

The Ontario Securities Commission

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

The Ontario Securities Commission

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Chapter 1

Notices

1.1 Notices

1.1.1 OSC Staff Notice 11-739 (Revised) – Policy Reformulation Table of Concordance and List of New Instruments

OSC STAFF NOTICE 11-739 (REVISED)

POLICY REFORMULATION TABLE OF CONCORDANCE AND LIST OF NEW INSTRUMENTS

The following revisions have been made to the Table of Concordance and List of New Instruments. A full version of the Table of Concordance and List of New Instruments as of December 31, 2020 has been posted to the OSC Website at www.osc.gov.on.ca.

Table of Concordance
<p style="text-align: center;">Item Key</p> <p>The third digit of each instrument represents the following: 1-National/Multilateral Instrument; 2-National/Multilateral Policy; 3-CSA Notice; 4-CSA Concept Release; 5-Local Rule; 6-Local Policy; 7-Local Notice; 8-Implementing Instrument; 9-Miscellaneous</p>

Reformulation		
Instrument	Title	Status
81-105	Notice of Correction – CSA Notice of Amendments to NI 81-105 Mutual Fund Sales Practices and Related Consequential Amendments Prohibition of Mutual Fund Trailing Commissions Where No Suitability Determination Was Required – Annex F	<i>Published October 8, 2020</i>
11-737	(Revised) Securities Advisory Committee – Vacancies	<i>Published October 8, 2020</i>
11-739	Policy Reformulation Table of Concordance and List of New Instruments	<i>Published October 22, 2020</i>
51-361	Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2020 and March 31, 2019	<i>Published October 29, 2020</i>
13-708	Fees Under OSC Rule 13-502 Fees and OSC Rule 13-503 (Commodity Futures Act) Fees	<i>Published November 12, 2020</i>
11-790	Protecting Aging Investors through Behavioural Insights	<i>Published November 12, 2020</i>
51-731	Corporate Branch 2020 Annual Report	<i>Published November 19, 2020</i>
11-791	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2022	<i>Published November 19, 2020</i>
51-102 and 41-101	Ministerial Approval of Amendments to NI 51-102 Continuous Disclosure Obligations Related to Business Acquisition Report Requirements	<i>Ministerial Approval published November 19, 2020</i>
25-302	Matters Relating to CDOR, LIBOR and Other Interest Rate Benchmarks	<i>Published November 26, 2020</i>
48-503	OSC Notice of General Order - Temporary Exemption from Certain Provisions of Ontario Securities Commission Rule 48-501 Trading During Distributions, Formal Bids and Share Exchange Transactions	<i>Published December 3, 2020</i>

Notices

25-403	Activist Short Selling	<i>Published for comment on December 3, 2020</i>
32-506	OSC Rule (Under the Commodity Futures Act) Exemptions for International Dealers, Advisers and Sub-Advisers – Proposed Amendment to OSC Rule 91-502 Trades in Recognized Options under the Securities Act	<i>Published for comment on December 3, 2020</i>
13-315	(Revised) Securities Regulatory Authority Closed Dates 2021	<i>Published December 10, 2020</i>
45-501	Notice of Amendments to OSC Rule 45-501 Ontario Prospectus and Registration Exemptions relating to Syndicated Mortgages	<i>Published December 10, 2020</i>
55-317	Automatic Securities Disposition Plans	<i>Published December 10, 2020</i>
45-317	Ontario's Exempt Market	<i>Published December 10, 2020</i>
81-105	Mutual Fund Sales Practices and Related Consequential Amendments Prohibition of Mutual Fund Trailing Commissions Where No Suitability Determination Was Required	<i>Ministerial Approval published December 10, 2020</i>
11-742	(Revised) Securities Advisory Committee	<i>Published December 24, 2020</i>

For further information, contact:

Darlene Watson
Project Manager
Ontario Securities Commission
416-593-8148 -

January 21, 2021

1.3 Notices of Hearing with Related Statements of Allegations

1.3.1 Marilyn Dianne Stuart – ss. 127(1), 127(10)

FILE NO.: 2021-1

**IN THE MATTER OF
MARILYN DIANNE STUART**

NOTICE OF HEARING

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

PROCEEDING TYPE: Inter-jurisdictional Enforcement Proceeding

HEARING DATE AND TIME: In writing

PURPOSE

The purpose of this proceeding is to consider whether it is in the public interest for the Commission to make the order(s) requested in the Statement of Allegations filed by Staff of the Commission on January 12, 2021.

Take notice that Staff of the Commission has elected to proceed by way of the expedited procedure for a written hearing provided for by Rule 11(3) of the Commission's Rules of Procedure.

Staff must serve on you this Notice of Hearing, the Statement of Allegations, Staff's hearing brief containing all documents Staff relies on, and Staff's written submissions.

You have **21 days** from the date Staff serves these documents on you to file a request for an oral hearing, if you do not want to follow the expedited procedure for a written hearing.

Otherwise, you have **28 days** from the date Staff served these documents on you to file your hearing brief and written submissions.

REPRESENTATION

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

FAILURE TO PARTICIPATE

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

FRENCH HEARING

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

AVIS EN FRANÇAIS

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

Dated at Toronto this 13th day of January, 2021.

"Grace Knakowski"
Secretary to the Commission

For more information

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

**IN THE MATTER OF
MARILYN DIANNE STUART**

STATEMENT OF ALLEGATIONS

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

A. OVERVIEW

1. Staff of the Enforcement Branch (**Staff**) of the Ontario Securities Commission (the **Commission**) elect to proceed using the expedited procedure for inter-jurisdictional proceedings as set out in Rule 11(3) of the Commission's *Rules of Procedure*.

B. FACTS

2. Staff make the following allegations of fact:

(i) Overview

3. On December 2, 2019, Marilyn Dianne Stuart (**Stuart**) pled guilty before the Honourable Justice D.S. Rose of the Ontario Court of Justice (the **OCJ**) to fraud over \$5000 contrary to section 380(1)(a) of the Criminal Code of Canada (**CCC**).
4. A sentencing hearing was subsequently held before Justice Rose who issued Reasons for Sentence on December 19, 2019 (the **Reasons for Sentence**), sentencing Stuart to a conditional sentence of two years less a day, to be served in the community, followed by probation for two years. Stuart was also ordered to make restitution to the MFDA Investor Protection Corporation in the amount of \$1.1 million.
5. The offences for which Stuart was charged arose from transactions, business or a course of conduct related to securities.
6. Staff is seeking an inter-jurisdictional enforcement order reciprocating Stuart's conviction, pursuant to paragraph 1 of subsection 127(10) of the Act.
7. The offences for which Stuart was charged took place between January 2004 to May 31, 2013 (the **Material Time**).

(ii) The Respondent

8. Stuart is a resident of Keswick, Ontario.

Facts

9. Stuart has pled guilty to the facts as set out below.
10. During the Material Time, Stuart and her husband were the principals and representatives of W.H. Stuart Mutuals Ltd. (**WH Stuart**). Stuart was the co-owner and director of WH Stuart and related entities. Under the category of Mutual Fund Dealer with WH Stuart, Stuart was registered as a Trading Officer (until September 28, 2009), Dealing Representative (September 28, 2009 to May 9, 2013), Director and Officer (until May 9, 2013) and Ultimate Designated person (from November 20, 2009 to May 9, 2013).
11. During the Material Time, several individuals, consisting primarily of retired teachers and police officers, invested their commuted valued pensions with WH Stuart. They invested in the instruments marketed by WH Stuart as guaranteed investments with an annual interest rate of five percent to ten percent or as cash accounts. The investors had varying understandings of the specific investment product that they were purchasing but they all expected that their funds would be held in cash or cash equivalents or used for purchases of investment products that would return five to ten percent annually.
12. Ultimately, the funds were not used as promised. The monies invested were used to pay interest and return principal to other investors, essentially devolving in a Ponzi scheme. The monies were also transferred and deposited into the accounts of other entities and persons related to WH Stuart without the authorization of clients.
13. In September 2013, after an investigation by the Mutual Fund Dealers Association (**MFDA**), a bankruptcy order was made against WH Stuart. Through its Investor Protection Corporation, the MFDA compensated most of the investors, but only to the original amount of their principal investment. The total loss paid out by the MFDA following the bankruptcy of WH Stuart was approximately \$7.2 million.

14. All of the employee witnesses stated that Stuart had complete control over the finances of WH Stuart. Stuart had signing authority on all the WH Stuart accounts, and she had functional control of the bank accounts in which investor monies were deposited. Stuart directed operations including its financial affairs and also performed important regulatory functions such as client complaint handling and financial reporting to the MFDA.
15. Stuart was also part owner in a company called S21C Technologies Limited (**S21C**). The S21C software was the in-house computer database record system that was designed by Stuart and utilized by WH Stuart employees to manage their client's accounts. One of the main purposes of the S21C system was to give investors an ability to independently monitor their own accounts. In reality, S21C was part of the Ponzi Scheme. Stuart had full administrative rights to the data system and manipulated it to give investors the false impression that their funds were growing and could be redeemed, when in fact this was not true.
16. The accounting firm Deloitte conducted a tracing review of WH Stuart for the period of September 30, 2008 to May 31, 2013 (the **Tracing Period**). Deloitte focused its review on the investments of 10 clients in the investment program and concluded that these invested amounts were not used to purchase an actual investment product nor did the funds remain in a trust account in the clients' names.
17. Deloitte did not identify any repayment of investor funds from WH Stuart to the 10 clients during the Tracing Period for each deposit being traced. Deloitte found that \$1.1 million invested by the 10 clients was deposited into bank accounts held by WH Stuart and used as follows:
 - a. To fund operating expenses at each entity;
 - b. To fund payments to related parties including Stuart and her immediate family or corporations under their control and WH Stuart employees and their spouses;
 - c. To fund payments to other known clients; and
 - d. To purchase investment products for other clients.

Stuart's Sentence

18. A sentencing hearing was held before Justice Rose on December 19, 2019. Stuart was sentenced to a conditional sentence of two years less a day, to be served in the community, followed by probation for two years for one count of fraud listed as count one on the Information.
19. In addition, pursuant to s. 380.2 of the CCC Stuart is prohibited for twenty years from seeking, obtaining or continuing any employment, or becoming or being a volunteer in any capacity, that involves having authority over the real [property](#), money or [valuable security](#) of another [person](#).
20. Stuart was also ordered to pay restitution in the amount of \$1.1 million to the MFDA Investor Protection Corporation.

C. JURISDICTION OF THE ONTARIO SECURITIES COMMISSION

21. Pursuant to paragraph 1 of subsection 127(10) of the Act, Stuart's conviction for offences arising from transactions, business or a course of conduct related to securities or derivatives may form the basis for an order in the public interest made under subsection 127(1) of the Act.
22. Staff allege that it is in the public interest to make an order against Stuart.
23. Staff reserve the right to amend these allegations and to make such further and other allegations as Staff deem fit and the Commission may permit.

D. ORDER SOUGHT

24. Staff request that the Commission make the following inter-jurisdictional enforcement order, pursuant to paragraph 1 of subsection 127(10) of the Ontario Securities Act, RSO 1990 c S.5 (the Act):
 - (a) against Stuart that:
 - i. pursuant to paragraph 2 of subsection 127(1) of the Act, trading in any securities or derivatives by Stuart cease permanently;
 - ii. pursuant to paragraph 2.1 of subsection 127(1) of the Act, acquisition of any securities by Stuart be prohibited permanently;

- iii. pursuant to paragraph 3 of subsection 127(1) of the Act, any exemptions contained in Ontario securities law do not apply to Stuart permanently;
 - iv. pursuant to paragraphs 7, 8.1 and 8.3 of subsection 127(1) of the Act, Stuart resign any positions that she holds as a director or officer of any issuer or registrant;
 - v. pursuant to paragraphs 8, 8.2 and 8.4 of subsection 127(1) of the Act, Stuart be prohibited permanently from becoming or acting as a director or officer of any issuer or registrant;
 - vi. pursuant to paragraph 8.5 of subsection 127(1) of the Act, Stuart be prohibited permanently from becoming or acting as a registrant or promoter; and
- (b) such other order or orders as the Commission considers appropriate.

DATED this 12th day of January, 2021.

Ryan Lapensée

Litigation Counsel

Enforcement Branch

Tel: 416-597-7218

Email: rlapensee@osc.gov.on.ca

1.4 Notices from the Office of the Secretary

1.4.1 Solar Income Fund Inc. et al.

FOR IMMEDIATE RELEASE
January 11, 2021

**SOLAR INCOME FUND INC.,
ALLAN GROSSMAN,
CHARLES MAZZACATO, and
KENNETH KADONOFF,
File No. 2019-35**

TORONTO – Take notice an attendance in the above named matter is scheduled to be heard on January 13, 2021 at 8:30 a.m.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

For Media Inquiries:

media_inquiries@osc.gov.on.ca

For General Inquiries:

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

1.4.2 Marilyn Dianne Stuart

FOR IMMEDIATE RELEASE
January 13, 2021

**MARILYN DIANNE STUART,
File No. 2021-1**

TORONTO – The Office of the Secretary issued a Notice of Hearing pursuant to Subsections 127(1) and 127(10) of the *Securities Act*.

A copy of the Notice of Hearing dated January 13, 2021 and Statement of Allegations dated January 12, 2021 are available at www.osc.gov.on.ca.

OFFICE OF THE SECRETARY
GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

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media_inquiries@osc.gov.on.ca

For investor inquiries:

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

1.4.3 Stableview Asset Management Inc. and Colin Fisher

**FOR IMMEDIATE RELEASE
January 14, 2021**

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

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

A copy of the Order dated January 13, 2021 is available at www.osc.gov.on.ca.

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SECRETARY TO THE COMMISSION

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For General Inquiries:

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inquiries@osc.gov.on.ca

1.4.4 First Global Data Ltd. et al.

**FOR IMMEDIATE RELEASE
January 18, 2021**

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

TORONTO – Take notice that the hearing in the above named matter scheduled to be heard on January 21, 25, and 26, 2021 will not proceed as scheduled.

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GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

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media_inquiries@osc.gov.on.ca

For investor inquiries:

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

1.4.5 Joseph Debus

**FOR IMMEDIATE RELEASE
January 19, 2021**

**JOSEPH DEBUS,
File No. 2019-16**

TORONTO – The Commission issued its Reasons for Decision on a Motion in the above named matter.

A copy of the Reasons for Decision on a Motion dated January 18, 2021 is available at www.osc.gov.on.ca.

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GRACE KNAKOWSKI
SECRETARY TO THE COMMISSION

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inquiries@osc.gov.on.ca

1.4.6 Solar Income Fund Inc. et al.

**FOR IMMEDIATE RELEASE
January 19, 2021**

**SOLAR INCOME FUND INC.,
ALLAN GROSSMAN,
CHARLES MAZZACATO, and
KENNETH KADONOFF,
File No. 2019-35**

TORONTO – The Commission issued its Reasons for Decision on a Motion in the above named matter.

A copy of the Reasons for Decision on a Motion dated January 18, 2021 is available at www.osc.gov.on.ca.

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inquiries@osc.gov.on.ca

1.4.7 Jonathan Cartu et al.

FOR IMMEDIATE RELEASE
January 19, 2021

**JONATHAN CARTU,
DAVID CARTU, AND
JOSHUA CARTU,
File No. 2020-14**

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

A copy of the Order dated January 19, 2021 is available at www.osc.gov.on.ca.

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Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 Open Access Limited

Headnote

Multilateral Instrument 11-102 Passport System and National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions. Relief from the requirement in paragraph 14.5.3(a) of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (the Custodial Records Requirement) requiring firms to take reasonable steps to ensure that cash and securities of each client or investment fund are held by a qualified custodian using an account number or other designation in the records of the qualified custodian sufficient to show that the beneficial ownership of the cash or securities of the client or investment fund is vested in that client or investment fund. The registered firm is a manager of Capital Accumulation Plans, typically providing investment and retirement saving services to small Canadian businesses. The registered firm will continue its historical relationship with its custodian, which qualifies as a “Canadian custodian” as defined in NI 31-103 – the registered firm and its Canadian custodian have implemented enhanced and improved contractual arrangements and systems so the Canadian Custodian has access to data showing the beneficial ownership of the individual cash and securities positions of each individual client independently of the registered firm.

Applicable Legislative Provisions

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

National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations, ss. 1.1, 14.2(2) (a.1), 14.2(2) (a.2), 14.5.2(5), 14.5.3(a), 14.6, and 15.1.

January 14, 2021

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
OPEN ACCESS LIMITED
(the Filer)

DECISION

Background

On June 4, 2018, amendments to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) came into effect that enhanced the custody requirements applicable to registered advisers, dealers and investment fund managers that are not members of a self-regulatory organization (**SRO**) such as the Investment Industry Regulatory Organization of Canada or the Mutual Fund Dealers Association of Canada (the **Custody Amendments**). The Custody Amendments primarily (a) address potential intermediary risks when registered firms that are not members of an SRO are involved in the custody of client assets; (b) enhance the protection of client assets; and (c) codify existing custodial best practices of registered firms that are not members of an SRO.

The principal regulator in the Jurisdiction received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) for an exemption under section 15.1 of **NI 31-103** from the requirement in paragraph 14.5.3(a) of NI 31-103 that a registered firm such as the Filer must take reasonable steps to ensure that the cash and securities of a client or investment fund are held by a qualified custodian (or, in respect of cash, by a Canadian financial institution) using an account number or other designation in the records of the qualified custodian or financial institution sufficient to show that the beneficial ownership of the cash or securities is vested in that client or investment fund (the **Exemption Sought**).

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

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

Interpretation

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

Representations

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

1. The Filer is a corporation incorporated since 1995 under the Ontario *Business Corporations Act*. The Filer is registered as a dealer in the categories of exempt market dealer and mutual fund dealer and as an adviser in the category of portfolio manager in Ontario, as a dealer in the category of mutual fund dealer and as an adviser in the category of portfolio manager in Nunavut, and as an adviser in the category of portfolio manager in each of the other provinces and territories of Canada.
2. The Filer is a provider of Capital Accumulation Plans (**CAP**). A typical client of the Filer is a small business employer (**Plan Sponsor**) that has established a group retirement plan for its employees (**Plan Members**). The Filer provides discretionary investment management services to Plan Members of defined contribution pension plans, group registered retirement savings plans and other group retirement plans, as well as non-registered accounts and tax-free savings accounts. Plan Members typically contribute to their respective plan via ongoing payroll deductions ranging from 1% to 6% of their gross earnings.
3. The core of the Filer's product offering is nine CAP mandates of institutionally-priced mutual funds. Each Plan Member must complete an Investor Profile Risk Assessment Form (**IP Form**), which generates a score for the Plan Member. This score determines the CAP mandate the Plan member is invested in.
4. Canadian Western Trust (**CWT**) is currently the custodian of the cash and securities for the Plan Members, having been appointed as custodian in 2013. The securities of Plan Members are registered in the name of CWT, and cash is held by CWT in one of seven trust accounts in trust for the Plan Members.
5. CWT is a "Canadian financial institution" as defined in NI 31-103 and a "Canadian custodian" under paragraph (b) of the definition of that term in section 1.1 of NI 31-103. It is accordingly qualified to continue to act as the custodian of the assets of Clients of the Filer, and it is intended that it do so.
6. The seven trust accounts are bulk accounts (sometimes referred to as omnibus accounts) for Plan Members in the following plan types: (i) group registered retirement savings plans; (ii) individual registered retirement savings plans; (iii) locked-in registered retirement income funds, registered retirement income funds or life income funds; (iv) non-registered plans; (v) defined contribution pension plans; (vi) deferred profit sharing plans; and (vii) tax-free savings accounts.
7. In accordance with the agreements (the **Agency Agreements**) between CWT and the Filer, the Filer is the record keeper for these trust accounts. As the record keeper, the Filer maintains all records of the underlying ownership of cash and securities by each individual Plan Member and the related transactions which produce those balances. The Filer administers all records at the individual Plan Member level on behalf of CWT in accordance with the Agency Agreements.
8. All of the Filer's record keeping is performed on Basis, which is a record keeping system created, owned and maintained by Buck Canada HR Services Limited (**Buck**). Buck, and its predecessors, have provided this service to the Filer since 2012, as per a Software License and Cosourcing Agreement, dated February 17, 2012, as amended on December 7, 2020 (the **Agreement**). All client data resides on Buck servers and these servers reside in Canada.

Decisions, Orders and Rulings

9. Daily transactions of each Plan Member are recorded in Basis by the Filer, including all portfolio transactions, contributions and withdrawals, and Basis is able to produce detailed reporting at period ends. This includes the Plan Members' period end portfolio positions and the portfolio transactional details and performance for the period.
10. Holding plan members' cash and securities in bulk accounts gives the Filer the ability to offer institutional class mutual fund units to their Plan Members, who would otherwise not qualify for this class of securities.
11. On a daily basis, the Filer performs a reconciliation of cash and securities on the Basis record keeping system to the cash and securities in each trust account at CWT (the **Reconciliation**). The Reconciliation is not complex due to the limited number of investment options offered to Clients. The nine CAP mandates currently hold a combined total of 14 mutual funds offered by four mutual fund companies. The Reconciliation is for internal control purposes and a Reconciliation report is provided to CWT on a monthly basis in a format agreed to by CWT and the Filer.
12. Pursuant to the Agreement, the Filer has instructed Buck to provide CWT with direct access to the Basis record keeping system. CWT staff have been fully trained on how to use the system. As a result of the access and training, CWT staff are able to independently view and download individual plan member records at any time and generate any reports independent of the Filer, which allows CWT to view the allocation of cash and securities held in each bulk account to individual account holders.
13. Under the terms of the Agreement, CWT has the right to periodically audit the Reconciliation on a scheduled or unscheduled basis. In the event the Agreement between the Filer and Buck or its successor terminates, CWT will continue to have access to the Basis record keeping system for a period of up to 12 months post-termination of the Agreement.
14. Despite the arrangement described above, the Filer will, however, continue to be the recordkeeper in the first instance of individual Plan Member records. This is contrary to section 14.5.3(a) of NI 31-103, as the Filer is required to take reasonable steps to ensure that Clients' cash and securities is held by a qualified custodian (or, in respect of cash, a Canadian financial institution) using an account number or other designation in the records of the qualified custodian sufficient to show that the beneficial ownership of the cash or securities of a Client is vested in that Client. CWT's records outside of Basis do not show that the beneficial ownership of the cash or securities of a Client is vested in that Client.

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 provided that:

- i. the Filer conducts daily reconciliations between its client account records and the records of CWT, and retains records of the results of these reconciliations;
- ii. the Filer completes a monthly review of its reconciliation process which includes an internal certification of account reconciliations, and retains records of the results of these reconciliations;
- iii. the Filer continues to provide CWT with direct access to the Basis record keeping system through its Agreement with Buck or Buck's successor; and
- iv. the Filer continues to permit CWT to conduct scheduled and unscheduled audits of the Filer.

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

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

2.1.2 Flagship Communities Real Estate Investment Trust

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – relief from provisions in section 8.4 of National Instrument 51-102 Continuous Disclosure Obligations (NI 51-102) permitting the Filer to include alternative financial disclosure in the business acquisition report pursuant to section 13.1 of NI 51-102 – the Filer acquired 14 properties for which it cannot obtain certain historical financial information – the financial statements that will be included in the BAR will be adequate to allow investors to understand the impact of the acquisition of the Initial Properties.

Applicable Legislative Provisions

National Instrument 51-102 Continuous Disclosure Obligations, ss. 8.4 and 13.1.

December 7, 2020

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

AND

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

AND

**IN THE MATTER OF
FLAGSHIP COMMUNITIES REAL ESTATE INVESTMENT TRUST
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction (the **Decision Maker**) has received an application from the Filer for a decision under the securities legislation of the Jurisdiction of the Decision Maker (the **Legislation**) for a decision pursuant to Section 13.1 of National Instrument 51-102 *Continuous Disclosure Obligations* (**NI 51-102**) that the Filer be exempt from the requirement under section 8.4 of NI 51-102 and Item 3 of Form 51-102F4 *Business Acquisition Report* to include financial statement disclosure for significant acquisitions, provided that the Filer include or incorporate by reference the Alternative Acquisition Financial Disclosures (as defined herein) of the Filer relating to the Acquisition Transaction (as defined herein) in the business acquisition report (**BAR**) (the **Relief Sought**).

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

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

Interpretation

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

Representations

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

1. The head office of the Filer is located at 467 Erlanger Road, Erlanger, Kentucky, 41018, United States of America. The registered office of the Filer is located at 199 Bay Street, Suite 4000, Toronto, Ontario, M5L 1A9.

2. The Filer is an internally-managed, unincorporated, open-ended real estate investment trust established under the laws of the Province of Ontario pursuant to a declaration of trust dated as of August 12, 2020, as amended and restated on September 28, 2020, as may be further amended and/or amended and restated from time to time.
3. The Filer is a reporting issuer or the equivalent thereof in each Jurisdiction and is not in default of any requirement of Canadian securities legislation.
4. The Filer was established for the primary purpose of indirectly acquiring a 100% interest in and owning and operating a portfolio of 45 manufactured housing communities, comprising 8,255 lots located in the following four contiguous states: Kentucky, Indiana, Ohio and Tennessee, and a fleet of approximately 600 manufactured homes available for lease (the **Initial Communities** and, together with certain ancillary and head office assets, the **Initial Portfolio**).
5. Prior to the IPO, MHC Management, LLC, d/b/a SSK Communities (the **Promoter**) was the manager of the Initial Portfolio.
6. The ownership interests in the Filer are divided into trust units (**Units**).
7. The Units are listed on the Toronto Stock Exchange under the symbol "MHC.U".
8. On September 28, 2020, the Principal Regulator issued a receipt in respect of the final prospectus of the Filer (the **Prospectus**) relating to the initial public offering (the **IPO**) of the Units, qualifying 7,187,500 Units for distribution, including Units issuable pursuant to an over-allotment option granted by the Filer to the underwriters of the IPO.
9. On October 7, 2020 (the **IPO Closing Date**), the Filer issued 6,250,000 Units and, on October 22, 2020, the Filer issued a further 937,500 Units pursuant to the IPO underwriters' exercise of the over-allotment option in full.
10. In connection with the IPO, on the IPO Closing Date, the Filer completed its acquisition of the Initial Portfolio other than two of the Initial Communities comprising 622 lots located in Louisville, being Barrington Pointe and Copperstone Pointe (the **Deferred Acquisition Properties**), via the acquisition of all of the issued and outstanding securities of Flagship Communities, LLC (**FCLLC**) and 15 entities (the **SSK Entities**) managed by the Promoter (other than the SSK Entity that owns the two Deferred Acquisition Properties) from the owners thereof in exchange for cash, new Units and new class B units (**Class B Units**) of the Filer's subsidiary, Flagship Operating, LLC (the **IPO Acquisition**).
11. On November 2, 2020, the Filer acquired the Deferred Acquisition Properties in exchange for Class B Units (together with the IPO Acquisition, the **Acquisition Transaction**).
12. The financial results for (a) 17 of the Initial Communities then owned by the SSK Entities (the **Legacy SSK Portfolio**) for the three-year period ended December 31, 2019 and the six-month period ended June 30, 2020 were presented in the financial statements contained in the Prospectus; and (b) 14 of the Initial Communities then owned by entities managed by the Promoter were presented (i) in the financial statements of the Legacy SSK Portfolio in the Prospectus for the period from January 1, 2018 to May 24, 2018, and (ii) in the financial statements of FCLLC contained in the Prospectus for the periods May 24, 2018 to December 31, 2019 and the six-month period ended June 30, 2020, as such assets were indirectly transferred on May 24, 2018 from entities managed by the Promoter to FCLLC (collectively, such 31 Initial Communities being the **Full Period Properties**).
13. FCLLC or an SSK Entity, as applicable, acquired the remaining 14 of the Initial Communities (the **Recently Acquired Properties**) after January 1, 2017 (and in each case, after January 1, 2018). The financial results for the Recently Acquired Properties for the period from the date financial statements are available to the Filer following their respective acquisition dates (each such date, as applicable, the **Acquisition Date**) to December 31, 2019 and for the six-month period ended June 30, 2020 are also presented in the financial statements included in the Prospectus.
14. No exemption is required with respect to the financial information to be included in the BAR with respect to the Full Period Properties. The Relief Sought is only required with respect to Recently Acquired Properties.
15. The fiscal year end for the Initial Portfolio is December 31.
16. The Acquisition Transaction is a "significant acquisition" for purposes of NI 51-102 and the Filer must file a BAR in respect of the Acquisition Transaction.
17. The Recently Acquired Properties were indirectly acquired by the Filer via the acquisition of FCLLC. FCLLC acquired the Recently Acquired Properties from arm's length third parties after January 1, 2018.
18. Neither the Filer, the SSK Entity, FCLLC nor the Promoter possesses, has access to, nor is entitled to obtain access to, financial information in respect of the Recently Acquired Properties for any period prior to their respective Acquisition Dates. The SSK Entity, FCLLC or the Promoter, as applicable, requested historical accounting records and supporting information at the time of acquisition for each of the Recently Acquired Properties as part of the due diligence review;

however, the information received is insufficient to form the basis of audited or unaudited financial statements. The SSK Entity, FCLLC and the Promoter have, without success, made every reasonable effort to obtain access to, or copies of, historical accounting records in respect of the Recently Acquired Properties for the period from January 1, 2018 to the respective Acquisition Date for each Recently Acquired Property. In particular, the applicable entity that sold each Recently Acquired Property to the SSK Entity or FCLLC has in each case refused to provide, at this time, adequate historical accounting records to the SSK Entity, FCLLC, the Promoter and the Filer.

19. The Filer submits that the financial statements for the Recently Acquired Properties that are missing from the BAR are not material. The missing financial information of the Recently Acquired Properties represents an insignificant amount of the overall (a) aggregate fair market value, (b) revenue and (c) NOI, of the Initial Properties. The missing financial information of the Recently Acquired Properties will not be significant or otherwise material (individually or in the aggregate) to the Filer having regard to the overall size and value of the Filer's business and operations.
20. The required financial information for each of the Recently Acquired Properties for the period from January 1, 2018 to the first availability of financial statements following its respective Acquisition Date was not available for the Prospectus.
21. The Filer shall include (or incorporate by reference) the following financial information (collectively, the **Alternative Acquisition Financial Disclosures**) in the BAR:
 - (a) in respect of the Filer, the following financial statements, each prepared in accordance with International Financial Reporting Standards (**IFRS**) and each of which was included in the Prospectus:
 - a. audited statements of income and comprehensive income, changes in unitholder's equity and cash flows for the one-day period August 12, 2020 (the date of the Filer's formation);
 - b. an audited statement of financial position as at August 12, 2020;
 - c. unaudited pro forma consolidated financial statements as at and for the year ended December 31, 2019 and as at and for the six months ended June 30, 2020; and
 - (b) separate financial statements for the Initial Portfolio as follows, each prepared in accordance with IFRS, and in each applicable case, including the financial results of each Recently Acquired Property for only the period from its Acquisition Date:
 - a. in respect of the Legacy SSK Portfolio, the following from within the financial statements (and accompanying notes thereto) included in the Prospectus: audited combined carve-out statements of net income and comprehensive income, changes in divisional equity and cash flows for the years ended December 31, 2019 and December 31, 2018; audited combined carve-out statements of financial position as at December 31, 2019 and December 31, 2018; unaudited condensed combined interim carve-out statements of net income (loss) and comprehensive income (loss) for the three and six month periods ended June 30, 2020 and June 30, 2019; unaudited condensed combined interim carve-out statements of changes in divisional equity and cash flows for the six month periods ended June 30, 2020 and June 30, 2019; and the unaudited condensed combined interim carve-out statements of financial position as at June 30, 2020 and December 31, 2019; and
 - b. in respect of FCLLC the following from within the financial statements (and accompanying notes thereto) included in the Prospectus: audited consolidated carve-out statements of net income and comprehensive income, changes in divisional equity and cash flows for the year ended December 31, 2019 and for the period from March 11, 2018 (date of incorporation) to December 31, 2018; audited consolidated carve-out statements of financial position as at December 31, 2019 and December 31, 2018; unaudited condensed consolidated interim carve-out statements of net income and comprehensive income for the three and six month periods ended June 30, 2020 and June 30, 2019; unaudited condensed consolidated interim carve-out statements of changes in divisional equity and cash flows for the six month periods ended June 30, 2020 and June 30, 2019; and an unaudited condensed consolidated interim carve-out statements of financial position as at June 30, 2020 and December 13, 2019;
 - (c) a financial forecast in respect of the Filer consisting of consolidated statements of forecasted net income and comprehensive loss for each of the three-month periods ending December 31, 2020, March 31, 2021, June 30, 2021 and September 30, 2021, and for the twelve-month period ending September 30, 2021, with an audit report thereon from the Filer's auditors; and
 - (d) summary information of an appraisal including an independent estimate of the aggregate market value of the Initial Communities and the Filer's head office property on a portfolio basis as at July 30, 2020, such appraisal having been filed on SEDAR.

Decision

The Decision Maker 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 Maker under the Legislation is that the Relief Sought is granted with respect to the BAR provided that the Filer includes the Alternative Acquisition Financial Disclosures in the BAR in respect of the Acquisition Transaction.

“Marie-France Bourret”
Manager, Corporate Finance
Ontario Securities Commission

2.1.3 Flagship Communities Real Estate Investment Trust

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – exemption granted from the requirement to file a BAR for an acquisition that is not significant to the Filer from a practical, commercial, business, or financial perspective.

Applicable Legislative Provisions

National Instrument 51-102 Continuous Disclosure Obligations, ss. 8.4 and 13.1.

December 22, 2020

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

AND

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

AND

**IN THE MATTER OF
FLAGSHIP COMMUNITIES REAL ESTATE INVESTMENT
TRUST
(the Filer)**

DECISION

Background

The principal regulator in the Jurisdiction has received an application from the Filer (the **Application**) for a decision under the securities legislation of the Jurisdiction (the **Legislation**) for relief (a) pursuant to Section 13.1 of National Instrument 51-102 *Continuous Disclosure Obligations* (**NI 51-102**) exempting the Filer from the requirement in Part 8 of NI 51-102 to file a business acquisition report (a **BAR**) in respect of the acquisition of two manufactured housing communities and related assets in Paducah, Kentucky for a purchase price (subject to closing adjustments) of approximately US\$1.4 million (the **Acquisition**) on December 2, 2020 and (b) pursuant to Section 8.1 of National Instrument 44-101 – Short Form Prospectus exempting the Filer from any requirement under Item 10 of Form 44-101F1 *Short Form Prospectus* (**44-101F1**) to disclose the Acquisition as a “significant” acquisition in a short form prospectus (collectively, 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 the Application; and

- (b) the Filer has provided notice that it intends to rely upon Section 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) for each equivalent provision in British Columbia, Alberta, Saskatchewan, Manitoba, Québec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Yukon, the Northwest Territories and Nunavut.

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 this decision.

Representations

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

The Filer

1. The Filer is an unincorporated, open-ended real estate investment trust established under the laws of the Province of Ontario pursuant to a declaration of trust dated as of August 12, 2020, as may be amended and/or amended and restated from time to time.
2. The Filer's head office is located at 467 Erlanger Road, Erlanger, Kentucky, U.S.A., 41018.
3. The Filer's registered office is located at 199 Bay Street, Suite 4000, Toronto, Ontario, M5L 1A9.
4. The Filer is a reporting issuer or the equivalent thereof in each Jurisdiction and is not in default of any requirement of Canadian securities legislation.
5. On September 28, 2020, the Ontario Securities Commission issued a receipt for a final long form prospectus (the **Final Prospectus**) qualifying the initial public offering (**IPO**) of 6,250,000 trust units of the Filer (**Units**) in the Jurisdictions, upon which the Filer became a reporting issuer under the securities legislation in each of the Jurisdictions.
6. The closing of the IPO occurred on or about October 7, 2020 and, between such date and November 2, 2020, the Filer acquired 45 manufactured housing communities, comprising 8,255 lots, a fleet of approximately 600 manufactured homes available for lease and, together with certain ancillary and head office assets (the **Initial Portfolio**).
7. On October 22, 2020, pursuant to the exercise of the over-allotment option granted to the underwriters in connection with the IPO, the Filer issued an additional 937,500 Units.
8. The Units are listed and posted for trading on the Toronto Stock Exchange under the symbol “MHC.U”.

9. Pursuant to an acquisition agreement, the Filer acquired two manufactured housing communities and related assets in Paducah, Kentucky for a purchase price (subject to closing adjustments) of approximately US\$1.4 million (the **Acquisition**).
10. The Acquisition was completed on December 2, 2020.

Financial Statements

11. The Filer was formed on August 12, 2020 and, accordingly, will not have completed a full fiscal year until December 31, 2021. The applicable audited historical financial statements of the Filer in the Final Prospectus, as well as the Filer's interim financial statements for the period from the date of its formation to September 30, 2020 (as filed under the Filer's profile on SEDAR on November 12, 2020, the **Q3 Financial Statements**), only reflect assets of US\$10.00, unitholders' capital of US\$10.00 and financing activities of US\$10.00 as a result of the issuance of the initial Unit upon its formation and prior to the completion of the IPO (the **Nominal Financials**).
12. The Final Prospectus includes certain audited annual financial statements of the Initial Portfolio, including an unaudited *pro forma* consolidated statement of income and comprehensive income for the year ended December 31, 2019 and the six month period ended June 30, 2020 giving effect to the acquisition of the Initial Portfolio as if it occurred on January 1, 2019 and January 1, 2020, respectively.
13. As of November 2, 2020, upon completion of the acquisition of the Initial Portfolio, the Filer had consolidated assets of (the **Filer's Actual Assets**) approximately US\$438.9 million (i.e., the total assets set out in the Final Prospectus in the unaudited *pro forma* consolidated statement of financial position as at June 30, 2020 giving effect to the Initial Portfolio's acquisition as if it occurred on January 1, 2020).

Significance

14. Under Part 8 of NI 51-102, the Filer is required to file a BAR for any completed business acquisition that is determined to be significant based on the tests set out therein.
15. Under Item 10 of 44-101F1, in certain circumstances, an issuer must provide certain disclosure in a short form prospectus (including a shelf prospectus) concerning a completed or probable business acquisition that is considered significant for the purposes of Part 8 of NI 51-102.
16. The purchase price for the Acquisition represents only 0.3% of the Filer's Actual Assets, while approximately US\$1.4 million of "consolidated assets" (as understood for purposes of Part 8 of NI 51-102) will be acquired pursuant to the

Acquisition, also representing only 0.3% of the Filer's Actual Assets.

17. Further, the Acquisition comprises 81 lots, representing only 1.0% of the 8,255 lots comprising the Initial Portfolio.
18. The most recent set of financial statements for the Filer filed pursuant to NI 51-102 are the Q3 Financial Statements, which reflect the operation of the Filer for the period from its formation on August 12, 2020 to September 30, 2020, but for which the IPO and acquisition of the Initial Portfolio are a subsequent event. Therefore, the Q3 Financial Statements are similar to the Nominal Financials.
19. As the Filer has not yet filed financial statements reflecting the closing of the IPO and the Initial Portfolio's acquisition (rather than just the US\$10 contribution to acquire the initial Unit), the Acquisition will constitute a "significant acquisition" of the Filer for the purposes of Part 8 of NI 51-102, requiring the Filer to file a BAR pursuant to Part 8 of NI 51-102.
20. The Filer does not believe that the Acquisition is significant to it from a practical, commercial, business or financial perspective.

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.

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

2.2 Orders

2.2.1 Stableview Asset Management Inc. and Colin Fisher

File No. 2020-40

IN THE MATTER OF
STABLEVIEW ASSET MANAGEMENT INC. and
COLIN FISHER

Wendy Berman, Vice-Chair and Chair of the Panel

January 13, 2021

ORDER

WHEREAS on January 13, 2021 the Ontario Securities Commission held a hearing by teleconference;

ON HEARING the submissions of Staff of the Commission, and the representative for Colin Fisher and no one appearing for Stableview Asset Management Inc. although properly served;

IT IS ORDERED THAT:

1. Staff shall disclose to the respondents non-privileged relevant documents and things in the possession or control of Staff by 4:30 p.m. on February 19, 2021;
2. The respondents shall serve and file a motion, if any, regarding Staff's disclosure or seeking disclosure of additional documents by 4:30 p.m. on April 30, 2021;
3. Staff shall serve and file a witness list, and serve a summary of each witness' anticipated evidence on the Respondents and indicate any intention to call an expert witness, including providing the expert's name and the issues on which the expert will give evidence, by 4:30 p.m. on May 3, 2021; and
4. A further attendance in this proceeding is scheduled for May 13, 2021 at 9:30 a.m., by teleconference, or on such other date and time as may be agreed by the parties and set by the Office of the Secretary.

"Wendy Berman"

2.2.2 Tat Merger Sub LLC.

Headnote

Application for an order that the issuer is not a reporting issuer under applicable securities laws – requested relief granted.

Applicable Legislative Provisions

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

January 8, 2021

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
TAT MERGER SUB LLC.
(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 and Alberta.

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.

“Lina Creta”
Manager, Corporate Finance
Ontario Securities Commission

2.2.3 Pacgen Life Science Corporation

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – Application for an order that the issuer is not a reporting issuer under applicable securities laws – The issuer is not an OTC reporting issuer; the securities of the issuer are beneficially owned by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders worldwide; no securities of the issuer are traded on a market in Canada or another country; the issuer is not in default of securities legislation except it has not filed certain continuous disclosure documents – Requested relief granted.

Applicable Legislative Provisions

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

January 8, 2021

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

AND

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

AND

**IN THE MATTER OF
PACGEN LIFE SCIENCE CORPORATION
(the Filer)**

ORDER

Background

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

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

- (a) the British Columbia Securities Commission is the principal regulator for this application,
- (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 Alberta, Saskatchewan, Manitoba and Nova Scotia, and

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

Interpretation

Terms defined in 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 was incorporated under the *Business Corporations Act* (British Columbia) (the BCBCA);
2. the Filer's head office is located in Vancouver, British Columbia;
3. the Filer's authorized capital of the Filer consists of an unlimited number of common shares of which 64,815,969 common shares (the Common Shares) are issued and outstanding; the Filer has no other outstanding securities;
4. the Common Shares traded on the TSX Venture Exchange (the TSXV) and no other securities of the Filer are listed on any other exchange;
5. on September 30, 2020, the Filer completed a statutory plan of arrangement (the Arrangement) under the BCBCA pursuant to which General Biologicals Corporation (GBC) acquired all issued and outstanding Common Shares of the Filer, other than Common Shares owned by GBC, Tsong-Chin Lin, Golden Global International Corporation and Curie Med Corporation;
6. following completion of the Arrangement, the sole shareholders of the Corporation are GBC, Tsong-Chin Lin, Golden Global International Corporation and Curie Med Corporation;
7. on October 1, 2020, the Common Shares were delisted from the TSXV;
8. the Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*;
9. 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;
10. 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;
11. 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;
12. the Filer is not in default of securities legislation in any jurisdiction, other than the obligation to file on or before November 30, 2020 its interim financial statements and related management's discussion and analysis for the interim period ended September 30, 2020 as required under National Instrument 51-102 *Continuous Disclosure Obligations* and the related certification of interim filings as required under National Instrument 52-109 *Certification of Disclosure in Issuers' Annual and Interim Filings* (collectively, the Filings); and
13. the Filer is not eligible to use the simplified procedure under National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications* as the Filer is in default for failure to file the Filings.

Order

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

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

"Noreen Bent"
Chief, Corporate Finance Legal Services
British Columbia Securities Commission

2.2.4 Jonathan Cartu et al.

File No. 2020-14

**IN THE MATTER OF
JONATHAN CARTU,
DAVID CARTU, AND
JOSHUA CARTU**

M. Cecilia Williams, Commissioner and Chair of the Panel

January 19, 2021

ORDER

WHEREAS the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider a motion by Dentons Canada LLP (**Dentons**) to remove Dentons as counsel of record for Joshua Cartu;

ON READING the materials filed by Dentons and on considering that Joshua Cartu did not respond to the motion, although properly served;

IT IS ORDERED THAT pursuant to Rule 21(2) of the Commission's *Rules of Procedure and Forms*, Dentons is removed as counsel of record for Joshua Cartu.

"M. Cecilia Williams"

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Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 Joseph Debus

Citation: *Debus (Re)*, 2021 ONSEC 1

Date: 2021-01-18

File No. 2019-16

IN THE MATTER OF JOSEPH DEBUS

REASONS FOR DECISION ON A MOTION

Hearing:	In Writing	
Decision:	January 18, 2021	
Panel:	M. Cecilia Williams	Commissioner and Chair of the Panel
Submissions:	Gavin S. MacKenzie Alexandra Matushenko	For Staff of the Commission
	Kathryn Andrews Sally Kwon	For Staff of the Investment Industry Regulatory Organization of Canada
		No written submissions were filed by or on behalf of Joseph Debus

REASONS FOR DECISION

I. OVERVIEW

- [1] Joseph Debus (**Debus**) applied for a hearing and review of the Investment Industry Regulatory Organization of Canada (**IIROC**) merits¹ and sanctions² decisions against him, pursuant to sections 8 and 21.7 of the *Securities Act*³ (the **Act**). The hearing and review is scheduled to be heard on January 27 and 28, 2021.
- [2] Debus provided notice of his intention to rely on documents or things not included in the record of the original proceeding before IIROC, pursuant to my order.
- [3] IIROC Staff objects to the admission of this new evidence and requests that the motion be heard in advance of the hearing and review (the **New Evidence Motion**). Staff of the Commission (**OSC Staff**) filed materials supporting IIROC Staff's position. Though given the opportunity to file responding submissions, Debus did not file any additional materials.
- [4] The New Evidence Motion was heard in writing. On December 2, 2020, I ordered, with reasons to follow, that, at the hearing and review, Debus shall not be permitted to examine the five individuals named in his witness list, and he shall not be permitted to adduce the documentary evidence he proposes to introduce.⁴ These are my reasons.

II. BACKGROUND

- [5] The IIROC hearing on the merits in this matter took place over 18 hearing days in 2018 and 2019. The hearing included a number of motions relating to production and disclosure, the summons of witnesses, and requests for adjournment.⁵
- [6] On April 16, 2019, Debus filed an application for the hearing and review.

¹ *Debus (Re)*, 2019 IIROC 5 (the **Merits Decision**)

² *Debus (Re)*, 2019 IIROC 18 (the **Sanctions Decision**)

³ RSO 1990, c.S.5

⁴ (2020) 43 OSCB 9259

⁵ Merits Decision at para 1

- [7] On August 26, 2019, I ordered Debus to provide notice of his intention to rely on documents or things not included in the record of the original proceeding before IIROC, and to disclose such documents or things.
- [8] On December 10, 2019, Debus provided notice of his intention pursuant to my order.
- [9] At an attendance in this proceeding on February 11, 2020, Debus sought an order from this Panel seeking summonses of certain documents from a third party, his former Member, Richardson GMP. I requested written submissions from the parties as to whether I had the authority to summons documents from a third party, and if so, whether I should summons the documents requested by Debus.
- [10] In his written submissions, Debus narrowed the date range of documents he sought to summons. The documents Debus sought to summons from Richardson GMP were any and all emails exchanged between the parties listed below from January 2009 to March 2013:
- i. between RN and clients PE, DB and AP;
 - ii. between RN and AB and RN and TB;
 - iii. between RN and AA;
 - iv. between AA and clients PE, DB and AP;
 - v. between AA and AB, and between AA and TB; and
 - vi. between JI and clients AP and DB.
- [11] RN and AA were Debus's assistants. AB and TB were Debus's managers. PE, DB and AP were clients of Debus. JI was a former colleague of Debus at Richardson GMP.
- [12] On April 9, 2020, I denied Debus's request for summonses, and advised that reasons for that decision would be included in the final reasons for the hearing and review.
- [13] On May 8, 2020, I ordered Debus to serve and file his hearing brief containing copies of the documents and identifying the other things that he intends to rely on or enter as evidence at the hearing and review.
- [14] Because the documents I declined to summons were many of the same documents listed in Debus's notice of intention, on October 1, 2020 I ordered Debus to confirm his intention to rely on additional documents or things, and list what those documents or things were.⁶
- [15] Debus confirmed his intention to rely on these same emails on October 15, 2020.
- [16] Debus also confirmed that he intends to call five witnesses at the hearing and review.

III. ANALYSIS

A. Issue

- [17] The issue I must decide is whether Debus is precluded from seeking to admit at the hearing and review the additional documents and testimony proposed in his correspondence dated October 15, 2020.
- [18] IIROC Staff submits that the additional documents were the subject of Debus's summons motion, which was denied, and there is no new basis for the Panel to reconsider allowing these additional documents to be introduced at the hearing and review.
- [19] In addition, IIROC Staff submits that the oral testimony Debus proposes to introduce does not meet the *Canada Malting* test of being "new" and "compelling". Therefore, Debus should not be permitted to examine the five individuals identified in his witness list.
- [20] OSC Staff submits that Debus has failed to satisfy the "new and compelling" standard for the admission of new evidence at a hearing and review. In particular, OSC Staff submits that Debus has failed to demonstrate that the evidence was neither known nor ought to have been known to him at the time of the original proceeding and that the proposed new evidence would have changed the IIROC Hearing Panel's decision.
- [21] As noted above, Debus did not file any additional materials in response to IIROC's motion.

⁶ (2020) 43 OSCB 7868

- [22] Applicants in a hearing and review proceeding are required to provide notice of their intention to rely on documents or things not included in the record of the original proceeding and disclose such documents or things.
- [23] As above, Debus provided notice and subsequently confirmed his intention to rely on documents or things not included in the record of the original proceeding.
- [24] Debus disclosed the new oral evidence he seeks to rely on in the form of witness summaries, which were served on June 23, 2020.
- [25] However, the same is not true of the documentary evidence he seeks to rely on. It is clear to me from Debus's October 15, 2020 correspondence that the emails he seeks to rely upon are not in his possession, as he refers to "relevant e-mails we are requesting from RGMP". These are the very emails I declined to summons.

1. Test for admitting new evidence in a hearing and review

- [26] An applicant is not required to bring a motion to adduce new evidence. Any party who objects to the admissibility of documents or things not included in the record of the original proceeding is entitled to do so, either at the hearing and review, or in advance of the hearing by bringing a motion.
- [27] On an application for hearing and review under section 21.7 of the Act, the Commission has original jurisdiction to make a decision and can, in its discretion, admit new evidence that was not before the decision maker below.⁷
- [28] However, in the past the Commission has taken a restrained approach in exercising its discretion to allow new evidence to be introduced.⁸
- [29] When admitting new evidence at a hearing and review, the Commission must be cautious that in admitting the additional evidence, they are not permitting the applicant the opportunity to re-argue the initial hearing with an augmented record of evidence that was available at the time of the initial hearing and is of questionable probative value. This would, as this Commission has said in respect of intervening in the decisions of self regulatory organizations (**SROs**), "introduce an unacceptable degree of uncertainty in our regulatory regime".⁹
- [30] The test for overturning a decision of an SRO is set out in *Canada Malting*.¹⁰ There are five possible grounds on which the Commission might interfere with a decision of an SRO, the fourth of which is that "new and compelling evidence was presented to the Commission that was not presented to the [SRO]".¹¹
- [31] It follows that any new evidence admitted on an application for hearing and review must meet the standard of "new and compelling".¹²
- [32] The Commission has held that "new" means "information that was not known to the party purporting to introduce it as new at the time of the SRO's decision".¹³ In that regard, the Commission has expressed concern with parties classifying as new "evidence which that party knew or ought to have known at the time of the [SRO hearing]".¹⁴
- [33] The Commission has also held that evidence would be considered "compelling" if it would have changed the SRO's decision had it been known at the time of the decision.¹⁵

2. Admissibility of documentary evidence

- [34] Debus has not disclosed the emails he proposes to rely on at the hearing and review because they are not in his possession. I declined to summons them.
- [35] If the emails had been properly disclosed, I would have considered whether these emails were "new and compelling" in the context of the *Canada Malting* test, as was done by the Panel in *Northern Securities*.¹⁶
- [36] In my view, these emails would not meet the standard of "new and compelling".

⁷ *Northern Securities Inc. (Re)*, 2013 ONSEC 48, (2014) 37 OSCB 161 (**Northern Securities**) at para 27, citing *HudBay Minerals Inc. (Re)*, 2009 ONSEC 15, (2009) 32 OSCB 3733 (**HudBay**) at paras 111-112

⁸ *Northern Securities* at para 28

⁹ *HudBay* at para 114

¹⁰ *Canada Malting Co. (Re)*, (1986) 9 OSCB 3565 (**Canada Malting**) at para 24

¹¹ *Canada Malting* at para 24

¹² *Northern Securities* at para 30

¹³ *Hahn Investment Stewards & Co. Inc. (Re)*, 2009 ONSEC 41, (2009) 32 OSCB 8683 (**Hahn**) at para 197

¹⁴ *Hahn* at para 196

¹⁵ *Hahn* at para 198

¹⁶ *Northern Securities* at paras 29-34

- [37] The emails are not new. They date from January 2009 to March 2013 and were available at the time of the IIROC hearing in 2018 and 2019.
- [38] On the record before me I find that Debus and his agent brought several successful production motions and numerous documents were provided by Richardson GMP as a result.
- [39] The basis for Debus's production requests was that the information sought was critical to Debus's ability to make full answer and defence to the allegations against him. Debus would have known, or ought to have known, at the time of making these requests that his assistants RN and AA and associate JI worked closely with him and dealt with his clients. The will-say statements of RN and JI filed in advance of the IIROC hearing indicate that they worked closely with Debus's clients. Yet, among the production requests during that hearing, Debus did not specifically request the emails of these individuals.
- [40] Permitting Debus to introduce this documentary evidence, that he knew or ought to have known about at the time of the IIROC hearing, would, in my view, threaten the orderly conduct of litigation and the integrity of IIROC's disciplinary process.

3. Admissibility of oral evidence

- [41] Debus proposes to call five witnesses. Two of those witnesses (RN and JI) he planned to call in the original proceeding, but ultimately did not, and one witness (LC) testified in the original proceeding. Another proposed witness (AA) was Mr. Debus's assistant for part of the relevant period. The final proposed witness (HP) was a law clerk of Debus's agent in the original proceeding.
- [42] The first four witnesses are not new. RN and JI had will-say statements filed at the IIROC hearing and Debus chose not to call them.
- [43] AA was Debus's assistant for a portion of the material time. Debus knew, or should have known, that her evidence existed during the IIROC hearing.
- [44] LC testified at the IIROC hearing. He provided evidence on the record, which is available for my review. By allowing this witness to testify again and augment the record of the proceeding, we risk re-opening the IIROC hearing.
- [45] HP is a former law clerk of Debus's agent in the original proceeding. Although arguably new, HP's proposed evidence is not compelling or relevant.
- [46] Debus proposes to call HP to provide evidence as to the experience and qualifications of his agent at the IIROC hearing, as well as the nature and quality of the representation provided by his agent.
- [47] I agree with the submissions of IIROC Staff and OSC Staff that HP is not qualified to give evidence about the quality of Debus's representation at the IIROC hearing. HP's personal assessment or opinion of Debus's agent is not relevant.
- [48] Accordingly, while new, the evidence of HP is not relevant, and therefore not compelling for the purposes of the hearing and review.
- [49] The nature and quality of the agent's representation is an issue to be determined at the hearing and review and can be determined by reviewing the record of the IIROC proceeding.

IV. CONCLUSION

- [50] As per my order dated December 2, 2020, at the hearing and review, Debus shall not be permitted to examine the five individuals named in his witness list filed with the Commission on October 15, 2020, and the proposed documentary evidence set out by Debus in his correspondence dated October 15, 2020, shall not be admitted.

Dated at Toronto this 18th day of January, 2021.

