, the **Short Selling Relief**); and

(b) each Fund from the requirement set out in subsection 6.1(1) of NI 81-102 that provides that, except as provided in sections 6.8, 6.8.1 and 6.9, all portfolio assets of an investment fund must be held under the custodianship of one custodian that satisfies the requirements of section 6.2 (the **Custodial Restriction**) in order to permit a Fund to deposit portfolio assets with a borrowing agent that is not the Fund's custodian or sub-custodian as security in connection with a short sale of securities, provided that the aggregate market value of the portfolio assets held by the borrowing agent after such deposit, excluding the aggregate market value of the proceeds from outstanding short sales of securities held by the borrowing agent, does not:

a. in the case of each Mutual Fund, exceed 10% of the NAV of the Mutual Fund at the time of deposit; and

b. in the case of each Alternative Mutual Fund, exceed 25% of the NAV of the Alternative Mutual Fund at the time of deposit

(together, the **Custodial 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) 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 all of the provinces and territories of Canada other than the Jurisdiction (together with the Jurisdiction, the **Canadian 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. In addition, terms defined in 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:

The Filer and the Funds

1. The Filer is a limited partnership established under the laws of the Province of Ontario. The general partner of the Filer is RP Investment Advisors GP Inc., a corporation incorporated under the laws of the Province of Ontario. The Filer's head office is located in Toronto, Ontario.

2. The Filer is registered as (i) an investment fund manager in Ontario, Quebec and Newfoundland and Labrador; (ii) a portfolio manager in Ontario, Quebec and British Columbia; (iii) an exempt market dealer in each of the Canadian Jurisdictions; and (iv) a commodity trading manager in Ontario.

3. The Filer or an affiliate of the Filer is, or will be, the investment fund manager of each of the Funds.

4. The Existing Alternative Mutual Fund is an alternative mutual fund established under the laws of Ontario that operates under the provisions of NI 81-102 applicable to alternative mutual funds. Each Future Alternative Mutual Fund will be an alternative mutual fund established under the laws of a Canadian Jurisdiction that operates under the provisions of NI 81-102.

5. The Existing Mutual Fund is a mutual fund, that is not an alternative mutual fund, established under the laws of Ontario that operates under the provisions of NI 81-102 applicable to mutual funds. Each Future Mutual Fund will be a mutual fund, that is not an alternative mutual fund, established under the laws of a Canadian Jurisdiction that operates under the provisions of NI 81-102.

6. Each of the Funds is, or will be, a reporting issuer in each of the Canadian Jurisdictions, and distributes, or will distribute, its units to the public pursuant to disclosure documents prepared and filed in accordance with National Instrument 81-101 *Mutual Fund Prospectus Disclosure.*

7. None of the Filer, the Existing Alternative Mutual Fund or the Existing Mutual Fund is in default of securities legislation in any Canadian Jurisdiction.

8. The Existing Alternative Mutual Fund's investment objective is to generate attractive risk-adjusted returns with an emphasis on capital preservation by investing primarily in investment grade debt and debt-like securities of corporations and financial institutions.

9. The Existing Mutual Fund's investment objective is to generate stable risk-adjusted absolute returns consisting of dividends, interest income and capital gains by investing primarily in investment grade corporate debt and debt-like securities, with a focus on capital preservation.

Short Selling Relief

10. An important investment strategy used by the Existing Alternative Mutual Fund is to enter into long positions in corporate bonds while hedging the interest rate risk of those bonds by taking short positions in government bonds. The short positions in the government bonds can be achieved either through short selling government bonds or by entering into specified derivatives (e.g. short positions in government bond futures).

11. The Future Alternative Mutual Funds will employ an investment strategy similar to the Existing Alternative Mutual Fund in that each Future Alternative Mutual Fund will contemplate short selling government securities concurrently with investing in long positions in corporate bonds for rate-hedging purposes.

12. The Short Selling Limits would restrict the Alternative Mutual Funds to short selling government securities to no more than 50% of the Alternative Mutual Fund's NAV.

13. NI 81-102 otherwise permits the Alternative Mutual Funds to obtain the additional leveraged short exposure through the use of specified derivatives, up to an aggregate exposure of 300% of the Alternative Mutual Fund's NAV, in compliance with section 2.9.1 of NI 81-102 (the **Aggregate Exposure Limit**).

14. The Filer is of the view that it would be in the Alternative Mutual Funds' best interest to permit the Alternative Mutual Funds to physically short sell government securities up to 300% of the Alternative Mutual Fund's NAV, instead of being limited to achieve the same degree of leverage through either specified derivatives alone, or a combination of physical short selling and specified derivatives, for the following reasons:

    (a) While derivatives can be used to create similar investment exposure as short

selling up to 300% of each Alternative Mutual Fund's NAV, the use of derivatives is, in the Filer's experience, generally more complex, more expensive and riskier than short selling. Implementing derivatives necessitates incremental transactional steps and expense to each of the Alternative Mutual Funds.

(b) There is a potential mismatch between the corporate bond and government security futures contract, which makes the use of derivatives less efficient than short selling government securities. The futures contract has standard terms set by the exchange on which it trades and is not directly linked to one particular government security. This makes it more difficult to determine whether the interest rate exposure of the government security futures contract is a good match for the interest rate exposure of the corporate bond it is meant to hedge. On the other hand, the short position in a government security that the market pairs with a corporate bond has been selected due to its proven effectiveness in hedging the interest rate exposure of the corresponding corporate bond.

15. The only securities sold short by the Alternative Mutual Funds in excess of 50% of an Alternative Mutual Fund's NAV will be "government securities" as such term is defined in NI 81-102. The Alternative Mutual Funds will otherwise comply with the provisions governing short selling by an alternative mutual fund under sections 2.6.1 and 2.6.2 of NI 81-102.

16. Each short sale transaction made by an Alternative Mutual Fund will be consistent with the Alternative Mutual Fund's investment objectives and investment strategies.

17. Each Alternative Mutual Fund's aggregate exposure to short selling, cash borrowing and specified derivatives transactions will not exceed 300% of the Alternative Mutual Fund's NAV, in compliance with the Aggregate Exposure Limit.

18. Each Alternative Mutual Fund will implement the following controls when conducting a short sale:

(a) the Alternative Mutual Fund will assume the obligation to return to the borrowing agent (as defined in NI 81-102) the securities borrowed to effect the short sale;

(b) the Alternative Mutual Fund will receive cash for the securities sold short within normal trading settlement periods for the market in which the short sale is effected;

(c) the Filer will monitor the short positions of the Alternative Mutual Fund at least as frequently as daily;

(d) the security interest provided by the Alternative Mutual Fund over any of its assets that is required to enable the Fund to effect a short sale transaction is made in accordance with section 6.8.1 of NI 81-102 and will otherwise be made in accordance with industry practice for that type of transaction and relates only to obligations arising under such short sale transaction;

(e) the Alternative Mutual Fund will maintain appropriate internal controls regarding short sales, including written policies and procedures for the conduct of short sales, risk management controls and proper books and records; and

(f) the Filer and the Alternative Mutual Fund will keep proper books and records of short sales and all of its assets deposited with borrowing agents as security.

19. Each Alternative Mutual Fund's prospectus (the **Prospectus**) will contain adequate disclosure of the Alternative Mutual Fund's short selling activities, including material terms of the Short Selling Relief.

20. The Filer submits that it would not be prejudicial to the public interest to grant the Short Selling Relief.

Custodial Relief

21. In connection with, among other things, the short sale of securities that the Funds will or may engage in, each Fund is permitted to grant a security interest in favour of, and deposit pledged portfolio assets with, an entity that acts as, among other things, a borrowing agent to the Fund (a **Prime Broker**).

22. If a Mutual Fund engages as its Prime Broker an entity that is not its custodian or sub-custodian, then it may, under section 6.8.1 of NI 81-102, only deliver to its Prime Broker portfolio assets having a market value, in the aggregate, of not more than 10% of the NAV of the Mutual Fund at the time of deposit. If an Alternative Mutual Fund engages as its Prime Broker an entity that is not its custodian or sub-custodian, then it may, under section 6.8.1 of NI 81-102, only deliver to its Prime Broker portfolio assets having a market value, in the aggregate, of not more than 25% of the NAV of the Alternative Mutual Fund at the time of deposit.

23. A Prime Broker may not wish to act as borrowing agent for a Mutual Fund that wants to sell short securities having an aggregate market value of up to 20% of the Mutual Fund's NAV if the Prime Broker is only permitted to hold, as security for such transactions, portfolio assets, including the proceeds from the short sale, having an aggregate market value that is not in excess of 10% of the NAV of the Mutual Fund.

24. The issue is even greater in the context of an Alternative Mutual Fund, as a Prime Broker will not act as borrowing agent for an Alternative Mutual Fund that wants to sell short securities having an aggregate market value of up to 50% of the Alternative Mutual Fund's NAV if the Prime Broker is only permitted to hold, as security for such transactions, portfolio assets, including the proceeds from the short sale, having an aggregate market value that is not in excess of 25% of the NAV of the Alternative Mutual Fund.

25. Effective as of January 3, 2019, NI 81-102 was amended to include alternative mutual funds. Prior to and since that date, a number of investment fund managers have either launched alternative mutual funds or are planning to do so. The ability of alternative mutual funds to borrow cash and to sell short securities more extensively than other investment funds governed by NI 81-102 has led to the increased involvement of Prime Brokers in the operations of these alternative mutual funds. While the prime brokerage model works well in the exempt investment fund space, the prime brokerage community and investment fund managers are experiencing greater difficulties in applying that model to alternative mutual funds and other investment funds under NI 81-102.

26. The prime brokerage operational and pricing models in the context of short selling are premised on the ability of the Prime Broker to retain, as collateral for the obligations of the applicable Fund, the proceeds from the short sales, whether such proceeds are cash or are used by the Fund to purchase other portfolio assets. These models are also based on the ability of the Prime Broker to hold additional assets of the Fund as collateral for those obligations.

27. Given the collateral requirements that Prime Brokers impose on their customers that engage in the short sale of securities, if the 10% and 25% of NAV limitations set out in section 6.8.1 of NI 81-102 apply, then the Funds will need to retain two, or more, Prime Brokers in order to sell short securities to the extent permitted under section 2.6.1 of NI 81-102. This would result in inefficiencies for the Funds and would increase their costs of operations.

28. While the collateral limits for the short sale of securities is currently topical in the context of alternative mutual funds, there is no policy reason to differentiate between Alternative Mutual Funds and Mutual Funds to the extent that Mutual Funds also engage in the short selling of securities.

29. The requirement for additional Prime Brokers increases costs for the Fund, which will reduce returns and negatively impact investors.

30. The Filer submits that it would not be prejudicial to the public interest to grant the Custodial Relief.

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 Short Selling Relief is granted provided that:

   a) the only securities which an Alternative Mutual Fund will sell short in an amount that exceeds 50% of the Alternative Mutual Fund's NAV will be securities that meet the definition of "government security" as such term is defined in NI 81-102;

   b) each short sale by an Alternative Mutual Fund will otherwise comply with all of the short sale requirements applicable to alternative mutual funds in sections 2.6.1 and 2.6.2 of NI 81-102;

   c) an Alternative Mutual Fund's aggregate exposure to short selling, cash borrowing and specified derivatives will not exceed the Aggregate Exposure Limit;

   d) each short sale made by an Alternative Mutual Fund will be consistent with the Alternative Mutual Fund's investment objectives and investment strategies; and

   e) each Alternative Mutual Fund's Prospectus will disclose that the Alternative Mutual Fund is able to short sell "government securities" (as defined in NI 81-102) in an amount up to 300% of the Alternative Mutual Fund's NAV, including the material terms of this decision; and

2. the Custodial Relief is granted provided that the Funds otherwise comply with subsections 6.8.1(2) and (3) of NI 81-102.

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

2.1.3 First Mining Gold Corp. and Cantor Fitzgerald Canada Corporation

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Application for exemptive relief to permit issuer and underwriter, acting as agent for the issuer, to enter into an equity distribution agreement to make "at the market" (ATM) distributions of common shares over the facilities of the TSX or other Canadian marketplace – ATM distributions to be made pursuant to shelf prospectus procedures in Part 9 of NI 44-102 Shelf Distributions – issuer will issue a press release and file agreements on SEDAR – application for relief from prospectus delivery requirement – delivery of prospectus not practicable in circumstances of an ATM distribution – relief from prospectus delivery requirement has effect of removing two-day right of withdrawal and remedies of rescission or damages for non-delivery of the prospectus – application for relief from certain prospectus form requirements – relief granted to permit modified forward-looking certificate language – relief granted on terms and conditions set out in decision document – decision will terminate 25 months after the issuance of a receipt for the shelf prospectus – Decision and application also held in confidence by decision makers until the earlier of the entering into of an equity distribution agreement, waiver of confidentiality, or 90 days from the date of the decision.

Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., ss. 71 and 147.
National Instrument 44-101 Short Form Prospectus Distributions, s. 8.1, and Item 20 of Form 44-101F1.
National Instrument 44-102 Shelf Distributions, s. 5.5, items 2 and 3; s. 6.7, Part 9, s. 11.1, and ss. 2.1 and 2.2 of Appendix A.
National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions.

August 13, 2019

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

AND

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

AND

IN THE MATTER OF
FIRST MINING GOLD CORP.
(the Issuer)

AND

CANTOR FITZGERALD CANADA CORPORATION
(the Agent and, together with the Issuer, the Filers)

DECISION

Background

¶ 1 The securities regulatory authority or regulator in each of the Jurisdictions (Decision Maker) has received an application (the Application) from the Filers for a decision under the securities legislation of the Jurisdictions (the Legislation) for the following relief (the Exemption Sought):

(a) the requirement that a dealer, not acting as agent of the purchaser, who receives an order or subscription for a security offered in a distribution to which the prospectus requirement applies, send or deliver to the purchaser or its agent the latest prospectus (including the applicable prospectus supplement(s) in the case of a base shelf prospectus) and any amendment to the prospectus (the Prospectus Delivery Requirement) does not apply to the Agent or any other registered investment dealer acting on behalf of the Agent as a selling agent (each a Selling Agent) in connection with any at-the-market distribution (as defined in National Instrument 44-102 *Shelf Distributions* (NI 44-102)) (each, an ATM Distribution and collectively, the ATM Offering) of common shares (Common Shares) of the Issuer in Canada pursuant to one or more substantially

identical equity distribution agreements (each, an Equity Distribution Agreement) to be entered into between the Filers;

(b) the requirements to include the statements (the cover page disclosure) specified by items 2 and 3 of section 5.5 of NI 44-102 does not apply to the Base Shelf Prospectus (as defined below);

(c) the requirement to include the following in a prospectus supplement or any amendment thereto does not apply to a Prospectus Supplement (as defined below) or any amendment thereto:

(i) a forward-looking form of issuer certificate in the form specified in section 2.1 or section 2.4, as applicable, of Appendix A to NI 44-102;

(ii) a forward-looking underwriter certificate in the form specified by section 2.2 or section 2.4, as applicable, of Appendix A to NI 44-102; and

(iii) a statement respecting purchasers' statutory rights of withdrawal and remedies of rescission or damages in substantially the form prescribed in Item 20 of Form 44-101F1 *Short Form Prospectus*.

The Decision Makers have also received a request from the Filers for a decision that the Application and this decision (together, the Confidential Material) be kept confidential and not made public until the earliest of (i) the date on which the Filers enter into the Equity Distribution Agreement, (ii) the date on which the Filers jointly advise the Decision Makers that there is no longer any need for the Confidential Material to remain confidential, and (iii) the date that is 90 days after the date of this decision (the Confidentiality Relief).

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

(a) the British Columbia Securities Commission is the principal regulator for the Application;

(b) the Filers have provided notice that section 4.7(1)(c) of Multilateral Instrument 11 102 *Passport System* (MI 11-102) is intended to be relied upon in Alberta, Saskatchewan, Manitoba, Québec, Nova Scotia, New Brunswick, Prince Edward Island and Newfoundland and Labrador; and

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

Interpretation

¶ 2 Terms defined in National Instrument 14-101 *Definitions*, National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR), MI 11-102, National Instrument 44-101 *Short Form Prospectus Distributions* (NI 44-101) or NI 44-102 have the same meaning if used in this decision, unless otherwise defined.

Representations

¶ 3 This decision is based on the following facts represented by the Filers:

The Issuer

1. the Issuer is incorporated under the laws of the Province of British Columbia with its head office located in Vancouver, British Columbia;

2. the Issuer is an emerging development company with a diversified portfolio of gold projects in North America and is a reporting issuer or the equivalent under the securities legislation of each of the provinces of Canada and is not in default of securities legislation in any jurisdiction of Canada, except that the cover page disclosure in its Base Shelf Prospectus contained the language set out below in paragraph 36 in addition to the language required by items 2 and 3 of section 5.5 of NI 44-102;

3. the Common Shares are listed on the Toronto Stock Exchange (the TSX);

The Agent

4. the Agent, a wholly owned subsidiary of Cantor Fitzgerald L.P., is incorporated under the laws of the Province of Nova Scotia with its head office in Toronto, Ontario;

5. Cantor Fitzgerald L.P. is a limited partnership with its head office in New York City, New York;

6. the Agent is registered as an investment dealer under the securities legislation of each of the provinces and territories of Canada, is a member of the Investment Industry Regulatory Organization of Canada, and is a participating organization of the TSX;

7. the Agent is not in default of securities legislation in any jurisdiction of Canada;

Proposed ATM Distributions

8. subject to mutual agreement on terms and conditions, including without limitation, internal committee approvals from the Agent's applicable committees, the Filers propose to enter into Equity Distribution Agreements providing for the sale from time to time of Common Shares by the Issuer through the Agent, as agent, pursuant to ATM Offerings under the base shelf prospectus procedures prescribed by Part 9 of NI 44-102;

9. the Issuer has filed a short form base shelf prospectus pursuant to NI 44-101 and NI 44-102 in each of the provinces of Canada dated June 24, 2019 (the Base Shelf Prospectus) providing for the distribution from time to time of Common Shares, preferred shares, debt securities, subscription receipts, warrants and units comprised of the foregoing; the Base Shelf Prospectus constitutes an "unallocated shelf" within the meaning of Part 3 of NI 44-102;

10. prior to making any ATM Distributions, the Issuer will have filed in each of the provinces of Canada a prospectus supplement describing the terms of the ATM Offering including the terms of the applicable Equity Distribution Agreement and otherwise supplementing the disclosure in the Base Shelf Prospectus (the Prospectus Supplement, and together with the Base Shelf Prospectus as supplemented or amended and including any documents incorporated by reference therein (which shall include any Designated News Release (as defined below)), the Prospectus);

11. the Issuer included in the Base Shelf Prospectus a forward-looking certificate of the Issuer in the form prescribed by section 1.1 of Appendix A to NI 44-102;

12. if an Equity Distribution Agreement is entered into, the Issuer will immediately:

    (a) issue and file a news release to announce the Equity Distribution Agreement pursuant to section 3.2 of NI 44-102 for an expected distribution of equity securities indicating that the Base Shelf Prospectus and the Prospectus Supplement have been filed on SEDAR, and will specify where and how purchasers of Common Shares under the ATM Offering may obtain copies; and

    (b) file a copy of the Equity Distribution Agreement on SEDAR;

13. under the proposed Equity Distribution Agreements, the Issuer may conduct one or more ATM Offerings subject to the 10% limitation set out in subsection 9.1(1) of NI 44-102;

14. the Issuer will conduct ATM Distributions through the Agent, as agent, directly or through a Selling Agent, only through the TSX or any other recognized Canadian "marketplace" within the meaning of National Instrument 21-101 *Marketplace Operation* upon which the Common Shares are listed, quoted or otherwise traded (a Marketplace);

15. subject to execution of the Equity Distribution Agreement, the Agent will act as the sole agent on behalf of the Issuer in connection with the sale of Common Shares on the TSX or another Marketplace through methods constituting ATM Distributions, and will be the only person or company paid an agency fee or commission by the Issuer in connection with such sales; the Agent will sign an agent's certificate, in the form set out in paragraph 33 below, in the Prospectus Supplement;

16. the Agent will effect ATM Distributions on the TSX or another Marketplace, either itself or through a Selling Agent; if sales are effected through a Selling Agent, the Selling Agent will be paid a customary seller's commission for effecting the trades on the Agent's behalf; a purchaser's rights and remedies under the Legislation against the Agent, as agent of an ATM Distribution through a Marketplace will not be affected by a decision to effect the sale directly or through a Selling Agent;

17. the aggregate number of Common Shares sold on one or more Marketplaces pursuant to an ATM Distribution on any trading day will not exceed 25% of the trading volume of the Common Shares on all Canadian Marketplaces on that day;

18. each Equity Distribution Agreement will provide that, at the time of each sale of Common Shares pursuant to an ATM Offering, the Issuer will represent to the Agent that the Prospectus contains full, true and plain disclosure of all material facts relating to the Issuer and the Common Shares being distributed; the Issuer will therefore be unable to proceed with sales pursuant to an ATM Offering when it is in possession of undisclosed information that would constitute a material fact or a material change in respect of the Issuer or the Common Shares;

19. after the date of the Prospectus Supplement and before the termination of any ATM Offering, if the Issuer disseminates a news release disclosing information that, in the Issuer's determination, constitutes a "material fact" (as such term is defined in the Legislation), the Issuer will identify such news release as a "designated news release" for the purposes of the Prospectus; this designation will be made on the face page of the version of such news release filed on SEDAR (any such news release, a Designated News Release); the Prospectus Supplement will provide that any such Designated News Release will be deemed to be incorporated by reference into the Prospectus; a Designated News Release will not be used to update disclosure in the Prospectus by the Issuer in the event of a "material change" (as such term is defined in the Legislation);

20. if, after the Issuer delivers a notice to the Agent directing the Agent to sell Common Shares on the Issuer's behalf pursuant to the Equity Distribution Agreement (a Sell Notice), the sale of the Common Shares specified in the Sell Notice, taking into consideration prior sales under ATM Offerings, would constitute a material fact or material change, the Issuer will suspend sales under the Equity Distribution Agreement until either (i) it has disseminated and filed a Designated News Release, in the case of a material fact, or has filed a material change report or amended the Prospectus, or (ii) circumstances have changed so that the sales would no longer constitute a material fact or material change;

21. in determining whether the sale of the number of Common Shares specified in a Sell Notice would constitute a material fact or material change, the Issuer will take into account a number of factors, including, without limitation (i) the parameters of the Sell Notice, including the number of Common Shares proposed to be sold and any price or timing restrictions that the Issuer may impose with respect to the particular ATM Distribution, (ii) the percentage of outstanding Common Shares that the number of Common Shares proposed to be sold pursuant to the Sell Notice represents, (iii) sales under prior Sell Notices, (iv) trading volume and volatility of the Common Shares, (v) recent developments in the business, affairs and capital structure of the Issuer and (vi) prevailing market conditions generally;

22. the Agent will monitor closely the market's reaction to trades made on the TSX or another Marketplace pursuant to an ATM Offering in order to evaluate the likely market impact of future trades; the Agent has experience and expertise in managing sell orders to limit downward pressure on the Common Share price; if the Agent has concerns as to whether a particular sell order placed by the Issuer may have a significant effect on the market price of the Common Shares, the Agent will recommend against effecting the trade at that time; it is in the interests of both the Issuer and the Agent to minimize the market impact of sales under an ATM Offering;

Disclosure of Common Shares Sold in ATM Offering

23. within seven calendar days after the end of each calendar month during which the Issuer conducts an ATM Distribution, the Issuer will disclose in a report filed on SEDAR the number and average selling price of the Common Shares distributed through an ATM Distribution, and the commission and gross and net proceeds for such sales;

24. the Issuer will disclose the number and average price of Common Shares sold pursuant to an ATM Offering under the Prospectus, as well as gross proceeds, commission and net proceeds, during a particular calendar year in its annual financial statements and management's discussion and analysis and during a particular interim period, in its interim financial statements and management's discussion and analysis for such interim period filed on SEDAR;

Prospectus Delivery Requirement

25. pursuant to the Prospectus Delivery Requirement, a dealer effecting a trade of securities offered under a prospectus is required to deliver a copy of the prospectus (including the applicable prospectus supplement(s) in the case of a base shelf prospectus) to the purchaser within prescribed time limits;

26. delivery of a prospectus is not practicable in the circumstances of an ATM Distribution, as the Agent or any Selling Agent, as applicable, effecting the trade will not know the identity of the purchasers;

27. the Prospectus (together with all documents incorporated by reference therein) will be filed and readily available electronically via SEDAR to all purchasers under ATM Distributions; as stated in paragraph 12 above, the Issuer will issue a news release that specifies where and how copies of the Base Shelf Prospectus and the Prospectus Supplement can be obtained;

28. the liability of an issuer or an underwriter (or others) for a misrepresentation in a prospectus pursuant to the civil liability provisions of the Legislation will not be affected by the grant of an exemption from the Prospectus Delivery Requirement, because purchasers of securities offered by a prospectus during the period of distribution have a right of action for damages or rescission without regard to whether or not the purchaser relied on the misrepresentation or in fact received a copy of the prospectus;

Withdrawal Right and Right of Action for Non-Delivery

29. pursuant to the Legislation, an agreement to purchase a security in respect of a distribution to which the prospectus requirement applies is not binding on the purchaser if the dealer from whom the purchaser purchases the security receives, not later than the prescribed time following receipt by the purchaser of the latest prospectus or any amendment to the prospectus, a notice in writing that the purchaser does not intend to be bound by the agreement of purchase (the Withdrawal Right);

30. pursuant to the Legislation, a purchaser of a security to whom a prospectus was required to be sent or delivered in compliance with the Prospectus Delivery Requirement, but was not so sent or delivered, has a right of action for rescission or damages against the dealer who did not comply with the Prospectus Delivery Requirement (the Right of Action for Non-Delivery);

31. neither the Withdrawal Right nor the Right of Action for Non-Delivery is workable in the context of an ATM Offering because of the impracticability of delivering the Prospectus to a purchaser of Common Shares thereunder;

Modified Certificates and Statements

32. to reflect the fact that an ATM Offering is a continuous distribution, the Prospectus Supplement and any amendment thereto will include the following issuer certificate (with appropriate modifications in respect of the filing of an amendment prescribed by section 2.4 of Appendix A to NI 44-102), such issuer certificate to supersede and replace the issuer certificate in the Base Shelf Prospectus solely with regard to the ATM Offering:

    The short form prospectus, as supplemented by the foregoing, together with the documents incorporated in the prospectus by reference as of the date of a particular distribution of securities offered by the prospectus and this supplement, will, as of that date, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and this supplement, as required by the securities legislation of each of the provinces of Canada.

33. to reflect the fact that an ATM Offering is a continuous distribution, the Prospectus Supplement and any amendment thereto will include the following underwriter certificate (with appropriate modifications in respect of the filing of an amendment prescribed by section 2.4 of Appendix A to NI 44-102):

    To the best of our knowledge, information and belief, The short form prospectus, as supplemented by the foregoing, together with the documents incorporated in the prospectus by reference as of the date of a particular distribution of securities offered by the prospectus and this supplement, will, as of that date, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and this supplement, as required by the securities legislation of each of the provinces of Canada.

34. a different statement of purchasers' rights than that required by the Legislation is necessary so that the Prospectus will accurately reflect the relief granted from the Prospectus Delivery Requirement; accordingly, the Prospectus Supplement will state the following, with the date reference completed:

    Securities legislation in certain of the provinces of Canada provides purchasers with the right to withdraw from an agreement to purchase securities and with remedies for rescission or, in some jurisdictions, revision of the price, or damages if the prospectus, prospectus supplements relating to securities purchased by a purchaser and any amendment are not delivered to the purchaser, provided that the remedies are exercised by the purchaser within the time limit prescribed by securities legislation. However, purchasers of Common Shares

under an "at-the-market" distribution by the Issuer will not have the right to withdraw from an agreement to purchase the Common Shares and will not have remedies of rescission or, in some jurisdictions, revisions of the price, or damages for non-delivery of the prospectus supplement, the accompanying prospectus and any amendment thereto relating to Common shares purchased by such purchaser, because the prospectus supplement, the accompanying prospectus and any amendment thereto relating to the Common Shares purchased by such purchaser will not be delivered as permitted under a decision document dated ●, 2019 and granted pursuant to National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions.

Securities legislation in certain of the provinces of Canada also provides purchasers with remedies for rescission or, in some jurisdictions, revision of the price, or damages if the prospectus, prospectus supplements relating to securities purchased by a purchaser and any amendment contains a misrepresentation, provided that the remedies are exercised by the purchaser within the time limit prescribed by securities legislation. Any remedies under securities legislation in the jurisdictions that a purchaser of Common Shares under an "at-the-market" distribution by the Issuer may have against the Issuer or the Agent for rescission, or in some jurisdictions, revisions of the price, or damages if the prospectus supplement, the accompanying prospectus and any amendment thereto relating to securities purchased by a purchaser and any amendment contain a misrepresentation will remain unaffected by the non-delivery of the prospectus and the decision referred to above.

Purchasers should refer to any applicable provisions of the securities legislation of the purchaser's province and the decision document referred to above for the particulars of these rights or consult with a legal advisor.

35. the Prospectus Supplement will disclose that, solely with regards to the ATM Offering, the statement prescribed in paragraph 34 above supersedes and replaces the statement of purchasers' rights contained in the Base Shelf Prospectus; and

36. the statements required by subsections 5.5(2) and (3) of NI 44-102 included in the Base Shelf Prospectus, are qualified by the additional words "except in cases where an exemption from such delivery requirement has been obtained".

Decision

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

The decision of the Decision Makers under the Legislation is that the Exemption Sought is granted, provided that:

(a) the Issuer complies with the disclosure requirements set out in paragraphs 23 and 24 and 32 through 36 above; and

(b) the Issuer complies with the representations made in paragraphs 2, 9 through 14 and 17 through 21 and the Agent complies with the representations made in paragraphs 6, 7, 13 through 17 and 22.

This decision will terminate 25 months after the issuance of the receipt for the Base Shelf Prospectus.

The further decision of the Decision Makers is that the Confidentiality Relief is granted.

"Michael L. Moretto"
CPA, CA
Acting Director, Corporate Finance
British Columbia Securities Commission

2.1.4 Lincluden Investment Management Limited

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from the self-dealing provision in subsection 4.2(1) of National Instrument 81-102 Investment Funds to permit inter-fund trades in debt securities between investment funds subject to NI 81-102 and pooled funds managed by the same manager or its affiliates – Inter-fund trades will comply with the conditions in subsection 6.1(2) of NI 81-107 Independent Review Committee for Investment Funds, including the requirement for independent review committee approval.

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Relief granted from paragraph 13.5(2)(b) of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations to permit inter-fund trading between public funds, pooled funds and managed accounts managed by the same manager or its affiliate – Relief subject to conditions, including independent review committee approval and pricing requirements – Certain trades involving exchange-traded securities permitted to occur at last sale price as defined in the Universal Market Integrity Rules – Exemption also granted from conflict of interest trading prohibition in paragraph 13.5(2)(b) to permit in specie subscriptions and redemptions by separately managed accounts and pooled funds – Relief subject to conditions.

Applicable Legislative Provisions

National Instrument 31-103 Registration Requirements and Exemptions, ss. 13.5 and 15.1.
National Instrument 81-102 Investment Funds, ss. 4.2(1), 4.3(1), 4.3(2) and 19.2.
National Instrument 81-107 Independent Review Committee for Investment Funds, ss. 6.1(2) and 6.1(4).

December 10, 2019

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
LINCLUDEN INVESTMENT MANAGEMENT LIMITED

DECISION

Background

The principal regulator in the Jurisdiction has received an application (the **Application**) from the Lincluden Investment Management Limited, or an affiliate (the **Filer**) for a decision under the securities legislation of Jurisdiction of the principal regulator (the **Legislation**):

(a) for an exemption from the prohibition in section 4.2(1) of National Instrument 81-102 *Investment Funds* (**NI 81-102**) to permit the Public Funds (as defined below) to purchase debt securities from, or sell debt securities to, a Pooled Fund (as defined below) (the **Section 4.2(1) Relief**);

(b) for an exemption from the prohibitions in section 13.5(2)(b)(ii) and (iii) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) which prohibit a registered adviser from knowingly causing an investment portfolio managed by it, including an investment fund for which it acts as an adviser, to purchase or sell a security from or to the investment portfolio of an associate of a responsible person, or from or to the investment portfolio of an investment fund for which a responsible person acts as an adviser, in order to permit:

    (i) a Pooled Fund to purchase securities from or to sell securities to a Fund (as defined below);

    (ii) a Managed Account (as defined below) to purchase securities from or to sell securities to a Fund;

(iii) a Public Fund to purchase securities from or to sell securities to a Fund;

(iv) the transactions listed in (i) to (iii) (each an **Inter-Fund Trade**) to be executed at the last sale price, as defined in the Universal Market Integrity Rules of the Investment Industry Regulatory Organization of Canada, prior to the execution of the trade (the **Last Sale Price**) in lieu of the closing sale price (the **Closing Sale Price**) contemplated by the definition of "current market price of the security" in section 6.1(1)(a)(i) of National Instrument 81-107 *Independent Review Committee for Investment Funds* (**NI 81-107**) on that trading day, where the securities involved in the Inter-Fund Trade are exchange-traded securities (which term shall include Canadian and foreign exchange-traded securities);

((i), (ii), (iii) and (iv) are collectively, the **Inter-Fund Trading Relief**); and

(v) *In specie* subscriptions and redemptions by a (each subscription or redemption, an ***In specie Transfer***):

(A) Managed Account in relation to a Public Fund or a Pooled Fund; and

(B) Pooled Fund in relation to another Pooled Fund or a Public Fund

(collectively, the ***In specie Transfer Relief***)

(the Section 4.2(1) Relief, the Inter-Fund Trading Relief and the *In Specie* Transfer Relief are collectively, the Exemptions Sought).

Under the Process for Exemptive Relief Applications in Multiple Jurisdictions:

(a) the Ontario Securities Commission is the principal regulator for this Application; and

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

Interpretation

Terms defined in National Instrument 14-101 *Definitions* and MI 11-102, NI 81-102, NI 81-107 and NI 31-103 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 formed and organized under the laws of Canada. The head office of the Filer is located in Ontario.

2. The Filer is registered as a portfolio manager in all of the Jurisdictions, as an investment fund manager in Ontario, Québec, and Newfoundland and Labrador, and as exempt market dealer in Ontario, Alberta, British Columbia and Saskatchewan.

3. The Filer is the manager, adviser and trustee of the Lincluden Balanced Fund, (the **Current Public Fund**), which is an open-ended mutual fund trust, which is governed by the laws of Ontario, which is subject to NI 81-102, which is a reporting issuer in each of the Jurisdictions and which offers its units in each of the Jurisdictions pursuant to a simplified prospectus, annual information form and fund facts in accordance with the requirements of National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (**NI 81-101**).

4. Each future public fund that the Filer may launch (each a **Future Public Fund** and together with the Current Public Fund, collectively, the **Public Funds** and individually a **Public Fund**) will be managed, advised and trusteed by the Filer, will be an open-ended mutual fund trust governed by the laws of Ontario, will be subject to NI 81-102, will be a reporting issuer in one or more of the Jurisdictions and will offer its units in such Jurisdictions pursuant to a simplified prospectus, annual information form and fund facts in accordance with the requirements of NI 81-101.

5. The Filer is also the manager and adviser of each of the current pooled funds (a **Current Pooled Fund**), which are each an open-ended mutual fund trust, which are each governed by the laws of Ontario, which are not subject to NI 81-102, and which each offer their units to qualified investors in the Jurisdictions by means of the prospectus exemptions

in National Instrument 45-106 *Prospectus Exemptions* (**NI 45-106**). CIBC Mellon Trust Company is the trustee of each of the Current Pooled Funds.

6. Each future pooled fund that the Filer may launch (each a **Future Pooled Fund**, and together with the Current Pooled Funds, collectively, the **Pooled Funds** and individually, a **Pooled Fund**) will be managed and advised by the Filer, will be an open-ended mutual fund trust governed by the laws of Ontario, which are not subject to NI 81-102, and will offer its units to qualified investors in the Jurisdictions by means of the prospectus exemptions in NI 45-106. CIBC Mellon Trust Company will be the trustee of each Future Pooled Fund.

7. Each Public Fund and each Pooled Fund (collectively, the **Funds** and individually, a **Fund**) may be an associate of the Filer.

8. Neither the Filer nor any of the Funds is in default of securities legislation in any of the Jurisdictions.

9. The Filer is and will be the adviser of each of its managed accounts (each a **Managed Account**).

10. The Filer provides discretionary portfolio management services to each Managed Account pursuant to an investment management agreement (a **Discretionary Management Agreement**) with the applicable client (a **Client**), whereby that Client appoints the Filer to act as its portfolio manager in connection with the investment portfolio of that Client with full discretionary authority, in accordance with the mandate of that Client, to trade in securities for that Client's Managed Account without obtaining the specific consent of that Client to execute the trade.

11. Investments in individual securities may not be appropriate in certain circumstances for a Client. Consequently, the Filer may, where authorized under a Discretionary Management Agreement, from time to time, invest the assets in a Client's Managed Account in securities of any one or more of the Funds in order to give such Client the benefit of asset diversification and economies of scale regarding minimum commission charges on portfolio trades and generally to facilitate portfolio management.

Inter-Fund Investing

12. The Filer wishes to be able to permit Inter-Fund Trades of portfolio securities between:

    (a) a Public Fund and another Public Fund, a Pooled Fund or a Managed Account;

    (b) a Pooled Fund and another Pooled Fund, a Public Fund or a Managed Account; and

    (c) a Managed Account and a Public Fund or a Pooled Fund.

13. Different sections of NI 31-103, NI 81-102 and NI 81-107 impose different prohibitions and exceptions on different types of Funds with respect to Inter-Fund Trades.

14. An exception from the inter-fund trading prohibition in section 4.2(1) of NI 81-102 currently exists in section 4.3(1) of NI 81-102 which permits the Public Funds to inter-fund trade listed equity securities with the Pooled Funds. The Public Funds are, however, unable to rely on the exception in section 4.3(1) of NI 81-102 to inter-fund trade debt securities because debt securities are typically not subject to public quotations as required by section 4.3(1) of NI 81-102. The Public Funds are further unable to rely on the exception in section 4.3(2) to inter-fund trade debt securities with the Pooled Funds because that exception only applies where funds on both sides of the inter-fund trade are investment funds governed by NI 81-107. The Pooled Funds will not be subject to NI 81-107.

15. The Filer has submitted that because of the various investment objectives and investment strategies utilized by the Funds and Managed Accounts, it may be appropriate for different investment portfolios to acquire or dispose of the same securities directly, rather than with a third party. Authorizing the Inter-Fund Trades may result in such benefits as lower trading costs, reduced market disruption and quicker execution.

16. The Filer has determined that it would be in the best interests of the Funds and the Managed Accounts to receive the Inter-Fund Trading Relief because making the Funds and the Managed Accounts subject to the same set of rules governing the execution of Inter-Fund Trades will result in:

    (a) cost and timing efficiencies in respect of the execution of Inter-Fund Trades; and

    (b) simplified and more efficient monitoring thereof, for the Filer in connection with the execution of Inter-Fund Trades.

17. Each Inter-Fund Trade will be consistent with the investment objectives of the relevant Fund or Managed Account, as applicable.

18. At the time of an Inter-Fund Trade, the Filer will have policies and procedures in place to enable the applicable Funds and Managed Accounts to engage in Inter-Fund Trades.

19. The Filer has established, or will establish, an independent review committee (an **IRC**) in respect of each Public Fund in accordance with the requirements of NI 81-107.

20. The Filer, as the manager of each Pooled Fund, will establish, an IRC in respect of each Pooled Fund to review and provide its approval for any proposed Inter-Fund Trades between a Pooled Fund and another Fund or a Managed Account.

21. The IRC of the Pooled Funds will be composed by the Filer in accordance with section 3.7 of NI 81-107 and the IRC will comply with the standard of care set out in section 3.9 of NI 81-107. The IRC of the Pooled Funds will not approve an Inter-Fund Trade involving a Pooled Fund unless it has made the determination set out in section 5.2(2) of NI 81-107.

22. Inter-Fund Trades involving a Public Fund will be referred to the IRC of the Public Fund under subsection 5.2(1) of NI 81-107 and the Filer, as the manager of the Public Fund, and the IRC of the Public Fund will comply with section 5.4 of NI 81-107 in respect of any standing instructions the IRC provides in connection with the Inter-Fund Trade. The IRC of the Public Funds will not approve an Inter-Fund Trade involving a Public Fund unless it has made the determination set out in subsection 5.2(2) of NI 81-107.

23. Prior to engaging in Inter-Fund Trades on behalf of a Managed Account, each Discretionary Management Agreement or other documentation will contain the authorization of the Client for the portfolio manager of the Managed Account to engage in Inter-Fund Trades.

24. The Filer cannot rely on the exemption codified under subsection 6.1(4) of NI 81-107 unless each party to the transaction is a reporting issuer and the Inter-Fund Trade occurs at the "current market price of the security" which, in the case of exchange-traded securities, includes the Closing Sale Price but not the Last Sale Price.

25. The Filer considers that it would be in the best interests of the Funds and the Managed Accounts, as applicable, if an Inter-Fund Trade could be made at the Last Sale Price prior to the execution of the trade, in lieu of the Closing Sale Price, as this will result in the trade being done at the price which is closest to the price at the time the decision to make the trade is made.

26. An Inter-fund Trade to be effected at the Last Sale Price will be implemented by the Filer as follows:

    (a) the Filer, as the portfolio manager, will deliver the trade instruction in respect of a purchase or sale of a portfolio security by a Fund or a Managed Account, as applicable (**Party A**), to a trader on the Filer's trading desk;

    (b) the Filer, as the portfolio manager, will deliver the trade instruction in respect of a purchase or sale of a portfolio security by another Fund or Managed Account, as applicable (**Party B**), to a trader on the Filer's trading desk;

    (c) the trader on the Filer's trading desk will have the discretion to execute the trade as an Inter-fund Trade between Party A and Party B at the Last Sale Price of the portfolio security, prior to the execution of the trade;

    (d) the policies applicable to the Filer's trading desk will require that all orders are to be executed on a timely basis; and

    (e) the trader on the Filer's trading desk will advise of the Last Sale Price.

In Specie Transfers

27. The Filer may wish to or otherwise be required to conduct an *In specie* Transfer (as defined below) and deliver securities held in a Managed Account or a Pooled Fund to a Fund in respect of a purchase of securities of the Fund (**Fund Securities**), and may wish to or otherwise be required to receive securities from a Fund in respect of a redemption of Fund Securities by a Managed Account or a Pooled Fund. As the Filer is, or may be, the portfolio manager of the Funds and is, or may be, the portfolio manager of the Managed Accounts, the Filer would be considered a "responsible person" within the meaning of section 13.5 of NI 31-103.

28. As the Filer is, or may be in the future, the trustee of a Fund which is organized as a trust, each such Fund may be an 'associate' of the Filer, and accordingly, absent the grant of the *In specie* Transfer Relief, the Filer would be precluded by the provisions of section 13.5(2)(b)(ii) of NI 31-103 from effecting the *In specie* Transfers in such circumstances. As the Filer is, or will be, a registered adviser, and is or will be the manager and/or portfolio manager of the Funds and is, or will be, the portfolio manager of the Managed Accounts, absent the grant of the *In specie* Transfer Relief, the Filer would be precluded by section 13.5(2)(b)(iii) of NI 31-103 from effecting the *In specie* Transfers.

29. The *In specie* Transfers will allow the Filer to manage each asset class more effectively and reduce transaction costs for the Managed Account or the Fund client and the other Funds. For example, *In specie* Transfers reduce market impact costs, which can be detrimental to the Managed Accounts or the Fund clients and/or the other Funds. *In specie* Transfers also allow the Filer to retain within its control institutional-size blocks of securities that otherwise would need to be broken and re-assembled.

30. The only cost which will typically be incurred by a Fund or a Managed Account for an *In specie* Transfer is a nominal administrative charge levied by the custodian of the Fund in recording the trades and any commission charged by the dealer executing the trade.

31. The Filer will obtain the prior specific written consent of the relevant Managed Account client before it engages in any *In specie* Transfers in connection with the purchase or redemption of securities of a Fund for the Managed Account.

32. The Filer, as manager of the Funds, will value the securities transferred under an *In specie* Transfer on the same valuation day on which the purchase price or redemption price of the Fund Securities of a Fund is determined. With respect to the purchase of Fund Securities of a Fund, the securities transferred to a Fund under an *In specie* Transfer in satisfaction of the purchase price of those Fund Securities will be valued as if the securities were portfolio assets of the Fund, as contemplated by section 9.4(2)(b)(iii) of NI 81-102. With respect to the redemption of Fund Securities of a Fund, the securities transferred to a Managed Account in satisfaction of the redemption price of those Fund Securities will have a value equal to the amount at which those securities were valued in calculating the net asset value per security used to establish the redemption price of the Fund Securities of the Fund, as contemplated by section 10.4(3)(b) of NI 81-102.

33. Should any *In specie* Transfer involve the transfer of an "illiquid asset" (as defined in NI 81-102) (the **Illiquid Portfolio Securities**), the Filer will obtain at least one quote for the illiquid asset from an independent arm's length purchaser or seller, immediately before effecting the *In specie* Transfer.

34. If any Illiquid Portfolio Securities are the subject of an *In specie* Transfer, the Illiquid Portfolio Securities will be transferred on a basis that fairly represents the portfolio of the Fund. The Filer will not cause any Fund to be involved in *In specie* Transfer if, at the time of the proposed *In specie* Transfer, Illiquid Portfolio Securities represent more than an immaterial portion of the portfolio of the Fund. The valuation of any Illiquid Portfolio Securities which would be the subject of an *In specie* Transfer will be carried out according to the Filer's policies and procedures for the fair value of portfolio securities, including illiquid securities.

35. *In specie* Transfers will be subject to (i) compliance with the written policies and procedures of the Filer respecting *In specie* Transfers that are consistent with applicable securities legislation, and (ii) the oversight of the Filer's compliance department to ensure that the transaction represents the business judgment of the Filer acting in its discretionary capacity with respect to a Fund and/or a Managed Account, uninfluenced by considerations other than the best interests of the Fund and/or the Managed Account.

36. None of the portfolio securities which are the subject of an *In specie* Transfer will be securities of related issuers of the Filer.

37. Since the Filer is, or will be, the portfolio manager of each Managed Account and each Fund, the Filer will be considered to be a 'responsible person' within the meaning of NI 31-103, and would thus be prohibited from entering into Inter-Fund Trades or *In specie* Transfers in the absence of the Inter-Fund Trading Relief and *In specie* Transfer Relief, respectively.

38. The Filer has determined that it would be in the interests of the Funds and the Managed Accounts to receive the Exemptions Sought.

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,

(a) the Section 4.2(1) Relief is granted provided that:

(i) the transaction is consistent with the investment objectives of each of the Funds involved in the trade;

(ii) the IRC of each Fund involved in the trade has approved the transaction in respect of that Fund in accordance with the terms of subsection 5.2(2) of NI 81-107; and

(iii) the transaction complies with paragraphs (c) to (g) of subsection 6.1(2) of NI 81-107.

(b) the Inter-Fund Trading Relief is granted provided that:

(i) the Inter-Fund Trade is consistent with the investment objective of the Fund or the Managed Account;

(ii) the Filer refers the Inter-Fund Trade to the IRC of the Fund in the manner contemplated by section 5.1 of NI 81-107 and the Filer and the IRC of the Fund comply with section 5.4 of NI 81-107 in respect of any standing instructions an IRC provides in connection with the Inter-Fund Trade;

(iii) in the case of an Inter-Fund Trade between Funds:

(A) the IRC of each Fund has approved the Inter-Fund Trade in respect of the Fund in accordance with the terms of subsection 5.2(2) of NI 81-107; and

(B) the Inter-Fund Trade complies with paragraphs (c) to (g) of subsection 6.1(2) of NI 81-107 except that for purposes of paragraph (e) of subsection 6.1(2) in respect of exchange-traded securities, the current market price of the security may be the Last Sale Price;

(iv) in the case of an Inter-Fund Trade between a Managed Account and a Fund:

(A) the IRC of the Fund has approved the Inter-Fund Trade in respect of such Fund in accordance with the terms of subsection 5.2(2) of NI 81-107;

(B) the investment management agreement or other documentation in respect of the Managed Account authorizes the transaction; and

(C) the Inter-Fund Trade complies with paragraphs (c) to (g) of subsection 6.1(2) of NI 81-107 except that for purposes of paragraph (e) of subsection 6.1(2) in respect of exchange-traded securities, the current market price of the security may be the Last Sale Price;

(c) the *In specie* Transfer Relief is granted provided that:

(i) if the transaction is the purchase of Fund Securities by a Managed Account:

(A) if the Fund Securities are of a Public Fund,

(I) the Filer, as manager of the Public Fund, obtains the approval of the IRC of the Fund in respect of an *In specie* Transfer in accordance with the terms of section 5.2 of NI 81-107; and

(II) the Filer, as manager of the Public Fund and the IRC of the Fund comply with the requirements of section 5.4 of NI 81-107 for any standing instructions the IRC provides in respect of an *In specie* Transfer;

(B) the Filer obtains the prior written consent of the client of the relevant Managed Account before it engages in any *In specie* Transfers in connection with the purchase of the Fund Securities;

(C) the Fund would at the time of payment be permitted to purchase the portfolio securities held by the Managed Account;

(D) the portfolio securities are acceptable to the Filer as portfolio manager of the Fund and consistent with the Fund's investment objectives;

(E) the value of the portfolio securities sold to the Fund by the Managed Account is equal to the issue price of the Fund Securities for which they are payment, valued as if the securities were portfolio assets of that Fund;

(F) the account statement next prepared for the Managed Account will include a note describing the portfolio securities delivered to the Fund and the value assigned to such securities; and

(G) the Fund keeps written records of all *In specie* Transfers during the financial year of the Fund, reflecting details of the portfolio securities delivered to the Fund and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place;

(ii) if the transaction is the redemption of Fund Securities by a Managed Account:

(A) if the Fund Securities are of a Public Fund,

(I) the Filer, as manager of the Public Fund, obtains the approval of the IRC of the Fund in respect of an *In specie* Transfer in accordance with the terms of section 5.2 of NI 81-107; and

(II) the Filer, as manager of the Public Fund and the IRC of the Fund comply with the requirements of section 5.4 of NI 81-107 for any standing instructions the IRC provides in respect of an *In specie* Transfer;

(B) the Filer obtains the prior written consent of the client of the relevant Managed Account to the payment of redemption proceeds in the form of an *In specie* Transfer;

(C) the portfolio securities are acceptable to the Filer as portfolio manager of the Managed Account and consistent with the Managed Account's investment objectives;

(D) the value of the portfolio securities is equal to the amount at which those securities were valued in calculating the net asset value per Fund Security of the Fund used to establish the redemption price;

(E) the holder of the Managed Account has not provided notice to terminate its investment management agreement with the Filer;

(F) the account statement next prepared for the Managed Account will include a note describing the portfolio securities delivered to the Managed Account and the value assigned to such securities; and

(G) the Fund keeps written records of all *In specie* Transfers during a financial year of the Fund, reflecting details of the portfolio securities delivered by the Fund and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place;

(iii) the Filer does not receive any compensation in respect of any sale or redemption of Fund Securities of a Fund and, in respect of any delivery of securities further to an *In specie* Transfer, the only charge paid by the Managed Account, if any, is the commission charged by the dealer executing the trade;

(iv) if the transaction is the purchase of Fund Securities of a Public Fund by a Pooled Fund:

(A) the Filer, as manager of the Public Fund, obtains the approval of the IRC of the Public Fund in respect of an *In specie* Transfer in accordance with the terms of section 5.2 of NI 81-107;

(B) the Filer, as manager of the Public Fund, and the IRC of the Public Fund comply with the requirements of section 5.4 of NI 81-107 for any standing instructions the IRC provides in respect of an *In specie* Transfer;

(C) the Public Fund would at the time of payment be permitted to purchase the portfolio securities;

(D) the portfolio securities are acceptable to the Filer as portfolio manager of the Public Fund, and consistent with the Public Fund's investment objectives;

(E) the value of the portfolio securities is equal to the issue price of the Fund Securities of the Public Fund for which they are payment, valued as if the securities were portfolio assets of that Public Fund; and

(F) each of the Funds keeps written records of all *In specie* Transfers in a financial year of the Fund, reflecting details of the portfolio securities delivered by the Pooled Fund to the Public Fund, and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place;

(v) if the transaction is the redemption of Fund Securities of a Public Fund by a Pooled Fund:

(A) the Filer, as manager of the Public Fund, obtains the approval of the IRC of the Public Fund in respect of the *In specie* Transfer in accordance with the terms of section 5.2 of NI 81-107;

(B) the Filer, as manager of the Public Fund, and the IRC of the Public Fund comply with the requirements of section 5.4 of NI 81-107 for any standing instructions the IRC provides in respect of an *In specie* Transfer;

(C) the portfolio securities are acceptable to the Filer as the portfolio manager of the Pooled Fund, and consistent with the Pooled Fund's investment objective;

(D) the value of the portfolio securities is equal to the amount at which those securities were valued in calculating the net asset value per Fund Security used to establish the redemption price of the Public Fund; and

(E) each of the Funds keeps written records of all *In specie* Transfers in a financial year of the Fund, reflecting details of the portfolio securities delivered by the Public Fund to the Pooled Fund and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place;

(vi) if the transaction is the purchase of Fund Securities of a first Pooled Fund by a second Pooled Fund:

(A) the first Pooled Fund would at the time of payment be permitted to purchase the portfolio securities;

(B) the portfolio securities are acceptable to the Filer as portfolio manager of the first Pooled Fund, and consistent with the first Pooled Fund's investment objectives;

(C) the value of the portfolio securities is equal to the issue price of the Fund Securities of the first Pooled Fund for which they are payment, valued as if the securities were portfolio assets of the first Pooled Fund; and

(D) each Fund keeps written records of an *In specie* Transfer in a financial year of the Fund, reflecting details of the portfolio securities delivered by the second Pooled Fund to the first Pooled Fund, and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place;

(vii) if the transaction is the redemption of Fund Securities of a first Pooled Fund by a second Pooled Fund:

(A) the portfolio securities are acceptable to the Filer as portfolio manager of the second Pooled Fund, and consistent with the investment objective of the second Pooled Fund;

(B) the value of the portfolio securities is equal to the amount at which those securities were valued in calculating the net asset value per Fund Securities used to establish the redemption price of the first Pooled Fund; and

(C) each Fund keeps written records of all *In specie* Transfers in a financial year of the Fund, reflecting details of the portfolio securities delivered to the second Pooled Fund by the first Pooled Fund and the value assigned to such securities, for at least five years after the end of the financial year, the most recent two years in a reasonably accessible place; and

(viii) the Filer does not receive any compensation in respect of any sale or redemption of Fund Securities of a Fund and, in respect of any delivery of securities further to an *In specie* Transfer, the only charge paid by the Fund, if any, is the commission charged by the dealer executing the trade.

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

2.1.5 TerrAscend Corp.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Issuer granted relief from the requirement in National Instrument 52-107 Acceptable Accounting Principles and Auditing Standards that acquisition statements required by securities legislation to be audited must be accompanied by an auditor's report that expresses an unqualified opinion – Issuer made a significant acquisition, but underlying information needed to support an unqualified auditor's opinion on the acquisition statements is not available – Issuer can otherwise comply with the acquisition statement requirements for a business acquisition report and the business acquisition report will contain sufficient alternative information about the acquisition.

Applicable Legislative Provisions

National Instrument 52-107 Acceptable Accounting Principles and Auditing Standards, ss. 3.12(2) and 5.1.

December 6, 2019

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
TERRASCEND CORP.
(the "Filer")

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer for a decision under the securities legislation of the Jurisdiction (the **Legislation**) exempting the Filer from the requirement in subsection 3.12(2) of National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards* (**NI 52-107**) that an auditor's report accompanying audited acquisition statements must express an unqualified opinion (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 subsection 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in British Columbia and Alberta.

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 was incorporated on February 18, 2014 pursuant to the *Business Corporations Act* (Ontario). The Filer's head office is located at 3610 Mavis Road, Mississauga, Ontario.

2. The Filer is a reporting issuer in the provinces of Ontario, British Columbia and Alberta.

3. The Filer's authorized share capital consists of an unlimited number of common shares (the **Common Shares**), an unlimited number of proportionate voting shares (the **Proportionate Voting Shares**) and an unlimited number of exchangeable shares (the **Exchangeable Shares**). Each Proportionate Voting Share is exchangeable into Common Shares on the basis of 1,000 Common Shares per Proportionate Voting Share. Each Exchangeable Share is exchangeable, upon the occurrence of certain stated events, into one Common Share. As at the close of business on November 13, 2019, 53,493,225 Common Shares, 75,416.981 Proportionate Voting Shares and 38,890,570 Exchangeable Shares were issued and outstanding.

4. The Common Shares are listed on the Canadian Securities Exchange under the trading symbol "TER" and in the United States on the OTCQX Best Market under the trading symbol "TRSSF". Neither the Proportionate Voting Shares nor the Exchangeable Shares are listed on any stock exchange.

5. On September 16, 2019, the Filer acquired all of the issued and outstanding equity interests of Ilera Healthcare LLC, Ilera Dispensing LLC, Ilera Security LLC, Ilera InvestCo I LLC, 235 Main Street Mercersburg LLC and IHC Real Estate GP, LLC (collectively, the **Ilera Entities**) in exchange for a combination of cash and Proportionate Voting Shares (the **Transaction**).

6. The Transaction was completed pursuant to a securities purchase and exchange agreement dated August 1, 2019 among the Filer (as parent), WDB Holding PA, Inc. (a wholly-owned indirect

subsidiary of the Filer, as buyer), certain sellers of the Ilera Entities and Mr. Osagie Imasogie (as the sellers' agent).

7. None of the Ilera Entities are reporting issuers (or the equivalent) in any jurisdiction. Each of Ilera Healthcare LLC, Ilera Dispensing LLC, Ilera Security LLC, Ilera InvestCo I LLC and 235 Main Street Mercersburg LLC are incorporated under the laws of the State of Pennsylvania. IHC Real Estate GP, LLC is incorporated under the laws of the State of Delaware.

8. The Transaction constituted an "acquisition of related businesses" and a "significant acquisition" by the Filer under section 8.3 of National Instrument 51-102 *Continuous Disclosure Obligations* (**NI 51-102**), which triggered the requirement for the Filer to file a completed Form 51-102F4 *Business Acquisition Report* (**BAR**) within 75 days of the completion of the Transaction.

9. Pursuant to subsection 8.4(8) of NI 51-102, the Filer is permitted to present the financial statements of the Ilera Entities required to be included in the BAR on a combined basis, as for the periods covered, the Ilera Entities were under common control.

10. To comply with section 8.4 of NI 51-102, the Filer's BAR must include, among other things, audited annual financial statements of the Ilera Entities for the financial year ended December 31, 2018 (the **2018 Annual Financial Statements**).

11. Under section 3.12 of NI 52-107, the 2018 Annual Financial Statements must be accompanied by an auditor's report that expresses an unqualified opinion.

12. The Filer understands that, as private entities, the Ilera Entities were not required to have, and did not have, the 2018 Annual Financial Statements audited.

13. Although the Filer has prepared the 2018 Annual Financial Statements to the best of its ability using information that is presently available from the Ilera Entities and their former management, the Filer's auditor has represented to the Filer that it is unable to obtain sufficient comfort with respect to the Ilera Entities to issue an unqualified audit opinion due to the lack of sufficient underlying information and the passage of time. In particular, the Filer's independent auditor was not present during the December 31, 2018 physical inventory observation and has been unable to satisfy itself by alternative means of the quantity of inventory at December 31, 2018.

14. The Filer expects the following item (the **Qualified Matter**) would result in a qualified opinion from the auditor in respect of the 2018 Annual Financial Statements:

    Inventory: Supporting documentation and schedules required in order to validate the quantity of inventory, including growing crops, are not available as at December 31, 2018 and for the year then ended. As such, the Filer does not believe the Filer's independent auditor will be able to obtain sufficient comfort for the ending inventory balance and the related cost of goods sold. Since the Ilera Entities are unable to reproduce inventory quantities as of December 31, 2018, the independent auditor is unable to conduct sufficient alternative audit procedures to gain reasonable comfort that inventory balances at December 31, 2018 are free from material misstatement.

15. Apart from the requirement that the 2018 Annual Financial Statements be accompanied by an auditor's report that expresses an unqualified opinion, the Filer is otherwise able to prepare and file a BAR in accordance with NI 51-102 and NI 52-107.

16. To the knowledge of the Filer, after reasonable due diligence conducted on the Ilera Entities, and in the Filer's preparation of the 2018 Annual Financial Statements, the Filer believes that inventory is not materially misstated.

17. Except for the requirement to file a BAR within 75 days of the completion of the Transaction, the Filer is not in default of securities legislation in any jurisdiction.

18. The Filer anticipates that its auditor will be able to issue an unmodified opinion with respect to inventory for its year ended December 31, 2019.

Decision

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

The decision of the principal regulator under the Legislation is that the Exemption Sought is granted provided that the Filer includes the following financial information in the BAR for the Transaction:

(a) the 2018 Annual Financial Statements accompanied by an auditor's report that expresses an unqualified opinion other than with respect to the Qualified Matter;

(b) unaudited annual financial statements of the Ilera Entities for the financial year ended December 31, 2017, in accordance with subsection 8.4(1) of NI 51-102;

(c) unaudited interim financial statements of the Ilera Entities for the six-month period ended June 30, 2019, and comparative period in the immediately

preceding financial year; and

(d) an audited statement of assets acquired and liabilities assumed, without qualification, by the Filer as at the closing date of the Transaction.

"Cameron McInnis"
Chief Accountant
Ontario Securities Commission

2.2 Orders

2.2.1 Aly Babu Husein Mawji – ss. 127(1), 127(10)

IN THE MATTER OF
ALY BABU HUSEIN MAWJI

Heather Zordel, Commissioner and Chair of the Panel

File No. 2019-38

December 3, 2019

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

WHEREAS the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider whether it is in the public interest to make an order against Aly Babu Husein Mawji (**Mawji**) pursuant to subsections 127(1) and 127(10) of the *Securities Act*, RSO 1990, c S.5 (the **Act**), as requested in the Statement of Allegations filed by Staff of the Commission (**Staff**) on October 10, 2019;

ON READING the materials filed by Staff, including the Decision of the Stuttgart (Germany) District Court dated October 12, 2012 and the Decision of the German Federal Court of Justice dated December 4, 2013, and Mawji not having filed any materials, although properly served as indicated the Affidavit of Service of Julia Ho sworn on October 29, 2019;

IT IS ORDERED THAT:

1. pursuant to the Act s.127(1)2, trading in any securities or derivatives by Mawji cease permanently;

2. pursuant to the Act s.127(1)2.1, acquisition of any securities by Mawji be prohibited permanently;

3. pursuant to the Act s.127(1)3, any exemptions contained in Ontario securities law do not apply to Mawji permanently;

4. pursuant to the Act s.127(1)7 and s.127(1)8.1, Mawji resign any positions that he holds as a director or officer of any issuer or registrant;

5. pursuant to the Act s.127(1)8 and s.127(1)8.2, Mawji be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and

6. pursuant to the Act s.127(1)8.5, Mawji be prohibited permanently from becoming or acting as a registrant or promoter.

"Heather Zordel"

2.2.2 Karmin Exploration 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).

December 2, 2019

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
KARMIN EXPLORATION INC.
(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 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 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 and Nova Scotia.

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.

"Marie-France Bourret"
Manager, Corporate Finance
Ontario Securities Commission

2.2.3 The Catalyst Group Inc. et al. – s. 127

IN THE MATTER OF
THE CATALYST CAPITAL GROUP INC.

AND

IN THE MATTER OF
HUDSON'S BAY COMPANY, RICHARD A. BAKER, LISA BAKER, LISA AND RICHARD BAKER ENTERPRISES, LLC, RED TRUST, YELLOW TRUST, BLUE TRUST, ROBERT BAKER, CHRISTINA BAKER, A TRUST FOR BETTINA JANE RICHMAN, A TRUST FOR EMMA RICHMAN, A TRUST FOR FRANCESCA RICHMAN, ASHLEY S. BAKER 3/15/84 TRUST, LION TRUST, MR. AND MRS. ROBERT BAKER FAMILY FOUNDATION, CHRISTINA BAKER TRUST FOR GRANDCHILDREN, ROBERT C. BAKER TRUST FOR GRANDCHILDREN, WILLIAM MACK, THE WILLIAM AND PHYLLIS MACK FAMILY FOUNDATION, INC., MACK 2010 FAMILY TRUST I, RICHARD MACK, WRS ADVISORS III, LLC, WRS ADVISORS IV, LLC, LEE NEIBART, LEE S. NEIBART 2010 GRAT, HANOVER INVESTMENTS (LUXEMBOURG) S.A., ABRAMS CAPITAL PARTNERS I, L.P., ABRAMS CAPITAL PARTNERS II, L.P., WHITECREST PARTNERS, LP, and FABRIC LUXEMBOURG HOLDINGS S.À.R.L

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

File No. 2019-41

December 5, 2019

ORDER
(Section 127 of the *Securities Act,* RSO 1990, c S.5)

WHEREAS on December 5, 2019, the Ontario Securities Commission held a hearing at 20 Queen Street West, 17th Floor, Toronto, Ontario to address scheduling for the Application brought by The Catalyst Capital Group Inc. (Catalyst) in respect of the proposed acquisition of securities of Hudson's Bay Company (HBC) by Rupert Acquisition LLC (Rupert LLC), in connection with the plan of arrangement contemplated under a definitive arrangement agreement dated October 20, 2019 between Rupert LLC and HBC;

ON HEARING the submissions of the representative for Catalyst, HBC, Rupert LLC, the other respondents (the Continuing Shareholders) and Staff of the Commission (Staff) and considering Catalyst's agreement to forego the filing of any preliminary motions;

IT IS ORDERED THAT:

1. Catalyst shall file an Amended Application that adds Rupert LLC and L&T B (Cayman) Inc. as respondents pursuant to Rule 18 of the *Ontario Securities Commission Rules of Procedure and Forms* (the OSC Rules);

2. Written materials for any motion requesting intervenor status to participate in all or part of the Application (the Intervenor Motions) shall be served and filed according to the following schedule:

   (a) the Motion record shall be served and filed by December 6, 2019;

   (b) any responding materials shall be served and filed by December 7, 2019; and

   (c) any reply materials shall be served and filed by December 8, 2019;

3. Any Intervenor Motions shall be heard in writing pursuant to Rule 23(3) of the OSC Rules;

4. All direct evidence in the Application, including any expert evidence, shall be adduced by way of affidavit evidence;

5. All parties who file affidavit evidence shall make their affiants available for cross-examination by any adverse party at the hearing of the Application;

6. Catalyst shall serve and file the application record, including any affidavit evidence being relied upon, by no later than December 6, 2019;

7. Catalyst shall serve and file a memorandum of law and book of authorities by 12:00 p.m. on December 7, 2019;

8. The respondents shall serve and file any responding records, including any affidavit evidence being relied upon, responding memoranda of law and books of authorities by 12:00 p.m. on December 9, 2019;

9. Catalyst shall serve and file any reply record, reply memorandum of law and book of authorities by 12:00 p.m. on December 10, 2019;

10. Staff shall serve and file a memorandum of law and book of authorities by 5:00 p.m. on December 10, 2019; and

11. The hearing of the Application shall commence at 10:00 a.m. on December 11, 2019, continuing on December 12 at 11:00 a.m. and December 13 at 11:00 a.m., or on such other dates or times as may be agreed by the parties and set by the Office of the Secretary.

"D. Grant Vingoe"

Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Aly Babu Husein Mawji – ss. 127(1), 127(10)

Citation: *Mawji (Re)*, 2019 ONSEC 39
Date: 2019-12-03
File No. 2019-38

IN THE MATTER OF
ALY BABU HUSEIN MAWJI

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

Hearing:	In Writing	
Decision:	December 3, 2019	
Panel:	Heather Zordel	Commissioner and Chair of the Panel
Submissions:	Hanchu Chen	For Staff of the Commission
	No submissions made by or on behalf of Aly Babu Husein Mawji	

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B. Should the Commission exercise its jurisdiction to make the requested order in the public interest?

V. CONCLUSION

REASONS AND DECISION

I. OVERVIEW

[1] On October 12, 2012, the respondent Aly Babu Husein Mawji was convicted before the Stuttgart District Court in Germany for illegal market manipulation.[1]

[2] In this inter-jurisdictional enforcement proceeding, Enforcement Staff of the Ontario Securities Commission (**Staff** of the **Commission**) requests a protective and preventative order in the public interest pursuant to the *Securities Act* (the **Act**) s.127(1) and s.127(10).[2] Specifically, Staff relies on s.127(10)1 of the Act, which provides that an order may be made under s.127(1) in respect of a person who has been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities or derivatives.[3] I also will consider the Act s.127(10)3, which provides that an order may be made under s.127(1) in respect of a person who has been found by a court in any jurisdiction to have contravened the laws of the jurisdiction respecting the buying or selling of securities.[4] Staff submits that the s.127(1) precondition has been met, and that it is in the public interest to make an inter-jurisdictional enforcement order against Mr. Mawji in Ontario on the terms proposed.

[3] There are two issues for my consideration:

a. Has Mr. Mawji been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities or derivatives and/or has Mr. Mawji been found by a court in any jurisdiction to have contravened the laws of the jurisdiction respecting the buying or selling of securities?

b. If so, should the Commission exercise its jurisdiction to make a protective and preventative order in the public interest in respect of Mr. Mawji?

[4] Based on the written submissions, hearing brief and supporting legal authorities filed by Staff, I am satisfied that the precondition for the proposed order has been met, and it is in the public interest to issue the requested order. These are my reasons.

II. SERVICE AND PARTICIPATION

[5] Staff filed a Statement of Allegations dated October 10, 2019, naming Mr. Mawji as the sole respondent in this proceeding and electing to proceed with a hearing in writing. The next day, the Commission issued a Notice of Hearing commencing this proceeding and posted it on the Commission's website.

[6] Staff served Mr. Mawji with the Statement of Allegations, the Notice of Hearing, and Staff's written submissions, hearing brief[5] and brief of authorities on October 25, 2019, via email. Staff filed an Affidavit of Service sworn on October 29, 2019.[6] I find that Staff properly effected service on Mr. Mawji.

[7] In accordance with the *Ontario Securities Commission Rules of Procedure and Forms*, the deadline for the respondent to serve and file written submissions was November 22, 2019.[7] That deadline has passed.

[8] Mr. Mawji chose not to participate in the proceeding. Although properly served, Mr. Mawji filed no materials by the deadline, or at any point. The Commission may proceed in the absence of a party where that party has been given notice of the hearing.[8] I am satisfied that Mr. Mawji had adequate notice of this written hearing and that it is appropriate to proceed with this written hearing in his absence.

III. GERMAN COURT PROCEEDINGS

A. Conduct at Issue

[1] Exhibit 1, Staff's Hearing Brief, Decision of the German Federal Court of Justice re: Aly Babu Husein Mawji, et al. dated December 4, 2013, Tab 2 (translation) and Tab 3 (original) (**Federal Decision**) at para 8; see also Staff's Hearing Brief, Decision of the Stuttgart District Court, Commercial Crime Court re: Aly Babu Husein Mawji dated October 12, 2012, Tab 4 (partial translation) and Tab 5 (original) (**District Decision**) at 4.
[2] RSO 1990, c S.5 (the **Act**).
[3] The Act, s.127(10) para 1.
[4] The Act, s.127(10) para 3.
[5] Marked as Exhibit 1 in this proceeding.
[6] Marked as Exhibit 2 in this proceeding.
[7] *I.e.,* 28 days after service, pursuant to *Ontario Securities Commission Rules of Procedure and Forms* (2019), 42 OSCB 6528, r 11(3)(g) (***OSC Rules of Procedure***), r 11(3).
[8] *Statutory Powers Procedure Act*, RSO 1990, c S.22, s 7(2); *OSC Rules of Procedure*, r 21(3).

[9] In early 2006, Mr. Mawji acquired almost all of the freely traded shares of a company (**Company D**). Together with another individual (**Individual G**), Mr. Mawji sought to increase the price of Company D's shares through recommendations in the media. Mr. Mawji transferred half of his Company D shares to Individual G in exchange for Individual G marketing the shares through his network of stock exchange journalists.[9] Between May 15, 2006 and June 15, 2006 (the **Material Time**), Individual G and associates actively promoted and recommended the purchase of the shares of Company D in the media as a lucrative investment based on the involvement of a well-known geologist.[10]

[10] Company D shareholders, including Mr. Mawji, were not disclosed in any publications; there were no disclaimers or warnings regarding Mr. Mawji's shareholdings; letters sent out by email and the respective home pages did not disclose that the publisher and associates may hold positions in the shares discussed in the publications; nor was that information disclosed online.[11]

[11] Company D's shares remained virtually inactive following its initial listing in February 2006.[12]

[12] During the Material Time, the stock exchange price of Company D shares increased from EUR 2.10 to EUR 18.10. Mr. Mawji, having concealed his own shareholdings in Company D and the conflict of interest therein, used the price increases to his advantage and sold his Company D shares for a profit of EUR 25,660,856.02.[13]

[13] Company D's share price fell following the conclusion of the marketing campaign, closing at EUR 2.92 on June 30, 2006. Over the course of 2006 and 2007, the Company D trading volume and share price continually decreased, and tended towards zero.[14]

B. Conviction and Sentencing

[14] On October 12, 2012, Mr. Mawji was convicted before the Stuttgart District Court of illegal market manipulation, in relation to s.38(2), in conjunction with s.39(1) no. 2, and s.20a(1) no. 3 of the *German Securities Trading Act (WpHG)*; s.4(3) no. 2 of the *German Market Manipulation Definition Regulation (MaKonV)*; and s.25(2) of the *German Criminal Code*.[15]

[15] The Stuttgart District Court sentenced Mr. Mawji to three years and two months imprisonment.[16]

C. Appeal

[16] Mr. Mawji appealed the Stuttgart District Court's judgement to the German Federal Court of Justice (**Federal Court**). On December 4, 2013, the Federal Court denied Mr. Mawji's appeal, except for the District Court's findings regarding the *German Code of Criminal Procedure* s.111i para 2[17], which was held to be inapplicable because it came into effect after the Material Time.[18]

[17] The Federal Court found no errors of law regarding Mr. Mawji's conviction and upheld the Stuttgart District Court's findings that Mr. Mawji had carried out an illegal market manipulation of Company D shares.[19]

IV. LAW AND ANALYSIS

A. Has the respondent been convicted in any jurisdiction of an offence arising from a transaction, business or course of conduct related to securities and/or been found by a court in any jurisdiction to have contravened the laws of the jurisdiction respecting the buying or selling of securities?

[18] The Act s.127(10) facilitates the inter-jurisdictional enforcement of orders following breaches of securities law. It allows the Commission to issue protective and preventative orders to ensure that misconduct that takes place in another jurisdiction will not be repeated in Ontario's capital markets. The Act s.127(10) authorizes an order under s.127(1) where a respondent has been convicted in any jurisdiction of an offence arising from a transaction, business or conduct related to securities. The Act s.127(10) also authorizes an order under s.127(1) where a respondent has been found by

[9] Federal Decision, Tab 2 at para 4.
[10] Federal Decision, Tab 2 at para 5.
[11] Federal Decision, Tab 2 at para 6.
[12] Federal Decision, Tab 2 at para 7.
[13] Federal Decision, Tab 2 at para 7.
[14] Federal Decision, Tab 2 at paras 1 and 4.
[15] Federal Decision, Tab 2 at para 8; District Decision, Tab 4 at IV.
[16] Federal Decision, Tab 2 at paras 1 and 4; District Decision, Tab 4 at I-2 (p 3).
[17] Federal Decision, Tab 2 at Decision para 1 and Reasons paras 48-52. Section 111i paragraph 2 is a provision enacted in January 2007 for the purpose of strengthening enforcement for damages and asset forfeiture.
[18] Federal Decision, Tab 2 at Decision paras 1-3 and Reasons paras 48-53.
[19] Federal Decision, Tab 2 at para 18.

a court in any jurisdiction to have contravened the laws of the jurisdiction respecting the buying or selling of securities. The Act s.127(10) does not itself empower the Commission to make an order; rather, if the threshold criterion in s.127(10) is met, then it provides a basis for an order under s.127(1).

[19] The Stuttgart District Court found that Mr. Mawji engaged in illegal market manipulation through a "pump and dump" scheme with respect to Company D shares. Company D's share trading price increased from EUR 2.10 to EUR 18.10 with the support of a marketing campaign with which Mr. Mawji was associated when he had a conflict of interest due to undisclosed shareholdings in the company being marketed. Mr. Mawji took advantage of the trading price increases for the advantageous sale of his shares, which trades were also not disclosed to the investing public. Following the conclusion of the marketing campaign, Company D's trading volume and price decreased, and eventually tended towards zero.[20]

[20] Mr. Mawji was convicted before the Stuttgart District Court of illegal market manipulation and the conviction was upheld by the Federal Court on appeal. Having regard to the nature of the offences, I am satisfied that Mr. Mawji's conviction arose from a transaction, business or course of conduct related to securities and that he has been found by a court in Germany to have contravened the laws of Germany respecting the selling of securities. The threshold test under the Act s.127(10) is therefore satisfied.

B. Should the Commission Exercise its Jurisdiction to Make the Requested Order in the Public Interest?

[21] I must now consider whether it is in the public interest to issue an order under the Act s.127(1). Orders made under the Act s.127(1) are "protective and preventative" and are made to restrain potential conduct that could be detrimental to the integrity of the capital markets and are therefore prejudicial to the public interest.[21]

[22] Mr. Mawji is a resident of British Columbia and holds no securities registration in Ontario. However, the Commission does not require a pre-existing connection to Ontario before exercising its jurisdiction to make an order in reliance on the Act s.127(10).[22]

[23] Staff submits that Mr. Mawji's conduct warrants imposing significant protective sanctions to restrain future conduct. In determining specific sanctions, the Commission may consider a number of factors including the seriousness of the misconduct, and specific and general deterrence.[23] Staff submits that significant weight should be given to the serious nature of the misconduct in this case, given that Mr. Mawji's offence warranted a criminal sentence of three years and two months imprisonment in Germany.

[24] Where respondents have been convicted before criminal courts for securities-related misconduct, the Commission has consistently held that the threshold requirements of the Act s.127(10)1 have been met, and orders pursuant to the Act s.127(1) will be in the public interest.[24] The Commission has determined sanctions under the Act are warranted to provide both specific and general deterrence and to protect the investing public.[25]

[25] Company D's stock, which had been relatively inactive from its initial listing date until the marketing program started, saw a 761% increase in trading price in one month during the marketing program. Mr. Mawji sold Company D shares, which he had not adequately disclosed his ownership interest in, during this time frame at a substantial profit. The sharp rise and subsequent fall in trading volumes and price following the marketing campaign, and Mr. Mawji's opportunist share sales, is evidence that the campaign was manipulative in that Company D itself did not have the intrinsic value to support the high share valuation.[26] Market manipulation such as this poses significant harm to capital markets and investors' confidence in them.[27] Consequently, the Commission has recognized that contraventions will generally warrant severe sanctions.[28] I accept Staff's submission that the sanctions requested are proportionate to Mr. Mawji's level of misconduct and serve to protect Ontario investors and Ontario's capital markets from potential future misconduct by Mr. Mawji.

V. CONCLUSION

[20] Federal Decision, Tab 2 at paras 5-7.
[21] *Committee for the Equal Treatment of Asbestos Minority Shareholders v Ontario (Securities Commission)*, 2001 SCC 37 at paras 42-43.
[22] *Euston Capital Corp,* 2009 ONSEC 23, (2009) 32 OSCB 6313 at para 45, citing *Biller (Re)*, 2005 ONSEC 15, (2005) 28 OSCB 10131 at paras 32-35.
[23] *Belteco Holdings Inc (Re)*, (1998) 21 OSCB 7743 at 7746.
[24] *Lech (Re)*, 2010 ONSEC 9, (2010) 33 OSCB 4795 (***Lech***) at paras 57-58; *Yoannou (Re)*, 2014 ONSEC 38, (2014) 37 OSCB 10762 at paras 17 and 32-33; *Dinardo (Re)*, 2016 ONSEC 1, (2016) 39 OSCB 953 at para 30; *Reeve (Re)*, 2018 ONSEC 55, (2018) 41 OSCB 9433 at paras 3, 16 and 23.
[25] *Lech* at para 67.
[26] Federal Court Decision, Tab 2 at para 43.
[27] *Lim (Re)*, 2018 ONSEC 39, (2018) 41 OSCB 6045 at para 1; *Boulieris (Re)*, 2004 ONSEC 1, (2004) 27 OSCB 1597 (***Boulieris***) at para 50.
[28] *Boulieris* at para 50.

[26] For the reasons set out above, I will make the following order:

a. pursuant to the Act s.127(1)2, trading in any securities or derivatives by Mr. Mawji cease permanently;

b. pursuant to the Act s.127(1)2.1, acquisition of any securities by Mr. Mawji be prohibited permanently;

c. pursuant to the Act s.127(1)3, any exemptions contained in Ontario securities law do not apply to Mr. Mawji permanently;

d. pursuant to the Act s.127(1)7 and s.127(1)8.1, Mr. Mawji resign any positions that he holds as a director or officer of any issuer or registrant;

e. pursuant to the Act s.127(1)8 and s.127(1)8.2, Mr. Mawji be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant; and

f. pursuant to the Act s.127(1)8.5, Mr. Mawji be prohibited permanently from becoming or acting as a registrant or promoter.

Dated at Toronto this 3rd day of December, 2019.

“Heather Zordel”

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Chapter 4

Cease Trading Orders

4.1.1 Temporary, Permanent & Rescinding Issuer Cease Trading Orders

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

Failure to File Cease Trade Orders

Company Name	Date of Order	Date of Revocation
Dionymed Brands Inc.	05 December 2019	
Halio Energy Inc.	04 December 2019	
Orion Nutraceuticals Inc.	04 December 2019	05 December 2019
Primo Nutraceuticals	04 December 2019	
Traverse Energy Ltd.	05 December 2019	
Wolfpack Brands Corporation	05 December 2019	

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
CannTrust Holdings Inc.	15 August 2019	
Voyager Digital (Canada) Ltd.	05 November 2019	

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Chapter 5

Rules and Policies

5.1.1 Amendments to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations

AMENDMENTS TO
NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

1. National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations is amended by this Instrument.

2. Subsection 3.4(1) is amended by deleting ", including understanding the structure, features and risks of each security the individual recommends***".***

3. Section 3.16 is amended:

(a) in paragraph (1)(b) by adding "*determination****" after "****suitability****", and***

(b) in paragraph (2)(a) by adding "*determination****" after "****suitability****".***

4. Paragraph 8.16(3)(b) is amended by replacing subparagraph (iii) with the following:

(iii) in Alberta, section 10 or 11 of Alberta Securities Commission Rule 72-501 *Distributions to Purchasers Outside Alberta*.**.**

5. Subsection 9.3(1) is amended:

(a) in paragraph (j) by adding "*determination****" after "****suitability****",***

(b) by adding the following paragraph:

(j.1) section 13.3.1 [*waivers*];**, *and***

(c) in paragraph (k) by replacing "*lending to clients****" with "****borrowing from, or lending to, clients****".***

6. Subsection 9.3(2) is amended:

(a) in paragraph (e) by adding "*determination****" after "****suitability****",***

(b) by adding the following paragraph:

(e.1) section 13.3.1 [*waivers*];**, *and***

(c) in paragraph (f) by replacing "*lending to clients****" with "****borrowing from, or lending to, clients****".***

7. Subsection 9.4(1) is amended:

(a) in paragraph (i) by adding "*determination****" after "****suitability****",***

(b) by adding the following paragraph:

(i.1) section 13.3.1 [*waivers*];**, *and***

(c) in paragraph (j) by replacing "*lending to clients****" with "****borrowing from, or lending to, clients****".***

8. Section 9.4 is amended by adding the following subsections:

(1.2) In Québec, the requirements listed in paragraphs (a) to (g), paragraphs (i) to (m) and paragraphs (p.1) to (x) of subsection (1) do not apply to a mutual fund dealer to the extent equivalent requirements to those listed in these subparagraphs are applicable to the mutual fund dealer under the regulations in Québec.

(1.3) Despite subsections (1) and (2), in Québec, only the exemptions from the requirements specified in paragraphs (m.2), (m.3), (n), (n.1) and (n.2) of subsection (1) apply to a mutual fund dealer that is a member of the MFDA if the mutual fund dealer complies with the corresponding MFDA provisions that are in effect.***.***

9. Subsection 9.4(2) is amended:

(a) in paragraph (c) by adding "*determination****" after "****suitability****",***

(b) by adding the following paragraph:

(c.1) section 13.3.1 [*waivers*];***, and***

(c) in paragraph (d) by replacing "*lending to clients****" with "****borrowing from, or lending to, clients****".***

10. Subsection 9.4(3) is repealed.

11. Subsection 9.4(4) is repealed.

12. The heading of section 11.1 is amended by adding "**and training**" ***after*** "**Compliance system**"***.***

13. Section 11.1 is amended:

(a) by renumbering it as subsection 11.1(1), and

(b) by adding the following subsection:

(2) A registered firm must provide training to its registered individuals on compliance with securities legislation including, without limitation, the obligations under sections 13.2, 13.2.1, 13.3, 13.4 and 13.4.1.***.***

14. Subsection 11.5(2) is amended:

(a) by replacing paragraph (l) with the following:

(l) demonstrate compliance with sections 13.2 [*know your client*], 13.2.1 [*know your product*] and 13.3 [*suitability determination*];***,***

(b) by replacing paragraph (o) with the following:

(o) document compliance, training and supervision actions taken by the firm;***, and***

(c) by adding the following paragraphs:

(p) demonstrate compliance with Part 13, Division 2 [*conflicts of interest*];

(q) document

(i) the firm's sales practices, compensation arrangements and incentive practices, and

(ii) other compensation arrangements and incentive practices from which the firm or its registered individuals, or any affiliate or associate of that firm, benefit;

(r) demonstrate compliance with section 13.18 [*misleading communications*].***.***

15. The title of Part 13, Division 1, is amended:

(a) by adding "*, know your product****" after "****Know your client****", and***

(b) by adding "*determination****" after "****suitability****".***

16. Section 13.2 is amended:

(a) in subsection (1) by replacing "*2****" with "****(2)****" ,***

(b) by replacing paragraph (2)(c) with the following:

(c) ensure that it has sufficient information regarding all of the following to enable it to meet its obligations under section 13.3 [*suitability determination*] or, if applicable, the suitability requirement imposed by an SRO:

(i) the client's personal circumstances;

(ii) the client's financial circumstances;

(iii) the client's investment needs and objectives;

(iv) the client's investment knowledge;

(v) the client's risk profile;

(vi) the client's investment time horizon, and***,***

(c) by adding the following subsection:

(3.1) Within a reasonable time after receiving the information, a registrant must take reasonable steps to have a client confirm the accuracy of the information collected under subsection (2)***.,***

(d) by replacing subsection (4) with the following:

(4) A registrant must take reasonable steps to keep current the information required under this section, including updating the information within a reasonable time after the registrant becomes aware of a significant change in the client's information required under this section***.,***

(e) by adding the following subsection:

(4.1) A registrant must review the information collected under paragraph (2)(c)

(a) for managed accounts, no less frequently than once every 12 months,

(b) if the registrant is an exempt market dealer, within 12 months before making a trade for, or recommending a trade to, the client, and

(c) in any other case, no less frequently than once every 36 months***.,***

(f) by replacing subsection (6) with the following:

(6) Paragraph (2)(b) does not apply to a registrant in respect of a client for which the registrant only trades securities referred to in paragraphs 7.1(2)(b) and (2)(c)***., and***

(g) by replacing subsection (7) with the following:

(7) Paragraph (2)(c) and subsection (4.1) do not apply to a registered dealer in respect of a client if the registered dealer purchases or sells securities for the client only as directed by a registered adviser acting for the client***.***

17. The Instrument is amended by adding the following section:

13.2.1 Know your product

(1) A registered firm must not make securities available to clients unless the firm has taken reasonable steps to:

(a) assess the relevant aspects of the securities, including the securities' structure, features, risks, initial and ongoing costs and the impact of those costs,

(b) approve the securities to be made available to clients, and

(c) monitor the securities for significant changes.

(2) A registered individual must not purchase or sell securities for, or recommend securities to, a client unless the registered individual takes steps to understand the securities, including the securities' structure, features, risks, initial and ongoing costs and the impact of those costs.

(2.1) For purposes of subsection (2), the steps required to understand the security are those that are reasonable to enable the registered individual to meet their obligations under section 13.3 [*suitability determination*].

(3) A registered individual must not purchase securities for, or recommend securities to, a client unless the securities have been approved by the firm to be made available to clients.

(4) This section does not apply to a registered dealer in respect of a security if it purchases or sells the security for a client only as directed by a registered adviser acting for the client.***.***

18. Section 13.3 is amended:

(a) by replacing subsection (1) with the following:

(1) Before a registrant opens an account for a client, purchases, sells, deposits, exchanges or transfers securities for a client's account, takes any other investment action for a client, makes a recommendation or exercises discretion to take any such action, the registrant must determine, on a reasonable basis, that the action satisfies the following criteria:

(a) the action is suitable for the client, based on the following factors:

(i) the client's information collected in accordance with section 13.2 [*know your client*];

(ii) the registrant's assessment or understanding of the security consistent with section 13.2.1 [*know your product*];

(iii) the impact of the action on the client's account, including the concentration of securities within the account and the liquidity of those securities;

(iv) the potential and actual impact of costs on the client's return on investment;

(v) a reasonable range of alternative actions available to the registrant through the registered firm, at the time the determination is made;

(b) the action puts the client's interest first.***,***

(b) by replacing subsection (2) with the following:

(2) A registrant must review a client's account and the securities in the client's account to determine whether the criteria in subsection (1) are met, and take reasonable steps, within a reasonable time, after any of the following events:

(a) a registered individual is designated as responsible for the client's account;

(b) the registrant becomes aware of a change in a security in the client's account that could result in the security or account not satisfying subsection (1);

(c) the registrant becomes aware of a change in the client's information collected in accordance with subsection 13.2(2) that could result in a security or the client's account not satisfying subsection (1);

(d) the registrant reviews the client's information in accordance with subsection 13.2(4.1).***,***

(c) by adding the following subsection:

(2.1) Despite subsection (1), if a registrant receives an instruction from a client to take an action that, if taken, does not satisfy subsection (1), the registrant may carry out the client's instruction if the registrant has

(a) informed the client of the basis for the determination that the action will not satisfy subsection (1),

(b) recommended to the client an alternative action that satisfies subsection (1), and

(c) received recorded confirmation of the client's instruction to proceed with the action despite the determination referred to in paragraph (a).***, and***

(d) by replacing subsection (4) with the following:

(4) This section does not apply to a registered dealer in respect of a client if it purchases or sells securities for the client only as directed by a registered adviser acting for the client.**.**

19. The Instrument is amended by adding the following section:

13.3.1 Waivers

(1) Paragraph 13.2(2)(c), subsection 13.2(4.1), and section 13.3 do not apply to a registrant in respect of a permitted client if

(a) the client is not an individual, and

(b) the client has requested, in writing, that the registrant not make suitability determinations for the client's account.

(2) Paragraph 13.2(2)(c), subsection 13.2(4.1), and section 13.3 do not apply to a registrant in respect of a permitted client if

(a) the client is an individual,

(b) the client has requested, in writing, that the registrant not make suitability determinations for the client's account, and

(c) the client's account is not a managed account.**.**

20. The heading of section 13.4 is amended by replacing "*Identifying and responding to conflicts of interest*" with "*Identifying, addressing and disclosing material conflicts of interest – registered firm*".

21. Section 13.4 is replaced with the following:

13.4 Identifying, addressing and disclosing material conflicts of interest – registered firm

(1) A registered firm must take reasonable steps to identify existing material conflicts of interest, and material conflicts of interest that are reasonably foreseeable,

(a) between the firm and the client, and

(b) between each individual acting on the firm's behalf and the client.

(2) A registered firm must address all material conflicts of interest between a client and itself, including each individual acting on its behalf, in the best interest of the client.

(3) A registered firm must avoid any material conflict of interest between a client and the firm, including each individual acting on its behalf, if the conflict is not, or cannot be, otherwise addressed in the best interest of the client.

(4) A registered firm must disclose in writing all material conflicts of interest identified under subsection (1) to a client whose interests are affected by the conflicts of interest if a reasonable client would expect to be informed of those conflicts of interest.

(5) Without limiting subsection (4), the information required to be delivered to a client under that subsection must include a description of each of the following:

(a) the nature and extent of the conflict of interest;

(b) the potential impact on and risk that the conflict of interest could pose to the client;

(c) how the conflict of interest has been, or will be, addressed.

(6) The disclosure required under subsection (4) must be presented in a manner that, to a reasonable person, is prominent, specific, and written in plain language.

(7) A registered firm must disclose a conflict of interest to a client under subsection (4)

(a) before opening an account for the client if the conflict has been identified at that time, or

(b) in a timely manner, upon identification of a conflict that must be disclosed under subsection (4) that has not previously been disclosed to the client.

(8) For greater certainty, a registrant does not satisfy subsection (2) or subsection 13.4.1(3) solely by providing disclosure to the client.*.*

22. The Instrument is amended by adding the following sections:

13.4.1 Identifying, reporting and addressing material conflicts of interest – registered individual

(1) A registered individual must take reasonable steps to identify existing material conflicts of interest, and material conflicts of interest that are reasonably foreseeable, between the registered individual and the client.

(2) If a registered individual identifies a material conflict of interest under subsection (1), the registered individual must promptly report that conflict of interest to the registered individual's sponsoring firm.

(3) A registered individual must address all material conflicts of interest between the client and the individual in the best interest of the client.

(4) A registered individual must avoid any material conflict of interest between a client and the registered individual if the conflict is not, or cannot be, otherwise addressed in the best interest of the client.

(5) A registered individual must not engage in any trading or advising activity in connection with a material conflict of interest identified by the registered individual under subsection (1) unless

(a) the conflict has been addressed in the best interest of the client, and

(b) the registered individual's sponsoring firm has given the registered individual its consent to proceed with the activity.

13.4.2 Investment fund managers

Sections 13.4 and 13.4.1 do not apply to an investment fund manager in respect of an investment fund that is subject to National Instrument 81-107 *Independent Review Committee for Investment Funds*.*.*

23. Section 13.7 is amended:

(a) by replacing the definition of "referral arrangement" with the following:

"referral arrangement" means any arrangement in which a registrant agrees to provide or receive a referral fee to or from another person or company;***, and***

(b) by replacing the definition of "referral fee" with the following:

"referral fee" means any benefit provided for the referral of a client to or from a registrant.**.**

24. Paragraph 13.8(c) is amended by replacing "registrant***" with "***registered firm***".***

25. The title of Part 13, Division 4, is amended:

(a) by replacing "*Loans****" with "****Borrowing****", and***

(b) by replacing "*margin****" with "****lending****".***

26. Section 13.12 is replaced with the following:

13.12 Restriction on borrowing from, or lending to, clients

(1) A registrant must not lend money, extend credit or provide margin to a client unless any of the following apply:

(a) in the case of a loan, the registrant is an investment fund manager, and the money is loaned on a short-term basis to an investment fund it manages, if the loan is for the purpose of funding redemptions of the investment fund's securities or paying expenses incurred by the investment fund in the normal course of its business;

(b) in the case of a registrant that is a registered firm, the client is

(i) a registered individual sponsored by the firm,

(ii) a permitted individual, as defined in National Instrument 33-109 *Registration Information*, of the firm, or

(iii) a director, officer, or employee of the firm;

(c) in the case of a registrant that is a registered individual, both of the following apply:

(i) the client and the registered individual are related to each other for the purposes of the *Income Tax Act* (Canada);

(ii) the registered individual has obtained the written approval of the registered individual's sponsoring firm to lend the money, extend the credit or provide the margin.

(2) A registered individual must not borrow money, securities or other assets or accept a guarantee in relation to borrowed money, securities or any other assets, from a client, unless either or both of the following apply:

(a) the client is a financial institution whose business includes lending money to the public, and the loan to the registered individual is in the normal course of the financial institution's business;

(b) both of the following apply:

(i) the client and the registered individual are related to each other for the purposes of the *Income Tax Act* (Canada);

(ii) the registered individual has obtained the written approval of the individual's sponsoring firm to borrow the money, securities or other assets or accept the guarantee.**.**

27. Subsection 13.17(1) is amended by deleting "requirements***".***

28. Paragraph 13.17(1)(a) is replaced with the following:

(a) division 2 [*conflicts of interest*] of Part 13, except section 13.5 [*restrictions on certain managed account transactions*] and section 13.6 [*disclosure when recommending related or connected securities*];**.**

29. The Instrument is amended by adding the following division:

Division 7 Misleading communications

13.18 Misleading communications

(1) Registered individuals must not hold themselves out, and a registered firm must not hold itself or its registered individuals out, in a manner that could reasonably be expected to deceive or mislead any person or company as to any of the following matters:

(a) the proficiency, experience, qualifications or category of registration of the registrant;

(b) the nature of the person's relationship, or potential relationship, with the registrant;

(c) the products or services provided, or to be provided, by the registrant.

(2) For greater certainty, and without limiting subsection (1), a registered individual who interacts with clients must not use any of the following:

(a) if based partly or entirely on that registered individual's sales activity or revenue generation, a title, designation, award, or recognition;

(b) a corporate officer title, unless their sponsoring firm has appointed that registered individual to that corporate office pursuant to applicable corporate law;

(c) if the individual's sponsoring firm has not approved the use by that registered individual of a title or designation, that title or designation.**.**

30. The heading of section 14.1.1 is amended by adding " **– investment fund managers**" ***after*** "**Duty to provide information**"***.***

31. Section 14.2 is amended:

(a) by adding the following subsection:

(0.1) In this section, "proprietary product" means a security of an issuer if one or more of the following apply:

(a) the issuer of the security is a connected issuer of the registered firm;

(b) the issuer of the security is a related issuer of the registered firm;

(c) the registered firm or an affiliate of the registered firm is the investment fund manager or portfolio manager of the issuer of the security.**,**

(b) by replacing paragraph (2)(b) with the following:

(b) a general description of the products and services the registered firm will offer to the client, including

(i) a description of the restrictions on the client's ability to liquidate or resell a security, and

(ii) a statement of the investment fund management expense fees or other ongoing fees the client may incur in connection with a security or service the registered firm provides;***,***

(c) by adding the following paragraph in subsection (2):

(b.1) a general description of any limits on the products and services the registered firm will offer to the client, including

(i) whether the firm will primarily or exclusively offer proprietary products to the client, and

(ii) whether there will be other limits on the availability of products or services;***,***

(d) by replacing paragraph (2)(h) with the following:

(h) a general description of any benefits received, or expected to be received, by the registrant, from a person or company other than the registrant's client, in connection with the client's purchase or ownership of a security through the registrant;***,***

(e) by replacing paragraph (2)(k) with the following:

(k) a statement that the registered firm must determine that any investment action it takes, recommends or decides on, for the client is suitable for the client and puts the client's interest first;***,***

(f) by replacing paragraph (2)(l) with the following:

(l) the information the registered firm has collected about the client under section 13.2 [*know your client*];***,***

(g) in paragraph (n) by replacing "." with ";", and

(h) by adding the following paragraph:

(o) a general explanation of the potential impact on a client's investment returns from each of the fees described in subparagraph (b)(ii) and the charges described in paragraphs (f) and (g), including the effect of compounding over time.***.***

32. Subsection 14.2.1(1) is replaced with the following subsection:

(1) Before a registered firm accepts an instruction from a client to purchase or sell a security in an account other than a managed account, the firm must disclose to the client

(a) the charges the client will be required to pay in respect of the purchase or sale, or a reasonable estimate if the actual amount of the charges is not known to the firm at the time of disclosure,

(b) in the case of a purchase to which deferred charges apply, that the client might be required to pay a deferred sales charge on the subsequent sale of the security and the fee schedule that will apply,

(c) whether the firm will receive trailing commissions in respect of the security, and

(d) whether there are any investment fund management expense fees or other ongoing fees that the client may incur in connection with the security.***.***

33. The chart in Appendix G is replaced with the following:

NI 31-103 Provision	IIROC Provision
section 12.1 [*capital requirements*]	1. Dealer Member Rule 17.1; and 2. Form 1
section 12.2 [*subordination agreement*]	1. Dealer Member Rule 5.2; and 2. Dealer Member Rule 5.2A

NI 31-103 Provision	IIROC Provision
section 12.3 [*insurance – dealer*]	1. Dealer Member Rule 17.5 2. Dealer Member Rule 400.2 [*Financial Institution Bond*]; 3. Dealer Member Rule 400.4 [*Amounts Required*]; and 4. Dealer Member Rule 400.5 [*Provisos with respect to Dealer Member Rules 400.2, 400.3 and 400.4*]
section 12.6 [*global bonding or insurance*]	1. Dealer Member Rule 400.7 [*Global Financial Institution Bonds*]
section 12.7 [*notifying the regulator of a change, claim or cancellation*]	1. Dealer Member Rule 17.6; 2. Dealer Member Rule 400.3 [*Notice of Termination*]; and 3. Dealer Member Rule 400.3B [*Termination or Cancellation*]
section 12.10 [*annual financial statements*]	1. Dealer Member Rule 16.2 [*Dealer Member Filing Requirements*]; and 2. Form 1
section 12.11 [*interim financial information*]	1. Dealer Member Rule 16.2 [*Dealer Member Filing Requirements*]; and 2. Form 1
section 12.12 [*delivering financial information – dealer*]	1. Dealer Member Rule 16.2 [*Dealer Member Filing Requirements*]
subsection 13.2(3) [*know your client*]	1. Dealer Member Rule 1300.1(a)-(n) [*Identity and Creditworthiness*]; 2. Dealer Member Rule 1300.2; 3. Dealer Member Rule 2500, Part II [*Opening New Accounts*]; 4. Dealer Member Rule 2700, Part II [*New Account Documentation and Approval*]; and 5. Form 2 *New Client Application Form*
section 13.3 [*suitability determination*]	1. Dealer Member Rule 1300.1(o) [*Business Conduct*]; 2. Dealer Member Rule 1300.1(p) [*Suitability determination required when accepting order*]; 3. Dealer Member Rule 1300.1(q) [*Suitability determination required when recommendation provided*]; 4. Dealer Member Rule 1300.1(r) [*Suitability determination required for account positions held when certain events occur*]; 5. Dealer Member Rule 1300.1(s) [*Suitability of investments in client accounts*]; 6. Dealer Member Rule 1300.1(t) – (v) [*Exemptions from the suitability assessment requirements*]; 7. Dealer Member Rule 1300.1(w) [*Corporation approval*]; 8. Dealer Member Rule 2700, Part I [*Customer Suitability*]; and 9. Dealer Member Rule 3200 [*Minimum requirements for Dealer Members seeking approval under Rule 1300.1(t) to offer an order-execution only service*]
section 13.3.1 [*waivers*]	1. Dealer Member Rule 1300.1(o) [*Business Conduct*]; 2. Dealer Member Rule 1300.1(p) [*Suitability determination required when accepting order*]; 3. Dealer Member Rule 1300.1(q) [*Suitability determination required when recommendation provided*]; 4. Dealer Member Rule 1300.1(r) [*Suitability determination required for account positions held when certain events occur*]; 5. Dealer Member Rule 1300.1(s) [*Suitability of investments in client accounts*]; 6. Dealer Member Rule 1300.1(t) – (v) [*Exemptions from the suitability assessment requirements*]; 7. Dealer Member Rule 1300.1(w) [*Corporation approval*]; 8. Dealer Member Rule 2700, Part I [*Customer Suitability*]; and 9. Dealer Member Rule 3200 [*Minimum requirements for Dealer Members seeking approval under Rule 1300.1(t) to offer an order-execution only service*]
section 13.12 [*restriction on borrowing from, or lending to, clients*]	1. Dealer Member Rule 17.11; and 2. Dealer Member Rule 100 [*Margin Requirements*]
section 13.13 [*disclosure when recommending the use of borrowed money*]	1. Dealer Member Rule 29.26

NI 31-103 Provision	IIROC Provision
section 13.15 [*handling complaints*]	1. Dealer Member Rule 2500, Part VIII [*Client Complaints*]; and 2. Dealer Member Rule 2500B [*Client Complaint Handling*]
subsection 14.2(2) [*relationship disclosure information*]	1. Dealer Member Rule 3500.5 [*Content of relationship disclosure*]
subsection 14.2(3) [*relationship disclosure information*]	1. Dealer Member Rule 3500.4 [*Format of relationship disclosure*]
subsection 14.2(4) [*relationship disclosure information*]	1. Dealer Member Rule 3500.1 [*Objective of relationship disclosure requirements*]
subsection 14.2(5.1) [*relationship disclosure information*]	1. Dealer Member Rule 29.8
subsection 14.2(6) [*relationship disclosure information*]	1. Dealer Member Rule 3500.1 [*Objective of relationship disclosure requirements*]
section 14.2.1 [*pre-trade disclosure of charges*]	1. Dealer Member Rule 29.9
section 14.5.2 [*restriction on self-custody and qualified custodian requirement*]	1. Dealer Member Rule 17.2A [*Establishment and maintenance of adequate internal controls in accordance with Dealer Member Rule 2600*]; 2. Dealer Member Rules 17.3, 17.3A, 17.3B and 2000 [*Segregation Requirements*]; 3. Dealer Member Rule 2600 – Internal Control Policy Statement 4 [*Segregation of Clients' Securities*]; 4. Dealer Member Rule 2600 - Internal Control Policy Statement 5 [*Safekeeping of Clients' Securities*]; 5. Dealer Member Rule 2600 - Internal Control Policy Statement 6 [*Safeguarding of Securities and Cash*]; and 6. Definition of "acceptable securities locations", General Notes and Definitions to Form 1
section 14.5.3 [*cash and securities held by a qualified custodian*]	1. Dealer Member Rule 200 [*Minimum Records*]
section 14.6 [*client and investment fund assets held by a registered firm in trust*]	1. Dealer Member Rule 17.3
section 14.6.1 [*custodial provisions relating to certain margin or security interests*]	1. Dealer Member Rules 17.2, 17.2A, 17.3, 17.3A, 17.3B, 17.11 and 2000 [*Segregation Requirements*]; 2. Dealer Member Rule 100 [*Margin Requirements*]; 3. Dealer Member Rule 2200 [*Cash and Securities Loan Transactions*]; 4. Dealer Member Rule 2600 – Internal Control Policy Statement 4 [*Segregation of Clients' Securities*]; 5. Dealer Member Rule 2600 - Internal Control Policy Statement 5 [*Safekeeping of Clients' Securities*]; 6. Dealer Member Rule 2600 - Internal Control Policy Statement 6 [*Safeguarding of Securities and Cash*]; and 7. Definitions of "acceptable counterparties", "acceptable institutions", "acceptable securities locations", "regulated entities", General Notes and Definitions to Form 1
section 14.6.2 [*custodial provisions relating to short sales*]	1. Dealer Member Rule 100 [*Margin Requirements*]; 2. Dealer Member Rule 2200 [*Cash and Securities Loan Transactions*]; 3. Dealer Member Rule 2600 – Internal Control Policy Statement 6 [*Safeguarding of Securities and Cash*]; and 4. Definitions of "acceptable counterparties", "acceptable institutions", "acceptable securities locations", "regulated entities", General Notes and Definitions to Form 1
section 14.11.1 [*determining market value*]	1. Dealer Member Rule 200.1(c); and 2. Definition (g) of the General Notes and Definitions to Form 1
section 14.12 [*content and delivery of trade confirmation*]	1. Dealer Member Rule 200.2(l) [*Trade confirmations*]
section 14.14 [*account statements*]	1. Dealer Member Rule 200.2(d) [*Client account statements*]; and 2. "Guide to Interpretation of Rule 200.2", Item (d)

NI 31-103 Provision	IIROC Provision
section 14.14.1 [*additional statements*]	1. Dealer Member Rule 200.2(e) [*Report on client positions held outside of the Dealer Member*]; 2. Dealer Member Rule 200.4 [*Timing of sending documents to clients*]; and 3. "Guide to Interpretation of Rule 200.2", Item (e)
section 14.14.2 [*security position cost information*]	1. Dealer Member Rule 200.1(a); 2. Dealer Member Rule 200.1(b); 3. Dealer Member Rule 200.1(e); 4. Dealer Member Rule 200.2(d)(ii)(F) and (H); and 5. Dealer Member Rule 200.2(e)(ii)(C) and (E)
section 14.17 [*report on charges and other compensation*]	1. Dealer Member Rule 200.2(g) [*Fee/ charge report*]; and 2. "Guide to Interpretation of Rule 200.2", Item (g)
section 14.18 [*investment performance report*]	1. Dealer Member Rule 200.2(f) [*Performance report*]; and 2. "Guide to Interpretation of Rule 200.2", Item (f)
section 14.19 [*content of investment performance report*]	1. Dealer Member Rule 200.2(f) [*Performance report*]; and 2. "Guide to Interpretation of Rule 200.2", Item (f)
section 14.20 [*delivery of report on charges and other compensation and investment performance report*]	1. Dealer Member Rule 200.4 [*Timing of the sending of documents to clients*]

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34. The chart in Appendix H is replaced with the following:

NI 31-103 Provision	MFDA Provision
section 12.1 [*capital requirements*]	1. Rule 3.1.1 [*Minimum Levels*]; 2. Rule 3.1.2 [*Notice*]; 3. Rule 3.2.2 [*Member Capital*]; 4. Form 1; and 5. Policy No. 4 [*Internal Control Policy Statements – Policy Statement 2: Capital Adequacy*]
section 12.2 [*subordination agreement*]	1. Form 1, Statement F [*Statement of Changes in Subordinated Loans*]; and 2. Membership Application Package – Schedule I (Subordinated Loan Agreement)
section 12.3 [*insurance – dealer*]	1. Rule 4.1 [*Financial Institution Bond*]; 2. Rule 4.4 [*Amounts Required*]; 3. Rule 4.5 [*Provisos*]; 4. Rule 4.6 [*Qualified Carriers*]; and 5. Policy No. 4 [*Internal Control Policy Statements – Policy Statement 3: Insurance*]
section 12.6 [*global bonding or insurance*]	1. Rule 4.7 [*Global Financial Institution Bonds*]
section 12.7 [*notifying the regulator of a change, claim or cancellation*]	1. Rule 4.2 [*Notice of Termination*]; and 2. Rule 4.3 [*Termination or Cancellation*]
section 12.10 [*annual financial statements*]	1. Rule 3.5.1 [*Monthly and Annual*]; 2. Rule 3.5.2 [*Combined Financial Statements*]; and 3. Form 1
section 12.11 [*interim financial information*]	1. Rule 3.5.1 [*Monthly and Annual*]; 2. Rule 3.5.2 [*Combined Financial Statements*]; and 3. Form 1
section 12.12 [*delivering financial information – dealer*]	1. Rule 3.5.1 [*Monthly and Annual*]
section 13.3 [*suitability determination*]	1. Rule 2.2.1 [*"Know-Your-Client"*]; and 2. Policy No. 2 [*Minimum Standards for Account Supervision*]
section 13.3.1 [*waivers*]	1. Rule 2.2.1 [*"Know-Your-Client"*]; and 2. Policy No. 2 [*Minimum Standards for Account Supervision*]

NI 31-103 Provision	MFDA Provision
section 13.12 [*restriction on borrowing from, or lending to, clients*]	1. Rule 3.2.1 [*Client Lending and Margin*]; and 2. Rule 3.2.3 [*Advancing Mutual Fund Redemption Proceeds*]
section 13.13 [*disclosure when recommending the use of borrowed money*]	1. Rule 2.6 [*Borrowing for Securities Purchases*]
section 13.15 [*handling complaints*]	1. Rule 2.11 [*Complaints*]; 2. Policy No. 3 [*Complaint Handling, Supervisory Investigations and Internal Discipline*]; and 3. Policy No. 6 [*Information Reporting Requirements*]
subsections 14.2(2), (3) and (5.1) [*relationship disclosure information*]	1. Rule 2.2.5 [*Relationship Disclosure*]; and 2. Rule 2.4.3 [*Operating Charges*]
section 14.2.1 [*pre-trade disclosure of charges*]	1. Rule 2.4.4 [*Transaction Fees or Charges*]
section 14.5.2 [*restriction on self-custody and qualified custodian requirement*]	1. Rule 3.3.1 [*General*]; 2. Rule 3.3.2 [*Cash*]; 3. Rule 3.3.3 [*Securities*]; and 4. Policy No. 4 [*Internal Control Policy Statements – Policy Statement 4: Cash and Securities, and Policy Statement 5: Segregation of Clients' Securities*]
section 14.5.3 [*cash and securities held by a qualified custodian*]	1. Policy No. 4 [*Internal Control Policy Statements – Policy Statement 4: Cash and Securities, and Policy Statement 5: Segregation of Clients' Securities*]
section 14.6 [*client and investment fund assets held by a registered firm in trust*]	1. Rule 3.3.1 [*General*]; 2. Rule 3.3.2 [*Cash*]; 3. Rule 3.3.3 [*Securities*]; and 4. Policy No. 4 [*Internal Control Policy Statements – Policy Statement 4: Cash and Securities, and Policy Statement 5: Segregation of Clients' Securities*]
section 14.6.1 [*custodial provisions relating to certain margin or security interests*]	1. Rule 3.2.1 [*Client Lending and Margin*]
section 14.6.2 [*custodial provisions relating to short sales*]	1. Rule 3.2.1 [*Client Lending and Margin*]
section 14.11.1 [*determining market value*]	1. Rule 5.3(1)(f) [*definition of "market value"*]; and 2. Definitions to Form 1 [*definition of "market value of a security"*]
section 14.12 [*content and delivery of trade confirmation*]	1. Rule 5.4.1 [*Delivery of Confirmations*]; 2. Rule 5.4.2 [*Automatic Plans*]; and 3. Rule 5.4.3 [*Content*]
section 14.14 [*account statements*]	1. Rule 5.3.1 [*Delivery of Account Statement*]; and 2. Rule 5.3.2 [*Content of Account Statement*]
section 14.14.1 [*additional statements*]	1. Rule 5.3.1 [*Delivery of Account Statement*]; and 2. Rule 5.3.2 [*Content of Account Statement*]
section 14.14.2 [*security position cost information*]	1. Rule 5.3(1)(a) [*definition of "book cost"*]; 2. Rule 5.3(1)(c) [*definition of "cost"*]; and 3. Rule 5.3.2(c) [*Content of Account Statement – Market Value and Cost Reporting*]
section 14.17 [*report on charges and other compensation*]	1. Rule 5.3.3 [*Report on Charges and Other Compensation*]
section 14.18 [*investment performance report*]	1. Rule 5.3.4 [*Performance Report*]; and 2. Policy No. 7 *Performance Reporting*
section 14.19 [*content of investment performance report*]	1. Rule 5.3.4 [*Performance Report*]; and 2. Policy No. 7 *Performance Reporting*
section 14.20 [*delivery of report on charges and other compensation and investment performance report*]	1. Rule 5.3.5 [*Delivery of Report on Charges and Other Compensation and Performance Report*]

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35. (1) The following provisions of this Instrument come into force on December 31, 2020:

(a) provisions 20 to 28;

(b) provisions 30 to 32.

(2) All of the remaining provisions of this Instrument come into force on December 31, 2021.