"M. Cecilia Williams"

3.1.2 Solar Income Fund Inc. et al. – s. 25.0.1(a) of the SPPA

Citation: *Solar Income Fund Inc. (Re)*, 2021 ONSEC 2

Date: 2021-01-18

File No. 2019-35

IN THE MATTER OF
SOLAR INCOME FUND INC.,
ALLAN GROSSMAN,
CHARLES MAZZACATO and
KENNETH KADONOFF

REASONS FOR DECISION ON A MOTION
(Section 25.0.1(a) of the *Statutory Powers Procedure Act*)

Hearing: In writing, and by a teleconference held
on January 13, 2021

Decision: January 18, 2021

Panel: Timothy Moseley Vice-Chair of the Commission

Appearances: Andrew Faith For Staff of the Commission
Ryan Lapensée

James W.E. Doris For Solar Income Fund Inc. and Allan Grossman
Sean R. Campbell
Abhishek Vaidyanathan

Andrea L. Burke For Charles Mazzacato
Chantelle Cseh

Eli Lederman For Kenneth Kadonoff
Brian Kolenda
Madison Robins

REASONS FOR DECISION

I. OVERVIEW

- [1] These reasons relate to the admissibility, at a yet-to-be-commenced merits hearing, of the report of a proposed expert witness.
- [2] In this proceeding, Staff of the Ontario Securities Commission (**Staff of the Commission**) alleges that the respondents raised approximately \$57 million from investors in the exempt market through a fund (the **Fund**) that would spend those funds on the acquisition, development and operation of solar energy installations, thereby producing an investment return for the Fund through the sale of solar energy. Staff alleges that the respondents misled and defrauded investors, in that the respondents did not use the funds as promised.
- [3] The merits hearing is set to begin on March 1, 2021. In preparation for the hearing, Staff retained a proposed expert witness, who prepared a report (the **Expert's Report**), in which he expressed opinions regarding norms in the solar power industry and regarding the reasonable expectations of investors in that industry.
- [4] The respondents object to the Expert's Report forming part of the record in this proceeding. They submit that the opinions contained in the report are outside the scope of the Statement of Allegations or are otherwise inadmissible. They do not wish to incur the expense of responding to the report, if they are correct in their position. They ask that the issue be resolved now.
- [5] This issue came before me as a motion by Staff to adduce the Expert's report at the merits hearing, although Staff objects to my resolving this issue before the merits hearing begins, as opposed to during that hearing and before the full hearing panel. I invited submissions from the parties both as to the propriety of resolving the issue at a preliminary stage, and as to the admissibility of the Expert's Report, should I decide that it was appropriate to consider admissibility at this stage of the proceeding.

- [6] After reviewing the parties' submissions, I issued an order on January 14 providing that, for reasons to follow, the Expert's Report is inadmissible at the merits hearing. These are my reasons, in which I explain why I concluded that:
- a. the expert's opinions regarding solar power industry norms would be admissible, except that the respondents have, since the bringing of this motion, undertaken not to lead or elicit any evidence, or to make any submission, that would make the expert's opinions relevant; and
 - b. the expert's opinion regarding the reasonable expectations of investors is inadmissible, in that it purports to resolve an issue that is ultimately to be determined by the merits hearing panel, and for which the Commission does not require expert assistance.

II. BACKGROUND

- [7] This motion has its roots in my order of August 11, 2020, in this proceeding. That order required that Staff serve every party with the report of its expert witness by October 16, and that if any respondent wished to file a motion regarding Staff's expert evidence, they were to do so by October 30.
- [8] Staff delivered the Expert's Report. The respondents then filed a motion objecting to that report, as contemplated by the August 11 order. Following some correspondence with the parties, and a brief teleconference hearing on December 7, I agreed with the respondents' submission that Staff bore the burden of demonstrating the admissibility of the report. By my order of December 11, 2020, resulting from that hearing, the respondents' motion was effectively to be replaced by a motion brought by Staff to adduce the Expert's Report.
- [9] I heard the motion in writing. Materials filed on the motion incorrectly refer to the respondents in the proceeding as the moving parties, a confusion no doubt caused by my August 11 order, which as noted above required the respondents to bring any motions regarding Staff's expert evidence by October 30.
- [10] That confusion is inconsequential. This motion proceeded in the same way in which the core question would have been addressed during the merits hearing, where Staff would have indicated its intention to call expert evidence, the respondents would have objected, and Staff would have had the burden of demonstrating that the proposed evidence is admissible.
- [11] On this motion, Staff filed the affidavit of Kevin Dusseldorp sworn December 18, 2020. That affidavit, which I have marked as Exhibit 1, has the following exhibits:
- a. the Expert's Report;
 - b. the offering memorandum used by the respondents to raise funds from investors (the **Offering Memorandum**);
 - c. a newsletter sent from the respondent Solar Income Fund Inc. to investors; and
 - d. the summary of anticipated evidence of the respondent Kenneth Kadonoff (**Kadonoff's Evidence Summary**).
- [12] I heard and decided this motion pursuant to s. 25.0.1(a) of the *Statutory Powers Procedure Act*,¹ which empowers the Commission to determine its own procedures and practices, and to make an order with respect to the procedures and practices that apply in a particular proceeding.

ANALYSIS

A. Introduction

- [13] The core issue is whether part or all of the Expert's Report should be admissible in this proceeding.
- [14] A collateral issue raised by this motion is whether the question of admissibility should be decided at this preliminary stage, before the merits hearing begins.
- [15] Because both of these issues turn on the general question of how admissibility is determined in a Commission proceeding, I begin my analysis with that question. After addressing that general question, I then consider whether the admissibility question raised by this motion, in this case, should be resolved now, and if so, how it should be resolved.

¹ RSO 1990, c S.22

B. How is admissibility of evidence determined in a Commission proceeding?

- [16] An enforcement proceeding before the Commission is initiated by Staff filing its Statement of Allegations. The Statement of Allegations defines the issues in the proceeding.
- [17] Unlike defendants in a civil action, who file a statement of defence in response to the statement of claim, respondents in a Commission proceeding are not required to deliver a response to Staff's Statement of Allegations.
- [18] Staff does get discovery of a sort in an enforcement proceeding, through one or more of:
- a. its investigation prior to the proceeding, which investigation may include the use of compulsory powers;
 - b. a respondent's obligation, once the proceeding has begun, to disclose to Staff any documents not already in Staff's possession, on which the respondent may rely;
 - c. a respondent's obligation to provide Staff with a summary of the testimony that the respondent expects to give, if the respondent decides to testify; and
 - d. a similar obligation on the respondent with respect to any witnesses that the respondent intends to call.
- [19] While Staff gets that discovery, nothing disclosed through that discovery alters the scope of the proceeding. The scope is established by the Statement of Allegations. The investigation precedes the delivery of the Statement of Allegations, and a respondent's disclosure obligations are governed by the Statement of Allegations.
- [20] Disclosure delivered by a respondent cannot enlarge the scope of a proceeding. If a respondent's witness summary indicates that the respondent will testify about an issue that is not raised by the Statement of Allegations, then Staff would be well within its rights to object during the merits hearing, if the respondent were to begin to give that irrelevant testimony.
- [21] Staff submits that relevance may emerge from defences advanced by respondents. In support of that submission, Staff cited a number of court decisions relating to criminal proceedings. I do not find these decisions helpful. The combination of a detailed Statement of Allegations and a respondent's disclosure obligations makes the Commission enforcement proceeding context sufficiently dissimilar from that of criminal proceedings that I am better guided by first principles than by the context-dependent statements in those decisions.
- [22] Similarly, I do not find the Commission's decision in *El-Bouji (Re)*,² also cited by Staff, to be helpful. That decision related to a motion brought by the respondents in that proceeding to strike evidence filed by Staff on a pending jurisdiction motion. Once again, the context is sufficiently different that it is better to apply first principles than to adopt in this context an approach that was developed for a different purpose.
- [23] I therefore conclude, as a general rule, that relevance should be determined by the Statement of Allegations. In some cases, though, it will not be sufficient to make that determination based only on the words of the Statement of Allegations itself. A Statement of Allegations may refer, directly or indirectly, to documents or other things, in which case consideration may also have to be given to those documents or other things. Whether it is practical and appropriate to refer to those documents or other things on a motion such as this one will depend on the circumstances of the particular case.
- [24] For example, if a Statement of Allegations refers to a formal public document such as an offering memorandum, it may be practical and appropriate, in a given case, to consider that offering memorandum as having been incorporated by reference into the Statement of Allegations.
- [25] The practicability and propriety of considering, at a preliminary stage, documents or other things referred to in a Statement of Allegations will diminish as one moves from formal public documents to such things as email threads and oral statements.
- [26] I turn now to consider whether, in this case, admissibility of the Expert's Report should be resolved at this preliminary stage, and if so, how.

² 2019 ONSEC 19, (2019) 42 OSCB 5065 at para 22

C. Should admissibility be resolved before the merits hearing begins?

1. Introduction

[27] Staff submits that I should not decide the admissibility issue at this stage of the proceeding. Staff says that I should be governed by the 2010 decision of the Court of Appeal for Ontario in *Harrop v Harrop*,³ in which the court held that a motion judge should decide the admissibility of expert evidence before trial only in the “rarest of cases”.

[28] The court cited four concerns in support of that proposition:

- a. the possibility of a multiplicity of proceedings;
- b. the need for a full context in which the decision can be made;
- c. the risk of the preliminary step being taken for purely tactical reasons; and
- d. the risk of different appeal rights depending on whether the decision is made by a motion judge as an interlocutory order or by the trial judge.

[29] The respondents answer by citing a subsequent decision of the Superior Court of Justice, in which that court held that the policy considerations in *Harrop v Harrop* “have to be re-assessed having regard to the rule amendments that have expanded the court’s jurisdiction to rule on issues before a trial.”⁴ Staff distinguishes the later decision, arguing that the proposed expert opinion in that case was so clearly irrelevant that a preliminary determination on admissibility was possible.

[30] I need not resolve the parties’ disagreement regarding these two court decisions because, in my view, I should consider the concerns cited by the Court of Appeal, whether or not the re-assessment contemplated by the Superior Court would have any impact.

[31] Having said that, only one of the four concerns is relevant in this case. In my analysis below, I address the second of the four concerns (the need for a full context). The first concern does not apply here because, despite the respondents’ submission to the contrary, determining the principal issue at this time resolves it for all purposes in the proceeding, and the question may not be re-opened. The third concern does not apply here, because there is neither any suggestion, nor any basis to believe, that the respondents are objecting to the Expert’s Report for purely tactical reasons. The fourth does not apply here, because an appeal from a Commission decision may come only after the Commission’s final decision in the proceeding, and not after an interlocutory decision.

[32] Finally by way of introduction to the issue of timing, it is common ground that in deciding whether it is appropriate to resolve the principal issue at this stage, I should ask the three questions set out in the Commission’s decision in *Mega-C Power Corp (Re)*⁵ (**Mega-C**):

- a. Can the questions raised in the motion be resolved without regard to contested facts and anticipated evidence at the merits hearing?
- b. Is it necessary for a fair hearing that the relief sought on the motion be granted prior to the merits hearing?
- c. Will the resolution of the issues make the process materially more efficient or effective?⁶

[33] In *Mega-C*, the Commission said that if the answer to any of the three questions is yes, it makes sense to hear the motion before the merits hearing, absent strong reasons to the contrary. If, however, the answer to all three questions is no, the Commission should be reluctant to hear the motion before the merits hearing.⁷

[34] I note that in *Mega-C*, the Commission prefaced the three questions with:

In our view, in exercising its discretion as ‘master of its procedure’, the Commission ought to have due regard for all of the circumstances described above, as well as concern for not unduly ‘judicializing’ its processes. While fairness and the procedural rights of the Respondents and affected persons must be ensured... administrative proceedings are intended to be less formal and more procedurally flexible than those of the courts.⁸

³ 2010 ONCA 390

⁴ *Awada v Glaeser*, 2017 ONSC 1094 at para 21

⁵ 2007 ONSEC 4, (2010) 33 OSCB 8245

⁶ *Mega-C* at para 34

⁷ *Mega-C* at paras 35-36

⁸ *Mega-C* at para 34

[35] In my view, that is a useful caution when considering Staff's reliance in this case on decisions (such as *Harrop v Harrop*) that deal with court proceedings.

[36] I turn now to address each of the three questions posed in *Mega-C*.

2. Can the questions raised in the motion be resolved without regard to contested facts and the anticipated evidence at the merits hearing?

[37] Staff says that the principal issue in this motion cannot be resolved without regard to the anticipated evidence at the merits hearing, for two reasons.

[38] First, Staff's proposed expert reviewed 163 documents before preparing the Expert's Report. Those documents have not yet been put into evidence, and no witness has testified about them.

[39] I reject this submission. A party cannot make otherwise inadmissible expert evidence admissible simply by providing documents (some of which may be irrelevant to the proceeding) to its proposed expert.

[40] While documents provided to a proposed expert will not dictate relevance, documents referred to in the Statement of Allegations may well do so. Something that is not apparent from the Statement of Allegations itself may become apparent upon review of a document referred to in the Statement of Allegations.

[41] This complicates the determination of relevance, depending on the document referred to in the Statement of Allegations. Where there is no controversy about the authenticity or content of the document, such as would likely be the case with an offering memorandum, reference to that document at this preliminary stage is unlikely to be problematic. However, any controversy about the authenticity of a document, or about which document(s) the Statement of Allegations refers to, might require a "no" answer to this first question.

[42] Similarly, any reference to facts that for their proof might depend exclusively on oral evidence (and not documents) might be more indicative of a "no" answer.

[43] Staff cites as its second reason for answering "no" to this question its expectation that the respondents will raise defences that the Expert's Report is intended to rebut. Staff submits that the Commission should not exclude the Expert's Report when the Commission is not privy to the full scope of material issues, including the respondents' defences.

[44] That submission, though, does not answer the question asked. The question is whether it is necessary to know the evidence, not whether it is necessary to know the defences. As I have explained above, any evidence to be admitted at the merits hearing, and any defences asserted by the respondents, must be relevant to the allegations.

[45] In other words, the Commission is, at this time, privy to the full scope of material issues in this matter. That scope is defined by the Statement of Allegations. Any evidence called at the merits hearing must fall within that scope. No evidence called at the merits hearing can change the scope.

[46] Accordingly, the answer to the first of the three questions is "yes" – the questions raised in this motion can be resolved without regard to contested facts and the anticipated evidence at the merits hearing. This conclusion fully responds to the second of the four concerns in *Harrop v Harrop*.

[47] As the Commission held in *Mega-C*, if the answer to any of the three questions is "yes", it makes sense to hear the motion before the merits hearing, absent strong reasons to the contrary. While it may therefore be unnecessary to consider the second and third questions, I will do so anyway, for the sake of completeness and to respond to the parties' submissions.

3. Is it necessary for a fair hearing that the relief sought on the motion be granted prior to the merits hearing?

[48] The second question asks whether it is "necessary" that the relief sought here be granted prior to the merits hearing. In this case, it is not necessary, and no party has suggested that it is.

4. Will the resolution of the issues make the process more efficient or effective?

[49] Staff submits that resolving the admissibility issue now commits the Commission to an inefficient and duplicative process. I disagree.

[50] A resolution at this time is more efficient. If the respondents are correct in saying that some or all of Staff's proposed expert testimony is inadmissible, it is better to determine that now, before the respondents feel the need to retain their own expert to respond to the Expert's Report. Determining the issue now may avoid unnecessary cost to all parties. Further, determining the issue now gives all parties, including Staff, greater certainty about how the merits hearing will proceed, thereby avoiding the risk of a mid-hearing adjournment request occasioned by a ruling against Staff at that time.

[51] A resolution now does not result in a duplicative process. The Commission's decision in *Pro-Financial Asset Management Inc. (Re)*⁹ (*PFAM*), on which Staff relies to suggest that it does, is clearly distinguishable. In that case, an individual respondent facing various allegations of misconduct in an enforcement proceeding brought a motion, prior to the merits hearing, relating to his then pending application for registration under the *Securities Act*¹⁰ (the *Act*). In dismissing the motion, the Commission observed that the evidence that would be necessary on the motion would almost entirely replicate the evidence to be called at the merits hearing.

[52] The motion in *PFAM* raised issues that overlapped with those that would be addressed at the merits hearing. However, unlike Staff's motion in this case, the *PFAM* motion had nothing to do with how the merits hearing would proceed. A decision now about the admissibility of part or all of the Expert's Report will resolve that issue conclusively, absent a change to the scope of this proceeding occasioned by an amendment to the Statement of Allegations or by some other permissible means.

[53] The answer to the third question is "yes".

5. Conclusion as to when the admissibility issue should be determined.

[54] Two of the three questions set out in *Mega-C* are answered "yes" in this case. That leads to the conclusion that the admissibility issue should be determined now, unless there are strong reasons to the contrary. No such reasons have been advanced. I therefore turn to consider the Expert's Report.

D. Is part or all of the Expert's Report admissible?

[55] Opinion evidence is generally inadmissible. For the Expert's Report to be admitted, Staff must establish that:

- a. the Expert's Report is relevant;
- b. the proposed expert is qualified to give the opinion evidence; and
- c. the expert's intended evidence is necessary, in that it is outside the Commission's experience and knowledge.¹¹

[56] I will address each of these requirements in turn.

1. Is the Expert's Report relevant?

[57] Staff submits, and I agree, that when considering relevance, it is useful to distinguish between "logical relevance", which is a threshold criterion of admissibility, and "legal relevance". To be legally relevant, evidence must first be logically relevant, and then (particularly in the context of criminal cases with juries) it must be sufficiently probative.

[58] For the purposes of this motion, I consider whether the Expert's Report is logically relevant. I will begin by reviewing the pertinent facts alleged in the Statement of Allegations. I will then identify the alleged misconduct, which in this case includes alleged contraventions of two provisions of the Act. Staff also alleges "conduct contrary to the public interest", in addition to referring to the two specific provisions of the Act. For reasons I explain below, I disregard this allegation for the purposes of this motion.

[59] Finally, I will review the content of the Expert's Report, consider its admissibility (using the alleged contraventions as a guide), and consider whether any part of the Expert's Report could be made relevant by anything not specifically set out in the Statement of Allegations (e.g., a respondent's summary of anticipated evidence, served on Staff by the respondent as required).

(a) Facts alleged

[60] The Statement of Allegations contains detailed factual allegations. The following three allegations are sufficient to define the context for this motion:

- a. that the Offering Memorandum represented to investors that the proceeds of the relevant offering "would be used to invest in subsidiaries to acquire, develop, and operate solar energy power installations";¹²
- b. that the proceeds were used, however, "for purposes other than those represented to investors" in the Offering Memorandum;¹³ and

⁹ 2015 ONSEC 32, (2015) 38 OSCB 8057 at paras 47-48

¹⁰ RSO 1990, c S.5

¹¹ *Paramount (Re)*, 2020 ONSEC 12, (2020) 43 OSCB 4475 at para 5, citing *R v Mohan*, [1994] 2 SCR 9 at paras 17, 26

¹² Statement of Allegations at para 6

¹³ Statement of Allegations at para 7

c. that the Offering Memorandum stated that the business and purpose of the Fund was “to invest in Subsidiaries [a term defined in the Offering Memorandum] which will in turn invest in the acquisition, development, financing and operation of solar energy powered installations... and other ancillary or incidental business activities...”.¹⁴

[61] I note at this point that the above allegations are largely objectively determinable. They do not involve more subjective concepts such as “reasonable” or “low-risk”.

(b) Misconduct alleged

[62] Staff alleges contraventions of two provisions of the Act, and alleges “conduct contrary to the public interest”.

i. Subsection 44(2) of the Act – false or misleading statements

[63] The first alleged contravention is of s. 44(2) of the Act, which prohibits the making of any statement that “a reasonable investor would consider relevant in deciding whether to enter into or maintain a trading... relationship” with the person or company who makes the statement, if the statement “is untrue or omits information necessary to prevent the statement from being false or misleading in the circumstances in which it is made”.

[64] I note, but disregard for the purposes of this motion, the respondents’ assertion that s. 44(2) of the Act does not apply in this case because the respondents did not enter into a trading relationship with any investors. That is an issue to be determined at the merits hearing. For present purposes, the allegation as made determines relevance.

[65] Staff submits that the Expert’s Report relates to the question of whether a reasonable investor would consider certain loans to be relevant when deciding whether to enter into or maintain a trading relationship with the respondents. Staff submits that the Commission must have the benefit of the Expert’s Report in order to “understand what a reasonable solar industry investor would consider relevant when investing in” the Fund.¹⁵

[66] In its submissions, Staff refers not only to statements made in the Offering Memorandum (which is explicitly referred to in the Statement of Allegations), but also to the newsletter (referred to in paragraph [11] above) sent to investors by the corporate respondent, which says that certain subject loans were on “commercially reasonable terms”. Staff submits that the words “commercially reasonable” make the Expert’s Report relevant. However, as the respondents correctly point out, the statements that the Statement of Allegations cites in support of the alleged contravention of s. 44(2) of the Act do not include the newsletter.

[67] Staff also submits, based on Kadonoff’s Evidence Summary, that the respondents have given notice that they may assert a defence of having obtained legal advice. If that defence is available for an alleged breach of s. 44(2) of the Act (which is not conceded by Staff), Staff submits that the Expert’s Report is relevant to determining whether the advice was reasonable and credible under the circumstances. The respondents did not address that argument in their submissions. As will be evident from my reasons below, it is unnecessary for me to resolve this specific issue. I decline to do so.

ii. Clause 126.1(1)(b) of the Act – fraud

[68] The second alleged contravention is of s. 126.1(1)(b) of the Act, which prohibits any act, practice or course of conduct relating to securities, where the person or company engaging in the act, practice or course of conduct knows or reasonably ought to know that doing so would perpetrate a fraud.

[69] Staff alleges that the respondents contravened this provision by using the raised funds in a way that was contrary to the purpose and the objectives of the Fund as set out in the Offering Memorandum. In particular, Staff alleges that the respondents caused the Fund to transfer money to a second fund to pay distributions to investors in that second fund, and in other ways, all contrary to statements made in the Offering Memorandum. Staff alleges that by doing so, the respondents exposed investors to risks not disclosed to them, and in some cases caused actual losses to investors.

¹⁴ Statement of Allegations at para 17

¹⁵ Staff’s written submissions at para 50

iii. Conduct contrary to the public interest

[70] As noted above, the Statement of Allegations also includes an allegation that the respondents engaged in conduct “contrary to the public interest”. The only relevant portions of the Statement of Allegations are paragraphs 11 and 64, which I reproduce in their entirety:

11. In addition, the Respondents acted contrary to the public interest.

[...]

64. All of the Respondents have also acted contrary to the public interest.

[71] These bald allegations, without any particulars, are a classic example of an all-too-common practice by Staff. Unfortunately, that practice has been tacitly condoned by this tribunal in too many of its decisions.

[72] It is tempting to let this point pass by yet again, for efficiency’s sake. However, on this motion, Staff has expressly relied on its allegations of “conduct contrary to the public interest” in support of its position that the Expert’s Report is relevant. I will therefore deal with the point now.

[73] The phrase “contrary to the public interest” is found nowhere in the Act.

[74] It is a trope that finds its roots in the opening words of s. 127 of the Act (“The Commission may make... orders if in its opinion it is in the public interest to make the... orders”) and that evokes the few instances in which the Commission has found it to be in the public interest to issue an order under s. 127, even without having found a contravention of Ontario securities law.

[75] Those decisions, which include *Canadian Tire Corporation, Limited (Re)*¹⁶ and its progeny, need not be reviewed here. It is sufficient for present purposes to say that in cases where the Commission has decided that it is in the public interest to make an order under s. 127 even absent a contravention of Ontario securities law, the Commission took pains to explain why such an exception was appropriate in the circumstances.

[76] The Statement of Allegations in this case offers no assistance as to why an order under s. 127 might be justified against the respondents even if no contraventions of Ontario securities law are found at the merits hearing. These allegations are nothing but clutter in the Statement of Allegations, and I disregard them for the purposes of this motion.

(c) Comparison of the allegations to the Expert’s Report

[77] With the two specific alleged contraventions of the Act in mind, I turn to the four questions that were asked of Staff’s proposed expert. I deal with them in two groups: (i) the first three questions, which invoke prevailing solar power industry norms, and (ii) the fourth question, which addresses the reasonable expectations of investors in the solar energy industry.

i. Questions that invoke solar power industry norms

[78] The first three questions asked of Staff’s proposed expert may be paraphrased as follows:

- a. Did the terms of a specified debenture (by which the Fund made a loan) and a specified acquisition (by which the Fund purchased shares of a related entity) meet or depart from prevailing solar power industry norms, and specifically, did the transactions involve commercially reasonable levels of risk?
- b. Did loans by the Fund to a related fund meet or depart from prevailing solar power industry norms, and specifically, did they involve commercially reasonable levels of risk?
- c. Did certain other specified loans from the Fund meet or depart from prevailing solar power industry norms, and specifically, did they involve commercially reasonable levels of risk?

[79] Staff submits that the Expert’s Report will assist Staff in “rebutting any inference in the Respondents’ evidence or argument that these transactions were commercially typical or reasonable.”¹⁷

¹⁶ (1987) 10 OSCB 857

¹⁷ Staff’s written submissions at para 49

- [80] The respondents submit, and I agree, that there is nothing in the Statement of Allegations that explicitly invokes solar power industry norms, or that connects to the question of how typical or reasonable the impugned transactions were. The allegations say that the funds were deployed to destinations different from those promised to investors. There is no allegation that the funds were deployed in violation of subjective criteria, e.g., level of risk, or commercial reasonableness. The alleged contraventions are about the entities to which the funds flowed, not why the funds flowed to those entities.
- [81] As discussed above, however, it is appropriate on a motion at this stage to go beyond the Statement of Allegations itself and consider documents that are referred to, directly or indirectly, in the Statement of Allegations. In its submissions, Staff cites both the Offering Memorandum and the newsletter, but as I have explained above, there is nothing in the Statement of Allegations that would bring the newsletter within the scope of this proceeding.
- [82] As for the Offering Memorandum (which is included in the material filed on this motion), section 1.3, titled "Reallocation", says (in full): "We intend to spend the available funds as stated. We will reallocate funds only for sound business reasons."
- [83] Staff submits, and I agree, that the words "sound business reasons" in the Offering Memorandum might enable a respondent to argue at the merits hearing that all of the impugned transactions met that standard. In light of this possibility, Staff had good reason to retain an expert to provide opinions about the soundness of the transactions.
- [84] Because of those words in the Offering Memorandum, I would have ruled that the three opinions that invoke solar power industry norms were admissible at the merits hearing. However, the respondents' written submissions on this motion prompted a different decision.
- [85] In their submissions, the respondents state that they "have no intention to lead or elicit evidence that would render [the] first three opinions relevant". In other words, the respondents waived their right to lead or elicit evidence designed to support a submission that they reallocated funds for sound business reasons.
- [86] That waiver might have resolved the question of the admissibility of the first three opinions, except that I was uncertain about the precise extent of the respondents' commitment. I could imagine the respondents choosing not to lead or elicit evidence that would make the opinions relevant, but still making a submission at the merits hearing that might make the opinions relevant. If they were to do so, even inadvertently, it would be unfair to Staff for me to exclude the Expert's Report at this stage.
- [87] After reviewing the parties' written submissions, I decided that if the respondents wished to extend their commitment beyond evidence to include submissions (*i.e.*, to waive their right to argue, based on whatever evidence was properly admitted at the merits hearing, that any reallocation of funds was done for sound business reasons), the first three opinions in the Expert's Report would be inadmissible on that basis. If the respondents were not willing to extend their commitment, the opinions would be admissible.
- [88] Because of my uncertainty, I convened a teleconference hearing, in which I explained my decision and identified the uncertainty. Soon after that teleconference hearing, the respondents confirmed in writing that they will make no submission at the merits hearing that would make the three opinions relevant.
- [89] That commitment fully resolves the question. The three opinions, which would have otherwise been relevant, have been made irrelevant by the respondents' waiver. Staff therefore need not, and may not, adduce the three opinions at the merits hearing.

ii. Question regarding the reasonable expectations of investors in the solar energy industry

- [90] The fourth question asked of Staff's proposed expert may be paraphrased as follows: Could the loans made by the Fund have been reasonably understood by a solar energy investor to be investments in the acquisition, development, financing and operation of solar energy powered installations as described in the Offering Memorandum?
- [91] The respondents do not dispute that the expert's answer to that question is relevant.

(d) Conclusion as to relevance

- [92] For the foregoing reasons, all four of the opinions given by the expert would be relevant, but for the respondents' waiver with respect to the first three.

2. Is this witness qualified to give opinion evidence re issues that are properly before the tribunal?

- [93] I turn now to the second of the three questions regarding admissibility. That is, is Staff's proposed expert qualified to give the opinions contained in the Expert's Report?
- [94] While this question is moot in light of my decision, I did consider it, especially given my uncertainty about the extent of the respondents' commitment about relevance.

[95] The respondents neither admitted nor acknowledged the proposed expert's qualifications, but they did not dispute those qualifications or argue that the proposed expert was unqualified. Based on the background and qualifications of the proposed expert, as set out in the Expert's Report, I had no difficulty concluding that he would be qualified to give the opinions contained in the report.

3. Necessity

[96] The last of the three questions regarding admissibility asks whether the tribunal requires the assistance of the expert to determine the issues addressed by the expert's proposed evidence.

[97] I need not consider this question with respect to the first three opinions in the Expert's Report, for the reasons set out above. I must consider it only with respect to the fourth opinion, which answers the question referred to in paragraph [90] above; namely, "Could the loans made by the Fund have been reasonably understood by a solar energy investor to be investments in the acquisition, development, financing and operation of solar energy powered installations as described in the Offering Memorandum?"

[98] Staff submits that this opinion is necessary so that the Commission can understand how the word "financing" is typically understood by participants in the solar energy market.

[99] I disagree. How a reasonable investor would read the word "financing" in an offering memorandum, and how a reasonable investor would assess whether certain transactions conformed to that language, are questions that are squarely within the expertise of the Commission. I reject Staff's suggestion, unsupported by any authority, that the Commission should admit expert industry-specific opinion evidence when considering the perspective of a reasonable investor.

[100] The fourth opinion is, therefore, inadmissible at the merits hearing.

IV. CONCLUSION

[101] The first three opinions in the Expert's Report would have been admissible at the merits hearing, absent the respondents' commitment not to lead or elicit evidence, or to make any submission, that would make those opinions relevant.

[102] The fourth opinion in the Expert's Report is relevant, but is not needed, and is therefore inadmissible.

[103] As a result, the Expert's Report is inadmissible at the merits hearing.

Dated at Toronto this 18th day of January, 2021.

"Timothy Moseley"

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
Canafarma Hemp Products Corp.	January 12, 2021	
Edgewater Wireless Systems Inc.	October 15, 2020	January 14, 2021

4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders

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

4.2.2 Outstanding Management & Insider Cease Trading Orders

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

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

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Chapter 7

Insider Reporting

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

Guide to Codes

Relationship of Insider to Issuer (Rel'n)

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

Nature of Transaction (T/O)

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

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

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Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
1933 Industries Inc	Options	Skeith, Donald Richard	3, 4	2021-01-04	52	0.15	850,000	-400,000
1933 Industries Inc	Options	Skeith, Donald Richard	3, 4	2021-01-04	52	0.55	550,000	-300,000
1933 Industries Inc	Options	Skeith, Donald Richard	3, 4	2021-01-04	52	0.35	300,000	-250,000
1933 Industries Inc	Options	Taoussanopoulos, Theodore	4	2021-01-04	52	0.35		250,000
1933 Industries Inc	Options	Taoussanopoulos, Theodore	4	2021-01-04	52	0.35	1,250,000	-250,000
1933 Industries Inc	Options	Taoussanopoulos, Theodore	4	2021-01-04	51	0.35	750,000	-500,000
48North Cannabis Corp.	Rights Restricted Share Units	Gervais, James Cyrille	4	2020-01-17	57			-100,000
48North Cannabis Corp.	Rights Restricted Share Units	Gervais, James Cyrille	4	2020-01-17	57		100,000	-100,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2021-01-08	38		3,000	-6,900
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2021-01-12	38		0	-3,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2021-01-13	38	3.225	4,000	4,000
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2021-01-15	38	3.2803	10,917	6,917
Ackroo Inc.	Common Shares	Cole, Samuel	4	2021-01-08	51		125,000	100,000
Ackroo Inc.	Options	Cole, Samuel	4	2021-01-08	51		375,000	-100,000
Ackroo Inc.	Options	Cole, Samuel	4	2021-01-08	52		225,000	-150,000
Ackroo Inc.	Common Shares	Levely, Stephen Alexander	5	2021-01-08	51	0.15	4,281,000	400,000
Ackroo Inc.	Options	Levely, Stephen Alexander	5	2020-04-12	52		2,350,000	-400,000
Ackroo Inc.	Options	Levely, Stephen Alexander	5	2021-01-08	51	0.15	1,950,000	-400,000
Ackroo Inc.	Options	Levely, Stephen Alexander	5	2021-01-11	52		450,000	-1,500,000
Ackroo Inc.	Common Shares	Ronka, Kristaps	4	2021-01-08	51	0.11	341,000	100,000
Ackroo Inc.	Options	Ronka, Kristaps	4	2021-01-08	51	0.11	250,000	-100,000
Ackroo Inc.	Common Shares	SCHAAF, DEREK	5	2021-01-08	51	0.15	775,000	400,000
Ackroo Inc.	Options	SCHAAF, DEREK	5	2021-01-08	51	0.15		400,000
Ackroo Inc.	Options	SCHAAF, DEREK	5	2021-01-08	51	0.15	150,000	-400,000
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Bayne, Katherine Pamela	4	2021-01-11	00			
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Bayne, Katherine Pamela	4	2021-01-11	56		91,464	91,464
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Bayne, Katherine Pamela	4	2021-01-11	00			
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Right Restricted Share Units (RSU)	Bayne, Katherine Pamela	4	2021-01-11	56		16,448	16,448
Adventus Mining Corporation	Common Shares	Altius Minerals Corporation	3	2021-01-12	10	1.1171	15,984,738	378,811
Aether Catalyst Solutions, Inc.	Options	Lew, Franklin Derek	4, 6, 5	2019-04-01	00			
Aether Catalyst Solutions, Inc.	Options	Lew, Franklin Derek	4, 6, 5	2021-01-05	50	0.1		150,000
Aether Catalyst Solutions, Inc.	Options	Lew, Franklin Derek	4, 6, 5	2021-01-05	50	0.1	150,000	150,000
Ag Growth International Inc.	Rights Deferred Compensation Plan	MASLECHKO, WILLIAM STEPHEN	4	2021-01-07	56		38,492	1,556
Agnico Eagle Mines Limited	Common Shares	Al-Joundi, Ammar	5	2020-12-31	30	91.52	137,883	341
Agnico Eagle Mines Limited	Common Shares	Al-Joundi, Ammar	5	2021-01-12	10	88.41	117,883	-20,000
Agnico Eagle Mines Limited	Common Shares	Boyd, Sean	4, 5	2021-01-11	10	89.74	123,455	-90,000
Agnico Eagle Mines Limited	Common Shares	Girard, Dominique	5	2020-12-31	30	91.52	8,037	142

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Agnico Eagle Mines Limited	Common Shares	Gosselin, Guy	5	2020-12-31	30	91.52	19,464	152
Agnico Eagle Mines Limited	Common Shares	Legault, Marc	5	2020-12-31	30	91.52	77,349	179
Agnico Eagle Mines Limited	Common Shares	Plummer-Therault, Carol-Ann	5	2020-12-31	30	91.52	24,627	129
Agnico Eagle Mines Limited	Common Shares	Robitaille, Jean	5	2020-12-31	30	91.52	54,139	208
Agnico Eagle Mines Limited	Common Shares	Smith, David	5	2020-12-31	30	91.52	36,357	255
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-12-31	30	91.52	3,721	99
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2021-01-15	97		15,100,333	-1,900
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-11	30	0.335	34,000	34,000
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-11	38	0.335	0	-34,000
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-12	30	0.335	50,000	50,000
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-12	38	0.335	0	-50,000
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-13	30	0.335	13,500	13,500
AirIQ Inc.	Common Shares	AIRIQ INC.	1	2021-01-13	38	0.335	0	-13,500
Akumin Inc.	Common Shares	Cameron, Matthew	5	2021-01-07	30		278	17
Akumin Inc.	Common Shares	Fernandes, Leigh Anne	7	2021-01-07	30		381	20
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2021-01-07	30		375	4
Akumin Inc.	Common Shares	Luckey, Michael	5	2021-01-07	30		986	14
Akumin Inc.	Common Shares	Meredith, Michael	5	2021-01-07	30		377	12
Akumin Inc.	Common Shares	Richardson, Jason	5	2021-01-07	30		1,079	14
Alamos Gold Inc.	Common Shares Class A	Barwell, Christine	5	2021-01-11	30	11.1	31,472	323
Alamos Gold Inc.	Common Shares Class A	Bostwick, Christopher John	5	2021-01-11	30	11.1	56,698	423
Alamos Gold Inc.	Common Shares Class A	Chavez - Martinez, Mario Luis	5	2021-01-11	30	8.68	74,950	438
Alamos Gold Inc.	Common Shares Class A	Engelstad, Nils Frederik Jonas	8	2021-01-11	30	11.1	21,546	409
Alamos Gold Inc.	Common Shares Class A	Fisher, Gregory S.	5	2021-01-11	30	11.1	25,851	219
Alamos Gold Inc.	Common Shares Class A	MacPhail, Peter	5	2021-01-11	30	11.1	131,594	597
Alamos Gold Inc.	Common Shares Class A	McCluskey, John	4, 5	2021-01-11	30	11.1	671,253	985
Alamos Gold Inc.	Common Shares Class A	Parsons, Scott Kyle	5	2021-01-11	30	11.1	42,923	318
Alamos Gold Inc.	Common Shares Class A	Parsons, Scott Russell Gordon	5	2021-01-11	30	11.1	790	106
Alamos Gold Inc.	Common Shares Class A	PAULSE, ADRIAN	5	2021-01-11	30	11.1	16,079	238
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2021-01-11	30	11.1	110,563	599
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2021-01-15	30		50,026	432
Alamos Gold Inc.	Common Shares Class A	Webster, Colin	5	2021-01-11	30	11.1	16,589	239
Algoma Central Corporation	Common Shares	Hutcheson, Edward McVicar Blake	4	2020-12-31	30	10.71	6,721	1,222
Algoma Central Corporation	Common Shares	Winkley, Peter D.	5	2020-12-31	30	10.8	112,384	1,467
Algonquin Power & Utilities Corp.	Deferred Share Units	Ball, Christopher James	4	2021-01-15	30	21.495	76,974	716
Algonquin Power & Utilities Corp.	Deferred Share Units	Barnes, Melissa Stapleton	4	2021-01-15	30	21.495	37,450	348
Algonquin Power & Utilities Corp.	Deferred Share Units	Huskilson, Christopher	4	2021-01-15	30	21.495	7,524	70
Algonquin Power & Utilities Corp.	Deferred Share Units	Laney, Randy David	4	2021-01-15	30	21.495	29,693	276
Algonquin Power & Utilities Corp.	Deferred Share Units	Moore, Kenneth	4	2021-01-15	30	21.495	213,515	1,987

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Algonquin Power & Utilities Corp.	Deferred Share Units	Saidi, Masheed Hegi	4	2021-01-15	30	20.495	47,762	445
Algonquin Power & Utilities Corp.	Deferred Share Units	Samil, Dilek	4	2021-01-15	30	20.495	48,679	453
Algonquin Power & Utilities Corp.	Deferred Share Units	Steeves, George Lester	4	2021-01-15	30	20.496	88,010	819
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-08	10	0.19	13,800,000	75,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-13	10	0.175	13,850,000	50,000
Alimentation Couche-Tard Inc.	Deferred Share Units	Warner, Louise Renee	5	2021-01-11	00			
Alimentation Couche-Tard Inc.	Deferred Share Units	Warner, Louise Renee	5	2021-01-11	56	43.19	2,732	2,732
Alimentation Couche-Tard Inc.	Options	Warner, Louise Renee	5	2021-01-11	00			
Alimentation Couche-Tard Inc.	Options	Warner, Louise Renee	5	2021-01-11	50	43.19	2,308	2,308
Alimentation Couche-Tard Inc.	Performance Share Units	Warner, Louise Renee	5	2021-01-11	00			
Alimentation Couche-Tard Inc.	Performance Share Units	Warner, Louise Renee	5	2021-01-11	56	43.19	5,074	5,074
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2021-01-13	10	0.282	6,774,300	100,000
Alpha Lithium Corporation	Common Shares	Cooper, Christopher	4	2018-04-03	00			
Alpha Lithium Corporation	Common Shares	Cooper, Christopher	4	2021-01-14	11	0.42	200,000	200,000
Alpha Lithium Corporation	Common Shares	Cooper, Christopher	4	2021-01-14	10	0.975	112,000	-88,000
Alpha Lithium Corporation	Common Shares	Cooper, Christopher	4	2021-01-15	10	1.0324	25,000	-87,000
Alpha Lithium Corporation	Options	Cooper, Christopher	4	2018-04-03	00			
Alpha Lithium Corporation	Options	Cooper, Christopher	4	2020-03-11	50	0.42	200,000	200,000
Alpha Lithium Corporation	Options	Cooper, Christopher	4	2020-11-12	50	0.59	450,000	250,000
Alpha Lithium Corporation	Options	Cooper, Christopher	4	2021-01-14	51	0.42	250,000	-200,000
Alvopetro Energy Ltd.	Common Shares	Hatzinikolas, Andrea	5	2021-01-14	51	0.29	615,544	36,164
Alvopetro Energy Ltd.	Options	Hatzinikolas, Andrea	5	2021-01-14	51	0.29	127,250	-60,000
American Aires Inc.	Common Shares	NAMER, YAN JACOB	6	2019-11-01	00			
American Aires Inc.	Common Shares	NAMER, YAN JACOB	6	2021-01-11	11	0.21	285,714	285,714
American Manganese Inc.	Common Shares	Ali, Shaheem	5	2021-01-14	11	0.05	538,000	150,000
American Manganese Inc.	Options	Ali, Shaheem	5	2021-01-14	51	0.05	530,000	-150,000
American Manganese Inc.	Common Shares	Reaugh, Larry	4	2021-01-14	11	0.05	4,376,407	800,000
American Manganese Inc.	Options	Reaugh, Larry	4	2021-01-14	51	0.05	2,700,000	-800,000
Anaconda Mining Inc.	Common Shares	Lawrick, Victor Lewis	4	2021-01-08	54	0.45	2,023,995	250,000
Anaconda Mining Inc.	Common Shares	Lawrick, Victor Lewis	4	2021-01-11	10	0.5943	1,973,995	-50,000
Anaconda Mining Inc.	Warrants	Lawrick, Victor Lewis	4	2021-01-08	54	0.45	392,308	-250,000
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	BERTI, GREGORY JOHN	5	2021-01-11	10	10.31	99,133	299
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	COLE, JAMES HERBERT	5	2021-01-11	10	10.31	36,883	150

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Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	HAWTHORNE, JOHN GAVIN	5	2021-01-11	10	10.31	3,395	15
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	MCDONALD, CRAIG DAVID	5	2021-01-11	10	10.31	24,114	63
Andrew Peller Limited (formerly Andrés Wines Ltd.)	Non-Voting Shares Class A	WALL, BRENDAN PATRICK	5	2021-01-11	10	10.31	59,491	309
Angold Resources Ltd.	Common Shares	Rothwell, Adrian	5	2021-01-13	10	0.46	3,061,000	1,000
Angold Resources Ltd.	Common Shares	Rothwell, Adrian	5	2021-01-13	10	0.465		7,000
Angold Resources Ltd.	Common Shares	Rothwell, Adrian	5	2021-01-13	10	0.46	3,068,000	7,000
Angold Resources Ltd.	Common Shares	Rothwell, Adrian	5	2021-01-13	10	0.47		2,000
Angold Resources Ltd.	Common Shares	Rothwell, Adrian	5	2021-01-13	10	0.46	3,070,000	2,000
Antibe Therapeutics Inc.	Restricted Share Units	Batal, Rami	5	2021-01-11	56		97,000	64,500
Antibe Therapeutics Inc.	Restricted Share Units	Curtis, Scott Wilson	5	2021-01-11	56		215,700	102,700
Antibe Therapeutics Inc.	Restricted Share Units	Flower, Roderick John	4	2021-01-11	56		62,667	40,000
Antibe Therapeutics Inc.	Restricted Share Units	Hoffman, Robert	4	2020-11-24	00			
Antibe Therapeutics Inc.	Restricted Share Units	Hoffman, Robert	4	2021-01-11	56		35,000	35,000
Antibe Therapeutics Inc.	Restricted Share Units	Khouri, Amal	4	2021-01-11	56		92,000	40,000
Antibe Therapeutics Inc.	Restricted Share Units	Legault, Daniel Marcel	4, 6, 5	2021-01-11	56		1,192,200	513,200
Antibe Therapeutics Inc.	Restricted Share Units	Macnee, Walter Minnes	4	2021-01-11	56		62,667	40,000
Antibe Therapeutics Inc.	Restricted Share Units	McNealey, Jennifer	4	2020-11-24	00			
Antibe Therapeutics Inc.	Restricted Share Units	McNealey, Jennifer	4	2021-01-11	56		35,000	35,000
Antibe Therapeutics Inc.	Restricted Share Units	Stauffer, Joseph	5	2021-01-11	56		120,000	70,000
Antibe Therapeutics Inc.	Restricted Share Units	Vaughan, David James	5	2021-01-11	56		197,700	102,700
Antibe Therapeutics Inc.	Restricted Share Units	Wallace, John Lawrence	4, 6, 5	2021-01-11	56		1,089,200	484,200
Antibe Therapeutics Inc.	Restricted Share Units	Wilson, Alain	5	2015-12-01	00			
Antibe Therapeutics Inc.	Restricted Share Units	Wilson, Alain	5	2021-01-11	56		124,700	124,700
Antibe Therapeutics Inc.	Restricted Share Units	Wu, Yung Cheng	4	2021-01-11	56		62,667	40,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.41	2,010,700	-2,300
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.4115	2,009,400	-1,300
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.43	2,009,300	-100
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.42	2,006,400	-2,900
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.44	2,005,200	-1,200
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.46	2,004,000	-1,200
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.401	2,003,000	-1,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.4	1,996,800	-6,200
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.48	1,994,800	-2,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-18	10	5.45	1,991,800	-3,000
Apollo Healthcare Corp.	Class B Shares	LiVolsi, Carlo	4	2020-12-23	10	5.4	1,988,400	-3,400
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2021-01-13	10	1.1094	5,967,301	1,800

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Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2021-01-14	10	1.0988	5,970,601	3,300
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2021-01-15	10	1.1158	5,997,701	27,100
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Ahrabi, Farhad	4	2020-12-31	30		49,985	803
ARC Resources Ltd.	Common Shares	Anderson, Terry Michael	5	2020-12-31	30		184,621	1,589
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Anderson, Terry Michael	5	2020-12-31	30		732,673	13,464
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Anderson, Terry Michael	5	2020-12-31	30		96,348	1,879
ARC Resources Ltd.	Common Shares	Baldwin, Christopher David	5	2020-12-31	30		39,912	376
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Baldwin, Christopher David	5	2020-12-31	30		111,908	2,188
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Baldwin, Christopher David	5	2020-12-31	30		25,571	489
ARC Resources Ltd.	Common Shares	Berrett, Ryan Victor	5	2020-12-31	30		45,950	453
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Berrett, Ryan Victor	5	2020-12-31	30		112,839	2,179
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Berrett, Ryan Victor	5	2020-12-31	30		26,964	516
ARC Resources Ltd.	Common Shares	Bibby, Kristen Jon	5	2020-12-31	30		63,660	526
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Bibby, Kristen Jon	5	2020-12-31	30		230,085	4,222
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Bibby, Kristen Jon	5	2020-12-31	30		54,465	987
ARC Resources Ltd.	Common Shares	Calder, Sean Ross Allen	5	2020-12-31	30		48,356	477
ARC Resources Ltd.	Common Shares	Calder, Sean Ross Allen	5	2020-12-31	30		7,983	161
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Calder, Sean Ross Allen	5	2020-12-31	30		130,493	2,546
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Calder, Sean Ross Allen	5	2020-12-31	30		30,697	589
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Collyer, David Ralph	4	2020-12-31	30		73,736	1,450
ARC Resources Ltd.	Common Shares	Conrad, Larissa Marianne	5	2020-12-31	30		64,342	635
ARC Resources Ltd.	Common Shares	Conrad, Larissa Marianne	5	2020-12-31	30		13,950	281
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Conrad, Larissa Marianne	5	2020-12-31	30		174,607	3,340
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Conrad, Larissa Marianne	5	2020-12-31	30		40,154	751
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Dielwart, John Patrick	4	2020-12-31	30		142,487	2,993
ARC Resources Ltd.	Common Shares	Jahangiri, Armin	5	2020-12-31	30		47,409	398
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Jahangiri, Armin	5	2020-12-31	30		162,349	3,015
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Jahangiri, Armin	5	2020-12-31	30		38,566	713
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Kvisle, Harold N.	4	2020-12-31	30			6,022
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Kvisle, Harold N.	4	2020-12-31	30		295,198	6,022
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	O'Neill, Kathleen M.	4	2020-12-31	30		162,545	3,364
ARC Resources Ltd.	Common Shares	Olsen, Lisa Ann	5	2020-12-31	30		41,886	396
ARC Resources Ltd.	Performance Share Units (PSU) (Cash based only)	Olsen, Lisa Ann	5	2020-12-31	30		121,150	2,352
ARC Resources Ltd.	Restricted Share Units (RSU) (Cash based only)	Olsen, Lisa Ann	5	2020-12-31	30		28,363	542
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Pinder, Herbert	4	2020-12-31	30		201,869	4,190

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ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Sembo, William, George	4	2020-12-31	30		106,425	2,148
ARC Resources Ltd.	Deferred Share Units (DSU) (Cash based only)	Smith, Nancy Lynn	4	2020-12-31	30		113,028	2,332
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	Kim, Sang Goo	4	2020-01-24	53	0.1		50,000
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Common Shares	Kim, Sang Goo	4	2020-01-24	53	0.1		50,000
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Options	Kim, Sang Goo	4	2021-01-12	50		425,000	425,000
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Warrants	Kim, Sang Goo	4	2015-06-29	00			
ArcPacific Resources Corp. (Formerly Plate Resources Inc.)	Warrants	Kim, Sang Goo	4	2020-01-24	53		50,000	50,000
ArcWest Exploration Inc.	Options	Barresi, Tony	4	2021-01-13	50		325,000	75,000
ArcWest Exploration Inc.	Options	Boddy, Christina Lynn	5	2019-04-18	00			
ArcWest Exploration Inc.	Options	Boddy, Christina Lynn	5	2021-01-13	50		75,000	75,000
ArcWest Exploration Inc.	Options	Kyba, Jeff	5	2021-01-13	50		975,000	225,000
ArcWest Exploration Inc.	Options	Luckman, Nigel Bruce	5	2021-01-13	50		975,000	225,000
ArcWest Exploration Inc.	Options	Meekison, William John	4, 5	2021-01-13	50		1,025,000	225,000
ArcWest Exploration Inc.	Options	Millrock Resources Inc.	3	2017-08-24	00			
ArcWest Exploration Inc.	Options	Millrock Resources Inc.	3	2021-01-15	50	0.105	250,000	250,000
Arizona Gold Corp. (formerly Kerr Mines Inc.)	Options	Found, Dale Andrew	5	2021-01-04	00			
Arizona Gold Corp. (formerly Kerr Mines Inc.)	Options	Found, Dale Andrew	5	2021-01-11	50		500,000	500,000
Armada Mercantile Ltd.	Common Shares	Cole, Patrick	5	2021-01-11	10	0.15	6,115,901	2,000
Artemis Gold Inc.	Common Shares	Langford, Jeremy	5	2021-01-06	00		38,000	
Artemis Gold Inc.	Options	Langford, Jeremy	5	2021-01-06	00			
Artemis Gold Inc.	Options	Langford, Jeremy	5	2021-01-06	50	6.44	350,000	350,000
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-01-15	38	19.663	5,200	1,900
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-01-15	38	18.665	4,948	3,324
Artis Real Estate Investment Trust	Deferred Units	Irwin, Heather-Ann	4	2020-11-30	00			
Artis Real Estate Investment Trust	Deferred Units	Irwin, Heather-Ann	4	2021-01-04	56	10.66		811
Artis Real Estate Investment Trust	Deferred Units	Irwin, Heather-Ann	4	2021-01-04	56	10.66	999	999
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-01-11	10	10.57	744,200	25,000
Artis Real Estate Investment Trust	Units	Manji, Salim	6	2021-01-12	10	10.538	746,300	2,100
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-01-11	10	10.57	744,200	25,000
Artis Real Estate Investment Trust	Units	Manji, Samir Aziz	4, 6, 5	2021-01-12	10	10.538	746,300	2,100

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Artis Real Estate Investment Trust	Restricted Units	Martens, Philip	5	2021-01-11	59	10.52	14,000	-1,809
Artis Real Estate Investment Trust	Restricted Units	Martens, Philip	5	2021-01-15	56	10.58	14,062	62
Artis Real Estate Investment Trust	Restricted Units	Riley, Kimberly	5	2021-01-12	57	10.54	12,256	-1,085
Artis Real Estate Investment Trust	Restricted Units	Riley, Kimberly	5	2021-01-15	56	10.58	12,309	53
Artis Real Estate Investment Trust	Units	Riley, Kimberly	5	2019-06-12	00			
Artis Real Estate Investment Trust	Units	Riley, Kimberly	5	2019-06-12	00		2,017	
Artis Real Estate Investment Trust	Units	Riley, Kimberly	5	2020-12-31	30	8.68	4,008	9
Artis Real Estate Investment Trust	Units	Riley, Kimberly	5	2021-01-12	57	10.54	5,093	1,085
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2021-01-04	56	10.66		5,175
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2021-01-04	56	10.66	17,454	5,362
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2021-01-15	56	10.58	17,507	53
Artis Real Estate Investment Trust	Deferred Units	Shaikh, Mazhar H. (Mike)	4	2020-11-30	00			
Artis Real Estate Investment Trust	Deferred Units	Shaikh, Mazhar H. (Mike)	4	2021-01-04	56	10.66		950
Artis Real Estate Investment Trust	Deferred Units	Shaikh, Mazhar H. (Mike)	4	2021-01-04	56	10.66	1,137	1,137
Artis Real Estate Investment Trust	Restricted Units	Sherlock, Stephen Francis Patrick	5	2021-01-15	56	10.58	14,062	62
Artis Real Estate Investment Trust	Deferred Units	Tammer, Aida Evelyn	4	2020-11-30	00			
Artis Real Estate Investment Trust	Deferred Units	Tammer, Aida Evelyn	4	2021-01-04	56	10.66		475
Artis Real Estate Investment Trust	Deferred Units	Tammer, Aida Evelyn	4	2021-01-04	56	10.66	568	568
Artis Real Estate Investment Trust	Deferred Units	Wigmore, Elisabeth Shirley	4	2020-11-30	00			
Artis Real Estate Investment Trust	Deferred Units	Wigmore, Elisabeth Shirley	4	2021-01-04	56	10.66		1,121
Artis Real Estate Investment Trust	Deferred Units	Wigmore, Elisabeth Shirley	4	2021-01-04	56	10.66	1,309	1,309
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-01-04	56	10.66		3,596
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-01-04	56	10.66		3,784
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-01-04	56	10.66	38,161	3,961
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-01-15	56	10.58	38,311	150
ATCO LTD.	Non-Voting Shares Class I	DeChamplain, Dennis A	7	2020-12-15	38			-30,000
ATCO LTD.	Non-Voting Shares Class I	DeChamplain, Dennis A	7	2020-12-15	38		0	-32,000
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2020-12-31	30	41.41	1,587	592
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2020-12-31	30	39.35	1,626	39
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2021-01-06	30	36.32	1,656	30
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2021-01-06	30	36.49	1,678	22