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
3 Sixty Risk Solutions Ltd. (formerly, Petro Vista Energy Corp.)	Common Shares	Lussier, Gaétan	4	2019-01-04	00		117,647	
3 Sixty Risk Solutions Ltd. (formerly, Petro Vista Energy Corp.)	Common Shares	Lussier, Gaétan	4	2019-11-21	10	0.08	130,147	12,500
37 Capital Inc.	Common Shares	Kalpakian, Jacob H	4	2019-12-02	10	0.065	2,567,000	-1,000
37 Capital Inc.	Common Shares	Kalpakian, Jacob H	4	2019-12-02	10	0.055	2,537,000	-30,000
37 Capital Inc.	Common Shares	Kalpakian, Jacob H	4	2019-12-02	10	0.05	2,468,000	-69,000
48North Cannabis Corp.	Common Shares	Caland, Pierre	3	2019-11-29	10	0.3539	15,446,645	110,500
48North Cannabis Corp.	Common Shares	Caland, Pierre	3	2019-12-04	10	0.3462	15,696,645	250,000
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Daily, David Ryan	4	2019-07-31	00			
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Daily, David Ryan	4	2019-12-04	10	0.4299	19,878	19,878
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Daily, David Ryan	4	2019-12-04	10	0.4205	22,000	2,122
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-03	10	0.3999	79,125	3,625
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-03	10	0.405	86,625	7,500
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-03	10	0.41	93,625	7,000
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-04	10	0.42	103,625	10,000
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-04	10	0.415	110,000	6,375
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	KOTANSKY, BRADFORD STEVEN	5	2019-12-05	10	0.381	120,000	10,000
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4363		2,300
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4363		2,300
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4341		200
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4341		200
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4294		900
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4294		900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4243		100
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4243		100
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4219		1,200
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4219		1,200
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4169		300
4Front Ventures Corp.	Subordinate Voting Shares (Class A Subordinate Voting Shares)	Thut, Andrew Fisher	3, 5	2019-12-04	10	0.4169		300
A&W Revenue Royalties Income Fund	Trust Units	Mindell, David Allen	4	2019-11-29	10	37.35	42,908	181
A&W Revenue Royalties Income Fund	Trust Units	Mindell, David Allen	4	2019-11-29	10	37.35	2,058	8
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-07	38	14.55	100	100
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-11	38	14.6	600	500
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-12	38	14.55	700	100
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-18	38	14.95	1,000	300
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-19	38	14.75	1,200	200
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-21	38	14.887	1,800	600
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-22	38	14.488	5,400	3,600
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-28	38	14.49	5,900	500
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-29	38	14.463	6,600	700
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-11-29	38		1,200	-5,400
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-12-03	38		700	-500
Abitibi Royalties Inc.	Common Shares	Abitibi Royalties Inc.	1	2019-12-03	38		0	-700
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-05	57		12,688	10,993
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-05	10	8.4	1,695	-10,993
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-05	57		2,795	1,100
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-05	10	8.47	1,695	-1,100
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-06	57		4,060	2,365
Absolute Software Corporation	Common Shares	Laforce, Marcel Armand	5	2019-12-06	10	8.47	1,695	-2,365
Absolute Software Corporation	Rights Restricted Share Unit	Laforce, Marcel Armand	5	2019-12-05	57		32,770	-10,993
Absolute Software Corporation	Rights Restricted Share Unit	Laforce, Marcel Armand	5	2019-12-05	57		31,670	-1,100
Absolute Software Corporation	Rights Restricted Share Unit	Laforce, Marcel Armand	5	2019-12-06	57		29,305	-2,365
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	57		85,023	82,691
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	10	8.5	2,332	-82,691
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	57		2,596	264
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	10	8.57	2,332	-264

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	57		8,832	6,500
Absolute Software Corporation	Common Shares	maxwell, sean	5	2019-12-06	10	8.65	2,332	-6,500
Absolute Software Corporation	Rights Restricted Share Unit	maxwell, sean	5	2019-12-06	57		131,176	-82,691
Absolute Software Corporation	Rights Restricted Share Unit	maxwell, sean	5	2019-12-06	57		130,912	-264
Absolute Software Corporation	Rights Restricted Share Unit	maxwell, sean	5	2019-12-06	57		124,412	-6,500
Absolute Software Corporation	Common Shares	Meanchoff, Matthew	5	2019-12-03	57		22,285	14,389
Absolute Software Corporation	Common Shares	Meanchoff, Matthew	5	2019-12-03	10	8.4	14,935	-7,350
Absolute Software Corporation	Common Shares	Meanchoff, Matthew	5	2019-12-03	57		16,382	1,447
Absolute Software Corporation	Common Shares	Meanchoff, Matthew	5	2019-12-03	10	8.41	15,582	-800
Absolute Software Corporation	Rights Restricted Share Unit	Meanchoff, Matthew	5	2019-12-03	57		31,648	-14,389
Absolute Software Corporation	Rights Restricted Share Unit	Meanchoff, Matthew	5	2019-12-03	57		30,201	-1,447
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-02	57		125,888	18,909
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-02	57		116,434	-9,454
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-02	10		106,979	-9,455
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-03	51		136,979	30,000
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-03	51		110,694	-26,285
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-03	10		106,979	-3,715
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-04	51		167,478	60,499
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-04	51		113,064	-54,414
Absolute Software Corporation	Common Shares	Olsen, Errol	5	2019-12-04	10		106,979	-6,085
Absolute Software Corporation	Options	Olsen, Errol	5	2019-12-03	51	7.02	96,448	-30,000
Absolute Software Corporation	Options	Olsen, Errol	5	2019-12-04	51	7.28	35,949	-60,499
Absolute Software Corporation	Rights Performance Share Unit	Olsen, Errol	5	2019-11-29	56		79,302	1,292
Absolute Software Corporation	Rights Performance Share Unit	Olsen, Errol	5	2019-12-02	57		60,393	-18,909
Absolute Software Corporation	Rights Restricted Share Unit	Olsen, Errol	5	2019-11-29	56		92,318	868
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2019-12-06	57		37,169	3,494
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2019-12-06	10	8.45	33,675	-3,494
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2019-12-06	57		37,288	3,613
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2019-12-06	10	8.55	33,675	-3,613
Absolute Software Corporation	Rights Restricted Share Unit	Ramsden, Leigh Palmer	5	2019-12-06	57		21,221	-3,494
Absolute Software Corporation	Rights Restricted Share Unit	Ramsden, Leigh Palmer	5	2019-12-06	57		17,608	-3,613
Accord Financial Corp.	Common Shares	Jang, James Chadwick	7	2019-12-02	30	8.89	37,182	174
Ackroo Inc.	Common Shares	O'Connell, Wayne	4	2019-12-02	10	0.195	374,000	9,000
Advantage Lithium Corp.	Common Shares	Sidoo, David	4	2019-12-05	10	0.15	1,805,000	25,000
Advantage Lithium Corp.	Common Shares	Sidoo, David	4	2019-12-06	10	0.14	1,830,000	25,000

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	Angevine, Jill Terilee	4	2019-11-30	56		71,231	2,135
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Balog, Stephen	4	2019-11-30	56		80,348	2,134
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Fagerheim, Grant Bradley	4	2019-11-30	56		68,484	1,067
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	Haggis, Paul	4	2019-11-30	56		89,225	2,348
Advantage Oil & Gas Ltd.	Rights Deferred Share Units	McIntosh, Ronald A	4	2019-11-30	56		122,878	3,245
Adventus Mining Corporation	Common Shares	Kargl-Simard, Christian Peter Thomas	4, 5	2019-11-29	10	0.936	1,602,500	2,500
Adventus Mining Corporation	Common Shares	Kargl-Simard, Christian Peter Thomas	4, 5	2019-12-04	10	0.914	1,605,000	2,500
Adventus Mining Corporation	Common Shares	Kargl-Simard, Christian Peter Thomas	4, 5	2019-12-06	10	0.926	1,607,500	2,500
Aecon Group Inc.	Restricted Share Units	Beck, John Michael	4, 5	2019-12-02	30	18.25	67,235	-97,862
Aecon Group Inc.	Common Shares	Borgatti, Adam	5	2019-12-02	57	17.88	1,300	299
Aecon Group Inc.	Restricted Share Units	Borgatti, Adam	5	2019-12-02	57	17.88	1,282	-661
Aecon Group Inc.	Common Shares	Brace, John Wycliffe	4	2019-06-04	00			
Aecon Group Inc.	Common Shares	Brace, John Wycliffe	4	2019-11-28	10	18.27	2,700	2,700
Aecon Group Inc.	Restricted Share Units	Fushman, Yonni David	5	2019-12-02	30	18.25	11,492	-12,646
Aecon Group Inc.	Restricted Share Units	MacCallum, Alistair	5	2019-12-02	30	18.25	15,752	-13,044
Aecon Group Inc.	Common Shares	Servranckx, Jean-Louis Robert Georges	4, 5	2019-12-02	57	17.88	7,580	2,080
Aecon Group Inc.	Restricted Share Units	Servranckx, Jean-Louis Robert Georges	4, 5	2019-12-02	57	17.88	8,841	-4,584
Aecon Group Inc.	Restricted Share Units	Smales, David Andrew	5	2019-12-02	30	18.25	35,512	-48,261
Aecon Group Inc.	Common Shares	Stein, Deborah Susan	4	2019-06-04	00			
Aecon Group Inc.	Common Shares	Stein, Deborah Susan	4	2019-12-03	10	17.78	2,060	2,060
AGF Management Limited	Common Shares Class B	AGF EMPLOYEE BENEFIT PLAN TRUST	2	2019-12-05	10	6.2	124,346	-255,261
AGF Management Limited	Common Shares ESP Vested	BASARABA, Adrian	5	2019-11-30	30	6.24	29,690	8,913
AGF Management Limited	Common Shares Restricted Share Units	BASARABA, Adrian	5	2019-11-30	30	6.24	87,731	-19,183
AGF Management Limited	Common Shares Deferred Share Units	BUCHAN, JANE MELISSA	4	2019-11-29	56	6.24	53,031	3,646
AGF Management Limited	Common Shares Deferred Share Units	Camilli, Kathleen Mary	4	2019-11-29	56	6.24	15,012	801
AGF Management Limited	Common Shares Deferred Share Units	Davis, Sarah Ruth	4	2019-11-29	56	6.24	55,274	2,324
AGF Management Limited	Common Shares Deferred Share Units	Derry, Douglas	4	2019-11-29	56	6.24	94,841	2,604
AGF Management Limited	Common Shares ESP Vested	Goldring, Blake Charles	4, 5	2019-11-30	30	6.24	43,330	29,062
AGF Management Limited	Restricted Share Units	Goldring, Blake Charles	4, 5	2019-11-30	30	6.24	189,134	-62,543
AGF Management Limited	Common Shares Class B	Goldring, Judy	4, 5	2018-12-03	10	5		2,743
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	2018-12-03	10	5		2,743
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	2018-12-03	30	5	22,657	2,743
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	2019-11-30	30	6.24	33,506	9,494
AGF Management Limited	Restricted Share Units	Goldring, Judy	4, 5	2019-11-30	30	6.24	77,994	-20,434
AGF Management Limited	Common Shares Deferred Share Units	Guay, Charles	4	2019-11-29	56	6.24	16,198	801
AGF Management Limited	Common Shares ESP Vested	Jackson, Charles Christopher	5	2019-11-30	30	6.24		1,316
AGF Management Limited	Common Shares ESP Vested	Jackson, Charles Christopher	5	2019-11-30	30	6.24	45,086	6,156
AGF Management Limited	Common Shares Restricted Share Units	Jackson, Charles Christopher	5	2019-11-30	30	6.24	36,251	-13,251
AGF Management Limited	Common Shares ESP Vested	MCCREADIE, KEVIN ANDREW	5	2019-11-30	30	6.24	160,383	25,687

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AGF Management Limited	Common Shares Restricted Share Units	MCCREADIE, KEVIN ANDREW	5	2019-11-30	30	6.24	111,418	-55,281
AGF Management Limited	Common Shares Deferred Share Units	Squibb, Geoffrey Wayne	4	2019-11-29	56	6.24	147,066	5,048
Agnico Eagle Mines Limited	Common Shares	Allan, Don	5	2019-12-03	51	56.45	29,206	2,500
Agnico Eagle Mines Limited	Common Shares	Allan, Don	5	2019-12-03	51	58.04	33,206	4,000
Agnico Eagle Mines Limited	Common Shares	Allan, Don	5	2019-12-03	51	55.1	36,706	3,500
Agnico Eagle Mines Limited	Common Shares	Allan, Don	5	2019-12-03	10	81.61	26,706	-10,000
Agnico Eagle Mines Limited	Options	Allan, Don	5	2019-12-03	51	56.45	65,500	-2,500
Agnico Eagle Mines Limited	Options	Allan, Don	5	2019-12-03	51	58.04	61,500	-4,000
Agnico Eagle Mines Limited	Options	Allan, Don	5	2019-12-03	51	55.1	58,000	-3,500
Agnico Eagle Mines Limited	Common Shares	Laing, R. Gregory	5	2019-12-04	51	28.92	58,638	500
Agnico Eagle Mines Limited	Common Shares	Laing, R. Gregory	5	2019-12-04	10	82.1	58,138	-500
Agnico Eagle Mines Limited	Options	Laing, R. Gregory	5	2019-12-04	51	28.92	146,250	-500
Agnico Eagle Mines Limited	Common Shares	Roberts, John Merfyn	4	2019-12-04	10	81.98	12,346	-1,000
AgraFlora Organics International Inc.	Common Shares	Boddy, Brandon	4, 5	2019-12-02	16	0.175	2,500,000	1,500,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-02	38	49.626	50,000	50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-02	38		0	-50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-03	38	49.347	50,000	50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-03	38		0	-50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-04	38	49.367	50,000	50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-04	38		0	-50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-05	38	49.094	50,000	50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-05	38		0	-50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-06	38	49.279	50,000	50,000
Air Canada	Class B Voting Shares	Air Canada	1	2019-12-06	38		0	-50,000
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2019-11-29	51	13.69	5,146	2,146
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2019-11-29	10	50.17	3,000	-2,146
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2019-11-29	51	26.59	4,209	1,209
Air Canada	Class B Voting Shares	Hadrovic, Carolyn	5	2019-11-29	10	50.107	3,000	-1,209
Air Canada	Options (Long-Term Incentive Plan)	Hadrovic, Carolyn	5	2019-11-29	51	13.69	31,851	-2,146
Air Canada	Options (Long-Term Incentive Plan)	Hadrovic, Carolyn	5	2019-11-29	51	26.59	30,642	-1,209
Akita Drilling Ltd.	Non-Voting Shares	Dease, Colin	5	2019-11-28	30	0.92	39,513	796
Akita Drilling Ltd.	Non-Voting Shares	Reynolds, Darcy	5	2019-11-28	30	0.92	18,192	995
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2019-11-28	30		174	5
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2019-11-28	30		546	16
Akumin Inc.	Common Shares	Luckey, Michael	5	2019-11-28	30		460	16
Akumin Inc.	Common Shares	Meredith, Michael	5	2019-11-28	30		414	14
Akumin Inc.	Common Shares	Moore, Karen	7	2019-11-28	30		237	11
Akumin Inc.	Common Shares	Quesenberry, Marcus	5	2019-11-28	30		460	14
Akumin Inc.	Common Shares	Richardson, Jason	5	2019-11-28	30		540	16
Alacer Gold Corp.	Common Shares	Dowling, Edward Camp	4, 5	2019-12-03	10	7.44	103,690	-30,000
Alacer Gold Corp.	Common Shares	Kolonchina, Anna	4	2019-12-04	10	7.445	50,000	-50,000
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2019-11-29	30		20,860	485
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2019-11-27	10	0.055	665,000	22,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2019-12-03	10	0.055	685,000	20,000
Alio Gold Inc.	Common Shares	Backens, Mark	5	2019-12-06	10	0.64	83,000	50,000
Alio Gold Inc.	Common Shares	Backens, Mark	5	2019-12-06	10	0.84	98,000	15,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2019-12-04	10	0.1384	5,629,000	145,000
Allegiant Gold Ltd.	Common Shares	McGrath, Sean	5	2019-12-06	10	0.15	180,000	30,000
AltaGas Ltd.	Rights Restricted Units (RU)	Calvert, Victoria Anne	4	2019-11-29	59	19.13	3,590	-2,166

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AltaGas Ltd.	Rights Restricted Units (RU)	Edgeworth, Allan Leslie	4	2019-11-29	59	19.13	3,590	-2,166
AltaGas Ltd.	Rights Restricted Units (RU)	Gilbert, Daryl Harvey	4	2019-11-29	59	19.13	3,590	-2,166
AltaGas Ltd.	Rights Restricted Units (RU)	Hodgins, Robert Bruce	4	2019-11-29	59	19.13	3,590	-2,166
AltaGas Ltd.	Rights Restricted Units (RU)	Knoll, Phillip R.	4	2019-11-29	59	19.13	15,176	-2,166
American Aires Inc.	Common Shares	Elensky, Ruslan	4	2019-12-04	10	0.4	473,333	250,000
American Hotel Income Properties REIT LP	Units	Evans, Steve	4	2019-12-02	10	6.85	168,000	21,000
American Hotel Income Properties REIT LP	Units	Frank, Richard	4	2019-11-29	10	5.115	26,000	1,000
American Hotel Income Properties REIT LP	Units	Frank, Richard	4	2019-11-29	10	5.113	28,000	2,000
American Hotel Income Properties REIT LP	Units	Frank, Richard	4	2019-11-29	10	5.1241	30,000	2,000
American Hotel Income Properties REIT LP	Units	O'Neill, John Christopher	5	2019-11-29	10	6.918	186,000	20,000
American Hotel Income Properties REIT LP	Units	Pittet, Bruce Douglas	5	2019-11-29	10	5.1	26,597	4,957
American Hotel Income Properties REIT LP	Units	Pittet, Bruce Douglas	5	2019-11-29	10	5.09	26,640	43
American Hotel Income Properties REIT LP	Units	Yu, Anne	5	2019-12-02	10	6.78	18,091	750
Americas Gold and Silver Corporation	Options	Blasutti, Darren John	5	2019-12-03	50	3.54	1,641,666	375,000
Americas Gold and Silver Corporation	Options	Dell, Daren	5	2019-12-03	50	3.54	1,108,333	300,000
Americas Gold and Silver Corporation	Options	McRae, Peter	5	2019-12-03	50	3.54	659,445	250,000
Americas Gold and Silver Corporation	Options	Stonehouse, James Marcus	5	2019-12-03	50	3.54	116,834	20,000
Americas Gold and Silver Corporation	Options	Varga, Warren	5	2019-12-03	50	3.54	963,333	250,000
Americas Gold and Silver Corporation	Options	Wilson, Shawn	5	2019-12-03	50	3.54	342,000	150,000
Amilot Capital Inc. (formerly Tolima Gold Inc.)	Common Shares	Martin, John William	7, 5	2019-12-05	10	0.0395	115,765	21,000
Anaconda Mining Inc.	Common Shares	Bullock, Kevin	4, 5	2019-12-03	10		665,000	25,000
Anaconda Mining Inc.	Common Shares	Bullock, Kevin	4, 5	2019-12-06	10	0.225	690,000	25,000
Angus Mining Inc. (formerly Angus Mining (Namibia) Inc.)	Common Shares	Burchill, Donn	4	2019-11-30	00			
Ansar Financial and Development Corporation	Common Shares	Jalaluddin, Mohammed	3, 4, 5	2019-12-03	10	0.61	2,127,020	9,000
Ansar Financial and Development Corporation	Common Shares	Jalaluddin, Mohammed	3, 4, 5	2019-12-06	10	0.63	2,135,020	8,000
Ansar Financial and Development Corporation	Common Shares	Nasim, Pervez	3, 4, 5	2019-12-03	10	0.61	2,127,020	9,000
Ansar Financial and Development Corporation	Common Shares	Nasim, Pervez	3, 4, 5	2019-12-06	10	0.63	2,135,020	8,000
Aphelion Capital Corp.	Common Shares	Kalyan, Zayn Phillip	4	2019-01-10	00		100,000	
Aphelion Capital Corp.	Options	Kalyan, Zayn Phillip	4	2019-01-10	00		50,000	
Aphelion Capital Corp.	Common Shares	Kay, Seth	3, 4, 5	2018-11-19	00			
Aphelion Capital Corp.	Common Shares	Kay, Seth	3, 4, 5	2019-01-10	00		1,700,000	
Aphelion Capital Corp.	Options	Kay, Seth	3, 4, 5	2019-01-10	00		100,000	
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Heimpel Butts, Jodi Lynn	4	2019-11-14	00			
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Heimpel Butts, Jodi Lynn	4	2019-11-30	56		1,113	1,113
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Herhalt, Johann Michael	4	2019-11-30	56		15,468	5,961
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Hopkinson, David Gordon	4	2019-11-30	56		12,529	5,961

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Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Looney, Thomas Patrick	4	2019-11-30	56		15,468	5,961
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Persofsky, Renah	4	2019-11-30	56		32,745	5,961
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Deferred Share Unit	Robb, Walter Eagleson	4	2019-11-30	56		12,529	5,961
Appili Therapeutics Inc.	Options	Balboni, Armand	5	2019-12-02	50		1,018,000	1,000,000
Appili Therapeutics Inc.	Options	Matkovits, Theresa	4	2019-12-02	50	0.55	185,000	140,000
Appili Therapeutics Inc.	Options	Mortimer, Ian Charles	4	2019-12-02	50	0.55	185,000	140,000
Appili Therapeutics Inc.	Options	Stephens, Kimberly	5	2019-12-02	50	0.55	310,000	200,000
Arctic Star Exploration Corp.	Common Shares	Doyle, Buddy James	4	2019-12-02	37		104,220	-416,879
Arctic Star Exploration Corp.	Common Shares	Doyle, Buddy James	4	2019-12-02	37		493,750	-1,975,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.2	1,167,500	-25,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	1	1,172,500	5,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.2	1,147,500	-25,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	1	1,152,500	5,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.175	552,500	-600,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.88	672,500	120,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.09	622,500	-50,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.09	517,500	-105,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.45	538,500	21,000
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.085	151,000	-387,500
Arctic Star Exploration Corp.	Options	Doyle, Buddy James	4	2019-12-02	38	0.43	228,500	77,500
Arctic Star Exploration Corp.	Warrants	Doyle, Buddy James	4	2019-12-02	38	0.08	0	-400,000
Arctic Star Exploration Corp.	Warrants	Doyle, Buddy James	4	2019-12-02	38	0.4	80,000	80,000
Arctic Star Exploration Corp.	Common Shares	Eldridge, Scott Richard	4, 5	2019-12-02	37		68,600	-274,400
Arctic Star Exploration Corp.	Options	Eldridge, Scott Richard	4, 5	2019-12-02	38	0.175	0	-800,000
Arctic Star Exploration Corp.	Options	Eldridge, Scott Richard	4, 5	2019-12-02	38	0.88	160,000	160,000
Arctic Star Exploration Corp.	Warrants	Eldridge, Scott Richard	4, 5	2019-12-02	55	0.15	0	-350,000
Arctic Star Exploration Corp.	Common Shares	Ferreira, William Scanlon	4	2019-12-02	37		23,300	-93,200
Arctic Star Exploration Corp.	Common Shares	Ferreira, William Scanlon	4	2019-12-02	37		321,748	-1,286,993
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.2	450,000	-50,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	1	460,000	10,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.175	160,000	-300,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.88	220,000	60,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.09	170,000	-50,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.45	180,000	10,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.085	80,000	-100,000
Arctic Star Exploration Corp.	Options	Ferreira, William Scanlon	4	2019-12-02	38	0.43	100,000	20,000
Arctic Star Exploration Corp.	Common Shares	Jassal, Brijender (Binny) Jassal	5	2019-12-02	37		5,000	-20,000
Arctic Star Exploration Corp.	Common Shares	Jassal, Brijender (Binny) Jassal	5	2019-12-02	37		94,467	-377,866
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-11-25	38	0.085	498,750	-325,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.2	473,750	-25,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	1	478,750	5,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.2	460,000	-18,750
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	1	463,750	3,750
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.175	163,750	-300,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.88	223,750	60,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.09	173,750	-50,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.45	183,750	10,000

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Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.43	248,750	65,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.09	143,750	-105,000
Arctic Star Exploration Corp.	Options	Jassal, Brijender (Binny) Jassal	5	2019-12-02	38	0.45	164,750	21,000
Arctic Star Exploration Corp.	Common Shares	Power, Patrick Edward	4, 5	2019-12-02	37		554,632	-2,218,530
Arctic Star Exploration Corp.	Common Shares	Power, Patrick Edward	4, 5	2019-12-02	37		4,880	-19,521
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-11-29	52			-1,230,911
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-11-29	52		212,500	-1,212,911
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-11-29	38	0.09		-760,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-11-29	38	0.09		-760,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.2	62,500	-150,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	1	92,500	30,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.09		-760,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.09		-760,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.45		152,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.45		152,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.2	80,000	-12,500
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	1		250,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	1	82,500	2,500
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.175	32,500	-50,000
Arctic Star Exploration Corp.	Options	Power, Patrick Edward	4, 5	2019-12-02	38	0.88	42,500	10,000
Arctic Star Exploration Corp.	Warrants	Power, Patrick Edward	4, 5	2014-11-13	55			-3,229,550
Arctic Star Exploration Corp.	Warrants	Power, Patrick Edward	4, 5	2014-11-13	55			-1,429,550
Arctic Star Exploration Corp.	Warrants	Power, Patrick Edward	4, 5	2014-11-13	55		0	-3,229,550
Arctic Star Exploration Corp.	Warrants	Power, Patrick Edward	4, 5	2019-11-29	55	0.08	2,029,000	-3,750,000
Arctic Star Exploration Corp.	Warrants	Power, Patrick Edward	4, 5	2019-11-29	55		0	-2,029,000
Arctic Star Exploration Corp.	Common Shares	Yingling, Thomas	4	2019-12-02	37		286,052	-1,144,206
Arctic Star Exploration Corp.	Common Shares	Yingling, Thomas	4	2019-12-02	37		1,774	-7,094
Arctic Star Exploration Corp.	Common Shares	Yingling, Thomas	4	2019-12-02	37		7	-28
Arctic Star Exploration Corp.	Common Shares	Yingling, Thomas	4	2019-12-02	37		120	-481
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.2	1,062,500	-25,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	1	1,067,500	5,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.085	680,000	-387,500
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.45	757,500	77,500
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.2	732,500	-25,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	1	737,500	5,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	40	0.175	137,500	-600,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.88	257,500	120,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.09	207,500	-50,000
Arctic Star Exploration Corp.	Options	Yingling, Thomas	4	2019-12-02	38	0.45	217,500	10,000
Arctic Star Exploration Corp.	Warrants	Yingling, Thomas	4	2019-11-29	55	0.15	0	-1,450,000
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Common Shares	Farrant, Michael Hugh	5	2019-11-29	00			
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Options	Farrant, Michael Hugh	5	2019-11-29	00			
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Options	Farrant, Michael Hugh	5	2019-12-02	50	0.15	200,000	200,000
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Warrants	Farrant, Michael Hugh	5	2019-11-29	00			
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Common Shares	WILSON, BRYAN HUGH	4	2019-11-06	00			
Argo Gold Inc. (formerly Arbitrage Exploration Inc.)	Common Shares	WILSON, BRYAN HUGH	4	2019-12-02	50	0.15	200,000	200,000
Aritzia Inc.	Rights Deferred Share Unit	Bensadoun, Aldo	4	2019-12-02	56		17,741	1,589
Aritzia Inc.	Rights Deferred Share Unit	Currie, John Edward	4	2019-12-02	56		17,741	1,589
Aritzia Inc.	Rights Deferred Share Unit	Holmes, Ryan	4	2019-12-02	56		17,741	1,589

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Aritzia Inc.	Rights Deferred Share Unit	Labistour, David Barrie	4	2019-12-02	56		17,741	1,589
Aritzia Inc.	Rights Deferred Share Unit	Montalbano, John	4	2019-12-02	56		2,638	1,589
Aritzia Inc.	Options	Morgan, Philippa (Pippa)	5	2019-11-29	51		534,026	-15,266
Aritzia Inc.	Subordinate Voting Shares	Morgan, Philippa (Pippa)	5	2019-11-29	51		23,966	15,266
Aritzia Inc.	Subordinate Voting Shares	Morgan, Philippa (Pippa)	5	2019-11-29	10	18.816	8,700	-15,266
Aritzia Inc.	Rights Deferred Share Unit	Senk, Glen Todd	4	2019-12-02	56		17,741	1,589
Aritzia Inc.	Rights Deferred Share Unit	Smith, Marcia	4	2019-12-02	56		6,768	1,589
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2019-11-29	38	21.734	3,200	3,200
ATCO LTD.	Non-Voting Shares Class I	Fountain, C. Anthony	4	2019-11-30	30	45.59		1,844
ATCO LTD.	Non-Voting Shares Class I	Fountain, C. Anthony	4	2019-11-30	30	45.8	9,567	1,786
ATCO LTD.	Non-Voting Shares Class I	Piepgrass, Steven R.	7	2019-12-04	30	47.08	1,402	180
ATCO LTD.	Non-Voting Shares Class I	Piepgrass, Steven R.	7	2019-12-04	30	44.9	1,458	56
ATCO LTD.	Non-Voting Shares Class I	Piepgrass, Steven R.	7	2019-12-04	10	50.32	1,008	-450
ATCO LTD.	Non-Voting Shares Class I	Piepgrass, Steven R.	7	2019-12-04	10	50.34	833	-175
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-09-05	00			
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-05	10	0.35	23,500	23,500
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-05	10	0.35	37,500	14,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.32	88,500	51,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.32	96,500	8,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.33	126,500	30,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.32	131,500	5,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.32	133,500	2,000
Athabasca Minerals Inc.	Common Shares	Kutryk, Terrance Edward	4	2019-12-06	10	0.32	136,500	3,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-10-25	00			
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-02	10	0.31	12,500	12,500
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-02	10	0.31	22,500	10,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-02	10	0.31	35,000	12,500
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-02	10	0.3	55,000	20,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-02	10	0.29	71,000	16,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-03	10	0.31	101,000	30,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-03	10	0.3	102,500	1,500
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-03	10	0.315	107,500	5,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-03	10	0.32	311,500	204,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-04	10	0.32	321,500	10,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-04	10	0.325	400,000	78,500
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-04	10	0.33	405,000	5,000
Athabasca Minerals Inc.	Common Shares	Manning, Neil Donald	4	2019-12-04	10	0.33	500,000	95,000
Atico Mining Corporation	Common Shares	Bureau, Alain	5	2019-12-04	10	0.24	656,032	100,000
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-05	38	2.3427	14,930	14,930
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-06	38	2.36	18,530	3,600
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-19	38	6.8637		5,700
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-19	38	6.8637		5,700
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-20	38	6.8972		10,100
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-20	38	6.8972		10,100
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-21	38	6.8197		10,900
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-21	38	6.8197		10,900
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-22	38	6.8882		8,400
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-22	38	6.8882		8,400
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-25	38	6.8594		10,927

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Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-25	38	6.8594		10,927
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-26	38	2.36	35,044	16,514
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-29	38	2.36	35,223	179
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2019-11-29	38		179	-35,044
ATS Automation Tooling Systems Inc.	RSU	Hart, Chris	5	2019-12-01	59	19.78	18,784	-1,486
ATS Automation Tooling Systems Inc.	RSU	Hart, Chris	5	2019-12-01	59	19.78	14,823	-3,961
ATS Automation Tooling Systems Inc.	RSU	Hider, Andrew	5	2019-12-01	59	19.78	251,317	-32,021
ATS Automation Tooling Systems Inc.	RSU	Hider, Andrew	5	2019-12-01	59	19.78	165,926	-85,391
ATS Automation Tooling Systems Inc.	Rights RSU	McCuaig, Stewart	5	2019-12-01	59	19.78	25,405	-3,301
ATS Automation Tooling Systems Inc.	Rights RSU	McCuaig, Stewart	5	2019-12-01	59	19.78	16,602	-8,803
ATS Automation Tooling Systems Inc.	Rights RSU	Perrella, Maria	5	2019-12-01	59	19.78	61,272	-23,769
ATS Automation Tooling Systems Inc.	Rights RSU	Perrella, Maria	5	2019-12-01	59	19.78	52,359	-8,913
ATS Automation Tooling Systems Inc.	RSU	Roberts, Simon	5	2019-12-01	59	19.78	18,124	-8,803
ATS Automation Tooling Systems Inc.	RSU	Roberts, Simon	5	2019-12-01	59	19.78	14,823	-3,301
Aureus Mining Inc.	Common Shares	Martin, Jean-Guy	4	2011-06-03	00			
Aureus Mining Inc.	Common Shares	Martin, Jean-Guy	4	2011-06-03	00			
Aureus Mining Inc.	Common Shares	Martin, Jean-Guy	4	2011-06-03	00			
Aureus Mining Inc.	Common Shares	Martin, Jean-Guy	4	2011-06-03	00			
Aurion Resources Ltd.	Options	Sparkes, Kerry Elwyn	4	2019-12-02	00			
Aurion Resources Ltd.	Options	Sparkes, Kerry Elwyn	4	2019-12-02	50		100,000	100,000
Australis Capital Inc.	Common Shares	Carlotti, Michael Jon	5	2018-09-24	00			
Australis Capital Inc.	Common Shares	Carlotti, Michael Jon	5	2019-11-14	57	0.54	150,000	150,000
Australis Capital Inc.	Restricted Share Units	Carlotti, Michael Jon	5	2019-11-14	57		615,000	-150,000
Australis Capital Inc.	Common Shares	Dover, John David	4	2018-08-16	00			
Australis Capital Inc.	Common Shares	Dover, John David	4	2019-11-14	57	0.54	75,000	75,000
Australis Capital Inc.	Restricted Share Units	Dover, John David	4	2019-11-14	57		307,500	-75,000
Australis Capital Inc.	Common Shares	Dowty, Michael Scott	4, 5	2018-08-16	00			
Australis Capital Inc.	Common Shares	Dowty, Michael Scott	4, 5	2019-11-14	57	0.54	208,333	208,333
Australis Capital Inc.	Restricted Share Units	Dowty, Michael Scott	4, 5	2019-11-14	57		854,167	-208,333
Australis Capital Inc.	Common Shares	Swainson, Roger Irving	4	2019-11-14	57	0.54	451,700	75,000
Australis Capital Inc.	Restricted Share Units	Swainson, Roger Irving	4	2019-11-14	57		307,500	-75,000
Automotive Properties Real Estate Investment Trust	Trust Units	TWC Enterprises Limited	3	2019-12-04	10	12.019	4,344,957	179,400
Avalon Advanced Materials Inc.	Options	Mercer, William	5	2019-11-30	52		520,000	-80,000
Avalon Advanced Materials Inc.	Options	Mercer, William	5	2019-12-01	50		600,000	80,000
Avesoro Resource Inc.	Common Shares	Avesoro Jersey Limited	3	2016-12-06	11	0.024		337,777,570
Avesoro Resource Inc.	Common Shares	Avesoro Jersey Limited	3	2016-12-06	11	0.024	337,777,570	337,777,570
Avesoro Resource Inc.	Common Shares	Günal, Murathan Doruk	3	2016-12-06	90		662,222,429	662,222,429
Avesoro Resource Inc.	Common Shares	Günal, Murathan Doruk	3	2016-12-06	11	0.024	999,999,999	337,777,570
Avesoro Resource Inc.	Common Shares	Günal, Murathan Doruk	3	2016-12-06	90			662,222,429
Avesoro Resource Inc.	Common Shares	Günal, Murathan Doruk	3	2016-12-06	11	0.024		337,777,570
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2017-12-18	11	0.019		677,807,607
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		0	-662,222,429
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		0	-999,999,999
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		0	-147,483,600
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		0	-677,807,607
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		0	-677,807,608
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2016-07-15	00			
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2017-12-18	11	0.019	1,015,585,177	677,807,607
Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2018-01-24	37		59,457,152	-956,128,025

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Avesoro Resources Inc.	Common Shares	Avesoro Jersey Limited	3	2019-11-22	22		79,861,477	20,404,325
Avesoro Resources Inc.	Common Shares	Eyre, Geoffrey Peter	4, 5	2018-01-24	37		27,200	-2,692,800
Avesoro Resources Inc.	Common Shares	Eyre, Geoffrey Peter	4, 5	2019-11-29	40			-27,200
Avesoro Resources Inc.	Common Shares	Eyre, Geoffrey Peter	4, 5	2019-11-29	40		100	-27,100
Avesoro Resources Inc.	Options	Eyre, Geoffrey Peter	4, 5	2019-11-29	97		0	-437,500
Avesoro Resources Inc.	Common Shares	Günal, Murathan Doruk	3	2018-01-24	37		0	-999,999,999
Avesoro Resources Inc.	Common Shares	Günal, Murathan Doruk	3	2018-01-24	37		0	-147,483,600
Avesoro Resources Inc.	Common Shares	Günal, Murathan Doruk	3	2016-07-29	00			
Avesoro Resources Inc.	Common Shares	Günal, Murathan Doruk	3	2018-01-24	37		59,457,152	-940,542,847
Avesoro Resources Inc.	Common Shares	Günal, Murathan Doruk	3	2019-11-22	22		79,861,477	20,404,325
Avesoro Resources Inc.	Common Shares	Martin, Jean-Guy	4	2018-01-24	37		993	-98,389
Avesoro Resources Inc.	Common Shares	Martin, Jean-Guy	4	2019-11-29	40		0	-993
Avesoro Resources Inc.	Options	Martin, Jean-Guy	4	2019-11-29	97		0	-144,500
Avesoro Resources Inc.	Common Shares	Netherway, David	4	2018-01-24	37		4,314	-427,140
Avesoro Resources Inc.	Common Shares	Netherway, David	4	2019-11-29	40		0	-4,314
Avesoro Resources Inc.	Options	Netherway, David	4	2019-11-29	97		0	-158,000
Avesoro Resources Inc.	Common Shares	Owen, Loudon	4	2018-01-24	37		995	-98,598
Avesoro Resources Inc.	Common Shares	Owen, Loudon	4	2019-11-29	40		0	-995
Avesoro Resources Inc.	Options	Owen, Loudon	4	2019-11-29	97		0	-142,250
Avesoro Resources Inc.	Common Shares	Umurhan, Serhan	4, 5	2018-01-24	37		80,100	-7,929,900
Avesoro Resources Inc.	Common Shares	Umurhan, Serhan	4, 5	2019-11-29	40		0	-80,100
Avesoro Resources Inc.	Options	Umurhan, Serhan	4, 5	2019-11-29	97		0	-497,000
Avidian Gold Corp.	Common Shares	Anderson, David Charles	4	2019-12-02	10	0.09	3,807,716	25,000
Avidian Gold Corp.	Common Shares	Anderson, David Charles	4	2019-12-03	10	0.085	3,857,716	50,000
Axis Auto Finance Inc.	Common Shares	Neichenbauer, Wesley James	4	2018-12-20	22	0.42	1,022,247	39,173
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Subordinate Voting Shares	Ayr Strategies Inc.	1	2019-11-26	10	11	27,200	500
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Subordinate Voting Shares	Ayr Strategies Inc.	1	2019-11-26	10	10.99	27,500	300
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Subordinate Voting Shares	Ayr Strategies Inc.	1	2019-11-29	10	12	29,500	2,000
B2Gold Corp.	Common Shares	Bullock, Kevin	4	2019-12-02	51		110,367	50,000
B2Gold Corp.	Common Shares	Bullock, Kevin	4	2019-12-02	10		60,367	-50,000
B2Gold Corp.	Options	Bullock, Kevin	4	2019-12-02	51	2	117,000	-50,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	2019-12-02	10	0.025	1,384,937	50,000
Backstageplay Inc. (formerly Oramericas Corp.)	Common Shares	White, Scott Fulton	4	2019-12-06	10	0.03	1,624,937	240,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-11	38	34.201	5,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-12	38	34.974	10,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-13	38	34	15,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-14	38	34.266	20,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-15	38	34.617	25,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-15	38		10,000	-15,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-18	38	35.125	15,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-19	38	35.075	20,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-20	38	35.142	25,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-21	38	34.954	30,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-22	38	34.765	35,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-22	38		10,000	-25,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-25	38	34.958	15,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-26	38	34.968	20,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-27	38	35.804	25,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-28	38	36.81	30,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-29	38	36.344	35,000	5,000
Badger Daylighting Ltd.	Common Shares	Badger Daylighting Ltd.	1	2019-11-29	38		10,000	-25,000
Ballard Power Systems Inc.	Common Shares	Campbell, Robert William	5	2019-11-18	51	4.33	93,716	66,666

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Ballard Power Systems Inc.	Common Shares	Campbell, Robert William	5	2019-11-18	10	9.322	27,050	-66,666
Ballard Power Systems Inc.	Options	Campbell, Robert William	5	2019-11-18	51	4.33	99,164	-66,666
Ballard Power Systems Inc.	Units Deferred Share Units	Hayhurst, Douglas Palmer	4	2019-09-30	56	6.47	205,133	2,414
Ballard Power Systems Inc.	Units Deferred Share Units	Le, Duy-Loan	4	2019-09-30	56	6.47	28,480	2,125
Ballard Power Systems Inc.	Units Deferred Share Units	Neese, Marty Tucker	4	2019-09-30	56	6.47	64,055	2,270
Ballard Power Systems Inc.	Units Deferred Share Units	Roche, James Norman	4	2019-09-30	56	6.47	75,603	2,897
Ballard Power Systems Inc.	Units Deferred Share Units	Sutcliffe, Ian Douglas	4	2019-09-30	56	6.47	95,189	2,125
Ballard Power Systems Inc.	Units Deferred Share Units	Woodruff, Janet Patricia	4	2019-09-30	56	6.47	28,073	2,414
Bank of Montreal	Restricted Share Units	Barclay, Daniel	5	2019-12-01	59	100.82	51,636	-15,267
Bank of Montreal	Performance Share Units	Casper, David Robert	5	2019-12-01	59	100.82	42,776	-22,491
Bank of Montreal	Restricted Share Units	Cronin, Patrick	5	2019-12-01	59	100.82	0	-54,744
Bank of Montreal	Performance Share Units	Fish, Simon Adrian	5	2008-05-26	00			
Bank of Montreal	Restricted Share Units	Fish, Simon Adrian	5	2019-12-01	59	100.82	16,264	-8,181
Bank of Montreal	Performance Share Units	Flynn, Thomas Earl	7	2019-12-01	59	100.82	32,996	-17,715
Bank of Montreal	Performance Share Units	Fowler, Cameron McAskile	5	2019-12-01	59	100.82	45,050	-20,872
Bank of Montreal	Restricted Share Units	Johannson, Erminia	5	2019-12-01	59	100.82	4,428	-4,509
Bank of Montreal	Restricted Share Units	Malone, Mona Elizabeth	5	2019-12-01	59	100.82	8,215	-2,770
Bank of Montreal	Restricted Share Units	Roche, Catherine Margaret	5	2019-12-01	59	100.82	14,288	-5,347
Bank of Montreal	Restricted Share Units	Rotenberg, Joanna Michelle	5	2019-12-01	59	100.82	0	-9,984
Bank of Montreal	Common Shares	Rudderham, Richard D.	5	2019-12-06	51	56	424	424
Bank of Montreal	Options	Rudderham, Richard D.	5	2019-12-06	51	56	130,940	-424
Bank of Montreal	Performance Share Units	Rudderham, Richard D.	5	2019-12-01	59	100.82	17,864	-9,985
Bank of Montreal	Restricted Share Units	Seabrook, Lucas R	5	2019-12-01	59	100.82	93,530	-59,330
Bank of Montreal	Restricted Share Units	Tennyson, Steven Lloyd	5	2019-12-01	59	100.82	20,584	-7,344
Bank of Montreal	Performance Share Units	White, William Darryl	7, 5	2019-12-01	59	100.82	85,903	-40,713
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2017-06-30	50	0.88	500,000	500,000
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2019-01-31	50	0.44		75,000
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2019-01-31	50	0.44		75,000
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2019-11-21	22			-225,000
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2019-11-21	22			-225,000
Barkerville Gold Mines Ltd.	Options	Burzynski, John Feliks	6	2019-11-21	22		0	-650,000
Barkerville Gold Mines Ltd.	Options	Geddes, Paul	5	2019-11-21	22		0	-250,000
Barkerville Gold Mines Ltd.	Common Shares	OBRADOVICH, THOMAS JOHN	4	2019-11-21	22		0	-982,000
Barkerville Gold Mines Ltd.	Options	OBRADOVICH, THOMAS JOHN	4	2016-12-07	50	0.47	2,625,000	550,000
Barkerville Gold Mines Ltd.	Options	OBRADOVICH, THOMAS JOHN	4	2019-11-21	22		0	-2,825,000
Barkerville Gold Mines Ltd.	Common Shares	Prychidny, Morris	4	2019-11-21	22		0	-537,250
Barkerville Gold Mines Ltd.	Options	Prychidny, Morris	4	2019-11-21	22		0	-1,450,000
Barkerville Gold Mines Ltd.	Common Shares	Roosen, Sean	4, 6	2019-11-21	22		0	-5,511,312
Barkerville Gold Mines Ltd.	Options	Roosen, Sean	4, 6	2019-01-31	50	0.44	1,900,000	100,000
Barkerville Gold Mines Ltd.	Options	Roosen, Sean	4, 6	2019-11-21	22		0	-1,900,000
Barkerville Gold Mines Ltd.	Common Shares	St-Germain, Andree	4	2019-11-21	22		0	-185,741
Barkerville Gold Mines Ltd.	Common Shares	St-Germain, Andree	4	2019-11-21	22		0	-52,000
Barkerville Gold Mines Ltd.	Options	St-Germain, Andree	4	2019-11-21	22		0	-650,000
Barkerville Gold Mines Ltd.	Common Shares	Tremblay, Eric	4	2019-11-21	10		0	-34,000
Barkerville Gold Mines Ltd.	Options	Tremblay, Eric	4	2017-12-08	50	0.65	100,000	100,000
Barkerville Gold Mines Ltd.	Options	Tremblay, Eric	4	2019-11-21	22		0	-500,000
Barrick Gold Corporation	Common Shares	Krcmarov, Robert Ljubomir	5	2019-11-29	10	22.36	62,984	28,103
Barrick Gold Corporation	Rights Performance Granted Share Units (cash settled)	Krcmarov, Robert Ljubomir	5	2019-11-29	59	22.08	180,804	-61,245
Barrick Gold Corporation	Common Shares	Raw, Catherine Philippa	5	2019-11-29	10	22.36	105,470	32,118

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Barrick Gold Corporation	Rights Performance Granted Share Units (cash settled)	Raw, Catherine Philippa	5	2019-11-29	59	22.08	242,590	-69,994
Barrick Gold Corporation	Common Shares	Rich, Darian Kevin	5	2019-11-29	10	22.36	96,772	28,103
Barrick Gold Corporation	Rights Performance Granted Share Units (cash settled)	Rich, Darian Kevin	5	2019-11-29	59	22.08	180,804	-61,245
Barrick Gold Corporation	Common Shares	Thomson, Kevin James	5	2019-11-29	10	22.36	144,343	36,133
Barrick Gold Corporation	Rights Performance Granted Share Units (cash settled)	Thomson, Kevin James	5	2019-11-29	59	22.08	255,792	-78,743
Barrick Gold Corporation	Common Shares	Walker, Gregory Alan Pool	5	2019-11-29	10	16.82	61,517	18,521
Barrick Gold Corporation	Rights Performance Granted Share Units (cash settled)	Walker, Gregory Alan Pool	5	2019-11-29	59	22.08	139,243	-24,139
Bayhorse Silver Inc.	Common Shares	Low, Rick	5	2019-12-03	16	0.125	352,000	100,000
Bayhorse Silver Inc.	Warrants	Low, Rick	5	2019-12-03	16	0.25	292,000	100,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-11-25	10	0.1	9,538,862	-103,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-11-25	10	0.095	9,522,862	-16,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-11-26	10	0.1	9,519,862	-3,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-11-27	10	0.095	9,407,362	-112,500
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-11-28	10	0.09	9,252,362	-155,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-03	16	0.125		2,000,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-03	16	0.125		2,000,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-03	16	0.125	11,252,362	2,000,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-05	10	0.1	9,252,362	-2,000,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-06	10	0.09	9,102,362	-150,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-06	10	0.09	9,002,362	-100,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-12-06	10	0.125	11,502,362	2,500,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-12-03	16		18,061,934	2,000,000
Baylin Technologies Inc.	Common Shares	Baylin Technologies Inc	1	2019-11-08	38	2.0936	91,780	7,780
Baylin Technologies Inc.	Common Shares	Baylin Technologies Inc	1	2019-11-12	38	2.0102	99,560	7,780
Baylin Technologies Inc.	Deferred Share Units	Davis, Janice	4	2019-11-30	56	1.8	6,523	1,386
Baylin Technologies Inc.	Deferred Share Units	Reiter, Barry	4	2019-11-30	56	1.8	98,008	1,848
Baylin Technologies Inc.	Deferred Share Units	Saska, David	4	2019-11-30	56	1.8	10,867	1,386
Baylin Technologies Inc.	Deferred Share Units	SIMMONDS, DONALD E.	4	2019-11-30	56	1.8	70,230	1,386
Baylin Technologies Inc.	Deferred Share Units	Wolkin, Harold Morton	4	2019-11-30	56	1.8	118,580	3,465
Bear Creek Mining Corporation	Common Shares	Tweddle, Frank R.	4	2019-12-03	10	2.71	96,917	-5,000
Bengal Energy Ltd.	Common Shares	Edgar, Richard Norman	5	2019-12-05	10	0.065	262,050	24,000
Bengal Energy Ltd.	Common Shares	Edgar, Richard Norman	5	2019-12-02	10	0.06	29,500	-1,000
Bengal Energy Ltd.	Common Shares	Edgar, Richard Norman	5	2019-12-02	10	0.065	6,500	-23,000
Big Rock Brewery Inc.	Rights Share Appreciation Rights (SARs)	Giblin, Stephen	4	2019-11-19	56		13,700	7,700
BIGG Digital Assets Inc.	Common Shares	BIGG Digital Assets Inc	1	2019-11-26	10	0.05	4,309,000	126,000
BIGG Digital Assets Inc.	Common Shares	BIGG Digital Assets Inc	1	2019-12-03	10	0.045	4,571,000	100,000
BIGG Digital Assets Inc.	Common Shares	BIGG Digital Assets Inc	1	2019-12-05	10	0.04	4,671,000	100,000
BIGG Digital Assets Inc.	Common Shares	BIGG Digital Assets Inc	1	2019-12-06	10	0.04	4,721,000	50,000
Bird Construction Inc.	MTIP (Phantom Shares)	Bergman, J. Paul	5	2019-11-29	35		12,726	62
Bird Construction Inc.	MTIP (Phantom Shares)	Bergman, J. Paul	5	2019-11-29	59	6.628	0	-12,726
Bird Construction Inc.	MTIP (Phantom Shares)	Boyd, Ian Jeffrey	5	2019-11-29	35		20,687	101
Bird Construction Inc.	MTIP (Phantom Shares)	Boyd, Ian Jeffrey	5	2019-11-29	59	6.628	0	-20,687
Bird Construction Inc.	MTIP (Phantom Shares)	CAZA, Charles Joseph	5	2019-11-29	35		7,839	38
Bird Construction Inc.	MTIP (Phantom Shares)	CAZA, Charles Joseph	5	2019-11-29	59	6.628	0	-7,839
Bird Construction Inc.	MTIP (Phantom Shares)	GINGRICH, WAYNE RICHARD	5	2019-11-29	35		12,194	59
Bird Construction Inc.	MTIP (Phantom Shares)	GINGRICH, WAYNE RICHARD	5	2019-11-29	59	6.628	0	-12,194
Bird Construction Inc.	MTIP (Phantom Shares)	ROYER, GILLES GERALD	5	2019-11-29	35		24,593	120
Bird Construction Inc.	MTIP (Phantom Shares)	ROYER, GILLES GERALD	5	2019-11-29	59	6.628	0	-24,593

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Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2019-11-26	10	1.76	2,617,221	5,000
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2019-11-26	10	1.75	2,618,721	1,500
Black Iron Inc.	Common Shares	Detmold, John	4	2019-12-03	10	0.075	1,870,909	170,000
Black Tusk Resources Inc.	Common Shares	Rubin, Roman Reuven	3, 4, 5	2019-12-03	10	0.045	2,091,501	-350,000
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Alsup, Laurie Frances Smaldone	4	2019-11-30	56		111,195	9,210
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Daniels, Michael Alan	4	2019-11-30	56		122,517	9,209
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Dattels, Timothy	4	2019-11-30	56		176,314	9,210
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Disbrow, Lisa S.	4	2019-11-30	56		26,102	9,209
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Lynch, Richard John	4	2019-11-30	56		152,410	9,210
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Stymiest, Barbara Gayle	4, 5	2019-11-30	56		189,620	10,060
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Watsa, V. Prem	4	2019-11-30	56		137,350	9,891
BlackBerry Limited (formerly Research In Motion Limited)	Deferred Share Units	Wouters, Wayne Gordon	4	2019-11-30	56		104,063	9,210
Blue Lagoon Resources Inc.	Common Shares	Vig, Rana Gurvinder	4, 5	2019-12-03	47		2,264,268	-50,000
Body and Mind Inc.	Common Shares	Australis Capital Inc.	3	2019-11-29	11	0.78	29,873,628	-5,000,000
Body and Mind Inc.	Common Shares	Australis Capital Inc.	3	2019-11-29	11	0.721	24,873,628	-5,000,000
Boralex Inc.	Common Shares	Dumas, Marie-Claude	4	2019-12-06	10	24.799	4,300	4,300
Boralex Inc.	Common Shares	Girardin, Hugues	5	2019-12-03	40	24.466	-887	-7,039
Boralex Inc.	Common Shares	Girardin, Hugues	5	2019-12-03	51	12.9	6,152	7,039
Boralex Inc.	Options Options d'achat d'actions ordinaires	Girardin, Hugues	5	2019-12-03	51	12.9	24,595	-7,039
BQE Water Inc.	Common Shares	hubbard, richard	3	2019-12-02	10	8.2263	228,079	1,900
BQE Water Inc.	Common Shares	hubbard, richard	3	2019-12-03	10	8.3	230,879	2,800
Brachium Capital Corp.	Options	Graham, Craig Lawrence	4	2019-09-27	00			
Brachium Capital Corp.	Options	Graham, Craig Lawrence	4	2019-12-03	50	0.1	154,190	154,190
Brachium Capital Corp.	Options	Iscoe, Benjamin Davis	5	2019-09-27	00			
Brachium Capital Corp.	Options	Iscoe, Benjamin Davis	5	2019-12-03	50	0.1	76,910	76,910
Brachium Capital Corp.	Options	Louis, Greg Marc	5	2019-09-27	00			
Brachium Capital Corp.	Options	Louis, Greg Marc	5	2019-12-03	50	0.1	98,680	98,680
Brachium Capital Corp.	Options	Miks, Kristopher	4	2019-09-26	00			
Brachium Capital Corp.	Options	Miks, Kristopher	4	2019-12-03	50	0.1	154,190	154,190
Brachium Capital Corp.	Options	Nevsky, Larry Eric	4	2019-09-27	00			
Brachium Capital Corp.	Options	Nevsky, Larry Eric	4	2019-12-03	50	0.1	154,190	154,190
BRAMPTON BRICK LIMITED	Subordinate Voting Shares - Class A	Brampton Brick Limited	1	2019-11-15	38	6.38	1,000	1,000
Braveheart Resources Inc.	Common Shares	Berzins, Ian Martin	4, 5	2019-12-06	10	0.13	2,454,500	5,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2019-11-27	10	0.1295	6,551,001	-50,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2019-11-27	10	0.14	6,561,001	10,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2019-11-28	10	0.14	6,580,501	19,500
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2019-11-29	10	0.14	6,596,501	16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Blidner, Jeffrey Miles	4, 5	2019-12-03	11		565,399	30,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Blidner, Jeffrey Miles	4, 5	2019-12-02	10	76.476	640,721	-2,300
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Blidner, Jeffrey Miles	4, 5	2019-12-02	10	76.49	637,721	-3,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Blidner, Jeffrey Miles	4, 5	2019-12-03	11		607,721	-30,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-25	38	57.409	1,171,681	32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-25	38		1,139,395	-32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-25	38	76.4	1,162,471	23,076

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Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-25	38		1,139,395	-23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-26	38	57.766	1,171,681	32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-26	38		1,139,395	-32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-26	38	76.726	1,162,471	23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-26	38		1,139,395	-23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-27	38	58.071	1,171,578	32,183
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-27	38		1,139,395	-32,183
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-27	38	77.329	1,162,471	23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-27	38		1,139,395	-23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-28	38	78.024	1,162,471	23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-28	38		1,139,395	-23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-29	38	58.367	1,171,681	32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-29	38		1,139,395	-32,286
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-29	38	77.549	1,162,471	23,076
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2019-11-29	38		1,139,395	-23,076
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-08	38	18.895	100,000	100,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-08	38	25.007	256,300	156,300
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-11	38	25	614,367	358,067
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-13	38	25.11	664,367	50,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-13	38	18.955	764,367	100,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-20	38	19.19	864,367	100,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-20	38	25.538	914,367	50,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-21	38	25.376	964,367	50,000
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-21	38	19.111	1,049,491	85,124
Brookfield Property Partners L.P.	Limited Partnership Units	Brookfield Property Partners L.P.	1	2019-11-21	38		0	-1,049,491
Brookfield Property Partners L.P.	Limited Partnership Units	Da Cunha, Omar Carneiro	4	2019-11-12	10	18.973	10,690	1,060
Brookfield Property Partners L.P.	Deferred Units (Global)	Liebman, Lance Malcolm	7	2019-12-06	30		51,304	821
BRP Inc.	Options	Donnez, Karim	5	2019-12-04	51	26.676	58,450	-1,550
BRP Inc.	Options	Donnez, Karim	5	2019-12-04	51	26.676	56,900	-1,550
BRP Inc.	Options	Donnez, Karim	5	2019-12-04	51	20.327	54,025	-2,875
BRP Inc.	Options	Donnez, Karim	5	2019-12-04	51	39.449	45,875	-8,150
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	51	26.676	1,550	1,550
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	10	63.5	0	-1,550
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	51	26.676	1,550	1,550
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	10	63.505	0	-1,550

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BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	51	20.327	2,875	2,875
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	10	63.5	0	-2,875
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	51	39.449	8,150	8,150
BRP Inc.	Subordinate Voting Shares	Donnez, Karim	5	2019-12-04	10	63.5	0	-8,150
BRP Inc.	Options	LaBerge, Anne-Marie	5	2019-12-04	51	39.449	64,175	-4,375
BRP Inc.	Subordinate Voting Shares	LaBerge, Anne-Marie	5	2019-12-04	51	39.449	4,375	4,375
BRP Inc.	Subordinate Voting Shares	LaBerge, Anne-Marie	5	2019-12-04	10	63	0	-4,375
BRP Inc.	Options	Le Breton, Anne	5	2019-12-05	51	21.5	78,975	-100
BRP Inc.	Options	Le Breton, Anne	5	2019-12-06	51	21.5	76,450	-2,525
BRP Inc.	Options	Le Breton, Anne	5	2019-12-06	51	20.327	70,825	-5,625
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-05	51	21.5	154	100
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-05	10	64.5	54	-100
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-06	51	21.5	2,579	2,525
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-06	10	64.5	54	-2,525
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-06	51	20.327	5,679	5,625
BRP Inc.	Subordinate Voting Shares	Le Breton, Anne	5	2019-12-06	10	64.5	54	-5,625
Buhler Industries Inc.	Common Shares	Fillion Kopp, Joelle Rae	3	2019-11-27	10	3.6	3,871,886	800
BWR Exploration Inc.	Common Shares	Novak, Neil	4, 5	2019-11-29	10	0.045	3,586,700	20,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-01	38	33.57	5,000	5,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-04	38	33.73	10,000	5,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-05	38	33.47	15,000	5,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-06	38	33.34	20,000	5,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-07	38	33.73	25,000	5,000
CAE Inc.	Common Shares	CAE INC.	1	2019-11-08	38	33.91	26,300	1,300
CAE Inc.	Common Shares	CAE INC.	1	2019-11-29	38	33.91	0	-26,300
Calian Group Ltd.	Common Shares	Ford, Kevin Lee	5	2019-12-04	51	17.69	26,042	5,700
Calian Group Ltd.	Common Shares	Ford, Kevin Lee	5	2019-12-04	10	38.8	20,342	-5,700
Calian Group Ltd.	Options	Ford, Kevin Lee	5	2019-12-04	51	17.69	31,700	-5,700
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2019-11-28	51	27.3	8,206	2,000
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2019-11-28	10	38.82	6,206	-2,000
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2019-12-03	51	27.3	7,206	1,000
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2019-12-03	10	38.99	6,206	-1,000
Calian Group Ltd.	Options	loeb, kenneth jeffrey	4	2019-11-28	51	27.3	26,000	-2,000
Calian Group Ltd.	Options	loeb, kenneth jeffrey	4	2019-12-03	51	27.3	25,000	-1,000
Calian Group Ltd.	Common Shares	Vickers, Richard Allan	4	2019-12-05	51	29.55	9,985	5,000
Calian Group Ltd.	Common Shares	Vickers, Richard Allan	4	2019-12-05	10	38.78	4,985	-5,000
Calian Group Ltd.	Options	Vickers, Richard Allan	4	2019-12-05	51	29.55	5,000	-5,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-07	38	5.1233	47,500	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-08	38	4.9851	95,000	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-11	38	4.8951	131,100	36,100
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-12	38	4.8929	178,600	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-12	38		131,100	-47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-13	38	4.8872	177,500	46,400
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-13	38		130,000	-47,500

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Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-13	38		93,900	-36,100
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-14	38	4.8884	140,100	46,200
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-14	38		92,600	-47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-15	38	4.8097		47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-15	38	4.8097		47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-15	38	4.7757	139,500	46,900
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-15	38		93,100	-46,400
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-18	38	4.8097	140,600	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-18	38		94,400	-46,200
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-19	38	4.6617	139,700	45,300
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-19	38		92,800	-46,900
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-20	38	4.6731	139,500	46,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-20	38		92,000	-47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-21	38	4.6643	137,800	45,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-21	38		92,500	-45,300
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-22	38	4.8364	140,000	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-22	38		93,300	-46,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-25	38	4.9553	140,000	46,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-25	38		94,200	-45,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-26	38	5.0053	139,900	45,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-26	38		92,400	-47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-27	38	4.9662	139,989	47,589
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-27	38		93,289	-46,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-28	38	4.9417	138,789	45,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-28	38		93,089	-45,700
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-29	38	4.9576	140,589	47,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-11-29	38		93,000	-47,589
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-12-02	38		47,500	-45,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2019-12-03	38		0	-47,500
Canacol Energy Ltd.	Common Shares	Whitmore, Tracy Lynn	5	2019-04-08	00			
Canacol Energy Ltd.	Common Shares	Whitmore, Tracy Lynn	5	2019-12-02	10	4.34	1,500	1,500
Canada Cobalt Works Inc.	Options	Bamber, Marc Turlough	4	2019-11-30	50	0.33	800,000	100,000
Canada Cobalt Works Inc.	Common Shares	Basa, Frank Joseph	4, 5	2019-12-04	16	0.5	1,305,517	100,000
Canada Cobalt Works Inc.	Options	Basa, Frank Joseph	4, 5	2019-11-30	50	0.33	200,000	200,000
Canada Cobalt Works Inc.	Options	Setter, Robert	4	2019-11-30	51	0.33	450,000	200,000
Canada Cobalt Works Inc.	Options	Tookenay, Dianne	4	2019-11-30	50	0.33	500,000	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	2019-11-01	38	112.72	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-01	38	112.72	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-01	38	112.72		16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-01	38	112.72		16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-04	38	113.64	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-04	38	113.64	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-05	38	114.26	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-05	38	114.26	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-06	38	114.55	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-06	38	114.55	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-07	38	115.27	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-07	38	115.27	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-08	38	114.99	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-08	38	114.99	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-11	38	114.53	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-11	38	114.53	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-12	38	114.43	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-12	38	114.43	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-13	38	114.25	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-13	38	114.25	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-14	38	114.37	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-14	38	114.37	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-15	38	115.19	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-15	38	115.19	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-18	38	115.31	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-18	38	115.31	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-19	38	115.07	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-19	38	115.07	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-20	38	114.83	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-20	38	114.83	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-21	38	114.67	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-21	38	114.67	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-22	38	115.11	16,000	16,000

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	2019-11-22	38	115.11	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-25	38	115.44	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-25	38	115.44	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-26	38	114.82	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-26	38	114.82	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-27	38	115.61	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-27	38	115.61	0	-16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-28	38	115.63	15,800	15,800
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-28	38	115.63	0	-15,800
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-29	38	115.54	16,000	16,000
Canadian Imperial Bank of Commerce	Common Shares	CIBC	1	2019-11-29	38	115.54	0	-16,000
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-01	38	90.919	206,935	67,422
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-04	38	92.408	204,771	66,336
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-05	38		137,349	-67,422
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-05	38	93.532	202,888	65,539
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-06	38		136,552	-66,336
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-06	38	94.042	201,735	65,183
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-07	38		136,196	-65,539
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-07	38	94.813	200,849	64,653
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-08	38		135,666	-65,183
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-08	38	94.706	200,395	64,729
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-11	38	94.111	265,477	65,082
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-12	38		199,824	-65,653
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-12	38	93.284	265,483	65,659
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-13	38		200,754	-64,729
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-13	38		135,672	-65,082
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-13	38	93.259	201,348	65,676
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-14	38		135,689	-65,659
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-14	38	92.886	201,630	65,941
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-15	38		135,954	-65,676
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-15	38	93.518	201,452	65,498
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-18	38		135,511	-65,941
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-18	38	93.326	200,712	65,201

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	2019-11-19	38		135,214	-65,498
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-19	38	92.62	200,912	65,698
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-20	38		135,711	-65,201
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-20	38	90.97	202,600	66,889
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-21	38		136,902	-65,698
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-21	38	90.047	204,478	67,576
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-22	38		137,589	-66,889
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-22	38	90.038	205,173	67,584
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-25	38		137,597	-67,576
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-25	38	90.881	206,808	69,211
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-26	38		139,224	-67,584
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-26	38	92.477	207,240	68,016
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-27	38		138,029	-69,211
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-27	38	92.682	205,896	67,867
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-11-29	38		137,880	-68,016
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2019-12-02	38		70,013	-67,867
Canadian National Railway Company	Common Shares	Klein, Dorothea Gisela	5	2019-12-01	00			
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	51	47.175	13,141	13,120
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	10	88.615	21	-13,120
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	51	52.93	13,081	13,060
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	10	88.616	21	-13,060
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	51	88.615		12,621
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	51	52.78	12,642	12,621
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	10	88.615	21	-12,621
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	51	67	12,615	12,594
Canadian National Railway Company	Common Shares	Madigan, Kimberley A.	5	2019-12-05	10	88.615	21	-12,594
Canadian National Railway Company	Options	Madigan, Kimberley A.	5	2019-12-05	51	47.175	82,701	-13,120
Canadian National Railway Company	Options	Madigan, Kimberley A.	5	2019-12-05	51	52.93	69,641	-13,060
Canadian National Railway Company	Options	Madigan, Kimberley A.	5	2019-12-05	51	88.615		-12,621
Canadian National Railway Company	Options	Madigan, Kimberley A.	5	2019-12-05	51	52.78	57,020	-12,621
Canadian National Railway Company	Options	Madigan, Kimberley A.	5	2019-12-05	51	67	44,426	-12,594
Canadian National Railway Company	Common Shares	Ryhorchuk, Doug	5	2019-12-01	00		20,521	
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	35.97		12,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	35.97		12,500
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	35.97	725,002	12,500
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	38.332		-12,500
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	38.332		-12,500
Canadian Natural Resources Limited	Common Shares	Cusson, Réal, Michel	5	2019-12-06	10	38.332	712,502	-12,500
Canadian Natural Resources Limited	Options	Cusson, Réal, Michel	5	2019-12-06	51			-12,500
Canadian Natural Resources Limited	Options	Cusson, Réal, Michel	5	2019-12-06	51		170,500	-12,500
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2019-12-06	51	28.85	24,267	2,500
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2019-12-06	10	38.35	21,767	-2,500
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2019-12-06	51	28.85	217,500	-2,500
Canadian Natural Resources Limited	Options	Kim, Ronald Dae Jung	5	2019-12-04	51	32.75	56,545	-1,500
Canadian Natural Resources Limited	Common Shares	Peterson, William Robert	5	2019-12-05	51	32.75	105,598	22,500
Canadian Natural Resources Limited	Common Shares	Peterson, William Robert	5	2019-12-05	10	37.095	83,098	-22,500
Canadian Natural Resources Limited	Options	Peterson, William Robert	5	2019-12-05	51	32.75	330,000	-22,500
Canadian Natural Resources Limited	Options	Yee, Betty	5	2019-12-04	10	37.55	76,980	-4,000
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-03	38	152.6	3,276	3,276
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-03	38		0	-3,276
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-05	38	145.88	6,855	6,855
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-05	38		0	-6,855
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-05	38	146.23	20,832	20,832
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Canadian Tire Corporation, Limited	1	2019-12-05	38		0	-20,832
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2019-12-02	10	0.03	5,384,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2019-12-04	10	0.03	5,434,000	50,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2019-12-05	10	0.03	5,483,000	49,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2019-12-06	10	0.03	5,528,000	45,000
Capstone Mining Corp.	Common Shares	Howe, Jason Paul	5	2019-12-05	10	0.54	819,390	11,000
Capstone Mining Corp.	Common Shares	Howe, Jason Paul	5	2019-12-06	10	0.54	829,890	10,500
Capstone Mining Corp.	Common Shares	Mercer, Bradley	5	2019-12-03	10	0.55	376,936	5,500
Captiva Verde Land Corp.	Common Shares	boyd, john michael	4	2019-12-04	10	0.26	890,000	-20,000
Captiva Verde Land Corp.	Common Shares	boyd, john michael	4	2019-12-04	10	0.3	870,000	-20,000
Cardinal Energy Ltd.	Common Shares	Cardinal Energy Ltd.	1	2019-11-30	38	1.99	100,000	100,000
Cardinal Energy Ltd.	Common Shares	Cardinal Energy Ltd.	1	2019-11-30	38		0	-100,000
Cardinal Resources Limited	Common Shares	Anthony, David Harold	5	2019-11-29	10	0.275	70,000	50,000
Cardinal Resources Limited	Common Shares	Grygorcewicz, Kazimierz Jon	5	2019-12-03	10	0.305	40,000	20,000
Cargojet Inc.	Options	Crane, James Robert Crane	4	2019-11-29	50	98.899	14,570	5,783
Cargojet Inc.	Rights Restricted Share Units	Crane, James Robert Crane	4	2019-11-29	56	98.899		5,783
Cargojet Inc.	Rights Restricted Share Units	Crane, James Robert Crane	4	2019-11-29	56	98.899	506	506