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ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2021-01-06	10	36.27	637	-1,041
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2021-01-06	30		579	-58
ATCO LTD.	Non-Voting Shares Class I	Jackson, Colin	7	2021-01-06	10	36.27	126	-453
ATS Automation Tooling Systems Inc.	Common Shares	Sielemann, Heinrich	5	2021-01-11	00		400	
Aurion Resources Ltd.	Common Shares	Loveys, David	5	2021-01-06	51	0.1	205,454	200,000
Aurion Resources Ltd.	Options	Loveys, David	5	2021-01-06	51		125,000	-200,000
Ayr Strategies Inc. (formerly, Cannabis Strategies Acquisition Corp.)	Restricted Exchangeable Shares	Sandelman, Jonathan	4, 5	2021-01-04	50		1,894,250	1,044,000
Aztec Minerals Corp.	Common Shares	Cooke, Bradford	4	2021-01-08	10	0.49	3,803,083	-110,000
Aztec Minerals Corp.	Common Shares	Cooke, Bradford	4	2021-01-08	10	0.52	3,738,583	-64,500
BacTech Environmental Corporation	Common Shares	Orr, Murray Ross	7	2021-01-11	10	0.02	6,183,827	10,000
BacTech Environmental Corporation	Common Shares	Orr, Murray Ross	7	2021-01-12	10	0.04	6,133,827	-50,000
Bank of Montreal	Common Shares	Haward-Laird, Sharon Marie	5	2021-01-01	00		5,207	
Bank of Montreal	Deferred Share Units	Haward-Laird, Sharon Marie	5	2021-01-01	00		2,231	
Bank of Montreal	Options	Haward-Laird, Sharon Marie	5	2021-01-01	00		25,851	
Bank of Montreal	Restricted Share Units	Haward-Laird, Sharon Marie	5	2021-01-01	00		13,831	
Bank of Nova Scotia, The	Rights Performance Share Units (PSU)	Deschamps, Ignacio	5	2021-01-11	56	68.02	123,405	5,881
Barsele Minerals Corp.	Common Shares	Cope, Gary Gordon	4	2020-12-23	51	0.1	2,699,500	425,000
Barsele Minerals Corp.	Options	Cope, Gary Gordon	4	2020-12-23	51	0.1	1,200,000	-425,000
Barsele Minerals Corp.	Common Shares	Sayers, Richard	4	2021-01-15	51	0.1	421,259	150,000
Barsele Minerals Corp.	Options	Sayers, Richard	4	2021-01-15	51	0.1	325,000	-150,000
Barsele Minerals Corp.	Common Shares	White, William Henry	4	2021-01-11	51	0.1	350,000	150,000
Barsele Minerals Corp.	Options	White, William Henry	4	2021-01-11	51	0.1	325,000	-150,000
Battle North Gold Corporation	Options	Candelario, Allan Raymund	5	2021-01-06	50		474,117	126,273
Baytex Energy Corp.	Common Shares	Ector, Brian Gordon	5	2021-01-12	10	0.89	155,782	20,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-11-20	50	0.4		200,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-11-20	50	0.4		200,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-07	51	0.33		25,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-07	51	0.33		25,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-16	10	0.54	525,000	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-18	10	0.53	520,000	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-18	10	0.73	515,000	-5,000
BevCanna Enterprises Inc.	Common Shares	Ciambrelli, Martino	5	2020-12-18	10	0.74	510,000	-5,000
BevCanna Enterprises Inc.	Options	Ciambrelli, Martino	5	2020-11-20	50	0.4	650,000	200,000
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-11-25	11	0.44		-2,572,161
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-11-25	11	0.7	5,156,000	-2,572,161
BevCanna Enterprises Inc.	Common Shares	Leone, Marcello	3, 4, 5	2020-12-28	11	1	3,917,000	-1,239,000

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Beyond Medical Technologies Inc. (formerly, Micron Waste Technologies Inc.)	Common Shares	Bhushan, Bharat	4	2021-01-13	10	0.18	3,650,000	-50,000
Beyond Medical Technologies Inc. (formerly, Micron Waste Technologies Inc.)	Common Shares	Bhushan, Bharat	4	2021-01-14	10	0.165	3,600,000	-50,000
BioHarvest Sciences Inc.	Common Shares	Rakib, Vivien	4	2020-12-31	11	0.15	129,777,021	-858,200
BioHarvest Sciences Inc.	Common Shares	Rakib, Vivien	4	2021-01-06	11	0.1	127,224,421	-2,552,600
BioHarvest Sciences Inc.	Common Shares	Rakib, Vivien	4	2021-01-10	11	0.14	125,374,421	-1,850,000
BioHarvest Sciences Inc.	Common Shares	Sobel, Ilan	5	2020-06-09	00			
BioHarvest Sciences Inc.	Common Shares	Sobel, Ilan	5	2020-10-13	11	0.15	478,261	478,261
BioHarvest Sciences Inc.	Common Shares	Sobel, Ilan	5	2021-01-06	11	0.1	3,030,861	2,552,600
BlackBerry Limited (formerly Research In Motion Limited)	Debentures 1.75% Convertible Unsecured due November 13, 2023	Fairfax Financial Holdings Limited	3	2013-11-13	00			
BlackBerry Limited (formerly Research In Motion Limited)	Debentures 1.75% Convertible Unsecured due November 13, 2023	Fairfax Financial Holdings Limited	3	2021-01-08	90	166.17	\$5,165,200	\$5,165,200
BlackBerry Limited (formerly Research In Motion Limited)	Debentures 1.75% Convertible Unsecured due November 13, 2023	Fairfax Financial Holdings Limited	3	2021-01-08	90	166.17	\$4,874,720	-\$5,165,200
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-12	10	0.48	2,911,644	-20,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-12	10	0.485	2,891,644	-20,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-13	10	0.45	2,879,144	-12,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-15	10	0.4	2,934,144	55,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-08	10	0.52	4,993,000	-40,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-08	10	0.53	4,973,000	-20,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-08	10	0.54	4,953,000	-20,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-08	10	0.55	4,883,000	-70,000
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-13	10	0.45	4,870,500	-12,500
Blockchain Foundry Inc.	Common Shares	Marsh, Christopher Andrew	4, 5	2021-01-15	10	0.4	4,925,500	55,000
Blocplay Entertainment Inc.	Options	Irwin, Christopher	5	2018-10-01	00			
Blocplay Entertainment Inc.	Options	Irwin, Christopher	5	2021-01-08	50		250,000	250,000
Bluesky Digital Assets Corp.	Options	Collia, Danny	4	2021-01-15	50	0.15	112,500	66,667
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2021-01-06	51	0.15	1,644,443	466,666
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2021-01-07	10	0.914	1,277,777	-366,666
Bluesky Digital Assets Corp.	Common Shares	Gelfand, Benjamin	4, 5	2021-01-07	10	1.152	1,177,777	-100,000
Bluesky Digital Assets Corp.	Options	Gelfand, Benjamin	4, 5	2021-01-06	51		0	-466,666

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Bluesky Digital Assets Corp.	Common Shares	Inwentash, Sheldon	3	2021-01-07	51	0.15	500,000	500,000
Bluesky Digital Assets Corp.	Common Shares	Inwentash, Sheldon	3	2021-01-15	10	0.5	2,700,000	200,000
Bluesky Digital Assets Corp.	Common Shares	Inwentash, Sheldon	3	2021-01-15	10	0.5	2,200,000	200,000
Bluesky Digital Assets Corp.	Options	Inwentash, Sheldon	3	2021-01-04	50		1,000,000	500,000
Bluesky Digital Assets Corp.	Options	Inwentash, Sheldon	3	2021-01-07	51		500,000	-500,000
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	Inwentash, Sheldon	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Warrants	Inwentash, Sheldon	3	2020-12-04	00		2,500,000	
Bluesky Digital Assets Corp.	Warrants	Inwentash, Sheldon	3	2021-01-15	10		2,700,000	200,000
Bluesky Digital Assets Corp.	Warrants	Inwentash, Sheldon	3	2020-12-04	00		2,000,000	
Bluesky Digital Assets Corp.	Warrants	Inwentash, Sheldon	3	2021-01-15	10		2,200,000	200,000
Bluesky Digital Assets Corp.	Common Shares	ThreeD Capital Inc.	3	2021-01-15	10	0.5	2,700,000	200,000
Bluesky Digital Assets Corp.	Units Warrants	ThreeD Capital Inc.	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	ThreeD Capital Inc.	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Units Warrants	ThreeD Capital Inc.	3	2020-12-04	00			
Bluesky Digital Assets Corp.	Warrants	ThreeD Capital Inc.	3	2020-12-04	00		2,500,000	
Bluesky Digital Assets Corp.	Warrants	ThreeD Capital Inc.	3	2021-01-15	10		2,700,000	200,000
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-01-12	10	2.839	4,150,737	3,800
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-01-13	10	2.81	4,156,737	6,000
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-01-14	10	2.6589	4,168,737	12,000
Bonterra Energy Corp.	Common Shares	Fink, George Frederick	3, 4, 5	2021-01-15	10	2.6242	4,178,737	10,000
Bonterra Resources Inc.	Options	Gonzalez, Cesar	4, 5	2021-01-14	50	1.54	500,000	200,000
Bonterra Resources Inc.	Common Shares	Hamelin, Pascal	5	2021-01-11	10	1.2	16,721	10,000
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Arviv, Adam	4, 5	2020-08-27	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Arviv, Adam	4, 5	2021-01-13	16	0.5	719,008	719,008
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Carter, Richard John	4	2020-09-30	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Carter, Richard John	4	2021-01-13	16	1.21	826,446	826,446

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Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Godfrey, Robin James	4	2019-06-27	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Godfrey, Robin James	4	2021-01-13	16	0.5	206,611	206,611
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2019-03-14	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2019-03-14	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2019-03-14	00			
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Pathak, Sumesh Paul	4	2021-01-13	16	1.21	41,322	41,322
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Common Shares	Ryan, James Alan	4	2021-01-13	11	1.21	82,645	82,645
Braveheart Resources Inc.	Common Shares	Vinck, Dwayne Albert	5	2021-01-12	10	0.138	974,000	16,500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.13	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.13	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.14	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.14	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.31	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.31	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.36	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.36	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.39	1,100	1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.39	0	-1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.44	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.44	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.49	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.49	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.55	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.55	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.57	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.57	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.66	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.66	0	-900

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Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.68	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.68	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.69	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.69	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.7	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.7	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.75	1,400	1,400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.75	0	-1,400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.79	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.79	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.82	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.82	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.87	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.87	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.89	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.89	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.94	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.94	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.96	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	39.96	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.01	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.01	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.03	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.03	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.1	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.1	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.14	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.14	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.15	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.15	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-18	38	40.38	100	100

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Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.24	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.25	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.25	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.27	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.27	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.29	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.29	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.3	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.3	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.31	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.31	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.38	1,800	1,800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.38	0	-1,800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.385	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.385	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.39	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.39	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.42	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.42	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.43	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.43	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.44	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.44	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.45	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.45	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.46	1,100	1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.46	0	-1,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.47	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.47	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.48	1,800	1,800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.48	0	-1,800

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.49	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.49	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.5	800	800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.5	0	-800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.51	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.51	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.52	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.52	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.56	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.56	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.57	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.57	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.61	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.61	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.62	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.62	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.64	2,100	2,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.64	0	-2,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.67	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.67	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.7	1,300	1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.7	0	-1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.76	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.76	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.77	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.77	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.78	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.78	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.8	1,300	1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.8	0	-1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.82	1,900	1,900

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.82	0	-1,900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.83	232	232
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.83	0	-232
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.9	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.9	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.93	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-22	38	38.93	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.35	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.35	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.37	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.37	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.46	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.46	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.47	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.47	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.5	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.5	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.51	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.51	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.52	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.52	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.53	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.53	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.54	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.54	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.61	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.61	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.72	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.72	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.73	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.73	0	-100

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.81	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.81	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.88	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.88	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.89	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.89	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.9	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.9	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.95	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	38.95	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.03	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.03	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.2	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.2	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.21	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.21	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.29	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.29	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.35	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.35	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.37	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.37	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.4	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.4	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.42	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.42	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.435	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.435	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.5	300	300

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Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.5	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.51	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.51	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.575	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.575	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.61	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.61	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.63	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.63	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.66	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.66	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.67	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.67	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.69	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.69	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.72	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.72	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.73	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.73	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.74	300	300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.74	0	-300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.78	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.78	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.79	600	600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.79	0	-600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.84	700	700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.84	0	-700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.85	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.85	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.86	1,500	1,500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.86	0	-1,500

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Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.88	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.88	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.9	200	200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.9	0	-200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.91	400	400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.91	0	-400
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.93	1,300	1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.93	0	-1,300
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.97	1,000	1,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.97	0	-1,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.98	800	800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	39.98	0	-800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	40.03	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	40.03	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	40.16	900	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-23	38	40.16	0	-900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	37.81	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	37.81	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	37.91	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	37.91	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.02	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.02	0	-100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.09	500	500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.09	0	-500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.2	800	800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.2	0	-800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.55	100	100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2020-09-24	38	38.55	0	-100
BTB Real Estate Investment Trust	Parts avec restrictions	Léonard, Michel	4, 5	2021-01-12	57	3.5648	49,829	-46,614
BTB Real Estate Investment Trust	Trust Units	Léonard, Michel	4, 5	2021-01-12	57	3.5648	237,036	46,614
BTB Real Estate Investment Trust	Trust Units	Perreault, Fernand	4	2020-12-31	35	3.5969	20,282	1,899

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BTB Real Estate Investment Trust	Trust Units	Perreault, Fernand	4	2020-12-31	35	3.5969	36,036	3,374
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2021-01-12	10	8.75	12,490	300
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2021-01-14	10	8.75	13,490	1,000
Cadillac Ventures Inc.	Common Shares	Brewster, Norman	5	2021-01-07	10	0.03	6,272,720	11,000
Caledonia Mining Corporation Plc	Rights Performance Units	Chester, Adam, David Mark	5	2021-01-11	56		24,304	3,509
Caledonia Mining Corporation Plc	Rights Performance Units	CURTIS, STEVE ROY	4, 5	2021-01-11	56		69,625	8,769
Caledonia Mining Corporation Plc	Rights Performance Units	DELL, PETER DONALD	5	2021-01-11	56		5,442	1,787
Caledonia Mining Corporation Plc	Rights Performance Units	LEARMONTH, John Mark	4, 5	2021-01-11	56		43,940	5,422
Caledonia Mining Corporation Plc	Rights Performance Units	Roets, Dana	5	2021-01-11	56		43,864	5,530
Calfrac Well Services Ltd.	Common Shares	12178711 Canada Inc.	2	2021-01-13	16	1.3325	0	-91,293
Calfrac Well Services Ltd.	Common Shares	Armoyan, Sime	3	2021-01-12	10	4.2515	1,876,743	-769,000
Calfrac Well Services Ltd.	Common Shares	Armoyan, Sime	3	2021-01-13	10	4.0501	0	-1,876,743
Calfrac Well Services Ltd.	Deferred Share Units	Fletcher, Gregory Scott	4	2020-12-18	37		20,400	-19,600
Calfrac Well Services Ltd.	Deferred Share Units	Fletcher, Gregory Scott	4	2020-12-18	37		800	-19,600
Calfrac Well Services Ltd.	Deferred Share Units	Gartner, Lorne	4	2020-12-18	37		20,400	-19,600
Calfrac Well Services Ltd.	Deferred Share Units	Gartner, Lorne	4	2020-12-18	37		800	-19,600
Calfrac Well Services Ltd.	Deferred Share Units	Mathison, Ronald	4, 6	2020-12-18	37		800	-39,200
Calian Group Ltd.	Common Shares	Basler, Raymond Gregory	4	2021-01-12	30	64.92	30,754	154
Calian Group Ltd.	Common Shares	Hamer, Seann	5	2021-01-12	30	64.92	1,324	438
Calian Group Ltd.	Common Shares	Park, Young	4	2021-01-12	30	64.92	575	154
Calian Group Ltd.	Common Shares	Poirier, Jo-Anne Cecile	4	2021-01-12	30	64.92	693	154
Calian Group Ltd.	Common Shares	Richardson, Ronald	4	2021-01-12	30	64.92	460	154
Calian Group Ltd.	Common Shares	weber, george brian	4	2021-01-12	30	64.92	4,026	246
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2021-01-15	10	11.73	28,758	-2,800
Canadian Imperial Bank of Commerce	Rights RSA (cash settled)	Lawal, Kikelomo	5	2021-01-07	56	110.15	1,958	1,127
Canadian Metals Inc.	Common Shares	Leblanc, Stéphane	3, 4, 5	2013-05-02	00			
Canadian Metals Inc.	Common Shares	Leblanc, Stéphane	3, 4, 5	2021-01-11	11	0.065	353,910	353,910
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-11	10	147.22	15,535,902	-95,600
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-12	10	144.63	15,432,302	-103,600
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-12	10	145.02	15,357,302	-75,000
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-12	10	112.89	15,332,302	-25,000
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-13	10	113.79	15,137,202	-195,100
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-13	10	144.77	15,061,702	-75,500
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-13	10	144.4	15,019,002	-42,700
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-14	10	143.94	14,997,702	-21,300

Insider Reporting

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	Gates, William Henry, III	3	2021-01-15	10	142.3	14,897,702	-100,000
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-15	10	142.12	14,808,102	-89,600
Canadian National Railway Company	Common Shares	Gates, William Henry, III	3	2021-01-15	10	111.5	14,801,102	-7,000
Canadian Natural Resources Limited	Common Shares	Edwards, Norman Murray	4, 5	2020-07-08	30	24.132	21,938,329	767
Canadian Natural Resources Limited	Common Shares	Edwards, Norman Murray	4, 5	2020-10-08	30	21.818	21,939,189	860
Canadian Natural Resources Limited	PSUs	Edwards, Norman Murray	4, 5	2020-12-31	30	24.03	607,126	13,900
Canadian Natural Resources Limited	PSUs	Edwards, Norman Murray	4, 5	2020-12-31	30	24.03	619,549	12,423
Canadian Natural Resources Limited	PSUs	Edwards, Norman Murray	4, 5	2020-12-31	30	22.64	627,828	8,279
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-01-13	10	33.714	2,360,112	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-01-14	10	33.158	2,355,112	-5,000
Canadian Natural Resources Limited	Common Shares	Laut, Stephen W.	4	2021-01-15	10	31.979	2,350,112	-5,000
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2020-12-31	30	27.826	3,622	2,715
Canadian Natural Resources Limited	PSUs	Mendes, Paul Martin	5	2020-12-31	30	24.03	28,522	847
Canadian Natural Resources Limited	PSUs	Mendes, Paul Martin	5	2020-12-31	30	24.03	28,978	456
Canadian Natural Resources Limited	PSUs	Mendes, Paul Martin	5	2020-12-31	30	22.64	29,324	346
Canadian Natural Resources Limited	Common Shares	Yee, Betty	5	2021-01-06	10	33.74	39,948	-3,000
Canadian Natural Resources Limited	Common Shares	Yee, Betty	5	2021-01-07	10	34.56	37,148	-2,800
Canadian Utilities Limited	Non-Voting Shares Class A	DeChamplain, Dennis A	7	2016-03-15	30			-2,000
Canadian Utilities Limited	Non-Voting Shares Class A	DeChamplain, Dennis A	7	2016-03-15	30		6,000	-4,000
Canadian Utilities Limited	Non-Voting Shares Class A	Jackson, Colin	7	2020-12-31	30	32.62	595	76
Canadian Utilities Limited	Non-Voting Shares Class A	Jackson, Colin	7	2021-01-06	10	31.12	0	-595
Canadian Western Bank	Common Shares	Furlan, Mario Vittorio	5	2021-01-06	10	30.11	17,934	-6,000
CanAlaska Uranium Ltd.	Common Shares	Belyk, Cory Lane	5	2021-01-11	51	0.325	494,157	200,000
CanAlaska Uranium Ltd.	Options	Belyk, Cory Lane	5	2021-01-11	51	0.325	950,000	-200,000
CanAlaska Uranium Ltd.	Warrants	Belyk, Cory Lane	5	2019-12-30	53	0.4		131,578
CanAlaska Uranium Ltd.	Warrants	Belyk, Cory Lane	5	2019-12-30	53	0.4		131,578
CanAlaska Uranium Ltd.	Warrants	Belyk, Cory Lane	5	2019-12-30	53	0.4		131,578
CanAlaska Uranium Ltd.	Warrants	Belyk, Cory Lane	5	2019-12-30	53		263,156	131,578
CanAlaska Uranium Ltd.	Common Shares	Chan, Harry	5	2021-01-12	51	0.325	95,000	95,000
CanAlaska Uranium Ltd.	Common Shares	Chan, Harry	5	2021-01-12	51	0.26	188,000	93,000
CanAlaska Uranium Ltd.	Options	Chan, Harry	5	2021-01-12	51	0.325	455,000	-95,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CanAlaska Uranium Ltd.	Options	Chan, Harry	5	2021-01-12	51	0.26	362,000	-93,000
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2021-01-08	10	0.495	63,400	-5,100
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2021-01-13	10	0.48	30,000	-33,400
CanAlaska Uranium Ltd.	Common Shares	FERN, VICTOR	4	2021-01-13	10	0.48	133,400	33,400
Candente Gold Corp.	Options	Lotz, Mark	5	2021-01-11	50	0.05	650,000	400,000
Canfor Pulp Products Inc.	Common Shares	Johansson, Mans	6	2019-04-03	00			
Canfor Pulp Products Inc.	Common Shares	Johansson, Mans	6	2021-01-11	10	7.42	108,000	108,000
Canoe Mining Ventures Corp.	Common Shares	Kelly, Scott	4	2021-01-12	10	0.1746	2,063,000	194,375
Canoe Mining Ventures Corp.	Common Shares	Parnham, Duane	4, 5	2021-01-13	10	0.175	1,469,500	40,000
Canso Credit Income Fund	Exposure to Issuer through Canso Income Fund	Carswell, John Paul	7	2021-01-11	70	6.168	6,069	171
Canso Credit Income Fund	Exposure to Issuer through Canso North Star Fund	Carswell, John Paul	7	2021-01-11	70	7.2554	3,337	145
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Carswell, John Paul	7	2021-01-11	70	11.612	258,489	38,099
Canso Credit Income Fund	Exposure to Issuer through Canso Retirement and Savings Fund	Carswell, John Paul	7	2021-01-11	70	5.9216	14,043	1,221
Canso Credit Income Fund	Exposure to Issuer through Canso North Star Fund	Carswell, Kim Maria	7	2021-01-11	70	7.2554	372	116
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Carswell, Kim Maria	7	2021-01-11	70	11.612	3,182	2,974
Canso Credit Income Fund	Exposure to Issuer through Canso Retirement and Savings Fund	Carswell, Kim Maria	7	2021-01-11	70	5.9216	1,637	593
Canso Credit Income Fund	Exposure to Issuer through Canso North Star Fund	Hicks, Timothy John	7	2021-01-11	70	7.2554	8,870	384
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Hicks, Timothy John	7	2021-01-11	70	11.612	9,412	1,387
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Lysander Funds Limited	7	2021-01-11	70	11.612	17,698	2,608
Canso Credit Income Fund	Exposure to Issuer through Canso North Star Fund	Mason-Wood, Heather Elizabeth	7	2021-01-11	70	7.2554	19,618	850
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Mason-Wood, Heather Elizabeth	7	2021-01-11	70	11.612	12,058	1,777
Canso Credit Income Fund	Exposure to Issuer through Canso Income Fund	Mudie, Gail Roberta	7	2021-01-11	70	6.168	67,454	2,271
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Mudie, Gail Roberta	7	2021-01-11	70	11.612	27,214	4,877
Canso Credit Income Fund	Canso North Star Fund	Sumsion, Shirley	7	2021-01-11	70	7.2554	2,702	117
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Usher-Jones, Brian Richard	7	2021-01-11	70	11.612	31,408	4,629

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canso Credit Income Fund	Exposure to Issuer through Canso Partners Fund	Vijh, Rajeev	7	2021-01-11	70	11.612	6,743	994
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-11	10	0.23	9,395,000	80,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-12	10	0.22	9,405,000	10,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-12	10	0.23	9,440,000	35,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-13	10	0.23	9,505,000	65,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-14	10	0.24	9,510,000	5,000
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2021-01-15	10	0.23	9,518,500	8,500
Canuc Resources Corporation	Common Shares	Samnani, Khadijah	5	2020-11-10	11	0.25	63,000	8,000
Canuc Resources Corporation	Warrants	Samnani, Khadijah	5	2020-11-10	11	0.125	31,500	4,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-11	10	0.08	14,500,000	250,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-11	10	0.075	14,750,000	250,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-12	10	0.07	15,352,000	602,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-13	10	0.075	15,902,000	550,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-14	10	0.075	16,000,000	98,000
Capital Power Corporation	Common Shares	Kopecky, Christopher L.	5	2020-07-30	00			
Capital Power Corporation	Common Shares	Kopecky, Christopher L.	5	2020-12-16	51	17.33	3,735	3,735
Capital Power Corporation	Common Shares	Kopecky, Christopher L.	5	2020-12-16	10	35.3	1,435	-2,300
Capital Power Corporation	Common Shares	Kopecky, Christopher L.	5	2020-12-16	10	35.31	500	-935
Capital Power Corporation	Common Shares	Kopecky, Christopher L.	5	2020-12-16	10	35.32	0	-500
Capital Power Corporation	Options	Kopecky, Christopher L.	5	2020-12-16	51	17.33	33,973	-3,735
Capital Power Corporation	Common Shares	Pylypiuk, Jacquelyn Marie	5	2020-12-31	30	29.642	7,350	912
Capital Power Corporation	Common Shares	Pylypiuk, Jacquelyn Marie	5	2020-12-31	30	29.977	7,799	449
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	51	17.33	107,078	43,000
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.86	106,178	-900
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.87	105,778	-400
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.88	104,978	-800
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.89	102,678	-2,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.9	98,378	-4,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.91	95,448	-2,930
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.92	94,048	-1,400

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.93	92,448	-1,600
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.94	90,148	-2,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.95	84,848	-5,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.96	82,748	-2,100
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	35.97	82,648	-100
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	36	81,248	-1,400
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	36.01	80,948	-300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-11	10	36.08	79,648	-1,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	51	17.33	120,265	40,617
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.25	112,565	-7,700
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.26	108,265	-4,300
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.27	107,865	-400
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.28	106,865	-1,000
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.29	105,865	-1,000
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.3	101,248	-4,617
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.31	100,348	-900
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.32	100,248	-100
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.33	99,648	-600
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.35	94,548	-5,100
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.4	87,948	-6,600
Capital Power Corporation	Common Shares	TRUFYN, DARCY	5	2021-01-12	10	36.42	79,648	-8,300
Capital Power Corporation	Options	TRUFYN, DARCY	5	2021-01-11	51	17.33	301,440	-43,000
Capital Power Corporation	Options	TRUFYN, DARCY	5	2021-01-12	51	17.33	260,823	-40,617
Capitan Mining Inc.	Common Shares	Dare, Jeffrey	5	2021-01-07	51	0.135	6,614	6,485
Capitan Mining Inc.	Options	Dare, Jeffrey	5	2021-01-07	51	0.135	52,049	-6,485
Capitan Mining Inc.	Common Shares	Staude, John-Mark Gardner	4	2021-01-06	10	0.255	557,374	-15,500
Capitan Mining Inc.	Common Shares	Staude, John-Mark Gardner	4	2021-01-07	51	0.135	622,224	64,850
Capitan Mining Inc.	Common Shares	Staude, John-Mark Gardner	4	2021-01-08	10	0.24	602,724	-19,500
Capitan Mining Inc.	Options	Staude, John-Mark Gardner	4	2021-01-07	51	0.135	560,828	-64,850
Cardinal Resources Limited	Common Shares	Easah, Malik Mohammed	4	2021-01-12	22	1.075	0	-5,181,818
Cardinal Resources Limited	Common Shares	Muscillo, Michele	4	2021-01-06	22	1.075	0	-833,333
Cardinal Resources Limited	Common Shares	Schultz, Trevor	4	2021-01-12	22	1.075	0	-750,000
Carl Data Solutions Inc.	Common Shares	BDirect Online Communications Inc	4, 5	2021-01-06	10	0.1	3,576,205	-12,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cascades Inc.	Unités d'actions différées / Deffered Share Units	CORMIER, MICHELLE ANN	4	2020-12-31	35		22,637	527
Cascades Inc.	Unités d'actions différées / Deffered Share Units	CORMIER, MICHELLE ANN	4	2021-01-15	56		28,084	5,447
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Couture, Martin	4	2020-12-31	35		33,728	785
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Couture, Martin	4	2021-01-15	56		41,864	8,136
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Dunn, Mélanie	4	2020-12-31	35		1,442	34
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Dunn, Mélanie	4	2021-01-15	56		9,408	7,966
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Garneau, Louis	4	2020-12-31	35		71,214	1,658
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Garneau, Louis	4	2021-01-15	56		77,920	6,706
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Gentiletti, Nelson	4	2020-12-31	35		1,442	34
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Gentiletti, Nelson	4	2021-01-15	56		6,889	5,447
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Kobrynsky, Georges	4	2020-12-31	35		48,744	1,117
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lacroix, Hubert T.	4	2020-12-31	35		4,788	112
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lacroix, Hubert T.	4	2021-01-15	56		10,235	5,447
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lemaire, Patrick	4, 6	2020-12-31	35		11,754	273
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lemaire, Patrick	4, 6	2021-01-15	56		14,477	2,723
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lemaire, Sylvie	4	2020-12-31	35		62,320	1,450
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lemaire, Sylvie	4	2021-01-15	56		65,043	2,723
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lévesque, Elif	4	2020-12-31	35		1,442	34
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Lévesque, Elif	4	2021-01-15	56		9,578	8,136
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Pelletier, Élise	4	2020-12-31	35		28,459	662
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Pelletier, Élise	4	2021-01-15	56		31,182	2,723
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Vachon, Sylvie	4	2020-12-31	35		32,670	761
Cascades Inc.	Unités d'actions différées / Deffered Share Units	Vachon, Sylvie	4	2021-01-15	56		39,683	7,013
CAT Strategic Metals Corporation	Options	Davy, Julien	4	2020-11-07	00			
CAT Strategic Metals Corporation	Options	Davy, Julien	4	2021-01-08	50		500,000	500,000
CAT Strategic Metals Corporation	Options	Rosner, Robert	4	2021-01-08	50	0.06	2,200,000	1,000,000
Cenovus Energy Inc.	Common Shares	Hutchison Whampoa Europe Investments S.à r.l.	3	2021-01-01	00		316,927,050	
Cenovus Energy Inc.	Warrants	Hutchison Whampoa Europe Investments S.à r.l.	3	2021-01-01	00		26,299,491	
Cenovus Energy Inc.	Common Shares	Li, Ka-shing	3	2021-01-01	00		231,194,698	
Cenovus Energy Inc.	Warrants	Li, Ka-shing	3	2021-01-01	00		19,185,181	
Cenovus Energy Inc.	Common Shares	McGee, Neil Douglas	6	2021-01-01	00		58,096	
Cenovus Energy Inc.	Warrants	McGee, Neil Douglas	6	2021-01-01	00		4,820	
Centerra Gold Inc.	Common Shares	D'Orazio, Claudia	5	2021-01-11	30	15.02	1,333	676

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Centerra Gold Inc.	Common Shares	Desjardins, Daniel Richard	5	2021-01-11	30	15.02	113,936	999
Centerra Gold Inc.	Common Shares	Kwong, Dennis	5	2021-01-11	30	15.02	44,009	947
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-01-11	30	15.02	16,470	1,045
Centerra Gold Inc.	Common Shares	Pearson, John William	5	2021-01-11	30	15.02	17,487	407
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-01-11	30	15.02	115,552	1,695
Centerra Gold Inc.	Common Shares	Rehman, Yousef	5	2021-01-11	30	15.02	19,115	894
CERRO DE PASCO RESOURCES INC. (formerly Genius Properties Ltd.)	Common Shares	Goulet, Guy	4, 5	2021-01-13	10	0.37	3,276,044	5,000
CES Energy Solutions Corp.	Notes Senior Unsecured Notes due 2024	CES Energy Solutions Corp.	1	2021-01-12	38	98.75	\$0	-\$1,000
CES Energy Solutions Corp.	Common Shares	Cosby, Stella	4	2021-01-15	46	1.2833	140,155	5,850
CES Energy Solutions Corp.	Common Shares	Hooks, John Michael	4	2021-01-15	46	1.2833	864,943	5,053
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-01-12	10	1.425	1,734,942	34,598
CES Energy Solutions Corp.	Common Shares	Zinger, Kenneth Earl	5	2021-01-13	10	1.43	1,754,212	19,270
CGX Energy Inc.	Common Shares	Lacy, Kevin D	4	2021-01-05	00			
CGX Energy Inc.	Options	Lacy, Kevin D	4	2021-01-05	00		400,000	
ChalkRidge Technologies Inc. (formerly, Boomer Financial Inc.)	Common Shares	Ciccone, Salvatore	4, 5	2020-12-31	00		4,200,100	
ChalkRidge Technologies Inc. (formerly, Boomer Financial Inc.)	Warrants	Ciccone, Salvatore	4, 5	2020-12-31	00		4,200,000	
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2021-01-13	51	0.06	1,121,119	170,000
Champion Bear Resources Ltd.	Options	Kantor, Richard Derrick	3, 4, 5	2021-01-13	51		2,969,333	-170,000
Chartwell Retirement Residences	Trust Units	Binions, W. Brent	4	2020-12-31	30	8.33	129,988	25,063
Chartwell Retirement Residences	Trust Units	Kuzmicki, Andre	7	2020-12-31	30	11.43	2,953	86
Chartwell Retirement Residences	Trust Units	Kuzmicki, Andre	7	2020-12-31	30	9.93	12,667	709
Chartwell Retirement Residences	Trust Units	Sallows, Sharon	4	2020-12-31	30	13.724	13,749	233
Chemesis International Inc.	Options	Aujla, Harinder Singh Mike	4	2021-01-13	50	0.65		250,000
Chemesis International Inc.	Options	Aujla, Harinder Singh Mike	4	2021-01-13	50	0.7	500,000	250,000
Chemesis International Inc.	Rights Restricted Share Rights	Aujla, Harinder Singh Mike	4	2021-01-13	56	0.65	700,000	300,000
Chemesis International Inc.	Options	Parmar, Amandeep Singh	4	2021-01-13	50	0.65		250,000
Chemesis International Inc.	Options	Parmar, Amandeep Singh	4	2021-01-13	50	0.7	250,000	250,000
Chemesis International Inc.	Rights	Parmar, Amandeep Singh	4	2017-03-15	00			
Chemesis International Inc.	Rights	Parmar, Amandeep Singh	4	2021-01-13	56	0.65	200,000	200,000
Chemesis International Inc.	Options	Rosenberg, Joshua James	4, 5	2021-01-13	50	0.65		250,000
Chemesis International Inc.	Options	Rosenberg, Joshua James	4, 5	2021-01-13	50	0.7	500,000	250,000
Chemesis International Inc.	Rights Restricted Share Rights	Rosenberg, Joshua James	4, 5	2021-01-13	56	0.65	500,000	300,000

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Chemesis International Inc.	Options	Thurston, Brian	4	2021-01-13	50	0.65		250,000
Chemesis International Inc.	Options	Thurston, Brian	4	2021-01-13	50	0.7	600,000	250,000
Chemesis International Inc.	Rights Restricted Share Rights	Thurston, Brian	4	2021-01-13	56			100,000
Chemesis International Inc.	Rights Restricted Share Rights	Thurston, Brian	4	2021-01-13	56		350,000	100,000
CI Financial Corp.	Deferred Share Unit	Butt, William Emerson	4	2020-07-15	30	18.09	10,834	107
CI Financial Corp.	Deferred Share Unit	Butt, William Emerson	4	2020-10-15	30	17.72	13,295	134
CI Financial Corp.	Common Shares	Holland, William Thomas	4	2021-01-14	10	16.25	456,920	150,000
CI Financial Corp.	Deferred Share Unit	Holland, William Thomas	4	2020-07-15	30	18.09	9,487	94
CI Financial Corp.	Deferred Share Unit	Holland, William Thomas	4	2020-10-15	30	17.72	9,583	96
CI Financial Corp.	Deferred Share Unit	Miller, David P.	4	2020-07-15	30	18.09	7,191	71
CI Financial Corp.	Deferred Share Unit	Miller, David P.	4	2020-10-15	30	17.72	7,264	73
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-01-11	10	0.63	7,681,247	10,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-01-11	10	0.64	7,686,247	5,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2021-01-14	10	0.63	7,696,247	10,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-01-08	10	0.65	5,421,000	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-01-11	10	0.67	5,488,000	67,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-01-14	10	0.64	5,490,300	2,300
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2021-01-08	10	0.64	1,370,500	10,000
Clarity Gold Corp.	Common Shares	Rogers, James	3, 4, 5	2021-01-11	16	0.96	2,052,250	52,250
Clarity Gold Corp.	Warrants	Rogers, James	3, 4, 5	2020-06-02	00			
Clarity Gold Corp.	Warrants	Rogers, James	3, 4, 5	2021-01-11	53	1.25	26,125	26,125
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Dumaresq, Joel	4	2018-10-16	00			
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Common Shares	Dumaresq, Joel	4	2021-01-11	51	0.19	597,000	597,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Options	Dumaresq, Joel	4	2020-08-11	50		1,347,000	597,000
Clean Power Capital Corp. (formerly Organic Flower Investments Group Inc.)	Options	Dumaresq, Joel	4	2021-01-11	51		750,000	-597,000
CLS Holdings USA, Inc.	Common Shares	Swanson, Todd	3	2021-01-12	10	0.1765	13,343,892	-40,000
Codebase Ventures Inc.	Options	Keane, Brian D.	4	2020-12-02	52	0.8	130,000	-10,000
Codebase Ventures Inc.	Options	Keane, Brian D.	4	2020-12-02	52	1.2	90,000	-40,000
Codebase Ventures Inc.	Options	Keane, Brian D.	4	2020-12-02	52	0.75	50,000	-40,000
Codebase Ventures Inc.	Options	Keane, Brian D.	4	2020-12-02	52	0.5	0	-50,000
Codebase Ventures Inc.	Options	Keane, Brian D.	4	2021-01-06	50	0.23	200,000	200,000
Codebase Ventures Inc.	Options	Kovaleva, Tatiana	5	2020-12-02	52	0.8	140,000	-20,000

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Codebase Ventures Inc.	Options	Kovaleva, Tatiana	5	2020-12-02	52	1.2	100,000	-40,000
Codebase Ventures Inc.	Options	Kovaleva, Tatiana	5	2020-12-02	52	0.75	50,000	-50,000
Codebase Ventures Inc.	Options	Kovaleva, Tatiana	5	2020-12-02	52	0.5	0	-50,000
Codebase Ventures Inc.	Options	Kovaleva, Tatiana	5	2021-01-06	50	0.23	200,000	200,000
Codebase Ventures Inc.	Options	Shacker, Morie	4	2020-06-23	37	0.75	70,000	-630,000
Codebase Ventures Inc.	Options	Shacker, Morie	4	2020-12-30	52	0.75	0	-70,000
Codebase Ventures Inc.	Options	Shacker, Morie	4	2021-01-06	50	0.23	200,000	200,000
Codebase Ventures Inc.	Options	Tsafalas, George	4	2020-12-02	52	0.8	350,000	-80,000
Codebase Ventures Inc.	Options	Tsafalas, George	4	2020-12-02	52	1.2	250,000	-100,000
Codebase Ventures Inc.	Options	Tsafalas, George	4	2020-12-02	52	0.75	150,000	-100,000
Codebase Ventures Inc.	Options	Tsafalas, George	4	2020-12-02	52	0.5	0	-150,000
Codebase Ventures Inc.	Options	Tsafalas, George	4	2021-01-06	50	0.23	800,000	800,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Abbott, Michael James	3, 4	2021-01-12	10	8.25	15,033,100	-200,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-22	10	4.639	202,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-23	10	4.9091	201,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-24	10	5.4051	200,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-29	10	6.04	199,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-30	10	5.8777	198,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-31	10	6.1059	197,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-01-04	10	6.1982	196,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-01-05	10	6.4	195,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-01-06	10	6.5022	194,407	-1,000

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Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-01-07	10	6.6751	193,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2021-01-08	10	6.2859	192,407	-1,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-31	10	7.5	37,199,225	-850,000
Columbia Care Inc. (formerly known as Canaccord Genuity Growth Corp.)	Common Shares	Vita, Nicholas Keane	3, 4, 5	2020-12-31	47	7.74	36,655,075	-544,150
Commerce Resources Corp.	Common Shares	Hodge, David	4, 5	2021-01-15	10	0.365	171,500	-20,000
Compass Gold Corporation	Options	Archibald, Sandy Mackintosh	8	2021-01-05	50	0.25	350,000	100,000
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2018-03-22	45	0.56		316,887
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2018-03-22	45	0.56	3,485,752	316,887
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2018-05-29	45	0.6	3,961,082	475,330
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2018-11-29	45	0.175	4,436,412	475,330
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2019-05-29	45	0.26	4,911,742	475,330
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2019-11-29	45	0.415	5,387,072	475,330
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2019-12-20	10	0.52	5,397,072	10,000
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2020-05-29	45	0.25	5,872,402	475,330
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2020-11-30	45	0.23	6,347,729	475,327
Compass Gold Corporation	Common Shares	Diallo, Madani	4	2020-12-16	10	0.2	6,397,729	50,000
Compass Gold Corporation	Options	Diallo, Madani	4	2019-05-22	50	0.26	400,000	100,000
Compass Gold Corporation	Options	Diallo, Madani	4	2019-12-16	50	0.495	550,000	150,000
Compass Gold Corporation	Options	Diallo, Madani	4	2021-01-05	50	0.25	750,000	200,000
Condor Gold plc	Ordinary Shares	Child, Mark Lucian	4, 5	2021-01-13	54	0.31	4,200,730	20,833
Condor Gold plc	Warrants	Child, Mark Lucian	4, 5	2021-01-13	54	0.31	719,705	-20,833
Condor Gold plc	Ordinary Shares	Karoly, Jeffrey Laszlo	5	2021-01-13	54	0.31	149,078	12,500
Condor Gold plc	Warrants	Karoly, Jeffrey Laszlo	5	2021-01-13	54	0.31	9,167	-12,500
Condor Gold plc	Options	Stalker, John	4	2020-12-31	51	0.22	400,000	-100,000
Condor Gold plc	Options	Stalker, John	4	2021-01-04	51	0.22		-100,000
Condor Gold plc	Ordinary Shares	Stalker, John	4	2020-12-31	51	0.22	167,370	100,000
Condor Gold plc	Ordinary Shares	Stalker, John	4	2021-01-04	51	0.22		100,000
Constellation Software Inc.	Common Shares	Anzarouth, Bernard	5	2006-08-08	00			
Constellation Software Inc.	Common Shares	Anzarouth, Bernard	5	2020-07-29	90		140,000	140,000
Constellation Software Inc.	Common Shares	Anzarouth, Bernard	5	2020-07-29	90			140,000
Converge Technology Solutions Corp.	Common Shares	Phillips, Brian Arthur	4	2021-01-15	15	4.85	25,000	10,000

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Converge Technology Solutions Corp.	Common Shares	Smith, Carl Gilbert	5	2021-01-15	15	4.85	245,932	11,546
Copper Mountain Mining Corporation	Common Shares	Aunger, Bruce William	4	2021-01-12	51	0.39	477,800	100,000
Copper Mountain Mining Corporation	Common Shares	Aunger, Bruce William	4	2021-01-12	10	0.39		-100,000
Copper Mountain Mining Corporation	Common Shares	Aunger, Bruce William	4	2021-01-12	10	0.39		-100,000
Copper Mountain Mining Corporation	Options	Aunger, Bruce William	4	2021-01-12	51	0.39	376,989	-100,000
Copper Mountain Mining Corporation	Common Shares	Cloke, Allan Thomas	4	2021-01-12	51	0.39	451,335	100,000
Copper Mountain Mining Corporation	Options	Cloke, Allan Thomas	4	2021-01-12	51	0.39	376,989	-100,000
Copper Mountain Mining Corporation	Options	Holbek, Peter Michael	5	2021-01-07	51	0.39	304,598	-25,000
Copper Mountain Mining Corporation	Options	Holbek, Peter Michael	5	2021-01-07	51	0.39	329,598	25,000
Copper Mountain Mining Corporation	Options	Holbek, Peter Michael	5	2021-01-08	10	2.31	304,598	-25,000
Copper Mountain Mining Corporation	Common Shares	Shier, Rodney	4	2021-01-11	51		2,293,400	250,000
Copper Mountain Mining Corporation	Options	Shier, Rodney	4	2021-01-11	51		1,353,076	-250,000
Core Assets Corp.	Options	Bellefleur, Jody	5	2020-07-08	00			
Core Assets Corp.	Options	Bellefleur, Jody	5	2020-12-21	50	0.1	150,000	150,000
Core Assets Corp.	Options	Charland, Sean	4	2020-07-08	00			
Core Assets Corp.	Options	Charland, Sean	4	2020-12-21	50	0.1	150,000	150,000
Core Assets Corp.	Options	Hodge, David	4	2020-07-08	00			
Core Assets Corp.	Options	Hodge, David	4	2020-12-21	50	0.1	150,000	150,000
Core Assets Corp.	Options	Rodway, Nicholas Richard	4	2020-07-08	00			
Core Assets Corp.	Options	Rodway, Nicholas Richard	4	2020-12-21	50	0.1	150,000	150,000
Core Assets Corp.	Options	Rose, Scott	4, 5	2020-07-08	00			
Core Assets Corp.	Options	Rose, Scott	4, 5	2020-12-21	50	0.1	750,000	750,000
Corus Entertainment Inc.	Non-Voting Shares Class B	James, Barry Lee	4	2021-01-13	10	4.85	18,155	1,600
Corvus Gold Inc.	Options	Aaker, Steve	4	2021-01-15	50	3.05	725,000	150,000
Corvus Gold Inc.	Options	BRECHTEL, Carl	5	2021-01-15	50	3.05	700,000	50,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.46		-50,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.46		-50,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.49		-75,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2020-10-16	51	0.49		-75,000
Corvus Gold Inc.	Options	Drescher, Anton J.	4	2021-01-15	50	3.05	725,000	150,000
Corvus Gold Inc.	Options	LARGENT, RONALD	4	2021-01-15	50	3.05	1,175,000	300,000
Corvus Gold Inc.	Options	Perkins, Rowland	4	2021-01-15	50	3.05	725,000	150,000
Corvus Gold Inc.	Options	PONTIUS, Jeffrey A.	4, 5	2021-01-15	50	3.05	2,950,000	700,000
Corvus Gold Inc.	Options	Wu, Peggy	5	2021-01-15	50	3.05	1,100,000	300,000
Corvus Gold Inc.	Options	Yarrow, Edward William	4	2021-01-15	50	3.05	725,000	150,000
Crescent Point Energy Corp.	Performance Share Units	Borggard, Bradley Harlan	5	2021-01-11	56		433,389	136,904
Crescent Point Energy Corp.	Performance Share Units	Bryksa, Craig Stephen	4, 5	2021-01-11	56		1,058,959	372,023
Crescent Point Energy Corp.	Deferred Share Units	Cillis, Laura Ann	4	2020-03-31	30		11,677	23
Crescent Point Energy Corp.	Deferred Share Units	Cillis, Laura Ann	4	2020-06-30	30		11,763	86
Crescent Point Energy Corp.	Deferred Share Units	Cillis, Laura Ann	4	2020-09-30	30		11,775	12

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Crescent Point Energy Corp.	Deferred Share Units	Cillis, Laura Ann	4	2020-12-31	30		11,792	17
Crescent Point Energy Corp.	Deferred Share Units	Craddock, James Elbert	4	2020-03-31	30		18,628	37
Crescent Point Energy Corp.	Deferred Share Units	Craddock, James Elbert	4	2020-06-30	30		88,183	138
Crescent Point Energy Corp.	Deferred Share Units	Craddock, James Elbert	4	2020-09-30	30		88,275	92
Crescent Point Energy Corp.	Deferred Share Units	Craddock, James Elbert	4	2020-12-31	30		131,469	122
Crescent Point Energy Corp.	Deferred Share Units	Dielwart, John Patrick	4	2020-03-31	30		36,075	65
Crescent Point Energy Corp.	Deferred Share Units	Dielwart, John Patrick	4	2020-06-30	30		122,263	267
Crescent Point Energy Corp.	Deferred Share Units	Dielwart, John Patrick	4	2020-09-30	30		128,869	127
Crescent Point Energy Corp.	Deferred Share Units	Dielwart, John Patrick	4	2020-12-31	30		180,824	179
Crescent Point Energy Corp.	Performance Share Units	Eade, Mark Gordon	5	2021-01-11	56		387,827	137,648
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	2020-03-31	30		62,977	120
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	2020-06-30	30		137,228	466
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	2020-09-30	30		139,086	143
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	2020-12-31	30		184,655	193
Crescent Point Energy Corp.	Performance Share Units	Gritzfeldt, Ryan Chad Raymond	5	2021-01-11	56		502,533	178,571
Crescent Point Energy Corp.	Performance Share Units	Holt, William Garret	5	2021-01-11	56		335,573	130,208
Crescent Point Energy Corp.	Deferred Share Units	Jackson, Michael Sidney	4	2020-03-31	30		36,781	72
Crescent Point Energy Corp.	Deferred Share Units	Jackson, Michael Sidney	4	2020-06-30	30		118,605	272
Crescent Point Energy Corp.	Deferred Share Units	Jackson, Michael Sidney	4	2020-09-30	30		123,493	124
Crescent Point Energy Corp.	Deferred Share Units	Jackson, Michael Sidney	4	2020-12-31	30		173,136	171
Crescent Point Energy Corp.	Deferred Share Units	Koury, Jennifer	4	2020-03-31	30		18,628	37
Crescent Point Energy Corp.	Deferred Share Units	Koury, Jennifer	4	2020-06-30	30		100,317	137
Crescent Point Energy Corp.	Deferred Share Units	Koury, Jennifer	4	2020-09-30	30		105,186	105
Crescent Point Energy Corp.	Deferred Share Units	Koury, Jennifer	4	2020-12-31	30		154,804	146
Crescent Point Energy Corp.	Performance Share Units	LAMONT, KENNETH	5	2021-01-11	56		516,272	178,571
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	2020-03-31	30		58,743	109
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	2020-06-30	30		147,040	434
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	2020-09-30	30		154,436	154
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	2020-12-31	30		207,450	214
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2020-01-02	30		7,140	12
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2020-04-01	30		8,073	67

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Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2020-07-02	30		8,081	8
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2020-10-01	30		8,093	12
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2021-01-04	30		8,099	6
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	2020-03-31	30		92,364	169
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	2020-06-30	30		140,376	683
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	2020-09-30	30		156,245	146
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	2020-12-31	30		182,101	217
Crescita Therapeutics Inc.	Common Shares	Crescita Therapeutics Inc.	1	2020-12-31	38	0.7	5,152	5,152
Cresco Labs Inc.	Subordinate Voting Shares	Caltabiano, Joseph Stevens	3	2021-01-11	10	11.504	625,900	-74,200
Cresco Labs Inc.	Subordinate Voting Shares	Caltabiano, Joseph Stevens	3	2021-01-11	10	11.5	525,900	-100,000
Cresco Labs Inc.	Subordinate Voting Shares	Caltabiano, Joseph Stevens	3	2021-01-11	10	12.003	517,600	-8,300
Cresco Labs Inc.	Subordinate Voting Shares	Caltabiano, Joseph Stevens	3	2021-01-12	10	12.004	419,900	-97,700
Cresco Labs Inc.	Subordinate Voting Shares	Caltabiano, Joseph Stevens	3	2021-01-14	10	14.157	377,200	-42,700
Crew Energy Inc.	Common Shares	Shwed, Dale Orest	5	2021-01-12	10	0.664		39,500
Crew Energy Inc.	Common Shares	Shwed, Dale Orest	5	2021-01-12	10	0.664		39,500
Crew Energy Inc.	Common Shares	Shwed, Dale Orest	5	2021-01-12	10	0.664	1,057,000	39,500
Crombie Real Estate Investment Trust	Trust Units Special Voting	Empire Company Limited	3	2021-01-15	30	14.404	64,730,503	5,588
Crosswinds Holdings Inc. (formerly C.A. Bancorp Inc.)	Common Shares	Irwin, Christopher	3	2021-01-11	00			
Crosswinds Holdings Inc. (formerly C.A. Bancorp Inc.)	Common Shares	Irwin, Christopher	3	2021-01-11	11		5,884,008	5,884,008
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	Clateman, Peter Laurence	5	2021-01-11	51	0.64	1,360,664	-100,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Clateman, Peter Laurence	5	2021-01-11	51	0.64	465,590	100,000
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Options	Lusardi, Joseph	4, 5	2021-01-06	51	0.14	6,916,455	-897,791
Curaleaf Holdings, Inc. (formerly Lead Ventures Inc.)	Subordinate Voting Shares	Lusardi, Joseph	4, 5	2021-01-06	51	0.14	3,810,073	897,791
Current Water Technologies Inc.	Common Shares	Kammourie, MOHAMAD NIZAR	4	2021-01-14	10	0.03	859,286	-100,000
CWC Energy Services Corp.	Common Shares	Apps, Robert Charles Nelson	5	2021-01-07	57	0.125	418,347	267,847
CWC Energy Services Corp.	Common Shares	Apps, Robert Charles Nelson	5	2021-01-11	10	0.1165	270,347	-148,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-11	57	0.13		-7,400
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2020-12-11	57	0.13	1,340,847	-74,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2021-01-07	57	0.125		-74,000
CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2021-01-07	57	0.125	1,192,847	-74,000

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CWC Energy Services Corp.	Restricted Share Units	Apps, Robert Charles Nelson	5	2021-01-07	57	0.125	999,000	-193,847
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-11	10	0.12	360,000	200,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-12	10	0.12	372,500	12,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-12	10	0.13	572,500	200,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-13	10	0.12	595,500	23,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-13	10	0.12	623,000	27,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-14	10	0.12	635,000	12,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.12	640,000	5,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.13	650,000	10,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.13	660,000	10,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.13	670,500	10,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.13	680,000	9,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2021-01-15	10	0.13	720,000	40,000
CWC Energy Services Corp.	Common Shares	Dubois, Michael	5	2021-01-08	10	0.1184	225,847	-50,000
CWC Energy Services Corp.	Common Shares	Dubois, Michael	5	2021-01-11	10	0.119	175,847	-50,000
CWC Energy Services Corp.	Common Shares	Dubois, Michael	5	2021-01-11	10	0.1131	125,847	-50,000
CWC Energy Services Corp.	Common Shares	Dubois, Michael	5	2021-01-12	10	0.1183	0	-125,847
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2021-01-11	10	0.12	879,666	-50,000
CWC Energy Services Corp.	Common Shares	McIntyre, Darwin Lloyd	5	2021-01-11	57	0.12	909,666	30,000
CWC Energy Services Corp.	Restricted Share Units	McIntyre, Darwin Lloyd	5	2021-01-11	57	0.12	1,643,141	-30,000
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Greene, Brett	5	2021-01-12	22		250,332	13,921
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Nivorozhkin, Alex	5	2021-01-12	22		303,497	16,878
Cybin Inc. (formerly, Clarmin Explorations Inc.)	Subsidiary shares exchangeable into Common Shares	Palfreyman, Michael Gavin	5	2021-01-12	22		83,705	4,655
Cymat Technologies Ltd.	Common Shares	Boone, Horace Shepard	3	2021-01-06	10	0.18	4,875,380	100,000
Cymat Technologies Ltd.	Common Shares	Boone, Horace Shepard	3	2021-01-08	10	0.17	4,975,380	100,000
Cypherpunk Holdings Inc.	Common Shares	YERLY, Blaise F.	4	2021-01-15	11	0.15	8,300,000	250,000
Cypherpunk Holdings Inc.	Warrants Class D	YERLY, Blaise F.	4	2021-01-15	11	0.25	275,000	125,000
Danavation Technologies Corp. (formerly, Wolf's Den Capital Corp.)	Options	Della Fortuna, Michael	4	2021-01-14	00		400,000	
Danavation Technologies Corp.	Options	Suttie, Robert D.B.	5	2021-01-14	00			