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cargojet Inc.	Rights Restricted Share Units	Crane, James Robert Crane	4	2019-11-29	57	98.899		-5,783
Cargojet Inc.	Rights Restricted Share Units	Crane, James Robert Crane	4	2019-11-29	57	98.899	0	-506
Cargojet Inc.	Options	Dhillon, Pauline	5	2019-11-29	50	98.899	16,690	1,690
Cargojet Inc.	Rights Performance Share Units	Dhillon, Pauline	5	2018-03-07	00			
Cargojet Inc.	Rights Performance Share Units	Dhillon, Pauline	5	2019-11-29	56		809	809
Cargojet Inc.	Rights Restricted Share Units	Dhillon, Pauline	5	2019-11-29	56	98.899	3,213	2,123
Cargojet Inc.	Rights Restricted Share Units	Dhillon, Pauline	5	2019-11-29	57	98.899	2,506	-707
Cargojet Inc.	Options	Dickinson, Arlene	4	2019-11-29	50	98.899	14,570	5,783
Cargojet Inc.	Rights Restricted Share Units	Dickinson, Arlene	4	2019-11-29	56	98.899	506	506
Cargojet Inc.	Rights Restricted Share Units	Dickinson, Arlene	4	2019-11-29	57	98.899	0	-506
Cargojet Inc.	Options	Godfrey, Paul Victor	4	2019-11-29	50	98.899	5,783	5,783
Cargojet Inc.	Rights Restricted Share Units	Godfrey, Paul Victor	4	2019-11-29	56	98.899	506	506
Cargojet Inc.	Rights Restricted Share Units	Godfrey, Paul Victor	4	2019-11-29	57	98.899	0	-506
Cargojet Inc.	Options	Kim, John	5	2019-11-29	50	98.899	11,550	1,550
Cargojet Inc.	Rights Performance Share Units	Kim, John	5	2011-01-01	00			
Cargojet Inc.	Rights Performance Share Units	Kim, John	5	2019-11-29	56		741	741
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2019-11-29	56	98.899	2,358	1,502
Cargojet Inc.	Rights Restricted Share Units	Kim, John	5	2019-11-29	57	98.899	1,858	-500
Cargojet Inc.	Common Voting Shares	Porteous, Jamie Bennett	4, 5	2019-11-27	10	100	10,107	-3,000
Cargojet Inc.	Options	Porteous, Jamie Bennett	4, 5	2019-11-29	50	98.899	13,487	3,487
Cargojet Inc.	Rights Performance Share Units	Porteous, Jamie Bennett	4, 5	2011-01-01	00			
Cargojet Inc.	Rights Performance Share Units	Porteous, Jamie Bennett	4, 5	2019-11-29	56		1,668	1,668
Cargojet Inc.	Rights Restricted Share Units	Porteous, Jamie Bennett	4, 5	2019-11-29	56	98.899	6,627	4,379
Cargojet Inc.	Rights Restricted Share Units	Porteous, Jamie Bennett	4, 5	2019-11-29	57	98.899	5,168	-1,459
Cargojet Inc.	Convertible Debentures	Rinaldo, Paul David	5	2019-12-06	10	170	$0	-$120,000
Cargojet Inc.	Options	Rinaldo, Paul David	5	2019-11-29	50	98.899	8,075	1,409
Cargojet Inc.	Rights Performance Share Units	Rinaldo, Paul David	5	2011-01-01	00			
Cargojet Inc.	Rights Performance Share Units	Rinaldo, Paul David	5	2019-11-29	56		674	674
Cargojet Inc.	Rights Restricted Share Units	Rinaldo, Paul David	5	2019-11-29	56	98.899	2,295	1,517
Cargojet Inc.	Rights Restricted Share Units	Rinaldo, Paul David	5	2019-11-29	57	98.899	1,790	-505
Cargojet Inc.	Options	Sugar, George Stephen	5	2019-11-29	50	98.899	8,075	1,409
Cargojet Inc.	Rights Performance Share Units	Sugar, George Stephen	5	2011-01-01	00			
Cargojet Inc.	Rights Performance Share Units	Sugar, George Stephen	5	2019-11-29	56		674	674
Cargojet Inc.	Rights Restricted Share Units	Sugar, George Stephen	5	2019-11-29	56	98.899	2,143	1,365
Cargojet Inc.	Rights Restricted Share Units	Sugar, George Stephen	5	2019-11-29	57	98.899	1,688	-455
Cargojet Inc.	Options	Virmani, Ajay Kumar	5	2019-11-29	50	98.899	55,301	10,301
Cargojet Inc.	Rights Performance Share Units	Virmani, Ajay Kumar	5	2011-01-01	00			
Cargojet Inc.	Rights Performance Share Units	Virmani, Ajay Kumar	5	2019-11-29	56		4,929	4,929

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2019-11-29	56	98.899	58,870	29,576
Cargojet Inc.	Rights Restricted Share Units	Virmani, Ajay Kumar	5	2019-11-29	57	98.899	49,012	-9,858
Cargojet Inc.	Options	Webster, John Philip	4	2019-11-29	50	98.899	14,570	5,783
Cargojet Inc.	Rights Restricted Share Units	Webster, John Philip	4	2019-11-29	56	98.899	506	506
Cargojet Inc.	Rights Restricted Share Units	Webster, John Philip	4	2019-11-29	57	98.899	0	-506
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Harris, Sophia Ann Carlyn	4	2019-12-02	11	16.93	7,961	1,461
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Lawrence, Letitia	5	2019-12-05	11	17	0	-500
Caribbean Utilities Company, Ltd.	Common Shares Class A Ordinary Shares	Ritch, David E.	4	2019-12-04	11	17	36,304	1,000
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	51	27.478	9,700	9,700
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.35	9,300	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.3	9,200	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.265	9,100	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.25	8,100	-1,000
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.22	7,800	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.215	7,700	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.21	7,600	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.2	6,400	-1,200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.18	6,000	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.175	5,800	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.17	5,500	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.16	4,000	-1,500
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.15	2,700	-1,300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.11	2,600	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.105	1,900	-700
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.1	1,000	-900
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.05	600	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57.005	200	-400
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-11-29	10	57	0	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	51	27.478	41,500	41,500
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.265	41,300	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.25	40,700	-600
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.24	40,600	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.235	40,500	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.23	40,300	-200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.21	40,200	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.2	39,500	-700
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.19	39,400	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.18	39,300	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.17	39,000	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.165	38,900	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.16	38,800	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.155	38,700	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.15	37,900	-800
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.13	37,800	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.12	37,700	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.11	37,500	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.09	37,400	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.08	37,300	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.06	37,100	-200
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.04	36,100	-1,000
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.03	36,000	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.02	35,300	-700
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57.01	34,600	-700
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-02	10	57	0	-34,600
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-03	51	27.478	4,100	4,100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-03	10	57	0	-4,100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-04	51	27.478	2,100	2,100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-04	10	57.02	2,000	-100
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-04	10	57.01	1,700	-300
CCL Industries Inc.	Non-Voting Shares Class B	Lang, Donald G.	4, 5	2019-12-04	10	57	0	-1,700
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2019-11-29	51	27.478	336,500	-9,700
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2019-12-02	51	27.478	295,000	-41,500
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2019-12-03	51	27.478	290,900	-4,100
CCL Industries Inc.	Options	Lang, Donald G.	4, 5	2019-12-04	51	27.478	288,800	-2,100
CCL Industries Inc.	Non-Voting Shares Class B	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		-25,000
CCL Industries Inc.	Non-Voting Shares Class B	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		25,000
CCL Industries Inc.	Non-Voting Shares Class B	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		-25,000
CCL Industries Inc.	Non-Voting Shares Class B	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478	132,426	25,000
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		25,000
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		-25,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		2,500
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		25,000
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478		-2,500
CCL Industries Inc.	Options	Vaidyanathan, Lalitha	5	2019-11-18	51	27.478	273,000	-25,000
Celestica Inc.	Restricted Share Units	Chawla, Mandeep	5	2019-12-02	57	10.09		3,008
Celestica Inc.	Restricted Share Units	Chawla, Mandeep	5	2019-12-02	57	10.09	136,721	-3,008
Celestica Inc.	Restricted Share Units	Chawla, Mandeep	5	2019-12-02	57	10.09	132,451	-4,270
Celestica Inc.	Restricted Share Units	Chawla, Mandeep	5	2019-12-02	57	10.09	116,391	-16,060
Celestica Inc.	Subordinate Voting Shares	Chawla, Mandeep	5	2019-12-02	57	10.09	40,383	1,397
Celestica Inc.	Subordinate Voting Shares	Chawla, Mandeep	5	2019-12-02	57	10.09	42,367	1,984
Celestica Inc.	Subordinate Voting Shares	Chawla, Mandeep	5	2019-12-02	57	10.09	49,830	7,463
Celestica Inc.	Restricted Share Units	DelBianco, Elizabeth	7, 5	2019-12-02	57	10.09	114,563	-17,386
Celestica Inc.	Subordinate Voting Shares	DelBianco, Elizabeth	7, 5	2019-12-02	57	10.09	123,143	8,079
Celestica Inc.	Restricted Share Units	Lawless, John Joseph	5	2019-12-02	57	7.57	128,929	-18,301
Celestica Inc.	Subordinate Voting Shares	Lawless, John Joseph	5	2019-12-02	57	7.57	101,648	9,543
Celestica Inc.	Restricted Share Units	McCaughey, Michael	7, 5	2019-12-02	59	10.09	127,710	-18,911
Celestica Inc.	Restricted Share Units	Mionis, Robert Andrew	4, 7, 5	2019-12-02	57	7.57	540,891	-67,106
Celestica Inc.	Subordinate Voting Shares	Mionis, Robert Andrew	4, 7, 5	2019-12-02	57	7.57	410,389	40,699
Celestica Inc.	Restricted Share Units	Phillips, Jason	5	2019-08-06	56	6.78	164,211	22,124
Celestica Inc.	Restricted Share Units	Phillips, Jason	5	2019-12-02	57	7.57	161,396	-2,815
Celestica Inc.	Restricted Share Units	Phillips, Jason	5	2019-12-02	57	7.57	154,076	-7,320
Celestica Inc.	Subordinate Voting Shares	Phillips, Jason	5	2019-12-02	57	7.57	29,636	1,556
Celestica Inc.	Subordinate Voting Shares	Phillips, Jason	5	2019-12-02	57	7.57	33,683	4,047
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Goulet, Guy	4, 5	2019-12-06	10	0.386	3,120,044	4,500
Certive Solutions Inc.	Common Shares	Thomas, Scott	4	2019-12-04	10	0.04	695,000	1,086
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-01	38	1.7929	20,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-04	38	1.8389	40,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-05	38	1.8517	60,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-06	38	1.8607	80,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-07	38	1.907	100,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-08	38	1.8528	120,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-11	38	1.8007	140,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-12	38	1.8136	160,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-13	38	1.7817	180,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-14	38	1.8404	200,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-15	38	1.8912	220,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-18	38	1.9447	240,000	20,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-19	38	1.8489	270,000	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-20	38	1.88	300,000	30,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-21	38	1.9253	330,000	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-22	38	1.9279	360,000	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-25	38	1.8786	390,000	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-26	38	1.8188	420,000	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-27	38	1.7702	470,800	50,800
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-28	38	1.8911	500,800	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-29	38	1.8873	530,800	30,000
CES Energy Solutions Corp.	Common Shares	CES Energy Solutions Corp.	1	2019-11-29	38	1.865	0	-530,800
CGI Inc.	Rights Performance Share Units	Boyajian, Mark	5	2019-12-03	56	110.73	19,463	7,225
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2019-11-01	38		0	-29,900
CGI Inc.	Options	Imbeau, André	3, 4, 5	2019-12-03	50	110.73	83,159	14,110
CGI Inc.	Rights Performance Share Units	Linder, Kevin Morris	5	2019-12-03	56	110.73	4,014	1,725
CGI Inc.	Rights Performance Share Units	Perron, Steve	5	2019-12-03	56	110.73	3,472	1,513
CGX Energy Inc.	Options	Maraj, Tralisa	5	2019-12-02	50	0.46	2,085,000	2,000,000
CGX Energy Inc.	Options	Mills, Dennis Joseph	4, 6	2019-12-02	50		1,500,000	1,500,000
CGX Energy Inc.	Options	Narine, Suresh	4, 5	2019-12-02	50	0.46	4,090,000	3,000,000
CGX Energy Inc.	Options	Nightingale, Duncan James	4	2019-08-16	00			
CGX Energy Inc.	Options	Nightingale, Duncan James	4	2019-12-02	50	0.46	1,000,000	1,000,000
CGX Energy Inc.	Options	Tribukait, Hermann	4	2019-11-07	00			
CGX Energy Inc.	Options	Tribukait, Hermann	4	2019-12-02	50	0.46	1,000,000	1,000,000
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2019-12-02	10	0.15	53,813	-32,698
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2019-12-02	10	0.15	0	-224,406
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2019-12-02	10	0.15	92,088	-242,896
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2019-12-04	51	0.06	262,088	170,000
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2019-12-04	51	0.1	395,786	133,698
Champion Bear Resources Ltd.	Options	Kantor, Richard Derrick	3, 4, 5	2019-12-04	51		2,969,333	-170,000
Champion Bear Resources Ltd.	Options	Kantor, Richard Derrick	3, 4, 5	2019-12-04	51		2,835,635	-133,698
Choice Properties Real Estate Investment Trust	Trust Units	Wasti, Rashid	7	2019-12-03	10	13.62	31,000	3,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-01	38	19.221	80,000	80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-01	38		0	-80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-04	38	19.727	80,000	80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-04	38		0	-80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-05	38	19.963	80,000	80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-05	38		0	-80,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-06	38	19.892	9,000	9,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-06	38		0	-9,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-08	38	20.844	87,600	87,600
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-08	38		0	-87,600
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-11	38	20.718	100,500	100,500
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-11	38		0	-100,500
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-12	38	20.97	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-12	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-13	38	20.922	51,400	51,400

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	2019-11-13	38		0	-51,400
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-14	38	21.009	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-14	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-15	38	20.988	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-15	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-18	38	20.963	13,000	13,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-18	38		0	-13,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-19	38	20.992	150,000	150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-19	38		0	-150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-20	38	20.914	150,000	150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-20	38		0	-150,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-21	38	20.81	120,000	120,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-21	38		0	-120,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-22	38	20.787	133,200	133,200
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-22	38		0	-133,200
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-25	38	20.847	120,000	120,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-25	38		0	-120,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-26	38	20.89	250,000	250,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-26	38		0	-250,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-27	38	20.877	126,800	126,800
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-27	38		0	-126,800
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-28	38	20.821	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-28	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-29	38	20.9	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2019-11-29	38		0	-100,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2019-11-25	10	0.62	6,856,247	5,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2019-12-06	10	0.68	6,861,247	5,000
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2019-12-05	10	0.68	1,151,000	-500
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-11-28	10	0.315	16,492,819	-1,000
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-11-29	10	0.29	16,491,319	-1,500
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-11-29	10	0.295	16,488,819	-2,500
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-11-29	10	0.277	16,445,319	-43,500
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-12-02	10	0.261	16,315,319	-130,000
Citation Growth Corp.	Common Shares	Huhn, Richard Dieter	4	2019-12-03	10	0.25	16,311,319	-4,000
Citation Growth Corp.	Common Shares	Nathoo, Alnoor	4	2019-12-04	10	0.205	387,833	4,500
Citation Growth Corp.	Common Shares	Nathoo, Alnoor	4	2019-12-04	10	0.205	393,333	5,500
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-04	38	12.75	1,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-05	38	12.75	2,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-06	38	12.7	3,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-07	38	12.6	4,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-13	38	12.54	5,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-14	38	12.5	6,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-15	38	12.58	7,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-18	38	12.6	8,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-20	38	12.45	9,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-21	38	12.44	10,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-25	38	12.45	10,100	100
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-26	38	12.45	11,100	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-27	38	12.28	12,100	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-28	38	12.195	13,100	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2019-11-30	38		0	-13,100
Clarke Inc.	Common Shares	Staniloff, Marc Leslie	4	2019-10-01	00			
Clarke Inc.	Common Shares	Staniloff, Marc Leslie	4	2019-10-01	00		5,760	
Clarke Inc.	Common Shares	Staniloff, Marc Leslie	4	2019-10-01	00			
Clarke Inc.	Common Shares	Staniloff, Marc Leslie	4	2019-10-01	00		48	
Co-operators General Insurance Company	Preferred Shares Class A Series B	Daniel, Kevin	7	2019-11-30	30	100	1,810	1
Co-operators General Insurance Company	Preferred Shares Class A Series B	Hanna, Paul	7	2019-11-30	30	100	1,007	1

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CO2 Solutions Inc.	Options	FRADETTE, SYLVIE	5	2019-11-26	52		492,750	-85,000
CO2 Solutions Inc.	Options	Kelly, Glenn Robert	4, 5	2019-11-26	52		407,500	-30,000
CO2 Solutions Inc.	Options	Okell, Kimberley	4	2019-11-26	52		178,500	-20,000
CO2 Solutions Inc.	Options	Price, Evan	4, 5	2019-11-26	52		2,040,250	-265,000
CO2 Solutions Inc.	Options	Proteau, Jocelyn	4	2019-11-26	52		178,500	-20,000
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-06	38	109.15	2,300	2,300
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-07	38	109.55	4,600	2,300
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-08	38	109.69	4,700	100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-08	38	109.73	4,800	100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-08	38	109.89	4,900	100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-08	38	109.99	5,000	100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-08	38	110	6,200	1,200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-19	38	118.45		4,900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-19	38	118.45		4,900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-19	38	118.45	11,100	4,900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-20	38	118.29		4,500
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-20	38	118.29		4,500
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-20	38	118.29	15,600	4,500
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-21	38	118.61	22,000	6,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-22	38	118.95	24,900	2,900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-25	38	119.82	29,100	4,200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-26	38	118.16	34,200	5,100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-27	38	115.34	41,600	7,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2019-11-29	38		0	-41,600
Cogeco Communications Inc.	Options	Jetté, Philippe	5	2019-11-29	51		100,060	-940
Cogeco Communications Inc.	Options	Jetté, Philippe	5	2019-11-29	51		97,500	-2,560
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	51	38.16	7,471	940
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	114.68	7,271	-200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	114.5	6,531	-740
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	51	50.1	9,091	2,560
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	114.5	8,531	-560
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	114.66	8,331	-200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	114.6	7,531	-800
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	115.1	7,131	-400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	115.09	7,031	-100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	115.08	6,831	-200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	115.07	6,731	-100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Jetté, Philippe	5	2019-11-29	10	115	6,531	-200
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	97.91	100	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	97.98		200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	97.98	200	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	97.99	300	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98	400	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.1	500	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.43	600	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.575	700	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.63	711	11
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.69	811	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-06	38	98.81	911	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	99.25	1,011	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	99.47	1,111	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	99.76	1,211	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	99.8	1,322	111
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	99.97	1,422	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-07	38	100	1,722	300
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-08	38	99.57	1,822	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-08	38	99.92	2,033	211
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-08	38	99.98	2,133	100

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-08	38	99.99	2,233	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-08	38	100	2,333	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	106.65	2,533	200
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	106.7	2,833	300
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	106.71	2,933	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	107.1	3,033	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	107.15	3,133	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	107.23	3,233	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-19	38	107.31	3,444	211
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-20	38	105.89	3,644	200
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-20	38	105.98	3,855	211
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	105.78	3,955	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	105.9	4,055	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	106.03	4,266	211
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	106.2	4,366	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	106.44	4,466	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	106.64	4,566	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-21	38	106.96	4,766	200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-22	38	106.5	4,866	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-22	38	106.93	4,966	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-25	38	106.22	5,066	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-25	38	107.8	5,077	11
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-25	38	107.87	5,177	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-25	38	107.88	5,277	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-26	38	104.38	5,377	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-26	38	104.66	5,477	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-26	38	104.67	5,577	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-26	38	104.78	5,677	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-26	38	105.81	5,888	211
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	102.13	5,988	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	102.14	6,088	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	102.24	6,288	200
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	102.85	6,388	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	103.37	6,488	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	103.56	6,688	200
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	103.72	6,699	11

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-27	38	103.82	6,799	100
Cogeco Inc	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Inc.	1	2019-11-29	38		0	-6,799
COLLIERS INTERNATIONAL GROUP INC.	Options	Borok, Gil	5	2019-12-03	00		20,000	
Cominar Real Estate Investment Trust	Parts différées	Dufour, Brigitte	5	2019-11-07	56	13.39		268
Cominar Real Estate Investment Trust	Parts différées	Dufour, Brigitte	5	2019-11-07	56	13.39	383	383
Cominar Real Estate Investment Trust	Parts différées	Poliquin, Bernard	5	2019-11-08	00			
Cominar Real Estate Investment Trust	Parts différées	Poliquin, Bernard	5	2019-11-08	00		676	
Computer Modelling Group Ltd.	Common Shares	Nghiem, Long X	5	2019-11-28	10	8.35	770,302	-6,300
Computer Modelling Group Ltd.	Common Shares	Nghiem, Long X	5	2019-12-02	10	8.44	760,302	-10,000
Computer Modelling Group Ltd.	Common Shares	Nghiem, Long X	5	2019-12-05	10	8.4389	750,302	-10,000
Conic Metals Corp.	Common Shares	Cochrane, Justin	5	2019-11-28	10	0.44	2,740,808	25,000
Conic Metals Corp.	Common Shares	Cochrane, Justin	5	2019-12-02	10	0.42	2,765,808	25,000
Conic Metals Corp.	Common Shares	Vydra, Martin	5	2019-12-06	10	0.42	1,261,192	78,500
Constellation Software Inc.	Common Shares	Leonard, Mark Henri	4, 5	2019-12-02	30	1420	2,100	-100
Constellation Software Inc.	Common Shares	Symons, Barry Alan	5	2019-12-02	30	1403.5	75,000	-1,000
Converge Technology Solutions Corp.	Common Shares	Reid, Cory	5	2019-11-28	10	1.12	103,250	7,900
Copperbank Resources Corp.	Common Shares	Kovacevic, John Gianni	4, 5	2019-12-05	10	0.045	18,516,815	100,000
Core One Labs Inc.	Common Shares	Eckenweiler, Brad	3, 4, 5	2019-05-08	11		8,670,000	-100,000
Core One Labs Inc.	Common Shares	Eckenweiler, Brad	3, 4, 5	2019-09-06	37		1,445,000	-7,225,000
Core One Labs Inc.	Options	Eckenweiler, Brad	3, 4, 5	2019-07-27	52	0.5	2,825,820	-4,211,000
Core One Labs Inc.	Options	Eckenweiler, Brad	3, 4, 5	2019-09-06	37		470,970	-2,354,850
Core One Labs Inc.	Options	Eckenweiler, Brad	3, 4, 5	2019-09-13	50	1.25	873,970	403,000
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Boychuk, Michael T.	4	2019-11-30	56	5.75	16,268	4,239
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-15	38		100,000	-50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-18	38	5.6782	150,000	50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-19	38	5.7013	200,000	50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-20	38	5.7389	212,200	12,200
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-21	38	5.7814	262,200	50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-22	38	5.8193	454,700	192,500
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-22	38		242,500	-212,200
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-25	38	5.7448	247,500	5,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-26	38	5.709	297,500	50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-27	38	5.75	312,400	14,900
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-28	38	5.7318	362,400	50,000
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-29	38	5.7377	412,400	50,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Corus Entertainment Inc.	Non-Voting Shares Class B	Corus Entertainment Inc.	1	2019-11-29	38		100,000	-312,400
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Frascotti, John Anthony	4	2019-11-30	56	5.75	66,790	5,342
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Roozen, Catherine M.	4	2019-11-30	56	5.75	88,034	4,456
Corus Entertainment Inc.	Deferred Share Units (DSUs) - Director Plan	Shaw, Julie Marie	4	2019-11-30	56	5.75	29,093	1,223
CounterPath Corporation	Common Shares	Carothers, Todd	5	2019-12-04	30	1.0505	14,239	178
CounterPath Corporation	Common Shares	Carothers, Todd	5	2019-12-04	30	1.0723	14,327	88
CounterPath Corporation	Common Shares	Karp, David Lawrence	5	2019-12-04	30	1.4168	31,694	141
CounterPath Corporation	Common Shares	Karp, David Lawrence	5	2019-12-04	30	1.4256	31,764	70
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-01	38	3.93	4,138,079	9,500
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-04	38	3.94	4,138,379	300
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-05	38	3.94	4,147,579	9,200
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-06	38	3.93	4,148,979	1,400
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-08	38	4.07	4,156,679	7,700
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-21	38	3.93	4,164,179	7,500
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-22	38	3.92	4,176,479	12,300
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-26	38	4.04	4,187,879	11,400
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-27	38	4.05	4,189,479	1,600
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-28	38	4.12	4,190,579	1,100
CRH Medical Corporation	Common Shares	CRH Medical Corporation	1	2019-11-29	38	4.13	4,200,579	10,000
Crown Capital Partners Inc.	Common Shares	Roane, Glen Dawson	4	2019-11-29	10	7.5	61,067	1,300
CT Real Estate Investment Trust	Class B Limited Partnership Units/Special Voting Trust Units	Canadian Tire Corporation, Limited	3	2019-11-28	90		28,301,252	698,515
CT Real Estate Investment Trust	Class B Limited Partnership Units/Special Voting Trust Units	Canadian Tire Corporation, Limited	3	2019-11-28	11	15.096	698,515	698,515
CT Real Estate Investment Trust	Class B Limited Partnership Units/Special Voting Trust Units	Canadian Tire Corporation, Limited	3	2019-11-28	90		0	-698,515
CT Real Estate Investment Trust	Restricted Units	Salsberg, Kevin Mark	5	2019-11-15	35	14.102	7,775	373
CT Real Estate Investment Trust	Restricted Units	Salsberg, Kevin Mark	5	2019-11-26	57	15.126	0	-7,775
CT Real Estate Investment Trust	Units	Salsberg, Kevin Mark	5	2019-11-26	57	15.126	19,337	4,337
CWC Energy Services Corp.	Common Shares	Apps, Robert Charles Nelson	5	2019-12-05	57		528,167	123,999
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2019-12-04	56		697,665	222,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2019-12-05	57		623,665	-74,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2019-12-05	57		573,666	-49,999
CWC Energy Services Corp.	Common Shares	Au, Duncan Tak-Yan	4, 5	2019-12-05	57	0.075	5,218,000	148,000
CWC Energy Services Corp.	Restricted Share Units	Au, Duncan Tak-Yan	4, 5	2019-12-04	56		1,724,000	873,000
CWC Energy Services Corp.	Restricted Share Units	Au, Duncan Tak-Yan	4, 5	2019-12-05	57	0.075	1,576,000	-148,000
CWC Energy Services Corp.	Restricted Share Units	Austin, Daryl George	4	2019-12-04	56		505,000	135,000
CWC Energy Services Corp.	Common Shares	Bentham, Gary Lambert	4	2019-12-05	30	0.09		45,000
CWC Energy Services Corp.	Common Shares	Bentham, Gary Lambert	4	2019-12-05	30	0.075	1,410,044	45,000
CWC Energy Services Corp.	Restricted Share Units	Bentham, Gary Lambert	4	2019-12-04	56		393,334	135,000
CWC Energy Services Corp.	Restricted Share Units	Bentham, Gary Lambert	4	2019-12-05	57		348,334	-45,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2019-12-02	10	0.08	366,000	20,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2019-12-03	10	0.085	386,000	20,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2019-12-03	10	0.085	406,000	20,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2019-12-04	10	0.09	414,000	8,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2019-12-05	10	0.085	426,000	12,000
CWC Energy Services Corp.	Common Shares	Donohue, Paul Francis	5	2019-12-05	57	74000		74,000
CWC Energy Services Corp.	Common Shares	Donohue, Paul Francis	5	2019-12-05	57	74000	74,000	74,000
CWC Energy Services Corp.	Common Shares	Donohue, Paul Francis	5	2019-12-05	57	49999	123,999	49,999
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2019-12-04	56		697,665	222,000
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2019-12-05	57			-74,000
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2019-12-05	57		623,665	-74,000
CWC Energy Services Corp.	Restricted Share Units	Donohue, Paul Francis	5	2019-12-05	57		573,666	-49,999
CWC Energy Services Corp.	Common Shares	Dubois, Michael	5	2019-12-05	57	148000	228,667	148,000
CWC Energy Services Corp.	Restricted Share Units	Dubois, Michael	5	2019-12-04	56		1,051,666	552,000
CWC Energy Services Corp.	Restricted Share Units	Dubois, Michael	5	2019-12-05	57		977,666	-74,000
CWC Energy Services Corp.	Restricted Share Units	Dubois, Michael	5	2019-12-05	57		903,666	-74,000
CWC Energy Services Corp.	Common Shares	King, Stuart James	5	2019-12-05	57		131,000	74,000
CWC Energy Services Corp.	Restricted Share Units	King, Stuart James	5	2019-12-04	56		592,000	222,000
CWC Energy Services Corp.	Restricted Share Units	King, Stuart James	5	2019-12-05	57		518,000	-74,000
CWC Energy Services Corp.	Common Shares	McGowan, Wade John	4	2019-12-05	57	0.075	2,011,624	45,000
CWC Energy Services Corp.	Rights	McGowan, Wade John	4	2019-12-04	56		135,000	135,000
CWC Energy Services Corp.	Rights	McGowan, Wade John	4	2019-12-05	57	0.075	90,000	-45,000
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2019-12-05	57		900,000	50,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2019-12-04	56		870,500	409,500
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2019-12-05	57		835,166	-35,334
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2019-12-05	57		820,500	-14,666
D-Box Technologies Inc.	Common Shares Class A	LI, STEVE	5	2019-05-21	00			
D-Box Technologies Inc.	Common Shares Class A	LI, STEVE	5	2019-12-02	10	0.105	100,000	100,000
DealNet Capital Corp.	Options	Houlden, Brent	4	2019-12-06	50	0.07	4,525,000	1,500,000
DECISIVE DIVIDEND CORPORATION	Options	Healey, Daniel	5	2019-12-02	52		0	-20,000
Delphi Energy Corp.	Common Shares	Luminus Delphi Holdings II Ltd.	3	2019-11-26	11		8,472,370	5,592,768
Delphi Energy Corp.	Notes 10% Senior Secured Notes	Luminus Energy IE Designated Activity Company	3	2019-11-26	00		$47,435,000	
Delphi Energy Corp.	Notes 10% Senior Secured Notes	Luminus Energy IE Designated Activity Company	3	2019-11-26	11		$53,079,333	$5,644,333
Delphi Energy Corp.	Warrants 4/15/23	Luminus Energy IE Designated Activity Company	3	2019-11-26	00		33,204,500	
Delphi Energy Corp.	Common Shares	Quansah, Karyssa B.	5	2019-11-26	37		3,230	-45,233
Delphi Energy Corp.	Common Shares RRSP	Quansah, Karyssa B.	5	2019-11-26	37			133,213
Delphi Energy Corp.	Common Shares RRSP	Quansah, Karyssa B.	5	2019-11-26	37		9,515	-133,213
Delphi Energy Corp.	Options	Quansah, Karyssa B.	5	2019-11-26	37		5,333	-74,667
DelphX Capital Markets Inc.	Options	Ziegler, Patricia	4, 5	2019-11-27	50	0.1	1,350,000	450,000
Denison Mines Corp.	Common Shares	Dengler, W. Robert	4	2019-11-25	47		155,520	-1,000
Denison Mines Corp.	Common Shares	Stefan, Catherine Jean Garrett	4	2019-12-06	16	0.68	156,000	20,000
Devonian Health Group Inc.	Options	Bernier, Jacques	4	2019-12-03	50	0.15	150,000	50,000
DHX Media Ltd.	Preferred Shares Preferred Variable Voting Shares	Ames, Aaron	5	2019-12-04	11		500,000,000	400,000,000
DHX Media Ltd.	Common Voting Shares	Colville, David Cameron	4	2019-11-15	57	1.67	25,826	3,326
DHX Media Ltd.	Rights (Common Voting)	Colville, David Cameron	4	2019-11-15	57	1.67	0	-12,500
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2018-12-18	00			
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-10-17	56		21,229,817	21,229,817
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-11-11	97	0.0617	20,753,817	-476,000
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-11-12	97	0.01	20,720,817	-33,000
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-11-13	97	0.02	19,654,817	-1,066,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-11-15	97	0.005	17,654,817	-2,000,000
DHX Media Ltd.	Rights (Variable Voting)	EastBay Asset Management, LLC	3	2019-11-15	58 - Expiration of rights		0	-17,654,817
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-26	10	2.2638	3,729,906	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-26	10	2.2623	3,779,906	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-27	10	2.2551	3,829,906	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-27	10	2.316	3,879,906	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-27	10	2.2861	3,929,906	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-28	10	2.518	4,029,906	100,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-13	10	2.43	3,529,906	-500,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	2.16	3,326,906	-203,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-07-30	10	1.91	4,526,906	1,200,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-07-31	10	1.88	4,926,906	400,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-20	10	1.25	4,934,006	7,100
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-21	10	1.255	4,944,006	10,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-22	10	1.25	4,949,701	5,695
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-29	10	1.2602	4,959,701	10,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-29	10	1.26	4,964,701	5,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-19	10	2.2385	18,192,321	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-20	10	2.1858	18,242,321	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-22	10	2.1554	18,292,321	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-25	10	2.1859	18,342,321	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-27	10	2.25	18,466,767	124,446
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-28	10	2.5561	18,516,767	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-28	10	2.5054	18,566,767	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-06	10	2.4034	18,605,767	39,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-08	10	2.4039	18,655,767	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-11	10	2.4154	18,705,767	50,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-11	10	1.765	18,725,767	20,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-11	10	1.76	18,739,667	13,900
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-13	10	2.43	19,239,667	500,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-15	10	2.3559	19,279,667	40,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-15	10	1.7773	19,322,568	42,901
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-15	10	1.7779	19,333,565	10,997

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-20	10	2.3621	19,353,565	20,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-20	10	1.7598	19,362,796	9,231
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-22	10	1.6169	19,366,296	3,500
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-22	10	1.7095	19,381,296	15,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-29	10	1.5733	19,406,296	25,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	2.16	19,609,296	203,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	2.08	22,825,450	3,216,154
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	1.53	22,829,817	4,367
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-06-28	10	1.86	22,929,817	100,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-06-28	10	1.9	22,829,817	-100,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-07-30	10	1.91	21,629,817	-1,200,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-07-31	10	1.88	21,229,817	-400,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-29	10	1.26	21,249,317	19,500
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-11-29	10	1.6827	21,324,317	75,000
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-02-27	10	2.25	3,216,154	25,554
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-15	10	1.7779	3,218,524	2,370
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-03-20	10	1.7598	3,220,521	1,997
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	2.08	4,367	-3,216,154
DHX Media Ltd.	Variable Voting Shares	EastBay Asset Management, LLC	3	2019-04-01	10	1.53	0	-4,367
DHX Media Ltd.	Rights (Variable Voting)	Ellenbogen, Eric	4	2019-11-15	57			-50,000
DHX Media Ltd.	Rights (Variable Voting)	Ellenbogen, Eric	4	2019-11-15	57			-50,000
DHX Media Ltd.	Rights (Variable Voting)	Ellenbogen, Eric	4	2019-12-02	57		0	-50,000
DHX Media Ltd.	Variable Voting Shares	Ellenbogen, Eric	4	2019-11-15	57	1.67		50,915
DHX Media Ltd.	Variable Voting Shares	Ellenbogen, Eric	4	2019-11-15	57	1.67		50,915
DHX Media Ltd.	Variable Voting Shares	Ellenbogen, Eric	4	2019-12-02	57		100,915	50,915
DHX Media Ltd.	Rights (Variable Voting)	Fine Capital Partners, L.P.	3	2019-11-29	57	1.67	0	-21,296,417
DHX Media Ltd.	Rights (Variable Voting)	Fine Capital Partners, L.P.	3	2019-11-29	57	1.67	0	-17,051,533
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	2019-11-29	57	1.67	26,963,921	5,667,504
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	2019-11-29	16	1.67	31,547,388	4,583,467
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	2019-11-29	57	1.67	21,589,368	4,537,835
DHX Media Ltd.	Variable Voting Shares	Fine Capital Partners, L.P.	3	2019-11-29	16	1.67	25,258,891	3,669,523
DHX Media Ltd.	Rights (Variable Voting)	Fine, Debra	3, 6	2019-11-29	57	1.67	0	-450,000
DHX Media Ltd.	Variable Voting Shares	Fine, Debra	3, 6	2019-11-29	57	1.67	569,756	119,756
DHX Media Ltd.	Variable Voting Shares	Fine, Debra	3, 6	2019-11-29	16	1.67	666,609	96,853
DHX Media Ltd.	Common Voting Shares	Machum, Donald Geoffrey	4	2019-11-26	57	1.67	146,868	11,803
DHX Media Ltd.	Rights (Common Voting)	Machum, Donald Geoffrey	4	2019-11-15	57	1.67	90,714	-44,351
DHX Media Ltd.	Rights (Common Voting)	Machum, Donald Geoffrey	4	2019-11-15	58 - Expiration of rights	1.67	0	-90,714
Diagnos Inc.	Common Shares	Larente, André	4, 5	2019-12-04	10	0.16		150,000
Diagnos Inc.	Common Shares	Larente, André	4, 5	2019-12-04	10	0.16	185,984	75,351
Diagnos Inc.	Common Shares	Larente, André	4, 5	2019-12-04	10	0.145	201,984	16,000
Diagnos Inc.	Common Shares	Larente, André	4, 5	2019-12-04	10	0.15	216,984	15,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Diagnos Inc.	Common Shares	Larente, André	4, 5	2019-12-04	10	0.155	235,484	18,500
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2019-11-29	38	9.5069	319,100	9,600
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2019-12-02	38	9.472	320,100	1,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2019-12-03	38	9.4372	326,500	6,400
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2019-12-04	38	9.5067	329,200	2,700
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2019-12-05	38	9.573	332,200	3,000
Discovery Metals Corp.	Options	Solis Maytorena, Roman Gerardo	7	2019-08-15	50	0.48	600,000	300,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-11-25	10	29.9	10,060,138	70,900
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-11-26	10	29.97	10,066,238	6,100
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-11-27	10	30.08	10,080,838	14,600
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-02	10	30.467	10,280,038	199,200
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-03	10	30.469	10,288,138	8,100
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-03	10	30.5	10,363,138	75,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-05	10	30.725	10,372,438	9,300
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-05	10	30.9	10,516,038	143,600
Dream Office Real Estate Investment Trust	Trust Units Series A	Cooper, Michael	4, 7, 5	2019-12-06	10	30.9	10,753,338	237,300
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-03	10	30.5	6,658,415	75,000
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-05	10	30.9	6,802,015	143,600
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-11-25	10	29.9	3,476,723	70,900
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-11-26	10	29.97	3,482,823	6,100
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-11-27	10	30.08	3,497,423	14,600
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-02	10	30.467	3,696,623	199,200
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-03	10	30.469	3,704,723	8,100
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-05	10	30.725	3,714,023	9,300
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Asset Management Corporation	5	2019-12-06	10	30.9	3,951,323	237,300
DREAM Unlimited Corp.	Performance Share Units	Alimchandani, Pauline	5	2018-02-27	56	7.44	51,138	28,410
DREAM Unlimited Corp.	Performance Share Units	Cooper, Michael	4, 7, 5	2018-02-27	56	7.44	420,428	210,200
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2019-11-01	38	10.213	4,058	1,529
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2019-11-05	38		0	-1,529
DREAM Unlimited Corp.	Performance Share Units	GAVAN, JANE	4, 5	2018-02-27	56	7.44	56,820	28,410
DREAM Unlimited Corp.	Performance Share Units	LESTER, JASON	5	2018-02-27	56	7.44	49,046	24,500
DREAM Unlimited Corp.	Performance Share Units	Marinovic, Daniel Izidor	5	2018-02-27	56	7.44	56,820	28,410
Dundee Corporation	Retained Bonus Plan	McIntyre, Richard	5	2019-12-01	57		0	-23,665
Dundee Corporation	Retained Bonus Plan	Sellars, Robert	7, 5	2019-12-01	57		148,466	-39,483
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	2176423 Ontario Ltd.	3	2019-11-29	00			
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	2176423 Ontario Ltd.	3	2019-11-29	00		1,893,500	
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	2176423 Ontario Ltd.	3	2019-11-29	16	0.5		28,000,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	2176423 Ontario Ltd.	3	2019-11-29	16	0.5		28,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	2176423 Ontario Ltd.	3	2019-11-29	16	0.5	29,893,500	28,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	00			
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16	0.5		14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16	0.5		14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	2176423 Ontario Ltd.	3	2019-11-29	16		14,000,000	14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Sprott, Eric S.	3	2019-11-29	00			
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Sprott, Eric S.	3	2019-11-29	00		1,893,500	
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Sprott, Eric S.	3	2019-11-29	16	0.5		28,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Sprott, Eric S.	3	2019-11-29	16	0.5		28,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Sprott, Eric S.	3	2019-11-29	16	0.5	29,893,500	28,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	00			
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	16			14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	16	0.5		14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	16	0.5		14,000,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Warrants	Sprott, Eric S.	3	2019-11-29	16		14,000,000	14,000,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2019-11-01	38	1.64	5,000	5,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2019-11-01	38		0	-5,000
E-L Financial Corporation Limited	Common Shares	Dominion and Anglo Investment Corporation Limited	3	2019-12-04	11	785.2	100,400	17,000
E-L Financial Corporation Limited	Common Shares	Jackman, Henry Newton Rowell	4, 6	1968-11-13	00			
E-L Financial Corporation Limited	Common Shares	Jackman, Henry Newton Rowell	4, 6	2019-12-04	11	785.2	7,100	7,100
E-PLAY DIGITAL INC.	Common Shares	Doerksen, Trevor Lee	4, 5	2019-12-03	10	0.055	8,516,956	100,000
E-PLAY DIGITAL INC.	Common Shares	Doerksen, Trevor Lee	4, 5	2019-12-03	10	0.06	8,616,956	100,000
Earth Alive Clean Technologies Inc.	Warrants Expiring October 11, 2022	Saviuk, Steve	4	2018-04-25	00			
Earth Alive Clean Technologies Inc.	Warrants Expiring October 11, 2022	Saviuk, Steve	4	2019-11-28	10	0.25	196,000	196,000
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-11-29	10	9.12	34,810	100
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-12-02	10	9.05	36,910	2,100
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-12-06	10	9.01	38,410	1,500
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-11-29	10	9.09	15,090	-200
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-12-03	10	9.01	15,290	200

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-12-05	10	9.01	15,390	100
East Coast Investment Grade Income Fund	Units	Arrow Capital Management Inc.	7	2019-12-06	10	9.01	15,490	100
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2019-11-28	38	4.44	633,362	108,500
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2019-11-28	38		108,500	-524,862
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2019-11-29	38	4.42	121,900	13,400
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-20	38	2.6681	153,100	3,100
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-21	38	2.7306	163,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-22	38	2.7825	173,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-25	38	2.79	183,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-26	38	2.7548	193,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-27	38	2.7235	203,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-28	38	2.7643	213,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-29	38	2.7579	223,100	10,000
EcoSynthetix Inc.	Common Shares	EcoSynthetix Inc	1	2019-11-30	38		20,000	-203,100
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2019-12-02	30	10.35	504	46
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2017-02-07	00			
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2019-12-03	51	6.2	1,833	1,833
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2019-12-03	10	10.85	0	-1,833
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2019-12-02	30	10.35	1,247	115
Eldorado Gold Corporation	Options	Aram, Karen Christine	5	2019-12-03	51	6.2	22,035	-1,833
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2019-12-02	30	10.35	5,329	402
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2019-12-02	30	10.35	1,180	302
Eldorado Gold Corporation	Options	Dick, Joseph Dennis	5	2019-12-02	00			
Eldorado Gold Corporation	Options	Dick, Joseph Dennis	5	2019-12-02	50	10.4	152,941	152,941
Eldorado Gold Corporation	Common Shares	Eldorado Gold Corporation	1	2019-11-29	36		370,549	-7,313
Eldorado Gold Corporation	Common Shares	Skayman, Paul James	5	2019-12-02	30	10.35	3,007	217
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2019-12-02	30	10.35	1,306	120
Elixxer Ltd.	Common Shares	Zalt, Ferras	4	2019-12-03	10	0.036	3,569,318	199,318
Elixxer Ltd.	Common Shares	Zalt, Ferras	4	2019-12-03	10	0.03	3,570,000	682
Elixxer Ltd.	Common Shares	Zalt, Ferras	4	2019-12-05	10	0.04	3,870,000	300,000
Eloro Resources Ltd.	Common Shares	ESTEPA, JORGE	5	2019-11-28	16	0.25	1,405,502	230,000
Eloro Resources Ltd.	Warrants	ESTEPA, JORGE	5	2019-11-28	16	0.5	115,000	115,000
Eloro Resources Ltd.	Common Shares	LARSEN, THOMAS	4, 5	2019-11-29	10	0.23	508,325	20,000
Eloro Resources Ltd.	Common Shares	NAGAMATSU, MILES	5	2019-11-28	16	0.25	1,268,568	236,430
Eloro Resources Ltd.	Common Shares	NAGAMATSU, MILES	5	2019-11-29	10	0.2	725,000	50,000
Eloro Resources Ltd.	Warrants	NAGAMATSU, MILES	5	2019-11-28	16	0.5	118,215	118,215
Eloro Resources Ltd.	Common Shares	Stone, Richard Gerald	4	2019-11-28	16	0.25	204,500	32,000
Eloro Resources Ltd.	Warrants	Stone, Richard Gerald	4	2017-01-27	00			
Eloro Resources Ltd.	Warrants	Stone, Richard Gerald	4	2019-11-28	16	0.5	16,000	16,000
Emerald Health Therapeutics, Inc.	Common Shares	Emerald Health Sciences Inc.	3	2019-11-28	11	0.57	35,171,084	-5,263,158
Emerald Health Therapeutics, Inc.	Common Shares	Emerald Health Sciences Inc.	3	2019-11-29	15	0.57	30,785,119	-4,385,965
Enterprise Group, Inc.	Common Shares	JAROSZUK, LEONARD	4, 5	2019-11-27	10	0.17	5,386,277	500
Enterprise Group, Inc.	Common Shares	JAROSZUK, LEONARD	4, 5	2019-11-28	10	0.17	5,394,277	8,000
Entree Resources Ltd.	Common Shares	Edwards, Alan R.	4	2019-12-02	36		632,783	100,000
Entree Resources Ltd.	Options	Edwards, Alan R.	4	2019-12-02	51		625,000	-100,000
Equitable Group Inc.	Common Shares	Moor, Andrew	5	2019-12-04	10	111.96	30,599	-1,300
Equitable Group Inc.	Common Shares	Moor, Andrew	5	2019-12-04	10	111.99	30,699	100
Erdene Resource Development Corporation	Common Shares	Jenkins, Robert	5	2019-11-29	11	0.2	418,500	100,000
Erdene Resource Development Corporation	Warrants November 2019 Warrants	Jenkins, Robert	5	2019-05-01	00			
Erdene Resource Development Corporation	Warrants November 2019 Warrants	Jenkins, Robert	5	2019-11-29	53	0.2	50,000	50,000
Erdene Resource Development Corporation	Options	Widdup, Hedley James	4	2019-09-30	00			
Erdene Resource Development Corporation	Options	Widdup, Hedley James	4	2019-11-29	50	0.18	100,000	100,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ethos Gold Corp.	Common Shares	Kelly, Scott	5	2014-08-02	00			
Ethos Gold Corp.	Common Shares	Kelly, Scott	5	2019-11-28	11	0.1545	75,000	75,000
Ethos Gold Corp.	Warrants	Kelly, Scott	5	2014-08-02	00			
Ethos Gold Corp.	Warrants	Kelly, Scott	5	2019-11-28	11	0.3	37,500	37,500
Eurolife Brands Inc.	Common Shares	Moniz, Shawn	3, 4, 5	2019-12-04	51	0.05	40,434,739	1,600,000
Eurolife Brands Inc.	Options	Moniz, Shawn	3, 4, 5	2019-12-04	51		5,750,000	-1,600,000
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	2019-11-29	38	7.9106	1,069,100	3,500
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	2019-12-02	38	7.92	1,069,400	300
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	2019-12-03	38	7.9029	1,070,100	700
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	2019-12-04	38	7.8745	1,073,400	3,300
European Focused Dividend Fund	Trust Units	European Focused Dividend Fund	1	2019-12-05	38	7.8645	1,075,400	2,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-04	38	17.983	4,400	4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-04	38		0	-4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-05	38	17.998	1,300	1,300
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-05	38		0	-1,300
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-08	38	17.996	400	400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-08	38		0	-400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-12	38	18	500	500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-12	38		0	-500
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-13	38	17.966	2,000	2,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-13	38		0	-2,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-14	38	17.998	2,000	2,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-14	38		0	-2,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-15	38	17.987	4,400	4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-15	38		0	-4,400
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-18	38	17.992	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-18	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-19	38	17.86	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-19	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-20	38	17.815	3,900	3,900
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-20	38		0	-3,900
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-21	38	17.92	3,600	3,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-21	38		0	-3,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-22	38	17.857	2,700	2,700
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-22	38		0	-2,700
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-25	38	17.84	1,000	1,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-25	38		0	-1,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-26	38	17.917	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-26	38		0	-4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-27	38	17.988	3,300	3,300
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-27	38		0	-3,300
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-28	38	17.792	1,000	1,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-28	38		0	-1,000
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-29	38	17.815	4,100	4,100
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-11-29	38		0	-4,100
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-12-02	38	17.964	4,600	4,600
Evertz Technologies Limited	Common Shares	Evertz Technologies Limited	1	2019-12-02	38		0	-4,600
Evertz Technologies Limited	Common Shares	Moore, Douglas	5	2019-12-02	00		6,000	
exactEarth Ltd.	Rights DSU	Matheson, Joseph Lee Grant	4	2019-12-05	56		131,689	18,682
exactEarth Ltd.	Rights DSU	Panadero, Miguel Angel Panduro	4	2019-12-05	56		227,689	18,692
exactEarth Ltd.	Rights DSU	Primo, Miguel Angel Garcia	4	2019-12-05	56		227,689	18,692
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-01	38	7.6733	21,300	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-01	38		18,000	-3,300
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-04	38	7.6814	27,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-05	38	7.8921	36,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-06	38	7.8953	45,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-07	38	7.9086	54,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-08	38	8.1473	63,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-08	38		18,000	-45,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-11	38	8.0586	27,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-12	38	7.9587	36,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-13	38	7.9642	45,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-14	38	8.0114	54,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-15	38	7.9212	63,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-15	38		18,000	-45,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-18	38	8.0176	27,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-19	38	8.2718	36,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-20	38	8.2959	45,000	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-21	38	8.4792	51,800	6,800
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-22	38	8.564	60,800	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-22	38		15,800	-45,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-25	38	8.5349	24,100	8,300
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-26	38	8.4462	33,100	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-27	38	8.5827	42,100	9,000
Exco Technologies Limited	Common Shares	Exco Technologies Limited	1	2019-11-29	38		0	-42,100
Exco Technologies Limited	Common Shares	Turnbull, AnneMarie	4	2019-01-30	00			
Exco Technologies Limited	Common Shares	Turnbull, AnneMarie	4	2019-12-02	10	8.462	5,000	5,000
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Barnard, Andrew	2	2019-11-27	10	459	49,373	-200
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Barnard, Andrew	2	2019-11-27	10	453	49,173	-200
Falcon Gold Corp.	Warrants	Tafel, David Geophry	4	2018-05-18	11	0.1	2,675,000	800,000
Finning International Inc.	Restricted Share Unit (RSU)	Reber, Jordan Fox	5	2019-12-02	57	24.31	8,749	-5,185
First Majestic Silver Corp.	Common Shares	Arias, Jill Anne	5	2019-12-03	51	6.14	92,500	3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
First Majestic Silver Corp.	Common Shares	Arias, Jill Anne	5	2019-12-03	10	15.03	89,500	-3,000
First Majestic Silver Corp.	Options	Arias, Jill Anne	5	2019-12-03	51	6.14	208,650	-3,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-02	10	14.5	111,500	-10,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-03	51	6.14	136,500	25,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-03	10	14.9	131,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-03	10	14.95	126,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-03	10	14.87	121,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-03	10	14.95	116,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-04	51	6.14	121,500	5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	51	6.14	146,500	25,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	10	14.75	141,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	10	14.8	136,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	10	14.85	131,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	10	14.9	126,500	-5,000
First Majestic Silver Corp.	Common Shares	Lillico, Connie	5	2019-12-05	10	14.95	121,500	-5,000
First Majestic Silver Corp.	Options	Lillico, Connie	5	2019-12-03	51	6.14	455,000	-25,000
First Majestic Silver Corp.	Options	Lillico, Connie	5	2019-12-04	51	6.14	450,000	-5,000
First Majestic Silver Corp.	Options	Lillico, Connie	5	2019-12-05	51	6.14	425,000	-25,000
First Majestic Silver Corp.	Common Shares	McCallum, Robert A.	4	2019-12-05	10	15	20,127	-10,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-02	10	14.51	18,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-02	10	14.485	16,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-02	10	14.49	14,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-02	10	14.41	12,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-02	10	14.42	10,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-03	51	6.14	20,675	10,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-03	10	14.8	18,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-03	10	14.93	16,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-03	10	15.05	14,675	-2,000
First Majestic Silver Corp.	Common Shares	Poon, Andrew Winston	5	2019-12-04	51	6.14	20,675	6,000
First Majestic Silver Corp.	Options	Poon, Andrew Winston	5	2019-12-03	51	6.14	270,000	-10,000
First Majestic Silver Corp.	Options	Poon, Andrew Winston	5	2019-12-04	51	6.14	264,000	-6,000
First National Financial Corporation	Common Shares	First National Securities Corporation	3	2018-10-17	47	26.5	16,155,971	-1,887
First National Financial Corporation	Common Shares	First National Securities Corporation	3	2018-10-17	47	26.5	16,144,650	-11,321
First National Financial Corporation	Common Shares	First National Securities Corporation	3	2018-11-20	47	28.75	15,972,650	-172,000
First National Financial Corporation	Common Shares	FNSC Holdings Inc.	3	2018-10-17	10	26.5	6,883,004	1,887
First National Financial Corporation	Common Shares	FNSC Holdings Inc.	3	2018-10-17	10	26.5	6,894,325	11,321
First National Financial Corporation	Common Shares	FNSC Holdings Inc.	3	2018-11-20	10	28.76	7,066,325	172,000
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-10-17	47	26.5	16,155,971	-1,887
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-10-17	47	26.5	16,144,650	-11,321
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-11-20	47	28.75	15,972,650	-172,000
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-10-17	10	26.5	6,883,004	1,887
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-10-17	10	26.5	6,894,325	11,321
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2018-11-20	10	28.75	7,066,325	172,000
First Responder Technologies Inc.	Common Shares	Malana, Michael	5	2019-11-26	00		5,000	
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2019-11-22	00			
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2019-11-22	00			
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2018-03-27	53	0.45		16,500
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2018-03-27	53	0.45		16,500
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2019-11-22	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2019-11-22	00			
First Vanadium Corp.	Common Shares	Mracek, Kenneth Michael	4	2019-11-22	00		33,000	
First Vanadium Corp.	Options	Mracek, Kenneth Michael	4	2018-04-06	50	0.56		50,000
First Vanadium Corp.	Options	Mracek, Kenneth Michael	4	2018-04-06	50	0.56		50,000
First Vanadium Corp.	Options	Mracek, Kenneth Michael	4	2019-11-22	00			
First Vanadium Corp.	Options	Mracek, Kenneth Michael	4	2019-11-22	00			
First Vanadium Corp.	Options	Mracek, Kenneth Michael	4	2019-11-22	00		125,000	
First Vanadium Corp.	Warrants	Mracek, Kenneth Michael	4	2019-11-22	00		16,500	
Five Star Diamonds Limited	Common Shares	South, Jeremy Thomas	4, 5	2019-11-21	10	0.05	250,000	50,000
Five Star Diamonds Limited	Common Shares	South, Jeremy Thomas	4, 5	2019-11-25	10	0.05	275,000	25,000
Five Star Diamonds Limited	Common Shares	South, Jeremy Thomas	4, 5	2019-11-26	10	0.05	300,000	25,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-01	38	12.81	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-01	38	12.81	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-04	38	12.73	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-04	38	12.73	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-05	38	12.6	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-05	38	12.6	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-06	38	12.65	700	700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-06	38	12.65	0	-700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-07	38	12.8	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-07	38	12.8	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-11	38	12.72	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-11	38	12.72	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-12	38	12.73	800	800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-12	38	12.73	0	-800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-12	38	12.74	200	200
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-12	38	12.74	0	-200
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-13	38	12.77	700	700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-13	38	12.77	0	-700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-14	38	12.76	1,000	1,000

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 Preferred Income Fund	1	2019-11-14	38	12.76	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-15	38	12.76	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-15	38	12.76	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-18	38	12.71	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-18	38	12.71	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-19	38	12.71	400	400
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-19	38	12.71	0	-400
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-19	38	12.72	200	200
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-19	38	12.72	0	-200
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-20	38	12.75	800	800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-20	38	12.75	0	-800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-25	38	12.79	700	700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-25	38	12.79	0	-700
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-26	38	12.85	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-26	38	12.85	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-27	38	12.82	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-27	38	12.82	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-28	38	12.82	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-28	38	12.82	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-29	38	12.85	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-29	38	12.85	0	-1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-29	38	12.7	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2019-11-29	38	12.7	0	-1,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Flower One Holdings Inc. (formerly Theia Resources Ltd.)	Common Shares	Miachika, Geoffrey Paul	5	2019-12-03	10	0.76	25,000	5,500
Fortis Inc.	Common Shares	Amaimo, Stephanie Ann	5	2019-12-02	30	52.228	1,770	15
Fortis Inc.	Performance Share Unit	Amaimo, Stephanie Ann	5	2019-12-02	30	52.228	6,047	55
Fortis Inc.	Performance Share Units (ITC)	Amaimo, Stephanie Ann	5	2019-12-02	30	52.228	637	5
Fortis Inc.	Restricted Share Units	Amaimo, Stephanie Ann	5	2019-12-02	30	52.228	2,015	18
Fortis Inc.	Restricted Share Units (ITC)	Amaimo, Stephanie Ann	5	2019-12-02	30	52.228	637	5
Fortis Inc.	Deferred Share Unit	Ball, Tracey Colleen	4	2019-12-02	30	52.228	18,990	172
Fortis Inc.	Deferred Share Unit	Blouin, Pierre J.	4	2019-12-02	30	52.228	15,629	141
Fortis Inc.	Deferred Share Unit	Bonavia, Paul	4	2019-12-02	30	52.228	4,058	37
Fortis Inc.	Deferred Share Unit	Borgard, Lawrence	4	2019-12-02	30	52.228	6,944	63
Fortis Inc.	Deferred Share Unit	Clark, Maura	4	2019-12-02	30	52.228	13,083	119
Fortis Inc.	Deferred Share Unit	Dilley, Margarita	4	2019-12-02	30	52.228	10,701	97
Fortis Inc.	Deferred Share Unit	Dobson, Julie	4	2019-12-02	30	52.228	4,058	37
Fortis Inc.	Common Shares	Duke, Nora	5	2019-12-02	30	52.228	107,521	328
Fortis Inc.	Common Shares	Duke, Nora	5	2019-12-02	30	51.183	108,216	695
Fortis Inc.	Performance Share Unit	Duke, Nora	5	2019-12-02	30	52.228	48,101	435
Fortis Inc.	Restricted Share Units	Duke, Nora	5	2019-12-02	30	52.228	6,455	58
Fortis Inc.	Common Shares	Ernst, Albert	7	2019-12-02	30	52.228	9,363	84
Fortis Inc.	Common Shares	Francis, Trina Michelle	5	2019-12-02	30	52.228	430	3
Fortis Inc.	Performance Share Unit	Francis, Trina Michelle	5	2019-12-02	30	52.228	2,359	21
Fortis Inc.	Deferred Share Unit	Goodreau, Ida Jacqueline	4	2019-12-02	30	52.228	39,432	358
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2019-12-02	30	52.228	25,150	61
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2019-12-02	30	51.183	25,328	178
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2019-12-02	30	51.183	1,134	10
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2019-12-02	30	51.183	118	1
Fortis Inc.	Common Shares	Gosse, Karen J.	5	2019-12-02	30	51.183	118	1
Fortis Inc.	Performance Share Unit	Gosse, Karen J.	5	2019-12-02	30	52.228	5,389	49
Fortis Inc.	Restricted Share Units	Gosse, Karen J.	5	2019-12-02	30	52.228	2,694	24
Fortis Inc.	Deferred Share Unit	Haughey, Douglas J.	4	2019-12-02	30	52.228	35,471	321
Fortis Inc.	Common Shares	Hollett, Lindsay	5	2019-12-02	30	52.228	1,740	293
Fortis Inc.	Common Shares	Holloway, Gretchen	7	2019-12-02	30	52.228	12,928	21
Fortis Inc.	Common Shares	Hutchens, David Gerard	7	2019-12-02	30	52.228	25,674	5
Fortis Inc.	Performance Share Unit	Hutchens, David Gerard	7	2019-12-02	30	52.228	19,414	176
Fortis Inc.	Performance Share Units (UNS)	Hutchens, David Gerard	7	2019-12-02	30	52.228	91,754	831
Fortis Inc.	Restricted Share Units	Hutchens, David Gerard	7	2019-12-02	30	52.228	3,033	28
Fortis Inc.	Restricted Share Units (UNS)	Hutchens, David Gerard	7	2019-12-02	30	52.228	45,877	416
Fortis Inc.	Common Shares	Laurito, James P.	5	2019-12-02	30	52.228	6,191	53
Fortis Inc.	Performance Share Units (CH)	Laurito, James P.	5	2019-12-02	30	52.228	92,936	842
Fortis Inc.	Restricted Share Units (CH)	Laurito, James P.	5	2019-12-02	30	52.228	9,158	83
Fortis Inc.	Common Shares	McCarthy, Karen	5	2019-12-02	30	52.228	1,072	10
Fortis Inc.	Common Shares	McCarthy, Karen	5	2019-12-02	30	51.183	90	1
Fortis Inc.	Common Shares	McCarthy, Karen	5	2019-12-02	30	51.183	218	2
Fortis Inc.	Performance Share Unit	McCarthy, Karen	5	2019-12-02	30	52.228	766	7
Fortis Inc.	Restricted Share Units	McCarthy, Karen	5	2019-12-02	30	52.228	383	4
Fortis Inc.	Common Shares	O'Dea, Regan	5	2019-12-02	30	52.228	4,241	41
Fortis Inc.	Performance Share Unit	O'Dea, Regan	5	2019-12-02	30	52.228	3,373	30
Fortis Inc.	Restricted Share Units	O'Dea, Regan	5	2019-12-02	30	52.228	1,252	12
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	52.228	286,950	226
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	288,346	1,396
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	288,388	42
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	288,410	22
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	289,414	1,004