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(formerly, Wolf's Den Capital Corp.)								
Danavation Technologies Corp. (formerly, Wolf's Den Capital Corp.)	Options	Suttie, Robert D.B.	5	2021-01-14	50		250,000	250,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Gunter, Jerry Marshall	5	2021-01-05	10	0.16	300,000	-842,000
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Gunter, Jerry Marshall	5	2021-01-12	51	0.05	1,942,300	1,642,300
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Options	Gunter, Jerry Marshall	5	2021-01-12	51	0.05	3,107,700	-1,642,300
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2021-01-08	10	0.095	2,352,809	36,110
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2019-04-07	00			
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2021-01-08	10	0.095	18,550	18,550
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2019-04-07	00			
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2021-01-08	10	0.1	13,000	13,000
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2021-01-08	10	0.095	539,300	526,300
Decibel Cannabis Company Inc.	Common Shares	Kelly, Michael Grant	4	2021-01-08	10	0.1	477,191	1,000
Decibel Cannabis Company Inc.	Common Shares	Kelly, Michael Grant	4	2021-01-11	10	0.1	482,191	5,000
Delta 9 Cannabis Inc.	Common Shares	Aird, Hugh Houser	4	2021-01-13	10	0.5017	150,000	-150,000
Denison Mines Corp.	Common Shares	Hochstein, Ronald F.	4	2021-01-14	51	0.64	1,294,224	50,000
Denison Mines Corp.	Options	Hochstein, Ronald F.	4	2021-01-14	51	0.64	50,000	-50,000
Denison Mines Corp.	Common Shares	McDonald, Gabriel Ernst	5	2021-01-12	51	0.64	364,741	260,300
Denison Mines Corp.	Common Shares	McDonald, Gabriel Ernst	5	2021-01-12	10		104,441	-260,300
Denison Mines Corp.	Options	McDonald, Gabriel Ernst	5	2020-03-23	52		3,530,381	-103,000
Denison Mines Corp.	Options	McDonald, Gabriel Ernst	5	2021-01-12	51	0.64	3,170,081	-260,300
Denison Mines Corp.	Common Shares	Schoonderwoerd, Michael James	5	2021-01-14	10	0.97	65,550	-71,000
Denison Mines Corp.	Common Shares	Stefan, Catherine Jean Garrett	4	2021-01-14	51	0.64	247,666	50,000
Denison Mines Corp.	Options	Stefan, Catherine Jean Garrett	4	2021-01-14	51	0.64	50,000	-50,000
Desert Mountain Energy Corp.	Common Shares	Schiller, Edward A.	4	2021-01-13	51	0.2	112,500	84,375
Desert Mountain Energy Corp.	Common Shares	Schiller, Edward A.	4	2021-01-13	10	1.6	97,500	-15,000
Desert Mountain Energy Corp.	Options	Schiller, Edward A.	4	2021-01-13	51	0.2	25,000	-84,375
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-17	10	0.38	467,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-21	10	0.4	468,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-22	10	0.41	470,500	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-24	10	0.5	471,500	1,000

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DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-24	10	0.43	472,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-24	10	0.44	473,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-24	10	0.425	474,500	1,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-31	10	0.6335	484,500	10,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-12-31	10	0.59	485,500	1,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-01-13	10	0.73	2,141,934	-16,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-01-13	10	0.74	2,133,434	-8,500
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-01-13	10	0.71	2,127,934	-5,500
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2021-01-13	10	0.7	1,873,434	-254,500
Digital Consumer Dividend Fund	Trust Units	Lauzon, Robert	7	2021-01-08	10	12.255	2,400	400
Discover Wellness Solutions Inc.	Options	Guebert, David Dean	4	2020-10-26	50	0.26	242,500	142,500
Discover Wellness Solutions Inc.	Options	Guebert, David Dean	4	2021-01-06	50	0.26	290,000	47,500
Discover Wellness Solutions Inc.	Rights Restricted Share Units (RSU)	Guebert, David Dean	4	2018-06-22	00			
Discover Wellness Solutions Inc.	Rights Restricted Share Units (RSU)	Guebert, David Dean	4	2021-01-06	53		140,000	140,000
Discovery Metals Corp.	Common Shares	Chevillon, Victor	4	2020-12-17	10	2.08	955,041	-100,000
Discovery Metals Corp.	Common Shares	Chevillon, Victor	4	2020-12-21	10	2.1	920,041	-35,000
Discovery Metals Corp.	Options	Chevillon, Victor	4	2021-01-12	50		650,000	250,000
Discovery Metals Corp.	Options	Dunlop, Andrew Clinton	5	2020-10-15	00			
Discovery Metals Corp.	Options	Dunlop, Andrew Clinton	5	2020-10-16	50	1.84	200,000	200,000
Discovery Metals Corp.	Options	Dunlop, Andrew Clinton	5	2021-01-12	50	1.89	300,000	100,000
Discovery Metals Corp.	Options	Gemmell, Forbes	5	2021-01-13	50	1.89	1,350,000	500,000
Discovery Metals Corp.	Options	L'Abbe, Andreas	5	2021-01-12	50	1.89	1,900,000	500,000
Discovery Metals Corp.	Options	O'Dea, Mark Gerard	4	2021-01-13	50	1.89	1,800,000	400,000
Discovery Metals Corp.	Options	Parr, Jeffrey Scott	4	2021-01-12	50	1.89	1,400,000	400,000
Discovery Metals Corp.	Common Shares	Singh, Taj	5	2021-01-06	54	1	1,770,000	70,000
Discovery Metals Corp.	Options	Singh, Taj	5	2021-01-12	50	1.89	2,700,000	700,000
Discovery Metals Corp.	Warrants	Singh, Taj	5	2021-01-06	54	1	30,000	-70,000
Discovery Metals Corp.	Options	Smith, Moira Tracey	4	2021-01-12	50		1,200,000	400,000
Discovery Metals Corp.	Options	Vickerman, Daniel Keith	4	2021-01-12	50	1.89	814,577	250,000
Discovery Metals Corp.	Options	Wober, Gernot Erich	5	2021-01-12	50	1.89		500,000
Discovery Metals Corp.	Options	Wober, Gernot Erich	5	2021-01-12	50	1.89	1,872,100	500,000
Distinction Energy Corp.	Common Shares Class A	Kiwetinohk Resources Corp.	3	2021-01-15	54		4,870,980	3,348,799
Distinction Energy Corp.	Warrants	Kiwetinohk Resources Corp.	3	2021-01-15	54		0	-3,348,799
Docebo Inc.	Common Shares	Bagini, Martino Inaja	5	2019-10-01	00			
Docebo Inc.	Common Shares	Bagini, Martino Inaja	5	2020-12-07	51	0.8056	10,000	10,000
Docebo Inc.	Common Shares	Bagini, Martino Inaja	5	2020-12-07	51	1.2413	25,000	15,000
Docebo Inc.	Common Shares	Bagini, Martino Inaja	5	2020-12-09	10	65.6	15,000	-10,000
Docebo Inc.	Common Shares	Bagini, Martino Inaja	5	2020-12-10	10	65	0	-15,000
Docebo Inc.	Options	Bagini, Martino Inaja	5	2020-12-07	51	0.8056	267,969	-10,000
Docebo Inc.	Options	Bagini, Martino Inaja	5	2020-12-07	51	1.2413	252,969	-15,000
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.1	628,480	-3,500

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Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.09	623,380	-5,100
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.08	623,180	-200
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.095	621,380	-1,800
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.11	620,980	-400
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.11	621,580	600
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.12	623,380	1,800
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.13	628,480	5,100
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.1	631,780	3,300
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-14	10	15.09	631,980	200
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.05	628,980	-3,000
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.06	625,980	-3,000
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.03	622,980	-3,000
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.08	624,580	1,600
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.09	627,380	2,800
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.055	627,480	100
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.07	630,380	2,900
Dorel Industries Inc.	Subordinate Voting Shares Class B	Schwartz, Jeffrey	3, 4, 5	2021-01-15	10	15.11	631,980	1,600
Dundee Precious Metals Inc.	Rights Deferred Share Units	Donovan, Jaimie	4	2021-01-15	35	9.03	3,133	14
Dundee Precious Metals Inc.	Rights Performance Share Units	Dorfman, Michael Ryan	5	2021-01-15	35	9.11	78,526	341
Dundee Precious Metals Inc.	Rights Restricted Share Units	Dorfman, Michael Ryan	5	2021-01-15	35	9.11	51,330	228
Dundee Precious Metals Inc.	Rights Performance Share Units	Garkov, Iliya	5	2021-01-15	35	9.11	46,340	192
Dundee Precious Metals Inc.	Rights Restricted Share Units	Garkov, Iliya	5	2021-01-15	35	9.11	28,752	119
Dundee Precious Metals Inc.	Rights Deferred Share Units	Gillin, Robert Peter Charles	4	2021-01-15	35	9.03	300,572	1,283
Dundee Precious Metals Inc.	Rights Deferred Share Units	Goodman, Jonathan Carter	4	2021-01-15	35	0.038	616,341	2,599
Dundee Precious Metals Inc.	Rights Performance Share Units	Hristov, Nikolay	7	2021-01-15	35	9.11	71,220	296
Dundee Precious Metals Inc.	Rights Restricted Share Units	Hristov, Nikolay	7	2021-01-15	35	9.11	45,212	188
Dundee Precious Metals Inc.	Rights Performance Share Units	Kasete, Zebra Karirondua	7	2021-01-15	35	9.11	46,462	192
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kasete, Zebra Karirondua	7	2021-01-15	35	9.11	28,752	119
Dundee Precious Metals Inc.	Rights Deferred Share Units	Kinsman, Jeremy	4	2021-01-15	35	9.03	133,991	587
Dundee Precious Metals Inc.	Rights Performance Share Units	Kyle, Hume	5	2021-01-15	35	9.11	150,008	623
Dundee Precious Metals Inc.	Rights Restricted Share Units	Kyle, Hume	5	2021-01-15	35	9.11	95,186	395

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Dundee Precious Metals Inc.	Rights Deferred Share Units	Montalvo, Juanita	4	2021-01-15	35	9.03	139,617	592
Dundee Precious Metals Inc.	Rights Deferred Share Units	Nixon, Peter	4	2021-01-15	35	9.03	167,367	732
Dundee Precious Metals Inc.	Rights Performance Share Units	RAE, DAVID	5	2021-01-15	35	9.11	198,897	826
Dundee Precious Metals Inc.	Rights Restricted Share Units	RAE, DAVID	5	2021-01-15	35	9.11	141,294	587
Dundee Precious Metals Inc.	Rights Performance Share Units	Stark-Anderson, Kelly Elizabeth	5	2021-01-15	35	9.11	69,510	288
Dundee Precious Metals Inc.	Rights Restricted Share Units	Stark-Anderson, Kelly Elizabeth	5	2021-01-15	35	9.11	49,315	205
Dundee Precious Metals Inc.	Rights Deferred Share Units	Tawil, Marie-Anne	4	2021-01-15	35	9.03	194,224	823
Dundee Precious Metals Inc.	Rights Deferred Share Units	Walsh, Anthony P.	3	2021-01-15	35	9.03	198,799	848
Dundee Precious Metals Inc.	Rights Deferred Share Units	Young, Donald Walter	4	2021-01-15	35	9.03	123,230	538
Dye & Durham Limited	Common Shares	MacCready, Charles Ford	5	2021-01-08	51	2.75	119,883	94,120
Dye & Durham Limited	Common Shares	MacCready, Charles Ford	5	2021-01-08	15	42.75	25,763	-94,120
Dye & Durham Limited	Options	MacCready, Charles Ford	5	2021-01-08	51		478,852	-94,120
Dye & Durham Limited	Common Shares	Plantro Ltd.	3	2021-01-08	15	42.75	6,159,071	-2,249,820
Dye & Durham Limited	Common Shares	Robinson, John	5	2020-12-10	00			
Dye & Durham Limited	Common Shares	Robinson, John	5	2021-01-08	51	33.75	70,490	70,490
Dye & Durham Limited	Common Shares	Robinson, John	5	2021-01-08	15	42.75	0	-70,490
Dye & Durham Limited	Options	Robinson, John	5	2021-01-08	51		279,510	-70,490
Dye & Durham Limited	Common Shares	Seastone Invest Limited	3	2020-09-30	11	42.75		-694,500
Dye & Durham Limited	Common Shares	Seastone Invest Limited	3	2020-09-30	11	42.75		-694,500
Dye & Durham Limited	Common Shares	Seastone Invest Limited	3	2021-01-05	11	42.75		-694,500
Dye & Durham Limited	Common Shares	Seastone Invest Limited	3	2021-01-05	11	42.75		-694,500
Dye & Durham Limited	Common Shares	Seastone Invest Limited	3	2021-01-08	11	42.75	5,758,879	-694,500
Dye & Durham Limited	Common Shares	Tong, Eric	5	2021-01-08	51	2.75	139,386	94,120
Dye & Durham Limited	Common Shares	Tong, Eric	5	2021-01-08	15	42.75	45,266	-94,120
Dye & Durham Limited	Options	Tong, Eric	5	2021-01-08	51		478,852	-94,120
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Lu, Richard	4	2021-01-11	10	0.58	504,000	-96,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Lu, Richard	4	2021-01-12	10	0.59	500,000	-4,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Lu, Richard	4	2021-01-14	10	0.75	400,000	-100,000
Dynacor Gold Mines Inc.	Common Shares	ROCHA, ISABEL	4	2021-01-14	10	1.82	18,725	5,500
E3 Metals Corp.	Options	Doornbos, Christopher	4	2021-01-13	50	1.38	600,000	100,000
E3 Metals Corp.	Common Shares	Reinhart, Paul Gerard	4	2019-12-19	11	0.4	375,000	125,000
E3 Metals Corp.	Options	Reinhart, Paul Gerard	4	2019-05-31	50	0.43	75,000	75,000
E3 Metals Corp.	Options	Reinhart, Paul Gerard	4	2020-04-22	50	0.4	225,000	150,000
E3 Metals Corp.	Options	Reinhart, Paul Gerard	4	2020-11-09	50	0.7	375,000	150,000
E3 Metals Corp.	Warrants	Reinhart, Paul Gerard	4	2017-05-30	00			
E3 Metals Corp.	Warrants	Reinhart, Paul Gerard	4	2019-12-19	11	0.6	62,500	62,500
E3 Metals Corp.	Options	Varshney, Peeyush Kumar	4	2021-01-13	50	1.38	300,000	100,000
Eclipse Gold Mining Corporation	Subscription Receipts	Allen, Michael	4, 5	2020-02-07	00			
Eclipse Gold Mining Corporation	Subscription Receipts	Allen, Michael	4, 5	2021-01-14	16	0.5	240,000	240,000
Eclipse Gold Mining Corporation	Subscription Receipts	de Groot, Marcel H.	4	2020-02-07	00			

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Eclipse Gold Mining Corporation	Subscription Receipts	de Groot, Marcel H.	4	2021-01-14	16	0.5	250,000	250,000
Eclipse Gold Mining Corporation	Subscription Receipts	De Witt, Hayley	4	2020-02-07	00			
Eclipse Gold Mining Corporation	Subscription Receipts	De Witt, Hayley	4	2021-01-14	16	0.5	200,000	200,000
Eclipse Gold Mining Corporation	Subscription Receipts	Hurst, Douglas	4	2020-02-07	00			
Eclipse Gold Mining Corporation	Subscription Receipts	Hurst, Douglas	4	2021-01-14	16	0.5	1,200,000	1,200,000
Eclipse Gold Mining Corporation	Subscription Receipts	Sundar, Jeffrey Rohit	4	2020-02-07	00			
Eclipse Gold Mining Corporation	Subscription Receipts	Sundar, Jeffrey Rohit	4	2021-01-14	16	0.5	200,000	200,000
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2021-01-07	10	0.463	537,800	12,500
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2021-01-11	10	0.463	563,000	25,200
Element 29 Resources Inc.	Common Shares	Elliott, David Brian	6	2021-01-13	10	0.463	563,300	300
Emera Incorporated	Common Shares	Greer, Sandra	7	2021-01-11	10	52	6,190	480
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Askew, James	4	2020-10-08	56	24.89		301,356
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Askew, James	4	2020-10-08	56	24.89	20,953	301
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Askew, James	4	2021-01-11	56	23.32		321,556
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Askew, James	4	2021-01-11	56	23.32	21,275	322
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Baker, Alison	4	2020-10-08	56	24.89		401,808
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Baker, Alison	4	2020-10-08	56	24.89	402	402
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Baker, Alison	4	2021-01-11	57	23.32		428,742
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Baker, Alison	4	2021-01-11	57	23.32	831	429
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Beckett, Michael E.	4, 5	2020-10-08	56	24.89		837,100
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Beckett, Michael E.	4, 5	2020-10-08	56	24.89	81,808	837
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Beckett, Michael E.	4, 5	2021-01-11	56	23.32		786,027
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Beckett, Michael E.	4, 5	2021-01-11	56	23.32	82,594	786
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Bianchi, Sofia	4	2020-10-08	56	24.89		602,712
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Bianchi, Sofia	4	2020-10-08	56	24.89	1,134	603

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Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Bianchi, Sofia	4	2021-01-11	56	23.32		535,928
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Bianchi, Sofia	4	2021-01-11	56	23.32	1,670	536
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Cartier, H�el�ene	4	2020-10-08	56	24.89		883,978
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Cartier, H�el�ene	4	2020-10-08	56	24.89	884	884
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Cartier, H�el�ene	4	2021-01-11	57	23.32		943,233
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Cartier, H�el�ene	4	2021-01-11	57	23.32	1,827	943
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Mahler, Livia	4	2020-10-08	56	24.89		1,115,017
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Mahler, Livia	4	2020-10-08	56	24.89	14,551	1,115
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Mahler, Livia	4	2021-01-11	56	23.32		1,082,574
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Mahler, Livia	4	2021-01-11	56	23.32	15,634	1,083
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Zongo, Tertius	4	2020-10-08	56	24.89		642,893
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Zongo, Tertius	4	2020-10-08	56	24.89	643	643
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Zongo, Tertius	4	2021-01-11	57	23.32		685,987
Endeavour Mining Corporation	Deferred Share Units (Cash payment on Redemption)	Zongo, Tertius	4	2021-01-11	57	23.32	1,329	686
Endeavour Silver Corp.	Common Shares	Dickson, Daniel	5	2021-01-05	51	4.32	99,889	60,664
Endeavour Silver Corp.	Common Shares	Dickson, Daniel	5	2021-01-05	10	7.2	39,889	-60,000
Endeavour Silver Corp.	Options	Dickson, Daniel	5	2021-01-05	51		662,000	-150,000
Enerflex Ltd.	Common Shares	Bishnoi, Sanjay	5	2020-12-31	30		976	937
Enerflex Ltd.	Rights Performance Share Units	Bishnoi, Sanjay	5	2020-12-31	30		126,455	1,841
Enerflex Ltd.	Rights Restricted Share Units	Bishnoi, Sanjay	5	2020-12-31	30		43,217	177
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Boswell, Robert Stephen	4	2020-12-31	30		54,077	996
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Cormier Jackson, Maureen Ellen	4	2020-12-31	30		71,680	1,319
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Dunn, William Byron	4	2020-12-31	30		142,163	3,886
Enerflex Ltd.	Common Shares	Izett, David Hamilton	5	2019-09-09	00			
Enerflex Ltd.	Common Shares	Izett, David Hamilton	5	2020-12-31	30		1,254	1,254
Enerflex Ltd.	Rights Performance Share Units	Izett, David Hamilton	5	2020-12-31	30		61,188	890
Enerflex Ltd.	Rights Restricted Share Units	Izett, David Hamilton	5	2020-12-31	30		20,912	86

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Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Marshall, H. Stanley	4	2020-12-31	30		113,989	3,600
Enerflex Ltd.	Common Shares	Martinez, Patricia	5	2020-12-31	30		7,715	2,682
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Martinez, Patricia	5	2020-12-31	30		57,188	2,123
Enerflex Ltd.	Rights Performance Share Units	Martinez, Patricia	5	2020-12-31	30		136,288	3,320
Enerflex Ltd.	Rights Restricted Share Units	Martinez, Patricia	5	2020-12-31	30		38,994	159
Enerflex Ltd.	Common Shares	Paravi, Anna	7	2020-12-31	30		5,721	1,538
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Pyle, Phillip	5	2020-12-31	30		37,169	1,265
Enerflex Ltd.	Rights Performance Share Units	Pyle, Phillip	5	2020-12-31	30		47,874	1,173
Enerflex Ltd.	Rights Restricted Share Units	Pyle, Phillip	5	2020-12-31	30		13,655	56
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Reinhart, Kevin Jerome	4	2020-12-31	30		77,118	1,416
Enerflex Ltd.	Common Shares	Rossiter, Marc Edward	5	2020-12-31	30		4,766	1,471
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Rossiter, Marc Edward	5	2020-12-31	30		89,371	2,690
Enerflex Ltd.	Rights Performance Share Units	Rossiter, Marc Edward	5	2020-12-31	30		476,336	10,160
Enerflex Ltd.	Rights Restricted Share Units	Rossiter, Marc Edward	5	2020-12-31	30		128,133	524
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Savidant, Stephen James	4	2020-12-31	30		224,666	6,396
Enerflex Ltd.	Common Shares	Stewart, Gregory Dean	5	2020-12-31	30		6,774	3,880
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Stewart, Gregory Dean	5	2020-12-31	30		33,593	1,248
Enerflex Ltd.	Rights Performance Share Units	Stewart, Gregory Dean	5	2020-12-31	30		134,694	2,921
Enerflex Ltd.	Rights Restricted Share Units	Stewart, Gregory Dean	5	2020-12-31	30		38,664	158
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Villegas, Juan Carlos	4	2020-12-31	30		45,176	439
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Weill, Michael	4	2020-12-31	30		71,436	2,021
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	WESLEY, HELEN JUNE	4	2020-12-31	30		118,195	2,992
Energy Fuels Inc.	Common Shares	Nazareus, Dee Ann	5	2021-01-14	10	4.3	6,408	-16,017
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	Bernofsky, Eric	5	2019-08-30	00			
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	Bernofsky, Eric	5	2020-12-31	54	0.374	350,000	350,000
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Warrants	Bernofsky, Eric	5	2019-08-30	00			
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Warrants	Bernofsky, Eric	5	2020-12-31	11	0.374	350,000	350,000
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Warrants	Bernofsky, Eric	5	2020-12-31	54	0.374	0	-350,000
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Common Shares	kestenbaum, Menashe	4, 5	2020-12-29	54	0.374	1,286,084	483,452
Enthusiast Gaming Holdings Inc. (formerly J55 Capital Corp.)	Warrants	kestenbaum, Menashe	4, 5	2020-12-29	54	0.374	218,126	-483,452

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Epsilon Energy Ltd.	Common Shares	Roebuck, Ryan	4	2021-01-11	56		46,000	11,000
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-12	47		2,178,626	-80,000
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-07	10	1.72	2,610,488	-23,400
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-07	10	1.7	2,608,888	-1,600
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-07	10	1.73	295,662	21,600
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-07	10	1.71	298,862	3,200
EQ Inc.	Common Shares	Lobo, Vernon	4, 6	2021-01-07	10	1.72	299,062	200
Equitable Group Inc.	Rights Deferred Share Units	Beutel, Eric Marshall	4, 6	2020-05-25	56	56.29	10,943	888
Equitable Group Inc.	Rights Deferred Share Units	Beutel, Eric Marshall	4, 6	2020-12-31	30			227
Equitable Group Inc.	Rights Deferred Share Units	Beutel, Eric Marshall	4, 6	2020-12-31	30			227
Equitable Group Inc.	Rights Deferred Share Units	Beutel, Eric Marshall	4, 6	2020-12-31	30		11,948	1,005
Equitable Group Inc.	Rights Deferred Share Units	Ericksen, Susan	4	2020-05-25	56	56.29	2,731	888
Equitable Group Inc.	Rights Deferred Share Units	Ericksen, Susan	4	2020-12-31	30			55
Equitable Group Inc.	Rights Deferred Share Units	Ericksen, Susan	4	2020-12-31	30			55
Equitable Group Inc.	Rights Deferred Share Units	Ericksen, Susan	4	2020-12-31	30		3,113	382
Equitable Group Inc.	Rights Deferred Share Units	Giard, Diane	4	2020-12-31	30			1
Equitable Group Inc.	Rights Deferred Share Units	Giard, Diane	4	2020-12-31	30			1
Equitable Group Inc.	Rights Deferred Share Units	Giard, Diane	4	2020-12-31	30		252	32
Equitable Group Inc.	Rights Deferred Share Units	Kapoor, Kishore	4	2020-05-25	56	56.29	4,770	888
Equitable Group Inc.	Rights Deferred Share Units	Kapoor, Kishore	4	2020-12-31	30		4,863	93
Equitable Group Inc.	Rights Deferred Share Units	Kim, Yongah	4	2020-12-31	30			1
Equitable Group Inc.	Rights Deferred Share Units	Kim, Yongah	4	2020-12-31	30			1
Equitable Group Inc.	Rights Deferred Share Units	Kim, Yongah	4	2020-12-31	30		236	16
Equitable Group Inc.	Rights Deferred Share Units	LeGresley, David Malcolm Balfour	4	2020-05-25	56	56.29	14,812	1,954
Equitable Group Inc.	Rights Deferred Share Units	LeGresley, David Malcolm Balfour	4	2020-12-31	30			300
Equitable Group Inc.	Rights Deferred Share Units	LeGresley, David Malcolm Balfour	4	2020-12-31	30			300
Equitable Group Inc.	Rights Deferred Share Units	LeGresley, David Malcolm Balfour	4	2020-12-31	30		15,889	1,077
Equitable Group Inc.	Rights Deferred Share Units	Saunders, Rowan	4	2020-05-25	56	56.29	6,684	888
Equitable Group Inc.	Rights Deferred Share Units	Saunders, Rowan	4	2020-12-31	30			138
Equitable Group Inc.	Rights Deferred Share Units	Saunders, Rowan	4	2020-12-31	30			138
Equitable Group Inc.	Rights Deferred Share Units	Saunders, Rowan	4	2020-12-31	30		7,529	845
Equitable Group Inc.	Rights Deferred Share Units	Stramaglia, Michael	4	2020-05-25	56	56.29	4,944	888
Equitable Group Inc.	Rights Deferred Share Units	Stramaglia, Michael	4	2020-12-31	30			98
Equitable Group Inc.	Rights Deferred Share Units	Stramaglia, Michael	4	2020-12-31	30			98

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Equitable Group Inc.	Rights Deferred Share Units	Stramaglia, Michael	4	2020-12-31	30		5,148	204
Equitable Group Inc.	Rights Restricted Share Units	Westlake, Chadwick	5	2020-12-31	30		6,845	25
ESG GLOBAL IMPACT CAPITAL INC.	Common Shares	Watters, Nicholas	4	2020-04-07	00			
ESG GLOBAL IMPACT CAPITAL INC.	Common Shares	Watters, Nicholas	4	2021-01-16	11		50,000	50,000
ESG GLOBAL IMPACT CAPITAL INC.	Warrants	Watters, Nicholas	4	2020-04-07	00			
ESG GLOBAL IMPACT CAPITAL INC.	Warrants	Watters, Nicholas	4	2021-01-16	11		50,000	50,000
Essential Energy Services Ltd.	Options	Amundson, Garnet K.	4, 5	2021-01-07	52	0.55	905,000	-430,000
Essential Energy Services Ltd.	Rights DSU	Amundson, Garnet K.	4, 5	2021-01-08	56			2,318,182
Essential Energy Services Ltd.	Rights DSU	Amundson, Garnet K.	4, 5	2021-01-08	56		4,218,951	2,318,182
Essential Energy Services Ltd.	Options	Heck, Eldon	5	2021-01-07	52	0.55	538,417	-180,000
Essential Energy Services Ltd.	Options	NEWMAN, JEFFREY BURT	5	2021-01-07	52	0.55	402,583	-255,000
Essential Energy Services Ltd.	Options	PERASALO, KAREN DENISE	5	2021-01-07	52	0.55	372,583	-180,000
European Residential Real Estate Investment Trust	Options	Co, Stephen	5	2021-01-01	00		30,000	
European Residential Real Estate Investment Trust	Trust Units	Co, Stephen	5	2021-01-01	00		40,830	
Evergold Corp.	Common Shares	Moore, Rosalie C.	4	2021-01-14	54		187,500	62,500
Evergold Corp.	Warrants	Moore, Rosalie C.	4	2021-01-14	54		0	-62,500
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-01-11	10	13	294,800	-17,100
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-01-12	10	13	290,100	-4,700
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-01-13	10	13	286,900	-3,200
Excellon Resources Inc.	Common Shares	Cahill, Brendan Thomas	4, 5	2021-01-04	57	3.78	148,595	18,961
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2020-09-10	37			-538,421
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2020-09-10	37		134,621	-538,501
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2021-01-04	57	3.78	98,545	-23,554
Excellon Resources Inc.	Deferred Share Units	Lindsay, Craig Thomas	4	2020-09-10	37		16,962	-67,850
Excellon Resources Inc.	Deferred Share Units	Lindsay, Craig Thomas	4	2020-12-31	56		22,153	2,660
Excellon Resources Inc.	Options	Lindsay, Craig Thomas	4	2020-04-24	00			
Excellon Resources Inc.	Options	Lindsay, Craig Thomas	4	2020-04-24	00		678,664	
Excellon Resources Inc.	Options	Lindsay, Craig Thomas	4	2020-09-10	37		82,161	-328,646
Excellon Resources Inc.	Deferred Share Units	Norwich, Roger	4	2020-12-31	56		22,714	3,324
Experion Holdings Ltd. (formerly Viridium Pacific Group Ltd.)	Options	Medwid, Daryn Scott	5	2021-01-03	00		100,000	

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Experion Holdings Ltd. (formerly Viridium Pacific Group Ltd.)	Options	Medwid, Daryn Scott	5	2021-01-14	50	0.155	200,000	100,000
Exro Technologies Inc.	Common Shares	Ozdemir, Sue	5	2021-01-07	10	4.2	-43,463	-80,500
Exro Technologies Inc.	Common Shares	Ozdemir, Sue	5	2021-01-08	10	4.21	-64,663	-21,200
Exro Technologies Inc.	Common Shares	Ozdemir, Sue	5	2021-01-08	10	4.2	-86,463	-21,800
Exro Technologies Inc.	Common Shares	Ozdemir, Sue	5	2021-01-12	51	0.25	37,037	123,500
Exro Technologies Inc.	Options	Ozdemir, Sue	5	2021-01-12	51	0.25	2,328,800	-123,500
Extendicare Inc.	Rights - Deferred Share Units	Beauchamp, Norma	4	2020-12-31	56		9,537	4,816
Extendicare Inc.	Rights - Performance Share Units	Fountain, Jillian Elizabeth	5	2020-12-31	30		29,948	2,136
Extendicare Inc.	Rights - Deferred Share Units	Guerriere, Michael Robert	4, 5	2020-12-31	56			906
Extendicare Inc.	Rights - Deferred Share Units	Guerriere, Michael Robert	4, 5	2020-12-31	30		12,196	906
Extendicare Inc.	Rights - Deferred Share Units	Hanington, Sandra Lynn	4	2020-12-31	56		37,375	12,634
Extendicare Inc.	Rights - Deferred Share Units	Hibben, Alan Roy	4	2020-12-31	56		91,362	26,557
Extendicare Inc.	Rights - Deferred Share Units	Houlden, Brent	4	2020-12-31	56		8,677	8,677
Extendicare Inc.	Rights - Deferred Share Units	Kingelin, Donna Elaine	4	2020-12-31	56		56,289	12,394
Extendicare Inc.	Rights - Deferred Share Units	Mawani, Al	4	2020-12-31	56		24,063	10,002
Extendicare Inc.	Rights - Deferred Share Units	Torrie, Alan D.	4	2020-12-31	56		125,936	37,284
Far Resources Ltd.	Common Shares	Dinning, Robert	4, 5	2020-09-11	00		800,000	
Far Resources Ltd.	Options	Dinning, Robert	4, 5	2020-09-11	00			
Far Resources Ltd.	Options	Dinning, Robert	4, 5	2020-11-24	50	0.08	2,000,000	2,000,000
Far Resources Ltd.	Warrants	Dinning, Robert	4, 5	2020-09-11	00		300,000	
Far Resources Ltd.	Common Shares	Van Andel, Marius Alexander	8	2020-01-11	00		900,000	
Far Resources Ltd.	Options	Van Andel, Marius Alexander	8	2020-01-11	00		250,000	
Far Resources Ltd.	Warrants	Van Andel, Marius Alexander	8	2020-01-11	00		600,000	
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-01-07	10	0.14	20,596,311	55,500
Fidelity Minerals Corp.	Common Shares	Lions Bay Capital Inc.	3	2021-01-13	10	0.115	20,637,811	41,500
Fiera Capital Corporation	Subordinate Voting Shares Class A	Kumbhani, Nitin N.	4	2021-01-12	10	11.74	2,164,730	-6,700
Fiera Capital Corporation	Subordinate Voting Shares Class A	Kumbhani, Nitin N.	4	2021-01-12	10	11.72	2,161,430	-3,300
Fiera Capital Corporation	Subordinate Voting Shares Class A	Kumbhani, Nitin N.	4	2021-01-12	10	11.71	2,153,730	-7,700
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-09-30	10	0.0997	1,780,000	1,780,000
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-10-07	00			
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-11-10	46	0.085	825,000	825,000
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-09-29	10	0.08	1,468,000	1,468,000
Fiore Cannabis Ltd.	Common Shares	Rexing, Dylan Joseph	4	2020-10-07	00			
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2021-01-14	51	11.7	5,000	5,000
Firm Capital Mortgage Investment Corporation	Options	Baril, Boris	5	2021-01-14	51	11.7	75,000	-5,000
Firm Capital Property Trust	Options	WALT, MANFRED	4	2021-01-07	51	6.05	125,000	-30,000
Firm Capital Property Trust	Units	WALT, MANFRED	4	2021-01-07	51	6.05	264,511	30,000
First Cobalt Corp.	Common Shares	Campbell, Peter Scott	5	2021-01-13	57		389,426	66,666

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First Cobalt Corp.	Common Shares	Campbell, Peter Scott	5	2021-01-13	54		486,426	97,000
First Cobalt Corp.	Common Shares	Campbell, Peter Scott	5	2021-01-13	51		653,092	166,666
First Cobalt Corp.	Common Shares	Campbell, Peter Scott	5	2021-01-14	10	0.305	383,092	-270,000
First Cobalt Corp.	Options	Campbell, Peter Scott	5	2021-01-13	51		1,698,334	-166,666
First Cobalt Corp.	Rights Restricted Share Units	Campbell, Peter Scott	5	2021-01-13	57		133,334	-66,666
First Cobalt Corp.	Warrants	Campbell, Peter Scott	5	2021-01-13	54		25,000	-72,000
First Cobalt Corp.	Warrants	Campbell, Peter Scott	5	2021-01-13	54		0	-25,000
First Cobalt Corp.	Common Shares	Pollesel, John Joseph	4	2021-01-12	10	0.34	150,000	-200,000
First Energy Metals Limited	Common Shares	McLennan, Lyle	4	2021-01-08	10	0.1525	313,500	12,000
First Energy Metals Limited	Common Shares	McLennan, Lyle	4	2021-01-13	10	0.1489	351,000	37,500
Foraco International SA	Common Shares	Foraco International SA	1	2020-10-20	38	0.52	175,041	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-02	38	0.53	183,073	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-05	38	0.54	185,081	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-06	38	0.54	187,089	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-09	38	0.53	189,097	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-12	38	0.53	191,105	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-16	38	0.53	193,113	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-17	38	0.53	195,121	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-18	38	0.53	197,129	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-18	38	0.53		2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-19	38	0.53	199,137	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-20	38	0.53	201,145	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-23	38	0.49	203,145	2,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-24	38	0.49	205,153	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-11-25	38	0.5	207,161	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-03	38	0.52	209,169	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-04	38	0.52	211,177	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-09	38	0.53	216,177	5,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-10	38	0.53	218,185	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-11	38	0.53	220,193	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-14	38	0.52	270,193	50,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-15	38	0.5	272,193	2,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-15	38	0.5		-33,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-15	30	0.5	239,193	-33,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-16	38	0.51	241,201	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-17	38	0.5	243,209	2,008
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-21	38	0.5	248,209	5,000
Foraco International SA	Common Shares	Foraco International SA	1	2020-12-30	38	0.485	298,209	50,000
Foremost Income Fund	Options	Grenon, John-Paul	4	2021-01-07	50		30,000	20,000
Foremost Income Fund	Options	Grenon, John-Paul	4	2021-01-11	38		20,000	-10,000
Foremost Income Fund	Options	Grenon, John-Paul	4	2021-01-11	50		30,000	10,000
Foremost Income Fund	Options	Mittelstaedt, Shaun Herbert	5	2013-06-01	00			
Foremost Income Fund	Options	Mittelstaedt, Shaun Herbert	5	2021-01-07	50		20,000	20,000
Foremost Income Fund	Options	O'Grady, Adair	5	2018-06-18	00			
Foremost Income Fund	Options	O'Grady, Adair	5	2021-01-07	50		20,000	20,000
Foremost Income Fund	Options	Stang, Louis James	5	2017-07-17	00			
Foremost Income Fund	Options	Stang, Louis James	5	2021-01-07	50		15,000	15,000
Fortune Minerals Limited	Options	Goad, Robin Ellis	4, 5	2021-01-12	50	0.095	3,460,000	1,250,000
Fortune Minerals Limited	Options	Knight, David Allan	4, 5	2021-01-12	50	0.095	200,000	100,000
Fortune Minerals Limited	Options	McVey, John Wallace	6	2021-01-12	50	0.095	1,750,000	500,000

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Fortune Minerals Limited	Options	Naik, Mahendra	4	2021-01-11	50	0.095	3,985,000	750,000
Fortune Minerals Limited	Options	Penney, Patricia-Lynn	5	2021-01-12	50		850,000	500,000
Fortune Minerals Limited	Common Shares	Ramsay, Yazmarr David	4	2011-01-12	10	0.09	464,571	25,000
Fortune Minerals Limited	Common Shares	Ramsay, Yazmarr David	4	2021-01-11	38	0.01	692,571	-140,000
Fortune Minerals Limited	Common Shares	Ramsay, Yazmarr David	4	2021-01-11	10	0.01	883,071	190,500
Fortune Minerals Limited	Options	Ramsay, Yazmarr David	4	2021-01-14	50	0.095	1,700,000	400,000
Fortune Minerals Limited	Options	Schryer, Richard Philippe	5	2021-01-14	50	0.095	1,125,000	500,000
Fox River Resources Corporation	Common Shares	Leonard, Elizabeth Anne	4	2021-01-13	10	0.14	460,750	80,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	McDonald, John Angus	4	2021-01-14	10		460,000	-10,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Mitchell, John Christopher	5	2021-01-07	10		960,610	-19,500
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	Mitchell, John Christopher	5	2021-01-08	10		960,110	-500
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	2017-11-09	00		412,500	
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	2021-01-12	51	0.25		175,000
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	2021-01-12	51	0.25		175,000
FRONTIER LITHIUM INC.	Common Shares	Didone, John Ralph	4	2021-01-12	51	0.25	587,500	175,000
FRONTIER LITHIUM INC.	Options	Didone, John Ralph	4	2021-01-12	51	0.25	335,000	-175,000
Gabriel Resources Ltd.	Options	Cramer, Dag Lars	4	2021-01-14	50		462,000	87,000
Gabriel Resources Ltd.	Rights DSUs	Cramer, Dag Lars	4	2021-01-14	56		740,560	136,364
Gabriel Resources Ltd.	Options	Erfan, Ali Reza	4	2021-01-14	50		425,451	267,000
Gabriel Resources Ltd.	Options	Peat, David W.	7	2021-01-14	50		462,000	87,000
Gabriel Resources Ltd.	Rights DSUs	Peat, David W.	7	2021-01-14	56		681,402	80,509
Gabriel Resources Ltd.	Options	Segsworth, Walter Thomas	7	2021-01-15	50	0.22	1,177,483	87,000
Gabriel Resources Ltd.	Options	Segsworth, Walter Thomas	7	2021-01-15	50	0.22	1,257,700	80,217
Gabriel Resources Ltd.	Options	Stairs, Janice Alayne	7	2021-01-14	50	0.22	468,027	87,000
Gabriel Resources Ltd.	Options	Stairs, Janice Alayne	7	2021-01-14	50	0.22	558,272	90,245
Gallagher Security Corp.	Common Shares	Randhawa, Devinder	4	2021-01-10	11	0.05	6,129,982	-2,000,000
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-08	10	0.25	4,670,500	95,500
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-11	10	0.25	4,675,000	4,500
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-12	10	0.26	4,750,000	75,000
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-13	10	0.27	4,850,000	100,000
Gambier Gold Corp.	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-01-14	10	0.28	4,895,500	45,500
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-01-11	10	0.2	1,878,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-01-12	10	0.195	1,879,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-01-13	10	0.19	1,880,186	1,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-01-14	10	0.195	1,883,186	3,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2021-01-15	10	0.2	1,884,186	1,000

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Geodrill Limited	Common Shares	Geodrill Limited	1	2020-12-10	38	1.57	300	300
GetSwift Technologies Limited	Common Shares	Frischer, Charles Lawrence	3	2021-01-13	00			
GetSwift Technologies Limited	Common Shares	Frischer, Charles Lawrence	3	2021-01-13	00		257,142	
GetSwift Technologies Limited	Common Shares	Frischer, Charles Lawrence	3	2021-01-13	00			
GetSwift Technologies Limited	Common Shares	Frischer, Charles Lawrence	3	2021-01-13	00		2,921,691	
GetSwift Technologies Limited	Options	Frischer, Charles Lawrence	3	2021-01-13	00		1,388,167	
GetSwift Technologies Limited	Common Shares	Hunter, Bane	4, 5	2021-01-05	00			
GetSwift Technologies Limited	Common Shares	Hunter, Bane	4, 5	2021-01-13	36		3,075,946	3,075,946
GetSwift Technologies Limited	Common Shares	Mogridge, Carl	4	2021-01-05	00			
GetSwift Technologies Limited	Common Shares	Mogridge, Carl	4	2021-01-13	36		21,429	21,429
GetSwift Technologies Limited	Common Shares	Wilson, John	4	2021-01-05	00			
GetSwift Technologies Limited	Common Shares	Wilson, John	4	2021-01-13	36		11,214	11,214
Global Atomic Corporation	Common Shares	Faucher, Richard Regis	4	2021-01-11	30	0.275	243,182	218,182
Global Atomic Corporation	Common Shares	Faucher, Richard Regis	4	2021-01-11	30	0.25	325,000	81,818
Global Atomic Corporation	Options	Faucher, Richard Regis	4	2019-08-14	50		500,000	150,000
Global Atomic Corporation	Options	Faucher, Richard Regis	4	2021-01-11	51	0.275		218,182
Global Atomic Corporation	Options	Faucher, Richard Regis	4	2021-01-11	51	0.275	281,818	-218,182
Global Atomic Corporation	Options	Faucher, Richard Regis	4	2021-01-11	51	0.25		81,818
Global Atomic Corporation	Options	Faucher, Richard Regis	4	2021-01-11	51	0.25	200,000	-81,818
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-01-08	38	14.68	1,204,300	1,300
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-01-11	38	14.903	1,205,400	1,100
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2021-01-12	38	14.819	1,206,700	1,300
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2021-01-08	38	13.93	661,000	400
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2021-01-11	38	14.079	662,300	1,300
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2021-01-13	38	14.222	662,900	600
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Lauzon, Robert	7	2018-10-25	00			
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Lauzon, Robert	7	2021-01-07	10	13.967	1,000	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-01-04	10	0.17	26,466,201	5,000
Gold Mountain Mining Corp. (formerly Freeform Capital Partners Inc.)	Common Shares	Carlson, Grant	5	2021-01-06	10	0.8	437,516	2,000

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Gold Mountain Mining Corp. (formerly Freeform Capital Partners Inc.)	Common Shares	Carlson, Grant	5	2021-01-07	10	0.83	442,516	5,000
Gold Mountain Mining Corp. (formerly Freeform Capital Partners Inc.)	Common Shares	Carlson, Grant	5	2021-01-07	10	0.8	445,516	3,000
Gold Mountain Mining Corp. (formerly Freeform Capital Partners Inc.)	Common Shares	Carlson, Grant	5	2021-01-07	10	0.82	455,516	10,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2021-01-08	10	0.085	2,012,000	70,000
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2021-01-12	10	0.115	615,000	14,000
Golden Share Resources Corporation	Common Shares	Zeng, Nick Nianqing	4, 5	2021-01-13	10	0.105	3,367,878	2,500
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Finkielsztain, Andres	4	2021-01-11	57	2.46	73,448	10,163
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Finkielsztain, Andres	4	2021-01-11	57	2.46	40,940	-10,163
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2021-01-08	10	3.2	59,069	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2021-01-11	57	2.46	64,870	5,801
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2021-01-11	10	3.15	59,870	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Fray, steve	5	2021-01-11	57	2.46	171,382	-5,801
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-11	57	2.46	593,164	18,030
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-14	10	3.1	588,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-14	10	3.15	583,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-14	10	3.18	578,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-15	10	3.55	573,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-15	10	3.57	568,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2021-01-15	10	3.6	563,164	-5,000
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Premoli, Alessandro	5	2021-01-11	57	2.46	83,334	-18,030
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Turk, James J	4	2021-01-11	57	2.46	2,193,824	14,025
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Turk, James J	4	2021-01-11	57	2.46	0	-14,025
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Chazonoff, Danny	4	2019-06-26	00			
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Chazonoff, Danny	4	2021-01-15	16	0.09	7,222,222	7,222,222
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	McRoberts, James	3	2021-01-15	16	0.09	34,471,646	4,166,666
GOLO Mobile Inc. (formerly, HAW Capital Corp.)	Common Shares	Paysafe UK GOLO Holdco Limited	3	2021-01-15	16	0.09	101,307,188	27,777,777

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good natured Products Inc.	Common Shares	Antoniadis, Paul John	4	2021-01-14	54	0.1	2,666,999	433,333
good natured Products Inc. (formerly Solegear Bioplastic Technologies Inc.)	Warrants	Antoniadis, Paul John	4	2018-02-28	53	0.1		195,000
good natured Products Inc. (formerly Solegear Bioplastic Technologies Inc.)	Warrants	Antoniadis, Paul John	4	2018-02-28	53	0.1		433,290
good natured Products Inc. (formerly Solegear Bioplastic Technologies Inc.)	Warrants	Antoniadis, Paul John	4	2018-02-28	53	0.1	860,299	-433,290
Grande West Transportation Group Inc.	Options	McGrath, Marion	5	2021-01-12	51	0.4	25,000	-25,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.05		5,000,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	51	0.05	7,470,648	5,000,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.06		500,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	54	0.06	7,970,648	500,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.12	6,970,648	-1,000,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.125	5,970,648	-1,000,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.1258	5,404,648	-566,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.1033	5,104,648	-300,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.1016	3,374,648	-1,730,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-08	10	0.1126	874,648	-2,500,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-11	10	0.08	803,660	-70,988
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Common Shares	Ryu, Andrew Jong Soo	4	2021-01-11	10	0.09	403,660	-400,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Options	Ryu, Andrew Jong Soo	4	2021-01-08	51	0.05	0	-5,000,000
Graph Blockchain Inc. (formerly, Reg Technologies Inc.)	Warrants	Ryu, Andrew Jong Soo	4	2021-01-08	54	0.06	331,665	-500,000
Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	Luke, Walter	4	2021-01-06	10	0.52	237,000	-97,000
Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	Luke, Walter	4	2021-01-06	10	0.52	96,000	-141,000

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Gratomic Inc. (formerly CKR Carbon Corporation)	Common Shares	Luke, Walter	4	2021-01-11	10	0.15	618,508	522,508
Gratomic Inc. (formerly CKR Carbon Corporation)	Options	Luke, Walter	4	2021-01-06	51	0.15		-522,508
Gratomic Inc. (formerly CKR Carbon Corporation)	Options	Luke, Walter	4	2021-01-11	51	0.15	177,492	-522,508
Graycliff Exploration Ltd.	Common Shares	Macintosh, James Maitland	4, 5	2020-12-23	16	0.5	130,000	20,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-01-08	51	0.22	282,861	40,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-01-08	10	16.25	277,861	-5,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-01-12	10	14.75	276,861	-1,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-01-13	10	14.96	272,861	-4,000
Great Bear Resources Ltd.	Common Shares	Ramshaw, Douglas William	4	2021-01-13	10	15	270,061	-2,800
Great Bear Resources Ltd.	Options	Ramshaw, Douglas William	4	2021-01-08	51	0.22	281,500	-40,000
Greenlane Renewables Inc.	Warrants	Blaiklock, David	4	2021-01-12	10	1.903	258,182	-61,149
Greenlane Renewables Inc.	Common Shares	Nesmith, Wade Donald	4, 5	2021-01-11	54	0.26	3,581,160	250,000
Greenlane Renewables Inc.	Warrants	Nesmith, Wade Donald	4, 5	2021-01-11	54	0.26	915,580	-250,000
Group Eleven Resources Corp.	Common Shares	Glencore Canada Corporation	3	2021-01-08	11	0.065	36,323,515	6,097,615
Hamilton Thorne Ltd.	Common Shares	Wolf, David	4, 5	2021-01-14	51	0.18	1,821,137	508,235
Hamilton Thorne Ltd.	Options	Wolf, David	4, 5	2021-01-14	51	0.18	1,768,500	-508,235
Hampton Financial Corporation	Subordinate Voting Shares	Deeb, Peter Michael	3, 4, 6, 5	2021-01-04	10	0.155	727,000	13,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Albert, Kevin K.	4	2020-11-24	00			
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Albert, Kevin K.	4	2020-12-23	50		100,000	100,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Dacks, Michael	4	2020-11-24	00			
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Dacks, Michael	4	2020-12-23	50		100,000	100,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Hawkins, Matthew Kendrick	8, 4	2020-12-23	50		333,350	180,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Kampian, Peter	4	2020-12-23	50		260,000	130,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Norman, Alexander Lyle	4	2020-11-24	00			
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Norman, Alexander Lyle	4	2020-12-23	50		100,000	100,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Scott, James E.	4	2020-11-24	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Scott, James E.	4	2020-12-23	50		100,000	100,000
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Sturner, Andrew	4	2020-11-24	00			
Harborside Inc. (formerly Lineage Grow Company Ltd.)	Options	Sturner, Andrew	4	2020-12-23	50		130,000	130,000
Hardwoods Distribution Inc.	Performance Shares	Griffin, John Patrick	5	2021-01-01	56		11,543	145
Hardwoods Distribution Inc.	Performance Shares	Griffin, John Patrick	5	2021-01-01	56		11,688	145
Hardwoods Distribution Inc.	Restricted Shares	Griffin, John Patrick	5	2021-01-01	56		10,016	145
Hardwoods Distribution Inc.	Restricted Shares	Griffin, John Patrick	5	2021-01-01	56		10,161	145
Harte Gold Corp.	Options	Coetzer, Samuel Theodorus	4	2020-11-18	38		1,080,482	-2,160,965
Harte Gold Corp.	Restricted Share Units (RSUs)	Coetzer, Samuel Theodorus	4	2020-11-18	38		694,444	-1,388,889
Harvest Health & Recreation Inc.	Options Subordinate	Hersey, Christine	8	2019-06-10	00			
Harvest Health & Recreation Inc.	Options Subordinate	Hersey, Christine	8	2019-09-10	50		25,000	25,000
Harvest Health & Recreation Inc.	Options Subordinate	Hersey, Christine	8	2020-02-03	50		37,500	12,500
Harvest Health & Recreation Inc.	Options Subordinate	Hersey, Christine	8	2020-12-31	50		112,500	75,000
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Hersey, Christine	8	2019-06-10	00			
Harvest Health & Recreation Inc.	Subordinate Voting Shares	Hersey, Christine	8	2019-06-19	10	5.97	100	100
HAVN Life Sciences Inc.	Common Shares	Casselmann, Ivan Jason	5	2021-01-07	59	0.8	1,768,488	-196,499
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-04	10	0.92	1,704,987	-10,000
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-04	10	0.91	1,694,987	-10,000
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-04	10	0.8	1,594,987	-100,000
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-05	10	0.84	1,589,987	-5,000
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-05	10	0.83	1,565,487	-24,500
HAVN Life Sciences Inc.	Common Shares	Samuelsson, Alexzander	5	2021-01-05	10	0.82	1,544,987	-20,500
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Common Shares	Knoll, Phillip R.	4	2021-01-08	10	2.9	323,618	-14,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Common Shares	Knoll, Phillip R.	4	2021-01-08	10	2.89	302,618	-21,000
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Common Shares	Knoll, Phillip R.	4	2021-01-12	54		411,313	108,695
Headwater Exploration Inc. (formerly Corridor Resources Inc.)	Warrants	Knoll, Phillip R.	4	2021-01-12	54	0.92	0	-108,695
Hemisphere Energy Corporation	Common Shares	Hemisphere Energy Corporation	1	2020-12-22	38	0.185	100,000	100,000
Hemisphere Energy Corporation	Common Shares	Hemisphere Energy Corporation	1	2020-12-23	38	0.166	188,500	88,500

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Hemisphere Energy Corporation	Common Shares	Hemisphere Energy Corporation	1	2020-12-29	38	0.16	192,500	4,000
Hemisphere Energy Corporation	Common Shares	Hemisphere Energy Corporation	1	2021-01-12	38		0	-192,500
Hemlo Explorers Inc. (Formerly, Canadian Orebodies Inc.)	Common Shares	Howlett, Brian	4, 5	2021-01-14	10	0.79	122,000	4,500
Hempfusion Wellness Inc.	Common Shares	Andlinger, Merrick	4	2020-12-18	00		329,032	
Hempfusion Wellness Inc.	Common Shares	BALAKRISHNAN, Desmond	4	2020-12-18	00		40,000	
Hempfusion Wellness Inc.	Common Shares	BALAKRISHNAN, Desmond	4	2021-01-06	15	1	50,000	10,000
Hempfusion Wellness Inc.	Warrants	BALAKRISHNAN, Desmond	4	2020-12-18	00			
Hempfusion Wellness Inc.	Warrants	BALAKRISHNAN, Desmond	4	2021-01-06	15	1	5,000	5,000
Hempfusion Wellness Inc.	Common Shares	deQueiroz, Ian	4, 5	2020-12-18	00		6,106,000	
Hempfusion Wellness Inc.	Options	deQueiroz, Ian	4, 5	2020-12-18	00		500,000	
Hempfusion Wellness Inc.	Common Shares	Grafton, Nick	4, 5	2020-12-18	00			
Hempfusion Wellness Inc.	Common Shares	Greenburg, Garrett Scott	4, 5	2020-12-18	00		2,574,940	
Hempfusion Wellness Inc.	Common Shares	Lessard, Ola	5	2020-12-18	00			
Hempfusion Wellness Inc.	Common Shares	Mitchell, Jason	4, 5	2020-12-18	00		4,200,000	
Hempfusion Wellness Inc.	Options	Mitchell, Jason	4, 5	2020-12-18	00		1,000,000	
Hempfusion Wellness Inc.	Common Shares	Valentine Jr, Bruce	5	2020-12-18	00			
Hempfusion Wellness Inc.	Options	Valentine Jr, Bruce	5	2020-12-18	00		500,000	
Hempfusion Wellness Inc.	Common Shares	Visser, Minnekis Jonathan	5	2020-12-18	00			
Hempfusion Wellness Inc.	Options	Visser, Minnekis Jonathan	5	2020-12-18	00		500,000	
High Liner Foods Incorporated	Rights Deferred Share Units	Chow, Joan Kai	4	2021-01-14	30		29,690	576
High Liner Foods Incorporated	Rights Deferred Share Units	Dexter, Robert P.	4	2021-01-14	30		74,898	1,392
High Liner Foods Incorporated	Common Shares	Hennigar, Andrew	4	2020-05-12	00		2,500	
High Liner Foods Incorporated	Common Shares	Hennigar, Andrew	4	2020-05-12	00		7,450	
High Liner Foods Incorporated	Common Shares	Hennigar, Andrew	4	2020-05-12	00		700	
High Liner Foods Incorporated	Rights Deferred Share Units	Hennigar, Andrew	4	2021-01-14	30		7,667	149
High Liner Foods Incorporated	Rights Performance Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30		198,940	2,118
High Liner Foods Incorporated	Rights Restricted Share Units	Hepponstall, Rodney Wilfred	4, 5	2021-01-14	30		220,782	2,522
High Liner Foods Incorporated	Rights Deferred Share Units	Jamieson, Shelly L.	4	2021-01-14	30		21,929	426
High Liner Foods Incorporated	Rights Performance Share Units	Jewer, Paul Allan	5	2021-01-14	30		61,249	1,187
High Liner Foods Incorporated	Rights Restricted Share Units	Jewer, Paul Allan	5	2021-01-14	30		30,624	594

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
High Liner Foods Incorporated	Rights Deferred Share Units	MAHODY, Jolene	4	2021-01-14	30		21,929	426
High Liner Foods Incorporated	Rights Performance Share Units	McNally Myers, Johanne E.	5	2021-01-14	30		9,332	181
High Liner Foods Incorporated	Rights Restricted Share Units	McNally Myers, Johanne E.	5	2021-01-14	30		5,313	193
High Liner Foods Incorporated	Rights Deferred Share Units	Miller, Ralph Andy	4	2021-01-14	30		44,110	2,941
High Liner Foods Incorporated	Rights Performance Share Units	Milner, Charlene Kristen	5	2021-01-14	30		7,988	155
High Liner Foods Incorporated	Rights Restricted Share Units	Milner, Charlene Kristen	5	2021-01-14	30		7,988	155
High Liner Foods Incorporated	Rights Performance Share Units	Murray, Craig	5	2021-01-14	30		31,887	618
High Liner Foods Incorporated	Rights Restricted Share Units	Murray, Craig	5	2021-01-14	30		15,944	309
High Liner Foods Incorporated	Rights Deferred Share Units	Pace, Robert	4	2021-01-14	30		23,470	456
High Liner Foods Incorporated	Rights Performance Share Units	Rorabeck, Timothy	5	2021-01-14	30		34,761	674
High Liner Foods Incorporated	Rights Restricted Share Units	Rorabeck, Timothy	5	2021-01-14	30		17,380	337
High Liner Foods Incorporated	Rights Performance Share Units	van der Giesen, Ronald	5	2021-01-14	30		15,509	301
High Liner Foods Incorporated	Rights Restricted Share Units	van der Giesen, Ronald	5	2021-01-14	30		7,755	151
High Liner Foods Incorporated	Rights Deferred Share Units	van Schaayk, Frank Bernard Harry	4	2021-01-14	30		21,929	426
Hunter Technology Corp. (formerly, Hunter Oil Corp.)	Options	Pike, Bryant Austin	5	2018-11-27	00			
Hunter Technology Corp. (formerly, Hunter Oil Corp.)	Options	Pike, Bryant Austin	5	2020-12-21	50	0.9	500,000	500,000
Huntington Exploration Inc.	Common Shares	BROWN, CHRISTOPHER	4	2021-01-01	00			
Huntington Exploration Inc.	Common Shares	BROWN, CHRISTOPHER	4	2021-01-08	00		1,600,000	
Huntington Exploration Inc.	Warrants Expire - Nov.27, 2022	BROWN, CHRISTOPHER	4	2021-01-01	00			
Huntington Exploration Inc.	Warrants Expire - Nov.27, 2022	BROWN, CHRISTOPHER	4	2021-01-08	00		1,200,000	
Huntington Exploration Inc.	Warrants Expiring 08/16/2021	BROWN, CHRISTOPHER	4	2021-01-01	00			
Huntington Exploration Inc.	Warrants Expiring 08/16/2021	BROWN, CHRISTOPHER	4	2021-01-08	00		400,000	
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-20	10	1.32	34,952,800	-47,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-23	10	1.3242	34,737,800	-215,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-24	10	1.526	34,542,800	-195,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-25	10	1.55	34,537,800	-5,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-01	10	1.7375	34,377,800	-160,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-02	10	1.69	34,128,600	-249,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.74	33,933,500	-195,100
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.77	33,933,100	-400
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-07	10	1.645	33,770,300	-162,800
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-08	10	1.57	33,641,700	-128,600
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-09	10	1.48	33,501,000	-140,700
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-10	10	1.527	33,333,240	-167,760
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-11	10	1.52	33,177,740	-155,500
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-14	10	1.568	33,032,740	-145,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-15	10	1.5933	32,872,885	-159,855
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-16	10	1.93	32,744,933	-127,952
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-17	10	2.4518	32,537,853	-207,080
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-18	10	2.4181	32,432,037	-105,816
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-21	10	3.1075	32,188,997	-243,040
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-22	10	3.9716	31,977,250	-211,747
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-23	10	3.5812	31,882,490	-94,760
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-29	10	3.775	31,814,517	-67,973
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-31	10	3.78	31,741,114	-73,403
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2021-01-04	10	3.78	31,580,633	-160,481
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-20	10	1.32		-47,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-23	10	1.3242		-215,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-24	10	1.526		-195,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-11-25	10	1.55		-5,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-01	10	1.7375		-160,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-02	10	1.69		-249,200
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.74		-195,100
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-03	10	1.77		-400
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-04	11	1.66	3,243,858	-50,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-07	10	1.645		-162,800
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-08	10	1.57		-128,600
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-09	10	1.48		-140,700
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-10	10	1.527		-167,760
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-11	10	1.52		-155,500
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-14	10	1.568		-145,000
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-15	10	1.5933		-159,855
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-16	10	1.93		-127,952
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-17	10	2.4518		-207,080
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-18	10	2.4181		-105,816
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-21	10	3.1075		-243,040
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-22	10	3.9716		-211,747
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-23	10	3.5812		-94,760
Hut 8 Mining Corp. (formerly, Oriana Resources Corporation)	Common Shares	Bitfury Holding B.V.	3	2020-12-29	10	3.775		-67,973

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iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Bergeron, Alain	5	2020-12-31	35	50.18	2,411	91
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Blais, Francois	5	2020-12-31	35	50.18	710	20
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Blais, Francois	5	2020-12-31	35	50.18	1,926	72
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Boulet, Jean-Francois	5	2020-12-31	35	50.18	8,886	336
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Boulet, Jean-Francois	5	2020-12-31	35	50.18	3,300	125
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Dibblee, Jennifer	5	2020-12-31	35	50.18	1,077	41
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Dibblee, Jennifer	5	2020-12-31	35	50.18	1,544	58
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Jobin, Eric	5	2020-12-31	35	50.18	372	7
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Jobin, Eric	5	2020-12-31	35	50.18	1,771	66
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Laflamme, Renée	5	2020-12-31	35	50.18	14,675	555
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Laflamme, Renée	5	2020-12-31	35	50.18	6,892	261
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Miron, Pierre	5	2020-12-31	35	50.18	1,733	65
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Miron, Pierre	5	2020-12-31	35	50.18	4,456	168
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	O'Brien, Sean Albert	5	2020-12-31	35	50.18	4,452	168
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Potvin, Jacques	5	2020-12-31	35	50.18	8,580	324
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Potvin, Jacques	5	2020-12-31	35	50.18	6,524	247
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Ricard, Denis	5	2020-12-31	35	50.18	46,701	1,766
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Ricard, Denis	5	2020-12-31	35	50.18	13,086	495
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Sham, Lilia M.	5	2020-12-31	35	50.18	3,451	131
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Sham, Lilia M.	5	2020-12-31	35	50.18		65
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Sham, Lilia M.	5	2020-12-31	35	50.18	1,710	65

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Stickney, Michael Lee	5	2020-12-31	35	50.18	1,252	47
iA Financial Corporation Inc.	unites d'actions liees au rendement/Performance Share Unit	Stickney, Michael Lee	5	2020-12-31	35	50.18	6,431	243
IBC Advanced Alloys Corp.	Common Shares	Hampson, Christopher Geoffrey	4	2021-01-15	11		554,669	190,625
IBC Advanced Alloys Corp.	Common Shares	Hampson, Christopher Geoffrey	4	2021-01-15	11		372,450	12,364
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2021-01-08	10	0.21	749,810	50,000
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2021-01-11	10	0.2058	809,810	60,000
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2021-01-13	10	0.195	859,810	50,000
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2021-01-14	10	0.2	909,810	50,000
Imaging Dynamics Company Ltd.	Common Shares	Wang, Shuai	3	2021-01-04	11		101,092,433	63,462,433
Imaging Dynamics Company Ltd.	Common Shares	Zhou, Yucheng	4, 5	2021-01-04	11		0	-60,053,366
IMC International Mining Corp.	Common Shares	Hawkins, Thomas Gregory	4	2021-01-13	10	0.08	3,487,702	1,300,000
IMC International Mining Corp.	Common Shares	Naas, Chris	4, 5	2021-01-13	11	0.08	2,168,665	500,000
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Eadie, Robert	3, 4, 5	2021-01-11	00		4,006,000	
iMining Blockchain and Cryptocurrency Inc.	Common Shares	Eadie, Robert	3, 4, 5	2021-01-11	00		520,000	
ImmunoPrecise Antibodies Ltd.	Common Shares	Andreola, Gianpaolo	4	2020-11-23	37		560,000	-2,240,000
ImmunoPrecise Antibodies Ltd.	Common Shares	Andreola, Gianpaolo	4	2020-11-23	37		429,360	-1,717,440
ImmunoPrecise Antibodies Ltd.	Common Shares	Andreola, Gianpaolo	4	2020-11-23	37		247,240	-988,960
ImmunoPrecise Antibodies Ltd.	Convertible Debentures	Andreola, Gianpaolo	4	2020-11-23	37		\$28,800	-\$115,200
ImmunoPrecise Antibodies Ltd.	Convertible Debentures	Andreola, Gianpaolo	4	2020-11-23	37		\$17,000	-\$68,000
ImmunoPrecise Antibodies Ltd.	Options Stock Options	Andreola, Gianpaolo	4	2020-11-23	37		30,000	-120,000
IMPACT Silver Corp.	Common Shares	Mazur, Richard James	4	2021-01-12	54	0.35	307,575	135,075
IMPACT Silver Corp.	Warrants	Mazur, Richard James	4	2021-01-12	54	0.35	134,925	-135,075
Imperial Metals Corporation	Common Shares	KYNOCH, J. BRIAN	4, 5	2021-01-12	30	3.06	1,329,690	1,697
Imperial Metals Corporation	Common Shares	Muraro, Theodore William	4	2021-01-07	30	3.75	16,634	1,855
Imperial Metals Corporation	Common Shares	North, Janine Marie	4	2021-01-07	30	3.75	33,578	1,606
Imperial Metals Corporation	Common Shares	Veitch, James Patrick	4	2021-01-07	30	3.75	33,696	1,724
Indigo Books & Music Inc.	Deferred Share Units	Clegg, Frank Melville	4	2020-12-31	56		101,000	27,662
Indigo Books & Music Inc.	Deferred Share Units	DEITCHER, JONATHAN	4	2020-12-31	56		101,951	31,755
Indigo Books & Music Inc.	Deferred Share Units	Goldhar, Mitchell	4	2020-12-31	56		50,456	16,061
Indigo Books & Music Inc.	Deferred Share Units	Grosfield, Howard Martin	4	2020-12-31	56		40,209	26,130
Indigo Books & Music Inc.	Deferred Share Units	Haft, Robert Michael	4	2020-12-31	56		46,211	30,815
Indigo Books & Music Inc.	Deferred Share Units	Johnson, Andrea Reisman	4	2020-12-31	56		24,134	15,578
Indigo Books & Music Inc.	Deferred Share Units	O'Donovan, Anne Marie	4	2020-12-31	56		80,482	34,248

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Indigo Books & Music Inc.	Deferred Share Units	Oriuwa, Chika Stacy	4	2020-11-03	00			
Indigo Books & Music Inc.	Deferred Share Units	Oriuwa, Chika Stacy	4	2020-12-31	56		926	926
Indus Holdings, Inc.	Common Shares	Weakley, Robert Raymond	3, 4, 5	2021-01-11	10	1.8921	5,385,697	-123,700
Indus Holdings, Inc.	Common Shares	Weakley, Robert Raymond	3, 4, 5	2021-01-12	10	1.85	5,379,297	-6,400
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2021-01-12	10	0.08	7,253,000	191,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2021-01-13	10	0.13	7,272,000	19,000
INDVR Brands Inc. (formerly, Cannabis One Holdings Inc.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2021-01-15	10	0.115	7,292,000	20,000
Information Services Corporation	Rights Deferred Share Units	Brooks, Karyn Anne	4	2021-01-15	56	20.55	9,917	93
Information Services Corporation	Rights Performance Share Units	Budzak, Ken	5	2021-01-15	56	20.55	7,070	68
Information Services Corporation	Rights Deferred Share Units	Christiansen, Tom	4	2021-01-15	56	20.55	14,102	132
Information Services Corporation	Rights Performance Share Units	Cisyk, Loren Allen	5	2021-01-15	56	20.55	8,044	78
Information Services Corporation	Rights Performance Share Units	Colledge, Clare Emma	7	2021-01-15	56	20.55	8,212	79
Information Services Corporation	Rights Deferred Share Units	Emsley, Doug	4	2021-01-15	56	20.55	14,102	132
Information Services Corporation	Rights Performance Share Units	Garven, Laurel	5	2021-01-15	56	20.55	3,468	33
Information Services Corporation	Rights Deferred Share Units	Guglielmin, Anthony Robert	4	2021-01-15	56	20.55	14,102	132
Information Services Corporation	Rights Performance Share Units	Hillman-Weir, Katherine	5	2021-01-15	56	20.55	7,810	75
Information Services Corporation	Rights Performance Share Units	McLean, Catherine Irene	5	2021-01-15	56	20.55	3,939	38
Information Services Corporation	Rights Deferred Share Units	Musgrave, Scott	4	2021-01-15	56	20.55	14,102	132
Information Services Corporation	Rights Performance Share Units	Peters, Shawn	5	2021-01-15	56	20.55	8,797	85
Information Services Corporation	Rights Deferred Share Units	Pourian, Iraj	4	2021-01-15	56	20.55	9,917	93
Information Services Corporation	Rights Deferred Share Units	Powers, Laurie Lynn	4	2021-01-15	56	20.55	6,321	59
Information Services Corporation	Rights Deferred Share Units	Ross, Heather	4	2021-01-15	56	20.55	6,321	59
Information Services Corporation	Rights Performance Share Units	Stusek, Jeff	5	2021-01-15	56	20.55	23,320	225
Information Services Corporation	Rights Deferred Share Units	Tchorzewski, Dion Edwin	4	2021-01-15	56	20.55	14,102	132
Information Services Corporation	Rights Deferred Share Units	Teal, Joel Douglas	4	2021-01-15	56	20.55	24,680	234
Information Services Corporation	Rights Performance Share Units	White, Dennis Scott	5	2021-01-15	56	20.55	4,584	44
Innergex Renewable Energy Inc.	Common Shares	Baribeault, Yves	5	2020-12-31	35	17.29	12,156	95
Innergex Renewable Energy Inc.	Common Shares	Baribeault, Yves	5	2020-12-31	35	19.367	12,271	115
Innergex Renewable Energy Inc.	Common Shares	Baribeault, Yves	5	2020-12-31	35	19.571	12,374	103
Innergex Renewable Energy Inc.	Common Shares	Baribeault, Yves	5	2020-12-31	35	25.715	12,458	84

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Innergex Renewable Energy Inc.	Common Shares	de Batz de Trenquelléon, Renaud	5	2020-12-31	35	19.367	163,762	38
Innergex Renewable Energy Inc.	Common Shares	Giroux, Colleen Alana	5	2020-12-31	35	17.29	3,557	15
Innergex Renewable Energy Inc.	Common Shares	Giroux, Colleen Alana	5	2020-12-31	35	19.367	3,589	32
Innergex Renewable Energy Inc.	Common Shares	Giroux, Colleen Alana	5	2020-12-31	35	19.571	3,618	29
Innergex Renewable Energy Inc.	Common Shares	Giroux, Colleen Alana	5	2020-12-31	35	25.715	3,642	24
Innergex Renewable Energy Inc.	Common Shares	Grover, Peter	5	2020-12-31	35	17.29	147,561	210
Innergex Renewable Energy Inc.	Common Shares	Grover, Peter	5	2020-12-31	35	19.367	147,596	35
Innergex Renewable Energy Inc.	Common Shares	Grover, Peter	5	2020-12-31	35	19.571	147,628	32
Innergex Renewable Energy Inc.	Common Shares	Grover, Peter	5	2020-12-31	35	25.715	147,654	26
Innergex Renewable Energy Inc.	Common Shares	Kennedy, Matthew Grant	5	2020-12-31	35	19.367	49,468	22
Innergex Renewable Energy Inc.	Common Shares	Letellier, Michel	4, 5	2020-12-31	35	19.367	926,739	117
Innergex Renewable Energy Inc.	Common Shares	Letellier, Michel	4, 5	2020-12-31	35	19.571	926,844	105
Innergex Renewable Energy Inc.	Common Shares	Letellier, Michel	4, 5	2020-12-31	35	25.715	926,930	86
Innergex Renewable Energy Inc.	Common Shares	Trudel, Jean	5	2020-12-31	35	17.29	286,450	267
Innergex Renewable Energy Inc.	Common Shares	Trudel, Jean	5	2020-12-31	35	19.367	286,760	310
Innergex Renewable Energy Inc.	Common Shares	Trudel, Jean	5	2020-12-31	35	19.571	287,037	277
Intact Financial Corporation	Stock Incentives	Barbeau, Patrick	5	2021-01-07	59	147.64		-1,026
Intact Financial Corporation	Stock Incentives	Barbeau, Patrick	5	2021-01-07	59	150.95	3,168	-1,026
Intact Financial Corporation	Common Shares	Brindamour, Charles	5	2021-01-07	57	147.64		8,563
Intact Financial Corporation	Common Shares	Brindamour, Charles	5	2021-01-07	57	150.95	304,937	8,563
Intact Financial Corporation	Stock Incentives	Brindamour, Charles	5	2021-01-07	57	147.64		-16,109
Intact Financial Corporation	Stock Incentives	Brindamour, Charles	5	2021-01-07	57	150.95	30,546	-16,109
Intact Financial Corporation	Common Shares	Cotnoir, Frédéric	5	2021-01-07	57	147.64		809
Intact Financial Corporation	Common Shares	Cotnoir, Frédéric	5	2021-01-07	57	150.95	6,867	809
Intact Financial Corporation	Stock Incentives	Cotnoir, Frédéric	5	2021-01-07	57	147.64		-1,516
Intact Financial Corporation	Stock Incentives	Cotnoir, Frédéric	5	2021-01-07	57	150.95	2,686	-1,516
Intact Financial Corporation	Common Shares	Coull-Cicchini, Debra Gail	5	2021-01-07	57	147.64		572
Intact Financial Corporation	Common Shares	Coull-Cicchini, Debra Gail	5	2021-01-07	57	150.95	15,776	572
Intact Financial Corporation	Stock Incentives	Coull-Cicchini, Debra Gail	5	2021-01-07	57	147.64		-1,232
Intact Financial Corporation	Stock Incentives	Coull-Cicchini, Debra Gail	5	2021-01-07	57	150.95	2,498	-1,232
Intact Financial Corporation	Common Shares	Fortin, Anne	5	2021-01-07	57	147.64		334

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Intact Financial Corporation	Common Shares	Fortin, Anne	5	2021-01-07	57	150.95	6,874	334
Intact Financial Corporation	Stock Incentives	Fortin, Anne	5	2021-01-07	57	147.64		-716
Intact Financial Corporation	Stock Incentives	Fortin, Anne	5	2021-01-07	57	150.95	1,530	-716
Intact Financial Corporation	Common Shares	Gagnon, Louis	5	2021-01-05	47	150.75		-1,512
Intact Financial Corporation	Common Shares	Gagnon, Louis	5	2021-01-05	47	150.75	28,108	-1,512
Intact Financial Corporation	Common Shares	Gagnon, Louis	5	2021-01-07	57	147.64		2,487
Intact Financial Corporation	Common Shares	Gagnon, Louis	5	2021-01-07	57	150.95	30,595	2,487
Intact Financial Corporation	Stock Incentives	Gagnon, Louis	5	2021-01-07	57	147.64		-4,680
Intact Financial Corporation	Stock Incentives	Gagnon, Louis	5	2021-01-07	57	150.95		-4,680
Intact Financial Corporation	Stock Incentives	Gagnon, Louis	5	2021-01-07	57	150.95	8,749	-4,680
Intact Financial Corporation	Common Shares	Girard, Isabelle	5	2021-01-07	57	147.64		94
Intact Financial Corporation	Common Shares	Girard, Isabelle	5	2021-01-07	57	150.95	1,261	94
Intact Financial Corporation	Stock Incentives	Girard, Isabelle	5	2021-01-07	57	147.64		-202
Intact Financial Corporation	Stock Incentives	Girard, Isabelle	5	2021-01-07	57	150.95	658	-202
Intact Financial Corporation	Stock Incentives	Godfrey, Darren Christopher	5	2021-01-07	59	147.64		-740
Intact Financial Corporation	Stock Incentives	Godfrey, Darren Christopher	5	2021-01-07	59	150.95	2,578	-740
Intact Financial Corporation	Common Shares	Lamy, Mathieu	5	2021-01-07	57	147.64		958
Intact Financial Corporation	Common Shares	Lamy, Mathieu	5	2021-01-07	57	150.95	19,123	958
Intact Financial Corporation	Stock Incentives	Lamy, Mathieu	5	2021-01-07	57	147.64		-1,803
Intact Financial Corporation	Stock Incentives	Lamy, Mathieu	5	2021-01-07	57	150.95	4,287	-1,803
Intact Financial Corporation	Common Shares	Marcotte, Louis	5	2021-01-07	57	147.64		809
Intact Financial Corporation	Common Shares	Marcotte, Louis	5	2021-01-07	57	150.95	20,922	809
Intact Financial Corporation	Stock Incentives	Marcotte, Louis	5	2021-01-07	57	147.64		-1,516
Intact Financial Corporation	Stock Incentives	Marcotte, Louis	5	2021-01-07	57	150.95	6,496	-1,516
Intact Financial Corporation	Common Shares	Martel, Lucie	5	2021-01-07	57	147.64		366
Intact Financial Corporation	Common Shares	Martel, Lucie	5	2021-01-07	57	150.95	3,878	366
Intact Financial Corporation	Stock Incentives	Martel, Lucie	5	2021-01-07	57	147.64		-786
Intact Financial Corporation	Stock Incentives	Martel, Lucie	5	2021-01-07	57	150.95	1,351	-786
Intact Financial Corporation	Common Shares	Miller, Timothy Michael	5	2021-01-07	57	147.64		7,024
Intact Financial Corporation	Common Shares	Miller, Timothy Michael	5	2021-01-07	57	150.95	7,024	7,024
Intact Financial Corporation	Stock Incentives	Miller, Timothy Michael	5	2021-01-07	57	147.64		-13,986

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Intact Financial Corporation	Stock Incentives	Miller, Timothy Michael	5	2021-01-07	57	150.95	24,632	-13,986
Intact Financial Corporation	Common Shares	Morissette, Benoit	5	2021-01-07	57	147.64		737
Intact Financial Corporation	Common Shares	Morissette, Benoit	5	2021-01-07	57	150.95	17,521	737
Intact Financial Corporation	Stock Incentives	Morissette, Benoit	5	2021-01-07	57	147.64		-1,387
Intact Financial Corporation	Stock Incentives	Morissette, Benoit	5	2021-01-07	57	150.95	2,397	-1,387
Intact Financial Corporation	Common Shares	Muehleemann, Werner	5	2021-01-07	57	147.64		462
Intact Financial Corporation	Common Shares	Muehleemann, Werner	5	2021-01-07	57	150.95		462
Intact Financial Corporation	Common Shares	Muehleemann, Werner	5	2021-01-07	57	150.95	12,612	867
Intact Financial Corporation	Stock Incentives	Muehleemann, Werner	5	2021-01-07	57	147.64		-867
Intact Financial Corporation	Stock Incentives	Muehleemann, Werner	5	2021-01-07	57	150.95	1,824	-867
Intact Financial Corporation	Stock Incentives	Weightman, Peter	5	2021-01-07	59	147.64		-999
Intact Financial Corporation	Stock Incentives	Weightman, Peter	5	2021-01-07	59	150.95	1,741	-999
IntelGenx Technologies Corp.	Common Shares	Kenny, Tommy	7	2021-01-11	00		66,000	
IntelGenx Technologies Corp.	Options	Kenny, Tommy	7	2021-01-11	00		100,000	
IntelGenx Technologies Corp.	Options	Kenny, Tommy	7	2021-01-11	50		250,000	150,000
Interfor Corporation	Common Shares	Kritos, Xenia	5	2020-12-31	30	11.95	7,984	2,025
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	51	2.5141	125,000	125,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.28		-1,100
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.31	120,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.32	115,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.33	110,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.34	92,500	-17,500
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.35	53,700	-38,800
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.36	44,800	-8,900
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.37	24,800	-20,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.38	4,800	-20,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-12	10	7.39	1,100	-3,700
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.28	0	-1,100
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	51	3.9465	193,115	193,115
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.23	188,115	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.24	183,115	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.25	168,115	-15,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.26	155,615	-12,500
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.27	140,015	-15,600
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.28	125,015	-15,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.29	100,015	-25,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.3	85,015	-15,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.31	78,915	-6,100
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.32	68,915	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-13	10	7.33	66,415	-2,500
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.3	62,015	-4,400
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.31	57,015	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.32	48,600	-8,415

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.33	33,600	-15,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.35	25,000	-8,600
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.36	20,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.37	15,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.38	10,000	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bos, Matthieu	7	2021-01-14	10	7.39	0	-10,000
Ivanhoe Mines Ltd.	Options	Bos, Matthieu	7	2021-01-12	51	2.5141	1,079,346	-125,000
Ivanhoe Mines Ltd.	Options	Bos, Matthieu	7	2021-01-13	51	3.9465	886,231	-193,115
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Bos, Matthieu	7	2021-01-12	59		80,544	-21,705
Ivanhoe Mines Ltd.	Common Shares Class A	Cloete, Martie	7, 5	2021-01-12	57		478,886	13,886
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Cloete, Martie	7, 5	2021-01-12	57		132,396	-13,886
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Cloete, Martie	7, 5	2021-01-12	59		118,510	-13,886
Ivanhoe Mines Ltd.	Common Shares Class A	Friedland, Robert Martin	3, 4, 6, 5	2021-01-12	57		26,905,611	50,078
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Friedland, Robert Martin	3, 4, 6, 5	2021-01-12	57		134,526	-50,078
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Joubert, Pierre	5	2021-01-12	59		92,760	-33,333
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Makhesha, SETHA Patricia	7, 5	2021-01-12	59		97,243	-28,530
Ivanhoe Mines Ltd.	Common Shares Class A	Vincelli, Mary	5	2021-01-12	57		53,891	3,829
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Vincelli, Mary	5	2021-01-12	57		33,560	-3,829
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Vincelli, Mary	5	2021-01-12	59		29,731	-3,829
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	51	3.9465	121,970	121,970
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	10	7.27	111,970	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	10	3.9465	101,970	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	10	7.29	93,970	-8,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	10	7.3	92,170	-1,800
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-13	10	7.31	91,270	-900
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.3	86,270	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.31	81,270	-5,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.32	70,670	-10,600
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.33	55,670	-15,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.34	44,400	-11,270
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.35	34,400	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.36	24,400	-10,000
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.37	10,000	-14,400
Ivanhoe Mines Ltd.	Common Shares Class A	Watum, Louis Kabamba	7, 5	2021-01-14	10	7.38	0	-10,000
Ivanhoe Mines Ltd.	Options	Watum, Louis Kabamba	7, 5	2021-01-13	51	3.9465	243,940	-121,970
Ivanhoe Mines Ltd.	Rights Restricted Share Units	Zhou, Chao (Peter)	5	2021-01-12	59		69,152	-15,684
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Labatte, Neil Joseph	4	2020-11-16	51	0.3	68,775	35,442
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Labatte, Neil Joseph	4	2021-01-07	10	1	30,000	-12,875
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Options	Labatte, Neil Joseph	4	2019-02-08	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Options	Labatte, Neil Joseph	4	2019-02-08	00		35,442	
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Options	Labatte, Neil Joseph	4	2020-11-16	51		200,000	-35,442
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Marchelletta, Michael	3, 4, 5	2021-01-15	10	0.892	35,000	10,000
Jack Nathan Medical Corp. (formerly, Woodbridge Ventures Inc.)	Common Shares	Marchelletta, Michael	3, 4, 5	2021-01-15	10	0.88	45,000	10,000
Jade Leader Corp.	Options	Ebert, Shane William	4	2021-01-15	52	0.36	130,000	-130,000
Jade Leader Corp.	Options	McDowell, Cornell Dean	4	2021-01-15	52	0.36	130,000	-130,000
Jushi Holdings Inc.	Restricted Stock	Adderton, Peter	4	2020-07-01	57		0	-59,171
Jushi Holdings Inc.	Subordinate Voting Shares	Adderton, Peter	4	2019-06-06	00			
Jushi Holdings Inc.	Subordinate Voting Shares	Adderton, Peter	4	2020-07-01	57		59,171	59,171
Jushi Holdings Inc.	Restricted Stock	Bambach, Kimberly	5	2019-12-01	57		500,000	-250,000
Jushi Holdings Inc.	Restricted Stock	Bambach, Kimberly	5	2020-12-01	57		579,218	-250,000
Jushi Holdings Inc.	Subordinate Voting Shares	Bambach, Kimberly	5	2019-12-01	57		375,000	250,000
Jushi Holdings Inc.	Subordinate Voting Shares	Bambach, Kimberly	5	2020-12-01	57		625,000	250,000
Jushi Holdings Inc.	Restricted Stock	Barack, Louis (Jonathan)	3, 5	2020-04-17	57		266,667	-133,333
Jushi Holdings Inc.	Subordinate Voting Shares	Barack, Louis (Jonathan)	3, 5	2020-04-17	57		584,333	133,333
Jushi Holdings Inc.	Restricted Stock	Cohen, Joseph (Max)	4, 5	2021-01-01	57		41,152	-73,529
Jushi Holdings Inc.	Subordinate Voting Shares	Cohen, Joseph (Max)	4, 5	2021-01-01	57		2,016,029	73,529
Jushi Holdings Inc.	Restricted Stock	Cross, Benjamin	4	2020-07-01	57		0	-59,171
Jushi Holdings Inc.	Subordinate Voting Shares	Cross, Benjamin	4	2020-07-01	57		159,171	59,171
Jushi Holdings Inc.	Restricted Stock	Monroe, Stephen	4	2020-07-01	57		0	-88,756
Jushi Holdings Inc.	Subordinate Voting Shares	Monroe, Stephen	4	2019-06-06	00			
Jushi Holdings Inc.	Subordinate Voting Shares	Monroe, Stephen	4	2020-07-01	57		88,756	88,756
Jushi Holdings Inc.	Subordinate Voting Shares	Monroe, Stephen	4	2021-01-14	10	6.265	90,356	1,600
Jushi Holdings Inc.	Subordinate Voting Shares	Monroe, Stephen	4	2021-01-14	10	6.26	91,956	1,600
K2 Gold Corporation	Options	Gibson, Jodie	5	2019-12-01	00		500,000	
K2 Gold Corporation	Common Shares	Swatton, Stephen P.	4, 5	2020-12-30	16	0.56	2,348,500	50,000
K2 Gold Corporation	Warrants	Swatton, Stephen P.	4, 5	2020-12-30	16	0.75	125,000	25,000
Kelt Exploration Ltd.	Common Shares	MacArthur, Douglas Owen	5	2020-12-31	30	1.7079	740,253	16,005
Kenorland Minerals Ltd. (formerly Northway Resources Corp.)	Common Shares	Tognetti, John	3	2019-08-01	00		812,175	
Kenorland Minerals Ltd. (formerly Northway Resources Corp.)	Subscription Receipts	Tognetti, John	3	2021-01-08	36		0	-812,175
Kiaro Holdings Corp.	Common Shares	Petrov, Daniel	3, 4, 5	2021-01-12	10	0.07	49,447,751	56,000
Kincora Copper Limited	Common Shares	Holliday, John	4	2019-06-24	10	0.09	682,323	-70,000
Kincora Copper Limited	Warrants	Spring, Jonathan (Sam)	5	2021-01-12	55		1,050,000	-523,864

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Kinross Gold Corporation	Common Shares	Elliott, Thomas Ballantyne	5	2020-12-31	30	9.45	190,719	1,651
Kinross Gold Corporation	Common Shares	Longenecker, Nathan M.	5	2020-12-31	30	9.45	5,810	913
Kinross Gold Corporation	Common Shares	Mittler, Andreas	5	2020-12-31	30	7.42	42,635	1,307
Kinross Gold Corporation	Common Shares	Rollinson, Jonathon Paul	4, 5	2020-12-31	30	9.45	2,341,151	6,232
Kinross Gold Corporation	Common Shares	Schimper, Claude J.S.	5	2020-12-31	30	7.42	15,294	1,360
Kinross Gold Corporation	Common Shares	Sims, John Lewis	5	2020-12-31	30	9.45	20,752	962
Kinross Gold Corporation	Common Shares	Sylvestre, Michel	5	2020-12-31	30	9.45	49,622	961
Kinross Gold Corporation	Common Shares	Wiseman, Tara H.	5	2020-12-31	30	9.45	87,196	1,308
Kirkland Lake Gold Ltd.	Common Shares	Grosskopf, Peter	4	2020-02-24	00			
Kirkland Lake Gold Ltd.	Common Shares	Grosskopf, Peter	4	2021-01-13	10	51.792	5,000	5,000
Kirkland Lake Gold Ltd.	Common Shares	Grosskopf, Peter	4	2021-01-14	10	51.669	10,000	5,000
Knight Therapeutics Inc.	Common Shares	Gale, James	4	2021-01-14	10	5.27		4,500
Knight Therapeutics Inc.	Common Shares	Gale, James	4	2021-01-14	10	5.27	50,553	4,500
Knight Therapeutics Inc.	Common Shares	Gale, James	4	2021-01-14	10	5.3	51,053	500
Knight Therapeutics Inc.	Common Shares	Lande, Robert Nathaniel	4	2021-01-13	10	5.27	47,714	2,000
Knight Therapeutics Inc.	Common Shares	Lande, Robert Nathaniel	4	2021-01-13	10	5.28	55,714	8,000
Knight Therapeutics Inc.	Common Shares	Lande, Robert Nathaniel	4	2021-01-13	10	5.27	65,714	10,000
Knight Therapeutics Inc.	Common Shares	Long Zone Holdings Inc.	3	2021-01-13	10	5.27	21,666,133	10,000
Knight Therapeutics Inc.	Common Shares	Long Zone Holdings Inc.	3	2021-01-13	10	5.26	21,667,133	1,000
Knight Therapeutics Inc.	Common Shares	Murray, Janice Jean	4	2020-06-25	00			
Knight Therapeutics Inc.	Common Shares	Murray, Janice Jean	4	2021-01-13	10	5.27	2,300	2,300
Knight Therapeutics Inc.	Common Shares	Sakhia, Samira	4, 5	2021-01-13	10	5.28	48,405	1,750
Kontrol Energy Corp.	Options	Chen, Zhengquan	4	2021-01-08	00			
Kontrol Energy Corp.	Options	Chen, Zhengquan	4	2021-01-08	50	3	50,000	50,000
Largo Resources Ltd.	Common Shares	Chaves, Nilson Luciano Helio	7	2021-01-10	57	27973		27,973
Largo Resources Ltd.	Common Shares	Chaves, Nilson Luciano Helio	7	2021-01-10	57		394,230	27,973
Largo Resources Ltd.	Restricted Share Units	Chaves, Nilson Luciano Helio	7	2021-01-10	57			27,973
Largo Resources Ltd.	Restricted Share Units	Chaves, Nilson Luciano Helio	7	2021-01-10	57		244,577	-27,973
Largo Resources Ltd.	Common Shares	Cleave, Ernest Michael	5	2021-01-10	57	43880		43,880
Largo Resources Ltd.	Common Shares	Cleave, Ernest Michael	5	2021-01-10	57		317,596	20,391
Largo Resources Ltd.	Common Shares	Cleave, Ernest Michael	5	2021-01-10	36			-23,489
Largo Resources Ltd.	Common Shares	Cleave, Ernest Michael	5	2021-01-10	36			-23,489
Largo Resources Ltd.	Restricted Share Units	Cleave, Ernest Michael	5	2021-01-10	57			43,880
Largo Resources Ltd.	Restricted Share Units	Cleave, Ernest Michael	5	2021-01-10	57		336,026	-20,391
Largo Resources Ltd.	Restricted Share Units	Cleave, Ernest Michael	5	2021-01-10	38		312,537	-23,489
Largo Resources Ltd.	Common Shares	Misk, Paulo	4, 6, 5	2021-01-10	57	52107		52,107
Largo Resources Ltd.	Common Shares	Misk, Paulo	4, 6, 5	2021-01-10	57		830,459	52,107

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Largo Resources Ltd.	Common Shares	Misk, Paulo	4, 6, 5	2021-01-12	10	1.5291		-97,000
Largo Resources Ltd.	Common Shares	Misk, Paulo	4, 6, 5	2021-01-12	10	1.5291	927,459	97,000
Largo Resources Ltd.	Restricted Share Units	Misk, Paulo	4, 6, 5	2021-01-10	57			52,107
Largo Resources Ltd.	Restricted Share Units	Misk, Paulo	4, 6, 5	2021-01-10	57		761,287	-52,107
LaSalle Exploration Corp.	Common Shares	Eustache, Laurent	4	2021-01-13	00			
LaSalle Exploration Corp.	Options	Eustache, Laurent	4	2021-01-13	00			
LaSalle Exploration Corp.	Options	Eustache, Laurent	4	2021-01-13	00			
LaSalle Exploration Corp.	Options	Eustache, Laurent	4	2021-01-13	00			
LaSalle Exploration Corp.	Options	Eustache, Laurent	4	2021-01-13	50		250,000	250,000
Lassonde Industries Inc.	Restricted Share Units	Blanchette, Guy	5	2007-05-28	00			
Lassonde Industries Inc.	Restricted Share Units	Blanchette, Guy	5	2021-01-15	56		2,567	2,567
Lassonde Industries Inc.	Restricted Share Units	Timpano, Vincent Robert	5	2021-01-15	56		8,349	1,309
Lassonde Industries Inc.	Share Appreciation Rights	Timpano, Vincent Robert	5	2021-01-15	56	179.11	10,788	6,537
LeanLife Health Inc.	Common Shares	Mah, Gavin Foster	5	2021-01-14	10	0.115	2,960,000	100,000
Leon's Furniture Limited	Common Shares	Leon, Mary Ann	4	2021-01-14	90		5,700	1,700
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-03	38	20.5	3,100	3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-03	38	20.5	0	-3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-08	38	20.141	5,710	5,710
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-08	38	20.141	0	-5,710
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-09	38	19.999	7,200	7,200
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-09	38	19.999	0	-7,200
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-10	38	19.895	3,900	3,900
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-10	38	19.895	0	-3,900
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-11	38	19.634	3,800	3,800
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-11	38	19.634	0	-3,800
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-22	38	20.713	5,200	5,200
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-22	38	20.713	0	-5,200
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-23	38	20.7	3,000	3,000
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-23	38	20.7	0	-3,000
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-24	38	20.85	3,000	3,000
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-24	38	20.85	0	-3,000
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-29	38	20.67	3,100	3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-29	38	20.67	0	-3,100

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Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-30	38	20.91	3,100	3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-30	38	20.91	0	-3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-31	38	20.63	3,100	3,100
Leon's Furniture Limited	Common Shares	Leon's Furniture Limited	1	2020-12-31	38	20.63	0	-3,100
LeoNovus Inc.	Common Shares	Archambault, Denis	4	2021-01-07	11	0.3075	5,880,500	150,000
LeoNovus Inc.	Common Shares	Archambault, Denis	4	2021-01-07	50	0.6	6,030,500	150,000
Lexaria Bioscience Corp.	Common Shares	Baxter, Nicholas W.	4	2021-01-11	37		341,000	11,000
Lexaria Bioscience Corp.	Options	Baxter, Nicholas W.	4	2021-01-11	37	9.6	155,000	5,000
Lexaria Bioscience Corp.	Common Shares	Bunka, Christopher	4, 5	2021-01-11	37		7,399,847	273,543
Lexaria Bioscience Corp.	Common Shares	Bunka, Christopher	4, 5	2021-01-11	37		6,693,256	215,912
Lexaria Bioscience Corp.	Options	Bunka, Christopher	4, 5	2021-01-11	37	10.2	723,333	23,333
Lexaria Bioscience Corp.	Warrants	Bunka, Christopher	4, 5	2021-01-11	37	10.5	6,667	6,667
Lexaria Bioscience Corp.	Common Shares	Docherty, John Martin	5	2021-01-11	37		1,676,325	54,075
Lexaria Bioscience Corp.	Options	Docherty, John Martin	5	2021-01-11	37	3.3	1,260,000	10,000
Lexaria Bioscience Corp.	Options	Docherty, John Martin	5	2021-01-11	37	14.1	1,278,333	18,333
Lexaria Bioscience Corp.	Options	Docherty, John Martin	5	2021-01-11	37	9.6	1,291,666	13,333
Lexaria Bioscience Corp.	Common Shares	McKechnie, William Edward	4	2021-01-11	37		408,929	13,191
Lexaria Bioscience Corp.	Options	McKechnie, William Edward	4	2021-01-11	37	9.6	155,000	5,000
Lexaria Bioscience Corp.	Options	Quigley, Brian	4	2021-01-11	37	9.6	103,333	3,333
Lexaria Bioscience Corp.	Common Shares	Spissinger, Allan Horst	5	2021-01-11	37		123,138	3,972
Lexaria Bioscience Corp.	Options	Spissinger, Allan Horst	5	2021-01-11	37	9.6		21,667
Lexaria Bioscience Corp.	Options	Spissinger, Allan Horst	5	2021-01-11	37	9.6	671,667	21,667
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Smith, Moira Tracey	5	2021-01-13	51	1.6	1,923,265	-350,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Smith, Moira Tracey	5	2021-01-13	51	1.6	2,273,265	350,000
Liminal BioSciences Inc. (formerly Prometic Life Sciences Inc.)	Options	BEST, SIMON GEOFFREY	4	2021-01-14	50	5.34	67,781	40,000
Lithium Americas Corp.	Common Shares	Shulga, Oleksandr	5	2021-01-08	57		4,489	4,489
Lithium Americas Corp.	Common Shares	Shulga, Oleksandr	5	2021-01-08	10	24.33	0	-4,489
Lithium Americas Corp.	Rights Restricted Stock Unit	Shulga, Oleksandr	5	2021-01-08	57		40,114	-4,489
Lithium South Development Corporation	Common Shares	Urata, Jan	5	2020-06-05	16	0.21	47,619	47,619
Lithium South Development Corporation	Warrants on placements	Urata, Jan	5	2020-06-05	16	0.35	80,952	47,619
Lobe Sciences Ltd.	Common Shares	Petter, Michael Iain	4	2021-01-08	00		942,636	

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Lobe Sciences Ltd.	Options	Petter, Michael Iain	4	2021-01-08	00			
Lobe Sciences Ltd.	Warrants	Petter, Michael Iain	4	2021-01-08	00		630,000	
Logistec Corporation	Subordinate Voting Shares Class B	Robertson, Frank	7	2021-01-13	00		500	
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	51	4.13		55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	51	4.13		55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	51	4.13		55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	51	4.13		55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	10	10.657		-55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	10	10.657		-55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	10	4.13	100,000	100,000
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-13	10	10.657	44,600	-55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-14	10	10.657		-55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-14	10	10.657		-55,400
Lundin Gold Inc.	Common Shares	Mir, Pablo	7	2021-01-14	10	10.502	8,100	-36,500
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13		-55,400
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13		-55,400
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13		-55,400
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13		-55,400
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13		-55,400
Lundin Gold Inc.	Options	Mir, Pablo	7	2021-01-13	51	4.13	138,900	-100,000
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2021-01-08	10	3.14	5,897,117	-800
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2021-01-08	10	3.13	5,887,917	-9,200
MAG Silver Corp.	DSU	Mathieu, Susan	4	2021-01-13	00			
MAG Silver Corp.	DSU	Mathieu, Susan	4	2021-01-13	56	26.27	5,709	5,709
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-14	10		347,306	122,878
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-14	10		1,381,542	163,944
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-14	10		271,920	59,759
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-11	10		567,185	97,817
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-12	10		578,758	11,573
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIIC	3	2021-01-13	10		595,383	16,625
Manitou Gold Inc.	Options	Dubreuil, Patrice Simon	5	2021-01-11	56		4,000,000	1,000,000
Manitou Gold Inc.	Options	MacPhail, Peter	4, 6	2021-01-11	50	0.1	2,000,000	1,000,000
Manitou Gold Inc.	Options	Mahaffy, Guy	4	2021-01-11	50	0.1	2,400,000	1,000,000
Manitou Gold Inc.	Options	Marrelli, Carmelo	5	2021-01-11	50		750,000	500,000
Manitou Gold Inc.	Options	McCORMACK, DANIEL Joseph	4	2021-01-11	50		2,000,000	1,000,000
Manitou Gold Inc.	Options	Murphy, Richard	4, 5	2021-01-11	50		6,000,000	2,000,000
Manitou Gold Inc.	Options	Sferra, Donato	5	2021-01-11	50		3,000,000	1,500,000
Manitou Gold Inc.	Options	Zaritsky, Blair David	4	2021-01-11	50		2,000,000	1,000,000
Manning Ventures Inc.	Common Shares	Moshevich, Etienne	3	2021-01-07	00		2,590,000	
Manning Ventures Inc.	Common Shares	Moshevich, Etienne	3	2021-01-07	00		990,000	
Manulife Financial Corporation	Common Shares	Cloherly, Eileen	7	2020-12-31	30		913	13
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Cloherly, Eileen	7	2020-12-31	56	24.38	4,181	2,351
Manulife Financial Corporation	Common Shares	Collins, Brian	7	2020-12-31	30		2,063	27

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Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Collins, Brian	7	2020-12-31	56	24.38	11,746	5,727
Manulife Financial Corporation	Common Shares	Doughty, Michael James	7, 5	2020-12-31	30		4,183	35
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Doughty, Michael James	7, 5	2020-12-31	56	24.38	105,760	38,966
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Doughty, Michael James	7, 5	2020-12-31	56	24.38	29,567	15,587
Manulife Financial Corporation	Common Shares	Finch, Steve	5	2020-12-31	30		7,658	15
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Finch, Steve	5	2020-12-31	56	24.38	90,444	45,818
Manulife Financial Corporation	Common Shares	Gallagher, James D.	5	2020-12-31	30		1,445	15
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Gallagher, James D.	5	2020-12-31	56	24.38	60,547	21,818
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Gallagher, James D.	5	2020-12-31	56	24.38	16,936	8,727
Manulife Financial Corporation	Common Shares	Gori, Rocco	4, 5	2020-12-31	30		310,300	285
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Gori, Rocco	4, 5	2020-12-31	56	24.38	482,597	172,498
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Gori, Rocco	4, 5	2020-12-31	56	24.38	133,309	68,999
Manulife Financial Corporation	Common Shares	Harrison, Marianne	7, 5	2020-12-31	30		8,236	87
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Harrison, Marianne	7, 5	2020-12-31	56	24.38	219,660	70,908
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Harrison, Marianne	7, 5	2020-12-31	56	24.38	58,238	28,363
Manulife Financial Corporation	Common Shares	Hartz, Scott	5	2020-12-31	30		54,611	48
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Hartz, Scott	5	2020-12-31	56	24.38	125,331	54,545
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Hartz, Scott	5	2020-12-31	56	24.38	38,577	21,818
Manulife Financial Corporation	Common Shares	Hirji, Rahim	5	2020-12-31	30		1,921	27
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Hirji, Rahim	5	2020-12-31	56	24.38	61,973	31,583
Manulife Financial Corporation	Common Shares	Irshad, Naveed	5	2020-12-31	30		1,404	17
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Irshad, Naveed	5	2020-12-31	56	24.38	61,585	26,661
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Irshad, Naveed	5	2020-12-31	56	24.38	19,172	10,664
Manulife Financial Corporation	Common Shares	Joshi, Rahul Madhav	5	2020-12-31	30		4,841	51
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Joshi, Rahul Madhav	5	2020-12-31	56	24.38	77,192	46,363
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Joshi, Rahul Madhav	5	2020-12-31	56	24.38	118,064	18,545
Manulife Financial Corporation	Common Shares	Kalita von dem Hagen, Halina	5	2020-12-31	30		21	21
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Kalita von dem Hagen, Halina	5	2020-12-31	56	24.38	20,755	6,768
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Kalita von dem Hagen, Halina	5	2020-12-31	56	24.38	42,826	31,789
Manulife Financial Corporation	Common Shares	Kimmet, Pamela O'Brien	5	2020-12-31	30		46,445	15
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Kimmet, Pamela O'Brien	5	2020-12-31	56	24.38	97,405	47,727

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Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Kimmet, Pamela O'Brien	5	2020-12-31	56	24.38	38,008	19,091
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2020-12-31	30		17,209	63
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2020-12-31	30		17,347	138
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Lorentz, Paul	5	2020-12-31	56	24.38	114,439	44,606
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Lorentz, Paul	5	2020-12-31	56	24.38	33,830	17,842
Manulife Financial Corporation	Common Shares	MacInnis, Matthew Lyman	7	2020-12-31	30		905	11
Manulife Financial Corporation	Rights Performance Share Units (PSU)	MacInnis, Matthew Lyman	7	2020-12-31	56	24.38	2,153	2,153
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	MacInnis, Matthew Lyman	7	2020-12-31	56	24.38	3,589	3,589
Manulife Financial Corporation	Common Shares	Pariath, Sebastian	7	2020-12-31	30		17	5
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Pariath, Sebastian	7	2020-12-31	56	24.38	13,712	4,991
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Pariath, Sebastian	7	2020-12-31	56	24.38	17,338	8,318
Manulife Financial Corporation	Common Shares	Rappold, Kenneth Joseph	7	2020-12-31	30		1,656	15
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Rappold, Kenneth Joseph	7	2020-12-31	56	24.38	11,385	5,254
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Rappold, Kenneth Joseph	7	2020-12-31	56	24.38	21,565	8,757
Manulife Financial Corporation	Common Shares	Ross, Kenneth Michael	7	2020-12-31	30		2,474	23
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Ross, Kenneth Michael	7	2020-12-31	56	24.38	11,912	5,891
Manulife Financial Corporation	Common Shares	Sheerin, Martin Ignatius	7	2020-12-31	30		4,242	21
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Sheerin, Martin Ignatius	7	2020-12-31	56	24.38	12,140	3,845
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Sheerin, Martin Ignatius	7	2020-12-31	56	24.38	15,002	6,409
Manulife Financial Corporation	Common Shares	Springer-Haynes, Renee	7	2020-12-31	30		4,677	52
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Springer-Haynes, Renee	7	2020-12-31	56	24.38	3,633	1,909
Manulife Financial Corporation	Common Shares	Tingle, Brooks	7	2020-12-31	30		32,820	15
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Tingle, Brooks	7	2020-12-31	56	24.38	22,397	10,636
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Tingle, Brooks	7	2020-12-31	56	24.38	58,485	44,999
Manulife Financial Corporation	Common Shares	Vendittelli, Simonetta	7	2020-12-31	30		1,088	14
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Vendittelli, Simonetta	7	2020-12-31	56	24.38	12,648	6,082
Manulife Financial Corporation	Common Shares	Wadhvani, Anil	7, 5	2020-12-31	30		7,342	67
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Wadhvani, Anil	7, 5	2020-12-31	56	24.38	169,534	59,999
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Wadhvani, Anil	7, 5	2020-12-31	56	24.38	47,092	24,000
Manulife Financial Corporation	Common Shares	Weiland, Shamus Edward	5	2020-12-31	30		1,445	15
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Weiland, Shamus Edward	5	2020-12-31	56	24.38	85,437	42,272

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Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Weiland, Shamus Edward	5	2020-12-31	56	24.38	78,549	16,909
Manulife Financial Corporation	Common Shares	Witherington, Philip James	7, 5	2020-12-31	30		8,287	103
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Witherington, Philip James	7, 5	2020-12-31	56	24.38	144,780	51,272
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Witherington, Philip James	7, 5	2020-12-31	56	24.38	39,699	20,509
Manulife Financial Corporation	Common Shares	Wong, Henry	7	2020-12-31	30		1,445	15
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Wong, Henry	7	2020-12-31	56	24.38	14,574	6,818
Manulife Financial Corporation	Common Shares	Yeo, Steven Hui Chin	7	2020-12-31	30		2,773	29
Manulife Financial Corporation	Rights Performance Share Units (PSU)	Yeo, Steven Hui Chin	7	2020-12-31	56	24.38	9,791	3,573
Manulife Financial Corporation	Rights Restricted Share Units (RSU)	Yeo, Steven Hui Chin	7	2020-12-31	56	24.38	12,542	5,955
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-11	10	3.01	2,027,250	-30,000
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-12	10	3.07	1,992,650	-34,600
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-13	10	3.2	1,972,650	-20,000
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-13	10	3.22	1,969,750	-2,900
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-13	54	1.6	2,019,750	50,000
Marathon Gold Corporation	Common Shares	Faught, George D.	4	2021-01-14	10	3.32	2,000,000	-19,750
Marathon Gold Corporation	Warrants	Faught, George D.	4	2021-01-13	54	1.6	0	-50,000
Mason Graphite Inc.	Options	Al-Tamimi, Fahad	4	2020-06-08	00			
Mason Graphite Inc.	Options	Al-Tamimi, Fahad	4	2021-01-12	50		1,600,000	1,600,000
Mason Graphite Inc.	Options	Choquet, Pascale	5	2021-01-12	50		300,000	150,000
Mason Graphite Inc.	Options	Damouni, Peter	4	2020-02-25	00			
Mason Graphite Inc.	Options	Damouni, Peter	4	2020-02-25	00		1,600,000	
Mason Graphite Inc.	Options	Dhaliwal, Nav	4	2020-12-29	00			
Mason Graphite Inc.	Options	Dhaliwal, Nav	4	2021-01-12	50		400,000	400,000
Mason Graphite Inc.	Options	Eldem, Tayfun	4	2020-12-29	00			
Mason Graphite Inc.	Options	Eldem, Tayfun	4	2021-01-12	50	0.46	400,000	400,000
Mason Graphite Inc.	Options	L'Heureux, Jean	5	2021-01-12	50	0.46	750,000	300,000
Mason Graphite Inc.	Options	Marcotte, Simon	4	2020-12-29	00			
Mason Graphite Inc.	Options	Marcotte, Simon	4	2021-01-12	50	0.46	1,600,000	1,600,000
Mason Graphite Inc.	Options	McDowall, Roy	4	2020-12-29	00			
Mason Graphite Inc.	Options	McDowall, Roy	4	2021-01-12	50		400,000	400,000
Maverix Metals Inc.	Common Shares	Bonney, Brent Alexander	5	2021-01-08	10	6.89	192,216	2,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-11	10	7	5,749	-4,100
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-11	10	7.01	5,001	-748
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-12	10	7	2,001	-3,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-12	10	7.02	1,001	-1,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-12	10	7.05	1	-1,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-13	51	1.08	30,001	30,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.05		-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.05		-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.06		-2,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.06		-2,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.07		-1,500

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Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.07		-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.1		-5,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.1		-5,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.05	28,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.06	26,001	-2,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.07	24,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.1	19,501	-5,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.11	18,001	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.12	16,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.13	15,001	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.14	13,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-14	10	7.16	11,001	-2,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	7.04	9,001	-2,000
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	7.02	7,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	7	6,001	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	6.97	4,501	-1,500
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	6.91	3,801	-700
Maverix Metals Inc.	Common Shares	Doyle, Alun Robert	4, 6	2021-01-15	10	6.905	501	-3,300
Maverix Metals Inc.	Options	Doyle, Alun Robert	4, 6	2021-01-13	51	1.08	98,000	-30,000
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2021-01-08	10	0.145	388,000	40,000
Mazarin Inc.	Common Shares	MONETTE, SERGE	7	2021-01-08	10	0.14	408,000	20,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-08	38	6.402	6,100	6,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-08	38		0	-6,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-11	38	6.3971	700	700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-11	38		0	-700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-13	38	6.4071	700	700
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-01-13	38		0	-700
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-06-01	00			
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-12-29	90	15.38	390	390
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-10-14	30	13.24	679	85
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-10-30	30	13.19	764	85
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-11-13	30	14.953	839	75
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-11-27	30	16.587	907	68
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-12-15	30	15.465	980	73
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-12-29	90	15.38	590	-390
MCAN Mortgage Corporation	Common Shares	Cipollone, Floriana	5	2020-12-30	30	15.752	661	71
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2021-01-07	90	15.85	1,771	-373
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2021-01-07	90	15.85	1,398	-373
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2021-01-07	90	15.85	4,593	373
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2021-01-07	90	15.85	7,019	373