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	52.228	31,138	182
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	31,236	98
Fortis Inc.	Common Shares	Perry, Barry	4, 5	2019-12-02	30	51.183	31,258	22
Fortis Inc.	Performance Share Unit	Perry, Barry	4, 5	2019-12-02	30	52.228	251,153	2,276
Fortis Inc.	Restricted Share Units	Perry, Barry	4, 5	2019-12-02	30	52.228	31,332	283
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2019-12-02	30	52.228	14,169	141
Fortis Inc.	Common Shares	Perry, Jocelyn	5	2019-12-02	30	51.183	26,941	249
Fortis Inc.	Performance Share Unit	Perry, Jocelyn	5	2019-12-02	30	52.228	30,845	279
Fortis Inc.	Restricted Share Units	Perry, Jocelyn	5	2019-12-02	30	52.228	10,700	97
Fortis Inc.	Common Shares	Reid, James	5	2019-12-02	30	52.228	5,345	1,316
Fortis Inc.	Common Shares	Reid, James	5	2019-12-02	30	51.183	5,370	25
Fortis Inc.	Common Shares	Reid, James	5	2019-12-02	30	51.183	5,373	3
Fortis Inc.	Common Shares	Reid, James	5	2019-12-02	30	51.183	2,056	6
Fortis Inc.	Performance Share Unit	Reid, James	5	2019-12-02	30	52.228	27,556	250
Fortis Inc.	Restricted Share Units	Reid, James	5	2019-12-02	30	52.228	6,455	58
Fortis Inc.	Common Shares	Roberts, Jamie	7	2019-12-02	30	52.228	56,675	91
Fortis Inc.	Common Shares	Roberts, Jamie	7	2019-12-02	30	51.183	57,038	363
Fortis Inc.	Common Shares	Roberts, Jamie	7	2019-12-02	30	51.183	57,115	77
Fortis Inc.	Performance Share Unit	Roberts, Jamie	7	2019-12-02	30	52.228	8,958	81
Fortis Inc.	Restricted Share Units	Roberts, Jamie	7	2019-12-02	30	52.228	4,479	41
Fortis Inc.	Common Shares	Smith, Gary Joseph	7	2019-12-02	30	52.228	8,994	89
Fortis Inc.	Performance Share Unit	Smith, Gary Joseph	7	2019-12-02	30	52.228	36,336	329
Fortis Inc.	Restricted Share Units	Smith, Gary Joseph	7	2019-12-02	30	52.228	8,408	76
Fortis Inc.	Deferred Share Unit	Welch, Joseph	7	2019-12-02	30	52.228	6,944	63
Fortis Inc.	Deferred Share Unit	Zurel, Jo Mark	4	2019-12-02	30	52.228	9,869	89
Founders Advantage Capital Corp.	Common Shares Class A	Mauris, Gary Brian	4	2019-11-29	10	1.05	2,704,502	5,300
Founders Advantage Capital Corp.	Common Shares Class A	Mauris, Gary Brian	4	2019-12-03	10	1.1	2,719,502	15,000
Founders Advantage Capital Corp.	Common Shares Class A	Mauris, Gary Brian	4	2019-12-04	10	1.12	3,379,502	660,000
Founders Advantage Capital Corp.	Common Shares Class A	Mauris, Gary Brian	4	2019-12-04	10	1.1	3,394,502	15,000
Founders Advantage Capital Corp.	Common Shares Class A	Ward, J. R. Kingsley	4	2019-12-05	10	1.11	0	-29,900
Founders Advantage Capital Corp.	Common Shares Class A	Ward, J. R. Kingsley	4	2019-12-05	10	1.11	66	-644,200
Fox River Resources Corporation	Common Shares	Lotan Holdings Inc.	3	2019-12-03	10	0.06	4,784,500	11,000
Fox River Resources Corporation	Common Shares	Lotan Holdings Inc.	3	2019-12-06	10	0.06	4,791,500	7,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	knoche, allyn	3	2019-11-26	10	0.14	20,131,871	47,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	knoche, allyn	3	2019-12-04	10	0.12	20,170,871	39,000
Freehold Royalties Ltd.	PSU	Hendry, David Warren	5	2019-12-01	00			
Freehold Royalties Ltd.	PSU	Hendry, David Warren	5	2019-12-01	56	6.68	8,719	8,719
Freehold Royalties Ltd.	RSU	Hendry, David Warren	5	2019-12-01	00			
Freehold Royalties Ltd.	RSU	Hendry, David Warren	5	2019-12-01	56	6.68	2,906	2,906
Frontenac Mortgage Investment Corporation	Common Shares	Barnes, Robert	4	2019-12-05	15	30	42,848	-9,000
Frontenac Mortgage Investment Corporation	Common Shares	Cruickshank, Kevin	5	2019-12-05	15	30	14,508	-3,270
Frontenac Mortgage Investment Corporation	Common Shares	Dinelle, Eric	4	2019-12-05	15	30	1,802	-6
Frontenac Mortgage Investment Corporation	Common Shares	Jacobs, Sheldon	4	2019-12-05	15	30	12,256	-10
Frontenac Mortgage Investment Corporation	Common Shares	Kehoe, Amber	5	2019-12-05	15	30	668	21
Frontenac Mortgage Investment Corporation	Common Shares	Kelk, Margaret	4	2019-12-05	15	30	20,920	-8
Frontenac Mortgage Investment Corporation	Common Shares	Robinson, Wayne	5	2019-12-05	15	30	7,119	-354

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Frontenac Mortgage Investment Corporation	Common Shares	Seeds, Ryan	4	2019-05-31	00		100	
Frontera Energy Corporation	Common Shares	Andersen, Grayson Martin	5	2019-12-06	10	9.15	9,400	5,000
Frontera Energy Corporation	Common Shares	Burgos Diaz, Rene Roberto	4	2019-12-04	00		2,000	
Frontera Energy Corporation	Common Shares	Burgos Diaz, Rene Roberto	4	2019-12-04	00		10,400	
FRONTIER LITHIUM INC.	Common Shares	Drever, Garth Lloyd	5	2019-11-27	51	0.19	1,294,382	300,000
FRONTIER LITHIUM INC.	Options	Drever, Garth Lloyd	5	2019-11-27	51	0.19	700,000	-300,000
FRONTIER LITHIUM INC.	Common Shares	Walker, Trevor	5	2019-11-26	51	0.19	1,203,452	116,666
FRONTIER LITHIUM INC.	Options	Walker, Trevor	5	2019-11-26	51	0.19	1,083,334	-116,666
GABY Inc.	Common Shares	Mannix, Charles	4	2019-11-13	00			
GABY Inc.	Common Shares	Mannix, Charles	4	2019-12-03	16	0.112	2,232,143	2,232,143
Galane Gold Ltd.	Options	Crema, Ken	4	2019-11-25	00		750,000	
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-01	38	1.3125	40,865	40,865
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-01	38		0	-40,865
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-04	38	1.3024	55,409	55,409
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-04	38		0	-55,409
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-05	38	1.2676	14,379	14,379
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-05	38		0	-14,379
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-06	38	1.2861	48,720	48,720
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-06	38		0	-48,720
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-07	38	1.2001	12,400	12,400
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-07	38		0	-12,400
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-08	38	1.2435	17,860	17,860
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-08	38		0	-17,860
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-11	38	1.206	2,000	2,000
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-11	38		0	-2,000
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-12	38	1.1862	50,840	50,840
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-12	38		0	-50,840
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-13	38	1.171	12,900	12,900
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-13	38		0	-12,900
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-14	38	1.1439	16,434	16,434
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-14	38		0	-16,434
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-15	38	1.1476	24,911	24,911
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-15	38		0	-24,911
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-18	38	1.0884	21,200	21,200
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-18	38		0	-21,200
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-19	38	1.0431	70,470	70,470
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-19	38		0	-70,470
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-20	38	1.1056	32,900	32,900

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Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-20	38		0	-32,900
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-21	38	1.1046	49,720	49,720
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-21	38		0	-49,720
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-22	38	1.2032	64,921	64,921
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-22	38		0	-64,921
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-25	38	1.3147	59,600	59,600
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-25	38		0	-59,600
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-26	38	1.3146	22,440	22,440
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-26	38		0	-22,440
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-27	38	1.251	5,900	5,900
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-27	38		0	-5,900
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-29	38	1.2276	11,510	11,510
Galaxy Digital Holdings Ltd.	Common Shares	Galaxy Digital Holdings Ltd.	1	2019-11-29	38		0	-11,510
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2019-12-03	10	0.31	13,450,619	25,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2019-12-05	10	0.32	13,470,619	20,000
Galway Metals Inc.	Common Shares	Hinchcliffe, Robert	3, 4, 5	2019-12-05	10	0.315	13,480,619	10,000
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-19	10	8.2	4,400	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-21	10	8.2	6,600	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-22	10	8.2	8,800	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-25	10	8.2	11,000	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-26	10	8.2	13,200	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-27	10	8.1991	15,400	2,200
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-28	10	8.2	16,100	700
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-28	38		700	-15,400
Gamehost Inc.	Common Shares	Gamehost Inc.	1	2019-11-29	10	8.09	2,900	2,200
Gear Energy Ltd.	Common Shares	Gear Energy Ltd.	1	2019-11-30	38	0.4055	88,000	88,000
Gear Energy Ltd.	Common Shares	Gear Energy Ltd.	1	2019-11-30	38	0.4055	0	-88,000
Genesis Metals Corp (formerly Entourage Metals Ltd.)	Common Shares	Terry, David Andrew	4, 5	2019-11-30	00			
Genesis Metals Corp (formerly Entourage Metals Ltd.)	Common Shares	Terry, David Andrew	4, 5	2019-11-30	00			
Genesis Metals Corp (formerly Entourage Metals Ltd.)	Options	Terry, David Andrew	4, 5	2019-11-30	00			
Genesis Metals Corp (formerly Entourage Metals Ltd.)	Warrants	Terry, David Andrew	4, 5	2019-11-30	00			
Genesis Metals Corp (formerly Entourage Metals Ltd.)	Warrants	Terry, David Andrew	4, 5	2019-11-30	00			
GENIUS METALS INC.	Common Shares	Booth, John Geoffrey	4	2018-10-05	00			
GENIUS METALS INC.	Common Shares	Booth, John Geoffrey	4	2018-10-05	00		166,666	
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2019-11-29	10	0.195	1,488,186	1,000
Genworth MI Canada Inc.	Deferred Share Units	Bolger, Andrea Elaine	7	2019-11-27	35	55.13	4,434	43
Genworth MI Canada Inc.	Restricted Share Units	Ferguson, Natalie	7	2019-11-27	35	55.13	622	6
Genworth MI Canada Inc.	Deferred Share Units	Giffen, Sharon	4	2019-11-27	35	55.13	2,740	27
Genworth MI Canada Inc.	Executive DSU	Hewat, Mary-Jo	5	2019-11-27	35	55.13	1,005	10
Genworth MI Canada Inc.	Performance Share Unit	Hewat, Mary-Jo	5	2019-11-27	35	55.13	6,585	64
Genworth MI Canada Inc.	Restricted Share Units	Hewat, Mary-Jo	5	2019-11-27	35	55.13	2,287	22

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Genworth MI Canada Inc.	Deferred Share Units	Horn, Sidney M.	4	2019-11-27	35	55.13	42,095	408
Genworth MI Canada Inc.	Common Shares	Hurley, Brian Leo	4, 5	2019-11-27	35	55.13	75,010	261
Genworth MI Canada Inc.	Deferred Share Units	Kelly, Brian Michael	4, 7	2019-11-27	35	55.13	19,221	186
Genworth MI Canada Inc.	Restricted Share Units	Kubisheski, Mark	7	2019-11-27	35	55.13	1,051	10
Genworth MI Canada Inc.	Performance Share Unit	Levings, Stuart Kendrick	4	2019-11-27	35	55.13	33,445	325
Genworth MI Canada Inc.	Restricted Share Units	Levings, Stuart Kendrick	4	2019-11-27	35	55.13	16,723	163
Genworth MI Canada Inc.	Performance Share Unit	Macdonell, Winsor James	5	2019-11-27	35	55.13	7,717	75
Genworth MI Canada Inc.	Restricted Share Units	Macdonell, Winsor James	5	2019-11-27	35	55.13	3,857	37
Genworth MI Canada Inc.	Restricted Share Units	Maguire, Elise	7	2019-11-27	35	55.13	1,166	11
Genworth MI Canada Inc.	Common Shares	Mayers, Philip Adrian Virgil	5	2019-11-27	35	55.13	13,752	1
Genworth MI Canada Inc.	Executive DSU	Mayers, Philip Adrian Virgil	5	2019-11-27	35	55.13	22,004	213
Genworth MI Canada Inc.	Performance Share Unit	Mayers, Philip Adrian Virgil	5	2019-11-27	35	55.13	13,235	128
Genworth MI Canada Inc.	Restricted Share Units	Mayers, Philip Adrian Virgil	5	2019-11-27	35	55.13	6,618	65
Genworth MI Canada Inc.	Executive DSU	McPherson, Deborah Lynn	5	2019-11-27	35	55.13	5,968	58
Genworth MI Canada Inc.	Performance Share Unit	McPherson, Deborah Lynn	5	2019-11-27	35	55.13	7,966	77
Genworth MI Canada Inc.	Restricted Share Units	McPherson, Deborah Lynn	5	2019-11-27	35	55.13	3,982	38
Genworth MI Canada Inc.	Deferred Share Units	Parkinson, Neil Reginald	4	2019-11-27	35	55.13	3,733	37
Genworth MI Canada Inc.	Performance Share Unit	Piroli, Robert John	5	2019-11-27	35	55.13	1,274	13
Genworth MI Canada Inc.	Restricted Share Units	Piroli, Robert John	5	2019-11-27	35	55.13	2,298	22
Genworth MI Canada Inc.	Performance Share Unit	Spitali, Jim	5	2019-11-27	35	55.13	3,344	32
Genworth MI Canada Inc.	Restricted Share Units	Spitali, Jim	5	2019-11-27	35	55.13	2,414	23
Genworth MI Canada Inc.	Common Shares	Sweeney, Craig	5	2019-11-27	35	55.13	9,687	35
Genworth MI Canada Inc.	Performance Share Unit	Sweeney, Craig	5	2019-11-27	35	55.13	6,658	64
Genworth MI Canada Inc.	Restricted Share Units	Sweeney, Craig	5	2019-11-27	35	55.13	3,329	32
Genworth MI Canada Inc.	Restricted Share Units	Todorovic, Zorica	5	2019-11-27	35	55.13	2,524	24
Genworth MI Canada Inc.	Deferred Share Units	Walker, John Logan	4	2019-11-27	35	55.13	18,736	181
Genworth MI Canada Inc.	Common Shares	Williams, Aaron James Glyndwr	7	2019-11-06	10	54.08	840	-474
Genworth MI Canada Inc.	Performance Share Unit	Williams, Aaron James Glyndwr	7	2019-11-27	35	55.13	2,110	20
Genworth MI Canada Inc.	Restricted Share Units	Williams, Aaron James Glyndwr	7	2019-11-27	35	55.13	2,110	20
George Weston Limited	Common Shares	Rebanks, Tamara	6	2019-11-15	00			
George Weston Limited	Common Shares	Rebanks, Tamara	6	2019-11-29	57	108.04	96	96
George Weston Limited	Common Shares	Rebanks, Tamara	6	2019-11-29	57	108.04	178	82
George Weston Limited	Performance Share Units	Rebanks, Tamara	6	2019-11-29	38		475	-14
George Weston Limited	Performance Share Units	Rebanks, Tamara	6	2019-11-29	57		393	-82
George Weston Limited	Restricted Share Units	Rebanks, Tamara	6	2019-11-29	57		209	-96
Getty Copper Inc.	Options	Hamaoka, Thomas Takaaki	5	2016-06-01	00			
Getty Copper Inc.	Options	Hamaoka, Thomas Takaaki	5	2019-08-16	50	0.05	500,000	500,000
Glacier Media Inc.	Common Shares	BURGUNDY ASSET MANAGEMENT LTD.	3	2019-11-30	00		17,633,268	
Glance Technologies Inc.	Common Shares	Zhang, Jian Qun	5	2019-12-03	46	0.045	168,889	88,889
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2019-11-29	38	13.241	5,315,205	2,300
Global Dividend Growers Income Fund	Trust Units	Global Dividend Growers Income Fund	1	2019-12-05	38	12.988	5,316,005	800
Global Hemp Group Inc.	Common Shares Class A	Perrault, Paul	4	2019-12-03	10	0.035	1,120,000	-40,000
Global Hemp Group Inc.	Common Shares Class A	Steinberg, Donald	4, 5	2014-04-10	59	0.1	0	-583,140
Global Hemp Group Inc.	Common Shares Class A	Steinberg, Donald	4, 5	2014-02-21	59	0.1489	290,000	-10,000
Global Hemp Group Inc.	Options	Steinberg, Donald	4, 5	2014-04-07	59	0.1	0	-2,333,333
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2019-11-29	38	10.615	971,700	1,500
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2019-12-02	38	10.662	976,000	4,300
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2019-12-03	38	10.435	978,400	2,400
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2019-12-04	38	10.358	980,800	2,400
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2019-12-05	38	10.377	981,700	900

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Global Li-Ion Graphite Corp.	Common Shares	Walsh, Jason	4	2019-12-02	10	0.1	1,697,223	1,000
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2019-11-29	38	11.105	453,200	1,200
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2019-12-02	38	11.059	458,800	5,600
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2019-12-03	38	10.922	460,600	1,800
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2019-12-04	38	10.907	462,400	1,800
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2019-12-05	38	10.992	464,300	1,900
GlobeX Data Ltd.	Common Shares	Davis, Scott	5	2019-12-03	10	0.1	258,000	4,000
Globex Mining Enterprises Inc.	Common Shares	Globex Mining Enterprises Inc.	1	2019-11-29	38	0.325	9,000	9,000
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Appel, David Harry	4	2019-11-30	56	67.31	63,856	50
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Basian, Karen	4	2019-11-30	56	67.31	22,193	50
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Doniz, Susan	4	2019-11-30	56	67.31	4,484	50
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Ingram, David	4, 5	2019-11-27	10	67.89	426,701	-20,000
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Johnson, Donald Kenneth	3, 4	2019-11-30	56	67.31	72,727	50
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Morrison, Sean	4	2019-11-30	56	67.31	9,224	50
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Thomson, David J.	4	2019-11-30	56	67.31	27,169	50
Gold Springs Resource Corp. (formerly, TriMetals Mining Inc.)	Warrants	van Doorn, Robert	4	2019-12-02	55		750,000	-312,500
Gold X Mining Corp.	Common Shares	Barnes, Phillip Gregory	4, 5	2019-12-02	37		24,718	-173,029
Gold X Mining Corp.	Options	Barnes, Phillip Gregory	4, 5	2019-12-02	37		287,500	-2,012,500
Gold X Mining Corp.	Warrants	Barnes, Phillip Gregory	4, 5	2019-12-02	37		14,625	-102,375
Gold X Mining Corp.	Common Shares	Beharry, Suresh Edward	4	2019-12-02	37		7,000	-49,000
Gold X Mining Corp.	Options	Beharry, Suresh Edward	4	2019-12-02	37		212,500	-1,487,500
Gold X Mining Corp.	Warrants	Beharry, Suresh Edward	4	2019-12-02	37		7,000	-49,000
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		1,334,500	-9,341,500
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		218,750	-1,531,250
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		62,500	-437,500
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		971,250	-6,798,750
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		276,250	-1,933,750
Gold X Mining Corp.	Common Shares	Giustra, Frank	3	2019-12-02	37		83,938	-587,562
Gold X Mining Corp.	Options	Giustra, Frank	3	2019-12-02	37		50,000	-350,000
Gold X Mining Corp.	Warrants	Giustra, Frank	3	2019-12-02	37		934,500	-6,541,500
Gold X Mining Corp.	Warrants	Giustra, Frank	3	2019-12-02	37		218,750	-1,531,250
Gold X Mining Corp.	Warrants	Giustra, Frank	3	2019-12-02	37		62,500	-437,500
Gold X Mining Corp.	Warrants	Giustra, Frank	3	2019-12-02	37		312,500	-2,187,500
Gold X Mining Corp.	Warrants	Giustra, Frank	3	2019-12-02	37		275,000	-1,925,000
Gold X Mining Corp.	Common Shares	Gran Colombia Gold Corp.	3	2019-12-02	37		7,312,500	-51,187,500
Gold X Mining Corp.	Warrants	Gran Colombia Gold Corp.	3	2019-12-02	37		4,625,000	-32,375,000
Gold X Mining Corp.	Common Shares	Keep, Gordon	4	2019-12-02	37		455,375	-3,187,625
Gold X Mining Corp.	Common Shares	Keep, Gordon	4	2019-12-02	37		38,750	-271,250
Gold X Mining Corp.	Options	Keep, Gordon	4	2019-12-02	37		211,250	-1,478,750
Gold X Mining Corp.	Options	Keep, Gordon	4	2019-12-02	37		16,875	-118,125
Gold X Mining Corp.	Options	Keep, Gordon	4	2019-12-02	37		234,375	-1,640,625
Gold X Mining Corp.	Warrants	Keep, Gordon	4	2019-12-02	37		126,875	-413,125
Gold X Mining Corp.	Warrants	Keep, Gordon	4	2019-12-02	37		20,000	-615,000
Gold X Mining Corp.	Common Shares	Laing, David Charles	4	2019-12-02	37		1,875	-13,125
Gold X Mining Corp.	Common Shares	Laing, David Charles	4	2019-12-02	37		56,094	-392,656
Gold X Mining Corp.	Options	Laing, David Charles	4	2019-12-02	37		212,500	-1,487,500
Gold X Mining Corp.	Warrants	Laing, David Charles	4	2019-12-02	37		35,000	-245,000

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Gold X Mining Corp.	Common Shares	Munson, Richard Allen	4, 6, 5	2019-12-02	37		77,083	-539,583
Gold X Mining Corp.	Options	Munson, Richard Allen	4, 6, 5	2019-12-02	37		350,000	-2,450,000
Gold X Mining Corp.	Warrants	Munson, Richard Allen	4, 6, 5	2019-12-02	37		77,083	-539,583
Gold X Mining Corp.	Options	Paredes Arenas, Lombardo	4, 6	2019-12-02	37		131,250	-918,750
Gold X Mining Corp.	Options	Restrepo, Federico	4	2019-12-02	37		131,250	-918,750
Gold X Mining Corp.	Convertible Debentures	Wheaton Precious Metals Corp.	3	2019-12-03	00			
Gold X Mining Corp.	Convertible Debentures	Wheaton Precious Metals Corp.	3	2019-12-03	97	1E+07	$1	$1
Golden Predator Mining Corp.	Options	Maslowski, Michael	5	2019-12-01	00		350,000	
Golden Star Resources Ltd.	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2019-11-27	10	3.1225	32,839,400	44,300
Golden Star Resources Ltd.	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2019-11-29	10	3.2638	32,862,700	23,300
Golden Star Resources Ltd.	Common Shares	LA MANCHA HOLDING S.A.R.L.	3	2019-12-02	10	3.3583	32,912,700	50,000
Goodfellow Inc.	Common Shares	GOODFELLOW, PATRICK	5	2019-11-14	57	4.85	61,000	56,000
Goodfellow Inc.	Unités d'actions différées	GOODFELLOW, PATRICK	5	2019-11-14	57	4.85	0	-56,000
Gran Colombia Gold Corp.	Common Shares	de Greiff, Monica	4	2019-12-05	51	3.16	25,000	25,000
Gran Colombia Gold Corp.	Common Shares	de Greiff, Monica	4	2019-12-05	10	5.0056	0	-25,000
Gran Colombia Gold Corp.	Options	de Greiff, Monica	4	2019-12-05	51	3.16	5,000	-25,000
Grande West Transportation Group Inc.	Options	Imanse, Andrew	4	2015-10-13	00			
Grande West Transportation Group Inc.	Options	Imanse, Andrew	4	2019-11-28	50	0.52	50,000	50,000
Grande West Transportation Group Inc.	Options	LaGourgue, John	4	2019-11-28	50	0.52	300,000	50,000
Grande West Transportation Group Inc.	Options	White, James David Alexander	4	2019-09-24	00			
Grande West Transportation Group Inc.	Options	White, James David Alexander	4	2019-11-28	50		50,000	50,000
Great Canadian Gaming Corporation	Common Shares	Desmarais, David Roger	5	2019-12-02	51	20.12	6,500	6,000
Great Canadian Gaming Corporation	Common Shares	Desmarais, David Roger	5	2019-12-02	10	42.32	500	-6,000
Great Canadian Gaming Corporation	Options	Desmarais, David Roger	5	2019-12-02	51	20.12	11,333	-6,000
Great Panther Mining Limited	Common Shares	Bannantine, James Martin	4, 5	2019-11-28	10	0.62	1,255,315	563,800
Great Panther Mining Limited	Restricted Share Units	Bannantine, James Martin	4, 5	2019-11-28	57	0.62	699,085	-563,800
Great-West Lifeco Inc.	Common Shares	Singh, James Mahase	4	2019-12-02	10	33.05	16,000	2,500
Group Eleven Resources Corp.	Common Shares	Heinrichs, Shaun Perin	5	2019-12-03	10	0.045	361,325	50,000
Group Eleven Resources Corp.	Common Shares	Jaworski, Bart	4	2019-12-02	10	0.045	3,357,301	3,000
GTEC Holdings Ltd.	Common Shares	Dow, Aaron Paul George	4	2019-12-03	10	0.195	286,667	60,000
GTEC Holdings Ltd.	Common Shares	Singhavon, Norton	3, 4, 5	2019-12-05	10	0.2	448,000	75,000
Guardian Capital Group Limited	Common Shares	Cidel Trust Company as Trustee of The Christodoulou 2004 Family Trust	3	2019-12-03	36		1,425,630	-116,300
Guardian Capital Group Limited	Non-Voting Shares Class A	Cidel Trust Company as Trustee of The Christodoulou 2004 Family Trust	3	2019-12-03	36		4,682,150	116,300
Guardian Capital Group Limited	Common Shares	Minic Investments Limited	3	2019-12-03	36		1,425,630	-116,300
Guardian Capital Group Limited	Non-Voting Shares Class A	Minic Investments Limited	3	2019-12-03	36		4,682,150	116,300
Guerrero Ventures Inc.	Common Shares	Hildred, David Barrett	4	2019-10-18	00			
Guerrero Ventures Inc.	Common Shares	Hildred, David Barrett	4	2019-11-27	16	0.1	199,980	199,980
Guerrero Ventures Inc.	Options	Hildred, David Barrett	4	2019-11-27	50			17,500
Guerrero Ventures Inc.	Options	Hildred, David Barrett	4	2019-11-27	50		175,000	175,000

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H&R Real Estate Investment Trust	Units	Lebovic, Laurence A.	4	2019-12-02	47		6,784	6,784
H2O INNOVATION INC.	Options	HOEL, Richard	3, 4	2019-11-27	52		8,000	-8,000
Hammond Power Solutions Inc.	Rights Deferred Share Units	David, FitzGibbon	4	2019-12-01	56		11,674	1,190
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2017-08-04	56			1,088
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2017-08-04	56			1,088
Hammond Power Solutions Inc.	Rights Deferred Share Units	GRANOVSKY, DAHRA	4	2019-12-01	56		14,896	1,190
Hammond Power Solutions Inc.	Rights Deferred Share Units	HAMMOND, BILL	6	2019-12-01	56		15,753	1,785
Hammond Power Solutions Inc.	Rights Deferred Share Units	HUETHER, CHRIS	5	2019-12-01	56		15,753	1,785
Hammond Power Solutions Inc.	Rights Deferred Share Units	Jaques, Frederick Maurice	4	2019-12-01	56		18,120	1,190
Hammond Power Solutions Inc.	Rights Deferred Share Units	MACADAM, DON	4	2019-12-01	56		11,674	1,190
Hammond Power Solutions Inc.	Rights Deferred Share Units	Robinson, Grant Cameron	4	2019-12-01	56		11,674	1,190
Hammond Power Solutions Inc.	Rights Deferred Share Units	Waterman, Richard Stanley	4	2019-12-01	56		11,674	1,190
Happy Creek Minerals Ltd.	Common Shares	blann, David	5	2019-12-04	11	0.08	5,443,501	115,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.15	2,928,001	48,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.16	2,934,001	6,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.17	2,935,001	1,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.18	2,936,001	1,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.19	2,937,001	1,000
Hemp for Health Inc.	Common Shares	Eadie, Robert	3, 4, 5	2019-12-02	10	0.2	2,938,001	1,000
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Arsenault, Stephane	5	2019-12-01	97	18.51	33,667	-1,333
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Arsenault, Stephane	5	2019-12-01	38		31,000	-2,667
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Brassard, Martin	4, 5	2019-12-01	97	18.51	50,833	-1,667
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Brassard, Martin	4, 5	2019-12-01	38		47,500	-3,333
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Gravel, Jean	5	2019-12-01	97	18.51	12,567	-533
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Gravel, Jean	5	2019-12-01	38		11,500	-1,067
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Labbé, Gilles	3, 4, 6, 5	2019-12-01	97	18.51		-1,333
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Labbé, Gilles	3, 4, 6, 5	2019-12-01	97	18.51	71,667	-5,333
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Labbé, Gilles	3, 4, 6, 5	2019-12-01	38			-2,667
Heroux-Devtek Inc.	Performance Share Units/Unités d'actions liées au rendement	Labbé, Gilles	3, 4, 6, 5	2019-12-01	38		61,000	-10,667
Holly Street Capital Ltd.	Common Shares	Cheung, Ryan	5	2019-07-31	00		300,000	
Holly Street Capital Ltd.	Common Shares	Freudman, Joel Aaron	4, 5	2019-12-04	00		1,000,000	
Holly Street Capital Ltd.	Common Shares	Lopez, Damian	4	2019-12-04	00		200,000	
Home Capital Group Inc.	Rights Restricted Share Units	Cluff, David	5	2019-12-01	59	34.54	2,054	-179
Home Capital Group Inc.	Rights Performance Share Units	Henderson, Dinah	5	2018-11-29	38	28.84	8,596	-3,086

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Home Capital Group Inc.	Rights Performance Share Units	Henderson, Dinah	5	2019-12-01	59	34.54	11,940	-2,046
Home Capital Group Inc.	Rights Performance Share Units	Henderson, Dinah	5	2019-12-01	38	34.54	11,429	-511
Home Capital Group Inc.	Rights Restricted Share Units	Hong, John	5	2019-12-01	59	34.54	6,662	-659
Home Capital Group Inc.	Common Shares	Katchen, Benjamin	5	2019-12-04	51	29.43	13,903	3,000
Home Capital Group Inc.	Common Shares	Katchen, Benjamin	5	2019-12-04	10	34.95	10,903	-3,000
Home Capital Group Inc.	Common Shares	Katchen, Benjamin	5	2019-12-04	51	15.25	16,435	5,532
Home Capital Group Inc.	Common Shares	Katchen, Benjamin	5	2019-12-04	10	34.87	10,903	-5,532
Home Capital Group Inc.	Options	Katchen, Benjamin	5	2019-12-04	51	29.43	52,572	-3,000
Home Capital Group Inc.	Options	Katchen, Benjamin	5	2019-12-04	51	15.25	47,040	-5,532
Home Capital Group Inc.	Rights Performance Share Units	Katchen, Benjamin	5	2019-12-01	59	34.54	23,035	-2,350
Home Capital Group Inc.	Rights Performance Share Units	Katchen, Benjamin	5	2019-12-01	38	34.54	22,448	-587
Home Capital Group Inc.	Rights Restricted Share Units	Stilo, Anthony	5	2019-12-01	59	34.54	5,676	-488
Home Capital Group Inc.	Rights Restricted Share Units	Xu, Yan	5	2019-12-01	59	34.54	4,840	-501
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	Assabgui, Robert	5	2019-12-02	30	4.29	6,801	-2,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Rights Share Units	Kukielski, Peter Gerald Jan	4, 5	2019-11-30	56		79,085	17,694
Hybrid Minerals Inc. (formerly, Savoy Ventures Inc.)	Common Shares	Macdonald, Glen Colin	4	2013-11-22	00			
Hybrid Minerals Inc. (formerly, Savoy Ventures Inc.)	Common Shares	Macdonald, Glen Colin	4	2019-11-29	10		25,000	25,000
Igen Networks Corp.	Common Shares	Chan, Neil	4	2019-12-03	10	0.3	2,063,111	25,000
Igen Networks Corp.	Common Shares	Chan, Neil	4	2019-12-04	10	0.31	2,088,111	25,000
IMAX Corporation	Common Shares	IMAX Corporation	1	2019-12-03	30		196,959	-44,608
IMAX Corporation	Common Shares	Vance, Jeff	5	2019-12-01	57		5,794	848
IMAX Corporation	Common Shares	Vance, Jeff	5	2019-12-02	10	21.245	5,340	-454
IMAX Corporation	Rights Restricted Share Unit	Vance, Jeff	5	2019-12-01	57		10,907	-848
IMAX Corporation	Common Shares	WEISSMAN, KENNETH	5	2019-12-01	57		5,774	848
IMAX Corporation	Common Shares	WEISSMAN, KENNETH	5	2019-12-02	10	21.245		-288
IMAX Corporation	Common Shares	WEISSMAN, KENNETH	5	2019-12-02	10	21.245	5,486	-288
IMAX Corporation	Rights Restricted Share Unit	WEISSMAN, KENNETH	5	2019-12-01	57		14,013	-848
IMAX Corporation	Common Shares	Welton, Mark	5	2019-12-01	57		10,968	5,298
IMAX Corporation	Common Shares	Welton, Mark	5	2019-12-02	10	21.245	8,137	-2,831
IMAX Corporation	Rights Restricted Share Unit	Welton, Mark	5	2019-12-01	57		84,997	-5,298
Imperial Metals Corporation	Common Shares	Thompson, Randall	5	2019-11-25	10	2.12	6,242	2,002
Imperial Oil Limited	Rights	Cornhill, David Wallace	4	2019-12-04	56		8,600	3,000
Imperial Oil Limited	Rights	Corson, Bradley William	4, 5	2019-09-17	00			
Imperial Oil Limited	Rights	Corson, Bradley William	4, 5	2019-12-04	56		39,100	39,100
Imperial Oil Limited	Rights	Corson, Bradley William	4, 5	2019-12-04	56		78,200	39,100
Imperial Oil Limited	Rights	Dinnick, Peter	5	2019-12-04	56		31,200	10,400
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-11-27	38	33.86	519,600,645	-108,550
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-11-28	38	33.74	519,492,094	-108,551
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-11-29	38	33.26	519,383,544	-108,550
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-12-02	38	33.15	519,274,993	-108,551
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-12-03	38	32.1	519,166,443	-108,550
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2019-12-04	38	32.38	519,057,892	-108,551
Imperial Oil Limited	Rights	Gemmell, Constance Dawn	5	2019-12-04	56		21,100	6,000
Imperial Oil Limited	Rights	Gemmell, Constance Dawn	5	2019-12-04	59		19,350	-1,750
Imperial Oil Limited	Rights	Giglio, Amy Michelle	7	2019-12-04	56		20,975	4,300

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Rights	Giglio, Amy Michelle	7	2019-12-04	59		19,500	-1,475
Imperial Oil Limited	Rights	Hoeg, Krystyna	4	2019-12-04	56		15,200	3,000
Imperial Oil Limited	Rights	Hoeg, Krystyna	4	2019-12-04	59		14,200	-1,000
Imperial Oil Limited	Rights	Hubbs, Miranda C.	4	2019-12-04	56		6,000	3,000
Imperial Oil Limited	Rights	Hughes, Denise Helen	5	2019-12-04	56		58,950	8,200
Imperial Oil Limited	Rights	Hughes, Denise Helen	5	2019-12-04	59		55,000	-3,950
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-01	38	33.189	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-01	38	33.189	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-01	38	33.08	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-01	38	33.08	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-04	38	33.603	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-04	38	33.603	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-04	38	33.76	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-04	38	33.76	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-05	38	34.604	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-05	38	34.604	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-05	38	34.84	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-05	38	34.84	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.849	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.849	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.85		-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.85		-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.85		-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.85	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-06	38	34.85	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-07	38	35.33	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-07	38	35.33	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-07	38	35.36	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-07	38	35.36	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-08	38	35.268	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-08	38	35.268	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-08	38	35.31	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-08	38	35.31	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-11	38	35.33	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-11	38	35.33	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-11	38	35.42	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-11	38	35.42	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-12	38	34.913	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-12	38	34.913	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-12	38	34.24	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-12	38	34.24	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-13	38	33.736	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-13	38	33.736	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-13	38	33.67	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-13	38	33.67	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-14	38	33.158	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-14	38	33.158	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-14	38	33.09	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-14	38	33.09	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-15	38	33.942	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-15	38	33.942	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-15	38	34.06	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-15	38	34.06	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-18	38	33.333	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-18	38	33.333	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-18	38	33.13	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-18	38	33.13	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-19	38	33.095	47,413	47,413

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	2019-11-19	38	33.095	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-19	38	33.02	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-19	38	33.02	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-20	38	33.088	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-20	38	33.088	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-20	38	33.08	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-20	38	33.08	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-21	38	33.286	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-21	38	33.286	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-21	38	33.46	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-21	38	33.46	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-22	38	33.371	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-22	38	33.371	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-22	38	33.21	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-22	38	33.21	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-25	38	33.404	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-25	38	33.404	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-25	38	33.55	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-25	38	33.55	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-26	38	33.581	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-26	38	33.581	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-26	38	33.61	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-26	38	33.61	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-27	38	33.594	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-27	38	33.594	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-27	38	33.86	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-27	38	33.86	0	-108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-28	38	33.72	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-28	38	33.72	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-28	38	33.74	108,551	108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-28	38	33.74	0	-108,551
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-29	38	33.403	47,413	47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-29	38	33.403	0	-47,413
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-29	38	33.26	108,550	108,550
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2019-11-29	38	33.26	0	-108,550
Imperial Oil Limited	Rights	Jolly, Bruce	7	2019-12-04	56		64,275	13,200
Imperial Oil Limited	Rights	Jolly, Bruce	7	2019-12-04	59		61,675	-2,600
Imperial Oil Limited	Rights	Kruger, Richard Michael	5	2019-12-04	56		595,300	49,500
Imperial Oil Limited	Rights	Kruger, Richard Michael	5	2019-12-04	56		644,800	49,500
Imperial Oil Limited	Rights	Kruger, Richard Michael	5	2019-12-04	59		599,100	-45,700
Imperial Oil Limited	Rights	Laing, Ian Robert	5	2019-12-04	56		35,175	7,600
Imperial Oil Limited	Rights	Laing, Ian Robert	5	2019-12-04	59		33,700	-1,475
Imperial Oil Limited	Rights	Lyons, Daniel Edward	5	2019-12-04	56		38,400	19,200
Imperial Oil Limited	Rights	MINTZ, JACK MAURICE	4	2019-12-04	56		15,200	3,000
Imperial Oil Limited	Rights	MINTZ, JACK MAURICE	4	2019-12-04	59		14,200	-1,000
Imperial Oil Limited	Rights	Noble, Peter Craig	7	2019-12-04	56		5,600	800
Imperial Oil Limited	Rights	Noble, Peter Craig	7	2019-12-04	59		4,950	-650
Imperial Oil Limited	Rights	Peterson, Glenn	5	2019-12-04	56		6,750	1,400
Imperial Oil Limited	Rights	Peterson, Glenn	5	2019-12-04	59		6,100	-650
Imperial Oil Limited	Rights	Redburn, Theresa B.	7	2019-12-04	56		112,950	22,000
Imperial Oil Limited	Rights	Redburn, Theresa B.	7	2019-12-04	59		106,150	-6,800
Imperial Oil Limited	Rights	Sutherland, David Stewart	4	2019-12-04	56		15,200	3,000
Imperial Oil Limited	Rights	Sutherland, David Stewart	4	2019-12-04	59		14,200	-1,000
Imperial Oil Limited	Rights	Wetmore, Jonathan	5	2019-12-04	56		61,550	11,800
Imperial Oil Limited	Rights	Wetmore, Jonathan	5	2019-12-04	59		55,950	-5,600
Imperial Oil Limited	Rights	Whelan, John Ronald	7	2019-12-04	56		66,000	22,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-01	38	0.7213	185,000	150,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-05	38	0.7391	212,500	27,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-06	38	0.7254	259,000	46,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-07	38	0.7198	310,000	51,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-08	38	0.73	324,000	14,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-11	38	0.72	353,000	29,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-12	38	0.72	363,000	10,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-13	38	0.75	375,000	12,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-15	38	0.75	376,500	1,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-18	38	0.74	377,500	1,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-19	38	0.75	393,000	15,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-20	38	0.75	463,500	70,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-21	38	0.7498	513,000	49,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-22	38	0.75	527,500	14,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-25	38	0.75	531,000	3,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-26	38	0.74	547,000	16,000
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-27	38	0.7464	656,500	109,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-28	38	0.74	666,000	9,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-29	38	0.75	675,500	9,500
Input Capital Corp.	Common Shares	Input Capital Corp.	1	2019-11-29	38		19,000	-656,500
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	De Jong, Stephen Edward	4, 5	2019-12-04	15	1.15	2,464,952	20,870
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	Ladd, Anna Man-Yue	4	2019-12-04	15	1.15	30,000	10,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	Salamis, George	4, 5	2019-12-04	15	1.15	3,181,468	65,217
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	St-Germain, Andree	5	2019-12-04	15	1.15	44,300	30,000
International Petroleum Corporation	Common Shares	Lundin, Lukas Henrik	4	2018-12-14	36			2,842,158
International Petroleum Corporation	Common Shares	Lundin, Lukas Henrik	4	2018-12-14	36		3,092,549	2,829,772
Intertape Polymer Group Inc.	Common Shares	Pantelidis, James	4	2019-12-03	10	15.95	37,500	1,000
Intertape Polymer Group Inc.	Common Shares	Pantelidis, James	4	2019-12-04	10	15.8	38,500	1,000
Intertape Polymer Group Inc.	Common Shares	Pantelidis, James	4	2019-12-04	10	15.8	1,500	200
Intertape Polymer Group Inc.	Common Shares	Pantelidis, James	4	2019-12-04	10	15.8	1,160	600
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-19	38	6.8637	5,700	5,700
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-20	38	6.8972	15,800	10,100
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-21	38	6.8197	26,700	10,900
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-22	38	6.8882	35,100	8,400
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-25	38	6.8594	46,027	10,927
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Common Shares	Invesque, Inc.	1	2019-11-29	38		0	-46,027
Invictus MD Strategies Corp.	Common Shares	DIXON, Brenda Mae	7	2017-04-25	00		8,725,300	
Invictus MD Strategies Corp.	Options	DIXON, Brenda Mae	7	2017-04-25	00		150,000	
IOU Financial Inc.	Common Shares	IOU Financial Inc.	1	2019-11-28	38	0.235	75,500	72,500
IOU Financial Inc.	Common Shares	IOU Financial Inc.	1	2019-11-29	38	0.232	95,000	19,500
IOU Financial Inc.	Common Shares	IOU Financial Inc.	1	2019-12-04	38	0.215	98,000	3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
IOU Financial Inc.	Common Shares	IOU Financial Inc.	1	2019-12-05	38	0.22	195,500	97,500
IPL Plastics Inc.	Options	Dalton, Pat	4, 5	2019-11-27	59	8.1533	538,578	-4,100
IPL Plastics Inc.	Options	Dalton, Pat	4, 5	2019-11-27	59	7.9346	525,978	-12,600
IPL Plastics Inc.	Options	Dalton, Pat	4, 5	2019-11-27	59	8.1912	507,678	-18,300
Ivanhoe Mines Ltd.	Common Shares Class A	CITIC Metal Africa Investments Limited	3	2019-12-04	11	3.98	314,671,533	-35,752,011
Ivanhoe Mines Ltd.	Common Shares Class A	Friedland, Robert Martin	3, 4, 6, 5	2019-12-03	11	3.98	21,554,446	-12,900,271
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2019-12-04	51	0.99	95,435	50,000
Ivanhoe Mines Ltd.	Options	Vincelli, Mary	5	2019-12-04	51	0.99	75,000	-50,000
Ivanhoe Mines Ltd.	Common Shares Class A	Zijin Mining Group Co., Ltd.	3	2019-12-03	00		165,412,636	
Ivrnet Inc.	Warrants	Snell, David	4, 5	2007-10-26	55		0	-880,000
Ivrnet Inc.	Warrants	Snell, David	4, 5	2011-07-07	55			185,185
Ivrnet Inc.	Warrants	Snell, David	4, 5	2011-07-07	55		0	-185,185
Ivrnet Inc.	Warrants	Snell, David	4, 5	2017-06-07	55		2,600,000	-3,000,000
Ivrnet Inc.	Warrants	Snell, David	4, 5	2018-06-05	55		0	-600,000
Ivrnet Inc.	Warrants	Snell, David	4, 5	2019-12-03	11		3,125,000	3,125,000
Ivrnet Inc.	Common Shares	Topolniski, Chris	5	2019-12-03	10	0.02	180,500	-150,000
JDF Explorations Inc.	Common Shares	Schuler, Amanda	3	2019-11-29	10	0.08	220,000	-30,000
Jericho Oil Corporation (fka Dakar Resource Corp.)	Warrants	Wilson, Allen W	4	2019-11-28	55	0.6	0	-50,000
K-Bro Linen Inc.	Common Shares	Curtis, Sean Philip	5	2019-11-30	30	27.28	93,894	6,350
K-Bro Linen Inc.	Common Shares	Gannon, Jeffrey Ronald	5	2019-11-30	30	27.28	8,229	867
K-Bro Linen Inc.	Common Shares	Graham, Ronald James	5	2019-11-30	30	38.98	5,667	1,057
K-Bro Linen Inc.	Common Shares	McCurdy, Linda Jane	4, 5	2019-11-30	30	27.28	163,665	12,357
K-Bro Linen Inc.	Common Shares	Ostrzyzek, Jerzy Marek	5	2019-11-30	30	29.23	13,492	654
K-Bro Linen Inc.	Common Shares	Plaquin, Kristie Lynn	5	2019-11-30	30	36.7		2,838
K-Bro Linen Inc.	Common Shares	Plaquin, Kristie Lynn	5	2019-11-30	30	27.28	12,643	2,838
K-Bro Linen Inc.	Common Shares	Son, Christopher	5	2019-11-30	30	27.28	727	338
K-Bro Linen Inc.	Common Shares	Utahara, Ryo	5	2019-11-28	10	40.15	1,199	-825
K-Bro Linen Inc.	Common Shares	Utahara, Ryo	5	2019-11-30	30	29.23	2,171	972
K-Bro Linen Inc.	Common Shares	Young, David	5	2019-11-30	30	27.28	814	381
Keyera Corp.	Common Shares	Smith, David G.	5	2019-12-02	90	32.025	544,249	-10,000
Keyera Corp.	Common Shares	Smith, David G.	5	2019-12-02	90	32.025	60,000	10,000
Kinaxis Inc.	Common Shares	Carreiro, Paul	5	2019-12-02	51	72.51	12,005	10,000
Kinaxis Inc.	Common Shares	Carreiro, Paul	5	2019-12-02	10	105.82	2,005	-10,000
Kinaxis Inc.	Options	Carreiro, Paul	5	2019-12-02	51	72.51	220,000	-10,000
Kinross Gold Corporation	Restricted Shares	Wiseman, Tara H.	5	2019-12-02	59	5.67	70,493	-9,855
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2019-11-29	10	54.43	206,700	206,700
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2019-12-02	38		0	-206,700
Klinik Health Ventures Corp.	Options	Koci, Eva	3, 4, 5	2019-11-26	00			
Klinik Health Ventures Corp.	Options	Koci, Eva	3, 4, 5	2019-12-03	50		465,000	465,000
Klinik Health Ventures Corp.	Common Shares	Legault, Daniel Marcel	4	2019-11-26	00		250,000	
Klinik Health Ventures Corp.	Options	Legault, Daniel Marcel	4	2019-11-26	00			
Klinik Health Ventures Corp.	Options	Legault, Daniel Marcel	4	2019-12-03	50		232,500	232,500
Klinik Health Ventures Corp.	Common Shares	Macnee, Walter Minnes	4	2019-11-26	00		897,500	
Klinik Health Ventures Corp.	Options	Macnee, Walter Minnes	4	2019-11-26	00			
Klinik Health Ventures Corp.	Options	Macnee, Walter Minnes	4	2019-12-03	50		232,500	232,500
Klinik Health Ventures Corp.	Options	Rusaw, Norla Nicole	4	2019-11-26	00			
Klinik Health Ventures Corp.	Options	Rusaw, Norla Nicole	4	2019-12-03	50	0.2	465,000	465,000
KP Tissue Inc.	Deferred Share Units (DSU)	Hardy, James Richmond	4	2019-11-28	56	9.69	4,031	419
KP Tissue Inc.	Deferred Share Units (DSU)	Letellier, Michel	4	2019-10-15	30	9.04	7,447	145
KP Tissue Inc.	Deferred Share Units (DSU)	Letellier, Michel	4	2019-11-28	56	9.69	8,736	1,289
KP Tissue Inc.	Deferred Share Units (DSU)	Wendling, Louise Michele	4	2019-11-28	56	9.69	8,153	1,289
Kure Technologies, Inc.	Common Shares	Naughty, Blair Lawrence	3	2019-12-05	00		1,000,000	
Kure Technologies, Inc.	Common Shares	Naughty, Blair Lawrence	3	2019-12-05	10	0.03	1,600,000	600,000

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KWG Resources Inc.	Subordinate Voting Shares	Hodgman, Bruce Ronald	5	2019-12-04	10	0.005	345,462	-160,000
Lara Exploration Ltd.	Common Shares	Yuzpe, Stephen Mark	4	2019-11-13	00			
Lara Exploration Ltd.	Common Shares	Yuzpe, Stephen Mark	4	2019-12-02	10	0.5	13,000	13,000
Lara Exploration Ltd.	Common Shares	Yuzpe, Stephen Mark	4	2019-12-04	10	0.54	20,000	7,000
LeanLife Health Inc.	Common Shares	Macdonald, Glen Colin	1	2014-01-12	00			
LeanLife Health Inc.	Common Shares	Macdonald, Glen Colin	1	2019-11-29	10		1,750,000	1,750,000
Leon's Furniture Limited	Common Shares	Leon, Graeme	5	2019-11-27	10	16.1	11,910	-200
Leon's Furniture Limited	Common Shares	Leon, Graeme	5	2019-11-28	10	16.1	10,910	-1,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	2019-12-03	10	0.81		175,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	2019-12-03	57	0.81	5,529,500	175,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Everett, Calvin Clovis	5	2019-12-03	57		3,050,000	-175,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Tetzlaff, Sean Allan	4	2019-12-04	10	0.88	1,947,465	15,000
Lightspeed POS Inc.	Options	Finnemore, Chelsea Amanda	5	2019-12-03	51	0.612	82,740	-1,000
Lightspeed POS Inc.	Subordinate Voting Shares	Finnemore, Chelsea Amanda	5	2019-12-03	51	0.612	100,022	1,000
Lightspeed POS Inc.	Subordinate Voting Shares	Finnemore, Chelsea Amanda	5	2019-12-03	10	34.326	99,022	-1,000
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Options	Daniels, Moira	5	2019-12-02	00			
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Options	Daniels, Moira	5	2019-12-03	50	7.86	100,000	100,000
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Common Shares	Moran, John Edward	5	2019-12-03	37		1,091	-1,089,966
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Common Shares	Moran, John Edward	5	2019-12-03	90		975	-116
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Common Shares	Moran, John Edward	5	2019-12-03	37		50	-50,150
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Common Shares	Moran, John Edward	5	2019-12-03	90		166	116
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Common Shares	Moran, John Edward	5	2019-12-03	99		171	5
Link Global Technologies Inc.	Common Shares	Stewart, Alexis	7	2019-11-25	00		466,666	
Lions Bay Capital Inc.	Common Shares	Balic, Anthony Bob	4, 5	2019-11-01	00		381,818	
Lions Bay Capital Inc.	Options	Balic, Anthony Bob	4, 5	2019-11-01	00			
Lions Bay Capital Inc.	Warrants	Balic, Anthony Bob	4, 5	2019-11-01	00			
Lithium Americas Corp.	Common Shares	Evans, Jonathan David	4	2019-12-05	10	2.91	80,000	5,000
Lithium Americas Corp.	Common Shares	Kanellitsas, John	4	2019-12-06	10	2.94	1,294,505	10,000
Logistec Corporation	Common Shares Class A	LOGISTEC CORPORATION	1	2019-11-22	38	43.49	100	100
Logistec Corporation	Common Shares Class A	LOGISTEC CORPORATION	1	2019-11-22	38	43.5	300	200
Logistec Corporation	Common Shares Class A	LOGISTEC CORPORATION	1	2019-11-26	38	43.5	600	300
Logistec Corporation	Common Shares Class A	LOGISTEC CORPORATION	1	2019-11-29	38		0	-600
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-04	38	37.8	400	400
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-05	38	37.46	600	200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-08	38	37.45	800	200

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Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-08	38		200	-600
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-15	38		0	-200
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-19	38	43.55	100	100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-22	38	42.3	200	100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-22	38		100	-100
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-26	38	42.64	400	300
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-26	38	42.65	1,100	700
Logistec Corporation	Subordinate Voting Shares Class B	LOGISTEC CORPORATION	1	2019-11-29	38		0	-1,100
Loncor Resources Inc.	Options	Farr, Geoffrey Guy	5	2019-12-06	50	0.4	600,000	100,000
Loncor Resources Inc.	Options	Lachcik, Richard Joseph	4	2019-12-06	50	0.4	400,000	100,000
Lotus Ventures Inc.	Common Shares	McClanaghan, Dale	4, 5	2019-12-04	10	0.15	-2,336	2,000
Lundin Gold Inc.	Common Shares	Lorito Holdings S.à.r.l.	3	2019-12-05	11	7.25	4,196,357	4,196,357
Lundin Gold Inc.	Common Shares	Newcrest Mining Limited	3	2019-12-05	11	7.25	71,470,787	10,977,502
Lundin Gold Inc.	Common Shares	Zebra Holdings and Investments S.à.r.l.	3	2019-12-05	11	7.25	43,149,357	4,196,357
Luxxfolio Holdings Inc.	Common Shares	Klatik, Kelly	4	2019-12-02	16	0.05	2,023,709	481,764
Luxxfolio Holdings Inc.	Common Shares	Linden, Dean	5	2019-12-02	16	0.05	2,015,628	479,841
MacDonald Mines Exploration Ltd.	Common Shares Class A	Adair, Stuart Adair	4	2019-12-06	00		1,511,344	
MacDonald Mines Exploration Ltd.	Warrants	Adair, Stuart Adair	4	2019-12-06	00		775,000	
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2019-11-29	10	3.17	6,521,517	-700
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2019-11-29	10	3.15	6,520,017	-1,500
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2019-11-29	10	3.14	6,519,817	-200
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2019-11-29	10	3.08	6,517,217	-2,600
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-01	38	71.827	340,162	37,804
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-01	38	54.591	377,972	37,810
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-08	38		263,587	-114,385
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-08	38		149,183	-114,404
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-11	38	73.91	199,183	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-11	38	55.888	249,183	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-12	38	73.922	296,583	47,400
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-12	38	55.862	344,583	48,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-13	38	73.429	393,083	48,500
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-13	38	55.405	441,583	48,500
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-14	38	73.566	482,583	41,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-14	38	55.51	511,435	28,852
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-15	38	73.81	560,185	48,750
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-15	38	55.783	608,935	48,750
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-15	38		463,035	-145,900
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-15	38		316,535	-146,500
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-18	38	73.025	365,535	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-18	38	55.311	414,535	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-19	38	73.791	462,535	48,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-19	38	55.702	510,535	48,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-20	38	72.574	560,535	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-20	38	54.523	610,535	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-21	38	71.404	660,535	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-21	38	53.768	710,535	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38	71.917	760,535	50,000

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Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38	54.099	810,535	50,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38		769,535	-41,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38		740,683	-28,852
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38		544,933	-195,750
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-22	38		349,183	-195,750
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-25	38	72.991	398,183	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-25	38	54.871	447,183	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-26	38	73.253	496,183	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-26	38	55.162	542,342	46,159
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-27	38	73.638	591,342	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-27	38	55.466	640,342	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-28	38	73.235	657,742	17,400
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-29	38	73.509	706,742	49,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-29	38	55.19	722,742	16,000
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-29	38		527,583	-195,159
Magna International Inc.	Common Shares	Magna International Inc.	1	2019-11-29	38		280,583	-247,000
Magnetic North Acquisition Corp (Formerly Black Bull Resources Inc.)	Options	Larson, Trent	4	2019-01-01	00			
Magnetic North Acquisition Corp (Formerly Black Bull Resources Inc.)	Options	Larson, Trent	4	2019-12-03	50	0.095	300,000	300,000
Magnetic North Acquisition Corp (Formerly Black Bull Resources Inc.)	Options	Marinucci, David John	5	2019-09-16	00			
Magnetic North Acquisition Corp (Formerly Black Bull Resources Inc.)	Options	Marinucci, David John	5	2019-12-02	50		250,000	250,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-01	38	24.793	450,000	150,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-04	38	25.084	563,800	113,800
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-05	38	25.255	663,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-06	38	25.261	763,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-07	38	26.143	863,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-08	38	25.994	963,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-11	38	26.066	1,063,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-12	38	26.359	1,163,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-13	38	26.248	1,263,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-14	38	26.155	1,363,800	100,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-15	38	26.29	1,563,800	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-18	38	25.93	1,763,800	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-19	38	25.931	1,963,800	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-19	38		400,000	-1,563,800
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-20	38	25.92	600,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-21	38	25.69	800,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-22	38	25.809	1,000,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-25	38	26.039	1,200,000	200,000

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Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-26	38	25.831	1,400,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-27	38	26.032	1,600,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-28	38	26.114	1,800,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-29	38	26.154	2,000,000	200,000
Manulife Financial Corporation	Common Shares	Manulife Financial Corporation	1	2019-11-29	38		400,000	-1,600,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-02	38	24.35	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-02	38	24.35	0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-03	38	24.115	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-03	38	24.115	0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-04	38	24.265	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-04	38	24.265	0	-40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-05	38	24.114	40,000	40,000
Maple Leaf Foods Inc.	Common Shares	Maple Leaf Foods Inc.	1	2019-12-05	38	24.114	0	-40,000
Maple Leaf Foods Inc.	Common Shares	McCain, Michael Harrison	4, 5	2019-05-10	90			23,223
Maple Leaf Foods Inc.	Common Shares	McCain, Michael Harrison	4, 5	2019-05-10	90		48,472,517	23,223
Marble Financial Inc.	Common Shares	Nanji, Karim	5	2001-12-02	46	0.2	195,000	195,000
Martello Technologies Group Inc.	Options	Linton, Bruce	4, 5	2019-11-26	50		808,603	104,603
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.23	700	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.24	2,000	1,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.25	6,400	4,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.26	9,000	2,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.27	10,100	1,100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.28	10,400	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.29	10,800	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.3	11,500	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.32	11,800	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.35	12,800	1,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.36	12,900	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.38	13,200	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.39	14,700	1,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.4	17,300	2,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.41	25,500	8,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.42	30,000	4,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.43	33,400	3,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.44	34,800	1,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.45	36,500	1,700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.46	37,200	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.47	41,000	3,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.48	42,497	1,497
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.49	42,797	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.5	45,197	2,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.51	45,597	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.52	46,597	1,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.54	47,897	1,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.55	48,897	1,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.56	49,197	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38	12.57	50,497	1,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-11-29	38		0	-50,497
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.325	100	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.33	300	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.34	600	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.35	800	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.39	900	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.4	3,400	2,500

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.405	3,800	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.41	12,800	9,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.42	15,100	2,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.43	22,300	7,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	37	12.44		15,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	37	12.44		15,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.44	37,600	15,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.45	42,400	4,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.46	43,100	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.47	45,900	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.48	46,500	600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.49	47,400	900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.495	47,500	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.5	48,300	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38	12.51	49,600	1,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-02	38		0	-49,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.03	100	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.04	400	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.07	800	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.08	1,000	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.09	1,100	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.1	1,300	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.11	1,400	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.13	2,000	600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.14	2,800	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.15	3,500	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.16	3,900	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.17	7,200	3,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.18	8,900	1,700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.19	11,800	2,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.2	14,800	3,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.21	15,600	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.22	17,700	2,100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.23	19,100	1,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.24	21,900	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.25	22,600	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.26	24,400	1,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.27	26,600	2,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.28	27,000	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.29	28,900	1,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.3	30,800	1,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.31	31,100	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.32	32,500	1,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.33	34,100	1,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.34	36,900	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.35	38,800	1,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.36	41,200	2,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.37	42,000	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.38	44,797	2,797
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.39	47,497	2,700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.4	49,097	1,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38	12.41	50,497	1,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-03	38		0	-50,497
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.34	900	900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.35	1,000	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.36	3,200	2,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.37	4,500	1,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.38	8,200	3,700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.39	14,300	6,100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.4	23,500	9,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.41	27,000	3,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.42	31,500	4,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.43	34,000	2,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.44	35,600	1,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.45	37,600	2,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.46	41,600	4,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.47	44,400	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.48	49,100	4,700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.49	49,400	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38	12.5	49,600	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-04	38		0	-49,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.19	300	300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.2	900	600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.21	2,100	1,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.23	2,300	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.24	3,000	700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.25	5,800	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.26	9,000	3,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.27	9,400	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.28	10,600	1,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.29	11,600	1,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.3	11,997	397
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.31	15,497	3,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.32	18,997	3,500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.33	24,197	5,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.34	29,497	5,300
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.35	36,097	6,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.36	37,697	1,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.37	40,797	3,100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.38	42,397	1,600
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.39	44,597	2,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.4	47,597	3,000
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.41	48,397	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.42	49,597	1,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.43	49,997	400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38	12.45	50,497	500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-05	38		0	-50,497
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.51	500	500
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.53	6,300	5,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.535	6,500	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.54	9,300	2,800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.55	10,897	1,597
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.555	10,997	100
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.56	14,197	3,200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.57	23,097	8,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.58	34,497	11,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.59	42,897	8,400
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.6	47,797	4,900
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.61	49,497	1,700
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.62	49,697	200
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38	12.63	50,497	800
Martinrea International Inc.	Common Shares	Martinrea International Inc.	1	2019-12-06	38		0	-50,497
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-25	38	3.1218	14,753	14,753
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-26	38	3.2794	26,253	11,500
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-27	38	3.3909	37,053	10,800
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-28	38	3.6408	47,953	10,900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-29	38	3.786	59,753	11,800
MAV Beauty Brands Inc.	Common Shares	MAV Beauty Brands Inc.	1	2019-11-30	38		0	-59,753
Mawson Resources Limited	Warrants	Sentient Executive GP IV, Limited (for the general partner of Sentient Global Resources Fund IV, L.P.)	3	2019-12-02	55		0	-2,689,033
Mawson Resources Limited	Warrants	Williams, Philip	4	2019-12-02	55		50,000	-25,000
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-01	30		0	-26,335
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-01	38	1.6	2,947	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-04	38	1.58	5,894	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-05	38	1.6	8,841	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-06	38	1.58	9,241	400
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-07	38	1.58	12,188	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-08	38	1.53	15,135	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-11	38	1.6	15,335	200
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-13	38	1.65	18,235	2,900
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-14	38	1.6	1,958,535	1,940,300
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-18	38	1.65	1,961,482	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-19	38	1.65	1,964,382	2,900
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-20	38	1.65	1,967,329	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-21	38	1.67	1,968,829	1,500
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-22	38	1.67	1,971,329	2,500
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-25	38	1.67	1,974,229	2,900
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-26	38	1.68	1,977,176	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-27	38	1.63	1,979,276	2,100
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-28	38	1.6	1,982,223	2,947
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2019-11-29	38	1.6	2,132,223	150,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-11-29	38	6.54	200	200
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-11-29	38		0	-200
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-02	38	6.5308	2,600	2,600
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-02	38		0	-2,600
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-03	38	6.5183	4,000	4,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-03	38		0	-4,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-04	38	6.5094	3,100	3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-04	38		0	-3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-05	38	6.4905	4,300	4,300
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2019-12-05	38		0	-4,300
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-01	38	3.98	1,000	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-04	38	3.98	1,400	400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-04	38	3.99	3,700	2,300
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-05	38	3.97	4,700	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-05	38	3.96	5,700	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-06	38	3.95	9,600	3,900

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-07	38	3.95	12,200	2,600
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-07	38	3.9	12,600	400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-08	38	3.95	13,600	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-12	38	3.95	15,100	1,500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-12	38	3.9	22,100	7,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-12	38	3.85	24,100	2,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-12	38	3.8	26,100	2,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.85	30,600	4,500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.75	31,500	900
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.8	37,700	6,200
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.89	38,300	600
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.9	40,700	2,400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-13	38	3.75	48,700	8,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-14	38	3.9	51,700	3,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-15	38	3.89	53,900	2,200
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-18	38	3.89	54,900	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-19	38	3.88	55,300	400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-20	38	3.88	55,900	600
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-22	38	3.88	60,400	4,500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-22	38	3.87	61,400	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-22	38	3.86	64,400	3,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-25	38	3.86	65,400	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-25	38	3.85	75,900	10,500

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Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-26	38	3.85	78,900	3,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-26	38	3.84	79,300	400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-26	38	3.9	81,300	2,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-27	38	3.84	81,900	600
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-27	38	3.9	85,100	3,200
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-27	38	4.05	86,100	1,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-28	38	4.24	86,600	500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-28	38	4	87,300	700
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-28	38	4.21	88,800	1,500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-28	38	4.2	89,300	500
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-28	38	4.1	90,900	1,600
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-29	38	4.1	92,300	1,400
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-29	38	4.05	97,100	4,800
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Medexus Pharmaceuticals Inc.	1	2019-11-29	38		0	-97,100
MEG Energy Corp.	Common Shares	Gizen, Jeremy James	5	2019-12-03	10	5.43	100	-6,909
MEG Energy Corp.	Common Shares	Gizen, Jeremy James	5	2019-12-03	10	5.44	0	-100
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2019-11-29	38	12.265	1,000	-12,300
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2019-12-02	38	12.47	1,200	200
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2019-12-03	38	12.498	2,200	1,000
Melcor Developments Ltd.	Common Shares	Melcor Developments Ltd.	1	2019-12-04	38	12.5	2,900	700
Methanex Corporation	Rights Restricted Share Units	Cook, Phillip Henry	4	2019-12-01	59		3,697	-1,820
Methanex Corporation	Common Shares	Floren, John	4, 5	2019-12-05	10	45.645	111,733	32,000
Methanex Corporation	Rights Restricted Share Units	Kostelnik, Robert	4	2019-12-01	59		3,697	-1,820
Methanex Corporation	Rights Restricted Share Units	WALKER, MARGARET REESE	4	2019-12-01	59		3,697	-1,820
Metro inc.	Unités d'actions différées/Deferred Stock Units	Bertrand, Maryse	4	2019-12-06	35	57.48	7,995	28
Metro inc.	Unités d'actions différées/Deferred Stock Units	Bertrand, Maryse	4	2019-12-06	56	58.18	8,232	237
Metro inc.	Unités d'actions différées/Deferred Stock Units	Boivin, Pierre	4	2019-09-23	00			
Metro inc.	Unités d'actions différées/Deferred Stock Units	Boivin, Pierre	4	2019-12-06	56	58.18	34	34

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Metro inc.	Unités d'actions différées/Deferred Stock Units	Coutu, François Jean	4	2019-12-06	56	58.18	414	414
Metro inc.	Unités d'actions différées/Deferred Stock Units	Coutu, Michel	4	2019-12-06	35	57.48	2,500	9
Metro inc.	Unités d'actions différées/Deferred Stock Units	Coutu, Michel	4	2019-12-06	56	58.18	2,935	435
Metro inc.	Unités d'actions différées/Deferred Stock Units	Coyles, Stephanie	4	2019-12-06	35	57.48	11,214	39
Metro inc.	Unités d'actions différées/Deferred Stock Units	Coyles, Stephanie	4	2019-12-06	56	58.18	11,649	435
Metro inc.	Unités d'actions différées/Deferred Stock Units	DESERRES, MARC	4	2019-12-06	35	57.48	44,258	153
Metro inc.	Unités d'actions différées/Deferred Stock Units	DESERRES, MARC	4	2019-12-06	56	58.18	44,475	217
Metro inc.	Unités d'actions différées/Deferred Stock Units	Dussault, Claude	4	2019-12-06	35	57.48	39,329	136
Metro inc.	Unités d'actions différées/Deferred Stock Units	Dussault, Claude	4	2019-12-06	56	58.18	39,586	257
Metro inc.	Common Shares	GIROUX, Marc	5	2019-11-27	47	58.59	11,383	-90
Metro inc.	Unités d'actions différées/Deferred Stock Units	Goodman, Russell Andrew	4	2019-12-06	35	57.48	11,005	38
Metro inc.	Unités d'actions différées/Deferred Stock Units	Goodman, Russell Andrew	4	2019-12-06	56	58.18	11,272	267
Metro inc.	Unités d'actions différées/Deferred Stock Units	GUAY, Marc	4	2019-12-06	35	57.48	7,188	25
Metro inc.	Unités d'actions différées/Deferred Stock Units	GUAY, Marc	4	2019-12-06	56	58.18	7,307	119
Metro inc.	Unités d'actions différées/Deferred Stock Units	HAUB, Christian W.E.	4	2019-12-06	35	57.48	55,302	192
Metro inc.	Unités d'actions différées/Deferred Stock Units	HAUB, Christian W.E.	4	2019-12-06	56	58.18	55,737	435
Metro inc.	Unités d'actions différées/Deferred Stock Units	Magee, Christine	4	2019-12-06	35	57.48	8,512	30
Metro inc.	Unités d'actions différées/Deferred Stock Units	Magee, Christine	4	2019-12-06	56	58.18	8,947	435
Metro inc.	Common Shares	Metro inc.	1	2019-11-05	38	54.9	50,000	50,000
Metro inc.	Common Shares	Metro inc.	1	2019-11-05	38		0	-50,000
Metro inc.	Unités d'actions différées/Deferred Stock Units	Nadeau, Marie-Jose	4	2019-12-06	35	57.48	37,874	131
Metro inc.	Unités d'actions différées/Deferred Stock Units	Nadeau, Marie-Jose	4	2019-12-06	56	58.18	37,993	119
Metro inc.	Unités d'actions différées/Deferred Stock Units	Raymond, Réal	4	2019-12-06	35	57.48	38,678	134
Metro inc.	Unités d'actions différées/Deferred Stock Units	Raymond, Réal	4	2019-12-06	56	58.18	39,172	494
Metro inc.	Unités d'actions différées/Deferred Stock Units	Rivard, Line	4	2019-12-06	35	57.48	16,041	56

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Metro inc.	Unités d'actions différées/Deferred Stock Units	Rivard, Line	4	2019-12-06	56	58.18	16,515	474
Mich Resources Ltd.	Common Shares	Brown, Mark Thomas	4, 5	2019-12-04	37	0.0025	1,600,000	800,000
Midland Exploration Inc.	Common Shares	Archer, Paul	4	2019-12-04	16	1.1	85,000	40,000
Midland Exploration Inc.	Common Shares	Branchaud, René	4, 5	2019-12-04	16	1.1	317,889	25,000
Midland Exploration Inc.	Common Shares	Carrière, Germain	4	2019-12-04	16	1.1	258,743	10,000
Midland Exploration Inc.	Common Shares	Janson, Jean-Pierre	4	2019-12-04	16	1.1	1,436,648	35,000
Midland Exploration Inc.	Common Shares	MARTIN, INGRID	5	2019-12-04	16	1.1	280,000	20,000
Midland Exploration Inc.	Common Shares	Masson, Mario	5	2019-12-04	16	1.1	160,000	10,000
Midland Exploration Inc.	Common Shares	Roger, Gino	4, 5	2019-12-04	16	1.1	889,722	19,000
Millrock Resources Inc.	Common Shares	Beischer, Gregory Allan	5	2019-12-02	10	0.0923	886,706	5,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2019-11-29	38	6.0705	71,573,151	4,300
MINT Income Fund	Trust Units	MINT Income Fund	1	2019-12-02	38	6.1	71,573,551	400
MINT Income Fund	Trust Units	MINT Income Fund	1	2019-12-04	38	6.0071	71,574,251	700
Minto Apartment Real Estate Investment Trust	Deferred Units	Baron, Paul	5	2019-12-01	30		11,222	6,000
Minto Apartment Real Estate Investment Trust	Deferred Units	MacMullin, Roderick Glen	5	2019-09-05	00			
Minto Apartment Real Estate Investment Trust	Deferred Units	MacMullin, Roderick Glen	5	2019-12-01	30		12,000	12,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Morin, Julie	5	2019-12-01	30		17,222	12,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Moss, John Edward	5	2018-07-03	00			
Minto Apartment Real Estate Investment Trust	Deferred Units	Moss, John Edward	5	2019-12-01	30		10,000	10,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Mullen, Benjamin James	5	2019-12-01	00		6,000	
Minto Apartment Real Estate Investment Trust	Units	Mullen, Benjamin James	5	2019-12-01	00		1,400	
Minto Apartment Real Estate Investment Trust	Deferred Units	Tovey, Martin	5	2019-12-01	30		11,222	6,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Van Noten, George Edward	5	2019-12-01	30		15,481	12,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2019-11-27	90		895,027	132,574
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2019-11-27	90		174,937	-132,574
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Mohamed, Minhas	4	2019-11-30	97		93,392	299
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2017-11-29	00			
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2019-06-21	97		152,639	152,639
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2019-09-18	10	4.02	154,239	1,600
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2019-12-02	97		155,049	810
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2019-06-21	97		118,793	84,660
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2019-12-02	97		118,881	88
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Van Winters, Kees Cornelis	4	2017-11-29	00		$59,500	

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Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Van Winters, Kees Cornelis	4	2017-11-29	00		$6,500	
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.15	11,484,667	32,500
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.148	11,514,667	30,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.145	11,524,667	10,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.145	11,534,667	10,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.15	11,544,667	10,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.155	11,574,667	30,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.155	11,577,667	3,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-25	10	0.14	11,582,667	5,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-26	10	0.155	11,589,667	7,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-26	10	0.153	11,639,667	50,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-26	10	0.145	11,642,667	3,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-27	10	0.145	11,689,667	47,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-27	10	0.144	11,708,667	19,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-28	10	0.14	11,758,667	50,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-28	10	0.14	11,768,667	10,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-11-29	10	0.145	11,770,667	2,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-12-02	10	0.145	11,783,667	13,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-12-02	10	0.145	11,789,667	6,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-12-03	10	0.15	11,814,667	25,000
Mondias Natural Products Inc.	Common Shares	Rancourt, André	3, 4, 5	2019-12-04	10	0.145	11,839,667	25,000
MONETA PORCUPINE MINES INC.	Common Shares	Vejvoda, Josef	4	2019-12-02	10	0.118	26,937,091	139,000
MONETA PORCUPINE MINES INC.	Common Shares	Vejvoda, Josef	4	2019-12-03	10	0.116	27,172,591	235,500
MONETA PORCUPINE MINES INC.	Common Shares	Vejvoda, Josef	4	2019-12-04	10	0.123	27,337,091	164,500
MONETA PORCUPINE MINES INC.	Common Shares	Vejvoda, Josef	4	2019-12-05	10	0.124	27,490,591	153,500
MONETA PORCUPINE MINES INC.	Common Shares	Vejvoda, Josef	4	2019-12-06	10	0.121	27,733,591	243,000
Monterey Minerals Inc. (formerly 1001886 B.C. Ltd.)	Common Shares	Macintosh, James Maitland	4, 5	2019-12-02	10	0.04	600,000	100,000
Monterey Minerals Inc. (formerly 1001886 B.C. Ltd.)	Common Shares	Macintosh, James Maitland	4, 5	2019-12-03	10	0.04	700,000	100,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-11-01	38	0.34	168,000	49,500
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-11-01	38	0.33	218,000	50,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-11-01	38	0.34	242,000	24,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-11-27	38	0.38	132,000	8,500
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-12-02	38	0.34	82,500	-49,500
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-12-02	38	0.33	32,500	-50,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-12-02	38	0.34	8,500	-24,000
Morien Resources Corp.	Common Shares	Morien Resources Corp	1	2019-12-02	38	0.38	0	-8,500
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2019-11-30	57	32.668	59,438	6,356

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Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2019-11-30	59	32.668	53,082	-6,356
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2019-11-30	57	32.668	64,740	11,658
Morneau Shepell Inc.	Common Shares	Chamberland, Pierre	5	2019-11-30	59	32.668	53,082	-11,658
Morneau Shepell Inc.	Rights 2017 RSU	Chamberland, Pierre	5	2019-11-30	57	32.668	7,880	-11,658
Morneau Shepell Inc.	Rights PSU	Chamberland, Pierre	5	2019-11-30	57	32.668	2,024	-6,356
Morneau Shepell Inc.	Common Shares	Fridella, Rita Elena	5	2019-11-30	57	32.668	14,352	4,982
Morneau Shepell Inc.	Common Shares	Fridella, Rita Elena	5	2019-11-30	59	32.668	9,370	-4,982
Morneau Shepell Inc.	Common Shares	Fridella, Rita Elena	5	2019-11-30	57	32.668	16,864	7,494
Morneau Shepell Inc.	Common Shares	Fridella, Rita Elena	5	2019-11-30	59	32.668	9,370	-7,494
Morneau Shepell Inc.	Rights 2017 RSU	Fridella, Rita Elena	5	2019-11-30	57	32.668	8,727	-7,494
Morneau Shepell Inc.	Rights PSU	Fridella, Rita Elena	5	2019-11-30	57	32.668	2,726	-4,982
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2011-01-01	00			
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2019-11-30	57	32.668	28,560	28,560
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2019-11-30	59	32.668	0	-28,560
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2019-11-30	57	32.668	17,130	17,130
Morneau Shepell Inc.	Common Shares	Liptrap, Stephen	5	2019-11-30	59	32.668	0	-17,130
Morneau Shepell Inc.	Rights 2017 RSU	Liptrap, Stephen	5	2019-11-30	57	32.668	20,190	-17,130
Morneau Shepell Inc.	Rights PSU	Liptrap, Stephen	5	2019-11-30	57	32.668	17,407	-28,560
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2019-11-30	57	32.668	5,718	5,718
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2019-11-30	59	32.668	0	-5,718
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2019-11-30	57	32.668	10,704	10,704
Morneau Shepell Inc.	Common Shares	Milligan, Scott	5	2019-11-30	59	32.668	0	-10,704
Morneau Shepell Inc.	Rights 2017 RSU	Milligan, Scott	5	2019-11-30	57	32.668	7,155	-10,704
Morneau Shepell Inc.	Rights PSU	Milligan, Scott	5	2019-11-30	57	32.668	1,825	-5,718
Mota Ventures Corp.	Common Shares	Clelland, Chadwick Adam	4	2019-12-04	10	0.32	1,020,033	20,000
Mota Ventures Corp.	Options MIO	Clelland, Chadwick Adam	4	2019-10-28	00			
Mota Ventures Corp.	Options MIO	Clelland, Chadwick Adam	4	2019-12-03	50		1,500,000	1,500,000
Mota Ventures Corp.	Options MIO	Shacker, Joel	4, 5	2019-04-18	00			
Mota Ventures Corp.	Options MIO	Shacker, Joel	4, 5	2019-12-03	50		500,000	500,000
Mota Ventures Corp.	Options MIO	Szascha, Lim	5	2019-12-03	50		100,000	100,000
MTY Food Group Inc.	Common Shares	Brading, Jason	5	2019-11-30	30	56.28	630	198
Mullen Group Ltd.	Common Shares	Tibbatts, Sonia Gae	4	2019-12-03	10	8	14,969	1,200
Murchison Minerals Ltd.	Options	Arsenault, Denis	4	2019-12-02	52		265,000	-73,400
Murchison Minerals Ltd.	Options	Johnson, Donald Kenneth	3, 4	2019-12-02	52		265,000	-126,800
Murchison Minerals Ltd.	Options	Martin, Erik H.	5	2019-12-02	52	0.3	375,000	-100,100
Murchison Minerals Ltd.	Options	Potvin, Jean-Charles	4, 5	2019-12-02	52	0.3	440,000	-126,800
Murchison Minerals Ltd.	Options	Pyper, David James	4	2019-12-02	52		270,000	-80,100
NameSilo Technologies Corp. (formerly known as Brisio Innovations Inc.)	Common Shares	Andreola, Gianpaolo Fabrisio	4	2019-12-04	10	0.48	2,218,866	1,500
NameSilo Technologies Corp. (formerly known as Brisio Innovations Inc.)	Common Shares	Andreola, Gianpaolo Fabrisio	4	2019-12-05	10	0.5	2,236,866	18,000
NameSilo Technologies Corp. (formerly known as Brisio Innovations Inc.)	Common Shares	Andreola, Gianpaolo Fabrisio	4	2019-12-05	10	0.49	2,246,866	10,000
NameSilo Technologies Corp. (formerly known as Brisio Innovations Inc.)	Common Shares	Andreola, Gianpaolo Fabrisio	4	2019-12-06	10	0.49	2,267,866	21,000
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-01	38		1,800	1,800
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-01	38		0	-1,800
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-04	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-04	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-05	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-05	38		0	-10,657

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-06	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-06	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-07	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-07	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-08	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-08	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-11	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-11	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-12	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-12	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-14	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-14	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-15	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-15	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-18	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-18	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-19	38		10,657	10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-19	38		0	-10,657
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-20	38		2,500	2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-20	38		0	-2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-21	38		2,500	2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-21	38		0	-2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-22	38		2,500	2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-22	38		0	-2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-25	38		2,500	2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-25	38		0	-2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-26	38		2,500	2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-26	38		0	-2,500
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-28	38		200	200
Neo Performance Materials Inc.	Common Shares	Neo Performance Materials Inc.	1	2019-11-28	38		0	-200
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2019-11-12	00			
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2019-12-02	56			94,406
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2019-12-02	56		94,406	94,406
Neovasc Inc.	Restricted Stock Units	Little, William Reed	5	2019-12-02	56		152,956	58,550

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Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Cammarata, Michael Taylor	4	2019-12-03	10	2.7	692,335	3,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Moretz, John Morris	4	2019-12-02	10	2.74	2,712,726	10,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Moretz, John Morris	4	2019-12-04	10	2.69	2,722,726	10,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-02	51		107,787	29,298
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-02	10	3.696	78,489	-29,298
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-03	51		90,489	12,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-03	10	3.69	78,489	-12,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-04	51		96,489	18,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Common Shares	Timperio, Michel	5	2019-12-04	10	3.69	78,489	-18,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	Timperio, Michel	5	2019-12-02	51	1.63	972,965	-29,298
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	Timperio, Michel	5	2019-12-03	51	1.36	960,965	-12,000
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	Timperio, Michel	5	2019-12-04	51	1.36	942,965	-18,000
Nevada Sunrise Gold Corporation	Common Shares	Petterson, Brent	5	2019-12-04	10	0.04	0	-100,000
New Dimension Resources Ltd.	Common Shares	Roth, Eric	4, 5	2019-12-06	10	0.035	5,247,185	5,000
New Pacific Metals Corp.	Rights Restricted Share Units	Austin, Jacob (Jack)	4	2008-04-13	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Austin, Jacob (Jack)	4	2019-12-02	56		31,900	31,900
New Pacific Metals Corp.	Rights Restricted Share Units	CRUISE, MARK DANIEL	5	2019-11-12	00			
New Pacific Metals Corp.	Rights Restricted Share Units	CRUISE, MARK DANIEL	5	2019-12-02	56		300,000	300,000
New Pacific Metals Corp.	Rights Restricted Share Units	Feng, Rui	4, 6, 5	2004-05-12	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Feng, Rui	4, 6, 5	2019-12-02	56		150,000	150,000
New Pacific Metals Corp.	Rights Restricted Share Units	Hawkins, Thomas Gregory	4	2011-07-14	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Hawkins, Thomas Gregory	4	2019-12-02	56		31,900	31,900
New Pacific Metals Corp.	Rights Restricted Share Units	Kim, Yong-Jae	5	2018-12-10	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
New Pacific Metals Corp.	Rights Restricted Share Units	Kim, Yong-Jae	5	2019-12-02	56		20,000	20,000
New Pacific Metals Corp.	Rights Restricted Share Units	Kong, David TokPay	4	2010-11-29	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Kong, David TokPay	4	2019-12-02	56		31,900	31,900
New Pacific Metals Corp.	Rights Restricted Share Units	Liu, Derek Zhihua	6	2015-02-02	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Liu, Derek Zhihua	6	2019-12-02	56		15,000	15,000
New Pacific Metals Corp.	Rights Restricted Share Units	Neal, Gordon	6	2016-09-30	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Neal, Gordon	6	2019-12-02	56		100,000	100,000
New Pacific Metals Corp.	Rights Restricted Share Units	Wafforn, Martin	4	2017-11-24	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Wafforn, Martin	4	2019-12-02	56		31,900	31,900
New Pacific Metals Corp.	Rights Restricted Share Units	Yuan, Jialiang	5	2015-02-07	00			
New Pacific Metals Corp.	Rights Restricted Share Units	Yuan, Jialiang	5	2019-12-02	56		30,000	30,000
New Pacific Metals Corp.	Rights Restricted Share Units	ZHANG, YONGMING	5	2017-06-16	00			
New Pacific Metals Corp.	Rights Restricted Share Units	ZHANG, YONGMING	5	2019-12-02	56		50,000	50,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Young, Steven Allan	5	2019-12-04	10	26.3	2,950	350
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2019-11-29	10	0.11	9,051,071	37,000
Nicola Mining Inc.	Common Shares	Espig, Peter Edward	4	2019-12-03	10	0.1	9,041,071	-10,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2019-12-03	10	0.4171	42,871,489	28,000
Nighthawk Gold Corp.	Common Shares	Eves, Ernest Larry	4	2019-11-29	10	0.36	358,000	-57,000
Nighthawk Gold Corp.	Common Shares	Eves, Ernest Larry	4	2019-11-29	10	0.355	315,000	-43,000
Nighthawk Gold Corp.	Common Shares	Eves, Ernest Larry	4	2019-12-02	10	0.37	0	-315,000
Nighthawk Gold Corp.	Common Shares	Howlett, Brian	4	2019-12-04	10	0.42	290,000	10,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Legault, Raymond	4	2008-06-05	00			
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Legault, Raymond	4	2019-09-24	90		2,000	2,000
NioBay Metals Inc. (formerly MDN INC.)	Common Shares	Legault, Raymond	4	2019-09-24	90		0	-2,000
Northern Dynasty Minerals Ltd.	Warrants	Dickinson, Robert Allan	3, 4	2019-12-03	53	0.75	598,110	120,000
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-4,076,855
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-125,000
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-3,011,120
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-1,182,514
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-1,405,151
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-1,077,090
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-1,405,150
Northview Apartment Real Estate Investment Trust	Exchangeable Shares .3908 exchangeable unit=1 unit and 1 sv unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-105,357

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Northview Apartment Real Estate Investment Trust	Limited Partnership Units 1 Class B LP Unit = 1 trust unit and 1 special voting unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-1,164,669
Northview Apartment Real Estate Investment Trust	Limited Partnership Units 1 Class B LP Unit = 1 trust unit and 1 special voting unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-36,382
Northview Apartment Real Estate Investment Trust	Limited Partnership Units 1 Class B LP Unit = 1 trust unit and 1 special voting unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-153,792
Northview Apartment Real Estate Investment Trust	Limited Partnership Units 1 Class B LP Unit = 1 trust unit and 1 special voting unit	Drimmer, Daniel	3, 4	2019-12-02	36		0	-194,896
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		3,191,837	2,944,482
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		36,382	36,382
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		64,496	48,850
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		1,176,745	1,176,745
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		153,792	153,792
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		462,126	462,126
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		549,133	549,133
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		615,822	615,822
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		549,132	549,132
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2015-10-30	00			
Northview Apartment Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	36		41,173	41,173
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Chande, Shailen	5	2019-12-02	57	12.37	94,726	-2,316
Norvista Capital Corporation	Common Shares	Norvista Capital Corporation	1	2019-11-12	38	0.08	514,000	10,000
Norvista Capital Corporation	Common Shares	Norvista Capital Corporation	1	2019-11-12	38	0.075	524,000	10,000
Norvista Capital Corporation	Common Shares	Norvista Capital Corporation	1	2019-11-12	38	0.075	538,000	14,000
Nova Leap Health Corp.	Common Shares	Spidle, Megan Gail	5	2019-11-29	54	0.35	912,500	62,500
Nova Leap Health Corp.	Common Shares	Spidle, Megan Gail	5	2019-11-29	54	0.375	962,500	50,000
Nova Leap Health Corp.	Warrants	Spidle, Megan Gail	5	2019-11-29	54	0.35	50,000	-62,500
Nova Leap Health Corp.	Warrants	Spidle, Megan Gail	5	2019-11-29	54	0.375	0	-50,000
NOVAGOLD RESOURCES INC.	Options	Dowdall, Sharon Elizabeth	4	2019-12-01	50	9.24	447,500	56,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Dowdall, Sharon Elizabeth	4	2019-12-02	56		33,125	647
NOVAGOLD RESOURCES INC.	Options	Garrett, Diane Renee	4	2019-12-01	50	6.96	245,600	54,300

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NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Garrett, Diane Renee	4	2019-12-02	56	8.9813	4,894	647
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2019-12-02	36		473,064	46,650
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2019-12-02	38	9.24	461,401	-11,663
NOVAGOLD RESOURCES INC.	Options	HENNESSEY, MELANIE	5	2019-12-01	50	9.24	913,100	98,500
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	HENNESSEY, MELANIE	5	2019-12-01	56		163,300	35,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	HENNESSEY, MELANIE	5	2019-12-02	36		132,200	-31,100
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Kaplan, Thomas	4	2019-12-02	56	8.9813	68,639	1,294
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2019-12-02	36		380,246	277,500
NOVAGOLD RESOURCES INC.	Common Shares	Lang, Gregory Anthony	5	2019-12-02	38	6.96	257,174	-123,072
NOVAGOLD RESOURCES INC.	Options	Lang, Gregory Anthony	5	2019-12-01	50	6.96	5,178,000	546,000
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Lang, Gregory Anthony	5	2019-12-01	56		962,800	204,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Lang, Gregory Anthony	5	2019-12-02	36		777,800	-185,000
NOVAGOLD RESOURCES INC.	Options	Levental, Igor	4	2019-12-01	50	6.96	443,800	54,300
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Levental, Igor	4	2019-12-02	56		46,246	647
NOVAGOLD RESOURCES INC.	Options	Madhavpeddi, Kalidas	4	2019-12-01	50	6.96	443,800	54,300
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Madhavpeddi, Kalidas	4	2019-12-02	56		37,974	647
NOVAGOLD RESOURCES INC.	Options	Nauman, Clynton R.	4	2019-12-01	50	6.96	443,800	54,300
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Nauman, Clynton R.	4	2019-12-02	56		37,972	647
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2019-12-02	36		655,995	92,550
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2019-12-02	38	6.96	614,949	-41,046
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2019-12-05	51	4.58	831,563	216,614
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2019-12-05	38	7.19	693,560	-138,003
NOVAGOLD RESOURCES INC.	Common Shares	Ottewell, David	5	2019-12-05	10	7.19	614,949	-78,611
NOVAGOLD RESOURCES INC.	Options	Ottewell, David	5	2019-12-01	50	6.96	1,251,000	194,000
NOVAGOLD RESOURCES INC.	Options	Ottewell, David	5	2019-12-05	51	4.58	1,034,386	-216,614
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Ottewell, David	5	2019-12-01	56		330,100	72,700
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Ottewell, David	5	2019-12-02	36		268,400	-61,700
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	2019-12-02	36		149,513	31,650
NOVAGOLD RESOURCES INC.	Common Shares	Rimelman, Ronald	5	2019-12-02	38	6.96	135,476	-14,037
NOVAGOLD RESOURCES INC.	Options	Rimelman, Ronald	5	2019-12-01	50	6.96	601,500	110,200
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Rimelman, Ronald	5	2019-12-01	56		129,100	41,300
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Rimelman, Ronald	5	2019-12-02	36		108,000	-21,100
NOVAGOLD RESOURCES INC.	Options	Schutt, Ethan	4	2019-12-01	50	6.96	154,300	54,300

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Schutt, Ethan	4	2019-12-02	56		1,415	647
NOVAGOLD RESOURCES INC.	Options	Walsh, Anthony P.	4	2019-12-01	50	9.24	309,500	56,200
NOVAGOLD RESOURCES INC.	Rights Deferred Share Unit	Walsh, Anthony P.	4	2019-12-02	56		33,124	647
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2019-12-02	36		334,962	57,225
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2019-12-02	38	6.96	309,582	-25,380
NOVAGOLD RESOURCES INC.	Options	Williams, Richard	5	2019-12-01	50	6.96	1,050,000	120,000
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Williams, Richard	5	2019-12-01	56		204,200	45,000
NOVAGOLD RESOURCES INC.	Rights Performance Share Unit	Williams, Richard	5	2019-12-02	36		166,050	-38,150
Novoheart Holdings Inc.	Options	Costa, Kevin David	5	2017-09-27	00			
Novoheart Holdings Inc.	Options	Costa, Kevin David	5	2017-09-27	00		233,660	
Novoheart Holdings Inc.	Options	Hajjar, Roger Joseph	5	2019-04-04	00			
Novoheart Holdings Inc.	Options	Hajjar, Roger Joseph	5	2019-11-28	50	0.39	45,000	45,000
Novoheart Holdings Inc.	Common Shares	Ngan Ng, Yu Ying	4	2019-12-06	10	0.44	2,805,728	51,000
Novoheart Holdings Inc.	Common Shares	Ngan Ng, Yu Ying	4	2019-12-06	10	0.45	2,827,228	21,500
NSR Resources Inc.	Options	Ferrari, Eugenio	4, 5	2019-11-28	22	0.05	0	-500,000
NSR Resources Inc.	Options	Marrelli, Carmelo	4	2019-11-28	22		0	-200,000
NSR Resources Inc.	Common Shares	Rassmuss, Juan Enrique	3, 4	2019-11-28	22		0	-9,574,295
NSR Resources Inc.	Options	Rassmuss, Juan Enrique	3, 4	2019-11-28	22		0	-1,000,000
NSR Resources Inc.	Common Shares	Tintina Mines Limited	3	2019-11-28	00		27,408,131	
Nutrien Ltd.	Common Shares	Frank, Michael John	5	2019-12-02	10	46.99	5,300	5,300
Nutrien Ltd.	Common Shares	JONES, SUSAN C.	5	2019-12-03	10	61.314	13,067	8,150
Nutrien Ltd.	Common Shares	Thompson, Mark	5	2019-12-02	10	61.77	1,840	410
NXT Energy Solutions Inc.	Common Shares	Wilcox, Bruce G.	4	2019-11-26	10	0.355		7,600
NXT Energy Solutions Inc.	Common Shares	Wilcox, Bruce G.	4	2019-11-26	10	0.355	325,000	7,500
Olympia Financial Group Inc.	Common Shares	McKenna, John Ryan	5	2018-02-01	00			
Olympia Financial Group Inc.	Common Shares	McKenna, John Ryan	5	2019-12-06	30	45.293	83	83
ONEX CORPORATION	Subordinate Voting Shares	Heersink, Ewout R.	4, 5	2019-12-02	11	78.6	48,170	-635
Orbit Garant Drilling Inc.	Options	Alexandre, Eric	4, 5	2019-12-04	50			150,000
Orbit Garant Drilling Inc.	Options	Alexandre, Eric	4, 5	2019-12-04	50			150,000
Orbit Garant Drilling Inc.	Options	Alexandre, Eric	4, 5	2019-12-04	50		926,000	150,000
Orbit Garant Drilling Inc.	Options	Alexandre, Pierre	3, 4, 5	2019-12-04	50			75,000
Orbit Garant Drilling Inc.	Options	Alexandre, Pierre	3, 4, 5	2019-12-04	50			75,000
Orbit Garant Drilling Inc.	Options	Alexandre, Pierre	3, 4, 5	2019-12-04	50		444,000	75,000
Orbit Garant Drilling Inc.	Options	Carmel, Paul Raymond	4	2019-12-04	50		181,000	30,000
Orbit Garant Drilling Inc.	Options	Gula, William	4	2019-12-04	50		178,000	30,000
Orbit Garant Drilling Inc.	Options	Laliberté, Jean-Yves	4	2019-12-04	50		211,000	30,000
Orbit Garant Drilling Inc.	Options	Laplante, Alain	5	2019-12-04	50		514,000	75,000
ORIGIN GOLD CORPORATION (formerly OneCap Investment Corporation)	Options	Gosselin, Réjean	4, 5	2019-12-05	50		1,779,783	430,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-11-25	10	0.22	220,839	22,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-11-26	10	0.23	229,339	8,500
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-11-29	10	0.25	240,339	11,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-12-02	10	0.26	193,000	15,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-12-03	10	0.26	270,000	77,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2019-12-04	10	0.26	270,500	500
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Mainville, Luc	5	2019-11-28	10	0.18	695,000	38,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Mainville, Luc	5	2019-12-05	10	0.2425	705,000	10,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OSISKO GOLD ROYALTIES LTD	Options	Burzynski, John Feliks	4	2019-11-21	22			225,000
OSISKO GOLD ROYALTIES LTD	Options	Burzynski, John Feliks	4	2019-11-21	22			225,000
OSISKO GOLD ROYALTIES LTD	Options	Burzynski, John Feliks	4	2019-11-21	22		735,600	650,000
OSISKO GOLD ROYALTIES LTD	Options	Burzynski, John Feliks	4	2019-11-21	22		108,804	-626,796
OSISKO GOLD ROYALTIES LTD	Common Shares	Coates, Bryan A.	5	2019-12-05	16	3.4	210,717	44,000
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2019-11-21	22		5,955,781	5,511,312
OSISKO GOLD ROYALTIES LTD	Common Shares	Roosen, Sean	4, 5	2019-11-21	22		641,223	-5,314,558
OSISKO GOLD ROYALTIES LTD	Options	Roosen, Sean	4, 5	2019-11-21	22		2,428,200	1,900,000
OSISKO GOLD ROYALTIES LTD	Options	Roosen, Sean	4, 5	2019-11-21	22		596,030	-1,832,170
OSISKO GOLD ROYALTIES LTD	Common Shares	Vézina, François	5	2019-11-21	22		31,752	25,000
OSISKO GOLD ROYALTIES LTD	Common Shares	Vézina, François	5	2019-11-21	22		7,644	-24,108
OSISKO GOLD ROYALTIES LTD	Options	Vézina, François	5	2019-11-21	22		1,271,500	1,250,000
OSISKO GOLD ROYALTIES LTD	Options	Vézina, François	5	2019-11-21	22		66,125	-1,205,375
Osisko Mining Inc.	Common Shares	Labbé, Pierre	6	2019-12-05	16	3.4	30,900	10,000
Osisko Mining Inc.	Common Shares	Lévesque, Elif	6	2019-12-05	16	3.4	39,300	5,900
Osisko Mining Inc.	Common Shares	OSISKO GOLD ROYALTIES LTD	3	2019-12-05	11	2.6	45,969,569	1,154,000
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2017-02-28	16	3.4	1,188,590	58,824
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-01-24	54	1.44		84,400
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-01-24	54	1.44	1,307,390	83,400
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-06-14	10	3.4372		-10,000
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-06-14	10	3.4372		-44,400
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-06-14	10	3.4372	1,077,390	-54,400
Osisko Mining Inc.	Common Shares	Roosen, Sean	3, 4	2019-12-05	16	3.4	1,046,490	44,100
Osisko Mining Inc.	Warrants 2016	Roosen, Sean	3, 4	2019-01-24	55	1.44		-84,400
Osisko Mining Inc.	Warrants 2016	Roosen, Sean	3, 4	2019-01-24	54	1.44		-84,400
Osisko Mining Inc.	Warrants 2016	Roosen, Sean	3, 4	2019-01-24	54	1.44	1,000	-83,400
Osisko Mining Inc.	Common Shares	Satov, Amy Joy	4	2019-12-05	16	3.4		18,900
Osisko Mining Inc.	Common Shares	Satov, Amy Joy	4	2019-12-05	16	3.4	22,575	3,675
Osisko Mining Inc.	Common Shares	Savard, Mathieu	5	2019-12-05	16	3.4	36,000	20,000
Osisko Mining Inc.	Common Shares	Wares, Robert	5	2019-12-05	16	3.4	1,634,585	100,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Warrants 2017	Roosen, Sean	3, 4	2017-02-28	16	5		58,824
Osisko Mining Inc. (formerly Oban Mining Corporation)	Warrants 2017	Roosen, Sean	3, 4	2017-02-28	16	5		58,824
Osisko Mining Inc. (formerly Oban Mining Corporation)	Warrants 2017	Roosen, Sean	3, 4	2017-02-28	16	5		58,824
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2017-07-27	97	4.47		2,169,941
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2017-07-27	97	4.47	2,179,541	2,179,541
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.57	3,180,141	600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.565	3,181,141	1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.563	3,182,141	1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5633	3,182,741	600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5642	3,187,841	5,100

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5599	3,204,441	16,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.55	3,205,241	800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.55	3,217,541	12,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.545	3,218,341	800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5445	3,295,341	77,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5273	3,304,041	8,700
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5346	3,308,941	4,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4975	3,386,841	77,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4949	3,416,441	29,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4752	3,424,741	8,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5205	3,426,941	2,200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5085	3,428,241	1,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4576	3,435,041	6,800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.489	3,437,041	2,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4493	3,461,641	24,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4548	3,498,241	36,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4649	3,517,641	19,400
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55	3,517,941	300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55	3,541,941	24,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.547	3,542,441	500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55	3,548,941	6,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55	3,704,441	155,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49	3,704,641	200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.4897	3,707,641	3,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49	3,707,841	200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49	3,709,641	1,800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2017-12-12	16	4.8		5,200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2017-12-12	16	6.14	166,011	5,200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.57		600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.565		1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.563		1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.5633		600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.5642		5,100

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Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-27	10	2.5599		16,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.55		800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.55		12,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.545		800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.5445		77,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.5273		8,700
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.5346		4,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4975		77,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4949		29,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4752		8,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.5205		2,200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.5085		1,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4576		6,800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.489		2,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4493		24,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4548		36,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-28	10	2.4649		19,400
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.57		600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.565		1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.563		1,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5633		600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5642		5,100
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.5599		16,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.55		300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.55		24,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.547		500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.55		6,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-03-29	10	2.55		155,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.55		800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.55		12,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.545		800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5445		77,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5273		8,700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5346		4,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4975		77,900
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4949		29,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4752		8,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5205		2,200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.5085		1,300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4576		6,800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.489		2,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4493		24,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4548		36,600
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4649		19,400
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.49		200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.4897		3,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.49		200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-02	10	2.49		1,800
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55		300
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55		24,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.547		500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55		6,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-03	10	2.55		155,500
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49		200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.4897		3,000
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49		200
Osisko Mining Inc. (formerly Oban Mining Corporation)	Common Shares	Vizquerra, Jose	5	2018-04-04	10	2.49		1,800
Palamina Corp.	Common Shares	Thomson, Andrew	4	2019-12-03	10	0.21	336,316	1,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2019-11-28	10	0.22	646,700	1,000
Pan American Silver Corp.	Common Shares	Couturier, Ignacio Llerena	5	2019-11-29	51	18.53	9,913	2,892
Pan American Silver Corp.	Common Shares	Couturier, Ignacio Llerena	5	2019-11-29	10	25	7,021	-2,892
Pan American Silver Corp.	Options	Couturier, Ignacio Llerena	5	2019-11-29	51	18.53	49,145	-2,892
Paramount Resources Ltd.	Options	Bell, James Geral	4	2019-12-04	50	5.93	75,000	15,000
Parex Resources Inc.	Common Shares	Mac Dougall, G.R. (Bob)	4	2019-12-02	47		0	-2,053
Parex Resources Inc.	Common Shares	Mac Dougall, G.R. (Bob)	4	2019-12-02	47		14,738	2,053
Parex Resources Inc.	Common Shares	Miller, Ronald Douglas	4	2019-12-04	10	19.917	63,690	5,265
Parex Resources Inc.	Common Shares	Miller, Ronald Douglas	4	2019-12-04	47	19.917	36,310	-5,265
Park Lawn Corporation	Deferred Share Units	Craighead, Jane	4	2019-11-30	56		1,187	553
Park Lawn Corporation	Deferred Share Units	Powers, Timothy Ashton	4	2019-11-30	56		6,629	575
Park Lawn Corporation	Deferred Share Units	Scott, Steven	4	2019-11-30	56		9,353	638
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2019-11-30	56		9,074	553
Partners Value Investments LP	Limited Partnership Units Class A Preferred, Series 1	Lawson, Brian	4	2016-07-04	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Partners Value Investments LP	Limited Partnership Units Class A Preferred, Series 1	Lawson, Brian	4	2019-11-25	11	27.566	41,031	41,031
Partners Value Investments LP	Limited Partnership Units Class A Preferred, Series 1	Lawson, Brian	4	2016-07-04	00			
Partners Value Investments LP	Limited Partnership Units Class A Preferred, Series 1	Lawson, Brian	4	2019-11-25	11	27.566	41,031	41,031
Partners Value Investments LP	Limited Partnership Units Class A Preferred, Series 1	Lawson, Brian	4	2019-11-25	11		0	-82,062
Partners Value Split Corp.	Preferred Shares Class AA Series 7	ZARBONI, RALPH	6	2019-11-19	10	25.83	19,500	-500
Partners Value Split Corp.	Preferred Shares Class AA Series 7	ZARBONI, RALPH	6	2019-11-20	10	25.83	17,600	-1,900
Partners Value Split Corp.	Preferred Shares Class AA Series 7	ZARBONI, RALPH	6	2019-11-20	10	25.8	14,400	-3,200
Partners Value Split Corp.	Preferred Shares Class AA Series 7	ZARBONI, RALPH	6	2019-11-21	10	25.84	9,400	-5,000
Partners Value Split Corp.	Preferred Shares Class AA Series 7	ZARBONI, RALPH	6	2019-11-22	10	25.851	4,900	-4,500
Pason Systems Inc.	common share options	Boston, Kevin	5	2019-11-30	50	12.9	304,733	41,733
Pason Systems Inc.	common share options	Boston, Kevin	5	2019-11-30	52	26.68	261,733	-43,000
Pason Systems Inc.	RSU	Boston, Kevin	5	2019-11-30	56		9,113	8,113
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2019-11-30	56		690,418	208,667
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2019-11-30	59		610,418	-80,000
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2019-11-30	59		530,418	-80,000
Pason Systems Inc.	Units PSU	Boston, Kevin	5	2019-11-30	59		447,085	-83,333
Pason Systems Inc.	Options	Elliott, David Robert	5	2019-11-30	50	12.9	108,780	11,500
Pason Systems Inc.	Options	Elliott, David Robert	5	2019-11-30	52	26.68	90,080	-18,700
Pason Systems Inc.	RSU	Elliott, David Robert	5	2019-11-30	56		20,931	6,707
Pason Systems Inc.	RSU	Elliott, David Robert	5	2019-11-30	59		19,837	-1,094
Pason Systems Inc.	RSU	Elliott, David Robert	5	2019-11-30	59		18,917	-920
Pason Systems Inc.	RSU	Elliott, David Robert	5	2019-11-30	59		18,010	-907
Pason Systems Inc.	common share options	Faber, Jonathan	5	2019-11-30	50	12.9	462,500	67,500
Pason Systems Inc.	common share options	Faber, Jonathan	5	2019-11-30	52	26.68	402,500	-60,000
Pason Systems Inc.	RSU	Faber, Jonathan	5	2019-11-30	56		13,122	13,122
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2019-11-30	56		975,500	337,500
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2019-11-30	59		867,833	-107,667
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2019-11-30	59			105,000
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2019-11-30	59		762,833	-105,000
Pason Systems Inc.	Units PSU	Faber, Jonathan	5	2019-11-30	59		657,833	-105,000
Pason Systems Inc.	common share options	Fenez, Natalie	5	2019-05-06	00		17,304	
Pason Systems Inc.	common share options	Fenez, Natalie	5	2019-11-30	50	12.9	25,104	7,800
Pason Systems Inc.	RSU	Fenez, Natalie	5	2019-05-06	00			
Pason Systems Inc.	RSU	Fenez, Natalie	5	2019-05-06	00		6,085	
Pason Systems Inc.	RSU	Fenez, Natalie	5	2019-11-30	56		10,634	4,549
Pason Systems Inc.	RSU	Fenez, Natalie	5	2019-11-30	59		10,257	-377
Pason Systems Inc.	RSU	Fenez, Natalie	5	2019-11-30	59		9,647	-610
Pason Systems Inc.	Common Shares	Hill, James Douglas	3, 4, 5	2019-12-02	10	12.852	7,491,480	-500,000
Pason Systems Inc.	Options	Kessler, Marcel	5	2019-11-30	50	12.9	890,000	160,000
Pason Systems Inc.	Options	Kessler, Marcel	5	2019-11-30	52	26.68	790,000	-100,000
Pason Systems Inc.	RSU	Kessler, Marcel	5	2019-11-30	56		31,104	31,104
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	56		2,000,000	800,000
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	59			200,000
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	59		1,800,000	-200,000
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	59			200,000
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	59		1,600,000	-200,000
Pason Systems Inc.	Units PSU	Kessler, Marcel	5	2019-11-30	59		1,400,000	-200,000
Pason Systems Inc.	common share options	Kuru, Timur	5	2019-11-30	50	12.9	334,934	68,267
Pason Systems Inc.	RSU	Kuru, Timur	5	2019-11-30	56		21,271	13,271

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pason Systems Inc.	RSU	Kuru, Timur	5	2019-11-30	59		13,271	-8,000
Pason Systems Inc.	Units PSU	Kuru, Timur	5	2019-11-30	56		1,041,334	341,333
Pason Systems Inc.	Units PSU	Kuru, Timur	5	2019-11-30	59			-113,334
Pason Systems Inc.	Units PSU	Kuru, Timur	5	2019-11-30	59		908,000	-133,334
Pason Systems Inc.	Units PSU	Kuru, Timur	5	2019-11-30	59		799,667	-108,333
Pason Systems Inc.	Units PSU	Kuru, Timur	5	2019-11-30	59		683,000	-116,667
Pason Systems Inc.	common share options	McLean, Bryce	5	2019-11-30	50	12.9	220,055	34,000
Pason Systems Inc.	common share options	McLean, Bryce	5	2019-11-30	52			-40,000
Pason Systems Inc.	common share options	McLean, Bryce	5	2019-11-30	52	26.68	188,055	-32,000
Pason Systems Inc.	RSU	McLean, Bryce	5	2019-11-30	56		11,473	6,610
Pason Systems Inc.	RSU	McLean, Bryce	5	2019-11-30	59		9,806	-1,667
Pason Systems Inc.	Units PSU	McLean, Bryce	5	2019-11-30	56		461,000	170,000
Pason Systems Inc.	Units PSU	McLean, Bryce	5	2019-11-30	59		421,000	-40,000
Pason Systems Inc.	Units PSU	McLean, Bryce	5	2019-11-30	59		362,667	-58,333
Pason Systems Inc.	common share options	Olesen, Lars	5	2019-11-30	50	12.9	158,285	32,500
Pason Systems Inc.	common share options	Olesen, Lars	5	2019-11-30	52			-40,000
Pason Systems Inc.	common share options	Olesen, Lars	5	2019-11-30	52	26.68	143,385	-14,900
Pason Systems Inc.	RSU	Olesen, Lars	5	2017-01-01	00			
Pason Systems Inc.	RSU	Olesen, Lars	5	2019-11-30	56		6,318	6,318
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2019-11-30	56		470,834	162,500
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2019-11-30	59		437,500	-33,334
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2019-11-30	59		387,500	-50,000
Pason Systems Inc.	Units PSU	Olesen, Lars	5	2019-11-30	59		329,167	-58,333
Pason Systems Inc.	common share options	Smith, Russell	5	2019-11-30	50	12.9	312,700	36,000
Pason Systems Inc.	common share options	Smith, Russell	5	2019-11-30	52		259,700	-53,000
Pason Systems Inc.	RSU	Smith, Russell	5	2019-11-30	56		6,998	6,998
Pason Systems Inc.	Units PSU	Smith, Russell	5	2019-11-30	56		580,001	180,000
Pason Systems Inc.	Units PSU	Smith, Russell	5	2019-11-30	59		513,334	-66,667
Pason Systems Inc.	Units PSU	Smith, Russell	5	2019-11-30	59		446,668	-66,666
Pason Systems Inc.	Units PSU	Smith, Russell	5	2019-11-30	59		380,001	-66,667
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2019-11-30	50	12.9	145,310	32,500
Pason Systems Inc.	common share options	van Beurden, Ryan	5	2019-11-30	52	26.68	129,310	-16,000
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2017-01-01	00			
Pason Systems Inc.	RSU	van Beurden, Ryan	5	2019-11-30	56		6,318	6,318
Pason Systems Inc.	Units PSU	van Beurden, Ryan	5	2019-11-30	56		477,500	162,500
Pason Systems Inc.	Units PSU	van Beurden, Ryan	5	2019-11-30	59		437,500	-40,000
Pason Systems Inc.	Units PSU	van Beurden, Ryan	5	2019-11-30	59		387,500	-50,000
Pason Systems Inc.	Units PSU	van Beurden, Ryan	5	2019-11-30	59		329,167	-58,333
Pason Systems Inc.	Power Token	Wuntke, Reid Cameron	5	2019-05-13	00			
Pason Systems Inc.	Power Token	Wuntke, Reid Cameron	5	2019-11-30	56		300,000	300,000
Patagonia Gold Corp.	Common Shares	van Tienhoven, Christopher	5	2019-12-02	10	0.05	255,278	5,000
Patagonia Gold Corp.	Common Shares	van Tienhoven, Christopher	5	2019-12-03	10	0.055	260,278	5,000
Patagonia Gold Corp.	Common Shares	van Tienhoven, Christopher	5	2019-12-03	10	0.052	262,778	2,500
Patagonia Gold Corp.	Common Shares	van Tienhoven, Christopher	5	2019-12-04	10	0.05	263,778	1,000
Patagonia Gold Corp.	Common Shares	van Tienhoven, Christopher	5	2019-12-04	10	0.055	264,778	1,000
Pathfinder Income Fund	Trust Units	Pathfinder Convertible Debenture Fund	1	2019-11-29	38	8.07	11,152,198	400
Pathfinder Income Fund	Trust Units	Pathfinder Convertible Debenture Fund	1	2019-12-02	38	7.85	11,152,798	600
People Corporation	Common Shares	Asmundson, Paul Edward	5	2019-12-05	30	9.06	175,547	388
People Corporation	Common Shares	Canning, Brevan	5	2019-12-05	30	9.06	916,437	457
People Corporation	Common Shares	Goldberg, Laurie Marc	3, 4, 5	2019-12-05	30	9.06	184,736	690
People Corporation	Rights Deferred Stock Units	Horowitz, Beth Sharon	4	2019-09-09	00			
People Corporation	Rights Deferred Stock Units	Horowitz, Beth Sharon	4	2019-12-04	56	9.25	1,081	1,081

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
People Corporation	Common Shares	Kelley, Wendy Anne	5	2019-12-05	30	9.06	1,452	388
People Corporation	Common Shares	Stewner, Dennis Douglas	5	2019-12-05	30	9.06	92,209	388
People Corporation	Common Shares	Tardi, Susan Marie	5	2019-12-05	30	9.06	38,395	276
Petrodorado Energy Ltd.	Common Shares Class B	Lukomski, Jared	3, 1, 5	2019-11-27	00		3,478,261	
Petrodorado Energy Ltd.	Common Shares Class B	Lukomski, Jared	3, 1, 5	2019-11-27	00		3,478,261	
Petrodorado Energy Ltd.	Common Shares Class B	Lukomski, Jared	3, 1, 5	2019-12-05	10		3,521,740	43,479
Petrodorado Energy Ltd.	Options	Lukomski, Jared	3, 1, 5	2019-11-27	00			
Petrodorado Energy Ltd.	Options	Lukomski, Jared	3, 1, 5	2019-11-27	00		450,000	
Petrodorado Energy Ltd.	Common Shares Class B	Mattick, Alexis Suzanne	8	2019-12-02	00		50,000	
Petrodorado Energy Ltd.	Options	Mattick, Alexis Suzanne	8	2019-12-02	00		250,000	
Petrodorado Energy Ltd.	Common Shares Class B	Ryan, Murray Thomas	8	2019-11-27	00		869,565	
Petrodorado Energy Ltd.	Common Shares Class B	Taylor, Cameron Wesley	3, 4, 5	2019-11-27	00		6,956,521	
Petrodorado Energy Ltd.	Common Shares Class B	Taylor, Cameron Wesley	3, 4, 5	2019-12-04	10	0.13	7,026,021	69,500
Petrodorado Energy Ltd.	Common Shares Class B	Taylor, Cameron Wesley	3, 4, 5	2019-12-05	10	0.13	7,026,521	500
Petrodorado Energy Ltd.	Common Shares Class B	Taylor, Cameron Wesley	3, 4, 5	2019-12-05	10	0.12	7,111,521	85,000
Petrodorado Energy Ltd.	Options	Taylor, Cameron Wesley	3, 4, 5	2019-11-27	00			
Petrodorado Energy Ltd.	Options	Taylor, Cameron Wesley	3, 4, 5	2019-12-03	50	0.15	450,000	450,000
Petrodorado Energy Ltd.	Common Shares Class B	Wright, Bryden	5	2019-11-27	00		2,608,696	
Petrodorado Energy Ltd.	Common Shares Class B	Wright, Bryden	5	2019-11-27	00		2,608,696	
Petrodorado Energy Ltd.	Options	Wright, Bryden	5	2019-11-27	00			
Petrodorado Energy Ltd.	Options	Wright, Bryden	5	2019-12-03	50		450,000	450,000
PetroShale Inc.	Common Shares	PetroShale Inc	1	2019-12-02	38	0.5	250,000	250,000
PetroShale Inc.	Common Shares	PetroShale Inc	1	2019-12-02	38	0.5	0	-250,000
PetroShale Inc.	Common Shares	PetroShale Inc	1	2019-12-03	38	0.5	250,000	250,000
PetroShale Inc.	Common Shares	PetroShale Inc	1	2019-12-03	38	0.5	0	-250,000
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	2019-11-08	10	2.53	14,800	14,800
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	2019-11-15	10	2.7449	585,700	570,900
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	2019-11-22	10	2.747	1,013,600	427,900
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	2019-11-29	10	2.7489	1,722,900	709,300
PHX Energy Services Corp.	Common Shares	PHX Energy Services Corp	1	2019-12-04	38		0	-1,722,900
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2019-12-03	10	0.13	21,428,087	725,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2019-12-03	10	0.13	21,472,691	350,000
Pine Cliff Energy Ltd.	Options	MacDonald, Alan	5	2019-12-04	00		420,000	
Pine Trail Real Estate Investment Trust (formerly, Pine Trail Capital Trust)	Trust Units	Shapack, Andrew Irwin	4, 5	2019-11-27	10	0.16	92,000	5,000
Pine Trail Real Estate Investment Trust (formerly, Pine Trail Capital Trust)	Trust Units	Shapack, Andrew Irwin	4, 5	2019-11-29	10	0.15	97,000	5,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	3,859,698	7,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	4,643,479	11,100
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	7,196,402	10,800
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	6,826,500	32,500
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	164,771	100
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2019-11-29	10	0.97	710,980	1,100
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Options	Bhagat, Vic	4	2019-11-18	50	1.54		50,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Options	Bhagat, Vic	4	2019-11-18	50	1.54		50,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	Bhagat, Vic	4	2019-11-18	56	1.54		30,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	Bhagat, Vic	4	2019-11-18	56	1.54		30,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Options	Keung, Teresa	5	2019-11-11	00			
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Options	Keung, Teresa	5	2019-11-18	50	1.54	30,000	30,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	Keung, Teresa	5	2019-11-11	00			
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	Keung, Teresa	5	2019-11-18	56	1.54	10,000	10,000
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Common Shares	Pivot Technology Solutions, Inc.	1	2019-11-30	38	1.6378	26,330	26,330
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Common Shares	Pivot Technology Solutions, Inc.	1	2019-11-30	38		0	-26,330
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Common Shares	Toews, David Anthony	5	2019-11-29	36		78,367	6,667
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Common Shares	Toews, David Anthony	5	2019-11-29	10		74,798	-3,569
Pivot Technology Solutions, Inc. (formerly Acme Capital Corporation)	Rights Restricted Share Units	Toews, David Anthony	5	2019-11-29	36		13,333	-6,667
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2019-11-29	10	0.3	6,934,894	-15,000
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2019-12-02	97		6,915,822	-19,072
Plateau Energy Metals Inc.	Common Shares	Relling, Thomas Peter Max	3	2019-12-02	97		6,883,118	-32,704
Platinex Inc.	Common Shares	TRUSLER, JAMES RICHARD	3, 4, 5	2019-12-03	97	0.01	138,176	-101,831
Platinex Inc.	Common Shares	TRUSLER, JAMES RICHARD	3, 4, 5	1998-08-12	00			
Platinex Inc.	Common Shares	TRUSLER, JAMES RICHARD	3, 4, 5	2019-12-03	97	0.01	101,831	101,831
Platinum Group Metals Ltd.	Options	Begic, Kris	5	2019-12-02	50	1.81	350,000	200,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Begic, Kris	5	2019-12-02	56		46,975	25,000
Platinum Group Metals Ltd.	Options	Copelyn, John	4, 6	2019-12-02	50	1.81	28,800	12,000
Platinum Group Metals Ltd.	Options	Hallam, Frank	4, 5	2019-12-02	50	1.81	775,000	450,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Hallam, Frank	4, 5	2019-12-02	56		99,382	54,000
Platinum Group Metals Ltd.	Options	Harshaw, Stuart Alan	4	2019-12-02	50	1.81	28,800	12,000
Platinum Group Metals Ltd.	Warrants	Hosken Consolidated Investments Limited	3	2019-11-15	55		0	-3,742,999
Platinum Group Metals Ltd.	Options	Jones, R. Michael	4, 5	2019-12-02	50	1.81	875,000	500,000
Platinum Group Metals Ltd.	Rights Restricted Share Units	Jones, R. Michael	4, 5	2019-12-02	56		110,159	60,000
Platinum Group Metals Ltd.	Options	Marlow, Timothy Douglas	4	2019-12-02	50	1.81	28,800	12,000
Platinum Group Metals Ltd.	Options	McLean, Iain David Colquhoun	4	2019-12-02	50	1.81	28,800	12,000
Platinum Group Metals Ltd.	Options	Walters, Diana	4	2019-12-02	50	1.81	28,800	12,000
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-01	38	10.98	11,100	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-04	38	10.97	14,800	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-05	38	10.9	18,500	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-06	38	10.87	22,200	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-07	38	10.8	25,900	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-08	38	10.91	29,600	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-11	38	10.92	33,300	3,700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-12	38	10.85	37,000	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-13	38	10.95	40,700	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-14	38	11.37	44,400	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-15	38	12.03	48,100	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-18	38	12.16	51,800	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-19	38	12.16	55,500	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-20	38	12.1	58,970	3,470
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-21	38	12.14	62,626	3,656
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-22	38	12.13	66,116	3,490
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-25	38	12.31	69,816	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-26	38	12.69	73,516	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-27	38	12.99	77,216	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-29	38	13.09	80,916	3,700
Points International Ltd.	Common Shares	Points International Ltd.	1	2019-11-29	38		7,400	-73,516
Pollard Banknote Limited	Common Shares	Young, Robert Brock	5	2019-12-04	10	20.61	0	-2,500
Portage Biotech Inc.	Common Shares	Walters, Ian	4	2019-11-27	11	0.0001	6,972,568	6,234,373
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	2019-11-29	38	13.61	110,000	105,000
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	2019-11-29	38		10,000	-100,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-01	38	1.4439	504,845	114,100
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-01	38	1.0983	581,912	77,067
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-04	38	1.4876	692,712	110,800
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-04	38	1.1382	767,156	74,444
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-05	38	1.5062	876,256	109,100
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-05	38	1.1412	950,475	74,219
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-06	38	1.466	1,062,875	112,400
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-06	38	1.1101	1,139,106	76,231
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-07	38	1.4634	1,251,706	112,600
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-07	38	1.1071	1,328,341	76,635
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-08	38	1.4229	1,444,141	115,800
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-08	38	1.0765	1,522,841	78,700
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-11	38	1.4161	1,639,041	116,200
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-11	38	1.0798	1,717,442	78,401
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-12	38	1.4214	1,833,342	115,900
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-12	38	1.0733	1,912,240	78,898
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-13	38	1.3923	2,030,540	118,300
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-13	38	1.0515	2,110,940	80,400
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-14	38	1.3634	2,231,440	120,500
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-14	38	1.0271	2,313,740	82,300
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-15	38	1.3941	2,431,940	118,200
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-15	38	1.0554	2,512,140	80,200
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-18	38	1.3632	2,632,940	120,800