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MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-10-14	30	13.24	13,969	44
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-10-30	30	13.19	14,013	44
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-11-13	30	14.953	14,052	39
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-11-27	30	16.587	14,087	35
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-12-15	30	15.465	14,125	38
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2020-12-30	30	15.752	14,162	37
MCAN Mortgage Corporation	Common Shares	Pinto, Sylvia	5	2021-01-04	30	15.223	14,477	315
MCAN Mortgage Corporation	Common Shares	Sutherland, Derek	4	2021-01-14	11	15.77		160,000
MCAN Mortgage Corporation	Common Shares	Sutherland, Derek	4	2021-01-14	11	15.87	221,000	160,000
MCAN Mortgage Corporation	Common Shares	Sutherland, Ian	3, 4	2021-01-14	11	15.87	1,750,000	-600,000
MCAN Mortgage Corporation	Common Shares	Sutherland, Ian	3, 4	2021-01-14	11	15.87	230,000	120,000
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2021-01-06	10	0.075	0	-9,000
Medical Facilities Corporation	Deferred Share Units	Cormack, Lois	4	2020-12-17	00			
Medical Facilities Corporation	Deferred Share Units	Cormack, Lois	4	2021-01-15	56		721	721
Medical Facilities Corporation	Deferred Share Units	Dineley, Stephen F.	4	2021-01-15	56		44,845	2,633
Medical Facilities Corporation	Deferred Share Units	Enright, Erin Suzanne	4	2021-01-15	56		57,287	4,867
Medical Facilities Corporation	Deferred Share Units	Lawr, Dale M.	4	2021-01-15	56		55,027	2,434
Medical Facilities Corporation	Deferred Share Units	Lozon, Jeffrey Clifford	4	2021-01-15	56		56,000	3,540
Medical Facilities Corporation	Deferred Share Units	Shahim, Reza	4	2021-01-15	56		65,052	4,425
Medicure Inc.	Common Shares	Owens, Neil Wayne	5	2019-07-01	00			
Medicure Inc.	Common Shares	Owens, Neil Wayne	5	2021-01-13	10	1.52	2,000	2,000
MediPharm Labs Corp.	Options	Taylor, Sybil	5	2021-01-13	38		0	-400,000
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.195	37,672,368	-51,300
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.2	36,649,905	-1,022,463
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.205	36,511,205	-138,700
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.21	36,500,062	-11,143
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.215	36,482,362	-17,700
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-08	10	0.22	36,478,862	-3,500
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-11	10	0.2135	36,408,517	-70,345

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MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-11	10	0.2141	36,359,317	-49,200
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-12	10	0.225	36,213,117	-146,200
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-12	10	0.2134	36,006,913	-206,204
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	MedMen Enterprises Inc. Class B Subordinate Voting Shares	Tierney, Daniel V.	3	2021-01-12	10	0.215	35,603,290	-403,623
MedXtractor Corp	Common Shares	Vinck, Dwayne Albert	5	2021-01-12	10	0.18	454,500	25,000
Melcor Developments Ltd.	Common Shares	Melton, Graeme	5	2021-01-12	10	9.949	7,132	-3,085
Melcor Real Estate Investment Trust	Trust Units	Melton, Graeme	6	2021-01-12	10	4.914	7,525	6,500
Metallic Minerals Corp.	Options	Hamilton, Gregor John	4	2021-01-12	50	0.6	1,250,000	200,000
Metallic Minerals Corp.	Options	Harris, Peter William	4	2021-01-12	50	0.6	250,000	100,000
Metallic Minerals Corp.	Options	Johnson, Gregory Shawn	4, 5	2021-01-12	50	0.6	2,150,000	250,000
Metallic Minerals Corp.	Options	Milne, Alicia	5	2021-01-12	50		375,000	125,000
Metallic Minerals Corp.	Options	Moriarty, Rebecca	5	2021-01-12	50	0.6	200,000	50,000
Metallic Minerals Corp.	Options	Warkentin, Doug	4	2021-01-12	50	0.6		100,000
Metallic Minerals Corp.	Options	Warkentin, Doug	4	2021-01-12	50		250,000	100,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2021-01-13	90	40.455	2,798,412	4,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2021-01-13	90	40.455	4,439,442	38,500
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2021-01-13	90	40.455	6,110,993	-42,500
Middlefield Global Real Asset Fund	Trust Units	Lauzon, Robert	7	2021-01-08	10	9.4	2,100	1,300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-01-08	38	9.376	991,900	500
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-01-11	38	9.4361	996,500	4,600
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-01-12	38	9.43	997,300	800
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-01-13	38	9.4413	999,600	2,300
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-07	11	3.51	1,046,820	-1,300
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-07	10	3.5	1,045,020	-1,800
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-07	10	3.45	1,044,420	-600
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-07	10	3.44	1,039,920	-4,500
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-07	10	3.4	1,023,120	-16,800
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-08	10	3.57	998,120	-25,000
Mimi's Rock Corp.	Common Shares	David Kohler (2017) Family Trust	3	2021-01-14	11	0.5	8,054,250	160,500
Mimi's Rock Corp.	Common Shares	Hanson, Telfer	3, 4, 5	2021-01-14	10	0.5	5,500,000	-2,000,000
Mimi's Rock Corp.	Common Shares	Hanson, Telfer	3, 4, 5	2021-01-14	11	0.5	5,339,500	-160,500
Mimi's Rock Corp.	Common Shares	Kohler, David Byrne McDonnell	3, 4, 5	2021-01-14	11	0.5	8,054,250	160,500
Mimi's Rock Corp.	Common Shares	Telfer Hanson (2017) Family Trust	3	2021-01-14	10	0.5	5,500,000	-2,000,000
Mimi's Rock Corp.	Common Shares	Telfer Hanson (2017) Family Trust	3	2021-01-14	11	0.5	5,339,500	-160,500
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-07	10	4.0893	10,028,000	-317,000

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Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-08	10	4.0014	9,978,000	-50,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-11	10	3.8737	9,778,000	-200,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-12	10	3.6965	9,528,000	-250,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-13	10	3.5248	9,028,000	-500,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Rahn, Jamon Alexander	4, 5	2021-01-14	10	3.9998	8,618,000	-410,000
Mindset Pharma Inc. (formerly North Sur Resources Inc.)	Common Shares	Patricio, Richard J	4	2021-01-11	10	0.893	73,500	37,500
Mindset Pharma Inc. (formerly North Sur Resources Inc.)	Common Shares	Patricio, Richard J	4	2021-01-13	10	0.802	620,400	11,000
Mindset Pharma Inc. (formerly North Sur Resources Inc.)	Common Shares	Patricio, Richard J	4	2021-01-08	10	0.95	430,775	2,500
Mindset Pharma Inc. (formerly North Sur Resources Inc.)	Common Shares	Patricio, Richard J	4	2021-01-12	10	0.806	443,275	12,500
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-01-11	38	5.3767	71,815,851	1,800
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-01-12	38	5.385	71,816,651	800
MINT Income Fund	Trust Units	MINT Income Fund	1	2021-01-13	38	5.457	71,817,651	1,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2021-01-11	36	2.75	930,651	14,545
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Feller, Gregory Dean	4, 5	2021-01-11	97	4.652	930,750	99
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Feller, Gregory Dean	4, 5	2021-01-11	36		\$0	-\$40,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Mohamed, Minhas	4	2021-01-11	36	2.75	106,172	8,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Mohamed, Minhas	4	2021-01-11	97	4.652	106,226	54
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Mohamed, Minhas	4	2021-01-11	36		\$0	-\$22,000
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2021-01-11	36	2.75	180,150	21,636
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2021-01-11	97	4.652	180,297	147
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2021-01-11	36	2.75	126,623	2,364
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Van Winters, Kees Cornelis	4	2021-01-11	97	4.652	126,639	16

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Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Van Winters, Kees Cornelis	4	2021-01-11	36		\$0	-\$59,500
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Van Winters, Kees Cornelis	4	2021-01-11	36		\$0	-\$6,500
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Wekerle, Michael A.	3, 4	2021-01-11	36	2.75	3,953,808	31,272
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Common Shares	Wekerle, Michael A.	3, 4	2021-01-11	97	4.652	3,954,021	213
Mogo Inc. (formerly, Difference Capital Financial Inc.)	Convertible Debentures June 2017	Wekerle, Michael A.	3, 4	2021-01-11	36		\$0	-\$86,000
Montage Gold Corp.	Common Shares	Spencer, Adam	4, 5	2021-01-07	10	0.92	479,828	50,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2021-01-11	10	0.12	682,250	-200,000
Monument Mining Limited	Common Shares	Baldock, Robert Frederick	4, 5	2021-01-11	10	0.115	482,250	-200,000
Morguard North American Residential Real Estate Investment Trust	Trust Units	Robertson, Bruce Keith	4	2021-01-14	30		253,760	11,891
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	5.37	535	3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	5.37	542	7
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	15.79		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	15.79		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	5.26	545	3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	5.26	552	7
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	16.1		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	16.1		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	5.37	314,187	3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	15.79		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	15.79		3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	5.26	314,190	3
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-01-31	30	5.37	1,119	7
Mosaic Capital Corporation	Common Shares	Mackay, John	4, 6, 7, 5	2020-02-28	30	5.26	1,126	7
Mountain Province Diamonds Inc.	Common Shares	Goracke, Karen Jean	4	2020-12-21	57	0.68	65,000	10,000
MTY Food Group Inc.	Common Shares	Lefebvre, Eric	4, 5	2020-12-31	30		9,137	1,028
MustGrow Biologics Corp.	Common Shares	Bletscky, Colin Michael	4	2021-01-14	10	2.01	916,364	5,000
MustGrow Biologics Corp.	Options	Borecky, David	4	2020-12-14	00		250,000	
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6.03	1,429,800	-200
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6.02	1,429,200	-600

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Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6.015	1,425,200	-4,000
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6.014	1,424,700	-500
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6.01	1,420,000	-4,700
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	6	1,410,000	-10,000
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-07	10	5.8	1,385,000	-25,000
Nano One Materials Corp.	Common Shares	Blondal, Daniel John	4, 5	2021-01-08	10	6	1,380,000	-5,000
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.06	1,352,300	-200
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.05	1,351,200	-1,100
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.05	1,351,100	-100
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.05	1,350,900	-200
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.015	1,343,500	-7,400
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.06	1,343,400	-100
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6.0411	1,342,500	-900
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	6	1,332,500	-10,000
Nano One Materials Corp.	Common Shares	Lando, John Edward	4, 5	2021-01-07	10	5.8	1,307,500	-25,000
Nano One Materials Corp.	Common Shares	Martino, Daniel	5	2021-01-11	16	1.6	5,000	5,000
Nano One Materials Corp.	Warrants	Martino, Daniel	5	2021-01-11	54	1.6	0	-5,000
Nano One Materials Corp.	Common Shares	Matysek, Paul Frank	4	2021-01-07	10	6.02	1,689,583	-5,000
Nano One Materials Corp.	Common Shares	Matysek, Paul Frank	4	2021-01-07	10	6.05	1,684,583	-5,000
Nano One Materials Corp.	Common Shares	Matysek, Paul Frank	4	2021-01-07	10	5.9	1,679,583	-5,000
Nano One Materials Corp.	Common Shares	Matysek, Paul Frank	4	2021-01-07	10	5.85	1,674,583	-5,000
Nano One Materials Corp.	Common Shares	Matysek, Paul Frank	4	2021-01-07	10	5.9	1,669,583	-5,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-01-11	52	1.23	2,085,000	-85,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-11	10	0.06	2,466,000	23,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-13	10	0.06	2,493,000	27,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-14	10	0.065	2,540,000	47,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-14	10	0.07	2,570,000	30,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-14	10	0.065	2,599,000	29,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-15	10	0.07	2,619,000	20,000
NatureBank Asset Management Inc.	Common Shares	O'Loughnane, Guy	4	2021-01-15	10	0.06	2,658,000	39,000
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-09	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-09	00			
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-09	00			
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-09	00		50,000	
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2020-12-30	15	0.1	150,000	100,000
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2021-01-04	36			100,000
NeonMind Biosciences Inc.	Common Shares	HUANG, YU CAI	6	2021-01-04	57		250,000	100,000
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2020-12-09	00			
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2020-12-09	00			
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2021-01-04	36			-100,000
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2021-01-04	57			-100,000
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2020-12-09	00		1,000,000	
NeonMind Biosciences Inc.	Restricted Share Unit	HUANG, YU CAI	6	2021-01-04	57		900,000	-100,000
NeonMind Biosciences Inc.	Warrants	HUANG, YU CAI	6	2020-12-09	00			
NeonMind Biosciences Inc.	Warrants	HUANG, YU CAI	6	2020-12-09	00		50,000	
NeonMind Biosciences Inc.	Options	Millar, Trevor	5	2021-01-06	00			
NeonMind Biosciences Inc.	Options	Millar, Trevor	5	2021-01-07	50		1,200,000	1,200,000
NeonMind Biosciences Inc.	Restricted Share Unit	Millar, Trevor	5	2021-01-06	00			
NeonMind Biosciences Inc.	Restricted Share Unit	Millar, Trevor	5	2021-01-07	50			300,000
NeonMind Biosciences Inc.	Restricted Share Unit	Millar, Trevor	5	2021-01-07	56		300,000	300,000
NeonMind Biosciences Inc.	Common Shares	Panenka, William	3	2020-12-30	15	0.1	6,050,000	2,050,000
NeonMind Biosciences Inc.	Warrants	Panenka, William	3	2020-12-30	15	0.1	6,050,000	2,050,000
NeonMind Biosciences Inc.	Common Shares	RICHARDSON, KAREN FAITH	4	2021-01-04	36			100,000
NeonMind Biosciences Inc.	Common Shares	RICHARDSON, KAREN FAITH	4	2021-01-04	57		100,000	100,000
NeonMind Biosciences Inc.	Restricted Share Unit	RICHARDSON, KAREN FAITH	4	2021-01-04	36			-100,000
NeonMind Biosciences Inc.	Restricted Share Unit	RICHARDSON, KAREN FAITH	4	2021-01-04	57		900,000	-100,000
NeonMind Biosciences Inc.	Common Shares	Smith, Jeffrey Brian	6	2021-01-04	36			500,000
NeonMind Biosciences Inc.	Common Shares	Smith, Jeffrey Brian	6	2021-01-04	57		500,000	500,000
NeonMind Biosciences Inc.	Restricted Share Unit	Smith, Jeffrey Brian	6	2021-01-04	36			-500,000
NeonMind Biosciences Inc.	Restricted Share Unit	Smith, Jeffrey Brian	6	2021-01-04	57		4,500,000	-500,000
NeonMind Biosciences Inc.	Common Shares	White, Penny Olga	4, 5	2021-01-04	36			100,000
NeonMind Biosciences Inc.	Common Shares	White, Penny Olga	4, 5	2021-01-04	56			100,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NeonMind Biosciences Inc.	Common Shares	White, Penny Olga	4, 5	2021-01-04	57		6,500,000	100,000
NeonMind Biosciences Inc.	Restricted Share Unit	White, Penny Olga	4, 5	2021-01-04	36			-100,000
NeonMind Biosciences Inc.	Restricted Share Unit	White, Penny Olga	4, 5	2021-01-04	57		900,000	-100,000
Nerds On Site Inc.	Subordinate Voting Shares	Regan, Charles Donald	4, 5	2021-01-08	10	0.04	712,124	6,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2019-10-18	10	0.43	1,000	1,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2019-10-18	10	0.44	4,500	3,500
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2020-12-21	10	1.177	230,000	-50,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2020-12-22	10	1.2	210,000	-20,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2020-12-30	10	1.321	200,000	-10,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2021-01-04	10	1.25	190,000	-10,000
NetCents Technology Inc.	Common Shares	Cherry, Christopher	5	2021-01-05	10	1.27	180,000	-10,000
NetCents Technology Inc.	Common Shares	Lowther, Jennifer Mae	4, 5	2017-11-23	00			
NetCents Technology Inc.	Common Shares	Lowther, Jennifer Mae	4, 5	2018-06-01	10	0.25	30,000	30,000
NetCents Technology Inc.	Common Shares	Lowther, Jennifer Mae	4, 5	2020-08-21	16	0.51	837,355	807,355
NetCents Technology Inc.	Common Shares	Lowther, Jennifer Mae	4, 5	2020-11-11	16	0.752	3,030,000	2,192,645
NetCents Technology Inc.	Options	Lowther, Jennifer Mae	4, 5	2017-11-23	00			
NetCents Technology Inc.	Options	Lowther, Jennifer Mae	4, 5	2018-12-20	50	0.76	200,000	200,000
NetCents Technology Inc.	Options	Lowther, Jennifer Mae	4, 5	2019-05-30	50	0.58	400,000	200,000
NetCents Technology Inc.	Options	Lowther, Jennifer Mae	4, 5	2020-04-27	50	0.62	600,000	200,000
NetCents Technology Inc.	Options	Lowther, Jennifer Mae	4, 5	2020-06-24	50	1.1	900,000	300,000
NetCents Technology Inc.	Warrants	Lowther, Jennifer Mae	4, 5	2017-11-23	00			
New Found Gold Corp.	Options	ANDERSON, JOHN	4	2020-04-15	50	1	500,000	50,000
New Found Gold Corp.	Options	ANDERSON, JOHN	4	2020-05-23	50	1.075		50,000
New Found Gold Corp.	Options	ANDERSON, JOHN	4	2020-05-23	50	1.075	525,000	25,000
New Found Gold Corp.	Options	ANDERSON, JOHN	4	2020-12-31	50	4.1	625,000	50,000
New Found Gold Corp.	Options	ANDERSON, JOHN	4	2021-01-04	50	4.1		50,000
New Found Gold Corp.	Options	Laviolette, Denis Roland	4, 5	2020-12-31	50	4.1	2,750,000	50,000
New Gold Inc.	Common Shares	Adams, Renaud	4, 5	2021-01-08	57		716,279	116,279
New Gold Inc.	Performance Share Units	Adams, Renaud	4, 5	2021-01-08	57		1,281,442	-116,279
New Gold Inc.	Performance Share Units	Adams, Renaud	4, 5	2021-01-08	59		1,162,723	-118,719
New Gold Inc.	Performance Share Units	Adams, Renaud	4, 5	2021-01-08	97		1,085,204	-77,519
New Gold Inc.	Common Shares	Chausse, Robert Joseph	5	2021-01-08	57		586,250	86,250
New Gold Inc.	Performance Share Units	Chausse, Robert Joseph	5	2021-01-08	57		560,403	-86,250
New Gold Inc.	Performance Share Units	Chausse, Robert Joseph	5	2021-01-08	59		472,344	-88,059
New Gold Inc.	Performance Share Units	Chausse, Robert Joseph	5	2021-01-08	97		414,844	-57,500
New Leaf Ventures Inc.	Common Shares	White, Lee Devon White	4	2020-04-30	00		533,800	
New Leaf Ventures Inc.	Common Shares	White, Lee Devon White	4	2021-01-08	10	0.2	535,050	1,250
New Placer Dome Gold Corp.	Common Shares	Sali, Maximilian	4, 5	2021-01-11	10	0.28	2,239,750	25,000

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New Tech Lithium Corp.	Common Shares	george, jonathan	4, 5	2018-12-07	11	0.05		300,000
New Tech Lithium Corp.	Common Shares	george, jonathan	4, 5	2018-12-07	11	0.05	300,000	300,000
New Tech Lithium Corp.	Warrants	george, jonathan	4, 5	2018-12-07	11			300,000
New Tech Lithium Corp.	Warrants	george, jonathan	4, 5	2018-12-07	11		300,000	300,000
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2019-12-24	11	0.025		1,000,000
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2020-08-12	37			-678,000
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2020-08-12	37		28,000	-28,000
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2018-06-26	00			
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2019-12-24	11	0.025	1,300,000	1,000,000
New Tech Minerals Corp.	Common Shares	george, jonathan	4, 5	2020-08-12	37		650,000	-650,000
New Tech Minerals Corp.	Options	george, jonathan	4, 5	2020-08-12	37		450,000	-450,000
New Tech Minerals Corp.	Warrants	george, jonathan	4, 5	2019-12-24	11	0.05		1,000,000
New Tech Minerals Corp.	Warrants	george, jonathan	4, 5	2018-06-26	00			
New Tech Minerals Corp.	Warrants	george, jonathan	4, 5	2019-12-24	11	0.05	1,300,000	1,000,000
New Tech Minerals Corp.	Warrants	george, jonathan	4, 5	2020-08-12	37		650,000	-650,000
Newrange Gold Corp.	Options	Archer, Robert Alexander	4	2021-01-15	52	0.2	375,000	-390,000
Newrange Gold Corp.	Options	Carrington, Robert Gregory	4, 7, 5	2021-01-15	52	0.2	770,500	-222,000
Nexera Energy Inc.	Common Shares	Beattie, Shelby DaVawn	4, 5	2020-03-17	37		413,225	-5,785,164
Nexera Energy Inc.	Common Shares	Beattie, Shelby DaVawn	4, 5	2020-12-16	16	0.05	1,413,225	1,000,000
Nexera Energy Inc.	Common Shares	Gutierrez, Carlo Enrique	4	2020-03-16	37		2,344,968	-32,829,565
Nexera Energy Inc.	Common Shares	Gutierrez, Carlo Enrique	4	2020-11-11	10	0.045	1,094,968	-1,250,000
Nexera Energy Inc.	Common Shares	Gutierrez, Carlo Enrique	4	2020-12-16	16	0.05	5,899,568	4,804,600
Nexera Energy Inc.	Common Shares	Rice, Michael	5	2020-03-16	37		813,878	-13,214,300
Nexera Energy Inc.	Common Shares	Rice, Michael	5	2020-12-16	16	0.05	3,074,878	2,000,000
Nexera Energy Inc.	Common Shares	Wagenaar, Clarence	3	2020-03-17	37		2,919,567	-40,873,944
Next Green Wave Holdings Inc.	Common Shares	Hybels, Todd Jeremy	5	2020-01-01	00		425,000	
Next Green Wave Holdings Inc.	Options	Hybels, Todd Jeremy	5	2020-01-01	00			
Next Green Wave Holdings Inc.	Options	Hybels, Todd Jeremy	5	2020-01-01	00		1,375,000	
Next Green Wave Holdings Inc.	Common Shares	Lange, Ryan	5	2019-11-19	00		4,382,725	
Nnextech AR Solutions Corp.	Common Shares	Tyldesley, Belinda	4	2021-01-11	10		274,172	-10,000
Nicola Mining Inc.	Options	Espig, Peter Edward	4	2021-01-11	51	0.1	255,000	-500,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2021-01-13	10	1.25	9,917,642	6,700
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2021-01-14	10	1.25	9,930,942	13,300
Noble Mineral Exploration Inc.	Options	Suttie, Robert D.B.	5	2017-10-26	50			200,000
Noble Mineral Exploration Inc.	Options	Suttie, Robert D.B.	5	2017-10-26	50		200,000	200,000
Noranda Income Fund	Trust Units	wright, peter	4	2020-06-19	00			
Noranda Income Fund	Trust Units	wright, peter	4	2020-12-23	10	1.13	10,000	10,000
Norbord Inc.	Common Shares	Burke, Kevin John	5	2020-12-31	30	24.67	13,539	1,782

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Norbord Inc.	Rights Management Deferred Share Units	Burke, Kevin John	5	2020-12-31	30	25.3	5,138	2,201
Norbord Inc.	Rights Restricted Share Units	Burke, Kevin John	5	2020-12-31	30		2,047	37
Norbord Inc.	Common Shares	Dubois-Phillips, Mark Richard	5	2020-12-31	30	31.77	3,372	661
Norbord Inc.	Rights Management Deferred Share Units	Dubois-Phillips, Mark Richard	5	2020-12-31	30	34.45	1,372	45
Norbord Inc.	Rights Restricted Share Units	Dubois-Phillips, Mark Richard	5	2020-12-31	30		330	6
Norbord Inc.	Rights Director Deferred Share Units	Gagne, Paul Ernest	4	2020-12-31	30	33.37	34,153	4,936
Norbord Inc.	Rights Director Deferred Share Units	Houston, Paul	4	2020-12-31	30	31.89	34,047	3,140
Norbord Inc.	Common Shares	Lampard, Robin E.A.	5	2020-12-31	30	32.76	30,699	1,665
Norbord Inc.	Rights Restricted Share Units	Lampard, Robin E.A.	5	2020-12-31	30		43,176	785
Norbord Inc.	Rights Director Deferred Share Units	Lawson, Marian	4	2020-05-06	00			
Norbord Inc.	Rights Director Deferred Share Units	Lawson, Marian	4	2020-12-31	30	38.71	2,164	2,164
Norbord Inc.	Common Shares	Mackie, Gregory Richard	5	2020-12-31	30	33.06	2,413	527
Norbord Inc.	Rights Restricted Share Units	Mackie, Gregory Richard	5	2020-12-31	30		1,429	26
Norbord Inc.	Rights Restricted Share Units	McMeekin, Alan Gordon	5	2020-12-31	30		3,840	70
Norbord Inc.	Rights Director Deferred Share Units	McMorrow, Colleen	4	2020-05-06	00			
Norbord Inc.	Rights Director Deferred Share Units	McMorrow, Colleen	4	2020-12-31	30	38.71	1,299	1,299
Norbord Inc.	Rights Director Deferred Share Units	Nemchev, Denise Marie	4	2020-12-31	30	30.72	7,048	3,792
Norbord Inc.	Common Shares	Wijnbergen, Peter Cornelius	5	2020-12-31	30	32.79	64,875	5,907
Norbord Inc.	Rights Management Deferred Share Units	Wijnbergen, Peter Cornelius	5	2020-12-31	30	34.45	3,649	120
Norbord Inc.	Rights Restricted Share Units	Wijnbergen, Peter Cornelius	5	2020-12-31	30		78,342	1,425
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-11	10	12.748	10,000	10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-11	38		0	-10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-12	10	13.1	100,000	100,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-12	38		0	-100,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-13	10	12.728	10,000	10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-13	38		0	-10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-14	10	13.498	10,000	10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-14	38		0	-10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-15	10	13.184	10,000	10,000
North American Construction Group Ltd.	Common Shares	North American Construction Group Ltd.	1	2021-01-15	38		0	-10,000
Northcliff Resources Ltd.	Restricted Share Units	Snyman, Marchand	4, 5	2021-01-12	59		2,599,203	-790,048
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Common Shares	Beausoleil, Serge	3, 4	2021-01-15	16	0.02	21,212,046	5,000,000

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Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Warrants	Beausoleil, Serge	3, 4	2021-01-15	16	0.025	21,012,046	5,000,000
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Common Shares	Desrosiers, Francois	3	2021-01-15	16	0.02	10,942,231	2,500,000
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Warrants	Desrosiers, Francois	3	2021-01-15	16	0.025	10,922,231	2,500,000
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Common Shares	Majerle, Garry	4, 5	2021-01-15	11	0.02	1,079,675	500,000
Northcore Resources Inc. (formerly Big Red Diamond Corporation)	Warrants	Majerle, Garry	4, 5	2021-01-15	11		1,079,675	500,000
Northland Power Inc.	Deferred Share Units (DSU)	Bountrogianni, Marie	4	2020-12-31	30	35.98	3,879	98
Northland Power Inc.	Deferred Share Units (DSU)	Colnett, Lisa	4	2020-12-31	30	35.98	1,035	7
Northland Power Inc.	Deferred Share Units (DSU)	Crawley, Mike	5	2020-12-31	30	35.98	4,376	109
Northland Power Inc.	Deferred Share Units (DSU)	Gilmour, Barry Kenneth	4	2020-12-31	30	35.98	45,747	1,514
Northland Power Inc.	Deferred Share Units (DSU)	Goodman, Russell Andrew	4	2020-12-31	30	35.98	21,961	719
Northland Power Inc.	Deferred Share Units (DSU)	Pearce, Ian	4	2020-12-31	30	35.98	1,270	9
Northview Canadian High Yield Residential Fund	Loan secured by pledge (ltd. recourse) matures Nov. 16, 2023	D.D. Galaxy High Yield Debt LP	3	2021-01-14	70		0	-1
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Baron, Robert	4	2020-12-31	56	12.61		3,271
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Baron, Robert	4	2020-12-31	56	12.61	176,166	4,460
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Kingsmill, Stephani	4	2020-12-31	56	12.61		2,854
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Kingsmill, Stephani	4	2020-12-31	56	12.61	4,650	4,163
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Options	Torralbo, David	5	2021-01-05	00			
Nouveau Monde Graphite Inc. (auparavant Nouveau Monde Mining Enterprises Inc.)	Options	Torralbo, David	5	2021-01-05	50		1,000,000	1,000,000
Nubian Resources Ltd.	Common Shares Class A voting	Andrews, Matthew Robert	4	2020-12-23	00		136,013	
Nubian Resources Ltd.	Warrants	Andrews, Matthew Robert	4	2020-12-23	00		68,006	
Nubian Resources Ltd.	Options 2006 Stock Option Plan	Woskett, Campbell	4	2020-12-23	00		315,000	
NuLegacy Gold Corporation	Common Shares	Chu, Gregory Todd	5	2010-11-12	00			
NuLegacy Gold Corporation	Common Shares	Chu, Gregory Todd	5	2021-01-11	10	0.115	50,000	50,000
NuLegacy Gold Corporation	Warrants	Davidson, Alexander John	4, 5	2020-07-19	55		1,800,000	-200,000

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NuLegacy Gold Corporation	Options	Matter, Albert	4, 5	2020-11-16	52		3,950,000	-750,000
NuLegacy Gold Corporation	Warrants	Matter, Albert	4, 5	2020-07-19	55		1,409,845	-1,750,000
NuLegacy Gold Corporation	Options	Steininger, Roger Claude	4, 5	2020-11-16	52		1,450,000	-750,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	B ƒDARD, Martin	3	2021-01-12	36	0.28	62,607	46,607
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	B ƒDARD, Martin	3	2021-01-12	36	0.28	230,239	163,351
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	B ƒDARD, Martin	3	2021-01-12	36	0.28	572,128	344,128
Nutrien Ltd.	Performance Share Units	Bradley, Noralee	5	2020-12-31	30	38.78	31,075	1,144
Nutrien Ltd.	Performance Share Units	Farah, Pedro	5	2020-12-31	30	38.78	134,079	4,935
Nutrien Ltd.	Performance Share Units	Frank, Michael John	5	2020-12-31	30	38.78	66,284	2,440
Nutrien Ltd.	Common Shares	Kirkpatrick, Robert	7	2020-12-31	30	52.49	1,122	75
Nutrien Ltd.	Performance Share Units	Kirkpatrick, Robert	7	2020-12-31	30	38.78	13,442	275
Nutrien Ltd.	Performance Share Units	Magro, Charles Victor	4, 5	2020-12-31	30	38.78	276,633	10,181
Nutrien Ltd.	Performance Share Units	Poohkay, Brent Donald	5	2020-12-31	30	38.78	17,105	334
Nutrien Ltd.	Performance Share Units	Seitz, Kenneth Alvin	5	2020-12-31	30	38.78	67,949	2,501
Nutrien Ltd.	Common Shares	Sully, Raef	5	2020-12-31	30	39.7	24,047	39
Nutrien Ltd.	Performance Share Units	Sully, Raef	5	2020-12-31	30	38.78	45,060	996
Nutrien Ltd.	Performance Share Units	Thompson, Mark	5	2020-12-31	30	38.78	16,385	603
Nutrien Ltd.	Performance Share Units	Webb, Michael Reed	5	2020-12-31	30	38.78	36,721	1,352
NUVISTA ENERGY LTD.	Common Shares	Andreachuk, Ross Lloyd	5	2020-12-31	30	1.16		45,243
NUVISTA ENERGY LTD.	Common Shares	Andreachuk, Ross Lloyd	5	2020-12-31	30	0.86	156,272	45,243
NUVISTA ENERGY LTD.	Common Shares	Asman, Kevin Garth	5	2020-12-31	30	1.16		40,620
NUVISTA ENERGY LTD.	Common Shares	Asman, Kevin Garth	5	2020-12-31	30	0.86	177,237	40,620
NUVISTA ENERGY LTD.	Common Shares	Lawford, Michael	5	2020-12-31	30	1.16		38,151
NUVISTA ENERGY LTD.	Common Shares	Lawford, Michael	5	2020-12-31	30	0.86	156,904	38,151
NUVISTA ENERGY LTD.	Common Shares	LeGrow, Christopher Mark Alessandro	5	2020-12-31	30	1.16		34,210
NUVISTA ENERGY LTD.	Common Shares	LeGrow, Christopher Mark Alessandro	5	2020-12-31	30	0.86	68,808	34,210
NUVISTA ENERGY LTD.	Common Shares	Paulgaard, Ryan Daniel	5	2020-12-31	30	1.16		38,144
NUVISTA ENERGY LTD.	Common Shares	Paulgaard, Ryan Daniel	5	2020-12-31	30	0.86	137,698	38,144
NUVISTA ENERGY LTD.	Common Shares	Truba, Joshua Thomas	5	2020-12-31	30	1.16		36,266
NUVISTA ENERGY LTD.	Common Shares	Truba, Joshua Thomas	5	2020-12-31	30	0.86	90,408	36,266
NUVISTA ENERGY LTD.	Common Shares	Wright, Jonathan Andrew	5	2020-12-31	30	1.16		71,283
NUVISTA ENERGY LTD.	Common Shares	Wright, Jonathan Andrew	5	2020-12-31	30	0.86	800,917	71,283
Olympia Financial Group Inc.	Common Shares	Bahnuik, Jonathan Marvin	5	2021-01-12	30	39.488	2,073	93
Oncolytics Biotech Inc.	Common Shares	Brown, Deborah	4	2021-01-13	57		45,452	462
Oncolytics Biotech Inc.	Rights Restricted Share Units	Brown, Deborah	4	2021-01-13	57		8,134	-1,239
Oncolytics Biotech Inc.	Common Shares	Pisano, Wayne	4	2021-01-13	57		162,364	3,303

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Oncolytics Biotech Inc.	Rights Restricted Share Units	Pisano, Wayne	4	2021-01-13	57		27,577	-3,303
Oncolytics Biotech Inc.	Common Shares	Seizinger, Bernd Robert	4	2021-01-13	57		233,161	1,982
Oncolytics Biotech Inc.	Rights Restricted Share Units	Seizinger, Bernd Robert	4	2021-01-13	57		31,702	-1,982
Open Text Corporation	Common Shares OTEX Common	Barrenechea, Mark James	4, 5	2021-01-11	30	38.687	944,692	585
Open Text Corporation	Common Shares OTEX Common	Berry, Savinay	5	2020-11-09	57	41.44	1,176	890
Open Text Corporation	Common Shares OTEX Common	Berry, Savinay	5	2020-11-09	10	41.04	868	-308
Open Text Corporation	Restricted Share Units	Berry, Savinay	5	2020-11-09	57	41.44	12,288	-890
Open Text Corporation	Common Shares OTEX Common	Rosen, Howard Daniel	5	2021-01-11	30	38.687	191	132
Organto Foods Inc.	Common Shares	van Noortwijk, Gert	4	2020-12-03	00			
Organto Foods Inc.	Convertible Debentures Expiring December 2022	van Noortwijk, Gert	4	2020-12-03	00			
Organto Foods Inc.	Convertible Debentures Expiring December 2022	van Noortwijk, Gert	4	2020-12-30	16	0.3	\$200,000	\$200,000
Organto Foods Inc.	Options	van Noortwijk, Gert	4	2020-12-03	00			
Organto Foods Inc.	Options	van Noortwijk, Gert	4	2021-01-13	50	0.18	300,000	300,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2021-01-14	10	0.25	1,629,750	15,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-11	10	1.8	1,695,000	-8,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-11	10	1.79	1,685,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-12	10	1.8	1,683,000	-2,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-12	10	1.82	1,673,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-13	10	1.83	1,663,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-13	10	1.84	1,653,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-14	10	1.86	1,643,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-14	10	1.87	1,633,000	-10,000
Oroco Resource Corp.	Common Shares	LEAHY, STEPHEN MARTIN	4, 5	2021-01-14	10	1.89	1,628,000	-5,000
Orsu Metals Corporation	Common Shares	Corra, Mark	4	2021-01-12	46	0.305	300,865	31,308
Orsu Metals Corporation	Common Shares	Pakhomov, Vladimir	4	2021-01-12	46	0.305	277,205	62,616
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2021-01-12	46	0.305	376,471	62,616
Orsu Metals Corporation	Common Shares	Stefanovich, Sergei	4	2021-01-12	46	0.305	1,734,643	289,759
Orsu Metals Corporation	Common Shares	Tsesarenko, Denis	6	2021-01-12	46	0.305	586,712	125,232
Osisko Mining Inc.	Rights Deferred Share Units	Anderson, Patrick Fergus Neill	4	2021-01-13	56		392,310	75,000
Osisko Mining Inc.	Rights Restricted Share Unit	Burzynski, John Feliks	4, 5	2021-01-13	56		900,000	200,000
Osisko Mining Inc.	Rights Deferred Share Units	Calderon, Bernardo Alvarez	4	2021-01-13	56		345,911	50,000
Osisko Mining Inc.	Rights Restricted Share Unit	Drapack, Alexandra	5	2021-01-13	56		425,000	75,000
Osisko Mining Inc.	Common Shares	John, William Murray	6	2020-12-21	10	3.758	0	-27,400
Osisko Mining Inc.	Rights Restricted Share Unit	Mance, Lili	5	2021-01-13	56		400,000	50,000
Osisko Mining Inc.	Rights Restricted Share Unit	Marcotte, Alexandria	5	2021-01-13	56		400,000	50,000
Osisko Mining Inc.	Rights Deferred Share Units	McKay, Keith Douglas	4	2021-01-13	56		379,770	50,000
Osisko Mining Inc.	Rights Restricted Share Unit	Njegovan, Donald Robert	5	2021-01-13	56		450,000	100,000

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Osisko Mining Inc.	Rights Deferred Share Units	Roosen, Sean	4, 6	2021-01-13	56		439,635	50,000
Osisko Mining Inc.	Rights Deferred Share Units	Satov, Amy Joy	4	2021-01-13	56		325,000	50,000
Osisko Mining Inc.	Rights Restricted Share Unit	Savard, Mathieu	5	2021-01-13	56		600,000	150,000
Osisko Mining Inc.	Rights Deferred Share Units	Singer, Cathy	4	2020-05-29	00			
Osisko Mining Inc.	Rights Deferred Share Units	Singer, Cathy	4	2021-01-13	56		50,000	50,000
Osisko Mining Inc.	Rights Deferred Share Units	St-Germain, Andree	4	2021-01-13	56		61,243	50,000
Osisko Mining Inc.	Rights Deferred Share Units	Vizquerra, Jose	4	2021-01-13	56		200,000	50,000
Osisko Mining Inc.	Rights Deferred Share Units	Wares, Robert	5	2021-01-13	56		200,000	50,000
Osisko Mining Inc.	Rights Restricted Share Unit	Zaritsky, Blair David	5	2021-01-13	56		475,000	100,000
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-01-14	10	0.91	152,000	3,000
Outback Goldfields Corp.	Common Shares	Donaldson, Christopher Cameron	4, 5	2021-01-14	10	0.95	154,000	2,000
P2 Gold Inc.	Common Shares	McNaughton, Kenneth C.	4	2021-01-11	10	0.48	2,958,500	100,000
P2 Gold Inc.	Common Shares	McNaughton, Kenneth C.	4	2021-01-12	10	0.48	3,158,500	200,000
P2 Gold Inc.	Common Shares	Ovsenek, Joseph J.	4, 5	2021-01-11	10	0.46	2,954,748	5,000
P2 Gold Inc.	Common Shares	Ovsenek, Joseph J.	4, 5	2021-01-12	10	0.49	3,004,748	50,000
P2 Gold Inc.	Common Shares	Ovsenek, Joseph J.	4, 5	2021-01-13	10	0.48	3,069,748	65,000
P2 Gold Inc.	Common Shares	Ovsenek, Joseph J.	4, 5	2021-01-13	10	0.5	3,084,748	15,000
Panoro Minerals Ltd.	Common Shares	Boden, William John	4	2021-01-14	10	0.196	12,287,120	8,000
Park Lawn Corporation	Common Shares	Harlow, William Clark	5	2018-08-21	00			
Park Lawn Corporation	Common Shares	Harlow, William Clark	5	2021-01-11	56		1,621	1,621
Park Lawn Corporation	Common Shares	Harlow, William Clark	5	2021-01-11	10	28.11	1,114	-507
Park Lawn Corporation	Restricted Share Units	Harlow, William Clark	5	2021-01-11	57		7,835	-1,621
Park Lawn Corporation	Common Shares	Hay, Jennifer Wiers	5	2020-02-12	00			
Park Lawn Corporation	Common Shares	Hay, Jennifer Wiers	5	2021-01-11	57		1,261	1,261
Park Lawn Corporation	Common Shares	Hay, Jennifer Wiers	5	2021-01-11	10	28.11	867	-394
Park Lawn Corporation	Restricted Share Units	Hay, Jennifer Wiers	5	2021-01-11	57		5,295	-1,261
Park Lawn Corporation	Common Shares	Johnson, Lorie Jane	5	2018-05-09	00			
Park Lawn Corporation	Common Shares	Johnson, Lorie Jane	5	2021-01-11	57		1,513	1,513
Park Lawn Corporation	Common Shares	Johnson, Lorie Jane	5	2021-01-11	10	28.11	1,040	-473
Park Lawn Corporation	Restricted Share Units	Johnson, Lorie Jane	5	2021-01-11	57		7,619	-1,513
Park Lawn Corporation	Common Shares	PARKER, JEFFREY SCOTT	5	2018-06-12	00			
Park Lawn Corporation	Common Shares	PARKER, JEFFREY SCOTT	5	2021-01-11	57		1,513	1,513
Park Lawn Corporation	Common Shares	PARKER, JEFFREY SCOTT	5	2021-01-11	10	28.11	1,040	-473
Park Lawn Corporation	Restricted Share Units	PARKER, JEFFREY SCOTT	5	2021-01-11	57		7,619	-1,513
Parkit Enterprise Inc.	Common Shares	Dunkley, Bradley Roy	4	2020-12-29	10	0.25	10,800,568	7,200,000
Parkland Corporation	Deferred Share Unit Plan	Bechtold, John Frederick	4	2020-12-31	22		40,577	3,059
Parkland Corporation	Deferred Share Unit Plan	Colnett, Lisa	4	2020-12-31	30		23,035	1,636
Parkland Corporation	Deferred Share Unit Plan	Hogarth, Timothy	4	2020-12-31	30		18,337	1,254
Parkland Corporation	Deferred Share Unit Plan	Pantelidis, James	4	2020-12-31	30		108,287	8,318
Parkland Corporation	Deferred Share Unit Plan	PILLA, DOMENICO	4	2020-12-31	30			2,843
Parkland Corporation	Deferred Share Unit Plan	PILLA, DOMENICO	4	2020-12-31	30			2,843
Parkland Corporation	Deferred Share Unit Plan	PILLA, DOMENICO	4	2020-12-31	30		30,638	2,107
Parkland Corporation	Deferred Share Unit Plan	Richardson, Steven P.	4	2020-12-31	30		10,774	642
Parkland Corporation	Deferred Share Unit Plan	Spencer, David	4	2020-12-31	30		40,577	3,059
Parkland Corporation	Deferred Share Unit Plan	Stein, Deborah Susan	4	2020-12-31	30		15,098	992
Pasofino Gold Limited	Common Shares	Metcalfe, Robert	4	2020-12-21	00		20,000	

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Pembina Pipeline Corporation	Common Shares	Burrows, J. Scott	5	2020-12-31	30	32.72	2,647	1,367
Pembina Pipeline Corporation	Common Shares	Sprott, Jaret	5	2020-12-31	30	33.15	5,080	674
Pembina Pipeline Corporation	Common Shares	Sprott, Jaret	5	2021-01-06	10	32.75		580
Pembina Pipeline Corporation	Common Shares	Sprott, Jaret	5	2020-12-31	10	36.94	1,469	109
Pembina Pipeline Corporation	Common Shares	Sprott, Jaret	5	2021-01-06	10	32.75	2,049	580
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-01-06	10	0.08	10,895,000	-160,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-01-12	10	0.1	10,796,571	-98,429
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Options	Pezo Camacho, Oscar Francisco	4	2020-08-28	52		200,000	-100,000
Peyto Exploration & Development Corp.	Common Shares	Robinson, Scott	5	2021-01-12	10	3.5953	251,507	10,000
Peyto Exploration & Development Corp.	Common Shares	Robinson, Scott	5	2021-01-14	51	3.75	268,007	16,500
Peyto Exploration & Development Corp.	Options	Robinson, Scott	5	2021-01-14	51		361,667	-16,500
PHX Energy Services Corp.	Common Shares	Buker, Michael Leslie	5	2021-01-11	10	2.51	57,241	1,000
PHX Energy Services Corp.	Common Shares	Buker, Michael Leslie	5	2021-01-15	10	2.64	62,341	5,100
PHX Energy Services Corp.	Common Shares	Hibbard, Lawrence M.	4	2021-01-12	10	2.61	71,500	5,000
PHX Energy Services Corp.	Common Shares	Hibbard, Lawrence M.	4	2021-01-13	10	2.72	71,700	200
PHX Energy Services Corp.	Common Shares	Hibbard, Lawrence M.	4	2021-01-13	10	2.71	74,500	2,800
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-01-12	10	0.2852	20,567,000	50,000
Pinnacle Renewable Energy Inc.	Common Shares	Prospect Co., Ltd.	3	2021-01-13	10	10.295	3,395,169	-25,000
Pinnacle Renewable Energy Inc.	Common Shares	Prospect Co., Ltd.	3	2021-01-14	10	10.105	3,372,669	-22,500
Pinnacle Renewable Energy Inc.	Common Shares	Prospect Co., Ltd.	3	2021-01-15	10	10.011	3,352,669	-20,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	BRAUN, Garth John	4	2021-01-15	56		185,093	87,500
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2021-01-14	15	0.66	4,359,198	113,600
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2021-01-14	15	0.66	5,611,329	347,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2021-01-14	15	0.66	8,068,602	262,400
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	GMT Capital Corp	4	2021-01-14	10	0.66	800,780	27,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Lancaster, William	4	2021-01-15	50		160,093	87,500
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Ritchie, Gordon Malcolm	4	2021-01-15	56		196,528	93,750

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Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Rossall, John Williamson	4	2021-01-14	56		185,093	87,500
Planet 13 Holdings Inc.	Common Shares	Farris, David Brandon	5	2019-07-12	57	2.48		12,138
Planet 13 Holdings Inc.	Common Shares	Farris, David Brandon	5	2019-07-12	57	2.48		12,138
Planet 13 Holdings Inc.	Common Shares	Farris, David Brandon	5	2021-01-08	57		49,946	13,600
Planet 13 Holdings Inc.	Restricted Share Units	Farris, David Brandon	5	2021-01-08	57		20,000	-20,000
Planet 13 Holdings Inc.	Common Shares	Groesbeck, Robert Allen	3, 4, 5	2021-01-08	57		647,443	113,748
Planet 13 Holdings Inc.	Common Shares	Groesbeck, Robert Allen	3, 4, 5	2021-01-08	10	7.69	533,695	-113,748
Planet 13 Holdings Inc.	Restricted Share Units	Groesbeck, Robert Allen	3, 4, 5	2021-01-08	57		205,506	-205,506
Planet 13 Holdings Inc.	Common Shares	Harman, Michael Denis	4	2021-01-08	57		190,432	33,006
Planet 13 Holdings Inc.	Restricted Share Units	Harman, Michael Denis	4	2021-01-08	57		50,777	-50,778
Planet 13 Holdings Inc.	Common Shares	Koehler, Leighton Rudolph	5	2021-01-08	57		131,968	24,804
Planet 13 Holdings Inc.	Common Shares	Koehler, Leighton Rudolph	5	2021-01-08	10	7.69	107,164	-24,804
Planet 13 Holdings Inc.	Restricted Share Units	Koehler, Leighton Rudolph	5	2021-01-08	57		41,102	-41,101
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2021-01-08	57		78,428	35,430
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2021-01-08	10	7.69	42,998	-35,430
Planet 13 Holdings Inc.	Restricted Share Units	Logan, Dennis	5	2021-01-08	57		76,242	-76,243
Planet 13 Holdings Inc.	Common Shares	Markle, Stephen Christopher	5	2021-01-08	57		162,941	27,608
Planet 13 Holdings Inc.	Common Shares	Markle, Stephen Christopher	5	2021-01-08	10	7.69	135,333	-27,608
Planet 13 Holdings Inc.	Restricted Share Units	Markle, Stephen Christopher	5	2021-01-08	57		45,745	-45,746
Planet 13 Holdings Inc.	Common Shares	Scheffler, Larry Norman	3, 4, 5	2021-01-08	57		736,215	113,748
Planet 13 Holdings Inc.	Common Shares	Scheffler, Larry Norman	3, 4, 5	2021-01-08	10	7.69	622,467	-113,748
Planet 13 Holdings Inc.	Restricted Share Units	Scheffler, Larry Norman	3, 4, 5	2021-01-08	57		205,506	-205,506
Planet 13 Holdings Inc.	Common Shares	Vargas, William Joseph	5	2021-01-08	57		219,729	45,746
Planet 13 Holdings Inc.	Common Shares	Vargas, William Joseph	5	2021-01-08	10	7.69	173,983	-45,746
Planet 13 Holdings Inc.	Restricted Share Units	Vargas, William Joseph	5	2021-01-08	57		76,242	-76,243
Planet 13 Holdings Inc.	Common Shares	Wren, Christopher Brian	5	2018-06-11	00			
Planet 13 Holdings Inc.	Common Shares	Wren, Christopher Brian	5	2018-06-11	00			
Planet 13 Holdings Inc.	Common Shares	Wren, Christopher Brian	5	2021-01-08	57		291,975	72,049
Planet 13 Holdings Inc.	Common Shares	Wren, Christopher Brian	5	2021-01-08	10	7.69	219,926	-72,049
Planet 13 Holdings Inc.	Common Shares	Wren, Christopher Brian	5	2018-06-11	00		1,518,000	
Planet 13 Holdings Inc.	Restricted Share Units	Wren, Christopher Brian	5	2021-01-08	57		114,364	-114,364
Planet 13 Holdings Inc.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Wren, Christopher Brian	5	2018-06-11	00			
Planet 13 Holdings Inc.	Subordinate Voting Shares (Class A Restricted Voting Shares)	Wren, Christopher Brian	5	2018-06-11	00		2,982,000	
Plant&Co. Brands Ltd.	Options	Callaway, Michael Dean	5	2021-01-07	50	0.48	325,000	300,000
Plant&Co. Brands Ltd.	Common Shares	Habuda, Jerry	4	2021-01-13	10	0.75	150,000	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-13	10	0.4245	4,950,280	-20,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-14	10	0.4245	4,925,280	-25,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-14	10	0.4245	4,900,280	-25,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-14	10	0.4245	4,875,280	-25,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-14	10	0.4245	4,870,280	-5,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-08	10	0.437	50,000	-50,000
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2021-01-11	10	0.4208	0	-50,000
Platinum Group Metals Ltd.	Rights Deferred Share Units	Copelyn, John	4, 6	2021-01-08	56	6.13	128,797	2,596

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Platinum Group Metals Ltd.	Common Shares	Harshaw, Stuart	4	2021-01-07	10	7.01	0	-9,600
Platinum Group Metals Ltd.	Rights Deferred Share Units	Harshaw, Stuart	4	2021-01-08	56	6.13	108,178	1,687
Platinum Group Metals Ltd.	Rights Deferred Share Units	Marlow, Timothy Douglas	4	2021-01-08	56	6.13	121,739	1,557
Platinum Group Metals Ltd.	Rights Deferred Share Units	Walters, Diana	4	2021-01-08	56	6.13	124,976	1,947
Plato Gold Corp.	Common Shares	Wong, Greg Ka Wai	5	2021-01-12	11	0.03	2,720,000	-660,000
Plato Gold Corp.	Common Shares	Wong, Greg Ka Wai	5	2021-01-12	11	0.03	3,830,667	660,000
POET Technologies Inc.	Common Shares	Listwin, Don	4	2018-01-19	00			
POET Technologies Inc.	Common Shares	Listwin, Don	4	2021-01-07	51	0.84	1,397,674	1,397,674
POET Technologies Inc.	Options	Listwin, Don	4	2021-01-07	51	0.84	146,567	-1,397,674
Polymet Mining Corp.	Common Shares	Cherry, Jonathan	4	2021-01-07	36		192,647	29,355
Polymet Mining Corp.	RSU's	Cherry, Jonathan	4	2021-01-07	36		369,370	-29,355
Polymet Mining Corp.	RSU's	Cherry, Jonathan	4	2021-01-07	59		340,014	-29,356
Polymet Mining Corp.	DSU's	Dreisinger, David Bruce	4	2021-01-13	46		31,793	8,021
Polymet Mining Corp.	DSU's	Fermo, David John	4	2020-06-24	00			
Polymet Mining Corp.	DSU's	Fermo, David John	4	2021-01-13	46		8,021	8,021
Polymet Mining Corp.	Common Shares	Hodnik, Alan	4	2020-08-26	37			-209,827
Polymet Mining Corp.	Common Shares	Hodnik, Alan	4	2020-08-26	37		23,314	-209,827
Polymet Mining Corp.	DSU's	Hodnik, Alan	4	2020-08-26	37		23,769	-213,952
Polymet Mining Corp.	DSU's	Hodnik, Alan	4	2021-01-13	46		31,790	8,021
Polymet Mining Corp.	Options	Hodnik, Alan	4	2020-08-26	37		7,500	-742,500
Polymet Mining Corp.	Warrants	Hodnik, Alan	4	2020-08-26	37		2,885	-25,966
Polymet Mining Corp.	Common Shares	Keenan, Patrick Francis	5	2021-01-07	36		42,799	19,000
Polymet Mining Corp.	RSU's	Keenan, Patrick Francis	5	2021-01-07	36		239,074	-19,000
Polymet Mining Corp.	RSU's	Keenan, Patrick Francis	5	2021-01-07	59		220,074	-19,000
Polymet Mining Corp.	Common Shares	Vogt, Ryan	5	2021-01-07	36		33,286	6,012
Polymet Mining Corp.	RSU's	Vogt, Ryan	5	2021-01-07	36		80,273	-6,012
Polymet Mining Corp.	RSU's	Vogt, Ryan	5	2021-01-07	59		74,260	-6,013
Power Corporation of Canada	Options	de Seze, Amaury-Daniel	5	2021-01-08	51	27.6	697,192	-117,130
Power Corporation of Canada	Performance Share Units	de Seze, Amaury-Daniel	5	2020-12-31	30			656
Power Corporation of Canada	Performance Share Units	de Seze, Amaury-Daniel	5	2020-12-31	30			656
Power Corporation of Canada	Performance Share Units	de Seze, Amaury-Daniel	5	2020-12-31	30		18,793	656
Power Corporation of Canada	PFC Performance Share Units	de Seze, Amaury-Daniel	5	2020-12-31	30		10,003	350
Power Corporation of Canada	Subordinate Voting Shares	de Seze, Amaury-Daniel	5	2020-05-15	00			
Power Corporation of Canada	Subordinate Voting Shares	de Seze, Amaury-Daniel	5	2021-01-08	51	27.6	117,130	117,130
Power Corporation of Canada	Subordinate Voting Shares	de Seze, Amaury-Daniel	5	2021-01-08	10	30.021	0	-117,130
Power Corporation of Canada	Performance Share Units	Desmarais, Paul III	7, 5	2020-12-31	30		3,775	271
Power Corporation of Canada	PFC Performance Share Units	Desmarais, Paul III	7, 5	2020-12-31	30		3,567	195
Power Corporation of Canada	Deferred Share Units	Généreux, Claude	7, 5	2020-12-31	30		972	70
Power Corporation of Canada	Performance Deferred Share Units	Généreux, Claude	7, 5	2020-12-31	30		67,855	3,824