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-18	38	1.0311	2,714,940	82,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-19	38	1.3474	2,834,940	120,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-19	38	1.0165	2,911,890	76,950
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-20	38	1.3424	3,023,690	111,800
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-20	38	1.0119	3,103,690	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-21	38	1.3846	3,222,690	119,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-21	38	1.0358	3,302,690	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-22	38	1.3972	3,419,690	117,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-22	38	1.0538	3,482,453	62,763
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-25	38	1.3982	3,597,453	115,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-25	38	1.0426	3,677,453	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-26	38	1.4038	3,757,453	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-26	38	1.059	3,837,453	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-27	38	1.3884	3,952,453	115,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-27	38	1.0469	4,032,453	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-28	38	1.406	4,082,453	50,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-29	38	1.4074	4,164,053	81,600
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-29	38	1.058	4,244,053	80,000
Precision Drilling Corporation	Common Shares	Precision Drilling Corporation	1	2019-11-29	38		291,600	-3,952,453
Pro Real Estate Investment Trust	Units	Lawlor, Gordon G.	5	2019-12-06	10	7.4	141,071	2,700
ProntoForms Corporation	Common Shares	Chenier, Glenn Michael	5	2019-11-29	90	0.57	52,000	-28,000
ProntoForms Corporation	Common Shares	Chenier, Glenn Michael	5	2019-11-29	90	0.57	69,000	14,000
ProntoForms Corporation	Common Shares	Chenier, Glenn Michael	5	2019-11-29	90	0.57	69,000	14,000
Prophecy Development Corp.	Common Shares without par value	Lee, John	4, 5	2019-12-02	10	0.295	14,144,901	270,000
Puma Exploration Inc.	Common Shares	Robillard, Marcel	4, 5	2019-12-05	10	0.14	5,680,465	2,500
Quinsam Capital Corporation	Common Shares DSU - Deferred Share Unit	Dent, Roger	4, 5	2019-11-28	35	0.1	2,420,935	29,888
Rapid Dose Therapeutics Corp. (formerly ACME RESOURCES CORP.)	Common Shares	Howlett, Brian	4	2019-12-04	10	0.49	217,000	-20,500
Razor Energy Corp.	Common Shares	Bailey, Douglas George	4, 5	2019-12-02	30	0.99	1,313,144	6,776
Razor Energy Corp.	Common Shares	Bergevin, Marc Jay	5	2019-12-02	30	0.99	41,793	2,946
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	2019-12-02	30	0.99	186,721	5,892
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	2019-11-29	30	0.93	36,604	485
Razor Energy Corp.	Common Shares	Braun, Kevin Edward	5	2019-11-29	30	0.93	9,307	90
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	2019-11-29	30	0.93	112,817	1,258
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	2019-12-02	30	0.99	118,709	5,892
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	2019-11-29	30	0.93	48,691	153
Razor Energy Corp.	Common Shares	Mueller, Lisa Ann	5	2019-11-29	30	0.93	24,968	296
Razor Energy Corp.	Common Shares	Muller, Frank Peter	4, 5	2019-11-29	30	0.93	1,027,956	2,058
Razor Energy Corp.	Common Shares	Muller, Frank Peter	4, 5	2019-12-02	30	0.99	1,034,437	6,481
Razor Energy Corp.	Common Shares	Razor Energy Corp.	1	2019-11-05	38	0.93	11,000	11,000
Razor Energy Corp.	Common Shares	Razor Energy Corp.	1	2019-11-12	38		0	-11,000
Razor Energy Corp.	Common Shares	Sundstrom, Devin Kent	5	2019-12-02	30	0.99	229,047	2,356

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Razor Energy Corp.	Common Shares	Sych, Stephen George	5	2019-12-02	30	0.99	192,706	2,946
Real Matters Inc.	Common Shares	Hobson, Blaine Michael	4	2019-12-03	47		308,227	-18,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-25	38	12.496	20,000	20,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-25	38	12.496	0	-20,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-26	38	12.628	60,000	60,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-26	38	12.628	0	-60,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-27	38	12.725	19,100	19,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-27	38	12.725	0	-19,100
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-28	38	12.872	19,000	19,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2019-11-28	38	12.872	0	-19,000
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2019-12-04	10	0.19	4,061,500	6,000
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2019-12-04	10	0.2014	4,068,500	7,000
Red Lake Gold Inc.	Common Shares	Kalt, Ryan	3, 4, 5	2019-12-05	10	0.21	4,071,500	3,000
Redfund Capital Corp.	Common Shares	de Freitas, Amanda	4	2019-12-03	10	0.07	180,500	-20,000
RESAAS Services Inc.	Common Shares	Barton, R. Craig	3	2019-12-02	10	0.33	7,022,345	-1,000
RESAAS Services Inc.	Common Shares	Barton, R. Craig	3	2019-12-02	10	0.3	6,960,345	-62,000
RESAAS Services Inc.	Common Shares	Barton, R. Craig	3	2019-12-03	54	0.2	7,210,345	250,000
RESAAS Services Inc.	Warrants	Barton, R. Craig	3	2019-12-03	54	0.2	350,000	-250,000
Reservoir Capital Corp.	Common Shares	Reford, Lewis Tewksbury	4, 5	2019-12-02	10	0.03	1,090,000	80,000
Return Energy Inc.	Common Shares	Morozoff, Lorne Andrew	5	2019-12-04	10	0.05	0	-666,333
Richelieu Hardware Ltd.	Unités d'actions différées	Chicoyne, Denyse	4	2019-11-30	56	26.73	63,392	701
Richelieu Hardware Ltd.	Unités d'actions différées	Courteau, Robert	4, 5	2019-11-30	56	26.73	65,039	795
Richelieu Hardware Ltd.	Unités d'actions différées	Gauvin, Mathieu	4	2019-11-30	56	26.73	72,312	795
Richelieu Hardware Ltd.	Unités d'actions différées	Pomerleau, Pierre	4	2019-11-30	56	26.73	9,497	701
Richelieu Hardware Ltd.	Unités d'actions différées	Poulin, Marc	4	2019-11-30	56	26.73	19,646	701
Richelieu Hardware Ltd.	Unités d'actions différées	Vachon, Sylvie	4	2019-11-30	56	26.73	9,649	701
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2019-11-29	10	16.85	9,540,766	886
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2019-11-29	10	16.85	9,539,873	-893
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2019-12-02	10	16.74	9,540,460	587
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2019-12-02	10	16.74	9,539,863	-597
Rogers Communications Inc.	Restricted Share Units	Johnston, Brent Russell	5	2019-12-01	59	63.616	17,481	-18,263
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-01	38	61.845	64,734	32,339
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-04	38	61.748	64,728	32,389
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-05	38	61.875	97,051	32,323
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-05	38		64,712	-32,339
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-06	38	62.435	96,745	32,033
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-06	38		64,356	-32,389
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-07	38	63.048	96,078	31,722
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-07	38		63,755	-32,323
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-08	38	62.833	95,585	31,830
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-08	38		63,552	-32,033
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-11	38	62.85	95,373	31,821
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-12	38	62.694	127,274	31,901

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Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-12	38		95,552	-31,722
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-13	38	63.706	762,928	667,376
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-13	38		731,098	-31,830
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-13	38		699,277	-31,821
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-14	38	63.343	857,148	157,871
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-14	38		825,247	-31,901
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-15	38	63.664	982,322	157,075
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-15	38		314,946	-667,376
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-18	38	63.608	472,159	157,213
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-18	38		314,288	-157,871
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-19	38	63.319	472,218	157,930
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-19	38		315,143	-157,075
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-20	38	63.279	473,174	158,031
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-20	38		315,961	-157,213
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-21	38	62.877	475,002	159,041
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-21	38		317,072	-157,930
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-22	38	63.256	475,160	158,088
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-22	38		317,129	-158,031
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-25	38	63.54	474,510	157,381
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-25	38		315,469	-159,041
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-26	38	63.133	473,865	158,396
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-26	38		315,777	-158,088
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-27	38	63.546	473,142	157,365
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-27	38		315,761	-157,381
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-28	38	63.767	472,581	156,820
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-28	38		314,185	-158,396
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-29	38	64.231	469,872	155,687
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-11-29	38		312,507	-157,365
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-12-02	38		155,687	-156,820
Rogers Communications Inc.	Non-Voting Shares Class B	Rogers Communications Inc.	1	2019-12-03	38		0	-155,687
Rogers Sugar Inc.	Options	Dionne, Patrick	5	2019-12-02	50		209,371	92,949
Rogers Sugar Inc.	Performance Share Units (PSU)	Dionne, Patrick	5	2019-12-02	56	4.68	99,195	43,376
Rogers Sugar Inc.	Options	holliday, john	5	2019-12-02	50		1,646,670	257,410
Rogers Sugar Inc.	Performance Share Units (PSU)	holliday, john	5	2019-12-02	56	4.68	316,801	120,125
Rogers Sugar Inc.	Common Shares	Khalil, Jean-Francois	5	2019-12-04	10	4.79	22,440	3,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Rogers Sugar Inc.	Options	Khalil, Jean-Francois	5	2019-12-02	50		228,232	74,679
Rogers Sugar Inc.	Performance Share Units (PSU)	Khalil, Jean-Francois	5	2019-12-02	56	4.68	79,704	34,850
Rogers Sugar Inc.	Performance Share Units (PSU)	Lacroix, Manon	5	2019-12-02	56	4.68	159,921	61,966
Rogers Sugar Inc.	Common Shares	Rogers Sugar Inc	1	2019-11-29	38		0	-69,694
Rogers Sugar Inc.	Common Shares	Rogers Sugar Inc	1	2019-12-03	38	4.7786	27,400	27,400
Rogers Sugar Inc.	Common Shares	Rogers Sugar Inc	1	2019-12-04	38	4.7739	52,300	24,900
Rogers Sugar Inc.	Options	Walton, Michael	5	2019-12-02	50		581,724	138,462
Rogers Sugar Inc.	Performance Share Units (PSU)	Walton, Michael	5	2019-12-02	56	4.68	167,101	64,615
Royal Nickel Corporation dba as RNC Minerals	Options	Goudie, Peter James	4	2019-04-16	52	0.65	1,669,000	-400,000
Royal Nickel Corporation dba as RNC Minerals	Options	Hand, Scott McKee	4, 5	2019-04-16	52	0.65	3,402,000	-600,000
Royal Nickel Corporation dba as RNC Minerals	Options	Jones, Peter Clark	4	2019-04-16	52	0.65	1,505,715	-400,000
Royal Nickel Corporation dba as RNC Minerals	Options	Marzoli, Frank	4	2019-04-16	52	0.65	1,929,000	-300,000
Royal Nickel Corporation dba as RNC Minerals	Options	Masson, Gilles	4	2019-04-16	52	0.65	1,770,000	-300,000
Royal Nickel Corporation dba as RNC Minerals	Options	Muinonen, Johnna Louise	5	2019-04-16	52	0.65	2,139,000	-300,000
Royal Nickel Corporation dba as RNC Minerals	Options	Selby, Mark Thomas Henry	5	2019-04-16	52	0.65	4,057,000	-600,000
Royal Nickel Corporation dba as RNC Minerals	Options	Sinclair, George Fraser Bruce	5	2019-04-16	52	0.65	315,000	-300,000
Royal Nickel Corporation dba as RNC Minerals	Options	Sittler, Darryl	4	2019-04-16	52	0.65	270,000	-300,000
Royal Nickel Corporation dba as RNC Minerals	Options	St-Jean, Joseph Alger Raymond	5	2019-04-16	52	0.65	2,248,000	-300,000
Rusoro Mining Ltd.	Common Shares	Agapov, Andre Vladimir	3, 4, 5	2019-12-02	10	0.05	84,082,167	450,000
Rusoro Mining Ltd.	Common Shares	Agapov, Andre Vladimir	3, 4, 5	2019-12-04	10	0.05	84,266,167	184,000
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Britton, Marion Eleanor	5	2019-12-05	56		40,974	86
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Britton, Marion Eleanor	5	2019-12-05	59	22.495	35,800	-5,174
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Bryant, Gregg Edward	5	2019-12-05	56		2,969	9
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Bryant, Gregg Edward	5	2019-12-05	59	22.495	2,405	-564
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Coleman, Lesley Margaret Seppings	5	2019-12-05	56		9,250	27
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Coleman, Lesley Margaret Seppings	5	2019-12-05	59	22.495	7,669	-1,581
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Halcrow, David	5	2019-12-05	56		10,518	31
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Halcrow, David	5	2019-12-05	59	22.495	8,710	-1,808
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Kelly, Maureen Ann	5	2019-12-05	56		11,789	38
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Kelly, Maureen Ann	5	2019-12-05	59	22.495	9,530	-2,259
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacDermid, Ryan Wallace	5	2019-12-05	56		9,250	27
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacDermid, Ryan Wallace	5	2019-12-05	59	22.495	7,669	-1,581
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacLean, John	5	2019-12-05	56		11,111	26
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	MacLean, John	5	2019-12-05	59	22.495	9,530	-1,581
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	McKelvey, Sherri Lynn	5	2019-12-05	56		1,388	5
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	McKelvey, Sherri Lynn	5	2019-12-05	59	22.495	1,117	-271

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Reid, John Gregory	5	2019-12-05	56		156,233	194
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Reid, John Gregory	5	2019-12-05	59	22.495	144,541	-11,692
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Robb, Lloyd Bruce	5	2019-12-05	56		9,518	39
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Robb, Lloyd Bruce	5	2019-12-05	59	22.495	7,259	-2,259
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Vaillancourt, Michel	5	2019-12-05	56		7,948	23
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Vaillancourt, Michel	5	2019-12-05	59	22.495	6,592	-1,356
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2019-12-05	56		3,045	19
Russel Metals Inc.	Rights Restricted Share Units (cash settled)	Wallewein, Kenneth Gilbert	5	2019-12-05	59	22.495	1,916	-1,129
SANDSTORM GOLD LTD.	Options	Awram, David	4, 5	2019-11-29	50		1,810,000	280,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Awram, David	4, 5	2019-11-29	56		468,250	60,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Budreski, John Philip Adrian	4	2019-11-29	56		96,666	25,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	De Witt, David E.	4	2019-11-29	56		96,666	25,000
SANDSTORM GOLD LTD.	Options	KAZEMI-ESFAHANI, ERFAN	5	2019-11-29	50		825,000	200,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	KAZEMI-ESFAHANI, ERFAN	5	2019-11-29	56		260,898	30,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	KOBALIA, VERA	4	2019-11-29	56		78,000	25,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Little, Mary Lois	4	2019-11-29	56		136,666	25,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Swarthout, Andrew	4	2019-11-29	56		136,666	25,000
SANDSTORM GOLD LTD.	Options	Watson, Nolan Allan	4, 5	2019-11-29	50		2,530,000	620,000
SANDSTORM GOLD LTD.	Rights Restricted Share Rights	Watson, Nolan Allan	4, 5	2019-11-29	56		365,333	73,000
Seven Generations Energy Ltd.	Common Shares Class A	Seven Generations Energy Ltd.	1	2019-11-01	38	7.64	600,000	200,000
Seven Generations Energy Ltd.	Common Shares Class A	Seven Generations Energy Ltd.	1	2019-11-04	38	8.34	793,443	193,443
Seven Generations Energy Ltd.	Common Shares Class A	Seven Generations Energy Ltd.	1	2019-11-29	38		0	-793,443
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Estate of James R. Shaw	3	2019-11-28	30	27.367	431	9
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw Communications Inc.	1	2019-11-30	38	27.18	919,731	919,731
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw Communications Inc.	1	2019-11-30	38		0	-919,731
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Shaw, JR	3, 4, 5	2019-11-28	30	27.367	63,190	323
SHAW COMMUNICATIONS INC.	Non-Voting Shares Class "B"	Yuill, Willard	4	2019-11-29	10	27.44	2,645,412	-26,300
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Finkelstein, Harley Michael	5	2019-11-29	51	0.152	2,127	2,127
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Finkelstein, Harley Michael	5	2019-11-29	36		0	-2,127
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2019-11-29	51	0.152	12,136	-2,127
Shopify Inc.	RSU	Finkelstein, Harley Michael	5	2019-12-02	57		29,318	-1,221
Shopify Inc.	RSU	Finkelstein, Harley Michael	5	2019-12-03	57		25,140	-4,178
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-11-29	36		2,644	2,127

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-11-29	30	339.18	517	-2,127
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-11-29	30	338.63	185	-332
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-12-02	57		1,406	1,221
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-12-02	10	319	732	-674
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-12-03	57		4,910	4,178
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2019-12-03	10	337.67	2,604	-2,306
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	51	4.22	1,055	1,055
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	36		0	-1,055
Shopify Inc.	Options	Forsyth, Brittany Jean	5	2019-12-02	51	4.22	19,716	-1,055
Shopify Inc.	RSU	Forsyth, Brittany Jean	5	2019-12-02	57		14,585	-610
Shopify Inc.	RSU	Forsyth, Brittany Jean	5	2019-12-03	57		13,540	-1,045
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-11-29	30	338.86	72	-221
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	36		1,127	1,055
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	30	335.39	72	-1,055
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	57		682	610
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-02	10	319	345	-337
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-03	57		1,390	1,045
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Forsyth, Brittany Jean	5	2019-12-03	10	337.67	813	-577
Shopify Inc.	RSU	Frasca, Joseph Andrew	5	2019-12-02	57		10,347	-458
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Frasca, Joseph Andrew	5	2019-12-02	57		2,588	458
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Frasca, Joseph Andrew	5	2019-12-02	10	319	2,335	-253
Shopify Inc.	RSU	Lemieux, Jean-Michel	5	2019-12-02	57		12,436	-458

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Shopify Inc.	RSU	Lemieux, Jean-Michel	5	2019-12-03	57		11,391	-1,045
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2019-12-02	57		13,238	458
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2019-12-02	10	319	12,985	-253
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2019-12-03	57		14,030	1,045
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2019-12-03	10	337.67	13,453	-577
Shopify Inc.	RSU	Lutke, Tobias Albin	4, 5	2019-12-02	57		27,291	-2,441
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2019-11-29	30	339.18	216	-1,328
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2019-12-02	57		2,657	2,441
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2019-12-02	10	319	1,310	-1,347
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2019-12-02	30	328.65	226,000	-4,000
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Miller, Craig Stuart	5	2019-12-04	51	6.22	6,315	6,315
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Miller, Craig Stuart	5	2019-12-05	51	6.22	9,231	2,916
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Miller, Craig Stuart	5	2019-12-05	36		6,315	-2,916
Shopify Inc.	Options	Miller, Craig Stuart	5	2019-12-04	51	6.22	141,941	-6,315
Shopify Inc.	Options	Miller, Craig Stuart	5	2019-12-05	51	6.22	139,025	-2,916
Shopify Inc.	RSU	Miller, Craig Stuart	5	2019-12-02	57		26,527	-1,831
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2019-12-02	57		1,960	1,831
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2019-12-02	10	319	951	-1,009
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2019-12-04	30	349.51	0	-951
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2019-12-05	36		2,916	2,916
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2019-12-05	30	370	0	-2,916
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Phillips, John	4	2019-12-03	36		3,892,000	-108,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2019-12-03	36		108,000	108,000
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2019-12-02	51	137.72	59,616	-242
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2019-12-02	51	137.72	7,301	242
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2019-12-02	30	335.39	7,059	-242
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2019-12-02	30	336	6,888	-171
Shopify Inc.	Options	Weiser, Jeffrey Kane	5	2019-12-03	51	136.55	24,510	-2,532
Shopify Inc.	RSU	Weiser, Jeffrey Kane	5	2019-12-02	57		12,105	-1,312
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-11-29	30	338.92	731	-161
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-12-02	57		2,043	1,312
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-12-02	10	319	1,412	-631
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-12-03	51	136.55	3,944	2,532
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-12-03	10	340.75	1,412	-2,532
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Weiser, Jeffrey Kane	5	2019-12-04	10	367.27	731	-681
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-01	38	1.8547	108,514	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-04	38	1.8364	112,728	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-05	38	1.8384	116,942	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-06	38	1.76	118,242	1,300
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-07	38	1.7619	122,456	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-08	38	1.7462	126,670	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-11	38	1.75	130,884	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-12	38	1.7732	134,584	3,700
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-13	38	1.74	134,984	400
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-14	38	1.9285	139,198	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-15	38	1.9591	142,912	3,714
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-18	38	1.9899	147,126	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-19	38	1.9557	151,340	4,214

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Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-20	38	1.9247	155,554	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-21	38	1.92	156,154	600
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-22	38	1.9095	160,368	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-25	38	1.9198	164,582	4,214
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-26	38	1.8679	167,982	3,400
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-27	38	1.8225	169,182	1,200
Sierra Metals Inc. (formerly Dia Bras Exploration Inc.)	Common Shares	Sierra Metals Inc.	1	2019-11-28	38		0	-169,182
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50			166,667
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50			166,667
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50	0.25		166,667
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50	0.25		166,667
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50	0.3		166,666
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-05-24	50	0.3		166,666
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-06-10	00			
Silver Bear Resources Plc	Options	Ilyin, Mikhail	5	2019-06-10	00		500,000	
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2019-12-02	51	3.36	102,500	12,500
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2019-12-02	51	3.23	115,000	12,500
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2019-12-02	51	3.4	127,500	12,500
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2019-12-02	51	2.6	140,000	12,500
SILVERCORP METALS INC.	Options	Liu, Yikang	4	2019-12-02	51	3.36	100,000	-12,500
SILVERCORP METALS INC.	Options	Liu, Yikang	4	2019-12-02	51	3.23	87,500	-12,500
SILVERCORP METALS INC.	Options	Liu, Yikang	4	2019-12-02	51	3.4	75,000	-12,500
SILVERCORP METALS INC.	Options	Liu, Yikang	4	2019-12-02	51	2.6	62,500	-12,500
SILVERCORP METALS INC.	Common Shares without par value	Simpson, Stephen Paul	4	2019-12-03	10	6.98	772,984	-3,000
SILVERCORP METALS INC.	Common Shares without par value	Simpson, Stephen Paul	4	2019-12-03	10	6.96	769,984	-3,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2019-12-04	10	0.165	2,456,500	3,000
Skyharbour Resources Ltd.	Common Shares	Cates, David Daniel	4	2019-11-29	16	0.18	241,000	55,000
Skyharbour Resources Ltd.	Warrants	Cates, David Daniel	4	2019-11-29	16	0.22	182,500	27,500
Skyharbour Resources Ltd.	Common Shares	Kusmirski, Rick T.	4	2019-11-29	16	0.15	370,000	65,000
Skyharbour Resources Ltd.	Warrants	Kusmirski, Rick T.	4	2019-11-29	53	0.22	455,000	65,000
Skyharbour Resources Ltd.	Common Shares	PETTIT, JAMES, GAYDON	4	2019-11-29	16	0.15	234,600	30,000
Skyharbour Resources Ltd.	Warrants	PETTIT, JAMES, GAYDON	4	2019-11-29	53	0.22	80,000	30,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2019-12-02	10	0.16	482,250	3,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2019-12-02	10	0.16	484,250	2,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2019-11-29	16	0.15	640,000	500,000
Skyharbour Resources Ltd.	Warrants	Trimble, Jordan	4	2013-06-04	00			
Skyharbour Resources Ltd.	Warrants	Trimble, Jordan	4	2019-11-29	53	0.22		500,000
Skyharbour Resources Ltd.	Warrants	Trimble, Jordan	4	2019-11-29	53	0.22	500,000	500,000
Sleep Country Canada Holdings Inc.	Common Shares	Howcroft, Dave	5	2019-11-26	10	19.4	10,293	206
Sleep Country Canada Holdings Inc.	Common Shares	Howcroft, Dave	5	2019-11-26	10	19.4	4,043	360
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.56	100	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.6	500	400

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Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.61	600	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.65	700	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.72	1,100	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.73	1,300	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.74	1,500	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.75	1,800	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.76	2,200	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.77	2,800	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.78	4,300	1,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.79	4,600	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.8	4,900	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.86	5,100	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.87	5,700	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.9	5,800	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.91	6,400	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.92	6,900	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.93	7,000	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.94	7,100	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.95	7,300	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	18.96	7,800	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19	9,500	1,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.01	12,000	2,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.02	12,600	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.05	12,800	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.06	13,300	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.07	14,100	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.09	14,500	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.11	15,500	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.12	16,300	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.13	21,800	5,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.14	22,100	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.15	28,400	6,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.16	31,700	3,300

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Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.17	32,000	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.18	32,500	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.2	35,100	2,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-05	38	19.21	35,204	104
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.07	35,804	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.12	36,008	204
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.15	36,308	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.18	36,508	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.27	36,608	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.32	37,008	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.53	37,108	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.55	37,708	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.57	37,808	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.59	38,008	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.6	38,408	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.61	39,408	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.62	39,908	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.63	43,204	3,296
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.64	46,508	3,304
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.65	47,708	1,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.66	53,108	5,400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.67	54,508	1,400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.68	54,708	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.69	57,908	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.7	61,108	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.71	61,908	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.72	62,008	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.74	62,508	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-06	38	19.84	63,408	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.57	66,008	2,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.58	68,208	2,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.59	73,908	5,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.6	75,308	1,400

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.61	76,208	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.62	79,408	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.63	80,308	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.64	80,808	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.65	81,808	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.66	82,208	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.67	82,408	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.68	82,908	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.69	84,208	1,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.7	85,712	1,504
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.71	85,912	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.72	90,512	4,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.73	91,712	1,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.74	92,212	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.75	92,812	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.76	93,312	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.78	95,912	2,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-07	38	19.79	98,612	2,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.26	98,912	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.27	99,212	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.28	100,012	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.29	100,112	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.3	102,812	2,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.31	105,412	2,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.32	105,512	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.33	105,812	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.34	109,012	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.35	116,712	7,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.36	121,412	4,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.37	123,912	2,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.38	124,612	700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.39	124,912	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.4	126,612	1,700

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.41	127,012	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.42	127,612	600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.43	127,712	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.44	127,812	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.46	128,112	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.47	128,912	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.49	129,112	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.5	129,212	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.51	129,412	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.53	131,712	2,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.55	131,816	104
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-08	38	19.6	133,816	2,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.16	135,116	1,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.2	136,716	1,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.21	136,816	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.25	137,016	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.28	141,816	4,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.29	142,420	604
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.3	148,520	6,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.32	151,020	2,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.36	152,720	1,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.38	157,820	5,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.39	159,120	1,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.4	164,920	5,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.43	165,120	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.45	168,820	3,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-11	38	19.46	169,020	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.21	169,120	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.23	169,220	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.24	170,120	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.25	172,120	2,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.26	173,120	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.27	173,520	400

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.28	173,720	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.29	174,624	904
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.3	188,424	13,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.31	189,124	700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.32	189,524	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.33	189,724	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.34	194,724	5,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.37	195,024	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.38	195,124	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.42	195,324	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.46	196,724	1,400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.47	196,824	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.48	197,124	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-12	38	19.5	204,224	7,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.34	204,324	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.35	204,424	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.4	205,424	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.43	205,824	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.45	205,924	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.46	209,824	3,900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.49	210,124	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.52	210,424	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.53	210,624	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.56	211,124	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.59	211,224	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.6	211,324	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.64	215,524	4,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.66	218,524	3,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.67	218,724	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.68	219,624	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.69	220,024	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.7	225,024	5,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.71	225,424	400

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Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.73	230,524	5,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.75	230,528	4
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.78	234,528	4,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.79	235,528	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-13	38	19.85	239,428	3,900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.04	239,828	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.14	239,928	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.16	240,428	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.17	240,828	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.18	241,128	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.19	241,428	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.2	241,528	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.21	241,828	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.22	252,028	10,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.23	253,432	1,404
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.24	257,832	4,400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.25	266,632	8,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.26	266,932	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.27	267,232	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.28	267,332	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.29	267,432	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.31	267,832	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.35	270,532	2,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.43	270,632	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-14	38	20.46	274,632	4,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.05	274,732	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.07	275,032	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.09	278,232	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.1	282,732	4,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.12	286,432	3,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.14	288,232	1,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.2	290,032	1,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.21	296,532	6,500

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Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.22	297,432	900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.23	299,632	2,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.24	303,932	4,300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.25	304,232	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.26	305,732	1,500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.27	307,832	2,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.28	308,632	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.29	308,932	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.3	309,232	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.31	309,632	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.36	309,732	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.38	309,736	4
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-19	38	19.4	309,836	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	18.91	310,036	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.02	310,240	204
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.04	310,440	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.07	310,640	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.1	313,340	2,700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.11	313,440	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.12	313,640	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.13	313,740	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.17	313,840	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.21	314,540	700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.25	314,640	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.28	315,740	1,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.29	315,840	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.38	315,940	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.39	316,140	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.4	317,540	1,400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.46	318,240	700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.48	319,040	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.49	323,640	4,600
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.5	327,240	3,600

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Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.51	327,940	700
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.52	328,040	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.56	328,240	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.58	337,340	9,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.59	341,140	3,800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-20	38	19.6	344,040	2,900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.45	344,140	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.46	344,640	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.51	344,944	304
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.56	345,444	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.58	347,644	2,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.59	348,044	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.61	348,344	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.62	348,844	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.63	349,244	400
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.64	350,244	1,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.65	352,144	1,900
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.66	353,344	1,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.67	354,144	800
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.68	355,244	1,100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.69	355,444	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.7	358,644	3,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.73	358,844	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.74	358,944	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.75	363,944	5,000
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.76	364,044	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.77	377,244	13,200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.8	377,344	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.82	377,444	100
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.83	377,644	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.84	378,144	500
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.85	378,444	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.89	378,744	300

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.9	379,044	300
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-21	38	19.95	379,244	200
Sleep Country Canada Holdings Inc.	Common Shares	Sleep Country Canada Holdings Inc.	1	2019-11-29	38		0	-379,244
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	2019-12-02	10	0.09	5,835,000	1,000
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	2019-12-02	10	0.09	5,841,000	6,000
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	2019-12-02	10	0.095	5,844,000	3,000
Société d'exploration minière Vior Inc.	Common Shares	Fedosiewich, Mark Brian	5	2019-12-02	10	0.1	5,846,000	2,000
Société d'exploration minière Vior Inc.	Common Shares	L'Heureux, Marc	4, 5	2019-12-02	10	0.1	1,067,000	2,000
Société d'exploration minière Vior Inc.	Common Shares	L'Heureux, Marc	4, 5	2019-12-03	10	0.105	1,070,000	3,000
Société d'exploration minière Vior Inc.	Common Shares	L'Heureux, Marc	4, 5	2019-12-04	10	0.095	1,075,000	5,000
SolGold plc	Options	BHP Group Plc	3	2018-10-19	00			
SolGold plc	Options	BHP Group Plc	3	2019-12-02	11	0.37	19,250,000	19,250,000
SolGold plc	Ordinary Shares	BHP Group Plc	3	2019-12-02	11	0.2215	282,721,826	77,000,000
Sparton Resources Inc.	Common Shares	Barker, Alan Lee	4, 5	2019-11-02	10	0.0275	2,748,645	20,000
Sphinx Resources Ltd.	Warrants	Gauthier, Michel	4	2019-11-07	55	0.1		80,000
Sphinx Resources Ltd.	Warrants	Gauthier, Michel	4	2019-11-07	55	0.1	0	-80,000
SponsorsOne Inc.	Options	Beynon, William	4	2019-11-28	50	0.06	1,125,000	500,000
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	2019-12-06	10	0.085	2,301,958	2,500
Spot Coffee (Canada) Ltd.	Common Shares	Lorenzo, John Michael	4	2019-12-03	10	0.085	10,496,050	20,000
Sprott Inc.	Rights Deferred Share Units	Dewhurst, Ronald Richard	4	2019-12-03	46	2.86	85,396	887
Sprott Inc.	Rights Deferred Share Units	Ranson, Sharon Margaret	4	2019-12-03	46	2.86	267,943	2,782
Sprott Inc.	Rights Deferred Share Units	ZIGROSSI, ROSEMARY	4	2019-12-03	46	2.86	136,095	1,413
St-Georges Eco-Mining Corp.	Common Shares	Billings, Mark Anthony	4	2019-12-02	11	0.1	4,076,895	100,000
St-Georges Eco-Mining Corp.	Warrants	Billings, Mark Anthony	4	2019-12-02	11	0.2	848,750	100,000
St-Georges Eco-Mining Corp.	Common Shares	Vilhjalmsson, Vilhjalmur Thor	4	2019-11-29	11	0.1		200,000
St-Georges Eco-Mining Corp.	Common Shares	Vilhjalmsson, Vilhjalmur Thor	4	2019-11-29	11	0.1	209,000	200,000
St-Georges Eco-Mining Corp.	Warrants	Vilhjalmsson, Vilhjalmur Thor	4	2017-03-16	00			
St-Georges Eco-Mining Corp.	Warrants	Vilhjalmsson, Vilhjalmur Thor	4	2019-11-29	11		100,000	100,000
Stans Energy Corp.	Common Shares	Aryev, Boris	4, 5	2019-12-02	10	0.005	1,527,772	-2,233,280
Stans Energy Corp.	Common Shares	BAKER, GORDON	4, 5	2019-12-04	10	0.005	353,030	-59,850
Stantec Inc.	Common Shares	Fleck, Steve Marvin	7, 5	2016-11-10	00			
Stantec Inc.	Common Shares	Fleck, Steve Marvin	7, 5	2019-12-05	51	20.875	10,000	10,000
Stantec Inc.	Common Shares	Fleck, Steve Marvin	7, 5	2019-12-05	10	35.317	0	-10,000
Stantec Inc.	Options	Fleck, Steve Marvin	7, 5	2019-12-05	51	20.875	44,074	-10,000
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2019-12-04	10	0.9718		3,552
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2019-12-04	57	0.9718	45,911	3,552
STEP Energy Services Ltd.	Common Shares	Burvill, Michael Edward	5	2019-12-04	10	0.9718	45,079	-832
STEP Energy Services Ltd.	Performance Share Units - Business Unit	Burvill, Michael Edward	5	2019-12-04	57		34,168	-3,552
STEP Energy Services Ltd.	Common Shares	Duhon, Brock	5	2019-12-04	57		31,734	4,565
STEP Energy Services Ltd.	Common Shares	Duhon, Brock	5	2019-12-04	10	0.9718	30,595	-1,139
STEP Energy Services Ltd.	Performance Share Units - Business Unit	Duhon, Brock	5	2019-12-04	57		34,479	-4,565
STEP Energy Services Ltd.	Common Shares	Thompson, Rory John Will	5	2019-12-04	57		46,971	3,753
STEP Energy Services Ltd.	Common Shares	Thompson, Rory John Will	5	2019-12-04	10	0.9718	45,053	-1,918

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
STEP Energy Services Ltd.	Performance Share Units - Business Unit	Thompson, Rory John Will	5	2019-12-04	57		24,416	-3,753
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-07	38	6.8616	28,712	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-08	38	6.6814	44,716	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-11	38	6.8348	60,720	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-12	38	6.8348	76,724	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-13	38	6.8113	92,728	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-14	38	6.7465	98,427	5,699
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-18	38	6.7064	114,431	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-19	38	6.8071	130,435	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-22	38	6.671	133,139	2,704
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-26	38	6.6597	149,143	16,004
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-28	38		0	-149,143
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2019-11-29	38	6.6418	16,004	16,004
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	Kondrosky, John	5	2019-06-14	00			
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	Kondrosky, John	5	2019-11-28	56	0.055	1,900,100	1,900,100
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	MacDonald, William Colin	4	2019-11-28	56	0.055	13,216,218	13,216,218
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	MacDonald, William Colin	4	2010-03-09	00			
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	MacDonald, William Colin	4	2019-11-28	56	0.055	2,487,896	2,487,896
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	MacDonald, William Colin	4	2010-03-09	00			
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Rights	MacDonald, William Colin	4	2019-11-28	56	0.055	2,472,222	2,472,222
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	21.53	114,150	28,103
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	60.61		-28,103
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	60.61		-28,103
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	26.7	142,585	28,435
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	60.61		-28,435
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	60.61		-28,435
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	26.7		-28,435
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	51	26.7		-28,435
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	10	60.61	114,482	-28,103
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2019-12-03	10	60.61	86,047	-28,435
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	10	21.53		-28,103
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	10	21.53		-28,103
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	10	26.7		-28,435
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	10	26.7		-28,435
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	51	21.53	1,401,267	-28,103
Sun Life Financial Inc.	Options	Connor, Dean	4, 5	2019-12-03	51	26.7	1,372,832	-28,435
Sun Life Financial Inc.	Common Shares	Kennedy, Melissa Jane	5	2019-12-03	51	39.02	15,620	15,377
Sun Life Financial Inc.	Common Shares	Kennedy, Melissa Jane	5	2019-12-03	51	60.91		-11,971

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sun Life Financial Inc.	Common Shares	Kennedy, Melissa Jane	5	2019-12-03	51	60.91		-11,971
Sun Life Financial Inc.	Common Shares	Kennedy, Melissa Jane	5	2019-12-03	10	60.61	3,649	-11,971
Sun Life Financial Inc.	Options	Kennedy, Melissa Jane	5	2019-12-03	51	39.02	76,265	-15,377
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-01	30	30.66	248,151	248,151
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-01	30		0	-248,151
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-04	30	31.404	116,268	116,268
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-04	30		0	-116,268
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-05	30	31.642	115,393	115,393
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-05	30		0	-115,393
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-06	30	31.317	116,322	116,322
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-06	30		0	-116,322
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-07	30	31.904	85,560	85,560
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-07	30		0	-85,560
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-08	30	32.18	84,879	84,879
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-08	30		0	-84,879
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-11	30	32.16	84,679	84,679
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-11	30		0	-84,679
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-12	30	32.109	84,790	84,790
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-12	30		0	-84,790
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-13	30	31.931	85,229	85,229
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-13	30		0	-85,229
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-14	30	32.07	84,776	84,776
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-14	30		0	-84,776
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-15	30	32.39	83,875	83,875
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-15	30		0	-83,875
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-18	30	32.046	84,917	84,917
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-18	30		0	-84,917
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-19	30	31.469	115,467	115,467
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-19	30		0	-115,467
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-20	30	31.292	115,914	115,914
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-20	30		0	-115,914
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-21	30	31.583	114,122	114,122
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-21	30		0	-114,122
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-22	30	31.533	114,652	114,652
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-22	30		0	-114,652
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-25	30	31.558	114,409	114,409
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-25	30		0	-114,409
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-26	30	31.446	114,655	114,655
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-26	30		0	-114,655
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-27	30	31.45	114,893	114,893
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-27	30		0	-114,893
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-29	30	31.456	114,849	114,849
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2019-11-29	30		0	-114,849
SunOpta Inc.	Common Shares	Buick, Mike	5	2019-12-03	30	2.3341	59,099	2,129
Surge Energy Inc.	Common Shares	Christie, Derek Wayne	5	2019-12-02	30	1.01	61,064	1,064
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2019-11-18	35	0.98	39,975	1,156
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2019-12-02	30	1.01	40,959	984
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2019-11-18	30	0.98	73,685	1,518
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2019-12-02	30	1.01	74,769	1,084
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-04	38	8.05	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-04	38	8.05	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-05	38	8	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-05	38	8	0	-1,500

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	2019-11-06	38	7.99	100	100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-06	38	7.99	0	-100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-06	38	8	1,400	1,400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-06	38	8	0	-1,400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-07	38	7.99	900	900
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-07	38	7.99	0	-900
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-07	38	8	600	600
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-07	38	8	0	-600
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-11	38	7.96	900	900
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-11	38	7.96	0	-900
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-12	38	7.96	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-12	38	7.96	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-13	38	8	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-13	38	8	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-14	38	7.97	500	500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-14	38	7.97	0	-500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-15	38	7.97	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-15	38	7.97	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-18	38	7.98	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-18	38	7.98	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-19	38	8	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-19	38	8	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-20	38	7.98	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-20	38	7.98	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-22	38	8	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-22	38	8	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-26	38	8	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-26	38	8	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-27	38	7.97	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-27	38	7.97	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-29	38	7.97	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2019-11-29	38	7.97	0	-1,500
Tamarack Valley Energy Ltd.	Common Shares	Boyce, Jeff	4	2019-12-04	57		625,282	7,036

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	Boyce, Jeff	4	2019-12-04	57		87,918	-7,036
Tamarack Valley Energy Ltd.	Common Shares	GMT Capital Corp	3	2019-11-27	10	1.34	12,413,540	233,500
Tamarack Valley Energy Ltd.	Common Shares	GMT Capital Corp	3	2019-11-27	10	1.34	14,781,690	367,900
Tamarack Valley Energy Ltd.	Common Shares	GMT Capital Corp	3	2019-11-27	10	1.34	22,244,030	361,400
Tamarack Valley Energy Ltd.	Common Shares	GMT Capital Corp	3	2019-11-27	10	1.34	2,043,000	37,200
Tamarack Valley Energy Ltd.	Common Shares	MacKenzie, David Roy	4	2019-11-29	57	1.81	512,897	7,036
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	MacKenzie, David Roy	4	2019-11-29	57	1.81	87,918	-7,036
Tamarack Valley Energy Ltd.	Common Shares	Price, Floyd Ray	4	2019-12-03	57	1.77	98,612	11,628
Tamarack Valley Energy Ltd.	Common Shares	Price, Floyd Ray	4	2019-12-03	10	1.78	94,815	-3,797
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	Price, Floyd Ray	4	2019-12-03	57	1.77	89,116	-11,628
Tamarack Valley Energy Ltd.	Common Shares	Schmidt, Brian Leslie	5	2019-12-03	57	1.76	797,114	128,767
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	Schmidt, Brian Leslie	5	2019-12-03	57	1.76	853,433	-128,767
Tanzanian Gold Corporation	Common Shares	Harvey, William	4	2019-12-05	10	0.841	172,424	-3,000
Tanzanian Gold Corporation	Common Shares	Harvey, William	4	2019-12-05	10	0.833	171,624	-800
Tanzanian Gold Corporation	Common Shares	Harvey, William	4	2019-12-05	10	0.8254	167,924	-3,700
Teal Valley Health Inc. (formerly Radiant Health Care Inc.)	Common Shares	Folk, Trevor	4	2019-12-05	36		5,158,334	4,833,334
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-01	38		293,600	-379,884
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-01	38	15.926	469,731	176,131
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-01	38	20.97	647,431	177,700
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-04	38	16.181	664,831	17,400
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-04	38	21.311	680,931	16,100
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-05	38	16.885		53,200
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-05	38	22.241		53,400
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-06	38	16.885	734,131	53,200
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-06	38	22.241	787,531	53,400
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-07	38	17.389	837,531	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-07	38	22.913	887,531	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-08	38	17.016	942,531	55,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-08	38	22.516	992,531	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-08	38		205,000	-787,531
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-11	38	16.776	255,000	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-11	38	22.192	305,000	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-12	38	16.8	355,000	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-12	38	22.201	405,000	50,000

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-13	38	16.022	707,170	302,170
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-13	38	21.209	1,057,000	349,830
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-14	38	15.856	1,157,000	100,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-14	38	21.009	1,257,000	100,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-15	38	16.307	1,357,000	100,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-15	38	21.586	1,457,000	100,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-15	38		400,000	-1,057,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-18	38	15.93	560,200	160,200
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-18	38	21.035	710,600	150,400
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-19	38	16.163	760,600	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-19	38	21.389	810,600	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-20	38	15.893	886,866	76,266
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-20	38	21.156	961,766	74,900
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-21	38	15.666	1,114,466	152,700
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-21	38	20.808	1,267,166	152,700
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-22	38	15.82	1,369,866	102,700
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-22	38	21.016	1,472,566	102,700
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-22	38		510,800	-961,766
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-25	38	15.925	560,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-25	38	21.196	610,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-26	38	15.776	660,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-26	38	20.96	710,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-27	38	15.82	760,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-27	38	21.006	810,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-28	38	20.991	910,800	100,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-29	38	15.666	960,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-29	38	20.811	1,010,800	50,000
Teck Resources Limited	Class B Subordinate Voting Shares	Teck Resources Limited	1	2019-11-29	38		250,000	-760,800
TELUS Corporation	Restricted Share Units	Blair, Joshua Andrew	5	2019-11-29	30		202,470	2,363
TELUS Corporation	Restricted Share Units	Blair, Joshua Andrew	5	2019-11-29	30		225,279	22,809
TELUS Corporation	Restricted Share Units	Blair, Joshua Andrew	5	2019-11-29	30	50.003	223,164	-2,115
TELUS Corporation	Restricted Share Units	Blair, Joshua Andrew	5	2019-11-29	30	50.271	110,022	-113,142
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2019-11-25	30		650,081	7,588
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2019-11-25	30		711,992	61,911
TELUS Corporation	Restricted Share Units	Entwistle, Darren	4, 5	2019-11-25	30	50.27	404,891	-307,101
TELUS Corporation	Restricted Share Units	French, Douglas	5	2019-11-29	30		150,798	1,760
TELUS Corporation	Restricted Share Units	French, Douglas	5	2019-11-29	30		156,337	5,539
TELUS Corporation	Restricted Share Units	French, Douglas	5	2019-11-29	30	50.003	155,849	-488

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TELUS Corporation	Restricted Share Units	French, Douglas	5	2019-11-29	30	50.271	128,304	-27,545
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2019-11-29	30		141,344	1,650
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2019-11-29	30		144,689	3,345
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2019-11-29	30	50.003	143,239	-1,450
TELUS Corporation	Restricted Share Units	Geheran, Tony	5	2019-11-29	30	50.271	134,410	-8,829
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2019-11-29	30		130,485	1,523
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2019-11-29	30		140,912	10,427
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2019-11-29	30	50.003	139,364	-1,548
TELUS Corporation	Restricted Share Units	Gratton, Francois	5	2019-11-29	30	50.271	87,644	-51,720
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2019-11-29	30		135,368	1,580
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2019-11-29	30		147,099	11,731
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2019-11-29	30	50.003	145,665	-1,434
TELUS Corporation	Restricted Share Units	McIntosh, Sandy	5	2019-11-29	30	50.271	87,473	-58,192
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30		157,757	1,841
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30		170,791	13,034
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30	50.033		-1,908
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30	50.033		-1,908
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30	50.003	168,883	-1,908
TELUS Corporation	Restricted Share Units	Spadotto, Eros	7	2019-11-29	30	50.271	104,230	-64,653
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-01	38	7.188	87,894	29,798
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-04	38	7.211	118,292	30,398
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-05	38	7.199	149,790	31,498
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-06	38	7.1973	173,890	24,100
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-07	38	7.1976	205,388	31,498
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-08	38	7.4424	236,886	31,498
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-11	38	7.6361	268,384	31,498
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-12	38	7.5668	275,384	7,000
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-13	38	7.61	294,782	19,398
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-15	38	7.4892	298,682	3,900
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-18	38	7.4943	316,880	18,198
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-19	38	7.4868	335,078	18,198
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-20	38	7.4986	344,478	9,400
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-21	38	7.4992	375,878	31,400
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-22	22	7.4992	397,976	22,098
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-25	38	7.499	429,474	31,498
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-26	38	7.4834	442,574	13,100
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-27	38	7.476	444,074	1,500
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-28	38	7.5	444,574	500
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-28	38		500	-444,074
Tervita Corporation	Common Shares	Tervita Corporation	1	2019-11-29	38	7.5	1,800	1,300
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-01	38	42.04	90,419	25,000
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-04	38	42.64	115,419	25,000
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-06	38	42.98	124,819	9,400
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-13	38	42.99	130,819	6,000
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-14	38	42.99	234,219	103,400
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-15	38	42.95	259,219	25,000
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-18	38	42.86	265,419	6,200
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-20	38	42.97	277,719	12,300
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-20	38	42.88	302,719	25,000
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-20	38	42.91	304,419	1,700
TFI International Inc.	Common Shares	TFI International Inc.	1	2019-11-29	38		15,419	-289,000
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Daoust, Paul	4	2019-12-03	30		122,552	4,626
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Morris, Darcy	4	2019-12-02	30		15,532	3,482
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Vamvakas, Elias	4	2019-07-10	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Vamvakas, Elias	4	2019-12-03	30		2,394	2,394
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Welsh, Kathryn A.	4	2019-12-03	30		100,082	3,482
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Young, John	4	2019-09-04	00			
THE CALDWELL PARTNERS INTERNATIONAL INC.	Deferred Stock Units	Young, John	4	2019-12-03	30		1,741	1,741
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Diederik, Raimond	5	2019-11-30	97		3,751	-841
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Gardner, Edward James	5	2019-11-30	97		4,662	-972
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Jones, Christopher	5	2019-11-30	97		4,236	-781
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Parker, Robert	5	2019-11-30	97		3,314	-752
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Roszko, Andrew	5	2019-11-30	97		866	-87
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Verhoeve, Michael	5	2019-11-30	97		4,329	-679
The Descartes Systems Group Inc.	Restricted Stock Unit - Cash-settled	Wood, Kenneth Edward	5	2019-11-30	97		2,738	-481
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Dann, Alexander	5	2019-11-28	10	2.25	42,700	-5,000
The Flowr Corporation (formerly The Needle Capital Corp.)	Units Restricted Share Units	de Barros Teixeira, Joao Andre	4, 5	2018-12-28	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Units Restricted Share Units	de Barros Teixeira, Joao Andre	4, 5	2019-11-28	56		100,000	100,000
The Yield Growth Corp.	Options	Bond, Thomas	4	2019-11-28	50	0.28	1,122,000	12,000
The Yield Growth Corp.	Options	Frankel, Amy	5	2019-11-28	50	0.28	542,000	12,000
The Yield Growth Corp.	Options	HUANG, YU CAI	5	2019-11-28	50	0.28	82,000	12,000
The Yield Growth Corp.	Options	Karla Deeaan, Williams	5	2019-11-28	50	0.28	512,000	12,000
The Yield Growth Corp.	Options	Margaris, Spiros	4	2019-11-28	50	0.28	1,272,000	12,000
The Yield Growth Corp.	Options	Melck, Tamara Ingrid	5	2019-11-28	50	0.28	512,000	12,000
The Yield Growth Corp.	Common Shares	White, Penny Olga	3, 4, 5	2019-11-29	10	0.2566	16,988,500	15,000
The Yield Growth Corp.	Common Shares	White, Penny Olga	3, 4, 5	2019-12-02	10	0.25	16,995,500	7,000
The Yield Growth Corp.	Common Shares	White, Penny Olga	3, 4, 5	2019-12-03	10	0.245	17,002,500	7,000
The Yield Growth Corp.	Common Shares	White, Penny Olga	3, 4, 5	2019-12-04	10	0.25	17,004,500	2,000
The Yield Growth Corp.	Options	White, Penny Olga	3, 4, 5	2019-11-28	50	0.28	422,000	12,000
Thermal Energy International Inc.	Options	Crossland, William	4, 5	2019-11-29	50		2,500,360	500,000
Thermal Energy International Inc.	Options	Mawby, Samuel Thomas	5	2019-05-28	52		1,004,000	-254,000
Thermal Energy International Inc.	Options	Mawby, Samuel Thomas	5	2019-11-29	50		1,254,000	250,000
Thermal Energy International Inc.	Options	Sands, Vincent Joseph	5	2019-11-29	50		500,000	250,000
Thermal Energy International Inc.	Common Shares Class A	Thermal Energy International Inc.	1	2019-11-26	38	0.075	8,000	8,000
Thermal Energy International Inc.	Common Shares Class A	Thermal Energy International Inc.	1	2019-11-29	38	0.075	183,000	175,000
Thermal Energy International Inc.	Common Shares Class A	Thermal Energy International Inc.	1	2019-12-03	38		175,000	-8,000
Thermal Energy International Inc.	Options	Triebe, Robert William	5	2019-05-28	52		1,129,000	-254,000
Thermal Energy International Inc.	Options	Triebe, Robert William	5	2019-11-29	50		1,504,000	375,000
Thermal Energy International Inc.	Options	Wales, Isobel Catriona	5	2019-05-28	52		1,004,000	-148,000

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Thermal Energy International Inc.	Options	Wales, Isobel Catriona	5	2019-11-29	50		1,254,000	250,000
Thermal Energy International Inc.	Options	Zhang, Jie (Julia)	5	2019-11-29	50		500,000	250,000
Thomson Reuters Corporation	Common Shares	The Woodbridge Company Limited	3	2019-12-04	10	91.65	327,455,570	-468,340
ThreeD Capital Inc.(formerly Brownstone Energy Inc.)	Warrants	Inwentash, Sheldon	4, 6, 5	2019-12-01	55		5,416,664	-166,666
Tidewater Midstream and Infrastructure Ltd.	Common Shares	Colcleugh, Robert	4	2019-12-02	57	1.06	10,000	10,000
Tidewater Midstream and Infrastructure Ltd.	Common Shares	Colcleugh, Robert	4	2019-12-02	57	1.06	18,408	8,408
Tidewater Midstream and Infrastructure Ltd.	Common Shares	Colcleugh, Robert	4	2019-12-02	57	1.06	18,550	142
Tidewater Midstream and Infrastructure Ltd.	Restricted Share Units	Colcleugh, Robert	4	2019-12-02	57	1.06	30,074	-10,000
Tidewater Midstream and Infrastructure Ltd.	Restricted Share Units	Colcleugh, Robert	4	2019-12-02	57	1.06	21,666	-8,408
Tidewater Midstream and Infrastructure Ltd.	Restricted Share Units	Colcleugh, Robert	4	2019-12-02	57	1.06	21,524	-142
Tintina Mines Limited	Options	Ferrari, Eugenio	4, 5	2019-11-28	22			364,878
Tintina Mines Limited	Options	Ferrari, Eugenio	4, 5	2019-11-28	22			364,878
Tintina Mines Limited	Options	Marrelli, Carmelo	4	2019-11-28	22			145,951
Tintina Mines Limited	Options	Marrelli, Carmelo	4	2019-11-28	22			145,951
Tintina Mines Limited	Common Shares	Rassmuss, Juan Enrique	4	2011-11-25	00			
Tintina Mines Limited	Common Shares	Rassmuss, Juan Enrique	4	2019-11-28	22		6,986,903	6,986,903
Tintina Mines Limited	Options	Rassmuss, Juan Enrique	4	2019-11-28	22			729,756
Tintina Mines Limited	Options	Rassmuss, Juan Enrique	4	2019-11-28	22			729,756
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2019-11-30	56		1,285	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2019-11-30	56		20,560	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2019-11-30	56		24,304	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Franklin, Robert	4	2019-11-30	56		45,268	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2019-11-30	56		13,227	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2019-11-30	56		13,308	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2019-11-30	56		1,164	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	2019-11-30	56			584
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	2019-11-30	56		54,371	584
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2019-11-30	56		21,630	237
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2019-11-30	56		2,465	237
Torrent Capital Ltd.	Common Shares	Dawe, Wade K.	5	2019-11-27	10	0.355	3,012,500	6,500
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2019-12-02	10	5.4	1,208,800	5,000
Total Energy Services Inc.	Common Shares	Melchin, Gregory Knowles	4	2019-12-02	10	5.5	55,346	1,115
Total Energy Services Inc.	Common Shares	Total Energy Services Inc	1	2019-11-29	10	5.6656	94,400	94,400
Total Energy Services Inc.	Common Shares	Total Energy Services Inc	1	2019-11-29	38		14,400	-80,000
Touchstone Exploration Inc.	Common Shares	Baay, Paul Raymond	4, 5	2019-12-04	30	0.25	1,381,407	15,500
Touchstone Exploration Inc.	Common Shares	Budau, Christopher Scott	5	2019-12-04	30	0.25	291,430	8,000
Touchstone Exploration Inc.	Common Shares	Shipka, James	5	2019-12-04	30	0.25	448,167	12,000
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2019-12-02	10	12.02	10,576,830	2,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2019-12-02	10	11.938	10,579,330	2,500
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2019-12-03	10	11.769	10,581,830	2,500
Tower One Wireless Corp	Common Shares	Horsley, Robert N	4	2019-11-29	10	0.031	2,253,458	76,792
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-13	38	8.6789	176,400	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-14	38	8.9083	352,800	176,400

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-15	38	8.9383	529,200	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-15	38		352,800	-176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-18	38	8.8253	469,100	116,300
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-19	38	8.7306	604,100	135,000
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-20	38	8.721	729,900	125,800
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-21	38	8.755	906,300	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-22	38	8.8317	1,039,100	132,800
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-22	38		309,200	-729,900
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-25	38	8.8124	448,000	138,800
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-26	38	8.7942	624,400	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-27	38	8.929	800,800	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-28	38	8.9695	977,200	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-29	38	8.9708	1,153,600	176,400
TransAlta Corporation	Common Shares	TransAlta Corporation	1	2019-11-29	38		352,800	-800,800
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Drinkwater, David William	4	2019-11-29	56	15.03	25,489	127
TransAlta Renewables Inc.	DSU (Deferred Share Units)	Hagerman, Allen R.	4	2019-11-29	56	15.03	27,914	145
TransAlta Renewables Inc.	DSU (Deferred Share Units)	McQuade, Kathryn Ann Bova	4	2019-11-29	56	15.03	28,899	150
TransAlta Renewables Inc.	DSU (Deferred Share Units)	TAYLOR, PAUL H. E.	4	2019-11-29	56	15.03	30,508	158
Tree Island Steel Ltd.	Common Shares	Doman, Amar	3, 4	2019-12-03	10	1.69	8,873,950	30,000
Tree Island Steel Ltd.	Common Shares	Doman, Amar	3, 4	2019-12-04	10	1.69	8,879,050	5,100
Trevali Mining Corporation	Common Shares	Creaney, Brendan	5	2019-11-29	00		50,000	
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2019-12-02	00			
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2019-12-02	00			
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2019-12-02	00		200,000	
Trican Well Service Ltd.	Common Shares	Armoyan, Sime	3	2019-11-29	10	0.925	3,781,600	5,000
Trilogy International Partners Inc.	Common Shares	Horwitz, Brad	7	2019-12-06	10	1.446	759,797	1,400
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Giardini, Tony Serafino	4	2019-12-03	56		196,727	2,740
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Hayden, William	4	2019-12-03	56		91,843	2,740
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Hensley, William L. Iggiagruk	4	2019-12-03	56		89,804	2,740
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Lang, Gregory Anthony	4	2019-12-03	56		191,280	2,741
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Madhavpeddi, Kalidas	4	2019-12-03	56		201,877	2,740
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Stairs, Janice Alayne	4	2019-12-03	56		195,569	2,740
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Rights Deferred Share Unit	Walters, Diana	4	2019-12-03	56		114,549	2,740
TriStar Gold Inc.	Options	Appleyard, Nicholas David	4, 5	2019-11-27	50	0.2	1,750,000	450,000
TriStar Gold Inc.	Options	Brunsdon, Scott Murdo	5	2019-11-27	50	0.2	1,500,000	400,000
TriStar Gold Inc.	Options	Hennigh, Quinton Todd	4	2019-11-27	50	0.2	1,800,000	150,000
TriStar Gold Inc.	Options	Irwin, Brian Clarke	4, 5	2019-11-27	50	0.2	1,250,000	150,000
TriStar Gold Inc.	Options	Jones, III, Mark E.	4	2019-11-27	50	0.2	1,650,000	150,000
TriStar Gold Inc.	Common Shares	McKeen, Roderick Charles	4	2019-11-26	00		333,330	
TriStar Gold Inc.	Options	Vilhena, Carlos A.	4	2019-11-27	50	0.2	525,000	150,000
Troilus Gold Corp. (formerly Pitchblack Resources Ltd.)	Common Shares	Pint, Paul	5	2019-12-04	10	0.58	854,025	5,000
Troilus Gold Corp. (formerly Pitchblack Resources Ltd.)	Common Shares	Pint, Paul	5	2019-12-04	10	0.59	859,025	5,000
Troilus Gold Corp. (formerly Pitchblack Resources Ltd.)	Common Shares	Pint, Paul	5	2019-12-06	10	0.54	868,025	9,000
Troilus Gold Corp. (formerly Pitchblack Resources Ltd.)	Common Shares	Pritchard, Ian	5	2019-12-03	10		169,486	24,000
Troilus Gold Corp. (formerly Pitchblack Resources Ltd.)	Rights Restricted Share Units	Pritchard, Ian	5	2019-11-29	56		300,000	300,000