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Power Corporation of Canada	PFC Deferred Share Units	Généreux, Claude	7, 5	2020-12-31	30		2,834	155
Power Corporation of Canada	PFC Performance Deferred Share Units	Généreux, Claude	7, 5	2020-12-31	30		108,298	5,163
Power Corporation of Canada	Performance Share Units	Lefebvre, Jocelyn	5	2020-12-31	30		59,928	1,016
Power Corporation of Canada	PFC Performance Share Units	Lefebvre, Jocelyn	5	2020-12-31	30		18,781	319
Power Corporation of Canada	Performance Deferred Share Units	Lemay, Stéphane	7, 5	2020-12-31	30		10,335	742
Power Corporation of Canada	Performance Share Units	Lemay, Stéphane	7, 5	2020-12-31	30		16,108	1,032
Power Corporation of Canada	PFC Performance Share Units	Lemay, Stéphane	7, 5	2020-12-31	30		8,543	465
Power Corporation of Canada	Performance Share Units	Orr, Robert Jeffrey	4, 7, 5	2020-12-31	30		83,319	4,547
Power Corporation of Canada	PFC Performance Deferred Share Units	Orr, Robert Jeffrey	4, 7, 5	2020-12-31	30		311,500	16,055
Power Corporation of Canada	PFC Performance Share Units	Orr, Robert Jeffrey	4, 7, 5	2020-12-31	30		190,254	10,381
Power Corporation of Canada	Deferred Share Units	Tretiak, Gregory Dennis	7, 5	2020-12-31	30		22,462	1,614
Power Corporation of Canada	Performance Deferred Share Units	Tretiak, Gregory Dennis	7, 5	2020-12-31	30		63,683	3,252
Power Corporation of Canada	PFC Deferred Share Units	Tretiak, Gregory Dennis	7, 5	2020-12-31	30		21,039	1,148
Power Corporation of Canada	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	7, 5	2020-12-31	30		35,320	1,530
Power Financial Corporation	PFC Performance Share Units	de Seze, Amaury-Daniel	6	2020-12-31	30		10,003	546
Power Financial Corporation	PFC Performance Share Units	Desmarais, Paul III	6	2020-12-31	30		3,567	195
Power Financial Corporation	PFC Deferred Share Units	Généreux, Claude	6, 7	2020-12-31	30		2,834	155
Power Financial Corporation	PFC Performance Deferred Share Units	Généreux, Claude	6, 7	2020-12-31	30		108,298	5,163
Power Financial Corporation	PFC Performance Share Units	Lefebvre, Jocelyn	6	2020-12-31	30		18,781	319
Power Financial Corporation	PFC Performance Share Units	Lemay, Stéphane	6, 5	2020-12-31	30		8,543	465
Power Financial Corporation	PFC Performance Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2020-12-31	30			16,052
Power Financial Corporation	PFC Performance Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2020-12-31	30			16,052
Power Financial Corporation	PFC Performance Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2020-12-31	99		295,445	-3
Power Financial Corporation	PFC Performance Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2020-12-31	30		311,500	16,055
Power Financial Corporation	PFC Performance Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2020-12-31	30		190,254	10,381
Power Financial Corporation	PFC Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30		21,039	1,148
Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30			1,529
Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30			1,529
Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	99		33,790	-1
Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30			1,530
Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30			1,530

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Power Financial Corporation	PFC Performance Deferred Share Units	Tretiak, Gregory Dennis	6, 7, 5	2020-12-31	30		35,320	1,530
POWER METALS CORP.	Common Shares	Selway, Julie	5	2020-12-31	10	0.386	190,000	-100,000
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2021-01-12	10	0.23	2,733,527	10,000
Project One Resources Ltd.	Common Shares	Shenton, Ronald Gordon	4, 5	2021-01-12	10	0.21	2,743,527	10,000
Providence Gold Mines Inc.	Common Shares	Nishi, Kevin	4	2021-01-14	00		50,000	
PureK Holdings Corp. (formerly, AF1 Capital Corp.)	Common Shares	Alt, Cody J.	4	2021-01-12	11		1,197,704	-211,359
Ready Set Gold Corp. (formerly, Omni Commerce Corp.)	Common Shares	Jessup, Jason David	4	2020-12-04	00		1,041,666	
Ready Set Gold Corp. (formerly, Omni Commerce Corp.)	Options	Jessup, Jason David	4	2020-12-04	00		275,000	
Ready Set Gold Corp. (formerly, Omni Commerce Corp.)	Warrants	Jessup, Jason David	4	2020-12-04	00		41,666	
Ready Set Gold Corp. (formerly, Omni Commerce Corp.)	Options	Scovenna, Christian	4, 5	2020-12-04	00		300,000	
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Lauzon, Robert	7	2021-01-07	10	14.398	3,300	400
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Lauzon, Robert	7	2021-01-08	10	14.39	3,600	300
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Lauzon, Robert	7	2021-01-11	10	14.275	3,800	200
Real Estate & E-Commerce Split Corp.	Common Shares Class A	Lauzon, Robert	7	2021-01-12	10	14.29	4,100	300
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-01-11	10	19.672	3,649,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-01-12	10	19.237	3,646,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-01-13	10	19.306	3,643,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-01-14	10	18.962	3,640,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2021-01-15	10	18.132	3,637,384	-3,000
Reconnaissance Energy Africa Ltd.	Options	Escribano, Carlos Javier	5	2020-08-26	50		500,000	200,000
Reconnaissance Energy Africa Ltd.	Options	Escribano, Carlos Javier	5	2021-01-05	50		550,000	50,000
Red Light Holland Corp. (formerly, Added Capital Inc.)	Common Shares	Derix, Johannes J.H.	5	2020-05-22	00		3,750,000	
Redfund Capital Corp.	Common Shares	Brohman, Stephen	5	2019-12-12	00			
Redfund Capital Corp.	Common Shares	Brohman, Stephen	5	2021-01-13	46	0.06	416,666	416,666
Redfund Capital Corp.	Options	Brohman, Stephen	5	2019-12-12	00			
Redfund Capital Corp.	Options	Brohman, Stephen	5	2020-05-28	50		150,000	150,000
REGULUS RESOURCES INC.	Common Shares	Black, John Ernest	4, 5	2021-01-13	10	0.91	3,236,053	25,000
REGULUS RESOURCES INC.	Common Shares	Heather, Kevin Bruce	5	2021-01-12	10	0.91	3,603,577	10,000
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-01-08	38	3.2	3,400	3,400
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-01-08	38	3.2	0	-3,400
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-01-11	38	3.2	2,500	2,500
Reko International Group Inc.	Common Shares	Reko International Group Inc.	1	2021-01-11	38	3.2	0	-2,500

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Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-08	10	17.1	11,385,753	474
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-08	10	17.1	11,385,275	-478
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-11	10	17	11,389,297	4,022
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-11	10	17	11,386,863	-2,434
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-12	10	17	11,393,213	6,350
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-12	10	17	11,387,413	-5,800
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-13	10	17	11,394,225	6,812
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-01-13	10	17	11,387,362	-6,863
Ridgewood Canadian Investment Grade Bond Fund	Units	Simpson, John H.	5	2021-01-13	10	17	27,663	-59
Ritchie Bros. Auctioneers Incorporated	Common Shares	Ackley, Matthew Farrell	5	2020-05-11	30	36.71	5,312	1,155
Ritchie Bros. Auctioneers Incorporated	Common Shares	Ackley, Matthew Farrell	5	2020-12-31	30	70.2		1,455
Ritchie Bros. Auctioneers Incorporated	Common Shares	Ackley, Matthew Farrell	5	2020-12-31	30	70.2	15,527	300
Ritchie Bros. Auctioneers Incorporated	Options	Ackley, Matthew Farrell	5	2020-05-11	30	36.718		1,156
Ritchie Bros. Auctioneers Incorporated	Options	Ackley, Matthew Farrell	5	2020-05-11	30	36.718	113,283	-1,156
Ritchie Bros. Auctioneers Incorporated	Common Shares	Driscoll, Sharon	5	2020-12-31	30	62.51	13,919	4,266
Ritchie Bros. Auctioneers Incorporated	Common Shares	Fandozzi, Ann Margaret	4, 5	2020-01-06	00			
Ritchie Bros. Auctioneers Incorporated	Common Shares	Fandozzi, Ann Margaret	4, 5	2020-12-31	30	50.62	805	805
Ritchie Bros. Auctioneers Incorporated	Common Shares	Holm, Kieran	5	2020-12-31	30	62.55	17,685	1,922
Ritchie Bros. Auctioneers Incorporated	Common Shares	Jeter, James Jeffrey	5	2020-12-31	30	70.11	19,258	1,908
Ritchie Bros. Auctioneers Incorporated	Common Shares	Kessler, James Francis	5	2020-05-11	00			
Ritchie Bros. Auctioneers Incorporated	Common Shares	Kessler, James Francis	5	2020-12-31	30	63.9	39	39

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Ritchie Bros. Auctioneers Incorporated	Common Shares	Thiede, Carmen	5	2020-04-13	00			
Ritchie Bros. Auctioneers Incorporated	Common Shares	Thiede, Carmen	5	2020-12-31	30	62.55	168	168
Ritchie Bros. Auctioneers Incorporated	Common Shares	Watt, Darren	5	2020-12-31	30	62.59	12,978	2,621
Ritchie Bros. Auctioneers Incorporated	Common Shares	Werner, Karl William	5	2020-12-31	30	54.6	35,522	2,138
Riverside Resources Inc.	Common Shares	Staude, John-Mark Gardner	5	2021-01-07	51	0.11	2,468,460	250,000
Riverside Resources Inc.	Options	Staude, John-Mark Gardner	5	2021-01-07	51	0.11	790,000	-250,000
Rokmaster Resources Corp.	Common Shares	Pankratz, Adam	4	2020-12-30	11	0.44	860,000	70,000
Rokmaster Resources Corp.	Warrants	Pankratz, Adam	4	2018-04-07	55	0.1	0	-40,000
Rokmaster Resources Corp.	Warrants	Pankratz, Adam	4	2020-07-17	54	0.07		150,000
Rokmaster Resources Corp.	Warrants	Pankratz, Adam	4	2020-07-17	54	0.07	100,000	-150,000
Rokmaster Resources Corp.	Warrants	Pankratz, Adam	4	2020-12-30	11	0.48	170,000	70,000
Roughrider Exploration Limited (formerly, Westham Resources Corp.)	Options	BERKSHIRE, DAN	4	2021-01-11	50	0.18	200,000	200,000
Royal Bank of Canada	Rights Deferred Share Units	Ross, Bruce Washington	5	2021-01-14	56	106.12	22,179	4,050
Royal Helium Ltd.	Common Shares	Becher, R W Campbell	4	2021-01-12	10	0.453	489,045	34,500
Royal Helium Ltd.	Options	Davidson, Andrew	4, 5	2021-01-11	50	0.44	900,000	500,000
Royal Helium Ltd.	Options	MacNeill, Tom	4	2021-01-11	50	0.44	900,000	500,000
Royal Helium Ltd.	Options	Pringle, John Hamilton	4	2021-01-11	50		900,000	500,000
Royal Helium Ltd.	Options	Sheppard, Jeff	5	2021-01-10	50	0.44		500,000
Royal Helium Ltd.	Options	Sheppard, Jeff	5	2021-01-11	50	0.44	900,000	500,000
Royal Road Minerals Limited	Options	Davis, Cindy Christina	5	2020-11-12	00			
Royal Road Minerals Limited	Options	Davis, Cindy Christina	5	2020-12-09	50	0.4	500,000	500,000
Rubicon Organics Inc.	Common Shares	Savics, Eric	3	2021-01-14	10	3.35	3,984,600	20,000
Rugby Mining Limited	Options	Adams, Alejandro	5	2021-01-13	50	0.1	1,230,000	680,000
Russel Metals Inc.	Common Shares	Bryant, Gregg Edward	5	2021-01-12	30	17.74	6,203	1,074
Russel Metals Inc.	Common Shares	Coleman, Lesley Margaret Seppings	5	2021-01-12	30	17.64	56,874	4,182
Russel Metals Inc.	Common Shares	Halcrow, David	5	2021-01-12	30	17.69	29,005	1,787
Russel Metals Inc.	Common Shares	Juravsky, Martin Leb	5	2021-01-12	30	19.55	6,666	666
Russel Metals Inc.	Common Shares	Kelly, Maureen Ann	5	2021-01-12	30	17.69	65,703	3,170
Russel Metals Inc.	Common Shares	MacDermid, Ryan Wallace	5	2021-01-12	30	17.79	5,872	1,725
Russel Metals Inc.	Common Shares	MacLean, John	5	2021-01-12	30	17.77	8,812	2,124
Russel Metals Inc.	Common Shares	McKelvey, Sherri Lynn	5	2021-01-12	30	17.77	2,565	626
Russel Metals Inc.	Common Shares	Reid, John Gregory	5	2021-01-12	30	17.57	242,612	5,798
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2021-01-04	10	0.215	1,283,121	10,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2021-01-13	10	0.18	1,288,121	5,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2020-12-30	10	0.195	1,974,888	25,000

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Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2021-01-04	10	0.195	1,994,888	20,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2021-01-13	10	0.18	2,014,888	20,000
Sanatana Resources Inc.	Common Shares	Miles, Peter Leighton	3, 4, 5	2021-01-13	10	0.17	2,042,388	27,500
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Carrière, Louis-Philippe	4	2021-01-15	56	35.67	5,347	1,682
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Carrière, Louis-Philippe	4	2021-01-15	56	36.55	5,365	18
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Demone, Henry	4	2021-01-15	56	35.67	53,766	912
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Demone, Henry	4	2021-01-15	56	36.55	54,019	253
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Fata, Anthony M.	4	2021-01-15	56	35.67	104,458	2,383
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Fata, Anthony M.	4	2021-01-15	56	36.55	104,946	488
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	King, Anna Lisa	4	2021-01-15	56	35.67	57,451	1,822
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	King, Anna Lisa	4	2021-01-15	56	36.55	57,718	267
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Kinsley, Karen	4	2021-01-15	56	35.67	28,641	911
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Kinsley, Karen	4	2021-01-15	56	36.55	28,774	133
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Meti, Antonio	4	2021-01-15	56	35.67	110,549	1,104
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Meti, Antonio	4	2021-01-15	56	36.55	111,073	524
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	NYISZTOR, Diane	4	2021-01-15	56	35.67	29,951	1,822
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	NYISZTOR, Diane	4	2021-01-15	56	36.55	30,086	135
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Ruf, Franziska	4	2021-01-15	56	35.67	29,951	1,822

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Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Ruf, Franziska	4	2021-01-15	56	36.55	30,086	135
Saputo Inc.	Common Shares	Saputo, Emanuele	3	2021-01-07	30	35.23	2,537,183	3,803
Saputo Inc.	Common Shares	Saputo, Emanuele	3	2021-01-07	30	35.23	127,660,193	191,376
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Verschuren, Annette Marie	4	2021-01-15	56	143	30,700	911
Saputo Inc.	Participation Units UAD non convertibles/Unconvertible DSU	Verschuren, Annette Marie	4	2021-01-15	56	36.55	30,843	143
Scandium International Mining Corp.	Common Shares	Putnam, George Frederick [Jr.]	4, 5	2021-01-12	51	0.13	5,525,360	750,000
Scandium International Mining Corp.	Options	Putnam, George Frederick [Jr.]	4, 5	2021-01-12	51		6,300,000	-750,000
Scandium International Mining Corp.	Common Shares	Thompson, John David	5	2021-01-12	51	0.13	4,486,200	600,000
Scandium International Mining Corp.	Options	Thompson, John David	5	2021-01-12	51		1,650,000	-600,000
Secure Energy Services Inc.	Common Shares Employee Share Ownership Plan	Callihoo, Michael Wayne	5	2020-12-31	30	1.6568		4,916
Secure Energy Services Inc.	Common Shares Employee Share Ownership Plan	Callihoo, Michael Wayne	5	2020-12-31	30	1.6801	17,913	12,692
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2021-01-06	38	190	1,000	1,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2021-01-07	38	194.38	1,200	200
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2021-01-07	38	190	26,200	25,000
Senvest Capital Inc.	Common Shares	Senvest Capital Inc.	1	2021-01-08	38		0	-26,200
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2021-01-14	51	22.44	109,395	-545
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-01-14	51	22.44	545	545
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-01-14	30	1229	0	-545
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2021-01-11	30	1171.3	6,847	-2,000
Shopify Inc.	Options	Lutke, Tobias Albin	4, 5	2021-01-11	51	180.38	219,219	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-01-11	51	180.38	3,200	3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-01-11	30	1171.5	0	-3,200
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-01-11	30	1179.1	175,000	-5,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Phillips, John	4	2021-01-12	30	1507.6	102,000	-6,000
Shopify Inc.	Subordinate Voting Shares Class A	Phillips, John	4	2021-01-12	90		99,000	-3,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Shopify Inc.	Subordinate Voting Shares	Phillips, John	4	2021-01-12	90		3,000	3,000
Shopify Inc.	Subordinate Voting Shares Class A	Phillips, John	4	2021-01-12	30	1511.8	0	-3,000
Shopify Inc.	Options	Shannan, Tobyn David	5	2021-01-11	51	62.15	51,148	-3,000
Shopify Inc.	Subordinate Voting Shares Class A	Shannan, Tobyn David	5	2021-01-11	51	62.15	19,218	3,000
Shopify Inc.	Subordinate Voting Shares	Shannan, Tobyn David	5	2021-01-11	30	1200	16,218	-3,000
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2021-01-11	51	180.38	48,800	-750
Shopify Inc.	Subordinate Voting Shares Class A	Shapero, Amy Elizabeth	5	2021-01-11	51	180.38	18,360	750
Shopify Inc.	Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2021-01-11	30	1200	17,610	-750
Sire Bioscience Inc.	Common Shares	Polla, Brian	4, 5	2021-01-07	10	0.08	3,522,000	53,000
Sire Bioscience Inc.	Common Shares	Polla, Brian	4, 5	2021-01-08	10	0.08	3,619,000	97,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2021-01-13	46		7,449,500	1,000,000
Sixty North Gold Mining Ltd.	Common Shares	Handford, Ronald	5	2021-01-13	46		1,500,000	1,000,000
Sixty North Gold Mining Ltd.	Common Shares	Kirk, Gavin	4	2021-01-14	46		1,416,667	700,000
Sixty North Gold Mining Ltd.	Common Shares	Webb, David Ralph	5	2019-10-07	00			
Sixty North Gold Mining Ltd.	Common Shares	Webb, David Ralph	5	2021-01-12	46	0.05	1,046,000	1,046,000
Sixty North Gold Mining Ltd.	Common Shares	Webb, David Ralph	5	2021-01-12	46	0.05		1,000,000
Sixty North Gold Mining Ltd.	Common Shares	Webb, David Ralph	5	2021-01-12	46	0.05		1,046,000
SKRR Exploration Inc.	Options	butler, iain david	4	2021-01-12	50	0.25	225,000	100,000
SKRR Exploration Inc.	Options	Cheung, Ryan	4	2021-01-12	50	0.25	398,870	358,870
SKRR Exploration Inc.	Options	Dahl, Sherman	4, 5	2021-01-12	50	0.25	670,000	450,000
SKRR Exploration Inc.	Options	McElroy, Ross E.	4	2021-01-12	50	0.25	225,000	100,000
Sky Gold Corp.	Common Shares	England, Michael Bruno John Franz	4	2021-01-13	51	0.085	2,081,650	300,000
Sky Gold Corp.	Options	England, Michael Bruno John Franz	4	2021-01-13	51	0.085		300,000
Sky Gold Corp.	Options	England, Michael Bruno John Franz	4	2021-01-13	51	0.085	275,000	-300,000
Sky Gold Corp.	Common Shares	Masters, John Parker	4	2021-01-13	51	0.085	200,000	150,000
Sky Gold Corp.	Options	Masters, John Parker	4	2021-01-13	51	0.085	175,000	-150,000
Sky Gold Corp.	Common Shares	McKinnon, Donald Laughlin	4	2021-01-11	10	0.19	382,000	-68,000
Sky Gold Corp.	Common Shares	McKinnon, Donald Laughlin	4	2021-01-13	51	0.085	532,000	150,000
Sky Gold Corp.	Options	McKinnon, Donald Laughlin	4	2021-01-13	51	0.085	600,000	-150,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2021-01-12	10	0.29	1,338,750	5,000
SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2021-01-13	10	0.38	1,400,800	-20,000

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SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2021-01-13	10	0.375	1,334,300	-66,500
SLANG Worldwide Inc.	Common Shares	Stein, Keith	4	2021-01-13	10	0.37	1,270,800	-63,500
Slave Lake Zinc Corp.	Common Shares	Braden, Maxwell John	3, 4	2021-01-13	10	0.0805	4,546,000	-104,000
Slave Lake Zinc Corp.	Options	Macdonald, Glen Colin	3, 4	2020-11-02	52		0	-1,200,000
Slave Lake Zinc Corp.	Options	Macdonald, Glen Colin	3, 4	2020-11-02	10	0.1	1,200,000	1,200,000
SLE Synergy Ltd.	Common Shares	Yuan, Yuan	3	2021-01-08	00		24,200,000	
Sleep Country Canada Holdings Inc.	Common Shares	Friesema, David	4	2020-12-04	10	24.48	424,717	266
Sleep Country Canada Holdings Inc.	Common Shares	Will, Sieg	5	2020-12-04	10	24.48	67,167	24
Solaris Resources Inc.	Common Shares	Milau, Christian	6	2021-01-11	10	6.75	274,715	-18,600
Solaris Resources Inc.	Common Shares	Milau, Christian	6	2021-01-12	10	6.7	243,415	-31,300
Solution Financial Inc.	Common Shares	Pang, Bryan	3, 4, 5	2021-01-13	10	0.45	52,028,000	1,500
Sombrero Resources Inc.	Common Shares	Henrichsen, Michael	5	2020-10-23	00		211,100	
Sombrero Resources Inc.	Common Shares	Smithson, David Mark	5	2020-10-23	00		174,400	
Sonoro Gold Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2021-01-07	10	0.24	546,818	-15,000
Source Energy Services Ltd.	Deferred Share Units	TriWest Capital Partners IV (2011) Inc.	3	2021-01-11	59	1.37	14,495	-14,494
Southstone Minerals Limited	Common Shares	Khalaf, Samer	4	2021-01-08	10	0.05	78,000	-3,000
Southstone Minerals Limited	Common Shares	Khalaf, Samer	4	2021-01-13	10	0.05	12,000	-66,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2020-10-06	10	0.5	15,837,347	-16,500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-01-08	10	0.5	15,573,847	-263,500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-01-11	10	0.5	15,447,847	-126,000
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-01-12	10	0.5	15,289,347	-158,500
Speakeasy Cannabis Club Ltd.	Common Shares	BZAM Holdings Inc.	3	2021-01-13	10	0.5	14,717,347	-572,000
Sprott Inc.	Common Shares	Coyne, Edward C.	5	2021-01-02	57		8,000	2,000
Sprott Inc.	Restricted Share Units	Coyne, Edward C.	5	2021-01-02	57		2,000	-2,000
Sprott Inc.	Common Shares	George, Whitney	7, 5	2020-12-31	57		1,153,364	32,640
Sprott Inc.	Restricted Share Units	George, Whitney	7, 5	2020-12-31	57		32,639	-32,640
Stampede Drilling Inc. (formerly known as MATRRIX Energy Technologies Inc.)	Common Shares	Whitmarsh, Lyle Clarence	4, 5	2021-01-11	10	0.13	3,595,000	121,500
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2021-01-13	10	0.19	348,500	15,000
Standard Uranium Ltd.	Options	Bey, Jonathan Ian	4	2021-01-06	50	0.2	2,500,000	150,000
STEP Energy Services Ltd.	Common Shares	Rainville, Todd Harvey Edward	5	2020-12-04	57	0.6521		12,260
STEP Energy Services Ltd.	Common Shares	Rainville, Todd Harvey Edward	5	2020-12-04	57		35,205	11,205
STEP Energy Services Ltd.	Performance Share Units - Corporate Unit	Rainville, Todd Harvey Edward	5	2020-12-04	57			-12,260
STEP Energy Services Ltd.	Performance Share Units - Corporate Unit	Rainville, Todd Harvey Edward	5	2020-12-04	57		91,505	-11,205
Storm Resources Ltd.	Common Shares	Wierzba, P. Grant	4	2020-12-31	30	1.51	53,459	35,203
Sun Life Financial Inc.	Common Shares	Brown, Randolph	5	2016-01-11	00			
Sun Life Financial Inc.	Common Shares	Brown, Randolph	5	2020-12-31	38	44.46	750	750
Sun Life Financial Inc.	Common Shares	Connor, Dean	4, 5	2020-12-31	30	52.51	10,078	953
Sun Life Financial Inc.	Common Shares	Dougherty, Linda	5	2020-12-31	30	52.94	897	204
Sun Life Financial Inc.	Common Shares	Freyne, Colm Joseph	5	2020-12-31	30	52.41	10,444	874
Sun Life Financial Inc.	Common Shares	Kennedy, Melissa Jane	5	2020-12-31	30	53.03	571	157

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Sun Life Financial Inc.	Common Shares	Money, Laura Ann	5	2020-06-29	00			
Sun Life Financial Inc.	Common Shares	Money, Laura Ann	5	2020-12-31	30	55.65	116	116
Sun Life Financial Inc.	Common Shares	Morrissey, Kevin	5	2020-12-31	30	52.46	5,661	367
Sun Life Financial Inc.	Common Shares	Morrissey, Kevin	5	2020-12-31	30	51.5	5,728	67
Sun Life Financial Inc.	Common Shares	Pagano, Helena Janina	5	2020-12-31	30	53.1	2,232	819
Sun Life Financial Inc.	Common Shares	Saunders, Mark	5	2020-12-31	30	53.09		166
Sun Life Financial Inc.	Common Shares	Saunders, Mark	5	2020-12-31	30	53.09		166
Sun Life Financial Inc.	Common Shares	Saunders, Mark	5	2020-12-31	30	53.09	482	166
Sun Life Financial Inc.	Common Shares	Strain, Kevin	5	2020-12-31	30	52.99	12,298	3,466
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-01-11	10	12.793	19,203,600	82,900
Superior Plus Corp.	Common Shares	Marquard & Bahls AG	3	2021-01-15	10	13.07	19,718,200	514,600
Superior Plus Corp.	Common Shares	Smith, David Paul	4	2020-12-31	30		24,462	858
Superior Plus Corp.	Common Shares	Smith, David Paul	4	2020-12-31	30		32,552	2,951
Superior Plus Corp.	Common Shares	Smith, David Paul	4	2020-12-31	30		16,473	2,014
Superior Plus Corp.	Common Shares	Summers, Elizabeth	5	2020-12-31	30	9.304	26,203	1,253
Superior Plus Corp.	Common Shares	Vammen, Shawn Bradley	7	2020-12-31	30	10.84	29,591	1,894
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-01-08	38	11.182	616,600	4,700
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-01-11	38	11.279	620,000	3,400
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-01-12	38	11.291	621,900	1,900
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-01-13	38	11.278	622,700	800
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2021-01-07	10	9.9211	22,500	2,700
Sustainable Innovation & Health Dividend Fund	Trust Units	Lauzon, Robert	7	2021-01-07	10	9.9363	3,100	3,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-01-08	38	9.8125	373,200	400
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-01-11	38	9.8309	374,300	1,100
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-01-12	38	9.8857	376,600	2,300
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-01-13	38	9.8471	377,300	700
Tanzanian Gold Corporation	Common Shares	Sinclair, James E.	4, 5	2021-01-14	10	0.855	3,568,370	-20,000
Tarku Resources Ltd. (formerly ITUNA Capital Corporation)	Common Shares	Davy, Julien	4	2020-12-18	10		6,569,645	33,500
Tarku Resources Ltd. (formerly ITUNA Capital Corporation)	Common Shares	Davy, Julien	4	2020-12-22	10		6,589,645	20,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-08	10	0.35	14,228,250	11,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-08	10	0.37	14,240,250	12,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-12	10	0.355	14,245,250	5,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-12	10	0.36	14,261,250	16,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-12	10	0.365	14,263,250	2,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-12	10	0.37	14,265,250	2,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-12	10	0.375	14,269,250	4,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-13	10	0.365	14,271,250	2,000
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-14	10	0.35	14,273,750	2,500
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2021-01-14	10	0.355	14,276,750	3,000
Tecsycs Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-11	51		362,421	22,500

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Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-11	10	48.099	339,921	-22,500
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-12	51		350,721	10,800
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-12	10	48.373	339,921	-10,800
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-13	51		346,621	6,700
Tecsys Inc.	Common Shares	Brereton, Peter	4, 5	2021-01-13	10	48.186	339,921	-6,700
Tecsys Inc.	Options Stock Options	Brereton, Peter	4, 5	2021-01-11	51	48.099		-22,500
Tecsys Inc.	Options Stock Options	Brereton, Peter	4, 5	2021-01-11	51		299,662	-22,500
Tecsys Inc.	Options Stock Options	Brereton, Peter	4, 5	2021-01-12	51		288,862	-10,800
Tecsys Inc.	Options Stock Options	Brereton, Peter	4, 5	2021-01-13	51		282,162	-6,700
Tecsys Inc.	Common Shares	Lobo, Vernon	4	2021-01-07	10	52.25	46,400	-2,000
Tecsys Inc.	Common Shares	Lobo, Vernon	4	2021-01-14	10	51.5	44,400	-2,000
TerraVest Industries Inc. (formerly TerraVest Capital Inc.)	Common Shares	PELLERIN, CHARLES	3	2021-01-13	10	15.5	300,000	40,000
TGS Esports Inc.	Options	Li, Chi Yan Carolina	4	2021-01-06	50	0.165	400,000	100,000
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Goldman, Jonathan	8	2021-01-08	00		12,681,150	
The Green Organic Dutchman Holdings Ltd.	Common Shares	Bertrand, Marc	4	2021-01-07	30	0.2536	924,835	15,590
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Bertrand, Marc	4	2021-01-07	57		443,636	-40,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Bovingdon, Sean	5	2021-01-07	30	0.254	28,681	16,181
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Bovingdon, Sean	5	2021-01-07	57		86,667	-43,333
The Green Organic Dutchman Holdings Ltd.	Common Shares	Campbell, Drew	5	2021-01-07	30	0.254	11,830	7,345
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Campbell, Drew	5	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Cernovitch, Marc	5	2021-01-07	30	0.254	2,089,860	7,860
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Cernovitch, Marc	5	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Dessureault, Jacques	4	2019-01-07	00			
The Green Organic Dutchman Holdings Ltd.	Common Shares	Dessureault, Jacques	4	2021-01-07	30	0.254	7,860	7,860
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Dessureault, Jacques	4	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Dungey, Shane	5	2021-01-07	30	0.254	33,629	8,629
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Dungey, Shane	5	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Gagne, Michel	5	2021-01-07	30	0.254	18,512	6,512
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Gagne, Michel	5	2020-12-15	57			-16,667

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Gagne, Michel	5	2021-01-07	57		33,333	-16,667
The Green Organic Dutchman Holdings Ltd.	Common Shares	Gora, Robert John	5	2020-01-09	00			
The Green Organic Dutchman Holdings Ltd.	Common Shares	Gora, Robert John	5	2021-01-07	30	0.254	7,345	7,345
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Gora, Robert John	5	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	KIRTON, Nicholas Grenville	4	2021-01-07	30	0.254	62,319	12,319
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	KIRTON, Nicholas Grenville	4	2021-01-07	57		56,667	-28,333
The Green Organic Dutchman Holdings Ltd.	Common Shares	MacCallum, Caroline	4	2019-01-07	00			
The Green Organic Dutchman Holdings Ltd.	Common Shares	MacCallum, Caroline	4	2021-01-07	30	0.254	8,211	8,211
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	MacCallum, Caroline	4	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Schmidt, Matt	5	2021-01-07	30	0.254	209,188	7,345
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Schmidt, Matt	5	2021-01-07	57		40,000	-20,000
The Green Organic Dutchman Holdings Ltd.	Common Shares	Scott, Jeffrey J.	4	2021-01-07	30	0.254	504,486	17,486
The Green Organic Dutchman Holdings Ltd.	Rights Restricted Share Unit (RSU)	Scott, Jeffrey J.	4	2021-01-07	57		80,000	-40,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Options	Damani, Pritesh Ashok	5	2021-01-08	00			
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Options	Damani, Pritesh Ashok	5	2021-01-08	50		2,130,773	2,130,773
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-01-12	51	40.54	165,780	20,000
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-01-12	51	50.54	209,692	43,912
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-01-12	10	75.07	165,780	-43,912
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-01-12	51	36.64	171,508	5,728
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-01-12	10	75.07	165,780	-5,728
The Toronto-Dominion Bank	Options	Chauvin, Mark Russell	7	2021-01-12	51	40.54	300,128	-20,000
The Toronto-Dominion Bank	Options	Chauvin, Mark Russell	7	2021-01-12	51	40.54	256,216	-43,912
The Toronto-Dominion Bank	Options	Chauvin, Mark Russell	7	2021-01-12	51	36.64	250,488	-5,728
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	2021-01-11	10	0.22	999,808	5,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
The Western Investment Company of Canada Limited	Common Shares	Tannas, Scott	4, 7, 5	2021-01-14	10	0.235	1,004,808	5,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Aggarwal, Sachin	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Aggarwal, Sachin	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Aggarwal, Sachin	5	2021-01-12	50		250,000	250,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Carroll, Joanna	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Carroll, Joanna	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Carroll, Joanna	5	2021-01-12	50		100,000	100,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Collenette, Christopher	7	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Collenette, Christopher	7	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Collenette, Christopher	7	2021-01-12	50		20,000	20,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Dvorkin, Alex	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Dvorkin, Alex	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Dvorkin, Alex	5	2021-01-12	50		24,000	24,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Eaton-Auvaa, Brynne	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Eaton-Auvaa, Brynne	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Eaton-Auvaa, Brynne	5	2021-01-12	50		100,600	100,600
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Lalani, Riyaz	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Lalani, Riyaz	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Lalani, Riyaz	5	2021-01-12	50		250,000	250,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Mukhi, Saurabh	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Mukhi, Saurabh	5	2020-12-23	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Mukhi, Saurabh	5	2021-01-12	50		150,000	150,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Park, Chang	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Park, Chang	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Park, Chang	5	2021-01-12	50		200,000	200,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Sakamoto, Mark	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Sakamoto, Mark	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Sakamoto, Mark	5	2021-01-12	50		100,000	100,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Deferred Share Units	Schwartz, Abe	4	2020-12-28	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Deferred Share Units	Schwartz, Abe	4	2020-12-28	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Deferred Share Units	Schwartz, Abe	4	2020-12-28	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Deferred Share Units	Schwartz, Abe	4	2021-01-12	50		21,505	21,505
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Stewart, Michael Gill	5	2021-01-04	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Stewart, Michael Gill	5	2021-01-04	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Stewart, Michael Gill	5	2021-01-12	50		130,000	130,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Tomney, Genevieve	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Tomney, Genevieve	5	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Tomney, Genevieve	5	2021-01-12	50		43,000	43,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Ulloa, Maria Felicia	7	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Ulloa, Maria Felicia	7	2020-12-23	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Options	Ulloa, Maria Felicia	7	2021-01-12	50		79,750	79,750
ThreeD Capital Inc.	Common Shares	Factor, Lynn	3	2021-01-12	54	0.2	2,500,500	1,250,000
ThreeD Capital Inc.	Warrants	Factor, Lynn	3	2021-01-12	54		2,428,749	-1,250,000
ThreeD Capital Inc.	Common Shares	Inwentash, Jakson Samuel	3, 4	2021-01-08	10	0.7654	1,291,666	-100,000
Tier One Metals Inc.	Common Shares	Henrichsen, Michael	5	2020-10-23	00		211,100	

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tier One Metals Inc.	Common Shares	Smithson, David Mark	5	2020-10-23	00		174,400	
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2021-01-11	10	8.75	42,900	-800
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2021-01-12	10	8.75	39,100	-3,800
Timbercreek Financial Corp.	Common Shares	Bizzarri, Ugo	7	2021-01-15	10	8.75	32,100	-7,000
Titan Medical Inc.	Common Shares	Randall, Stephen	5	2010-03-02	00			
Titan Medical Inc.	Common Shares	Randall, Stephen	5	2020-12-23	11		10,816	10,816
Titan Medical Inc.	Common Shares	Randall, Stephen	5	2020-12-23	11		10,816	10,483
Titan Medical Inc.	Common Shares	Randall, Stephen	5	2020-12-23	11		0	-10,816
Titan Medical Inc.	Common Shares	Randall, Stephen	5	2020-12-23	11		11,756	-10,483
Top Strike Resources Corp	Common Shares	Sharun, Jonathan Robert	5	2021-01-11	10	0.035	19,221,433	7,000
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		1,967	
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		260,374	
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		561	
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		5,459	
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		471	
Topicus.com Inc.	Subordinate Voting Shares	Anzarouth, Bernard	4	2021-01-04	00		6,322	
Topicus.com Inc.	Subordinate Voting Shares	Baksh, Jamal Nizam	4, 6, 5	2021-01-04	00		4,520	
Topicus.com Inc.	Subordinate Voting Shares	Bender, Jeffrey James	5	2021-01-04	00		143,839	
Topicus.com Inc.	Subordinate Voting Shares	Billowits, John Edward	4, 6	2021-01-04	00		71,870	
Topicus.com Inc.	Subordinate Voting Shares	Billowits, John Edward	4, 6	2021-01-04	00		1,521	
Topicus.com Inc.	Subordinate Voting Shares	Curak, Nikola	7	2021-01-04	00		166	
Topicus.com Inc.	Subordinate Voting Shares	Dennison, Mark	5	2021-01-04	00		5,258	
Topicus.com Inc.	Subordinate Voting Shares	Eijbergen, Hendrikus Petrus	7	2021-01-04	00		752	
Topicus.com Inc.	Subordinate Voting Shares	Gayner, Susan Schilthuis	6	2021-01-04	00		110	
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-05	00			
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-06	90		5,372,464	5,372,464
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-04	00			
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-05	00			
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-05	00			
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	IJssel B.V.	7	2021-01-05	00		5,842,882	

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Topicus.com Inc.	Ordinary Units of Topicus.com Co-peratief U.A.	IJssel B.V.	7	2021-01-06	90		470,418	-5,372,464
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	IJssel B.V.	7	2021-01-04	00			
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	IJssel B.V.	7	2021-01-05	00			
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	IJssel B.V.	7	2021-01-05	00			
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	IJssel B.V.	7	2021-01-05	00		5,842,882	
Topicus.com Inc.	Ordinary Units of Topicus.com Co-peratief U.A.	Joday Investments II B.V.	3	2021-01-04	00		18,479,460	
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	Joday Investments II B.V.	3	2021-01-04	00		18,479,460	
Topicus.com Inc.	Subordinate Voting Shares	Kittel, Robert	6	2021-01-04	00		1,884	
Topicus.com Inc.	Ordinary Units of Topicus.com Co-peratief U.A.	Knooren, Johan Leon Marie	7, 5	2021-01-04	00		99,889	
Topicus.com Inc.	Preference Units of Topicus.com Co-peratief U.A.	Knooren, Johan Leon Marie	7, 5	2021-01-04	00		99,889	
Topicus.com Inc.	Subordinate Voting Shares	Knooren, Johan Leon Marie	7, 5	2021-01-04	00		2,931	
Topicus.com Inc.	Subordinate Voting Shares	Leonard, Mark Henri	4	2021-01-01	00		794,170	
Topicus.com Inc.	Subordinate Voting Shares	Leonard, Mark Henri	4	2021-01-11	90		0	-794,170
Topicus.com Inc.	Subordinate Voting Shares	Leonard, Mark Henri	4	2021-01-01	00			
Topicus.com Inc.	Subordinate Voting Shares	Leonard, Mark Henri	4	2021-01-11	90		794,170	794,170
Topicus.com Inc.	Subordinate Voting Shares	Leonard, Mark Henri	4	2021-01-11	11	0.0002	0	-794,170
Topicus.com Inc.	Subordinate Voting Shares	McFeeters, Paul Joseph	6	2021-01-12	00			
Topicus.com Inc.	Subordinate Voting Shares	McFeeters, Paul Joseph	6	2021-01-12	30		967	967
Topicus.com Inc.	Subordinate Voting Shares	O'Neill, Lori	6	2021-01-04	00		158	
Topicus.com Inc.	Subordinate Voting Shares	Ootjers, Sebastian	7	2021-01-04	00		713	
Topicus.com Inc.	Subordinate Voting Shares	Salna, Dexter Jonas	6	2021-01-07	00		467,047	
Topicus.com Inc.	Subordinate Voting Shares	Scotchmer, Steven	6	2021-01-04	00		673	
Topicus.com Inc.	Subordinate Voting Shares	Scotchmer, Steven	6	2021-01-04	00		92,213	
Topicus.com Inc.	Subordinate Voting Shares	Scotchmer, Steven	6	2021-01-04	00		40,670	
Topicus.com Inc.	Subordinate Voting Shares	Symons, Barry Alan	6	2021-01-04	00		14,486	
Topicus.com Inc.	Subordinate Voting Shares	Symons, Barry Alan	6	2021-01-04	00		5,585	
Topicus.com Inc.	Subordinate Voting Shares	Symons, Barry Alan	6	2021-01-04	00		866	

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Topicus.com Inc.	Subordinate Voting Shares	Symons, Barry Alan	6	2021-01-04	00		133,906	
Topicus.com Inc.	Subordinate Voting Shares	Symons, Barry Alan	6	2021-01-04	00		129,406	
Topicus.com Inc.	Subordinate Voting Shares	van den Heuvel, Ivo Martinus Cornelis	7	2021-01-04	00		756	
Topicus.com Inc.	Subordinate Voting Shares	van Poelje, Robin	6	2021-01-04	00		5,852	
Topicus.com Inc.	Ordinary Units of Topicus.com Co=peratief U.A.	Zanders, Ramon	7, 5	2021-01-04	00		199,778	
Topicus.com Inc.	Preference Units of Topicus.com Co=peratief U.A.	Zanders, Ramon	7, 5	2021-01-04	00		199,778	
Topicus.com Inc.	Subordinate Voting Shares	Zanders, Ramon	7, 5	2021-01-04	00		2,211	
TORC Oil & Gas Ltd.	Common Shares	Brown, Alexander C. (Sandy)	5	2021-01-11	30	2.865	351,892	712
TORC Oil & Gas Ltd.	Common Shares	Herman, Brett	5	2021-01-11	30	2.865	2,174,837	1,047
TORC Oil & Gas Ltd.	Common Shares	Manchester, Shane	5	2021-01-11	30	2.865	596,007	712
TORC Oil & Gas Ltd.	Common Shares	Tang, Marvin	5	2021-01-11	30	2.865	183,147	623
TORC Oil & Gas Ltd.	Common Shares	Wallis, Jeremy	5	2021-01-11	30	2.865	896,967	712
TORC Oil & Gas Ltd.	Common Shares	Wihak, Michael	5	2021-01-11	30	2.865	604,657	712
TORC Oil & Gas Ltd.	Common Shares	Zabinsky, Jason	5	2021-01-11	30	2.865	1,015,854	830
Torq Resources Inc.	Common Shares	Henrichsen, Michael	5	2020-11-24	00		361,000	
Torq Resources Inc.	Options	Henrichsen, Michael	5	2020-11-24	00		600,000	
Total Energy Services Inc.	Common Shares	Chow, George K.	4	2021-01-12	10	3.425	17,710	2,600
Total Energy Services Inc.	Common Shares	Dagenais, Glenn Orval James	4	2021-01-12	10	3.4511	24,905	2,580
Total Energy Services Inc.	Common Shares	Danyluk, Cam	5	2020-12-31	30	2.7	76,342	8,781
Total Energy Services Inc.	Common Shares	Gorbach, Yuliya	5	2021-01-14	30	2.77	63,086	8,831
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-01-11	10	3.4	344,400	8,800
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-01-12	10	3.45	350,000	5,600
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-01-13	10	3.4	380,000	30,000
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-12-31	30	2.76	29,887	7,975
Total Energy Services Inc.	Common Shares	Kosich, William John George	5	2020-12-31	30	2.81	57,943	4,568
Total Energy Services Inc.	Common Shares	Ting, Ashley Desiree	5	2020-12-31	30	2.805	5,701	2,742
Total Energy Services Inc.	Common Shares	Ting, Ashley Desiree	5	2020-12-31	35	5.5608	5,733	32
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-08	10	10.56	20,696,358	205,461
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-12	10	10.8	20,758,040	61,682
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-13	10	10.83	20,771,672	13,632
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-08	10	10.56	13,149,327	127,639
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-12	10	10.8	13,187,645	38,318
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-01-13	10	10.83	13,196,113	8,468
TransAlta Corporation	Common Shares	Pinney, Bryan Daniel	4	2021-01-13	90		20,427	10,045

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	Common Shares	Pinney, Bryan Daniel	4	2021-01-13	90		0	-10,045
Transat A.T. inc.	Unités d'actions avec restrictions (UAR)	Bilodeau, Richard	7, 5	2021-01-07	38	10.94	0	-4,171
Transcanna Holdings Inc.	Common Shares	Wesik, Stephanie	4, 5	2021-01-12	10	0.87	286,000	5,000
Transcanna Holdings Inc.	Common Shares	Wesik, Stephanie	4, 5	2021-01-12	10	0.92	287,000	1,000
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Depras, Magali	5	2021-01-12	56	21.08	10,555	5,428
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Desaulniers, Christine	7, 5	2021-01-12	56	21.08	53,898	12,160
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoit	5	2021-01-12	59	21.08	7,075	-4,480
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Guilbault, Benoit	5	2021-01-12	56	21.08	12,693	5,618
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	7, 5	2021-01-12	56	21.08	35,046	22,950
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-12-15	38	21.01		-730
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2020-12-15	38	21.01	36,974	-792
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	LeCavalier, Donald	5	2021-01-12	56	21.08	59,924	22,950
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2021-01-12	59	21.08	32,726	-7,035
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Marcoux, Isabelle	4	2021-01-12	56	21.08	54,073	21,347
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Martel, Lyne	5	2021-01-12	56	21.08		10,068
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Martel, Lyne	5	2021-01-12	56	21.08		10,068
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Martel, Lyne	5	2021-01-12	56	21.08	24,725	10,071
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Morin, Thomas Gaston Louis	5	2021-01-12	56	21.08	95,486	42,590
Transcontinental Inc.	Participation Units d'actions restreintes	Morin, Thomas Gaston Louis	5	2021-01-12	56	21.08	96,222	736

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Transcontinental Inc.	(UAR) / Restricted share unit (RSU) Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Morisset, Eric	5	2020-12-01	00			
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Morisset, Eric	5	2021-01-12	56	21.08	14,232	14,232
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, Francois	4, 7, 5	2021-01-12	56	21.08		145,204
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, Francois	4, 7, 5	2021-01-12	56	21.08		145,204
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Olivier, Francois	4, 7, 5	2021-01-12	56	21.08	698,678	156,204
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2021-01-12	59	21.08		-16,585
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2021-01-12	59	21.08		-16,585
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2021-01-12	59	21.08	113,050	-19,065
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2021-01-12	56	21.08	146,992	33,942
Transcontinental Inc.	Participation Units d'actions restreintes (UAR) / Restricted share unit (RSU)	Reid, Brian	7, 5	2021-01-12	59	21.01	127,927	-19,065
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2020-06-30	00			
Trez Capital Senior Mortgage Investment Corporation	Voting Shares	Kupinsky, Jordan	4	2021-01-13	50	2.09	365,903	365,903
Tri Origin Exploration Ltd.	Common Shares	Blackwell, Jerry Dennis	4	2020-01-15	00			
Tri Origin Exploration Ltd.	Common Shares	Blackwell, Jerry Dennis	4	2021-01-08	16	0.125	40,000	40,000
Tri Origin Exploration Ltd.	Warrants	Blackwell, Jerry Dennis	4	2020-01-15	00			
Tri Origin Exploration Ltd.	Warrants	Blackwell, Jerry Dennis	4	2021-01-08	16		40,000	40,000
Tri Origin Exploration Ltd.	Common Shares	Janson, Jean-Pierre	4	2004-05-11	00			
Tri Origin Exploration Ltd.	Common Shares	Janson, Jean-Pierre	4	2004-05-11	00		282,000	
Tri Origin Exploration Ltd.	Common Shares	Janson, Jean-Pierre	4	2004-05-19	00			
Tri Origin Exploration Ltd.	Common Shares	Janson, Jean-Pierre	4	2020-08-20	37		216,400	-865,600

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Tri Origin Exploration Ltd.	Common Shares	Janson, Jean-Pierre	4	2021-01-08	16	0.125	360,400	144,000
Tri Origin Exploration Ltd.	Options Stock	Janson, Jean-Pierre	4	2020-08-20	37		400,000	-1,600,000
Tri Origin Exploration Ltd.	Warrants	Janson, Jean-Pierre	4	2004-05-11	00			
Tri Origin Exploration Ltd.	Warrants	Janson, Jean-Pierre	4	2021-01-08	16		144,000	144,000
Tri Origin Exploration Ltd.	Common Shares	Osisko Mining Inc.	3	2021-01-08	00			
Tri Origin Exploration Ltd.	Common Shares	Osisko Mining Inc.	3	2021-01-08	16	0.125	3,200,000	3,200,000
Tri Origin Exploration Ltd.	Warrants January 2020	Osisko Mining Inc.	3	2021-01-08	00			
Tri Origin Exploration Ltd.	Warrants January 2020	Osisko Mining Inc.	3	2021-01-08	00			
Tri Origin Exploration Ltd.	Warrants January 2021	Osisko Mining Inc.	3	2021-01-08	00			
Tri Origin Exploration Ltd.	Warrants January 2021	Osisko Mining Inc.	3	2021-01-08	16		3,200,000	3,200,000
Tri Origin Exploration Ltd.	Common Shares	Petersen, Mark	4	2019-12-02	00			
Tri Origin Exploration Ltd.	Common Shares	Petersen, Mark	4	2021-01-08	10	0.125		20,000
Tri Origin Exploration Ltd.	Common Shares	Petersen, Mark	4	2021-01-08	16	0.125	20,000	20,000
Tri Origin Exploration Ltd.	Common Shares	Petersen, Mark	4	2021-01-11	10	0.125		20,000
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2021-01-08	10			20,000
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2021-01-08	10			20,000
Tri Origin Exploration Ltd.	Options Stock	Petersen, Mark	4	2021-01-11	10			20,000
Tri Origin Exploration Ltd.	Warrants	Petersen, Mark	4	2019-12-02	00			
Tri Origin Exploration Ltd.	Warrants	Petersen, Mark	4	2021-01-08	10	0.125		20,000
Tri Origin Exploration Ltd.	Warrants	Petersen, Mark	4	2021-01-08	16		20,000	20,000
Tri Origin Exploration Ltd.	Common Shares	Thomson, Andrew	5	2021-01-14	00			
Tri Origin Exploration Ltd.	Common Shares	Thomson, Andrew	5	2021-01-14	00			
Tri Origin Exploration Ltd.	Common Shares	Thomson, Andrew	5	2021-01-14	10	0.125	136,000	136,000
Tri Origin Exploration Ltd.	Warrants	Thomson, Andrew	5	2021-01-14	00			
Tri Origin Exploration Ltd.	Warrants	Thomson, Andrew	5	2021-01-14	53	0.125	136,000	136,000
Tri Origin Exploration Ltd.	Common Shares	Tri Origin Exploration Ltd.	1	2021-01-08	16	0.125		128,000
Tri Origin Exploration Ltd.	Common Shares	Tri Origin Exploration Ltd.	1	2021-01-08	16	0.125		128,000
Tri Origin Exploration Ltd.	Common Shares	Tri Origin Exploration Ltd.	1	2021-01-08	16	0.13		646,154
Tri Origin Exploration Ltd.	Common Shares	Tri Origin Exploration Ltd.	1	2021-01-08	16	0.13		646,154
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2015-01-06	00			
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2015-01-06	00			

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2021-01-08	16			128,000
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2021-01-08	16			128,000
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2021-01-08	16			646,154
Tri Origin Exploration Ltd.	Warrants	Tri Origin Exploration Ltd.	1	2021-01-08	16			646,154
Tri Origin Exploration Ltd.	Common Shares	Valliant, Robert Irwin	4	2021-01-08	16	0.125	2,872,842	128,000
Tri Origin Exploration Ltd.	Common Shares	Valliant, Robert Irwin	4	2021-01-08	16	0.13	3,518,996	646,154
Tri Origin Exploration Ltd.	Options Stock	Valliant, Robert Irwin	4	2020-08-20	37		1,800,000	-7,200,000
Tri Origin Exploration Ltd.	Warrants	Valliant, Robert Irwin	4	2003-03-19	00			
Tri Origin Exploration Ltd.	Warrants	Valliant, Robert Irwin	4	2021-01-08	16		128,000	128,000
Tri Origin Exploration Ltd.	Warrants	Valliant, Robert Irwin	4	2021-01-08	16		774,154	646,154
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.77	27,250,000	-750,000
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.8	27,000,000	-250,000
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.77	26,500,000	-500,000
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.8048	26,250,000	-250,000
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.8	24,200,000	-2,050,000
Trican Well Service Ltd.	Common Shares	Clarke Inc.	3	2021-01-13	10	1.765	22,700,000	-1,500,000
Trican Well Service Ltd.	Common Shares	Onwuekwe, Chika Benjamin	5	2020-12-31	30	0.57	31,325	8,915
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-04	38	1.384	126,400	126,400
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-07	38	1.3852	252,700	126,300
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-08	38	1.3805	379,400	126,700
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-09	38	1.4627	499,000	119,600
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-10	38	1.4949	521,200	22,200
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-11	38	1.5097	605,200	84,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-14	38	1.4879	722,800	117,600
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-14	38		223,800	-499,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-15	38	1.4942	320,300	96,500
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-18	38		0	-320,300
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-21	38	1.5054	67,200	67,200
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2020-12-31	38		0	-67,200
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2021-01-08	51	9.2	8,505	8,505
Trillium Therapeutics Inc.	Common Shares	Parsons, James Todd	5	2021-01-08	10	15.787	0	-8,505
Trillium Therapeutics Inc.	Options	Parsons, James Todd	5	2021-01-08	51	9.2	173,492	-8,505
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-07	51	0.38	2,708	2,708
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-07	10	14.713	0	-2,708
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-08	51	4.23	2,604	2,604
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-08	10	15.501	0	-2,604
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-11	51	12.22	508	508
Trillium Therapeutics Inc.	Common Shares	Petrova, Penka	5	2021-01-11	10	15.207	0	-508
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2021-01-07	51	0.38	88,485	-2,708

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Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2021-01-08	51	4.23	85,881	-2,604
Trillium Therapeutics Inc.	Options	Petrova, Penka	5	2021-01-11	51	12.22	85,373	-508
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2021-01-13	51	0.54	5,419	5,419
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2021-01-13	10	15.041	0	-5,419
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2021-01-14	51	0.54	19,581	19,581
Trillium Therapeutics Inc.	Common Shares	Skvarka, Jan	4, 5	2021-01-14	10	15.029	0	-19,581
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2021-01-13	51	0.54	294,581	-5,419
Trillium Therapeutics Inc.	Options	Skvarka, Jan	4, 5	2021-01-14	51	0.54	275,000	-19,581
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-07	51	0.38	3,646	3,646
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-07	10	14.751	0	-3,646
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-08	51	13.98	5,600	5,600
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-08	10	15.817	0	-5,600
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-08	51	4.23	2,917	2,917
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-08	10	15.506	0	-2,917
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-11	51	12.22	584	584
Trillium Therapeutics Inc.	Common Shares	Uger, Robert	5	2021-01-11	10	15.203	0	-584
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2021-01-07	51	0.38	118,822	-3,646
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2021-01-08	51	13.98	113,222	-5,600
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2021-01-08	51	4.23	110,305	-2,917
Trillium Therapeutics Inc.	Options	Uger, Robert	5	2021-01-11	51	12.22	109,721	-584
Trilogy International Partners Inc.	Common Shares	Calvo, Juan Pablo	7	2021-01-07	57		286,293	10,127
Trilogy International Partners Inc.	Rights (Restricted Share Units)	Calvo, Juan Pablo	7	2021-01-07	57		27,865	-10,127
Trilogy International Partners Inc.	Common Shares	Horwitz, Brad	7	2021-01-07	57		2,054,788	168,230
Trilogy International Partners Inc.	Rights (Restricted Share Units)	Horwitz, Brad	7	2021-01-07	57		409,066	-168,230
Trilogy International Partners Inc.	Common Shares	Mickels, Erik	5	2021-01-07	57		209,524	101,776
Trilogy International Partners Inc.	Rights (Restricted Share Units)	Mickels, Erik	5	2021-01-07	57		389,098	-159,051
Trilogy International Partners Inc.	Common Shares	Morris, Scott	5	2021-01-07	57		315,692	95,004
Trilogy International Partners Inc.	Rights (Restricted Share Units)	Morris, Scott	5	2021-01-07	57		325,659	-133,581
Trilogy International Partners Inc.	Common Shares	Perez, Tomas Hernan	5	2021-01-07	57		123,092	80,808
Trilogy International Partners Inc.	Rights (Restricted Share Units)	Perez, Tomas Hernan	5	2021-01-07	57		288,063	-115,283
Trisura Group Ltd.	Deferred Share Units	Gallagher, Paul Joseph	4	2020-12-31	56		6,245	168
Trisura Group Ltd.	Deferred Share Units	Hedges, Barton Walter	4	2020-12-31	56		7,202	56

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Trisura Group Ltd.	Deferred Share Units	Hedges, Barton Walter	4	2020-12-31	56		7,370	168
Trisura Group Ltd.	Deferred Share Units	Morrison, Gregory Ernest Alexander	4, 5	2020-12-31	56		2,031	140
Trisura Group Ltd.	Deferred Share Units	Myhal, George	4, 6	2020-12-31	56		4,274	168
Trisura Group Ltd.	Deferred Share Units	Taylor, Robert Edward	4, 7	2020-12-31	56		5,171	140
Troilus Gold Corp.	Common Shares	Arsenault, Caroline	5	2021-01-15	57	1.15	164,038	88,333
Troilus Gold Corp.	Rights Restricted Share Units	Arsenault, Caroline	5	2021-01-15	56		276,666	100,000
Troilus Gold Corp.	Rights Restricted Share Units	Arsenault, Caroline	5	2021-01-15	57		188,333	-88,333
Troilus Gold Corp.	Common Shares	Arsenault, Denis	5	2021-01-15	57	1.15	442,838	100,000
Troilus Gold Corp.	Rights Restricted Share Units	Arsenault, Denis	5	2021-01-15	57		475,000	-100,000
Troilus Gold Corp.	Common Shares	Bergeron, Daniel	5	2021-01-15	57	1.15	443,679	100,000
Troilus Gold Corp.	Rights Restricted Share Units	Bergeron, Daniel	5	2021-01-15	57		475,000	-100,000
Troilus Gold Corp.	Common Shares	Cheatle, Andrew Mark	4	2021-01-15	57	1.15	103,334	51,667
Troilus Gold Corp.	Rights Restricted Share Units	Cheatle, Andrew Mark	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Davies, Brianna Kirsten	5	2021-01-15	57	1.15	316,667	83,333
Troilus Gold Corp.	Rights Restricted Share Units	Davies, Brianna Kirsten	5	2021-01-15	57		458,333	-83,333
Troilus Gold Corp.	Common Shares	Hadjigeorgiou, John	4	2021-01-15	57	1.15	51,667	51,667
Troilus Gold Corp.	Rights Restricted Share Units	Hadjigeorgiou, John	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Horvat, Jamie	4	2021-01-15	57	1.15	85,302	51,667
Troilus Gold Corp.	Rights Restricted Share Units	Horvat, Jamie	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Hylands, Blake	5	2021-01-15	57	1.15	446,299	133,333
Troilus Gold Corp.	Rights Restricted Share Units	Hylands, Blake	5	2021-01-15	57		1,133,333	-133,333
Troilus Gold Corp.	Common Shares	Lai, Diane E.	4	2021-01-15	57	1.15	148,750	51,667
Troilus Gold Corp.	Common Shares	Lai, Diane E.	4	2021-01-15	11	1.14	123,609	-25,141
Troilus Gold Corp.	Rights Restricted Share Units	Lai, Diane E.	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Lamontagne, Eric	4	2021-01-15	57	1.15	51,667	51,667
Troilus Gold Corp.	Common Shares	Lamontagne, Eric	4	2021-01-15	11	1.14	21,297	-30,370
Troilus Gold Corp.	Rights Restricted Share Units	Lamontagne, Eric	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Olesinski, Thomas	4	2021-01-15	57	1.15	246,750	51,667
Troilus Gold Corp.	Rights Restricted Share Units	Olesinski, Thomas	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Pettigrew, Pierre Stewart	4	2021-01-15	57	1.15	503,750	51,667
Troilus Gold Corp.	Rights Restricted Share Units	Pettigrew, Pierre Stewart	4	2021-01-15	57		326,666	-51,667
Troilus Gold Corp.	Common Shares	Pint, Paul	5	2021-01-15	57	1.15	1,140,692	133,333
Troilus Gold Corp.	Common Shares	Pint, Paul	5	2021-01-15	11	1.14	1,081,994	-58,698
Troilus Gold Corp.	Rights Restricted Share Units	Pint, Paul	5	2021-01-15	57		1,133,333	-133,333
Troilus Gold Corp.	Common Shares	Reid, Christopher Justin	4, 5	2021-01-15	57	1.15	3,136,112	206,667
Troilus Gold Corp.	Common Shares	Reid, Christopher Justin	4, 5	2021-01-15	11	1.14	3,068,849	-67,263
Troilus Gold Corp.	Rights Restricted Share Units	Reid, Christopher Justin	4, 5	2021-01-15	57		1,706,666	-206,667
Troilus Gold Corp.	Common Shares	Stretch, Catherine	5	2021-01-15	57	1.15	328,744	100,000
Troilus Gold Corp.	Rights Restricted Share Units	Stretch, Catherine	5	2021-01-15	57		475,000	-100,000
TRYP Therapeutics Inc.	Common Shares	Jull, Gage Philip	4	2020-09-25	11			392,400
TRYP Therapeutics Inc.	Common Shares	Jull, Gage Philip	4	2020-09-25	11		392,400	392,400
TRYP Therapeutics Inc.	Common Shares	Kuo, James	4	2019-09-24	11			6,000,000

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TRYP Therapeutics Inc.	Common Shares	Kuo, James	4	2019-09-24	11		6,000,000	6,000,000
Tucows Inc.	Common Shares	Investmentaktiengesellschaft für langfristige Investoren TGV	3	2021-01-12	10	71.845	1,598,413	3,786
Tucows Inc.	Common Shares	Investmentaktiengesellschaft für langfristige Investoren TGV	3	2021-01-13	10	72.106	1,602,226	3,813
Tucows Inc.	Common Shares	Investmentaktiengesellschaft für langfristige Investoren TGV	3	2021-01-14	10	72.972	1,604,181	1,955
Ubique Minerals Limited	Common Shares	Cullingham, Paul Winston	3	2021-01-11	10	0.07	5,492,876	-20,000
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Lalani, Faizaan	5	2019-09-09	00			
United Lithium Corp. (formerly United Battery Metals Corp.)	Options	Lalani, Faizaan	5	2020-11-06	50	0.64	400,000	400,000
UrbanGold Minerals Inc.	Common Shares	Eskelund-Hansen, Jens	4	2021-01-11	10	0.26	120,000	20,000
Urbanimmersive Inc.	Common Shares	Bedard, Simon	4, 5	2021-01-14	97	0.17	4,783,493	118,375
Urbanimmersive Inc.	Options	Bedard, Simon	4, 5	2021-01-14	50	0.17	550,000	150,000
Urbanimmersive Inc.	Options	Brosseau, Judith	4	2021-01-14	50	0.17	575,000	100,000
Urbanimmersive Inc.	Common Shares	Felsenthal, Scott	4	2021-01-15	10	0.16	2,645,250	7,750
Urbanimmersive Inc.	Options	Felsenthal, Scott	4	2021-01-14	50	0.17	400,000	100,000
Urbanimmersive Inc.	Options	Grou, Jean-Francois	4	2021-01-14	50	0.17	650,000	150,000
Urbanimmersive Inc.	Common Shares	Lemire, Ghislain	4, 5	2021-01-14	97	0.17	4,547,144	118,375
Urbanimmersive Inc.	Options	Lemire, Ghislain	4, 5	2021-01-14	50	0.17	980,000	150,000
Urbanimmersive Inc.	Options	McDonald, James	4	2021-01-14	50	0.17	905,000	100,000
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.5	1,274,800	500
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.49	1,277,100	2,300
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.48	1,277,200	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.47	1,277,300	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.45	1,277,800	500
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.35	1,278,200	400
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.34	1,278,300	100
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.26	1,280,000	1,700
Velan Inc.	Subordinate Voting Shares	Kernaghan, Edward Hume	3	2021-01-14	10	7.25	1,284,500	4,500
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Common Shares	Adams, George	4, 5	2021-01-15	36	0.075	2,751,575	2,666,666
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Debentures	Adams, George	4, 5	2021-01-15	36	0.075	\$50	-\$200
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Options	Adams, George	4, 5	2020-01-12	50	0.1	725,000	100,000
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Warrants	Adams, George	4, 5	2020-12-16	52	0.34	4,721,017	-341,000
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Warrants	Adams, George	4, 5	2021-01-15	47	0.1	3,671,017	-1,050,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ventripoint Diagnostics Ltd. (formerly Luca Capital Inc.)	Options	Hodgkinson, Robert	4	2021-01-12	50	0.1	600,000	100,000
VersaBank	Common Shares	Dixon, Michael Richard	5	2021-01-13	10	9.3	3,500	1,000
VersaBank	Common Shares	Johnston, Joanne Marie	5	2021-01-14	10	9.35	13,270	1,000
VersaBank	Common Shares	Thoms, David William	5	2021-01-15	10	11.3	2,600	-700
Victory Square Technologies Inc.	Options	Bailey, Matthew	7	2020-11-30	00			
Victory Square Technologies Inc.	Options	Bailey, Matthew	7	2021-01-11	50		50,000	50,000
Victory Square Technologies Inc.	Options	Blank, Howard	4	2021-01-11	50		250,000	100,000
Victory Square Technologies Inc.	Options	Peixoto, Felipe	7	2020-06-03	00			
Victory Square Technologies Inc.	Options	Peixoto, Felipe	7	2021-01-11	50		100,000	100,000
Victory Square Technologies Inc.	Options	Shababi Shad, Vahid	5	2021-01-11	50		1,412,500	700,000
VIQ Solutions Inc.	Common Shares	Taylor, Larry Douglas	4	2021-01-11	10	5.69	464,056	2,400
Visible Gold Mines Inc.	Options	Dallaire, Martin	4, 5	2021-01-06	50			300,000
Visible Gold Mines Inc.	Options	Dallaire, Martin	4, 5	2021-01-06	50		1,285,000	300,000
ViveRE Communities Inc.	Common Shares	Nicoll, James David	5	2021-01-11	10	0.1925	1,611,332	2,000
ViveRE Communities Inc.	Common Shares	Nicoll, James David	5	2021-01-13	10	0.19	1,612,332	1,000
ViveRE Communities Inc.	Common Shares	Nicoll, James David	5	2021-01-15	10	0.19	1,614,332	2,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-18	10	0.2		1,500
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-18	10	0.19	74,000	3,000
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-18	10	0.195		500
ViveRE Communities Inc.	Common Shares	Turner, Thomas Richard	4	2020-12-18	10	0.19	75,000	1,000
Wallbridge Mining Company Limited	Common Shares	HOLMES, WILLIAM WARREN	4	2021-01-11	51	0.075	2,138,500	200,000
Wallbridge Mining Company Limited	Options	HOLMES, WILLIAM WARREN	4	2021-01-11	51	0.075		200,000
Wallbridge Mining Company Limited	Options	HOLMES, WILLIAM WARREN	4	2021-01-11	51	0.075	280,000	-200,000
West Fraser Timber Co. Ltd.	Deferred Share Unit	Carter, Reid Ewart	4	2021-01-12	56		10,679	27
West Fraser Timber Co. Ltd.	Deferred Share Unit	Floren, John	4	2021-01-12	56		6,961	17
West Fraser Timber Co. Ltd.	Deferred Share Unit	Kenning, Brian Graham	4	2021-01-12	56		5,161	13
West Fraser Timber Co. Ltd.	Deferred Share Unit	Ketcham, John Kendall	4	2021-01-12	56		8,474	21
West Fraser Timber Co. Ltd.	Deferred Share Unit	Miller, Gerald	4	2021-01-12	56		13,917	35
West Fraser Timber Co. Ltd.	Deferred Share Unit	Phillips, Robert L.	4	2021-01-12	56		16,048	40
West Fraser Timber Co. Ltd.	Deferred Share Unit	Rennie, Janice Gaye	4	2021-01-12	56		20,524	51
West Fraser Timber Co. Ltd.	Deferred Share Unit	Winckler, Gillian	4	2021-01-12	56		5,748	14
Westbridge Energy Corporation	Common Shares	Kelly, Scott	4, 5	2021-01-11	10	0.105	1,270,000	100,000
Westbridge Energy Corporation	Common Shares	Kelly, Scott	4, 5	2021-01-12	10	0.105	1,400,000	130,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Westbridge Energy Corporation	Options	Kelly, Scott	4, 5	2019-12-22	52		0	-15,000
Westbridge Energy Corporation	Options	Kelly, Scott	4, 5	2021-01-07	50			525,000
Westbridge Energy Corporation	Options	Kelly, Scott	4, 5	2021-01-07	50			525,000
Westbridge Energy Corporation	Options	Kelly, Scott	4, 5	2021-01-07	50			525,000
Westbridge Energy Corporation	Options	Kelly, Scott	4, 5	2021-01-07	50		525,000	525,000
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Arthurs, James Douglas	4	2021-01-05	56	1.25	155,127	11,000
Westport Fuel Systems Inc.	Common Shares	Guglielmin, Anthony Robert	4	2021-01-07	00		20,000	
White Metal Resources Corp.	Common Shares	Strashin, Elliot Phillip	3, 4, 5	2021-01-13	10	0.08	329,000	14,000
Whitecap Resources Inc.	Common Shares	Nerbas, Michael John	5	2021-01-15	10	5.15	10,807	2,900
Wi2Wi Corporation	Common Shares	Balazsi, Matthew	4	2019-07-26	00		50,000	
Wi2Wi Corporation	Options	Balazsi, Matthew	4	2019-07-26	00			
Wi2Wi Corporation	Options	Balazsi, Matthew	4	2021-01-13	50		150,000	150,000
Windfall Geotek Inc.	Common Shares	Fontaine, Michel	4, 5	2021-01-08	90	0.08	1,046,643	-300,000
Windfall Geotek Inc.	Common Shares	Fontaine, Michel	4, 5	2021-01-08	90	0.08	1,400,000	300,000
Xtierra Inc.	Common Shares	Gallagher, Timothy David	3, 4, 5	2021-01-11	10	0.125	202,000	-121,000
Xtierra Inc.	Common Shares	Gallagher, Timothy David	3, 4, 5	2021-01-11	10	0.125	10,217,000	166,000
XTM Inc.	Common Shares	Haber, Paul	4	2021-01-11	46	0.16	650,000	200,000
XTM Inc.	Restricted Share Units	Haber, Paul	4	2020-02-18	00			
XTM Inc.	Restricted Share Units	Haber, Paul	4	2021-01-11	56		200,000	200,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-08	38	1.36	2,300	2,300
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-08	38		0	-2,300
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-13	38	1.34	5,200	5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-13	38		0	-5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-14	38	1.32	5,200	5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-14	38		0	-5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-15	38	1.28	5,200	5,200
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-01-15	38		0	-5,200
Yamana Gold Inc.	Options	CAMPBELL, RICHARD	5	2020-12-11	52		44,292	-33,343
Yamana Gold Inc.	Options	Fernandez-Tobar, Gerardo	5	2020-12-11	52		60,732	-33,343
Yamana Gold Inc.	Options	Marrone, Peter	4, 5	2020-12-11	52		0	-462,291
Yamana Gold Inc.	Options	Tsakos, Sofia	5	2020-12-11	52		67,064	-66,686
ZEN Graphene Solutions Ltd.	Common Shares	Dubé, Francis Jacques	4	2020-11-11	54	0.6	685,400	50,000
ZEN Graphene Solutions Ltd.	Warrants	Dubé, Francis Jacques	4	2020-11-11	54	0.6		50,000
ZEN Graphene Solutions Ltd.	Warrants	Dubé, Francis Jacques	4	2020-11-11	54	0.6	133,500	-50,000
ZEN Graphene Solutions Ltd.	Warrants	Dubé, Francis Jacques	4	2020-11-11	36	0.6		50,000
ZEN Graphene Solutions Ltd.	Warrants	Dubé, Francis Jacques	4	2020-11-11	36	0.6		50,000
ZEN Graphene Solutions Ltd.	Warrants	KLEES, FRANK	4	2020-11-10	54	0.6		50,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ZEN Graphene Solutions Ltd.	Warrants	KLEES, FRANK	4	2020-11-10	54	0.6	0	-50,000
Zenabis Global Inc.	Common Shares	Coft, Kevin Glenn	7	2021-01-13	57		2,190,789	190,789
Zenabis Global Inc.	Rights RSU Rights	Coft, Kevin Glenn	7	2021-01-11	56		500,000	500,000
Zenabis Global Inc.	Rights RSU Rights	Coft, Kevin Glenn	7	2021-01-13	57		0	-500,000
Zenabis Global Inc.	Common Shares	Rasmussen, Eric	5	2021-01-13	57		428,771	107,271
Zenabis Global Inc.	RSU Awards	Rasmussen, Eric	5	2021-01-11	56		282,920	282,920
Zenabis Global Inc.	RSU Awards	Rasmussen, Eric	5	2021-01-13	57		0	-282,920
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Billings, Mark Anthony	4, 5	2021-01-07	11	0.25	446,788	50,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Billings, Mark Anthony	4, 5	2021-01-07	46		720,788	274,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Popert-Fortier, Patricia	5	2020-09-01	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Popert-Fortier, Patricia	5	2021-01-07	11	0.25		20,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Popert-Fortier, Patricia	5	2021-01-07	11	0.25	80,000	80,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	QIAN, YUMING	5	2019-08-01	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	QIAN, YUMING	5	2019-12-24	11	1	150,000	150,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	QIAN, YUMING	5	2021-01-11	46	0.25	270,000	120,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Options	QIAN, YUMING	5	2019-08-01	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Options	QIAN, YUMING	5	2020-12-17	50		300,000	300,000
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Razzall, Edward Timothy	4	2019-03-25	00			
ZeU Technologies, Inc. (formerly, ZeU Crypto Netwoks Inc.)	Common Shares	Razzall, Edward Timothy	4	2021-01-07	46	0.25	80,000	80,000
ZTEST Electronics Inc.	Common Shares	Beaton, Donald Robert	4	2021-01-13	00		40,000	
ZTEST Electronics Inc.	Common Shares	Tyliakos, Dean John	4	2021-01-13	00			
ZTEST Electronics Inc.	Common Shares	Tyliakos, Dean John	4	2021-01-13	00		114,100	
ZTEST Electronics Inc.	Common Shares	Tyliakos, Dean John	4	2021-01-13	00		160,000	
ZTEST Electronics Inc.	Warrants	Tyliakos, Dean John	4	2021-01-13	00		60,000	
Zymeworks Inc.	Common Shares	Hausman, Diana	5	2021-01-07	30	30.92	3,925	207
Zymeworks Inc.	Common Shares	Klompas, Neil	5	2021-01-08	30	30.92	9,396	284
Zymeworks Inc.	Common Shares	Polverino, Anthony John	5	2021-01-07	30	30.92	29,527	48

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

Almaden Minerals Ltd.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated January 15, 2021
NP 11-202 Preliminary Receipt dated January 15, 2021

Offering Price and Description:

US\$60,000,000.00
Common Shares
Warrants
Subscription Receipts
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160953

Issuer Name:

Ascot Resources Ltd.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated January 15, 2021
NP 11-202 Preliminary Receipt dated January 15, 2021

Offering Price and Description:

C\$90,000,000.00
Common Shares
Warrants
Subscription Receipts
Units

Debt Securities

Share Purchase Contracts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160967

Issuer Name:

AVINO SILVER & GOLD MINES LTD.
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated January 15, 2021
NP 11-202 Preliminary Receipt dated January 15, 2021

Offering Price and Description:

US\$50,000,000.00
Common Shares
Warrants
Subscription Receipts
Debt Securities
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160982

Issuer Name:

BGP Acquisition Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated January 14, 2021
NP 11-202 Preliminary Receipt dated January 14, 2021

Offering Price and Description:

U.S.\$100,000,000.00
10,000,000 Class A Restricted Voting Units

Underwriter(s) or Distributor(s):

Echelon Wealth Partners Inc.

Promoter(s):

BGP ACQUISITION SPONSOR LP

RUTH EPSTEIN

Project #3160438

Issuer Name:

BIGG Digital Assets Inc.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

\$12,000,000.00
24,000,000 Units
\$0.50 per Unit

Underwriter(s) or Distributor(s):

PI FINANCIAL CORP.
CANACCORD GENUITY CORP.
ECHELON WEALTH PARTNERS

Promoter(s):

Mark Binns
Lance Morginn
Shone Anstey
Project #3159197

Issuer Name:

Cargojet Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated January 18, 2021
NP 11-202 Preliminary Receipt dated January 18, 2021

Offering Price and Description:

\$350,156,500.00
1,642,000 Common Voting Shares and/or Variable Voting
Shares
Price: \$213.25 per Offered Share

Underwriter(s) or Distributor(s):

SCOTIA CAPITAL INC.
CIBC WORLD MARKETS INC.
RBC DOMINION SECURITIES INC.
J.P. MORGAN SECURITIES CANADA INC.
MORGAN STANLEY CANADA LIMITED
BMO NESBITT BURNS INC.
NATIONAL BANK FINANCIAL INC.
LAURENTIAN BANK SECURITIES INC.
CANACCORD GENUITY CORP.
ACUMEN CAPITAL FINANCE PARTNERS LIMITED
ATB CAPITAL MARKETS INC.
BEACON SECURITIES LIMITED
CORMARK SECURITIES INC.
RAYMOND JAMES LTD.

Promoter(s):

-

Project #3159747

Issuer Name:

County Capital 2 Ltd.
Principal Regulator - Ontario

Type and Date:

Amendment dated January 14, 2021 to Preliminary CPC
Prospectus dated November 19, 2020
NP 11-202 Preliminary Receipt dated January 15, 2021

Offering Price and Description:

\$600,000.00
(6,000,000 Common Shares)
Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3138140

Issuer Name:

Gold Royalty Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated January 12, 2021
NP 11-202 Preliminary Receipt dated January 12, 2021

Offering Price and Description:

US\$ Units

Underwriter(s) or Distributor(s):

BMO Nesbitt Burns Inc.

Promoter(s):

GoldMining Inc.
Project #3159743

Issuer Name:

Liberty Defense Holdings, Ltd. (formerly, Gulfstream
Acquisition 1 Corp.)

Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated January 12, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

\$5,300,000.00
13,250,000 Subscription Receipts
Price: \$0.40 per Subscription Receipt

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.

Promoter(s):

-

Project #3159748

Issuer Name:

Mayfair Gold Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 14, 2021

Offering Price and Description:

\$*
* Common Shares at \$* per Common Share

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160278

Issuer Name:

Nevada Copper Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Short Form Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 14, 2021

Offering Price and Description:

\$33,000,000.00
200,000,000 Units

Underwriter(s) or Distributor(s):

SCOTIA CAPITAL INC.
RBC DOMINION SECURITIES INC.
HAYWOOD SECURITIES INC.
LAURENTIAN BANK SECURITIES INC.
NATIONAL BANK FINANCIAL INC.
MACKIE RESEARCH CAPITAL CORPORATION

Promoter(s):

-

Project #3159393

Issuer Name:

Planet 13 Holdings Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated January 18, 2021
NP 11-202 Preliminary Receipt dated January 18, 2021

Offering Price and Description:

\$60,025,000.00
8,575,000 Units
Price: \$7.00 per Unit

Underwriter(s) or Distributor(s):

BEACON SECURITIES LIMITED
CANACCORD GENUITY CORP.

Promoter(s):

ROBERT GROESBECK
LARRY SCHEFFLER

Project #3159585

Issuer Name:

Red Light Holland Corp. (formerly, Added Capital Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Short Form Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

\$8,500,170.00
33,334,000 Units
PRICE: \$0.255 PER UNIT

Underwriter(s) or Distributor(s):

Eight Capital

Promoter(s):

Todd Shaprio
Project #3160061

Issuer Name:

Star Royalties Ltd.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

[*] Common Shares
\$0.70 – \$0.90 per Common Share

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
DESJARDINS SECURITIES INC.
HAYWOOD SECURITIES INC.
CORMARK SECURITIES INC.
EIGHT CAPITAL

Promoter(s):

Anthony Lesiak
Alexandre Pernin
Peter Bures
Project #3160047

Issuer Name:

Tanzanian Gold Corporation
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated January 13, 2021
NP 11-202 Preliminary Receipt dated January 14, 2021

Offering Price and Description:

US\$25,000,000.00
Common Shares

Debt Securities

Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160602

Issuer Name:

TC Energy Corporation
Principal Regulator - Alberta

Type and Date:

Preliminary Shelf Prospectus dated January 15, 2021
NP 11-202 Preliminary Receipt dated January 15, 2021

Offering Price and Description:

\$2,000,000,000.00
Common Shares
First Preferred Shares
Second Preferred Shares
Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3160863

Issuer Name:

Trulieve Cannabis Corp. (formerly Schyan Exploration Inc.)
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated January 12, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

\$750,000,000.00 - Subordinate Voting Shares Debt
Securities Warrants Subscription Receipts Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3159822

Issuer Name:

Wedgemount Resources Corp.
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated January 12, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

5,000,000 Shares at \$0.10 per Share for Gross Proceeds
of \$500,000.00

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3159843

Issuer Name:

Antibe Therapeutics Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated January 12, 2021
NP 11-202 Receipt dated January 13, 2021

Offering Price and Description:

US\$50,000,000.00
Common Shares
Preferred Shares
Debt Securities
Subscription Receipts
Warrants

Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3148234

Issuer Name:

Artemis Gold Inc.
Principal Regulator - British Columbia

Type and Date:

Final Shelf Prospectus dated January 12, 2021
NP 11-202 Receipt dated January 13, 2021

Offering Price and Description:

Up to \$400,000,000.00
Common Shares
Warrants
Subscription Receipts
Units

Debt Securities

Share Purchase Contracts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3154945

Issuer Name:

Black Shield Metals Corp.
Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated January 13, 2021
NP 11-202 Receipt dated January 14, 2021

Offering Price and Description:

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

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

-

Project #3114985

Issuer Name:

Genworth MI Canada Inc.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated January 12, 2021
NP 11-202 Receipt dated January 13, 2021

Offering Price and Description:

\$3,000,000,000.00
Debt Securities
Preferred Shares
Subscription Receipts
Warrants
Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3147745

Issuer Name:

Kits Eyecare Ltd.
Principal Regulator - British Columbia

Type and Date:

Final Long Form Prospectus dated January 12, 2021
NP 11-202 Receipt dated January 12, 2021

Offering Price and Description:

\$55,000,000.00
6,470,588 Common Shares

Underwriter(s) or Distributor(s):

Canaccord Genuity Corp.
CIBC Capital Markets Inc.
Scotia Capital Inc.
Roth Canada, ULC
Haywood Securities Inc.
Stifel Nicolaus Canada Inc.

Promoter(s):

-

Project #3151246

Issuer Name:

PopReach Corporation (formerly, Mithrandir Capital Corp.)
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated January 15, 2021
NP 11-202 Receipt dated January 15, 2021

Offering Price and Description:

\$150,000,000.00
Common Shares
Preferred Shares
Units

Debt Securities
Warrants
Subscription Receipts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3158770

NON-INVESTMENT FUNDS

Issuer Name:

TD Global Healthcare Leaders Index ETF
Principal Regulator - Ontario

Type and Date:

Combined Preliminary and Pro Forma Long Form
Prospectus dated Jan 14, 2021
NP 11-202 Preliminary Receipt dated Jan 14, 2021

Offering Price and Description:

CAD Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3160490

Issuer Name:

NewGen Focussed Alpha Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Jan 18, 2021
NP 11-202 Preliminary Receipt dated Jan 18, 2021

Offering Price and Description:

Class C Founders Units, Class G Units, Class I Units and
Class F Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3161346

Issuer Name:

Franklin Innovation Active ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Jan 13, 2021
NP 11-202 Final Receipt dated Jan 15, 2021

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3139722

Issuer Name:

Dynamic Emerging Markets Equity Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Jan 15, 2021
NP 11-202 Preliminary Receipt dated Jan 15, 2021

Offering Price and Description:

Series I Units, Series F Units, Series FT Units, Series A
Units, Series T Units and Series O Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3160864

Issuer Name:

1832 AM Canadian Dividend LP
1832 AM Canadian Growth LP
1832 AM Global Completion LP
1832 AM International Equity LP
1832 AM Tactical Asset Allocation LP
Scotia Global Low Volatility Equity LP
Scotia Total Return Bond LP
Scotia U.S. Dividend Growers LP
Scotia U.S. Low Volatility Equity LP
Principal Regulator – Ontario

Type and Date:

Combined Preliminary and Pro Forma Simplified
Prospectus dated Jan 15, 2021
NP 11-202 Final Receipt dated Jan 18, 2021

Offering Price and Description:

Series I units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3151162

Issuer Name:

Guardian Canadian Bond ETF
Guardian Canadian Sector Controlled Equity Fund
Guardian Fundamental All Country Equity ETF
Guardian Fundamental Emerging Markets Equity ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Jan 13, 2021
NP 11-202 Preliminary Receipt dated Jan 14, 2021

Offering Price and Description:

ETF Units, Series A Mutual Fund Units, Series I Mutual
Fund Units and Series F Mutual Fund Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3160139

Issuer Name:

BMO Aggregate Bond Index ETF
BMO Balanced ESG ETF
BMO Balanced ETF
BMO BBB Corporate Bond Index ETF
BMO Canadian Dividend ETF
BMO Canadian High Dividend Covered Call ETF
BMO Canadian MBS Index ETF
BMO China Equity Index ETF (formerly, BMO China Equity Hedged to CAD Index ETF)
BMO Clean Energy Index ETF
BMO Conservative ETF
BMO Corporate Bond Index ETF
BMO Covered Call Canadian Banks ETF
BMO Covered Call Dow Jones Industrial Average Hedged to CAD ETF
BMO Covered Call Technology ETF
BMO Covered Call US Banks ETF
BMO Covered Call Utilities ETF
BMO Discount Bond Index ETF
BMO Dow Jones Industrial Average Hedged to CAD Index ETF
BMO Emerging Markets Bond Hedged to CAD Index ETF
BMO Equal Weight Banks Index ETF (previously, BMO S&P/TSX Equal Weight Banks Index ETF)
BMO Equal Weight Global Base Metals Hedged to CAD Index ETF (prev, BMO S&P/TSX Equal Weight Global Base Metals Hedged)
BMO Equal Weight Global Gold Index ETF (previously, BMO S&P/TSX Equal Weight Global Gold Index ETF)
BMO Equal Weight Industrials Index ETF (previously, BMO S&P/TSX Equal Weight Industrials Index ETF)
BMO Equal Weight Oil & Gas Index ETF (previously, BMO S&P/TSX Equal Weight Oil & Gas Index ETF)
BMO Equal Weight REITs Index ETF
BMO Equal Weight US Banks Hedged to CAD Index ETF
BMO Equal Weight US Banks Index ETF
BMO Equal Weight US Health Care Hedged to CAD Index ETF
BMO Equal Weight US Health Care Index ETF
BMO Equal Weight Utilities Index ETF
BMO ESG Corporate Bond Index ETF
BMO ESG High Yield US Corporate Bond Index ETF
BMO ESG US Corporate Bond Hedged to CAD Index ETF
BMO Europe High Dividend Covered Call ETF
BMO Europe High Dividend Covered Call Hedged to CAD ETF
BMO Floating Rate High Yield ETF
BMO Global Communications Index ETF
BMO Global Consumer Discretionary Hedged to CAD Index ETF
BMO Global Consumer Staples Hedged to CAD Index ETF
BMO Global High Dividend Covered Call ETF
BMO Global Infrastructure Index ETF
BMO Government Bond Index ETF
BMO Growth ETF
BMO High Quality Corporate Bond Index ETF
BMO High Yield US Corporate Bond Hedged to CAD Index ETF
BMO High Yield US Corporate Bond Index ETF
BMO India Equity Index ETF (formerly, BMO India Equity Hedged to CAD Index ETF)
BMO International Dividend ETF
BMO International Dividend Hedged to CAD ETF
BMO Junior Gold Index ETF
BMO Laddered Preferred Share Index ETF (formerly BMO S&P/TSX Laddered Preferred Share Index ETF)
BMO Long Corporate Bond Index ETF
BMO Long Federal Bond Index ETF
BMO Long Provincial Bond Index ETF
BMO Long-Term US Treasury Bond Index ETF
BMO Low Volatility Canadian Equity ETF
BMO Low Volatility Emerging Markets Equity ETF
BMO Low Volatility International Equity ETF
BMO Low Volatility International Equity Hedged to CAD ETF
BMO Low Volatility US Equity ETF
BMO Low Volatility US Equity Hedged to CAD ETF
BMO Mid Corporate Bond Index ETF
BMO Mid Federal Bond Index ETF
BMO Mid Provincial Bond Index ETF
BMO Mid-Term US IG Corporate Bond Hedged to CAD Index ETF
BMO Mid-Term US IG Corporate Bond Index ETF
BMO Mid-Term US Treasury Bond Index ETF
BMO Money Market ETF
BMO Monthly Income ETF
BMO MSCI All Country World High Quality Index ETF
BMO MSCI Canada ESG Leaders Index ETF
BMO MSCI Canada Value Index ETF
BMO MSCI EAFE ESG Leaders Index ETF
BMO MSCI EAFE Hedged to CAD Index ETF (formerly, BMO International Equity Hedged to CAD Index ETF)
BMO MSCI EAFE Index ETF
BMO MSCI Emerging Markets Index ETF (formerly, BMO Emerging Markets Equity Index ETF)
BMO MSCI Europe High Quality Hedged to CAD Index ETF
BMO MSCI Fintech Innovation Index ETF
BMO MSCI Genomic Innovation Index ETF
BMO MSCI Global ESG Leaders Index ETF
BMO MSCI Innovation Index ETF
BMO MSCI Next Gen Internet Innovation Index ETF
BMO MSCI Tech & Industrial Innovation Index ETF
BMO MSCI USA ESG Leaders Index ETF
BMO MSCI USA High Quality Index ETF
BMO MSCI USA Value Index ETF
BMO Nasdaq 100 Equity Hedged to CAD Index ETF
BMO Nasdaq 100 Equity Index ETF
BMO Premium Yield ETF
BMO Real Return Bond Index ETF
BMO S&P 500 Hedged to CAD Index ETF (formerly, BMO US Equity Hedged to CAD Index ETF)
BMO S&P 500 Index ETF
BMO S&P US Mid Cap Index ETF
BMO S&P US Small Cap Index ETF
BMO S&P/TSX Capped Composite Index ETF (formerly, BMO Dow Jones Canada Titans 60 Index ETF)
BMO Short Corporate Bond Index ETF
BMO Short Federal Bond Index ETF
BMO Short Provincial Bond Index ETF
BMO Short-Term Bond Index ETF
BMO Short-Term US IG Corporate Bond Hedged to CAD Index ETF
BMO Short-Term US TIPS Index ETF
BMO Short-Term US Treasury Bond Index ETF

BMO Ultra Short-Term Bond ETF (formerly, BMO 2013 Corporate Bond Target Maturity ETF)
BMO Ultra Short-Term US Bond ETF
BMO US Dividend ETF
BMO US Dividend Hedged to CAD ETF
BMO US High Dividend Covered Call ETF
BMO US High Dividend Covered Call Hedged to CAD ETF
BMO US Preferred Share Hedged to CAD Index ETF
BMO US Preferred Share Index ETF
BMO US Put Write ETF
BMO US Put Write Hedged to CAD ETF
Principal Regulator – Ontario

Type and Date:

Combined Preliminary and Pro Forma Long Form Prospectus dated Jan 14, 2021
NP 11-202 Final Receipt dated Jan 18, 2021

Offering Price and Description:

Accumulating Units, USD Units, CAD Units and Hedged Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3149448

Issuer Name:

Fidelity American Disciplined Equity Fund
Fidelity Global Disciplined Equity Fund
Fidelity Canadian Asset Allocation Fund
Fidelity Global Monthly Income Currency Neutral Fund
Fidelity Global Income Portfolio
Fidelity Balanced Portfolio
Fidelity Global Balanced Portfolio
Fidelity Conservative Managed Risk Portfolio
Fidelity ClearPath 2025 Portfolio
Fidelity ClearPath 2050 Portfolio
Fidelity ClearPath Income Portfolio
Fidelity Floating Rate High Income Currency Neutral Fund
Principal Regulator - Ontario

Type and Date:

Amendment #3 to Final Simplified Prospectus dated January 12, 2021
NP 11-202 Final Receipt dated Jan 15, 2021

Offering Price and Description:

Series A units, Series B units, Series E1 units, Series E1T5 units, Series E2 units, Series E2T5 units, Series E3 units, Series E3T5 units, Series E4 units, Series E5 units, Series F units, Series F5 units, Series F8 units, Series O units, Series P1 units, Series P1T5 units, Series P2 units, Series P2T5 units, Series P3 units, Series P3T5 units, Series P4 units, Series P4T5 units, Series P5 units, Series P5T5 units, Series S5 units, Series S8 units, Series T5 units, Series T8 units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3114687

Issuer Name:

Fidelity Greater Canada Class
Fidelity Dividend Plus Class
Fidelity American Equity Class
Fidelity U.S. Focused Stock Class
Fidelity U.S. Focused Stock Currency Neutral Class
Fidelity U.S. Growth Opportunities Class
Fidelity AsiaStar Class
Fidelity Emerging Markets Class
Fidelity Global Innovators Class
Fidelity Global Consumer Industries Class
Fidelity Global Real Estate Class
Fidelity Canadian Asset Allocation Class
Principal Regulator - Ontario

Type and Date:

Amendment #7 to Final Simplified Prospectus and
Amendment #8 to AIF dated January 12, 2021
NP 11-202 Final Receipt dated Jan 14, 2021

Offering Price and Description:

Series A shares, Series B shares, Series E1 shares, Series
E1T5 shares, Series E2 shares, Series E2T5 shares,
Series E3 shares, Series E3T5 shares, Series E4 shares,
Series E4T5 shares, Series E5 shares, Series E5T5
shares, Series F shares, Series F5 shares, Series F8
shares, Series P1 shares, Series P1T5 shares, Series P2
shares, Series P2T5
shares, Series P3 shares, Series P3T5 shares, Series P4
shares, Series P4T5 shares, Series P5 shares, Series S5
shares, Series S8 shares, Series T5 shares, Series T8
shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3018443

Issuer Name:

CI Galaxy Bitcoin Fund
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated January 11, 2021
NP 11-202 Preliminary Receipt dated January 13, 2021

Offering Price and Description:

Maximum: US\$* Class A Units
Minimum Purchase: 100 Class A Units
Price: US\$15.04 per Class A Unit

Underwriter(s) or Distributor(s):

CIBC World Markets Inc.

Promoter(s):

CI Investments Inc.

Project #3160009

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Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Amalgamation	Mackenzie Financial Corporation and Greenchip Financial Corp. To form: Mackenzie Financial Corporation	Investment Fund Manager, Exempt Market Dealer, Portfolio Manager and Commodity Trading Manager	January 1, 2021
Voluntary Surrender	Queensville Global Securities Inc.	Exempt Market Dealer	January 8, 2021
Voluntary Surrender	Clearbridge Rare Infrastructure (North America) PTY Limited	Portfolio Manager	January 18, 2021
Amalgamation	Fidelity (Canada) Asset Management ULC and Fidelity Investments Canada ULC To form: Fidelity Investments Canada ULC	Investment Fund Manager, Exempt Market Dealer, Portfolio Manager, Mutual Fund Dealer and Commodity Trading Manager	January 1, 2021

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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) – Amendments to MFDA Rule 1.1.1(a) (Business Structures – Members) – Notice of Approval

MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

AMENDMENTS TO MFDA RULE 1.1.1(a) (BUSINESS STRUCTURES – MEMBERS)

The Ontario Securities Commission has approved the proposed amendments (**Amendments**) to MFDA Rule 1.1.1(a) (Business Structures – Members). The Amendments allow Approved Persons to sell securities issued by a credit union to its members:

- as an employee of a credit union for the account of, and through the facilities of, the credit union rather than the MFDA member; and
- in accordance with local credit union and securities legislation.

The Amendments are similar to an exception currently available under MFDA Rule 1.1.1(a) to Approved Persons dually employed by banks.

The Amendments were published for public comment on October 24, 2019. No comment letters were received. The Amendments 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; and the Prince Edward Island Office of the Superintendent of Securities have either not objected to or have approved the Amendments.

13.2 Marketplaces

13.2.1 Neo Exchange Inc. – Listing Manual Amendments – Notice of Approval

**January 21, 2021
NOTICE #: 2021-001**

**NEO EXCHANGE INC.
LISTING MANUAL AMENDMENTS
NOTICE OF APPROVAL**

In accordance with the *Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto*, Neo Exchange Inc. (“NEO Exchange”) has adopted and the Ontario Securities Commission has approved an amendment to the NEO Exchange Listing Manual.

On December 3, 2020, NEO Exchange published for comment a Public Interest Rule Amendment relating to decreasing the number of public securityholders required for minimum distribution of supplemental listings. For additional details, please refer to the [Notice of the Amendments](#) and [Request for Comments](#) published on December 3, 2020. No comments were received.

The Public Interest Rule Amendment is effective as of the date hereof.

A copy of the Listing Manual can be found on the NEO Exchange website, [click here](#).

T: (416) 933-5959
E: NEOListingsSales@neostockexchange.com
W: <http://neo.exchange>

NEO
155 University Ave., Suite 400
Toronto, Ontario M5H 3B7

13.2.2 Nasdaq CXC Limited – Notice of Proposed Changes and Request for Comment

NASDAQ CXC LIMITED

NOTICE OF PROPOSED CHANGES AND REQUEST FOR COMMENT

Nasdaq CXC Limited (Nasdaq Canada) has announced plans to implement the changes described below in the first half of 2021 subject to regulatory approval. Nasdaq Canada is publishing this Notice of Proposed Changes in accordance with the requirements set out in the Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto (Exchange Protocol). Pursuant to the Exchange Protocol, market participants are invited to provide the Commission with comment on the proposed changes.

Comment on the proposed changes should be in writing and submitted by February 24, 2021 to:

Market Regulation Branch
Ontario Securities Commission
20 Queen Street West, 22nd Floor
Toronto, ON M5H 3S8
Email: marketregulation@osc.gov.on.ca

And to:

Matt Thompson
Chief Compliance Officer
Nasdaq CXC Limited
25 York St., Suite 900
Toronto, ON M5J 2V5
Email: matthew.thompson@nasdaq.com

Comments received will be made public on the OSC website. Upon completion of the review by OSC staff, and in the absence of any regulatory concerns, notice will be published to confirm the completion of Commission staff's review and to outline the intended implementation date of the changes.

NASDAQ CXC LIMITED

NOTICE OF PROPOSED CHANGES

Nasdaq Canada has announced plans to introduce the following change in the first half of 2021 subject to regulatory approval. Nasdaq Canada is publishing this Notice of Proposed Changes in accordance with the requirements set out in the Exchange Protocol.

Summary of Proposed Changes

The CX2 Trading Book (CX2) currently employs a price-broker-time order matching priority across all priced securities available for trading. Nasdaq Canada is proposing matching priority for securities below one dollar, where large size displayed orders that meet a minimum size threshold of 30,000 shares (Large Size Order) will have priority over orders that do not meet the minimum size threshold (Small Size Orders) irrespective of the time a Large size Order is entered (price/broker/large-size/time). Where multiple Large Size Orders are posted in the order book, priority will be given to the Large Size Order with the largest displayed quantity. If the size of a Large Size Order decreases as a result of a partial execution falling below the minimum size threshold, the order will be considered a Small Size Order and be given execution priority based on the time stamp it was given when first received.

How it Works

Example 1: CX2 – Current Matching Priority

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	500 (07)			
Order 3 (9:45:03)	1000 (79)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 1 because it has time priority as it was the first order entered at 0.60 at 9:45:01.

Example 2: CX2 – Proposed Large-Size Matching Priority

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	35,000 (07)			
Order 3 (9:45:03)	1000 (79)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2. Although Order 1 has time priority, Order 2 meets the minimum size threshold for a Large Size Order and therefore receives execution priority.

Example 3: Matching Priority between Multiple Large Size Orders

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	35,000 (07)			
Order 3 (9:45:03)	30,000 (79)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2. Although Order 1 has time priority, Order 2 and Order 3 are both Large Size Orders and therefore have execution priority over Order 1. The incoming sell order interacts with Order 2 because it has a larger displayed size than Order 3.

Example 4: Matching Priority between Multiple Large Size Orders

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	35,000 (07)			
Order 3 (9:45:03)	50,000 (79)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 3. Order 2 and Order 3 have execution priority because they are both Large Size Orders. The incoming sell order interacts with Order 3 because it has a larger displayed size than Order 2 even though Order 2 was entered first.

Example 5: Residual quantity of a Large Size Order falls below the Minimum Size Threshold

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	30,000 (07)			
Order 3 (9:45:03)	1000 (79)			

Action: A sell order is entered for 5000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2 because it is a Large Size Order. The residual size of Order 2 decreases to 25,000 shares which is below the minimum size threshold.

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	25,000 (07)			
Order 3 (9:45:03)	1000 (79)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 1 because it has time priority over all other orders. Order 2 no longer meets the minimum size threshold for a Large Size Order. Order 2's execution priority returns to the time priority it was originally assigned based on the time stamp when the order was received.

Example 6: Increasing the residual size of a Large Size Order

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	60,000 (07)			
Order 3 (9:45:03)	50,000 (79)			
Order 4 (9:45:04)	35,000 (02)			

Action: A sell order is entered for 35,000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2 because it has the largest displayed size of all Large Size Orders (Order 2, Order 3 and Order 4). The residual size of Order 2 is decreased to 25,000 shares which is below the minimum size threshold.

Action: Member 07 increases the size of Order 2 by 30,000 shares to 55,000 shares at 9:46:00.

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:46:00)	55,000 (07)			
Order 3 (9:45:03)	50,000 (79)			
Order 4 (9:45:04)	35,000 (02)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2 because it has the largest displayed size of all Large Size Orders (Order

2, Order 3 and Order 4) even though the order was modified to increase its quantity.

Example 7: Increasing the residual size of a Large Size Order

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 2 (9:45:02)	60,000 (07)			
Order 3 (9:45:03)	50,000 (79)			
Order 4 (9:45:04)	35,000 (02)			

Action: A sell order is entered for 35,000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 2 because it has the largest displayed size of all Large Size Orders (Order 2, Order 3 and Order 4). The residual size of Order 2 decreases to 25,000 shares which is below the minimum size threshold.

Action: Member 07 increases the size of Order 2 by 5,000 shares to 30,000 shares at 9:46:00.

	BID Size	BID	ASK	ASK Size
NBBO (CX2 BBO)		0.60	0.62	
Order 1 (9:45:01)	1000 (09)			
Order 3 (9:45:03)	50,000 (79)			
Order 4 (9:45:04)	35,000 (02)			
Order 2 (9:46:00)	30,000 (07)			

Action: A sell order is entered for 1000 shares on CX2 with a limit price of 0.60.

Result: The sell order executes against Order 3 because it has the largest displayed quantity of all Large Size Orders (Order 2, Order 3 and Order 4). Order 2 no longer has priority because it has a smaller size than Order 3 (and Order 4).

Rationale for the Proposal

The Proposed Change is being made to create size improvement opportunities for participants by incentivizing larger displayed passive orders which in turn will increase liquidity and transparency. By providing execution priority to Large Size Orders, competition between liquidity providers will be intensified as liquidity providers will be required to compete based on order size.

Specifically, the Proposed Change will address the need for improved market breadth for securities trading below one dollar, created by the new requirement under UMIR Rule 6.6 that an order to meet a notional value of \$30,000 in addition to the current 50 standard trading unit requirement to trade against a dark order without receiving price improvement. As a result of this new requirement, orders below the threshold seeking NBBO execution on dark venues must now trade on visible marketplaces. By introducing an incentive to display Large Size Orders, the Proposed Change will increase liquidity on CX2, resulting in superior executions.

Expected Date of Implementation

Subject to regulatory approval, we are expecting to introduce the Proposed Change in the first half of 2021.

Expected Impact on Market Structure

The Proposed Change is expected to result in greater available displayed liquidity at the NBBO on the CX2 Trading Book for securities trading below one dollar. Members sending large size active orders for securities priced below one dollar should be able to satisfy the full quantity of their orders on CX2 more often without having to split parent orders into smaller child orders routed to multiple venues. As a result of the Proposed Change liquidity providers will need to consider the size of their posted displayed orders as they compete for order flow.

Expected Impact on the Exchange's Compliance with Ontario Securities Law

The Proposed Change is in compliance with applicable securities laws and does not impact fair access to markets or Nasdaq Canada's ability to maintain a fair and orderly market.

Consultation and Review

Prior to filing Amendment 56 Nasdaq Canada held consultations with participants that trade on CX2. Consultations included soliciting feedback from trading desks typically sending active order flow (include retail trading desks) and members that provide passive liquidity and/or provide electronic access to liquidity providers.

Estimated Time Required by Subscribers and Vendors (or why a reasonable estimate is not provided)

There are no changes required by members or vendors to make to their Systems in response of the Proposed Change.

Will Proposed Fee Change or Significant Change introduce a Fee Model or Feature that Currently Exists in other Markets or Jurisdictions

Yes. In Canada the NEO-N Book incorporates consideration for order size into its matching logic. Larger sized orders are given priority over order entered first (Size-Time) at each level of the priority matching process (broker – NEO Trader – DMM – other orders).

In the United States there are currently no equity exchanges that support price-size priority. In the past Nasdaq PSX was the first US equity exchange to operate a price-size priority model.

Any questions regarding these changes should be addressed to Matt Thompson, Nasdaq CXC Limited: matthew.thompson@nasdaq.com, T: 647-243-6242

Appendix A

Text of the Public Interest Rule Change to Nasdaq Canada Trading Rules and Policies

1.1 Definitions and Interpretation

Large Size Order	An order that meets a minimum size threshold (Large Size Threshold) determined by the Exchange.
Small Size Order	An order that does not meet the Large Size Threshold.

5.7.2 CX2 Book

CX2 is a lit book matching orders for higher priced securities based on price/broker/time priority.

Orders for lower priced securities are matched based on price/broker/large-size/time priority. Large Size Orders receive execution priority over Small Sized Orders. Large Size Orders with larger displayed sizes received execution priority first.

Visible orders have a higher priority over hidden orders at the same price. Orders that are not immediately matched are posted in the CX2 Book.

CX2 orders are attributed by default and are automatically eligible for broker preferencing. Members may not opt-out of broker preferencing for attributed orders.

Anonymous orders and jitney orders are not eligible for broker preferencing.

CX2 supports round lot, mixed lots and odd lot orders.

Chapter 25

Other Information

25.1 Consents

25.1.1 Outback Goldfields Corp. (formerly Skarb Exploration Corp.) – s. 4(b) of the Regulation

Headnote

Consent given to an offering corporation under the Business Corporations Act (Ontario) to continue under the Business Corporations Act (British Columbia).

Statutes Cited

Business Corporations Act, R.S.O. 1990, c. B.16, as am., s. 181.

Regulations Cited

Ont. Reg. 289/00, as am., s. 4(b), made under the Business Corporations Act, R.S.O. 1990, c. B.16, as am.

**IN THE MATTER OF
R.R.O. 1990, REGULATION 289/00, AS AMENDED
(the Regulation)**

**UNDER THE BUSINESS CORPORATIONS ACT (ONTARIO),
R.S.O. 1990 c. B.16, AS AMENDED
(the OBCA)**

AND

**IN THE MATTER OF
OUTBACK GOLDFIELDS CORP.
(FORMERLY SKARB EXPLORATION CORP.)**

**CONSENT
(Subsection 4(b) of the Regulation)**

UPON the application of Outback Goldfields Corp. (formerly Skarb Exploration Corp.) (the **Applicant**) to the Ontario Securities Commission (the **Commission**) requesting a consent from the Commission for the Applicant to continue in another jurisdiction pursuant to section 181 of the OBCA (the **Continuance**);

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

AND UPON the Applicant representing to the Commission that:

1. The Applicant was incorporated under the OBCA by articles of incorporation effective March 6, 2018 under the name Skarb Exploration Corp. The Applicant filed articles of amendment effective December 9, 2020 to change the name to Outback Goldfields Corp. and to consolidate the Common shares (the **Amendment**).
2. The Applicant is an offering corporation under the OBCA.
3. The Applicant's registered office is currently located at 4 Brule Gardens, Toronto, Ontario M6S 4J2 and its head office is located at Suite 700 – 1090 West Georgia Street, Vancouver, British Columbia, V6E 3V7.
4. The authorized share capital of the Applicant currently consists of an unlimited number of Common shares (the **Common Shares**). The Common Shares are listed for trading on the Canadian Securities Exchange (**CSE**) under the symbol "SKRB". As at the close of business on November 19, 2020, the Applicant had 74,901,500 issued and outstanding Common Shares. Following the Amendment, the Applicant had 25,037,197 issued and outstanding Common Shares.
5. The Applicant intends to apply to the Director under the OBCA pursuant to section 181 of the OBCA (the **Application for Continuance**) for authorization to continue as a corporation under the *Business Corporations Act* (British Columbia), S.B.C. 2002, c. 57, as amended (the **BCBCA**).

Other Information

6. The Continuance is being proposed by the Applicant as it would provide additional flexibility to the Applicant and the Applicant's mind and management is located in British Columbia. The BCBCA provides increased flexibility with respect to capital management, resulting from more flexible rules relating to dividends, share purchases and redemptions, and accounting for capital.
7. The material rights, duties and obligations of a corporation governed by the BCBCA are substantially similar to those of a corporation governed by the OBCA. The principal differences are highlighted for holders of Common Shares (the **Shareholders**) in the management proxy circular dated October 20, 2020 (the **Information Circular**) that was sent to shareholders in connection with the Applicant's annual and special meeting of shareholders held on November 19, 2020 (the **Meeting**).
8. The Applicant is a reporting issuer under the *Securities Act*, R.S.O. 1990, c. S.5, as amended (the **Act**) and the securities legislation in the province of British Columbia (the **Legislation**). The Applicant will remain a reporting issuer in these jurisdictions and will continue to be listed for trading on the CSE following the Continuance.
9. The Applicant is not in default of any of the provisions of the OBCA, the Act, or the Legislation including the regulations made thereunder.
10. The Applicant is not in default of any of the rules, regulations or policies of the CSE.
11. The Applicant is not subject to any proceeding under the OBCA, the Act or the Legislation.
12. The British Columbia Securities Commission (the **BCSC**) is the principal regulator of the Applicant. Following completion of the Continuance, the registered and head office of the Applicant will be located in Vancouver, British Columbia and the BCSC will continue to be the Applicant's principal regulator.
13. The Information Circular described the proposed Continuance and disclosed the reasons for it and its implications. The Information Circular also disclosed full particulars of the dissent rights of the Applicant's shareholders under section 185 of the OBCA.
14. The Shareholders authorized the Continuance at the Meeting by a special resolution approved by 75.29% of the votes cast. No Shareholder exercised dissent rights pursuant to section 185 of the OBCA.
15. Pursuant to subsection 4(b) of the Regulation, where a corporation is an offering corporation, the Application for Continuance must be accompanied by a consent from the Commission.

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

THE COMMISSION HEREBY CONSENTS to the continuance of the Applicant under the BCBCA.

DATED at Toronto, Ontario this 12th day of January, 2021.

"Cecilia Williams"
Commissioner
Ontario Securities Commission

"Craig Hayman"
Commissioner
Ontario Securities Commission

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