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True Leaf Brands Inc. (formerly True Leaf Medicine International Ltd.)	Common Shares	Battersby, Darren	5	2019-12-02	00		48,500	
True North Commercial Real Estate Investment Trust	Trust Units	Biggar, William John	4	2019-12-02	10	7.29	50,000	-25,000
True North Commercial Real Estate Investment Trust	Options	Drimmer, Daniel	3, 4	2019-12-02	51	6.15	310,000	-100,000
True North Commercial Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	51	100000	100,000	100,000
True North Commercial Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	90		0	-100,000
True North Commercial Real Estate Investment Trust	Trust Units	Drimmer, Daniel	3, 4	2019-12-02	90		4,903,838	100,000
Tucows Inc.	Common Shares	Karp, Allen	4	2019-11-29	47		18,231	-645
Tucows Inc.	Common Shares	Noss, Elliot Lawrence	4, 5	2019-11-27	51	5.76	566,945	6,250
Tucows Inc.	Options	Noss, Elliot Lawrence	4, 5	2019-11-27	51	5.76	562,500	-6,250
Tucows Inc.	Common Shares	Woroch, David John	5	2019-11-28	51	5.76	59,122	6,250
Tucows Inc.	Options	Woroch, David John	5	2019-11-28	51	5.76	356,750	-6,250
Turmalina Metals Corp.	Common Shares	Azevedo, Jr, Francisco I	4, 5	2019-12-03	00		2,400,000	
Turmalina Metals Corp.	Options	Azevedo, Jr, Francisco I	4, 5	2019-12-03	00		575,000	
Turmalina Metals Corp.	Common Shares	Eaton, Mark Price	4	2019-12-03	00		200,000	
Turmalina Metals Corp.	Options	Eaton, Mark Price	4	2019-12-03	00		300,000	
Turmalina Metals Corp.	Options	Inchaustegui Zevallos, Miguel	4	2019-12-03	00		300,000	
Turmalina Metals Corp.	Options	Richards, Jonathan	5	2019-12-03	00		300,000	
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2019-12-03	00		2,000,000	
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2019-12-03	10	0.57	2,005,000	5,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2019-12-03	10	0.59	2,010,000	5,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2019-12-03	10	0.6	2,015,000	5,000
Turmalina Metals Corp.	Common Shares	Slusarchuk, Bryan James Rees	4	2019-12-03	10	0.56	2,045,000	30,000
Turmalina Metals Corp.	Options	Slusarchuk, Bryan James Rees	4	2019-12-03	00		575,000	
Turmalina Metals Corp.	Common Shares	Wolfe, Rohan	4, 5	2019-12-03	00		2,080,000	
Turmalina Metals Corp.	Options	Wolfe, Rohan	4, 5	2019-12-03	00		575,000	
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2019-12-03	38	13.17	100	100
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2019-12-03	38		0	-100
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2019-12-04	38	13.1	1,000	1,000
TWC Enterprises Limited	Common Shares	TWC Enterprises Limited	1	2019-12-04	38		0	-1,000
U.S. Financials Income Fund	Trust Units Class A (CAD $)	World Financial Split Corp.	8	2019-12-04	10	7.11	139,700	-10,000
Ubique Minerals Limited	Common Shares	Cullingham, Paul Winston	3	2019-12-03	10	0.045	5,713,876	-5,000
Unigold Inc.	Common Shares	Corporation Aurifère Monarques	3	2019-12-05	10	0.2	6,500,000	-1,500,000
Uranium Energy Corp.	Common Shares	ABRAHAM, Edward Spencer	4	2019-12-02	46	0.883	162,336	3,681
Uranium Energy Corp.	Common Shares	Melbye, Scott Eric	5	2019-12-02	46	0.883	290,189	4,445
Uranium Energy Corp.	Common Shares	Obara, Pat	5	2019-12-02	46	0.883	362,715	2,192
Uranium Royalty Corp.	Common Shares	ABRAHAM, Edward Spencer	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	Adnani, Amir	4, 6, 5	2019-11-22	00		1,000,000	
Uranium Royalty Corp.	Common Shares	Adnani, Amir	4, 6, 5	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Warrants	Adnani, Amir	4, 6, 5	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Ballesta, Gloria	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	Della Volpe, Vincent	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	JUDGE, BARBARA	4	2019-09-02	00			
Uranium Royalty Corp.	Common Shares	JUDGE, BARBARA	4	2019-09-02	00			
Uranium Royalty Corp.	Common Shares	JUDGE, BARBARA	4	2019-11-22	00			
Uranium Royalty Corp.	Warrants	JUDGE, BARBARA	4	2019-11-22	00			

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Uranium Royalty Corp.	Common Shares	Kong, David	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	Man, Josephine	5	2018-08-30	00			
Uranium Royalty Corp.	Common Shares	Man, Josephine	5	2018-08-30	00			
Uranium Royalty Corp.	Common Shares	Man, Josephine	5	2019-11-22	00			
Uranium Royalty Corp.	Warrants	Man, Josephine	5	2018-08-30	00			
Uranium Royalty Corp.	Warrants	Man, Josephine	5	2018-08-30	00			
Uranium Royalty Corp.	Warrants	Man, Josephine	5	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	MANI, GANPAT	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	Melbye, Scott Eric	4, 6, 5	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Melbye, Scott Eric	4, 6, 5	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Melbye, Scott Eric	4, 6, 5	2019-11-22	00		400,000	
Uranium Royalty Corp.	Common Shares	Melbye, Scott Eric	4, 6, 5	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Warrants	Melbye, Scott Eric	4, 6, 5	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Neuburger, David Mark	4	2019-08-23	00			
Uranium Royalty Corp.	Common Shares	Neuburger, David Mark	4	2019-08-23	00			
Uranium Royalty Corp.	Common Shares	Neuburger, David Mark	4	2019-11-22	00			
Uranium Royalty Corp.	Warrants	Neuburger, David Mark	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Obara, Pat	6	2019-11-22	00		250,000	
Uranium Royalty Corp.	Common Shares	Obara, Pat	6	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Patel, Vina Unka	4	2019-11-22	00		70,000	
Uranium Royalty Corp.	Warrants	Patel, Vina Unka	4	2019-11-22	00			
Uranium Royalty Corp.	Common Shares	Uranium Energy Corp.	3	2019-11-22	00		14,000,000	
Uranium Royalty Corp.	Warrants	Uranium Energy Corp.	3	2019-11-22	00			
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2019-12-03	90	2.81	10,465	3,100
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2019-12-03	90	2.81	125,066	-3,100
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2019-12-03	90	2.81	12,766	4,100
Urbana Corporation	Common Shares	Caldwell, Thomas Scott	4	2019-12-03	90	2.81	163,021	-4,100
UrbanGold Minerals Inc.	Common Shares	BURSTALL, V.E. DALE	4	2019-12-06	16	0.15	471,000	167,000
UrbanGold Minerals Inc.	Common Shares	Eskelund-Hansen, Jens	4	2019-12-06	16	0.125	2,103,000	150,000
UrbanGold Minerals Inc.	Warrants	Eskelund-Hansen, Jens	4	2019-12-06	16	0.18	175,000	75,000
UrbanGold Minerals Inc.	Common Shares	Stephens, Mathieu	5	2019-12-06	11	0.13	791,500	160,000
UrbanGold Minerals Inc.	Warrants	Stephens, Mathieu	5	2019-12-06	11	0.18	280,000	80,000
VALEO PHARMA INC.	Common Shares Class A	Mainville, Luc	5	2019-11-28	10	0.25	1,511,055	71,000
VALEO PHARMA INC.	Common Shares Class A	Mainville, Luc	5	2019-12-04	10	0.29	1,516,055	5,000
VALEO PHARMA INC.	Common Shares Class A	Mainville, Luc	5	2019-12-05	10	0.2925	1,526,055	10,000
VALEO PHARMA INC.	Warrants	Mainville, Luc	5	2019-12-02	10	0.05		200,000
VALEO PHARMA INC.	Warrants	Mainville, Luc	5	2019-12-02	10	0.05	452,500	200,000
VALEO PHARMA INC.	Warrants	Mainville, Luc	5	2019-12-03	10	0.05	552,500	100,000
Velocity Minerals Ltd.	Options	Morgans, Darren Paul	5	2019-12-02	00		350,000	
VersaBank	Common Shares	Hale, Barbara Ethel May	5	2019-11-26	00		100	
VersaBank	Preferred Shares Series 1	Hale, Barbara Ethel May	5	2019-11-26	00		100	
VersaBank	Common Shares	Oliver, Paul G.	4	2019-12-03	90		2,893	548
VersaBank	Common Shares	Oliver, Paul G.	4	2019-12-03	90		10,362	-548
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-02	10	7.535	362,900	300
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-02	10	7.55	363,000	100
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-02	10	7.56	363,500	500
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-02	10	7.6	389,600	26,100
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.52	389,800	200
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.53	393,200	3,400
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.59	393,300	100
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.6	393,400	100
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.64	393,700	300

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VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.69	404,100	10,400
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2019-12-03	10	7.7	410,000	5,900
Vibe Bioscience Ltd. (formerly Altitude Resources Inc.)	Common Shares	WALKER, JAMES	4	2019-11-24	00		182,548	
VIQ Solutions Inc.	Common Shares	Edwards, Alexie	5	2019-12-04	37		5,000	-95,000
VIQ Solutions Inc.	Options	Edwards, Alexie	5	2019-12-04	37		45,000	-855,000
VIQ Solutions Inc.	Common Shares	Gordon, Harvey	4	2019-12-04	37		81,607	-1,550,534
VIQ Solutions Inc.	Options	Gordon, Harvey	4	2019-12-05	37		38,999	-740,988
VIQ Solutions Inc.	Rights DSU	Gordon, Harvey	4	2019-12-05	37		33,333	-633,333
VIQ Solutions Inc.	Warrants	Gordon, Harvey	4	2019-12-05	37		8,865	-168,440
VIQ Solutions Inc.	Common Shares	Macallum, Malcolm John	5	2019-12-03	37		67,075	-1,274,425
VIQ Solutions Inc.	Common Shares	Morin, Gilles-Andre	5	2019-12-03	37		0	-11,000
VIQ Solutions Inc.	Common Shares	Morin, Gilles-Andre	5	2019-12-03	37		550	550
VIQ Solutions Inc.	Options	Morin, Gilles-Andre	5	2019-12-03	37		0	-500,000
VIQ Solutions Inc.	Options	Morin, Gilles-Andre	5	2019-12-03	37		25,000	25,000
VIQ Solutions Inc.	Common Shares	Pare, Sebastien	5	2019-12-06	37		101,655	-1,931,440
VIQ Solutions Inc.	Options	Pare, Sebastien	5	2019-12-02	50	0.11	6,250,000	466,667
VIQ Solutions Inc.	Options	Pare, Sebastien	5	2019-12-06	37		312,500	-5,937,500
VIQ Solutions Inc.	Warrants	Pare, Sebastien	5	2019-12-06	37		0	-869,047
VIQ Solutions Inc.	Warrants	Pare, Sebastien	5	2019-12-06	37		33,862	-643,381
VIQ Solutions Inc.	Common Shares	Quarin, Joseph	4	2019-12-03	37		189,112	-3,593,125
VIQ Solutions Inc.	Convertible Notes US Dollars	Quarin, Joseph	4	2016-11-08	00			
VIQ Solutions Inc.	Convertible Notes US Dollars	Quarin, Joseph	4	2019-12-03	37	0.141	$249,075	$249,075
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	0.21	625,000	-500,000
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	4.2	650,000	25,000
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	0.3	525,000	-125,000
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	6	531,250	6,250
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	0.142	31,250	-500,000
VIQ Solutions Inc.	Options	Quarin, Joseph	4	2019-12-03	37	2.84	56,250	25,000
VIQ Solutions Inc.	Warrants	Quarin, Joseph	4	2019-12-03	37	0.39	0	-833,333
VIQ Solutions Inc.	Warrants	Quarin, Joseph	4	2019-12-03	37	3.24	41,667	41,667
VIQ Solutions Inc.	Warrants	Quarin, Joseph	4	2019-12-03	37	3.24	100,621	58,954
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	2019-12-03	37		354,759	-6,740,428
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	2019-12-03	37		182,444	-3,466,427
VIQ Solutions Inc.	Options	Taylor, Larry Douglas	4	2019-12-03	37		81,250	-1,543,750
VIQ Solutions Inc.	Rights DSU	Taylor, Larry Douglas	4	2019-12-03	37		33,333	-633,333
VIQ Solutions Inc.	Warrants	Taylor, Larry Douglas	4	2019-12-03	37			-182,444
VIQ Solutions Inc.	Warrants	Taylor, Larry Douglas	4	2019-12-03	37		59,397	-2,328,546
VIQ Solutions Inc.	Common Shares	Wells, Bradley W.	4	2019-12-03	37		1,337,557	-22,262,199
VIVO Cannabis Inc.	Common Shares	Laflamme, Daniel	3, 4, 5	2019-12-02	10	0.225	36,458,539	-20,000
VIVO Cannabis Inc.	Common Shares	Laflamme, Daniel	3, 4, 5	2019-12-03	10	0.23	36,438,539	-20,000
VIVO Cannabis Inc.	Common Shares	Laflamme, Daniel	3, 4, 5	2019-12-04	10	0.225	36,418,539	-20,000
VIVO Cannabis Inc.	Common Shares	Laflamme, Daniel	3, 4, 5	2019-12-05	10	0.22	36,398,539	-20,000
VIVO Cannabis Inc.	Common Shares	Laflamme, Daniel	3, 4, 5	2019-12-06	10	0.215	36,378,539	-20,000
Vizsla Resources Corp.	Common Shares	Cmrlec, Simon	4	2019-11-28	11	0.4	333,000	170,000
Vizsla Resources Corp.	Common Shares	Konnert, Michael	4	2019-12-05	11	0.4		15,000
Vizsla Resources Corp.	Common Shares	Konnert, Michael	4	2019-12-05	11	0.4	2,054,801	37,500
Vizsla Resources Corp.	Common Shares	Parry, Craig Andrew	4	2019-11-28	11	0.4	4,232,668	500,000
VSBLTY Groupe Technologies Corp.	Common Shares	Hutton, Jay	4, 5	2019-12-05	10	0.2	546,496	2,000
VSBLTY Groupe Technologies Corp.	Common Shares	Hutton, Jay	4, 5	2019-12-06	10	0.21	548,496	2,000
VSBLTY Groupe Technologies Corp.	Common Shares	Hutton, Jay	4, 5	2019-12-06	10	0.2	550,496	2,000
Wallbridge Mining Company Limited	Common Shares	Day, Everett	6	2019-12-02	10	0.67	50,000	50,000
Wallbridge Mining Company Limited	Common Shares	Day, Everett	6	2019-12-04	00			

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Wallbridge Mining Company Limited	Common Shares	Day, Shawn	4	2019-12-04	10	0.71	155,000	15,000
Wallbridge Mining Company Limited	Common Shares	Farsangi, Parviz	4	2019-12-03	51	0.075	200,000	200,000
Wallbridge Mining Company Limited	Common Shares	Farsangi, Parviz	4	2019-12-03	51	0.155	300,000	100,000
Wallbridge Mining Company Limited	Common Shares	Farsangi, Parviz	4	2019-12-03	51	0.085	425,000	125,000
Wallbridge Mining Company Limited	Options	Farsangi, Parviz	4	2019-12-03	51		625,000	-200,000
Wallbridge Mining Company Limited	Options	Farsangi, Parviz	4	2019-12-03	51		525,000	-100,000
Wallbridge Mining Company Limited	Options	Farsangi, Parviz	4	2019-12-03	51		400,000	-125,000
Wallbridge Mining Company Limited	Common Shares	HOLMES, WILLIAM WARREN	4	2019-12-02	10	0.63	3,009,000	-300,000
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	2019-12-02	51	0.075	3,338,166	500,000
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	2019-12-02	51	0.155	3,588,166	250,000
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	2019-12-03	10	0.71	3,388,166	-200,000
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	2019-12-03	10	0.72	3,288,166	-100,000
Wallbridge Mining Company Limited	Common Shares	Kord-Gharachorloo, Faramarz	5	2019-12-06	10	0.755	2,888,166	-400,000
Wallbridge Mining Company Limited	Options	Kord-Gharachorloo, Faramarz	5	2019-12-02	51		950,000	-500,000
Wallbridge Mining Company Limited	Options	Kord-Gharachorloo, Faramarz	5	2019-12-02	51		700,000	-250,000
Wallbridge Mining Company Limited	Common Shares	Montgomery, Mary Irene	5	2019-12-06	10	0.77	688,809	-150,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	2019-12-02	10	0.65	1,487,600	-50,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	2019-12-02	10	0.62	1,437,600	-50,000
Wallbridge Mining Company Limited	Common Shares	Sittler, Darryl	4	2019-12-02	10	0.637	1,387,600	-50,000
Wallbridge Mining Company Limited	Common Shares	Soever, Alar	4, 5	2019-12-03	10	0.72	3,039,205	-300,000
Wallbridge Mining Company Limited	Common Shares	Soever, Alar	4, 5	2019-12-06	10	0.75	2,819,205	-220,000
Wallbridge Mining Company Limited	Common Shares	Wilkinson, Janet	4	2018-07-23	00			
Wallbridge Mining Company Limited	Common Shares	Wilkinson, Janet	4	2019-12-04	10	0.73	53,400	53,400
Water Ways Technologies Inc.	Common Shares	Haber, Ohad	3, 4, 5	2019-12-02	10	0.06	57,046,000	21,000
WeedMD Inc.	Common Shares	Kraft, Michael	4, 5	2017-04-19	00			
WeedMD Inc.	Common Shares	Kraft, Michael	4, 5	2019-12-06	10	0.95	20,000	20,000
WeedMD Inc.	Common Shares	Pesner, Michael	4	2019-12-05	10	0.9318	16,500	16,500
Wescan Goldfields Inc.	Common Shares	MacNeill, Tom	6	2019-12-05	10	0.05	1,045,587	7,000
Wesdome Gold Mines Ltd.	Common Shares	Kimmett, Stacy	5	2019-11-26	51	3.23	81,377	75,000
Wesdome Gold Mines Ltd.	Common Shares	Kimmett, Stacy	5	2019-11-26	51	1.96	94,964	13,587
Wesdome Gold Mines Ltd.	Common Shares	Kimmett, Stacy	5	2019-11-26	10	8.16	6,377	-88,587
Wesdome Gold Mines Ltd.	Options	Kimmett, Stacy	5	2019-11-26	51		134,019	-75,000
Wesdome Gold Mines Ltd.	Options	Kimmett, Stacy	5	2019-11-26	52		120,432	-13,587
West Kirkland Mining Inc.	Common Shares	Hallam, Frank	5	2019-12-03	10	0.055	2,198,767	15,000
Western Resources Corp.	Common Shares	Venter, Frederick Christiaan	4, 5	2019-12-02	10	0.27	0	-17,000
Western Troy Capital Resources Inc.	Common Shares	Loesby, Rex E.	4	2019-01-15	37		408,000	-1,632,000
Western Troy Capital Resources Inc.	Options	Loesby, Rex E.	4	2019-01-15	37		160,000	-640,000
Westleaf Inc.	Common Shares	Radostits, John	4	2019-01-30	00			

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Westleaf Inc.	Common Shares	Radostits, John	4	2019-12-02	10	0.215	63,000	63,000
Westleaf Inc.	Common Shares	Stangherlin, Kareen Marie	4	2019-12-02	10	0.21	300,000	60,000
Willow Biosciences Inc.	Common Shares	Lalani, Sadiq	4	2019-11-29	10	0.62	550,000	50,000
Wilmington Capital Management Inc.	Common Shares Class A	KILLI, Joseph F.	4, 6	2019-12-03	90		0	-52,408
Wilmington Capital Management Inc.	Common Shares Class A	KILLI, Joseph F.	4, 6	2019-12-03	90		996,088	52,408
Windfall Geotek Inc.	Common Shares	Fontaine, Michel	4, 5	2019-11-28	51	0.05	1,659,643	200,000
Windfall Geotek Inc.	Common Shares	Fontaine, Michel	4, 5	2019-11-29	54	0.05	1,859,643	200,000
Windfall Geotek Inc.	Options	Fontaine, Michel	4, 5	2019-11-28	51		1,700,000	-200,000
Windfall Geotek Inc.	Warrants	Fontaine, Michel	4, 5	2019-11-29	54		2,462,500	-200,000
Windfall Geotek Inc.	Common Shares	Kandanchatha, Dinesh	5	2019-11-26	54	526320		526,320
Windfall Geotek Inc.	Common Shares	Kandanchatha, Dinesh	5	2019-12-04	54	0.095	2,762,320	526,320
Windfall Geotek Inc.	Warrants	Kandanchatha, Dinesh	5	2019-11-26	54	0.095		-526,320
Windfall Geotek Inc.	Warrants	Kandanchatha, Dinesh	5	2019-12-04	54	0.095	1,473,680	-526,320
Xebec Adsorption Inc.	Common Shares	Sorschak, Kurt	3, 4, 5	2019-11-27	10	2.41	2,518,896	-92,300
Xebec Adsorption Inc.	Common Shares	Sorschak, Kurt	3, 4, 5	2019-11-27	10	2.4	2,212,196	-306,700
Xenon Pharmaceuticals Inc.	Common Shares	Patou, Gary	4	2019-12-04	51	3.74	21,516	2,057
Xenon Pharmaceuticals Inc.	Options	Patou, Gary	4	2019-12-04	51	3.74	60,659	-2,057
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2019-11-21	38	0.47	35,000	35,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2019-11-21	38		0	-35,000
Yellow Pages Digital & Media Solutions Limited	10% Senior Secured Notes due Oct 19, 2022	Yellow Pages Digital & Media Solutions Limited / Pages Jaunes Solutions numériques et médias Limitée	1	2019-12-02	38	1008.5	$50,231,000	$50,231,000
Yellow Pages Digital & Media Solutions Limited	10% Senior Secured Notes due Oct 19, 2022	Yellow Pages Digital & Media Solutions Limited / Pages Jaunes Solutions numériques et médias Limitée	1	2019-12-02	38	1008.5	$0	-$50,231,000
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	2019-06-07	10	0.42	29	-4,200
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	2019-06-07	10	0.42		-4,200
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	2019-12-02	10	0.19	13,268	-11,000
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	2019-12-02	10	0.195	268	-13,000
Zargon Oil & Gas Ltd.	Common Shares	Doetzel, Randolph John	5	2019-12-04	30	0.1908	9,786	9,518
Zedcor Energy Inc.	Common Shares	Swanberg, Dean Sylvan	3, 4, 5	2019-12-02	11	0.0684	12,622,689	152,182
Zenabis Global Inc. (formerly Bevo Agro Inc.)	Options	Grieve, Andrew William	5	2019-11-28	38	4.25	0	-750,000

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Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:
Desjardins Ibrix Global Bond Fund
Desjardins Global Corporate Bond Fund
Desjardins Global Balanced Strategic Income Fund
Desjardins SocieTerra Environment Fund
Desjardins Ibrix Low Volatility Emerging Markets Fund
Principal Regulator - Quebec
Type and Date:
Amendment #4 dated to Final Simplified Prospectus December 4, 2019
Received on December 4, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2870473

Issuer Name:
Franklin FTSE Canada All Cap Index ETF
Franklin FTSE Europe ex U.K. Index ETF
Franklin FTSE Japan Index ETF
Franklin FTSE U.S. Index ETF
Principal Regulator - Ontario
Type and Date:
Amendment #2 to Final Long Form Prospectus dated December 6, 2019
Received on December 6, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Franklin Templeton Investments Corp
Project #2854744

Issuer Name:
Franklin Liberty Canadian Investment Grade Corporate ETF
Franklin Liberty Core Balanced ETF
Franklin Liberty Global Aggregate Bond ETF (CAD-Hedged)
Franklin Liberty Senior Loan ETF (CAD-Hedged)
Franklin Liberty U.S. Investment Grade Corporate ETF (CAD-Hedged)
Franklin LibertyQT U.S. Equity Index ETF
Franklin LibertyQT International Equity Index ETF
Franklin LibertyQT Global Dividend Index ETF
Franklin LibertyQT Emerging Markets Index ETF
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated December 6, 2019
Received on December 6, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2875326

Issuer Name:
TDb Split Corp.
Principal Regulator - Ontario
Type and Date:
Preliminary Short Form Prospectus dated December 9, 2019
NP 11-202 Preliminary Receipt dated December 9, 2019
Offering Price and Description:
Maximum Offering: * Priority Equity Shares and * Class A Shares
Price - $* per Priority Equity Shares and $* per Class A Share
Underwriter(s) or Distributor(s):
National Bank Financial Inc.
Promoter(s):
N/A
Project #2998597

Issuer Name:
The Bitcoin Fund
Principal Regulator - Ontario
Type and Date:
Amended and Restated to Preliminary Long Form Prospectus dated December 4, 2019
NP 11-202 Preliminary Receipt dated December 5, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
Canaccord Genuity Corp.
Promoter(s):
3iQ Corp.
Project #2992060

Issuer Name:
Franklin FTSE Canada All Cap Index ETF
Franklin FTSE Europe ex U.K. Index ETF
Franklin FTSE Japan Index ETF
Franklin FTSE U.S. Index ETF
Principal Regulator - Ontario
Type and Date:
Amendment #2 to Final Long Form Prospectus dated December 6, 2019
NP 11-202 Receipt dated December 9, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Franklin Templeton Investments Corp
Project #2854744

Issuer Name:
Sun Life Granite Conservative Portfolio
Sun Life Granite Moderate Portfolio
Sun Life Granite Balanced Portfolio
Sun Life Granite Balanced Growth Portfolio
Sun Life Granite Growth Portfolio
Sun Life Granite Income Portfolio
Sun Life Granite Enhanced Income Portfolio
Sun Life Sentry Value Fund
Sun Life Real Assets Fund
Sun Life Schroder Global Mid Cap Fund (formerly, Sun Life Sentry Global Mid Cap Fund)
Sun Life Dynamic American Fund (formerly, Sun Life Dynamic American Value Fund)
Sun Life Templeton Global Bond Fund
Sun Life Dynamic Equity Income Fund
Sun Life Dynamic Strategic Yield Fund
Sun Life NWQ Flexible Income Fund
Sun Life BlackRock Canadian Equity Fund
Sun Life BlackRock Canadian Balanced Fund
Sun Life MFS Canadian Bond Fund
Sun Life MFS Canadian Equity Growth Fund
Sun Life MFS Dividend Income Fund
Sun Life MFS U.S. Equity Fund
Sun Life MFS Low Volatility International Equity Fund
Sun Life MFS Low Volatility Global Equity Fund
Sun Life Franklin Bissett Canadian Equity Class
Sun Life Invesco Canadian Class (formerly Sun Life Trimark Canadian Class)
Principal Regulator - Ontario
Type and Date:
Amendment #2 to Final Simplified Prospectus and Amendment #3 to AIF dated November 29, 2019
NP 11-202 Receipt dated December 4, 2019
Offering Price and Description:
Series A, D, T5, T8, F, F5, F8, I, O securities
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2858300

Issuer Name:
NBI Global Private Equity ETF
NBI High Yield Bond ETF
NBI Sustainable Canadian Bond ETF
NBI Sustainable Canadian Equity ETF
NBI Sustainable Global Equity ETF
Principal Regulator – Quebec
Type and Date:
Combined Preliminary and Pro Forma Long Form Prospectus dated Dec 3, 2019
NP 11-202 Preliminary Receipt dated Dec 4, 2019
Offering Price and Description:
Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2997343

Issuer Name:
Accelerate Arbitrage Fund
Accelerate Market Neutral Yield Fund
Accelerate Multi-Strategy Alternative Allocation Fund
Principal Regulator – Alberta (ASC)
Type and Date:
Preliminary Long Form Prospectus dated Dec 6, 2019
NP 11-202 Preliminary Receipt dated Dec 6, 2019
Offering Price and Description:
Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Franklin Templeton Investments Corp
Project #2998293

Issuer Name:
Dynamic Liquid Alternatives Private Pool
Principal Regulator – Ontario
Type and Date:
Preliminary Simplified Prospectus dated Dec 6, 2019
NP 11-202 Preliminary Receipt dated Dec 9, 2019
Offering Price and Description:
Series H Units, Series T Units, Series A Units, Series FT Units, Series FH Units and Series F Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Franklin Templeton Investments Corp
Project #2998329

Issuer Name:
Venator Alternative Income Fund
Principal Regulator – Ontario
Type and Date:
Preliminary Simplified Prospectus dated Dec 4, 2019
NP 11-202 Preliminary Receipt dated Dec 4, 2019
Offering Price and Description:
Class F Units, Class I Units, Class A Units and Class D Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
Franklin Templeton Investments Corp
Project #2997637

Issuer Name:
Sun Life Opportunistic Fixed Income Fund (formerly, Sun Life Multi-Strategy Target Return Fund)
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated November 25, 2019
NP 11-202 Final Receipt dated Dec 6, 2019
Offering Price and Description:
Series A units, Series F units and Series I units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2899375

Issuer Name:
Horizons Laddered Canadian Preferred Share Index ETF
Horizons Equal Weight Canada REIT Index ETF
Horizons Equal Weight Canada Banks Index ETF
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated December 2, 2019
NP 11-202 Final Receipt dated Dec 5, 2019
Offering Price and Description:
ETF Shares
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2975190

Issuer Name:
Timbercreek Global Real Estate Income Fund
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated December 6, 2019
NP 11-202 Final Receipt dated Dec 9, 2019
Offering Price and Description:
Series A, Series F, Series F90, Series F90T6.5, Series FT6.5, Series T6.5
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2922051

Issuer Name:
ONE Global Equity ETF (formerly, Questrade Global Total Equity ETF)
ONE North American Core Plus Bond ETF
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated November 18, 2019
NP 11-202 Final Receipt dated Dec 6, 2019
Offering Price and Description:
Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2940045

Issuer Name:
Starlight Global Infrastructure Fund
Starlight Global Real Estate Fund
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated November 29, 2019
NP 11-202 Final Receipt dated Dec 5, 2019
Offering Price and Description:
ETF Series units, Series A units, Series F units, Series FT6 units, Series I units, Series O units, Series O6 units, Series T6 units, Series Z units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2922051

Issuer Name:
Sun Life MFS Global Growth Fund
Sun Life MFS Global Value Fund
Sun Life MFS U.S. Growth Fund
Sun Life MFS U.S. Value Fund
Sun Life MFS International Growth Fund
Sun Life MFS International Value Fund
Sun Life Excel Emerging Markets Fund
Sun Life MFS Global Total Return Fund
Sun Life JPMorgan International Equity Fund
Sun Life Multi-Strategy Bond Fund
Sun Life MFS Monthly Income Fund
Sun Life Money Market Fund
Sun Life Dynamic Energy Fund
Sun Life Excel India Fund
Sun Life BlackRock Canadian Balanced Class
Sun Life BlackRock Canadian Composite Equity Class
Sun Life BlackRock Canadian Equity Class
Sun Life Money Market Class
Sun Life Dynamic Equity Income Class
Sun Life Dynamic Strategic Yield Class
Sun Life MFS Dividend Income Class
Sun Life Granite Conservative Class
Sun Life Granite Moderate Class
Sun Life Granite Balanced Class
Sun Life Granite Balanced Growth Class
Sun Life Granite Growth Class
Sun Life MFS Canadian Equity Growth Class
Sun Life Sentry Value Class
Sun Life MFS U.S. Growth Class
Sun Life MFS Global Growth Class
Sun Life MFS International Growth Class
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Simplified Prospectus dated November 29, 2019
NP 11-202 Final Receipt dated Dec 3, 2019
Offering Price and Description:
Series A securities, Series AT5 securities, Series AT8 securities, Series F securities, Series FT5 securities, Series FT8 securities, Series I securities and Series O securities
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2930189

Issuer Name:
WisdomTree U.S. Quality Dividend Growth Index ETF ()
WisdomTree International Quality Dividend Growth Index ETF
WisdomTree U.S. High Dividend Index ETF
WisdomTree Emerging Markets Dividend Index ETF
WisdomTree U.S. Quality Dividend Growth Variably Hedged Index ETF
WisdomTree International Quality Dividend Growth Variably Hedged Index ETF
WisdomTree U.S. MidCap Dividend Index ETF
WisdomTree Yield Enhanced Canada Aggregate Bond Index ETF
WisdomTree Yield Enhanced Canada Short-Term Aggregate Bond Index ETF
WisdomTree Canada Quality Dividend Growth Index ETF
WisdomTree Japan Equity Index ETF
WisdomTree ICBCCS S&P China 500 Index ETF
Principal Regulator - Ontario
Type and Date:
Amendment #1 to Final Long Form Prospectus dated November 18 2019
NP 11-202 Final Receipt dated Dec 6, 2019
Offering Price and Description:
Hedged Units, Non-hedged Units and Variably Hedged Units
Underwriter(s) or Distributor(s):
N/A
Promoter(s):
N/A
Project #2919632

NON-INVESTMENT FUNDS

Issuer Name:
1169082 BC Ltd.
Principal Regulator - British Columbia
Type and Date:
Preliminary Long Form Prospectus dated December 5, 2019
NP 11-202 Preliminary Receipt dated December 6, 2019
Offering Price and Description:
-
Underwriter(s) or Distributor(s):
-
Promoter(s):
Michel Lebeuf Jr.
Project #2998200

Issuer Name:
Andlauer Healthcare Group Inc.
Principal Regulator - Ontario
Type and Date:
Final Long Form Prospectus dated December 4, 2019
NP 11-202 Receipt dated December 4, 2019
Offering Price and Description:
$150,000,000.00
10,000,000 Subordinate Voting Shares
Underwriter(s) or Distributor(s):
RBC DOMINION SECURITIES INC.
CIBC WORLD MARKETS INC.
BMO NESBITT BURNS INC.
NATIONAL BANK FINANCIAL INC.
SCOTIA CAPITAL INC.
TD SECURITIES INC.
GMP SECURITIES L.P.
INFOR FINANCIAL INC.
WELLINGTON-ALTUS PRIVATE WEALTH INC.
Promoter(s):
ANDLAUER MANAGEMENT GROUP INC.
Project #2987745

Issuer Name:
Automotive Properties Real Estate Investment Trust
Principal Regulator - Ontario
Type and Date:
Preliminary Short Form Prospectus dated December 9, 2019
NP 11-202 Preliminary Receipt dated December 9, 2019
Offering Price and Description:
$80,035,500.00 - 6,870,000 Units
Price: $11.65 per Offered Unit

Underwriter(s) or Distributor(s):
TD SECURITIES INC.
BMO NESBITT BURNS INC.
SCOTIA CAPITAL INC.
CANACCORD GENUITY CORP.
CIBC WORLD MARKETS INC.
RBC DOMINION SECURITIES INC.
DESJARDINS SECURITIES INC.
INDUSTRIAL ALLIANCE SECURITIES INC.
NATIONAL BANK FINANCIAL INC.
RAYMOND JAMES LTD.
HSBC SECURITIES (CANADA) INC.
Promoter(s):
893353 ALBERTA INC.
Project #2997476

Issuer Name:
Champignon Brands Inc.
Principal Regulator - British Columbia
Type and Date:
Preliminary Long Form Prospectus dated December 3, 2019
NP 11-202 Preliminary Receipt dated December 4, 2019
Offering Price and Description:

Minimum of 7,000,000 Common Shares and up to a Maximum of 16,666,667 Common Shares
Price: $0.15 per Common Share
Minimum of $1,050,000 and up to a Maximum of $2,500,000.00
Underwriter(s) or Distributor(s):
PI Financial Corp.
Promoter(s):
William Gareth Birdsall
Project #2997519

Issuer Name:
Chartwell Retirement Residences
Principal Regulator - Ontario
Type and Date:
Final Shelf Prospectus dated December 6, 2019
NP 11-202 Receipt dated December 6, 2019
Offering Price and Description:
$2,000,000,000.00
Units
Subscription Receipts
Debt Securities
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2990025

Issuer Name:
CI Financial Corp.
Principal Regulator - Ontario
Type and Date:
Preliminary Shelf Prospectus dated December 5, 2019
NP 11-202 Preliminary Receipt dated December 6, 2019
Offering Price and Description:
$2,000,000,000.00 - Debt Securities (unsecured), Subscription Receipts, Preference Shares, Common Shares
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2998069

Issuer Name:
Firm Capital Property Trust
Principal Regulator - Ontario
Type and Date:
Final Shelf Prospectus dated December 3, 2019
NP 11-202 Receipt dated December 3, 2019
Offering Price and Description:
$250,000,000.00
Trust Units
Debt Securities
Subscription Receipts
Warrants
Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2987843

Issuer Name:
First National Financial Corporation
Principal Regulator - Ontario
Type and Date:
Final Short Form Prospectus dated December 6, 2019
NP 11-202 Receipt dated December 6, 2019
Offering Price and Description:
Cdn $50,032,000.00
1,180,000 Common Shares
Price: $42.40 per Offered Share
Underwriter(s) or Distributor(s):
NATIONAL BANK FINANCIAL INC.
TD SECURITIES INC.
BMO NESBITT BURNS INC.
CIBC WORLD MARKETS INC.
RBC DOMINION SECURITIES INC.
SCOTIA CAPITAL INC.
Promoter(s):
-
Project #2990806

Issuer Name:
FIRSTSERVICE CORPORATION
Principal Regulator - Ontario
Type and Date:
Amendment dated December 3, 2019 to Preliminary Short Form Prospectus dated December 2, 2019
NP 11-202 Preliminary Receipt dated December 3, 2019
Offering Price and Description:
US$200,262,500.00
2,165,000 Common Shares
Underwriter(s) or Distributor(s):
BMO Capital Markets
TD Securities Inc.
Scotia Capital Inc.
CIBC World Markets Inc.
Raymond James Ltd.
HSBC Securities (Canada) Inc.
J.P. Morgan Securities Canada Inc.
RBC Dominion Securities Inc.
National Bank Financial Inc.
Promoter(s):
-
Project #2997075

Issuer Name:
FortisAlberta Inc.
Principal Regulator - Alberta **Type and Date:**
Preliminary Shelf Prospectus dated December 6, 2019
NP 11-202 Preliminary Receipt dated December 6, 2019
Offering Price and Description:
$500,000,000.00 - Medium Term Note Debentures (unsecured)
Underwriter(s) or Distributor(s):
Scotia Capital Inc.
RBC Dominion Securities Inc.
BMO Nesbitt Burns Inc.
National Bank Financial Inc.
TD Securities Inc.
CIBC World Markets Inc.
HSBC Securities (Canada) Inc.
Casgrain & Company Limited
Promoter(s):
-
Project #2998346

Issuer Name:
Holly Street Capital Ltd.
Principal Regulator - British Columbia
Type and Date:
Final CPC Prospectus dated November 29, 2019
NP 11-202 Receipt dated December 4, 2019
Offering Price and Description:
$250,000 or 2,500,000 Common Shares
PRICE: $0.10 PER COMMON SHARE
Underwriter(s) or Distributor(s):
Echelon Wealth Partners Inc.
Promoter(s):
Turnbull Grant Fisher
Project #2974143

Issuer Name:
Intact Financial Corporation
Principal Regulator - Ontario
Type and Date:
Preliminary Shelf Prospectus dated December 5, 2019
NP 11-202 Preliminary Receipt dated December 6, 2019
Offering Price and Description:
$10,000,000,000.00
Debt Securities
Class A Shares
Common Shares
Subscription Receipts
Warrants
Share Purchase Contracts
Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2998130

Issuer Name:
Killam Apartment Real Estate Investment Trust
Principal Regulator - Nova Scotia
Type and Date:
Final Shelf Prospectus dated December 2, 2019
NP 11-202 Receipt dated December 3, 2019
Offering Price and Description:
$800,000,000.00
Trust Units
Subscription Receipts
Debt Securities
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2991000

Issuer Name:
Laramide Resources Ltd.
Principal Regulator - Ontario
Type and Date:
Preliminary Shelf Prospectus dated December 3, 2019
NP 11-202 Preliminary Receipt dated December 3, 2019
Offering Price and Description:
$10,000,000.00
Common Shares
Debt Securities
Warrants
Subscription Receipts
Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2997362

Issuer Name:
Manulife Financial Corporation
Principal Regulator - Ontario
Type and Date:
Final Shelf Prospectus dated December 9, 2019
NP 11-202 Receipt dated December 9, 2019
Offering Price and Description:
$10,000,000,000.00 - Debt Securities, Class A Shares, Class B Shares, Class 1 Shares, Common Shares, Subscription Receipts, Warrants, Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2996935

Issuer Name:
Mogo Inc. (formerly, Difference Capital Financial Inc.)
Principal Regulator - British Columbia
Type and Date:
Final Shelf Prospectus dated December 5, 2019
NP 11-202 Receipt dated December 5, 2019
Offering Price and Description:
$100,000,000.00 - Common Shares, Preferred Shares, Debt Securities, Warrants, Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2983601

Issuer Name:
REGULUS RESOURCES INC.
Principal Regulator - British Columbia
Type and Date:
Final Shelf Prospectus dated December 6, 2019
NP 11-202 Receipt dated December 9, 2019
Offering Price and Description:
C$60,000,000.00 - Common Shares, Preferred Shares, Debt Securities, Subscription Receipts, Units, Warrants, Share Purchase Contracts
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2992851

Issuer Name:
SilverCrest Metals Inc.
Principal Regulator - British Columbia
Type and Date:
Preliminary Short Form Prospectus dated December 3, 2019
NP 11-202 Preliminary Receipt dated December 3, 2019
Offering Price and Description:
$*
* Common Shares
Underwriter(s) or Distributor(s):
NATIONAL BANK FINANCIAL INC.
DESJARDINS SECURITIES INC.
SCOTIA CAPITAL INC.
EIGHT CAPITAL
CANACCORD GENUITY CORP.
PI FINANCIAL CORP.
RBC DOMINION SECURITIES INC.
CORMARK SECURITIES INC.
BMO NESBITT BURNS INC.
BEACON SECURITIES LIMITED
Promoter(s):
-
Project #2997240

Issuer Name:
SilverCrest Metals Inc.
Principal Regulator - British Columbia
Type and Date:
Amendment dated December 3, 2019 to Preliminary Short Form Prospectus dated December 3, 2019
NP 11-202 Preliminary Receipt dated December 4, 2019
Offering Price and Description:
$80,080,000.00
11,000,000 Common Shares
Price: $7.28 per Offered Share
Underwriter(s) or Distributor(s):
NATIONAL BANK FINANCIAL INC.
DESJARDINS SECURITIES INC.
SCOTIA CAPITAL INC.
EIGHT CAPITAL
CANACCORD GENUITY CORP.
PI FINANCIAL CORP.
RBC DOMINION SECURITIES INC.
CORMARK SECURITIES INC.
BMO NESBITT BURNS INC.
BEACON SECURITIES LIMITED
Promoter(s):
-
Project #2997240

Issuer Name:
WPT Industrial Real Estate Investment Trust
Principal Regulator - Ontario
Type and Date:
Final Shelf Prospectus dated December 5, 2019
NP 11-202 Receipt dated December 6, 2019
Offering Price and Description:
US$1,000,000,000
Trust Units
Debt Securities
Subscription Receipts
Warrants
Units
Underwriter(s) or Distributor(s):
-
Promoter(s):
-
Project #2989953

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Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
New Registration	GS Investment Strategies Canada Inc.	Portfolio Manager	December 3, 2019
New Registration	Stifel Nicolaus Canada Inc.	Investment Dealer	December 6, 2019

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Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Mutual Fund Dealers Association of Canada (MFDA) – Amendment to MFDA By-Law No. 1 Section 24.A (Ombudservice) – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

AMENDMENT TO MFDA BY-LAW NO. 1 SECTION 24.A (OMBUDSERVICE)

The Ontario Securities Commission has approved the proposed amendment to section 24.A of the MFDA's By-law No. 1 (Amendment). The Amendment deletes subsection 24.A.4 of the MFDA's By-law No. 1 to remove the potential for inconsistency with section 16.5 of the Terms of Reference of the Ombudsman for Banking Services and Investments (OBSI). The Amendment ensures that the provision of information by OBSI to the MFDA is governed by the OBSI Terms of Reference and clarifies OBSI's ability to provide information to the MFDA.

The Amendment was published for public comment on March 28, 2019. Two public comment letters were received. A summary of the public comments and the MFDA's responses can be found at http://osc.gov.on.ca. The Amendment will be effective on a date to be subsequently determined by the MFDA.

In addition, the British Columbia Securities Commission; the Alberta Securities Commission; the Financial and Consumer Affairs Authority of Saskatchewan; the Financial and Consumer Services Commission of New Brunswick; the Manitoba Securities Commission; the Nova Scotia Securities Commission; the Office of the Superintendent of Securities, Service Newfoundland and Labrador; and the Prince Edward Island Office of the Superintendent of Securities Office have either not objected to or have approved the Amendment.

13.1.2 Investment Industry Regulatory Organization of Canada (IIROC) – Amendments to Dealer Member Rule 1200.3 and Notes to Statement D of Form 1 Regarding Free Credit Cash Segregated in Trust for Clients – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

AMENDMENTS TO DEALER MEMBER RULE 1200.3 AND NOTES TO STATEMENT D OF FORM 1 REGARDING FREE CREDIT CASH SEGREGATED IN TRUST FOR CLIENTS

The Ontario Securities Commission has approved IIROC's proposed amendments to its Dealer Member Rule 1200.3 and Notes to Statement D of Form 1 regarding free credit cash segregated in trust for clients (the Amendments).

IIROC published the proposed amendments for comment on August 29, 2019. There were no comments received. A copy of the IIROC Notice, including the Amendments, can be found at http://www.osc.gov.on.ca.

The Amendments will be effective on March 12, 2020.

In addition, the Alberta Securities Commission; the Autorité des marchés financiers; the British Columbia Securities Commission; the Financial and Consumer Affairs Authority of Saskatchewan; the Financial and Consumer Services Commission of New Brunswick; the Legal Registries Division, Department of Justice (Northwest Territories); the Legal Registries Division, Department of Justice (Nunavut); the Manitoba Securities Commission; the Nova Scotia Securities Commission; the Office of the Superintendent of Securities, Service Newfoundland and Labrador; the Office of the Yukon Superintendent of Securities; and the Prince Edward Island Office of the Superintendent of Securities Office have approved or not objected to the Amendments.

13.2 Marketplaces

13.2.1 Toronto Stock Exchange – Notice of Housekeeping Rule Amendments to the TSX Company Manual

TORONTO STOCK EXCHANGE

NOTICE OF HOUSEKEEPING RULE AMENDMENTS TO THE TSX COMPANY MANUAL

Introduction

In accordance with the Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 (the "**Protocol**"), Toronto Stock Exchange ("**TSX**") has adopted, and the Ontario Securities Commission has approved, certain housekeeping amendments (the "**Amendments**") to Parts VI, VII and XI of the TSX Company Manual (the "**Manual**"). The Amendments are Housekeeping Rules under the Protocol and therefore have not been published for comment. The Ontario Securities Commission has not disagreed with the categorization of the Amendments as Housekeeping Rules.

Summary and Rationale of the Non-Public Interest Amendments

	Section of the Manual	Amendment	Rationale
1.	Part VI – Changes in Capital Structure of Listed Issuers – Section 604 (a) Security Holder Approval	Delete redundant and unnecessary language.	TSX views transactions where consideration provided to insiders is 10% or more of the market capitalization of the listed issuer as not having been negotiated at arm's length. As such, the additional language in this section referring to a transaction not being negotiated at arm's length is redundant and therefore not necessary.
2.	Part VII Halting of Trading, Suspension and Delisting of Securities – Section 716 – Management	Amend language to clarify TSX practice and to conform to changes made for Closed-end Funds and Structured Products (collectively, "**Non-Corporate Issuers**") in Section 1101.	Amend language to clarify TSX practice and to conform to changes made in Section 1101.
3.	Part XI Requirements Applicable to Non-Corporate Issuers – Section 1101 – Introduction	Amend language to clarify requirements to file Personal Information Forms ("**PIF**") or Declarations for Non-Corporate Issuers.	In order to alleviate the administrative burden on Non-Corporate Issuers, rather than treating each Non-Corporate Issuer as a new issuer, TSX will treat each Non-Corporate Issuer manager as a new issuer so that where the insiders of a Non-Corporate Issuer manager have previously filed a PIF and launch a new Non-Corporate Issuer, neither a PIF or Declaration is required to be filed. TSX reserves the right to request a PIF for any individual associated with a Non-Corporate Issuer. These changes are consistent with recent amendments made to PIF and Declaration requirements applicable to Exchange Traded Funds in December 2018.

Text of the Amendments

The Amendments are set out as blacklined text at **Appendix A**. For ease of reference, a clean version of the Amendments are set out at **Appendix B**.

Effective Date

The Amendments become effective on December 12, 2019.

APPENDIX "A"

BLACKLINE OF
NON-PUBLIC INTEREST AMENDMENTS TO THE TSX COMPANY MANUAL

Part VI Changes in Capital Structure of Listed Issuers

Sec. 604. Security Holder Approval

(a) In addition to any specific requirement for security holder approval, TSX will generally require security holder approval as a condition of acceptance of a notice under Section 602 if in the opinion of TSX, the transaction:

i) materially affects control of the listed issuer; or

ii) provides consideration to insiders in aggregate of 10% or greater of the market capitalization of the listed issuer, during any six-month period~~, and has not been negotiated at arm's length~~.

~~If any insider of the listed issuer has a beneficial interest, direct or indirect, in the proposed transaction which differs from other security holders of the same class TSX will regard such a transaction as not having been negotiated at arm's length.~~

[…]

Part VII Halting of Trading, Suspension and Delisting of Securities

Sec. 716. Management

[…]

Once submitted and cleared by the Exchange, a Personal Information Form (Form 4—Appendix H) for an insider of a corporate issuer, including a person acting in a similar capacity for ~~an ETF~~a Non-Corporate Issuer, is valid for a time period of 60 months, absent any material change in the information submitted. An insider of a corporate issuer, including a person acting in a similar capacity for ~~an ETF~~a Non-Corporate Issuer, may submit a completed Declaration (Form 4B—Appendix H) in lieu of a Personal Information Form within such 60 month period absent any material change in the information submitted in the original Personal Information Form. For ~~ETFs~~Non-Corporate Issuers, see also Section 1101. ~~Once submitted and cleared by the Exchange, a Personal Information Form (Form 4—Appendix H) for Non-Corporate Issuers (other than ETFs) is valid for a time period of one year, absent any material change in the information submitted. An insider of a Non-Corporate Issuers (other than ETFs) may submit a completed Declaration (Form 4B—Appendix H) in lieu of a Personal Information Form within and after such one year period absent any material change in the information submitted in the original Personal Information Form.~~

Part XI Requirements Applicable to Non-Corporate Issuers

A. Original Listing Requirements

Sec. 1101. Introduction

[…]

The Exchange will also take into consideration an applicant's status regarding compliance with the requirements of other regulatory agencies. In addition, the Exchange must be satisfied that an applicant is in compliance with Exchange policies applicable to listed issuers, including policies described in Part III, except in the case~~ of ETFs in respect~~ of the requirement to provide Personal Information Forms for each insider of ~~the ETF~~a Non-Corporate Issuer under Section 339. For ~~ETFs~~Non-Corporate Issuers, the Exchange will require Personal Information Forms only from each insider of ~~an ETF manager~~a Manager of a Non-Corporate Issuer. Absent any material change in the information submitted in the original Personal Information Form, an insider of ~~an ETF manager~~a Manager of a Non-Corporate Issuer does not need to file a new Personal Information Form or Declaration for so long as he or she remains associated with the same ~~ETF manager~~Manager of the Non-Corporate Issuer to which the original Personal Information Form relates. The Exchange may require Personal Information Forms from any individual associated with the ~~ETF~~Non-Corporate Issuer, as the Exchange determines appropriate.

[…]

APPENDIX "B"

CLEAN VERSION OF
NON-PUBLIC INTEREST AMENDMENTS TO THE TSX COMPANY MANUAL

Part VI Changes in Capital Structure of Listed Issuers

Sec. 604. Security Holder Approval

(a) In addition to any specific requirement for security holder approval, TSX will generally require security holder approval as a condition of acceptance of a notice under Section 602 if in the opinion of TSX, the transaction:

i) materially affects control of the listed issuer; or

ii) provides consideration to insiders in aggregate of 10% or greater of the market capitalization of the listed issuer, during any six-month period.

[…]

Part VII Halting of Trading, Suspension and Delisting of Securities

Sec. 716. Management

[…]

Once submitted and cleared by the Exchange, a Personal Information Form (Form 4—Appendix H) for an insider of a corporate issuer, including a person acting in a similar capacity for a Non-Corporate Issuer, is valid for a time period of 60 months, absent any material change in the information submitted. An insider of a corporate issuer, including a person acting in a similar capacity for a Non-Corporate Issuer, may submit a completed Declaration (Form 4B—Appendix H) in lieu of a Personal Information Form within such 60 month period absent any material change in the information submitted in the original Personal Information Form. For Non-Corporate Issuers, see also Section 1101.

Part XI Requirements Applicable to Non-Corporate Issuers

A. Original Listing Requirements

Sec. 1101. Introduction

[…]

The Exchange will also take into consideration an applicant's status regarding compliance with the requirements of other regulatory agencies. In addition, the Exchange must be satisfied that an applicant is in compliance with Exchange policies applicable to listed issuers, including policies described in Part III, except in the case of the requirement to provide Personal Information Forms for each insider of a Non-Corporate Issuer under Section 339. For Non-Corporate Issuers, the Exchange will require Personal Information Forms only from each insider of a Manager of a Non-Corporate Issuer. Absent any material change in the information submitted in the original Personal Information Form, an insider of a Manager of a Non-Corporate Issuer does not need to file a new Personal Information Form or Declaration for so long as he or she remains associated with the same Manager of the Non-Corporate Issuer to which the original Personal Information Form relates. The Exchange may require Personal Information Forms from any individual associated with the Non-Corporate Issuer, as the Exchange determines appropriate.

[…]

13.2.2 Neo Exchange – Listing Manual & Forms Amendments – Request for Comments

NEO EXCHANGE

REQUEST FOR COMMENTS

LISTING MANUAL & FORMS AMENDMENTS

December 12, 2019

Introduction

Neo Exchange Inc. ("**NEO Exchange**" or "**Exchange**") is publishing proposed amendments to the NEO Exchange Listing Manual and Listing Forms ("**Public Interest Rule Amendments**") in accordance with Schedule 5 to its recognition order, as amended (the "**Protocol**"). As required under the Protocol, the Public Interest Rule Amendments were filed with the Ontario Securities Commission ("**OSC**") and are being published for comment. A description of the Public Interest Rule Amendments is set out below and the text of the Public Interest Rule Amendments is attached hereto as Appendix A. Subject to any changes resulting from comments received, the Public Interest Rule Amendments will be effective upon publication of the notice of approval on the OSC's website.

Description of the Public Interest Rule Amendments

1. Amendments to the Listing Manual

The following are proposed:

- Revision to the definition of "Approved Bank" to include financial institutions, other than Schedule I and III banks, which are acceptable to the Exchange, and a related change to subsection 10.16(10) requiring a SPAC to disclose in its prospectus details regarding the financial institution where Escrowed Funds will be held.
- Removal of subsection 2.06(4) relating to minimum listing standards for Debt-Based Structured Products.
- Revision of subsection 7.08(3) to change the criteria applicable to the exercise price of Security-Based Compensation Arrangements and Awards.
- Addition of wording to subsection 10.16(22) to permit a SPAC to adopt a Security Based Compensation Arrangement prior to completing a Qualifying Transaction, provided that no Awards may be granted prior to the completion of the Qualifying Transaction.

2. Revised Forms

Proposed changes to the Exchange's Forms are as follows:

- In the combined Listing Application (see the description below of the consolidation of Forms 1, 1A and 1B), addition of a requirement to advise the Exchange of other listing applications and clarification relating to the payment of listing fees.
- Elimination of Form 4–Issuer Performance Program (IPP), which will be reformatted as a stand-alone agreement to be filed at a later date.
- Changes to Form 14C–Notice of Exercise of Over-Allotment Option to remove an unnecessary requirement and to elicit more accurate information relating to the number of listed securities prior to the exercise of an over-allotment option.

Expected Date of Implementation of the Public Interest Rule Amendments

NEO Exchange seeks to implement the Public Interest Rule in early January 2020.

Rationale for the Public Interest Rule Amendments and Supporting Analysis

1. Revisions Proposed to Clarify Provisions

The following proposed revisions are intended to clarify concepts, eliminate superfluous requirements and simplify the manner in which requirements are conveyed in the Exchange's rules or Commentaries:

- The revised definition of "Approved Bank" is expanded to institutions beyond banks listed in Schedule I or III of the *Bank Act* (Canada) to provide SPAC issuers raising capital in the United States with more flexibility for required escrow arrangements, provided the financial institution where Escrowed Funds are to be held is acceptable to the Exchange and details sufficient for the Exchange to make this determination are disclosed in the IPO prospectus.

- Subsection 2.06(4) relating to minimum listing standards for Debt-Based Structured Products has been deleted as the listing of convertible debt is covered in section 2.02(6) of the Listing Manual, and the clarification is no longer required under 2.06(4).

- The changes to subsection 7.08(3) are intended to provide added flexibility for the calculation of the exercise price of Awards, and to harmonize our rules with the equivalent provisions of other exchanges.

2. Revision Stemming from a Waiver Codification

Revised subsection 10.16(22) is intended to reflect that since SPACs are no longer required to hold a shareholder meeting to carry out a Qualifying Transaction, it is not practical to require the adoption of a proposed Security Based Compensation Arrangement to take place at the time of the Qualifying Transaction. Permitting SPACs to adopt such an arrangement prior to the Qualifying Transaction does not result in a meaningful change to Exchange rules as no Awards can be granted prior to the completion of the Qualifying Transaction.

3. Revisions to Forms

Proposed changes to the Exchange's forms are as follows:

- The additional changes to consolidated Listing Agreement (Form 1, 1A and 1B) were included to clarify our expectations relating to the payment of listing fees to the Exchange where an issuer has filed multiple listing applications. This change is based on the fact that with more competition among exchanges, issuers may file multiple applications to gain leverage.

- Form 4–Issuer Performance Program (IPP) is being eliminated from the Listing Forms as we feel the specifics of this incentive program are more appropriately covered under a stand-alone agreement.

- The changes to Form 14C–Notice of Exercise of Over-Allotment Option are intended to both eliminate the submission of superfluous information (the "reference number") and ensure that the number of listed securities outstanding disclosed on the form is as accurate as possible by requiring this number to be as of a date that is closer to the date of the exercise of the over-allotment option than previously required.

Expected Impact on Market Structure, Members, Investors, Issuers and Capital Markets

There is no anticipated impact on the market structure and a positive one on issuers and the capital markets generally, due to the positive impact on issuers' ability to raise capital and meet exchange requirements and a reduction of administrative burden on issuers by continuing to make streamlining changes and mirroring TSX PIF requirements.

Impact on Exchange's Compliance with Ontario Securities Law and on Requirements for Fair Access and Maintenance of Fair and Orderly Markets

The proposed amendments will not adversely impact the Exchange's compliance with Ontario securities laws, including requirements for fair access and maintenance of fair and orderly markets. The bulk of the amendments seeks to provide additional clarity to our existing rules, streamline the listing process for new issuers (and harmonize with other requirements where applicable) and simplify the reporting requirements for Listed Issuers.

Impact on the Systems of Members or Service Vendors

None of the Public Interest Rule Amendments require members or service vendors to modify their systems.

New Rule

None of the Public Interest Rule Amendments introduce any material new feature.

Comments

Comments should be provided, in writing, no later than January 13, 2020 to:

Cindy Petlock
Chief Legal Officer
Neo Exchange Inc.
155 University Avenue, Suite 400
Toronto, ON M5H 3B7
legal@neostockexchange.com

with a copy to:

Market Regulation Branch
Ontario Securities Commission
20 Queen Street West, 22nd Floor
Toronto, ON M5H 3S8
marketregulation@osc.gov.on.ca

Please note that, unless confidentiality is requested, all comments will be publicly available.

Appendix A
Text of the Public Interest Rule Amendments

NEO EXCHANGE LISTING MANUAL

PART I. DEFINITIONS, INTERPRETATION AND GENERAL DISCRETION

1.01 Definitions

…

"**Approved Bank**" means a bank listed in Schedule I or III of the *Bank Act* (Canada). or another financial institution acceptable to the Exchange.

PART II. INITIAL LISTING REQUIREMENTS

…

2.06 Minimum Listing Standards – Debt-Based Structured Products

…

~~(4) *Not Convertible Debt* – The issue must not be convertible debt of the Structured Product Issuer of a type contemplated in paragraph 2.02(6)(c).~~

PART VII. CORPORATE FINANCE AND CAPITAL STRUCTURE CHANGES

…

7.08 Security Based Compensation Arrangements and Awards

…

(3) Awards ~~may not~~must have an exercise price or issue price, as applicable, ~~lower than~~based on one of the following:

(a) the five-day volume weighted average trading price, calculated by dividing the total value by the total volume of securities traded for the relevant period;

(b) the closing price of the underlying securities on the previous trading day prior to the date of grant of the Award; or

(c) a reasonable pre-determined formula, based on a weighted average trading price or average daily high and low board lot trading prices for a short period of time prior to the date of grant of the Award.

~~(b) the closing market prices of the underlying securities on the trading day prior to the date of grant of the Award.~~

PART X. CORPORATE GOVERNANCE AND SECURITY HOLDER APPROVAL

…

10.16 SPACs

…

(10) The escrow agent must invest the Escrowed Funds in Permitted Investments. The SPAC must disclose in its IPO prospectus the proposed nature of the Permitted Investments as well as any intended use of the interest or other proceeds earned on the Escrowed Funds from these investments. If the Escrowed Funds are to be held at an Approved Bank that is not a Schedule 1 or III bank, the SPAC IPO prospectus must disclose details regarding the financial institution where the Escrowed Funds will be held.

…

(22) ~~Notwithstanding section 7.08, a~~A SPAC may ~~seeking a listing on the Exchange is not permitted to~~ adopt a Security Based Compensation Arrangement prior to completing a Qualifying Transaction; however, it may not grant any type of awards under a Security Based Compensation Arrangement prior to the completion of a Qualifying Transaction. All Security Based Compensation Arrangements must meet the applicable requirements in sections 7.08 and 10.12 of the Listing Manual.

LISTING FORMS

FORM 1
LISTING AGREEMENT FOR ALL LISTED ISSUERS

…

2. Without limiting the generality of the preceding section, the Listed Issuer will at the time of application and once listed:

…

b. identify, during the application process, if it has applied to any other exchange(s) to list the same securities;

…

~~**g.**~~**h.** pay when due, all applicable fees or charges, established by the Exchange, acknowledging that the current fees and charges are set out in the Fee Schedule and may be amended from time to time and that such fees are due upon receipt of an invoice, regardless of whether the application is terminated.

FORM 14C
NOTICE OF EXERCISE OF OVER-ALLOTMENT OPTION

…

Number of Listed Securities outstanding ~~on the day~~ immediately preceding the public announcement exercise of the over- allotment option:	_____
~~**Submission reference number for the transaction approving the over-allotment option:**~~	_____

13.3 Clearing Agencies

13.3.1 CDS Clearing and Depository Services Inc. (CDS®) – Material Amendments to CDS External Procedures Related to Liquidity Risk Management – OSC Staff Notice of Request for Comment

OSC STAFF NOTICE OF REQUEST FOR COMMENT

CDS CLEARING AND DEPOSITORY SERVICES INC. (CDS®)

MATERIAL AMENDMENTS TO CDS EXTERNAL PROCEDURES RELATED TO LIQUIDITY RISK MANAGEMENT

The Ontario Securities Commission is publishing for 30-day public comment material amendments to the CDS External Procedures relating to liquidity risk management. The purpose of the proposed procedures amendments is to enhance CDS's liquidity risk management by requiring Participants to provide money in Canadian dollars as the sole type of eligible collateral permitted in satisfying certain collateral requirements such as the Default Fund and the Supplemental Liquidity Fund.

The comment period ends on January 13, 2020.

A copy of the CDS Notice is published on our website at http://www.osc.gov.on.ca.

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